



A Scotland - wide Survey into Planning and Education Infrastructure Provision

A report prepared by Heads of Planning Scotland (HOPS) on behalf of the Infrastructure Working Group (IWG) which is chaired by the Scottish Futures Trust (SFT). Recommendations from this report are to be submitted to the Scottish Government for consideration.

April 2021

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PREFACE

This research was commissioned to primarily evidence the need for greater clarity and consistency in planning for education facilities and investment in terms of secondary school capacities, school roll projections and education impact assessments.

The Scottish Government is currently preparing the fourth National Planning Framework (NPF4), the draft of which is expected to be laid in the Scottish Parliament in autumn 2021. A [Position Statement](#) setting out the Scottish Government's thinking on the issues that need to be addressed in NPF4 was published in November 2020.

This makes clear that embedding an infrastructure-first approach to development planning is central to the Scottish Government's ambition for NPF4. The Position Statement notes this approach involves carrying out *“appropriate appraisal to determine the infrastructure requirements of potential spatial strategies at the start of the plan process, including who will fund and deliver it”*.

Linked to this, the Planning (Scotland) Act 2019 made substantial changes to the development planning system in Scotland, introducing new procedures for the preparation and adoption of plans. Under Section 15 of the Town and Country Planning (Scotland) Act 1997, local development plans are required to set out a spatial strategy which takes account of a range of specified matters. Following amendments made by the 2019 Act, these matters now include:

- The education needs of the population of the district and the likely effects of development and use of land on those education needs
- The capacity of education services in the district
- The infrastructure of the district, including education facilities, and how that infrastructure is used.

The NPF4 Position Statement also highlights Scottish Government's intention to provide a clearer and more consistent framework for developer contributions. This will be informed by an ongoing [review of planning obligations](#), which is evaluating their effectiveness as a means of securing timely contributions to – and delivery of – the infrastructure and affordable housing that create high quality places. As a first step, the Scottish Government has commissioned independent research on the value of developer contributions in Scotland, which is due to be completed in the early part of 2021.

By exploring how to bring greater consistency to the process of planning for education facilities, this piece of research therefore chimes with the direction of travel of policy in Scotland and complements the wider work areas the Scottish Government is taking forward in this area.

The data and comments received from the research survey of all Scottish Planning Authorities highlighted the importance of taking a holistic approach to education infrastructure provision and the inherent linkages to related matters such as Housing

Land Audits, planning refusals and appeals based on education provision, or the lack of it.

Although these important areas are outwith the direct scope of this report we have included a list of related topics and contemporary issues in the conclusions, recommendations and Appendices to highlight to the Scottish Government the importance of this research and its outcomes and the connectivity between the range of individual topics and the need to act in a timely and co-ordinated fashion

1.0 INTRODUCTION

1.1 Heads of Planning Scotland (HOPS) was contracted by the Infrastructure Working Group (IWG) set up and chaired by the Scottish Futures Trust (SFT) to carry out a research survey across all Scottish Local Planning Authorities into determining school capacity, identify current practices across Scotland in respect of school roll projections and impact assessments and to identify the key issues faced by Councils in planning for education infrastructure. The primary aim of the survey was to assess the position across Scotland and to influence and inform possible future central and local government guidance which can deliver a more consistent approach to the planning for education infrastructure processes and related methodologies.

1.2 The Infrastructure Working Group (IWG) is a cross-sector group which includes representatives from the Scottish Futures Trust (SFT), Scottish Government Planning, Scottish Government Learning, Local Authorities, Homes for Scotland, representative professional groups for Planning (Heads of Planning Scotland), Education (ADES - Association of Directors of Education Scotland) and Property (SHOPS- Scottish Heads of Property Scotland) and private sector developers. It was set up initially to explore and discuss the basis for any future guidance and advice. (The full membership of the IWG is provided at Appendix 6.)

1.3 The IWG decided that to properly inform any future guidance, a research survey needed to be undertaken to determine current practice and the contemporary issues being faced by Councils. Jim Birrell carried out this research on behalf of HOPS with the support of the HOPS secretariat, Trevor Moffat from the Improvement Service. The research is supported and funded by the Scottish Government Learning Directorate.

1.4 Initially, a pilot survey involving four Scottish councils who sit on the IWG was completed in December 2019 to test the draft questionnaire before finalising the formal survey questionnaire.

1.5 Following discussions of the pilot results at the IWG in January 2020 a small sub-committee was formed to finalise the content of the revised questionnaire, which was critically assessed and reviewed, resulted in a shortened, streamlined and re-structured final survey questionnaire.

1.6 This all-Scotland questionnaire forms the first stage of this possible future change process, with the key questions and issues set out under four broad topic areas – [School Capacity Calculations](#), [School Roll Projections](#), [Impact Assessments and Funding Mitigation](#).

1.7 As inputs were expected from Planning, Housing, Education, Asset Management, Infrastructure and Legal staff to assist in the completion of this questionnaire, a covering letter was sent to all Council Chief Executives, as well as all Heads of Planning, to ensure full corporate awareness and involvement in the survey.

1.8 The Royal Town Planning Institute in Scotland (RTPI) and the Convention of Scottish Local Authorities (COSLA) were also informed about the scope and breadth of the survey.

2.0 PURPOSE

2.1 In 2014, "Guidance on Determining Primary School Capacity" was published by the Scottish Government (SG)¹. The aim of the guidance was *"to provide a consistent approach to calculating the capacity."* It has become increasingly evident to the Scottish Futures Trust and the Infrastructure Working Group that it would be useful, from all perspectives, if greater clarity and guidance on determining Secondary School Capacity, undertaking School Roll Projections and undertaking Education Impact Assessments for both primary and secondary schooling was also prepared.

2.2 In particular, it was concluded that, an up - to - date survey across Scotland and an assessment of the data results and Council responses would be useful for determining future education infrastructure provision in relation to both demographic growth and the growth generated by new housing developments.

2.3 Following on from a full assessment of these survey results by all the relevant parties, consideration will then need to be given to the need for the scale and depth of any future guidance to promote greater consistency across Scotland in relation to the following identified areas :

- how secondary school capacities are calculated
- how school roll projections are undertaken including the methodology and assumptions adopted for both primary and secondary schools roll projections; and
- how education impact assessments are undertaken for both individual housing proposals through the development management process, and to help establish education infrastructure requirements for requirements to assess implications resulting from emerging development strategies in local development plans.

2.4 The benefits of taking a more consistent approach across Scotland include:

- More reliable and useful national data for analysing Scotland's School Estate at both a local and national level, allowing for further understanding of capacity planning, with the potential to reduce over- capacity in the school estate and thus the expense of maintenance
- A recommended approach to school capacity modelling, which is adopted by all Local Authorities, should provide stronger evidence for capacity calculations and therefore a stronger basis for maintaining and operating placing request decisions
- A transparent basis for school capacity calculations used in school closure consultations and catchment reviews, which would improve confidence in the data used and reduce argument on the subject
- Fairer and quicker negotiations across the country in obtaining financial contributions for school extensions or new schools as a result of local housing developments

¹ Determining Primary School Capacity-Guidance for Local Authorities, 24 October 2014

- A more consistent approach would also help developers understand the implications of their development proposals, with the potential to unlock housing developments and contribute to economic growth in a timelier manner.

3.0 BACKGROUND

3.1 In the Guidance on Determining Primary School Capacity published by the Scottish Government (SG) in 2014, Part 3 of the report set out a small note on secondary schools and confirmed that:

“following consultation with Local Authorities, it was generally agreed at that time that providing guidance on calculating Secondary School capacities was not a priority at this time. It was suggested that it might be more appropriate once Curriculum for Excellence and the new National Qualifications have been fully implemented across the country, and any implications for school layout are understood.”

3.2 Since 2014, there has been a vacuum on future thinking and many local authorities and developers thought it would be useful to have some form of consistency, particularly in the following areas,

- Areas to be included and not to be included in the capacity calculation
- Which classes fall under the “practical” and “non-practical” classes
- Space per pupil in different teaching spaces e.g., gym halls, science labs, social spaces etc.

3.3 As stated in Section 5 of Part 1 of this SG guidance, it was recommended that,

“all Scottish Local Authorities consider what a consistent approach to calculating the capacity of Secondary Schools could be and seek to work together, with Scottish Government, to develop this by 2016.”

3.4 Following the report of the independent review of the planning system in May 2016², research was commissioned into “Planning and Education Infrastructure” and the work was undertaken in-house by the Planning and Architecture Division of the Scottish Government³.

3.5 The research paper is undated, and it remains an internal SG working paper which was never published externally. The methodology used was quite limited in its scope as it was a desk-based study with interviews with 9 Scottish Councils who were experiencing school capacity constraints at that time. It also included some developer representatives, including Homes for Scotland. An overview of the project was provided to the HOPS Development Plan and Development Management Sub-Committees. For the purposes of this research project, we have referenced the document, with the permission of the Scottish Government as part of this wider IWG project which follows on from this study and it builds on and extends the breadth and scope of this earlier SG research which sought to,

² “Empowering Planning to Deliver Great Places”, Independent Review Panel, 31 May 2016

³ Planning and Education Infrastructure- Research findings- Scottish Government Internal and Unpublished report

“Establish the extent to which schools’ infrastructure capacity is impacting on housing development, including providing an understanding of the issue and its scale across Scotland and identifying geographical variations.”

and

“Set out current practice to show how development plans take existing and planned school capacity into account in allocating sites for housing development, including establishing the degree to which development plans influence the provision of school capacity to support housing development and the consistency of approach across Scotland.”

3.6 Although the initial SG research paper was limited and restricted in scope it did start to identify a broad range of emerging planning and education issues being experienced by councils and developers. These included:

- The impact of school infrastructure capacity on housing development
- Collaboration levels between planning and education services
- Current approaches to planning for education infrastructure
- Calculating Capacity, Pupil Product Ratios and School Roll Projections
- Developer contributions and Front Funding of education infrastructure

3.7 The research recommendations included,

- A method for de-risking local authority borrowing to support front funding of school infrastructure
- An overview of best practice in relation to securing developer contributions to ensure a consistent approach across Scotland
- Development of guidance on undertaking school roll projections, education infrastructure appraisals, secondary school capacity calculation and on determining pupil product ratios
- Guidance on calculating developer contributions to increase consistency and support certainty
- A clarification of the policy position on securing contributions towards early years provision
- A simplified process for catchment reviews, specifically in relation to previously non-residential sites
- Development of guidance on determining secondary school capacity
- Promotion of joined - up working for education planning within local authorities

3.8 These are considered to be the key areas for future investigation suggested by the research participants to improve matters and they have been fed directly in to this IWG survey, with a view to providing a more contemporary and detailed assessment of the current issues facing councils in planning for future education needs. We have also set out a series of key conclusions and recommendations which will be formally submitted to the Scottish Government for further consideration.

4.0 THE SURVEY RESULTS AND ASSESSMENT CONCLUSIONS

4.1 The online survey was sent out in January 2020 to all Scottish Councils, through the designated Head of Planning. In addition, all Scottish Chief Executives were informed of the survey, and both COSLA and the RTPi Scotland were also informed of the survey.

4.2 Although the official deadline was 13 March 2020 it was agreed to extend the deadline to 17 April 2020 to enable draft returns to be completed. More recently, due to the impact of the Covid-19 pandemic, it was agreed to keep the online survey open and remind local Councils of the importance of completing the survey when resources permitted.

4.3 26 Councils out of 32 Scottish Councils (81%) have responded to the survey which is now closed.

4.4 The data submitted has been anonymised where sensitive or where requested and geographical names and references have been omitted. Where Councils have submitted working examples of methodologies and good practice these have been included and the Councils named.

4.5 Appendix 1 is a complete summary of the data, information and comments submitted by the 26 Councils and it provides a rich source of evidence and assessment of the key issues being faced by Councils as a sound basis for further consideration in taking these matters forward with the Scottish Government and other stakeholders.

Scottish Councils – Questions 1 and 2

4.6 The HOPS survey of all Scottish planning authorities has been considered successful with 25 out of the 32 Councils taking part representing a 78% return rate with coverage of 88 % of the Scottish population.

4.7 The survey responses have been generated by each Council on a corporate basis with 61 individual contributors from a wide range of service departments.

Secondary School Capacity Calculations – Questions 3 - 9

4.8 There is a slightly confusing picture regarding the publication of school capacity calculations with only 9 Councils confirming they published, but 15 Councils supplied information and links to their websites.

4.9 Similar approaches tended to be adopted by Councils for defining spaces excluded from the capacity calculations and national guidance on this aspect was cited by several Councils.

4.10 There are variations in the practical and non-practical space allowances, and a variety of methods used to define these.

4.11 Very helpful working examples were provided by some Councils as set out in the report.

4.12 Councils expressed a clear need for the development of a national approach to be adopted and some Councils referred to it needing to be similar to the Scottish Government 2014 guidance on Primary Schools.

School roll projections – Questions 10 - 22

4.13 School roll projections are carried out by all the Councils surveyed, normally on an annual basis, but the majority of Councils (60%) do not publish them.

4.14 The 7 factors identified in report at Question 14 are all used by Councils with 100% using Primary 1 input and Secondary School staying on rates.

4.15 Question 15 asked how these fields/factors were derived and very comprehensive and fully detailed responses were submitted which are summarised in the report. The importance of Housing Land Audit data, NRS population projections and local NHS data on births were all highlighted as being important data sources.

4.16 Councils use standard and variable Pupil Product Ratios (PPRs) with the majority of Councils using Primary and Secondary PPRs.

4.17 PPRs are reviewed on an ad hoc basis, and 23 Councils provided details of their OCPRs and also provided details on their website. There are however significant differences in approaches taken and the quality of survey information.

4.18 7 Councils confirmed that Out of Catchment Placing Requests (OCPR) data is included as part of their school roll projections process.

4.19 Several different approaches are taken by Councils when considering split-catchments or cross-boundary as part of the school roll projections process.

4.20 The final question in this section, Question 22, was open-ended to enable Councils to identify key issues they faced issues and to provide any additional comments or suggestions. The responses included,

- The importance of Housing Land Audit data
- The complexity of data collection and information and the resources required
- A lack of national guidance or user groups to share best practice.
- The statistical risks encountered when looking at small areas, and the fluctuations and uncertainties, in providing accurate forecasts

Education Impact Assessments – Questions 23 - 31

4.21 Councils were almost evenly split on (54% saying Yes and 46% saying No) whether they published their methodology for determining the impact of development on education infrastructure or not. Education Impact Assessments and the review timescales were also mixed.

4.22 30% of Councils review and publish annually, usually alongside the LDP, in Supplementary Guidance.

4.23 Most Councils (86%) confirmed that they considered that their EIA methodology complies with the tests set out in Circular 3/2012.

4.24 22 Councils provided comprehensive responses illustrating the use of Supplementary Guidance and how the LDP process is considered.

4.25 85% of Councils use existing school catchment areas to undertake their EIAs for the development strategy promoted in the current LDP.

4.26 Only a few Councils (8) have a published protocol setting out how they consider mitigation measures.

4.27 The vast majority of Councils use school roll projections in calculating the education impact of new development.

4.28 12 Councils stated that school rolls are not differentiated between demographic trends and pupils for housing led growth.

4.29 The final question, Question 31, was again an open ended one to pick up on any issues or comments relating to EIAs. 9 Councils responded and key points included,

- Additional housing sites being allocated in the LDP by a Reporter at Examination.
- Fluctuations in the building out and phasing of housing developments
- School capacity is constantly changing and therefore the EIA can change over fairly short periods.
- All projections should be used with caution as they are “an early warning system” designed to prompt closer investigation of particular school accommodation issues.
- Some issues with developers of windfall sites not including the cumulative impacts of allocated, but not yet constructed, housing sites.

Funding Mitigation Requirements – Questions 32 - 47

4.30 A majority of Councils (64%) publish their methodology for calculating developer contributions. Working examples have been provided and also weblinks to Council guidance and detailed methodologies. Most of the advice has been published in the last 5 years.

4.31 60% of Councils use a standard charging rate which can range from, costs per pupil, costs per m2 or a flat rate cost per house.

4.32 Just over half of Councils (52%) do not exempt affordable housing from developer contributions.

4.33 Councils across Scotland are evenly split on whether or not windfall sites are factored into Impact Assessments.

4.34 The majority of Councils (65%) confirmed that the contribution level was linked to EIAs for individual planning application.

4.35 17 Councils provided details of how their long-term/strategic assessments are undertaken in relation to development planning and these included,

- Master planning exercises
- Delivery programmes
- Local Development Plan (LDP) officer/member Working Group
- All housing sites included in an overall planning assessment
- Using Strategic Development Plans (SDPs) and LDP review processes
- Specific LDP Education Appraisal process
- LDP and Housing Land Audit interrogations

4.36 All respondent Councils (24) work together corporately to assess development impacts on the school estate and 50% of them described the level of collaboration as High and Very Positive.

4.37 The costs of mitigation are assessed in various ways by Councils including,

- The Scottish Futures Trust metric
- Ready reckoner type document to provide high-level costing information
- Costs per unit within school catchment area
- Per house basis
- Pro rata costs per housing unit

4.38 Only 3 Councils provided details of the minimum number of pupils required for the different school types identified.

4.39 Q47 was an open question which allowed Councils to provide further comments, suggestions and issues not covered in the survey questions. Responses included,

- Concerns around out-of-zone placements
- The ongoing impacts of revenue costs as opposed to capital costs
- Developer costs are a one-off payment
- Ongoing planning and revenue costs for the local planning authority over the lifetime of a development
- Care homes, sheltered housing and student accommodation are all exempt from developer contributions

Final Summary Comments – Questions 48 - 50

4.40 There is general agreement on the need for standardised definitions and methodologies as highlighted above but a few Councils do not favour standardised approaches due to urban and rural differences, population, growth or decline and the context of the LDP.

4.41 There is clearly an appetite amongst Councils to see a national, standardised approach to determining secondary school capacities, although there is some caution expressed about the need for flexibility to take account of specific local circumstances.

4.42 It is clear from the survey responses that there is a great deal of variance highlighted in terms of what Councils publish, how regularly they publish the data and the detailed methodologies used to compile the data and projections.

4.43 Only 2 Councils did not wish to share their responses in the public domain. The data has been anonymised throughout the report and the data returns made by individual councils have been assessed in their totality and no council has been singled out unless they have used a weblink and the information is already in the public domain. Confidentiality will be respected at all times in the publication of the results, but HOPS has retained the individual Council returns for purposes of any follow up discussions, Working Groups, identifying best practice etc.

4.44 The final survey question was deliberately set as an open question to pick up any other relevant factors not expressly included in the survey and there is a wide variety of interests expressed. Concerns are raised about developer contributions and their timing, longer term education planning processes particularly in areas of growth. The impacts of revenue expenditure in the current financial climate are highlighted together with general comments about the processes of forecasting, and the need to involve secondary school headteachers/timetablers in future processes

5.0 OVERALL CONCLUSIONS

5.1 The Project Brief was to undertake a Scotland wide survey and carry out an assessment of the data results and Council responses, with a particular emphasis on identifying a contemporary basis for determining future education infrastructure provision.

5.2 The full assessment of the data and comments submitted provides a wealth of informative and innovative methodologies and approaches being adopted across Scotland, which provide a sound basis for developing future guidance and advice and helping to promote greater consistency for both Councils and developers in the future.

5.3 Despite a few legitimate concerns about the need for flexibility and the need to take into account specific, local circumstances, it is clear that there is a need to develop and promote national guidance across a range of areas including,

- School roll projections, including methodologies and assumptions
- Secondary School capacity calculations
- How Education Impact Assessments are carried out
- How calculations for Pupil Product Ratios are carried out
- The impacts of catchment reviews on education planning
- Joined up corporate working in Councils

5.4 The information provided by Councils has identified a range of good practices adopted across Scottish Councils and this can be promoted and showcased in order to supplement the future work areas identified above. (Appendix 2 provides selected examples of good practice across Scotland as a starting point)

5.5 We believe that the case for better co-ordinated national guidance and advice is already supported by the Scottish Government and the relevant parties. It will have the benefits of transparency and consistency, to the benefit of all parties, and it will help to reduce areas of conflict and perhaps, even the need for some planning appeals.

5.6 In order that the full impacts and benefits of these suggested improvements are realised, they have to be developed on a joint basis, between central and local government, the private sector and the relevant representative professional bodies, who sit on the IWG, namely Heads of Planning Scotland, (HOPS) Scottish Heads of Property Services (SHOPS), the Association of Directors of Education Scotland (ADES), and Homes for Scotland (HFS). RTPI Scotland and COSLA should also be included in future discussions.

5.7 In terms of the wider perspective and bigger picture, it is considered that the implementation of these suggestions and the recommendations set out below, will generate further spin - off benefits, including fairer and quicker negotiations, a better all- round understanding of the practices and procedures to be followed, leading to

the potential to better unlock housing sites and contribute to Scotland's wider aspirations on sustainable, economic growth.

6.0 RECOMMENDATIONS

6.1 Heads of Planning Scotland and the Infrastructure Working Group that was set up, including representation from Scottish Futures Trust, Local Authorities, Housing Developers, Consultants and Homes for Scotland jointly submit the following recommendations to the Scottish Government Learning and Planning Directorates in discharge of the jointly agreed Project Brief for full consideration and assessment.

6.2 We formally recommend that the Scottish Government considers and supports the range of identified actions set out in the report and specifically the recommendations set out below, in a phased manner over the next 12-18 months to follow on from the publication of the draft National Planning Framework, due to be published in September 2021.

RECOMMENDATION 1 - The data submitted in the Part 1 Survey Report, and the summary conclusions are used by the Scottish Government as the first stage in developing more standardised guidance and advice to Scottish Councils on High School Capacity Guidance to bring it into line with the SG advice on Primary Schools (2014) and in discharge of the expectations expressed in that report (Section 5 - Part 1 refers).

RECOMMENDATION 2 – The Scottish Government considers all the identified improvements and suggested changes for more transparency, data co-ordination and publication, consistency in definitions and methodologies and the formal publication of Scotland - wide procedural guidance.

RECOMMENDATION 3 -The report will be submitted by the Infrastructure Working Group to the relevant professional organisations representing Planning, Finance, Education and Property Services to ensure wider discussions and agreements on the way forward. This would further enhance the work and encourage and continue an exchange of views and focus on good practice to reaffirm and support the case presented for further clarification and guidance initiatives. (Appendix 3 summarises the outputs from the first round of Briefing Sessions)

RECOMMENDATION 4 – The Scottish Government is respectfully requested to consider further support and funding to enable follow up areas for possible further research work areas and interrogation to be completed which were not included in the initial Phase 1 Project Brief. These could usefully include,

- A more detailed assessment of contemporary Planning Appeal decisions submitted to the Department of Planning and Environmental Appeals (DPEA) where education capacity and modelling characteristics have been a feature of the appeal process, including the identification of the determining factors by the Reporter
- Linking in to existing and recently commissioned research streams by the Scottish Government looking at developer obligations and infrastructure

provision and to identify common findings and areas of co-operation and co-production

- The assessment and consideration of a methodology to identify a Framework Approach for an end-to-end development process as outlined in Appendix 4 – Outline Framework Approach for an end-to-end development process - A Discussion
- A study of identified good practice from within the other UK nations (Appendix 5 - Bibliography and Reading List - provides some examples from the Department for Education, England)

RECOMMENDATION 5 - All the stakeholders involved in this research project have emphasised the need for the current momentum to be maintained and it is hoped that the Scottish Government will take up the suggestions made in this report and particularly the above recommendations and commit to the additional support and funding outlined above.

RECOMMENDATION 6 - We would welcome the opportunity to formally discuss the report and all its findings with the appropriate officers and representatives from the Scottish Government as soon as possible after formal publication. Copies of the report will also be sent to the following stakeholder groups,

- All Scottish Councils, including the individual survey participants
- The professional groups represented on the Infrastructure Working Group
- The Royal Town Planning Institute (RTPI Scotland); and
- The Convention of Scottish Local Authorities (COSLA)



Heads of Planning Scotland

April 2021

REPORT APPENDICES

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Appendix 2 - Selected examples of good practice across Scotland

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Appendix 6 – Membership of the Infrastructure Working Group

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APPENDIX 1– ASSESSMENT OF THE SURVEY RESULTS

1. Local Authority Information – Questions 1 and 2

Question 1 - Local Authority Area

Of the 32 local planning authorities in Scotland, 26 responded to the survey request, giving **an 81% return rate**. In all the current circumstances, this is considered to be an excellent response level at a time when local Council resources are under strain and most staff are working remotely from home, due to the impacts of the Covid-19 pandemic.

The responses provided have produced a rich seam of data to be assessed, and it is encouraging to note that the responses provided were representative of Scotland as a whole, as they include responses from the major cities, large, medium and small urban councils, large and small rural and remote councils, including island councils. The survey returns cover 88% of the Scottish population.

The data was collected during the summer of 2020.

Question 2 - Questionnaire completed by:

We had always envisaged that the responses would require to be completed on a corporate basis and there were 65 respondents involved in total from the 26 Councils that completed the questionnaires.

Planning staff, primarily in Development Planning accounted for 31% (20) of the total, followed equally by Education and Children's Services 31% (20) and "Others" 31% (20), and 7% Developer Negotiations (5). The "Others" category included, Research and Information Officers, Data Analysts, Service Support Officers, Estates Officers, Quality Improvement Officers and Resources Managers.

This is the largest survey of Scottish Councils carried out to assess the contemporary issues being raised by individual Councils relating to planning and education infrastructure provision and the detailed methodologies and approaches being undertaken.

It provides an up - to - date evidence base for the Scottish Government to consider the need for further bespoke guidance and also guidance at the national level.

2. Secondary School Capacity Calculations – Questions 3 -9

Question 3 - Is the methodology published and in the public domain?				
			Response Percent	Response Total
1	Yes		35%	9
2	No		65%	17
			answered	26
			skipped	0
If yes, where is this available for public review and its date of publication. Can you provide a link to this methodology and assumptions adopted? If no, can you send a copy of the methodology to the address provided at the start of the questionnaire. (15)				

65% of the Councils (17) do not publish their methodology in the public domain, and 35% do publish (9). A few Councils however, confirmed that they do supply copies of the methodology if requested.

The statistics are slightly misleading here as although only nine Councils stated that they published information in the public domain, a further six Councils forwarded links or documents setting out the methodology and there were 16 submissions which set out more detail - see the Part 2 Report, under Question 3.

Several Councils produce their own internal publications in the form of Standard Circulars, Background Papers or Procedure Notes and 1 Council calculates the planning capacity of every individual teaching space (practical and non-practical). This is amended to reflect the variables and challenges in relation to a secondary school curriculum to give an overall number of usable spaces which is reported in the School Estate Management Plan on an annual basis.

Some of the publications used by Councils are very dated and in need of updating and revision, which is currently being undertaken by a few Councils.

Seven Councils provided direct weblinks to their methodology and national publications which they use, and these are listed below:

1. East Lothian Council

https://www.eastlothian.gov.uk/info/210547/planning_and_building_standards/12242/local_development_plan/2

Page 19 of Technical Note 14, that accompanies the adopted Supplementary Guidance: Developer Contributions Framework, briefly sets out the approach towards secondary school capacities.

The Council's 2018 Education Provision Forecasting Guide (submitted alongside this response) sets out that secondary school capacity is calculated in accordance with the 1967 regulations. Actual secondary school capacities are published on the Scottish Government website.

2. Falkirk Council

<https://www.falkirk.gov.uk/coins/submissiondocuments.asp?submissionid=6719>

This is a short 2- page report which sets out a methodology which calculates the theoretical capacity by multiplying all teaching areas by maximum class sizes. This figure is then factored down for timetabling (90%) and then curricular choice (80%), which results in a figure which is 72% of the Theoretical Capacity.

www.gov.scot/publications/determining-primary-school-capacity-guidance/pages/7/

This is an extract from the above national guidance and states that "if all Local Authorities measure Planning Capacity in the same way, the data which is reported to the Scottish Government and published on an annual basis will be consistent". It goes on to outline a 4- stage process to calculating Planning Capacity as,

1. Determine which teaching spaces will be included
2. Determine the size of selected class bases. i.e., excluding General Purpose areas
3. Determine the maximum number of pupils which could be accommodated in each class base
4. Total Planning Capacity

New secondary school capacities are based on metrics found in Scotland's Schools for the Future - Interim Report (page 29). However, this metric does not apply to the existing school estate as different metric and funding models were applied to these. Published document can be found here:

<https://www.scottishfuturestrust.org.uk/storage/uploads/scotlandsschoolsforthefutureinterimfindingsreportmay2018.pdf>

January 2012 Committee Report agreeing Secondary capacity calculation:

3. Fife Council

This is a very comprehensive report from Education and Children's Services, "Building Fife's Future – The School Estate". Appendix 4 summarises the Secondary

School Capacity Model also based on the earlier Scottish Executive Circular 3/2004 used by some other Councils.

1. **Maximum Capacity** - Based on room size
2. **Functional Capacity** – Incorporates class size restrictions based on practical and non-practical classes
3. **Planning Capacity** – Additional flexibility to allow for timetabling limitations (10%) and curriculum choices (20%)

http://publications.fifedirect.org.uk/c64_PDF-ECS280818.pdf

4. Aberdeenshire

<http://committees.aberdeenshire.gov.uk/FunctionsPage.aspx?dsid=85074&action=GetFileFromDB>

5. Glasgow

Glasgow has looked at the sustainability of the intake at s1 and ensure that it is sustainable for the next 6 years. The gross number of young people is not the only factor, the individual numbers at each stage and timetables are both important issues. This takes account of experience with regards norms re stay on rates and subject choices from S3 onwards, the availability of both general - purpose teaching areas and specialist areas. On occasions numbers will account of local circumstances, but this is where there is still an expectation of the sustainability of the school to accommodate catchment demand in the future.

Question 4 - What teaching spaces/rooms are excluded in the capacity calculation and why?		
	Response Percent	Response Total
	100.00%	25

25 Councils responded to this question and Councils have tended to adopt very similar approaches to the exclusion of areas or rooms which are not dedicated to core teaching activities and refer to national guidance, such as Scottish Executive Education Departments, Circular 3/2004⁴. A range of activity areas and functional spaces are identified, which are excluded in the capacity calculations. These include,

- Dining Halls, Assembly Halls/Lecture rooms and Theatres
- Libraries and Resources rooms/areas

⁴ “Guidance on determining School Capacities”, SEED Circular 3/2004, December 2004

- Educational support spaces
- Dedicated learning spaces
- Small tutorial rooms
- Music practice and recording rooms
- Pupil support and social and meeting areas, including pastoral, learning and behavioural
- Management and Administrative areas/offices

One Council excludes all rooms smaller than 40sqm and another Council refers to internal publications Standard Circulars S2 and S3, produced by their Education Services.

5. What is the Space Allowance per pupil (sqm), if known.

1. Non-practical	100.00%	18
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Of the 18 responses provided eight (47%) confirmed they used 1.5sq. metres as standard. Three of the Councils used 1.7 or 1.8 sq. metres. Interestingly, Three Councils use more generous space standards ranging from 1.5 sq. metres to 2 or 3 sq. metres per pupil. One Council uses a range of sizes up to 8sq.metres depending on practical activity/subject.

Five Councils confirmed that the information was either not available or it was not known.

2. Practical	100.00%	18
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18 Councils responded to this question. A few Councils referred to Standard Circular S3 for guidance, and eight confirmed that the information is variable or not known. Five Councils are using a range of standards from 1.7-3.5 sq. metres. Two Councils provided detailed sizes for a range of activities, including,

- Games Hall - 10sq. metres
- Gym - 5 sq. metres
- Technical - 4sq.metres
- Home Economics - 3.5 sq. metres
- Music - 2 sq. metres
- Science Labs - 2 sq. metres

6. Where is this space allowance (sqm per pupil) derived from?		
	Response Percent	Response Total
1	100.00%	21

Question 6 attracted 21 responses in total and confirmed that a range of sources are used to derive the space allowances used by Councils. Four Councils confirmed that they either did not know where the data was derived from or it was based on historical data. Three Councils still used historical guidance from the former Strathclyde Region approaches to develop space standards. A range of Councils used their own internally devised sources such as,

- Procedural Manuals
- Standard Education Circulars
- Management Circulars

One Council used the Scottish Government’s publication “Determining Primary School Capacity”, and three Councils use the Secondary School standards set out in the Scottish Futures Trust publication “Scotland’s Schools for the Future – Interim report”⁴. The methodology set out on Page 18 of that report (Area per Pupil Metric) confirms that the size of a building has a fundamental effect on its functionality, and also its cost in terms of construction, maintenance, operation and energy consumption. To provide guidance, a range of area allocations per pupil was developed based on assessment of previous benchmark-built examples.

“This guidance recognises the inherent efficiencies which larger buildings can realise, for example by utilising fixed area items such as plant space, stairs, and kitchen to serve larger areas of teaching and learning space when a pupil roll is increased. In addition, it acknowledges that there are inherent differences in the spatial requirements of primary and secondary schools. Consequently, a banding approach was developed.”

Secondary Area Metric Table

Space Allocation (based on pupil numbers)	SQM/Pupil
Up to 400	13
401-800	12
801-1200	11
1200+	10

⁴ Scotland’s Schools for the future- Interim Findings Report – May 2018

7. What is the capacity calculation methodology and what ratios (if any) are applied to the calculation? Please provide a worked example if possible.

	Response Percent	Response Total
1	100.00%	21

There were 21 Council responses to Question 7 and several worked examples were provided as follows,

- Usable Places – $0.76 \times$ total places minus 150 places (based on the former Strathclyde Regional Council approach)
- Capacity of each teaching space is calculated using the Space Allowance per pupil. Room capacities are totalled and then usable spaces $\times 0.76 - 150$
- Functional Capacity = Practical Capacity plus Non-Practical Capacity
- Working Capacity = Practical Capacity - Timetabling Flexibility (90%) and Curriculum Choice Factor (80%)
- Planning Capacity $\times 75\%$ minus 150

A fully detailed example was provided by one Council for two new secondary schools on a shared campus site as follows:

- Denominational secondary school with capacity for 660 pupils and a Non-Denominational secondary school also with capacity for 660 pupils with shared sports facilities.
- Future expansion strategy to accommodate 1210 pupils in each school.
Proposed area metric = 12m^2 per pupil
 - School Capacities: $2 \times 660 = 1320$ pupils
 - Total School Area: $12 \times 1320 = 15840\text{m}^2$
- The actual area metric is:
 - Secondary School 1 = $6,355\text{m}^2$
 - Secondary School 2 = $6,258\text{m}^2$
 - PE building = $4,474\text{m}^2$
 - Total Area metric = $17,087\text{m}^2$
 - Area metric reflects future expansion strategy to support increased projected pupil roll in specialist areas.
 - Future classroom phasing to use area metric 10m^2 per pupil.

Inverclyde Council has published its methodology online and it is summarised in Figures 1 and 2 below.

Establishing the Capacity of Secondary Schools in Inverclyde:

1. Calculating the capacity of a secondary school

Determining the capacity of a secondary school starts with the “useable spaces” for each room as it relates to its normal function. This gives a basis for the amount of safe teaching space that physically exists in a building and is affected by maximum class sizes in different areas of the curriculum e.g., practical class sizes. Timetabling and other constraints on the use of accommodation mean that not all of the places can be used at one time and a formula of $(0.76 \times \text{total places}) - 150$ is used to give a guide as to the planning capacity of each school.

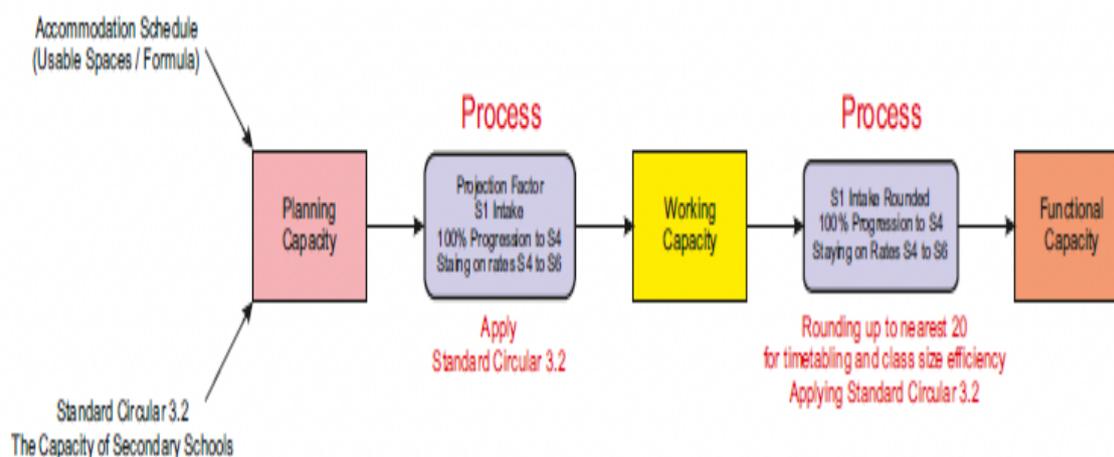
Whilst the planning capacity of a school gives an indication of the number of pupils a school can accommodate overall, it does not determine the number of pupils for whom an appropriate curriculum can be provided at each year stage. It could theoretically be the case that an overall planning capacity could be reached with differentials in year groups e.g., 300 pupils in one- year group but only 100 pupils in another. To ensure that an appropriate curriculum can be provided at all stages, it is necessary to determine the maximum intake level at S1 and subsequent years in any particular session. This is done by projecting a 100% transfer rate at each stage from S1 – S4 and using a formula to project staying on rates from S4 –S5 and from S5 – S6. This then gives us what is known as the working capacity.

In simple terms this involves,

Useable Spaces - Planning Capacity - Working Capacity - Functional Capacity as summarised in Figure1 below.

Figure 1 - Inverclyde Secondary School Capacity Model

Inverclyde Council - Secondary School Capacity



Another Council methodology used included calculating the functional pupil capacity of the school first as the sum of the functional capacities of the classrooms and learning spaces as summarised in Figure 2 below. Functional capacities are expressed as 30 places for a general class and 20 places for a practical class. Timetabling and other constraints on the use of accommodation mean that not all of the places can be used all of the time. The functional capacity is, therefore, reduced to take account of these constraints by the use of the following formula: (total places minus 350) / 1.15 to give planning capacity.

Figure 2 – Council example based on a 1600 pupil secondary school

	No. of classes	Pupils per Class	Total
General	49	30	1,470
Practical	37	20	740
Total			2,210

Usable places = (total places 2,210 less 350) / 1.15 = **1,617**

8. Is the calculation providing an estimate of working capacity or planning capacity?				
			Response Percent	Response Total
1	Working Capacity		22.09%	6
2	Planning Capacity		34.78%	8
3	Other (please specify):		39.13%	9

The data shows that eight Councils use Planning Capacity (35%), and six Councils use Working Capacity (22%). Under the “others” category nine Councils (39%) confirmed that they use both measures and that the other labels Councils used, include functional capacity, useable space and protected space.

9. Please provide any other comments/suggestions/issues faced in relation to determining secondary school capacity.				
			Response Percent	Response Total
			100.00%	18

The Council comments and suggestions to this open question are very helpful and informative. They included:

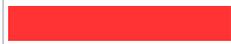
- One Council advocated the use of quarterly meetings between Planning and Education staff to discuss the impact of new house - building on school provision, roll projections and school capacities. Housing Land Audit and SHIP projections are used
- **Three Councils suggested that new guidance, in a similar fashion to the 2014 guidance on Primary Schools would be very welcome**
- Two Councils confirmed that they use “control” percentages to provide the final figures used. E.g., 80% of the Functional Capacity, and 72% of the optimum timetable, but with 80% and 90% considerations
- Difficulty in expressing demographic changes due to the fluctuations in the second-hand housing markets
- **The calculations are considered to be arbitrary and further guidance would be welcome**
- **A national approach would be very welcome.**
- **It would be helpful to have national guidance on determining secondary school capacity.**
- Calculations have not been rigorously tested for years.

- 90% of the Physical Capacity is used to allow for a wider curriculum choice for pupils.
- The Scottish Government states that all young people in Scotland have an entitlement to a senior phase which:
 - provides specialisation, depth and rigour
 - prepares them well for achieving qualifications to the highest level of which they are capable
 - continues to develop skills for learning, skills for life and skills for work
 - continues to provide a range of activities which develop the four capacities
 - supports them to achieve a positive and sustained destination.
 Timetabling to meet these entitlements is difficult to reduce to a formula.
- Timetablers must take account of the duty of the Local Authority to raise attainment and reduce the poverty related attainment gap, as well as the efficient use of resources.
- The Council's secondary schools have very high levels of retention post statutory leaving age. The planning capacity is used to help monitor provision and demand. Where catchment demand exceeds a school's planned S1 intake the numbers can be greater provided additional measures are taken (e.g., maintain teacher/pupil ratio, sufficient physical space and facilities.)

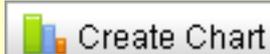
3. School Roll projections

10. Does your local authority undertake school roll projections?				
			Response Percent	Response Total
1	Yes		100.00%	26
2	No		0.00%	0
			answered	26
			skipped	0

100% of the Councils surveyed (26) confirmed that they undertake school roll projections

11. If your authority undertakes school roll projections, are these published?				
			Response Percent	Response Total
1	Yes		40%	10
2	No		60%	15

11. If your authority undertakes school roll projections, are these published?



		Response Percent	Response Total
3	Not applicable	0.00%	0
If yes, please provide a link to the latest projections. (12)			
		answered	25
		skipped	1

Fifteen (60%) of the 25 Councils who responded do not publish their school roll projections. Although only 10 Councils responded YES, 13 replies were given. Three Councils confirmed they were about to update/publish school roll projections and eight Councils provided direct links to their latest projection figures and included the methodologies used, which are elaborated on under responses to Questions 14 and 15 below.

12. How often are school rolls calculated across all primary and secondary schools?

	Primary School	Secondary School	Response Total
Annually	51.1% (23)	48.9% (22)	45
Every 2 Years	50.0% (2)	50.0% (2)	4
Every 3-5 Years	0.0% (0)	0.0% (0)	0
Less often	0.0% (0)	100.0% (1)	1
		answered	25
		skipped	1

23 (92%) of the 25 Councils who responded review their school roll projections for both Primary and Secondary schools on an annual basis. The remaining two Councils review every two years.

13. How often are the historic school roll projections monitored and reviewed for accuracy against actual school rolls?



	Primary School	Secondary School	Response Total
Annually	51.6% (16)	48.4% (14)	30
Every 2 Years	50.0% (1)	50.0% (1)	2
Every 3-5 Years	57.1% (4)	42.9% (3)	7
Less often	42.9% (3)	57.1% (4)	7
		answered	24
		skipped	2

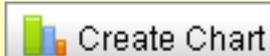
The response to the review of historic school roll projections is slightly less. 62% of the Councils review on an annual basis and 1 Council reviews every 2 years. 16% of the Councils review every 3-5 years and the same % review less often than that.

14. Please state which of the following fields/factors are considered within your school roll projections and data sources for these:



	Yes	No	Response Total
Primary 1 Input	100.0% (26)	0.0% (0)	26
Placing Requests	92.3% (24)	7.7% (2)	26
Birth Rate	88.5% (23)	11.5 v% (3)	26
Primary Distribution Factor	87% (20)	13% (3)	23
Secondary Distribution Factor	81.8% (18)	18.2 % (4)	22
Secondary Staying on Rates	100.0% (26)	0.0% (0)	26

14. Please state which of the following fields/factors are considered within your school roll projections and data sources for these:



	Yes	No	Response Total
New Housing Developments	100.0% (25)	0.0% (0)	25
		answered	26
		skipped	0

All 26 Councils who submitted returns responded to this question as follows,

- 100% of the Councils who responded use Primary 1 Input, Secondary Staying- On Rates and New Housing Developments,
- 92% use Placing Requests
- 88% use Birth Rate
- 87% use Primary Distribution Factor
- 82% (18) of the Councils who responded use Secondary Distribution Factor.

In addition, 3 Councils did not use birth rates, 3 Councils did not use the Primary Distribution Factor and 4 Councils did not use the Secondary Distribution Factor.

15. Where applicable please note how these fields/factors are derived: Primary 1 Input - What formula/information source is used to derive these Placing Requests - Please indicate if these are net, or in/out of catchment requests? Birth Rate - Please note sources used, and outline whether any factors are applied to take into account rising or falling births? National Records of Scotland Population Projections, Community Health Index Births, deaths and other events quarterly figures Council population projections Other Primary Distribution Factor - Equal between seven year groups or another variant (please define this) Secondary Distribution Factor Equal between five year groups with split between S5 and S6 or another variant (please define this) Secondary Staying on Rates New Housing Development - Please indicate the data source for this (e.g. housing land audit)

	Response Percent	Response Total
1	100.00%	24
		answered
		skipped
		24
		2

24 Councils responded to this question and two Councils did not respond. The 7 fields/factor set out in Question 14 above were assessed in more detail and the survey confirms that a wide variety of sources and methodologies are used by Scottish Councils.

The 7 factors have been analysed separately and the data received from the Councils is summarised below:

1.Primary 1 Input - Different formulae and data sources are used to derive the P1 pupil input but 7 Councils use the Community Health Index, normally by school catchment area. Other sources used include,

- School rolls
- NRS Population projections – mid -year estimates for 4- and 5- year- olds
- Historic school roll data
- Migration in and out of area
- NHS birth rates by postcode
- NHS vaccination rates for 0–5-year-olds
- Average data for previous years

2.Placing Requests – There was no over- riding methodology identified here and Councils showed a wide variety of data sources and methods they used to assess placing request for individual schools. These included,

- Accurate placing data from placing request system
- Average requests for last 3/5 years
- Net catchment requests
- P1 address data
- Catchment projections
- Denominational and non-denominational split applied

3.Birth Rate – The two data sources most used by Scottish Councils were the Community Health Index of Births (CHI) and the National Records of Scotland Population Projections (NRS). Other sources which were utilised included,

- Annual NHS data to project 5- year -olds for P1
- Average data for last 3 years
- Actual births and projected births

4. Primary Distribution Factor – The most commonly used factor for distributing Primary School pupils was an equal distribution method over the 7 age groups. This was often supplemented by other data including,

- Migration rates
- Distribution rates across the Council area
- NHS data

- 100% rate after P1 intake
- Historic rates average

5. Secondary Distribution Factor Total - Again, the most commonly applied factor was an equal distribution between the 6- year groups but other supplementary factors included,

- Historical averages
- Yield applied to S1 only
- Migration rates used for S1-S4
- Year group roll divided by total school roll

6. Secondary Staying on Rates – Many Scottish Councils used an average figure generated over the last 3 or 4 years or historical averages. Other factors which were utilised by Councils included,

- Annual school census data
- Annual checks on ratios used

7. New Housing Developments – 21 Councils used the annual Housing Land Audit as their primary source of data. This was supplemented by a variety of other data sources including,

- Strategic Housing Investment Plan
- Local Development Plan
- Approved housing planning applications
- Building Standards completion certificates
- Meetings updates between Housing, Education and Planning officers

16. Does your authority have a standard or variable Pupil Product Ratio (PPR) which it applies to new housing?			Response Percent	Response Total
1	Standard		64%	16
2	Variable		36%	9
			answered	25
			skipped	1

The majority of Councils (16) 64% use a standard Pupil Product Ratio and 36% (9) use a variable Pupil Product Ratio.

17. What is the Pupil Product Ratio (PPR) for new housing (houses and flats) that is applied across the local authority and how is this calculated? Include denominational and non-denominational sectors, if available.

		Response Percent	Response Total
1	Primary	91.3 %	21
2	Primary non-denominational	65.22%	15
3	Primary denominational	60.87%	14
4	Secondary	91.3%	21
5	Secondary non-denominational	65.22%	15
6	Secondary denominational	60.87%	14
		answered	23
		skipped	3

Three Councils did not respond to this particular question but of the 23 who responded 91% (20) used Primary and Secondary. 65% (15) used Primary non-denominational and Secondary non-denominational. Both Primary and Secondary denominational were used by 61% of Councils (14).

18. When was the study carried out which determined these PPRs and how often are they reviewed?

		Response Percent	Response Total
		100.00%	26
		answered	26
		skipped	0

All Councils who responded to the survey responded to this question. The vast majority of Councils review their PPRs on a regular basis, but a few are still relying on previous historical data, with two Councils referring to using the previous Strathclyde Region methodologies which go back to the 1970s.

Most Councils have reviewed PPRs regularly either on an annual basis or on a 2-3year cycle.

Benchmarking with other Councils has also been a feature of some Councils studies, which has led to revised PPRs being used in some cases. For example, an options appraisal was carried out in 2015 to determine the methodology used to calculate yields, followed up by a benchmarking exercise. In that exercise six Councils returned %s with regard to yields from new house building – e.g.

196 pupils per 443 new builds = Yield Rate of 0.44. Further benchmarking indicated that this was too high, and it was reset at 0.33.

Another example provided, included the Forward Planning Officer receiving postcode data for all new builds and completion certificates and generating Primary School and Secondary School ratios.

Age of Housing	Primary PPR	Secondary PPR
0-10	0.28	0.12
10-20	0.13	0.23
Post 20 years	0.17	0.16

- Interestingly, another Council distinguishes between Brownfield and Greenfield sites when generating PPRs and uses this as a starting point, in its Supplementary Guidance for developer contributions, as follows,

School	Brownfield	Greenfield
Nursery	4	10
Primary	27	37
Secondary	12	20

- Use of monitoring checks by the Education Service to track pupil outputs from new build developments within each catchment area, on an annual basis. This process enables the Service to review and make any necessary adjustments to other contributing factors, including net stage migration rates, stay on rates, and P7-S1 transfer rates, in order to address any variances in the outputs, as part of the rolling roll forecasting process.
- Another forecasting method includes assessing recent births per primary non-denominational catchment provided by NHS Community Health Index (CHI). An average is then taken, (normally over 5 years) of these actual births and projected forwards for all non-denominational primary schools and beyond year 5 (when births are not known) the Council totals are compared against National Records of Scotland projected future births. An adjustment factor is then applied to all schools to make sure the values are closely matched at P1, P2-P7, S1 and S2-S4 stages (4 categories).

19. What is the Council’s policy regarding out-of-catchment placing requests (OCPR) and how are OCPRs factored into school projections?

	Response Percent	Response Total
	100.00%	25
	answered	25
	skipped	1

25 out of 26 Councils responded to this question and provided insights in to how OCPRs are handled in each Council, as summarised below,

- Placing requests are usually accepted subject to availability and capacity
- Two Councils confirmed that they determine OCPRs on a case-by-case basis
- Five Councils set out the legal position as it is set out in the Education (Scotland) Act 1980 Section 28 (A)(3) confirming that it is not legally possible to refuse placing requests unless there are immediate capacity problems arising. The process includes a right of appeal
- Several Councils submitted their detailed procedures for dealing with placing requests and provided web links set out below,

www.pkc.gov.uk/media/10347/A-guide-for-parents-carers-and-young-persons-on-Placing-Requests/pdf/2016883_placing_request_guide_CLIENT.pdf?m=636271540239830000

www.inverclyde.gov.uk/education-and-learning/schools/placing-requests

<http://publications.aberdeenshire.gov.uk/dataset/b9bb8c35-50b7-401e-a7e3-30833f69cc73/resource>

- One Council has devised a two -step process. Firstly, it considers one set of projections on the impact of placing requests going forward. The number of placing requests is included for each year equal to the average number of the balance of placing requests into and out of the school in the previous three years. The second set of roll projections includes the impact of pupils currently in attendance as the result of a successful placing request. They do, however, exclude the impact of any future placing requests on the school roll going forward.

It is helpful to note that seven Councils confirmed that placing request data is included as part of the school roll projection process, elaborated below in the responses to Question 20.

One Council does not factor Placing Requests into school projections. Many of the Council’s schools attract a significant number of placing requests but in terms of

planning for catchment demand they are not added into projections going forward. Any remaining places for placing requests considered with statutory guidance based on the availability of places at that time for that year stage at school. Specific policy published.

20. Do you factor in OCPRs into roll projections?				
			Response Percent	Response Total
1	Yes	<div style="width: 95.83%; height: 15px; background-color: red;"></div>	95.83%	23
2	No	<div style="width: 4.17%; height: 15px; background-color: yellow;"></div>	4.17 %	1
			answered	24

95% of the Councils which responded (23) confirmed that they did factor in OCPRs into their school roll projections and only one Council confirmed that it does not factor OCPRs into roll projections.

21. How do you consider any split catchments and cross boundaries considered as part of the school roll projections.				
			Response Percent	Response Total
1	Historic Trends	<div style="width: 62.5%; height: 15px; background-color: red;"></div>	62.5%	15
2	Other (please specify):	<div style="width: 37.5%; height: 15px; background-color: yellow;"></div>	37.5%	9

24 Councils responded and 15 (62.5%) confirmed that they use historic trends to consider any split catchments and cross-boundaries in devising school roll projections.

Under the “other” category nine Councils provided explanations of their approach, summarised as follows,

- Three Councils have no split catchment areas:
- Included as part of the analysis and part of the overall calculation:
- Agreements were made at the time of Local Government re-organisation:
- One Council has no cross-boundary catchments
- One Council has two Primary Schools where the catchment is split between two High School catchment areas. It calculates the number of children in the catchment area then allocates them to a school, based on recent trends of parental choice.

- Where a Primary School sits across two catchment areas our Council assess the proportion of the Primary School catchment area with each Secondary School based on the number of residential addresses.
- The Council tends to attract inward placing requests from other Council areas and also migration into the authority from other areas. We have very minimal split catchment concerns and in terms of primary to secondary transfer only one Primary School is associated with two Secondary schools and past trends are used when looking at projections.

22. Please provide any other comments/suggestions/issues faced in relation to undertaking school roll projections.		
	Response Percent	Response Total
1	100.00%	13
	answered	13
	skipped	13

13 Scottish Councils responded to this open question and provided some useful insights into the key issues being faced by Councils when undertaking school roll projections. The responses are summarised below,

- Lots of local movement makes it difficult to quantify and project rolls
- Above pupil yield has proved to be correct for many of our new housing developments but many pupils are not ‘new” to the school so there is too much double-counting
- There is a need to develop a method to use population predictions to inform rolls as primary school catchments are at such a small scale
- Data calculation and input is very resource intensive
- Our main concern is the second-hand housing market which is an unknown factor with regards to the trends of migration into the area
- We use both standard and variable PPRs, but we also have flexibility built in to allow variables based on local intelligence
- **A standardised tool for doing projections would be beneficial**
- There is a common misconception that the new build child/house ratios calculate the cumulative total number of pupils that arise from a new housing development over the entire period and beyond but that is not the case. They must not be used on their own to calculate the total number of primary and secondary aged pupils projected for a new development over time.

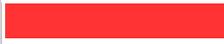
What we do is to firstly calculate the additional new pupils each year and pupil migration in and out of areas and then model through the annual net stage migration rates, projected new P1 intake, Secondary S4-S5 and S5-S6 stay on rates and P7-S1 transfer rates

- **There is a lack of national guidance or user groups to share best practice**
- As our work is based on assumptions and projections the model has to be heavily caveated
- There is potential for large variations in the projections, even over relatively short periods. There are many reasons for this including parental choice, new or delayed proposed housing, and changes to national population projections
- NRS describes the risks of projecting the number of young people in small areas over long periods of time and that is exactly what school roll projections are trying to do
- School estate impacts can only really be assessed at the time the planning application is being determined
- **The Housing Land Audit is an essential document for the school roll projections modelling and is the only document that provides the level of detail required to assess the impact of proposed housing on the school estate. It is updated annually and reviewed by planners and representatives from the housebuilding industry and Homes for Scotland**
- The accuracy of the forecasts is always subject to the decisions that individual families make
- We use a robust model with roll projections comparable to census data.

4. Determining the Impact of Development on Education Infrastructure (Impact Assessments) – Questions 23-31

23. Is the methodology published and in the public domain?				
			Response Percent	Response Total
1	Yes		52%	13
1	Yes		53.85%	14
2	No		46.15%	12
If yes, can you provide a link to this methodology and assumptions adopted? (17)				
			answered	26
			skipped	0

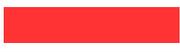
The Council responses to this question were relatively evenly split with 54% of respondents (14) confirming that they had published their methodology and 46% (12) who did not publish it.

24. How often is this reviewed and re-published?				
			Response Percent	Response Total
1	Annually		26.32%	5
2	Every 2 years		5.26%	1
3	Every 3-5 years		21.05%	4
4	Less often		15.79%	3
5	Alongside the Development Plan in Supplementary Guidance		31.58%	6
			answered	19
			skipped	7

There are a range of mixed responses to this question, with 26% (5) publishing annually and a further 31% publishing methodology alongside the Development Plan in Supplementary Guidance. 21% publish between 3-5 years, 5% every 2 years and 16% (3) publish less often than that.

25. Does the impact assessment methodology factor in the planning requirements set out by the following tests in Circular 3/2012. These tests require a planning obligation to: Be necessary to make the proposed development acceptable in planning terms; Serve a planning purpose and, where it is possible to identify infrastructure provision requirements in advance, should relate to development plans; Relate to the development, either as a direct consequence of the development or arising from the cumulative impact of development in the area; Fairly and reasonably relate in scale and kind to the proposed development; Be reasonable in all other respects.



			Response Percent	Response Total
1	Yes		86.36%	19
2	No		13.64 %	3
If no, please explain further (6)				
			answered	22
			skipped	4

86% of respondents (19 Councils) confirmed that their Impact Assessment Methodology factored in the tests set out in Circular 3/2012⁵. Three Councils (14%) confirmed that their methodology did not factor in the tests.

Six Councils submitted comments in support of their response:

- Developer contributions collected, relate to identified projects as set out in the adopted local development plan and supplementary guidance. The allocation of development opportunity sites and the potential for windfall sites would have been taken into consideration and informed the identification of the specific projects that are set out in the current adopted LDP. The projects do not specifically relate to education provision although this is being reviewed as part of the preparation of the next LDP. LDP's have a 5-year plan period.
- No formal impact assessments are undertaken. The Housing Land Audit is shared with Education each year to inform projections. At LDP preparation stage, proposed allocations are shared with Education Service for inclusion in the projections.
- The SEIA itself does not refer to the Circular 3/2012 tests but the Planning Obligations Guidance does. The SEIA responses are framed in the context of the Circular's tests and Planning will discuss with Education Service/Property

⁵ Planning Circular 3/2012 – Planning Obligations and Good Neighbour Agreements, December 2012

Services if there are any potential conflicts or risks associated with not meeting the terms of Circular 3/2012.

- Limited development of scale and therefore developer contributions are not sought from housing developments.
- Methodology purely looks at school capacity.
- Not applicable to our Council.

26. How did you undertake the impact assessment to test the implications on education infrastructure arising from adopting the development strategy promoted in the current adopted development plan and what challenges did you face at this level?

	Response Percent	Response Total
	100.00%	23
	answered	23
	skipped	3

This is quite a complex question, but 23 Councils provided responses illustrating the use of Supplementary Guidance and how the LDP process is included. 3 other processes and procedures were also identified, under Supplementary Guidance, Local Development Plan and Other factors and these are summarised below,

Supplementary Guidance

- Detailed information is set out in our Development Contributions Supplementary Planning Guidance.
The school roll forecasts, and housing land audit provide evidence for any review of the strategy. As things stand, the LDP process remains inflexible to change any element of infrastructure that needs to be delivered. That is a fundamental reason for promoting the Delivery Programme as a corporate tool to manage infrastructure provision and remain responsive to any changing implications of education infrastructure.
- Draft Supplementary Guidance: Developer Contributions Framework was prepared and published alongside the Proposed LDP in September 2016. Effectively the LDP was assessed in one single education assessment. This used the Housing Land Audit as an input and included all Proposed Plan LDP allocations to identify what the increases in school rolls would be as a result of the build out of the LDP.
- For all schools, even those presented as being unlikely to exceed 90%, the SPG provides a cost per unit and the guidance states that the costs and likelihood of contributions will be reviewed during the plan period.

Local Development Plan

- The School Roll Forecasts are tested against the LDP Action Programme, Planning and Education SG and Council Capital Programme to ensure that all education capacity issues are accounted for fully aligned in these workstreams
- Planning, Housing and Education colleagues worked closely together to consider the impact of housing allocations in the LDP on the school estate using the above methodology. If there is any capacity constraints developer know early in the process that they will be required to address any capacity deficit when preparing proposals for the site. Meetings are held monthly to consider new planning applications and review the potential impact on schools.
- When identifying development opportunity sites, particularly for housing, the LDP team analysed potential locations, projected programming of housing land being developed during a plan period in relation to school catchment areas. Liaison with the Council's Education Services in relation to school rolls and projected pupil numbers dependent on these potential sites being allocated in the LDP.
- Housing Land Supply Audit and the Council's Strategic Housing Investment Plan are utilised to inform new build completions and fed into school roll projections. Fresh projections are run when required and when new-build projections are updated. This goes for when additional housing sites were promoted via the new LDP.
- The Land Planning Policy Team consulted the Education Service at key stages during the preparation of the current adopted Local Development Plan (adopted in 2017). The assessment carried out that time was high level and concluded that there were particular issues in one Primary School, however that further work would be required to determine the full impact that the sites within the proposed plan on education provision. This work was then carried out as part of the preparation of the Developer Contributions Supplementary Planning Guidance where the expected programming of the new LDP sites was fed into the Council's roll projections. Any schools identified in the projections as being at risk of exceeding 90% capacity would be marked in the SPG as being likely to require a contribution from all qualifying housing development within its catchment. On reflection it has been advantageous for the more detailed assessment to be conducted as part of the preparation of SPG as a result of the additional development sites that were added into the Local Development Plan by the Reporter at Examination and therefore the previous work would have required re-assessment.
- The capacity of sites often changes and are developed at a different rate than originally envisaged when preparing the LDP. Also, windfall sites can emerge

during the plan period. This can impact on the projected school roll and can impact on medium to long - term projections for the school estate.

- At the Main Issues Report stage of Plan preparation, Education and Housing Services commented and reviewed all potential allocations to see the effect on the existing school provision.
- Education Service and Communities and Neighbourhood Services research teams were involved at the Main Issues Report and scenario planning stages of the LDP from 2012 to 2014. The impact assessments referred to were summarised in site assessments at the MIR stage and informed LDP preparation by identifying, at a high level, school estate capacity risks.
- It is recognised that an LDP call for sites' stage requires an assessment to be made of which sites are likely to be included in the LDP in order to manage the permutation of housing sites included in scenario testing and school roll modelling.

Other Factors

- The Impact Assessment is purely down to a number of pupils predicted to be generated from a development against the amount of pupil places currently available, taking into consideration all known residential developments in the area.
- Each application is looked at on its own merits and assessed in the context of collective pressure of it and other planning permissions/allocations in the catchment area. We have a thorough assessment methodology that has been fully tested and is fair and equitable
- Review of school roll projections and consideration of new development.
- Proposed new allocations shared with Education and projections created including these to highlight potential capacity issues. One challenge included that Education projections run to 10 years and impact of some allocations (existing and new) run beyond that. Also an issue with optimism bias in new build projections possibly indicating capacity issues at schools.
- The next step was then to calculate the scales of new schools and school extensions required that could accommodate these rolls. If they were considered deliverable, then the costs of the extension associated with the new LDP development was the split across the appropriate LDP catchment sites.

Process also identified that some sites could not be supported in the LDP because the roll projection breached the school capacity, but the school could not physically be extended.

To undertake this requires a significant corporate involvement of planning, education, finance and capital assets. The timescales are also significant both for undertaking the roll projections and then identify bespoke solutions for individual schools. This front loading of infrastructure demand testing and assessment does not always fit with the demand to produce LDPs in short timescales.

A key challenge is that often the simplest or lowest cost solution is not the one most suitable for education purposes.

All housing development is included in the school roll projections for the school in which catchment it is located. Where the roll projections show that the school's current capacity will be breached, a mitigation solution is investigated. This can be in the form of an extension, or the school roll can be managed through the acceptance of fewer placing requests. Where a development is particularly large, a new school may need to be built.

- Education and Planning officers jointly look at the proposed sites and the future availability of school capacity across the Council area. Identified areas where additional education infrastructure would be required and develop plans for school extensions and new schools.

27. What area did you undertake the impact assessment for the development strategy promoted in the current adopted development plan?					
			Response Percent	Response Total	
1	All existing School catchment areas only	<div style="width: 85.71%; height: 15px; background-color: red;"></div>	85.71%	18	
2	Other areas defined	<div style="width: 14.29%; height: 15px; background-color: yellow;"></div>	14.29%	3	
If other areas were adopted, please explain (8)					

86% of Councils responses (18) confirmed that they used all existing catchment areas and 14% (3 Councils) used other defined areas.

The other defined areas used by Councils included,

- New, significant growth areas
- Level of each individual school
- When new housing developments impact on more than one catchment area we use a larger area
- The entire Council area is considered and compared with existing catchments and known capacities
- The full LDP strategy was assessed. In the case of the adopted LDP this resulted in the requirement for new schools and catchment reviews.

28. Does the Council have a published protocol for considering mitigation measures? Such as: Utilising existing capacity at school; Managing/preventing out-of-catchment placing requests; Considering school extension; Considering school catchment reviews if capacity exists in neighbouring schools Promoting new schools Reconfigure existing school



			Response Percent	Response Total
1	Yes		36.36%	8
2	No		63.64%	14
Which of the above mitigation measures would be considered by your council? (19)				
			answered	22
			skipped	4

22 Councils responded to this question and 14 Councils (64%) do not have a published protocol for considering mitigation measures, whereas 36% (8) of Councils publish a protocol.

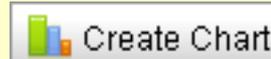
29. Are school roll projections used in calculating the education impact of new development?



			Response Percent	Response Total
1	Yes		88.46%	23
2	No		11.54%	3
If yes, where is this available for public review and how often is it published? Can you provide a link to this methodology and the assumptions adopted? (20)				

This question attracted a full response rate from all 26 Councils. The vast majority of Councils, (23) representing 88% of respondents, confirmed that they use school roll projections when calculating the education impact of new development. Only three Councils (12%) stated that they did not use school rolls.

30. Do the school roll projections seek to differentiate between demographic trends and pupils from housing led growth for the purposes of impact assessments?



			Response Percent	Response Total
1	Yes	<div style="width: 38.1%; background-color: red;"></div>	38.1%	8
2	No	<div style="width: 61.9%; background-color: yellow;"></div>	61.9%	13
			answered	21
			skipped	5

21 Councils answered this question and 38% of them (8) confirmed that school rolls did **not** differentiate between demographic trends and pupils from housing led growth for the purposes of Impact Assessments. On the other hand, thirteen Councils (62%) do use school roll projections for this purpose.

31. Please provide any other comments/suggestions/issues faced in relation to undertaking impact assessments.

			Response Percent	Response Total
			100.00%	10
			answered	10
			skipped	16

Ten Councils responded to this open question and a summary of their comments is set out below,

- In certain areas within the authority historical data shows that demographic trends are outwith the Local Authority norms. In these areas we would anticipate that new build housing will impact these trends and that they are likely to move towards the Local Authority norm.
- There is the potential impact of additional sites being allocated in the LDP by the Reporter at Examination.
- Roll projections for assessing the impact of housing growth are heavily reliant on housebuilding phasing data. If the phasing changes over time, then the roll projections will also change. It is therefore difficult to analyse the change in roll projections over time, particularly in comparing actual rolls.
- Against older projections for those years when the housing completion figures achieved may be significantly different than the estimates used in the projections.

- The current condition and suitability of existing buildings has also to be taken into account i.e., is it feasible to extend these buildings, particularly those older schools which may be in a poor condition. Also, it may not be practical to extend smaller schools multiple times, as it may not be possible to extend the core facilities of the original school building despite being able to add additional classrooms.
- The issue we have is localised, possibly only affecting one school, and development rates within the catchment are uncertain. Educational requirements could impact on the viability of sites, thus, to date the Council has not had a formal educational requirement position.
- It should be recognised that the capacity is constantly fluctuating; consequently, the outcome of an impact assessment on a school at a point in time can change as a result of changes in circumstances – the input variables. Education Service works closely with Planning and Property Services to find practical solutions whenever possible to support development agreed in the Development Plan while having due regard to the educational risks and benefits of the proposed mitigation and compliance with Government guidance on primary school capacity.
- Projections can only provide an indication of whether there is likely to be a capacity issue or not. It is essential that sufficient infrastructure can be provided to mitigate the impact of all the additional pupils anticipated to be generated by new development, a sole reliance on school roll projections may underestimate this impact. Our Council uses an Education Appraisal to take account of all information available when assessing what additional infrastructure is required to mitigate the impact of housing led growth.

Projections should only be used with caution for the purposes of calculating the education impact of new development as they can only provide a guide to future school pressures. They, along with capacity figures, are an early warning system which are designed to prompt closer investigation of a potential accommodation issue. They are based on rolling forward known historic data such as catchment populations, patterns of attendance and birth trends and are updated annually to ensure they are produced based on the best available information. However, a projection is a snapshot from a point in time. A single projection cannot take account of changes in trends such as that within the birth rate because it is simply projecting forward what has happened in the past. Accordingly, projections are also susceptible to future changes in patterns of attendance which may be driven by any number of factors such as public perception of a school or the popularity of neighbouring schools. They cannot take account of changes in the choices people make about attendance of Roman Catholic schools or Gaelic Medium Education. They cannot account for changes in Council or Government education policy or changes in financial circumstances which might, for example, result in changes in the percentages of pupils attending the independent sector. Therefore, projections may be subject to change, and the further out projections extend, the less reliable they are likely to become

- A tendency has been noticed for developers of windfall sites to prefer not to include the cumulative impacts of already allocated but not yet constructed

housing sites. This undermines the plan led system and leads to allocated housing sites being unable to progress because of lack of capacity which has been used by windfall sites.

- Roll projections are static (no migration assumed) but the impact of new residential development is separately factored in. The department's projections shadow actual census data. Locally the impact of placing requests adds a complication to the data with demographic trends. The impact of new residential development is easier to forecast. The Council would be interested in any finer demographic analysis to help further refine our models.

5. Funding Mitigation Requirements- Questions 32-47

32. Do you publish your methodology for calculating contributions?				
			Response Percent	Response Total
1	Yes		65.38%	17
2	No		34.62%	9
			answered	26
			skipped	0

17 Councils (65%) confirmed that they do publish their methodology for calculating developer contributions whilst nine Councils representing 35% of Councils surveyed do not publish their methodology. Some responses are noted below:

- We currently take the approach, through the current LDP, of not requiring developer contributions, including for education. This is in part designed to encourage private sector housebuilding in our area which has not recovered post-recession and to increase local population. Where potential capacity issues have been identified the LDP requires an “Education Contribution Assessment” to be carried out at the time of any planning application. This will determine what mitigation and contribution will be required
- When a school reaches 90% capacity based on the current School Roll Forecast, developer obligations will be required towards a mitigation measure, which could be reconfiguration, permanent extension, new build school or rezoning.
- The Delivery Programme is an increasingly important tool for the Council and partners to take a more proactive approach to identify, manage, monitor and implement the infrastructure, including education, needed to support development and in creating cohesive communities. We are working towards setting out a framework which will be agreed and embedded across the relevant Council services.
When the Supplementary Guidance was first adopted the Development Plans team presented a comprehensive commentary on the level of contributions necessary for applications for 4 or more units. However, this proved to be too onerous due to the number of applications and we typically now provide only a summary table. Interested parties can scrutinise the general methodology/protocol which is set out in the Supplementary Guidance and the school roll forecasts which are published online.

- Developer Contributions are linked to identified settlement projects which relate to public realm improvements and green infrastructure improvements. Funds are not directed towards education provision. The local Planning Authority are however reviewing the current approach to developer contributions
- Primary Education
The area tables identify the anticipated required mitigation per unit according to the relevant school catchment area.
 $\text{No of Units} \times \text{£Cost per unit for relevant catchment} = \text{Contribution}$.
The pupil product ratio (number of pupils anticipated from a new housing unit) for primary education provision is 0.23 pupils.
- Secondary Education
The area tables identify the anticipated required mitigation per school catchment area per unit.
The required contribution is identified on a per unit basis therefore: $\text{No of Units} \times \text{£Cost per unit for relevant catchment} = \text{Contribution}$. The pupil product ratio (number of pupils anticipated from a new housing unit) for secondary education provision is 0.17 pupils.
- Planning Obligations are governed primarily by Policies 1 and 4 in the adopted Local Development Plan 2017 (LDP). Non-statutory guidance, Planning Obligations Framework guidance (December 2017) maintains the same basic methodologies for the collection of education, transportation, greenspace, and public art however revisions are to be undertaken periodically to reflect practical issues with application of the guidance and to ensure that cost indices or approaches remain up to date.

In relation to new housing development, where obligations are necessary to mitigate the impacts of development, this will take the form of either direct school and nursery provision or financial contributions towards the cost of creating additional capacity for increased pupil numbers.

School Estate Impact Assessments are prepared to assess the impact of development on the school estate which is a consideration in calculating related planning obligations. These consider impact on the catchment school and whether there is a need to increase capacity in the school estate. The outcome of the Education Estate Assessment is an understanding of where school capacity is expected to be breached and whether the responsibility lies with the Council or the development industry to address the capacity deficiency.

- Limited development of scale and developer contributions not sought from housing developments.

- Mitigation is sought from all residential development where the primary and/or secondary school roll cumulatively along with other identified development is projected to exceed 100% of the published school capacity in the 5 years following the submission of a planning application for housing. A baseline figure is taken with all housing removed from the school roll, then factored back in together with the proposed development to calculate the number of pupils generated from that particular development. The number of pupils is then averaged out over a 5-year period.

The required additional capacity will be provided by the most appropriate method by either a permanent extension, reconfiguration of the existing building to provide additional classroom space or through the erection of a new build school. These separate methods have differing associated costs therefore separate rates are applied. – Example:

Academy X

Housing Line Zero (number of pupils over capacity)

8 47 34 68 99

Housing Line with all other Development Factored in including a proposal of 48 new houses

34 92 90 124 147

Difference

26 45 56 56 48

2020: 10 new houses/115 (total number of houses) x 26 = 2.34 (pupils)

2021: 10 new houses/92 (total number of houses) x 45 = 4.95 (pupils)

2022: 10 new houses/65 (total number of houses) x 56 = 8.96 (pupils)

2023: 9 new houses/31 (total number of houses) /56 = 16.24 (pupils)

2024: 9 new houses/18 (total number of houses) x 48 = 24.00 (pupils)

Total: 56.49/5 (5 year projection period) = 11.30 (average number of pupils over capacity)

11.3 x mitigation rate = figure

Contributions towards rezoning only apply to single developments where rezoning is required purely as a result of the number of pupils generated by that development. The rate is based upon the consultation costs of the rezoning exercise.

Contributions relating to applications for Full Planning Permission and Matters Specified in Conditions are calculated using Standard House Unit Equivalents. This shall ensure that contributions are proportionate and related in scale and kind to the development proposed.

Where the phasing of development increases the build out period beyond 5 years, contributions for the extended period of development and remaining housing units shall be calculated using the following formula:

Number of Houses Remaining x Relevant Pupil Product Ratio X Rate of Mitigation

For larger developments, where the development as a whole or as part of a masterplan, generates the need for a new school, the developer will be

required to reserve and provide an appropriate sized area of land for a school based on the following:

Secondary School:

26 acres (10.5 hectares) (based on a 1,200-place community school) The area of land required for secondary school provision is dependent upon the capacity of the proposed school.

- The appropriate PPR is applied to the number of unbuilt units with planning permission within the catchment area of each school. Then added to existing 2018 school roll to provide base numbers. We also use the notional number of units without planning permission based on the HLA. The number of pupils above the 90% trigger point for each primary school and 85% for each secondary school is calculated. For each school the number of pupils for which contributions are required will be multiplied by the cost per pupil for adding additional capacity. This provides the total cost for additional accommodation per school. The total cost for each school is divided by the notional number of properties programmed up to 2025 giving a cost per residential unit for each of the 4 school types – primary and secondary denominational and non-denominational.

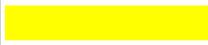
33. What is published date of the current supplementary guidance used to calculate developer contributions?

	Response Percent	Response Total
	100.00%	16
	answered	16
	skipped	10

16/10/2019
01/03/2018
01/11/2018
01/07/2020
01/08/2018
08/03/2019
18/02/2019
06/12/2017
01/08/2018
01/10/2013
15/04/2015

01/04/2017
10/12/2018
06/03/2012
25/06/2020

16 Councils responded to this question to provide the date of the current supplementary guidance. The majority of dates are within the last few years, but the range is 2012-2020.

34. Is the developer contribution based on a standard charging rate such as price per unit or price per pupil?			Response Percent	Response Total
1	Yes		61.9%	13
2	No		38.1%	8
If yes, what is the standard charging rate per unit or pupil? (14)				
			answered	21
			skipped	5

62% of the Councils who responded confirmed that the developer contribution they use is based on a standard charging rate. 15 Councils submitted detailed comments to support their response.

- Based on a flat rate price per unit E.g., 2+ bedroom house = £5164
- Developer contributions are broken down into a cost per unit. This is variable depending on the impact the development has on the local education provision and the mitigation
- The service uses a number of standard charging rates depending on the impact of the development in the school estate and solution required to increase capacity at individual establishments. The rate will also differ for PPP schools and non- PPP schools
- The standard rates are per SRUE, which is a Standard Sized Residential Unit and varies depending on the number of bedrooms the dwelling has (E.g., 3 bed= 1 SRUE).
 Reconfiguration: £1,619 per SRUE for primary school
 £1,619 per SRUE for secondary school
 Permanent extension: £4,049 per m2 (£10,031 per SRUE) for primary school
 £2,904 per m2 (£4,840 per SRUE) for secondary school
 New School: £7,897 per SRUE for primary school
 £4,566 per SRUE for secondary school

Rezoning: £1,276 per SRUE for primary school
£638 per SRUE for secondary school

- Price per house/flat unit and with discounted rates for 1-3 units
- The developer contribution is based on a standard charge for each affected school. The charge is informed by a standard PPR which is used across the Council area but is different for every school because it reflects the differing proportions of children who attend denominational and non-denominational schools in the different parts of the Council area. However, if contributions were required for all 4 potential schools, i.e., denominational and non-denominational at both primary and secondary level, the contributions would add up to the same total value. However, please note that it is very unlikely that contributions are sought for all four schools and therefore developers do typically pay differing amounts for different developments. Please also note that the Council applies a calculation to the figure based on the number of bedrooms proposed in each housing unit to ensure that the contribution is proportionate and does not discourage the development of smaller homes

- **Primary**

New Build Provision: £6,802 per unit

New build provision may include the development of an additional school, replacement school which includes additional capacity or new build nursery provision to free up capacity at a school.

Secondary

Extensions: £6,041 per unit

Reconfiguration £4,530 per unit

Rezoning: Case by case basis

Extensions: £6,802 per unit

Extensions normally include the development of additional classroom space and changes to some minor core facilities such as toilets etc.

The cost of an extension is very much dependent on the nature of the extension and site characteristics such as topography.

Reconfiguration: £5,108 per unit

Reconfiguration works are likely to involve internal works to a school to create additional capacity, for example altering the use of a room within the school or alterations to provide additional teaching space.

Rezoning: Case by case basis

- Calculation is arrived at based on a per unit contribution for a 3-bedroom house. This is the average cost that a development in the catchment or catchments will pay per house. Should houses be built with bedroom numbers higher or lower than the 3-bedroom average, the cost per house will rise or fall relative to the ratio set out in the guidance (Planning Obligations Guidance 2017 figure 8 page 19). Otherwise, the standard rate is calculated per the formula above.

- Our standing charge rate is variable depending on how many pupil's over-capacity the development makes the school

- **Cost Per Pupil Primary Education**

Type of Mitigation	Cost per Pupil
New Build (232 - 462).	£21,375.00
New Build (463+ Capacity).	£18,525.00
Permanent Extension.	£18,525.00
Reconfiguration.	£7,833.00
Rezoning	£3,820.00

Cost Per Pupil Secondary Education

Type of Mitigation	Cost per Pupil
New Build (801-1200)	£26,147.00
New Build (1200+ Capacity)	£23,770.00
Permanent Extension	£23,770.00
Reconfiguration	£10,444.00
Rezoning	£3,820.00

- Greenfield Housing: £4,989.68 per house (index linked from March 2017)
For Primary School Only
- Brownfield Housing (Selected area only): £4098.24 per house (index linked from March 2017) for specific Primary School Only
- Cost per pupil to be used in the cumulative calculations is
 - Primary Capacity Improvement - £14,567
 - Primary New Build - £27,100
 - Secondary Capacity Improvement - £14,567
 - Secondary New Build - £25,056
 - Additional Support Needs School Capacity Enhancements - £14,567
 - Additional Support Needs School New Build- Assessed on a case- by- case basis.

35. Is affordable housing exempt from contributions?				
			Response Percent	Response Total
1	Yes		50%	11
2	No		50%	11
			answered	22
			skipped	4

The survey results are evenly split on exempting affordable housing contributions. Of the 22 Councils who responded to this question 50% (11) do **not** exempt affordable

housing developments from developer contributions, and 11 Councils (50%) **do** exempt affordable housing developments.

36. Are windfall sites factored into the impact assessments?			Response Percent	Response Total
1	Yes		52.63%	10
2	No		47.37%	9
Can you provide an example of how this is done? (16)				
			answered	19
			skipped	7

19 Councils responded to Question 36 and 7 Councils provided no response. The 19 Council responses are split fairly evenly on whether windfall sites are factored into the Impact Assessments, with 53% including windfall sites and 47% not including windfall sites. 17 Councils followed up on their response by providing supporting information or an explanation of their approach to windfall sites.

- A 10% allowance for windfall sites is used when projecting the impact of future development.
- Whether windfall sites are factored into the impact assessment will depend upon the scale of the sites and the capacity of the schools within the relevant catchment. Impact of development on the relevant schools will be re-assessed as and when the windfall site arises.
- Windfall sites are considered on an ad hoc basis as and when planning applications are submitted. The Service considers the impact of windfall sites on the school estate alongside the cumulative impact of other known developments in the area. A determination will then be made regarding the impact of this and if there is a requirement for a Developer Contribution to help mitigate the impact on the local school estate.
- We identify an assumed amount of windfall development for each catchment based on past trends.
- No. Potential windfall is not taken into account at early projections planning stage. Although windfall development does provide a boost to the supply of housing land in our area, previous windfall developments have tended to be fairly modest in scale and roughly only compensate for sites that get removed from the Housing Land Audit due to inactivity or where expected programming has been delayed.
- A local development plan sets out a housing supply target and allocates housing sites in relation to this target. On top of this, and in line with Scottish

Government planning policy, the Plan sets out a ‘generosity allowance’ of between 10 and 20% which will allow for a specific percentage of new residential units potentially being developed above the housing supply target set. Together the target number and generosity allowance percentage set inform the housing land requirement. This requirement can be met from established land supply as sites are become effective.

- No, but monthly meetings between planning and education colleagues will consider any knowledge of windfall sites.
- The council does not take windfall sites into account when calculating housing land supply requirements
- If not allocated or factored into the SRF, they are added into the housing line to determine the capacity and then the average over capacity is assessed based on the proposed windfall development.
- The supplementary guidance is concerned with allocated sites only and notes that Windfall developments are to be individually assessed and may have contributions for both Primary and Secondary School applied.
- Windfall sites are to be expected but are a minor contributor.
Equally some allocated housing sites are developed as exempt / discounted units for education contributions owing to size, elderly accommodation etc.

The Contribution Rates assume that these two factors approximately balance each other and allow the rate to be calculated based on allocated sites.

Where major windfall sites come forward these will be included in future rate recalculations ensuring no development overpays.

- Windfall sites are not generally known about when impact assessments are done. These sites are nevertheless required to make their proportionate share of contribution to the cost of additional infrastructure required.
- Only once sites have planning permission and appear in the Housing Land Audit are they included.

37. Is the contribution sought linked to impact assessments for individual applications?				
			Response Percent	Response Total
1	Yes		66.67%	14
2	No		33.33%	7
			answered	21
			skipped	5

21 Councils did respond to this question and 67% of them (14) confirmed that the level of contribution sought was linked to impact assessments for individual planning applications, and 33% of Councils did not link contributions to individual applications.

38. Can you provide details of how long term/strategic site assessments are undertaken in relation to development planning?

	Response Percent	Response Total
	100.00%	19
	answered	19
	skipped	7

19 Scottish Councils responded to this question (73%) and the detailed comments submitted are summarised below:

- Sites identified through master planning exercises for significant areas of growth.
- Early in the plan making process the school roll forecasts and housing land audit provide evidence for the review of the spatial strategy and to help steer development of the most suitable locations. This includes making the most of the existing education assets and promoting new and extended ones where necessary.
This carries through to the decision- making process – E.g. we have sought to identify the impact of the long term/strategic development sites (i.e., built out beyond the school roll forecasting period of 15 years) and included necessary requirements for education infrastructure within the S75s (. The Delivery Programme will also include the necessary long-term impacts where they are known.
- Projections currently take into account 5 to 7 -year housing programming only.
- Whether contributions are to be collected is based on whether the proposal is for 4 or more houses or a retail or commercial leisure development of 1000sq metres or more.
- As part of the preparation of the new LDP the LDP team will work on a regular basis with the Council’s Education Services when determining the identification of sites for future housing development. In addition, a representative of the Council’s Education Services sits on the LDP member / officer working group.
- As windfall sites are unknown, they cannot be factored into the roll projections assessment that was undertaken for the LDP. However, we do carry out separate roll projections for windfall sites on a case-by -case basis when planning applications are submitted or as part of pre-application consultation.
- As part of the LDP site assessment process, education capacity and mitigation are the constraints that are assessed at an early stage. This allows us to identify what, if any, mitigations are required within each catchment to cope with potential development sites and this is taken on a cumulative basis with all proposed and existing sites taken account of.

- All housing sites are subject to a planning assessment and SEA assessment when preparing the LDP. The planning assessment includes consideration of the potential impact on school capacity as set-out above. If a contribution is required, this would be discussed with the developer early in the plan making process and the Council would consider whether the sites/development proposals that are able to address education capacity constraints would be included in the LDP.

The assessment is then used to inform an education infrastructure capacity plan which identifies schools with a capacity of over 90% during the period of the LDP.

- The preparation of the Development Plan currently occurs on a cyclical basis with LDP preparation generally occurring every 3-4 years. Long term infrastructure planning is therefore provided for currently via strategic development plans and through the consequential review or adoption of LDPs.

Beyond this spatial work, the Local Outcome Improvement Plan (LOIP) and associated education strategies will provide a long-term framework for the provision of community facilities which include education

- This is completed in conjunction with the Local Development Plan process
- The Council has prepared a replacement Local Development Plan which is currently undergoing examination. The proposed plan identifies a relatively small increase in housing land supply requirements through the release of a small number of sites. Education Resources were consulted on the proposed plan and are aware of the scale and location of these proposals. The adopted Local Development Plan identifies a number of Community Growth Areas which are residential led. Development proposals in two of the CGAs require to include new primary school provision which is based on discussion during the preparation of the LDP with Education
- We can only determine this up to 5 years with review clauses factored in
- Education is a key factor in ensuring that development planning sites are sustainable and availability of existing infrastructure / feasibility of new infrastructure is a key part of site assessments in the LDP.
- Well in advance of a new development plan being developed Planning Officers undertake a review of potential sites and liaise with Education on the possible education infrastructure requirements.
- Through the Local Development Plan site allocation process and the Annual Housing Land Audit, planning and education officers work closely to consider that programming of sites and the specific sites requirements to meet the educational need.
- Contributions are based on the cumulative impact of all developments impacting on the particular school/s. They will normally be assessed over a 10 - year period but this can be extended if required
- Roll projections are used, with known housing commitments, to model capacity pressures alongside underlying demographics. Where capacity risks are identified a developer contribution towards mitigating this (usually by means of an extension) is required.

- At the initial stages of any new LDP the proposed development strategy is tested against existing infrastructure including the existing education estate to determine the likely impacts. Long term programming of development is also carried out via the annual Housing Land Audit which is factored into both education projections and contribution calculations.

39. Does the authority work together corporately to assess the impact of new developments on the school estate?				
			Response Percent	Response Total
1	Yes		100.00%	24
2	No		0.00%	0
			answered	24
			skipped	2

100% of the Councils who responded to this particular question (24) confirmed that they do work corporately when assessing the impact of new developments on the school estate. 2 Councils did not respond to the question.

40. What best describes the level of collaborative work between planning and education on these issues?				
			Response Percent	Response Total
1	High level of collaboration - Very positive		52%	13
2	Good degree of collaboration - Quite positive		36%	9
3	Some collaboration - Inconclusive		4%	1
4	Little collaboration - Lack of consistent joint working		8%	2
			answered	25
			skipped	1

52% of the Councils who responded confirmed that there was a high level of collaboration work between planning and education services on these issues and they rated the level of collaboration as very positive.

Nine Councils rated the collaboration as quite positive, and three felt that it was either inconclusive or there was a lack of consistent joint working.

41. How is the cost of mitigation assessed?				
			Response Percent	Response Total
1	Standard charging rate for additional primary and secondary pupils from new housing expressed as an accommodation cost for each pupil		26.09%	6
2	Standard capital cost for different sizes of extensions and cost of new schools		17.39%	4
3	Feasibility study to assess proposed mitigation costs at individual schools		21.74%	5
4	Other (please specify):		34.78%	8
			answered	23
			skipped	3

23 Councils responded to this question with 26% (6) using a standard charging rate, expressed as an accommodation cost for each pupil, 22% (5) using a feasibility study, and 17% (4) utilising a standard capital cost for different sizes of extension and cost of new schools. 35% of Councils (8) used other methods which are specified in more detail below.

In terms of current developer contributions LDP policy framework.

Costs are per SRUE, Standard Size Residential Unit and varies depending on the number of bedrooms the dwelling has e.g., 3 bed

For LDP and DCF, extensions were costed using SFT metric based on floor space scale of extension and any alterations that were estimated to be required. Contributions for new schools were calculated using SFT metric applied to pupil capacity ratios e.g., 6.5m² per primary pupil at £

To date, the Council has not sought (not had to seek) contributions from developers towards education. Development rates have been low. If an approach was to be adopted, we would initially consider taking the cost of the

likely intervention (less any council capital contribution) and spread this across all of the units contributing to the requirement,

Fife Council has produced a cost ready reckoner document to provide high level costing information for our projects. The costs are based on a mixture of Scottish Future Trust metrics and data from recently completed reports.

Cost mitigation on individual projects is achieved by carrying out feasibility studies which identify any abnormalities on the project. Cost risk is reduced by having a full understanding of site conditions/services/planning issues.

Fife Council is expected to comply with Scottish Futures Trust metric costs and areas; these form the basis of our cost plans. Added to this cost plan is an allowance for information technology (IT) infrastructure, demolition, and any abnormalities to the particular site.

Costs are based on indices at a specified point in time [quarter] of [year] and based on costs from similar recent projects. Part 3 of the SEIA identifies if costs include information technology infrastructure and site investigation/topographical/site services information, and that assumptions are based on previous comparable school projects. No decant costs are allowed in the costs. No site purchase costs are included.

Standard charging rate for additional primary pupils from new housing expressed as an accommodation cost for each house built.

Starting point is the Scottish Future Trust's Metric.

42. How is proportionality calculated if the mitigation measure is a consequence of multiple housing developments?

	Response Percent		Response Total
	100.00%	20	

The cumulative impact of developments on a particular school are assessed and any mitigating costs E.g., extension, reconfiguration, new school etc. The costs are proportioned based on the number of units in each development. Developments which had prior approval are not included in the proportionality calculation.

Pro-rata cost per unit is based on number of pupils generated by the development.

Each application is assessed to determine the impact of that particular development on the school estate. Where there is the requirement for a contribution as the result of the cumulative impact of housing developments in the local area each development would be liable for a contribution based on the anticipated pupil product from the development and the impact of that on the local schools.

Developments are only required to contribute towards the pupils that their development generates.

It varies from case to case and there the Council can face challenges in setting consistent contributions in circumstances where there are multiple housing developments. In all cases there is a need for developer contributions where the SRF highlights a capacity issue. There have been instances where school sites have been secured alongside contributions.

This is the purpose of having a standard charging rate so that the costs are consistent across different developments within the same school catchment area. It is unlikely in an area such as East Dunbartonshire that there will be any new developments on a scale that is big enough to require the building of a new secondary school and therefore the cost of mitigation will likely be borne across a number of sites. The Developer Contributions SPG sets out that the Council will have 10 years to spend any contributions received towards education provision before unspent monies would be returned to the developer (whereas in most cases the period is 5 years). Therefore, this gives the Council time during the contribution planning period to assess the cumulative impact of other and emerging development and to continue analysis of demographic trends to inform a relevant and proportionate solution in each case.

Indicative costs per housing unit are based around, at the time of setting out a methodology, existing and proposed dwelling figures for all settlements. These figures are then used to determine proportionality and what percentage developers should contribute to the overall indicative costs of a project. This method might be subject to change given the review of the LDP approach to developer contributions.

Split proportionally by the number of units.

The total cost of the mitigation is divided by the number of proposed units in the affected catchment area to arrive at a cost per unit. This is then multiplied by the number of units in a given site to arrive at the total contributions required by that developer. (RSLs and 1- bedroom market units are excluded from paying the identified cost per unit.

Monitoring process by Finance, Property and Planning to ensure that the obligations are used for their intended purpose and within the timescale set by any related legal agreements.

The cost of the infrastructure required by new development is shared across the number of houses and flats that will benefit from that infrastructure.

Calculations are based on all known housing developments within the Housing Land Supply. Developers only pay proportionally for their share in taking the school over capacity.

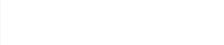
Cost is charged on a per house basis.

Costs are divided equally across all contributing units within a contribution area.

The majority of housing sites being promoted are through the LDP process with the identified mitigation in terms of new schools and extensions being to meet the demands arising from those allocations. The starting point for proportionality is usually the indicative housing allocation numbers.

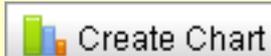
43. Does the authority factor in its own proportional costs of the mitigation if demographic trends are a contributing factor?				
			Response Percent	Response Total
1	Yes		68.18%	15
2	No		31.82%	7
			answered	22
			skipped	4

22 Councils responded to Question 43. 15 Councils (68%) confirmed that they factor in their own proportional costs of the mitigation if demographic trends are a contributing factor. 7 Councils confirmed that they do not factor in these costs.

44. What index is adopted?				
			Response Percent	Response Total
1	BCIS All in Tender Price Index		85%	17
2	RPI		0.00%	0
3	CPI		5%	1
4	KPI		0.00%	0
5	Other (please specify):		10%	2

85% of the Councils responding (17) use the BCIS in all Tender Price Indexing. 1 Council uses the CPI, and 1 other Councils uses the BCIS General Building Cost Index.

45. In the case of opening a new primary or secondary school, is there a minimum number of pupils which is necessary?



			Response Percent	Response Total
1	Yes		50.00%	8
2	No		50.00%	8
			answered	16
			skipped	10

16 Council responses were received, and they are evenly split at 50%. 8 Councils use a minimum number of pupils and 8 Councils do not use a minimum number of pupils.

46. If there is a minimum number of pupils, what are the numbers required for the following types:

			Response Percent	Response Total
1	Primary school – single stream		100.00%	3
2	Primary school – two- stream		100.00%	3
3	Secondary – non-denominational		100.00%	3
4	Secondary – denominational		100.00%	3
			answered	3
			skipped	22

Only 3 Councils provided a response to these questions as follows,

Primary School – Single Stream

4 classes minimum. (Classes are used rather than pupil numbers)

231

Not applicable

Not applicable

8 classes minimum

462

Secondary School – Non -denominational

Not applicable

250-300

660

Secondary School – Denominational

Not applicable

We have enough capacity so we would probably add on than build a new RC primary or secondary school

660

47. Please provide any other comments/suggestions/issues faced in relation to determining mitigation requirements and its funding.

	Response Percent	Response Total
	100.00%	13
	answered	13
	skipped	13

This open question attracted 13 detailed responses which are summarised below:

There is no set number of pupils and the case for a new school would be considered on a case- by - case basis. We would avoid building a new school where possible, but a number of factors would be taken into consideration such as the potential for more housing development in the longer term, the location of the development, the proximity to other schools that could be extended/adapted etc

Out -of -zone placements as set out in the Education (Scotland) Act 1980 could result in school rolls reaching capacity as a result of out of zone placements and not being able to accommodate pupils that are zoned to the schools.

We are currently reviewing the school estate (including buildings) at present and are taking into account the roll numbers. An area of concern is the developer contributions which are one off payments for extension to schools. This funding is unlikely to cover the full cost of extensions and also associated annual revenue increases. More developments are in the LDP and we need to ensure that we have associated funding to provide the school infrastructure for catchment pupils.

Roll projection provide a snapshot from a specific time. Whilst they provide a best - informed estimate, they are an estimate and are subject to change over time.

Therefore, if one projection identifies a lesser roll, that previous projections, then it should not be instantly used to remove or amend contribution requirements. The projection could be updated in a year with the increased roll again. The most recent projections should be used but with trends over time factored into the consideration, especially for windfall sites.

The assessment of whether a development is required to make contributions cannot be based on maximising 100% capacity of a school. As mentioned in the response to question 9, this would result insufficient non-teaching areas of schools and have negative education outcomes.

The majority of authorities that have published Supplementary Guidance on developer contributions do seek contributions from affordable housing. The delivery of affordable housing impacts on school rolls and therefore there is no reason to exempt it from developer contributions. How are Council's to recover the education capital cost impacts if affordable housing is not to pay its proportional share of the contributions required from a development site?

Within a catchment with more than one site contributing towards capacity issues, in a market area where development is not certain, to spread developer contributions across all sites may mean that contributions from non-developed sites will not come forward leaving the Council with a shortfall. Does the Council then (i) create capacity based on the development that is happening, bearing in mind that development may not on its own cause capacity issues (ii) create the theoretical-required capacity, funding the shortfall, with the risk that the created capacity may not be required if sites are not developed.

Planning obligations and the assessment of impact from new development is arguably the single largest determining factor in assessing the viability or delivery of housing development in our area. Pressures on the school estate, therefore, has a strong relationship with of strong housing market interest. This can create an imbalance in planning for and delivering the education estate which must take place across all market areas, each with their own development market costs; for example, schools required in weaker housing market areas will have more of a cost impact on developers whose land values and revenues will be lower than the stronger market areas.

The solution often arrived at to mitigate new development impacts is the provision of new infrastructure or assets; however, this creates additional ongoing revenue and planning costs for the authority over the lifetime of the development.

It would be more effective to align spatial planning and the education estate strategy so that new development is directed to locations with capacity in the existing school estate or to locations where spatial and community planning objectives are planned to be met. Housebuilding, associated developer spending on mitigation, and local authority financial planning (capital and revenue) will be mutually supportive, and community planning can play a stronger role than it does currently where

housebuilding can be led by market preferences. The new Planning (Scotland) Act 2019 offers scope to move us in that direction.

There is no minimum number of pupils that make a school viable or not. The decision as to whether a new primary school is required is entirely dependent on the circumstances of the immediate and wider area and it is therefore a not just a question of numbers.

The true assessment is a qualitative one, based on ensuring the provision of a high-quality learning and teaching experience. This is the reason the Schools (Consultation) (Scotland) Act 2010 as amended is centred around the authority demonstrating the educational benefits of a proposal to close a school or establish a new one. There are many factors which could influence whether the Council identifies a new primary school as the appropriate way of mitigating the impact of new housing development:

- Which school's catchment area are the new houses in?
- Does the catchment school have sufficient capacity?
- Do surrounding schools have capacity?
- What would the impact be on the education of pupils from existing properties?
- What would the education impact be on pupils from the new development?
- Is a reasonable catchment change possible and politically deliverable?
- Are there likely to be further developments in the future that could impact on the area?
- What other services does the Council require to deliver in the area?
- Can the Council afford to run a new school?
- Can the Council afford to finance a new build in lieu of developer's contributions?
- Is building a new school consistent with Council sustainability policies?

At present the Council has not used Developer Contributions to assist in the funding of changes to schools (new schools or extensions to schools) although it has been investigated. It would be considered on a case-by- case basis where the proposed changes to the school would have been fully costed and the proportion to be considered through Developer Contributions would have been negotiated with the developer. The need for the infrastructure (school change) would have been highlighted through the development.

Due to our tight geographical administrative area, the need for new schools must consider a wider range of factors which would not be experienced in rural authorities and would not be undertaken purely on a simplistic number of pupil's basis. Considerations must also include the availability of capacity at other schools within a reasonable distance of the new development; the effects of placing requests; opportunities for expanding existing schools etc.

Contributions are only taken from greenfield developments with the exception of one area where brownfield developments are required to contribute towards the provision of a school which was built in advance of development occurring. We do not currently seek contributions for secondary education for sites allocated in the Local Development Plan. The development of sheltered housing, care homes and purpose -built student accommodation are exempt.

We have not formalised the minimum number of pupils required before we would open a new school, it is dependent on the proximity and availability of other capacity. We opened a new primary school in 2016 and in that year, it had 50 pupils. We are looking at the possibility of opening a new secondary school for 40 S1 pupils.

Where affordable housing is linked to other private sector housing the Council expects the development contribution required of affordable housing units to be met by the private sector element of the development.

6. Final Questions and Council Comments – Questions 48-50

48. Which aspects of school estate planning including, but not restricted to school roll projection methodologies, capacity impact assessments and definitions, should be standardised across Scotland? Please provide your suggestions below:

	Response Percent	Response Total
	100.00%	22
	answered	22
	skipped	4

22 Councils responded to this question and there is broad, general agreement on the need for standardised definitions and methodologies but with some Councils sounding caution around standardisation and lack of flexibility. Topics which were suggested for further consideration included,

- Secondary School and Primary School capacity calculations
- Special school capacities
- School roll projections methodology
- Consistent standards for industry and developers for determining developer contributions
- Viability of development and the impact on educational provision
- Planning Capacity and Working (functional) Capacity
- Methodology of calculations
- Standardised definitions

Comments were also made about the radically different standards across Scotland and the need for more consistency and a need for clearer guidance for management and investment in educational assets to allow for clear and transparent asset planning.

There were also suggestions for greater standardisation of documentation, including templates, and consultation processes, to help ensure a more consistent national approach.

A few Councils do not favour standardised approaches and thought due to urban and rural differences, population, growth or decline and the context of the LDP that although guidelines would be helpful, a national standard would not be suitable for rural or Islands Councils or smaller, more compact urban areas. Sometimes standards can be set which benefit urban areas and negatively impact on rural areas.

One Council considered that school infrastructure and school roll projections are bespoke to individual Councils and their own unique circumstances, and therefore

Scotland wide standards may not be useful, and it may also be contrary to the expanding schools' agenda promoted by the Deputy First Minister.

Comments against standardisation cited that if Planning Circular 3/20102 was being adhered to in full then a mandatory, standardised process is not required.

Also, in some circumstances standardised approaches and methodologies are not always appropriate as areas such as population size, growth or decline area, and education resources can be unique to an area and each emerging LDP.

We support the standardisation of definitions and the standardisation of the principles and guidelines for school roll projections and capacity impact assessments. We do not however, support the introduction of a standardised methodology unless it is supported by a system compatible with existing systems operating in the council.

Education is a major devolved matter to local authorities with local decision- making key to enable each Council to adopt the best fit (and value) solution for their local communities which includes the provision and planning for their educational estates. Each authority has the right to manage its education estate to deliver the best possible educational outcomes and experiences for all its learners and the wider community. The management of places, including capacity thresholds, for considering additional pupil places is a necessary feature of that and provides the right conditions to deliver excellence and equity across the Council area.

49. Are there any responses in the questionnaire that the council would not want shared beyond the Scottish Government, Heads of Planning Scotland and the Scottish Futures Trust and placed in the public domain?		
	Response Percent	Response Total
	100.00%	13
	answered	13
	skipped	13

There were 13 responses to this question and only 2 Councils did not wish to share their responses in the public domain. Although only a few Councils did not want to share their data it has, in any event, the responses have been anonymised where Councils have actually mentioned their name or locations. The data returns made by individual Councils have been aggregated up and assessed in their totality and no council has been singled out. Confidentiality will be respected at all times in the publication of the results and all geographic references and school names have also been removed.

Specific Council examples are, however, provided in the report where the information is already available in the public domain, to identify good practice and procedures, to be followed up during the next stages of the research process. HOPS has retained the full data base of responses and this can be used in later, related research areas with the consent of Councils.

50. Are there any other planning/education comments you would like to submit that are not covered in the survey?		
	Response Percent	Response Total
	100.00%	12
	answered	12
	skipped	14

Question 50 was deliberately set up as an open question to pick up any other relevant factors not expressly included in the survey and there is a wide variety of comments expressed providing useful concerns and insights into the main contemporary issues affecting Councils.

Concerns are raised about developer contributions and their timing, longer- term education planning processes particularly in areas of growth. The impacts of revenue expenditure in the current financial climate are highlighted and a recognition that the revenue consequences of capital expenditure are not addressed in current budgets for funding infrastructure. They do however, impact on the mitigation options available to address school capacity as a result of development.

A similar point is made that revenue expenditure for operating new schools as a result of new housing developments is placing a considerable pressure on local Councils at a time when funding continues to be constrained.

General comments were made about the processes of forecasting, and the need to involve secondary school headteachers/timetables in future processes and also the need to retain local flexibility and individual merits of each case and local conditions must be able to be taken into account.

One Council felt that ASN and Nursery provision should be included in secondary school capacity calculations as they have an impact on the overall school estate.

More detailed guidance was requested for education and planning capacity needs, particularly for long-term school planning (20-30 years ahead) in areas of planned, sustained growth where new schools need to be planned in.

There was also support for more robust guidance for developers on the limitations of managing/preventing out of catchment placing requests to prevent unrealistic expectations of what can be done in an area.

In a similar vein, educational capacity will depend on the buoyancy of the housing market within certain areas.

One Council expressed caution about the Scottish Government using a standard charge per pupil metric that had to be used to identify levels of developer contributions.

Finally, one Council reminded us all that it is necessary to acknowledge that collecting all the data, and everyone using the same analysis methodology, will not necessarily provide any more certainty that the expected outcomes will actually be achieved, because that is the very nature of forecasting!

APPENDIX 2 - A SELECTION OF GOOD PRACTICE EXAMPLES ACROSS SCOTLAND

A Scotland wide survey took place in 2020 on planning and education infrastructure and there was a wealth of valuable information submitted from all Councils included in the survey covering a wide variety of topics. It is also obvious that Councils are at different stages in developing and implementing their improvement and quality planning and education processes. There were, however, many policy approaches, methodologies and procedures extracted from the data which were identified as examples of good practice worthy of sharing and being promoted more widely.

A few Councils are set out below as examples of different approaches that have been undertaken which are worthy of further consideration and wider discussion with a view to better understanding and standardisation of policy approaches and methodologies.

For the avoidance of any doubt, inclusion in this list does not signify endorsement. Nevertheless, the approaches do offer options for further consideration and testing accompanied by the requisite refining required to satisfy the Scottish Government, particularly in the areas of developer obligations and assessments of future education infrastructure requirements.

These are assessments taken from the survey data submitted and public websites and no additional consultation has been carried out with the individual Councils at this stage. The list is by no means exhaustive but simply provides an indication of well - intentioned approaches which may prove useful to share and promote in a wider, consultative conversation and fit into our wider approaches to the standardisation of methodologies and the need to have clear and consistent guidance from the Scottish Government set out at both a national and strategic level.

1. FIFE COUNCIL

Fife has a clearly articulated and strategic approach to the planning of its school estate involving all the key service departments under a corporate framework of leadership and liaison supported by a School Estate Development Board. Some of the workstreams are still “work in progress” but emerging initiatives and innovations include,

- Publication of a **Sustainable Schools Estate Strategy**
- Secondment of a senior planning manager to Property Services for a 2-year period to work on a collaborative basis
- A critical assessment of risks and issues which identifies, cost metrics, definitions, capital and revenue expenditure pressures and the need for closer and tighter inter-service joint working as well as the need to further develop corporate strategies involving the school estate and future planning requirements
- School Roll Projection Methodology

- Development stages of a **Process Diagram** setting out the key stages in the development process, a **School Estate Delivery Action Plan** and an **Education Infrastructure Protocol/Process**
- Robust consultation responses from Education Services as part of the planning application process

2. ABERDEENSHIRE COUNCIL

The Aberdeenshire 2017 LDP is accompanied by Supplementary Guidance on **Developer Obligations** which sets out the methods for calculation and the reasoned justification.

- Aspects of **development viability** are set out
- Separate sections include phased payments, upfront payments and the management of funds
- Education contributions are based on the contents of the **Housing Land Audit** and **School Roll Forecasts**
- The methodology includes a **Standard Rate per Pupil**
- A track record since 1998 when a **Development Obligations Officer** was appointed. This subsequently developed into a specialist **Developer Obligations Team**

3. PERTH AND KINROSS

Perth and Kinross Council has adopted a transparent process of setting out the details of developer contributions and detailed Supplementary Guidance in 2020 featuring,

- Requirements for primary education provision, distinguishing between sites of up to 5 and more than 5 houses
- Additional site -specific contributions
- **Procedure Note** on how to pay developer contributions
- **Annual Report on Developer Contributions** which sets out what the monies have been spent on, broken down to individual school level

4. WEST LOTHIAN COUNCIL

A comprehensive approach, which is also clear and transparent, is taken by West Lothian Council in assessing education contributions including the management of developer contributions and contributions by school catchment areas.

- Detailed **Planning and Education Supplementary Guidance**
- Identification of **Education Infrastructure Interventions**
- Assessment of **Contribution Rates, Exemptions/Discounts and Windfall sites**

5. CONCLUSIONS

There are many more excellent examples provided by Councils on how they process educational data and information and individual approaches to developer obligations, what data sources they use for population and school roll projections, the use of supplementary guidance and specialist Advice Notes and their internal corporate arrangements for joint working and co-operation.

It is clear that there are many good practices adopted by Councils across Scotland but there is a lack of consistency in the approaches adopted. There is also a lack of standardisation in the methods, approaches and definitions used and in some cases a lack of transparency and availability of data.

It is also clear that some of the methodologies being adopted have been developed without any collaboration with the private sector and some methodologies have been subject to external, independent scrutiny by the Scottish Government and at planning appeals and have been successfully challenged.

APPENDIX 3 – SUMMARY FEEDBACK FROM BRIEFING SESSIONS WITH THE PROFESSIONAL GROUPS REPRESENTED ON THE INFRASTRUCTURE WORKING GROUP

The IWG agreed that it would be helpful to discuss the final report conclusions and recommendations with the professional groups who sit on the IWG – Education, Planning, Property and Housing - to provide cross-sector awareness of the work carried out so far. This would also provide useful feedback and identify any particular issues or concerns being experienced within the specific professional disciplines directly associated with education and planning matters.

A short bespoke Briefing Paper was circulated to the appropriate committee meetings and a copy of the finalised report was also made available to all participants.

The briefing sessions set out the main report findings and included a series of set questions to act as a guide for an open discussion session.

All the sessions were relevant and revealed some common issues being experienced and also some particular concerns.

A summary of the views and comments is set out below:

HEADS OF PLANNING SCOTLAND (HOPS)

Although HOPS was leading on the research survey it was important to enable members of the Executive Committee to consider the detailed work conclusions and offer any further advice and support.

The report was strongly supported by HOPS and they felt it was important that the momentum built up behind the research and its findings should be maintained by the Scottish Government on receipt of the report and the recommendations should be supported and implemented timeously.

Key areas for future consideration were:

- The financial implications for Councils in terms of both capital and revenue spend at a time when future budgets are likely to be under pressure.
- The need for a co-ordinated approach across public and private sectors to ensure joint working and model arrangements work effectively.
- Need to fit the research into the other areas of related research into developer contributions and infrastructure and a possible future infrastructure levy.
- Maintain the momentum of an infrastructure first approach in NPF4 to ensure effective co-ordination and collaboration between the key elements of housing, planning, education and property.

ADES RESOURCES NETWORK

The Briefing was very much appreciated and areas which were highlighted included,

- The need for operational flexibility in future space planning and space standards to move away from rigid classroom demarcations.
- The increasing importance of architectural design and the impact this can have, needs to be noted especially in a post COVID environment - incorporating design flexibility was key.
- Definite need for data collection rationalisation and publication of data at the national level.
- Need for more flexibility within the statutory requirements for school catchment area reviews – no distinctions or allowances made for technical adjustments to boundaries.
- A more consistent approach to Section 75 payments and processes whilst accepting the need for local circumstances and flexibility.
- Continuing role for the ADES Network to liaise with the SG particularly on related design matters.
- Awareness that education and planning are two separate legislative processes, and this can lead to timing and funding uncertainties.
- Agree the need for timely action from SG on receipt of the report and its findings.
- Willing to provide suggestions and support for how best to proceed with the development of HS capacity guidance.

SCOTTISH HEADS OF PROPERTY SERVICES (SHOPS)

The Briefing paper generated a lot of discussion points and notable comments made included:

- The need to recognise and appreciate the mutual areas of interest and overlaps.
- Developer and public sector funding streams are complex mechanisms which need to be better understood and co-ordinated.
- Schools need to be integrated with local communities and greenspace and green infrastructure should be effective component parts of any overall design solution.
- Issues of catchment areas and school over-capacity can be difficult areas to resolve.
- Developer contributions and cashflow needs to be recognised.
- Developer intentions and investments can be dictated by land values, market value and whether the area in question is in a growth area or an area of decline.
- Development constraints need to be recognised.
- Post - Covid 19 implications may be challenging and different solutions may be required.

COMMON THEMES AND ISSUES

All of the professional groups recognised the importance of continued liaison on this matter, particularly as matters unfold and the SG response is received.

The implications for the recovery after the Covid -19 pandemic will be profound and some of the temporary changes and adjustments made may be permanent.

The role of developer contributions and overall funding were recognised as key issues to be better managed and understood.

All the professional groups mentioned the need for appropriate design solutions that were flexible and designed to integrate with the local landscape and community.

There was agreement from all parties that education data collection and publication at the national level should be more consistent and more effectively co-ordinated. Definitions and methodologies also need to be more consistent.

APPENDIX 4 – OUTLINE FRAMEWORK APPROACH FOR AN END - TO - END DEVELOPMENT PROCESS – A DISCUSSION

At the last meeting of the IWG in January 2021 the Group identified a few additional actions prior to completing the research project, including the setting up of a sub-group comprising, Richard Holland, Andrew Marshall, Sandra Banks, Pam Ewen (Bill Lindsay/Denise McGregor), Seonaid Crosby and Jim Birrell.

The purpose of this short - life group was to flesh out in more detail an end - to - end development process to better illustrate the complexity of the processes involved. Although, it was not considered in detail it was agreed it would be useful to design a high-level flow chart or similar of the processes to be considered.

The IWG felt that the next stage of the research project should develop this framework approach in more detail to become the basis for a good practice methodology for developers and Councils to adopt and this approach is further commended to the Scottish Government.

Some early ideas for consideration and assessment are set out below,

- Initially, the Sub-Group discussed the scope of the process/processes it wishes to chart set against timescales and resources, and what stage of the process is to be charted – existing school capacities, new growth areas, LDP review stage, etc
- Many aspects of the process were covered off in the survey ranging from projections and school rolls, capacity approaches, new development, LDP strategies, Supplementary Guidance, Planning Obligations, Data availability, building costs, land ownership and acquisition, land values etc and this data can be utilised for the next stages.
- Within all Councils corporate environments there is a complex process of legal and financial requirements, engagement, consultation and demarcation which all input and interact at different stages in the development cycle - Planning, Education, Housing, Property, Legal, Finance as the principal contact points
- There are clearly different issues and priorities identified by developers and Councils', but developer input is crucial to a fuller understanding of the tensions and hurdles encountered
- Timescales and monitoring and review processes will also need to be included in the framework

The Sub - Group identified some early issues which are set out below,

Understanding the baseline education population /school estate position

Need to find and define a common approach across Councils and allow the information to be made available publicly to allow all interested parties to utilise the data.

Experience indicates that there is a large disparity between how different Councils make the necessary information available. The use of more user- friendly initiatives, such as digital mapping and improved graphics would be an ideal starting point to improve transparency, consistency and availability.

What changes to the Education Estate need to be made in response to changing demographics, home moves to existing properties, or changes to the Education Estate baseline figures?

As the research findings illustrate, through annual SG publications, we note that it would be welcomed to move towards a more consistent and robust approaches to reporting capacities. We require a common approach to calculating the additional pupils that may be created and although this information is publicly available, we feel that additional data could be usefully added into the SG data collection model e.g., Number of Classrooms /Designated Spaces in a school, school site areas, related notes on planned school improvements in the current Capital Plan, and not just completed works.

As we have already recommended in this report, it is worth considering existing guidance available in England, which appears to advocate a coherent, progression model which is a tried and tested approach. This is indicated in the Good Practice examples cited, where West Lothian, East Lothian, Fife and others have developed similar approaches.

How can catchment area reviews to utilise existing spare capacities prior to consideration of new build or extension options be made easier?

It is appreciated that this involves complex statutory procedures for education colleagues, and it is subject to local consultation process and tends to be subject of lively local and political interest. The ADES Network has also separately commented on this aspect (In Appendix 3) and it is certainly a contentious area which requires to be reviewed.

At what level is a school at or over capacity, and how can capacity be freed up?

Existing SG guidance on Primary School capacities advocates Planning Capacity (100%) is used for forward planning purposes.

We have noted that, whilst it is accepted that schools will not always operate at 100% capacity, arbitrary reductions are often applied for timetabling purposes (10-15% reductions) which can risk inflating mitigation measures unnecessarily, where there may be other options to deal with class organisation issues in a particular year.

Need to agree on a common approach to what additional infrastructure is needed

Robust and evidenced Education Appraisals as an integral part of an Estates Strategy, Local Development Plan or Supplementary Guidance. This should be

based on school roll projections and include a clear methodology for addressing windfall and brownfield developments outwith the scope of any initial assessments.

Ascertaining accurate costings is always problematical but the Scotland's Schools for the Future Programme and Learning Estate Investment Programme metrics, allows for benchmarking and the rate is often subject to additional items such as additional contingencies, and allowances by Councils.

This data is also not directly applicable to school extensions.

In the future it would be a matter of good practice if Councils could consider the publication of a register or similar to provide information on education costs and rates, without breaching any contractual or confidential costs. The Community Infrastructure Benchmark Database should be a starting point for this.

In this complex area it is also noted that there are often marked differences between costs attributed to the public procurement processes, set against the direct infrastructure costs delivered by developers, although it is realised these can't always be directly compared. This is also a related area of work which would be helpful to examine in more detail in order to better understand the overall development economics involved.

It is also important to appreciate that whilst the School Premises Regulations are out of date, they do usefully provide a statutory level of accommodation and site requirements. It would be helpful if new and updated Regs were prepared and adopted, or Bulletin Standards adopted to clarify developers requiring to fund non-statutory Council requirements over and above the statutory requirements.

Need to formulate a robust but flexible policy approach that clearly sets out in its plans and strategies what is needed and also identifies the nature of the funding required or land need to deliver the development.

Ideally, we consider that this should be set out in the new style Local Development Plans with a clear Action Plan and Capital Plan indicating when the infrastructure will be delivered or needs to be delivered by. Funding arrangements should also be included to allocate funding by Councils, funding by developer and any shared cost developments. The timing and phasing of any funding contributions should also be set out.

In this area we feel that guidance on best practice methods would be helpful. This could, for example, include the proportionality applied to the number of homes or pupils from an individual site within the context of all programmed new or pupils or houses. In any event, this is becoming a common approach among Councils and it is in accordance with the requirements of Circular 3/2012.

The Group also considered that it is vital that the information required has to be an integral part of a statutory process to ensure that it is evidenced, transparent and available for appropriate scrutiny and challenge.

Capturing the value from the land

This is another area of economic complexity with different scenarios and outcomes, primarily involving the landowner(s), the developer(s), assessment of site required infrastructure costs, planning obligations requirements, additional costs/contingencies, profit levels payable to the landowner and the developer. There may be other external factors such as taxation and tax, revenue streams, proportionality, profit sharing, and the affordability of the development set against the total development costs required e.g. Is the development financially feasible in all the circumstances?

Preparing a case for funding

In a model example a case for comprehensive funding should be prepared as early as is possible/feasible and a specific delivery body or vehicle should be identified to deliver the infrastructure paid for out of development contributions or other identified funding streams.

This approach begs all sorts of questions

- Who leads this?
- When should it be undertaken?
- What role does the LDP Action Plan have?
- What resource is available?

Building the Infrastructure

Who delivers the infrastructure and controls the timing of its delivery?

How do they secure access to the land?

What procurement process is undertaken?

In many circumstances cases it is appropriate for the developer to lead on discussions about infrastructure delivery in full consultation with the local Council and the service providers.

Timing of Availability & Interim Solutions

If delivery of the infrastructure is delayed or there is an assumption that there is a period between grant of consent and delivery of infrastructure. Is there an interim solution available where capacity can be created and used?

Delivery

We have seen different solutions to delivery, with developers and Council's taking the lead. If the school being delivered serves a wider area than just the development, does

it make more sense to have Council deliver and then the contributions can flow from development to them over time?

If the LDP is focused on delivery in the 10-year period, is there an assumption that the money will largely be repaid during delivery of the homes in that period?

What period should be assumed for repayment?

The research confirms that there are many areas of joint interest between the Councils and developers and it is in everyone's best interests to ensure that information - sharing and communication are continuous and robust. This is especially the case in relation to assessing and clarifying the available funding and delivery options. There is no "one size fits all solution" but it would be an additional help to all parties if best practice guidelines linked to actual case studies were identified, published and widely shared and promoted.

The sub-Committee felt that it was important to highlight the need for an end - to end process to complement this research work and we have concluded that this is an important workstream that could be followed up on.

There are multiple parts to this particular jigsaw, but we are already aware that some Councils have started to create their specific end - to end process charts and there is therefore an opportunity for all Councils to benefit from this work and it may be possible to create a generic process for adoption across Scotland.

The reality is to simplify a complex series of processes in a logical and meaningful way such as the following outline 7 stages.

1. Estate Management
2. Development Plan Preparation
 - Evidence Base
 - Gatecheck
 - Draft Plan
 - Examination
 - Action Plan/Delivery
 - Review
3. Application for Planning Permission
4. Planning Obligation
5. Finance
6. Delivery
7. Estate Management

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APPENDIX 6 - MEMBERS OF THE INFRASTRUCTURE FIRST WORKING GROUP

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- David McClelland, Head of Service Development, Education Services, Glasgow City Council - representing ADES Resources
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- Bob Salter, Director at Geddes Consulting
- Tammy Swift-Adams, Director of Planning, Homes for Scotland
- Bruce Walker, Barratt Homes

APPENDIX 7 - ACKNOWLEDGEMENTS

Heads of Planning Scotland (HOPS) would like to take this opportunity to formally thank the Scottish Councils who took part in this important survey. Particular thanks are extended to the 61 members of staff across different Council service departments who completed the detailed questionnaire and provided extensive data and comments. This contemporary feedback has greatly enhanced the research and survey process and enabled a firm set of conclusions and recommendations to be submitted to the Scottish Government for consideration and action.

All the members of the Infrastructure Working Group (IWG) who provided their time and expertise on a voluntary basis and set out a challenging and comprehensive remit to discharge.

The Council staff who sit on the various professional groups - HOPS, SHOPS, ADES, and HFS - who are represented on the IWG for enabling customised briefing sessions to be held and provided helpful and informative feedback.

Special thanks are also extended to Seonaid Crosby from the Scottish Futures Trust who has acted as the lead organisational contact for the research work and has provided much help and support along the way.

HOPS would particularly like to thank Jim Birrell, HOPS Manager for carrying out the detailed research work, reporting on its findings and finalising the report and its findings and leading and co-ordinating the entire project, and Trevor Moffat, Improvement Service who carried out the detailed work on the questionnaire presentation and software.

HOPS is however solely responsible for the final published work and has confidentially retained the raw data and individual Council questionnaires for reference and any future research work.

Forbes Barron, Chair Heads of Planning Scotland, March 2021

