

# The Condition Core Fact

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# 01 Introduction



The following guidance has been prepared for reporting on the condition of the School Estate. This Core Fact on condition is part of a suite of Core Facts<sup>1</sup> for which data is collected annually as part of the performance management regime for the School Estate Strategy<sup>2</sup>.

This refreshed guidance has been produced as the result of a collaborative venture between the Scottish Government, Scottish Futures Trust, Scottish Heads of Property Services (local authorities), Education Scotland, Scottish Building Standards, Architecture and Design Scotland and the Association of Directors of Education in Scotland.

The refreshed guidance has been prepared to:

- strengthen the risk-based approach to condition surveys through a raised awareness of the importance of effective risk management as an integral part of the facilities management regime, and
- ensure greater uniformity in the scope and methodology applied to each school, by every authority, to minimise variations in assessment methods and criteria. In this context, the guidance aims to reduce the inconsistencies arising from different property officers or external contractors exercising varying but equally valid professional views, by setting out the framework within which judgements should be made.

This guidance document addresses the assessment and reporting of condition ratings for Core Fact 2 – Condition of the School Estate, which comprises, for each school:

- the Overall Condition of the School in Conditions A to D:
- the Overall Condition of each individual block of the School in each of Conditions A to D along with the gross internal floor area of each individual block: and
- provides information on key aspects of property compliance with an emphasis on safer buildings.

The intent of this document is to provide guidance. It is also aimed at providing additional rigour and consistency using a risk-based approach to further improve the safety of the school estate.

### What is Condition?

Condition is concerned with the current state of the fabric of the school and with safety and security.

Condition has a direct impact on what goes on in the school. Appropriate forward planning and prudent, timely decisions on ongoing maintenance will best enable authorities to sustain the quality and asset value of their school buildings over the long term. Schools in good condition – irrespective of age or design – signal to all users (pupils, teachers, staff and the community) that learning is a valued activity, that the learning environment is a priority and often gives that all important ‘feel-good factor’.

### School Estate Strategy

The school estate strategy recognises the importance of identifying and reporting when schools are assessed as being in condition categories C and D, to allow plans to be made to address the situation.

### Use of this document

This document should be read in conjunction with the *Core Facts Overview*, issued in November 2017. It sets out the framework within which information should be reported to the Scottish Government. While offering recommendations on assessment methodology, it is not intended to restrict or constrain the exercise of good practice in the school estate asset management function within local authorities.

1 Core Facts Overview guidance document 2017

2 <http://www.gov.scot/Publications/2009/09/22154600/0>



Note the term ‘school’ is used as a general term throughout the guidance to cover the many differing models of the ‘learning environment’ such as ‘through-schools’, ‘community campuses’, etc. which invite wider ideas of learning and is inclusive of early learning and childcare settings situated within the same buildings as primary schools. It also means, in practical terms, the buildings and the grounds contained within the site.

### **Timing of condition core fact reports**

The Core Facts on each school are reported by local authorities to the Scottish Government annually, based on the situation at 1<sup>st</sup> April each year, for validation and publication later in the year. Local authorities are expected to maintain their condition assessment up to date in a manner which best fits their own annual reporting cycle.

### **Timescales for implementation**

Local authorities will implement the guidance immediately as most, if not all, already hold the data required and the requirements are based on long-standing recognised best practice, much of which was already set out in the 2007 guidance.

### **What are the benefits?**

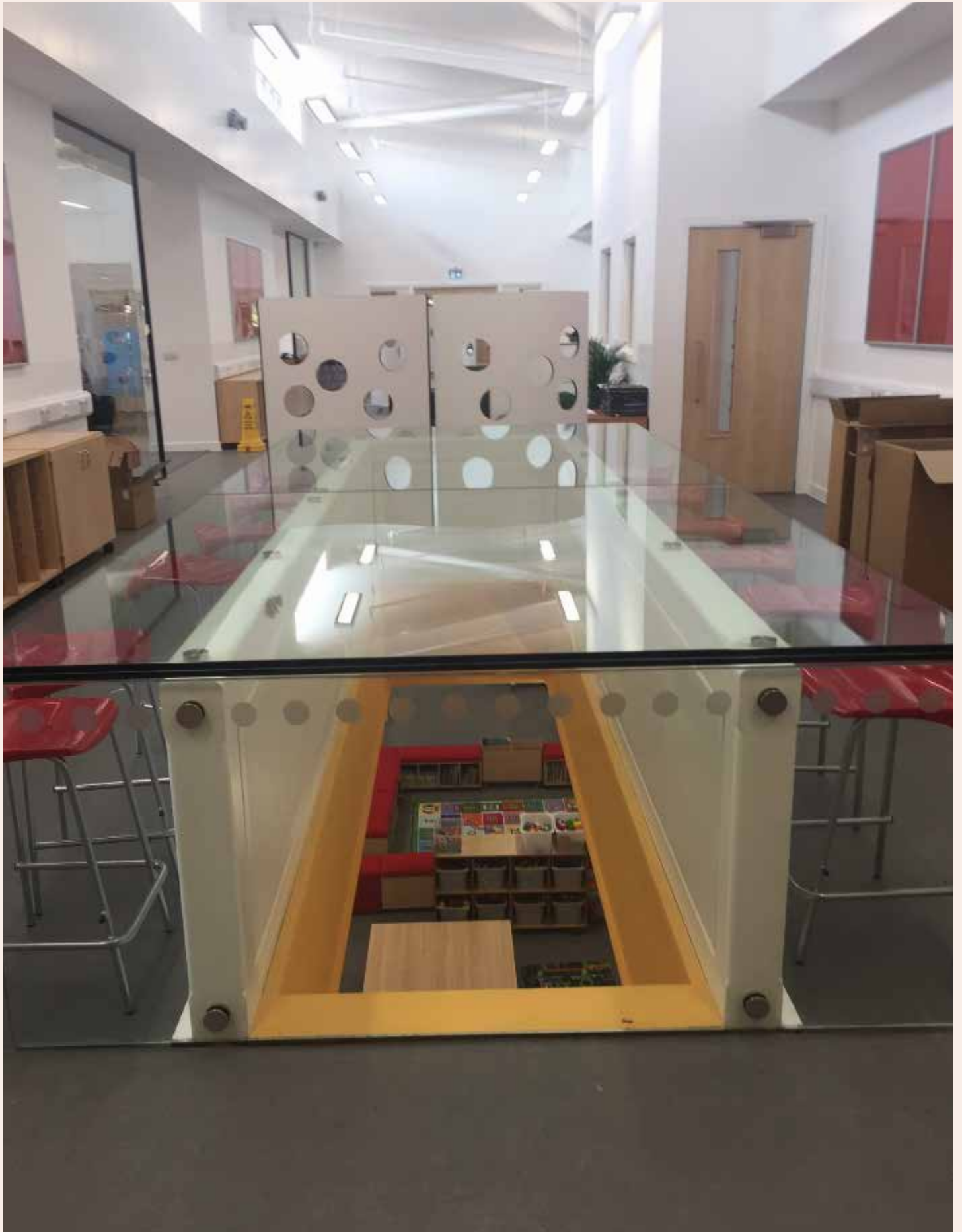
The Core Facts collectively inform the local authorities school estates management plans and are used at both local and national level to:

- provide consistent data,
- assess performance and allow improvements to be focused on areas of greatest need,
- enable the provision of safe buildings,
- assess buildings on their suitability for supporting learning to deliver *Curriculum for Excellence*,
- inform spending and investment decisions,
- encourage best practice, and
- measure progress in delivering the vision and aspirations of the school estate strategy.

### **Who is this for?**

Essentially it is for the benefit of all school users and the community. Condition has a direct impact on what takes place in the school and on its image, ethos and reputation in the community.

It is also considered good practice to involve school users in the creation, use and assessment of the Core Facts. The information can also be linked to the local curriculum and the development of the learning spaces within the school as part of context-based learning.



# 02 Scope of Condition Core Fact Reporting



### Gross internal floor area in conditions A to D

There is a requirement to report the gross internal floor area (GIFA) of the school along with the condition rating. Similarly, where the school comprises more than one building or block there is a requirement to report the GIFA and the condition rating for each of the buildings or blocks. The results from the building or block surveys are consolidated and reported on the overall area in each of the condition ratings A to D of the buildings or blocks along with the overall condition rating for the school.

The condition rating for the school is based on the following criteria:

**A: Good** – Performing well and operating effectively (physical element carries out function totally as new including consideration of the transverse elements<sup>3</sup>)

**B: Satisfactory** – Performing adequately but showing minor deterioration (physical element carries out function satisfactorily, may show signs of age and including consideration of some transverse elements)

**C: Poor** – Showing major defects and/or not operating adequately (physical element does not carry out function effectively without continuous repair, shows signs of age and does not consider most of the transverse elements)

**D: Bad** – Economic life expired and/or risk of failure

### School types

Condition Core Fact data should be provided for all primary, secondary and additional support needs (ASN) schools, all of which should be treated identically in terms of assessment method and criteria.

Where early learning and childcare settings are on the same site as a primary, secondary or ASN school these should be included and treated as part of the school.

### Leased, owned, rented, PPP, NPD or DBFM

Condition Core Facts reported to the Scottish Government should include all school buildings and facilities that are temporary or permanent, owned, leased or rented by the local authority. PPP schools, Non-Profit Distributing (NPD) schools and Design, Build, Finance and Maintain (DBFM) schools should also be reported.

### Shared facilities

When assessing the condition Core Fact, all parts of the school used for education should be considered, whether they are used for other purposes as well. In particular:

- school sports facilities that are available for local community use out-with school hours should be wholly included,
- any space within the school exclusively dedicated to, and managed by, those who provide community services, including dental, medical, police, or social work should be excluded,
- any part of the school used to provide accommodation for another local authority service or any other non-school related purpose on a permanent basis should be excluded.

On a shared campus, where facilities are used by more than one school, the effect of those facilities on overall condition ratings should be shared between the schools concerned on an equitable basis to be decided upon and recorded by the local authority.

Where facilities primarily for the use of others are used by the schools, e.g. where the school has access to leisure centre facilities, then these facilities should be excluded from the condition Core Fact.



<sup>3</sup> Details of the physical and transverse elements are included in appendix 1.



### Staff houses and residential accommodation for pupils

Staff houses and accommodation for pupils should be excluded from the condition rating reported to the Scottish Government. Although this is excluded from the scope, authorities are still encouraged to adopt this practice for the management of the properties.

### Definition of blocks

The school properties and in particular the older ones tend to comprise several blocks on one site. Generally, a block equates to a building however, in certain circumstances it will be helpful to subdivide a building into a number of blocks. For example, where a building has a number of wings or where extensions have been added to the original building, it may assist to differentiate the different forms of construction and condition by identifying the extensions and the original building as separate blocks.

The general reasons for carrying out separate condition assessments for individual blocks are to allow consideration of:

- the varying ages of the blocks,
- the diverse methods of construction,
- the differing deterioration profiles of the materials used,
- to identify the range of condition ratings across blocks on the site, and
- to provide greater transparency of the data.

A typical example is a Victorian school with extensions from 1920's, 1950's, 1970's along with 'light-weight construction' stand-alone blocks from 1980/90's. It will be the responsibility of the authorities to identify the blocks and this will normally be carried out by the asset manager or building surveyor.

### Scope of overall condition rating

The condition rating to be reported to the Scottish Government should include the elements referred to in Section 3, under *Listing of School Elements*. The list comprises two parts: physical elements and transverse elements. The physical elements are those parts of the school fabric that should be taken into account when assessing condition. They encompass all aspects of the school fabric rather than simply the school buildings, and include playgrounds, external structures and services, security facilities and playing fields. Everything within the curtilage of the school should be included in the overall rating of each school's condition, unless specifically excluded by this document. The transverse elements comprise those aspects that need to be taken into account when assessing the condition of each applicable physical element. They are functional rather than physical in nature, and include information extracted from the various safety and other reports provided by professional technical staff, who will also act on reports from others as appropriate, along with nationally identified property issues.

Where building work is currently, or has been, in progress on playing fields, and it is intended that these be reinstated, they may be excluded from the overall rating: it is unreasonable that planned improvement work of this nature should reduce a school's condition rating.

### Condition versus Suitability

One potential source of confusion when assessing the condition rating for a school is the distinction between condition and suitability. In reporting the condition and suitability Core Facts, the following distinction in scope should be drawn between the two:

- Compliance with the design intent should be addressed under condition. Hence, condition deals with the state of repair of features or facilities that exist as part of the school fabric (and as part of its current design).

- Where the current design or design intent has been rendered inadequate or inappropriate by new requirements that maybe applied retrospectively, then this should be dealt with under condition. These requirements could arise as a consequence of regulatory or central government guidance (see legislation and regulations below). This aspect of condition should include the general health and safety requirement to reduce the risk to pupils, staff and the general public to a level which is as low as reasonably practicable.
- Discrimination requirements under the Equality Act and inclusion measures should be dealt with under suitability.
- Where it is considered that the design or design intent was already inadequate or inappropriate when viewed against legislation, regulations or regulatory or central government guidance existing and applicable at the time of installation, then this should be dealt with under condition. For example, the adequate provision of sanitary accommodation for pupils in accordance with the School Premises (General Requirements and Standards) (Scotland) Regulations (see transition elements).
- Matters of security of the school fabric, contents and occupants should be addressed under condition.

Aside from the above considerations, the adequacy of design or design intent, including the absence of any particular feature or facility, should be addressed under suitability. It should be noted that the way in which the buildings and facilities are used or operated (or indeed misused or mis-operated) is not part of condition. If a design regarded as unsuitable necessitates the use of the school facilities in a way that is out-with the design intent, then this is a matter for consideration under suitability e.g. the use of a practical teaching space as a general classroom.

### **Legislation and regulations**

Building Standards are intended to apply to new building work or conversions and do not routinely apply retrospectively to existing buildings under building standards legislation, they may be referred to as a benchmark when assessing risk under health and safety or fire safety legislation. For example, a fire risk assessment under Part 3 of the Fire (Scotland) Act 2005 and associated regulations may determine that additional fire safety measures are incorporated into an existing building in line with current building standards.

The consequence of the introduction of new or amended standards and guidance which are not statutory is that an existing building may not comply with current standards. It is then for the authority as duty holder to determine what mitigation measures, if any, are necessary to reduce the risks to an acceptable level.



# 03 Data Collection and Processing

### Documented process

Local authorities should have a stated system setting out their process for assigning condition categories to schools which adopts this guidance. In addition, an evidence-based auditable record of that process and its results should be maintained. As a minimum, this should reference the process used and document the sources of input data, the names and roles of the participants, the date when the condition review was completed, and the condition categories assigned to each of the major elements and to the school as a whole. The record should also note any amendments made to the overall school condition rating arrived at by the standard process.

### Use of condition surveys

In accordance with the Core Facts guidance, the condition rating should be based on the local authority's condition survey. Suitably qualified and experienced personnel should oversee this survey. There is no change from the previous guidance that a full condition survey of the school estate should be carried out at least every five years. The condition rating should also take into account information from routine inspections by other suitably qualified and experienced staff, and concerns expressed by users.

### Scope of condition surveys

The full condition survey<sup>4</sup> will be based on a visual, non-intrusive examination of the accessible building fabric and building services including external areas but will not include those parts of the structure or its services which are built in, covered up and made inaccessible in the normal course of construction, fitting out or occupation. The building appraisals will generally be undertaken from ground level and where safe access is available, will also inspect any flat and pitched roof areas of the school estate and any void areas.

The survey will also identify any areas of concern which require immediate further investigation, such as structural issues, and arrangements will be made for safe access and / or intrusive access to allow examination of the construction. This will also identify the need for further specialist examination or tests where these are considered necessary.

The scope of the condition surveys also depends on a range of factors relating to site conditions, method of construction, materials specified, quality of construction, accessibility, legislation, age, deterioration, etc and it is the responsibility of the authority to manage this.

### Risk management

Property risks and their management were re-examined as an essential part of the refresh of this guidance.

The condition surveys, as described above, are designed to identify defects in the properties and these defects fall into two categories:

1. **patent defects** – those which can be discovered by reasonable inspection e.g. rotting window frames (non-intrusive survey), and
2. **latent defects** – those which cannot be discovered by reasonable inspection e.g. missing wall ties (intrusive survey).

Recent events have indicated that the most serious risks have arisen due to latent defects and because the defects were hidden, the issues were unknown and therefore there was no mitigation in place to minimise the risks. In comparison, the patent defects are identified through current surveys and other mechanisms, and this allows them to be risk managed and prioritised.

Condition surveyors have therefore to be much more aware of the potential for latent defects and prepared to recommend intrusive surveys or specialist investigation when there is any doubt regarding non-accessible areas of the building or information regarding potential defects in similar buildings.

4 In accordance with the RICS Stock Condition Survey 2<sup>nd</sup> Edition, 2002 guidance or equivalent.



Measures are also being taken across the industry to ensure new buildings are constructed to the appropriate standards and to quickly share information across the sector when defects are identified. Authorities are also recommended to adopt the systems approach as set out in BS 8210:2012 'guide to facilities maintenance management'. These measures will help to reduce the occurrence and risks from future latent defects.

### Data reported

The condition data reported annually to Scottish Government will be set out and updated in the annual request from Scottish Government for data and will generally include for each school:

- Gross Floor Area in Condition A (m<sup>2</sup>)
- Gross Floor Area in Condition B (m<sup>2</sup>)
- Gross Floor Area in Condition C (m<sup>2</sup>)
- Gross Floor Area in Condition D (m<sup>2</sup>)
- Overall Condition of school (A – D)
- Description of 'large change'
- Date of most recent full survey
- Date of most recent intermediate survey (only if after full survey).

Note a 'large change' is where there is a change in the ranking and describes why this has occurred.

### Review and update of condition data

It is considered good practice that the updating of information in between full condition surveys should be carried out by staff who are professionally qualified in the appropriate technical disciplines to enable them to pass judgement on the condition of the element concerned. Thus, the condition of each element should be judged by suitably qualified and experienced personnel. For example, cracking in a blockwork wall would be examined by a structural engineer who would provide the reason for the failure and make recommendations on what follow-up treatment was required. This may require initial monitoring before a final decision is taken.

As part of their routine work in schools, building maintenance inspectors/service engineers should ensure future work requirements are kept up to date and information on improvements and/or deterioration is recorded for input into the condition Core Fact assessment process.

It is essential that reactive/emergent maintenance requirements are documented, and these records are collated to inform the annual review of the condition of the school.

Between full condition surveys the condition data should be reviewed at least on an annual basis by the authority, using a risk based assessment, to:

- confirm the overall progress of works against the maintenance programme, that is, improvements that have been completed, and identify any work that requires to be carried forward into the next year;
- review the prioritisation of maintenance requirements;
- visit the site, review key risk areas and identify any new deficiencies/deterioration since the last full condition survey; and
- update the condition ratings applied within the school estate.

Experience shows this works best when carried out as a team exercise involving experienced building surveyors supported by maintenance, mechanical and electrical specialists along with appropriate representatives from the authority's Education Service. Also, where the process is integrated into the facilities maintenance management regime along with the strategic investment planning.

An example of a prioritisation matrix is attached as appendix 2 to be used as a straightforward risk based assessment tool.

To prevent unnecessary duplication of work, the findings from relevant visits, inspections and surveys undertaken as part of asset management processes should be captured and taken into account when reviewing the condition status.

These may include:

- structural surveys;
- fire risk assessments;
- insurance surveys and statutory inspections; and
- maintenance contractors' testing and service reports.

There is now a requirement to provide the dates when full surveys and annual intermediate surveys have been undertaken. Authorities will be expected to be able to provide evidence of the full surveys and annual intermediate surveys, along with the surveys, assessments, inspections and service reports relating to the properties, on request. There is no requirement to provide these annually with the Core Fact return however they should be available on request and held in an electronic format to allow for ease of access and dissemination.

The extent of the annual intermediate survey will depend on the condition of the property, with poorer condition properties potentially at greater risk. The format is the responsibility of the authority however, experience has shown the review normally starts with a summary of the key points from the main survey. It then looks at what works have been undertaken in the interim, along with what other issues have arisen in the interim through surveys, reports, etc. to reach an updated position. The works can then be reviewed and reprioritised for the future maintenance programmes. For schools there is generally a need to visit the property for a visual inspection of the site, to update and reappraise key points from the main survey and to speak to staff for feedback.

After any review, the condition rating information and future maintenance priorities and programme should be communicated to the school management, to ensure common understanding and stakeholder buy-in.

### Interface with other local authority processes and tools

Condition Core Fact assessments should not be influenced by the results of any options or investment appraisals. Nor should they be influenced by other factors feeding these, such as the cost of repairs, available budget, or future school capacity or demand.

Condition Core Fact data processing should be an integral part of normal asset management business and should be integrated with other established processes where practicable. This will minimise the amount of data to be collected and the work required to report the condition Core Fact, over and above normal asset management good practice.

Local Authorities should aim to integrate the condition assessment process with the asset management good practice tools and systems, for maximum efficiency. It should not be necessary to incur significant extra costs for software/asset management processes, over and above normal asset management good practice. For example, the weighting and scoring process detailed below for establishing the overall condition category for the school is designed as a standard Excel spreadsheet package. The data collected to inform investment decisions, and prioritise and schedule maintenance requirements, should also be used to feed the condition Core Fact reports.

### Listing of school elements

Since 2007 the condition Core Fact assessments have been based on a set of agreed elements in order to achieve the level of consistency in reporting sought by both the Scottish Government and the local authorities. Established essential practice is that the overall condition rating reported to the Scottish Government for each school is based on an element-by-element assessment of the condition of that school, summated to form an overall condition rating. The means of aggregating the information is addressed below, under *Element Weighting and Scoring System*. Consistency is achieved by a standard set of elements to be weighted and scored. The element tree is set

out in Appendix 1 and comprises two parts: physical elements and transverse elements. The physical elements are those parts of the school fabric that should be taken into account when assessing condition. The transverse elements comprise those issues that should be considered for each applicable physical element when assessing condition. Combined, the elements contained within that tree comprise the overall scope included within the condition rating for each school.

### Element weighting and scoring system

The overall condition rating for the school is arrived at by means of a weighting scoring system. This methodology ensures consistency regarding the importance attached to the various elements.

To obtain the overall condition of the school, each major element is assigned a condition rating (A to D) by the professional judgement of a suitably qualified and experienced person. The assigned condition ratings should consider:

- the urgency of any repair or remedial work;
- the potential impact or shortcoming to the overall delivery of the school
- functionality/service provision; and
- safety and compliance with legislative requirements.

There should be some means within each local authority for ensuring the consistency of judgement of these elemental condition ratings, for example, the use of a small common group of individuals, or, in small authorities, a single staff member.

To aggregate the elemental condition ratings to the overall condition rating for the school, these ratings are then transcribed to numeric values, as follows:

- Condition A: 1
- Condition B: 0.75
- Condition C: 0.5
- Condition D: 0.25

The numeric value for each rating is then multiplied by the weighting for the appropriate major element. The set weightings are given at Appendix 1 and the overview breakdown of these is:

Structure	42%
Internals	15%
Services	30%
Externals	13%
Total	100%

The results are then summed and expressed as a percentage of the weighted score that would be achieved if all elements present in the school were in condition A. The overall condition for the school is then determined by the following percentage scoring bands:

More than 85%:	Condition A
85% or less, but more than 60%:	Condition B
Between 40% and 60% inclusive:	Condition C
Less than 40%:	Condition D

To achieve the desired consistency across local authorities it is essential that all authorities use the weightings as set out in the workbook.

Where a school consists of more than one discrete building or block, the overall condition rating will be derived by rating the elements within these buildings individually and aggregating the scores later, on a pro-rata basis, using the GIFA of the blocks. This aggregation will be calculated before conversion of the weighted and summed scores to an overall condition ranking.

### Workbook

A workbook will be issued annually by Scottish Government to calculate the result and is in the form of an Excel spreadsheet. This contains the models and formulae to calculate the condition rankings using the condition data for the elements, by block, and the weightings. This has been devised in such a way that all the calculations will be carried out automatically upon completion of all the relevant sections. Details on how to use the workbook are supplied separately with the workbook when it is issued annually. A model workbook will be made available from the Scottish Government school estate website.

### Benchmarking and validation

The overall condition of each school should be reviewed and validated by a suitably qualified and experienced person to ensure that the final rating is considered appropriate. Authorities should validate their results initially by benchmarking internally against schools of agreed condition.

Where amendments are made, this should be done in an auditable fashion, with a note stating what amendment has been made, by whom, and the reason for the change. Where the overall condition rating of the school is considered inappropriate, the ratings ascribed to each element should be reviewed. If it is still considered that the overall condition rating arrived at by the weighting and scoring system is inappropriate, then, exceptionally, this may be amended based on the professional judgement of the reviewer. Borderline cases may also occur where the aggregate score is found to be marginally above or below a threshold, when professional judgement would put the school in the next higher or next lower condition rating. In these cases, the rating to be assigned should be amended. Ultimately, it is expected that this information will inform continuous improvement in the assignment of condition ratings. There is also scope for benchmarking between authorities.

### Condition in relation to lifecycle

The condition rating is a snapshot in the lifecycle of the building. It is not a measure of depreciation. The fact that the design life of a school or an element of a school has expired should not automatically mean that the school is in condition D or even C. The condition rating should reflect the state of the school in relation to its design intent. For example, the design life of a roof may have expired but if it is well maintained, reliably weather tight and structurally sound, then clearly it should be allocated a rating of A or B.

### Clarification of condition category 'D'

In some cases, there is a reluctance to assign the condition category D, due to the perceptions that such a rating might create in others. This has been recognised as a potential cause of inconsistency in Core Fact reporting across local authorities. To overcome this, the definition is clarified as follows. The emphasis is on the availability, performance and safety of the facility.

D: Bad – Economic life expired and/or risk of failure.

In this instance, economic life expiry is taken to mean that the ongoing maintenance costs are no longer viable, in contrast to the cost of a major refurbishment, new build school, or provision elsewhere.

It should be noted that the implementation of a sound property maintenance regime throughout the life of the building will maintain the economic life of the asset.



# 04 Compliance of the School Estate

This section is based on key aspects of statutory and non-statutory property compliance and is designed to allow authorities to demonstrate their compliance as part of a greater emphasis on safer buildings. While it is directly related to condition it is entirely separate from the condition assessment.

For each school:

Compliance assessment	Data
<p><b>Asbestos</b> – these indicators seek to measure the robustness of the approach to managing asbestos in operational schools where the presence of asbestos has been identified and that transparent reporting arrangements are in place to record incidents.</p>	<p>Has presence of asbestos containing materials (ACMs) been identified? Yes/No</p> <p>If Yes – is there a management plan detailing how the risks from the ACMs will be managed at the school?</p> <p>Provide the number of incidents of unplanned asbestos release in the last year (1<sup>st</sup> April – 31<sup>st</sup> March).</p>
<p><b>Electrical</b> – Fixed Electrical Installations – testing of all fixed wiring and all distribution boards. This indicator seeks to confirm there is a robust approach to managing electrical installations.</p>	<p>Date the installation was last inspected and tested (criteria: 5 yearly or more frequently).</p>
<p><b>Fire Safety Risk Assessment</b> – this indicator seeks to confirm the robustness of the approach to managing fire safety.</p>	<p>Date of latest fire safety risk assessment (criteria: whenever changes are made).</p>
<p><b>Gas Appliances</b> – this indicator seeks to confirm the robustness of the approach to managing gas safety, where there is a gas supply.</p>	<p>Is there a gas supply to the school? Yes/No</p> <p>If Yes – date of latest inspection, testing and maintenance (criteria: annual).</p>
<p><b>Health &amp; Safety File</b> – this indicator seeks to confirm the robustness of the approach to property health and safety.</p>	<p>Is there an up to date Health &amp; Safety file for the property? Yes/No</p>

Compliance assessment	Data
<p><b>Water Hygiene and Safety (Legionella Prevention)</b>                      – this indicator seeks to confirm the robustness of the approach to managing legionella.</p>	<p>Does the property have a legionella risk assessment? Yes/No</p> <p>Date of latest risk assessment (criteria: every 2 years)</p> <p>Provide the number of incidents of ‘total viable count’ above safe levels in the last year (1<sup>st</sup> April – 31<sup>st</sup> March)</p>
<p><b>Building Failure</b> – this indicator seeks to assess the robustness of the approach to facilities management and maintenance repairs in operational schools.</p>	<p>Provide the number of teaching days lost due to the school being closed owing to building failure. Exclude days lost owing to utility supply failures e.g. power or water cuts.</p>

**Note**

based on FPS Report: “Compliance Monitoring in Council Buildings”, December 2014.

# 05 Key Points

This section is provided to summarise, for ease of reference, the main points in this document along with changes from the previous version.

1. **Aims** – the refreshed guidance aims to provide additional rigour and consistency using a risk-based approach to further improve the condition and safety of the school estate.
2. **Condition** – concerned with the current state of the fabric of the school and with safety and security.
3. **Blocks** – the requirement to provide reports based on the GIFA of the schools in each of the conditions A to D, based on the surveys of individual blocks, has been reinstated along with the overall condition of the school.
4. **Reporting** – condition core fact information should be maintained up to date by local authorities in a manner that suits their reporting cycle. It will be collected by the Scottish Government annually, based on the situation at 1<sup>st</sup> April each year.
5. **Scope** – condition core fact reports should be provided for all school types: primary, secondary and ASN. Where early learning and childcare settings are on the same site these should be included and treated as part of the school.
6. **Exclusions** – the following accommodation facilities should be **excluded** from condition Core Fact reports:
  - parts of the school given over entirely to a use that is not part of the school operation, e.g. community services, local authority services or other non-school related purpose;
  - facilities (such as sports facilities) operated by others, to which the school has access;
  - staff houses and accommodation for pupils; and
  - playing fields placed out of use as part of planned construction or refurbishment work.
7. **Accessibility** – accessibility requirements under the Equality Act are excluded from condition, and are to be addressed under suitability.
8. **Frequency** – a full condition survey of the school estate should be carried out at least every five years and between the full condition surveys the condition data should be reviewed at least on an annual basis, using a risk based assessment. Dates will now be recorded to demonstrate when full surveys and annual intermediate surveys have been undertaken.
9. **Latent defects** – condition surveyors have to be much more aware of the potential for latent defects and prepared to recommend intrusive surveys or specialist investigation when there is any doubt regarding non-accessible areas of the building or information regarding potential defects in similar buildings.
10. **Workbook and weightings** – it is essential for the achievement of the consistency of condition ratings, that the condition of the schools is judged at elemental level, using the weighting and scoring system set out in the workbook to aggregate the information to provide an overall condition rating for the schools. Also, that a review and validation process is undertaken to ensure the final results are appropriate.
11. **Documented process** – good practice dictates that the process for assessing the overall condition of the school as reported to the Scottish Government should be documented, and that suitable records of the process should be kept. These should provide an auditable trail, and facilitate continuous improvement and benchmarking.
12. **Compliance** – this is a new section based on key aspects of statutory and non-statutory property compliance and has been introduced to allow authorities to demonstrate compliance as part of a greater emphasis on safer buildings.

# Glossary

The glossary has been prepared to clarify and explain the meanings of the following terms or acronyms used in the document:

## Acronyms:

<b>ACM</b>	asbestos containing materials
<b>ASN</b>	additional support needs
<b>BS</b>	British Standard
<b>CCTV</b>	close circuit television
<b>DBFM</b>	design, build, finance and maintain
<b>GIFA</b>	gross internal floor area
<b>HMI</b>	Her Majesty's Inspectors
<b>HSAWA</b>	Health and Safety at Work Act
<b>HSE</b>	Health and Safety Executive
<b>NPD</b>	non-profit distributing
<b>PE</b>	physical education
<b>PPP</b>	public private partnership

**School Estate** – this is used as the collective term to encompass all school sites across Scotland.





# Appendix 01 Elemental Listing

# Physical Elements

Level 01		Level 02	Level 03
Major Elements	weightings (%)	Intermediate Elements	Minor Elements
Roof	15%	Roof structure Coverings (incl. glazed roof lights) Insulation Drainage (including rainwater goods and pipes) Parapets, handrails etc. Frame Other (including chimneys)	
Floors and Stairs	7%	Floor structure (ground floor and other floors), including ground floor substructure Screed (ground floor and other floors) Floor finishes (ground floor and other floors) Staircases Other	Stair structure Treads and risers Soffit finish Handrails
Ceilings (ground and upper floors)	1%		

<b>Level 01</b>		<b>Level 02</b>	<b>Level 03</b>
<b>Major Elements</b>	weightings (%)	<b>Intermediate Elements</b>	<b>Minor Elements</b>
<b>External Walls, Windows and Doors</b>	<b>20%</b>	External walls	Wall structure and foundations
		External doors	Ground problems – e.g. mines, shafts, wells, ground faults
		Windows	External linings/finishes
		External stairs, steps and access ramps	Framing
		Other secondary structures	Glazing
<b>Internal Walls and Doors</b>	<b>7%</b>	Internal walls	Ironmongery, access controls and fire and safety fittings
		Internal linings/finishes on external walls	Framing
		Internal doors and glazed screens	Glazing
<b>Sanitary Services</b>	<b>5%</b>	Toilets	Ironmongery and access controls
		Kitchens	External fire escape stairs
			Canopies etc.
			Permanent maintenance equipment (ladders, walkways, gantries etc.)
			Wall structure of internal walls and foundations
			Linings/finishes on internal walls
			Framing
			Glazing
			Ironmongery, access controls and fire and safety fittings
			Fixtures and fittings (wash hand basins, toilets etc.)
			Waste plumbing
			Fittings
			Waste plumbing

Level 01		Level 02	Level 03
Major Elements	weightings (%)	Intermediate Elements	Minor Elements
Mechanical	14%	Heat source and equipment (e.g. boilers, including flues)	
		Heating - mechanical	Heating distribution (radiators/pipes)
			Heating controls
		Heating - electrical	Electric cable heating systems
			Electric heating system, including storage radiators
		Hot water	Calorifiers, storage tanks, distribution systems and ancillary equipment
		Cold water	Storage tanks, distribution systems and ancillary equipments
		Gas storage and distribution	Distribution pipework
			Storage tanks
			Ventilation interlockers
		Oil storage and distribution	Distribution pipework
			Storage tanks
			Bunds
		Ventilation	
		Specialised ventilation systems (specialist extract covers and hoods etc.)	
		Air-conditioning plant, systems and controls	
		Fixed firefighting systems	Fire sprinkler system
			Hose reels and other systems
		Specialist installations e.g. pool plant	



<b>Level 01</b>		<b>Level 02</b>	<b>Level 03</b>
<b>Major Elements</b>	weightings (%)	<b>Intermediate Elements</b>	<b>Minor Elements</b>
<b>Electrical</b>	<b>11%</b>	Electrical power	Wiring
			Fittings (including outlets, conduit and trunking)
			Generation and distribution equipment (including distribution panels and switchgear)
		Lighting	Light fittings and switching
			Wiring
			Emergency lighting
		Fire precaution	Fire alarm
			Fire Safety devices – door releases etc.
		Intruder alarms	
		Lightning protection	
		Communication systems	Bells, installed telephone and IT cabling (but not equipment) etc.
			Hearing loops and other types of hearing equipment
		Security systems	CCTV and door entry systems
			Panic alarms
			Other
		Building Control Systems	
		Lifts and hoists	
<b>Redecorations</b>	<b>2%</b>		
<b>Fixed Internal Facilities, Furniture and Fittings<sup>5</sup></b>	<b>5%</b>	General Teaching	
		Practical Teaching	
		Internal Social Spaces	
		Internal Facilities	

<sup>5</sup> See the suitability guidance appendix worksheets for the areas covered by these categories

Level 01		Level 02	Level 03
Major Elements	weightings (%)	Intermediate Elements	Minor Elements
External Areas	10%	Roads and car parks	Physical condition
		Paths and paved pedestrian areas	Traffic management
		Walls, fences and gates	Separation of vehicles from pedestrians
		Signage	Playgrounds and fixed play equipment
		External works/infrastructure	Paths, ramps, stairs and steps
		Landscaping and planting (safety and security)	Perimeter security/fence. (Note: 'Secure by Design' aspect and fulfilment of the requirements of the Cullen Report)
Outdoor Sports Facilities and Permanent Fixed Furniture	3%		Free-standing walls (including retaining walls) and foundations
			Surface water drainage systems
			Foul drainage systems and septic tanks
			External lighting
			Bin stores and other minor structures
			Buried and above ground supply services and mountings

# Transverse Elements

Tier 01	Tier 02	Tier 03
<p><b>Health &amp; Safety Risks including HSAWA considerations etc.</b></p>	<p>Glazing (Workplace (Health, Safety and Welfare) Regulations 1992 Regulation 14)</p> <hr/> <p>Hazardous substances</p> <hr/> <p>Consideration of HSE's Land Use Planning Methodology for developments near hazardous installations – for aspects where mitigation is “reasonably practicable” without relocation of the school</p> <hr/> <p>Others</p>	<p>Asbestos, including factors that may contribute to degradation or exposure</p> <hr/> <p>Contaminated ground</p> <hr/> <p>Radon</p> <hr/> <p>Lead based paints (e.g. in steelwork corrosion protection)</p> <hr/> <p>High alumina cement components</p> <hr/> <p>Fire stopping between compartments</p> <hr/> <p>Others</p>
<p><b>Sanitary accommodation for pupils</b></p>	<p>The provision of adequate appliances and wash basins in accordance with the School Premises (General Requirements and Standards) (Scotland) Regulations</p>	
<p><b>Security</b></p>		
<p><b>Reports and Surveys</b></p>	<p>Fire risk assessments</p> <hr/> <p>Fixed electrical inspections and reports</p> <hr/> <p>Boiler inspections</p> <hr/> <p>Structural survey reports, materials tests etc.</p> <hr/> <p>Insurance surveys</p> <hr/> <p>Maintenance contractor survey reports</p> <hr/> <p>Water quality</p> <hr/> <p>Others (excluding HMI Reports)</p>	

## Tier 01

### National Property Health & Safety Issues

## Tier 02

For example, those essential structural and fire safety issues identified by the Cole Report<sup>6</sup>:

- wall cavity ties,
- wall ties to steelwork,
- wall course reinforcement,
- wall-head restraint,
- wind bracing, fire-stopping and fire-proofing, etc.

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Aluminium composite external wall cladding

## Tier 03



# Appendix 02

Sample Prioritisation  
Matrix for Risk  
Assessment



The following is an extract from The City of Edinburgh Council Condition and Maintenance Strategy (March 16)

**Proposed Asset Condition Surveys Risk Assessment Methodology (for existing operational assets)**

The Council currently operates a system whereby each defined element of a building is allocated a condition rating of A-D. This same rating system is then used to determine the overall condition of the building. This is in line with guidance contained within the document 'The Condition Core Fact'.

Condition Rating	Description
<b>A</b>	<b>Good</b> – Performing well and operating effectively.
<b>B</b>	<b>Satisfactory</b> – Performing adequately but showing minor deterioration.
<b>C</b>	<b>Poor</b> – Showing major defects and/or not operating adequately; and
<b>D</b>	<b>Bad</b> – Economic life expired and/or risk of failure

The Council currently select from a number of priority ratings when deciding upon the nature and urgency of the works required. These ratings are generally based on the type of work required and indicative timescales.

Priority Rating	Description
<b>1</b>	<b>Must Do (immediate)</b> – to address essential H&S/ comply with law/ avoid service disruption
<b>2</b>	<b>Should Do (within years 1 and 2)</b> – to achieve/ maintain basic standards
<b>3</b>	<b>Would Do (within years 3 to 5)</b> – desirable works If affordable

The condition and priority information subsequently feeds into an overarching prioritisation matrix that helps to inform strategic asset management decisions. This matrix is provided below:

Priority of Buildings	Priority of Works		
	P1 (Immediate) Must Do	P2 (yrs 1-2) Should Do	P3 (yrs 3-5) Would Do
BP1			
BP2			
BP3			
BP4			
BP5			
BP6			

The priority of the buildings takes into account the current status of the subject buildings, including the anticipated occupancy levels and whether the buildings are expected to be retained and maintained or disposed of (range BP1 to BP6 above).



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