

# The Enabling State: Where are we now?

## Scotland Report card assessment

July 2019

### Context

Five years ago, the Carnegie UK Trust published *The Rise of the Enabling State* (Wallace, 2013). A review of over 180 policy sources, the report identified seven interconnected policy shifts evident across the UK. Together, these changes constitute a move from a *traditional* Welfare State to an *Enabling* State: a state that aims to take a whole of government approach, seeking to empower individuals and communities. Figure 1 provides an overview of these changes, detailing what each shift entails: Each is complex, interdependent and far from risk free.

Five years on from the Rise of the Enabling State, the gap between ambition and implementation feels as great as ever. The demographic and budgetary pressures on public services are continuing and increasing. The need for more personalised, responsive public services and for citizens to have a voice is stronger than ever. The failure to translate this into a reality has never been more obvious.

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### About the review

The intention of this review was to identify:

- What are the significant, inspiring examples of progress – the rising stars in policy development?
- Where has progress stalled, and why?
- What are the shared challenges – where should collaborative learning focus?

To assess progress we carried out a desk based review of policy and practice developments since 2013. To analyse developments consistently across each jurisdiction, we used a framework of indicators related to each of the seven policy shifts highlighted in *Figure 1*. The assessment framework and a full description of our methodology can be found in the full report. After reviewing developments against the indicators, we made an overall progress assessment regarding the policy area in each jurisdiction (producing a 'report card'). We have also produced an overview report drawing together the analysis across the UK.

Figure 1: The shift from Welfare State to Enabling State – the seven interconnected policy shifts



# An uneven and uneasy paradigm shift

Five years on from the *Rise of the Enabling State* our review of policy developments in the four jurisdictions re-affirms our 2013 analysis: there is a paradigm shift from a Welfare State to the Enabling State, which involves seven interdependent policy areas across the UK.

There have been a number of important developments since 2013 and the policy landscape and rhetoric has moved considerably. The shift toward an Enabling State involves multiple policy areas unpicking existing structures and ways of working that is buffeted continually by external pressures and drivers. As a result, progress is uneven and non-linear.

Overall, the challenges associated with the shift to the Enabling State are much more evident now than in 2013, particularly as the government have begun to implement

Enabling State policies. But progress has not been linear. The step changes have not occurred in all areas or in all jurisdictions.

There is a risk in this context that showing unsteady progress as clearly as we have here is viewed as evidence of failure rather than as evidence of how much has already been achieved and how to move forward.

The scale of the budgetary and demand pressures facing public services are significant and in many cases the evidence shows they are hampering and undermining transformation. These are the circumstances in which the shift to the Enabling State is taking place. We hope that this report inspires those involved in policy development and decision-making across the UK to ask what their neighbours are doing, and what they can learn from those experiences.

Table 1: UK summary

Policy Shift	England	Northern Ireland	Scotland	Wales
 1. From targets to outcomes				
 2. From top down to bottom up				
 3. From representation to participation				
 4. From silos to working together				
 5. From crisis intervention to prevention				
 6. From recipients to co-producers				
 7. From public to third sector				

Key:  Rising star  Steady progress  Green shoots  Vulnerable

## 1. From targets to outcomes



### Current assessment

The Community Empowerment (Scotland) Act (2015) embeds the outcomes approach in legislation at both the Scotland-wide (National Performance Framework) and local (Local Outcome Improvement Plans) making Scotland a world leader in Outcomes Based Performance Management. An OECD review has identified a number of systemic barriers to implementing the framework including linking spending to outcomes. The framework sits in a confusing and cluttered performance management landscape and there is no clear articulation yet as to how performance management of specific programmes and services should relate to the NPF at a national or local level. At the local level progress on outcomes-based Community Planning is variable with areas of good practice sitting alongside more traditional approaches. Community Planning Partnerships (CPPS) operate in a complex accountability landscape.

### What we hope to see

Development of the NPF on spending, decision-making and scrutiny tool; a clearer and more consistent approach to linking performance management in local and national programmes and services to the NPF; the development of logic models of policy interventions to achieve outcomes and improving the usability of Scotland Performs data platforms to engage the public.

## 2. From top down to bottom up



### Current assessment

After promises to further decentralise power to a local level, the Scottish Government announced a local governance review in December 2017, with engagement processes ongoing during 2018. Local Outcomes Improvement Plans (LOIPs) and Locality Plans offer potential for increased community engagement; local focus and tailoring of policies and practices at the local level to improve outcomes for communities, but CPPs may need to be bolder in focusing on priorities and resourcing and delivering large scale and transformational changes to policies and practice.

### What we hope to see

Meaningful reform of local government. Community Planning Partnerships build on existing community engagement and local analysis to develop and deliver local informed and focused LOIPs and Locality plans.



### 3. From representation to participation



#### Current assessment

There have been a number of significant policy developments since 2013 to strengthen participatory democracy in Scotland including the introduction of the Community Empowerment (Scotland) Act 2015, the commitment to Open Government and a commitment by the Scottish Government and Local Authorities to allocate 1% of local government spending (£100 million) by 2021. The challenge is now to widen public engagement and participation, and to ensure that participatory democracy is used as a transformational policy tool.

#### What we hope to see

Participatory democracy processes move from happening at the edges to becoming more mainstream.



### 4. From silos to working together



#### Current assessment

The Public Bodies (Joint Working) (Scotland) Act 2014 provides a framework for the integration of health and social care services and delivery. However the Integration Authorities face significant structural and accountability challenges which make pushing forward with integration and pooled budgets complicated. Community Planning Partnerships have been strengthened and added to but have made slow progress in aligning and deploying resources differently to meet shared outcomes.

#### What we hope to see

Successful integration through Public Bodies (Joint Working) (Scotland) Act 2014; continued knowledge sharing amongst public sector leaders. A step change in shift toward pooled/aligned resources in Community Planning.



## 5. From crisis intervention to prevention



### Current assessment

There is a strong government commitment around prevention and projects have emerged across health and social care, youth justice and early years which adopt the prevention agenda. Some, such as the approach to Youth Justice have had considerable success. However, funding pressures and short termism have meant widespread preventative approaches remain constrained and budgetary decisions remain focused on protecting health budgets. It is not clear to what extent understanding about what works in prevention particularly around how to successfully embed prevention into public service delivery has improved.

### What we hope to see

Clearer understanding of how prevention works in practice and a shift toward long-term budgeting and performance measurement.



## 6. From recipients to co-producers



### Current assessment

The language of co-production is strong in Scotland and examples of working with citizens to develop policy have emerged but there is also confusion about what co-production means in practice. The rhetoric of co-production is particularly strong in health and social care but in practice has been slow to realise notably around the implementation of Self Directed Support (SDS). The Social Care (Self-directed Support) (Scotland) Act 2013 sets the conditions for transformative co-production but senior managers' attention has been diverted by Health and Social Care integration and although the number of people accessing SDS has significantly increased since 2010 it remains a small proportion of people using non-residential social care services. There is large variation in practice across Scotland and there are challenges around commissioning and managing creativity, risk and budget constraints.

### What we hope to see

A common understanding of what co-production is and cultural and structural shifts to build on progress to date and embed co-production in policy and delivery, a particular focus on getting Self Directed Support right.



## 7. From public to third sector



### Current assessment

Adult volunteering rates have remained largely stable over the last five years but have increased for young people. Those from disadvantaged backgrounds remain under-represented in terms of volunteering. Scotland has built on its historic strength in community ownership with the introduction of the Community Empowerment (Scotland) Act 2014 and the Land Reform (Scotland) Act 2016 which open up new opportunities for community ownership and control of assets and public services. The Procurement Reform (Scotland) Act 2014 opened up new opportunities for the community and voluntary sector to get involved with public sector procurement, while initiatives such as the Public Sector Partnerships have sought to create more collaborative commissioning environments. Long-term challenges include involving smaller third sector organisations in the commissioning and procurement process, budget pressures, power imbalances and mainstreaming changes.

### What we hope to see

Building on a strong base of community ownership and control to increase access and opportunity for currently under-represented groups. To realise the opportunities afforded by the Procurement Reform (Scotland) Act 2014 and to move toward more sustainable collaborative commissioning environments with increased access and opportunity for smaller third sector organisations.

## Acknowledgements

The Carnegie UK Trust team on this project included: Jenny Brotchie, Natalie Hancox, Alison Manson, Rebekah Menzies and Issy Petrie. The team carried out the desk-based reviews for Scotland and Wales. The Northern Ireland review was carried out by Stratagem and the England Review carried out by Caroline Slocock and Steve Wyler.



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