

**For Action: Responses to annex B are requested by 1 September 2001**

## Quality Improvement

### Standards Fund 2001/02

#### Summary

This circular provides information on categories of funding and the Council's intended use of the standards fund for 2001/02. The circular indicates the initiatives that are being funded within the five categories of funding. These are: provider improvement; professional development; the good governance programme; centres of vocational excellence; and dissemination of good practice. Application forms are attached at annexes C, D, E, F, G and H respectively. The circular also provides information about administrative arrangements for applications and the allocation of funds.

#### Eligibility for financial support from the standards fund in 2001/02

In 2000/01, the Further Education Funding Council (FEFC) extended the further education standards fund to other further education providers in addition to FE sector colleges. This will continue in 2001/02.

The standards fund for 2001/02 will also be used to support quality improvement work in voluntary and private sector work-based learning providers. Separate guidance will be issued for work-based learning providers. A separate circular will be issued for independent specialist colleges for students with learning difficulties and/or disabilities and for dance and drama schools.



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## **Further information**

For further information, please contact the appropriate Learning and Skills Council local office, or write to:

The Learning and Skills Council  
Cheylesmore House  
Quinton Road  
Coventry CV1 2WT

## **Responses**

Responses are requested by 1 September 2001

# Summary

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This circular provides information on categories of funding and the Council's intended use of the standards fund for 2001/02. The circular indicates the initiatives that are being funded within the five categories of funding. These are: provider improvement; professional development; the good governance programme; centres of vocational excellence; and dissemination of good practice. Application forms are attached at annexes C, D, E, F, G and H respectively. The circular also provides information about administrative arrangements for applications and the allocation of funds.

The standards fund for 2001/02 will also be used to support quality improvement work in voluntary and private sector work-based learning providers. Separate guidance will be issued for work-based learning providers. A separate circular will be issued for independent specialist colleges for students with learning difficulties and/or disabilities and for dance and drama schools.

## Eligibility for financial support from the standards fund in 2001/02

In 2000/01, the Further Education Funding Council (FEFC) extended the further education standards fund to other further education providers in addition to FE sector colleges. This will continue in 2001/02 and aspects of financial assistance from the standards fund will be made available to the following providers:

- FE sector colleges
- LEA-maintained external institutions
- independent external institutions
- higher education institutions providing FE courses.

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# Standards Fund

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## Introduction and Background

1 This circular sets out the Learning and Skills Council's (LSC's) intended use of the further education standards fund for 2001/02 in support of government priorities and the LSC's developing quality improvement strategy.

The introduction of the further education standards fund in 1999/2000 and its continuation in 2000/01 enabled the FEFC to support sector colleges and other further education providers to improve quality and share good practice. The fund was also used to launch initiatives aimed at developing the potential of governors and staff. The further continuation of the standards fund for 2001/02 provides more opportunities to help sector colleges and other further education providers to make improvements. The standards fund for 2001/02 will also be used to support quality improvement work in voluntary and private sector work-based learning providers.

2 Although improvement has been made in rates of learner achievement, there is still room for further enhancement. The secretary of state has made clear that raising standards while widening participation is a top priority for the government. FE sector colleges, other further education providers and work-based learning providers will be supported to make improvement. They will be expected to use the findings from inspections by Ofsted and the Adult Learning Inspectorate (ALI) to inform their improvement strategies.

3 On 21 November 2000, the then secretary of state confirmed that financial support of £160 million in 2001/02 would be available to sector colleges and other further education providers, and that financial support from the standards fund would increase to £170 million in 2002/03. The secretary of state also indicated that many of the standards fund activities for 2000/01 would continue in 2001/02. Aspects of this year's fund that will roll forward and new initiatives for 2001/02 are set out at annex A. This annex covers information about the use of the fund for FE sector colleges and other further education providers. Guidance on the use of the standards fund specifically for voluntary and private sector work-based learning providers will be provided for LLSCs in a separate communication. The new initiatives for 2001/02 include funding to support:

- providers addressing issues identified during area inspections
- improving retention, and also improving achievement at level 2
- qualifications for teachers and continuing professional development
- the recurrent costs of establishing centres of vocational excellence
- additional post-inspection support to help providers to improve provision that occupies the middle ground between that which is outstanding and that which is poor.

4 The major part of the increase in the standards fund for 2001/02 will be devoted to the professional development of staff. The quality of teaching and leadership makes the difference between learning that is effective and that which fails to enable learners to achieve their objectives. For further education teachers, a package of financial support for teachers' qualifications and continuing professional development will be provided. The current principals' training programme and training for senior management teams in sector colleges will continue in 2001/02. In addition, training programmes for senior managers of other further education providers and sponsorship programmes for black middle and senior managers will also continue.

## Eligibility

5 In 2000/01, the FEFC extended the standards fund to other further education providers in addition to sector colleges. This will continue in 2001/02 and aspects of financial assistance from the further education standards fund will be made available to the following providers:

- FE sector colleges
- LEA-maintained external institutions
- independent external institutions
- higher education institutions
- voluntary and private sector work-based learning providers.

6 The LSC will also expect providers previously funded by FEFC to work collaboratively with work-based learning providers. Opportunities might include involving work-based learning staff in training organised for continuing professional development and in activities organised to disseminate good practice. Action plans which follow area inspections will also require a collaborative approach to improving local post-

16 provision. Some separate funding for local education authority (LEA) secured adult and community learning provision will be available from LEA standards funding to support a local authority's adult learning plan.

## Funding for 2001/02

7 Funding for 2001/02 will be distributed within five categories:

- provider improvement
- professional development
- the good governance programme
- centres of vocational excellence
- dissemination of good practice.

## Next Steps

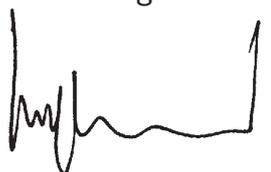
8 FE sector colleges must complete and return the response form on teachers' qualifications at annex B by 1 September 2001.

9 Administration procedures and application forms for various aspects of the fund are at annexes C to H.

10 Annex I summarises eligibility for funding. Annex J summarises application procedures for standards funding.

11 For most aspects of the fund, providers will work closely with their local Learning and Skills Councils (LLSCs) and should contact their local council for advice. Annex K of this circular provides further information about LSC contacts for the different categories of the fund.

12 Guidance on the use of the standards fund for voluntary and private sector work-based learning providers will be provided to LLSCs. They will be responsible for informing work-based learning providers about their eligibility for funding.



*John Harwood, Chief Executive*

# Annexes

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## Annexes

Annex A	Use of the Standards Fund 2001/02
Annex B	Response form: Qualifications for new teachers
Annex C	Categories 1a) and 1b) – Administrative procedures
Annex D	Supplementary guidance: Category 2a)
Annex E	Category 2b) – Administrative procedures
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# Annex A: Use of the Standards Fund 2001/02

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1 The following paragraphs set out details about the categories of funding for 2001/02. This financial support should help sector colleges and other further education providers to meet the government's priority to raise standards and the Council's developing quality improvement strategy. Providers should note that the Council will not provide financial assistance under the standards fund where it is considered that a more appropriate course of action or source of funding is available. In this annex, the term provider will cover those institutions that have been identified as eligible for funding in paragraph 5 of the introduction and background.

## Category 1: Provider Improvement

2 The purpose of this category of the fund is to help FE sector colleges and other further education providers to improve their performance. There are five elements in this category of the fund. They are:

- 1a - colleges causing concern
- 1b - post-inspection support
- 1c - area inspection support
- 1d - improving retention and achievement
- 1e - the basic skills quality initiative.

## 1a: Colleges causing concern

Eligibility: FE sector colleges

Purpose

3 The LSC intends to give support at the earliest opportunity to colleges causing concern. The assistance will be provided as a preventive measure, if there are early signs of a fall in standards, and to support rapid remedial action where necessary. It is expected that this aspect of the fund will apply to a falling number of colleges.

4 Colleges will be identified as causing concern through a range of qualitative and quantitative measures. During 1999/2000 and 2000/01 these included outcomes arising from the FEFC's regional review process, inspection and data monitoring activities. These were set out in the FEFC circular 99/24, *Use of the Standards Fund*, on which the sector has already been consulted. During 2001/02, the Council will continue to use a range of measures to identify colleges causing concern and inform allocations, including the outcomes from the Council's provider review process.

Funding arrangements

5 Financial assistance will be targeted at major areas of weakness. The level of assistance will vary according to college size and the extent to which a college's performance is identified as causing concern.

6 Allocations will be made in response to costed action plans provided by colleges and

agreed by the LLSCs. Progress in remedying weaknesses will be monitored by LLSCs.

7 Administrative procedures and an application form are at annex C.

## **1b: Post-inspection support**

Eligibility: Providers funded by the FEFC, inspected by the FEFC's inspectorate between September 2000 and March 2001 and providers formerly funded by FEFC, inspected by OFSTED and ALI from April 2001

### Purpose

8 To help FE sector colleges and other FE providers achieve improvements in the quality of their work more quickly than would otherwise be possible.

9 During 2001/02, those colleges and other FE providers inspected by the FEFC's inspectorate between September 2000 and March 2001 will be eligible for financial assistance from the standards fund. In addition, colleges and other further education providers inspected by OFSTED and/or ALI from April 2001 will also be eligible.

### Funding arrangements

10 The LSC will review funding arrangements for those institutions inspected under the common inspection framework. Funding will be allocated on a similar basis to that used in 1999/2000 and 2000/01. This is set out in FEFC circular 00/15, *Use of the Standards Fund 2000-01* and FEFC circular 00/19, *Standards Fund 2000-01: Non-sector colleges*. Eligible providers will receive funding on the approval of a costed post-inspection action plan and, in the case of provision graded less than satisfactory, an annex to their development plan agreed by their LLSC.

11 Progress in remedying weaknesses will be monitored by LLSCs.

12 Providers eligible for post-inspection support may also be eligible for an additional supplement to their post-inspection action plan support if they have provision which is judged by inspectors to be less than good.

13 Administrative procedures and an application form are at annex C.

## **1c: Area inspection support**

Eligibility: All providers

### Purpose

14 To provide financial support for the development and implementation of an action plan following an area inspection.

15 Following an area inspection, the LSC will work with the relevant LEA to prepare an action plan to address the outcomes from area inspections. The LSC will expect a co-ordinated approach to the management and implementation of action plans so that local providers are able to make speedy improvements.

### Funding arrangements

16 The level of funding available for providers will be determined by the activities required to make improvement and will be the subject of discussion between providers and their LLSCs.

17 Progress in implementing the action plan will be monitored by the LLSCs.

18 Administrative procedures will be notified to providers by their LLSCs.

## **1d: Improving retention and achievement**

**Eligibility:** Providers formerly funded by the FEFC

### **Purpose**

19 The purpose of this element of the fund is to provide targeted funding to address two matters of concern to the government and the LSC. These are:

- low levels of retention
- low levels of achievement of level 2 qualifications.

20 During 2001/02, the LSC intends to make targeted funding available to eligible providers to improve levels of retention, where these are below the sector average. It also intends to make funding available to eligible providers to improve the achievement of level 2 qualifications. The LSC is aware that providers would prefer to have fewer separate allocations for individual initiatives, and therefore intends to provide one allocation to cover both of the above areas of concern. Providers are expected to target activities supported by this funding to make speedy improvement.

### **Funding arrangements**

21 Where data have been provided to the FEFC indicating that the provider's overall level of retention for 1999/2000 is below the sector averages, that provider will receive funds according to college size represented by full-time equivalent student numbers. All providers with level 2 provision in 1999/2000 will receive funds according to the size of their level 2 provision.

22 Providers will be expected to complete a report explaining how they have used their allocation to improve levels of retention and/or

achievement at level 2 by 30 June 2002. The LSC will provide a template for this report. Financial assistance from the Standards Fund for the achievement of level 2 qualifications complements two other initiatives designed to improve retention and achievement at level 2. One initiative relates to pastoral support funds from the Connexions service designed to support 16-19 year old learners in FE colleges, and the other initiative is being led by local Learning and Skills Councils. Funding for these two initiatives will flow through local offices, allocations and guidance on eligibility will be issued shortly.

## **1e: The basic skills quality initiative**

**Eligibility:** Providers formerly funded by the FEFC

### **Purpose**

23 The purpose of this category of the fund is to help providers to make improvements to the quality of their basic skills provision.

24 In 2001/02, the LSC will continue to fund the basic skills quality initiative (BSQI). Phase 1 of the BSQI provided financial assistance for providers to develop materials. In 2000/01, funds were allocated to providers to help them to review their strategies for improving basic skills provision. Funding was also made available to recruit and train facilitators who supported providers in developing appropriate strategies. In addition, the Council started a training programme for staff managing basic skills provision. During 2000/01, the contract for the delivery of this training programme was awarded to the Association of Colleges (AoC).

## Funding arrangements

25 The LSC will continue to fund the recruitment and training of facilitators, where it is appropriate, allocations to institutions and the training programme for those managing basic skills. In addition, the LSC intends to provide funding to support staff development networks for basic skills staff in each LLSC area.

26 Invitations to apply for a place on the training programme for managers of basic skills provision will be issued by the contractor and applications should be made directly to them. Staff attending a course will have their fees paid directly from the standards fund.

## Category 2: Professional Development

27 The purpose of this category of the fund is to help colleges and other further education providers to support the professional development needs of their staff. There are seven elements in this category of the fund. They are:

- 2a - qualifications for new teachers
- 2b - continuing professional development
- 2c - the principals' training programme
- 2d - training for college senior management teams
- 2e - training for senior managers (other further education providers)
- 2f - training for black managers
- 2g - new teaching posts.

28 During 2001/02, the Council intends to work with other post-16 organisations to develop a national framework for professional development.

## 2a: Qualifications for new teachers

Eligibility: FE sector colleges

### Purpose

29 The purpose of this initiative is to provide financial support to help unqualified new entrants to the teaching profession to obtain an appropriate qualification within a specified period. All unqualified new full-time teachers will be required to obtain a certificate of education or equivalent. All new teachers on fractional contracts will be required to reach the same level but over a longer timescale. For other new part-time teachers the requirement will be to achieve an introductory or intermediate teacher training qualification, appropriate to their role. Obtaining a teaching qualification will be a condition of employment for new entrants to the teaching profession.

30 In response to question 1 of annex B, sector colleges should indicate the likely number of new full-time, fractional and part-time teachers who will require financial assistance during the lifetime of this year's fund. In response to questions 2 and 3 of annex B, sector colleges should indicate whether they use an agency or third party provider to supply part-time teaching staff and the number of part-time staff supplied by the agency. Responses should be made to the LSC by 1 September 2001.

### Funding arrangements

31 Further guidance and details of administrative procedures are at annex D. Funds will be made available to cover course fees, staff replacement costs and travel, where the cost is in excess of normal home-to-work travel.

## **2b: Continuing professional development**

Eligibility: Providers formerly funded by FEFC

### **Purpose**

32 To provide financial support to help FE sector colleges and other eligible providers improve the quality of their provision by providing continuing professional development for full-time and part-time teaching staff, those supporting teaching and learning and support staff. In particular, providers will be expected to ensure that unqualified teachers currently employed have the opportunity and financial support to gain an appropriate teaching qualification. Financial support will also be provided to help FE sector colleges and other eligible providers make opportunities available for continuing professional development. Providers should ensure that there are sufficient opportunities for part-time teachers to improve their teaching skills. They will be expected to ensure that their plans for continuing professional development (CPD) include opportunities, where it is appropriate, for:

- the acquisition of appropriate professional, academic and vocational qualifications
- support for part-time teachers
- developing IT skills for teachers and those supporting learning
- retraining for teachers
- professional updating for teachers
- improving skills in providing pastoral care for learners
- middle management training, and where appropriate senior management training

- skills in the development of community-based learning.

### **Funding arrangements**

33 Eligible providers will be allocated funds for the provision of continuing professional development opportunities for their staff. Providers will receive funds according to college size represented by full-time equivalent student numbers. Funding for this initiative will need to be matched from the providers' own funds. Providers will be notified about their indicative allocation of funds in early summer 2001. They will be expected to submit a costed CPD action plan to their LLSC no later than 30 September 2001. A framework for a CPD action plan is at annex E. This action plan should cover a provider's CPD needs and will need to indicate 50% matched funding provided by the provider. The LSC will expect providers to continue to invest as much of their own funds as previously. The plan should set clear targets for development activities, including the delivery of qualifications. The LLSC will release funds after the receipt and agreement of this plan.

34 LLSCs will monitor progress.

35 Administrative procedures and an application form are at annex E. Teachers whose services are provided through a third party provider and for whose services the college pays the third party provider, are not eligible. Providers will, of course, wish to ensure that those parties providing teachers are providing appropriately trained and developed staff.

## **2c: The principals' training programme**

Eligibility: FE sector colleges

### **Purpose**

36 To provide management training for

principals of sector colleges.

37 In 1999, a contract for the development and delivery of a training programme for sector college principals was awarded to a consortium managed by the Further Education Development Agency (FEDA) (now the Learning and Skills Development Agency). Although participation in the programme does not automatically lead to a qualification, opportunities for gaining credit are available to successful candidates. The programme consists of three modules:

- taking stock
- leadership
- strategic practice.

#### Funding arrangements

38 During 2001/02, the LSC proposes to support up to 75 principals on the principals' training programme. Invitations to apply for a place on the principals' programme will be issued by the Learning and Skills Development Agency (LSDA) and applications should be made directly to them. Principals attending a course will have their fees paid directly from the standards fund.

## 2d: Training for senior management teams

Eligibility: FE sector colleges

#### Purpose

39 To provide training for FE sector college senior management teams.

40 During 2000/01, a training programme for college senior management teams was developed. The content of the programme is based on the draft further education management standards developed by the Further Education National Training Organisation (FENTO). The training programme complements the principals' training

programme. It helps senior management teams to meet the strategic objectives of their college as well as providing professional development for senior managers.

#### Funding arrangements

41 During 2001/02, the LSC will support up to 200 senior management teams. Each college will be eligible to receive a contribution of £5,000 towards the cost of participation in the programme. Invitations to apply for the programme will be issued by the LSDA and applications should be made directly to that organisation.

## 2e: Training for senior managers

Eligibility: LEA-maintained external institutions, independent external institutions, and higher education institutions

#### Purpose

42 To provide management training for senior managers involved in delivering FE provision in other further education providers.

43 During 2000/01, the FEFC provided funding for the development and delivery of training programmes for senior managers of FEFC-funded provision other than those in sector colleges. The LSC proposes to continue these programmes in 2001/02. Places will be available for up to 150 senior managers.

#### Funding arrangements

44 Invitations to apply for a place on the training programmes will be issued by the contractors responsible for the delivery of the programmes and applications should be made directly to them. Senior managers attending a course will have their fees paid directly from the standards fund.

## 2f: Training for black managers

Eligibility: Providers formerly funded by the FEFC

45 In the light of the low levels of representation of black staff at principal and senior management level in sector colleges, the FEFC allocated specific funding for a number of black middle and senior managers from FE sector colleges to undertake management training. The LSC intends to work closely with the Commission for Black Staff in Further Education to take forward this work. It is intended that this specific funding will be continued in 2001/02 to enable more black middle and senior managers to undertake management training. The LSC also intends to provide funding to enable the development of a coaching and mentorship scheme to support black managers.

### Funding arrangements

46 Invitations to apply for a place on the training programmes will be issued by the contractors responsible for the delivery of the programmes and applications should be made directly to them. Managers attending a course will have their fees paid directly from the standards fund. Details about the coaching and mentorship scheme will be made available in autumn 2001.

## 2g: New teaching posts

Eligibility: FE sector colleges

### Purpose

47 To enable sector colleges to fund new teaching posts.

### Funding arrangements

48 During 2000/01, the FEFC contributed 50% of the total cost of up to two new teaching posts up to a maximum of £20,000 in

over 360 colleges. The LSC intends to continue to fund this initiative for its second year. Each college that received funding in 2000/01 will receive funding for the same posts in 2001/02. The maximum contribution for one post will be £10,000. Colleges that applied for funding in 2000/01 do not need to re-apply unless there has been a change in the salaries of the post-holders. If this is the case, colleges should apply on the application form at annex F. Colleges which did not make an application in 2000/01, or only applied for funding to support one post will be eligible to apply for funding for up to two posts. Funding for this initiative will be available only in 2001/02.

49 An application form is at annex F.

## Category 3: The Governance Programme

Eligibility: FE sector colleges

### Purpose

50 To improve the quality of governance in sector colleges.

51 During 1999/2001, the FEFC funded a number of initiatives designed to improve the effectiveness of governance in sector colleges. These initiatives included:

- guidance for governors: *The College Governor*
- governor training materials
- training recognised governor trainers
- development of standards for governance and clerkship
- development of a governance 'health check'
- training for corporation clerks.

## Funding arrangements

52 The LSC intends to continue to fund training for corporation clerks and will also fund further training for governors. Details will be available later in autumn 2001.

## Category 4: Centres of Vocational Excellence

53 The LSC wishes to respond to the secretary of state's vision of a modern further education sector in which colleges are responsive and sharply focused on meeting the local and sectoral needs of employers. It will implement the network of new centres of vocational excellence announced by the secretary of state at the AoC's conference on 21 November 2000. It will ensure that these centres meet the objectives that the secretary of state set out in the announcement. These are to:

- ensure half of all general further education colleges in England have a centre of vocational excellence by 2004/05
- strengthen colleges' contribution to meeting the nation's skills needs
- enhance the standing of colleges with employers
- encourage innovative approaches in meeting sector and regional skills needs.

54 During 2001/02, the LSC will work with general further education colleges, national training organisations, regional development agencies (RDAs) and the Department for Education and Skills (DfES) to prepare for the effective implementation of this initiative.

## Category 5: Dissemination of Good Practice

55 There are three distinct elements in this category of the fund. They are:

- dissemination activity
- research and development activity
- special initiatives.

### 5a: Dissemination activity

**Eligibility:** Providers formerly funded by the FEFC which have been awarded an outstanding grade for any area of provision since September 1997 or have been newly awarded accredited or Beacon status and have not been identified as requiring exceptional support or having serious concerns. Providers formerly funded by FEFC which are inspected after 1 April 2001 and which reach an equivalent standard will also be eligible.

#### Purpose

56 To enable providers to share their good practice with others.

#### Funding arrangements

57 Allocations will be made in response to costed action plans drawn up by providers and agreed by LLSCs. LLSCs will monitor progress in implementation of action plans.

58 The maximum funding available is as follows:

- sector colleges or consortia of colleges can apply for up to £200,000 in any one year and up to £300,000 until April 2002. Limits are increased by £50,000 for accredited and Beacon colleges. Non-sector providers or consortia of providers can apply for up to £50,000 in any one year and up

to £70,000 over the life of the standards fund. These limits are increased by £50,000 for accredited and Beacon providers

- providers which have already received the maximum allocation may apply for up to £20,000 to enable a transition from funded activity to that which is not funded by the standards fund.

59 Administrative procedures and an application form are at annex G.

## 5b: Research and development activity

Eligibility: Providers formerly funded by the FEFC which receive funding for the dissemination of their good practice during the lifetime of the standards fund (1999/2000 to 2001/02)

### Purpose

60 To enable providers to carry out research and development activity including:

- researching new developments in areas awarded grade 1 at inspection
- sharing good practice between programme areas in the same institution
- identification of the most effective ways of transferring good practice to less successful areas, both internally and externally
- improving understanding of why practice in a particular area is outstanding.

### Funding arrangements

61 Allocations will be made in response to costed action plans drawn up by providers and

agreed by the LSC. LLSCs will monitor progress in implementation of action plans.

62 Wider dissemination of the outcomes of this research will be co-ordinated at national level by an appropriate organisation selected through a tendering process.

63 Providers can apply for up to 20% of funding received for dissemination activity up to a maximum of £40,000. This maximum is increased to £50,000 for accredited and Beacon colleges.

64 Administrative procedures and an application form are at annex H.

## 5c: Special initiatives

Eligibility: Providers formerly funded by the FEFC will be eligible to participate in relevant activities offered as part of a national programme. Invitations to take part in the activities will be issued by the appropriate contractor

### Purpose

65 To identify and share good practice in specific areas.

66 During 2000/01, the FEFC funded a number of special initiatives to encourage providers to share good practice in areas where few outstanding grades had been awarded, or where the FEFC's inspectorate did not inspect provision explicitly. These were in construction, engineering, New Deal provision and sustainability in environmental practices. The LSC intends that these initiatives will continue and that specific funding should also be made available to share good practice in:

- raising levels of achievement for learners from minority ethnic groups, where these are low

- engaging adults in learning through local partnerships
- providing education for learners with emotional and behavioural difficulties
- improving learners' attendance and punctuality
- improving the progression of young people from foundation/intermediate level to level 3 vocational qualifications
- health and safety
- developing healthy colleges
- approaches to developing citizenship
- models of advanced practitioner status.

### Funding arrangements

67 Providers will be able to participate in relevant activities offered as part of a national programme. Invitations to take part in the activities will be issued by the appropriate contractor.

# Annex B: Response form – Qualifications for new teachers: (FE colleges only)

101 Lockhurst Lane  
Foleshill, Coventry  
CV6 5SF  
T 024 7658 2761  
F 024 7658 2738

www.lsc.gov.uk  
info@lsc.gov.uk

(Reference Circular 01/02)

Please complete and return this form to Bettina Bullock at the Council's Coventry office, 101, Lockhurst Lane, Foleshill, Coventry CV6 5SF by 1 September 2001.

Name of provider ( <i>please print</i> )
Contact name for queries ( <i>please print</i> )
Telephone no.
Fax no.
E-mail address



**Learning+Skills Council**

All paragraph references are to annex A

## Qualifications for new teachers (paragraphs 29–31)

1 For September 2001 start, sector colleges should indicate below for their colleges:

- the likely number of new full-time entrants to the teaching profession      Number
- the likely number of new fractional teachers entering teaching      Number
- the likely number of new part-time teachers entering teaching      Number

2 Does your college use part-time teachers supplied by an agency or third party provider?       Yes       No (*please tick*)

Name of the agency or third party provider

3 If the answer to question 2 is Yes, how many individual part-time teachers are supplied during a year?

Number

# Annex C: Categories 1a) and 1b) – Administrative procedures

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## Applying for Funding

1 The LLSC will notify providers of the amount of funding available to them when they are identified as causing concern (category 1a) or when their inspection report is published (post-inspection support category 1b). Each letter will identify the name of the LSC's primary contact for the provider who will provide any assistance the provider needs in clarifying the issues to be addressed. The letter will also include the date by which a costed action plan should be forwarded to the LSC. This will normally be within two months of notification. Applications for funding should include:

- a. a costed action plan; and
- b. a copy of the application form at the end of this section signed by the provider's accounting officer.

2 The accounting officer is the principal of a FE sector college but may be another person for other further education providers. Application forms cannot be accepted without an original signature.

3 For post-inspection support, providers may choose to send an appropriately costed copy of their updated development plan and, where appropriate, the post-inspection annex.

## Action plans

4 The LSC wishes to receive a costed action plan (or costed updated development

plan and, where appropriate, annex) covering all the activities for which post-inspection funding are sought.

5 Costed action plans should be brief but clear and should identify:

- a. the standards fund category from which funding is sought;
- b. areas requiring improvement;
- c. the actions proposed and, where appropriate, their priority;
- d. estimated costs for each action (a brief explanation of the basis of the estimate is required);
- e. measurable outcomes resulting from funded activities;
- f. timescales for expenditure, when actions have to be completed and the measurable outcomes achieved;
- g. ways in which progress in making improvements will be monitored and evaluated by the provider.

6 The LSC will assess the adequacy of costed action plans submitted by providers before funding is agreed. The assessment will consider whether:

- a. the proposed actions effectively address weaknesses as identified to the provider by the LSC, for example in inspection reports or letters conveying the outcomes of provider reviews;
- b. the priorities for action are clear;

- c. the timescale for making improvements is realistic and achievable;
- d. the plans have been costed in a prudent way and appear to offer good value for money;
- e. the provider has identified appropriate measurable factors to indicate success;
- f. the proposed evaluation of progress appears suitable;
- g. appropriate consideration has been given to obtaining support from providers funded to share their good practice with others.

7 The LSC undertakes to respond to all action plans received within five working weeks. Once an action plan is approved, a provider will receive a letter outlining arrangements for payment, support and monitoring. If the plan is not approved, the provider will be expected to resubmit its plan. Only approved plans will receive funding. An example of an action plan in tabular format is available at <http://www.fefc.ac.uk/quality/standards-fund.html>

## Monitoring progress

8 The LSC will use the monitoring and evaluation activities identified in the provider's action plan to establish its own monitoring and reporting activities aimed at assessing the impact of the standards fund, both at a local and national level.

9 The LSC will pay particular attention to progress made by providers causing concern and funded under category 1a. These will be considered during provider reviews, at which matters such as outstanding issues, progress against payments and the achievement of milestones will be monitored.

10 Progress made by providers receiving support from the standards fund will normally be monitored through visits by staff from LLSCs and considered at provider reviews.

11 Providers should maintain sufficient, clear information about their use of funding from the standards fund to allow them to monitor their expenditure and to evaluate the impact of their activities on improvement, and to demonstrate to others that a clear management trail exists.

12 The responsibility for improving quality lies primarily with providers and the LSC requires providers to respond purposefully and constructively to the identified weaknesses. Providers should note, however, that in order to fulfil its statutory duties, the LSC will consider what additional steps it requires to take if a provider:

- a. is unwilling or unable to produce an acceptable action plan;
- b. shows no improvement or seriously declines during the planned recovery period;
- c. still causes concern after a reinspection.

## Administration of Funds

13 Funds will normally be allocated to providers, rather than paying claims for expenditure from providers in retrospect. Funding may be staged until a provider has made sufficient progress. Where action plans are not completed the LSC reserves the right to reclaim funds (in part or in full).

14 The financial year to which funding applies will depend on the timescale of the action plan to which funding relates. Should the action plan take place over more than one financial year, funding may be carried over for the duration of the action plan.

15 The LSC recognises that the costings in an action plan will be based on best estimates of both time and funding required to complete identified actions. It may be appropriate for funds to be vired between different elements of an action plan during its lifetime. Should this be the case, providers are asked to obtain approval from their LLSC for virement of over 5% between subheads.

16 Providers must be able to demonstrate that funding will only be for additional expenditure incurred by providers and must not be substituted for any expenditure already planned or normally incurred by a provider. Funding should be used to ensure that improvements are made more quickly than would otherwise be possible.

## Tendering and procurement

17 Providers should comply with all statutory and other legal requirements as may apply to the implementation of their action plans and use of funding and apply good practice to any procurement and tendering. Providers may find useful the joint FEFC/National Audit Office good practice guides: *Estate Management in Further Education Providers* (TSO, 1996); and *Procurement* (TSO, 1997).

## VAT

18 Providers should consult their financial advisers and, if necessary, their local HM Customs and Excise Office to ascertain what aspects of expenditure will incur VAT.

## Capital assets

19 Providers will be bound by the provisions of their financial memorandum with the LSC in respect of capital assets purchased with assistance from the fund.

## Health and safety and equal opportunities

20 Successful action plans must demonstrate proper consideration of relevant health and safety and equal opportunities statutory requirements.

## Evidence for audit purposes and accounting procedures

21 Providers will be expected to keep copies of all invoices and other appropriate costs records (correctly processed and certified) as evidence of expenditure for audit purposes. Providers should show income from the standards fund as a specific line on their financial statements in a similar fashion to the treatment of access funds. If the provider has earmarked any part of the grant for capital purposes, where at the end of any financial year the provider has not spent the full amount earmarked, the balance should be shown under current liabilities within 'payments received on account'.

## Publication of outcomes

22 The LSC will wish to publish and disseminate information about activities supported under the fund.

## Eligible Expenditure

23 Before incurring costs, providers are requested to refer to the following illustrative list of eligible items of expenditure. Should expenditure be planned for items not on this list, providers should contact their LLSC for further guidance. Any expenditure incurred on items not on this list is at the provider's own risk without LSC approval. Care should be taken to ensure that expenditure is in addition to that which would have been incurred had funding not been available and that

appropriate procedures apply to the selection of consultants and contractors. All providers receiving funding under the standards fund must ensure and be able to demonstrate that their activities are not being double-funded. The guiding principle in determining eligibility of expenditure should, in all cases, be that of reasonableness.

24 The following list of items is not intended to be exhaustive, but gives providers guidance on appropriate activities:

- a. staff time and/or replacement costs;
- b. hire of equipment;
- c. hire of facilities to undertake study;
- d. independent consultants' fees and expenses;
- e. purchase of materials;
- f. purchase of equipment;
- g. installation of and work associated with new management information systems and software;
- h. staff training and development costs.

25 Wherever possible, independent estimates for costs should be obtained and included with the action plan. In any event the basis for any estimates should be clearly stated.

## **Staff costs**

26 Providers should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund.

# Appendix to annex C: Application form for categories 1a) and 1b)

101 Lockhurst Lane  
Foleshill, Coventry  
CV6 5SF  
T 024 7658 2761  
F 024 7658 2738

www.lsc.gov.uk  
info@lsc.gov.uk

(Reference Circular 01/02)

**Category 1a) Colleges causing concern**

**Category 1b) Post-inspection support**

Please return the completed form to the executive director of your Local and Learning Skills Council, together with a copy of your action plan and estimates where appropriate.



**Learning+Skills Council**

## Section 1. Provider details

Name of provider ( <i>please print</i> )
Contact name for queries ( <i>please print</i> )
Telephone no.
Fax no.
E-mail address

## Section 2. Summary of funding applied for

Category	Amount of funding applied for
Category 1a) – colleges causing concern	
Category 1b) – post-inspection support	

## Section 3. Declaration

For completion by the provider's accounting officer (normally the principal)

As principal of \_\_\_\_\_, I confirm that the:

- a funds will be subject to the college's accounting and auditing arrangements;
- b funds will be repaid if so required by the Council;
- c funds will be used for expenditure additional to that which would have been incurred had funding not been available;
- d college will put in place arrangements for evaluating the use of the funding;
- e funds are to be used for the purposes applied for;
- f Council may publish and disseminate information on the use by colleges of the standards fund.

Signature
Name (please print)
Date

# Annex D: Supplementary guidance: Category 2a) – Qualifications for new teachers

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## Purpose

1 The purpose of this initiative is to provide financial support to help unqualified new entrants to the teaching profession in FE colleges to achieve an appropriate qualification within a specified period. The achievement of a teaching qualification will be a condition of employment for new entrants to the FE teaching profession.

2 The statutory instrument that underpins this document is: *The Further Education Teachers' Qualifications (England) Regulations 2001, No. 1209*.

## FE Teaching Qualifications

3 This initiative will relate to any person employed as a new teacher in a FE sector college. Exceptions include:

- a. a person who is employed to teach courses of higher education only (that is any HE not just HEFCE funded HE); and
- b. a person whose primary occupation or profession is not teaching and who is employed by the college on a temporary or occasional basis to provide updating on current industrial, commercial or professional practice. (Temporary basis is regarded as up to one year. A succession of short-term contracts does not provide exemption.)

4 In September 2001, the new qualifications framework for teachers will be introduced. There will be three stages of FE

teaching qualifications based on the FENTO teaching standards:

- Stage 1 – introductory
- Stage 2 – intermediate
- Stage 3 – full professional (this is equivalent to existing PGCE/Certificate of Education qualifications).

These stages are the groupings of skills from the teaching standards as defined by the FENTO and available for reference in the appendix to the consultation paper on FE teaching qualifications at [www.dfes.gov.uk/felecturers](http://www.dfes.gov.uk/felecturers)

5 From 1 September 2001 (see appendix 1 to this annex for exceptions), all unqualified new teachers employed on:

- a. a full-time or fractional basis will be required to obtain a stage 3 full professional qualification, or the equivalent, within two years of the first suitable course start date;
- b. a part-time contract in a Stage 3 role will be required to obtain a Stage 3 full professional qualification, or the equivalent, within four years of the first suitable course start date;
- c. a fractional or part-time contract in a Stage 2 post, will be required to obtain a Stage 2 intermediate qualification within four years of the first suitable course date;
- d. a fractional or part-time contract in a Stage 1 post, will be required to obtain a

Stage 1 introductory qualification within two years of the first suitable course date.

6 For new employees providing the service of relevant teachers who do not have contracts of employment, as well as those employed under contracts of employment, the timescales and levels of qualifications are outlined in (5) above. For the purposes of this initiative, colleges will not be able to apply for funds to assist agency staff in the completion of relevant qualifications.

7 In calculating the periods for achievement of a qualification in (5) above the following should not be taken into account:

- a. any periods during which the teacher is on sick leave, maternity or parental leave; and
- b. any other periods which in all the circumstances, it is reasonable to leave out of account.

8 If a new teacher who takes up post on or after 1 September 2001 completes a Stage 1 or 2 qualification and then moves to a Stage 2 or 3 post then he or she will be required to gain the appropriate qualification to match that more advanced stage within the timescales mentioned in (5) above.

## Administrative Arrangements

9 In annex A, paragraph 30, colleges are requested to complete annex B which indicates the likely number of new full-time, fractional and part-time teachers who will require financial assistance during the lifetime of this year's standards fund, that is, between April 2001 and March 2002. Colleges are reminded to return this form to Bettina Bullock at the Council's Coventry office by 1 September 2001. Colleges will receive funds to enable new teachers to achieve FE teaching qualifications.

10 Colleges will need to return an application to their Local Learning and Skills Council before funds are released.

11 Applications for funding should include:

- a copy of the application form appendix 2 to annex D signed by the college's principal, and
- a copy of a detailed breakdown of FE staff undertaking teaching qualifications, appendix 3 to annex D.

*Application forms cannot be accepted without an original signature from the principal or head of institution.*

12 Applications should be sent to the local Learning and Skills Councils no later than 30 September 2001.

## Monitoring Progress

13 A report on activities undertaken during the academic year 2001/02, including expenditure and evaluation of the activity, should be sent to the local Learning and Skills Council by 31 July 2002. A proforma will be provided for this activity.

14 Progress made by colleges receiving support from the standards fund will normally be monitored through routine visits by staff from local Learning and Skills Councils.

15 Colleges should maintain sufficient, clear information about their use of funding from the standards fund to allow them to monitor their expenditure, evaluate the impact of their activities on improvement, and demonstrate to others that a clear management trail exists.

## Administration of Funds

16 Funds will be made available on receipt of an application form and table showing the breakdown of individual FE teachers working towards teaching qualifications. Colleges should apply for funding no later than 30 September 2001. It is anticipated that payment will be made on a monthly basis thereafter.

## Tendering and procurement

17 Colleges should comply with all statutory and other legal requirements as may apply to the implementation of use of funding and apply good practice to any procurement and tendering. Colleges may find useful the joint FEFC/NAO good practice guides: *Estate Management in Further Education Providers* (TSO, 1996); and *Procurement* (TSO, 1997).

## VAT

18 Colleges should consult their financial advisers and, if necessary, their local HM Customs and Excise Office to ascertain what aspects of expenditure will incur VAT.

## Health and safety and equal opportunities

19 Successful applications must demonstrate proper consideration of relevant health and safety and equal opportunities statutory requirements.

## Evidence for audit purposes and accounting procedures

20 Colleges will be expected to keep copies of all invoices and other appropriate costs records (correctly processed and certified) as evidence of expenditure for audit purposes. Colleges should show income from the standards fund as a specific line on their financial statements in a similar fashion to the treatment of access funds. Where at the end of any financial year, the college has not spent the full amount earmarked, the balance should be shown under current liabilities within 'payments received on account'.

## Publication of outcomes

21 The Council will wish to publish and disseminate information about activities supported under the fund.

## Eligible Expenditure

22 For full-time staff, funds will be made available to cover course fees, staff replacement costs and travel, where the cost is in excess of normal home-to-work travel. FE teachers completing a Stage 3 full professional qualification will be eligible to apply to have fees paid through a mandatory grant by the home LEA.

23 Colleges should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund. An indicative rate for staff replacement costs would be £20 per hour.

24 For staff employed on fractional contracts or a part-time basis and providing the service of a teacher, funds will be made available to cover course fees and travel, where the cost is in excess of normal home-to-work travel. FE teachers completing a Stage 3 full professional qualification will have fees paid through a mandatory grant by the home LEA. For fractional and part-time staff, staff replacement costs will be paid on the following pro-rata basis:

The regulation (S.I. 2001/1209) applies to every new entrant to the teaching profession on or after 1 September 2001 at an institution in England who has not at any time before that date been:

Number of teaching hours per week	Cover costs to be claimed
Up to 5	1
5-10	2
10-15	3

# Appendix 1 to annex D: Exceptions to the FE teaching requirement

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- a relevant teacher at an institution in England or Wales;
- a teacher at:
  - in England or Wales, a school maintained by a local education authority, a city technology college, a city college for the technology of the arts or city academy or, before 1 September 1999 a grant-maintained or grant-maintained special school;
  - in Scotland, a grant-aided school or school maintained by an education authority;
  - in Northern Ireland, a controlled school under the authority of a local education and library board, a maintained school, a grant-maintained integrated school or a voluntary grammar school;
  - an institution (in England or Wales) which, before 1 April 2001, was an external institution within the meaning of section 6(5) of the *Further and Higher Education Act 1992(c)*;
- a teacher at:
  - in Scotland, a college of further education;
  - in Northern Ireland, an institute of further education within the meaning of the *Further Education (Northern Ireland) Order 1997(d)*;
  - an institution in the European Economic Area, the Channel Islands or the Isle of Man, providing education which is equivalent to secondary or further education and which is part of the public system of education of the state or territory in question.

# Appendix 2 to annex D: Application form for FE sector colleges only Category 2a)

101 Lockhurst Lane  
Foleshill, Coventry  
CV6 5SF  
T 024 7658 2761  
F 024 7658 2738

www.lsc.gov.uk  
info@lsc.gov.uk

(Reference Circular 01/02)

## Qualifications for new teachers

Please complete and return this form together with a completed copy of appendix 3 to annex D to the executive director of your Local and Learning Skills Council by 30 September 2001.



**Learning+Skills Council**

## Section 1. Provider details

College name <i>(please print)</i>
College contact <i>(please print)</i>
Telephone no.
Fax no.
E-mail address

## Section 2. Summary of funding applied for

Please complete the following table showing the number of teachers for whom funding is being applied. In addition, send a completed copy of appendix 3 to annex D to the executive director of your Local and Learning Skills Council.

	Total
Number of full-time teachers undertaking teaching qualification	
Number of part-time teachers undertaking teaching qualification	
Number of teachers on fractional contracts undertaking teaching qualification	
Amount relating to travel costs (in excess of normal home-to-work travel)	
Amount relating to course fees (staff pursuing stages 1 and 2 only as stage 3 is paid by LEA)	
Amount relating to staff replacement costs	
Amount of funding applied for	£

### Section 3. Declaration

For completion by the principal

As principal of *(name of college)* , I confirm that the:

- a funds will be subject to the college's accounting and auditing arrangements;
- b funds will be repaid if so required by the Council;
- c funds will be used for expenditure additional to that which would have been incurred had funding not been available;
- d college will put in place arrangements for evaluating the use of the funding;
- e funds are to be used for the purposes applied for;
- f Council may publish and disseminate information on the use by colleges of the standards fund.

Signature

Name *(please print)*

Date



# Annex E: Category 2b) – Administrative procedures

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## Applying for Funding

1 Eligible providers will be allocated funds for the provision of continuing professional development (CPD) opportunities for their staff. They will receive funds according to institution size represented by full-time equivalent student numbers. Funding for this initiative will need to be matched from the providers' own funds. The LLSC will notify providers of the amount of funding available to them in summer 2001.

2 The LSC recognises that CPD is an ongoing responsibility for providers. Providers' CPD plans should show clear references to their annual development plan. Funding is intended to complement providers' own financial contribution and to allow development to take place more quickly than would otherwise be the case. Funding for this initiative will need to be matched from the providers' own funds. Providers will be notified about their indicative allocation of funds in early summer 2001. The CPD action plan should cover a providers' continuing professional development needs and will need to indicate 50% matched funding provided by the provider. The LSC will expect providers to continue to invest as much of their own funds as previously. Funds will be released after the receipt of this plan.

3 Applications for funding should include:

- a. a copy of the providers' CPD plan with an indication of which elements it is

proposed should be supported by the standards fund; and

- b. a copy of the application form at the end of this section signed by the provider's accounting officer.

4 The accounting officer is the principal of a FE sector college but may be another person for non-sector college providers. Application forms cannot be accepted without an original signature.

5 Applications should be sent to the LLSC not later than 30 September 2001.

## Monitoring Progress

6 A report on activities undertaken during the teaching year 2001/02, including expenditure and an evaluation of the activity undertaken should be sent to the LLSC by 31 July 2002.

7 Progress made by providers receiving support from the standards fund will normally be monitored through routine visits by staff from their LLSC.

8 Providers should maintain sufficient, clear information about their use of funding from the standards fund to allow them to monitor their expenditure and to evaluate the impact of their activities on improvement, and to demonstrate to others that a clear management trails exists.

## Administration of Funds

9 Funds will be made available on receipt of an application and a CPD plan. Providers should apply for funding no later than 30 September 2001. It is anticipated that payments will start in October 2001. Where action plans are not completed the LSC reserves the right to reclaim funds (in part or full).

10 Funding will only be for additional expenditure incurred by providers and must not be substituted for any expenditure already planned or normally incurred by a provider. Funding should be used to ensure that improvements are made more quickly than would otherwise be possible.

## Tendering and procurement

11 Providers should comply with all statutory and other legal requirements as may apply to the implementation of their action plans and use of funding and apply good practice to any procurement and tendering. Providers may find useful the joint FEFC/NAO good practice guides: *Estate Management in Further Education Providers* (TSO, 1996); and *Procurement* (TSO, 1997).

## VAT

12 Providers should consult their financial advisers and, if necessary, their local HM Customs and Excise Office to ascertain what aspects of expenditure will incur VAT.

## Capital assets

13 Providers will be bound by the provisions of their financial memorandum with the LSC in respect of capital assets purchased with assistance from the fund.

## Health and safety and equal opportunities

14 Successful action plans must demonstrate proper consideration of relevant health and safety and equal opportunities statutory requirements.

## Evidence for audit purposes and accounting procedures

15 Providers will be expected to keep copies of all invoices and other appropriate costs records (correctly processed and certified) as evidence of expenditure for audit purposes. Providers should show income from the standards fund as a specific line on their financial statements in a similar fashion to the treatment of access funds. If the provider has earmarked any part of the grant for capital purposes, where at the end of any financial year the provider has not spent the full amount earmarked, the balance should be shown under current liabilities within 'payments received on account'.

## Publication of outcomes

16 The LSC will wish to publish and disseminate information about activities supported under the fund.

## Eligible Expenditure

17 Before incurring costs, providers are requested to refer to the following illustrative list of eligible items of expenditure. Should expenditure be planned for items not on this list, providers should contact their LLSC for further guidance. Any expenditure incurred on items not on this list is at the provider's own risk without LSC approval. Care should be taken to ensure that expenditure is in addition to that which would have been incurred had funding not been available and that

appropriate procedures apply to the selection of consultants and contractors. All providers receiving funding under the standards fund must ensure and be able to demonstrate that their activities are not being double-funded. The guiding principle in determining eligibility of expenditure should, in all cases, be that of reasonableness.

18 The following list of items is not intended to be exhaustive, but gives providers guidance on appropriate activities:

- a. staff time and/or replacement costs;
- b. hire of equipment;
- c. hire of facilities to undertake study;
- d. trainers' fees and expenses;
- e. course fees and expenses;
- f. purchase of materials;
- g. purchase of equipment for delivering training.

19 Wherever possible, independent estimates for costs should be obtained and included with the action plan. In any event the basis for any estimates should be clearly stated.

## **Staff Costs**

20 Providers should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund.

# Appendix 1 to annex E: Application form for category 2b)

101 Lockhurst Lane  
Foleshill, Coventry  
CV6 5SF  
T 024 7658 2761  
F 024 7658 2738

www.lsc.gov.uk  
info@lsc.gov.uk

(Reference Circular 01/02)

## Category 2b) Continuing professional development

Please return the completed form to the executive director of your Local and Learning Skills Council, together with a copy of your CPD plan, no later than 30 September 2001.



**Learning+Skills Council**

## Section 1. Provider details

Name of provider ( <i>please print</i> )
Contact name for queries ( <i>please print</i> )
Telephone no.
Fax no.
E-mail address
Amount of funding applied for £

## Section 2. Declaration

For completion by the provider's accounting officer (normally the principal)

As principal of \_\_\_\_\_, I confirm that the:

- a funds will be subject to the college's accounting and auditing arrangements;
- b funds will be repaid if so required by the LSC;
- c funds will be used for expenditure additional to that which would have been incurred had funding not been available;
- d that the provider will put in place arrangements for evaluating the use of the funding;
- e funds are to be used for the purposes in the plan;
- f that the LSC may publish and disseminate information on the use by providers of the standards fund.

Signature
Name ( <i>please print</i> )
Date

## Framework for a costed continuing professional development plan (an example)

### Continuing Professional Development – 2b) Professional Updating for Staff

Areas requiring improvement: strengthening the teaching skills of those teachers/trainers working with learners at levels 1 and 2 (to include the aspect of continuing professional development addressed by this part of the plan, together with any self-assessment or national/organisational priorities, as appropriate)

Content	Intended learning outcome(s)	Target(s) for improvement	Nature of development activity	Duration and frequency	Target group	Estimated number of participants	Estimated dates
1: Ways of structuring a teaching session	Staff better able to: • vary structure of sessions appropriately	a. retention and achievement to improve overall by at least 2%, and at level 1 and 2 by at least 7% and 10%	A set of 3 workshops, each one dealing with one topic and repeated 4 times.	3 hours per topic/ workshop; each run of 4 to cover different days/ times of the week, including one set on alternate Saturday mornings.	All teachers and trainers working on level 1 and 2 provision.  (Other staff who are interested will be able to attend, if space permits.)	75 full-time and 40 part-time teachers/trainers.	Between June 2001 and 31 October 2001
2: Meeting individual learning needs in a group setting	• find ways of catering for individual learners in a group setting	b. observation grades to improve overall, and by 3% at level 1 and 5% at level 2					
3: Making good use of learning styles.	• use a range of teaching styles.	c. learner satisfaction surveys to show that 90% of learners at levels 1 and 2 rate teaching satisfactory or better					
		d. all lesson plans to indicate structure, reason for structure and the individual needs being met.					
An indication of the topic(s) to be covered.	Intended outcome(s) of the development activity.	The measurable improvement in performance sought.	Mode(s) of delivery, eg workshop, course, secondment.	How long the activity will last and the pattern of delivery.	The intended participants.	Likely numbers attending.	Timings – months and year.



# Annex F: Application form for category 2g)

101 Lockhurst Lane  
Foleshill, Coventry  
CV6 5SF  
T 024 7658 2761  
F 024 7658 2738

www.lsc.gov.uk  
info@lsc.gov.uk

(Reference Circular 01/02)

## Category 2g) New teaching posts

Please return the completed form to Bettina Bullock at the quality improvement team, Learning and Skills Council, 101 Lockhurst Lane, Foleshill, Coventry CV6 5SF, no later than 30 September 2001.



**Learning+Skills Council**

## Section 1. Provider details

Name of provider <i>(please print)</i>
Contact name for queries <i>(please print)</i>
Telephone no.
Fax no.
E-mail address

## Section 2. Summary of funding applied for

Post 1		Post 2	
Title of post		Title of post	
Salary (annual) £		Salary (annual) £	
On-costs	£	On-costs	£
Total cost	£	Total cost	£
Justification for recruitment to this area		Justification for recruitment to this area	

### Section 3. Declaration

For completion by the provider's accounting officer (normally the principal)

As principal of \_\_\_\_\_, I confirm that the:

- a funds will be subject to the college's accounting and auditing arrangements;
- b funds will be repaid if so required by the LSC;
- c funds will be used for expenditure additional to that which would have been incurred had funding not been available;
- d that the provider will put in place arrangements for evaluating the use of the funding;
- e funds are to be used for the purposes in the application;
- f that the LSC may publish and disseminate information on the use by providers of the standards fund.

Signature

Name (please print)

Date

# Annex G: Category 5a) – Administrative procedures

---

## Applying for Funding

1 Providers will be notified of their eligibility when their inspection report is published.

2 Applications for funding from newly inspected providers should be sent to the LLSC within two months of notification.

3 Providers which were eligible for funding before 31 March 2001 may apply for additional funding up to the maximum limits. Applications for additional funding should be made by 30 September 2001.

4 The key consideration for each provider in applying for funding should be whether:

- a. the dissemination of its experience and skills will be helpful to other providers and lead to the achievement of higher standards of work;
- b. it has the skills to manage an effective dissemination programme;
- c. there is likely to be demand for the proposed support.

5 While the LSC does not wish to be prescriptive about the nature of dissemination activity, providers should aim to use a wide range of methods in disseminating good practice and to avoid duplication. They should indicate clearly whether their activities in disseminating good practice promote, for example:

- a. awareness – which might include: the distribution of materials; publicity;

publications; conferences; websites; demonstration workshops;

- b. understanding – which is more likely to include: consultancy; workshops or secondments that actively engage participants and provide specific activities which can be replicated elsewhere.

6 Providers will be expected to demonstrate that they are sharing their good practice with others that have weaknesses in related areas. Double funding could arise when one provider has received funding to buy in support under category 1 while another has been funded to provide support under category 5. In this instance, the providers concerned should make sure that activities are not funded through both categories of the fund.

7 The LSC wishes in particular to encourage collaboration but does not wish to receive multiple applications to fund the same project. A lead provider should be nominated to make the application for funding and receive payments from the LSC. The lead provider will be responsible for ensuring that funding is used appropriately by collaborating partners and that funded activities lead to the projected outcomes.

8 The LSC will be particularly interested in applications for funding for collaborative activity which seeks to strengthen or develop the working relationships that will be required following the establishment of the LSC. Providers should consider using lifelong learning partnerships, LLSC boundaries or other

existing initiatives as the basis for collaborative working arrangements.

9 Action plans covering collaborative initiatives should make the contribution of each participating provider clear and should be signed by the principal of each collaborating provider.

10 Applications for funding should include:

- a. a costed action plan;
- b. a copy of the application form at the end of this section signed by the provider's accounting officer (normally the principal);
- c. for second and subsequent applications for funding, an evaluation of the dissemination activity carried out to date;
- d. a brief statement (no more than one page) about their experience to date in managing or participating in the dissemination of good practice. In this context, it should be noted that lack of experience will not preclude funding under category 5.

## Action plans

11 Costed action plans should be brief but clear and should identify:

- a. whether the application relates to the award of Beacon or accredited status or the award of one or more outstanding grades;
- b. the identified good practice which the proposed activity is intended to share;
- c. the actions proposed and, where appropriate, their priority;
- d. estimated costs for each action (a brief explanation of the basis of this estimate is required);
- e. measurable outcomes resulting from funded activities, including the number of

those that will benefit from dissemination activities;

- f. timescales for expenditure, when actions have been completed and for achieving the measurable outcomes;
- g. ways in which progress will be monitored and evaluated by the provider;
- h. where transitional funding is requested there should be a clear indication of how dissemination activity will be funded in future.

12 The LSC will assess the adequacy of costed action plans submitted by providers before funding is agreed. The assessment will consider whether:

- a. the proposed actions are clearly founded on the strengths identified within the provider and its expertise;
- b. activities are in addition to other initiatives funded by the LSC;
- c. the timescale for activity is realistic and achievable;
- d. the plans have been costed in a prudent way and appear to offer good value for money;
- e. the provider has identified appropriate measurable factors to indicate success;
- f. the proposed evaluation of progress appears suitable;
- g. account has been taken of existing dissemination activity supported by the standards fund.

13 The LSC undertakes to respond to all action plans received within five working weeks. Once an action plan is approved, a provider will receive a letter outlining arrangements for payment, support and monitoring. Applications may be partly approved or funding may be staged where additional information is required.

## Monitoring progress

14 The LSC will use the monitoring and evaluation activities identified in the provider's action plan to establish its own monitoring and reporting activities aimed at assessing the impact of the standards fund, both at a local and national level.

15 Progress made by other providers receiving support from the standards fund will normally be monitored through routine visits by staff from LLSCs. In addition, providers will be expected to provide an evaluation on the outcomes of each activity on its completion.

16 Providers should maintain sufficient, clear information about their use of funding from the standards fund to allow them to monitor their expenditure and to evaluate the impact of their activities on improvement, and to demonstrate to others that a clear management trail exists.

## Administration of Funds

17 Whenever possible, funds will be allocated to providers, rather than paying claims for expenditure from providers in retrospect. Where action plans are not completed the LSC reserves the right to reclaim funds (in part or in full).

18 The financial year to which funding applies will depend on the timescale of the action plan to which funding relates. Should the action plan take place over more than one financial year, funding may be carried over for the duration of the action plan.

19 The LSC recognises that the costing in an action plan will be based on best estimates of both time and funding required to complete identified actions. It may be appropriate for funds to be vired between different elements of an action plan during its lifetime. Should this be the case providers are asked to obtain

approval for such a variation of over 5% between subheads from their LLSC.

20 Providers must be able to demonstrate that funding will only be for additional expenditure incurred by providers and must not be substituted for any expenditure already planned or normally incurred by a provider. Funding should be used to ensure that improvements are made more quickly than would otherwise be possible.

## Tendering and procurement

21 Providers should comply with all statutory and other legal requirements as may apply to the implementation of their action plans and use of funding and apply good practice to any procurement and tendering. Providers may find useful the joint FEFC/NAO good practice guides: *Estate Management in Further Education Providers* (TSO, 1996); and *Procurement* (TSO, 1997).

## VAT

22 Providers should consult their financial advisers and, if necessary, their local HM Customs and Excise Office to ascertain what aspects of expenditure will incur VAT.

## Capital assets

23 Providers will be bound by the provisions of their financial memorandum with the LSC in respect of capital assets purchased with assistance from the fund.

## Health and safety and equal opportunities

24 Successful action plans must demonstrate proper consideration of relevant health and safety and equal opportunities statutory requirements.

## **Evidence for audit purposes and accounting procedures**

25 Providers will be expected to keep copies of all invoices and other appropriate costs records (correctly processed and certified) as evidence of expenditure for audit purposes. Providers should show income from the standards fund as a specific line on their financial statements in a similar fashion to the treatment of access funds. If the provider has earmarked any part of the grant for capital purposes, where at the end of any financial year the provider has not spent the full amount earmarked, the balance should be shown under current liabilities within 'payments received on account'.

## **Publication of outcomes**

26 The LSC will wish to publish and disseminate information about activities supported under the fund.

## **Eligible Expenditure**

27 Before incurring costs, providers are requested to refer to the following illustrative list of eligible items of expenditure. Should expenditure be planned for items not on this list, providers should contact their LLSC for further guidance. Any expenditure incurred on items not on this list is at the provider's own risk without LSC approval. Care should be taken to ensure that expenditure is in addition to that which would have been incurred had

funding not been available and that appropriate procedures apply to the selection of consultants and contractors. All providers receiving funding under the standards fund must ensure and be able to demonstrate that their activities are not being double-funded. The guiding principle in determining eligibility of expenditure should, in all cases, be that of reasonableness.

28 The following list of items is not intended to be exhaustive, but gives providers guidance on appropriate activities:

- a. staff time and/or replacement costs;
- b. hire of equipment;
- c. hire of facilities to undertake study;
- d. independent consultants' fees and expenses;
- e. purchase of materials;
- f. purchase of equipment;
- g. staff training and development costs.

29 Wherever possible, independent estimates for costs should be obtained and included with the action plan. In any event the basis for any estimates should be clearly stated.

## **Staff Costs**

30 Providers should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund.

# Appendix to annex G: Application form for category 5a)

101 Lockhurst Lane  
Foleshill, Coventry  
CV6 5SF  
T 024 7658 2761  
F 024 7658 2738

www.lsc.gov.uk  
info@lsc.gov.uk

(Reference Circular 01/02)

## Category 5a) Dissemination of good practice

Please return the completed form to the executive director of your Local Learning and Skills Council together with a copy of your action plan and estimates where appropriate.



**Learning+Skills Council**

## Section 1. Provider details

Name of provider <i>(please print)</i>
Contact name for queries <i>(please print)</i>
Telephone no.
Fax no.
E-mail address

## Section 2. Summary of funding applied for

Category of funding	Amount of funding applied for (max £200,000)
a. as a provider awarded grade 1 for (please specify areas)	£
b. as an accredited provider	£
c. as a Beacon provider	£

## Section 3. Declaration

For completion by the provider's accounting officer (normally the principal)

As principal of \_\_\_\_\_, I confirm that the:

- funds will be subject to the college's accounting and auditing arrangements;
- funds will be repaid if so required by the LSC;
- funds will be used for expenditure additional to that which would have been incurred had funding not been available;
- that the provider will put in place arrangements for evaluating the use of the funding;
- funds are to be used for the purposes in the plan;
- that the LSC may publish and disseminate information on the use by providers of the standards fund.

Signature
Name (please print)
Date

# Annex H: Category 5b) – Administrative procedures

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## Applying for Funding

1 Funding available for research and development activity is dependent on the amount of dissemination activity carried out. Providers can apply for funding to the value of 20% of the funding received for dissemination in any one year of the standards fund.

2 Applications for funding should include:

- a. a costed action plan;
- b. a copy of the application form at the end of this section signed by the provider's accounting officer (normally the principal);
- c. a brief statement (no more than one page) about their research experience. In this context, it should be noted that lack of experience will not preclude funding under category 5b.

## Action plans

3 Costed action plans should be brief but clear and should identify:

- a. the area in which research is to be undertaken;
- b. the actions proposed and, where appropriate, their priority;
- c. estimated costs for each action;
- d. timescales for expenditure, when actions have to be completed and for achieving the measurable outcomes;
- e. ways in which progress will be monitored and evaluated by the provider.

4 The LSC will assess the adequacy of costed action plans submitted by providers before funding is agreed. The assessment will consider whether:

- a. the proposed actions are clearly founded on the strengths identified within the provider and its expertise;
- b. activities are in addition to other initiatives funded by the LSC;
- c. the timescale for activity is realistic and achievable;
- d. the plans have been costed in a prudent way and appear to offer good value for money;
- e. the proposed evaluation of progress appears suitable.

5 The LSC undertakes to respond to all action plans received within five working weeks. Once an action plan is approved, a provider will receive a letter outlining arrangements for payment, support and monitoring. Applications may be partly approved or funding may be staged where additional information is required.

## Monitoring progress

6 The LSC will use the monitoring and evaluation activities identified in the provider's action plan to establish its own monitoring and reporting activities aimed at assessing the impact of the standards fund, both at a local and national level.

7 Providers should maintain sufficient, clear information about their use of funding from the standards fund to allow them to monitor their expenditure and to evaluate the impact of their activities on improvement, and to demonstrate to others that a clear management trail exists.

## Administration of Funds

8 Whenever possible, funds will be allocated to providers, rather than paying claims for expenditure from providers in retrospect. Where action plans are not completed the LSC reserves the right to reclaim funds (in part or full).

9 Providers must be able to demonstrate that funding will only be for additional expenditure incurred by providers and must not be substituted for any expenditure already planned or normally incurred by a provider.

## Tendering and procurement

10 Providers should comply with all statutory and other legal requirements as may apply to the implementation of their action plans and use of funding and apply good practice to any procurement and tendering. Providers may find useful the joint FEFC/NAO good practice guides: *Estate Management in Further Education Providers* (TSO, 1996); and *Procurement* (TSO, 1997).

## VAT

11 Providers should consult their financial advisers and, if necessary, their local HM Customs and Excise Office to ascertain what aspects of expenditure will incur VAT.

## Capital assets

12 Providers will be bound by the provisions of their financial memorandum with

the LSC in respect of capital assets purchased with assistance from the fund.

## Health and safety and equal opportunities

13 Successful action plans must demonstrate proper consideration of relevant health and safety and equal opportunities statutory requirements.

## Evidence for audit purposes and accounting procedures

14 Providers will be expected to keep copies of all invoices and other appropriate costs records (correctly processed and certified) as evidence of expenditure for audit purposes. Providers should show income from the standards fund as a specific line on their financial statements in a similar fashion to the treatment of access funds. If the provider has earmarked any part of the grant for capital purposes, where at the end of any financial year the provider has not spent the full amount earmarked, the balance should be shown under current liabilities within 'payments received on account'.

## Publication of outcomes

15 The LSC will wish to publish and disseminate information about activities supported under the fund.

## Eligible Expenditure

16 Before incurring costs, providers are requested to refer to the following illustrative list of eligible items of expenditure. Should expenditure be planned for items not on this list, providers should contact their LLSC for further guidance. Any expenditure incurred on items not on this list are at the provider's own risk without LSC approval. Care should be

taken to ensure that expenditure is in addition to that which would have been incurred had funding not been available and that appropriate procedures apply to the selection of consultants and contractors. All providers receiving funding under the standards fund must ensure and be able to demonstrate that their activities are not being double-funded. The guiding principle in determining eligibility of expenditure should, in all cases, be that of reasonableness.

17 The following list of items is not intended to be exhaustive, but gives providers guidance on appropriate activities:

- a. staff time and/or replacement costs;
- b. hire of equipment;
- c. hire of facilities to undertake study;
- d. independent consultants' fees and expenses;
- e. purchase of materials;
- f. purchase of equipment;
- g. staff training and development costs.

18 Wherever possible, independent estimates for costs should be obtained and included with the action plan.

## **Staff Costs**

19 Providers should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund.

# Appendix to annex H: Application form for category 5b)

101 Lockhurst Lane  
Foleshill, Coventry  
CV6 5SF  
T 024 7658 2761  
F 024 7658 2738

www.lsc.gov.uk  
info@lsc.gov.uk

(Reference Circular 01/02)

## Category 5b) Good practice – research and development

Please return the completed form to the executive director of your Local Learning and Skills Council together with a copy of your action plan and estimates where appropriate.



**Learning+Skills Council**

## Section 1. Provider details

Name of provider ( <i>please print</i> )
Contact name for queries ( <i>please print</i> )
Telephone no.
Fax no.
E-mail address

## Section 2. Summary of funding applied for

Area of research	Amount of funding applied for	Amount of funding received for dissemination and year in which received, eg, £54,290 in 1999/2000

## Section 3. Declaration

For completion by the provider's accounting officer (normally the principal)

As principal of \_\_\_\_\_, I confirm that the:

- funds will be subject to the college's accounting and auditing arrangements;
- funds will be repaid if so required by the LSC;
- funds will be used for expenditure additional to that which would have been incurred had funding not been available;
- that the provider will put in place arrangements for evaluating the use of the funding;
- funds are to be used for the purposes in the plan;
- that the LSC may publish and disseminate information on the use by providers of the standards fund.

Signature
Name (please print)
Date

# Annex I: Summary of eligibility for Standards Fund – Providers previously funded by the FEFC

Category	Sector colleges	Independent external institutions	LEA main-tained external institutions	Higher education institutions	Independent specialist colleges	Dance and drama schools in receipt of
1. Provider Improvement						
a. Colleges causing concern	✓	✗	✗	✗	✗	✗
b. Post-inspection support	Providers which have been inspected by FEFC since September 1997 or OFSTED or AII after April 2001					
c. Area inspection support	✓	✗	✗	✗	✗	✗
d. Improving retention and achievement	✓	✓	✓	✓	✓	✓
e. Basic skills quality initiative	✓	✓	✓	✓	✓	✓
2. Professional Development						
a. Qualifications for new teachers	✓	✗	✗	✗	✗	✗
b. Continuing professional development	✓	✓	✓	✓	✓	✓
c. Principals' programme	✓	✗	✗	✗	✗	✗
d. Training for senior management teams	✓	✗	✗	✗	✗	✗
e. Training for senior managers	✗	✓	✓	✓	✓	✓
f. Training for black managers	✓	✓	✓	✓	✓	✓
g. New teaching posts	✓	✗	✗	✗	✗	✗
3. The Governance Programme	✓	✗	✗	✗	✗	✗
5. Dissemination of Good Practice						
a. Dissemination activity	Providers which have been awarded one or more outstanding grades, accredited or Beacon status since September 1997 and are not identified as requiring exceptional support or having serious concerns					
b. Research and development	Providers which have received funding for dissemination					
c. Special initiatives	✓	✓	✓	✓	✓	✓

## Annex J: Summary of application and monitoring procedures for Standards Fund 2001/02

Category	Application Procedure	Closing date	Monitoring
1. Provider Improvement			
a. Colleges causing concern	Submission of costed action plan	Within 2 months of notification	LLSC
b. Post inspection support	Submission of costed action plan	By end of June 2001 or within 2 months of notification if later	LLSC
c. Area inspection support	Submission of costed action plan	N/A	LLSC
d. Improving retention and achievement	Further details to follow		
e. Basic skills quality initiative	Further details to follow		
2. Professional Development			
a. Qualifications for new teachers	Initial submission of completed application form (Annex D).	30 September 2001	
b. Continuing professional development	Submission of costed CPD plan	30 September 2001	Report and evaluation by 31 July 2002
c. Principals' programme	Application to contractor	N/A	N/A
d. Training for senior management teams	Application to contractor	N/A	N/A
e. Training for senior managers	Application to contractor	N/A	N/A
f. Training for black managers	Application to contractor	N/A	N/A
g. New teaching posts	Application to quality improvement team	30 September 2001	N/A
3. The Governance Programme	Application to contractor	N/A	N/A
5. Dissemination of Good Practice			
a. Dissemination activity	Submission of costed action plan	By end of June 2001 or within 2 months of notification if later	LLSC
b. Research and development	Submission of costed action plan	By end of June 2001 or within 2 months of notification if later	LLSC
c. Special initiatives	Application to contractor	N/A	N/A

## Annex K: Contacts for information about categories of funding

Category	Contact
1 Provider Improvement	
a. Colleges causing concern	Standards fund contact, local council
b. Post-inspection support	Standards fund contact, local council
c. Area inspections	Executive director, local council
d. Improving retention and achievement	Standards fund helpdesk, national council*
e. Basic skills quality initiative	Standards fund helpdesk, national council*
2 Professional Development	
a. Qualifications for new teachers	Standards fund helpdesk, national council*
b. Continuing professional development	Executive director, local council
c. Principals' programme	Standards fund helpdesk, national council*
d. Training for senior management teams	Standards fund helpdesk, national council*
e. Training for senior managers	Standards fund helpdesk, national council*
f. Training for black managers	Standards fund helpdesk, national council*
g. New teaching posts	Standards fund helpdesk, national council*
3 The Governance Programme	Standards fund helpdesk, national council*
4 Centres of Vocational Excellence	Standards fund helpdesk, national council*
5 Dissemination of Good Practice	
a. Dissemination activity	Standards fund contact, local council
b. Research and development	Standards fund contact, local council
c. Special initiatives	Standards fund helpdesk, national council*

\*Note: Standards fund helpdesk, national Council 02476 70 3257

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