## Use of the Standards Fund, 2001-02

## Management Procedures for local Learning and Skills Council Staff

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### Introduction

The purpose of this note is to provide guidance to colleagues working in local Learning and Skills Councils (LLSCs) on the administrative arrangements relating to the new Council Circular 01/02, *Standards Fund 2001-02*. This informs providers about how the standards fund will be used during 2001-02.

It is not intended that this guidance will duplicate information in the circular, but where appropriate, the relevant section of the circular is referred to.

Each local office is structured to meet the needs of its particular locality, and although there are common functions across all local Learning and Skills Councils, the roles of individuals may not be exactly the same. To aid clarity, a standard terminology has been adopted throughout this guidance. The main roles referred to are:

a. the **quality adviser:**

- is the main standards fund contact for the provider

- assesses costed action plans

- co-ordinates assessments from other assessors and Ofsted/ALI, as appropriate

- forms an overall view of the adequacy of action plans.

b. the **quality manager:**

- is responsible for the overall management of the standards fund process for the LLSC

- moderates the assessments of the quality adviser and other assessors

- recommends approval/rejection or partial approval of the action plan to the executive director

- recommends a payments schedule to the executive director.

c. the **executive director:**

- approves action plan

* authorises payment of standards fund money.

When applications for funding are received the date and amount should be recorded on the spreadsheet at annex C. All local councils have an electronic copy of this.

Copies of relevant forms and model letters are included as annexes in each section. These are also available as Word or Excel files as appropriate and will be available to download from the intranet.

### Standards Fund Categories

The standards fund for 2001-02 will be allocated under five categories. These are:

* **Category 1: Provider Improvement**

1a colleges causing concern  
1b post-inspection support  
1c area inspection support  
1d improving retention and achievement

1e the basic skills quality initiative

* **Category 2: Professional Development**

2a qualifications for new teachers

2b continuing professional development

2c the principals’ training programme

2d training for senior management teams

2e training for senior managers

2f training for black managers

2g new teaching posts

* **Category 3: The Good Governance Programme**
* training for corporation clerks
* **Category 4: Centres of Vocational Excellence**
* establish and promote infrastructures for vocational specialism
* **Category 5: Dissemination of Good Practice**

5a dissemination activity

5b research and development activity

5c special initiatives.

A summary table showing the eligibility of providers for funding is at annex I of Circular 01/02 on the use of the standards fund 2001-02.

**Standards Fund 2001-02**

# Category 1a: Colleges Causing Concern

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### Administration of Funds for category 1a – Colleges Causing Concern

## Identifying Eligible Colleges

1. The first performance reviews to be undertaken by the Learning and Skills Councils are planned for June 2001 and will be the principal means by which colleges causing concern (category 1a) are identified. Allocations will be made on a standard basis to be agreed by the national management board at national level. Executive directors will be informed about the basis for allocation when it has been set. A flowchart setting out details of procedures for action plans is at annex 1a.1

## Notifying Colleges of Eligibility for Category 1a

Executive directors should write to the principals of eligible colleges, copying the letter to the chair of the college corporation, as soon as they become eligible for support. The letter should include details of the weaknesses to be addressed and the maximum allocation for college improvement.

The letter should indicate the date by which the college should submit their application and costed action plan. Generally, costed action plans should be required within two months of notification, although executive directors may consider an alternative date to be more appropriate, particularly where serious weaknesses have been identified.

The name of the Learning and Skills Council’s primary contact, usually the quality adviser responsible for assessing costed action plans, should also be included.

In addition, letters to providers showing serious concerns should be cleared in advance by the executive director. A model letter for notifying colleges of allocations is at annex 1a.2.

**Processing Applications**

Colleges should send applications and action plans to executive directors. Before accepting applications, quality advisers should ensure the provider is eligible for funding and that all information requested in the application form is supplied, that is:

* section two of the application form has been completed specifying the amount of funding applied for
* the principal of the college has signed the declaration in section 3.

The quality adviser should check that the funding applied for does not exceed the amount of funding the college is eligible for.

It would also be useful if quality advisers formed a view about whether the college’s proposed actions are eligible for funding, and if not, draw this to the attention of the quality manager or executive director, as appropriate.

In addition, colleagues should ensure that an action plan has been attached to the application. Receipt of the application form and the action plan should be acknowledged within 5 working days. A copy of the application form and the action plan should be sent as soon as possible to other assessors as appropriate.

## Approval of Action Plans

Executive directors will be responsible for approving costed action plans, authorising a payments schedule and for informing providers about the success or otherwise of their applications. They will need to liaise closely with other members of their team as appropriate. Additional guidance is provided at annex A. The following procedures should apply for approving provider action plans:

a. for **colleges eligible for substantial funding**, for example £250,000 or more, extra care and diligence should be observed and an auditor or finance director must be involved in the assessment of college actions, to comment particularly on feasibility and value for money

b. the executive director will decide who should assess the adequacy of the action plan. It should follow the framework and meet the criteria set out in the new circular on the use of the standards fund in 2001-02. The following staff are likely to be involved in assessing costed action plans:

* local quality adviser: to give an overall assessment of the college’s action plan and to co-ordinate receipt of views from other colleagues
* assistant director of data collection and analysis: where there are serious concerns about the quality of a provider’s data
* finance director: where there are concerns about financial management
* principal officer of the provider financial support and assurance (PFSA) unit: where there are audit concerns
* property adviser: where there are accommodation related issues
* other members of the local team: should assess other actions as appropriate.

Providers should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund. Where staff costs are included the indicative daily rates given in the table below should be used as a guide for assessing costs.

|  |  |
| --- | --- |
| **Staff** | **Indicative daily rate including on-costs** |
| Senior Manager  Curriculum Manager  Lecturer  Administration  Educational Consultant | £300 - £350  £200  £150  £100  £350 - £400 |

In each of the above cases, the assessors will inform the quality adviser of their judgement by completing the proforma at Annex 1a.4. The completed proformas should be sent to the quality adviser.

The local team should consider the assessments provided and form a judgement on the adequacy of the action plan. The quality adviser will analyse the assessments and put forward an initial view to the quality manager, who will in turn make a recommendation to the executive director to approve/partially approve or reject the college’s action plan. The executive director, quality adviser and quality manager should all be involved in assessing the adequacy of the plan, which should help to ensure that assessments within the locality are being made fairly and consistently. Concerns identified by the assessors should be brought to the college’s attention, including those which are not considered sufficient to withhold funding. These concerns should be recorded in a letter sent to the provider notifying it that its funding has been approved.

Where a college’s action plan is judged to be inadequate, the quality manager should write to the provider to ask for more information or to resubmit their action plan, indicating the weaknesses in the current plan. In the case of providers identified as having serious concerns, the executive director should liase with the appropriate national directorate before approving the action plan and payments schedule.

When action plans have been assessed as adequate, the executive director should complete the proforma at annex B. This will confirm the outcome of the assessment of a provider’s application and action plan, authorise a payments schedule and approve the release of funding to the provider. An action plan does not need to be funded in full for the provider to receive funding. Executive directors may wish to authorise funding for part of an action plan, while waiting for the provider to amend or provide further information before the remainder of the plan is funded.

When the executive director has approved the funding, he/she should write to the provider to confirm approval of the action plan, and set out the arrangements for payment and monitoring. The letter should clearly identify any outstanding issues for the provider to address in the implementation of its action plan (annex 1a.5).

The Council has undertaken to respond to all plans within five working weeks.

Responsibilities and indicative timescales for approval of costed action plans are included at Annex 1a.3.

The date and amount approved should be recorded on the standards fund spreadsheet which should be copied (via e-mail) to Bettina Bullock in the Quality Improvement Team of the national office on the 28th of each month (annex C).

**Annex 1a.1**

Flow chart indicating details of procedures for action plans for category **1a, 1b, 5a** and **5b** of the standards fund 2001-02

ED notifies quality improvement team in national office to release funds by completing annex B and copying this to the national office

Action plan submitted to ED. LLSC acknowledges receipt

ED notifies provider of eligibility

‘Quality adviser’ and other assessors submit assessments within 10 working days of receipt of action plan

ED notifies college of outcome

ED approves action plan and authorises payment of standards fund money

LLSC ‘quality manager’ considers assessments and recommends approval/rejection/

qualified approval to ED

LLSC ‘quality adviser’ assesses action plan

LLSC requests more information from provider

**Annex1a.2**

### Standards Fund Model Notification Letter

For: Colleges eligible to receive funds under Category 1a – Colleges Causing Concern

Principal

**Standards Fund Category 1a**

I am writing to let you know about the funding the Council wishes to make available [xxx] to [college name] to support its work on improving quality and standards.

The processes by which colleges causing concern are identified are set out in Circular 01/02. Your college was identified as causing concern, and therefore eligible for funding under category 1a of the standards fund, at the [month] provider review. The Council has therefore agreed to make a maximum of [xxx] available to support the college's work to make improvements.

To gain access to this funding the college will need to prepare a costed action plan. The plan should address issues identified by the Council, in particular, attention should be paid to the issues identified at the provider review, namely: [outcomes of provider review].

The college's action plan should be developed taking into account the guidance set out in Circular 01/02 at annex C. You should include full cost estimates for all the activities to be supported with the funding available to the college and refer to annex C of the circular for eligible items of expenditure. Additional guidance on action planning is available on the standards fund area of the Council's website. The address of the relevant page is http://www.fefc.ac.uk/quality/standards\_fund.html.

If the college already has an action plan in place, then you are advised to review it in the light of the additional funding now available. A revised action plan should be drawn up which addresses the full range of issues and expedites the completion of the plan.

You are entitled to free help with drawing up your action plan and advice on improvement strategies from the LSDA’s Raising Quality and Achievement Programme. The programme receives funding direct from DfES and offers confidential on site consultancy support to providers as well as workshops on costed action planning. Please ring Linda Bye, Manager of the Quality Improvement Team on 0207 840 5420 (email: [lbye@Lsagency.org.uk](mailto:lbye@Lsagency.org.uk))

Please send your action plan together with a completed application form to [xxx] LSC by [*8 weeks from date of letter*].

If you have any queries about the issues to be addressed or the development of your plan, please contact [*contact name,title, phone number, email*] in the first instance.

I am sending this letter to your chair of governors, for information.

Annex 1a.3

### Standards Fund: Category 1a

### Responsibilities and Indicative Timescales for Approval of Costed Action Plans

| **Stage** | **Who** | | **What** | | **When** | |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | Quality Adviser | Receives applications for category 1  Checks that applications have been completed fully. | | As soon as they are received | |
| 2 | Quality Manager | Decides who will assess action plans.  Recommends approval of the action plan.  Recommends payments schedule. | | Within 16 working days of receipt of action plan from provider | |
| 3 | Assessors: quality adviser, other LSC staff | | Assess the action plan against the criteria and complete proforma. | | Within 10 working days of request from the executive director | |
| 4 | Executive director | | Approves funding and authorises payment  Notifies provider that action plan has been approved. | | Within 20 working days of receipt of action plan from provider | |
| 5 | Quality Manager | | Notifies national office of approval and funding arrangements. | |  | |

Annex 1a.4

## Standards Fund: Category 1 –College Improvement – Assessment of College Action Plans

Provider..............................................................................................................................

|  |  |  |
| --- | --- | --- |
| Criterion | Information Required | Assessment |
| Quality | Do the actions proposed address weaknesses identified by the Council, for example in inspection reports or letters conveying the outcomes of provider reviews? |  |
|  | Are the actions proposed appropriate and likely to lead to improvement? |  |
|  | Are the priorities for action made clear? |  |
|  | Is an appropriate person responsible for ensuring action takes place? |  |
|  | Is the timescale proposed realistic and achievable and have key milestones been identified? |  |
|  | Has the provider identified appropriate success factors against which progress will be judged? (quantitative targets where possible) |  |
|  | Are there appropriate mechanisms to monitor and evaluate progress? |  |
| **Value for Money** | Is there any evidence to suggest that expenditure proposed is a substitute for expenditure already planned? |  |
|  | Do the costings appear not to be excessive? |  |

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Assessor Job Title\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Annex 1a.5

### Letter of approval for funding for Category 1a: Colleges causing concern

## Principal

I am pleased to inform you that your application for funding under category 1a of the standards fund has been (approved/partly approved).

Your action plan has been assessed and you have been awarded [£x ]as a college causing concern. It is intended that standards fund payments will be made at the end of each month, and in your case this will be (limited to one payment/ x payments dependent on successful progress with the provider's action plan/over the next XXX months).

You will be aware that the government and the Council are keen that the college should make improvements quickly. The progress the college makes in implementing its costed action plan will be monitored. Your primary contact with the Council is XXX who will be responsible for reporting on progress to the Council’s provider review process.

Please let him/her know (for example):

*the breakdown of costings for hardware needed to support wider access to MIS*

*the nature of staff development included for learning support staff.*

You will be aware that you must always have adequate information about your use of funding to allow you to monitor your expenditure and to evaluate the impact of your activities on improvement. You should review the progress you are making termly and provide details to [named contact] of unspent funds and progress made at [three dates during the year, 3 weeks before each provider review meeting]. To provide the necessary details, you may find it useful to update your action plan to show progress.

Colleges will not be expected to submit evidence of expenditure to the Council.

I should like to remind you to ensure that funds are allocated for additional expenditure incurred and must not replace expenditure already planned or normally incurred by the provider. Annex C of Circular 01/02 on the use of the standards fund in 2001-02 provides a list of those items of eligible expenditure. You should remember to apply good practice to procurement and tendering. You will need to keep copies of all invoices and other appropriate cost records (correctly processed and certified) as evidence of expenditure for audit purposes.

I am sure that the funds you have been awarded will help to secure much needed improvements in the quality of provision on offer to learners.

If you have queries, please do not hesitate to contact [name, title, phone number, e-mail address]

**Standards Fund 2001-02**

# Category 1b: Post Inspection Support

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Annex 1b.6: Category 1b: model letter of approval 26

### Administration of Funds for category 1b – Post Inspection Support

## Identifying Eligible Providers

1. The national office will notify local quality managers of allocations when inspection reports are published in respect of post inspection support (category 1b). A flow chart setting out details of procedures for action plans is at annex 1b.1.

## Notifying Provider of Eligibility for Category 1b

Executive directors should write to the heads of eligible providers, copying the letter to the chair of the provider where appropriate, as soon as they become eligible for support. The letter should include details of the maximum allocation for provider improvement. It should also include, where appropriate, an indication of whether the provider is eligible for funding for dissemination of good practice, where a provider has been awarded grade 1 for outstanding provision.

The letter should indicate the date by which providers should submit their application and costed action plan. Generally, costed action plans should be required within two months of notification, although executive directors may consider an alternative date to be more appropriate, particularly where serious weaknesses have been identified. Providers are expected to update their development plan, and where appropriate, submit a post-inspection annex. All items may be costed or only those for which funding is sought.

The name of the Learning and Skills Council’s primary contact, usually the quality adviser responsible for assessing costed action plans, should also be included.

Model letters for notifying providers of allocations are at annex 1b.2 and 1b.3.

**Processing Applications**

Providers should send applications and action plans to executive directors. Before accepting applications, quality advisers should ensure the provider is eligible for funding and that all information requested in the application form is supplied, that is:

* section two of the application form has been completed specifying the amount of funding applied for under each element
* the head of the provider has signed the declaration in section 3.

The quality adviser should check that the funding applied for does not exceed the amount of funding the provider is eligible for.

It would also be useful if quality advisers formed a view about whether the provider’s proposed actions are eligible for funding, and if not, draw this to the attention of the quality manager or executive director, as appropriate.

In addition, colleagues should ensure that an action plan has been attached to the application. Receipt of the application form and the action plan should be acknowledged within 5 working days. A copy of the application form and the action plan should be sent as soon as possible to other assessors as appropriate.

## Approval of Action Plans

Executive directors will be responsible for approving costed action plans, authorising a payments schedule and for informing providers about the success or otherwise of their applications. They will need to liaise closely with other members of their team as appropriate. Additional guidance is provided at annex A.

The quality adviser should assess whether a provider’s action plan follows the framework set out and the criteria described (Circular 01/02) and is adequate

Ofsted and the ALI should be asked to provide a view on the adequacy of the provider’s post-inspection action plan where the inspectorate have awarded a grade 4 or less to provision or to leadership and management.

Providers should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund. Where staff costs are included the indicative daily rates given in the table below should be used as a guide for assessing costs.

|  |  |
| --- | --- |
| **Staff** | **Indicative daily rate including on-costs** |
| Senior Manager  Curriculum Manager  Lecturer  Administration  Educational Consultant | £300 - £350  £200  £150  £100  £350 - £400 |

The quality adviser should record their judgement by completing the proforma at Annex 1b.5.

The local team should consider the assessments provided and form a judgement on the adequacy of the action plan. The quality adviser will analyse the assessments and put forward an initial view to the quality manager, who will in turn make a recommendation to the executive director to approve/partially approve or reject the provider’s action plan. The executive director, quality adviser and quality manager should all be involved in assessing the adequacy of the plan, which should help to ensure that assessments within the locality are being made fairly and consistently. Concerns identified by the assessors should be brought to the provider’s attention. Where these are not considered sufficient to withhold funding they should be recorded in a letter sent to the provider notifying it that its funding has been approved.

Where a provider’s action plan is judged to be inadequate, the quality manager should write to the provider to ask for more information or to resubmit their action plan, indicating the weaknesses in the current plan. In the case of providers identified as having serious concerns, the executive director should liase with the appropriate national director before approving the action plan and payments schedule.

When action plans have been assessed as adequate, the executive director should complete the proforma at annex B. This will confirm the outcome of the assessment of a provider’s application and action plan, authorise a payments schedule and approve the release of funding to the provider. An action plan does not need to be funded in full for the provider to receive funding. Executive directors may wish to authorise funding for part of an action plan, while waiting for the provider to amend or provide further information before the remainder of the plan is funded.

When the executive director has approved the funding, he/she should write to the provider to confirm approval of the action plan, and set out the arrangements for payment and monitoring. The letter should clearly identify any outstanding issues for the provider to address in the implementation of its action plan (annex 1b.6).

The Council has undertaken to respond to all plans within five working weeks.

Responsibilities and indicative timescales for approval of costed action plans are included at annex 1b.4.

**Annex 1b.1**

Flow chart indicating details of procedures for action plans for category **1b,** of the standards fund 2001-02

Action plan submitted to ED. LLSC acknowledges receipt and sends copies to ALI/Ofsted where provision or leadership and management has been awarded grade 4 or less

ED notifies quality improvement team in national office to release funds by completing annex B and copying this to the national office

‘Quality adviser’ and other assessors submit assessments within 10 working days of receipt of action plan

ED notifies college of outcome

ED approves action plan and authorises payment of standards fund money

LLSC ‘quality manager’ considers assessments and recommends approval/rejection/

qualified approval to ED

LLSC ‘quality adviser’ assesses action plan

ED notifies provider of eligibility

LLSC requests more information from provider

**Annex 1b.2**

### Standards Fund Model Notification Letter

**FOR: Providers eligible to receive funds under Category 1b for post-inspection support but not Category 5, dissemination of good practice**

Head of Provider

## Response to Inspection Report and Standards Fund

I am pleased to inform you that the Council wishes to make available [£XX] to [provider name] to support improvements following inspection, under category 1b of the standards fund.

The Council wishes to encourage activity to raise standards as soon as possible. You are therefore asked to provide a costed updated development plan and where required, an annex with a completed application for category 1b funding within 2 months of receipt of this letter. I anticipate that, while the costed action plan for post-inspection support will not cover all the weaknesses identified during inspection, it will be consistent with plans for post-inspection actions and will address areas of highest priority.

Your action plan should be developed taking into account the guidance set out in Circular 01/02 on the use of the standards fund in 2001-02 and on the Council’s website (http://www.fefc.ac.uk/quality/standards-fund.html). In particular, the Council wishes to receive cost estimates for all activities to be supported with the funding available to the provider. You should refer to annex C of the circular for guidance on eligible items of expenditure. Council staff will assess the provider’s action plan. When it is agreed, you will be notified of arrangements for the payment of funds.

You are entitled to free help with drawing up your action plan and advice on improvement strategies from the LSDA’s Raising Quality and Achievement Programme. The programme receives funding direct from DfES and offers confidential on site consultancy support to providers as well as workshops on costed action planning. Please ring Linda Bye, Manager of the Quality Improvement Team on 0207 840 5420 (email: [lbye@Lsagency.org.uk](mailto:lbye@Lsagency.org.uk))

If you have any queries about the issues to be addressed or development of your plan please get in touch with [name, title, phone number, e-mail address] in the first instance.

I am sending a copy of this letter to your chair of governors, for information.

**Annex 1b.3**

### Standards Fund Model Notification Letter

**FOR: Providers eligible to receive funds under Category 1b for post-inspection support and Category 5, dissemination of good practice**

Head of Provider

## Response to Inspection Report and Standards Fund

I am pleased to inform you that the Council wishes to make available [£XX] to [provider name] to support improvements following inspection, under category 1 of the standards fund.

The Council wishes to encourage activity to raise standards as soon as possible. You are therefore asked to provide an action plan with a completed application for category 1b funding within 2 months of receipt of this letter. I anticipate that, while the costed action plan for post-inspection support will not cover all the weaknesses identified during inspection, it will be consistent with plans for post-inspection actions and will address areas of highest priority.

I am also pleased to inform you that, in addition to funding under category 1b, since [the provider] was awarded grade 1 in [identified areas graded 1] you are eligible for funding to disseminate its good practice in [that area/those areas]. Applications for funding under category 5 of the standards fund should also be sent to me within 2 months of receipt of this letter.

Your action plans should be developed taking into account the guidance set out in Circular 01/02 at annex C and on the Council’s website (http://www.fefc.ac.uk/quality/standards-fund.html). In particular, the Council wishes to receive cost estimates for all activities to be supported with the funding available to the provider. You should refer to annex C of the circular for guidance on eligible items of expenditure. Council staff will assess the provider’s action plan. When it is agreed, you will be notified of arrangements for the payment of funds.

You are entitled to free help with drawing up your action plan and advice on improvement strategies from the LSDA’s Raising Quality and Achievement Programme. The programme receives funding direct from DfES and offers confidential on site consultancy support to providers as well as workshops on costed action planning. Please ring Linda Bye, Manager of the Quality Improvement Team on 0207 840 5420 (email: [lbye@Lsagency.org.uk](mailto:lbye@Lsagency.org.uk))

If you have any queries about the issues to be addressed or development of your plan please get in touch with [name, title, phone number, e-mail address] in the first instance.

I am sending a copy of this letter to your chair of governors, for information.

Annex 1b.4

### Standards Fund: Categories 1b

### Responsibilities and Indicative Timescales for Approval of Costed Action Plans

| **Stage** | **Who** | | **What** | | **When** | |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | Quality Adviser | Receives applications for categories 1b.  Checks that applications have been completed fully.  Copies action plan to Ofsted/ALI, where necessary | | As soon as they are received | |
| 2 | Quality Manager | Recommends approval of the action plan.  Recommends payments schedule. | | Within 16 working days of receipt of action plan from provider | |
| 3 | Assessors: quality adviser, other LLSC staff, ALI/Ofsted, others | | Assess the action plan against the criteria and complete proforma. | | Within 10 working days of request from the executive director | |
| 4 | Executive director | | Approves funding and authorises payment  Notifies provider that action plan has been approved. | | Within 20 working days of receipt of action plan from provider | |
| 5 | Quality Manager | | Notifies national office of approval and funding arrangements. | |  | |

Annex 1b.5

## Standards Fund: Category 1 –Provider Improvement – Assessment of Provider Action Plans

Provider..............................................................................................................................

|  |  |  |
| --- | --- | --- |
| Criterion | Information Required | Assessment |
| Quality | Do the actions proposed address weaknesses identified in inspection reports. |  |
|  | Are the actions proposed appropriate and likely to lead to improvement? |  |
|  | Are the priorities for action made clear? |  |
|  | Is an appropriate person responsible for ensuring action takes place? |  |
|  | Is the timescale proposed realistic and achievable and have key milestones been identified? |  |
|  | Has the provider identified appropriate success factors against which progress will be judged? (quantitative targets where possible) |  |
|  | Are there appropriate mechanisms to monitor and evaluate progress? |  |
| **Value for Money** | Is there any evidence to suggest that expenditure proposed is a substitute for expenditure already planned? |  |
|  | Do the costings appear not to be excessive? |  |

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Assessor Job Title\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Annex 1b.6

### Letter of approval for funding for Category 1b: Post inspection support

## To head of provider

I am pleased to inform you that your application for funding under category 1b of the standards fund has been (approved/partly approved).

Your action plan has been assessed and you have been awarded [£xxx] for post inspection support. It is intended that standards fund payments will be made at the end of each month, and in your case this will be (limited to one payment/ x payments dependent on successful progress with the provider's action plan/over the next XXX months).

You will be aware that the government and the Council are keen that the provider should make improvements quickly. The progress the provider makes in implementing its costed action plan will be monitored. Your primary contact with the Council is XXX who will be responsible for reporting on progress to the Council’s provider review process.

Please let him/her know (for example):

*the breakdown of costings for hardware needed to support wider access to MIS*

*the nature of staff development included for learning support staff.*

You will be aware that you must always have adequate information about your use of funding to allow you to monitor your expenditure and to evaluate the impact of your activities on improvement. You should review the progress you are making termly and provide details to [named contact] of unspent funds and progress made at [three dates during the year, 3 weeks before each provider review meeting]. To provide the necessary details, you may find it useful to update your action plan to show progress.

Providers will not be expected to submit evidence of expenditure to the Council.

I should like to remind you to ensure that funds are allocated for additional expenditure incurred and must not replace expenditure already planned or normally incurred by the provider. Annex C of Circular 01/02 provides a list of those items of eligible expenditure. You should remember to apply good practice to procurement and tendering. You will need to keep copies of all invoices and other appropriate cost records (correctly processed and certified) as evidence of expenditure for audit purposes.

I am sure that the funds you have been awarded will help to secure much needed improvements in the quality of provision on offer to learners.

If you have queries, please do not hesitate to contact [name, title, phone number, e-mail address]

# Standards Fund 2001-02

# Category 1c(i): Support for Post Area Inspection Action Planning

**Page**

Administrative arrangements 28

Annex 1c(i).1: Application form 30

Annex 1c(i).2: Responsibilities and indicative timescales 31

Annex 1c(i).3: National Office: Assessment of LLSC application proforma 32

### Application to secure funds for category 1c(i) – Development fo Action Plans to address issues arising from Area Inspection Reports

## Identifying Eligible Local Learning Skills Councils

1. With Area Inspections already underway, all Local Learning Skills Councils (LLSCs) are now eligible to receive allocations through the standards fund to support the **development** of Post-Area Inspections Action Plans (PAIAPs) produced by Local Learning Skills Councils and Local Education Authorities. Requests for support are subject to the approval by the Quality and Standards directorate. Up to £20k per published report, accessed via the standards fund, will be available to assist Local Learning Skills Councils in developing PAIAPs. More money could be available in exceptional circumstances.
2. Drafts of the action plan have to be submitted eight weeks after publication of the inspection report and final plans are statutorily required by three months after publication. Further education standards fund resources are available to assist in **implementing** the agreed PAIAPs. Each LLSC Executive Director should appoint a Project Manager (a member of the SMT) to support the development of each Plan and to be accountable as the point of contact on Standards Fund allocations, including work in developing the plan, and on progress in implementing agreed plans to address the key issues arising from the report.

## Observation by LLSCs of rules on use of consultants

1. Critically, before appointing any consultants to support the development of the plan, the Executive Director should confirm that the normal rules for tendering/awarding of contracts have been followed. Advice on this aspect of the post-inspection process can be obtained from the Director of Finance at the LSC National Office.

**Processing Applications**

1. After agreeing applications, Executive Directors should send them to Martin Davis, Quality Improvement/Intervention Manager at the LSC National Office. Executive Directors should ensure that all information requested in the application form (Annex 1c(i).1) is supplied, that is:

* section two of the application form has been completed specifying the amount of funding applied for
* the Executive Director has signed the declaration in section 3.

The Executive Director should check that the funding applied for does not exceed the amount of funding the LLSC is eligible to receive.

1. In addition, Executive Directors should provide a short (1 page A4) summary to accompany the application form setting out how the LLSC proposes to use the grant of up to £20k for PAIAP development purposes to include a breakdown of relevant costs. For example, if consultants are to be employed the summary would need to show costs and duration of contract and specify aims/roles (i.e. how a consultant(s) would contribute to the development work)
2. Receipt of the application form will be acknowledged within 5 working days and we shall aim to make the money available as quickly as possible.
3. At national level, the Assistant Director: Quality Improvement will be responsible for approving the application, authorising a payments schedule or, in cases where more work/clarification may be needed on the application and summary, informing Executive Directors about ways in which applications should be developed
4. When applications are endorsed, the Assistant Director will write to the Executive Director to confirm approval of the application, and set out the arrangements for payment and monitoring.

**Annex 1c(i).1**

**APPLICATION FORM: SF CATEGORY 1c(i) AREA INSPECTIONS – SUPPORT FOR POST INSPECTION ACTION PLANNING**

**Please return the completed form with accompanying commentary to Martin Davis, Quality Improvement Division, 101 Lockhurst Lane, Foleshill, Coventry, CV6 5SF. Tel: 024 7670 3337**

**Section 1. LLSC Details**

**LLSC Name**

**LLSC Project Manager Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Section 2. Summary of funding applied for**

|  |  |
| --- | --- |
| ***Category of funding*** | ***Amount of funding applied for*** |
|  |  |

**Section 3. Declaration**

**For completion by LLSC Executive Director**

**As Executive Director of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name of LLSC)**

**I confirm:**

1. **that the funds will be subject to the LLSC’s accounting and auditing arrangements**
2. **that the funds will be used for expenditure additional to that which would have been incurred had funding not been available**
3. **that the LLSC will put in place arrangements for evaluating the use of funding**
4. **that the awarding of any contracts conform to National LSC standards for tendering arrangements**

**Signature**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Name (please print)**

**Date**

Annex 1c(i).2

### Standards Fund: Category 1c(i)

### Responsibilities and Indicative Timescales for Approval of Coasted Action Plans

| **Stage** | **Who** | | **What** | | **When** | |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | Executive Director | Appoints Project Manager | | Before or at latest on receipt of Area Inspection Report | |
| 2 | Project Manager | Assesses AI Report’s findings; decides who will contribute to action plan and who will produce the draft plan. | | As soon as possible after the reporting inspector’s feedback at the end of the area inspection | |
| 3 | Executive Director | | Recommends submission of the application.  Recommends payments schedule. Submits to National Office. | | As soon as possible after the reporting inspector’s feedback | |
| 4 | Assistant Director: Quality Improvement and other National Office staff | | Approves funding and authorises payment  Notifies LLSC that application has been approved. | | Within two working weeks from date of receipt of application from LLSC | |
| 5 | Assistant Director: Quality Improvement | | Notifies DfES of approval and funding arrangements. | | As soon as possible after 4 | |

Annex 1c(i).3

## Standards Fund: Category 1c(i) assessment of LLSC’s Application to Support Action Planning

LLSC Project Manager Name:..............................................................................................................................

|  |  |  |
| --- | --- | --- |
| Criterion | Information Required | Assessment |
| Quality | Does the application proposed address weaknesses identified in the Area Inspection Report? |  |
|  | Are the actions for which the application is proposed appropriate to support the planning? |  |
|  | Is an appropriate person responsible for developing the plan? |  |
|  | Is the timescale proposed realistic and achievable? |  |
|  | Has the LLSC identified appropriate success factors against which progress will be judged? (quantitative targets where possible) |  |
|  | Are there appropriate mechanisms to monitor and evaluate progress? |  |
| **Value for Money** | Is there any evidence to suggest that expenditure proposed is a substitute for expenditure already planned? |  |
|  | Do the costings appear not to be excessive? |  |

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Assistant Director: Quality Improvement

Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Standards Fund 2001-02**

# Category 1c(ii): Local Learning Skills Councils’ applications for support for Post- Area Inspection Action Plans

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Arrangements to secure funds 34

Annex 1: Application Form 36

Annex 2: Responsibilities and indicative timescales 37

Annex 3: National Office: Assessment of LLSC action plan proforma 38

### Arrangements to secure funds for category 1.c.(ii) – Tackling issues arising from Area Inspection Reports and applying for financial support from the Standards Fund

## Identifying Eligible Local Learning Skills Councils

With Area Inspections already underway, all Local Learning Skills Councils (LLSCs) are now eligible to receive allocations through the Standards Fund to address issues raised in Area Inspection Reports (AIRs) subject to the approval by the Learning Skills Council National Office and DfES of robust and costed Post-Area Inspections Action Plans (PAIAPs) produced by Local Learning Skills Councils.

PAIAPs must be submitted within **three** months of the publication of the Inspectorate’s Report. Each LLSC Executive Director should appoint a Project Manager (a member of the SMT) to administer each Plan and to be accountable as the point of contact on Standards Fund allocations and on progress in implementing the plan.

## Approval of PAIAPs and observation by LLSCs of rules on use of consultants

Locally, the National Office expects the LLSC Executive Director to decide the adequacy of the action plan and confirm that the Project Manager has consulted relevant colleagues including the local quality adviser, data specialists, the finance director and property adviser where there are accommodation related issues. Local partners, including representatives of local faiths and churches, should also be closely involved in the action planning process. For example, there is a strong Roman Catholic SFC college sector. Although this may well be time consuming, it is necessary, because it should involve more than simply circulating the plan and assuming assent.

Critically, before appointing any consultants to develop the plan or assist in its implementation, the Executive Director should confirm that the normal rules for tendering/awarding of contracts have been followed. Advice on this aspect of the post-inspection process can be obtained from the Director of Finance at the LSC National Office.

**Processing Applications**

After agreeing applications and action plans, Executive Directors should send them to the Assistant Director: Quality Improvement at the LSC National Office who will forward the plan to DfES. Executive Directors should ensure that all information requested in the application form (Annex 1) is supplied, that is:

* section two of the application form has been completed specifying the amount of funding applied for
* the Executive Director has signed the declaration in section 3.

Receipt of the application form and the plan will be acknowledged within 5 working days. A copy of the application form and the plan, once agreed, should be sent as soon as possible by LLSCs to relevant local partners.

Applications will not normally be approved until the PAIAP has been accepted by DfES and LSC National Office. However, it may be possible to fund part of the PAIAP, pending amendment of the plan and its full acceptance by DfES and LSC.

At national level, the Assistant Director: Quality Improvement will be responsible for approving, authorising a payments schedule or, in cases where more work/clarification may be needed on plans for informing Executive Directors about ways in which applications should be developed. In the case of applications for **substantial funding**, more than £250k, for example, extra care and diligence should be observed and an auditor or finance director must be involved in the assessment of LLSC actions, to comment particularly on feasibility and value for money. In each of the above cases, the assessors will inform the Assistant Director of their judgement in writing.

Where an application is judged to be incomplete, the Assistant Director: Quality Improvement will write to the Executive Director to ask for more information, or request that the application is re-submitted. The Assistant Director: Quality Improvement will liase with the relevant Executive Director before approving the application and payments schedule.

When accepted, the Assistant Director: Quality Improvement will complete the proforma at annex 3. This will authorise a payments schedule and approve the release of funding to the LLSC.

When applications are endorsed the Assistant Director will write to the Executive Director to set out the arrangements for payment and monitoring. The letter should clearly identify any outstanding issues for the LLSC to address in the implementation of its action plan.

The National Office will respond to all applications within five working weeks.

Responsibilities and indicative timescales for approval of applications are included at Annex 2.

**Annex 1**

**APPLICATION FORM: SF CATEGORY 1.c. (ii) AREA INSPECTIONS –POST INSPECTION ACTION PLANS**

**Please return the completed form to the Assistant Director: Quality Improvement together with the Post-Area Inspection Action Plan**

**Section 1. LLSC Details**

**LLSC Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**LLSC Project Manager Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Section 2. Summary of funding applied for**

***Category of funding Amount of funding***

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Section 3. Declaration**

**For completion by LLSC Executive Director**

**As Executive Director of \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name of LLSC)**

**I confirm:**

1. **that the funds will be subject to the LLSC’s accounting and auditing arrangements**
2. **that the funds will be used for expenditure additional to that which would have been incurred had funding not been available**
3. **that the LLSC will put in place arrangements for evaluating the use of funding**
4. **that the awarding of any contracts conform to National LSC standards for tendering arrangements**

**Signature\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Name (please print)\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

# Annex 2

### Standards Fund: Category 1.c(ii)

### Responsibilities and Indicative Timescales for Approval/Implementation of Final Plans

| **Stage** | **Who** | | **What** | | **When** | |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | Executive Director | Appoints Project Manager | | On receipt of Area Inspection Report | |
| 2 | Executive Director | Submits the action plan to LSC National Office  Recommends approval of the action plan | | Once agreed with partners and Council members within three months from publication of report | |
| 3 | DfES & LSC National Office | | Formally accept plan | | Within five working weeks of receipt | |
| 4 | Assistant Director: Quality Improvement and other National Office staff | | Notifies LLSC that the request for SF support for implementation is approved  Recommends payments schedule | | Ditto | |
| 5 | Executive Director | | Keeps LSC informed of progress in implementing the plan | | Every three months | |

Annex 3

## Standards Fund: Category 1.c(ii)–Assessment of LLSC Action Plan

**LLSC Project Manager Name:**..............................................................................................................................

|  |  |  |
| --- | --- | --- |
| Criterion | Information Required | Assessment |
| Quality | Do the actions proposed address weaknesses identified in the Area Inspection Report ? |  |
|  | Are the actions proposed appropriate and likely to lead to improvement? |  |
|  | Are the priorities for action made clear? |  |
|  | Is an appropriate person responsible for ensuring action takes place? |  |
|  | Is the timescale proposed realistic and achievable and have key milestones been identified? |  |
| **Value for Money** | Is there any evidence to suggest that expenditure proposed is a substitute for expenditure already planned? |  |
|  | Are the costings excessive? |  |

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Quality Improvement/Intervention Manager

Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Standards Fund 2001-02**

# Category 1d: Improving Retention and Achievement

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Administrative arrangements 40

Annex 1d.1: Flow chart of procedures 41

**Administrative Arrangements** **for Category 1d – Improving Performance**

1. Each provider’s allocation will be calculated by the Council’s research and statistics team using a standard formula agreed with the director of quality and standards. Standard letters will be provided by the national office to local councils for distribution to eligible providers. These will give the basis of allocation, date of payment and conditions of use.

The Quality Improvement team in the national office will provide local Learning and Skills Councils with details of individual allocations.

The quality adviser in the local council will be responsible for monitoring the use of funds allocated in this way.

A flow chart indicating the key stages in procedures for allocations by formula can be found at Annex 1d.1

**Annex 1d.1**

Flow chart indicating key stages in procedures for allocations by formula – category **1d** of the standards fund 2001-02 (improving retention and achievement)

Allocation to provider calculated by the national office according to formula agreed by director of Quality and Standards

Quality Improvement team in national office provide EDs with standard letters giving details of providers’ allocations and conditions of use

**Standards Fund 2001-02**

# Category 1e: the Basic Skills Quality Initiative

**Page**

Administrative arrangements 43

# Administration of Funds for Category 1e - the Basic Skills Quality Initiative

**Identifying Eligible Providers**

1. The Basic Skills Quality Initiative (BSQI) is available to all sector and non-sector providers formerly funded by the FEFC. It comprises a three-fold programme of support designed to raise standards in basic skills provision;

* the BSQI materials – a set of four units of staff and organisational development materials based upon existing good practice
* funds to support the use of a BSQI facilitator, trained and allocated by the Council
* the BSQI Training and Development Programme – a programme of residential events aimed at strategic managers and offered on behalf of the Council by the Association of Colleges.

Action plans and interim reports are provided by the colleges to demonstrate the progress made in the use of funds and in raising the standard of provision.

Consideration is currently being given to how BSQI will be made available to work based training providers.

# Notifying Providers of Eligibility

Further guidance will be made available in summer 2001 on future administrative arrangements for BSQI.

**Standards Fund 2001-02**

# Category 2a: Qualifications for New Teachers

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Administrative arrangements 45

Annex 2a.1: Flow chart 47

Annex 2a.2: Assessment of college application form 48

Annex 2a.3: Category 2a: model letter of approval 49

### Administration of Funds for Category 2a – Qualifications for New Teachers

## Identifying Eligible Providers

1. Only FE sector colleges will be eligible for this category of the standards fund.

Colleges will be expected to apply for funding using the application forms in the circular outlining the use of the standards fund in 2001-02.

**Processing Applications**

Colleges should send a signed response form, Circular 01/02, annex B, to Bettina Bullock at the national office by 13 July 2001 indicating the likely number of new full-time, part-time and fractional teachers who will require financial assistance between April 2001 and March 2002. This will enable an early estimate of likely expenditure in this area.

Copies of the response forms will be sent to local Learning and Skills Council offices for information.

Colleges should send a signed application form to executive directors. Before accepting applications, quality advisers should ensure the college is eligible for funding and that all information requested in the application form is supplied, that is:

* the number of new teachers to whom the funding applies has been specified
* the total amount of funding applied for has been identified
* the principal has signed the declaration in section 3
* a detailed breakdown has been supplied for each new teacher for whom funding is requested.

The quality adviser should check that the funding applied for does not significantly exceed the amount indicated in the original application (see paragraphs 2 and 5 above).

It would also be useful if quality advisers formed a view about whether the college’s proposed actions are eligible for funding, for example, that the claim has not included excessive staff replacement or travel costs or claims for stage 3 course fees which would be paid by the local education authority (LEA). In any of these instances, the quality manager or executive director, as appropriate, should be informed.

Receipt of the application form should be acknowledged within five working days.

**Approval of Applications**

Executive directors will be responsible for approving funding, authorising a payments schedule and for informing providers about the success or otherwise of their applications.

When applications have been assessed as adequate, the proforma at annex 2a.2 should be completed and signed. This will confirm the outcome of the assessment of a college’s application, authorise a payments schedule and approve the release of funding.

Once the executive director has approved the funding, they should write to the provider to confirm approval of the application, and set out the arrangements for payment and monitoring. The letter should clearly identify if there are any outstanding issues for the provider to address in the implementation of its application (annex 2a.3).

A flow chart indicating details of procedures for the approval of applications for category 2a (qualifications for new teachers) is attached at annex 2a.1.

**Annex 2a.1**

Flow chart indicating details of procedures for the approval of applications for category **2a** **(qualifications for new teachers)** of the standards fund 2001-02

College sends response form to National Office Circular 01/02, annex B

National office copies response form to local office

College sends application to Executive director at the local (appendix 2 and 3 Annex D of circular)

Quality Adviser acknowledges receipt and checks application

Completion of annex 2a.2

Quality Manager recommends approval or qualified approval

(annex 2a.2)

Executive Director authorises payment

(annex 2a.2)

ED notifies quality improvement team in national office to release funds by completing annex B and copying this to the national office

Executive Director notifies college of outcome

(annex 2a.3)

**Annex 2a.2**

## Standards Fund: Category 2a – Qualifications for New Teachers – Assessment of College Application

Name of FE sector college: College Contact:

|  |  |  |
| --- | --- | --- |
| Criterion | Information Required | Assessment |
| Quality | Individual names of teacher(s) supplied |  |
|  | Details of teaching commitment included, ie full-time, part-time, fractional and/or number of hours taught |  |
|  | Types of qualification to be undertaken appropriate |  |
| **Value for Money** | Do the costings appear to be reasonable? |  |
|  | Is there any evidence to suggest that expenditure proposed is not for new teachers? |  |

Additional comments/action resulting from assessment:

Signed (Assessor) Job Title

Name Date

Quality Adviser’s signature Date

Quality Manager’s signature Date

Executive Director’s signature Date

Annex 2a.3

**Letter of Approval for Funding for Category 2a: Qualifications for New Teachers**

To head of provider

I am pleased to inform you that your application for funding under category 2a of the standards fund has been [approved/partly approved].

Your application has been assessed and you have been awarded [xxxx]. It is intended that standards fund payments will be made at the end of each month, and in your case this will be [xxx payments over the next xxx months].

Please ensure that you maintain adequate information about your use of funding to allow you to monitor your expenditure and to evaluate the impact of your activities on improvement.

Providers will not be expected to submit evidence of expenditure to the Council. You will need to keep copies of all invoices and other appropriate cost records (correctly processed and certified) as evidence of expenditure for audit purposes.

I am sure that the funds you have been awarded will help to raise the quality of provision on offer to learners.

If you have any queries, please do not hesitate to contact [name, title, phone no., e-mail address].

**Standards Fund 2001-02**

# Category 2b: Continuing Professional Development

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Annex 2b.1: Flow chart 53

Annex 2b.2: Category 2b: model notification letter 54

Annex 2b.3: Additional guidance for assessing costed CPD action plans 55

Annex 2b.4: Assessment of provider costed CPD action plans form 70

Annex 2b.5: Category 2b: model letter of approval 71

### Administration of Funds for Category 2b – Continuing Professional Development

## Identifying Eligible Providers

1. The national office will notify local executive directors of allocations in respect of category 2b. A flow chart showing details of procedures is set out at annex 2b.1.

## Notifying Provider of Eligibility

The national office will write to the heads of eligible providers, copying the letter to the chair of the provider, where appropriate.

The letter will indicate the date by which providers should submit their costed continuing professional development (CPD) action plan.

A model letter for notifying providers of allocations is at annex 2b.2.

**Processing Applications**

Providers should send an application form and a costed (CPD) plan to their executive directors. Before accepting applications, quality advisers should ensure the provider is eligible for funding and that all the information is supplied, that is:

* Section two of the application form has been completed specifying the amount of funding the provider is eligible for
* The head of the provider has signed the declaration in section 3.

The quality adviser should check that the funding applied for does not exceed the amount of funding the provider is eligible for. The costed CPD action plan should also show that the allocation has been fully matched with the provider’s own funds.

In addition, colleagues should ensure that a costed CPD action plan has been attached to the application. Receipt of the application form and the costed CPD action plan should be acknowledged within 5 working days. A copy of the application form and the action plan should be sent as soon as possible to other assessors, as appropriate.

## Approval of Action Plans

Executive directors will be responsible for approving costed CPD action plans, authorising a payments schedule and for informing providers about the success or otherwise of their applications. They will need to liaise closely with other members of their team as appropriate. Additional guidance on the assessment of costed CPD action plans is at annex 2b.3. For providers eligible for substantial funding, for example £250,000 or more, extra care and diligence should be observed and an auditor must be involved in the assessment of provider actions, to comment particularly on feasibility and value for money.

The quality adviser should form a judgement on the adequacy of the action plan and record it by completing the proforma at annex 2b.4. This should be passed to the quality manager, who will in turn make a recommendation to the executive director to approve/partially approve or reject the provider’s CPD plan. The executive director, quality adviser and quality manager should all be involved in assessing the adequacy of the plan, which should help to ensure that assessments within the locality are being made fairly and consistently. Concerns identified by the assessors should be brought to the provider’s attention, including those which are not considered sufficient to withhold funding. These concerns should be recorded in a letter sent to the provider notifying it that its funding has been approved.

Providers should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund. Where staff costs are included the indicative daily rates given in the table below should be used as a guide for assessing costs.

|  |  |
| --- | --- |
| **Staff** | **Indicative daily rate including on-costs** |
| Senior Manager  Curriculum Manager  Lecturer  Administration  Educational Consultant | £300 - £350  £200  £150  £100  £350 - £400 |

Where a provider’s costed CPD action plan is judged to be inadequate, the quality manager should write to the provider to ask for more information, indicating the weaknesses in the current plan. In the case of providers identified as showing serious concerns, the executive director should liase with the appropriate national directorate before approving the action plan and payments schedule.

When action plans have been assessed as adequate, the executive director should complete the proforma at annex B. This will confirm the outcome of the assessment of a provider’s application and action plan, authorise a payments schedule and approve the release of funding to the provider. An action plan does not need to be funded in full for the provider to receive funding. Executive directors may wish to authorise funding for part of an action plan, while waiting for the provider to amend or provide further information before the remainder of the plan is funded.

Once the executive director has approved the funding, they should write to the provider to confirm approval of the CPD plan, and set out the arrangements for payment and monitoring. The letter should clearly identify any outstanding issues for the provider to address in the implementation of its action plan (annex 2b.5).

Further guidance follows at annex 2b.3.

**Annex 2b.1**

Flow chart indicating details of procedures for the approval of applications for category **2b** **(continuing professional development)** of the standards fund 2001-02

ED approves action plan and authorises payment of standards fund money

LLSC ‘quality adviser’ assesses action plan

LLSC requests more information from provider

ED notifies provider of eligibility

Action plan submitted to ED. LLSC acknowledges receipt of costed CPD action plan

LLSC ‘quality manager’ considers assessments and recommends approval/rejection/qualified approval

ED notifies quality improvement team in national office to release funds

ED notifies college of outcome

**Annex 2b.2**

### Standards Fund Model Notification Letter

**FOR: Providers eligible to receive funds under Category 2b, Continuing Professional Development**

Head of Provider

## Standards Fund: Category 2b– Continuing Professional Development

I am pleased to inform you that the Council wishes to make available [£XX ] to [provider] to enhance your planned programme of staff development. This has been calculated according to the method set out in the letter from Emer Clarke of YYdate.

Should you wish to make an application for funding you should provide a costed continuing professional development action plan with a completed application form by 30 September 2001. The costed action plan should demonstrate that the funding allocation has been matched fully by the provider’s own funds.

Your action plan should be developed taking into account the guidance set out in Circular 01/02 on the use of the standards fund in 2001-02 and on the Council’s website (http://www.fefc.ac.uk/quality/standards-fund.html). In particular, the Council wishes to receive cost estimates for all activities to be supported with the funding available to the provider. You should refer to annex E of the circular for guidance on eligible items of expenditure. Council staff will assess your action plan. When it is agreed, you will be notified of arrangements for the payment of funds.

If you have any queries about the issues to be addressed or development of your plan please get in touch with [name, title, phone number, e-mail address] in the first instance.

I am sending a copy of this letter to your chair of governors, for information.

**Annex 2b.3**

# Additional Guidance for Assessing Costed Continuing Professional Development Action Plans

Guidelines and Suggested Criteria for assessing costed Continuing Professional Development Action Plans

1. Assessing the adequacy and appropriateness of a costed CPD action plan is not always an easy task. The notes which follow are intended to provide some guidance and support, but realistically, the more experience you get, then the easier the task will become. These notes are intended to act as a checklist and support to help you get started. The first part of this additional guidance (2-27) covers the following aspects of the continuing professional development action plan:

What is the context for the plan?

What is eligible for funding?

What should the plan cover?

Does accreditation matter?

What form do developments activities take?

Costings

**What is the context for the plan?**

1. A starting point is to be sensitive to the provider's experience in producing plans that meet funding body requirements. Some small providers, or those only recently eligible for the standards fund, may not have as much experience as those who have been producing plans for a number of years. Those new to these plans may need a more sensitive approach and more support than those with more substantial experience. Conversely, many providers are competent in designing activities and when assessing CPD plans, it is reasonable to assume that the professional people putting together this action plan probably have considerable experience. Having said that, the quality of plans can vary enormously, even when providers have been producing plans for years.
2. Additionally, it is important to have some basic information about the provider before starting to look at the costed CPD action plan. This should include:

* type of provider for example, FE college, external institution, specialist college
* the sum of money allocated to it for continuing professional development; this will also give you some idea of its relative size.

1. Providers may give some of this information in a covering letter or as part of the plan; for others you may need to access information already held by the LLSC.

**What is eligible for funding?**

1. All providers formerly funded by FEFC are eligible for funding under element 2b: continuing professional development. Their costed CPD action plan should not include any activities eligible for funding under other elements of the professional development fund. These elements cover basic skills (literacy and numeracy up to level 2), teaching qualifications for new teachers, training for principals, senior managers and black managers, and new teaching posts.

**What should the costed CPD action plan cover?**

1. The purpose of funding under 2b: continuing profession development is to help eligible providers improve the quality of their provision by providing professional development for full-time and part-time teaching staff, those supporting teaching and learning and support staff. In assessing costed CPD plans you will need to take account of the priorities set out in the Circular on the use of the standards fund in 2001-02.
2. **Acquisition of teaching qualifications**
3. Providers will be expected to ensure that unqualified teachers currently employed have the opportunity and financial support to gain an appropriate teaching qualification.
4. Examples of use of funding:

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

**b) Acquisition of appropriate subject specialist qualifications**:

1. The aim is to enable providers to use funds to help staff gain appropriate subject specialist qualifications.
2. Examples of use of funding:

* qualifications in accountancy for accountancy teachers
* qualifications leading to membership of professional bodies

**c) Support for part-time teachers:**

1. Findings from FEFC inspections of 104 further education colleges inspected in 1998-99 revealed that 24% of all teaching staff when expressed in full-time equivalents, were on non-permanent contracts. However, inspection of lessons taught by staff on fractional or other part-time contracts suggests that, in general, such teachers need more help to bring their work up to the standard achieved by their full-time colleagues. The use of the standards fund to support part-time teachers should help to raise the standards of teaching and learning among part-time teachers.
2. Examples:

* payment for part-time staff to attend staff meetings or staff development sessions
* better access to staff development opportunities including taking part in projects or curriculum development
* provision for more effective induction including, observation of teaching, advice on marking work, moderation of assignments
* providing a mentor for new part-time staff or for those experiencing difficulty.

**d) IT skills for teachers and those supporting learning**

1. This is targeted at staff whose main specialism is not IT or computing. It is intended to ensure that these staff make full use of IT for the delivery of teaching and learning.
2. Examples:

* a general qualification such as CLAIT which gives staff skills they can use to support their teaching, for instance in producing handouts or keeping records
* a programme designed to help staff use IT as part of their students’ learning experience, for example, requiring learners to use the web for research or to view a powerpoint presentation.

## e) Retraining of teachers

1. Teachers are facing considerable curriculum changes and some may need to develop new skills to cope with these changes. Funds are available to allow teachers to retrain or develop new skills.
2. Examples:

* changes as a result of widening participation, for example, retraining in skills to work with learners who have poor basic skills
* increased demand in curriculum areas, for example, health and social care and a decrease in others such as engineering
* to meet the needs of new categories of learners such as asylum seekers.

## f) Professional updating for teachers

1. Teachers in some vocational areas lack recent and relevant industrial or commercial experience that they can draw on to enhance the teaching of their subject.
2. Examples:

* working in a local nursery and primary school to gain relevant experience would be useful in the delivery of early years education.

## g) Improving skills in providing pastoral care for learners

1. This covers development activities dealing with the work of personal tutors and others involved in pastoral care such as counsellors or careers guidance officers.
2. Examples:

* a qualifications-based course, for example, in counselling or guidance
* in-house non-accredited provision
* a basic qualification in counselling and/or basic skills.

**h) Curriculum management training**

1. This is training for course - or curriculum-team leaders, that is, people who lead a team of teachers.
2. Examples of use of funding:

* basic management training
* curriculum development, record-keeping, managing resources, self-assessment and other aspects of quality assurance
* performance management and leadership.

## i) Skills in the development of community-based learning

1. Examples of use of funding:

* training in working effectively in partnership with other providers and/or community-based groups
* ways of identifying and meeting community needs
* securing and managing funding
* reaching the ‘hard to reach’ individuals or groups.

**Accredited/non-accredited development activities**

1. Most providers will use a mix of provision, some leading to a qualification and some not. Both patterns are acceptable and have their advantages and disadvantages. Generally, provision leading to an external qualification will have its own systems for checking on quality. However, it may not match the individual requirements of each provider as effectively as provision designed in-house.

**What form do development activities take?**

1. Development activities can take a variety of forms. The most usual forms are listed below, with those most frequently used nearer the top; the list is not complete, but it does cover the more usual approaches. In general, the further down the list the format is, the greater the need for effective management by the provider if it is to deliver the improvements intended. Of course, any development activity proposed may combine a number of these formats; for example a course plus mentoring, or curriculum development plus independent study.

## Development activities

|  |  |
| --- | --- |
| Course  Project eg curriculum or course development;  a ‘pilot’  Secondment, placement, job exchange  Independent study  Mentoring  Work shadowing  Visit | * this might be a one-day event, a weekly session for a number of weeks, a full-time course for a specified period of time * a variant on this is a workshop, generally less formal than a course, with less input from the trainer and more learner activity * usually this takes the form of a specified allocation of time (hours/days) for a specified number of people ('working party', 'task group', 'team' etc), to be used for development work on a new course or curriculum area, or perhaps to improve an existing one * sending an individual to work in a different environment, often a firm or business, usually in order for them to acquire new skills or understanding or to update existing expertise * working through an on-line or paper-based package, usually produced externally * might also involve research to support a project or professional updating * linking a skilled and sympathetic practitioner with someone in need of support * planned observation of a skilled practitioner, intended to allow the observer to develop better practice * a variant of this might be team teaching, not for curricular reasons but to allow for the exchange of good practice * an individual or team visiting another group or organisation, in order to improve their own performance * a variant on this is the 'away-day', that is, time away from the parent organisation for a team or group of people, allowing them to concentrate single-mindedly on a particular issue or need |

**Costings**

1. A list of eligible items and indicative daily rates are given in annex E of Circular 01/02 on the use of the standards fund in 2001-02.
2. Throughout, the test for costings should be that they are reasonable i.e. generally in line with existing practice and levels of expenditure. The final check will of course be to make sure that the costs sought in the plan do not exceed the allocation made to the provider under 2b. Remember the provider must match the standards funding.

## Assessing the various parts of a CPD Action Plan

1. The following information is intended to provide guidance and practice to colleagues in local offices in reviewing and assessing a costed CPD action plan sent in by providers to see whether the plans meet the requirements and can be approved.
2. It is divided into two parts. The first part (paras 30-37) looks at the various sections in a plan and the second (paras 39-46), looks at the plan as a whole. Each part is further divided into short sections, each one considering how to assess one aspect of the plan and including where appropriate, additional comments or examples which illustrate or explore further points being made. In some instances, you are asked to consider these examples and then compare your views with the ‘official’ ones which follow in italics.
3. After you have worked through this section, if you are still uncertain or any of it is unclear to you, we suggest the next stage is to talk through with a colleague or your line manager.

# Quality checks on costed CPD Action Plans

**Part one – Looking at each element in the plan**

1. **Is each area of activity included in the costed CPD action plan covered elsewhere in the standards fund?**

For example, training for governors or improvements to MIS are not eligible under this element. They may however be eligible under other standards fund headings. See Circular 01/02 for full details of what is eligible under each heading.

1. **Does the costed CPD action plan show clearly the improvements each activity is designed to deliver?**

Look at these two extracts from a continuing professional development action plan on individual learning plans. Which one best meets this criteria?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Content** | **Objective** | **Performance Indicator** | Activity | Target group |
| Improving the quality of ILPs | To make better use of ILPs | All students to have ILPs | One-day training for staff on ILPs | Staff who use ILPs |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Making better use of ILPs | Tutors who produce ILPs that meet quality standards for ILPs | All full and part-time learners will have ILPs that meet our quality standards  95% of learners will have ILPs that they understand and find useful | A series of one day workshops introducing the quality standards and providing practice and support for staff in producing them | All staff with responsibility for tutoring learners |

* *The second extract is much more specific than the first, and it will be much easier for the provider and the local LSC to check whether the improvements have happened.*

1. **Does the plan state clearly the type of development activity being undertaken?**

Which of the following examples of different development activities meet these criteria?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 1. staff development on ILPs | 2. involve all teaching staff in staff development programme | 3. half-day workshop | 4. visit to Midtown College, a ‘beacon’ college | 5. two-week full-time secondment for course team member to the local paper | 6. up to three mentoring support sessions for all new pt staff | 7. run C&G 7306 from 09/01 2001 to 12/02 |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| *no indication at all what the actual development activity will be* | *no indication at all what the actual development activity will be* | *acceptable if the rest of the line is clear what the workshop is about* | *no indication of duration of visit* | *fine* | *fine – would be nice to know timing of these sessions, but not essential* | *fine, if you know what C&G 7306 is; if not, you need to ask!* |

1. **Does each activity have clear (SMART: specific, measurable, achievable, realistic, timed) targets for improvement?**

(they may becalled success criteria or performance indicators)? Will it be easy to measure each target – do they contain numbers?

Providers often find it very hard to be specific about their targets, so you may need to be prepared to ask for targets to be improved Targets should be specific about the standard they are aiming to achieve, preferably including quantitative data that will help to measure the improvement, and they should give an indication of timing, if that is not given under another heading in the plan. The bullet points which follow are acceptable:

* ‘Lesson observation grades to improve from 61% grades 1 and 2 to 65% grades 1 and 2’
* ‘All full- and part-time staff teaching at levels 1 and 2 to have at least a CLAIT qualification’
* ‘At least one member of staff from each engineering division to have a week's secondment to a relevant industrial company’
* ‘All staff involved in community liaison work will use the college's standard approach to needs analysis’
* ‘Up to five full-time construction teachers will be retrained as IT specialists and redeployed from April 2002 onwards’.

These targets would not be acceptable:

* ‘Improve retention’ – *this is not specific or measurable and it does not state* *which students – ideally it should include from what to what?*
* ‘Increase the level of IT skills among part-time staff ‘ – *does this target relate to all p/t staff, even those teaching just two hours a week for a couple of weeks? What about those who already have IT degrees? Increase to what level, from what?)*
* ‘Establish a tutorial policy’ - *this is an action, not a target; ask why they are doing it, which will help identify the target(s) for improvement. It might be, for example, to improve student attendance or satisfaction (from x to y) or to ensure all learners receive at least one tutorial a term, or to ensure 100% compliance with the tutorial policy and its associated performance standards)*

1. **Is it clear who the intended participants for each activity are?**

These might be specified as, for example, support staff, part-time teaching staff, course leaders, curriculum managers, but they do need to be specified. If the plan refers to 'all staff', it will be important to check whether this does in fact mean all staff i.e. teaching and support, staff and managers, full-time and part-time. It will also be important for you to have some idea of the actual number of staff that this involves, maybe under the ‘participants’ column, if there is one, or under the costings. This will obviously have implications for you when you are considering whether the plan is realistic or not, or whether it has been costed properly.

1. **Does the plan make clear to you what each activity will involve?**

Somewhere in the plan you should be able to find the following information:

* the categories of staff participating (e.g. full-time/part time, catering/languages teachers, plus some idea of number somewhere in the plan)
* the duration (number of days/weeks)
* the timing (when in the year it is due to happen; month and year should be fine. However, if the activity is a complex one and covers several months or longer, it might need to be broken down into stages, each one with its own completion date or milestone.

1. **Is it clear who will monitor each activity, how and when?**

This might be the person leading the activity, and it should include the job title as well as the name. There might be a change in the person holding the post but the role will remain. The job title should indicate at least a middle management position. It should be one person only, others can be listed as involved, but one person should be the named person responsible. The costed CPD plan should refer to the Head of Business Studies, not the Business Studies management team; or the finance officer, not the admin team.

1. **Is it clear who will evaluate each activity, how and when?**

This should **not** be the person leading the activity but someone not previously involved as a participant or contributor, and at least at the same level as the activity leader and preferably further up the management hierarchy. The ‘how’ should be as specific as possible and preferably there should be a clear link with the improvement targets set, for example:

* the head of student services will carry out a survey of all full-time students to obtain their views on the usefulness of tutorials and compare them with the previous year's findings.

1. **Are the costs split evenly between the standards fund and the provider?**

This is a key requirement for obtaining funding. While each part does not have to be split 50/50, the costs overall should show that the Council funding allocation has been fully matched with the provider’s own funds.

**PART TWO – Assessing the plan as a whole**

1. **Does the plan contain sufficient information? Does it seem to have been thought through properly? Is it detailed enough or it is too vague and imprecise?**

Look at these two extracts from a costed CPD action plan. Which one best meets these criteria?

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Objective** | **Activity** | **Outcome** | **Target group** | **Timing** |
| Raise the quality of teaching and learning | Involve staff in a comprehensive staff development programme | Staff develop a shared understanding of good practice in teaching and learning | All full-time and part-time staff | Summer 2002 |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Raise the quality of teaching and learning | All staff to attend 3 days of training, run by external trainers, on learner-centred teaching, learning styles, and lesson plans/schemes of work | * lesson observation grades to improve by 3% * learner satisfaction rates to increase by 5% * retention and achievement rates to improve by 5% and 3% respectively | All 8 full-time and 14 part-time teaching staff | October 2001, December 2002 and February 2002 |

*It is not difficult to see which one has had the most thought put into it and which one needs further development. You will need to remember that small providers and those new to standards fund activities may not have much experience of what is needed and may need sensitive help and support over time to get it right.*

1. **Is each activity relevant to the provider and its overall strategic aims and needs?**

This will require some familiarity with the provider and the context within which it is operating. You will know (or be able to find out) what the LLSC has in mind for this provider and this will help you decide about the general relevance. Remember that we are only considering the work that the LLSC funds with this provider, not other work it might do which is funded from its own or other sources.

1. **Does each activity appear to be realistic? Will it deliver the targeted improvement?**

This involves making some complex decisions about the amount of development activity proposed compared with the size of the organisation and its ability to handle what it proposes. For example, is it realistic for it to put all teaching staff through a six week one-day a week programme in the autumn term? Or to carry out all the activities it plans within one term? Or for the same person to lead and deliver all the staff development activities?

1. **When you look back at the activity and the improvement the activity is intended to deliver, is it your view that it will, for example:**

* improve the quality of teaching and learning in sessions led by part-time staff when the action is to produce a part-time teachers' handbook, do you think that alone will do it?
  + *you would need more information to be convinced, for example, information about what the handbook will cover, how it will be used and how it is intended to improve teaching and learning e.g. through setting standards*
* increase the familiarity of all staff in the leisure and tourism division with current practices in the industry, when the action is to send one member of staff to Luton airport for a week, will that be sufficient?
  + *only if it is a very small section indeed, or if some effective plans are in place for the lucky secondee to share what he or she has learnt.*

1. **Does the plan represent good value for money?**

This is a tricky one. In general terms, it involves taking the costs and comparing them with the numbers involved in each activity plus the likely benefits to the learners and the provider. The higher the numbers and benefits, then the higher the costs can be (providing you are reasonably sure that the numbers, benefits and costs are realistic). There may be however, situations when a relatively high cost apparently benefits for example only a small number of individuals, perhaps only one. If the costs appear to be out of proportion to the benefits, then it would be sensible to ask for some explanation. It might be, for example, that the future success of a course depends on one individual acquiring a specific skill that no-one else on the team has. Of course, do not forget to check that the sum sought from the Council does not exceed the amount allocated .

1. **Do the monitoring and evaluation strategies look as if they will keep the plan on track and measure how far it has achieved its targets?**

* Does monitoring happen early enough for action to be taken if the plan is falling behind or not working out as intended?

1. **Do monitoring and evaluation focus effectively on the key areas of improvement wanted?**

* Above all, does the evaluation make an attempt to assess the impact of development activities on the **learner?**

1. **Are you confident that the benefits will be lasting ones, or are they just temporary?**

Again, a difficult area. Is it your view that the benefits gained will be enduring or are they just temporary, for example:

* is the provider buying equipment without training to support its use?
* are staff visiting another provider with a view to acquiring its quality standards for teaching and learning without any work on their part to consider how they might modify the standards to reflect their particular needs?
* is the provider intending to run a training course for a small number of selected staff with no system for cascading it to all the others who would also benefit?

If you are not convinced this is a sustainable improvement, you might want to ask the provider for additional information, for example, how it intends to embed the benefits or keep them going once the first phase is over.

**A FRAMEWORK FOR COSTED CPD ACTION PLANS**

1. Providers will be encouraged to develop their costed CPD action plans taking into account the guidance set out in the following framework for action plans. This template will be put on the Council’s website (www.fefc.ac.uk\quality).
2. **A FRAMEWORK FOR COSTED CONTINUING PROFESSIONAL DEVELOPMENT PLAN** (an example of an extract from one provider's plan to illustrate the sorts of information to be included

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Continuing Professional Development*:* 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 developmental 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  2: meeting  individual  learning needs  in a group  setting  3: making good use of  learning  styles. | | Staff better able to:   * vary structure of sessions appropriately * find ways of catering for individual learners in a group setting * use a range of teaching styles. | | a) retention and achievement to improve overall by at least 2%, and at level 1 and 2 by at least 7% and 10%  b) observation grades to improve overall, and by 3% at level 1 and 5% at level 2  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. | | | 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  1 June 2001 and 31 October 2001 |
| ⇑ | | ⇑ | | ⇑ | | | ⇑ | ⇑ | | ⇑ | ⇑ | ⇑ |
| *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, and actions required to achieve improvements* | *How long the activity will last and the pattern of delivery.* | | *The intended participants.* | *Likely numbers attending.* | *Timings – months and year and milestone where appropriate.* |
| **Resources/Costs** | | **Source of Funding** | | | **Monitoring** | | | **Evaluating**  **Development**  **Activity** | | **Evaluating Impact**  **of Development**  **Activity** | | |
| **college** | | **standards fund** |
| 1) staff replacement costs  75 f/t at £100 per w'shop,  40 p/t at £45 per w'shop  = £27,900  2) external consultant  3 days prep and 9 delivery at £350 per day  £4,200  3) admin costs 2.5 days at £100 per day £250 | | £13950  £2,100  £125 | | £13950  £2,100  £125 | Professional Development Manager to check that:   1. workshops are designed and programme/timetable sent out, by end April 2. bookings show all relevant staff will attend workshops, by end May   3. evaluations are reviewed monthly to make any changes needed   1. attendance is reviewed mid July and end October. | | | Professional Development Manager to ensure that:  1. tutors' views are recorded at the meeting held after each workshop and at the end of the programme  2. participants' views are obtained verbally and in writing at the end of each workshop  3. these are analysed and used together with attendance data to compile part I of an evaluation report to go to the Quality and Staff Development Committee in November and the corporation's Standards Committee in December | | Director of Quality to ensure that:   1. each participant is asked at the end of a workshop to write down at least one thing they will try out and/or adopt; Prof. Development Manager to follow this up with individuals in November 2. the results of the 'on course' learner survey in December are compared with the previous 2 years 3. grades for those observed October to January are compared the grades they received previously 4. retention and achievement data are monitored monthly and compared with relevant month’s data in previous year(s)   Director of Quality to use the outcomes of 1/2/3 to compile part II of the evaluation report for the QSD and Standards committees in March | | |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *estimated costs of each activity, including the basis for calculations* | *breakdown of funding between provider, standards fund and/or other source* | *who will monitor progress towards implementation of the plan, and how – include interim milestones and priority* | *who will evaluate the quality of the activities, how and when – include interim milestones and priority* | *who will assess the impact of the activities on the professional activities of staff, how and when* |

**Annex 2b.4**

## Standards Fund: Category 2b – Assessment of Provider Continuing Professional Development Action Plans

Provider..............................................................................................................................

|  |  |  |
| --- | --- | --- |
| Criterion | Information Required | Assessment |
| Quality | Do the actions proposed include opportunities for the development of continuing professional development as identified in Circular 01/02, para 32? |  |
|  | Are the actions proposed appropriate and likely to lead to improvement for full-time, part-time, support staff and those supporting teaching and learning? |  |
|  | Does the plan cover all staff in the institution? |  |
|  | Are the priorities for action made clear? |  |
|  | Is an appropriate person responsible for ensuring action takes place? |  |
|  | Is the timescale proposed realistic and achievable and have key milestones been identified? |  |
|  | Has the provider identified appropriate success factors against which progress will be judged? (quantitative targets where possible) |  |
|  | Are there appropriate mechanisms to monitor and evaluate progress? |  |
| **Value for Money** | Is there any evidence to suggest that expenditure proposed is a substitute for expenditure already planned? |  |
|  | Do the costings appear not to be excessive and has the allocation been matched by the provider’s own funds? |  |

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Assessor Job Title\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Annex 2b.5**

### Letter of Approval for Funding for Category 2b - Continuing Professional Development

##### To head of provider

I am pleased to inform you that your application for funding for continuing professional development has been (approved/partly approved).

Your action plan has been assessed and you have been awarded (£x). It is intended that payments will be incorporated into the Council's regular payments run to providers, and in your case this will be (limited to one payment/ x payments dependent on successful progress with the provider's action plan/over the next three months).

You will be aware that the government and the Council are keen that the sector as a whole should make improvements quickly. The progress the provider makes in implementing its costed action plan will be monitored. Your primary contact with the Council is XXX who will be responsible for reporting on progress to the Council’s provider review process.

You will be aware that you must always have adequate information about your use of funding to allow you to monitor your expenditure and to evaluate the impact of your activities. You should review the progress that you are making termly and provide details to [named contact] of unspent funds and progress made at [three dates during the year, 3 weeks before each provider review meeting]. To provide the necessary details, you may find it useful to update your action plan to show progress.

Providers will not be expected to submit evidence of expenditure to the Council.

I should like to remind you to ensure that funds are allocated for additional expenditure incurred and must not replace expenditure already planned or normally incurred by the provider. Annex E of Circular 01/02 provides a list of those items of eligible expenditure. You should remember to apply good practice to procurement and tendering. You will need to keep copies of all invoices and other appropriate cost records (correctly processed and certified) as evidence of expenditure for audit purposes.

If you have queries, please do not hesitate to contact [name, title, phone number, e-mail address].

**Standards Fund 2001-02**

# Category 2c: The Principals’ Training Programme

**Page**

Administrative arrangements & flow chart of procedures 73

# Administration of Funds for Category 2c - the Principals’ Training Programme

# Identifying eligible providers

1. This training programme has been designed for the principals of FE colleges and is available only to them.

The Learning and Skills Development Agency (LSDA) leads a consortium offering the programme on behalf of the Learning and Skills Council. LSDA will promote the programme and issue invitations to directly to the eligible colleges. Principals apply directly to the LSDA for places on the programme.

### Funding Arrangements

During 2001-02, there will be places for up to 75 principals on the principals’ training programme.

The standards fund will pay the full fee for each principal taking part in the programme. Fees are paid directly to the LSDA from the standards fund.

Flow chart indicating key stages in procedures for processing applications where subcontractors are involved - category **2c** of the standards fund 2001-02

Application by provider to LSDA

Application considered by subcontractor who confirms acceptance with provider

National office monitors progress of centrally funded programme

**Standards Fund 2001-02**

# Category 2d: Training for Senior Management Teams

**Page**

Administrative arrangements & flow chart of procedures 75

**Administration of Funds for Category 2d - the Senior Management Team Training and Development Programme**

### Identifying eligible providers

1. This training and development programme has been designed for senior management teams (SMT) in FE colleges and is available only to them.

The Learning and Skills Development Agency (LSDA) leads a consortium offering the programme on behalf of the Learning and Skills Council. LSDA will promote the programme and issue invitations to directly to the eligible colleges. Colleges apply directly to the LSDA for places on the programme.

## Funding Arrangements

During 2001-02, there will be places for up to 200 FE college senior management teams on the training and development programme.

The cost of training to each college will vary depending on the number of participants in a senior management team and whether the college arranges training independently or shares the cost with one or more other college SMTs. LSDA will confirm the cost and invoice each college directly. The standards fund makes a contribution of £5,000 to each college towards the cost of participation. Colleges complete an Evaluation and Claim Form and return this to the national office.

Flow chart indicating key stages in procedures for processing applications where subcontractors are involved - category  **2d** of the standards fund 2001-02

Application by provider to LSDA

Application considered by subcontractor who confirms acceptance with provider

National office monitors progress of centrally funded programme

**Standards Fund 2001-02**

# Category 2e: Training for Senior Managers

**Page**

Administrative arrangements & flow chart of procedures 77

**Administration of Funds for Category 2e - Training for Senior Managers in non-sector college providers**

## Identifying eligible providers

1. This training has been designed specifically for senior managers in the different types of non-sector colleges and is available only to them.

The Association of Colleges (AoC), working with the National Association of Specialist Colleges (NATSPEC) delivers a programme for senior managers in the independent specialist colleges for students with learning difficulty and/or disabilities that are funded by the Council. AoC will promote the programme of events directly with the eligible colleges and invite applications for places from them.

Training will also be provided for senior managers in the other non-sector colleges funded by the Council. The contractor concerned will issue invitations directly to the eligible non-sector colleges. More details on this programme will be available by July 2001.

## Funding Arrangements

The standards fund will pay the full fee of senior managers from non-sector colleges taking part in the programme. Fees are paid directly to the contractor concerned from the standards fund.

Flow chart indicating key stages in procedures for processing applications where subcontractors are involved - category **2e** of the standards fund 2001-02

Application by provider to AoC

Application considered by subcontractor who confirms acceptance with provider

National office monitors progress of centrally funded programme

**Standards Fund 2001-02**

# Category 2f: Training for Black Managers

**Page**

Administrative arrangements & flow chart of procedures 79

**Administration of Funds for Category 2f - Training for Black Managers**

## Identifying eligible providers

1. The standards fund supports management training for black middle and senior managers in FE sector colleges. The Council works closely with the Commission for Black Staff in Further Education in planning this training.

The Learning and Skills Development Agency (LSDA) provide the training on behalf of the Learning and Skills Council and issue invitations to directly to the eligible colleges. Eligible managers apply directly to the LSDA for places on the programme.

The Council also intends to provide support for a coaching and mentorship scheme to support black managers. More details will made available on this part of the standards fund in summer 2001.

## Funding Arrangements

The standards fund will pay directly to LSDA the full fee arising from each manager’s participation in the training programme

Flow chart indicating key stages in procedures for processing applications where subcontractors are involved - category **2f** of the standards fund 2001-02

Application by provider to LSDA

Application considered by subcontractor who confirms acceptance with provider

National office monitors progress of centrally funded programme

**Standards Fund 2001-02**

# Category 2g: New Teaching Posts

**Page**

Administrative arrangements 81

Annex 2g.1: Flow chart 82

**Administrative Arrangements for Category 2g - New Teaching Posts**

1. Providers should apply direct to the national office using the form at Annex F of the circular on the use of the standards fund in 2001-02. A flow chart outlining the process is at Annex 2g.1 of this note.

**Annex 2g.1**

Flow chart indicating key stages in procedures for processing applications for category **2g** **(new teaching posts)** of the standards fund 2001-02

Director of Quality & Standards approves funding

Assistant Director recommends funding

Application assessed by the Quality Improvement team

New applications: submit application to Quality Improvement team at the national office

Quality Improvement team arrange payment for September 2001

For colleges who received funding in 2000-01, apply to the Quality Improvement team at the national office if changes to salary have taken place

Application required

National office quality Improvement team informs provider of the outcome and arranges payment. Approval letter copied to local LSC office

**Standards Fund 2001-02**

# Category 3: The Good Governance Programme

**Page**

Administrative arrangements & flow chart of procedures 84

**Administration of Funds for:**

**Category 3 - the Governance Programme**

## Identifying eligible providers

1. The governance programme is targeted at improving the quality of governance in FE colleges. Only FE colleges are eligible to participate in the initiatives funded under this category of the standards fund.

## Funding Arrangements

From late summer 2001, the governance programme will fund training for corporation clerks and further training for governors. More precise details of the funding arrangements will be available at the time.

Flow chart indicating key stages in procedures for processing applications where subcontractors are involved - category **3** of the standards fund 2001-02

Application by provider to subcontractor

Application considered by subcontractor who confirms acceptance with provider

National office monitors progress of centrally funded programme

**Standards Fund 2001-02**

# Category 4: Centres of Vocational Excellence

**Page**

**Arrangements for this category have yet to be agreed. Details will follow as soon as they are available.**

**Standards Fund 2001-02**

# Category 5a: Dissemination Activity

**Page**

Administrative arrangements 87

Annex 5a.1: Flow chart of procedures 90

Annex 5a.2: Category 5a - model notification letter (5a only) 91

Annex 5a.3: Category 5a – model notification letter (5a and 1b) 92

Annex 5a.4: Responsibilities and indicative timescales 94

Annex 5a.5: Assessment of provider action plan form 95

Annex 5a.6: Category 5a – model letter of approval 96

### Administration of Funds for Category 5a Dissemination Activity

## Identifying Eligible Providers

1. Each local Learning and Skills Council is responsible for identifying providers eligible for funding for dissemination of good practice according to the criteria in the circular. A flow chart setting out details of procedures for action plans is at annex 5a.1.  
     
   **Notifying Provider of Eligibility**

Providers which become eligible for funding as a result of inspection should be notified by the executive director at the same time as they are notified of eligibility for post-inspection support (model letter at annex 5a.3).

Providers which were awarded or are already eligible for funding in 1999/00 and/or 2000/01, have already received funding and may wish to make a further application should be notified by the executive director of the conditions under which further applications can be made (model letters at annexes 5a.2 and 5a.3). Providers which:

* have been awarded accredited/Beacon status
* were awarded at least one outstanding grade by FEFC inspectors since 1997
* have not been awarded the maximum of £300,000 (£350,000 for accredited or Beacon providers)

are also entitled to apply for funding. They should be notified using the model letter at annex 5a.2

In both cases, the letter notifying the provider should indicate the date by which the provider should submit their application and costed action plan, the reasons for eligibility and the maximum amount of funding available to the provider. The name of the quality adviser who is the primary contact should also be included.

Processing Applications

Providers should send applications and action plans to the LLSC executive director. Before applications are accepted the quality adviser should ensure that the provider is eligible for funding and that all information requested in the application form is provided, that is:

* section 2 of the application has been completed specifying the amount of funding applied for under each element
* the head of the provider has signed the declaration in section 3
* the funding applied for does not exceed the amount of funding the provider is eligible for. Where a provider is collaborating with other providers regionally or nationally to disseminate good practice, the quality adviser should check that other local Learning and Skills Councils have not received applications for funding the same activity by contacting their counterparts in other local offices.

Receipt of the application form and the action plan should be acknowledged within 5 working days. A copy of the application form and the action plan should be sent as soon as possible to appropriate assessors, if required.

## Approval of Action Plans

The assessors will inform the quality adviser of their judgements by completing the proforma at annex 5a.5. The completed proforma should be returned to the quality adviser.

Providers should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund. Where staff costs are included the indicative daily rates given in the table below should be used as a guide for assessing costs.

|  |  |
| --- | --- |
| **Staff** | **Indicative daily rate including on-costs** |
| Senior Manager  Curriculum Manager  Lecturer  Administration  Educational Consultant | £300 - £350  £200  £150  £100  £350 - £400 |

The quality adviser should use the assessments and their own judgement to make an initial overall appraisal of the adequacy of the action plan. The quality manager will consider the assessors’ views and the incidence of other dissemination activities in the local area already funded under category 5, before making a recommendation to the executive director to approve or reject the application.

Where a provider’s action plan is judged to be inadequate, the executive director should write to the provider to ask for more information or to resubmit their action plan indicating the weaknesses in the current plan.

When action plans have been assessed as adequate, the executive director will complete the proforma at annex B. This will confirm the outcome of the assessment of a provider’s application and action plan, approve the funding sought by the provider and authorise the payments schedule. An action plan does not need to be funded in full for the provider to receive funding. The executive director may wish to approve funding for part of an action plan, while waiting for the provider to amend or provide further information before the remainder of the plan is funded.

When the executive director has approved the funding, he/she should write to the provider. The letter should indicate approval of the action plan, and the arrangements for payment and monitoring. In addition the letter should clearly identify any outstanding issues for the provider to address in the implementation of its action plan ( annex 5a.6).

The Council has undertaken to respond to all plans within five working weeks.

Responsibilities and indicative timescales for approval of costed action plans are included at annex 5a.4.

**Annex 5a.1**

Flow chart indicating details of procedures for action plans for category **5a** of the standards fund 2001-02

ED notifies quality improvement team in national office to release funds by completing annex B and copying this to the national office

LLSC requests more information from provider

ED notifies provider of eligibility

Action plan submitted to ED. LLSC acknowledges receipt and sends to other assessors as appropriate

LLSC ‘quality adviser’ assesses action plan.

LLSC ‘quality manager’ considers assessments and recommends approval/rejection/

qualified approval to ED

ED approves action plan and authorises payment of standards fund money

ED notifies college of outcome

‘Quality adviser’ and other assessors submit assessments within 10 working days of receipt of action plan

### Annex 5a.2

### Standards Fund Template Notification Letter 5

**FOR: Providers eligible to receive funds under Category 5, dissemination of good practice, whose inspection reports were published prior to 31 January 2001**

Head of Provider

## Standards Fund – dissemination of good practice

I am pleased to inform you that the Council wishes to make available [£XX (this figure should be the outstanding amount available to the provider. It will depend on the amount of funding already allocated to the provider and should not exceed £200,000 (£250, 000 for accredited and Beacon providers] to [provider name] to share your good practice under category 5a of the standards fund. In addition [£YY (20% of funds received for dissemination up to a maximum of £40,000 (£50,000 for accredited and Beacon)] is available for research and development activity (category 5b). This has been calculated according to the method set out in Circular 01/02 on the use of the standards fund in 2001-02.

Should you wish to make an application for funding you should provide an action plan with a completed application form within 2 months of receipt of this letter.

Your action plans should be developed taking into account the guidance set out in Circular 01/02 and on the Council’s website (http://www.fefc.ac.uk/quality/standards -fund.html). In particular, the Council wishes to receive cost estimates for all activities to be supported with the funding available to the provider. You should refer to annex G of the Circular 01/02 for guidance on eligible items of expenditure. Council staff will assess the provider’s action plan. When it is agreed, you will be notified of arrangements for the payment of funds.

If you have any queries about the issues to be addressed or development of your plan please get in touch with [name, title, phone number, e-mail address] in the first instance.

I am sending a copy of this letter to your chair of governors, for information.

**Annex 5a.3**

### Standards Fund Model Notification Letter

**FOR: Providers eligible to receive funds under Category 1b for post-inspection support and Category 5, dissemination of good practice**

Head of Provider

## Response to Inspection Report and Standards Fund

I am pleased to inform you that the Council wishes to make available [£XX] to [provider name] to support improvements following inspection, under category 1 of the standards fund. This has been calculated according to the method set out in Circular 01/02 on the use of the standards fund in 2001-02.

The Council wishes to encourage activity to raise standards as soon as possible. You are therefore asked to provide an action plan with a completed application for category 1b funding within 2 months of receipt of this letter. I anticipate that, while the costed action plan for post-inspection support will not cover all the weaknesses identified during inspection, it will be consistent with plans for post-inspection actions and will address areas of highest priority.

I am also pleased to inform you that, in addition to funding under category 1b, since [the provider] was awarded grade 1 in [identified areas graded 1] you are eligible for funding to disseminate its good practice in [that area/those areas]. Applications for funding under category 5 of the standards fund should be sent to your local learning and skills council as described in Circular 01/02 within 2 months of receipt of this letter.

Your action plans should be developed taking into account the guidance set out in Circular 01/02 at annex G and on the Council’s website (http://www.fefc.ac.uk/quality/standards-fund.html). In particular, the Council wishes to receive cost estimates for all activities to be supported with the funding available to the provider. You should refer to annex G of the Circular 01/02 for guidance on eligible items of expenditure. Council staff will assess the provider’s action plan. When it is agreed, you will be notified of arrangements for the payment of funds.

If you have any queries about the issues to be addressed or development of your plan please get in touch with [name, title, phone number, e-mail address] in the first instance.

I am sending a copy of this letter to your chair of governors, for information.

Annex 5a.4

### Standards Fund: Category 5a

### Responsibilities and Indicative Timescales for Approval of Costed Action Plans

| **Stage** | **Who** | | **What** | | **When** | |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | Quality Adviser | Receives applications for category 5.  Checks that applications have been completed fully.  Decides whether assistance is needed in assessing the action plan | | As soon as they are received | |
| 2 | Quality Manager | Recommends approval of the action plan.  Recommends payments schedule. | | Within 16 working days of receipt of action plan from provider | |
| 3 | Assessors: quality adviser, other LLSC staff | | Assess the action plan against the criteria and complete proforma. | | Within 10 working days of request from the executive director | |
| 4 | Executive director | | Approves funding and authorises payment  Notifies provider that action plan has been approved. | | Within 20 working days of receipt of action plan from provider | |
| 5 | Quality Manager | | Notifies national office of approval and funding arrangements | |  | |

**Annex 5a.5**

### Standards Fund: Category 5 - Dissemination of Good Practice - Assessment of Provider Action Plans

Lead provider..............................................................................................................................

Partners………………………………………………………………………………………………………………………………..

Please include both providers and all other partners such as LSDA, subject organisations such as NABSE or regional organisations such as ACER

|  |  |  |
| --- | --- | --- |
| Criterion | Information Required | Assessment |
| Quality | Are the activities proposed relevant? |  |
|  | What is the provider's experience to date of disseminating good practice? |  |
|  | Are there clear objectives related to the nature of the activity? |  |
|  | What is the extent of collaboration? |  |
|  | Is the activity founded on provider strengths? |  |
|  | Has the provider identified appropriate success factors? |  |
|  | Are there appropriate mechanisms to evaluate progress? |  |
| **Value for Money** | Is the activity additional to other Council funded initiatives? |  |
|  | Do the costings appear not to be excessive? |  |

LLSC quality adviser : LLSC quality manager: Approved by executive director:

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Annex 5a.6

### Letter of Approval for Funding for Category 5: Dissemination of Good Practice 2001-02

##### To head of provider

I am pleased to inform you that your application for funding for dissemination of good practice has been (approved/partly approved).

Your action plan has been assessed and you have been awarded (£x). It is intended that payments will be incorporated into the Council's regular payments run to providers, and in your case this will be (limited to one payment/ x payments dependent on successful progress with the provider's action plan/over the next three months).

You will be aware that the government and the Council are keen that the sector as a whole should make improvements quickly. The progress the provider makes in implementing its costed action plan and disseminating good practice will be monitored. Your primary contact with the Council is XXX who will be responsible for reporting on progress to the Council’s provider review process.

Please let him/her know the outcome of evaluation of your dissemination, (for example analysis of feedback, number of users of web site etc.)

You will be aware that you must always have adequate information about your use of funding to allow you to monitor your expenditure and to evaluate the impact of your activities. You should review the progress that you are making termly and provide details to [named contact] of unspent funds and progress made at [three dates during the year, 3 weeks before each provider review meeting]. To provide the necessary details, you may find it useful to update your action plan to show progress.

Providers will not be expected to submit evidence of expenditure to the Council.

I should like to remind you to ensure that funds are allocated for additional expenditure incurred and must not replace expenditure already planned or normally incurred by the provider. Annex G of circular 01/02 provides a list of those items of eligible expenditure. You should remember to apply good practice to procurement and tendering. You will need to keep copies of all invoices and other appropriate cost records (correctly processed and certified) as evidence of expenditure for audit purposes.

**Information on dissemination activity**

There is a searchable good practice database on the Council web-site which includes information about all dissemination activity funded under the standards fund. Users are able to search on various criteria such as type of college, region and areas awarded grade 1. The web address for the database is:

http://www.fefc.ac.uk/quality/goodpracticedatabase.html

It can be reached from the home page of the site via 'quality improvement' and 'good practice database'.

The majority of the information needed has already been provided to the Council. However, the outcome of the search will be contact details (taken from the application form) and a short summary describing your activity with a direct link to your own web-site.

Please can you provide up to 500 words which could be used as the summary of your activity under category 5 of the standards fund and the web-site address you would wish us to refer users to. Please send an electronic version to neil.higgs@lsc.gov.uk. A response by [two weeks from date of letter] would be helpful.

If you have queries, please do not hesitate to contact [name, title, phone number].

**Standards Fund 2001-02**

# Category 5b: Research and Development Activity

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Annex 5b.1: Flow chart of procedures 101

Annex 5b.2: Examples of eligibility for research & development activity 102

Annex 5b.3: Responsibilities and indicative timescales 104

Annex 5b.4: Assessment of provider action plans form 105

Annex 5b.5: Category 5: model letter of approval 106

### Administration of Funds for Category 5b – Research and Development Activity

## Identifying Eligible Providers

1. Each local Learning and Skills Council is responsible for identifying providers eligible for funding for research and development according to the criteria in Circular 01/02. A flow chart indicating details of procedures for action plans is set out at annex 5b.1.  
     
   **Notifying Provider of Eligibility**

Providers which become eligible for funding as a result of inspection should be notified by the executive director at the same time as they are notified of eligibility for post-inspection support (model letter at annex 5a.3).

Providers which have received funding to disseminate their good practice since April 1999 are entitled to apply for an additional amount of up to 20% of dissemination funding received for research and development activity. They should be notified of eligibility at the same time as they are for notified of funding (model letter at annex 5a.3).

In both cases, the letter notifying the provider should indicate the date by which the provider should submit their application and costed action plan, the reasons for eligibility and the maximum amount of funding available to the provider. The name of the quality adviser who is the primary contact should also be included.

Processing Applications

Providers should send applications and action plans to the LLSC executive director. Before applications are accepted the quality adviser should ensure that the provider is eligible for funding and that all information requested in the application form is provided, that is:

* section 2 of the application has been completed specifying the amount of funding applied for under each element
* the head of the provider has signed the declaration in section 3
* the funding applied for does not exceed the amount of funding the provider is eligible for.

Receipt of the application form and the action plan should be acknowledged within 5 working days.

## Approval of Action Plans

The quality adviser should record their assessment on the proforma at annex 5b.4

Providers should not profit or make a loss from any exchange of staff resulting from work relating to the standards fund. Where staff costs are included the indicative daily rates given in the table below should be used as a guide for assessing costs.

|  |  |
| --- | --- |
| **Staff** | **Indicative daily rate including on-costs** |
| Senior Manager  Curriculum Manager  Lecturer  Administration  Educational Consultant | £300 - £350  £200  £150  £100  £350 - £400 |

The quality manager will consider the aquality adviser’s views and the incidence of other research and development activities in the local area already funded under category 5, before making a recommendation to the executive director to approve or reject the application.

Where a provider’s action plan is judged to be inadequate, the executive director should write to the provider to ask for more information or to resubmit their action plan indicating the weaknesses in the current plan.

When action plans have been assessed as adequate, the executive director will complete the proforma at annex B. This will confirm the outcome of the assessment of a provider’s application and action plan, approve the funding sought by the provider and authorise the payments schedule. An action plan does not need to be funded in full for the provider to receive funding. The executive director may wish to approve funding for part of an action plan, while waiting for the provider to amend or provide further information before the remainder of the plan is funded.

When the executive director has approved the funding, he/she should write to the provider. The letter should indicate approval of the action plan, and the arrangements for payment and monitoring. In addition the letter should clearly identify any outstanding issues for the provider to address in the implementation of its action plan (annex 5b.5).

The Council has undertaken to respond to all plans within five working weeks.

Responsibilities and indicative timescales for approval of costed action plans are included at annex 5b.3.

**Annex 5b.1**

Flow chart indicating details of procedures for action plans for category **5b** of the standards fund 2001-02

ED notifies provider of eligibility

Action plan submitted to ED. LLSC acknowledges receipt

‘Quality adviser’ submits assessment within 10 working days of receipt of action plan

ED notifies college of outcome

ED approves action plan and authorises payment of standards fund money

LLSC ‘quality manager’ considers assessments and recommends approval/rejection/

qualified approval to ED

LLSC ‘quality adviser’ assesses action plan.

LLSC requests more information from provider

ED notifies quality improvement team in national office to release funds by completing annex B and copying this to the national office

**Annex 5b.2**

# Examples of eligibility for research and development funding (category 5b)

**Provider 1:**

* has already received £215,000 for dissemination
* is not accredited or Beacon status
* 20% of £215,000 is £43,000

Therefore, provider 1 can apply for £40,000, the maximum.

## Provider 2:

* has already received £350,000 for dissemination
* has accredited and Beacon status
* 20% of £350,000 is £70,000

Therefore, provider 2 can apply for £50,000, the maximum for accredited/Beacon providers

**Provider 3:**

* has already received £47,000 for dissemination
* has accredited status
* 20% of £47,000 is £9,400

Therefore, provider 3 can apply for £9,400

## Provider 4

* has not applied for or received any funding for dissemination
* applies for £74,000 for dissemination
* 20% of £74,000 is £14,800

Therefore, provider 4 can apply for £14,800

**Provider 5:**

* Has already received £36,000 for dissemination
* Applies for a further £102,000 for dissemination
* 20% of £138,000 is £27,600

Therefore, provider 5 can apply for £27,600

Annex 5b.3

### Standards Fund: Category 5

### Responsibilities and Indicative Timescales for Approval of Costed Action Plans

| **Stage** | **Who** | | **What** | | **When** | |
| --- | --- | --- | --- | --- | --- | --- |
| 1 | Quality Adviser | Receives applications for category 5.  Checks that applications have been completed fully.  Decides whether assistance is needed in assessing action plan. | | As soon as they are received | |
| 2 | Quality Manager | Recommends approval of the action plan.  Recommends payments schedule. | | Within 16 working days of receipt of action plan from provider | |
| 3 | Assessors: quality adviser, other LLSC staff | | Assess the action plan against the criteria and complete proforma. | | Within 10 working days of request from the executive director | |
| 4 | Executive director | | Approves funding and authorises payment  Notifies provider that action plan has been approved. | | Within 20 working days of receipt of action plan from provider | |
| 5 | Quality Manager | | Notifies national office of approval and funding arrangements | |  | |

**Annex 5b.4**

### Standards Fund: Category 5b – Research and Development - Assessment of Provider Action Plans

Lead provider..............................................................................................................................

Partners………………………………………………………………………………………………………………………………..

Please include both providers and all other partners such as LSDA, subject organisations such as NABSE or regional organisations such as ACER

|  |  |  |
| --- | --- | --- |
| Criterion | Information Required | Assessment |
| Quality | Are the activities proposed relevant? |  |
|  | What is the provider's experience to date of disseminating good practice? |  |
|  | Are there clear objectives related to the nature of the activity? |  |
|  | Is the activity founded on provider strengths? |  |
|  | Has the provider identified appropriate success factors? |  |
|  | Are there appropriate mechanisms to evaluate progress? |  |
| **Value for Money** | Is the activity additional to other Council funded initiatives? |  |
|  | Do the costings appear not to be excessive? |  |

LLSC quality adviser : LLSC quality manager: Approved by executive director:

Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signed\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Name \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Annex 5b.5

### Letter of Approval for Funding for Category 5: Dissemination of Good Practice 2001-02

##### To head of provider

I am pleased to inform you that your application for funding for research and development has been (approved/partly approved).

Your action plan has been assessed and you have been awarded (£x). It is intended that payments will be incorporated into the Council's regular payments run to providers, and in your case this will be (limited to one payment/ x payments dependent on successful progress with the provider's action plan/over the next three months).

You will be aware that the government and the Council are keen that the sector as a whole should make improvements quickly. The progress the provider makes in implementing its costed action plan and disseminating good practice will be monitored. Your primary contact with the Council is XXX who will be responsible for reporting on progress to the Council’s provider review process. A standard format for reporting the outcomes of your development activity will be provided.

You will be aware that you must always have adequate information about your use of funding to allow you to monitor your expenditure and to evaluate the impact of your activities. You should review the progress that you are making termly and provide details to [named contact] of unspent funds and progress made at [three dates during the year, 3 weeks before each provider review meeting]. To provide the necessary details, you may find it useful to update your action plan to show progress.

Providers will not be expected to submit evidence of expenditure to the Council.

I should like to remind you to ensure that funds are allocated for additional expenditure incurred and must not replace expenditure already planned or normally incurred by the provider. Annex H of Circular 01/02 provides a list of those items of eligible expenditure. You should remember to apply good practice to procurement and tendering. You will need to keep copies of all invoices and other appropriate cost records (correctly processed and certified) as evidence of expenditure for audit purposes.

If you have queries, please do not hesitate to contact [name, title, phone number].

**Standards Fund 2001-02**

# Category 5c: Special Initiatives

**Page**

Administrative arrangements 108

**Administration of Funds for Category 5c - Special Initiatives**

**Identifying eligible providers**

1. During 2001-2002, the standards fund will support a number of national initiatives designed to identify and share good practice in specific areas.

Work based learning providers are not eligible to receive direct funding under category 5c of the standards fund. They may however benefit from the dissemination activity e.g. by attending events or accessing materials on a website.

Three initiatives are already in place to identify and disseminate good practice and others will be established during the year. The established initiatives are:

* **full time education and training (FTET) option of New Deal**

The Learning and Skills Development Agency (LSDA) are managing this initiative on behalf of the Council. They are working with a number of selected providers to identify good practice ready for dissemination in the summer of 2001.

* **engineering and construction provision**

A consortium of the National Forum for Engineering in Colleges (NFEC) and the British Association of Construction Heads (BACH) will be extending the dissemination of good practice programme begun in 2000-2001. EMFEC/BACH will issues invitations to attend a programme of national and regional events. They will also promote the dedicated website designed to disseminate and debate good practice issues.

## sustainable development practices

The Learning and Skills Development Agency (LSDA) are working with a small number of organisations developing good practice in this area. The organisations bid successfully for funds to support their work in specific areas of sustainable development. The outcomes will be disseminated nationally.

## Funding Arrangements

The funding arrangements for each special initiative vary depending on the nature of the initiative concerned.

### Payments Procedures for All Categories

1. It is intended that payments should be incorporated into the Council's regular payments run to providers. Executive Directors should inform the quality improvement team at the national office of the proposed date and amount of payment as soon as possible after funding has been approved by completing the form at annex B

The date of approval and amount approved should be recorded on the standards fund spreadsheet which should be copied (via e-mail) to Bettina Bullock in the quality improvement team of the national office on the 28th of each month (annex C).

**Monitoring and Evaluation of Action Plans**

Providers will be required, as a condition of funding, to inform executive directors in writing if they expect an underspend at completion of the action plan.

Providers’ progress in implementing action plans will be considered by the Council's provider review process. For providers receiving funding under category 1 and 5, the quality adviser will be responsible for providing monitoring reports at each of the provider reviews.

Providers will be expected to review their action plans regularly to show how funds from the standards fund are being used and how they are leading to improvements in quality.

The executive directors of each LLSC will provide reports at the end of June (29th), October (31st) and January (31st) to the quality improvement team of the national LSC on the use of the standards fund in their locality. A standard format will be provided.

### Annex A

### Assessing Costed Action Plans: Further Guidance

1. Check that the calculations of costs within the action plan, sub-totals and final totals are correct and that these match the funding applied for. Also, check that the funding applied for is not in excess of the funding the provider is eligible for.

Ensure that assessors have copies of any relevant correspondence between the local Learning and Skills Council and the provider and the provider inspection report, where appropriate. Actions have to be linked to weaknesses/grade 1 provision, which have been identified to the provider by the local Learning and Skills Council.

Assessors need to be clear about which part of the action plan they are responsible for assessing. Each assessor needs to apply the whole of the criteria set out on the assessment form to the part of the action plan they are assessing.

Assessors need to make it clear, possibly by annotating the action plan and commenting on the assessment form, which actions are supported and which are not. If actions are not supported, assessors must be quite clear why they are not supporting them. Executive directors may recommend funding for a part or parts of an action plan. Recommendations on further funding can be made when the provider has clarified any outstanding issues. In allowing partial funding, the Council is enabling providers to make the required improvements as quickly as possible.

If additional information is required from a provider, it is probably better for such requests to be channelled through one person rather than a provider receiving requests from several different Council staff. Requests to providers should be clear and say exactly what is required and by when. Telephone calls with providers should be logged. At some point it may be appropriate to confirm queries in writing to a provider.

Assessors are expected to exercise professional judgement in assessing action plans. Where an assessor considers that assessing an action plan exceeds their professional competence it will need to be referred back to the executive director.

Executive directors will wish to moderate the assessments of costed action plans. Moderation will help to ensure a consistent approach to assessment across the locality. In some local offices, this task may be delegated to one or more members of the local team. The views of the moderators will help to inform the executive director’s judgements about the funding they approve for payment.

**Annex B**

# Standards Fund Application and approval form

|  |  |  |
| --- | --- | --- |
| **Provider**  **Local Learning + Skills Council** |  | Awarded accreditation YES/NO  Beacon College YES/NO |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Category | **Total**  **funding**  **allocated** | **Total**  **funding**  **applied for** | **Funding**  **approved to**  **date** | **Funding**  **applied for**  **this time** | **Funding recommended** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
| Total |  |  |  |  |  |

Payment schedule:

Amount Date Category Conditions

First/only payment

Second payment

Third payment

Fourth/final payment

|  |  |  |
| --- | --- | --- |
| **Signatory** | Confirmation | **Signature, name and date** |
| **Assessor** | The application form has been completed fully and its action plan has been assessed. The action plan follows the guidance and criteria set out in Circular 01/02. I recommend the approval of and funding for the action plan. |  |
| **Executive director** | I approve the funding recommended. |  |

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |  |  | Annex C | |
|  | **Data Collection Spreadsheet for the Standards Fund.** | | | | | | |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| **LLSC Region Name:** |  | | | | | |  |  |  |  |
| **Completed by:** |  | | | | |  |  |  |  |  |
| **Phone Number:** |  | | |  |  |  |  |  |  |  |
| **Date completed:** |  | | |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| These instructions refer to the spreadsheet on sheet 2 | | | |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| Please fill in the amounts allocated, applied for and approved for the following funding categories: | | | | | | |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| Category Code | Category Name | | |  |  |  |  |  |  |  |
| 1a | Providers Causing Concern | | |  |  |  |  |  |  |  |
| 1b | Post Inspection Support | | |  |  |  |  |  |  |  |
| 2a | Qualifications for Teachers | | |  |  |  |  |  |  |  |
| 2b | Continuing Professional Development | | | |  |  |  |  |  |  |
| 5a | Dissemination of Good Practice (dissemination activity) | | | | |  |  |  |  |  |
| 5b | Dissemination of Good Practice (research and development activity) | | | | | |  |  |  |  |
|  | Teachers Pay Initiative (TPI) | | |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| Then send the completed spreadsheet via e-mail to **charles.brown@lsc.gov.uk** on the 28th day of each month. | | | | | | | |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |
| **Note: Column heading definitions can be seen when you place your curser over the category codes - e.g.** | | | | | | | | |  |  |
| **Cat 1a, etc (red marked in corners)** | |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |

[[1]](#footnote-1)

1. [↑](#footnote-ref-1)