◎ For action

>lsc

Leading learning and skills

Identifying and Managing Underperformance

Operation of Minimum Levels of Performance
and Notices to Improve Applying to the 2007/08
Academic Year – Technical Support Annexes

January 2007

Of interest to everyone involved in delivering
LSC-funded provision

◎ For action

This document provides additional information for the operation of minimum levels of performance and Notices to Improve in the FE system for the 2006/07 academic year, and the application to the 2007/08 year.

Contents

The purpose of these five annexes is to provide additional support, clarity and context for the guidance.
The supplementary technical annexes (A and B) are designed to be used online and to demonstrate the minimum
levels of performance reports (available from the Planning and Modelling system). All data used is representative.

Annex A:
FE Supplementary Technical Annex

This annex is designed to be used online.

Click on text boxes to view more information

Sector subject area

Effectiveness calculation

Learning aim level

Weighted success rate by sector subject area

Provision below the 50 per cent success rate threshold for long programmes
17.2%

Weighted success rate

Guided learning hours (glh)

Provision shaded orange

Starts

Provision shaded green

Associated funding

Sector Subject Area	LONG programmes (over 24 weeks)	Level 1	Level 2	Level 3	Level 4 or higher	Level unknown	W'td success rate by Sector Subject Area
1 Health, Public Services and Care	W'td success rate	87.6%	69.3%	41.9%	35.6%		57.0%
	glh	7,276	27,380	33,094	2,729		
	Starts	90	517	230	52		
	Funding	£77,948	£229,685	£251,800	£14,151		
2 Science and Mathematics	W'td success rate		67.0%	58.4%			60.7%
	glh		17,030	46,813			
	Starts		148	264			
	Funding		£67,614	£154,899			
3 ... and Animal Care	W'td success rate						
	glh						
	Starts						
	Funding						
4 Engineering and Manufacturing Technologies	W'td success rate	60.6%	44.7%	40.5%			46.6%
	glh	7,478	11,190	13,417			
	Starts	15	28	31			
	Funding	£50,637	£61,100	£91,550			
5 ...	W'td success rate	0.0%	14.1%			3.5%	13.0%
	glh	247	15,100			1,362	
	Starts	1	98			13	
	Funding		£50,948			£18,950	
6 Information and Communication Technology	W'td success rate	40.0%	48.7%	58.9%			
	glh	30,843	30,567	27,377			
	Starts	747	383	92			
	Funding	£77,326	£120,588	£176,397			
7 Retail and Commercial Enterprise	W'td success rate	79.1%	69.6%	27.2%			
	glh	17,382	74,247	13,222			
	Starts	151	256	59			
	Funding	£44,005	£409,342	£63,560			
8 ...	W'td success rate	33.7%	65.5%	67.1%			61.5%
	glh	11,110	28,538	34,359			
	Starts	169	197	106			
	Funding	£49,588	£118,538	£288,314			
9 Arts, Media and Publishing	W'td success rate	65.3%	77.2%	66.6%			68.5%
	glh	4,800	15,233	61,869			
	Starts	14	51	238			
	Funding	£26,849	£80,337	£416,303			
10 History, Philosophy and Theology	W'td success rate			81.8%			
	glh			8,140			
	Starts			44			
	Funding			£38,969			
11 ...	W'td success rate			86.1%			86.1%
	glh			20,632			
	Starts			118			
	Funding			£83,453			
12 Languages, Literature and Culture	W'td success rate	21.6%	61.3%	71.0%		57.1%	62.7%
	glh	2,307	13,261	14,120		518	
	Starts	28	163	85		14	
	Funding	£8,238	£77,500	£85,000		£3,993	
13 Education and Training	W'td success rate		68.8%	48.3%	0.0%	0.0%	51.8%
	glh		2,057	7,481	133	44	
	Starts		37	148	3	10	
	Funding		£11,418	£43,724	£407	£4,058	
14 Preparation for Life and Work	W'td success rate	81.0%	40.8%	56.4%		95.3%	77.1%
	glh	49,710	1,929	19,319		15,156	
	Starts	623	79	57		58	
	Funding	£462,513	£13,498	£85,751		£191,724	
	W'td success rate by Qualification Level	65.4%	60.1%	59.6%	32.9%	86.2%	

Weighted success rate by qualification level

Understanding the Provider Level Report

1 Effectiveness calculation

- Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

- Why have we shown this?

This percentage indicates the proportion of provision that is below the threshold for minimum level of performance (MLP). This figure is a key determinant of the action that will take place to manage underperformance. Details of how minimum levels will be applied are in the main body of this report.

- How is it derived and calculated?

Step 1

Identify all blocks of provision defined by sector subject area within learning aims that have a weighted success rate below the MLP threshold. The sections on 'Weighted success rate' and 'Blocks of provision shaded orange' explain the methodology.

Click here to go to Weighted success rate section

Click here to go to Blocks of provision shaded orange section

Step 2

Within each block of provision that is below the MLP threshold, identify each learning aim that is itself below the MLP threshold – in Figure A1, it is those learning aims shaded orange in the magnified view.

Step 3

Sum the expected guided learning hours for each learning aim identified in step 2 and express this total as a percentage of the total guided learning hours (less any guided learning hours in learning aims where the learner transferred out to another course) for all blocks of provision on the report. See the section on guided learning hours (on page 3) for additional details on expected guided learning hours.
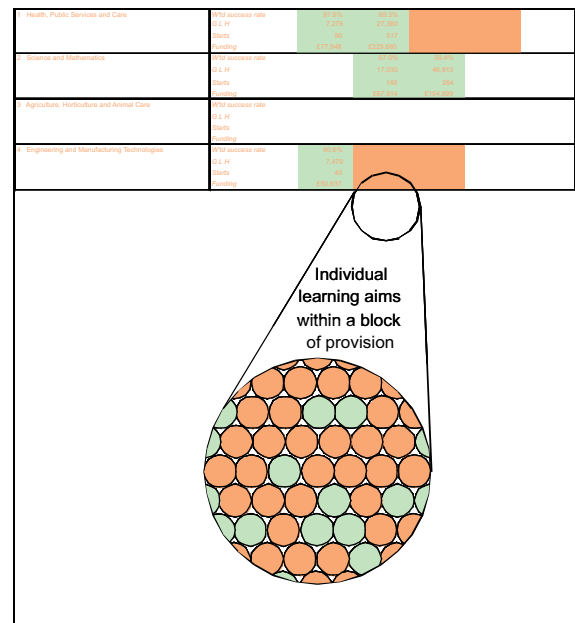
Click here to go to Guided learning hours section

Note

The total expected guided learning hours used in calculating the effectiveness percentage are shown as points 6 and 7 in the notes page of the report.

Click here for a detailed view

Figure A1: Provision below MLP level.

- What inferences can be drawn from this information?

The higher the percentage, the greater is the proportion of a provider's provision delivered with success rates below the threshold for minimum levels of performance.

2 Sector subject area

- Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

- Why have we shown this?

Minimum levels of performance assess success rates within providers at a more detailed level than previously. Applying the minimum level of performance to blocks of provision defined by sector subject area, within learning aim, provides a balance between excessive volumes of detail and pockets of underperformance that may be hidden within large blocks of provision that could have overall success rates above the MLP.

- How is it derived and calculated?

The categorisation is sector subject area, tier 1 as defined by the Qualifications and Curriculum Authority (QCA). A full listing of sector subject area, tier 1 categories for each learning aim is published in the All Annual Values table as part of the Learning Aims Database (see the link below).

http://providers.lsc.gov.uk/LAD/downloads/ LADdownload.asp

3 Learning aim levels

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

Minimum levels of performance identify providers' success rates at a more detailed level than previously. Applying the minimum level of performance to blocks of provision defined by sector subject area within learning aim level is seen as delivering the right balance between excessive volumes of detail, and large blocks of provision that could have success rates above the MLP threshold and yet contain areas of underperformance that would not be addressed.

• How is it derived and calculated?

The categorisation is notional NVQ level as defined by QCA. A full listing of notional NVQ level categories for each learning aim is published in the Learning Aim table as part of the Learning Aims Database (see the link below).

http://providers.lsc.gov.uk/LAD/downloads/ LADdownload.asp

4 Weighted success rates

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

The weighted success rate determines whether the block of provision exceeds or falls below the MLP success rate threshold.

• How is it derived and calculated?

The published success rate methodology counts the number of learning aim achievements and expresses this total as a proportion of starts. In the context of MLP, a fairer measure is obtained by weighting the success rate calculation by expected guided learning hours for each learning aim. The resulting weighted success rate is most heavily influenced by those programmes requiring the greatest level of teaching resource.

For each block of provision, the annual expected guided learning hours for each learning aim that has been achieved is summed. The sum of 'achieved'

guided learning hours is expressed as a percentage of the total expected guided learning hours for all learning aims (less any guided learning hours in learning aims where the learner transferred out to another course) within that block of provision.

Algebraically, the calculation can be expressed as:

$$\text{Weighted success rate} = \frac{\text{(Sum of expected glh where learning aim was achieved)}}{\text{(Sum of expected glh for all learning aims in the report)}} \times 100\%$$

• What inferences can be drawn from this information?

Blocks of provision where the weighted success rate is below the MLP threshold will require actions to address the underperformance. This is dealt with in more detail in the main body of this document.

• See also:

Blocks of provision shaded orange

Blocks of provision shaded green

Click here to return to Effectiveness calculation

5 Guided learning hours

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

The total expected guided learning hours for each block of provision defined by sector subject area within learning aim level provides an indication of the volume of provision delivered in each block.

• How is it derived and calculated?

The figure shown is the sum of the expected guided learning hours for each learning aim within the block of provision. Expected guided learning hours is a standard derived variable used by the LSC. Its database field name is a_exp_a and a full definition and description can be found at the link below.

www.lsc.gov.uk/Providers/Data/DataDictionary

• What inferences can be drawn from this information?

It is possible to identify those blocks of provision that are major contributors to the provider's total offering of programmes.

Click here to return to Effectiveness calculation

6 Starts

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

'Starts' indicates the total number of learning aims in each block of provision and provides an indication of the volume of provision delivered in each block.

• How is it derived and calculated?

Starts is the total number of learning aim enrolments that were planned to be completed during the academic year being reported on, in this case 2004/05. A full definition and description can be found on page 8 of the web-based document, accessed via the link below.

www.lsc.gov.uk/Providers/Data/Statistics/success/FEqualificationlevel.htm

• What inferences can be drawn from this information?

It is possible to identify those blocks of provision that are major contributors to the provider's total offering of programmes.

7 Associated funding

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

Associated funding indicates the total funding generated by the learning aims represented in each block of provision and provides an indication of the volume of provision delivered in each block.

• How is it derived and calculated?

The associated funding figure sums just those elements of the funding process that are directly attributable to a specific learner who is pursuing a specific learning aim. This means that funding based on the characteristics of the learner (for example, entitlement) and funding based on the characteristics of the provider (for example, area cost factor) are excluded as they cannot be attributed to a specific learning aim. The calculation also sums funding across academic years where the learning aim starts in one year and is expected to be completed in a different year.

As a consequence of basing the calculation on only those funding elements that can be directly linked to a specific learning aim, the associated funding figure will not agree with other funding data available from the LSC and nor will it agree with outputs from the Learner Information Suite.

• What inferences can be drawn from this information?

It is possible to identify those blocks of provision that are major contributors to the provider's total offering of programmes.

8 Blocks of provision shaded orange

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

To identify, clearly and speedily, those blocks of provision where the weighted success rate falls below the MLP.

• How is it derived and calculated?

It compares the weighted success rate with the following MLP success rate thresholds:

Long programmes (over 24 weeks)	50%
Short programmes (under 5 weeks)	85%
Short programmes (5 to 24 weeks)	60%

• What inferences can be drawn from this information?

Provision contained within orange-shaded cells will be the subject of actions to address underperformance. These actions are dealt with in the main body of this document.

- See also:

Weighted success rate

Click here to return to Effectiveness calculation

9 Blocks of provision shaded green

- Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

- Why have we shown this?

To identify, clearly and speedily, those blocks of provision where the weighted success rate exceeds the MLP.

- How is it derived and calculated?

It compares the weighted success rate with the following MLP success rate thresholds:

Long programmes (over 24 weeks)   50%
Short programmes (under 5 weeks)   85%
Short programmes (5 to 24 weeks)   60%

- What inferences can be drawn from this information?

Provision contained within green-shaded cells will not necessarily require action to be taken. However, this does not mean that provision in green-shaded cells can be viewed as satisfactory or good. The only safe inference that can be drawn is that provision in green-shaded cells is above the minimum level of performance.

- See also:

Weighted success rates

10 Weighted success rate by sector subject area

- Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

- Why have we shown this?

There will be providers whose overall level of provision below the MLP threshold is sufficiently low not to require significant action, but who nevertheless have one or more whole sector subject areas below the MLP threshold. Where this occurs, the weighted success rate by sector subject area, tier 1 is coloured orange.

- How is it derived and calculated?

For each sector subject area, the annual expected guided learning hours for each learning aim that has been achieved is summed. The sum of 'achieved' guided learning hours is expressed as a percentage of the total expected guided learning hours for all learning aims (less any guided learning hours in learning aims where the learner transferred out to another course) within that sector subject area.

Algebraically, the calculation can be expressed as:

$$\text{Weighted success rate} = \frac{(\text{Sum of expected glh where learning aim was achieved})}{(\text{Sum of expected glh for all learning aims in the report})} \times 100\%$$

- What inferences can be drawn from this information?

Provision where the weighted success rate is below the MLP threshold and shown in red will be the subject of actions to address the underperformance. These actions are explained in greater detail in the main body of this document.

11 Weighted success rate by learning aim level

- Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

- Why have we shown this?

There will be providers whose overall level of provision below the MLP threshold is sufficiently low not to require significant actions to address underperformance, but who nevertheless have one or more whole learning aim level below the MLP threshold. Where this occurs, the weighted success rate by learning aim level is shaded orange.

- How is it derived and calculated?

For each learning aim level, the annual expected guided learning hours for each learning aim that has been achieved is summed. The sum of 'achieved' guided learning hours is expressed as a percentage of the total expected guided learning hours for all learning aims (less any guided learning hours in learning aims where the learner transferred out to another course) within that learning aim level.

Algebraically, the calculation can be expressed as:

$$\text{Weighted success rate} = \frac{(\text{Sum of expected glh where learning aim was achieved})}{(\text{Sum of expected glh for all learning aims in the report})} \times 100\%$$

- What inferences can be drawn from this information?

Provision where the weighted success rate is below the MLP threshold and shown in red will be the subject of actions to address the underperformance. These actions are explained in greater detail in the main body of this document.

Effectiveness location

> **Provision below the 50 per cent success rate threshold for long programmes**
> **17.2%**

Long programmes (over 24 weeks)	Level 1	Level 2	Level 3	Level 4 or higher	
Weighted success rate	87.6%	69.3%	**41.9%**	**35.6%**	
glh	7,276	27,380	**33,094**	**2,729**	
Starts	90	517	**230**	**52**	

Return to Effectiveness calculation

Guided learning hours – totals

6 Aggregate glh of learning aims with a weighted success rate below the 50%, and which are located within cells of provision below the success rate threshold (shown in red) = 132,227

7 Total number of guided learning hours in LONG programmes = 767,194

Return to Effectiveness calculation

Sector subject area location

Sector subject area	Long programmes (over 24 weeks)	Level 1
1 Health, public services and care	*Weighted success rate*	87.6%
	glh	7,276
	Starts	90
	Funding	£77,948
2 Science and mathematics	*Weighted success rate*	
	glh	
	Starts	
	Funding	
3 Agriculture, horticulture and animal care	*Weighted success rate*	
	glh	
	Starts	
	Funding	
4 Engineering and manufacturing technologies	*Weighted success rate*	60.6%

Return to Sector subject area section

Learning aim levels location

	Level 1	Level 2	Level 3	Level 4 or higher	Level unknown
Weighted success rate	87.6%	69.3%	41.9%	35.6%	
glh	7,276	27,380	33,094	2,729	
Starts	90	517	230	52	
Funding	£77,948	£229,685	£251,800	£14,151	
		67.0%	58.4%		
		17,030	46,813		
		148	264		

Return to Learning aim levels section

Weighted success rates location

4 Engineering and manufacturing technologies	*Weighted success rate*	60.6%
	glh	7,478
	Starts	45
	Funding	£50,637
5 Construction, planning and the built environment	*Weighted success rate*	**0.0%**
	glh	**247**
	Starts	**1**
	Funding	
6 Information and communication technology	*Weighted success rate*	**40.0%**
	glh	**30,843**
	Starts	**747**
	Funding	**£77,326**
7 Retail and commercial enterprise	*Weighted success rate*	79.1%
	glh	17,382
	Starts	151
	Funding	

Return to Weighted success rates section

Guided learning hours location

5 Construction, planning and the built environment	*Weighted success rate*	**0.0%**
	glh	**247**
	Starts	**1**
	Funding	
6 Information and communication technology	*Weighted success rate*	**40.0%**
	glh	**30,843**
	Starts	**747**
	Funding	**£77,326**
7 Retail and commercial enterprise	*Weighted success rate*	79.1%
	glh	17,382
	Starts	151
	Funding	£44,005
8 Leisure, travel and tourism	*Weighted success rate*	**33.7%**
	glh	**11,110**
	Starts	**169**
	Funding	**£49,588**
9 Arts, media and publishing	*Weighted success rate*	65.3%

Return to Guided learning hours section

Starts location

6 Information and communication technology	Weighted success rate	**40.0%**
	glh	**30,843**
	Starts	**747**
	Funding	**£77,326**
7 Retail and commercial enterprise	Weighted success rate	79.1%
	glh	17,382
	Starts	151
	Funding	£44,005
8 Leisure, travel and tourism	Weighted success rate	**33.7%**
	glh	**11,110**
	Starts	**169**
	Funding	**£49,588**
9 Arts, media and publishing	Weighted success rate	65.3%
	glh	4,800
	Starts	14
	Funding	£26,849
10 History, philosophy and theology	Weighted success rate	
	glh	
	Starts	

Return to Starts section

Associated funding location

8 Leisure, travel and tourism	Weighted success rate	**33.7%**
	glh	**11,110**
	Starts	**169**
	Funding	**£49,588**
9 Arts, media and publishing	Weighted success rate	65.3%
	glh	4,800
	Starts	14
	Funding	£26,849
10 History, philosophy and theology	Weighted success rate	
	glh	
	Starts	
	Funding	
11 Social sciences	Weighted success rate	
	glh	
	Starts	
	Funding	
12 Languages, literature and culture	Weighted success rate	**21.6%**

Return to Associated funding section

Blocks of provision shaded orange location

5 Construction, planning and the built environment	Weighted success rate	0.0%	14.1%
	glh	247	15,100
	Starts	1	98
	Funding		£50,948
6 Information and communication technology	Weighted success rate	40.0%	48.7%
	glh	30,843	30,567
	Starts	747	383
	Funding	£77,326	£120,588

Return to Blocks of provision shaded orange section

Blocks of provision shaded green location

Weighted success rate	65.3%	77.2%	66.6%
glh	4,800	15,233	61,869
Starts	14	51	238
Funding	£26,849	£80,337	£416,303
Weighted success rate			81.8%
glh			8,140
Starts			44
Funding			£38,969
Weighted success rate			86.1%
glh			20,632
Starts			118
Funding			£83,453

Return to Blocks of provision shaded green section

Weighted success rate by sector subject area location

Level 2	Level 3	Level 4 or higher	Level unknown	Weighted success rate by sector subject area
69.3%	**41.9%**	**35.6%**		57.0%
27,380	**33,094**	**2,729**		
517	**230**	**52**		
£229,685	**£251,800**	**£14,151**		
67.0%	58.4%			60.7%
17,030	46,813			
148	264			
£67,614	£154,899			
44.7%	**40.5%**			**46.6%**
11,190	**13,417**			
28	**31**			
£61,160	**£91,550**			

Return to Weighted success rate by sector subject area section

Weighted success rate by learning aim level location

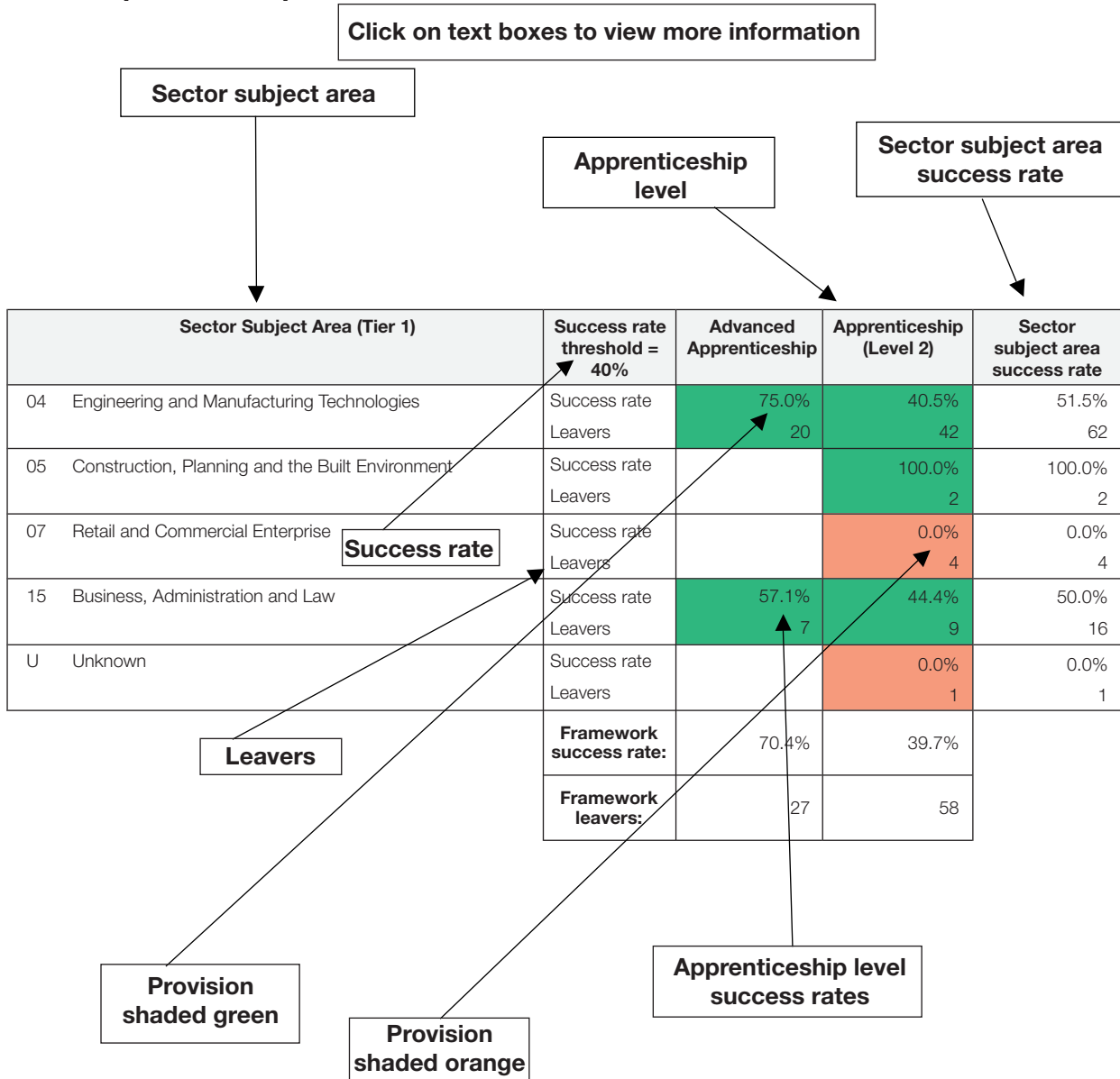|				
Business, administration and law	*Weighted success rate*	83.8%	**37.5%**	
	Glh	6,001	**11,989**	
	Starts	17	**72**	
	Funding	£45,882	**£52,029**	
Unknown	*Weighted success rate*		**0.0%**	
	Glh		**139**	
	Starts		**1**	
	Funding			
	Weighted success rate by qualification level	65.4%	60.1%	

Return to Weighted success rate by learning aim level section

Annex B:
Work-based Learning Supplementary Technical Annex

Minimum levels of performance in work-based learning

This annex is designed to be used online.

Data source: [interim 2005/06]

Click on text boxes to view more information

Sector subject area

Apprenticeship level

Sector subject area success rate

Sector Subject Area (Tier 1)		Success rate threshold = 40%	Advanced Apprenticeship	Apprenticeship (Level 2)	Sector subject area success rate
04	Engineering and Manufacturing Technologies	Success rate	75.0%	40.5%	51.5%
		Leavers	20	42	62
05	Construction, Planning and the Built Environment	Success rate		100.0%	100.0%
		Leavers		2	2
07	Retail and Commercial Enterprise	Success rate		0.0%	0.0%
		Leavers		4	4
15	Business, Administration and Law	Success rate	57.1%	44.4%	50.0%
		Leavers	7	9	16
U	Unknown	Success rate		0.0%	0.0%
		Leavers		1	1
		Framework success rate:	70.4%	39.7%	
		Framework leavers:	27	58	

Success rate

Leavers

Provision shaded green

Provision shaded orange

Apprenticeship level success rates

Understanding the Provider Level Report

1 Sector subject area

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

Minimum levels of performance (MLP) assess success rates within providers at a more detailed level than in the past. Applying the minimum level of performance success rate threshold to blocks of provision defined by sector subject area within Apprenticeship level is seen as delivering the right balance between excessive volumes of detail, and large blocks of provision that could have success rates above the MLP threshold and yet contain areas of underperformance that would not be addressed.

• How is it derived and calculated?

The categorisation is sector subject area, tier 1 as defined by the Qualifications and Curriculum Authority (QCA). A full listing of sector subject area, tier 1 categories for each learning aim is published in the All Annual Values table as part of the Learning Aims Database (see the link below).

http://providers.lsc.gov.uk/LAD/downloads/ LADdownload.asp

2 Apprenticeship level

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

Minimum levels of performance (MLP) assess success rates within providers at a more detailed level than in the past. Applying the MLP success rate threshold to blocks of provision defined by sector framework within Apprenticeship level is seen as delivering the right balance between excessive volumes of detail, and large blocks of provision that could have success rates above the MLP threshold and yet contain areas of underperformance that would not be addressed.

3 Success rates

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

The success rate determines whether the block of provision exceeds or falls below the MLP success rate threshold.

• How is it derived and calculated?

Known as the 'current success rate', the methodology counts the number of framework achievements in the year and express this total as a percentage of Apprenticeship leavers for the year.

Algebraically, the calculation can be expressed as:

$$\text{Success rate} = \frac{(\text{Sum of Apprenticeship frameworks achieved})}{(\text{Sum of learners who have left Apprenticeship frameworks})} \times 100\%$$

• What inferences can be drawn from this information?

Blocks of provision where the success rate is below the MLP threshold will be the subject of interventions that are explained in greater detail in the main text.

• See also:

Blocks of provision shaded orange

Blocks of provision shaded green

4 Leavers

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

Leavers indicates the total number of learning aims in each block of provision and provides an indication of the volume of provision delivered in each block.

• How is it derived and calculated?

Starts is the total number of learners who have left Apprenticeship frameworks during the year. See the link below for an explanation of the 'current' success rate methodology.

www.lsc.gov.uk/Providers/Data/Datadictionary/ Datadefinitions/FE+Success+Rates+Methodology+ 2004-05.htm

- What inferences can be drawn from this information?

It identifies those blocks of provision that are major contributors to the provider's total offering of programmes.

5   Blocks of provision shaded orange

- Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

- Why have we shown this?

These blocks identify clearly and speedily provision where the success rate falls below the MLP success rate threshold.

- How is it derived and calculated?

It compares the weighted success rate with the MLP success rate threshold of 40 per cent.

- What inferences can be drawn from this information?

Provision contained within orange-shaded cells will be the subject of interventions that are explained in greater detail in the main text.

- See also:

Success rate

6   Blocks of provision shaded green

- Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

- Why have we shown this?

These blocks identify clearly and speedily provision where the success rate exceeds the MLP success rate threshold.

- How is it derived and calculated?

It compares the weighted success rate with the MLP success rate threshold of 40 per cent.

- What inferences can be drawn from this information?

Provision contained within green-shaded cells will not be the subject of interventions. However, this does not necessarily mean that provision in green-shaded cells can be viewed as satisfactory or good. The only safe inference that can be drawn is that provision in green-shaded cells is above the minimum acceptable level of performance.

- See also:

Success rate

7   Success rate by sector subject area, tier 1

- Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

- Why have we shown this?

There will be cases where having access to the success rate for the whole sector framework will assist in deciding appropriate courses of action.

- How is it derived and calculated?

For each sector framework, the number of Advanced Apprenticeship framework achievements in the year is added to the number of achievements in Apprenticeship (Level 2). This total is expressed as a percentage of the total number of Advanced Apprenticeship and Apprenticeship (Level 2) leavers for the year.

Algebraically, the calculation can be expressed as:

$$\text{Success rate} = \frac{\{(\text{Sum of Advanced Apprenticeship frameworks achieved}) + (\text{Sum of Apprenticeships at Level 2 frameworks achieved})\}}{(\text{Sum of learners who have left any Apprenticeship framework})} \times 100\%$$

• What inferences can be drawn from this information?

Provision where the success rate is below the MLP threshold and shown in red will be the subject of interventions that are explained in greater detail in the main text.

8 Success rate by Apprenticeship level

• Where is this shown on the report?

Click here for a detailed view

Click here to go to a sample report

• Why have we shown this?

There will be cases where having access to the success rate for entire Apprenticeship programmes will assist in deciding appropriate courses of action.

• How is it derived and calculated?

For each Apprenticeship level, the methodology counts the number of framework achievements in the year and express this total as a percentage of Apprenticeship leavers (at that level) for the year.

Algebraically, the calculation can be expressed as:

$$\text{Success rate} = \frac{\text{(Sum of Apprenticeship frameworks achieved)}}{\text{(Sum of learners who have left Apprenticeship frameworks)}} \times 100\%$$

• What inferences can be drawn from this information?

Provision where the weighted success rate is below the MLP threshold and shown in red will be the subject of interventions that are explained in greater detail in the main text.

Sector subject area location

Sector subject area, tier 1	Success rate threshold = 40%
04 Engineering and Manufacturing Technologies	Success rate Leavers
05 Construction, Planning and the Built Environment	Success rate Leavers

Return to Sector subject area section

Apprenticeship level location

Advanced Apprenticeship	Apprenticeship (Level 2)
60.0% 5	28.6% 7
75.0% 4	57.1% 7
69.2% 13	39.1% 23

Return to Apprenticeship levels section

Success rates location

07 Retail and Commercial Enterprise	Success rate Leavers	
15 Business, Administration and Law	Success rate Leavers	57.1% 7

Return to Success rates section

Leavers location

07 Retail and Commercial Enterprise	Success rate	
	Leavers	
15 Business, Administration and Law	Success rate	**57.1%**
	Leavers	**7**

Return to Leavers section

Blocks of provision shaded orange location

07 Retail and Commercial Enterprise	Success rate		**0.0%**
	Leavers		**4**
15 Business, Administration and Law	Success rate	**57.1%**	**44.4%**
	Leavers	**7**	**9**

Return to Blocks of provision shaded orange section

Blocks of provision shaded green location

04 Engineering and Manufacturing Technologies	Success rate	**75.0%**	**40.5%**
	Leavers	**20**	**42**
05 Construction, Planning and the Built Environment	Success rate		**100.0%**
	Leavers		**2**

Return to Blocks of provision shaded green section

Success rate by sector subject area, tier 1 location

Sector subject area success rate
51.6%
62
100.0%
2
0.0%
4
50.0%
16

Success rate by Apprenticeship level location

Framework success rate	70.4%	39.7%
Framework leavers	27	**58**

Annex C:
Notice to Improve Based on Minimum Levels of Performance: 2006/07 Planning Process

Timeline	LSC	College or external institution	Ofsted	QIA
Jan 2007	The minimum levels of performance (MLP) report used to consider college success rates as part of 2006/07 planning dialogue. MLP reports shared with college.			
	The LSC identifies colleges in scope to receive a Notice to Improve (NtI). LSC begins decision and monitoring log for internal audit purposes.	Receives MLP report from the LSC. Data used as part of wider planning dialogue.	Ofsted receives copies of MLP reports at national level.	QIA receives copies of MLP reports from LSC.
	Partnership director informs college principal, in writing, that they are in scope for a Notice to Improve and the need for discussions.	If given indication that an NtI to be issued, the college is to take appropriate internal communication and action to support further dialogue with LSC.		After college is informed, QIA receives notification of colleges likely to need support and informs Tribal.
		College accelerates collection of 2005/06 data.		
Jan–Feb 2007	The LSC prepares to support the discussions process.	Principal informs governors and establishes a review to determine the college's capacity to improve, including consideration of alternative strategic options.		In discussion with the college, an improvement adviser is identified. The improvement adviser supports college review. Produces improvement needs assessment and, where improvement is possible, recommends a tailored package.
	The LSC supports college in conducting a review of improvement options. The LSC and college agree appropriate deadline for submission of 2005/06 data to inform the discussions. Data generated using one methodology.	The LSC and college agree appropriate deadline for submission of 2005/06 data.		

Timeline	LSC	College or external institution	Ofsted	QIA
Feb 2007	Planning and Modelling (PaM) system goes live with FO5 data. The LSC reviews college position using 2005/06 success rate data. Based on most recent data, assesses the extent of the improvement indicators that will be attached to the Ntl. The regional director writes to chair of governing body and copies to principal (using a completed template) and case-specific conditions. The LSC regional management board moderates decisions. The regional director of learning, planning and peformance informs Ofsted of issue of Ntl.	College chair of governors and principal receive formal Ntl. Chair to send letter acknowledging receipt to LSC regional director and copied to partnership manager. If college does not accept Ntl, it has the option to complain (see complaints process at paragraph 51).	Ofsted receives notification regionally of any Ntls for colleges with underperformance at 25 per cent or greater.	Improvement adviser supports college to develop and implement the QIA improvement action plan. The LSC and QIA monitor progress. Ntl, improvement plan and package agreed with college and LSC.

Timeline	LSC	College or external institution	Ofsted	QIA
Mar–Jul 2007	LSC monitors to seek assurance that arrangements are put in place to secure improvement and meet Ntl conditions. LSC assesses and records performance of college against the delivery conditions of the Ntl.	College takes steps to address conditions and secure improvement.		Improvement adviser provides, following discussion with college, updates on progress with regard to improvement plan to LSC and QIA.

Timeline	LSC	College or external institution	Ofsted	QIA
Aug– Oct 2007	The LSC assesses and records performance of the college against the delivery conditions of the NtI. If sufficient arrangements are in place to secure improvement, 2007/08 enrolment continues and the NtI runs to full period. If Ofsted assesses the college as having the capability to improve or be graded satisfactory, the NtI runs to full term and 2007/08 enrolment proceeds. If the college is not making sufficient arrangements to meet the conditions of the NtI, and it is anticipated that the college will not meet the requirements of the NtI – even if the NtI runs to full term – then the LSC regional director informs the LSC National Office Director of Quality and Standards. The regional director formally invites Ofsted to undertake an inspection or annual assessment visit (AAV) to inform the decision. If Ofsted assesses the college as inadequate or lacking the capacity to improve, the LSC proceeds to inform the principal and chair of governors of intent to suspend recruitment in 2007/08 and withdraw LSC funds and to revisit remaining options and secure position for current learners. LSC National Office informed by regional director or regional director of learning, planning and performance.	If insufficient assurance is provided to the LSC in meeting NtI conditions, the college should take action to ensure that a further enrolment of LSC-funded students does not take place and the college prepares for AAV or full inspection by Ofsted or ALI. If the college is assessed as satisfactory or having the capacity to improve, and the LSC is sufficiently assured, the NtI runs to full term and 2007/08 enrolment proceeds. If outcome of inspection assesses college as inadequate and lacking the capacity to improve, the principal and governors revisit remaining options to secure position for current learners. College in enrolment period or undertaking a review of strategic options depending on the outcome of the NtI mid-point review.	Ofsted is invited by the LSC to undertake an annual assessment visit (AAV) or full inspection to inform NtI mid-point where LSC has insufficient confidence in the college to improve. Following Ofsted inspection, the LSC regional director confirms LSC decision at regional level.	QIA informed of outcomes and continuing support requirements.

Timeline	LSC	College or external institution	Ofsted	QIA
Oct 2007	MLP reports made available based on validated 2005/06 data.	MLP reports made available based on validated 2005/06 data.		
Nov 2006– Jan 2008	2007/08 planning dialogue and monitoring of the NtI conditions.	2007/08 planning dialogue and monitoring of the NtI conditions.		
Feb 2008	Notice period ends and the outcomes and actions are communicated as part of the 2007/08 planning dialogue. The regional director or area director formally communicates the outcomes in writing to principal and chair of governors. LSC National Office informed by regional director of learning, planning and performance that NtI has been complied with.	Notice period completes and outcomes and actions are communicated to the principal and chair of governors by the regional director as part of 2007/08 planning dialogue.	LSC informs Ofsted at regional level that NtI has been complied with.	

Notes

This table does not provide a definitive breakdown of activity, but a timeline overview of the processes involved.

Further notes

Providers where underperformance is in the range of 15–24 per cent

In cases where the level of provision underperforming is in the range of 15–24 per cent of the total volume of an institution's long-course provision, a formal Notice to Improve (NtI) will be issued. The NtI will be issued in the form of a letter, and will set out the conditions for continued funding and the timeframe by which the LSC expects improvement to have occurred. This will usually be a maximum period of 12 months. Providers will be expected to set out the actions to address the conditions in their development plans. Therefore, LSC actions and intervention will be proportionate to the extent of the underperformance. In many circumstances, the LSC will ask the QIA to source support. The QIA, working with the LSC and the provider, will identify the appropriate level of support required.

Training providers

In December 2006 and January 2007, as part of the beginning of the discussions regarding strategic planning, the partnership director or partnership manager will inform the provider's chief executive, in writing, that their success rates are not sufficient. The provider, if in scope for retendering, will participate in the LSC tendering process. If successful in winning a contract, the provider will be subject to the associated improvement indicators.

Annex D:
Actions Following Inspection: Colleges and Providers Identified as Inadequate

Timeline	Action by and responsibility of DfES	Action by and responsibility of Ofsted/ALI	Action by and responsibility of LSC	Action by and responsibility of colleges	Action by and responsibility of specialist providers for learners with learning difficulties and/or disabilities	Action by and responsibility of WBL and PCDL providers	Action by and responsibility of QIA
Week 1	Commissions LSC to complete form (based on inspection report and local planning intelligence) that sets out intervention action.	Inadequate provider identified through inspection. The DfES and the LSC receive notification of inspection outcome within five working days of inspection. **Ofsted provides immediate verbal feedback to LSC.**	The LSC attends inspection feedback. Occurring immediately after inspection, the LSC regional director or area director meets with principal and chair of governors to discuss inspection outcomes and possible actions. The LSC reserves the right to deal with financial recovery. The regional director of finance and resources to be notified of the case conference (directors of area to pre-plan meeting).	The college attends inspection feedback.	The provider attends inspection feedback.	The provider attends inspection feedback.	

Timeline	Action by and responsibility of DfES	Action by and responsibility of Ofsted/ALI	Action by and responsibility of LSC	Action by and responsibility of colleges	Action by and responsibility of specialist providers for learners with learning difficulties and/or disabilities	Action by and responsibility of WBL and PCDL providers	Action by and responsibility of QIA
Week 1 (cont.)			Press release prepared and distributed. Strategic options identified. Internal discussions between the LSC National Office and regional offices, including implications in terms of LSC learner number restrictions (area directors to plan meeting). Regional learning difficulties and/or disabilities manager to liaise with LSC areas and confirm names and numbers of potential new learners with college. Standard briefing prepared by LSC National Office for regional use. Standard press release prepared and distributed (for proactive use).				

Timeline	Action by and responsibility of DfES	Action by and responsibility of Ofsted/ALI	Action by and responsibility of LSC	Action by and responsibility of colleges	Action by and responsibility of specialist providers for learners with learning difficulties and/or disabilities	Action by and responsibility of WBL and PCDL providers	Action by and responsibility of QIA
Week 1 *(cont.)*			The LSC signals its intention to issue a Notice to Improve with up to a 12-month timescale from publication of the report. Using a standard template, this sets out timescales for improvement, key interventions identified at inspection feedback and local planning intelligence. **The LSC writes to college formally to outline the restrictions implemented under the contract.** **LSC area to inform regional learning difficulties and/or disabilities managers of restrictions – information to be disseminated to local Connexions partnerships.**			

Timeline	Action by and responsibility of DfES	Action by and responsibility of Ofsted/ALI	Action by and responsibility of LSC	Action by and responsibility of colleges	Action by and responsibility of specialist providers for learners with learning difficulties and/or disabilities	Action by and responsibility of WBL and PCDL providers	Action by and responsibility of QIA
Week 1 (cont.)			Completed DfES form returned (within 10 working days of receipt).				
Weeks 1–3	Submission of form to ministers. Ministers satisfied or not satisfied with key interventions identified.	Draft inspection report issued (colleges to send to LSC).	The LSC contacts the QIA helpline to inform of need to allocate improvement adviser. For specialist provision, LSC National Office contacts the QIA to support identification of appropriate specialist advisers.				Identification of appropriate improvement adviser by QIA or Tribal.
			The LSC prepares and distributes case conference agenda, with any relevant background papers.	The principal attends case conference.	The principal attends case conference. If appropriate, the provider's owner charity also to attend.	The chief executive and quality manager attend case conference.	QIA or Tribal attend case conference.
			If ministers are not satisfied, more detail on strategic options submitted by the LSC.	Strategic options agreed with the LSC.	Strategic options agreed with the LSC.	Strategic options agreed with the LSC.	Strategic options agreed with provider and the LSC.

Timeline	Action by and responsibility of DfES	Action by and responsibility of Ofsted/ALI	Action by and responsibility of LSC	Action by and responsibility of colleges	Action by and responsibility of specialist providers for learners with learning difficulties and/or disabilities	Action by and responsibility of WBL and PCDL providers	Action by and responsibility of QIA
Weeks 1–3 (cont.)			Case conference chaired by regional director or area director, called to include, where appropriate, LSC National Office and other key stakeholders. Key issues and priorities identified. If other forms of support are appropriate, these should be discussed as appropriate.				

Timeline	Action by and responsibility of DfES	Action by and responsibility of Ofsted/ALI	Action by and responsibility of LSC	Action by and responsibility of colleges	Action by and responsibility of specialist providers for learners with learning difficulties and/or disabilities	Action by and responsibility of WBL and PCDL providers	Action by and responsibility of QIA
Weeks 4–5	Ministers write to local constituent MPs providing early notification of failed college and proposed interventions.	Ofsted notifies key stakeholders about the expected publication date of the inspection report and if there are any delays due to appeal.		College prepares QIA improvement action plan with support of improvement adviser and agreement of the LSC.	Provider prepares QIA improvement action plan with support of improvement adviser and agreement of the LSC.	Provider prepares QIA improvement action plan with support of improvement adviser and agreement of LSC.	Improvement adviser assigned by Tribal (**in co-ordination with LSC National Office**). Adviser carries out initial improvement needs assessment in response to options and inspection outcomes and recommends tailored support package. This may include support from other providers. The adviser will prepare an action plan for QIA purposes.

Timeline	Action by and responsibility of DfES	Action by and responsibility of Ofsted/ALI	Action by and responsibility of LSC	Action by and responsibility of colleges	Action by and responsibility of specialist providers for learners with learning difficulties and/or disabilities	Action by and responsibility of WBL and PCDL providers	Action by and responsibility of QIA
Week 6		Inspection report published.	The LSC issues Notice to Improve, detailing key improvement areas, timelines and support package. This re-states funding and/or LSC learner number restrictions.	The principal or chair of governors formally responds to the LSC, acknowledging receipt of Notice to Improve.	The principal or chief executive (and if appropriate, chair of governors) formally responds to the LSC, acknowledging receipt of Notice to Improve.	The chief executive formally responds to the LSC, acknowledging receipt of Notice to Improve.	
Weeks 7–24			QIA improvement action plan agreed by the LSC and college governing body on recommendation of improvement adviser. QIA improvement action plan signed off by the LSC. Implementation and monitoring. Further work on defining arrangement for monitoring.	College governing body agrees QIA action plan.	College governing body approves QIA improvement action plan.	If provider has external board similar to governing body, it approves QIA improvement action plan.	QIA improvement action plan agreed by LSC and college governing body on recommendation of improvement adviser.

Timeline	Action by and responsibility of DfES	Action by and responsibility of Ofsted/ALI	Action by and responsibility of LSC	Action by and responsibility of colleges	Action by and responsibility of specialist providers for learners with learning difficulties and/or disabilities	Action by and responsibility of WBL and PCDL providers	Action by and responsibility of QIA
Weeks 7–24 (cont.)			**LSC area to manage monitoring process in liaison with regional offices and LSC National Office. Regional LSC to liaise with LSC National Office as a point of reference for learners with learning difficulties and/or disabilities in Ofsted re: progress and AAV.** The LSC reviews intervention strategy and support package. If areas of concern are identified, progress report sent to DfES.	The college participates with adviser support.	The provider participates with adviser support.	The provider participates with adviser support.	
At 6–9 month point		Annual assessment visit (AAV) performed to determine progress on action plan. Meeting with Ofsted and QIA to discuss results of AAV.	Meeting with Ofsted and QIA to discuss results of AAV. Update on exceptional items sent to DfES.	The college attends AAV feedback.	The provider attends AAV feedback.	The provider attends AAV feedback.	Meeting with Ofsted and QIA to discuss results of AAV.

Timeline	Action by and responsibility of DfES	Action by and responsibility of Ofsted/ALI	Action by and responsibility of LSC	Action by and responsibility of colleges	Action by and responsibility of specialist providers for learners with learning difficulties and/or disabilities	Action by and responsibility of WBL and PCDL providers	Action by and responsibility of QIA
12–15 months		Enhanced AAV or full inspection or partial inspection.					

Notes

1) This table does not provide a definitive breakdown of activity, but a timeline overview of the processes involved.

2) Text in bold only refers to specialist providers for learners with learning difficulties and/or disabilities.

3) The column referring to actions by DfES or actions in relation to Ministers only refers to sixth form colleges, general FE colleges and specialist providers for learners with learning difficulties and/or disabilities.

4) For contracted WBL and PCDL providers, the LSC will not issue a Notice to Improve. It may, however, issue a formal notice not to contract for any new starts with that provider as a whole, or for a particular curriculum area. The LSC will also consider carefully the best interests of existing learners, and as such may withdraw funding. In some circumstances, the 6–15-month point may not apply.

Annex E:
Minimum Levels of Performance for Short Courses

Shorter courses are not currently included in determining underperformance. The LSC, however, has published the minimum levels of performance for short course qualifications to provide a clear signal about our expectations from 2008/09 onwards.

Level	Short (less than 5 weeks)	Short (5–24 weeks)
Level 1	85%	60%
Apprenticeships (full framework)	40%	40%
Level 2	85%	60%
Advanced Apprenticeships (full framework)	40%	40%
Level 3	85%	60%
Level 4 or higher	–	60%

Note

Short course minimum levels of performance for 2007/08 applied to success rates at sector subject area (tier 1) and for Levels 1, 2, 3, 4 and higher and at sector framework level for Apprenticeships.

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