



115  
Science



# Delivering the Entitlement Framework by 2013

## Guidance for Schools on the Next Phase of Implementation

June 2010



Department of  
**Education**

[www.deni.gov.uk](http://www.deni.gov.uk)

AN ROINN  
**Oideachais**

MÁNNYSTRIE O  
**Lear**



# CONTENTS

	<b>Page</b>
<b>SECTION 1: THE ENTITLEMENT FRAMEWORK (EF)</b>	
1.1 The Policy Context .....	1
- The rationale for the EF.....	1
1.2 Delivering the EF .....	2
- Collaboration and an area perspective for .....	2
curricular planning	
- Where we are now .....	4
• Positive developments .....	5
• What is still to be done? .....	6
1.3 Implementation: The Move to Phase II.....	7
- Key Responsibilities .....	7
- Area Learning Communities in Phase II .....	9
- FE Colleges in Phase II.....	10
- Role of the ETI in Phase II .....	10
- Curricular Models .....	11
- Vocational Qualifications Reform .....	11
- Special Educational Needs and the EF.....	12
- Harnessing the Potential of Learning Technologies ..	12

## SECTION 2: FINANCIAL SUPPORT FOR PHASE II

2.1	Context and Principals of Financial Support .....	14
-	Direct support to schools in 2010/11 .....	15
	i. Applied increase element.....	15
	ii. Audit formula .....	15
	iii. Collaboration element .....	16
-	Special schools and SEN in mainstream .....	17
2.2	ALC Implementation Plans 2010/11 .....	18
-	Accountability and value for money .....	19

## SECTION 3: ANNEXES

3.1	The DE Policy Framework.....	21
3.2	EF Online Audit Element Baseline Formula .....	22
-	Weighted factors .....	23
3.3	Collaboration Funding Worked Example .....	24
3.4	Implementation Plan Template Outline .....	25
3.5	Timetable For Action and Allocation of Funding .....	33
3.6	Frequently Asked Questions .....	34
3.7	Further Guidance .....	41

## SECTION 1: THE ENTITLEMENT FRAMEWORK (EF)

### 1.1 The Policy Context

#### The rationale for the EF

The Entitlement Framework, a core element of the revised curriculum, is being introduced as part of the Department of Education's focus on helping every young person to fulfil her or his full potential.

For pupils at Key Stage 4 and above, it sits alongside the reduced statutory core of the revised curriculum, representing progression from the requirements of the curriculum at Key Stage 3 and below and ensuring that young people, from the age of 14, can have access to a broader, better balanced range of courses and pathways that are relevant to their needs and interests and can help them succeed as adults in life and at work.

The rationale for increasing the level of choice for pupils is straightforward. We know that young people stand the best chance of succeeding and achieving if they can follow courses that interest and inspire them and that can take them on, through further and/or higher education or through training, to fulfilling careers. Learners who see their time at school as relevant to them are more likely to stay engaged with education, and more likely to succeed and do well. This in turn contributes to improving standards; increasing staying on rates; improving the life chances of individuals; and impacting positively on the performance of the economy. In guaranteeing all learners access to a broad and balanced offer, the EF also seeks to provide greater equality of access to young people facing barriers to learning or disadvantage.

The introduction of the EF is therefore a core element of the Department's wider work to improve educational outcomes for all pupils and to address the barriers to learning that result in too many young people not achieving to their full potential.

The range of courses on offer, post-14, should lead to credible qualifications that open up realistic pathways for progression, whether in employment or further study (or both). Further, the school should focus on providing a coherent and relevant curriculum for all of its pupils. The “numbers” (24/27) remain important as a measure of what constitutes a broad and balanced curricular offer. They are an indicator, but only that; too great a focus on “compliance” with the “numbers” has the potential to work against the aims of the EF. They are in place to provide a way of measuring the breadth of offer; in turn the requirement of the EF for 1/3 applied courses is in place to help measure the balance and richness of that offer. Applied courses, that is courses relevant to an occupational area (either related to a particular job or across a sector), have value for pupils of all abilities and open up real opportunities for progression. The “24/27” figures represent a challenging target for schools to provide the benefits of the EF for all pupils.

## 1.2 Delivering the EF

The Department, the sectoral support bodies and other education partners all have a role in ensuring effective delivery. However, only the individual school is in a position to determine what the curricular offer should be for its pupils and the legislative position of the EF reflects this. Under the legislation<sup>1</sup>, the responsibility for delivery of the EF rests with the Board of Governors (BoGs) for each grant-aided school. Principals and BoGs must, therefore, continue to be the key drivers of EF implementation, demonstrating, in the interest of their pupils, effective leadership at school level and within their local area.

### Collaboration and an area perspective for curricular planning and delivery of the EF

Collaborating institutions can provide many more opportunities for young people, with schools drawing on the facilities and expertise available to increase the offer to their pupils. Collaboration should be seen as a cost-effective means of delivering the aims of the EF, not as an end in itself. Working together allows schools to pool

---

<sup>1</sup> The Education (Northern Ireland) Order 2006, Articles 18 to 22 inclusive.

resources and to plan provision at an area level in a coherent way, looking at local and regional labour market information, for instance, and matching the curricular offer to the opportunities available.

This collaboration should also recognise the major contribution (and potential) of providers other than the schools themselves, particularly the FE sector. It would be neither practical nor desirable to equip schools with the kind of state of the art, specialist, professional and technical facilities available in our FE Colleges. Nonetheless, access to the kinds of courses and pathways that these facilities allow can be extremely beneficial for the school, the individual young person and for the needs of the economy.

As we move towards full implementation of the EF, it is intended that FE will have an ever greater role, particularly in the delivery of high quality, cost-effective applied courses and on the delivery of the professional/technical courses appropriate for post-16 pupils. Cost-effective provision must also be sustainable provision and the strong presumption remains that the majority of a pupil's time will be spent within their home institution and that most provision will be accessed within the mainstream school day, rather than as twilight courses.

The Department, within the Review of the Capital Programme, has sought to verify that all post-primary school with proposals for capital investment are already working on robust plans to ensure they are capable of delivering the EF from 2013. As area based planning develops, the EF will be a key policy consideration used to determine need on an area basis. While this will be the responsibility of the Education and Skills Authority (ESA), once it is established, schools can now, through their Area Learning Community (ALC), look at and begin to plan, individually and collectively, for delivery on an area basis. This provides a real opportunity, after the early years of development, to develop a shared vision for the EF and a shared responsibility for its delivery for all of the young people in an area.

### Where we are now

The publication of “Together Towards Entitlement” (TTE) in 2009 provided an invaluable assessment of where the education system is to date in terms of implementing the EF and provided useful recommendations on the way forward. In addition, all post-primary schools have submitted their curricular data to the Online Audit for the last 3 years and the data thus provided has the potential to act as a powerful tool for schools and others. It has also allowed the Department to monitor, at a high level, progress towards delivery of the EF.

Over the last 4 years many schools have made significant progress towards delivering the EF. The Minister’s speech at the launch of TTE in October 2009 (and her subsequent letter to all post-primary schools) clearly set the EF within the overall programme of reform, particularly her vision for successful schools as outlined in Every School a Good School (ESAGS). The central message from the Minister was that the pace of implementation must step up significantly to make the 2013 delivery of the EF a reality. In doing so, it is important to remember that:

- The EF is about schools widening their curricular offer for the benefit of their pupils.
- The EF is about schools identifying relevant and high quality courses for their pupils and providing access themselves or through other providers.
- Collaboration to deliver the EF is a means to an end; it is not done for its own sake.
- ALCs are voluntary coalitions of schools which can be a useful forum for planning collaboration to meet the needs of pupils in an area and for focusing on quality and sharing good practice.
- ALCs’ plans are essential tools to plan provision on a coherent basis and identify targets between now and 2013.



## Positive Developments

There has been progress over the last number of years. For example the Commission for Catholic Education in its proposals for the Post Primary Review, states that its intention is to achieve: “a network of quality schools guaranteeing access to a curriculum that will meet the needs of all pupils within the context of the Entitlement Framework.” Both TTE and the Online audit data highlight evidence of what has been achieved to date and how access is widening. For example:

Evidence from TTE:

- the concept of the EF is broadly accepted; schools are generally seeking to offer their pupils a wider and broader curriculum at KS4 onwards;
- schools see the potential value and importance of collaboration as a means of providing access to a broader range of curricular pathways to their pupils; and
- the FE sector has the resources, expertise and potential to deliver a wide range of professional and technical courses to 14-19 pupils that can and should complement schools’ own provision.

Evidence from the EF Audit:

- the majority of schools, including special schools, have established collaborative links with other providers, especially FE, and are contributing members of ALCs;
- the number of schools delivering 21 or more courses at KS4 has increased by 40% since 2007/08. The number offering 27 or more courses at post-16 has increased by 66%; and
- in 2009/10, 36% of KS4 provision and 46% at post-16 in non-selective schools, is classified as applied.

### What is still to be done?

However, the evidence overall shows that there is much work still to be done and that the pace of change has been uneven. For example:

Evidence from TTE:

- while much progress has been made in the past few years, a very small number of schools are able at this time to offer a fully developed EF;
- the currency of applied courses needs to be better understood;
- the potential of FE is not being fully exploited; and
- ALCs are at different levels of development, with a direct correlation between the stage of development of the ALC and the collaborative activity to deliver the EF.

Evidence from the EF Audit :

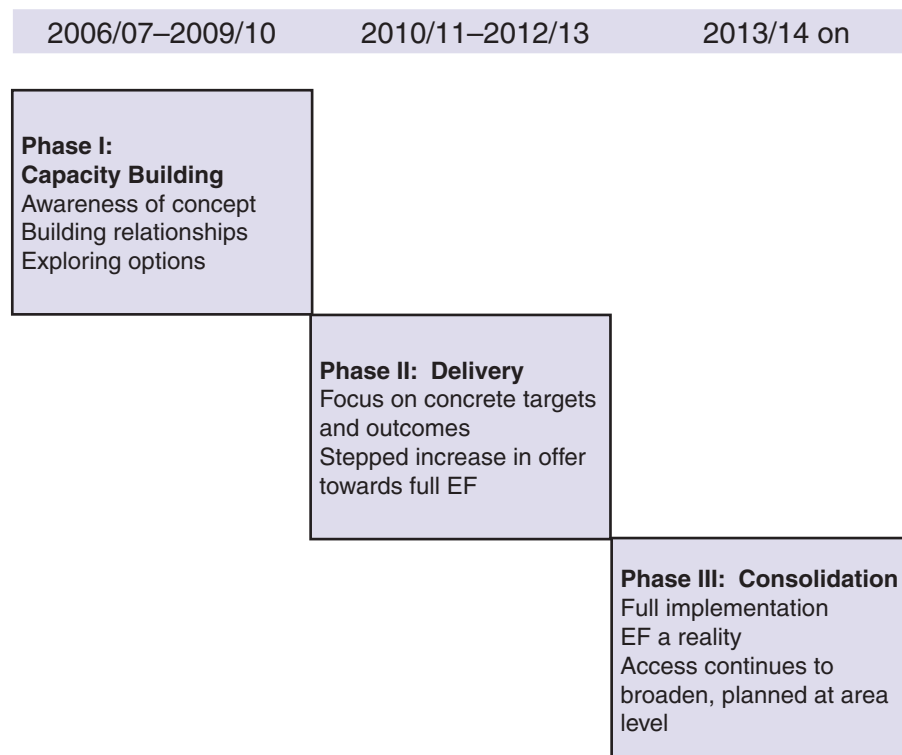
- in 2009/10, few schools deliver the minimum number of courses with the appropriate general/applied balance required under the EF at KS4 and fewer still at post-16.

The Department is aware of the significant steps that have been taken and does not underestimate the degree of challenge involved for schools. Similarly, DE recognises the leadership that has been shown by many Principals. The establishment of the ALCs, varied as they are in development, is in itself testimony to this. The evidence shows that awareness has been raised, relationships built and models of good practice developed. However, it is clear that if the potential opportunities of the EF for our young people are to become a reality by 2013, the pace of implementation must increase significantly.

## 1.3 Implementation: The Move To Phase II

In policy planning terms, the implementation of the EF can be seen as a 3-phase model, with Phase II beginning from the 2010/11 school year.

The diagram below illustrates the approach:



### Key Responsibilities

As outlined above, the primary drivers of this increase in the pace of change will fall to schools themselves, with the appropriate support from DE and the relevant bodies (and ESA once established). The key responsibilities of each partner in Phase II are outlined below.

DE will:

- set a clear strategic lead, setting the EF in the context of a DE/DEL statement on 14-19 provision;

- address wider and related policy issues - for example on capital development, admissions arrangements, sustainable schools and LMS funding – to ensure that policies are fully supportive of the EF;
- communicate policies and objectives clearly to schools, pupils, parents and the wider community, setting out the rationale for the EF and the value of applied courses; and
- provide targeted resources to schools to assist delivery of the EF, with a focus on specific and measurable outcomes.

ELBS (supported by the other relevant bodies and ESA once established) will:

- ensure that the support arrangements in place for schools are consistent and of a high quality, taking a regional approach but ensuring local delivery;
- ensure support structures preserve continuity between the other elements of the revised curriculum and the EF; and
- put in place a support model that empowers and enables schools to discharge their responsibilities under the EF.

Schools will:

- individually and on an area basis, undertake a review of their curricular offer at 14+ and 16+ to ensure that it is of high quality, broad and balanced, coherent and sustainable and relevant to the needs of all young people and the economy; and
- individually and on an area basis, set SMART targets for the steps required to deliver the EF by 2013 and put in place effective monitoring and evaluation arrangements.

As we move towards the establishment of ESA, DE will work with the ELBs and other relevant bodies, school owners and promoters to ensure that the changing management of support arrangements

is a central aspect of the wider convergence programme and that a model of support appropriate for Phase II is developed. This will focus exclusively on the objective of enabling schools to take on and discharge their responsibilities under the EF.

### Area Learning Communities in Phase II

TTE recommended that the concept of the ALC is supported and developed. DE will continue to do so through the Collaboration element of the 2010/11 funding arrangements. There are, however, a number of changes to the mandatory template, with a much greater focus on accountability for outcomes, particularly in terms of course delivery (see finance section below for details). Schools should note that while DE remains supportive of the concept of the ALC, the ALCs are not perceived as an end in themselves. Equally, ALCs remain voluntary arrangements and their current configurations should not be viewed as set in stone. Schools should ensure that arrangements are kept sufficiently flexible to ensure that they are fit for purpose, designed to ensure a focus on pupils and their needs and schools should not feel limited by factors such as sectoral interests or ELB boundaries. The focus of curricular planning and delivery must be on the needs of the learners in an area, not on the needs of institutions.

There is much good practice in place across the ALCs, with imaginative and innovative approaches being taken to address challenges. Issues such as small class sizes, timetable harmonisation, teacher sharing etc are being addressed in some areas by schools working together. The ALC is the forum within which local, practical issues and problems are discussed and solutions found. DE and the support bodies will ensure that this good practice is encouraged and disseminated. DE has worked with the EF Development Officers (DOs) to identify some examples and details were disseminated at the EF Conference on 25 May. This is intended to be a further step in creating a self-supportive network of schools in local areas, developing and sharing approaches and solutions.

## FE Colleges in Phase II

FE representation at ALC meetings is widespread and this is welcomed by the Department. This provides a real opportunity for schools to build on this engagement and to create a long-term strategic partnership with the FE sector. In addition to providing access to facilities and opportunities beyond those available to schools, the FE sector can provide access to labour market information and analysis, and the corresponding applied pathways to higher education, training and employment.

The Department for Employment and Learning, working with employers, District Councils, and other interested parties, has established local **Workforce Development Forums (WDFs)**, in each of the six FE college areas. Each of the WDFs is chaired by a prominent local business figure and seeks nominations for WDF members from various interested local bodies including the NI Sector Skills Council representatives.

The six WDF bring together the supply and demand sides of the skills issue to identify local skills training needs and to articulate a strategic response to those needs. Further information can be accessed at the following link:

[www.delni.gov.uk/index/publications/del-response-to-recession/workforce-dev-forum.htm](http://www.delni.gov.uk/index/publications/del-response-to-recession/workforce-dev-forum.htm)

## Role of the ETI in Phase II

District Inspectors now have access to all ALC Implementation Plans and to sections of the online audit data. This will allow them to feed information on schools' current curricular offer into the inspection process, ensuring that the curricular planning for delivery of the EF is being properly linked to School Development Plans and to the allocation of resources. ETI will also be able to include qualitative assessments of the appropriateness and coherence of a school's curricular offer into inspection reports. Inspection will evaluate the capacity of the senior management of a school to provide an appropriate and coherent curriculum

offer, through effective curriculum development, collaboration and, where appropriate, good CEIAG provision. This will allow DE to monitor progress on the aims of the EF in a qualitative way, complementary to the EF Online Audit.

### Curricular Models

DE is developing a series of curricular models (incorporating ETI advice on good practice) to assist schools to identify the kinds of pathways that applied courses can open up for young people from across the spectrum of ability. Importantly, the outcomes of this exercise will assist in communicating the real value and currency of these qualifications. Further details of this work will be announced early in the 2010/11 school year.

### Vocational Qualifications Reform

Schools will be aware that the qualifications landscape is evolving. The introduction of the Qualifications and Credit Framework (QCF) is central to the major reforms now in train for vocational qualifications. It is intended to make the system simpler to understand and use and to increase accessibility, relevance and flexibility for learners. The flexibility derives from the fact that QCF qualifications are made up of credit-based units which can be awarded separately, and it is this unit base of qualifications that provides greater flexibility and increases access to qualifications. Learners are registered for vocational qualifications and their achievements are recorded at unit level. Achievement of qualifications from the constituent units is based on agreed rules of combination. The EF will be flexible enough to accommodate this while, at the same time, bringing sufficient structure to ensure that the aims and objectives will continue to be achieved. It is anticipated that increased use will be made of QCF qualifications as part of the applied element of the EF, particularly given the employer relevance and delivery flexibility inherent in these qualifications. Further details on QCF qualifications will be made available to schools in time for the autumn term and DE will issue detailed guidance on the relationship between qualifications

reforms, particularly the QCF, and the EF in the 2010/11 school year.

### Special Educational Needs and the EF

One of the most positive developments over the last 4 years has been the role the Special School sector has played in the Area Learning Communities and the increasing collaborative delivery in place for pupils at these schools, particularly in terms of collaboration with FE. DE will continue to support this work. We are aware of the necessity of putting in place a fully developed EF policy that is relevant to pupils with SEN in both mainstream and special settings. We are also aware that the current qualifications system can make this difficult. DE is working with the ETI, CCEA and the schools themselves to ensure that this policy statement (and associated funding arrangements) will be in place for the 2011/12 school year.

### Harnessing the potential of Learning Technologies

TTE outlined the tremendous potential of ICT/ILT to benefit young people in terms of expanding the curricular offer, enhancing learning and teaching and empowering learners. Equally, these technologies can have a positive impact on issues for schools/ALCs such as:

- minimising pupil/teacher travel between institutions, through online distance and/or collaborative learning;
- timetabling;
- making more effective use of performance and other data;
- data transfer; and
- professional development shared online.

TTE also highlighted the underuse that is made in the education system of the considerable investment that has been made in the ICT/ILT infrastructure in schools and FE colleges. Phase II must



see all partners working together to maximise this potential and DE will continue to play its role in supporting this. One significant element of the Department's investment to develop the capacity of teachers to plan and provide online teaching has been through the Online Learning for Teachers and Educators programme provided by the Regional Training Unit. The teachers trained to date represent a valuable resource for individual schools and ALCs and it is extremely important that this expertise is fully exploited and appears in ALC Implementation plans.

Each ALC should report in its action plan the stage it has reached in planning for the development of course provision, shared online, both within the ALC and with other ALCs. By June 2013 every ALC should have utilised the expertise of their OLTE graduates to pilot at least one collaborative and accredited, blended online course, recognised under the EF.

## **SECTION 2: FINANCIAL SUPPORT FOR PHASE II**

### **2.1 Context and principles of financial support**

The key driver for change in Phase II of EF implementation will be leadership, primarily from schools and Principals themselves, but also from support bodies and the Department.

It remains important that resources are targeted closely to the implementation of the EF. There will be an increased focus in 2010/11 on delivering measurable outcomes. The support arrangements for the 2010/11 year will therefore have an increased emphasis on:

- i. Delivering measurable outcomes in terms of course delivery;
- ii. Accountability for the use of public funds; and
- iii. Setting challenging and achievable targets with a clear focus on 2013.

Under the Local Management of Schools (LMS) scheme, the Board of Governors of every grant-aided school receives a delegated budget to meet the costs of providing access to the curriculum for the pupils within that school. EF support funding is additional to LMS funding and is allocated on the assumption that there may be additional costs associated with planning and delivering an expanded curricula offer through collaboration. The onus is on the school to be accountable for the use of the extra resources and demonstrate tangible and measurable additional outcomes from that funding.

## Direct support to schools in 2010/11

There will be 3 elements of EF support in 2010/11:

### i. Applied increase element<sup>2</sup>

Schools which have increased the number of applied courses delivered, comparing 2008/09 audit data for Year 11 and 13 with 2009/10 and irrespective of method of delivery, will receive an additional £1k per course, up to a maximum of £5k<sup>3</sup>. This is intended to incentivise and support those schools actively planning and delivering an expanded offer with a view to delivering the EF by 2013. This funding should be used to support EF related activities within the school and a detailed breakdown of spend is not required to appear in the ALC's implementation plan.

### ii. Audit formula element

The level of funding allocated to schools under this element is directly related to the number of courses being delivered collaboratively, the nature of these courses (applied/general) and the number of pupils taking them as recorded in the EF Online Audit. The weightings for course type and delivery remain as for 2009/10 with the following exceptions:

- Hourly rate given an inflationary uplift to **£68**.
- Courses entered for statemented pupils in mainstream schools will be funded at levels other than level 2 at KS4 and level 3 at post-16.
- The new course element will be piloted for a second year at KS4 and post-16. Schools will receive an additional allocation in 2010/11 for new, collaboratively delivered, applied, KS4 and post-16 provision, ie courses delivered collaboratively and taken up by 2 or more schools for the first

---

<sup>2</sup> This replaces the previous In-School Development element.

<sup>3</sup> Special Schools will have an allocation of £3k as they will not have access to the formula-based allocation in 2010/11.

time in Year 11 and 13 (the course must be new to both of the schools for 10/11). New courses being delivered through FE or other providers will only qualify for funding under this element if they are being run by 2 or more schools acting in collaboration.

See Annex 3.2 for more detail of the EF audit formula baseline.

### iii. Collaboration element

This element is directly targeted at those schools actively participating within an ALC. It aims to support the ALC concept and ensure that schools take account of the current local provision when planning to expand the curricular offer in order to avoid unnecessary duplication. From 2010/11, DE will move away from a set “per-school” allocation to a formula based approach. The rationale for this is that the more a school becomes involved in collaborative delivery, the more its ALC related costs are likely to be.

- In 2010/11, schools will receive £6k<sup>4</sup> each (subject to an agreed ALC Implementation plan; see below) and an additional element allocated on a per course basis, based on the number of collaboratively delivered, applied courses, up to a maximum of £4k. This allows schools a total allocation of up to £10k under the Collaboration element in 2010/11. **This collaboration element will be piloted in 2010/11 at £1,000 for each applied course delivered either through school/ school collaboration or through collaboration with an FE College or TO. The maximum allocation available to each school can be found in the “Allocation of Resources” section of the Implementation plan template on the EF audit site.**
- It is the intention to reduce the per school element in 2011/12 to £3k and by 2012/13 all of the Collaboration element will be related to the level of collaborative activity in which schools are engaged.

---

<sup>4</sup> Special Schools will have an allocation of up to £10k as they will not have access to the formula-based allocation in 2010/11.

A number of schools will see their allocations under this element increase in comparison with previous years, as they are involved in significant collaborative course delivery. Those with little or no collaborative delivery will receive less, particularly in subsequent years as the level of formula-based funding increases. As emphasised above, this signals a move away from the capacity building approach to one focused on delivery of courses for pupils. As with all of the elements of EF support, it is important that schools recognise their responsibility for appropriate use of this delegated funding and that primary accountability for its use rests with them. As with previous years, schools should only draw down the level of funding which corresponds to the anticipated expenditure associated with ALC membership and as detailed in the finance section of the Implementation Plan. This element of funding can only be used in support of ALC membership and is not a further contribution towards the cost of course delivery.

The Collaboration element can be accessed by schools once an appropriate ALC Implementation Plan has been agreed and signed off through the audit website.

#### Special schools and SEN pupils in mainstream

For 2010/11, the arrangements for Special schools will mirror those for 2009/10, with schools being allocated Development<sup>5</sup> and Collaboration funding along with funding intended as a contribution towards course delivery based on an uplift of last year's funding. Where an individual special school feels that the level of collaborative provision has expanded to a significantly greater degree than this uplift allows, it should forward details to DE through the relevant EF DOs for consideration. For mainstream schools with statemented pupils registered on the online audit, EF support formula funding will be trialled at levels other than level 2 at KS4 and level 3 at post-16. DE will closely monitor this trial with a view to informing policy for 2011/12.

---

<sup>5</sup> See footnote 3.

## 2.2 ALC Implementation Plans

As in 2009/10 a mandatory template will be provided on the audit website. The template for 2010/11 remains broadly the same as for 2009/10 and schools will have been working on this over the last few months. **For 2010/11, DE will populate the template with Strategic Priorities and outline SMART targets which must appear in the final ALC plans and on which the Collaboration allocation must be spent (see Annex 3.4 for details).** The Strategic priorities identified by DE are mandatory. However, ALCs are free to identify additional priorities specific to the needs of their areas and populate the final plans. Similarly the wording of the targets in the mandatory Implementation plan template represent the minimum required for the Department to be assured that the collaboration funding is being used effectively. Schools/ALCs may use their own specific wording for their targets and add to them as they see fit, however all targets should be SMART and should be identified following a comprehensive and rigorous analysis of the current position of the ALC. Targets should focus on:

- Courses to be delivered through collaboration from September 2010;
- Expanding the range of courses planned for delivery in 2011 and beyond to meet the targets by 2013;
- Increasing the percentage of the KS4 (and post-16) cohort taking applied courses;
- Attainment /achievement and progression (not just access), linking to PSA targets where appropriate; and
- Development of the capacity of the staff within the ALC to understand their collective responsibility to deliver the best possible outcomes for young people within the ALC through the implementation of the EF.

DE will be closely monitoring the extent to which they fulfil the identified minimum requirements as well as the extent to which these actions are identified in individual school development plans. Implementation Plans should be signed off by the end of the summer term 2010 to allow DE to examine the plans and seek clarification and amendment where necessary. One of the key actions which the Minister asked for following the publication of TTE was that DE and the support bodies were to review schools' progress to date and their plans for the future delivery of the EF. As schools will be aware DE provided every ALC with feedback on their 2009/10 Implementation plans, including areas for further development in 2010/11. At the beginning of the autumn term, DE will provide more detailed feedback on the 2010/11 Implementation plans based on how they have addressed the mandatory targets. Schools will begin to implement their plans from September 2010 and DE/DOs will be in a position to monitor, both actions and expenditure. As with 2009/10, where plans do not adequately address the requirements of this guidance, the Department will draw this to the attention of the schools within the ALC and ensure that plans are modified accordingly.

**ALCs can now access the online versions of the EF Implementation Plan from the EF Audit website at [www.efaudit.org/site/](http://www.efaudit.org/site/).**

#### [Accountability and value for money](#)

ALC implementation plans, along with individual school development plans and the data from the EF Online Audit, will become the principal means by which progress towards the EF is monitored and by which proper accountability is exercised by schools, managing authorities and DE over the funding allocated under EF support. As referred to earlier, District Inspectors now have access to all ALC Implementation Plans and to sections of the online audit data. In time, this will allow them to feed information on schools' current curricular offer in to the inspection process.

It is of course essential that targets and strategies outlined in the ALC Implementation Plans should be reflected in individual schools' Development Plans. For example, school improvement work being undertaken on a collaborative basis within the ALC should be integrated into the school development plans of the individual schools.

An outline of the timetable for action and allocations for the 2010/11 support arrangements can be found at Annex 3.5.

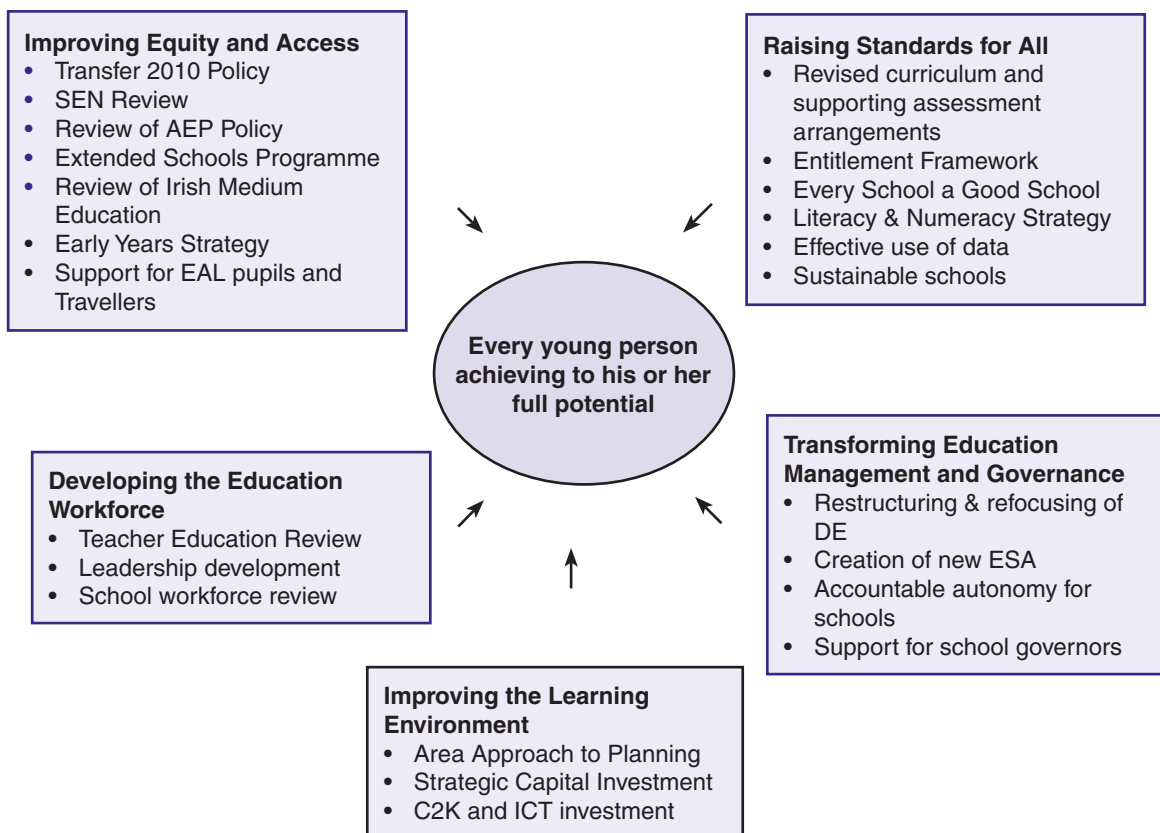


## SECTION 3: ANNEXES

### ANNEX 3.1: The DE Policy Framework

- Clear focus on improving outcomes, especially in literacy and numeracy
- Five Education “Pillars”:
  - Raising Standards for All
  - Improving Access and Equity
  - Developing the Education Workforce
  - Improving the Learning Environment
  - Transforming Management and Governance
- Policies to support each Pillar:

#### Key Policies for Schools



## ANNEX 3.2: EF On Line Audit Element – Baseline Formula

DE Circular 2006/24 defines a course at KS4 and Post 16 and these definitions determine the number of guided learning hours that DE will fund. The base rate of the formula was determined on the following assumptions:

- To count for the EF courses have specified guided learning hours
  - Level 2 course at KS4 must normally be at least 160 glh over 2 years; and
  - Level 3 course at Post 16 must normally be at least 320 glh over 2 years.
- An hourly rate for a course is £68 based on an average class size of 14 pupils;
- Applied courses are usually practical in nature and should be within the guidelines on Class Size in Practical Subjects.
- Where courses are double or triple award they will attract double or triple the relevant factor (see audit website for details).

### Base Rate Formula

**KS4** -160glh x £68 / 2 /14 = £388.57 Rounded to £389 per pupil

**16 +** -320glh x £68 / 2 /14 = £777.14 Rounded to £777 per pupil

**The table overleaf illustrates the weighted factors for types of provision and method of delivery along with rounded monetary value based on these weighed factors.**

Weighted Factors

Delivery	U/R	General Courses			Applied Courses		
		Factor	Per pupil Monetary value (£)	Factor	Per pupil Monetary Value (£)	Factor	Per pupil Monetary Value (£)
			KS4		KS4		Post 16
Own school	U	0.00	0.00	0.00	0.00	0.00	0.00
	R	0.00	0.00	0.00	0.00	0.00	0.00
Other school	U	0.125	49.00	0.25	97.00	97.00	194.00
Export	R	0.150	58.00	0.30	117.00	117.00	233.00
Host school	U	0.25	97.00	0.50	194.00	194.00	389.00
Import	R	0.30	117.00	0.60	233.00	233.00	466.00
FE/TO (Full delivery)	U	0.25	97.00	1.00	194.00	389.00	777.00
	R	0.30	117.00	1.20	233.00	467.00	932.00
FE/TO (Part delivery)	U	Directly linked to % of part delivery	Directly linked to % of part delivery	Directly linked to % of part delivery	Directly linked to % of part delivery	Directly linked to % of part delivery	Directly linked to % of part delivery
	R	Directly linked to % of part delivery	Directly linked to % of part delivery	Directly linked to % of part delivery	Directly linked to % of part delivery	Directly linked to % of part delivery	Directly linked to % of part delivery

### **ANNEX 3.3: Collaboration Funding: Worked Examples**

School 'A' collaborates with another school at Year 13 on 2 General and 1 Applied courses.

Maximum allocation is  $\text{£}1,000 \times 3 = \text{£}1,000$  plus  $\text{£}6,000 = \text{£}7,000$

School 'B' collaborates with FE at Year 14 on 3 Applied courses and at Year 12 with a Training Organisation on 2 General courses.

Maximum allocation is  $\text{£}1,000 \times 3 = \text{£}3,000$  plus  $\text{£}6,000 = \text{£}9,000$

School 'C' collaborates with another school at Year 11 on 1 General course, at Year 13 on 5 General courses and at Year 14 on 2 Applied courses. The school also collaborates with FE at Year 13 on 3 Applied courses and with a Training Organisation at Year 13 on 1 Applied Course.

Maximum allocation is  $\text{£}1,000 \times 6 = \text{£}6,000$  plus  $\text{£}6,000 = \text{£}12,000$  capped at **£10,000**

#### **No Collaboration**

School 'D' does not collaborate with other schools, FE or Training organisations.

Maximum allocation is **£6,000**

**For details of the maximum allocations available to the schools in your ALC, please see the EF Online audit website [www.efaudit.org/site/](http://www.efaudit.org/site/)**

### ANNEX 3.4: Implementation Plan Template Outline

Please note that the full template can now be accessed at the EF audit website at [www.efaudit.org/site/](http://www.efaudit.org/site/)

#### Section 1: Area Learning Community details

Name: .....

Partners : .....  
.....  
.....  
.....  
.....

Chair: .....

Email: .....

Tel: .....

Lead EF DO(s): .....

Section 2: Evaluation of Area Learning Community Action Plan 2009-2010<sup>6</sup>

2009/10 Targets	Evaluation/Evidence	Associated use of allocated funding	Areas for Development/ to be carried over to 2010/11

<sup>6</sup> Should include an outline evaluation of the extent to which targets for course delivery have been met at individual school level.

Section 3: Mandatory EF Strategic Priorities for 2010 to 2013

<p><b>Strategic Priority 1: Curriculum Development</b></p>	<p><i>'To develop and deliver a curriculum offer which meets the needs of both the individual and the economy and the requirements of the Entitlement Framework by 2013, in a structured and phased approach'.</i></p>
<p><b>Strategic Priority 2: Collaboration Development</b></p>	<p><i>'To develop and deliver cohesive, sustainable, cost effective collaborative arrangements to meet the needs of the individual and the requirements of the Entitlement Framework, including an evaluation of the potential contribution of e-learning'.</i></p>
<p><b>Strategic Priority 3: CEIAG</b></p>	<p><i>'To develop and deliver a careers programme which assists individuals in making informed choices around courses and pathways open to them, which best meet their individual needs'.</i></p>
<p><b>Strategic Priority 4: ALC Development and Communication</b></p>	<p><i>'To develop sound leadership, management, co-ordination, implementation, monitoring, staff development and decision making structures within the ALC'.</i></p>

Section 4: Mandatory Template for 2010/11 Actions

Mandatory Strategic Priorities	EF SMART Targets to be Achieved <b>(Qualitative and Quantitative)</b> <b>Where do we want to go?</b>	Success Criteria How will we know when we've got there? (Qualitative/ Quantitative)	Approaches to be Used/Actions to be taken	Actioned by	Monitoring and Evaluation (in particular outcomes for young people)
1	By XX 2010 complete an overview and evaluation of the current curriculum provision for the EF within the ALC.				
	By XX 2010 identify gaps in the curricular offer and how these could be addressed to meet the requirements of the EF, with a particular emphasis on expanding the number of applied courses.				
	By XX 2010, each school within ALC has identified and set targets within their own SDPs to deliver the EF by 2013.				



<b>2</b>	By XX 2010 complete an overview and evaluation of the current collaborative arrangements within the ALC with particular emphasis on quality assurance, the identification of duplication of provision and economically unviable classes and an exploration of the potential of e-learning.				
	By XX 2010, identify barriers to expanding collaboration, eg timetabling, and transport and approaches to address these.				
<b>3</b>	By XX 2010 provide an evaluation of current careers provision for KS4 and Post 16 pupils.				
	By XX 2010 develop the role of the careers teachers in the provision of effective guidance to pupils, staff and parents.				

4	By XX 2011 establish communication strategies with particular focus on leadership, management, co-ordination, implementation, monitoring, staff development and decision making arrangements within the ALC.				
Other priorities as identified by the ALC	Target 1				
	Target 2				

Section 5: Further details on the number of courses delivered from September 2009 and progress towards delivery of the EF

School	2009/10		2010/11		2011/12		2012/13		2013/14	
	Applied	General	Applied	General	Applied	General	Applied	General	Applied	General
School A										
School B										
School C										
School D										

Section 6: Allocation of Resources

School	Priority 1	Priority 2	Priority 3	Priority 4	Total to be allocated to each school
School A					
School B					
School C					
School D					

For details of the maximum allocations available to the schools in your ALC, please see the EF Online audit website [www.efaudit.org/site/](http://www.efaudit.org/site/)

### ANNEX 3.5: Timetable for Action and Allocation of Funding

Date	Activities
June 2010	<ul style="list-style-type: none"> <li>• Guidance and estimate of EF Support Allocation based on 2009/10 Audit issues to schools via EF audit website.</li> <li>• Schools consider the allocation and highlight any issues to the relevant EF DOs.</li> <li>• DE will consider any issues raised by schools.</li> <li>• ALCs review progress and agree revised priorities and associated strategic objectives for 2010/11, 2011/12 and 2012/13.</li> <li>• Templates available online for schools to begin work on EF Implementation Plan.</li> <li>• Schools receive EF Formula and Applied Increase allocations.</li> <li>• ALCs finalise costed action plans and seek ratification by individual school BOGs.</li> <li>• Individual schools and ALCs complete Online Audit EF Implementation Plan pro-forma.</li> </ul>
September 2010	<ul style="list-style-type: none"> <li>• DE provides feedback on plans to ALCs and seeks clarification where necessary.</li> <li>• Allocation of Collaboration Element of EF Support Grant to schools once Implementation Plans completed.</li> </ul>
October 2010	<ul style="list-style-type: none"> <li>• EF Audit reopens and closes.</li> <li>• Allocation of New Course Element of EF Support Grant where appropriate</li> </ul>

## **ANNEX 3.6: Frequently Asked Questions**

**Q:** What advice and support can schools and ALCs expect when drawing up their plans for 2010/11?

**A.** DE will continue to fund the ELBs, CCMS, NICIE and CnaG to provide EF Development Officers, the core duties of which include:

- To support schools and ALCs towards delivery of EF by exercising a guidance, support and challenge function to individual schools and ALCs.
- To assist schools and ALCs to monitor and evaluate current provision and use EF Online Audit data to highlight gaps in provision.
- To provide support for target setting at local area and individual school level, focussed on increasing applied and general course delivery with a clear focus on 2013.
- To ensure resources are used effectively and efficiently by schools in delivering measurable, challenging and achievable outcomes.

**Q:** What should be in an SLA?

**A:** A Service Level Agreement (SLA) must be in place before collaborative provision commences. Article 21 of the Education (Northern Ireland) Order 2006 allows schools to enter into arrangements to provide secondary education on behalf of the school by an institute of Further Education or other provider. Any such arrangements are subject to a written agreement which must include specific details on issues including pastoral care and child protection, quality of provision, the basis for any costs to be incurred or charged and any other issues or assurances deemed necessary by the school's Board of Governors. DE will seek to ensure a consistent approach on this issue and schools should ensure that this documentation is available within the school if required at any

point in the school year. [DE 2005/18 Entitlement Framework - Initial Guidance](#)

**Q:** Is there a common job description available for ALC co-ordinators and what should their level of remuneration be?

**A:** Work is ongoing on the development of a common job description for ALC co-ordinators and DE hopes to issue detailed guidance in the near future. **Schools are reminded that where contracts of employment/contractual agreements have been entered into these should be in line with existing employment procedures and should have a clear job description and agreed outcomes and delivery targets.** In appointing co-ordinators ALCs should consider both the nature and extent of support required eg educational or administrative support, part-time or full-time. ALCs should also be mindful of long term sustainability of any position given the changing funding arrangements indicated above.

While DE is not yet in a position to be prescriptive regarding the level of remuneration of co-ordinators, it is recommended that the maximum full-time salary costs should be at or around **£45k per annum** (approximately corresponding to a teacher on 2 management responsibility points) with part-time and term-time costs pro-rata. For an administrative appointment the equivalent maximum full-time costs should be at or around **£20k**, with part-time and term-time costs again pro-rata.

**Q:** Are twilight courses an acceptable way of expanding provision?

**A:** DE recognises that provision out of school hours can, in some circumstances, represent a useful option for schools in expanding school's curricular offer. However for a number of reasons (including possible increased transport costs) this should not be seen as schools' first or preferred option and schools should explore all options to ensure that pupils are not required to access courses outside their normal school day.

**Q: How will the new unitary structure for Occupational studies be recognised under the EF?**

A: While all 6 awards will be recognised and funded under the EF, the Department would not want to see the new arrangements leading to a limiting of the applied offer in schools. DE will monitor the arrangements in the coming year, with a view potentially to limiting the number of times OS can “count” towards the required 24 courses, should this be required. It is also important to stress that the current arrangements are effectively an interim measure pending the outcomes of the current review of the qualification being undertaken by CCEA.

**Q: How are Training Organisations recognised under the EF?**

A: Training Organisations have a valuable role in increasing the applied curricular offer for pupils and DE will continue to support this provision in 2010/11. While innovative and creative models of collaboration are likely to be an increasing feature of the future delivery of the EF, it will remain an individual school’s primary responsibility to ensure that any collaborative arrangements are put in place are appropriate for the pupils involved and that all of the necessary standards of quality and pastoral care are met. The following are some of the questions that schools must be in a position to answer:

- Is the school satisfied that the legislative requirements, particularly those under Articles 21 and 35 of the Education (NI) Order 2006, can be met?
- Is your school satisfied that the quality of provision will be of a high enough standard. In particular, has the organisation the necessary industry standard resources to deliver applied/ vocational programmes?
- Do the personnel involved in lecturing/tutoring have any experience of delivering vocational programmes, or training as assessors and are they familiar with setting targets, monitoring performance and providing data on performance to the school?



- Is your school satisfied that the facilities on offer meet health and safety requirements for the education of young people?
- Is the school satisfied that the Training Organisations has insurance which covers tutors/lecturers to teach?

All of the above reinforces the importance of ensuring that a comprehensive SLA is in place before provision is put in place.

**Q: Why does my allocation not fully cover my transport costs?**

A: Schools are already funded via the LMS arrangements to deliver the curriculum in line with policy and legislative requirements. The EF formula allocation is intended to be a contribution towards the costs associated with expanding provision through collaboration. The current use of Urban/Rural definitions and the associated differences in weightings are intended to go some way towards reflecting the experiences of schools. This is an approach that will be kept under review. Whatever level of funding is allocated, schools must continue to ensure that resources are used in as cost-effective a manner as possible and that alternative and imaginative approaches are explored – through e-learning for example or moving teachers rather than pupils.

**Q: How will Junior High schools be supported?**

A: The Department recognises the important role that Junior Highs can play in their ALCs, particularly in ensuring coherence of provision in the transition from KS3 to KS4 and in some cases contributing directly to provision. The work of Junior Highs at KS3 can directly contribute to an increased understanding of the delivery of the EF and in some cases such schools can contribute directly to increased provision at

KS4 within the ALC. For the purposes of allocating support funding in 2010/11, three broad categories of schools have been identified:

### **Category 1**

**Junior High Schools with pupils at Key Stage 3 and Key Stage 4** – these schools will be funded on the same basis as all other schools with 11-16 provision.

### **Category 2**

**Junior High Schools with pupils at Key Stage 3 and a Special Unit providing for KS4 pupils with a statement of SEN)** – these schools will be eligible for:

- **online audit element** for courses accessed for KS4 pupils provided conditions are met.
- **applied increase element** where conditions are met.
- **collaboration element up to £4k** based on an agreed EF Implementation Plan (see Annex C) to facilitate membership of the area learning community; and
- **New Course element** where the conditions are met.

### **Category 3**

**Junior High Schools with KS3 pupils only** – these schools will be eligible for:

- **an allocation of £2k** to facilitate whole school understanding of the EF and the implications at KS4 and KS3/KS4 transition to Senior High School; and
- **collaboration element up to £4k** based on an agreed EF Implementation Plan (see Annex C) to facilitate membership of the area learning community.

For categories 2 and 3 the collaborative element will be kept under review by the Department and the EF DOs to ensure that the needs of these schools are properly addressed.

**Q: How will the “new course” element be calculated?**

**A:** An additional contribution towards the cost of establishing new applied provision will be paid in October/November 2010, based on pupil numbers and at a rate of 7/12 of the full year cost. New collaboratively delivered applied KS4 and post-16 provision, ie a courses offered collaboratively and taken up by 2 or more schools for the first time in Year 11 or 13 (the course must be new to both of the schools for 2010/11) which appear in schools’ entries in the October online audit will attract this funding. New courses being delivered through FE or other providers will only qualify for funding under this element if they are being run by 2 or more schools acting in collaboration.

**Q: How will central ALC costs such as ALC co-ordinator salaries be shared after 2011/12 when there will be no common per school collaboration funding element, and some ALC member schools not involved in collaboration will receive no such funding?**

**A:** DE finance to promote collaboration has been provided to assist the establishment of vibrant and sustainable ALCs. As indicated above, this will move to a formula based allocation post 2012. It will be for the members of individual ALCs to determine whether any school not involved in collaboration is asked to contribute to central costs such as a coordinator salary.

**Q. When should a school contact the Department if they wish to offer a course which is not on the current approved list for the EF?**

**A.** As soon as a school identifies that a qualification which is under consideration is not on the current approved list, details of the course (in particular the NDAQ number and proposed year group of pupils) should be forwarded to the 14-19 Team for consideration. DE is

aware that a number of schools use the opening of the online audit in October as the principal route to bring new courses to the attention of DE. This should not be the case and decisions on the designation of new courses must be made before courses begin in the autumn term.

## **ANNEX 3.7: Further Guidance can be Found in The Following Documents:**

### **Classification of courses**

- DE 2006/24 - Approval of Qualifications and Guidance on the Classification of Courses
- DE 2007/23 - Approval of Qualifications and Guidance on the Classification of Courses

### **EF Guidance and policy**

- DE 2005/18 - Entitlement Framework - Initial Guidance
- DE 2006/20 - Entitlement Framework - Further Guidance
- DE 2006/20A - Delivering the Entitlement Framework
- DE 2007/06 - The Education (2006 Order) (Commencement No.1) Order (Northern Ireland) 2007
- DE 2007/20 - The Education (2006 Order) (Commencement No.2) Order (Northern Ireland) 2007
- DE 2008/12 - Entitlement Framework Support: Guidance on Arrangements for 2008/09 school year
- DE 2009/08 - Delivering the Entitlement Framework by 2013: Guidance on Entitlement Framework Support Arrangements for Schools and Area Learning Communities
- Together Towards Entitlement - Delivering the Entitlement Framework through Area Based Planning
- Minister's Speech at Launch of TTE – October 2009

### **Related DE policies**

- Every School a Good School - A Policy for School Improvement
- Schools for the Future - A Policy for Sustainable Schools
- Report of the STEM Review - September 2009

