

## Open Book Project, Frequently Asked Questions

This FAQ aims to answer some of your more technical questions about the documents which we have produced for your sixth form.

[General Open Book questions](#) (1)

[Questions about your funding allocation spreadsheet](#) (2)

[Questions about success rates](#) (3)

[Questions about your census data](#) (4)

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### 1 General Open Book questions

[What is the Open Book Project?](#) (1.1)

[Why have the YPLA made this information available to sixth forms?](#) (1.2)

[What has the YPLA produced for my sixth form?](#) (1.3)

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#### 1.1 What is the Open Book Project?

Open Book is a new project for sixth forms which is taking place during summer term 2011. It aims to demonstrate the importance of sixth form census data for calculating funding allocations and success rates.

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#### 1.2 Why have the YPLA made this information available to sixth forms?

This project aims to help sixth forms understand how the 16-19 funding calculation works and also to demonstrate the role and impact of success rates. This will increase the transparency of the 16-19 funding allocation process, and help sixth forms to continue to improve the quality of their census returns.

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#### 1.3 What has the YPLA produced for my sixth form?

We've produced 3 documents for each sixth form: a funding allocation spreadsheet, a success rate spreadsheet, and a Qualification Success Rate report.

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## 2 Questions about your funding allocation spreadsheet

[Can I negotiate my funding allocation?](#) (2.1)

[What is Transitional Protection?](#) (2.2)

[What are lagged learner numbers?](#) (2.3)

[What is the Learning Aims Database?](#) (2.4)

[What are the Funding Year Start and End Dates?](#) (2.5)

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[Provider Factor](#) (2.10)

[What is the National Funding Rate?](#) (2.11)

[What is Additional Learning Support?](#) (2.12)

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### 2.1 Can I negotiate my funding allocation?

No, the YPLA has moved away from a negotiated or planned funding allocation process. All providers now receive an allocation based on the automated lagged learner number system.

[What are lagged learner numbers?](#) (2.3)

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### 2.2 What is Transitional Protection?

Transitional Protection has been applied to 16-19 funding allocations for 2011/12; this is to allow sixth forms to adjust to changes in education funding policy.

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### 2.3 What are lagged learner numbers?

The YPLA have simplified the planning and negotiation of learner numbers to a system of 'Lagged Learner' (student) numbers. This means that the actual student cohort evidenced within an institution's data (current year autumn census) will inform the student numbers for funding in the next allocation

round. This movement to the use of actual numbers from the census for your allocation has resulted in the allocation being a totally automated calculation; there is no longer an opportunity to influence the formula calculation except in very unusual circumstances.

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## **2.4 What is the Learning Aims Database?**

The Learning Aim Database (LAD) contains information about all funded courses (learning aims) offered by sixth forms. It includes course (learning aim) information required to complete census returns, as well as funding and statistical data.

You can visit the LAD at: <http://providers.lsc.gov.uk/lad/>

### **What will happen to the Learning Aims Database?** (2.4.1)

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#### **2.4.1 What will happen to the Learning Aims Database?**

LAD will continue to be available for at least the next 2 years

- The LAD and the LAD archive will continue to be available at the current location from the Data Service website.
- No changes to the LAD are planned – Learning Aims for 2009/10 and 2010/11 will continue to be made available on the LAD Website.
- The LAD Search will continue to be available for 2009/10 and 2010/11 learning aims
- For a short while, the LAD will continue to be updated to support 2011/12 learning aims
- The Data Service is currently looking into the possibility that funding and validity information for 2011/12 will be made available on the LAD website in April 2011

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## **2.5 What are the Funding Year Start and End Dates?**

Funding Year Start Date	01-Aug-09
Funding Year End Date	31-Jul-10

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## **2.6 How do you deal with International Baccalaureate (IB)?**

We've produced a spreadsheet with some additional information if you teach IB (columns R, S, T). This is because we don't want to double count your IB students.

For funding purposes the International Baccalaureate (IB) should be regarded as equivalent to four GCE A-levels plus one AS-level studied over two years. Therefore the SLN value for the full qualification is 1,350 guided learning

hours (excluding entitlement) over the two years of study. Where an IB diploma aim has been recorded on the census for a student, then only the IB diploma aim and non-IB aims will be funded, IB components will not be funded. Where a student is studying IB and only IB components have been recorded on the census, then each individual IB component and non-IB aims will be funded.

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## 2.7 Definitions of columns in the allocations funding spreadsheet

[What is 'EnrolStatus'?](#) (2.7.1)

[What are QAN and Disc Codes?](#) (2.7.2)

[What is the Start Date?](#) (2.7.3)

[What is the Planned End Date?](#) (2.7.4)

[What is the Actual End Date?](#) (2.7.5)

[What is Completion Status?](#) (2.7.6)

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### 2.7.1 What is 'EnrolStatus'?

- A learner can only be recorded as '**currently registered**' (**C**) at one school; if there is any doubt your Local Authority will determine which school is to be regarded as the main school.
- A learner with a 'current registration' may also be recorded as a '**guest**' (**G**) at another school. The learner will not be registered with the second school but may be attending some lessons.
- Schools can record learners as being dually registered with the learner being recorded as '**main registered**' (**M**) at one school.
- The learner would be '**subsidiary registered**' (**S**) at the second school.
- Learners with **C** or **M** registration only are used in and YPLA calculations. All learner aim and achievements should be recorded on the **Current or Main** School.

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### 2.7.2 What are QAN and Disc Codes?

The Learning Aim identifiers,

- Qualification Accreditation Number, every course of study leading to a qualification is allocated a QAN. The QAN is unique to a course and an awarding body and they reflect the SLN value for the course.
- Qualification Discount Code is the subject being studied.

These codes should be correct because they are used to match against the exams that a school has entered its learners for. If the codes do not match the learning aim is classed as having an UNKNOWN OUTCOME or “Result not known”; this affects Success Rate and ultimately Funding.

Common data errors include Schools;

- Recording an EXPIRED QAN,
- Using a GENERIC QAN, INVALID QAN and DISC CODE combination,
- recording correct QAN and Disc Code but no result,
- Recording a QAN certification date that EXPIRED before the recorded Planned End Date.

For information; Qualification Accreditation Number codes are updated monthly, the Department for Education maintains a QAN Web Service (QWS) website where downloadable files can be found.

<https://data.dfes.gov.uk/qwsweb/default.aspx>

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### **2.7.3 What is the Start Date?**

The Start Date is the date on which the learning activities for the qualification will start in School; this date should not be later than the Census reference date.

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### **2.7.4 What is the Planned End Date?**

The Planned End Date is the date that learning activities for the qualification are due to be completed in school.

The date should reflect the duration of the course being taken; it should not be more than 5 years in the future and must have a valid date on or before the 31st July in the academic year that the learning aim is planned to end! The date must remain constant; it is not a rolling date subject to changes.

The Planned End Date is used to identify the cohort of learners in the calculation of success rates so it is vital that the date is correct and in the correct academic year. Common data errors include learning aim Planned End Date recorded as August not on or before 31 July in the current academic year.

For a re-sit the learning aim Start Date and Planned End Date should be the actual date of the re-sit.

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### **2.7.5 What is the Actual End Date?**

The Actual End Date is the date the learner actually completed the programme of study, or the date where the learner withdrew from their learning activities. The date should be no later than the reference Census

date; this will confirm that learning has ended and valid entry is required in Completion Status.

Common data errors include learning aim Actual End Date recorded as August and not on or before 31 July in the current academic year.

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### 2.7.6 What is Completion Status?

This is the field that indicates whether the Learner is continuing or has completed, transferred or withdrawn from the course. See codes below:

**0** indicates that the learner is re-sitting the examination or coursework only; the learner is not attending the full course of study for the learning aim.

If a learner is re-taking a complete qualification, including attendance in class, this should be treated in the same way as any other learning aim.

**1** indicates that the learner has not yet completed the programme of study and is **CONTINUING**.

**2** indicates that the learner has **COMPLETED** the course of study irrespective of whether the aim has been achieved.

**3** indicates that learner has ceased study for a qualification (**WITHDRAWN**) without any new/replacement qualification being started.

A learner is considered to have withdrawn from study if they are known to have withdrawn or have not attended class for 4 continuous weeks. The date of last attendance on the learning aim is the date of withdrawal and should be recorded on your MIS system.

**4** A **TRANSFER** indicates that the learner has ceased studying for one qualification in order to start a new, often related, qualification.

**X** indicates where learning aim data for a student has been **entered in error**; schools should indicate this with a learning aim Completion Status value of "X" and return the correct learning aim in the normal manner.

This approach must be used to correct any part of a continuing learning aim record which was incorrect when submitted to the previous Census i.e. Qualification Accreditation Number, Discount Code, completion status or date.

Common data errors include;

- Learning aims recorded as WITHDRAWN when they should have been marked COMPLETED.
- Learning aims recorded as COMPLETED when they should have been marked WITHDRAWN.
- WITHDRAWALS that should have been marked TRANSFER, and

- Learning aims recorded as CONTINUING when they should have been marked COMPLETED.

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## 2.8 What do the Formulas calculate and how?

[Planned Days in this funding year \(Column R\)](#) (2.8.1)

[Actual Days in this funding year \(Column S\)](#) (2.8.2)

[SLN Qualifying Period \(Column T\)](#) (2.8.3)

[SLN START \(Column V\)](#) (2.8.4)

[TRANSFER \(Column W\)](#) (2.8.5)

[Planned Days after this funding year \(column X\)](#) (2.8.6)

[Total Planned Days \(Column Y\)](#) (2.8.7)

[SLN Annual Proportion \(column Z\)](#) (2.8.8)

[Base GLH Value \(Column AA\)](#) (2.8.9)

[Uncapped SLN \(Column AB\)](#) (2.8.10)

[Learner Level Uncapped SLN \(AC\)](#) (2.8.11)

[Cap Factor \(AD\)](#) (2.8.12)

[Capped SLN \(AE\)](#) (2.8.13)

[Programme Weighting Value \(AF\)](#) (2.8.14)

[SLN weighted PWF \(AG\)](#) (2.8.15)

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### 2.8.1 Planned Days in this funding year (Column R)

Formula: the earlier of the planned end date, or 31<sup>st</sup> July minus the later of the 1<sup>st</sup> August or the start date. Add 1 to the result. Add 1 to calculate the correct number of days as the subtraction of two dates results in a 'day' difference therefore the +1 corrects the formula

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**2.8.2 Actual Days in this funding year (Column S)**

Formula: the earliest date of either the 31st July, the planned end date (L) or the actual end date (M) and the later of the two start dates either the actual start date (K) or the 1<sup>st</sup> day of the census curriculum year (1<sup>st</sup> August) if the start date was in an earlier year. Add 1 to the result.

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**2.8.3 SLN Qualifying Period (Column T)**

Formula: Use value in R with lookup in 'Lookup Tables' to identify minimum qualifying period (days)

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**2.8.4 SLN\_START (Column V)**

Formula: If actual days in Column S (actual days in funding year) is greater than or equal to Column T (SLN Qualifying Period), or Completion Status (column N) equals 2, then figure will be 1, else 0.

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**2.8.5 TRANSFER (Column W)**

Formula: If Completion Status (column N) equals 4 then figure recorded equals 1, else 0. A value of 0 indicates that the learner is either continuing learning, has completed learning or has withdrawn after the qualifying period.

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**2.8.6 Planned Days after this funding year (column X)**

Formula: The Planned End Date (column L) minus 31<sup>st</sup> August. If the planned end date is later than the funding year end date the remaining planned number of days is the result in column X, else 0.

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**2.8.7 Total Planned Days (Column Y)**

Formula: planned end date (column L) less Start Date (column K), add 1 to the result.

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**2.8.8 SLN Annual Proportion (column Z)**

Formula: Planned days in this funding year (column R), if column X (planned days after this funding year) is greater than 0 and completion status equals 2 add Column X to Column R. Divide the result by Total Planned Days (column Y).

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### **2.8.9 Base GLH Value (Column AA)**

Formula: If Qualification Accreditation Number (column I) equals 'Entitlem' then column AA records 30glh (value for a years entitlement). If column I is not equal to 'Entitlem' the check column Q for learning type of 002, 1430, 1431, 1435 and NCYearActual (column C) is higher than 12, and the Start Date is before Funding Year End Date and the planned end date is after the funding year start date the glh value (column O) is divided by 2.

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### **2.8.10 Uncapped SLN (Column AB)**

Formula: (Base SLN Value \* 450) \* SLN Annual Proportion \* SLN Start(1-Transfer).

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### **2.8.11 Learner Level Uncapped SLN (AC)**

Formula: If column A UPN equals a 'unique' learner then sum the values in column AB that relate to that learner.

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### **2.8.12 Cap Factor (AD)**

Formula: If Learner Level Uncapped SLN (AC) is less than or equal to 1.56 (SLN Cap Level) then a value of 1 is recorded. If (AC) exceeds 1.56 then divide the SLN Cap value by the vale (value) in column AC.

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### **2.8.13 Capped SLN (AE)**

Formula: Uncapped SLN (AB) multiplied by Cap Factor (AD).

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### **2.8.14 Programme Weighting Value (AF)**

Formula: If Capped SLN (AE) = 0 then record 0. If Programme Weighting (P) is blank then record 1. If Programme Weighting is not blank then calculation will record corresponding value from VLOOKUP table.

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### **2.8.15 SLN\_weighted\_PWF (AG)**

Formula: Capped SLN (AE) multiplied by Programme Weighting Value (AF).

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## **2.9 Standard Learner Number**

[What is the Standard Learner Number \(SLN\)?](#) (2.9.1)

[What are Standard Learner Number values?](#) (2.9.2)

[What is the Annual Standard Learner Number value?](#) (2.9.3)

[What are Guided Learning Hours?](#) (2.9.4)

[What is the Learner SLN Ratio?](#) (2.9.5)

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### **2.9.1 What is the Standard Learner Number (SLN)?**

The Standard Learner Number (SLN) is a measure of volume of activity associated with a qualification of learning aim. The SLN is calculated by dividing the total number of guided learning hours (glh) for each learner (including Entitlement) by 450 up to a maximum value of 1.56.

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### **2.9.2 What are Standard Learner Number values?**

An SLN value is a measure of fundable volume for a whole learning aim, irrespective of the time taken to deliver it. SLN values for each aim will be listed on the Learning Aims Database (LAD).

The SLN values of individual learning aims will be either; listed, a fixed rate or unlisted variable rate dependant on the number of guided learning hours delivered.

Unlisted learning aims; those that do not have SLN values stated on the LAD, will be collected as part of the Census. Rates/values will be based on similar learning aims and qualifications types.

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### **2.9.3 What is the Annual Standard Learner Number value?**

This is the measure used directly in the funding calculations for the purpose of calculating actuals at learning aim level; it is the number of SLN to be delivered in an academic year and is counted when a learner is deemed to have 'started'.

Once the period of qualification for a 'start' has passed they are not affected by WITHDRAWALS. Annual SLN are calculated separately for each academic year of study of each learners programme; if a learner is studying a two year programme, the annual SLN will be calculated again for the second year of study.

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#### **2.9.4 What are Guided Learning Hours?**

Guided Learning Hours are defined as all times when a member of staff is present to give specific guidance towards the learning aim being studied.

#### **Determining Guided Learning Hours**

The Qualification Accreditation Number code in **column I** on the sixth form allocations spreadsheet used to 'match' in the GLH for the Qualification Accreditation Number from the Learning Aims Database. Note:

- The Learning Aims Database uses the term Learning Aim reference – this is the same as the Qualification Accreditation Number code.
- GLH convert to SLN Values (450 GLH = 1 SLN),
- for statistical purposes 1 SLN = Full time learner, and
- No learner is entitled to more than 1.56 SLN per Academic year; this is referred to the SLN Cap.

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#### **2.9.5 What is the Learner SLN Ratio?**

The SLN Learner Ratio shows the average amount of SLN that learners generate. It is calculated by dividing the number of learners by number of SLN (subject to the funding cap of 1.56)

The final steps to calculating the SLN ratio is as follows:

- a) Total the SLN values detailed in Column AE.
- b) Divide the total SLN in Column AE by the 'Learner count' for the census year.
- c) This will result in an average SLN per learner for the census year and is called the **Learner SLN Ratio**.

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#### **2.10 Provider Factor**

[What is the Provider Factor?](#) (2.10.1)

[What is Area cost Uplift?](#) (2.10.2)

[What is Disadvantage Uplift?](#) (2.10.3)

[What is the Programme Weighting?](#) (2.10.4)

[What is the Success Factor?](#) (3)

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### **2.10.1 What is the Provider Factor?**

The Provider Factor is calculated annually based on the sixth forms's own census return; the Provider Factor is the measure that reflects the relative cost of provision; it is used in determining the actual out-turn funding values calculated from census returns.

The provider factor includes the following weightings, Success Factor, Area Costs, Programme Weighting, and Disadvantage.

These weightings are the elements of the provider factor applied at individual learning aim level.

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### **2.10.2 What is Area cost Uplift?**

Area costs uplift is normally determined by the geographical location of the School and recognises that the cost of delivering provision in London and surrounding areas is significantly higher than the rest of the country. Uplift ranges from 20% for Inner London to 1% for West Sussex.

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### **2.10.3 What is Disadvantage Uplift?**

Disadvantage Uplift uses the learner Home Postcode and is based on the Index of Multiple Deprivation 2007 (IMD 2007), which measures disadvantage by Super Output Area (see below). Disadvantage Uplift replaces the use of Free School Meals (FSM) as a measure of disadvantage.

This element gives a school additional funding for teaching students who live in deprived areas or come from deprived backgrounds.

[How does the YPLA categorise disadvantage?](#) (2.10.3.1)

[What's a Super Output Area?](#) (2.10.3.2)

[What happens if the learner home postcode is incomplete?](#) (2.10.3.3)

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#### **2.10.3.1 How does the YPLA categorise disadvantage?**

The YPLA uses the Index of Multiple Deprivation 2007 (IMD2007) at Lower Level Super Output Area (LLSOA). IMD 2007 gives a value of relative deprivation for every LLSOA in the country; it is based on income, employment, health and disability, education, skills and training, housing and services, crime and living environment.

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#### **2.10.3.2 What's a Super Output Area?**

A Super Output Area (SOA) is a geographical area designed for the collection and publication of small area statistics. Unlike wards the SOA layers are of consistent size across the country and will not be subject to regular boundary

change. The Lower Layer SOAs in England were build from groups of Output Areas (4-6) and constrained by the boundaries of the Wards used for 2001 Census outputs. Lower Layer SOAs have a minimum population of 1000 and are used as building blocks for Middle Layer SOAs.

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### **2.10.3.3 What happens if the learner home postcode is incomplete?**

The learner home postcode is used to calculate Disadvantage Uplift which is an element of the Provider Factor. If the home postcode is missing or incomplete the Disadvantage Uplift cannot be calculated for that learners qualifications and a rate of 1 will be used, the Disadvantage Uplift may be understated which in turn will reduce the Provider Factor, and subsequently the funding allocation.

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### **2.10.4 What is the Programme Weighting?**

Programme Weighting recognises that some programmes of learning are more costly to deliver than others. Qualifications weighted 'A' are classroom based, 'B' weighting means the qualification is laboratory and workshop based, qualification with 'C' weighting will incur high maintenance and material costs. The weighting is calculated at aim level and then aggregated to Provider level. Programme weightings for all aims are taken from the LAD

A (1.0)

B (1.12)

C (1.3)

D (1.6)

E (1.72)

F (1.4) Basic Skills

G (1.92) Specialist Resource only

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### **2.11 What is the National Funding Rate?**

The national funding rate is the amount in pounds paid for each SLN. The national funding rate for 2011/12 will be £2920.

#### **[Will Academies still be funded per pupil?](#) (2.11.1)**

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##### **2.11.1 Will Academies still be funded per pupil?**

Academies will be funded on the same principles as before; calculated using the YPLA national formula. In addition Local Authority Central Spend Equivalent Grant (LACSEG) is paid for each sixth form learner directly from the YPLA not the Local Authority.

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## **2.12 What is Additional Learning Support?**

Additional Learning Support (ALS) has been introduced as an element of the funding calculation for schools, as there are often additional learning costs to ensure a learner who has entered the sixth form with low grades is able to pass their course. Additional learning support (ALS) is any activity that provides direct support for learning to individual learners, over and above that which is normally provided in a standard learning programme that leads to a learning goal.

The formula for ALS is based on GCSE points score in English and Mathematics for each learner. For schools sixth forms the amount of funding generated by the formula can be found by taking the ALS rate for each learner based on their GCSE points score, and multiplying it by the learners total SLN for the year.

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### 3 Questions about success rates

[What is the Success Factor?](#) (3.1)

[What are the Funding Year Start and End Dates?](#) (2.5)

[How is data matched?](#) (3.3)

[What does the YPLA do with the Census data?](#) (3.4)

[What do Success Rates measure?](#) (3.5)

[What data is used to calculate Success Rates?](#) (3.6)

[What Data is excluded from Success Rate calculations?](#) (3.7)

[Definitions of terms for success rates](#) (3.8)

[Which qualifications count in calculations?](#) (3.9)

[What impact do 2 year qualifications have on the success rate?](#) (3.10)

[Cashing-in](#) (3.11)

[Should new sixth forms submit a business case?](#) (3.12)

[Why is the curriculum year in the allocations spreadsheet different to the curriculum year in the success rates spreadsheet for some students?](#) (3.13)

[Why are some students who have completed their courses excluded from the success rates calculation even though they are included in the funding allocations spreadsheet?](#) (3.14)

[Column M on the success rates spreadsheet: \*Learner Age on 31 August 2010\*](#) (3.15)

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#### 3.1 What is the Success Factor?

The Success Factor is a key component of the Provider Factor calculation. The Success Factor is halfway between the Success Rate and 100%; it recognises the value of a school's provision irrespective of whether all learners achieve their qualifications.

The success factor is calculated by dividing the Success Rate by 2 and adding 0.5.

So:

- 0% success rate = 0.5 success factor
- 50% success rate = 0.75 success factor
- 100% success rate = 1.0 success factor.

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### **3.3 How is data matched?**

Matching relies heavily on:

- Correct Qualification Accreditation Numbers
- Correct Discount codes
- Correct aim Start and End dates
- Correct completion status data

The Department for Education tries to match Qualification Accreditation Number, Disc Code and completion status data with that of the awarding body.

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### **3.4 What does the YPLA do with the Census data?**

The YPLA uses the data to calculate a school's Funding Allocation and Success Rates.

Where a School has consortium arrangements, it is important that students Learning Aims are identified with the correct school. All course data for Guest and dually registered learners should be returned by the School which holds the learner's main registration - IT IS THE HOME SCHOOL WHO GETS THE FUNDING.

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### **3.5 What do Success Rates measure?**

Success Rates measure the number of learning aims due to be completed in a academic year that have been successfully completed (Achieved) divided by the number of aims due to be completed in that year. Success Rates are used to calculate the Success Factor and affect the schools funding allocation.

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### **3.6 What data is used to calculate Success Rates?**

Data should be submitted for learners in the NC Year Group:

- 12 and above regardless of their age or the level of their learning aims. The small number of 19+ learners who are studying in Year 12 and above will be classed as 16-18.

Schools do not have to submit data where:

- The learner has withdrawn from the learning aim prior to the census date
- Or, has not been 'on roll' at the school since the previous census.

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### **3.7 What Data is excluded from Success Rate calculations?**

Success Rates exclude:

- Aims that are not expected to end in the current academic year (2009/10)
- Transfers – the aim transferred from
- Re-sits

- Aims that will not receive funding eg. those withdrawn from within six weeks of the aim start date
- Unmatched awarding body aims
- Functional Skills and Key Skills

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### 3.8 Definitions of terms for success rates

[What is \*Result not known or Unknown\*?](#) (3.8.1)

[What is a Start?](#) (3.8.2)

[What is an Achievement?](#) (3.8.3)

[What is a Withdrawal?](#) (3.8.4)

[What is Continuing?](#) (3.8.5)

[What is Completed?](#) (3.8.6)

[What is a Transfer?](#) (3.8.7)

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#### 3.8.1 What is *Result not known or Unknown*?

Unknown is where codes recorded in a school's census return do not match a school's exam entry codes; the Department for Education have been unable to match a learning aim Qualification Accreditation Number from the School data to an exam entry Qualification Accreditation Number from the awarding body data. Unknowns can be identified within Learning Outcome field and are those recorded as 4. These records are not used to calculate success rates. Unknowns might occur because;

- The wrong codes have been entered onto school MIS software.
- Qualification Accreditation Number codes are regularly updated and the school may have used an out of date code.
- The school syllabus has changed but the codes haven't been updated.
- A student has swapped courses but SIMS or school collection software has not been updated.
- Un-cashed AS Levels.

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#### 3.8.2 What is a Start?

A Start is based on the number of learners that were recorded as having started a course, not the number of learners entered for an exam. The period of attendance required for a learner to be classed as a 'Start' is dependant on the length of the learning aim.

Aim length > **24 weeks** = qualifying period of 6 weeks or 42 days

Aim length **2 to 24 weeks** = qualifying period of 2 weeks or 14 days

Aim length < **2 weeks** = qualifying period of 1 learning engagement, 1 day.

For a learning aim that spans more than one academic year, 'starts' are determined separately for each year.

Learners beginning a learning aim who are recorded in the Autumn Census but leave before 6 weeks will be identified in the Summer Census, but **will not** be counted as a start, nor will they be counted towards the success factor.

Starts include learning aims which the school has categorised as: completed, withdrawn, and continuing. Transferred learners are included in the completed category.

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### **3.8.3 What is an Achievement?**

Learning aims that have been matched to awarding body data and have been recorded as 'completed' or code 2 by the school are counted as ACHIEVEMENT and used in Success Rate calculations. Achievement is measured on a pass or fail basis, success rates do not differentiate graded outcomes; as long as a learner passes it counts towards success rates. It doesn't matter if they get an A grade or an E grade; U grades do not count as an achievement.

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### **3.8.4 What is a Withdrawal?**

Learning aims where the learner has been WITHDRAWN (code 3) count as NO ACHIEVEMENT. Withdrawals are where a learner has been recorded on MIS systems as having **withdrawn** from a specific learning aim. Often learners that have withdrawn have not left the school but have swapped subjects; these learners should be recorded as **TRANSFER**. This would not have a negative effect on success rates.

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### **3.8.5 What is Continuing?**

Learning aims that are still being delivered at the end of the current academic year are CONTINUING, if they are expected to end in the current academic year then they will count as NO ACHIEVEMENT this will have a negative effect on success rates. If they are expected to end in a future academic year then they will be included in the success rate calculation for that year.

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### **3.8.6 What is Completed?**

COMPLETED records should have the outcome of the learning aim recorded against them. The most important to look for are "Achieved" or "No Achievement";

- Achieved is where the learner has completed and passed the course.
- No Achievement is where the learner had completed the learning aim but not passed the course.

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### 3.8.7 What is a Transfer?

TRANSFER is when the learner has ceased studying for one qualification in order to start a new, often related, qualification. For transfers the actual end date of the aim and the actual start date of the subsequent aim need to be recorded as the same date.

Transfers after the Autumn Census will be identified in the Summer Census; they will count towards success rates. The learning aim **transferred to** will be counted not **transferred from**.

The difference between a transfer and a withdrawal is important for funding and performance purposes. A transfer is not taken into account when calculating Success Rates but a withdrawal is!

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### 3.9 Which qualifications count in calculations?

- All qualifications that are eligible for funding and are listed on the Learning Aims Database.
- All learning aims are included in the Success Rate at Level 3, 2, 1; not key skills or functional skills.
- NC Year Groups 12, 13 and 14 are included in the success Rate calculation.

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### 3.10 What impact do 2 year qualifications have on the success rate?

Qualifications will be included in the success rate calculation when the learner completes or withdraws from the qualification. At the end of year one the learner is not counted as either a pass or a fail.

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### 3.11 Cashing-in

[How does cashing-in affect my success rate?](#) (3.11.1)

[Will qualifications that are not cashed in 2009/10 be counted in the 2010/11 success rate?](#) (3.11.2)

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#### 3.11.1 How does *cashing-in* effect my success rate?

*Cashing-in* is when your sixth form tells the exam board that a student wants their result to be added to their final grade. In the past some sixth forms have not accepted the awarded grade with the intention of getting the student to re-sit the assessment.

- If you have not cashed-in some of your AS levels, these will show up as *Results not known*

- Qualifications that have not been cashed-in cannot be included in the success rate calculation because the actual end date of the course occurs after the end of academic year 2009/10 (after the 31<sup>st</sup> July 2010).
- You cannot include qualifications that your sixth form has not cashed-in in a business case to the YPLA.
- There are new rules on cashing-in which apply from 2010/11 onwards. See here for more information...

<http://media.education.gov.uk/assets/files/doc/p/post-16%20user%20guidance.doc>

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### **3.11.2 Will qualifications that are not cashed in 2009/10 be counted in the 2010/11 success rate?**

No. If the planned end date of the course was in 2009/10, then it will be included in the success rates for that year, except where it is not cashed-in (these courses are not included in the 2009/10 or 2010/11 success rates).

In 2009/10 success rates where the AS level is un-cashed the learning aim is not included in the success rate calculation. In future years where the AS level is not cashed, it will be treated as a fail.

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### **3.12 Should new sixth forms submit a business case?**

If your sixth form is new and only began returning data in 2009/10. then you should not submit a business case because we will use a regional average success rate to calculate your funding allocation; the following year we will use your data to calculate factors used in your funding allocation in the same way as other sixth forms.

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### **3.13 Why is the curriculum year in the allocations spreadsheet different to the curriculum year in the success rates spreadsheet for some students?**

A data processing error has mistakenly flagged a small number of learners as having an incorrect year group in the success rates spreadsheet. The error mostly affects those who are either: repeating year 12; or a year older than the majority of their year group and have since left the sixth form. This issue is being investigated by the YPLA and the DfE and a fix will be put in place for 2010/11 success rates. Funding for these students has not been affected (you'll note this in the allocations spreadsheet). If you find that your sixth form has been affected by the problem, please submit a business case to adjust your success rate.

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### **3.14 Why are some students who have completed their courses excluded from the success rates calculation even though they are included in the funding allocations spreadsheet?**

A small number of students have mistakenly been recorded as Year 11 students in the success rates data, therefore they have been excluded from

the success rate calculation. In the majority of cases this is down to a data processing error where a student is repeating year 12. This issue is being investigated by the YPLA and the DfE and a fix will be put in place for 2010/11 success rates. Funding for these students has not been affected (you'll note this in the allocations spreadsheet). If you find that your sixth form has been affected by the problem, please submit a business case to adjust your success rate.

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### **3.15 Column M on the success rates spreadsheet: *Learner Age on 31 August 2010***

This field has been incorrectly named. It should read Learner Age on 31 August **2009**. The data in this column is correct though, and does report the age of the student on the 31<sup>st</sup> August 2009. Apologies for any confusion caused.

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## **4 Questions about your census data**

[What is the census return?](#) (4.1)

[Who should submit data?](#) (4.2)

[When do schools need to submit Census data?](#) (4.3)

[What happens to the census data that sixth forms submit?](#) (4.4)

[How is data matched?](#) (4.5)

[What does the YPLA do with the Census data?](#) (4.6)

[Which census is used in calculating Success Rates?](#) (4.7)

[Which learner data is included in Success Rate Calculations?](#) (4.8)

[How should I record a year 11 student studying an AS course?](#) (4.9)

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### **4.1 What is the census return?**

The census is a survey completed by schools and academies; it contains detailed information about each learner and post-16 learning aims. The submission of a census return is a statutory requirement and is used for funding purposes. It is vital that information is as accurate and up to date as possible.

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#### 4.2 Who should submit data?

The census data comes from secondary schools with sixth forms, Academies and City Technology Colleges with sixth forms. Data **IS NOT** required from Special Schools, Pupil Referral Units or secondary schools without sixth form provision.

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#### 4.3 When do schools need to submit Census data?

School Census Return Dates		
Spring Census (January)	Summer Census (May)	Autumn Census (October)
• All pupils on the register on the Census day	• All pupils on the register on the Census day	• All pupils on the register on the Census day
• Any additional pupils subject to any type of exclusion in the Summer Term 2010	• Any additional pupils subject to any type of exclusion in the Autumn Term 2010	• Any additional pupils subject to any type of exclusion in the Spring Term 2011
• Any additional pupils who attended the school in the previous term (Autumn 2010)	• Any additional pupils who attended the school in the previous term (Spring 2011)	• Any additional pupils who attended the school in the previous term (Summer Term 2011)

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#### 4.4 What happens to the census data that sixth forms submit?

- Participation data is collected at learning aim level through the Schools Census. Schools and Academies submit Census returns collected through their own MIS system to the Department for Education.
- The Department for Education collects and validates the data.
- The Department for Education then match school's learning aims data with outcomes provided by awarding bodies. Learning aims and outcomes for each learner are matched using the Qualification Accreditation Number (QAN) and associated Discount code for each aim. Awarding body data is made available in December each year.
- The Department for Education pass the 'matched' data to the Data Service, who add additional information, such as ward/local authority/region data. The Data Service also provides a quality assessment of the data indicating the proportion of learning aims with no matched outcomes, the number of outcomes with no matching learning aims and other errors.
- This data is then passed to the YPLA who use the information to calculate success rates for each school and produce funding allocations.

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#### 4.5 How is data matched?

Matching relies heavily on:

- Correct Qualification Accreditation Numbers
- Correct Discount codes
- Correct aim Start and End dates
- Correct completion status data

The Department for Education tries to match Qualification Accreditation Number, Disc Code and completion status data with that of the awarding body.

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#### **4.6 What does the YPLA do with the Census data?**

The YPLA uses the data to calculate a school's Funding Allocation and Success Rates.

Where a School has consortium arrangements, it is important that students Learning Aims are identified with the correct school. All course data for Guest and dually registered learners should be returned by the School which holds the learner's main registration - IT IS THE HOME SCHOOL WHO GETS THE FUNDING.

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#### **4.7 Which census is used in calculating Success Rates?**

The main Census used in calculating success rates is the Autumn Census for learning aims completed in the previous academic year - for example, 2010/11 success rates will be calculated from the 2011/12 Autumn Census. The data may include learners who have left the school prior to the Census Date.

For this particular Allocation Year the 2008/09 data was used as it is the most recent complete set of data for Schools.

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#### **4.8 Which learner data is included in Success Rate Calculations?**

- Data for learners in Year 12 and above regardless of their age or the level of their learning aims. The small number of 19+ learners who are studying in Year 12 and above will be classed as 16-18.
- For students in Year 12 or above, any courses studied in Year 11 or before **MUST NOT** be returned as part of the Census.

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#### **4.9 How should I record a year 11 student studying an AS course?**

Where the majority of a year 11 student's programme is at Level 3, the sixth form should record them as a Year 12 student; they will be funded as a sixthformer and will be included in the 16-19 success rate. Where the majority of a year 11 student's programme is at Level 2, but they are also doing an AS early, then the sixth form should record them as a Year 11 student; they are funded under the pre-16 school budget and are not included in the 16-19 success rate.