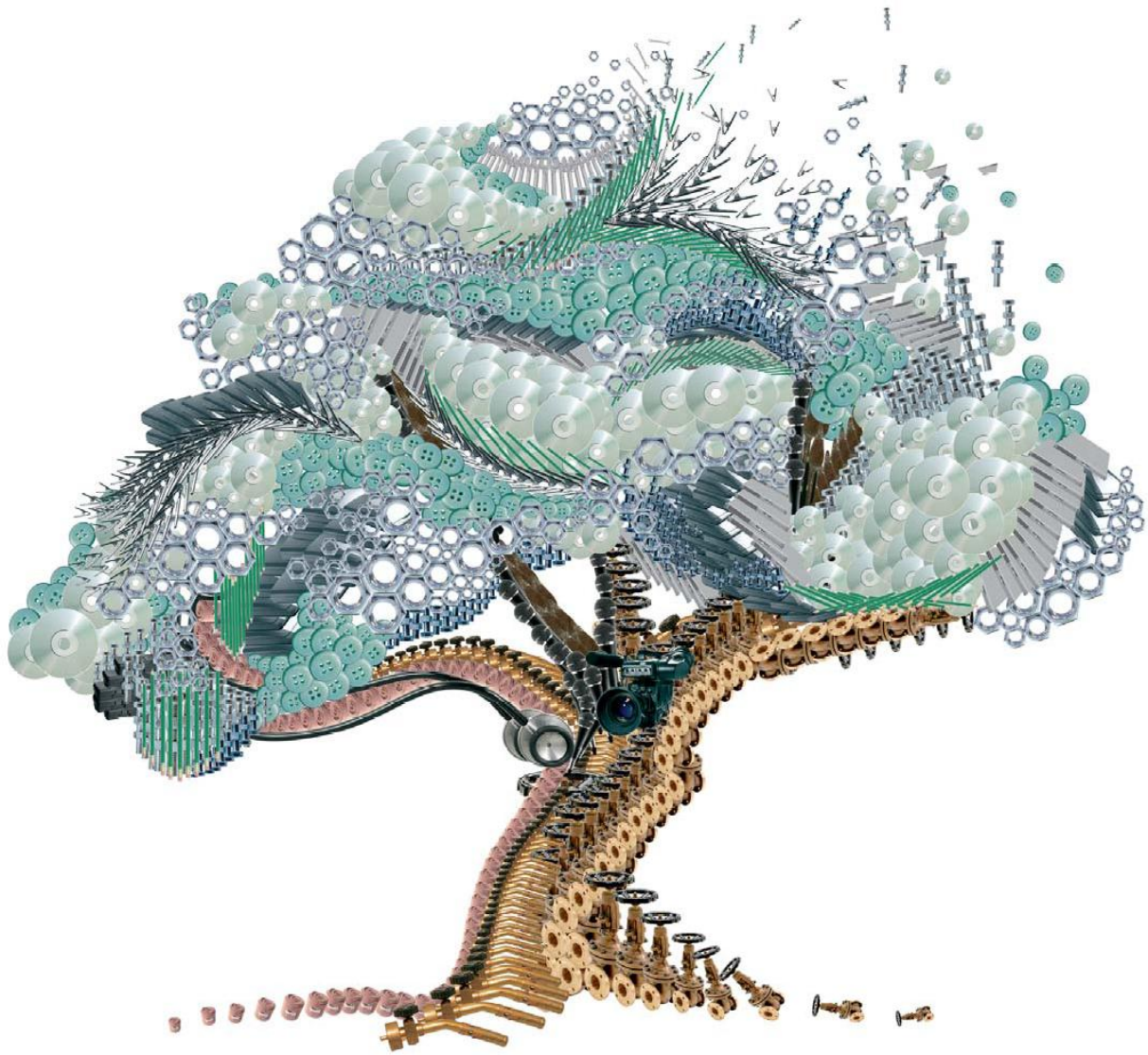


Stay on track for Diploma delivery guidance for Exams Officers



Introduction

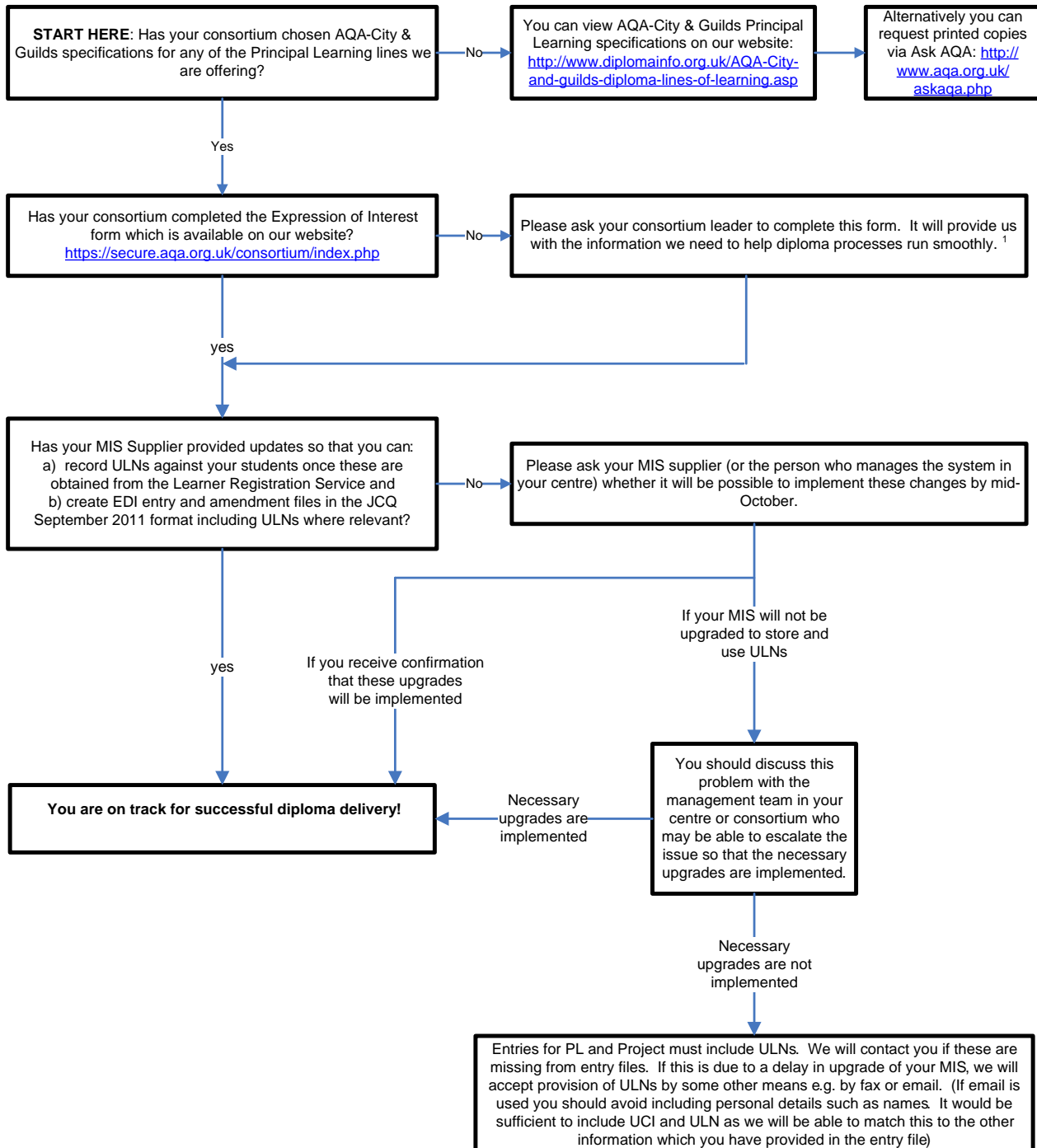
The purpose of this document is to provide guidance to exams officers regarding the administration of Diploma Principal Learning (PL) and Projects with AQA, on behalf of the AQA-City & Guilds partnership. We have tried to keep this guide as concise as possible. We hope that you will find the summary of key deadlines and responsibilities below a helpful starting point and have also included more detailed month by month guidance on the following pages. This is designed to help you check whether you are on track for diploma delivery. This issue includes guidance for September to January. **If you are reading this guidance after September 2011, it may not be too late to take part. Please contact us on 0844 209 6614 or e-mail eos@aqg.org.uk for guidance.**

Key steps at a glance

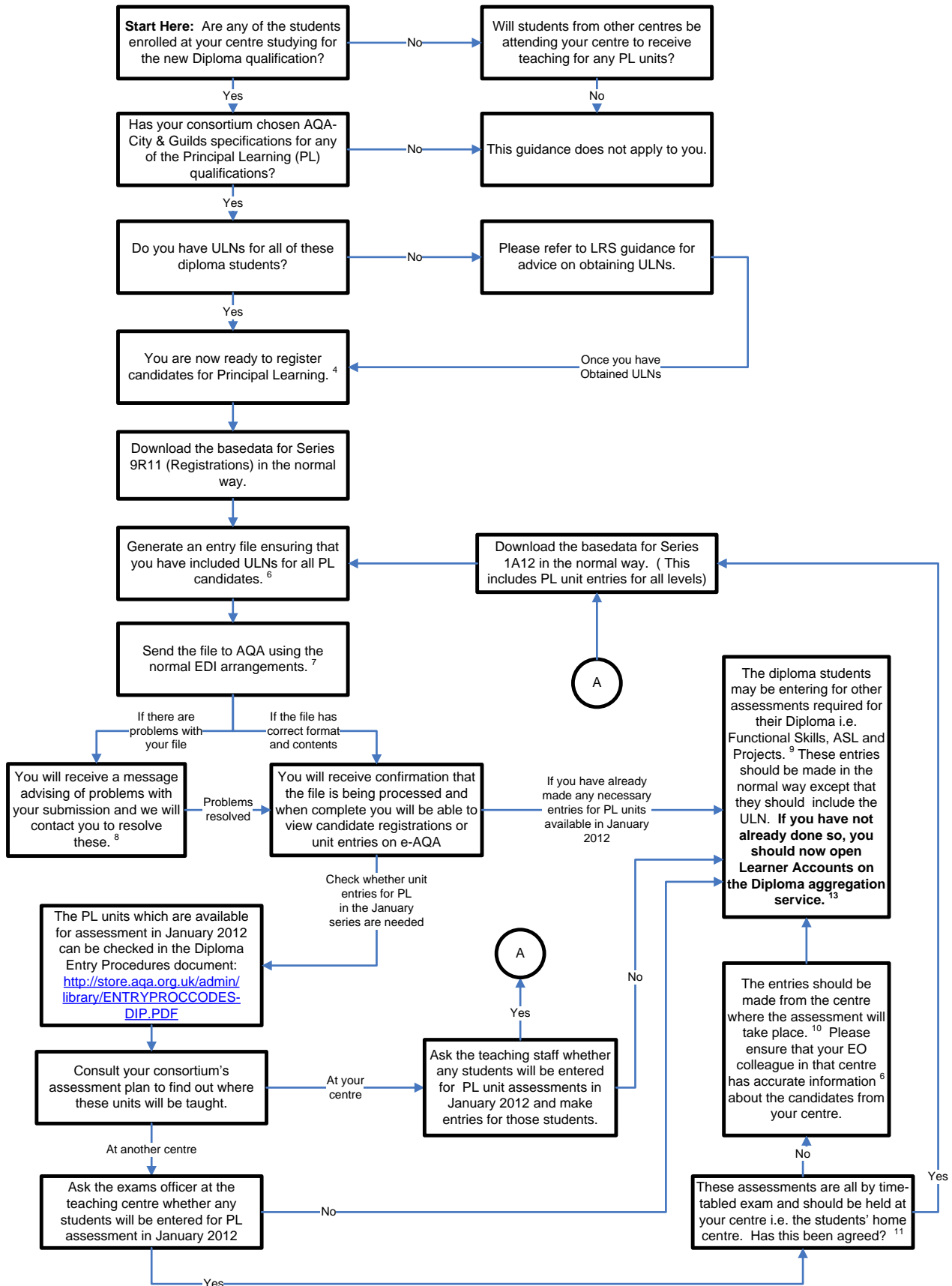
What	When	Who
Complete and submit Diploma Consortium Expression of Interest Form ¹	July - September 11	Consortium leader
Submit estimated entries via e-AQA ²	21 July for Jan 12 10 Oct for Summer 12 assessments	assessment centre assessment centre
Submit Intention to enter via e-AQA ³	21 July 11	assessment centre
Add third party centre association with AQA/City&Guilds on DAS	September 11	home centre
Set up learner accounts and register learners on DAS ¹³	September 11	home centre
Register candidates for line of learning with AQA via your usual entry method ⁴	21 October 11	home centre
Complete registration form for Projects	as soon as possible	assessment centre
Make entries for units	21 Oct 11 for Jan 12 assessments 21 Mar 12 for Summer 12 assessments	home centre (ext ass) assess centre (int)
Make entries for any 2010 PL Level 1, 2 or 3 awards	21 March 12 for Summer 12 awards	home centre
Moderator allocated for Line of Learning ⁵	31 October 11	AQA-City & Guilds
Stage 1 moderation visit (advisory) For new consortia only	during the year	Moderator
Receive unit results	8 March 12 for Jan 12 units 16 August 12 Level 3 Summer 23 August 12 Levels 1 and 2 Summer	centre making entries
Receive any PL level 1, 2 or 3 award results	16 August 12 Level 3 Summer 23 August 12 Levels 1 and 2 Summer	home centre
Make any Enquiries about Results	by 12 April for Jan units by 20 Sept for Summer assessments	centre making entries centre making entries

The notes referenced on this page are at the end of this document. If you are viewing the document on screen you can click on the link to go to the relevant note

Things to do in September 2011



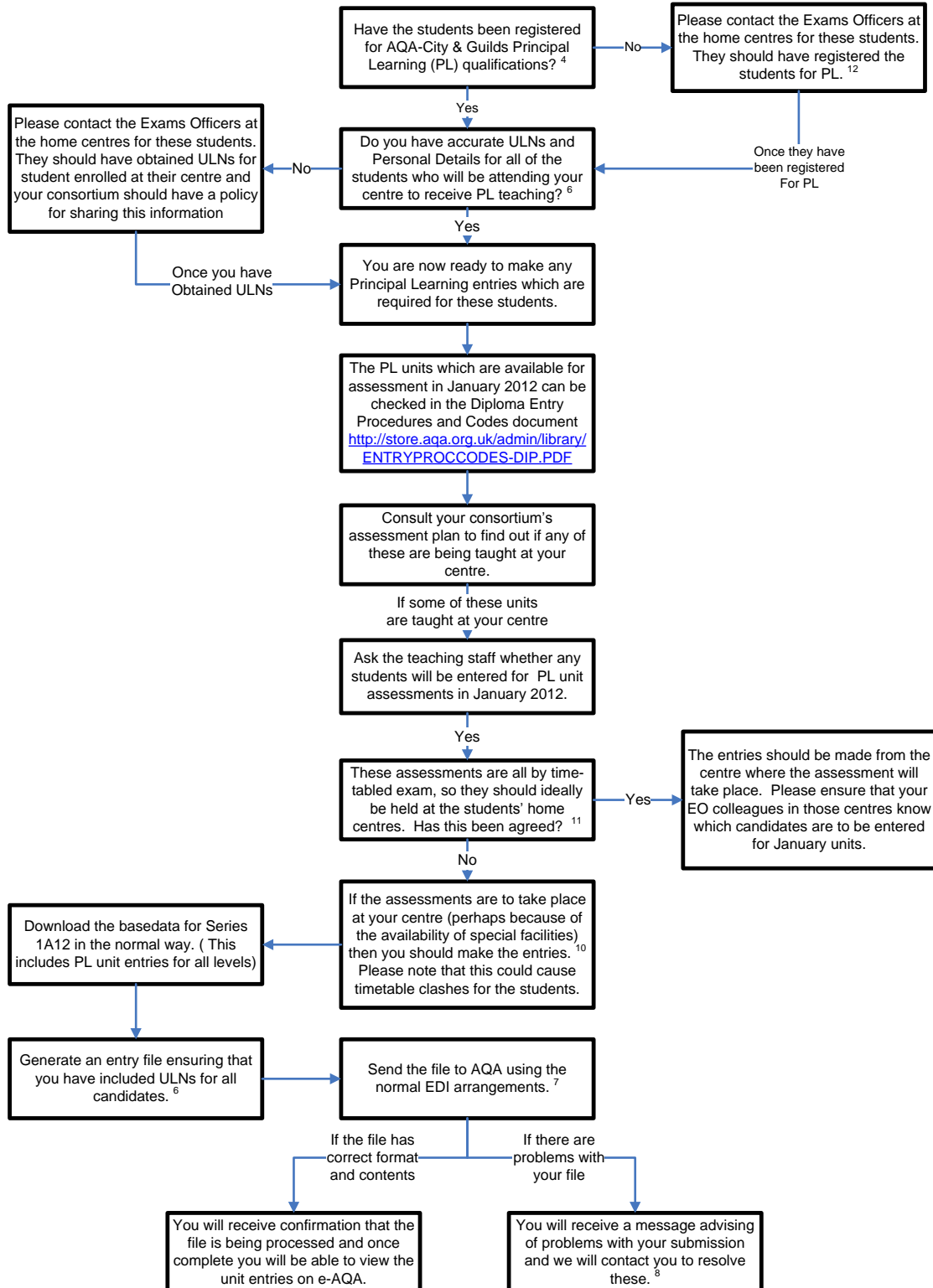
Things to do in October 2011 – Guidance for Home Centres



Things to do in October 2011 – Guidance for Teaching Centres

You should use this guidance if:

1. Students from other centres will be attending your centre to receive teaching for PL units.
2. Your consortium has chosen AQA-City & Guilds for Principal Learning Qualifications



Dec 2011/ Jan 2012 – Guidance for Home and Teaching Centres

You should use this guidance if:

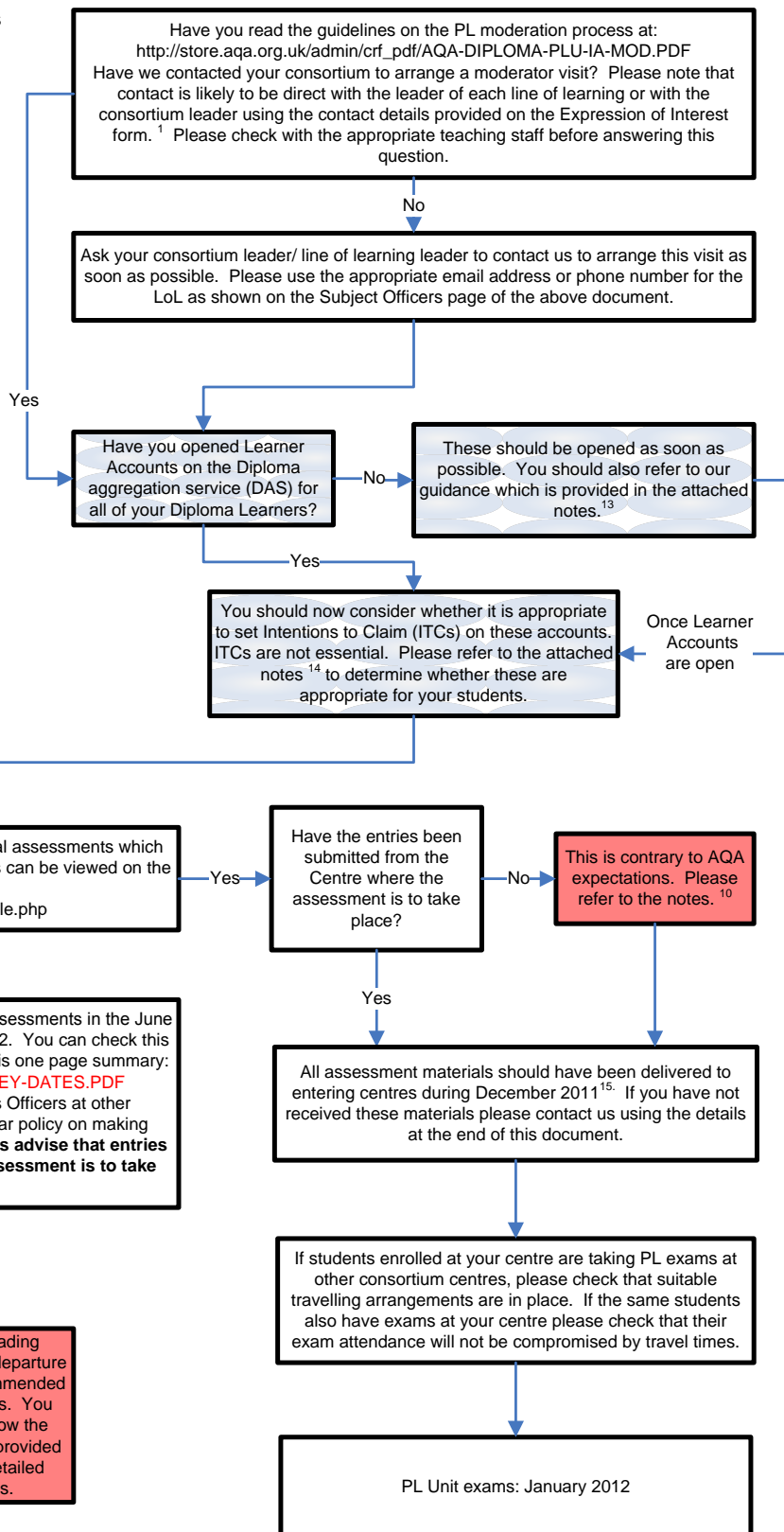
Learners enrolled at your centre are **currently** studying for Diploma qualifications and you have already completed the following tasks:

- i) You have made registration entries with AQA-City & Guilds for those students for the appropriate Principal Learning (PL) line of learning (LoL) and at the correct level for each student.
- ii) If January 2012 assessment is required, entries for these external assessments have already been made. (Please note that PL is designed to be delivered over 2 years therefore it is not essential to enter for any assessments in January of the first year)

- lii) Your consortium has completed the Expression of Interest Form which is available on our website: <https://secure.aqa.org.uk/consortium/index.php>

If you have not completed any of the steps above you should refer to the previous pages.

This guidance is also relevant if your centre is teaching Diploma Principal Learning to students from other centres in your consortium.



AQA-City & Guilds Processes

DAS Processes

This shading highlights departure from recommended processes. You must follow the guidance provided in the detailed notes.

Guidance Notes (Numbers are referenced on previous pages)

1. Completion of the [Expression of Interest Form](#) is essential in order to ensure that Diploma processes run smoothly. Some of the processes which will use this information are listed below:
 - Entries for Principal Learning (registration, unit entries, and award code entries) can only be accepted from centres or consortia that have expressed an interest for that line of learning. The completed form will allow us to identify the centres which are part of a consortium.
 - We will also use the centre details provided to ensure that the appropriate administrative information is provided to all consortium centres.
2. We accept that in the first year of operation you may not have been able to submit estimated entries for our January 2012 assessments. The deadline for estimates relating to the Summer 2012 assessments is 10 October and you can submit the estimates via e-AQA or using these forms:
<http://store.aqa.org.uk/admin/library/AQA-ESTENT-GCE-GCSE-MAR-JUN11>.
3. We accept that in the first year of operation you may not have submitted Intentions to Enter. This will not cause any problems provided that we have been informed of your consortium/centre's interest via our Expression of Interest Form.
4. Candidate Registration for AQA-City & Guilds Principal Learning (PL) should be completed at the start of the course, irrespective of whether this is planned to last for 1 or 2 years. Candidate registration will provide us with the information required to support you in the delivery of our PL qualification. The charge per candidate is £34 although late fees or very late fees are also applicable. The charge is non-refundable although changes of level can be made free of charge. In addition to our normal support, PL registration will also provide:
 - Automatic submission to the Diploma aggregation service (DAS) of any Prior Achievement your candidates may have with either AQA or City & Guilds. If your candidates have Prior Achievement with other awarding bodies, you should make requests to have this submitted to DAS directly with the other awarding bodies. Forms to enable you to do this will be available on their websites.
 - Access to a Diploma Business Manager for your area, who can visit and offer support tailored to your consortia/centre's needs
 - Allocated moderator per Line of Learning and Level who can provide advice and support on coursework by telephone, post and email to ensure assessment standards are consistent
 - Support for exams officers through our Exams Office Support contact centre and Regional Support Team.
 - Pro-active monitoring of candidates' progress towards completion of required units for the PL Line of Learning/Level entered.
5. We allocate one moderator per line of learning for each consortium. Where the consortium is teaching all 3 levels we may allocate one moderator for Levels 1 and 2 and another moderator for Level 3.
6. It is extremely important that the ULN and personal details included in the entry file match those which are registered with the Learning Records Service (LRS). Further information on the ULN can be found in the document Diploma Entry Procedures:
<http://www.aqa.org.uk/admin/library.php#entryprocdip>
7. This guidance refers specifically to the EDI entry process, but if your centre normally uses an alternative means of submission e.g. e-AQA, you can also use this for Diploma products.

8. Potential problems that could arise if the details in the entry files are not correct include:
- Candidate personal details included on your file do not match those on the Learning Records Service e.g. if the candidate has had a name change logged on your MIS and this has not been applied on LRS. If the name change is valid you should update LRS. If, on the other hand, LRS holds the valid name and your MIS is not up to date, you should update your MIS records and submit an amendment file to us. At our end we will keep checking against LRS and once a match has been achieved we will finish processing your entry file.
 - You have not included a ULN and the entry is for Principal Learning units, PL registration or Project (Foundation-Level 1, Higher-Level 2 or Extended-Level 3). We appreciate that this may be due to problems with your MIS. If your MIS has not been upgraded to support the new format entry files (i.e. with ULN) we will discuss alternative methods of providing the ULN to us. If your MIS is still not ULN compliant by the time of your next entry submission, we will send a message to indicate that the ULN should have been provided. On this occasion we will not contact you to request the ULNs as they will already be recorded on our student database and we will use the UCI and other personal details to identify the appropriate student. Please note that your MIS needs to be ULN compliant as soon as possible and certainly by results day, otherwise you may be unable to download results via EDI.

(Please note that if you are a teaching centre making unit entries for candidates from another centre, you may need to liaise with the home centre regarding any problems.)

9. Please note that entries for the Extended Project can be made in Series BG11 or in 6A12. Entries for the Level 1 and 2 Projects can be made in Series 1A12 or 6G12. Entries for Functional Skills can be made in Series BG11, 1A12, 3G12 or in 6A12.
10. In all cases the **entering** centre will assume responsibility for transfer of materials to and from the **assessment** centres, where these are different. Pre-release materials must not be transferred in advance of the release date. If your consortium has adopted a policy where the home centres make all of the entries and external assessments take place at the teaching centre due to the availability of special facilities, you will need to contact us regarding arrangements for transferring question papers. You must inform us as soon as possible, preferably by email marked FAO Jennifer Kerley sent to: JCQ InspectionService@aqg.org.uk Please note that any such transfer arrangements will increase the risks around the security of question papers and as such will only be granted in exceptional circumstances. **We strongly recommend that you submit entries from the centre where the assessment is to take place.**
11. Externally assessed units, especially those in the form of timetabled exams, should ideally take place at candidates' home centres unless they require facilities which are only available in the teaching centre. Internally assessed units will normally be assessed at the centre where the teaching takes place. All major awarding bodies have advised that entries should ideally be made from the centre where the assessment is to take place as this will simplify administration for both centres and awarding bodies.
12. If entries for PL units are received before the PL candidate registration has been submitted, the PL candidate registration will be automatically generated and subject to the standard fee (or late or very late fee depending on when the PL unit entries are submitted). Where the registration is auto-generated in this way, the centre making the unit entries will also be invoiced for the registration.
13. Learner Accounts should be opened on the Diploma aggregation service (DAS) as early as possible. However, the initial priority will be to obtain ULNs so that you can make Principal Learning (PL) and other entries for your diploma students. You will need the ULN to open the learner account also. Once you have made these entries and if you have not done so already,

you should open Learner Accounts on DAS for all diploma students. AQA-City & Guilds would like to bring the following additional points to your attention:

- In order that we can identify your centre when you request Registrations, Intentions to Claim or Claims via DAS, you will need to set up a 3rd party association with the AQA-City & Guilds DAB and you should provide your NCN (National Centre Number) as the alias. Please note that it is not necessary for you to delegate access to AQA-City & Guilds; we only need you to set up a 3rd party association.
- Once Learner Accounts are opened for any students registered for our PL, AQA and City & Guilds will automatically load into DAS any Diploma Catalogue results which those students have achieved since January 2005. This will save you completing separate forms, although you will still need to submit these if your students have Prior Achievement with other awarding bodies – check their websites for advice. Please note that this requires information supplied to AQA to be shared with City & Guilds. Please ensure that your candidates are aware of these data sharing arrangements.
- If your consortium has registered students for AQA-City & Guilds Principal Learning, you may wish to register with the AQA-City & Guilds Diploma Awarding Body (DAB). Submitting a request to register with the AQA-City & Guilds DAB should be done via the Diploma aggregation service (DAS). We will not make a charge at this point. You will be charged at the point when a diploma is claimed; therefore there will be no charge for learners who do not successfully complete the diploma. If the learner has a re-mark or appeal on any of the constituent qualifications which results in an improved grade, we will produce an updated transcript and certificate free of charge. On the other hand, learners who claim a diploma and then decide to re-take some components in order to improve their grades or transcripts will be charged for any subsequent diploma claims. The current charge is £34 to cover our administrative costs together with the provision of a diploma certificate and transcript.

14. If an Intention to claim (ITC) is set on a learner account, the Diploma will be awarded as soon as results for the final contributing qualification are sent to DAS. If an ITC is not set then a 'trial grade' will be provided via DAS, allowing centres and learners an opportunity to consider whether to accept this grade (by making a claim on DAS) or to leave the diploma unclaimed pending potential improvement of constituent results via re-sits.

For most learners and centres the decision as to whether to set an ITC is not critical. The exception is in the case of Level 3 Diplomas which are to be used for entry to higher education. The current UCAS tariff will award between 100 and 300 points for the successful completion of a Level 3 Progression Diploma (from 2010 onwards) - see:

http://www.ucas.com/students/ucas_tariff/tariffables/#progression

If your students are planning to use a Level 3 diploma for entry to higher education you will need to set an ITC at least 10 days before Results Day. This will mean that the Diploma result is passed to UCAS at the same time as GCE A-level results ensuring that the Diploma students are not disadvantaged. We will publish further advice on the setting of ITCs for Level 3 students in advance of summer 2012, when this UCAS tariff comes into operation.

You may set or withdraw ITCs on DAS at any time before a diploma is awarded. These processes are explained on Page 30 of the DAS Quick Guide which you can find on the QCDA Diploma Resources page: <http://www.qcda.gov.uk/qualifications/4454.aspx>

15. Question papers for January 2012 PL exams should have been delivered to entering centres in November 2011. **These should be put into secure storage and remain there until one hour before the scheduled time of the examination.** In addition, some Diploma units involve

preliminary materials, some of which are issued via e-AQA only and not in hard copy in advance of the examination. Details are included in our lists of early question papers and/or preliminary material.

Useful links

[AQA Projects](#)
[Diploma Entry Fees and Other Charges](#)
[Diploma Entry Procedures and Codes](#)
[Diploma Key Dates](#)
[Diploma Prior Achievement Form](#)
[Diploma internal assessment and moderation](#)
[Diploma Moderation Centre Mark Form](#)

If you have any questions concerning Diplomas please visit The Diploma section of our website or contact us on 0844 2096 6614 or e-mail: eos@aqa.org.uk for guidance.

*AQA and City & Guilds are working together to provide Diplomas.
Copyright © 2011 The Assessment and Qualifications Alliance and the City and Guilds of London Institute. All rights reserved.*

The Assessment and Qualifications Alliance (AQA) is a company limited by guarantee registered in England and Wales (company number 3644723) and a registered charity, number 1073334. Registered address: AQA, Devas Street, Manchester M15 6EX.

The City of Guilds of London Institute. Incorporated by Royal Charter. Founded 1878. Registered charity in England and Wales number 312832 and in Scotland SC039576. Registered address: 1 Giltspur Street, London, EC1A 9DD.