



Diploma Gateway 4: Guidance for Consortia

September 2009





Contents

Contents	03
1. Introduction	04
1.1 Background and Context	04
2. Developments in Gateway 4	05
2.1 Planning for the Diploma Entitlement	05
2.2 Local Authority Submission	05
2.3 Diploma Lines of Learning	05
2.4 Data Sharing	07
2.5 Employer Engagement	08
2.6 Information, Advice and Guidance	08
2.7 Functional Skills	09
2.8 Foundation Learning	09
3. Applications for diploma lines	11
3.1 Application Process	11
3.2 Assessing Applications	12
3.3 National Moderation	12
3.4 June-July/October-November Reviews	13
3.5 Gateway 4 Timetable	13
4. Consortium arrangements	14
4.1 Expansion or Changes to Consortia	14
4.2 Consortia Mergers	14
4.3 Cross-boundary Working and Joint Applications	15
4.4 Involving Independent Schools	15
4.5 Schools in Special Measures	16
4.6 Schools/Colleges with Notice to Improve	16
4.7 National Challenge Schools	16
5. Support for consortia	17
6. Awarding body approval and diploma delivery	18
Annex	19
Assessment Matrix	19

1. Introduction

1.1 Background and Context

The Diploma Gateway is the process that assesses consortia and identifies those who meet the required standard to deliver Diplomas. This process will continue with Gateway 4, as we recognise the need to ensure that consortia are working together with Local Authorities (LAs) to provide access to the Diploma for their learners.

From 2013, 14-16 year olds will have an entitlement to study a Diploma line out of a choice of the first 14, and out of a choice of 17 for 16-18 year olds.

LAs will be under a duty to secure all young people's access to these lines, and maintained schools will have a duty to secure their Key Stage 4 students' access to the first 14 lines.

Consortia and LAs need to be working closely together to ensure that they meet the 2013 Diploma Entitlement. This is particularly important where consortia are not led by the LA. Gateway 4, therefore, reflects the importance of strategic planning to meet the Diploma Entitlement, and the role of the LA and the 14-19 Partnership in doing this.

There are two elements to Gateway 4 – strategic and operational. There is a requirement for LAs to tell us about their strategic plans for meeting the 2013 Diploma Entitlement and the Gateway guidance for LAs focuses on that aspect. This guidance focuses on consortia's operational role in delivering Diplomas.

This guidance is for consortia applying to deliver new lines from 2011 and/or reporting any changes to their consortium, for example, merging with others or expanding your providers. It provides information on the current context, developments since the last Gateway, and how to apply for new lines.

2. Developments in Gateway 4

2.1 Planning for the Diploma Entitlement

LAs and the 14-19 Partnerships need to be working together with you to determine how the 2013 Diploma Entitlement will be achieved across the area, ensuring that the planning done by you so far fits into an area strategy. The 2013 Diploma entitlement is explained in **Delivering the 2013 Diploma Entitlement: guidance to local authorities and providers** published by DCSF in July 2009 www.dcsf.gov.uk/14-19/index.cfm?go=site.home&sid=42&pid=534&ctype=None&ptype=Contents . It contains further information on the strategic role of the 14-19 Partnership and LA; the role of providers, and tools and guidance for planning for, and securing access to, the Diploma Entitlement.

2.2 Local Authority Submission

As part of Gateway 4, we are asking each LA to submit a strategic Diploma plan, showing how access to all the Diploma lines will be made available in all parts of their area. For more information see **Diploma Gateway 4 Guidance on Strategic Local Planning for the Diploma Entitlement** by following this link: www.dcsf.gov.uk/14-19/index.cfm?go=site.home&sid=57&pid=498&lid=668&ctype=None&ptype=Contents).

For those involved in previous Gateway rounds and familiar with previous application forms, the LA submission will take the place of Part C of the previous Gateway application form. We have asked LAs to show how the lines and places available will be introduced and expanded over the years up to 2013, and will be looking at your application alongside the LA's plan.

2.3 Diploma Lines of Learning

You can apply through Gateway 4 for any of the 17 Diplomas:

Available since September 2008 Available from September 2009

Phase 1: Available from 2008	Phase 2: Available from 2009
Creative and Media Construction and the Built Environment Engineering Information Technology Society, Health and Development	Business, Administration and Finance Environmental and Land-based studies Hair and Beauty studies Hospitality Manufacturing and Product Design

Phase 3: Available from 2010	Phase 4: Available from 2011
Retail Business Public Services Sport and Active Leisure Travel and Tourism	Languages and International Communication Humanities and Social Sciences Science levels 1 and 2 Available from 2012: Science level 3

This is the first opportunity you have had to apply to deliver the Phase 4 lines which will be first taught from September 2011. The Advanced Science diploma will not be available until September 2012 but you should reference all three levels in your application. As for all other Diploma lines, collaboration is key and institutions will need to work together to broaden the range of learning opportunities and ensure the curriculum offer is as wide as possible. Applied learning and strong employer engagement remain key to the successful delivery of these innovative new diploma lines. We recommend that you use the new Core Advice provided as part of this guidance to help you prepare your application. Core advice is available on all 17 Diploma lines is available on the 14-19 website www.dcsf.gov.uk/14-19.

You will need to discuss with your LA how you will contribute to meeting the entitlement for all young people in your area, and how you will move from your current position to achieving the coverage required, either as a single consortium or jointly with others. See some example scenarios below. Your LA will be asked to endorse your overall approach and application for specific lines.

Example 1: Single consortium

Current position:

- five lines, mix of levels already approved for 2010 delivery

Future plans:

- further five lines, mix of levels, for 2011 delivery
- further five lines, mix of levels, for 2012 delivery
- further two lines, to take to total of all 17 lines, all levels, for 2013 delivery.

Example 2: Mixture of single consortium delivery and joint with other consortia

Current position:

- three lines, mix of levels already approved for 2010 delivery

Future plans:

- further three lines, mix of levels, for 2011 delivery by single consortium; plus three lines joint with neighbouring consortium leading
- further two lines, mix of levels, for 2012 delivery by single consortium; plus three lines joint with neighbouring consortium leading
- further two lines, all levels, for 2013 delivery; plus one line joint with neighbouring consortium leading – to take to total of all 17 lines.

We will be looking for a summary of your plans to be included in your Consortium Vision Statement. This should include estimates of learner places, and details as in the examples above, of how you will contribute to the delivery of all 17 lines at all levels in your area by September 2013.

There are some practical issues which you need to consider in planning Diploma delivery, and we are asking you to tell us about these in your Gateway 4 applications.

2.4 Data Sharing

To deliver the Diploma Entitlement successfully, you need to ensure from the outset that you have in place high quality and robust data sharing and learner tracking processes, and that all delivery partners understand and adhere to them. These processes need to have the capacity to scale up to accommodate increased learner numbers at all levels and across all 17 lines of learning. The Gateway 4 application asks about your plans for data sharing and administration.

All the institutions within your consortium need to ensure there are robust processes for:

- application and acceptance, to ensure accurate learner information flows into your consortium
- obtaining an accurate Unique Learner Number (ULN) for each Diploma learner
- ensuring each Diploma learner has a valid programme of study incorporating all components of the Diploma at the appropriate level
- communicating and tracking attendance and absence within your consortium
- information management related processes for learner information and events, including: behaviour and incident management, learner performance, results reporting, exam administration and learner data maintenance.

2.5 Employer Engagement

A significant number of employers are already supporting Diploma delivery, with more than 6,000 in 2009/10 and 300,000 employers providing 500,000 work experience placements annually. We recognise that employer engagement is now more challenging, given the current economic climate, but investing in the future workforce is part of the solution. To help mitigate this challenge, and meet the requirements of the Diploma Entitlement, it is critical that you: have a coherent plan for engaging employers; offer a menu of options for engagement and identify clear roles for employers; and make good use of the opportunities offered by the public sector.

Strategies for employer engagement should recognise that relationships with employers will already exist through work experience and work-related learning programmes at Key Stage 4. Those relationships require constant attention, nurturing and refreshing. A wide range of local, national and specialist Education Business Partnership Organisations (EBPOs) exist to help schools and employers come together either directly and/or through use of technology.

In some cases schools and colleges act as EBPOs in their own right, for example through business development units. The Institute for Education Business Excellence exists to support and promote quality within EBPOs, including the Award for Education Business Excellence. We strongly recommend that your consortium makes good use of quality EBPOs to support your applications and help subsequent delivery.

2.6 Information, Advice and Guidance

You need to have reviewed your IAG provision against the twelve Quality Standards and have a detailed IAG strategy and implementation plan. You will need to demonstrate active partnership arrangements. All IAG providers (ie learning providers and external support providers) will need to understand their own and each others' roles and responsibilities and have plans in place for engaging leaders and managers to ensure your consortium's IAG strategy receives their active support. IAG workforce development plans will be developed as a partnership between the external IAG provider, the LA and the consortium.

IAG will challenge stereotypes and parental/peer pressure, especially around race and gender. For example, you could be arranging taster sessions, role models and work placements and providing additional help to learners with special educational needs.

You will be helping parents/carers to support their children and raise their aspirations and the impact of these activities will be monitored. Young people and their parents/carers will know how they can access professionally qualified advisers.

You will ensure that the curriculum offer on your local 14-19 Prospectus is up-to-date and accurate (especially on Diploma provision) and ensure that the 14-19 Prospectus is promoted to young people and their parents/carers. Plans for the delivery of a Common Application Process (linked to their local 14-19 Prospectus) by 2011 should be included in your consortium's overall IAG strategy and implementation plan.

2.7 Functional Skills

As part of your plans for curriculum planning, you should provide details of how functional skills (FS) will be delivered. FS will become part of the KS4 curriculum from 2010, following their inclusion in the KS3 curriculum in 2008, so schools and colleges will need to teach these to all young people. From 2010 all learners aged 16-19 will be able to access support to achieve FS up to level 2, and from 2013 local authorities will have a duty to secure 16-19 year olds' access to this. You will need to consider the best approach for delivering FS to your Diploma learners. Partnerships and consortia should now be moving towards an **integrated** and cross-consortium teaching model for FS, fully contextualising FS in the teaching of principal learning, and have plans in place to achieve this as part of planning for effective delivery of the Diploma Entitlement. Centres which have been most successful in delivering FS are those that have: Senior Management involvement; a Lead person for FS; whole school/whole consortium approaches; and subject leads working closely with principal learning leads to identify opportunities for applying subject knowledge in practical situations.

More information and support on preparing for functional skills delivery is available from www.fssupport.org.

2.8 Foundation Learning

Foundation Learning (FL) comprises personalised learning pathways (incorporating vocational/subject learning, personal and social development and functional skills) at Entry level and Level 1, with a 'wrap-around' of engagement, assessment, IAG and support. Planned provision should reflect individual starting points and intended learning destinations (e.g. Diplomas) or, where appropriate, supported employment or independent living. All LAs will deliver some FL for 14-19 year olds in 2010, then focus on increasing capacity, quality and access by bringing in all schools and other providers, to align with Diploma and Apprenticeships entitlements and Raising the Participation Age (RPA) milestones in 2013.

In many cases, learners on FL programmes would benefit from the richness and variety of a programme that is delivered through multiple partners in a range of settings. As you are currently working collaboratively on 14-19 Diplomas, you are in a position to advise and support LAs in the collaborative delivery of FL. You also play a crucial role in supporting links between providers so that learners can progress smoothly from FL onto 14-19 Diplomas where appropriate.

You should speak to your lead LA, 14-19 partnerships and learning providers about FL development and delivery for 2009/2010 and 2010/2011 before submitting the application. You should consider with your LA and highlight in your application, for example: the role your consortium can play in the development and delivery of FL locally; what similar entry level provision you are currently involved in delivering collaboratively, your scope to support delivery of FL to all suitable learners, including those who are not in mainstream provision; planning required to support smooth progression from FL on to 14-19 Diplomas.

For further support and guidance please see
<http://www.excellencegateway.org.uk/page.aspx?o=FLT>

3. Applications for diploma lines

3.1 Application Process

Your consortium needs to apply to Gateway 4 for new lines you wish to deliver from 2011. In Gateway 4, the application process is simpler than it was in Gateways 1-3. This year, there is no requirement for you to provide more information on collaborative arrangements (previously Part A). In practice, there have been considerable improvements nationally since the first Gateway. However, you will need to discuss your application with your LA 14-19 contact to obtain their endorsement before you submit it. We expect local authorities and Consortium Advisers to work with you to make best use of their support and provide you with good practice examples where helpful.

Your consortium application will therefore comprise:

- Management Information
 - consortium lead contact details
 - other consortium contacts
 - institutions (schools, colleges, HEIs) that are members and their level of engagement
 - employers engaged
 - other consortium members (eg. education business partnerships)
 - diploma lines for which the consortium is applying
- An application form with:
 - Details of your consortium, including changes to your configuration – eg. mergers or additional institutions joining your consortium
 - Vision Statement – including plans for contributing to the delivery of the Diploma Entitlement
 - An application narrative for each Diploma line [This is a revised Part B, now referred to as Diploma Line-Specific Evidence]. See the 14-19 website for a blank form www.dcsf.gov.uk/14-19. This asks for information on Diploma Components, Facilities and Employer Engagement.

You must complete the Diploma Line-Specific Evidence questions 1.1 to 3.3 for **each** new line you are applying to deliver. Templates on the delivery model and success rates are available on the DCSF website www.dcsf.gov.uk/14-19.

The Management Information should be entered onto the online system by **26 October 2009** to allow us time to plan and set up assessment arrangements. The application form should be completed by your consortium covering each new Diploma line and submitted through the Diploma Gateway Management Information (MI) site **by 1700hrs on 25 November 2009** <http://gateway.camb-ed.com/apply>.

It will not be possible to accept late applications.

3.2 Assessing Applications

Immediately following the application deadline, applications will be collated and checked by Cambridge Education (CE) and distributed to CE's Regional Co-ordinators, who will assess each application against the published assessment criteria (see Annex). These will be quality assured by Diploma Development Partnerships (DDPs) and CE's National Director.

Regional Panels (Chaired by the Government Office (GO) and attended by representatives from the GO, DDPs and HE, the DCSF Regional Adviser, a DCSF 14-19 representative and the CE Regional Co-ordinator) will take place in each GO region, over a two-day period in Feb 2010. The Panels will consider the applications, decide on the approval category (1, 2 or 3), determine any conditions and agree feedback.

Gateway 4 applications will be awarded one of the following categories:

- **Category 1** – recommended to go through for 2011 delivery with no conditions
- **Category 2** – recommended to go through for delivery from September 2011 with conditions that will need to be met within three months
- **Category 3** – unlikely to be ready for 2011 start, but will be reviewed in October/November 2010. If conditions are met and sufficient progress has been made on implementation, the Diploma line will be recommended for a 2011 start. If not ready, it will be reviewed again in May/June 2011, for a 2012 start.

3.3 National Moderation

A national moderation meeting will take place before the announcement of Diploma Gateway outcomes. It will be chaired by a senior DCSF official and is attended by DCSF Gateway Team members, DDP representatives, and CE's National Director. The purpose of national moderation is to consider the regional spread of approvals and the consistency of grading across the regions, and to support and challenge the assessment process. Some adjustments of Regional Panel outcomes may be made at this stage.

You will be informed of the final outcomes of the Gateway process in late March/early April 2010.

3.4 June-July/October-November Reviews

If you receive a Category 2 or 3 outcome you will have conditions set by the Regional Panel and recorded in the 'Decision Panel Remarks' section of the application form. You will be required to meet the conditions within a specified timeframe: three months for Category 2 or six months for Category 3.

To demonstrate that the conditions have been met, you will need to provide evidence to your LA 14-19 representative, who will then meet with the CE Regional Co-ordinator. The LA and the Regional Co-ordinator together will assess whether your consortium has met the conditions. You will be informed of the outcomes following national moderation. If you have not met your conditions, they will be reassessed again at the next review.

As in Gateway 3, there will be an opportunity in the 2010 autumn review for Category 3 applications to advance their start date to 2011 by successfully meeting their conditions and demonstrating sufficient progress in implementing their delivery plan. This should provide your consortium with added impetus to channel your efforts into a successful review, rather than a retrospective appeal. It also acknowledges the significant progress which consortia can make between the application deadline and the review. For this reason there will not be an appeal/request for review process for Gateway 4.

3.5 Gateway 4 Timetable

The Gateway 4 timetable is:

8 September 2009	Guidance published and online MI system available
26 October 2009	Deadline for consortia to provide MI
25 November 2009	Deadline for Diploma Applications from consortia Deadline for LA MI and submissions
November 2009- January 2010	Assessments
February 2010	Regional Panels
March 2010	National Moderation
Late March/April 2010	Announcement
April/May 2010	Feedback to consortia
June/July 2010	Review of Category 2 conditions
Oct/Nov 2010	Review of Category 3 conditions

4. Consortium arrangements

4.1 Expansion or Changes to Consortia

If your consortium had lines approved in previous Gateways, you need to tell us about any significant changes to the membership of your consortium. You need to explain the new arrangements in the Consortium Statement at the beginning of the application form and update the institution lists in the Management Information. Examples of significant changes would include where a consortium is expanding to bring in new institutions to deliver principal learning in lines that they have already been approved to deliver, or where a key institution delivering principal learning has left the consortium. You should tell us about these changes regardless of whether or not you are applying for new Diploma lines. These changes will be approved during the assessment process providing there are no issues, ie. schools in special measures.

4.2 Consortia Mergers

We would strongly recommend that you consider merging to form a single consortium to apply for Gateway 4, where this would increase the number of Diploma lines and places available to young people. For example, where two or more consortia:

- have already been approved and plan to deliver a limited number of Diploma lines, in similar or neighbouring areas and would benefit from increased collaboration arrangements (eg. management, training, curriculum development, delivery and access for learners)
- are single line consortia, or are offering a limited number of lines, but are operating in the same locality, with broadly the same institutions as another consortium.

If you are considering merging with another consortium you should discuss your plans with your LA 14-19 contact to ensure that they fit with the LA's 14-19 Diploma plan and gain local approval before submitting your application. You must explain the new arrangements in your Consortium Vision Statement and provide a revised list of institutions in your MI. Where mergers are approved through the Gateway, Diploma lines already approved for individual consortia can be delivered across the whole of the new consortium without additional applications. If you have any doubt about prior approvals, please contact Ask.Gateway@dcsf.gsi.gov.uk.

Wherever your consortium is merging with another, you must contact Cambridge Education at diploma.gateway@camb-ed.com to discuss the implications for your Management Information. Please do not create a new MI account in these circumstances.

4.3 Cross-boundary Working and Joint Applications

We are keen to encourage cross-boundary working as a way of providing more effective access to Diplomas for young people.

If your consortium is working with another consortium/consortia in the same LA or with a neighbouring LA for delivery of particular lines, but you wish to retain distinct and separate consortium identities, you should decide between yourselves which consortium will be in the lead for the purpose of application to the Gateway. If you are the lead consortium, you should make the application on behalf of the other consortia involved, providing information on the joint arrangements in your Consortium Vision Statement, and completing a full application for the Diploma line.

If your consortium is not leading, you need to cross-refer to the lead application in your Consortium Vision Statement but do not complete an application for that Diploma line. However, you (ie. **each** individual consortium) must provide separate MI for the joint lines (ie. recording information on your own delivery and feeder institutions, places being offered, and employer details).

The application from the lead consortium will be assessed and the resulting category (1, 2 or 3) applied to both the lead and partner consortia.

4.4 Involving Independent Schools

The Government is actively encouraging independent schools to deliver Diplomas. 14-19 partnerships and consortia are invited to approach and involve independent schools in their Diploma delivery arrangements and in their applications to deliver Diplomas from September 2010 onwards. Independent Schools expressing an interest in delivering the Diploma may be introduced to local consortia to discuss the possibility of working together. Independent schools could have “observer” or “associate” status in 14-19 consortia if they are not ready to deliver Diplomas themselves. “Associate” status would imply working with a consortium towards delivering and implementing the Diploma; “observer” status would imply just finding out more about the practicalities of Diploma delivery.

There is no special Government funding for independent schools to deliver Diplomas – independent schools and 14-19 consortia will negotiate local funding arrangements. This includes independent schools making payments to schools and colleges if independent school pupils take part in Diploma learning in maintained schools or colleges; and independent schools charging maintained schools or the consortium or local authority for use of independent school premises or staff.

4.5 Schools in Special Measures

Where a school is in Special Measures at the time of application to the Gateway, it cannot be approved to deliver Principal Learning (PL). The delivery of PL requires much planning and preparation and this could jeopardise the school's capacity to address the weaknesses highlighted by Ofsted. This does not preclude a school in Special Measures from being a member of a consortium and acting as a feeder school (ie. releasing students to have PL delivered through another institution in the consortium), or delivering additional learning which is already part of their curriculum offer. However, if a school is already involved in the delivery of PL and is subsequently placed in special measures, the school should continue providing it unless another part of the consortium can provide it. This will be checked during the Regional Panel and noted in the conditions recorded in the Panel Decision Remarks.

4.6 Schools/Colleges with Notice to Improve

Where a school/college has a Notice to Improve which is due to be reviewed within this academic year (09/10), provided it satisfies the Ofsted requirements on improvement, it can be approved to deliver PL as set out in the application and approved as part of the Category 1, 2, or 3 given overall to the line of learning.

Where the Notice to Improve is due to be reviewed within the 2010/11 academic year, the DCSF Gateway Team will review circumstances on a case-by-case basis. The GO will be asked to provide information on schools with a Notice to Improve, when commenting on consortia applications. The Regional Panel will note any conditions in the Panel Decision Remarks.

Regardless of the date for review, a Notice to Improve is not a barrier to a school delivering additional learning or acting as a feeder school.

Colleges with a Learning and Skills Council (LSC) Financial Notice to improve will be considered on a case-by-case basis.

4.7 National Challenge Schools

National Challenge Schools are encouraged to be involved with consortia so that their learners can access Diploma provision. They may find that delivering Diplomas leads to better outcomes for their learners.

5. Support for consortia

Support will be provided to ensure that consortia are fully equipped to deliver. This support will include:

- opportunities for training and development to meet the specific needs of individual practitioners
- access to a range of on-line tools and resources that provide support on a range of different topics
- opportunities for networking and developing projects that lead to collaboration and peer to peer support

To facilitate the process of planning workforce development, you will have access to dedicated Consortium Advisers. These Consortium Advisers, who will act as the primary link between your consortium and support partners, can help you assess the skills of their workforce and plan the support you need.

We will inform you of the full details of support for 2010/11, including the Consortia Support Grant, when we announce the results of Gateway 4 in late March/early April 2010. Details of the support currently available can be found at www.diploma-support.org

6. Awarding body approval and diploma delivery

If your consortium receives Category 1 or Category 2 results, you will be able to seek Awarding Body approval to deliver the approved Diploma lines. This is a separate and independent process, but we have worked with Awarding Bodies in developing the Gateway process and the various support packages so that providers should be well placed to secure approval to deliver the Diplomas.

Awarding Bodies are continuing to work with DDPs and QCDA to develop Diploma qualifications. The first 14 lines have been accredited by Ofqual and work is progressing well on the development of Phase 4 qualifications for delivery in 2011 (or 2012 for Advanced level Science).

Awarding Bodies will expect those offering Diplomas to be able to demonstrate that they have:

- the necessary provision of workforce and professional development to deliver the Diploma in the context of developing work related skills;
- access to the appropriate resources, equipment and accommodation to deliver their chosen lines of learning; and
- robust mechanisms to assure the quality of delivery and assessment.

Further information is available from the QCDA website:
<http://www.qca.org.uk/aboutQCA.aspx>

Sharing achievements and success stories is an excellent way of increasing the interest of other schools/colleges and parents/carers and learners in Diplomas. You may wish to publish you consortium's Diploma achievements and other results from collaborative working locally to give young people, parents and carers a richer picture of the local offer. If you have good practice to share with other consortia follow the link
<http://www.dcsf.gov.uk/14-19/index.cfm?go=site.CaseStudiesConsortia&sid=53&pid=422&ctype=TEXT&ptype=Single>

Annex – Assessment Matrix

This matrix follows the format of the application form, taking each section and providing short descriptions of the ratings against which applications will be assessed. The matrix is used by assessors and regional panels to decide what ratings are appropriate and to make decisions on the overall category given to applications. You should also refer to the Diploma-specific guidance – “**Core Advice for Consortia**” – produced by the relevant DDP to inform your application. It is available on the DCSF 14-19 website as part of the Gateway 4 guidance for consortia.

1. Diploma Components

1.1 Understanding the specific needs and breadth of the Diploma line and how the delivery model will address this including the allocation of programme delivery roles to the various partner institutions within an integrated Programme

In answer to this question, you need to:

- Show which institutions are responsible for the delivery of the elements of the programme.
- Describe how the elements will be integrated in the learners’ experience including how you will integrate and contextualise functional skills in Diploma principal learning. Make particular mention of any unifying elements of the programme, such as the use of work-related projects. Relevant links between departments within individual institutions should also be made.
- Show how you will support delivery of the new Diploma and how your current approach will need to change or develop to take account of new or different features of the Diploma, including in respect of principal, generic and additional/specialist learning.
- Identify gaps in current provision and describe how you plan to fill them.
- Make clear how you will ensure that the Diploma is administered efficiently and effectively right across the consortium, with appropriate curriculum planning to ensure programmes of high quality study are agreed up front for every learner.
- Demonstrate how assessment will be quality assured and, where you are offering more than one Diploma line, how assessment will be consistent across the piece. Include details of how you will ensure secure learner information exchange across your delivery network.

- Make clear the Consortium’s plans for making this Diploma available to young people from all institutions in the area of the consortium, including how all young people will access provision which may only be available through a limited number of institutions in an area.
- Describe any features of your proposal which you think are particularly strong or innovative in terms of content or approaches to teaching and learning.

The use of diagrams may be helpful to show partner roles.

NB An optional delivery model template is accessible at www.dcsf.gov.uk/14-19

Green	Green/Amber	Amber/Red	Red
<p>There is a clear understanding of the objectives and content of the principal, generic and additional/specialist elements of the line applied for, through planned models of delivery</p> <p>There are clear and agreed QA strategies for ensuring consistent assessment across all diploma lines and information exchange across the delivery network</p> <p>Responsibility for the delivery of the principal, generic and additional/specialist learning is clearly allocated and clear arrangements for integrating these in the learners’ experience</p>	<p>The consortium shows some understanding of the objectives and content of the Diploma line, and there is good evidence to suggest that any gaps will be addressed by July 2010</p> <p>There is understanding of the need to have clear and agreed strategies for ensuring consistent assessment across all diploma lines and information exchange across the delivery network. There is good evidence to suggest that strategies will be in place by July 2010</p> <p>There are some gaps in the allocation of responsibility for elements of the learning programme and/or in the integration of elements of the programme</p>	<p>There are some significant concerns about the consortium’s understanding of the Diploma line and evidence does not suggest that these will all be addressed by July 2010</p> <p>There are concerns about the consortium’s understanding of the need to have clear and agreed strategies for ensuring consistent assessment across all diploma lines and information exchange across the delivery network. Evidence does not suggest that strategies will be in place by July 2010</p> <p>There are significant weak spots in the allocation of responsibility for elements of the learning programme and/or in the integration of elements of the programme</p>	<p>The consortium shows little understanding of the objectives and content of the Diploma line</p> <p>The consortium shows little understanding of the strategies needed for ensuring consistent assessment across all diploma lines and information exchange across the delivery network</p> <p>Responsibilities for the elements of the learning programme and arrangements for its integration are not clear</p>

1.2 Record of previous delivery in the subject areas of the Diploma line and how this will support Diploma delivery

This question seeks information relating to specific Diploma delivery. Detail on outcomes is most persuasive here. You should:

- Show learner success and progression rates in provision which is in, or close to, the specialist area of the Diploma line.
- Mention any evidence which shows that the provision has catered for all levels of prior attainment and need.
- Mention evidence of particular strength of institutions involved (e.g. CoVE or specialist status).

NB An optional template is accessible at www.dcsf.gov.uk/14-19

Green	Green/Amber	Amber/Red	Red
<p>Institutions identified to teach Diploma lines have a good record of high quality delivery</p> <p>New providers have convincing arrangements for developing and assuring quality</p>	<p>Institutions identified to teach Diploma lines have a record of satisfactory delivery, and there are clear plans for improving performance for 2011 delivery</p> <p>There are some concerns about the arrangements made by new providers for quality development and assurance but clear plans exist for improving performance for 2011 delivery</p>	<p>There are some concerns about the quality of delivery in existing provision and it is not clear that plans for improvement will be sufficient for 2011 delivery</p> <p>There are significant concerns about the arrangements made by new providers for quality development and assurance and about their capacity to improve in time for 2011 delivery</p>	<p>There are unsatisfactory quality indicators in existing provision</p> <p>The arrangements proposed by new providers for quality development and assurance are unsatisfactory</p>

1.3 Appropriate arrangements for the provision of high quality IAG, and for the numbers of learners projected for the Diploma line and their progression into relevant routes, including Apprenticeships, employment or HE

You need to show that there has been a detailed analysis of learner needs against the resources available and that access and progression arrangements enable the programme to be delivered efficiently.

NB: more detail on access to specialist facilities should be set out in the Facilities section

You should:

- Describe how you will provide information, advice and guidance to young people, parents and carers on the career routes and opportunities available; and how you intend to keep abreast of developments within the relevant employment sector(s).
- Demonstrate active partnership working on IAG across members of the consortium.
- Set out plans for engaging leaders and managers across the consortium in taking forward your local IAG strategy, and for ensuring that non [IAG] specialist staff are aware of the opportunities the Diploma provides.
- Show how IAG locally is learner-led but also involves parents/carers, employers and HE institutions in the design, delivery and evaluation of IAG.
- Describe how the Consortium intends to challenge stereotyping and ensure young people make choices on their aptitude and interests rather than on their gender.
- Describe your plans for ensuring a smooth transition from Foundation Learning on to the Diploma.
- Describe any arrangements for ensuring appropriate learner progression routes linked to the specific Diploma line, including examples of how you are working with employers, HE Institutions and Lifelong Learning Networks.

Green	Green/Amber	Amber/Red	Red
<p>There are clear plans to provide good sector-specific IAG and the consortium can demonstrate that:</p> <ul style="list-style-type: none"> - School/college leaders and managers across the consortium are committed to taking forward the local IAG strategy ensuring all staff, including non-IAG specialist staff are aware of the opportunities provided by the Diploma - IAG is clearly learner-led, with young people, parents/carers, employers and HE institutions engaged in the design, delivery and evaluation of the service <p>Clear plans for ensuring a smooth transition from Foundation Learning are agreed</p> <p>There is a clear analysis showing the numbers and needs of learners matched by the arrangements for delivering the learning programme and supporting progression linked to the Diploma line</p>	<p>There is understanding of the need to provide good sector-specific IAG, and a clear action plan provides good evidence to suggest that identified weaknesses will be addressed by July 2010</p> <p>Plans for ensuring a smooth transition from Foundation Learning are yet to be agreed but there are clear arrangements with detailed milestones to do so by July 2010</p> <p>Analysis has been undertaken which shows some gaps in the capacity of arrangements to handle the needs of planned numbers of learners, but there are clear plans to remedy these by July 2010</p>	<p>There are some concerns about the consortium's understanding of strategies needed to provide good sector-specific IAG, and evidence is not sufficiently clear to suggest that strategies will be in place by July 2010</p> <p>Plans for ensuring a smooth transition from Foundation Learning have not yet been agreed and it is not clear that this can be achieved by July 2010</p> <p>Evidence raises significant concerns about the capacity of arrangements to handle planned numbers of learners and their progression and about the possibility of addressing these by July 2010</p>	<p>The consortium shows little understanding of the strategies needed to provide good sector-specific IAG</p> <p>There is no clear plan for ensuring a smooth transition from Foundation Learning</p> <p>There is little or no analysis to show that learner numbers and needs can be met by proposed arrangements for delivering learning and developing appropriate progression routes</p>

1.4 Ensuring that staff have the specific knowledge and training required to deliver this specific diploma line

You need to show how the outcome of your audit of staff skills has been taken into account specifically in the planning for this Diploma line.

You need to provide information on:

- What staff skills and qualifications will be needed to deliver the full range of the Diploma line and in what numbers. Your estimates need to take account of the effect of progression on demand for learning resources and support. You also need to take account of the need for Diploma teachers to be able to contextualise functional skills learning in Diploma principal learning.
- Proposals to address gaps in the skills and qualifications of the workforce through new appointments (from a range of relevant backgrounds, including industry and/or other sectors). These proposals should be shown within a timeline that allows sufficient time for preparation for Diploma delivery.
- The involvement of other skilled practitioners, such as technicians, employer representatives and HEI lecturers, and other relevant staff (eg. examinations officers).
- How you will respond to the demand for learner places if it exceeds the number expected and your arrangements for succession planning.
- Details of how staff will be kept up-to-date with developments for example through work placement programmes and mentoring, along with plans to support on-going development of professional skills.
- Any consortium-wide planning aimed at re-shaping previous approaches to teaching and learning (such as cross-institution/cross-sector working or the use of managed learning environments and blended learning), particularly where such flexibility overcomes difficulties of access across the consortium.
- Make reference to these issues in respect of the particular Diploma line.

Green	Green/Amber	Amber/Red	Red
<p>There is evidence of thorough analysis of the workforce development needs specific to the Diploma line</p> <p>Clear and effective strategies are identified in responding to learner demand, to fill gaps and to maintain the currency of the workforce in the relevant sector(s), and in succession planning</p> <p>All staff will have an annual programme of CPD related to the Diploma line, including relevant industry/sector experience</p>	<p>The consortium has carried out a broad analysis for the Diploma line, and has a clear timeline plan to undertake a more thorough one by July 2010</p> <p>Some clarification is needed on the arrangements for CPD related to the Diploma line</p>	<p>There is an unsatisfactory analysis of workforce skills and qualifications specific to the Diploma line. Significant work is needed to undertake a more thorough one by July 2010</p> <p>Significant clarification is needed on the arrangements for CPD related to the Diploma line</p>	<p>There is an insufficient or no analysis and no clear timeline for developing one</p>

2. Facilities

2.1 Ensuring access to high quality applied and practical teaching and learning, simulating conditions in the workplace where appropriate

You need to:

- Detail here the specialist facilities that are needed, in particular for applied learning, and show that they will be in place and available for Diploma teaching. If their availability is based upon a capital project, state whether this is essential for delivery, or desirable, and any contingency arrangements if the capital project is not ready on time.
- Describe how the investment will be funded (eg. BSF, local devolved funding etc), confirm LA/LSC support, and provide assurances that the facilities will be completed on time.
- Make particular mention of any developments which use employers' premises or which offer other opportunities for linking Diploma learning with the world of work.
- Comment on how you will ensure that facilities are up-graded appropriately over time.

Green	Green/Amber	Amber/Red	Red
Appropriate specialist facilities are in place, including those for applied learning, in a suitable learning environment	Some facilities are in place, and there are practical plans to address any gaps, including committed funding, with definite completion for September 2011	Some important facilities are not in place and it is not clear that plans to provide them will be sufficiently advanced to be sure of September 2011 delivery	A range of facilities are not in place and there are no convincing plans to provide them

2.2 Allocation of clear responsibility for managing specialist facilities and ensuring access for the whole consortium

You should:

- Describe any arrangements for facilities provision and management which you think to be innovative in the provision of applied learning, particularly where there is an opportunity to develop new assets.
- Where there are large numbers of learners projected it is important to demonstrate that specialist facilities can be made available to all learners across the consortium.
- Include information on transport arrangements for learners to access facilities on the different sites.
- Outline clear arrangements for access for learners with special needs in line with existing SEN and disability legislation.

Green	Green/Amber	Amber/Red	Red
Building on previous successful practice, there are arrangements in place for managing access to facilities and making them available to all learners, including disadvantaged learners	Not all practical arrangements are in place, but they have been agreed in principle and there are clear plans for implementation in time for September 2011 delivery	Many arrangements not yet in place and it is not clear that all appropriate arrangements will be by July 2010	Current arrangements are unsuitable and there are no plans to correct them, or plans are inadequate

3. Employer Engagement

3.1 Engagement with industry and other sectors

You should:

- Describe any special features of employment in the locality which connect to the content of the Diploma, preferably supported by sector skills needs analyses.
- Describe the consortium's previous experience of engagement with the industry and other sector(s) which are relevant to this Diploma line.
- Describe any arrangements for working with other consortia, the Local Authority or local brokers (Chamber of Commerce or Education Business Partnership Organisations) to co-ordinate links with employers.
- Mention any specific commitments for employer partnering which will enable staff to keep up-to-date with industry/other sector developments.

Green	Green/Amber	Amber/Red	Red
<p>There is a history of productive links between consortium institutions and the relevant industry/ other sector(s), including partnering with local employers linked to the relevant curriculum</p> <p>Arrangements for working with other consortia, LA or local brokers to co-ordinate links with employers are in place</p> <p>There are clear plans for involving employers in ensuring staff are kept up-to-date with industry developments</p>	<p>There is some evidence of reasonable links with the relevant industry/other sector(s) and some understanding of their significance locally</p> <p>Arrangements for working with other consortia, LA or local brokers to co-ordinate links with employers are planned with clear milestones to agree arrangements by July 2010</p> <p>Plans for involving employers in ensuring staff are kept up-to-date with industry developments are yet to be agreed, but there are clear arrangements with detailed milestones to do so by July 2010</p>	<p>There are one or two links with employers but these are relatively limited and there are significant weaknesses in the understanding of the industry sector</p> <p>Arrangements for working with other consortia, LA or local brokers to co-ordinate links with employers have not yet been agreed, and it is not clear that this can be achieved by July 2010</p> <p>Plans for involving employers in ensuring staff are kept up-to-date with industry developments have not yet been agreed, and it is not clear that this will be achieved by July 2010</p>	<p>There is no evidence of previous practical links with the industry sector(s) and no awareness shown of their significance in the locality</p> <p>There is little or no evidence of consideration of arrangements for working with other consortia, LA or local brokers to co-ordinate links with employers</p> <p>There is no evidence of plans for involving employers in ensuring staff are kept up-to-date with industry developments</p>

3.2 Employer involvement in planning, delivery and evaluation of the Diploma line

The Diploma programme is employer-led at national and local levels. It is therefore important that you:

- Show that employers and their representative organisations have had a substantial involvement in Diploma development and planning and that you have reliable commitments to continue the engagement in practical delivery, including provision of learning resources, visits and mentoring.
- Describe how the employers will support delivery of the content of the Diploma.
- Describe any features of your proposal which you think are particularly strong or innovative, for example in terms of how it reflects the range of employers in the industry/other sector and in the local community.

NB A full list of employers engaged in each Diploma line is required as part of the consortium’s management information (MI) submission. There is no need to repeat that list in the application form. You will, however, wish to illustrate your response to 3.2 by referring to some specific examples.

Green	Green/Amber	Amber/Red	Red
Building on previous successful practice, employers and/or their representative organisations are actively engaged in planning and evaluation of delivery	There is evidence of some previous successful practice, and clear plans to extend/improve this by July 2010	Significant development of current practice is needed, and it is not clear that this can be achieved by July 2010	There is a negligible history of engagement of employers and no obvious engagement in planning or design of programmes

3.3 Offering realistic learning environments and high quality applied learning

Showing how learning can be applied is as important as showing how it can be acquired.

You should:

- Describe the commitments which you have from local employers to offering opportunities for work-related learning linked to the Diploma curriculum.
- Describe your plans for ensuring that learning can be applied in work placements and in environments which simulate the conditions of the workplace.
- Describe teaching and learning strategies, such as the use of work-related projects, which will unify the learning gained in work placements and that gained at school or college.
- Explain how you will ensure that there is a feedback loop between classroom learning and practical application in work experience and how employers will be helped to make a contribution to this.

Green	Green/Amber	Amber/Red	Red
<p>Learning environments and placements are already in use and are sufficient in quantity and quality for realistic application of learning</p> <p>Plans are in place to involve employers in ensuring there are strong links between work experience and classroom learning</p>	<p>There is some evidence of suitable provision, and appropriate plans are in place to improve the quantity/quality of learning environments in place to deliver this for September 2011</p> <p>Plans are being developed to involve employers in ensuring there are strong links between work experience and classroom learning, but there is evidence that these will be in place by July 2010</p>	<p>Significant improvement in quantity/quality of learning environments is needed and it is not clear that this can be delivered for September 2011</p> <p>Plans to involve employers in ensuring there are strong links between work experience and classroom learning are not yet agreed and it is not clear that these can be in place by July 2010</p>	<p>None or few quality learning environments and placements are available and consortium plans for improvement are not convincing</p> <p>There is no evidence of plans to involve employers in ensuring there are strong links between work experience and classroom learning</p>



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