

**For:**

- › Exams office staff
- › Curriculum planners



**Qualifications  
and Curriculum  
Development  
Agency**

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**Autumn 2010  
The Diploma**

# **Administering the Diploma**

The essential guide for the  
exams office

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# Foreword

*Administering the Diploma – the essential guide for the exams office* is the core element of support and information for exams office staff in centres delivering the Diploma. It is a book that I always have to hand as the clear diagrams and explanations have helped me out with any queries and questions that I may have.

It will guide you through the Diploma cycle from start to finish – giving you step-by-step instructions on how to complete all the administrative tasks necessary for students to claim Diplomas. It also helps you to plan ahead on any task that you may be asked to do, such as dealing with provisional statements of results on results day.

Working as an area examinations manager for the Diploma, I have always found the key task checklist at the back of the guide very useful. I forward this to exams officers in my consortia so they're all aware of the tasks that they need to complete. It acts as a very good reminder at busy times of the year.

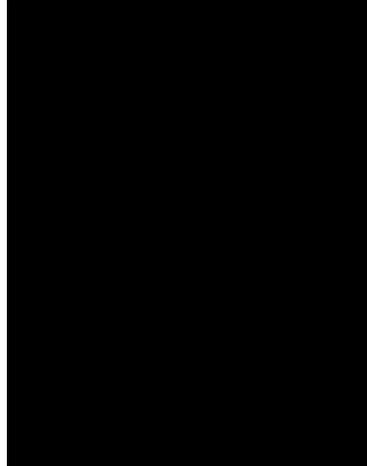
I would also urge you to use the principal learning awarding body overview on pages 31–36. When you're working with so many awarding bodies it can get difficult trying to keep up with the different registration deadlines. I have the information pinned to my notice board and refer to it on a regular basis to ensure that I follow the correct procedures in registering my Diploma candidates with the different awarding bodies.

By using this guide and the available tools, exams office staff and consortium colleagues can work together to ensure the best possible Diploma delivery in their consortium.

## **Naielah Sayed**

Diploma exams officer of the year 2010  
Eastlea Community School, London

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# Introduction

## About this guide

This guide is organised into two main sections:

- Getting ready for the Diploma
- Administering the Diploma.

The first section covers the tasks that need to be completed before Diploma administration starts in the autumn. This involves careful preparation and agreeing roles and responsibilities in advance. It summarises guidance on how to plan for the Diploma as a consortium of exams officers. Detailed guidance can be found in *Getting ready for the Diploma – the essential guide for the exams office*.

The second section covers everything that you need to do to administer the Diploma successfully from September onwards. This includes the awarding body processes you'll need to manage from first teaching to Diploma awarding. It uses the following layout features to help you pick out the main tasks, deadlines and resources:

### ➤ Key tasks in the Diploma cycle

These are outlined in detail along with awarding body and other important deadlines – look out for the ⌚ clock icon. The key tasks are also summarised as a handy checklist at the end of this guide.

### ➤ Diploma expert tips panels

These are useful tips from centres, QCDA and awarding bodies based on their experiences of the first two years of Diploma administration. This advice will help you ensure that no Diploma student misses out on a Diploma award because of administrative oversight.

### ➤ Resources panels

These point you to web pages, online tools, forms and publications that will give you detailed help and instructions for administering the Diploma.

This guide should be used along with other guidance and support materials available.

## Resources

- *Diploma aggregation service (DAS) Quick guide* – [www.qcda.gov.uk/qualifications/4454.aspx](http://www.qcda.gov.uk/qualifications/4454.aspx)
- *DAS User guide for centres summer 2010* – available in the resources section at [www.qcda.gov.uk/das](http://www.qcda.gov.uk/das)
- *Getting ready for the Diploma – the essential guide for the exams office* [www.qcda.gov.uk/diplomaresources](http://www.qcda.gov.uk/diplomaresources)

# Getting ready for the Diploma

## Planning leading up to first teaching in September

Here is a reminder of the tasks that should be completed before Diploma administration starts in the autumn. The tasks are divided into two stages – Preparation and Agreement.

### Preparation

Administering the Diploma successfully relies on working with others and sharing information. Your first step involves meeting a number of consortium colleagues. This will be an excellent opportunity to start building relationships and understanding everybody's roles. You may find it useful to complete the tasks below.

#### What you need to do

- Meet and exchange details with colleagues in other centres in your consortium.
- Establish a schedule of meetings for your consortium exams office group and organise regular attendance from a representative of consortium leadership.
- Establish communications channels with the leadership team, curriculum staff and students' advisers to use throughout Diploma administration.
- Find out:
  - » which Diploma qualifications will be offered to your centre's students
  - » which Diploma qualifications your centre will offer to students from other centres
  - » who will provide details of your centre's Diploma student cohort.

- Exchange information about your centre's qualifications offer with the rest of your consortium exams office group. This will allow you to build a complete picture of how your consortium is delivering the Diploma.

### Agreement

Next you'll need to agree responsibilities between your centre and other centres in your consortium. Every consortium needs to agree how centres will work together and give each other essential information at the right time.

#### What you need to do

- Identify which exams office will carry out which activity on behalf of Diploma students. The *QCDA Consortium centre planner* will help you do this.
- Work with consortium leaders to agree common policies across centres, such as information sharing, results and finance, using the *QCDA Consortium exam policy generator* tool.

**Note:** if you are joining an existing consortium, much of this may already be resolved and recorded in a consortium exams policy document.

#### Resources

- *Getting ready for the Diploma – the essential guide for the exams office*
  - *Consortium centre planner*
- The above resources are available from [www.qcda.gov.uk/diplomaresources](http://www.qcda.gov.uk/diplomaresources)
- *Consortium exam policy generator* – [www.qcda.gov.uk/cepg](http://www.qcda.gov.uk/cepg)

# Administering the Diploma

Once you have prepared for the Diploma and agreed roles and responsibilities, you then need to focus on administering the Diploma throughout the duration of the course. The rest of this guide covers how to do this. The activities are broken down into the following sections:

- 1. Developing a planned programme of study
- 2. Organising student information and getting started with DAS
- 3. Registrations and entries
- 4. Applying for access arrangements and modified papers
- 5. Monitoring progress
- 6. Dealing with results
- 7. Principal learning – awarding body overview
- 8. Key task checklist
- 9. Useful contacts

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# 1. Developing a planned programme of study

A planned programme of study (PPoS) is the basis for all the Diploma administration activities that you'll need to complete from September. It lists the qualifications that make up the Diploma for an individual or a group of learners. It includes principal learning, a project, functional skills and additional and specialist learning (ASL) qualifications, as well as some work experience and recording of personal, learning and thinking skills (PLTS).

Your centre's curriculum planner is responsible for putting together and updating Diploma programmes of study. They will also make careful checks that the possible combinations of qualifications followed by individual learners will aggregate successfully. There are several tools that curriculum planners can use to do this:

- ▶ Diploma catalogues – these contain all qualifications approved for inclusion within a Diploma, including principal learning, project, functional skills and additional and specialist learning (ASL) qualifications. The catalogues are available in the National Database of Accredited Qualifications (NDAQ) at [www.accreditedqualifications.org.uk](http://www.accreditedqualifications.org.uk). Please note that NDAQ is scheduled to be replaced by Ofqual's Register of Regulated Qualifications (the Register) in October 2010. The address of the Register will be <http://register.ofqual.gov.uk>. Further information is available on the NDAQ homepage.
- ▶ Planned programme of study functionality in DAS – this enables curriculum planners to create a programme of study for an individual or group of students that includes any prior achievement. This is to check that the combination of qualifications would aggregate successfully

as a valid Diploma award. The curriculum planners must be allocated the DAS role of 'planned programme of study maintainer' to use this functionality.

- ▶ *Diploma learner study plan* – a valid programme of study provided by the curriculum planner should form the basis of a *Diploma learner study plan*. This will mean the exams office can undertake all administration of the qualifications, confident that if the exams office plays its part and the student is successful, the student will earn a Diploma award.

**🕒 Key task: Check that your curriculum planner has drafted a planned programme of study (PPoS) for each Diploma student by 31 October in the first year of study.**

By 31 October

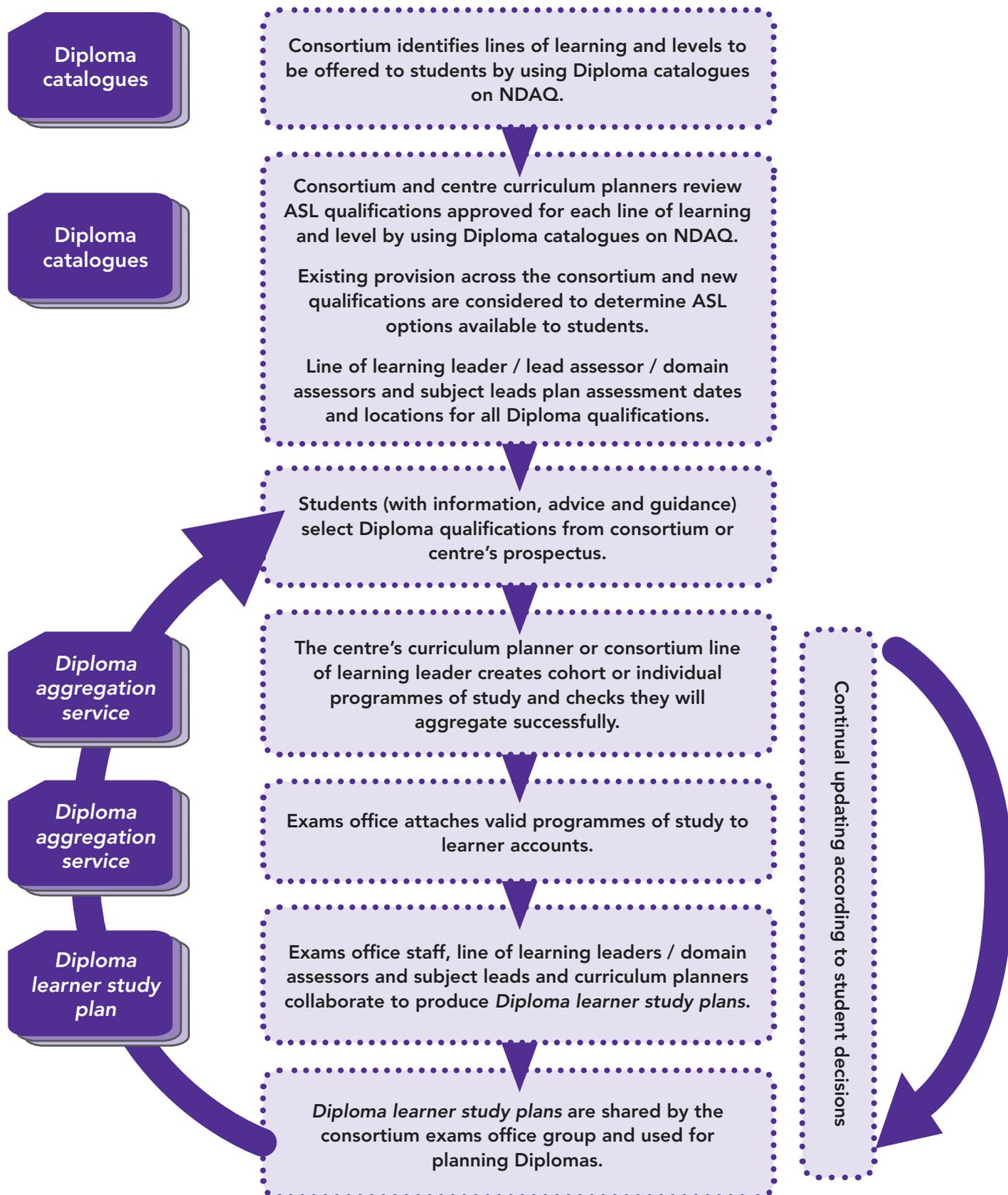
complete?

**🕒 Key task: Check that a planned programme of study (PPoS) has been created and validated in DAS for each Diploma student by 20 December in the first year of study.**

Your curriculum planner should use the functionality in DAS to create and validate a PPoS for a student or number of students. This is to check that the combination of qualifications in every student's Diploma will aggregate successfully for a Diploma award. Early checking means that students who need to change their programme of study can do so with minimal disruption.

When opening a learner account in DAS you'll be prompted to assign a PPoS for each learner, or to give a date when one will be available.

## Consortium roles in producing programmes of study



Please note that NDAQ is scheduled to be replaced by Ofqual's Register of Regulated Qualifications (the Register) on 25 October 2010. See the Ofqual website for details [www.ofqual.gov.uk](http://www.ofqual.gov.uk).

## 2. Organising student information and getting started with DAS

By 20 December complete?

Diploma students can be offered a wide range of qualifications from different component awarding bodies and could study these in a number of centres. The unique learner number (ULN) and the *Diploma aggregation service* (DAS) bring the results information together. As students' results become available, awarding bodies record the results in learner accounts. An automatic calculation performed by DAS then identifies whether a Diploma can be awarded.

Every student should have a *Diploma learner study plan* based on a planned programme of study (PPoS). The PPoS ensures that your students are in the best position to gain a Diploma, as long as they achieve the required marks for the qualifications they are studying.

DAS can be accessed at [www.diplomaaggregationservice.org/DAS](http://www.diplomaaggregationservice.org/DAS).

### Setting up centre staff roles in DAS

So that your centre can use DAS, your head of centre needs to complete the *DAS Head of centre agreement* and to nominate you as a local administrator. Make sure this has been done by the end of September in the first year of study.

**🕒 Key task:** To ensure that your centre has access to DAS, make sure your head of centre has returned the *DAS Head of centre agreement* and nominated up to two DAS local administrators.

By 30 September complete?

Once this has been done you should receive your login details from QCDA. Log on to DAS, accept the terms and conditions and change

your password. You'll then need to assign DAS roles to members of staff, including yourself. You'll also need to sign up to the *Learning Records Service*.

**🕒 Key task:** Ensure your centre has completed the *Learning Records Service organisation agreement* and nominated super users for the *Learner register* (formerly known as the *Learner registration service*) by 30 September in the first year of study. The *Learner register* can be accessed at [www.miap.gov.uk/products/lrs](http://www.miap.gov.uk/products/lrs).

By 30 September complete?

**🕒 Key task:** Allocate roles and access rights to users in your centre and consortium. See the example on the next page that shows who you might allocate different roles to.

By 31 October complete?

## An example of how DAS user roles could be allocated for centre staff

Role	Description	Centre staff
Local administrator 1	Manages user accounts, allocating DAS roles to other centre staff	<ul style="list-style-type: none"> <li>Exams manager</li> </ul>
Local administrator 2	Manages user accounts, allocating DAS roles to other centre staff	<ul style="list-style-type: none"> <li>MIS* programmer / analyst</li> </ul>
Learner data maintainer	Updates learner accounts and assigns a PPOS*	<ul style="list-style-type: none"> <li>Exams manager</li> <li>Deputy exams officer</li> <li>MIS programmer / analyst</li> </ul>
Learner data viewers	Can view learner accounts	<ul style="list-style-type: none"> <li>Principal learning tutors</li> <li>Domain assessors</li> <li>Lead assessor</li> <li>Personal tutor</li> <li>Curriculum leader for functional skills</li> <li>Exams manager</li> <li>Deputy exams officer</li> <li>MIS programmer / analyst</li> <li>Exams officers in assessment centres</li> </ul>
PLTS* and work experience recorder	Records achievement of PLTS and/or work experience in learner accounts	<ul style="list-style-type: none"> <li>Exams manager</li> <li>Deputy exams officer</li> <li>MIS programmer / analyst</li> </ul>
Learner Diploma awarding body relationship manager	Manages Diploma award claim activity	<ul style="list-style-type: none"> <li>Exams manager</li> <li>Deputy exams officer</li> <li>MIS programmer / analyst</li> </ul>
Management information (MI) user	Generates MI reports from the system	<ul style="list-style-type: none"> <li>Exams manager</li> <li>Deputy exams officer</li> <li>MIS programmer / analyst</li> </ul>
PPoS maintainer	Creates and checks validity of PPOS	<ul style="list-style-type: none"> <li>Curriculum planner</li> </ul>
PPoS approver	Approves PPOS	<ul style="list-style-type: none"> <li>Curriculum planner</li> </ul>

\* **Abbreviations:** **MIS** management information system      **PPoS** planned programme of study  
**PLTS** personal, learning and thinking skills

## Unique learner numbers (ULNs)

A ULN is required for every student in order to open a learner account in DAS and to make qualification registrations and assessment entries. Assessment centres should receive ULNs and student details from home centres and follow up any missing or incorrect details with the home centre. Check students had access to a *Privacy notice* before their personal details are shared between centres and awarding bodies with the ULN.

There are two ways centres can acquire ULNs for their students:

- Schools can get ULNs through the *ULN Service* on the School to School (S2S) website at [www.teachernet.gov.uk/s2s](http://www.teachernet.gov.uk/s2s).
- Colleges can get ULNs through the *Learner register* at [www.miap.gov.uk/products/lrs](http://www.miap.gov.uk/products/lrs).
- 🕒 **Key task: Acquire ULNs for all Diploma students by 21 October in the first year of study.**

By 21 October

complete?



## Diploma expert tips

- **Keep student details up-to-date.** The ULN is associated with information held about the student on the *Learner register*. Awarding bodies and DAS continually use this learner information to ensure registrations, entries and results are allocated to the correct student. Changes made to learner details in the *Learner register* automatically update learner details in DAS. It is vital that the home centre keeps this information up-to-date.
  - » Schools should upload management information system (MIS) data to the *ULN Service* once a term, ideally before any entries for exams and assessments are made. Changes made via the *ULN Service* automatically update the *Learner register*.
  - » Colleges should maintain student data directly using the *Learner register*.
- **Avoid creating a second ULN.** It is possible to create a second ULN for a student and this can lead to results missing from learner accounts. If you need to search the *Learner register* to see if an individual already has a ULN, make sure you check any possible matches carefully before requesting a new ULN. The student might already be on the *Learner register* with, for example, a different postcode or a different spelling of a name. If assessment centres learn of changes to learner details it's important to confirm with the home centre so that the home centre can make the changes to the MIS and the *Learner register*. This will prevent any confusion that may result in awarding bodies not accepting entries.

## Resources

- Privacy notice information and examples – [www.teachernet.gov.uk/management/ims/datamanagement/privacynotices/](http://www.teachernet.gov.uk/management/ims/datamanagement/privacynotices/)
- Learning Records Service organisation agreements – [www.miap.gov.uk/products/lrs](http://www.miap.gov.uk/products/lrs)
- Learner register login page – [www.miap.gov.uk/products/lrs](http://www.miap.gov.uk/products/lrs)
- ULN Service login page – [www.teachernet.gov.uk/s2s](http://www.teachernet.gov.uk/s2s)
- Learner register helpdesk – 0845 602 2589
- ULN Service user guide and FAQs – [www.qcda.gov.uk/qualifications/5572.aspx](http://www.qcda.gov.uk/qualifications/5572.aspx)

If you have any DAS login issues (local administrators), please contact the DAS helpdesk on 0300 100 0100.

## Diploma learner study plans

It is essential that each student has a *Diploma learner study plan* to ensure effective Diploma administration. The plans should be communicated to all relevant staff in your centre and across the consortium. A *Diploma learner study plan* template can be found in the Diploma assessment resource pack at [www.qcda.gov.uk/diplomaresources](http://www.qcda.gov.uk/diplomaresources).

You need to check that each *Diploma learner study plan* includes assessment dates and names the assessment centre for all qualifications, including:

- principal learning
- project
- functional skills
- additional and specialist learning (ASL).

 **Key task:** Check that a populated *Diploma learner study plan* has been created for each Diploma student by 20 December in the first year of study.

By 20 December complete?

## Creating an association with a Diploma awarding body in DAS

As the DAS local administrator you must create an association in DAS with every Diploma awarding body you expect to use to award Diplomas for your students. This means that Diploma awarding body systems can recognise requests from your centre. This must be done before a learner account can be opened.

As the local administrator you can create this association by entering an alias for every Diploma awarding body expected to award Diplomas for your centre's students. Your centre's alias is always your five-digit national centre number (NCN).

 **Key task:** Create an association (an 'alias') with each Diploma awarding body in DAS.

By 20 December complete?

## Opening learner accounts in DAS

You'll need to open learner accounts once you know which line of learning and level of Diploma each student is studying, and once you have a ULN for each student.

When opening a learner account you'll be prompted to select the Diploma awarding body that will award the Diploma at the end of the course. You will also be asked to enter the expected date that the Diploma will be awarded. You'll be able to select the Diploma awarding bodies for which an association has been created in DAS. If you're uncertain which Diploma awarding body has been chosen by your centre or consortium for awarding each line of learning, ask your curriculum planner or line of learning leaders.

Once a Diploma awarding body is selected, DAS will automatically set an intention to claim. This means that a Diploma award will be claimed from the Diploma awarding body as soon as the learner account contains the minimum requirements for a Diploma award. The intention to claim may be withdrawn in favour of making a manual claim.

Check with your curriculum planner or the person responsible for learner study plans that a planned programme of study (PPoS) has

been created and validated in DAS. DAS will prompt you to assign a PPoS to each learner account. If a PPoS has not been created then you'll need to enter the date that one will be available.

 **Key task: Open learner accounts and assign planned programmes of study with anticipated award date to them in DAS by 20 December in the first year of study.**

By 20 December

complete?

### Resources

- ▶ Creating an association with a Diploma awarding body – *DAS Quick guide*
- ▶ Opening a learner account – *DAS Quick guide*
- ▶ Information about claiming a Diploma award manually – see page 28 of this guide



## Diploma expert tips

- ▶ **Open learner accounts as early as possible.** You'll create extra administration if you delay opening learner accounts and students receive results without a learner account in place. Qualifications results achieved before a learner account is opened will need to be placed into the learner account using the prior achievement process. (See page 16.)
- ▶ **Think carefully about DAS access.** When allocating staff access to learner accounts, it is worth noting that these individuals will have access to Diploma results via DAS the day before results publication dates. This may require approval from your head of centre.



## Types of awarding body

- **Component awarding bodies** offer and award the individual qualifications that make up a Diploma. You interact with them in the same way that you would for other qualifications.
- **Diploma awarding bodies** award the Diploma as a whole. You will deal with them via DAS. It is common for the selected Diploma awarding body to have also been selected as a component awarding body to offer principal learning or other constituent qualifications.

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## Managing prior achievement

Some qualifications that students achieved after January 2005 but before their learner account was opened can count towards their Diploma. This is called prior achievement. This could include functional skills qualifications if your centre was involved in the pilot that ended in summer 2010.

A previously achieved qualification can only count if these three conditions are met:

- It is included in the online Diploma catalogue on NDAQ\* for the Diploma line of learning and level.
- The qualification was achieved at or above the level of the Diploma.
- Its inclusion within a student's Diploma does not produce a barred combination.

These requirements can be checked using the planned programme of study functionality in DAS. You'll need to make a prior achievement request to the component awarding body that awarded the qualification, using a *Prior achievement form* for each student. The component awarding body will check their awarding records for that student and then post the achievement into the learner account.

You should check the different processes for managing claims as some prior achievements can be recorded with the relevant component awarding bodies without being requested.

On receiving student details complete with a ULN, some component awarding bodies can search for other valid qualifications acquired since January 2005 and record them in the student's account. Some component awarding bodies will also carry out a search automatically once a learner account is opened and add any valid qualifications within five working days. All other prior achievement must be requested by the centre.

**Please note:** if a ULN has been used for making the entry for the prior achievement, then you might not need to make a prior achievement request. Check the learner account to see whether the prior achievement

has already been posted automatically, before making a prior achievement request. See the *Prior achievement form* in appendix 3. Some component awarding bodies will offer an alternative web-based form.

\* NDAQ is scheduled to be replaced by Ofqual's Register of Regulated Qualifications (the Register) on 25 October 2010. See the Ofqual website [www.ofqual.gov.uk](http://www.ofqual.gov.uk) for details.

 **Key task: Make prior achievement applications to component awarding bodies by 30 April in the first year of study so these awards appear in learner accounts.**

By 30 April

complete?

### Resources

- *Diploma learner study plan template* – [www.qcda.gov.uk/diplomaresources](http://www.qcda.gov.uk/diplomaresources)
- *Prior achievement form* – see appendix 3, [www.qcda.gov.uk/diplomaresources](http://www.qcda.gov.uk/diplomaresources) and component awarding body websites



## Diploma expert tips

- **Look out for one-year learners.** *Diploma learner study plans* indicate each student's planned Diploma awarding date. To prevent missing vital deadlines, check the whole plan to see that all assessment dates fall within a single year. If any of your Diploma students are expecting to claim their Diploma award after just one year, they will require results for all qualifications to be present in their learner account ahead of the rest of the cohort. Liaise with your consortium exams office group and teaching staff to ensure internal administrative deadlines are set and not missed.
- **Capturing prior achievement.** Your consortium should have a policy on capturing prior achievement from students and checking its validity as part of their Diploma. It's best to do this when students enrol on their Diploma programmes. Make sure you know who is responsible for doing this. Provision of prior achievement information might be a part of learner contracts (if your centre has these).

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# 3. Registrations and entries

**This section covers processes to follow in October and throughout the year.**

## Diploma learner study plans

Complete and up-to-date *Diploma learner study plans* will help your consortium exams office group ensure that registrations, entries, marks submissions and award entries (or cash-ins) are made by the right centre, at the right time. As soon as *Diploma learner study plans* are available, the consortium exams office should meet to schedule tasks ahead of time. These aspects require special attention:

- Check that plans for on-demand and internally marked assessments enable component awarding bodies to post results to learner accounts in time for Diploma awarding dates.
- Ensure work experience arrangements have been put in place and confirm who is responsible for informing the exams office when students have completed their work experience.
- Make a special note of any students on a one-year Diploma course, as all Diploma administration must be completed in one year for them.

Your consortium exam policy should tell you which centre is responsible for which exams entries. Although initial registrations for principal learning might be required of home centres, assessment centres are usually responsible for making entries and marks submissions for Diploma qualification units and liaising with component awarding bodies. However, check this as arrangements may be different in your consortium.

Check with domain assessors for each line of learning whether entries and assessment for the project for each line of learning will be managed through the student's home centre

or one centre for the whole consortium. If it's being managed through the home centre, then enter students with the relevant awarding body.

## October registrations and entries

Everyone should be aware of their responsibilities and deadlines for submitting entries. Put a tracking mechanism in place, so you know which entries have been made when and by whom and you can follow up missing entries immediately. It's vital to let other members of your consortium know if you have carried out an administration task on behalf of students from other centres.

### Principal learning

The principal learning qualification is specific to the line of learning for the Diploma. Registration and entries for this qualification are made directly through awarding body processes, not through DAS.

An overview of the key administration processes for the awarding bodies offering principal learning in 2010/11 is outlined in section seven. It covers student registration requirements, entry deadlines and fees. Your consortium exams policy should state the procedures to be followed for paying awarding body fees.

### Intention to offer

Your centre may have completed an *Intention to offer* form as it's required by some component awarding bodies to confirm a centre's intention to use that awarding body to offer their principal learning qualifications to their students. Please refer to the principal learning component awarding body overview in section seven.

**🕒 Key task: Make registrations for principal learning (if required) for students enrolled at your centre by 21 October. Remember to use the awarding body processes for this.**

**By 21 October complete?**

**🕒 Key task: Make entries using ULNs for principal learning units and project qualifications by 21 October for assessment in January, and by 21 March for summer assessment, and inform relevant home centres.**

**By 21 October for January complete?**

**By 31 March for summer complete?**

## Functional skills, project and ASL entries

You'll also need to make entries or marks submissions for functional skills and all ASL qualifications. This needs to be done in time for awarding body deadlines, and you should also inform the relevant home centres.

Find out the entry deadlines for each qualification from awarding bodies and ensure teaching staff know what these deadlines are. A formal entry is always required for any internally assessed unit as well as externally examined units.

Make entries and marks submissions and submit estimated grades, if required, for principal learning units and projects, functional skills and ASL qualifications. Teaching and assessment staff must be aware of submission dates for internally marked assessments and moderation samples and understand the implications of not meeting these deadlines. Make sure you know who's responsible for collating moderator samples, and that they understand their responsibilities and the timescales involved – this person will often be the domain assessor for each line of learning.

Estimated grades might be required by component awarding bodies and should be sent by whichever centre made the entry.

Make sure that the student's ULN is used with every entry or registration for all qualifications.

**🕒 Key task: Make entries using ULNs or marks submissions for functional skills and all ASL qualifications by awarding body deadlines and inform relevant home centres.**

**By awarding body deadline complete?**

Some qualifications require a cash-in or award entry to be made in order for qualification results to be received and posted in learner accounts. Check with the relevant component awarding body.

**🕒 Key task: Make any cash-ins or award entries required by 31 March in the year of the Diploma award.**

**By 31 March complete?**

### Resources

- Look for information on the administration of functional skills qualifications due for publication on the QCDA website in September 2010.



## Diploma expert tips

- **Check deadlines and processes for unfamiliar qualifications carefully.** If you're working with a qualification or awarding body for the first time, check for entry and mark submission deadlines and other administration processes that might be different from the ones with which you're familiar.
- **Don't be caught out by internal assessment marks submission dates.** This particularly applies to vocational qualifications studied as ASL. If Diploma students are studying an ASL qualification alongside non-Diploma students, they might need their marks submissions done earlier in order to meet timelines for awarding the Diploma qualification. Your awarding body will be able to tell you what deadlines will apply for components within a Diploma.
- **Maximise your student's chances of a Diploma award.** Students may be following a number of qualifications that are valid for inclusion in their Diploma as ASL. If you use a ULN with all entries and identify your Diploma students to the component awarding bodies, results for all of these qualifications will be posted in learner accounts and contribute to meeting minimum requirements for a Diploma award.
- **Cross-check entries and mark submissions with other centres.** Schedule a review of entries before deadlines with your consortium exams office group to ensure everyone has the information they need. Check again afterwards to confirm that the correct entries have been made. Contact all related exams officers after you make entries or submit marks on behalf of other centres' learners. Check that you receive a message to assure you that actions have been completed for your learners by other exams officers in the consortium.
- **Check the component awarding body is aware when ASL entries are for Diploma students.** Where ASL entries are made as part of a larger cohort, it may be useful to identify Diploma students to the component awarding body so that they are aware that their results should be recorded in DAS learner accounts.

## 4. Applying for access arrangements and modified papers

The provision of access arrangements and modified papers requires good information sharing between home and assessment centres.

Home centres are normally responsible for applying for access arrangements for their own students. A home centre must then make assessment centres aware of any access arrangements required for its students so that provision can be made.

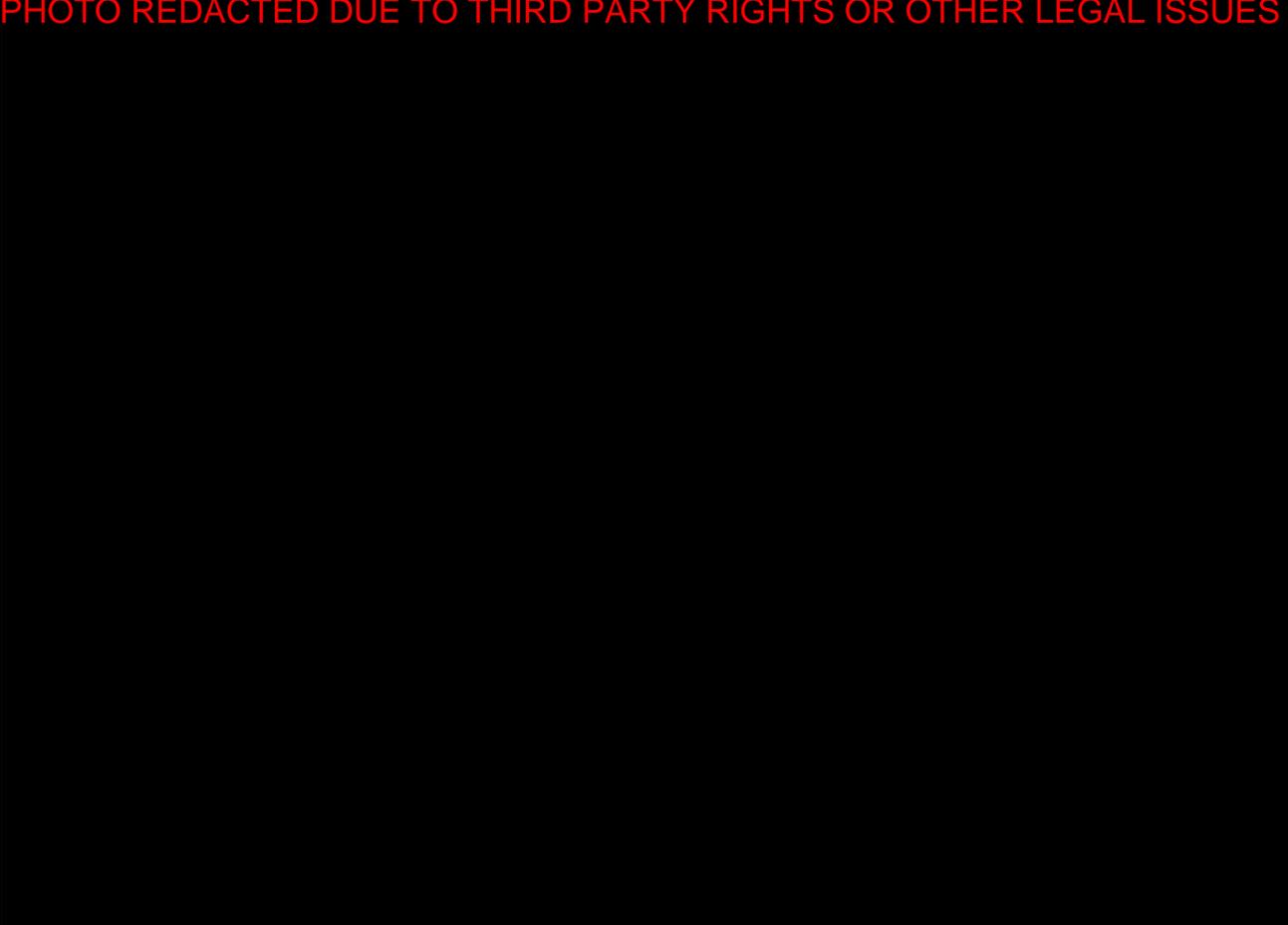
Modified paper applications must be made by the centre that hosts the assessment and makes the assessment entry. This means that home centres must make assessment centres aware of any students' requirements for modified papers.

### What you need to do

Identify who is responsible for making access arrangements in your consortium exam policy (this is usually the home centre) and ensure these arrangements are made for your students.

Ensure that applications for access arrangements are made by the component awarding body deadline. For guidance on access arrangements for Diploma qualifications offered by AQA-City & Guilds, Edexcel, OCR and WJEC, see the Joint Council for Qualifications (JCQ) booklet *Access arrangements, reasonable adjustments and special consideration 2010–11*. For other awarding bodies' qualifications, see the Federation of Awarding Bodies' good practice guides.

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Use the QCDA *Access arrangements online* (AAO) tool for making applications for access arrangements and modified papers for GCSEs and A levels. Access arrangements that have been approved via the online tool may be applied to principal learning and functional skills qualifications offered by AQA, AQA-City & Guilds, Edexcel, OCR and WJEC. A separate application will not be required. For principal learning and functional skills offered by other component awarding bodies you should make an application directly to them. Applications for modified papers for principal learning and functional skills should be made directly to the appropriate awarding body.

If any of your students require access arrangements, ensure all assessment centres are aware so that provision can be planned, taking care to share confidential student information securely. Check that people understand which centre will provide the access arrangements. For example, where a reader is required, will the home centre send a reader to the assessing centre for the learner or will the assessing centre supply the reader? Your consortium exam policy should guide you on this.

## Disability Discrimination Act 2005

Suitable provision must be made for students with disabilities so that they're not disadvantaged in, or denied access to, any assessment. Centres must ensure every student has fair access to assessments. This is a joint responsibility of home centres and assessment centres. Please note, requirements of the Disability Discrimination Act will be superseded by the disability provisions under the Equality Act 2010, once this new act is in force.

## Applying for special consideration

Component awarding bodies will expect applications for special consideration to come from the centre that made the unit entry. While the assessment centre will be in the best position to recognise cases that arise on the actual day of an assessment, the home centre will be best placed to recognise those relating to the personal circumstances of the student before the assessment starts. This will require information to be passed between centres, so that everyone is aware of the application and all supporting information is provided.

### Resources

- Access arrangements and modified papers online (GCSEs and A levels only) – [www.qcda.gov.uk/aao](http://www.qcda.gov.uk/aao)
- Information on access arrangements – [www.jcq.org.uk](http://www.jcq.org.uk)
- Information on the Disability Discrimination Act 2005 – [www.qcda.gov.uk/resources/4328.aspx](http://www.qcda.gov.uk/resources/4328.aspx)
- Information on the Equality Act 2010 – [www.equalities.gov.uk](http://www.equalities.gov.uk)

# 5. Monitoring progress

It's important to keep track of students' progress and achievements during their course of study. You'll also need to be aware of any students who change centres during their study programme so that you can give other centres access to their learner accounts. DAS provides management information functions in the form of progress and completion reports and these will be very useful tools for Diploma administration.

To make sure students who are expected to achieve their Diploma in the summer are on track, use DAS to produce completion status reports for individuals or groups of students. Compare these with your students' *Diploma learner study plans* to spot anything that is missing. Student advisers and tutors can use a *Diploma progress statement* produced by DAS to show individual students where they are up to in their Diploma programme.

**🕒 Key task: Check student progress by producing completion status reports on DAS every term.**

Each term complete?

**🕒 Key task: Check by 31 March in the year of award that marks submissions for project qualifications and principal learning internal assessment entries will be made on time (if not already complete).**

By 31 March complete?

A student's achievement of personal, learning and thinking skills (PLTS) and work experience must be recorded in their learner account. Your consortium exam policy should identify who will confirm which students have completed these achievements, and who will record them in learner accounts. There are PLTS and work experience completion forms

in the appendices – you could offer the forms to work experience coordinators and tutors so they can complete and return them to indicate which learner accounts can be updated.

**🕒 Key task: Ensure that PLTS and work experience have been recorded in learner accounts by 30 June in the year of award.**

By 30 June complete?

## Resources

- Producing completion status reports and *Diploma progress statements*; activating and deactivating learner accounts; requesting administration rights for a learner account – see the *DAS Quick guide*, [www.qcda.gov.uk/qualifications/4454.aspx](http://www.qcda.gov.uk/qualifications/4454.aspx), [www.qcda.gov.uk/diplomaresources](http://www.qcda.gov.uk/diplomaresources) and e-learning tool [www.qcda.gov.uk/das](http://www.qcda.gov.uk/das)
- Information on *Diploma progress statements* – see pages 29–30
- *Personal, learning and thinking skills (PLTS) completion form* and *Work experience completion form* – see appendices and [www.qcda.gov.uk/diplomaresources](http://www.qcda.gov.uk/diplomaresources) to download forms



## Diploma expert tips

Look again at the Diploma expert tips for registrations and entries on page 20. In addition:

- **Delegate tasks.** Allocate the DAS role of 'PLTS and work experience recorder' to appropriate consortium staff so they're responsible for recording this achievement in learner accounts. Remember to check that this task has been completed in DAS. If you intend to record these achievements yourself, issue PLTS and work experience completion forms to your work experience coordinator and any tutors responsible for assessing PLTS. You can then use completed forms to update learner accounts in DAS.
- **Follow up missing results.** If a result is missing from a learner account, the assessment centre responsible for making the entry should contact the relevant component awarding body. The earlier this is done, the better.

## When students move centres

If a student leaves your centre to go to a new one, you should transfer all relevant information. You will need the student's approval to do this – although your centre's *Privacy notice* may already cover this (see pages 12–13).

Transferred information could include:

- *Diploma learner study plan*, including ULN
- access arrangements and approvals (although the new centre will need to make fresh applications)
- qualifications already achieved but not yet added to the learner account as prior achievement.

You'll need to deactivate the learner account in DAS so that the student's new centre can reactivate and manage the learner account. If a Diploma student transfers to your centre, you'll need to search for the learner account using the student's ULN. If you find that the learner account has not been deactivated, you'll need to request administration rights over the learner account from the previous centre. All of this is done using DAS.

## 6. Dealing with results

Ahead of the awarding period it is vital that the exams office looks at progress in learner accounts to ensure that nothing has been, or is going to be, missed.

Students who are expecting their Diploma awards need to be informed how and when their Diploma results will be available to them before they leave for their summer break.

**🕒 Key task: Ensure by 30 June that students understand when, where and how their Diploma results will be available.**

By 30 June

complete?



You will also need to:

- check qualification results have appeared in learner accounts as expected and deal with missing results through assessment centres or component awarding bodies
- refer to *Diploma learner study plans* or students' advisers to find out which students want to view a trial grade and will therefore require a manual claim.

### Constituent qualification results

The Diploma award is dependent upon the right constituent qualification results being in place in time. Home centres will be anxious to ensure results appear in learner accounts as expected. Assessment centres are responsible for all contact with component awarding bodies to ensure results are posted in learner accounts.

Some qualifications require an award entry or cash-in to be made in order for the qualification result to be received and posted in learner accounts. Assessment centres should check component awarding bodies requirements and deadlines.

From 1 August, component awarding bodies may record results in learner accounts that are embargoed. You will not be able to view these results in learner accounts until official results publication dates. During the embargo period further restrictions will apply to learner accounts where an embargoed result has been uploaded.

In all cases you will still be able to record the completion of personal, learning and thinking skills (PLTS) or work experience and have visibility of the Diploma (line of learning and Diploma level) that the student has been enrolled on.

If you have any queries or require additional help on how embargoed results are managed, please go to chapter four, page 37 of the *DAS User guide for centres summer 2010*. You can find this at [www.qcda.gov.uk/resources/6684.aspx](http://www.qcda.gov.uk/resources/6684.aspx).

**🕒 Key task: Check that unit and qualification results appear in learner accounts as expected, 10 days after results publication dates.**

By 10 days after publication dates

complete?



Results will be sent to centres that made the entry and will be provided directly to DAS. If the entry was made via electronic data interchange (EDI), the result will also be received via this method. Exams officers can't update DAS with students' results – the results have to come from the awarding body.

Many qualification results will be available on the same days as results for GCSEs and A levels. If you're unsure, you should confirm this with the component awarding body.

Any discrepancies in results must be dealt with urgently, especially when Diploma awards are due. You may need to contact other centres in your consortium to check that entries, internal assessment marks and award entries (or cash-ins) were submitted correctly, or contact component awarding bodies to find out why results are missing or don't show the expected grade.

You may also want to check there are no outstanding prior achievement claims for the student and follow these up directly with the designated component awarding body.

### Enquiries about results

Enquiries about the results of a constituent qualification should be made with the relevant component awarding body and managed by the centre that dealt with the qualification or unit in question. There should be a consortium policy governing decisions or payments required. Where there is a query concerning the Diploma award as a whole, rather than the individual components, this should be dealt with by the home centre, which should contact the Diploma awarding body.

### Re-sits and new grades

As with any qualification, a student can attempt a constituent qualification or unit assessment again. A change to a grade for a principal learning unit or project qualification, either through a successful challenge to an awarded grade or through a re-sit, could affect the Diploma qualification grade awarded. See 're-sits and aggregation' on page 29.

### What you need to do

- Check qualification results appear in learner accounts as expected and deal with missing results via assessment centres or component awarding bodies.
- If your centre is an assessment centre, share results with home centres.
- Liaise with other centres regarding any requests for enquiries about results and if your centre is the assessment centre, manage these with the component awarding body.
- Wait for DAS to notify you that Diplomas are ready to claim for students who require a manual claim.
- Liaise with student advisers regarding reviews of trial grades and make manual claims using DAS where appropriate.



## Diploma expert tips

- Give assessment centres viewing access to learner accounts. This will help assessment centres deal with instances of results missing from learner accounts when contacting component awarding bodies.
- During the embargoed results period you'll find there are restrictions to DAS functionality. For further details see pages 37–38 of the *DAS User guide for centres summer 2010* at [www.qcda.gov.uk/resources/6684.aspx](http://www.qcda.gov.uk/resources/6684.aspx).

## Diploma qualification result

As results and other achievements are recorded in the learner account, an automatic calculation determines whether a full and valid Diploma combination has been achieved. A Diploma may be awarded once the minimum requirements are met and recorded in the learner account. Home centres should manage all contact with Diploma awarding bodies regarding Diploma awarding.

Unless the intention to claim setting has been withdrawn from a learner account, DAS will send an award claim to the Diploma awarding body as soon as the minimum awarding requirements are met. This awarding body will be the one that the student's Diploma was registered with when their learner account was opened.

A Diploma result can be achieved at different times of the year, depending on when the requirements are met. However, the majority of Diploma results will usually coincide with GCSE or A level results days for summer awards. This is because many students will choose GCSEs and A levels for their additional and specialist learning (ASL), and these dates are also when results for principal learning units and projects are published.



## Minimum requirements for a Diploma award

- All principal learning units completed
- Project completed
- Functional skills achieved at level 1 (or level 2) for the Foundation Diploma, and level 2 for a Higher, Advanced or Progression Diploma
- All six personal, learning and thinking skills (PLTS) achieved
- At least 10 days of work experience completed
- Additional and specialist learning (ASL) qualifications:
  - » achieved at the level of the Diploma or above
  - » present in the Diploma catalogue for the line of learning and level
  - » comprise a valid combination of qualifications
  - » comprise at least the minimum number of guided learning hours:
    - 120 for a Foundation Diploma
    - 180 for a Higher Diploma
    - 360 for an Advanced Diploma

## How the Diploma result is received

Diploma awarding bodies will make Diploma results available to the exams office the day before the formal results publication day, through secure extranet sites (and electronic data interchange for component qualifications if used by the component awarding body). If a student has made university applications, UCAS will automatically receive their Diploma results from the awarding body.

Diploma grades will also be available to view in learner accounts the day before results publication. Please note, the centre will not receive a results slip for the Diploma qualification.

The Diploma awarding body will send a Diploma certificate and transcript to the centre a few weeks after the Diploma awarding date.

### The Diploma transcript details the following:

- overall Diploma grade
- overall principal learning grade
- principal learning unit grades
- grade for the project
- grades for the ASL qualifications
- pass results for the three functional skills
- achievement of work experience and PLTS.

The transcript will include all valid ASL results that were received by the date the minimum requirements for awarding the Diploma were met.

Some Diploma awarding bodies publish a provisional statement of results on their extranet sites on the day before formal publication of Diploma results, containing the same detailed information as the transcript. Provisional statements of results can be downloaded and printed either individually or by group of students, but you'll need to check with the relevant Diploma awarding body.

## Making a manual claim for a Diploma award

Some students may wish to delay the awarding of their Diploma until they're satisfied with their grade. An intention to claim is set automatically when the learner account is opened, but this may be withdrawn at any time before the minimum requirements for awarding a Diploma are met. If the intention to claim is withdrawn, the student has an opportunity to view a trial grade that is automatically generated once the minimum requirements for awarding a Diploma have been met. At this point, a student can opt to claim their Diploma or to improve their grade through re-sitting assessments for principal learning units and/or the project.

If the intention to claim is withdrawn, you'll then need to make a manual claim request to the Diploma awarding body using DAS. Once a manual claim has been made, the Diploma awarding body should make the award within a few days. Because of this, claiming a Diploma manually would not be appropriate for level 3 Diploma students with UCAS applications pending.

## Amending a Diploma transcript – changing ASL

After a Diploma has been awarded, a student may choose to change the additional and specialist (ASL) qualifications that are listed on their Diploma transcript. This might be because they have completed further ASL qualifications that were not initially included in the awarded Diploma. Alternatively, a student may not wish all their ASL results to appear on the final Diploma transcript. Amendments to the transcript can be made using DAS. The Diploma awarding body will then provide an updated version of the transcript. The selection of ASL makes no difference to the achievement and attainment (AAT) points received by the centre. See page 30.

If a student has completed a Progression Diploma and has also completed one or more qualifications that are valid as ASL, their Diploma may be upgraded to an Advanced Diploma using DAS.

If amendments are made during the normal post-results enquiries period, the changes will be reflected in the Diploma transcript without charge. If amendments are made later than this, there may be a charge. Contact your Diploma awarding body for details.

## What you need to do

- Select the 'amend/upgrade an awarded Diploma' option in DAS to select which qualifications should appear on the transcript or to upgrade a Progression Diploma to an Advanced Diploma.
- Submit the request to the Diploma awarding body via DAS.

## Re-sits and aggregation

The awarded grade for a Diploma is calculated from the grades for the principal learning and project qualifications. A student can improve their trial grade or their awarded Diploma grade by re-sitting units from their principal learning or project qualification.

Results for re-sits of principal learning and project units that have been cashed-in with the component awarding body will be posted to the learner account. Centres must inform Diploma awarding bodies that a student wishes to re-sit units in the learner account. During the process, a fresh intention to claim is set. When the new result is posted to the learner account, a new trial grade is calculated and an award claim is automatically submitted to the Diploma awarding body. The Diploma awarding body may charge a fee for this re-aggregation and award.

## What you need to do

- Find out from students' tutors whether re-sits are required.
- Select the 're-sit options' facility in the learner account using DAS.
- Consider whether any students will want to view a trial grade before claiming a new Diploma award, and make a manual claim, if appropriate, once new results are posted in the learner account.
- Manage administration for any unit or qualification re-sits and fresh cash-ins.

## Support for students who did not achieve a Diploma

As individual qualifications within the Diploma are awarded independently, if students fail to achieve a full Diploma award they will still achieve constituent qualifications.

The *Diploma progress statement* is generated from DAS. It enables exams office staff to give Diploma students who have not yet completed their Diploma a summary of what they have achieved to date. The statement can be used to provide information, advice and guidance to students about their progression.

Students who do not achieve all the required elements for a Diploma can receive the statement from their centre on results day, along with results statements for component qualifications from the awarding bodies involved. *Diploma progress statements* are not available for students who receive 'Unclassified' (U) grades.

A student following a Higher (level 2) Diploma must meet the minimum requirements for a level 2 Diploma in order to be eligible for a Diploma award. It is not possible to claim a compensatory Foundation (level 1) Diploma if one or more components are only achieved at level 1.

The *Diploma progress statement* can be accessed by centre users with the DAS role of learner administrator. Learner administrators

should access the individual learner account of each student who has not completed a full Diploma. For more details on this role please refer to the *DAS Quick guide* and *DAS User guide for centres summer 2010*.

## AAT points

Achievement and attainment table (AAT) points are available for constituent qualifications of the Diploma, including principal learning, project, functional skills and ASL qualifications. The AAT points awarded for a qualification depends on the grade achieved. Information about the performance measures for individual qualifications is available on the National Database of Accredited Qualifications (NDAQ).<sup>\*</sup> In a consortium, AAT points will be credited to the home centre. This is done via the census return to the Department for Education (for schools), or the individualised learner record (ILR) return to the Skills Funding Agency (for further education colleges). There are no AAT points attributed to the grade for the Diploma qualification.

## UCAS points

UCAS points are available for the Diploma at level 3. Points are attributed according to the Diploma grade achieved. This takes into account the principal learning, the extended project and other elements of generic learning. Additional points are attributed to ASL qualifications. For details about the UCAS points attributed to the Diploma, see the tariff tables on the UCAS website [www.ucas.ac.uk](http://www.ucas.ac.uk).

## Reviewing exams office procedures

Do take time to mark your achievements with your consortium exams office group colleagues and all other consortium staff who have contributed to the success of your students. It is important to look back at your processes, what issues arose and what improvements could be made.

## What you need to do

- Make a record of achievements and recommended improvements for the future using the QCDA *Exams review generator*.
- Update the consortium exam policy with changed processes, responsibilities and staffing changes.

\*NDAQ is scheduled to be replaced by Ofqual's Register of Regulated Qualifications (the Register) on 25 October 2010. See [www.ofqual.gov.uk](http://www.ofqual.gov.uk) for details.

### Resources

- *Exams review generator* – [www.qcda.gov.uk/erg](http://www.qcda.gov.uk/erg)
- National Database of Accredited Qualifications (NDAQ) – [www.accreditedqualifications.org.uk](http://www.accreditedqualifications.org.uk)

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# 7. Principal learning – awarding body overview

## AQA-City & Guilds

### Expressions of interest

AQA-City & Guilds encourages consortia to indicate initial interest in using their qualifications through a form available from the web link below. The form requests consortium contact details, lines of learning and estimated student numbers. If your centre is working with an awarding body for the first time, you should check what centre approval is required.

Expression of interest form: <https://secure.aqa.org.uk/consortium/index.php>

### Registrations and entries

AQA-City & Guilds requires up-front student registration from either the home centre or a central consortium administration centre. There is one registration per student per line of learning (and/or level), and this carries a charge. Refer to the fees booklet at <http://web.aqa.org.uk/admin/library.php#entryamend>.

This is a separate process from individual unit entries. Unit entry processes are identical to those that AQA-City & Guilds already uses for existing qualifications.

### Student registration method

Home centre registers using electronic data interchange (EDI) or e-AQA (secure extranet). Process is identical to normal entries process.

### Registration deadline is 21 October

If no registration is received, registration is automatic upon receipt of entries but late fees may apply.

### Estimated entries deadline

21 July for January assessments  
10 October for June assessments

### Unit entry deadline

21 October for January assessments  
21 March for May/June assessments

### Entry methods

EDI or e-AQA. Base data is available.

### Fees and invoicing

Invoices are always sent to the centre that makes the registration or entry, soon after it is made. If the awarding body your centre is using is also the Diploma awarding body, check whether fees for principal learning also include the Diploma award fee.

### Fees

See registration fee and individual fees for unit entries in the fees booklet at <http://web.aqa.org.uk/admin/library.php#entryamend>.

### Invoicing

Invoices are sent after registrations are made.

### Receiving final qualification results

Unit results will always go to the centre that makes the entry. The final grade result for the qualification goes to the centre that requests it. This is usually through an award or certification entry or other form of claim request. The centre makes an award entry.

### Further information and support

**Telephone:** 0870 410 1036

**Email:** [eos@aqa.org.uk](mailto:eos@aqa.org.uk)

**Website:** [www.aqa.org.uk/admin/library.php](http://www.aqa.org.uk/admin/library.php)

## Edexcel

### Expressions of interest

Edexcel encourages consortia to indicate initial interest in using their qualifications through a form available from the web link below. The form requests consortium contact details, lines of learning and estimated student numbers. If your centre is working with an awarding body for the first time, you should check what centre approval is required.

Intention to offer form on the Diploma administration web page: [www.edexcel.com/quals/diploma/Pages/Admin.aspx](http://www.edexcel.com/quals/diploma/Pages/Admin.aspx).

### Registrations and entries

Edexcel requires up-front student registration from either the home centre or a central consortium administration centre for students. The registration should be made at line and level of learning. The registration has a fee attached and allows one entry for each unit for that line and level of learning.

Individual unit entries should be submitted for each exam series. Unit entry processes are identical to those Edexcel already uses for existing qualifications. Re-sit unit entries may incur an additional unit fee. Edexcel requires estimated entries via Edexcel Online: [www.edexcelonline.com](http://www.edexcelonline.com).

### Student registration method

Home centre registers using electronic data interchange (EDI) or Edexcel online.

### Registration deadline

Registrations should be submitted prior to the entry deadlines.

### Estimated entries deadline

21 October for January assessments  
10 January for June assessments

### Unit entry deadline

21 October for January assessments  
21 March for June assessments and award claims

### Entry methods

Electronic data interchange (EDI) or Edexcel online. Base data is available at [www.edexcel.com/basedata](http://www.edexcel.com/basedata).

### Fees and invoicing

See information below for details of the fee structure used by Edexcel. Invoices are always sent to the centre that makes the registration or entry, soon after it is made. If the awarding body your centre is using is also the Diploma awarding body, check whether fees for principal learning also include the Diploma award fee.

### Fees

Single fee covers registration and all units (one entry per unit). Re-sits incur additional fees. Refer to fees lists at [www.edexcel.com/iwantto/pages/dip-fees.aspx](http://www.edexcel.com/iwantto/pages/dip-fees.aspx).

### Invoicing

Registration/entries invoices are sent one week after registration. All fees are attributed to the home centre.

### Receiving final qualification results

Unit results will always go to the centre that makes the entry. The final grade (award) result for the qualification goes to the centre that submits a cash-in request.

### Further information and support

**Telephone:** 0844 576 0028

**Email:** [Diplomaops@edexcel.com](mailto:Diplomaops@edexcel.com)

**Website:** [www.edexcel.com/quals/diploma](http://www.edexcel.com/quals/diploma)

# EDI

## Expressions of interest

EDI encourages consortia to indicate initial interest in using their qualifications through a form available from the web link below. The form requests consortium contact details and lines of learning, and may require estimated student numbers. If your centre is working with an awarding body for the first time, you should check what form of centre approval is required.

Centre approval form: [www.ediplc.com/Documents/CAUKSCHOOLV0209.doc](http://www.ediplc.com/Documents/CAUKSCHOOLV0209.doc)

The expression of interest form is not a mandatory requirement.

## Registrations and entries

### Student registration method

Student details entered via Campus (secure extranet) when scheduling assessments.

### Registration deadlines

15 working days before first assessment.

### Estimated entries deadlines are not required.

### Unit entry deadline

1st December for January assessments

1st May for June assessments

### Entry methods

Campus system only. No base data available.

## Fees and invoicing

See information below for details of the fee structure used by EDI. Invoices are always sent to the centre that makes the registration or entry, soon after it is made. If the awarding body your centre is using is also the Diploma awarding body, check whether fees for principal learning also include the Diploma award fee.

### Fees

Single fee covers one entry per unit and one free re-sit for one externally assessed unit and one internally assessed unit.

### Fee per student

Fees will be published on the EDI website at the start of October 2010.

### Invoicing

Invoices are sent after each batch of entries is made to the centre that made the entries.

## Receiving final qualification results

Unit results will always go to the centre that makes the entry. The final grade result for the qualification goes to the centre that requests it. This is usually through an award or certification entry or other form of claim request. Destination centres for all unit results and final qualification results are identified through discussion with EDI.

## Further information and support

**Telephone:** 08707 202 909

**Email:** [enquiries@ediplc.com](mailto:enquiries@ediplc.com)

**Website:** [www.ediplc.com](http://www.ediplc.com)

# OCR

## Expressions of interest

OCR does not require an expression of interest from centres.

## Registrations and entries

OCR does not require centres to register students up-front, so there is no registration fee. However, centres will still need to submit estimated entries and make final unit and certification entries in the same way as for other OCR qualifications. OCR charges individual unit entry fees, but there is no certification fee. (Some awarding bodies include the fees for unit entries in the initial registration fee.)

### Student registration method

No up-front registration for students.

### Registration deadlines are not applicable.

### Estimated entry deadlines

21 September for January assessments  
10 October for June assessments

### Unit and certification entry deadlines

21 October for January assessments  
21 March for June assessments

### Entry methods

Electronic data interchange (EDI) or OCR Interchange (secure extranet). Base data is available from the OCR website.

## Fees and invoicing

See information below for details of the fee structure used by OCR. If the awarding body your centre is using is also the Diploma awarding body, check whether fees for principal learning also include the Diploma award fee.

### Fees

A detailed fees list is available on the OCR website. Individual fees for unit entries differ within each level according to line of learning. Refer to fees list at [www.ocr.org.uk/administration/fees\\_list/index.html](http://www.ocr.org.uk/administration/fees_list/index.html).

### Invoicing

Invoices are sent shortly after the entry deadline to the centre that made the entry.

## Receiving final qualification results

Unit results will always go to the centre that makes the entry. The final grade result for the qualification goes to the centre that made the certification entry.

## Further information and support

**Telephone:** 01223 553998

**Email:** [general.qualifications@ocr.org.uk](mailto:general.qualifications@ocr.org.uk)

**Website:** [www.ocr.org.uk/administration/diplomas](http://www.ocr.org.uk/administration/diplomas)

# VTCT

## Expressions of interest

VTCT encourages consortia to indicate initial interest in using their qualifications through a form available from the web link below. The form requests consortium contact details, lines of learning and estimated student numbers. If your centre is working with an awarding body for the first time, you should check what form of centre approval is required.

Intention to offer form on the Diploma page:  
[www.vtct.org.uk](http://www.vtct.org.uk).

## Registrations and entries

VTCT requires up-front student registration from either the home centre or a central consortium administration centre (whichever is suitable).

Unit assessment entries are made by e-entry process through the secure transfer portal Linx2. VTCT includes the fees for unit entries in the initial registration fee.

### Student registration method

Home centre or administrative centre registers through secure extranet.

### Registration deadline is 21 October

#### Unit entry deadlines

21 October for January assessments

21 March for May assessments

Estimated entries are not required.

#### Entry methods

Secure extranet (Linx2) only. Base data available.

## Fees and invoicing

### Fees

A detailed fees list is available on the VTCT website at [www.vtct.org.uk](http://www.vtct.org.uk). A single fee covers registration and all units. Resits for individual units incur a separate fee). If the awarding body your centre is using is also the Diploma awarding body, check whether fees for principal learning also include the Diploma award fee.

### Invoicing

Invoices are sent to the centre that made the registration after registrations are made.

## Receiving final qualification results

Unit results will always go to the centre that makes the entry. The final grade result for the qualification goes to the centre that has registered the learner. This can be changed at the centre's request.

## Further information and support

**Telephone:** 02380 684500

**Email:** [customerservice@vtct.org.uk](mailto:customerservice@vtct.org.uk)

**Website:** [www.vtct.org.uk](http://www.vtct.org.uk)

## WJEC

### Expressions of interest

Centres in Wales can only offer principal learning with the Welsh Baccalaureate. Centres must apply to the Department for Children, Education, Lifelong Learning and Skills (DCELLS) for approval.

Centres in England are encouraged to indicate initial interest in using WJEC qualifications through a form that requests consortium contact details, lines of learning and estimated student numbers. If your centre is working with an awarding body for the first time, you should check what centre approval is required. Centres should request the form by contacting WJEC on 02920 265078.

### Registrations and entries

WJEC requires up-front registration from either the home centre or a central consortium administration centre for students. The registration should be made at line and level of learning. Registration has a fee attached and allows one entry for each unit for that line of learning. Individual unit entries should be submitted for each exam series. Unit entry processes are identical to those WJEC already uses for existing qualifications.

### Student registration method

Home centre registers using electronic data interchange (EDI) or WJEC secure website. Registrations should be submitted before the entry deadline.

### Registration deadline is 31 October

#### Estimated entries deadline

21 October for January assessments  
21 March for June assessments

#### Unit entry deadline

21 October for January assessments  
21 March for June assessments

### Entry methods

EDI or WJEC secure website. Base data is available at [www.wjec.co.uk](http://www.wjec.co.uk).

### Fees and invoicing

#### Fees

Single fee covers registration and all units (one per unit). Re-sits incur additional fees. Refer to fees list at [www.wjec.co.uk](http://www.wjec.co.uk) and the WJEC fees booklet.

#### Invoicing

Registration/entries invoices are sent one week after registration. All fees are attributed to the home centre.

### Receiving final qualification results

Final results and unit results will always go to the centre that makes the entry. The centre makes an award (cash-in entry).

### Further information and support

**Telephone:** 02920 265078

**Email:** [neil.owens@wjec.co.uk](mailto:neil.owens@wjec.co.uk)

**Website:** [www.wjec.co.uk](http://www.wjec.co.uk)

# 8. Key task checklist

Use this checklist to make a note of who is responsible for carrying out key tasks for your Diploma students, and when the tasks have been completed.

## First year of Diploma study

	Responsible	Complete?
Ensure your centre has completed the <i>Learning Records Service organisation agreement</i> and nominated super users for the <i>Learner register</i> (formerly known as the <i>Learner registration service</i> ).	By 30 September	<input type="checkbox"/>
Make sure your head of centre has returned the <i>DAS Head of centre agreement</i> and nominated up to two DAS local administrators.	By 30 September	<input type="checkbox"/>
Acquire ULNs for all Diploma students.	By 21 October	<input type="checkbox"/>
Make registrations for principal learning (if required) for students enrolled at your centre. Remember to use the awarding body processes for this.	By 21 October	<input type="checkbox"/>
Allocate roles and access rights to users in your centre and consortium.	By 31 October	<input type="checkbox"/>
Check that your curriculum planner has drafted a planned programme of study (PPoS) for each Diploma student.	By 31 October	<input type="checkbox"/>
Create an association (an 'alias') with each Diploma awarding body in DAS.	By 20 December	<input type="checkbox"/>
Check that a PPoS has been created and validated in DAS for each Diploma student.	By 20 December	<input type="checkbox"/>
Open learner accounts and assign planned programmes of study with anticipated award date to them in DAS.	By 20 December	<input type="checkbox"/>
Check that a populated <i>Diploma learner study plan</i> has been created for each Diploma student.	By 20 December	<input type="checkbox"/>
Make prior achievement applications to component awarding bodies so these awards appear in learner accounts.	By 30 April	<input type="checkbox"/>

## During the course of study

	Responsible	Complete?
Make entries for principal learning units and project qualifications and inform relevant home centres.	<p><b>For assessment in January</b></p> <p>By 21 October <input type="checkbox"/></p> <p><b>For summer assessment</b></p> <p>By 21 March <input type="checkbox"/></p>	
Make entries or marks submissions for functional skills and all ASL qualifications by awarding body deadlines and inform relevant home centres.	By awarding body deadlines <input type="checkbox"/>	
Check that unit and qualification results appear in learner accounts as expected.	10 days after results publication dates <input type="checkbox"/>	
Check student progress by producing completion status reports on DAS.	Once every term <input type="checkbox"/>	

## Year of Diploma award

	Responsible	Complete?
Check that marks submissions for project qualifications and principal learning internal assessment entries will be made on time (if not already complete).	By 31 March	<input type="checkbox"/>
Make any cash-ins or award entries required in the year of the Diploma award.	By 31 March	<input type="checkbox"/>
Ensure that PLTS and work experience have been recorded in learner accounts.	By 30 June	<input type="checkbox"/>
Ensure that students understand when, where and how their Diploma results will be available.	By 30 June	<input type="checkbox"/>

Note that for learners on a one-year course, all tasks must be completed within one year.

If you have any questions or concerns about completing the tasks in this checklist, contact your QCDA centre support officer who will be able to advise you.

# 9. Useful contacts

For queries about the *Learner register* or the unique learner number (ULN), contact the *Learning Records Service* helpdesk:

Telephone: 0845 602 2589

Email: [lrssupport@miap.gov.uk](mailto:lrssupport@miap.gov.uk)

Website: [www.miap.gov.uk](http://www.miap.gov.uk)

For queries about the *Diploma aggregation service*:

Telephone: 0300 100 0100

Email: [das.helpdesk@qcda.gov.uk](mailto:das.helpdesk@qcda.gov.uk)

For queries about the Diploma, contact the QCDA helpdesk:

Telephone: 0300 303 3011

Textphone: 0300 303 3012

Email: [diploma@qcda.gov.uk](mailto:diploma@qcda.gov.uk)

Website: [www.qcda.gov.uk/diploma](http://www.qcda.gov.uk/diploma)

Diploma resources for the exams office are available at

[www.qcda.gov.uk/diplomaresources](http://www.qcda.gov.uk/diplomaresources).

The *Diploma aggregation service* e-learning tool and reference guide for centres are available at [www.qcda.gov.uk/das](http://www.qcda.gov.uk/das).

## Diploma awarding bodies (DAB) and component awarding bodies (CAB) 2010/11

Awarding body contact details correct at time of publication (September 2010)

Name	Type	Telephone	Email	Website
1st4sport	CAB	0113 290 7610	gmt@1st4sport.com	www.1st4sport.com
AAT (Association of Accounting Technicians)	CAB	020 7397 3001	membershipsupport@aat.org.uk	www.aat.co.uk
ABC Awards	CAB	0115 854 1616	enquiries@abcawards.co.uk	www.abcawards.co.uk
ABRSM (Associated Board of the Royal Schools of Music)	CAB	020 7636 5400	abrsms@abrsms.ac.uk	www.abrsms.org
Active IQ	CAB	01480 467950	debra@activeiq.org.uk	www.activeiq.co.uk
AQA (Assessment and Qualifications Alliance)	CAB and DAB (with City & Guilds)	01483 506 506 01423 840 015 0161 953 1180	mailbox@aqas.org.uk	www.aqas.org.uk
Ascentis National Awarding Body	CAB	01524 845 046	accreditation@ascentis.co.uk	www.ascentis.co.uk

ASDAN (Award Scheme Development Accreditation Network)	CAB	0117 941 1126	info@asdan.org.uk	www.asdan.org.uk
BCS (The Chartered Institute for IT)	CAB	01793 417600	customerservice@hq.bcs-org.uk	www.bcs.org
BIIAB (British Institute of Innkeeping)	CAB	01276 684 449	reception@bii.org	www.bii.org
CCEA (Council for the Curriculum, Examinations and Assessment)	CAB	028 9026 1200	info@ccea.org.uk	www.ccea.org.uk
CIE (Cambridge International Examinations)	CAB	01223 553 534	international@cie.org.uk	www.cie.org.uk
CIEH (Chartered Institute of Environmental Health)	CAB	020 7928 6006	info@cieh.org	www.cieh.org
CILT (Chartered Institute of Logistics and Transport UK)	CAB	01536 740 104	membership@ciltuk.org.uk	www.ciltuk.org.uk
City & Guilds (NPTC)	CAB and DAB (with AQA)	0844 543 0000	centresupport@cityandguilds.com	www.cityandguilds.com
CYQ Central YMCA Qualifications	CAB	020 7343 1800	info@cyq.org.uk	www.cyq.org.uk
EAL (EMTA Awards Ltd)	CAB	01923 652 400	customer care@eal.org.uk	www.eal.org.uk
ECITB (Engineering Construction Industry Training Board)	CAB	01923 260000	ecitb@ecitb.org.uk	www.ecitb.org.uk
Edexcel	CAB and DAB	08445 576 0028	enquiries@edexcel.com	www.edexcel.com/ diploma
EDI (Education Development International plc)	CAB and DAB	0870 720 2909	enquiries@ediplc.com	www.ediplc.com
EQL (Equestrian Qualifications Limited)	CAB	01926 707700	enquiry@bhs.org.uk	www.bhs.org.uk

IAB (International Association of Book Keepers)	CAB	0844 330 3527	mail@iab.org.uk	www.iab.org.uk
IAM (Institute of Administrative Management)	CAB	020 7091 2600	info@instam.org	www.instam.org
ICAAE (International Curriculum and Assessment Agency Examinations)	CAB	01962 735 801	exams@icaa.com	www.icaa.com
IFS (School of Finance)	CAB	01227 818 609	customerservices@ifslearning.ac.uk	www.ifslearning.ac.uk
ILM (Institute of Leadership and Management)	CAB	01543 266 867	customer@i-l-m.com	www.i-l-m.com
IMI (Institute of the Motor Industry)	CAB	01992 511 521	imi@motor.org.uk	www.motor.org.uk
ISMM (Institute of Sales and Marketing Management)	CAB	01582 840 001	education@ismm.co.uk	www.ismm.co.uk
ISTD (Imperial Society of Teachers of Dancing)	CAB	020 7377 1577	pa@istd.org	www.istd.org
ITEC	CAB	020 8994 4141	info@itecworld.co.uk	www.itecworld.co.uk
LAMDA (London Academy of Music and Dramatic Art)	CAB	020 8834 0500	enquiries@lamda.org.uk	www.lamda.org.uk
NCFE	CAB	0191 239 8000	info@ncfe.org.uk	www.ncfe.org.uk
NOCN (National Open College Network)	CAB	0114 227 0500	nocn@nocn.org.uk	www.nocn.org.uk
OCR (Oxford, Cambridge and RSA Examinations)	CAB and DAB	01223 553 998	general.qualifications@ocr.org.uk	www.ocr.org.uk
PAA\VO-SET	CAB	01543 254 223	info@paa-uk.org	www.paa-uk.org
QN (Qualifications Network)	CAB	0845 121 8328	info@qualificationsnetwork.co.uk	www.qualificationsnetwork.co.uk
RSL (Rock School Ltd)	CAB and DAB	0845 460 4747	info@rockschool.co.uk	www.rockschool.co.uk

RSPH (Royal Society for Public Health)	CAB	020 3177 1600	info@rsph.org.uk	www.rsph.org.uk
Signature	CAB	0191 383 1155	durham@signature. org.uk	www.signature.org.uk
TCL (Trinity College London)	CAB	020 7820 6100	info@trinitycollege. co.uk	www.trinitycollege.co.uk
TLM (The Learning Machine)	CAB	01827 305 940	rosemary.lynch@ theingots.org	www.theingots.org
TVU (Thames Valley University)	CAB	020 8579 5000	int.office@tvu.ac.uk	www.tvu.ac.uk
UAL (University of the Arts, London)	CAB	020 7514 6000	info@arts.ac.uk	www.arts.ac.uk
VTCT (Vocational Training Charitable Trust)	CAB and DAB	02380 684 500	customerservice@ vtct.org.uk	www.vtct.org.uk
WJEC (Welsh Joint Education Committee)	CAB	029 2026 5000	info@wjec.co.uk	www.wjec.co.uk

# Components required for aggregation



		Foundation Diploma Level 1	Higher Diploma Level 2	Advanced Diploma Level 3	Progression Diploma Level 3
<b>Principal learning</b>	<p>Single qualification comprising 5-9 units, each requiring an entry using a ULN</p> <p>A student registration by the home centre may also be required</p>	240 guided learning hours	420 guided learning hours	540 guided learning hours	540 guided learning hours
<b>Generic learning</b>	<p>Centre records personal, learning and thinking skills (PLTS) and work experience achievement in the learner account in DAS</p> <p>Entries or registrations using a ULN are required for functional skills and project</p>	PLTS	PLTS	PLTS	PLTS
		Minimum 10 days work experience			
		L1 functional skills English, maths and ICT	L2 functional skills English, maths and ICT	L2 functional skills English, maths and ICT	L2 functional skills English, maths and ICT
		Foundation project	Higher project	Extended project	Extended project
<b>Additional and specialist learning (ASL)</b>	<p>Qualifications selected must be checked as valid for inclusion using DAS or the <i>Diploma validator</i></p> <p>Entries or registrations using a ULN are required for all ASL qualifications</p>	120 guided learning hours minimum ASL	180 guided learning hours minimum ASL	360 guided learning hours minimum ASL	No additional and specialist learning
<b>Entries</b>	<p>Unit entries for all qualifications are made by the centre hosting the assessment:</p> <ul style="list-style-type: none"> <li>the home centre for timetabled exams</li> <li>the assessment centre (responsible for marking) for internal and controlled assessment.</li> </ul>				
<b>Results and award</b>	<ul style="list-style-type: none"> <li>Component awarding bodies record all qualification results in the learner account in DAS</li> <li>The Diploma grade is derived from grades for principal learning and the project</li> <li>The Diploma award is made by a Diploma awarding body on request by the centre via DAS</li> </ul>				

# Work experience completion form

<b>Student's given name</b> As held by the <i>Learner register</i>	
<b>Student's family name</b> As held by the <i>Learner register</i>	
<b>Student's ULN</b>	
<b>Student's date of birth</b>	
<b>Home centre name</b>	
<b>Home centre number</b>	
<b>Diploma line of learning</b>	
<b>Diploma level of learning</b>	

**Name(s) of organisation(s) where student undertook work experience**

<b>Organisation 1</b>	
<b>Organisation 2</b>	
<b>Organisation 3</b>	

**I confirm that this student has completed the required number of days of work experience:**

<b>Name</b>	
<b>Role</b>	
<b>Assessment centre</b>	
<b>Email address</b>	
<b>Telephone number</b>	
<b>Signature</b>	
<b>Date</b>	

**Notes:** Use this form to record a confirmation that a student has completed the required number of days of work experience as part of their Diploma programme of study. This form is not required by the awarding body but you may find it useful for internal administration purposes. Please complete all the fields. The student's personal details must match those held by the *Learner register*.

# Prior achievement form

<b>Centre name and number*</b>	Name:	No:	
<b>Awarding body*</b>			
<b>Student ULN*</b>			
<b>Date of birth*</b>			
<b>Student name*</b> As held by the <i>Learner register</i>	<b>Given name</b>	<b>Family name</b>	
	<b>Qualification 1</b>	<b>Qualification 2</b>	
<b>Qualification title*</b> (eg NVQ)			
<b>Qualification accreditation number (QAN)</b>			
<b>Subject*</b> (eg business studies)			
<b>Series/year of award*</b>			
<b>Qualification level</b> (eg level 3)			
<b>Entry or award code</b> (if known)			
<b>Student name at time of award</b> (if different from current)			
<b>Student's number and type of number for award</b> (eg UCI, UPN, registration no. or certificate no.)	No:	No:	
	Type:	Type:	
<b>Centre name and centre number where qualification was awarded</b> (if different from current)	Name:	Name:	
	No:	No:	
<b>Additional comments for this application</b>			
<b>Exams officer's name</b>		<b>Date</b>	
<b>Exams officer's email</b>			
<b>Exams officer's tel no.</b>		<b>Fax no.</b>	

Use this form to request that a qualification achieved before a learner account is opened is recorded in a learner account. Qualifications achieved before 1 January 2005 cannot be considered as prior achievement. This form allows for an application for one student with up to two previously achieved qualifications.

- Qualifications listed on any one form should pertain to one component awarding body only. Check the component awarding body website for guidance on use of this form including how it should be submitted.
- This form should be submitted once a *Diploma aggregation service* learner account is opened. See component awarding body guidance for any specific deadline by which prior achievements requests must be made. If all the mandatory information is accurate, allow 10 working days for prior achievement to be recorded in the learner account. \* These fields are mandatory. Complete as many other fields as possible, preferably with information from a statement of results or a certificate, for accuracy. A student's personal details must match those held by the *Learner register*.

# Personal, learning and thinking skills (PLTS) completion form

<b>Student's given name</b> <i>As held by the Learner register</i>	
<b>Student's family name</b> <i>As held by the Learner register</i>	
<b>Student's ULN</b>	
<b>Student's date of birth</b>	
<b>Home centre name</b>	
<b>Home centre number</b>	
<b>Date student started Diploma programme</b>	
<b>Diploma line of learning</b>	
<b>Diploma level of learning</b>	

I confirm that this student has completed the required 60 guided learning hours for personal, learning and thinking skills as part of their study towards a Diploma award.

<b>Name</b>	
<b>Role</b>	
<b>Assessment centre</b>	
<b>Email address</b>	
<b>Telephone number</b>	
<b>Signature</b>	
<b>Date</b>	

**Notes:** Use this form to record a confirmation that a student has completed the required 60 guided learning hours for personal, learning and thinking skills (PLTS) as part of their study towards a Diploma award. This form is not required by the awarding body but you may find it useful for internal administration purposes. Please complete all the fields. The student's personal details must match those held by the *Learner register*.



## About this publication

### Who is it for?

Exams officers, exams managers and curriculum planners working with the Diploma.

### What is it about?

This guide is about the administrative tasks relating to the assessment cycle of the Diploma, from the start of teaching, through to awarding.

### What is it for?

This reference guide identifies the administration tasks the exams office will manage during the assessment cycle of the Diploma qualification, and the systems, resources and tools exams officers will need to refer to.

### Related publications

*Getting ready for the Diploma – the essential guide for the exams office 2010*

*DAS Quick guide*

*DAS User guide for centres summer 2010*

### For more copies

Email [orderline@qcda.gov.uk](mailto:orderline@qcda.gov.uk)  
or download from [www.qcda.gov.uk/resources](http://www.qcda.gov.uk/resources)  
Reference QCDA/10/5041/p

### Contact information:

#### **Qualifications and Curriculum Development Agency**

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Textphone 0300 303 3012

Fax 0300 303 3014

[info@qcda.gov.uk](mailto:info@qcda.gov.uk) [www.qcda.gov.uk](http://www.qcda.gov.uk)