

14-19 Diploma Gateway 2 Guidance

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1 Introduction: the 14-19 Diplomas in context

1.1 The Government's 14-19 reforms are designed to encourage more young people to continue learning for longer and gain the skills and qualifications they need to progress into further and higher education or employment. Central to the reforms are the 14-19 Diplomas. These are a new set of challenging qualifications which prepare young people for higher and further education and the world of work in an innovative and exciting way.

1.2 The first five Diplomas will be taught for the first time from September 2008. A further five will be taught from September 2009. September 2010 will see the introduction of the final four, building up to the introduction of a national entitlement in 2013 for every young person to be able to study any one of the 14 lines of Diploma learning.

1.3 Each Diploma will contain pathways to accommodate a wide range of abilities and aspirations. Young people will be able to specialise in an area that particularly interests them or to explore a range of areas related to their chosen line of learning. Diplomas contain the best elements of current qualifications combined with fresh, new elements relevant to young people and the world around them.

1.4 The Diplomas have been conceived and designed in collaboration with Diploma Development Partnerships (DDPs), led by employers, and including education professionals and higher education. The DDPs have made sure

that the content of the qualifications meets the needs of employers and higher education. All Diplomas contain a common core, including, for example, a requirement to achieve success in functional English, mathematics and ICT.

1.5 Details of the content for the first five Diploma lines – Construction and the Built Environment; Creative and Media; Engineering; IT; and Society, Health and Development – can be found by following the links from www.qca.org.uk/qca_5396.aspx

1.6 The next five lines of Diploma learning will be Environment and Land-Based Studies; Manufacturing and Product Design; Hair and Beauty Studies; Business, Administration and Finance; and Hospitality and Catering. Further details and specifications can be found by following the links from www.qca.org.uk/qca_5400.aspx

1.7 In order to ensure high quality delivery of the new qualifications from the outset, the Department for Children, Schools and Families (DCSF), has put in place a Gateway process to assess proposals for early Diploma delivery. The first Gateway took place between autumn 2006 and spring 2007. This document sets out what will be required for the second round of the Gateway, which will determine the scope of Diploma delivery from September 2009. It explains who should consider applying to the Gateway, the role of local 14-19 Partnerships, and the process that applicants should follow.

1.8 Alongside this document the following documents are also available to help Gateway applicants prepare their application:

- Diploma Gateway on-line Management Information form, available by following the links from www.dcsf.gov.uk/14-19
- the application template, available by following the links from www.dcsf.gov.uk/14-19
- a curriculum modelling tool, developed by the Qualifications and Curriculum Authority (QCA) available from the QCA website: www.qca.org.uk

2 Delivering the new Diplomas

Who should apply to the Diploma Gateway

2.1 All consortia planning to deliver a Diploma line of learning for the first time need to apply to the Gateway. Consortia who received a conditional category 3 rating in the Gateway 1 process will automatically have their applications for their Gateway 1 Diploma lines reassessed and do not have to reapply to deliver these lines, more information is available at www.dcsf.gov.uk/14-19. However consortia approved for 2008 should note that material changes to the composition of a consortium, particularly if they affect teaching of Principal Learning, do require a further application.

2.2 The Gateway 2 process continues to set the bar for success high. It is important, therefore, for prospective consortia to assess at an early stage whether they have reasonable prospects of making a successful application. To help consortia with this, we have developed a short 'readiness to apply' tool, available in Annex A. This tool is designed to support governors and senior managers in their decision making and does not need to be submitted.

2.3 Consortia can apply for between one and ten of the ten Diploma lines available for delivery from September 2009. We believe that even for strong consortia it will be a significant challenge to deliver all ten Diplomas next year. However, we are interested to see applications from consortia who believe, from a position of clear strength, that they will be able to deliver all ten lines in 2009.

Support for consortia

2.4 In addition to this guidance, further support during the application process will include regional conferences in the autumn term 2007 to help consortia develop their provision. A range of Diploma line-specific guidance is also available via the DDP websites – more information about this is included in Annex B.

2.5 Support will also be provided to those who pass through the Gateway to ensure they are fully equipped to deliver. This support will include:

- a comprehensive package of workforce training and support (see para 2.7)
- a specific Gateway support grant (see para 2.11)
- support for managing the change that effective delivery may entail (see para 2.12)
- the existing programme of Learning Visits, which enable consortia to learn from each other and share best practice, will also continue – details can be found at: www.dcsf.gov.uk/14-19
- The curriculum modelling tool, referred to in para 1.8

2.6 We will also be discussing with DDPs what support they might provide successful Gateway 2 consortia to help their preparations for delivery in 2009.

2.7 Consortia approved to deliver Diplomas in September 2009 will be expected to engage in a programme of DCSF-sponsored support for workforce professional development. The support will be broadly comparable to that currently on offer to consortia delivering Diplomas in September 2008, details of which are in the *Professional Development Directory* available from www.dcsf.gov.uk/14-19

2.8 It will include access from September 2007 to Virtual Learning Environments (VLEs) for Diploma practitioners, leaders and managers, with access to on-line learning modules, communities and other resources. We are also offering a training needs analysis tool that has been developed to help teachers to assess their skills and determine their training needs. The tool is available now from www.teachertna.org. From autumn 2007 the tool will enable consortia to view the aggregate results for teachers in their institutions. It will also link to materials on the Diploma practitioner VLE that can help teachers to address gaps in their skills for teaching Diplomas.

2.9 We are also keen that practitioners and consortia share best practice. From December 2007, the Diploma practitioner VLE will include both on-line learning modules, developed specifically for practitioners in consortia aiming to deliver Diplomas in September 2009, and a leadership exchange programme. The sharing of best practice through the development of professional networks and the programme of Learning Visits will also continue to be developed and supported.

2.10 We will inform consortia of the details of support for professional development in 2008/09 when providing the results of Gateway 2.

2.11 Consortia delivering Diplomas in 2009 following approval at Gateway 1 or 2 will receive additional funding in 2008/09 to support Diploma and Functional Skills delivery. We expect that funding will be proportionate to the number of lines being delivered by a consortium and to

consortia size and specific needs. We will notify consortia of the amount of funding they will receive after we announce the results of Gateway 2. No funding will be distributed via this stream to consortia that are not approved through the Gateway process.

2.12 In order to prepare successfully for, and deliver Diplomas from, September 2009, consortia members may be required to make fundamental changes to some ways of working. Evidence suggests that success has been achieved locally where consortia have introduced and worked through their own change processes. In September 2007 we will publish a generic approach to change management for consortia that will set out principles and approaches that have worked for others. This will be available from the DCSF 14-19 website.

Functional Skills pilots

2.13 From September 2007, pilots will be testing Functional Skills qualifications to be used as part of Diplomas and, from 2010, as part of GCSEs and stand-alone qualifications. As Functional Skills are a core element within the Diplomas, all consortia delivering Diplomas from 2008 have centres taking part in the pilots. This gives each consortium's learners access to the Functional Skills assessments necessary to complete their Diplomas.

2.14 We will replicate this arrangement for consortia successful in the Gateway 2 process. Each consortium will be asked to nominate assessment centres to be added to the pilot from September 2008 (some will already have centres engaged with the pilots and will not have to nominate further centres), to give them the necessary capacity for assessing Functional Skills as an element of Diplomas from September 2009. Each consortium should nominate:

- three "firm" centres which will definitely take part in the Functional Skills pilot if they pass through the Gateway, and

- three additional “reserve” centres, some or all of which may also be added to the pilot, depending on the total number of consortia passing the through the Gateway.

Where consortia already have centres engaged in the pilot and feel they need additional capacity they **may** nominate additional centres as detailed in para 2.14 (up to 3 ‘firm’ and 3 ‘reserves’) but they do not have to.

2.15 We need to take this approach as the pilot will only have limited capacity in the run up to full roll-out. Decisions will be taken once the outcome of the Gateway is known.

3 The role of 14-19 Partnerships

3.1 Providing strategic leadership to each consortium is the role of the 14-19 Partnership: the group of bodies and institutions that are tasked with planning, commissioning and managing the delivery of 14-19 provision. A Partnership will normally involve the Local Authority (LA), the Learning and Skills Council (LSC), employers, higher education institutions and other agencies and organisations. The Partnership should provide oversight, support and challenge to any consortia delivering 14-19 education in its area.

3.2 The Gateway process is the first step in developing capacity based on robust and high quality collaborative arrangements, ensuring that only those who are able to deliver to the highest standards are delivering the Diplomas. However, as we move towards the full entitlement in 2013, we expect that the 14-19 Partnership will drive forward Diploma delivery, as part of the wider 14-19 reforms, and ensure a strategic area-wide approach that is coordinated and effective. The 14-19 Partnership's strategy to deliver the entitlement is therefore of increasing importance, and for that reason the Gateway application process seeks a supporting statement from the relevant Partnership explaining how the consortium's proposals fit with the wider area 14-19 development plans.

3.3 Although the primary focus at this stage is quality delivery of Diplomas, in due course areas will also need to consider how they can ensure appropriate provision is available for all young people in their area in light of plans to make post-16 participation in education or training compulsory from 2013.

Reflecting the local context

3.4 In some cases there will be several consortia in a 14-19 Partnership area. In other areas it will make sense for the consortium or 14-19 Partnership to work across traditional LA boundaries. These configurations may lead to different arrangements for different Diploma lines in the same area.

3.5 We are also aware that in some circumstances the 14-19 Partnership will be a purely strategic body, overseeing the work of several consortia within their area, whilst in others it may constitute the consortium. What is important is that the Partnership considers the best course of action to meet the needs of its learners now and in preparing for the national entitlement in 2013.

3.6 It is our aim that all parts of the country should feel in a strong position to deliver Diplomas. We recognise that the Gateway process poses different challenges for urban and rural areas. These challenges may include issues around the sufficiency, availability and reliability of transport and the time/cost of managing transport arrangements, particularly in rural areas. Other issues may involve employer engagement – in some areas, for example, the employer base may be dispersed or concentrated on specific sectors.

3.7 Different approaches have been taken to overcome these challenges. For example, a number of 14-19 Partnerships have developed arrangements which seek to reduce the need for young people to travel. Some have fostered a greater role for e-learning; some have taken the teaching or training to students via peripatetic teachers and mobile provision. Others have made

alternative travel arrangements or have ensured that subsidised public transport is provided to all young people up to the age of 19 who are in education or training.

Funding arrangements

3.8 In September, we expect LAs to receive details of their devolved capital funding. They will be asked to take a strategic view of the capital needs across their areas, including a focus on 14-19 investment as a key priority. To align with this strategic approach, we are asking LAs and local LSCs to confirm (in the 14-19 Partnership supporting statement in each application) that they will support any capital expenditure included within a Gateway submission. This will open up access to some of the £8bn capital investment being devolved to LAs to those submitting applications.

3.9 Consortia who feel that capital investment is required to develop a successful Gateway submission should therefore work with their LA and local LSC to plan how such an investment can feed into the overall 14-19 capital strategy within the local area.

3.10 There are a number of strands to the revenue funding allocation that will support Diplomas and the wider 14-19 reforms. Full details can be found at: www.dcsf.gov.uk/14-19. The usage of funding needs to be decided locally, and should build on existing successful Partnership models. We think that the best approach is to keep some funding at a Partnership level so that schools can draw on a central pool of funding, rather than meeting all Diploma costs from their delegated budget.

Future changes

3.11 As part of the Machinery of Government changes at the end of June it was announced that responsibility for 16-18 funding (with the exception of 16-18 Apprenticeships which will continue to be funded through the LSC) will pass from the LSC to LAs. Arrangements for the transfer of funding for 16-18 learners to LAs, will be subject to consultation and to the passing of the necessary legislation, and will not take effect until 2010. This process must make sure there will be no disruption to schools and colleges and to the introduction of Diplomas.

3.12 Ultimately, decisions on school funding, including Diplomas at KS4, will be made by LAs after consulting the Schools Forum. From 2008/09, 14-19 Partnerships will be separately represented on forums to ensure those decisions are consistent with area plans. Funding of Diplomas at KS4 from 2008/09 will be through a new specific formula grant to LAs.

3.13 An explanation of how the consortium's application supports the 14-19 Partnership's strategy, and of how capital and revenue funding will support the consortium, should be included in the Partnership's supporting statement in the consortium's application.

4 The 14-19 Diploma Gateway process

4.1 We want the Gateway process to be as transparent as possible. This section sets out in detail the stages in the application and assessment process. We have attempted to reduce the administrative burden for applicants by removing the previous requirement for consortia to complete separate applications for each Diploma line for which they are applying, by making the questions in Gateway 2 more focused, and by providing clear advice about the kind of evidence that is required.

Deciding to apply

4.2 Consortia deciding whether to apply for Diploma delivery from September 2009 should first complete the 'readiness to apply' tool in Annex A. This will help consortia decide whether to undertake the work required in making a full application at this time.

Making an application

4.3 The application form has two components: an online Diploma Gateway Management Information Form which requests specific factual information about the consortium; and a Word template containing information about the delivery arrangements. These will be available during the week commencing 10 September 2007 at www.dcsf.gov.uk/14-19.

4.4 To make an application, consortia will need to complete the online form, attach the Word template, and submit both electronically by 3 December. This can be done in two stages:

- by 7 November 2007: it would be helpful if consortia could complete the online Diploma

Gateway Management Information Form so that we can plan the assessment arrangements. The online form can be amended at any time before you make your full application;

- by 5pm on Monday 3 December 2007: finalise the online Management Information, attach the Word template and submit according to the instructions on the form. Late applications will not be accepted.

4.5 The Word template is in three parts (Parts A, B and C). The consortium must complete parts A and B; Part C must be completed by the 14-19 Partnership. Part A concerns consortium information (covering arrangements for collaboration, workforce development and information, advice and guidance); Part B seeks information about delivery arrangements for specific Diploma lines. The template includes detailed guidance both on how to complete the form and about what evidence needs to be provided. Further information to help inform applications is provided in the Diploma-specific guidance produced by the DDPs.

4.6 After Parts A and B of the template have been completed; applicants will need to ensure that the local 14-19 Partnership completes the supporting statement at Part C. Once that is done, all three Parts should be pasted into the on-line Diploma Gateway Application Form according to the instructions. No changes can be made to the application after Parts A-C have been added to the online application and submitted.

The assessment process

4.7 When we have received the applications, we will arrange for their assessment against the criteria set out in Annex B. Assessment of Part A of the application form will be undertaken by Cambridge Education advisers working on behalf of DCSF. Assessment of Part B will be undertaken by the relevant DDP for the Diploma line.

4.8 The Gateway 2 assessment process will also make more use of local intelligence, as it will now include an assessment by the relevant Government Office (GO) of the strength of the 14-19 Partnership and the position of the consortium's proposals within that context. The process for collecting this intelligence will be undertaken by GOs in a transparent way, informed by discussions with key members of the 14-19 Partnership, relevant Ofsted reports and institutional performance data.

4.9 Each assessment will take the form of brief commentaries and a Red/Amber/Green rating. Over February 2008, these will then be considered by Regional Panels which will include representatives from DCSF, GOs, the DDPs, the LSC, Higher Education and the National Strategies. These Panels will consider the applications in each region and make recommendations to the National Moderation Panel made up of the representatives from DCSF, DDPs and the QCA. Following the national moderation, recommendations will go to DCSF Ministers for agreement.

4.10 As in Gateway 1, applications will be graded into one of four categories:

- Category 1 – recommended to go through for 2009 delivery with no conditions;
- Category 2 – recommended to go through for delivery from September 2009 with conditions that will need to be met within three months;
- Category 3 – not ready for September 2009 but with conditions which, if met, would mean they would be ready for September 2010;

- Category 4 – will need to reapply to a subsequent Gateway.

4.11 The announcement of Gateway 2 results will be made in early April 2008. All consortia will receive, by email, detailed feedback on their application at the time of the announcement.

Awarding Bodies approval and Diploma delivery

4.12 Consortia that receive Category 1 or Category 2 results will then be able to go forward to seek Awarding Body approval to deliver the suggested Diplomas. 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.

4.13 Awarding Bodies are continuing to work with DDPs to develop qualifications to meet the Diploma specifications. For the first five lines these have now been accredited by QCA; the second five lines will be accredited in June 2008.

4.14 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 QCA website.

4.15 All consortia going forward to delivery in 2009 will receive a comprehensive package of support to prepare and equip them to effectively deliver the Diplomas in 2009 and beyond.

Annex A – Readiness to Apply Tool

This tool will help consortia considering whether to make a Gateway application to decide whether they are ready to apply. Using it will give you a quick and easy way of seeing whether your consortium is in a position to meet some of the key criteria that will be applied in the rigorous assessment process.

Please consider the statements and mark your position in the appropriate tick box. Then look at the comments under 'scoring'.

If you decide not to apply to this year's Gateway, there is support available for on-going development. This includes:

- Further guidance, including access to on-line learning modules, communities and other resources, and guidance on change management. Annex B and this year's application form also provide further information about what you should be working towards.
- Regional conferences for developing consortia. These will be available in the Spring term 2008.
- A training needs analysis tool, developed to help teachers to assess their skills and determine their training needs, and which will allow consortia to aggregate results across their institutions. Available from <http://www.teachertna.org>.

This tool is for your use only – please do not include it with your application if you decide to make one.

	Current consortium position		
Ideal position	Column 1	Column 2	Column 3
1. Our consortium partners, including employers and HEIs, are already working well together on shared delivery of provision, with detailed agreements in place on management of learning delivery and student achievement and progression	Not yet – coverage is limited, we need new partners and detailed planning has yet to occur <input type="checkbox"/>	Nearly – it's still early days, but we have made a start on shared delivery and have detailed plans in place to improve our coverage <input type="checkbox"/>	Yes – we've got a good record of working together, strong plans, and a good sector coverage and skills mix <input type="checkbox"/>
2. We have an agreed, consortium-wide process which guarantees impartial and objective IAG that meets the 12 quality criteria set out in 'Quality Standards for Young People's Information Advice and Guidance'	No – detailed work to develop this process has yet to occur <input type="checkbox"/>	Not yet – but we do have a detailed plan for building on existing IAG agreements to create a consortium-wide process that will meet the Quality Standards in time for Diploma delivery <input type="checkbox"/>	Yes – we already have in place a consortium-wide process, and evaluation shows good evidence of high-quality, comprehensive and impartial provision in line with the Quality Standards <input type="checkbox"/>
3. We have a clear understanding of the workforce required to deliver the Diplomas and plans in place to meet any staff or skills gaps	Not yet – we've still to consider what skills and qualifications are required or to develop plans to audit the current position of our workforce <input type="checkbox"/>	Not fully – but we have firm plans in place to develop our broad understanding of the skills and qualifications required, audit existing workforce skills and address any gaps <input type="checkbox"/>	Yes – we have a detailed understanding of the skills and qualification required and plans in place to audit existing workforce skills and address any gaps <input type="checkbox"/>
4. We have started work on the changes required to our current learning delivery arrangements to enable successful delivery of each Diploma line	Not really – we have only just started considering what new arrangements will be required <input type="checkbox"/>	Not fully – but our local providers have a good record of learning delivery in relevant curriculum areas, and we have started planning to address any gaps in provision <input type="checkbox"/>	Yes – our learning providers have a good record in relevant curriculum areas and our plans give them clear responsibility for developing their provision to match the needs of learners <input type="checkbox"/>

	Current consortium position		
Ideal position	Column 1	Column 2	Column 3
5. We have appropriate specialist facilities and learning environments in place	<p>Not yet – we don't have a clear understanding of how we should enhance our facilities, and have yet to agree a firm timetable for auditing them against the needs of the Diplomas and addressing any gaps</p> <p style="text-align: right;"><input type="checkbox"/></p>	<p>Not yet – but we have detailed plans in place to identify the facilities we need and address any gaps in current provision in time for Diploma delivery</p> <p style="text-align: right;"><input type="checkbox"/></p>	<p>Nearly – we have some appropriate specialist and applied facilities already in place, and clear plans and funding to enhance them and ensure they are accessible for all students</p> <p style="text-align: right;"><input type="checkbox"/></p>
6. We have productive employer and HE involvement in relevant education provision and full buy-in to our Diploma proposal	<p>Not really – our links with employers and HE in the design and delivery of learning provision are limited</p> <p style="text-align: right;"><input type="checkbox"/></p>	<p>Nearly – we have some good examples of employer/HE design and delivery of relevant learning provision, and clear plans to expand and improve this in time for Diploma delivery</p> <p style="text-align: right;"><input type="checkbox"/></p>	<p>Yes – we have a strong history of productive employer/HE links and our employer/HE partners have been actively involved in planning our proposals</p> <p style="text-align: right;"><input type="checkbox"/></p>
7. Our current Diploma proposals are integrated into a longer-term strategy for delivering the full 14-19 Diploma entitlement across the consortium/14-19 Partnership [as appropriate] by 2013	<p>No – we have yet to consider in detail how we will deliver the full 2013 Diploma entitlement across the consortium/14-19 Partnership</p> <p style="text-align: right;"><input type="checkbox"/></p>	<p>Not fully – we have an outline strategy for meeting the 2013 entitlement but need to develop more detailed plans building on our current Diploma proposals</p> <p style="text-align: right;"><input type="checkbox"/></p>	<p>Yes – our proposal is part of a plan for expanding provision to deliver the entitlement within the consortium/14-19 Partnership in all 14 lines by 2013</p> <p style="text-align: right;"><input type="checkbox"/></p>
8. We have full support from our local 14-19 Partnership and other strategic partners	<p>Not sure – we haven't yet had detailed discussions</p> <p style="text-align: right;"><input type="checkbox"/></p>	<p>Probably – although in our early discussions they have suggested we need to do more work</p> <p style="text-align: right;"><input type="checkbox"/></p>	<p>Yes – we have discussed and they expect us to put in a strong application</p> <p style="text-align: right;"><input type="checkbox"/></p>

Scoring

Mainly column 1	Mainly column 2	Mainly column 3
<p>This indicates that you may need more time to meet the standard required to deliver the Diplomas. Please consider carefully whether it makes sense for you to apply this year or whether you should work towards an application next time.</p>	<p>You seem to be in a reasonable position to develop an application, but the consortium will have to demonstrate strengths against all the criteria so further work will be required in order to progress through the Gateway and deliver your planned Diploma line(s) from September 2009.</p>	<p>We cannot be certain until you provide us with evidence, but it sounds like you are in a good position to proceed with an application.</p>

Annex B – Guidance on the completion of the Gateway 2 Application Form

1. The purpose of this Annex

This Annex has two main purposes: it explains what evidence is required from consortia to provide good answers to the questions in Part A of the Gateway 2 Application template; and it sets out the criteria against which answers will be assessed, in the form of ‘traffic-light’ assessment ratings. These ratings, made by the assessors, will inform the Regional Panel’s decisions about applications.

This document can also be used as a guide by consortia who need to improve their provision as they work towards the 2013 Diploma entitlement – including those who decide to delay making an application because they are not in a position to apply in this year’s Gateway process.

Guidance on completion of Part B of the Gateway 2 Application template can be found on individual Diploma Development Partnership websites (see paragraph 2 for further detail).

2. Other sources of help

As well as the advice set out here, you will also find it helpful to consider specific advice that has been produced by the relevant Diploma Development Partnership for the Diploma line for which you are applying. All the DDPs are providing the following information:

- access to line of learning statements
- access to line of learning criteria
- access to qualification specifications (for the first five Diploma lines)
- Diploma specific application advice
- Diploma marketing and communications material

Some DDPs are also able to provide additional support such as email enquiry services. Details about their support can be found on individual DDP websites:

First five Diploma lines

- Construction and the Built Environment – www.cbediploma.co.uk/
- Creative and Media – www.skillset.org/qualifications/diploma/
- Engineering – www.engineeringdiploma.com/
- Information Technology – www.e-skills.com/diploma
- Society, Health and Development – www.skillsforhealth.org.uk/diploma/

Second five Diploma lines

- Environmental and Land-Based Studies – www.diplomaelbs.co.uk/
- Hair and Beauty Studies – www.habia.org/news.asp?PT_ID=227&strPageHistory=cat
- Business, Administration and Finance – www.baf-diploma.org.uk/
- Manufacturing and Product Design – www.manufacturingdiploma.co.uk/
- Hospitality and Catering – www.people1st.co.uk/14-19-diplomas

3. Guidance on the completion of the Gateway 2 Application Form

PART A CONSORTIUM EVIDENCE

A1 Collaboration

Figure A1.1 Working in collaboration with schools, colleges, training providers, HE institutions and employers

The strongest evidence will show the consortium to be an active working group that is already offering joint curriculum provision. Previous success in shared delivery is the clearest demonstration of this. Less developed consortia need to show that they have built a strong consensus, based on clear and robust agreements, that is now enabling them to address practical delivery issues.

The consortium should demonstrate that it is making the best use of the range of specialisms of all the partners in its area, including employers and HEIs, in both planning and delivery. Evidence should clearly demonstrate the commitment of partners. Outline the nature of the expected involvement in these arrangements of any other institutions/organisations which have formally committed to join the consortium by September 2008. Make specific reference to any other consortium members not already listed on the on-line form (eg city learning centres or Lifelong Learning Networks) which will make particular contributions to delivery.

Further detail on collaborative Diploma-specific delivery arrangements is sought in the Application template at B1.2

Green	Green/Amber	Amber/Red	Red
All relevant partners are in the consortium, which has a record of successful joint working	All relevant partners are in the consortium, but there is a limited history of successful working together or Not all relevant partners are currently in the consortium, but there is the right mix of skills to deliver the Diploma line(s) applied for or The consortium needs to bring in new partners to deliver the line(s), and has clear plans to do so	The consortium does not include all relevant partners and has a limited history of working together or The consortium needs to bring in some new partners but does not yet have clear plans to do so by July 2008	The consortium does not include several relevant partners, and has a limited history of working together with no clear plans to improve by July 2008

A1.2 Consortium roles and accountabilities agreed, with clearly defined leadership, organisational and administrative arrangements

To answer this question, you will need to provide specific evidence of your arrangements. Each item in the question should be addressed, with a summary of agreements which are now finalised for 2009 delivery and a detailed description of plans for achieving agreement in other areas by July 2008. Where fundamental changes to current ways of working will result, you should describe how your arrangements are part of a structured approach to change management.

Green	Green/Amber	Amber/Red	Red
<p>There are comprehensive, cross-institutional agreements, including allocation of leadership responsibilities, for:</p> <ul style="list-style-type: none"> • students' achievement and progression through levels 1 to 3, from pre- to post-16 education or training and to Higher Education and employment • management of and support to students • funding arrangements, showing vfm aspects of the arrangements • timetabling • transport • quality assurance and evaluation of effectiveness 	<p>There are effective agreements covering many of these issues, with strong timeline plans to address any gaps by July 2008</p>	<p>There are agreements covering a few of these issues, but it is not clear that plans are in place to address any gaps by July 2008</p>	<p>There is no persuasive evidence of effective agreements covering these issues or of plans to address this</p>

A2 Information, advice and guidance

A2.1 Ensuring delivery of high quality, comprehensive and impartial IAG

The DCSF Quality Standards for Young People’s Information, Advice and Guidance was published in July 2007 and will come into effect from April 2008. They are available at www.cegnet.co.uk/content/default.asp?Pageld=2422. The Standards define the DCSF expectations of a high quality IAG service and should be seen as the benchmark for the level of service required in formulating Diploma proposals.

It is particularly important for IAG to be learner-led. As well as committing to this principle, the proposals that you set out in answer to this section must explain the practical safeguards which you will take to guarantee that IAG will be objective, impartial and learner focused. You should include information on the roles and responsibilities of organisations and individuals and how they will work together to lead and deliver IAG. You should also show how young people, parents and carers, employers and HE institutions will be involved in the design, delivery and evaluation of IAG.

Your proposal should show that Diploma choices are offered as an integral part of the CEG programme for all learners at key times. There should be specialist advice on the content of all Diplomas and their associated occupational and progression opportunities. Careers fairs and similar briefing events, which should also involve parents, are an important addition to the in-school programme. Work sampling and mentoring can also develop understanding beyond more traditional approaches. Whilst these approaches may involve arrangements with external agencies such as Connexions Services, it is important to show that your consortium has real ownership of IAG provision and can demonstrate partnership working across the consortium.

Your proposal should set out how the service will be improved over time through regular monitoring, review and evaluation, and how the service is informed by feedback from parents/carers, young people and learning providers. Accessibility, take-up and effectiveness of advice and achievement of targets are key aspects for evaluation. Self-assessment against the IAG Standards should play an important role.

Green	Green/Amber	Amber/Red	Red
<p>Evidence from current practice shows adherence to the IAG Quality Standards, in particular:</p> <ul style="list-style-type: none"> • IAG is clearly learner-led, with agreed principles and established practice for guaranteeing impartiality and objectivity • roles and responsibilities of organisations involved in IAG are clearly defined to ensure collaborative working and eliminate competitive recruitment • there are clear plans for evaluating IAG delivery, with the goal of continuous improvement • young people, parents and carers, employers and HE institutions are engaged in design, delivery and evaluation of the service <p>The consortium as a whole takes ownership of the IAG programme</p> <p>Information is integrated in the Key Stage 3 CEG programme, and presents all options to all students</p> <p>Timely advice and guidance on course choices, and on implications of course choices for post-16 routes, is presented in an area-wide prospectus</p> <p>Approaches allow real experience, such as work sampling and mentoring</p>	<p>Current practice is clearly learner-led but needs to develop in respect of roles and responsibilities or engagement of others; however, there are clear plans for doing so by July 2008</p> <p>The consortium has agreed principles around monitoring and evaluation principles, and has clear plans to develop practice more strongly by July 2008</p> <p>There is strong consortium ownership of IAG, most features are addressed, and there is a clear plan to address any gaps by July 2008</p>	<p>More development is needed to ensure that IAG is learner-led and it is not clear that this can be achieved by July 2008</p> <p>The consortium has some recognition of principles of evaluation but proposals for practice need more development and it is not clear that this will happen before July 2008</p> <p>The consortium needs to take stronger ownership of the process and to improve in several respects, but it has clear plans to do so by July 2008</p>	<p>Current practice appears not to be learner-led and there are no convincing plans for improvement by July 2008</p> <p>The consortium has no clear proposals for evaluation and no clear plans to develop evaluation arrangements by July 2008</p> <p>There is no clear evidence of consortium ownership of IAG and no clear plans to develop this appropriately by July 2008</p>

A2.2 Raising aspirations and demonstrating progression routes, with clear links to local employers and HE

You should show here how your consortium arrangements will ensure that learners can be supported and challenged with positive scenarios for progression. Progression possibilities through Diplomas should be presented positively as an option for all learners. Your proposals need to detail the steps which are taken to guarantee this, including the promotion of HE routes which are open to learners beyond the Advanced level (level 3). Good communication with parents is also a key aspect of successful strategies. Further evidence about arrangements for ensuring appropriate learner progression routes linked to specific Diploma lines is sought in the Application template at B1.4.

Green	Green/Amber	Amber/Red	Red
<p>There is good evidence of Diplomas being presented positively as a route to employment and HE and of strong IAG arrangements within Diploma delivery</p> <p>The consortium has agreements over progression targets</p> <p>Current practice shows good evidence of increasing progression from levels 1 to 3, to HE and to employment through applied provision</p>	<p>The consortium has strong principles around progression, but there is a need to develop practice. However, detailed plans exist to strengthen progression arrangements and their presentation by July 2008</p>	<p>Current principles and practice are limited and it is not clear that strong plans for improvement will be in place by July 2008</p>	<p>There is little or no evidence of consortium-wide agreements around progression and no clear plans to improve by July 2008</p>

A2.3 Meeting the needs of all learners, overcoming accessibility issues, challenging stereotypes and championing diversity

It is essential that its provision should be available to young people from all institutions in the area of the consortium. In answer to this question, therefore, you should explain how all young people will access provision which may only be available through a limited number of institutions in an area. The extent of such availability should relate to the 14-19 Partnership plan.

Inclusion should be a priority for those involved in IAG, and it may be necessary to challenge some traditional patterns of choice. Please mention here the steps that you are taking to include those with special educational needs and disabilities and how a range of methods are used to communicate key messages to all groups. Successful engagement with parents is important in this area. Proposals should show how positive action is to be taken to counter stereotypes of race, gender, and socio-economic status.

Green	Green/Amber	Amber/Red	Red
<p>Building on previous successful practice, the consortium offers Diploma opportunities to learners of all abilities, to those from disadvantaged groups and those with special needs and disabilities</p> <p>The consortium takes positive action to overcome stereotypes of race, gender, disability and socio-economic status</p>	<p>The consortium has positive principles for access and challenging stereotypes, and although some additional development of practice is required it has clear plans to do so by July 2008</p>	<p>There is some previous successful practice, but it is not clear that plans to broaden Diploma opportunities to the whole cohort will be in place by July 2008</p> <p>The consortium needs to take more positive steps to tackle stereotypes, but has plans to do so</p>	<p>The consortium needs to offer Diploma opportunities to a wider group than those currently identified</p> <p>The consortium needs to tackle stereotypes more actively</p> <p>No evidence of clear plans to remedy weaknesses by July 2008</p>

A3 Workforce

A3.1 Understanding staff skills and qualifications against Diploma requirements

You should describe here how you are auditing staff skills (including staff skills relating to industry/sector experience) against Diploma requirements, bearing in mind that past experience in similar subject areas to the Diplomas applied for may not be a sufficient qualification for quality delivery without some further development.

Green	Green/Amber	Amber/Red	Red
There is a thorough consortium analysis of the skills and qualifications required, including support staff and addressing workforce diversity issues	The consortium has carried out a broad analysis, and has a clear timeline plan to undertake a more thorough one by July 2008	There is an unsatisfactory analysis of workforce skills and qualifications and significant work needed to undertake a more thorough one by July 2008	There is an insufficient or no analysis and no timeline for developing one

A3.2 Ensuring the workforce has the skills and qualifications to deliver Diploma requirements, with a commitment to continuing professional development

You should describe the process for converting the results of your audit into detailed plans for filling the gaps between Diploma and functional skills teaching needs and the skills and qualifications of the existing staff. This should not be limited to DCSF-sponsored mandatory training. A consortium approach, bringing together all providers within an integrated programme, is likely to support the aims of collaborative delivery better than a programme based on separate institutions. Programmes which include placements within industry will also support employer engagement strategies for the consortium. Describe 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. Reference to these issues in respect of particular Diploma lines should be made in your answer to B1.4 in the Application template.

All school teachers involved should be appropriately qualified; all teaching staff of FE colleges and work-based learning providers, if not already qualified or enrolled on a course that results in qualification, should work towards QTLS status (in accordance with the Further Education Teachers’ Qualifications (England) Regulations 2007, which came into force on 1 September 2007) in order to deliver Diplomas from September 2009. This includes relevant subject specialisms. The involvement of other skilled practitioners, such as technicians, employer representatives and HEI lecturers, and other relevant staff (eg examinations officers) should also be described.

Programmes of continuous professional development are as important for Diploma delivery as initial preparedness, particularly to show that practitioner skills and understanding are keeping pace with industry and other sector developments. Details of work placement programmes and mentoring arrangements are especially important here, along with plans to support on-going development of professional skills and subject knowledge.

Green	Green/Amber	Amber/Red	Red
<p>The current workforce across the consortium has the experience and qualifications to match the demands of Diploma lines</p> <p>Those not yet fully qualified will be by September 2009</p> <p>All staff will have an annual programme of CPD related to the Diploma line, including relevant industry/other sector experience</p>	<p>Some training of staff is needed but the consortium has a clear plan for developing the current workforce in time for delivery in September 2009</p> <p>Some clarification is needed on the arrangements for CPD related to the Diploma line</p>	<p>Some training of staff is needed and it is not clear that it will be complete in time for delivery in September 2009</p> <p>There is insufficient evidence of a consortium-wide approach to training</p> <p>There are significant concerns about whether all staff will be qualified to teach the Diploma line by September 2009</p> <p>Significant clarification is needed on the arrangements for continuing CPD related to the Diploma line</p>	<p>There is no clear plan to develop the workforce, or a misunderstanding of its training requirements.</p> <p>Not all staff will be qualified to teach the Diploma line by September 2009</p> <p>There are no clear plans for CPD related to the Diploma line</p>

A3.3 Understanding how new recruits will be brought into the workforce

Any 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) should be shown within a timeline that allows sufficient time for preparation for Diploma delivery.

Green	Green/Amber	Amber/Red	Red
There are detailed recruitment projections and plans agreed against the consortium skills analysis, including a plan to address diversity issues	Recruitment projections and plans have not yet been agreed but there are clear arrangements, with detailed milestones, to do so by July 2008	Recruitment projections and plans have not yet been agreed and it is not clear that this can be achieved in time to recruit for September 2009 start	There is no clear plan to fill gaps in the workforce and/or a poor understanding of how to bring in new recruits

PART B DIPLOMA LINE-SPECIFIC EVIDENCE

B1 Diploma Components

B1.1 Understanding the specific needs and breadth of the Diploma line and how the delivery model will address this

You should show here 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. You should take this opportunity to describe any features of your proposal which you think are particularly strong or innovative in terms of content or approaches to teaching and learning. You should refer to the Diploma-specific guidance produced by the relevant Diploma Development Partnership to inform your reply.

Green	Green/Amber	Amber/Red	Red
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	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 2008	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 2008	The consortium shows little understanding of the objectives and content of the Diploma line

B1.2 Record of previous delivery in the subject areas of the Diploma line

Building on your consortium-level answer to A1.1 of the Application template, 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. You should also mention any evidence which shows that the provision has catered for all levels of prior attainment and need, and evidence of particular strength of institutions involved (eg CoVE or specialist status).

Green	Green/Amber	Amber/Red	Red
Institutions identified to teach Diploma lines have a good record of high quality delivery New providers have convincing arrangements for developing and assuring quality	Institutions identified to teach Diploma lines have a record of satisfactory delivery, and there are clear plans for improving performance for 2009 delivery There are some concerns about the arrangements made by new providers for quality development and assurance but clear plans exist for improving performance for 2009 delivery	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 2009 delivery 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 2009 delivery	There are unsatisfactory quality indicators in existing provision The arrangements proposed by new providers for quality development and assurance are unsatisfactory

B1.3 Clear allocation of programme delivery roles to the various partner institutions within an integrated programme

In answer to this question, you need to show both that responsibility for elements of the programme is clearly allocated to institutions which are competent to deliver and how the elements will be integrated in the learners' experience. Identify lead institutions for the Diploma line where applicable. 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. The use of diagrams may be helpful to show partner roles.

Green	Green/Amber	Amber/Red	Red
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	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	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	Responsibilities for the elements of the learning programme and arrangements for its integration are not clear

B1.4 Appropriate arrangements for the numbers of learners projected for the Diploma line and their progression into relevant employment or HE

You need to show that there has been a detailed analysis of learner needs against the resources available and that access 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 explain what staff skills and qualifications will be needed to deliver 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. Building on the evidence provided about consortium arrangements in answer to A1.2 of the Application template, you should describe any arrangements for ensuring appropriate learner progression routes linked to the specific Diploma line, including plans to work with employers, HE Institutions and Lifelong Learning Networks.

Green	Green/Amber	Amber/Red	Red
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	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 2008	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 2008	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

B2 Facilities

B2.1 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. You should 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. You should make particular mention of any developments which use employers' premises or which offer other opportunities for linking Diploma learning with the world of work. Please also 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 2009	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 2009 delivery	A range of facilities are not in place and there are no convincing plans to provide them

B2.2 Allocation of clear responsibility for managing specialist facilities and ensuring access for the whole consortium

You should take this opportunity to 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.

In line with existing SEN and disability legislation, there should be clear arrangements for access for these learners.

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 those with 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 2009 delivery	Many arrangements not yet in place and it is not clear that all appropriate arrangements will be by July 2008	Current arrangements are unsuitable and there are no plans to correct them, or only unconvincing plans

B3 Employer Engagement

B3.1 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. You should also mention any employer partnering which will enable staff to keep up-to-date with industry/other sector developments.

Green	Green/Amber	Amber/Red	Red
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	There is some evidence of reasonable links with the relevant industry/ other sector(s) and some understanding of their significance locally	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	There is no evidence of previous practical links with the industry sector(s) and no awareness shown of their significance in the locality

B3.2 Employer involvement in planning, delivery and evaluation of the outcomes from the Diploma line

The Diploma programme is employer-led at national and local levels. It is therefore important to 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. You should describe how the employers will support delivery of the content of the Diploma. You should also take this opportunity to 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.

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 2008	Significant development of current practice is needed, and it is not clear that this can be achieved by July 2008	There is a negligible history of engagement of employers and no obvious engagement in planning or design of programmes

B3.3 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 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
Learning environments and placements are already in use and are sufficient in quantity and quality for realistic application of learning	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 2009	Significant improvement in quantity/quality of learning environments is needed and it is not clear that this can be delivered for September 2009	No or few quality learning environments and placements are available and consortium plans for improvement are not convincing

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