

# DIPLOMA PRINCIPAL LEARNING UNITS INTERNAL ASSESSMENT AND MODERATION GUIDANCE FOR CENTRES SEPTEMBER 2008



*AQA and City & Guilds are working together to provide Diplomas.*

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# Diploma availability

Lines of learning refer to the broad subject areas covered by the Diplomas. There will be 17 available lines of learning by 2011.

## **AQA-City & Guilds Diplomas available September 2008:**

- [Construction and the Built Environment](#)
- [Creative and Media](#)
- [Engineering](#)
- [IT](#)

## **AQA-City & Guilds Diplomas available September 2009:**

- [Business, Administration and Finance](#)
- [Environmental and Land-Based Studies](#)
- [Hair and Beauty Studies](#)
- [Hospitality](#)
- [Manufacturing and Product Design](#)
- [Society, Health and Development](#)

## **AQA-City & Guilds Diplomas available September 2010:**

- Public Services
- Retail Business
- Sport and Active Leisure
- Travel and Tourism

## **By September 2011 the following Diplomas will be available:**

- Humanities
- Languages
- Science

# Diploma grading

To be awarded a Diploma, a candidate needs to complete all components (Generic Learning, Principal Learning and Additional & Specialist Learning)<sup>1</sup> and to pass all three Functional Skills at the appropriate levels<sup>2</sup>. Principal Learning, Functional Skills and the Project will also be awarded as individual qualifications.

The Diploma grade comes from the aggregate score of Principal Learning and the Project.

Diploma grading will be reported as follows:

- Foundation Diploma: A\*, A, B or ungraded (U)
- Higher Diploma: A\*, A, B, C or ungraded (U)
- Advanced Diploma: A\*, A, B, C, D, E or ungraded (U)

A Diploma transcript will:

- \* record and report the candidate's achievements in Principal Learning units and qualifications
- \* contain grades at unit level for Principal Learning
- \* record the achievement of Personal, Learning and Thinking Skills
- \* record the completion of work experience.

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<sup>1</sup> Except that Additional & Specialist Learning is not part of the Progression Diploma.

<sup>2</sup> Level 1 for the Foundation Diploma and Level 2 for the Higher and Advanced Diplomas.

# Support – Our team

## Diploma Advisors

We have Diploma Advisors to advise and assist centres/consortia offering the Diploma. Available for personal visits and contactable by phone or e-mail, our advisors are an invaluable resource. Our Diploma specialists ensure you receive the best advice and service. To [book a visit](#) from a Diploma Advisor, fill out the form on the website and one of our team of dedicated Diploma Advisors will be in touch to arrange a face-to-face meeting.

## Teacher Support Officers

For further information or assistance with upcoming Teacher Support events and training, contact our [Teacher Support Officers](#).

Subject	Teacher Support Officer
Business, Administration and Finance	Liz Hey e: <a href="mailto:ehay@aqg.org.uk">ehay@aqg.org.uk</a> t: 01483 556 383
Construction and the Built Environment	Christopher Kates e: <a href="mailto:ckates@aqg.org.uk">ckates@aqg.org.uk</a> t: 01423 534 358
Creative and Media	Liz Hey e: <a href="mailto:ehay@aqg.org.uk">ehay@aqg.org.uk</a> t: 01483 477 859
Engineering	Christopher Kates e: <a href="mailto:ckates@aqg.org.uk">ckates@aqg.org.uk</a> t: 01423 534 358
Environmental and Land-Based Studies	Simon Miles e: <a href="mailto:smiles@aqg.org.uk">smiles@aqg.org.uk</a> t: 0161 957 3988
Hair and Beauty Studies	Angela Whitnall e: <a href="mailto:awhitnall@aqg.org.uk">awhitnall@aqg.org.uk</a> t: 01483 477 852
Hospitality	Christopher Kates e: <a href="mailto:ckates@aqg.org.uk">ckates@aqg.org.uk</a> t: 01423 534 358
IT	Samantha Higson e: <a href="mailto:shigson@aqg.org.uk">shigson@aqg.org.uk</a> t: 0161 958 3874
Manufacturing and Product Development	Christopher Kates e: <a href="mailto:ckates@aqg.org.uk">ckates@aqg.org.uk</a> t: 01423 534 358
Society, Health and Development	Samantha Higson e: <a href="mailto:shigson@aqg.org.uk">shigson@aqg.org.uk</a> t: 0161 958 3874

## Subject Officers

Our Subject Officers are available to provide ongoing line of learning support. They can assist you with assessment, moderation, delivery and any other technical line of learning queries.

Diploma	E-mail	Telephone
Business, Administration and Finance	<a href="mailto:Business@aqa.org.uk">Business@aqa.org.uk</a>	01483 477862
Construction and the Built Environment	<a href="mailto:DiplomaConstruction@aqa.org.uk">DiplomaConstruction@aqa.org.uk</a>	0161 957 3921
Creative and Media	<a href="mailto:MediaStudies@aqa.org.uk">MediaStudies@aqa.org.uk</a>	01483 477792
Engineering	<a href="mailto:Engineering@aqa.org.uk">Engineering@aqa.org.uk</a>	0161 957 3674
Environmental and Land-Based Studies	<a href="mailto:DiplomaEnvironment@aqa.org.uk">DiplomaEnvironment@aqa.org.uk</a>	01483 556123
Hair and Beauty Studies	<a href="mailto:DiplomaHairBeauty@aqa.org.uk">DiplomaHairBeauty@aqa.org.uk</a>	0161 958 3858
Hospitality	<a href="mailto:DiplomaHospitality@aqa.org.uk">DiplomaHospitality@aqa.org.uk</a>	0161 958 3858
IT	<a href="mailto:ict-subjects@aqa.org.uk">ict-subjects@aqa.org.uk</a>	0161 957 3665
Projects	<a href="mailto:Projects@aqa.org.uk">Projects@aqa.org.uk</a>	01483 556433

## Ask AQA

[Ask AQA](#) is our on-line query service. You have 24-hour access to useful information and answers to the most commonly-asked questions at <http://www.aqa.org.uk/rn/askaqa.php>. If the answer to your question is not available, you can submit a query for our team. Our target response time is one day.

# Introduction

This guidance, for teaching staff, gives details of the arrangements for moderation visits for internally assessed Principal Learning Units.

The guidance is split into four sections:

**Section A - Before the Stage 1 visit**

**Section B - The Stage 1 visit**

**Section C - Before the Stage 2 visit**

**Section D - The Stage 2 visit**

An index and examples of the relevant forms are included.

## **Section A – Before the Stage 1 visit**

The Stage 1 visit is an advisory visit from a moderator representing AQA-City & Guilds which takes place at a fairly early stage during the delivery of Principal Learning. This visit will also cover the information and guidance from the NAA.

The moderator will contact the domain assessor to make arrangements for the visit. The domain assessor should liaise with other staff as necessary before finalising the date.

The moderator will normally visit only one centre in the consortium (which is likely to be the centre at which the domain assessor is based). Exceptionally, the domain assessor may arrange with the moderator to visit more than one centre. If, for example, specialist teaching of one of the units takes place in a different centre, the moderator may find that this centre also needs to be visited in order to meet the objectives of Stage 1 moderation.

Any work already completed should be available for the moderator to inspect so that he/she can give guidance on the suitability of this work to meet the requirements of the unit. The consortium's plans for the internally assessed units should also be available for discussion.

## **Section B – The Stage 1 visit**

The moderator will inspect some work, if available, and check matters such as:

- task setting against assessment criteria
- understanding of controlled conditions
- marking of internal assessments
- arrangements for internal standardisation
- coverage of PLTS
- coverage of Applied Learning.

The moderator will give advice, feedback and guidance on each of the above.

Following the Stage 1 visit, the moderator will be available to give advice to the domain assessor by telephone and/or e-mail.

## Section C - Before the Stage 2 visit

The Stage 2 visit will take place during April or May, on a date to be agreed between the moderator and the domain assessor, to check that work is being marked to the correct national standard. The moderator will contact the domain assessor to arrange the date of the visit.

### Completion of tasks

Agree with the moderator which units he/she will inspect and ensure that candidates have completed the required tasks under appropriate controlled conditions.

### Control criteria for tasks

The internally assessed assignments are taken under controlled conditions and the forms of evidence required in each unit will drive the controls needed. The specification contains further guidance in the assessment section of the unit concerned. The following controls should be in place, where appropriate, for individual tasks:

*Activity* – A video or DVD recording or a witness testimony describing the activity will be necessary as evidence of ephemeral work carried out before the visit.

*Research of relevant sources of material* – A bibliography or list of sources eg museums, businesses, organisations, websites will provide evidence of research. The teacher/tutor may also question candidates on their research and submit signed notes from these questions as evidence.

*Record of interviews* with business, industry or third party representatives – Transcripts or audio recordings (if permitted by the individual concerned), or the candidate's own record of the interview and evidence of permission / observation / witness statement by an observer may be used as evidence of interactions with candidates.

*Practical assignments* – These must be conducted under supervision and the outcome submitted for moderation if possible. Where work is carried out over an extended period of time, it is possible that the teacher/tutor may not supervise the whole of the process, however, sufficient supervision must take place to ensure that the material for assessment is the unaided work of the candidate. Photographs, recordings and witness testimony can be used as confirmation.

*Portfolio of evidence* – This must be available for moderation.

### Applying the assessment grid

Mark all candidates' work which has been completed before the visit, at least for units which the moderator is to inspect.

When assessing candidates' work, teachers/tutors should consider the level of attainment demonstrated in four broad areas within the demands and context of the specific unit being assessed:

- depth and breadth of understanding
- level of skills
- level of synthesis, analysis and evaluation
- level of independence and originality.

In the assessment grid for each unit, mark ranges are specified for each assessment criteria topic. When assessing a candidate's work, teachers/tutors should use their professional judgement to identify, for each assessment criteria topic, the mark band description the work falls within and then the mark within the range that best describes the depth and quality of the work.

To achieve the higher mark bands, candidates should show:

- greater depth and breadth of understanding
- higher level skills
- higher levels of synthesis, analysis and evaluation
- higher levels of independence and originality as required in the assessment criteria.

Work that clearly meets all the requirements of the mark band description should be awarded the maximum mark identified. Aspects of the work that might fall short of meeting, in full, the description but which do not, in the judgement of the teacher/tutor, sufficiently influence the overall level of achievement to merit the work being assigned to a lower mark band, will reduce the mark awarded within the identified range available. This can be expressed as identifying the 'best-fit' approach, where the areas of strength in the work submitted by the candidate can be allowed to compensate for weaknesses in other areas. Teachers/tutors should use archived exemplars as they become available as a reference point. By comparing their own candidates' work with archive work which has an assessment commentary attached, teachers/tutors will be able to position the work either on a higher or lower point.

## **Assessment of group work**

Many units require candidates to work in teams but it is important that the contribution of individual candidates can be identified. Questioning can clarify the authenticity of evidence attributed to an individual candidate and, under these circumstances, the teacher/tutor may include a dated witness statement detailing this evidence. Such statements should be used only where there is no other way

of confirming that the work is the candidate's own. Where working in teams is required, the specification contains further guidance and instructions for the unit concerned.

Annotation by the teacher/tutor of written/photographic evidence can indicate an individual's contribution.

## **Internal standardisation of marking**

Internal standardisation of the marking of units required for the visit must be carried out before the visit takes place.

The consortium is required to standardise assessment across teachers/tutors and teaching groups, within and across units, to ensure that all work at the consortium has been judged against the same standards. If two or more teachers/tutors are involved in marking units, the domain assessor must be responsible for internal standardisation.

Common pieces of work should be marked on a trial basis and differences between assessments discussed at a training session in which all teachers/tutors involved in marking units must participate.

The teacher/tutor responsible for standardising the marking must ensure that the training includes the use of reference and archive materials such as work from a previous year or examples provided by AQA-City & Guilds.

## Authentication

All candidates' work required for the visit must have been properly authenticated.

The Head of the Centre making entries for the unit is responsible to AQA-City & Guilds for ensuring that internally assessed work is conducted in accordance with AQA-City & Guilds instructions and JCQ instructions.

To meet the regulators' Operating Rules for Component and Diploma Awarding Bodies, AQA-City & Guilds requires:

- **candidates** to sign the Candidate Record Form (CRF) confirming the work submitted is their own. For forms completed electronically a typed name is sufficient.
- **teachers/tutors** to confirm on the CRF that the work assessed is solely that of the candidate concerned and was conducted under the conditions laid down by the specification.
- **the teacher/tutor responsible for internal standardisation** also signs the Centre Declaration Sheet for Principal Learning (CDS/PL) to confirm that internal standardisation has taken place and that the work presented is that of the candidates named. If only one teacher/tutor has undertaken the marking, that person must sign this form. For each unit a CRF must be completed for each candidate and these, together with the Centre Declaration Sheet for Principal Learning, must be sent to the moderator by 31 May with the final marks. Failure to sign either or both the CRF and the CDS/PL may delay the processing of results.

The teacher/tutor should be sufficiently aware of the candidate's standard and level of work to appreciate if the work submitted is beyond the ability of the candidate. In most centres, teachers/tutors are familiar with candidates' work through class and assignments. Where this is not the case, teachers/tutors should make sure that all internally assessed work is completed under direct supervision or controls listed in Section 4.4 of the specification.

In all cases, some direct supervision is necessary to ensure that the work submitted can be confidently authenticated as the candidate's own. If it is believed that a candidate has received additional assistance and this is acceptable within the guidelines for the internally assessed units, the teacher/tutor should award a mark which represents the candidate's unaided achievement. The authentication statement should be signed and information given on the relevant form.

If the teacher/tutor is unable to sign the authentication statement for a particular candidate, then the candidate's work cannot be accepted for assessment.

## **Candidate Record Form**

Ensure each candidate has completed and signed a Candidate Record Form and that these readily identify the candidate's work. Electronic copies of the forms can be accessed via the AQA website at [www.aqa.org.uk/admin/crf\\_diploma\\_2009](http://www.aqa.org.uk/admin/crf_diploma_2009)

An example of a Candidate Record Form appears on the next page.

**Creative and Media foundation diploma (level 1) principal learning  
Unit 1 Discovering creativity (CAM1U1)**

Centre number

Centre name

\_\_\_\_\_

Candidate's full name

Candidate number

\_\_\_\_\_

**Notice to candidate** The work you submit for assessment must be your own. If you copy from someone else or allow another candidate to copy from you, or if you cheat in any other way, you may be disqualified.

*To be completed by the candidate*

1. Have you received any help or information from anyone other than your subject teacher(s) in the production of this work?

Yes  No

2. If you have answered yes, give details below and on a separate sheet if necessary.

\_\_\_\_\_

3. Any books, leaflets or other materials (eg DVDs, software packages, Internet information) used to help you complete this work and not clearly acknowledged in the work itself must be listed below. Presenting materials copied from books or other sources without acknowledgement will be regarded as deliberate deception.

\_\_\_\_\_

**Candidate declaration** I have read and understood the above and can confirm that I have produced the attached work without assistance other than that which is acceptable under the scheme of assessment.

*As part of AQA's commitment to assist students, AQA may make your coursework available on a strictly anonymous basis to teachers, examining staff and students in paper form or electronically, through the Internet or other means, for the purpose of indicating a typical mark or for other educational purposes. In the unlikely event that your coursework is made available for the purposes stated above, you may object to this at any time and we will remove the work on reasonable notice. If you have any concerns, please contact AQA.*

Candidate signature

Date \_\_\_\_\_

**Teacher/tutor declaration** I confirm that the candidate's work was conducted under the conditions laid out by the specification. I have authenticated the candidate's work and am satisfied that to the best of my knowledge the work produced is solely that of the candidate.

Teacher/tutor signature

Date \_\_\_\_\_

*This form should be attached to the candidate's work and retained at the centre or sent to the moderator as required*

Candidate's full name

Candidate number

\_\_\_\_\_

\_\_\_\_\_

*To be completed by the teacher/tutor*

Marks must be awarded in accordance with the instructions and criteria in the specification.

<b>Assessment criteria</b>	<b>Maximum mark</b>	<b>Mark awarded</b>
1. Research Creative and Media products and facilities in a specific sector of the local Creative and Media industry	12	
2. Record research findings	12	
3. Present and review research findings	24	
	<b>Total</b>	<b>48</b>

**Details of additional assistance given (if any)** Record here details of any assistance given to this candidate which is beyond that given to the class as a whole and beyond that described in the specification. Continue on a separate sheet if necessary.

\_\_\_\_\_

**Concluding comments**

\_\_\_\_\_

To see how AQA complies with the Data Protection Act 1988 please see our Privacy Statement at [aqa.org.uk](http://aqa.org.uk)

## Diploma principal learning

Diploma level (1, 2 or 3)

Line of Learning



Domain assessor's  
centre number

Domain assessor's  
centre name



Other centres in the consortium for the level & line of learning specified

Centre number

Centre name















### Authentication of candidates' work

This is to certify that marks/assessments have been given in accordance with the requirements of the specification and that every reasonable step has been taken to ensure that the work presented is that of the candidates named.

Any assistance given to candidates beyond that given to the class as a whole and beyond that described in the specification has been recorded on the *Candidate Record Form(s)* and has been taken into account. The marks/assessments given reflect accurately the unaided achievement of the candidates.

*Signature(s) of teacher(s) responsible for assessment (please print name below signature)*

Teacher/tutor 1

Teacher/tutor 1 signature

name

Teacher/tutor 2

Teacher/tutor 2 signature

name

Teacher/tutor 3

Teacher/tutor 3 signature

name

Teacher/tutor 4

Teacher/tutor 4 signature

name

Teacher/tutor 5

Teacher/tutor 5 signature

name

Teacher/tutor 6

Teacher/tutor 6 signature

name

Diploma level (1, 2 or 3)

Line of Learning

\_\_\_\_\_

\_\_\_\_\_

*To be completed by the domain assessor*

**Internal standardisation of marking**

Within each unit, the consortium must standardise assessment across different teachers/assessors and teaching groups to ensure that all candidates have been judged against the same standards. In addition, all units within a line of learning and level must be marked to the same general standard.

If two or more teachers/assessors are involved in marking/assessing, the domain assessor is responsible for standardising the assessments of all teachers/assessors across the consortium.

I confirm that *[select either (a) or (b)]*

(a) *the procedure described in the specification has been followed to ensure that the assessments are of the same standard for all candidates*

OR

(b) *I have marked/assessed the work of all candidates.*

Domain assessor's full name

\_\_\_\_\_

Domain assessor signature

Date

\_\_\_\_\_

*This form should be completed and retained at the centre or sent to the moderator as required*

To see how AQA complies with the Data Protection Act 1988 please see our Privacy Statement at [aqa.org.uk](http://aqa.org.uk)

## Section D – The Stage 2 visit

The moderator will inspect work to check that it is being marked to the correct national standard. The nature of the work which candidates produce will vary depending on the line of learning and the unit, but three different types can be distinguished:

- (i) written work, including reports, photographic evidence, source material – anything which fits into a folder and can potentially be posted and/or transmitted electronically
- (ii) products or artefacts – anything which is permanent but which is not suitable for posting and does not exist electronically
- (iii) ephemeral work, including oral presentations, performances and the use of equipment.

Some units involve a mixture of two or all three types.

As at Stage 1, the moderator will normally expect to visit the domain assessor's home centre. However, in some cases the moderator may need to visit one or more other centres in the consortium to inspect work of type (ii) and type (iii). Any such arrangements must be agreed between the moderator and the domain assessor when the visit is being organised.

To ensure that moderation can be carried out fairly and consistently, there must be an adequate selection of completed work, from a representative set of units, available for the moderator to inspect. The moderator will discuss the requirements with the domain assessor at the time of the Stage 1 visit and will make further arrangements by telephone and/or e-mail contact in the first part of the spring term. Broadly, the procedure and expectations will be as follows:

- In negotiation with the domain assessor in the spring term, the moderator will specify the units from which work will be required for moderation. To satisfy Ofqual requirements, these units must cover all of the different types of work required by the specification (some or all of (i), (ii) and (iii) above) and a wide range of content and skills.
- The moderator will need to see the completed work of at least 10 candidates in each unit specified for moderation (or all candidates, if fewer than 10). For each unit, the sample must include a candidate expected to gain a mark close to the top of the range in the consortium and a candidate expected to obtain a mark close to the bottom.
- For work of type (i), the moderator may inspect the samples on the day of the visit, may take the work away or may ask the domain assessor to send the work by post or electronically.
- For work of type (ii), the moderator will inspect samples on the day of the visit.
- For work of type (iii), the moderator will expect to see work in progress on the day of the visit. For example, where oral presentations are required, the moderator will need to see the sample candidates and will assess their presentations alongside the teacher/tutor.
- The consortium may assess the work of candidates not required as part of the sample either before or after the Stage 2 visit. However, *all* marks must be submitted (using the pre-printed Centre Mark Forms<sup>3</sup>) to the AQA office in Guildford and to the moderator by 31 May, according to the instructions (CAW/INST and CAW/EO/INST) issued to centres in March of each year.

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<sup>3</sup> Centre Mark Forms will be despatched to the centre(s) making the entries.

- The moderator will require a record of the consortium's marks for candidates/units where work is completed before or at the time of the Stage 2 visit. Forms for this purpose may be sent to the domain assessor in advance of the visit.
- Where a candidate has completed work on a unit at or before the Stage 2 visit, and the mark has been submitted to the moderator, he/she must *not* carry out further work on this unit in an attempt to improve the mark.
- In the majority of cases, it is anticipated that the guidance provided during the year will enable the consortium to assess the work accurately and that the moderator will therefore be able to confirm the marks. (It is important for the domain assessor to seek advice from the moderator by telephone/e-mail in cases of uncertainty. He/she must not wait until the Stage 2 visit to discuss any difficulties.) Where the moderator does not agree with the consortium's marks, there are several possible courses of action depending on the circumstances.
  - (a) Where the marking is consistent (for example, all candidates marked too severely), the moderator will recommend adjustments to the marks of work already assessed (which the consortium should implement before formally submitting the marks by the 31 May deadline) and will provide advice to the domain assessor on the marking of the remaining candidates and units.
  - (b) Where there is inconsistency in the marking across units (for example, some units marked too generously and others marked too severely), the moderator may need to inspect work from some or all further units.
  - (c) Where there is inconsistency in the marking within units, the moderator may need to inspect work from some or all further candidates in each unit.

Exceptionally, in cases (b) and (c), it may be necessary for the moderator to visit the consortium again at a later date. Otherwise, the moderator may ask for evidence to be recorded photographically (for work of type (ii)) or on DVD (for work of type (iii)) so that it is suitable for electronic or postal submission.

- Where any marking changes have not been agreed between the domain assessor and the moderator by the 31 May deadline for the submission of marks, adjustments may be imposed by AQA-City & Guilds or the consortium's marks may be replaced by the moderator's marks. In all cases the consortium will be informed of the final marks for the internally assessed units when the results are issued.
- The moderator will inspect the mark forms submitted by the 31 May deadline and check that:
  - (a) the marks and adjustments agreed at the Stage 2 visit are correct
  - (b) for the moderated units, the marks of candidates whose work was not inspected are within the expected range (see point (2) above)
  - (c) for the unmoderated units, the marks are reasonably consistent with the marks for the moderated units.

If the moderator has concerns that the marks may not be in line with national standards, he/she may request further work at this stage. This work would normally need to be submitted electronically or by post.