

Instructions for submitting controlled assessment / coursework marks and samples

The instructions cover the following qualifications:

- AQA Certificates
- ELC
- FCSE
- FSMQ
- Functional Skills (**except** *English Speaking, Listening and Communication components*)
- GCE (AS and A-level)(including Applied)
- GCSE
- Level 1 and Level 2 Certificates (*Certificate in Preparation for Working Life, Enterprise and Employability*)
- Principal Learning (AQA-City & Guilds)
- Project Qualifications (*Foundation, Higher and Extended Project*) (AQA-City & Guilds)

Instructions and guidance covering AQA Bacc, Functional Skills grades (*for English Speaking, Listening and Communication components*), QCF Personal and Social Education, and VRQ Counselling specifications are available separately.

A. Introduction & general information	2
B. The mark submission process	2
B1 Receipt of documentation	2
B2 Collecting, recording and submitting centre-assessed marks	2
B3 Handling and completing the Centre Mark Form (CMF)	2
B3.1 Role of Exams Officers	3
B3.2 Role of Teachers	3
B4 Indicating 'special statuses' on the Centre Mark Form (CMF)	4
B4.1 Carry forward (CF)	4
B4.2 Internal candidates <i>not</i> assessed by the centre where they are entered (EDE)	4
B4.3 Private candidates <i>not</i> assessed by the centre where they are entered (PRI)	4
B4.4 Teachers with a personal interest in candidates (PAR)	4
B4.5 Lost or destroyed work (LCW)	5
B4.6 Incomplete folders in GCSE English (✱)	5
B5 Checking the Centre Mark Form (CMF)	5
B6 Recording of marks for Electronic Data Interchange (EDI)	5
B6.1 Role of Exams Officers	5
B6.2 Role of Teachers	6
C. Authentication of candidates' work and internal standardisation of marking	7
C1 Candidate Record Forms (CRFs)	7
C2 Centre Declaration Sheet (CDS)	7
C3 Teacher/assessor authentication of candidates' work	7
C4 Internal standardisation of marking	8
D. Despatching materials to the moderator and AQA	9
D1 Deadlines	9
D2 Despatch guide	11
E. Additional information	11
E1 GCSE English outgoing specifications (A and B) only	11
E2 GCSE English (new specifications)	12
E3 Functional Skills	12
E4 Functional Skills English Speaking, Listening and Communication components	12
E5 GCSE Physical Education	13
E6 AQA Baccalaureate (Bacc)	13
E7 Centre accreditation in Applied A-level (GCE) qualifications	13
E8 Extensions to the submission deadline	13
E9 Late entries	14
E10 Lost or destroyed work	14
E11 Private candidates	14
E12 Mark amendments	15
E13 Consortium centres (excluding Principal Learning units)	15
E14 Centres which cannot carry out assessments (Approved Prime Marking)	15
E15 Internal appeals procedure	16
E16 Retention of centre-assessed work	16
E17 Feedback	16
E18 An explanation of adjustments to marks following moderation	16
F. Externally-assessed Controlled Assessment / coursework and external assignments	17
G. Visiting moderation	17
H. Contact details of each office for submission queries	17

A. Introduction & general information

This booklet gives instructions on:

- recording marks for centre-assessed units/components (in both coursework and Controlled Assessment)
- submitting marks to AQA
- despatching marks, samples of work and associated materials to the moderator
- additional relevant information.

Information such as component and series availability, submission deadlines and administering offices can be checked at aqa.org.uk/deadlines either by using the 'submission deadline search' tool, or by downloading the document *AQA controlled assessment / coursework submission deadlines*.

B. The mark submission process

B1 Receipt of documentation

Approximately two weeks prior to each submission deadline your centre will receive a pack of materials relating to the entries you have made.

This will include:

- *Centre Mark Forms* (CMF) and *Supplementary Centre Mark Forms* (SCMF)
- self-addressed cardboard-backed envelopes (E52) for sending the top copies of the CMF and SCMF to our Guildford office
- sacks for sending samples of work and *Centre Declaration Sheet* (CDS) to the moderator
- sets of address labels for sending copies of the CMF and SCMF (or EDI printouts) and/or samples of work to the moderator
- copies of this instruction booklet (CAW/INST).

If any of the above items are missing, or you have queries about the allocated moderator or moderators' addresses, please telephone:

Exams Office Support 0844 209 6614

B2 Collecting, recording and submitting centre-assessed marks

Marks given for centre-assessed work should be recorded in **one** of following ways:

- Either (1) by completing and returning the *Centre Mark Forms* (CMF) and (if necessary) *Supplementary Centre Mark Forms* (SCMF) supplied
or (2) by transferring marks held on computer files via Electronic Data Interchange (EDI).

You should **never** submit marks for any unit/component by both methods.

B3 Handling and completing the Centre Mark Form (CMF)

Since the top copies of the CMF will be read by a scanning machine, it is essential that you keep them flat and smooth and make no folds or extra marks upon them.

B3.1 Role of Exams Officers

- (a) The CMF for each unit/component should be passed to the teacher responsible for internal standardisation, with a copy of these instructions (CAW/INST). A completed *Centre Declaration Sheet* (CDS) will also be required (previously supplied with *Candidate Record Forms*) and must be sent to the moderator with the candidates' work. Spare copies of the CDS can be obtained from: aqa.org.uk/coursework
- (b) Please ensure that teachers are aware of the delicate nature of the CMF and the need to complete them promptly.
- (c) The completed CMF should be returned to you by the teachers/assessors unless you, as Exams Officer, decide otherwise. The procedure for checking each unit/component is as follows:
 - (i) ensure that all sheets are present when you receive the CMFs back from the teachers/assessors
 - (ii) check that for every candidate there is either a mark or special status (for example ABS, CF) in the 'Total Mark' spaces
 - (iii) take the CMFs and ensure that they are in candidate-number order. Separate the sheets by holding the right-hand margin and carefully tearing away each individual sheet
 - (iv) place the sheets into separate piles.
- (d) Put the top (white) copies into the AQA-addressed cardboard-backed envelopes supplied (E52) and post them immediately to our Guildford office.
- (e) Post the second and third copies (pink and yellow) immediately to the moderator. If there are 20 or fewer candidates entered for a unit/component you should also send the work of all candidates, with a signed *Candidate Record Form* attached to the work of each candidate, together with the completed *Centre Declaration Sheet*.

B3.2 Role of Teachers

Instructions for completion of the *Centre Mark Forms* are printed on the reverse of the CMF.

- (a) The CMF are pre-printed with the unit/component code, centre name and number, moderator name and number, maximum mark for the unit/component and candidate names and numbers in ascending numerical order. The candidate names and numbers appear in the same format that the entries were submitted and any anomalies should be reported to your Exams Officer.
- (b) The forms are in three-part sets and are self-carbonised so that any writing or mark made on the top copy will carry through to the lower two.
- (c) The top copy is designed so that marks on it can be read directly by a scanning machine therefore the forms must be treated with great care.
 - (i) **Never fold or crease the forms.**
 - (ii) Before recording marks, ensure that the correct unit/component code appears at the top of the form.
 - (iii) The maximum mark possible is pre-printed on the CMF. Ensure that this is the maximum on which your marks are based.
 - (iv) Enter **only** the information required. Do **not** write the names of additional candidates on the pre-printed CMF. Please use a *Supplementary Centre Mark Form* (SCMF) for additional candidates.
 - (v) Deal with one three-part CMF at a time, working on a firm, flat surface so that marks made on the top form go through onto the second and third copies.

B4 Indicating 'special statuses' on the Centre Mark Form (CMF)

B4.1 Carry forward (CF)

'Carry forward' describes the process of transferring an adjusted (ie moderated) mark that has been previously issued into a new entry for the unit/component in a subsequent exam series.

For unitised/modular qualifications, 'carry forward' is **only** available for **FSMQ** units, **GCE (AS and A-level) Mathematics** and **GCE (AS and A-level) Statistics**, where coursework forms part of a unit¹. Where coursework/Controlled Assessment forms a complete unit, the uniform mark gained previously will be re-used automatically.

In linear specifications, a mark for a coursework component may be carried forward if the qualification is re-taken. There is no restriction on the number of occasions on which it may be re-used, nor is there any time limit other than the lifetime of the specification.

If a candidate is carrying forward his/her mark, enter 'CF' in the 'Total Mark' space and encode the CF box. In the space next to the candidate's name, indicate the series, year and, if the candidate has transferred from another centre, the previous centre name and number where the mark to be carried forward was achieved. If carrying forward from a different awarding body (applicable to the outgoing GCSE English A and B Speaking & Listening components only), also indicate the name of the awarding body, the specification and the previous candidate number.

Where a carry forward 'CF' is submitted in error (ie when a candidate is entered for a unit where it is either not possible or not necessary to request that a previous mark be carried forward) then a mark of Absent will be issued against the new entry.

B4.2 Internal candidates *not* assessed by the centre where they are entered (EDE)

The 'EDE' procedure applies when a candidate's entry has been **completely transferred to your centre** (ie the candidate is entered at your centre as a 'centre' candidate), but their centre-assessed work has not been marked or re-marked at your centre. It **does not** apply to private candidates, or to centres that have applied for consortium arrangements.

No mark should be recorded even if the work was marked at the previous centre. Write 'EDE' (educated elsewhere) in the 'Total Mark' column and do not encode the mark boxes. The work must be sent, together with a signed *Candidate Record Form* (CRF), to the moderator, in addition to the required sample.

B4.3 Private candidates *not* assessed by the centre where they are entered (PRI)

This status **does not** apply to Controlled Assessment in GCSE and Principal Learning units. Please refer to section 'E11 Private candidates' for further guidance.

If a private candidate has been entered whose work has not been assessed by your centre, write 'PRI' (Private Candidate) in the 'Total Mark' column and do not encode the mark boxes. The work must be sent, together with a signed *Candidate Record Form* (CRF), to the moderator, in addition to the required sample.

B4.4 Teachers with a personal interest in candidates (PAR)

Where a candidate's work has been assessed by a teacher/assessor who has a personal interest in the candidate, write 'PAR' to the left of the 'Total Mark' spaces, record and encode the mark as normal. The work must be sent, together with a signed *Candidate Record Form*, to the moderator, in addition to the required sample.

¹ 'Carry forward' is **not** permitted for individual **components** within the GCSE MFL speaking Controlled Assessment unit (ie the recorded and unrecorded task)

B4.5 Lost or destroyed work (LCW)

'LCW' should be written to the left of the 'Total Mark' space on the CMF to indicate that a JCQ/LCW Form 15 *Notification of Lost Centre Assessed Work* has been completed for the candidate. Please refer to section 'E10 Lost or destroyed work' for details of obtaining and completing a Lost Coursework Form.

B4.6 Incomplete folders in GCSE English (*)

Applicable to the outgoing GCSE English A and B specifications only. If the coursework mark is for an incomplete folder, put an asterisk * against the candidate's name on all copies of the *Centre Mark Forms* before sending them to AQA and the moderator. Please refer to section 'E1 GCSE English' for further information.

B5 Checking the Centre Mark Form (CMF)

The mark for each candidate recorded on the CMF must be identical with the Total Mark on the *Candidate Record Form*. Check that the correct mark has been entered in the 'Total Mark' spaces for each candidate and that the encoding agrees with the mark. This is the responsibility of the member of staff completing the CMF.

The completed CMF must be given to the Exams Officer as instructed by him/her.

B6 Recording of marks for Electronic Data Interchange (EDI)

B6.1 Role of Exams Officers

- (a) The CMF for each unit/component should be passed to the teacher responsible for internal standardisation, together with a copy of these instructions (CAW/INST). A completed *Centre Declaration Sheet* (CDS) will also be required (previously supplied with *Candidate Record Forms*) and must be sent to the moderator with the candidates' work. Spare copies of the CDS can be obtained from: aqa.org.uk/coursework
- (b) Follow the instructions on your software package for inputting marks for the relevant centre-assessed units/components.
- (c) Ensure that the teacher responsible for standardising the marking of each unit/component is aware of the limited time available for inputting the marks and of the deadline by which marks must be transferred to AQA.
- (d) The common format for submitting centre-assessed marks is detailed in the document *Formats for the Exchange of Examination Related Data*. See www.jcq.org.uk version 14, as at September 2011.
- (e) Ensure that a designated person is responsible for entering onto your computer records the relevant marks, referring to the common formats document to determine how marks and their status are to be recorded.
- (f) Before transferring centre-assessed mark data to AQA, you should check to ensure that the correct file format is used and that the correct file header information is included. In particular, note the following:

Data type	M for Marks
Board Code	70 for AQA
Exam Series Code	Our series codes can be found in the <i>Series Document 2011-2012</i> , which is available at: aqa.org.uk/series under 'Exams planning'

- (g) Check that every candidate has a mark and/or a valid mark status.

- (h) Check that the correct component code has been used.
- (i) At the same time as the EDI file is produced for the transfer of the data to AQA, two printouts of the file should be produced and annotated as required (see section 'B6.2 Role of Teachers'). These should be sent by post to the moderator. If there are 20 or fewer candidates entered for a unit/component you should also send the work of all candidates, with a signed *Candidate Record Form* attached to the work of each candidate together, with the completed *Centre Declaration Sheet*.

NB Candidates' marks can only be submitted **once** by EDI. If any amendments need to be made to the marks after submission, please follow the instructions in section 'E12 Mark amendments'.

B6.2 Role of Teachers

- (a) **Marks and mark statuses** should be recorded in accordance with the specifications in the document *Formats for the Exchange of Examination Related Data*. See www.jcq.org.uk version 14, as at September 2011. The mark recorded must be identical with the **Total Mark** on the *Candidate Record Form* (CRF).
- (b) **Two printouts** of the centre-assessed marks must be produced for each unit/component and annotated to indicate any special cases before they are forwarded to the moderator.

Annotations similar to those which are to be shown on the CMF are required:

- X** to indicate that a candidate is absent, has **withdrawn** or been **transferred** to another centre: record the mark status on the computer as 'A'(absent)
- EDE** to indicate a candidate educated elsewhere (a transferred internal candidate whose work has not assessed by your centre): record the mark status on the computer as 'E' and do not record a mark
- PRI** to indicate a private candidate whose work has not been assessed by your centre (not applicable to Controlled Assessment): record the mark status on the computer as 'E' and do not record a mark
- PAR** to indicate that a candidate's work has been assessed by a teacher/assessor with a personal interest in a candidate: record the mark status on the computer as 'E' and record the mark awarded
- C/F** to indicate that a candidate wants to carry forward a mark from a previous series: record the mark status on the computer as 'F'(carry forward). Please refer to section 'B4.1 Carry forward (CF)' for further information on carrying forward marks and additional information required
- *** **applicable to the outgoing GCSE English A and B specifications only**, to indicate that a candidate has an incomplete folder and that the mark has been reduced accordingly. Please refer to section 'E1 GCSE English' for further information
- LCW** to indicate a JCQ/LCW Form 15 *Notification of Lost Centre Assessed Work* has been submitted for the candidate. Please see section 'E10 Lost or destroyed work' for details of obtaining and completing a Lost Coursework Form.

- (c) It is the responsibility of the centre, through the Exams Officer, to make the necessary arrangements with teaching staff for collating and recording marks for centre-assessed units/components. It is also important that subject staff check that the correct data are recorded on computer before the data are transferred to AQA.

C. Authentication of candidates' work and internal standardisation of marking

C1 Candidate Record Forms (CRFs)

For each centre-assessed unit/component a CRF must be completed for every candidate and attached to the candidate's work. CRFs are despatched to centres early in the academic year on the basis of estimated entries. Forms can also be downloaded from: aqa.org.uk/coursework

You must check all the CRFs and any related forms to ensure that:

- the candidate and teacher declarations have been completed and signed
- the marks are recorded accurately and clearly, and the arithmetic is correct
- the candidate's total unit/component mark on the CRF is identical with the mark recorded on the CMF or EDI file
- any other required details (eg summative comments or explanatory notes, details of additional assistance) have been given in the spaces provided
- if required, the candidate's work has been annotated.

If computer software has been used to calculate or record the marks, a separate printout may be submitted in place of the manually-completed mark grid on the CRF. The printout must show all the details (eg sub-totals and marks for individual assessment objectives) included in the mark grid on the CRF. The original CRF provided by AQA must always be submitted as well, with the candidate's declaration signed and other required details given.

C2 Centre Declaration Sheet (CDS)

The *Centre Declaration Sheet* is provided for the centre to:

- authenticate the candidates' centre-assessed work
- confirm the internal standardisation of marking.

A completed *Centre Declaration Sheet* must be sent or given to the moderator with the sample of candidates' work for each unit/component.

C3 Teacher/assessor authentication of candidates' work

The *GCSE, GCE, Principal Learning and Project Code of Practice* requires teachers/assessors to confirm that the work assessed is solely that of the candidates concerned and was conducted under the required conditions. All teachers who have assessed the work of any candidate entered for each component must sign the declaration on the *Centre Declaration Sheet*. Failure to sign the authentication statement may delay the processing of the candidates' results.

If you have reservations about signing the teacher's authentication statement, note the following guidance:

- if you believe that a candidate has received additional assistance but are satisfied that the mark awarded represents the candidate's unaided achievement, then you should sign the authentication statement and give information in the space provided on the *Candidate Record Form*
- if you feel unable to sign the authentication statement in respect of a particular candidate, then that candidate's work cannot be accepted for assessment. 'X' should be recorded in the 'Total Mark' space and 'X' should be encoded on the CMF or 'A' on the EDI file
- if you suspect malpractice, please refer to the document *Suspected Malpractice in Examinations and Assessments: Policies and Procedures 1 September 2011 to 31 August 2012*, available from: www.jcq.org.uk

C4 Internal standardisation of marking

Our moderation procedure assumes that the centre has carried out internal standardisation according to the procedure described in the specification. Failure on the part of the centre to ensure this could well disadvantage some, if not all, candidates at the centre.

Two alternative statements are provided on the *Centre Declaration Sheet*:

- (1) where there are two or more teachers/assessors, to be signed by the person designated as responsible for internal standardisation
- (2) to be signed by a teacher/assessor who has marked the work of all candidates for the unit/component.

This form must accompany the sample of work being sent for moderation.

D. Despatching materials to the moderator and AQA

D1 Deadlines

The table below summarises the submission dates. A comprehensive list of submission dates for every component can be found at: aqa.org.uk/deadlines

Marks should be submitted to AQA and the moderator by the submission deadline, even if that date falls on a Bank Holiday. Always retain at the centre a record of the marks awarded in case of query.

Centres with 20 or fewer candidates for a component should send all of their work to the moderator as well as the marks.

November 2011 series		
Qualification	Submission deadline	
Functional Skills	5 November 2011	All Functional Skills units/components
GCSE	5 November 2011	Outgoing GCSE English A and GCSE English B components
Projects	5 November 2011	Extended (Level 3) Project Qualification
January 2012 series		
Qualification	Submission deadline	
FSMQ	10 January 2012	All available Free Standing Mathematics Qualification units
Functional Skills	10 January 2012	All Functional Skills units/components
GCE (AS and A-level)	10 January 2012	All available GCE (AS and A-level)(including Applied) units
GCSE	10 January 2012	All available GCSE units
Projects	10 January 2012	Foundation (Level 1) and Higher (Level 2) Project Qualifications
March 2012 series		
Qualification	Submission deadline	
Functional Skills	28 February 2012	All Functional Skills units/components

June 2012 series		
Qualification	Submission deadline	
AQA Certificate	7 May 2012	AQA Certificate English Language and English Literature
ELC	31 May 2012	All ELC qualifications
FCSE	31 May 2012	FCSE MFL (Chinese, French, German, Spanish and Italian)
FSMQ	15 May 2012	All available Free Standing Mathematics Qualification units
Functional Skills	15 May 2012	All Functional Skills units/components
GCE (AS and A-level)	15 May 2012 31 May 2012 31 May 2012 31 May 2012 31 May 2012 31 May 2012	All available GCE (AS and A-level)(including Applied) units except the following: A-level Art and Design (all units) (2200) Applied A-level Art & Design (all units) (8510) A-level Dance unit 2 (DANC2) A-level Drama & Theatre Studies unit 2 (DRAM2) A-level Drama & Theatre Studies unit 4 (DRAM4)
GCSE and Applied GCSE	7 May 2012 15 May 2012 15 May 2012 15 May 2012 15 May 2012 15 May 2012 31 May 2012 31 May 2012 31 May 2012 31 May 2012 31 May 2012 31 May 2012 31 May 2012 31 May 2012 31 May 2012 31 May 2012	All available GCSE units except the following: GCSE Additional Applied Science unit 1 (AA/APSC1) GCSE Additional Applied Science unit 3 (AASC3) GCSE Applied Science unit 1 (APSC1) GCSE Applied Science unit 3 (APSC3) GCSE Applied Science unit 4 (APSC4) GCSE Art and Design (all units) (4200) GCSE Dance unit 3 (42303) GCSE Dance unit 4 (42304) GCSE Drama unit 2 (42402) GCSE Performing Arts unit 2 (48802) GCSE Performing Arts unit 4 (48804) GCSE Physical Education unit 2 (48902) GCSE Physical Education unit 4 (48904) GCSE Physical Education unit 6 (48906)
Level 1 & Level 2 Certificate	7 May 2012 7 May 2012	Level 1 / 2 Certificate in Enterprise and Employability Level 1 / 2 Certificate in Preparation for Working Life
Principal Learning	31 May 2012	Foundation (Level 1), Higher (Level 2) and Advanced (Level 3) units
Project Qualifications	15 May 2012	Foundation (Level 1), Higher (Level 2) and Extended (Level 3) Project Qualifications

D2 Despatch guide

Number of candidates for the unit/component	To AQA by the deadline	To the moderator by the deadline
20 or fewer	Top (white) copy of CMF or electronic transfer of marks via EDI	<ul style="list-style-type: none"> • All centre-assessed work with a signed <i>Candidate Record Form</i> attached to the work of each candidate • The second (pink) and third (yellow) copies of CMF, or two copies of the EDI printout • <i>Centre Declaration Sheet</i>
21 or more	Top (white) copy of CMF or electronic transfer of marks via EDI	<ul style="list-style-type: none"> • The second (pink) and third (yellow) copies of CMF, or two copies of the EDI printout

- (a) If the work has **not** already been sent to the moderator, he/she will return a copy of the CMF or a copy of the EDI printout indicating which candidates have been selected to form the sample. The sample must be despatched within **five days** of this notification. If you have already sent the sample to the moderator with your marks, a copy of the CMF or EDI printout will be returned with your sample later in the process. Centre-assessed work should **not** be sent directly to AQA unless you are specifically advised to do so.
- (b) In addition to the selected sample, the work of any candidates flagged 'PAR' or 'PRI' or 'EDE', together with their attached signed *Candidate Record Form*, must be sent to the moderator.
- (c) If the work for a candidate selected as part of the sample is lost, you should submit inter-board JCQ/LCW Form 15 *Notification of Lost Centre Assessed Work* to our Candidate Support department (please refer to section 'E10 Lost or destroyed work'). You should supply the moderator with another candidate's work (if available), either at the same or level or as close as possible with a note explaining why.
- (d) **Centres must always retain a record of the marks awarded in case of query.**
- (e) Work should be removed from binders/bulky folders and secured inside a manila folder, suitably labelled, before being despatched, thereby saving both postage costs and storage space.
- (f) The material must be despatched by first-class post and a record retained of all items despatched. Recorded Delivery or any despatch method requiring a signature by the moderator must not be used as this can considerably delay delivery to the moderator.

Where there are consortia, we have been informed of, (see section 'E13 Consortium centres (excluding Principal Learning units)') involving two or more centres with joint teaching arrangements, a single sample covering all the centres for each unit/component will be specified by the moderator. The details of these will be sent directly to the consortium coordinator.

E. Additional information

E1 GCSE English outgoing specifications (A and B) only

Centres should note that the same moderator will be allocated to moderate GCSE English Speaking and Listening (CS or En1) and Reading and Writing (CR or En2/En3). Therefore, marks for the Speaking and Listening component must be sent to the moderator allocated to the Reading and Writing component.

If the coursework mark is for an incomplete folder, a Mark Reduction Form should be completed for the candidate (available alongside the *Candidate Record Forms* at: aqa.org.uk/coursework). It is essential to put an asterisk ★ against the candidate's name on all copies of the *Centre Mark Forms*/EDI printout before sending them to AQA and the moderator. This will help to ensure that a representative sample of work is selected.

Booklets containing information specific to the GCSE English coursework submission, including a centre checklist and examples of how to calculate mark reductions, are available at: aqa.org.uk/coursework and by request from the GCSE English Subject Team.

E2 GCSE English (new specifications)

No moderator is allocated for the Speaking and Listening unit ENG02. Centres should forward the top (white) and second (pink) copies of the *Centre Mark Forms* directly to AQA and retain the third (yellow) copies for their own records. If submitting ENG02 marks by EDI, then there is no need to produce the printouts.

Centres will be allocated the same moderator for the written units in GCSE English, English Language and English Literature in the same series. Moderators will request samples for each unit entered. The samples should be sent to the moderator in the same despatch from the centre but individual samples must be clearly marked as English, English Language or English Literature. Centres should ensure that candidate notes and other reference materials are submitted as part of the sample (copies of novels, plays, poetry anthologies and AQA Anthologies are not required).

E3 Functional Skills

English Component 1 (Reading)	Entry 1, Entry 2
Component 2 (Writing)	Entry 1, Entry 2
ICT	Entry 1, Entry 2
Maths	Entry 1, Entry 2

Centres should forward the top (white) copies of the *Centre Mark Form* in the AQA-addressed cardboard-backed envelopes to our Guildford office. At the same time, centres must submit second and third copies (pink and yellow) of the *Centre Mark Form*, together with a *Centre Declaration Sheet*, *Candidate Record Forms*, *Assessors Checklist* (ICT only) and *Assessment Records* (Maths only) for **every candidate** to their allocated moderator. Please note, all materials will be retained by AQA for use in the awarding process and for research/archive purposes.

English Component 1 (Reading)	Entry 3
Component 2 (Writing)	Entry 3
ICT	Entry 3
Maths	Entry 3

Normal sample and despatch rules apply – please refer to section 'D2 Despatch guide' for details.

E4 Functional Skills English Speaking, Listening and Communication components

Centre Grade Forms (CGF) will be issued for all Speaking, Listening and Communication components (4971S, 4972S, 4973S, 47203 and 47253). Centres should indicate whether each candidate has met the criteria by encoding "P" (pass) or "U" (unclassified) in the appropriate circle. The "X" '(Absent)' circle should be encoded if the candidate did not attempt the component.

Completed CGF should be sent to the Guildford office. You should retain a copy of the CGF for your records.

Full instructions are provided in the document *Instructions for submitting coursework grades* (CGF/INST).

E5 GCSE Physical Education

PE is moderated by visit however Key Process C will be moderated by post. On the CMF please indicate the mark for Key Process C to the left of the 'Total Mark' space. Record and encode the overall mark as normal.

E6 AQA Baccalaureate (Bacc)

Centre Grade Forms (CGF) will be issued for the Enrichment element (9001). These are for the Enrichment Coordinator to complete and return indicating whether each candidate has met the requirements by encoding "P" (pass) in the appropriate circle. 'X' (absent) should be recorded if the requirements have not been met.

Completed CGF should be sent to the Guildford office. You should retain a copy of the CGF for your records.

Each paper-based enrichment diaries must be submitted with a signed *Candidate Record Form*.

All enrichment diaries (both online and paper-based) and CGF must be sent to AQA by 15 May.

Full instructions are provided in the document *Instructions for submitting coursework grades* (CGF / INST).

E7 Centre accreditation in Applied GCE (AS and A-level) qualifications

We operate a scheme of accreditation for centre assessed work in Applied GCE (AS and A-level) qualifications. Once accredited for a particular specification, centres will have their centre assessed marks for that specification automatically accepted for up to three years, depending on the level of accreditation, the method by which it was obtained and subject to the scheme's conditions.

Accredited centres must submit their centre assessed marks to AQA as normal, using *Centre Mark Forms* or via EDI as described earlier in this document and by the standard submission deadlines (as described in section B). Accredited centres are not allocated a moderator and do not usually need to submit samples of work for any of the units within a specification for which they are accredited, unless they are selected as part of a random sample. Therefore accredited centres which are not selected as part of the random sample will not be provided with moderator labels.

However we may request a sample of work at any stage during the process.

Full details of the scheme are described in the document *Accreditation scheme for centres offering AQA Applied A-level qualifications*, the latest version of which is available at: aqa.org.uk/coursework

E8 Extensions to the submission deadline

Extensions to submission deadlines may be available only in documented cases of sole teacher or candidate illness. Due to the limited time available for moderation, it is not normally possible to grant an extension of more than one week. Applications need to be made in writing, **from the Exams Officer or Head of Centre only** and should be made in advance of the deadline to the appropriate administering office:

Guildford	-	Coursework Processing Fax 01483 531 148	or e-mail	courseworkadmin-S@aqa.org.uk
Harrogate	-	Senior PES Manager: Processing Control Fax 01423 523 363	or e-mail	courseworkadmin@aqa.org.uk

E9 Late entries

- (a) Some candidates entered late may not be shown on the pre-printed CMF. If marks are being submitted on paper, a *Supplementary Centre Mark Form* (SCMF) should be completed for the unit/component, the top copy sent to AQA and the second and third copies to the moderator (these sheets should only be used for late entries). If using EDI, you should simply ensure that late-entry candidates are included in the data.
- (b) If a candidate who should have been entered is not listed on the CMF, then the Exams Officer must confirm the entry by writing to AQA using the appropriate Entry Form or entering the candidate via e-AQA or an EDI entry amendment file.

NB submitting a mark on a SCMF **does not** constitute a request for an entry to be made. Entries must be submitted in the normal way.

E10 Lost or destroyed work

If some or all of a candidate's work has been lost, prior to the work being posted as part of a sample, and despite every effort it cannot be found, or if it has been accidentally destroyed, the circumstances should be reported to our Candidate Support department using the inter-board JCQ/LCW Form 15 *Notification of Lost Centre Assessed Work*. The code 'LCW' must be written to the left of the 'Total Mark' space on the CMF or EDI printout so that the moderators can take this into account when selecting the sample of work.

Copies of the form are available from: www.jcq.org.uk

E11 Private candidates

Private candidates wishing to complete **Controlled Assessment** must be attending an AQA centre which will take responsibility for the Controlled Assessment task-taking, including any elements of preparation and analysis which require informal supervision under medium control. If your centre has agreed to take a private candidate, then you should treat the candidate as you would any other internal candidate; authenticate the work (by signing the *Candidate Record Form* and *Centre Declaration Sheet*) and submit your mark using the *Centre Mark Form* or by EDI.

For coursework units (where available to private candidates), the private candidate should have completed a *Private Candidate Coursework Information Form* (PRI/CIF) giving details of their method of study and the arrangements made for authenticating their work. This form should have been sent to AQA with the main entries.

We will not be able to accept work from candidates who have not had it supervised for authentication purposes.

It is the responsibility of the Exams Officer to set Private Candidates a deadline by which they must submit their coursework to your centre, along with a completed *Private Candidate Record Form*, so that it can be included in the despatch to the moderator. Because of the difficulties authenticating Private Candidate's coursework, we cannot accept coursework from Private Candidates after the published deadline.

For a private candidate whose coursework is not being assessed by the centre (method of study (3) on the PRI/CIF) do not record a mark. The CMF should be annotated 'PRI' in the 'Total Mark' spaces. Where EDI is used, the mark status should be 'E' and the EDI printout copies should be marked 'PRI'. The coursework of all the private candidates should be forwarded to your centre's moderator in addition to the sample from your centre, with a completed *Private Candidate Record Form* attached to each candidate's work.

Private candidates carrying forward their coursework marks do not need to complete a *Private Candidate Record Form*, but should have completed a Private Candidate Coursework Information Form. The CMF 'Total Mark' spaces should be annotated with 'CF' and the 'CF' box encoded.

Supplementary Guidance and *Entry Information for Private Candidate* booklets are available from Exams Office Support (0844 209 6614) and aqa.org.uk/privatecandidate. If you have any queries regarding the submission of coursework for private candidates, please contact the administering office.

E12 Mark amendments

If, after submitting the marks to AQA and/or the moderator, a clerical error is noticed on the CMF or EDI file and a mark amendment needs to be submitted, please do so **on centre-headed paper**, including the following information:

- centre name and centre number
- unit/component code and name
- candidate number and candidate name
- the old mark and the amended mark.

The mark amendment should be sent to the processing department at the administering office and a copy must be sent to the moderator.

Do not submit mark amendments by EDI.

E13 Consortium centres (excluding Principal Learning units)

Cases where all candidates from different centres have been taught and assessed together are referred to as a consortium.

- (a) If you are a member of a consortium of centres that has not yet been notified to AQA, please contact the Principal Manager: Processing/Examining on 01483 556 001 as a matter of urgency. We may not be able to accommodate late requests.
- (b) Where there are recognised consortia, previously notified to AQA, involving two or more centres with joint teaching and marking arrangements:
 - (i) internal standardisation of marking must be completed across the consortium
 - (ii) a centre mark must be submitted for each candidate under the individual centre number
 - (iii) a single sample covering all centres for each component/unit will be specified by the moderator
 - (iv) all the centres in the consortium must ensure that all candidates' work is retained under secure conditions in case of an enquiry about results by any one of the member centres.

E14 Centres which cannot carry out assessments (Approved Prime Marking)

Only when the candidate has been 'educated elsewhere' (see section 'B4.2 Internal candidates not assessed by the centre where they are entered (EDE)') will we normally prime mark the work of a candidate.

If your centre is unable to assess its candidates' work (for example, because the only teacher in the subject is ill) you must make every effort to arrange an alternative, such as approaching a neighbouring centre which is entering candidates for the same exam and which may be able to help by undertaking the assessment.

If there appears to be no other way for the coursework to be assessed, a request can be made for AQA to prime mark the work. Applications need to be made in writing, **from the Exams Officer or Head of Centre only** to

Guildford - Coursework Processing
Fax 01483 531 148 or e-mail courseworkadmin-S@aqa.org.uk

Please note:

- (i) the procedure is exceptional and applies to the year of the exam only

- (ii) that we cannot guarantee to publish results on time
- (iii) your centre will be invoiced for the additional costs incurred by AQA in undertaking the assessment.

If the request is approved by AQA, you will receive details where to send the work and how to complete and submit the *Centre Mark Form*.

E15 Internal appeals procedure

Centres should be aware that the *GCSE, GCE, Principal Learning and Project Code of Practice* requires them to have published appeals procedures relating to internal assessment decisions (see paragraph 2.4ix). Further advice is given in the JCQ document *Arrangements for internal appeals about internal assessment decisions and enquiries about results* available at: www.jcq.org.uk

If candidates are informed of their un-moderated marks, they should be made aware that the marks may be subject to adjustment by AQA.

E16 Retention of centre-assessed work

If extra candidates' work is required for moderation, the centre will be notified by the moderator, normally within one month.

Work provided for moderation will normally be returned to the centre by the moderator following moderation. Work may be returned by the moderator via Parcelforce during school holidays, though this will be avoided where possible. Some samples of work may be retained for use in the awarding process or for research/archive purposes. In such cases the centre concerned will be informed.

Centres are required to retain all candidates' centre-assessed work under secure conditions, to allow for the possibility of an enquiry about results. Enquiries about results can be accepted only if the centre-assessed work is available to support the request, has been kept under secure conditions and has **never, at any time, been returned to candidates**. If the nature of the work is such as to make retention a problem, the centre should keep evidence (documentary, photographic or audio taped, as appropriate) sufficient to support its marking. The final date for AQA to receive requests for enquiries about results is 20 September for the June exam series and four weeks after the issue of results for the November, January and March series. If the centre has not submitted any enquiries about results, the work can be returned to candidates one day after these deadlines.

E17 Feedback

The final, moderated marks are sent to centres with the results. Feedback forms from the moderator are sent at the same time in a separate despatch. Where the moderator marks are different from the marks submitted, adjustments will normally have been determined for the whole centre on the basis of a comparison of the moderator's marks with the centre's marks for the candidates in the sample. If you wish to query any details relating to the moderator feedback you receive, please contact the subject administration team for the relevant specification.

E18 An explanation of adjustments to marks following moderation

A leaflet, *Adjustments to marks following the moderation of centre-assessed units/components: an explanation for centres*, explaining how moderation brings the school/college marks into line with national standards, is available at aqa.org.uk/moderation. It has been written for teachers and others who have a reasonable understanding of the exam system and terminology used.

F. Externally-assessed Controlled Assessment / coursework and external assignments

A small number of units/components consist of externally-assessed Controlled Assessment / coursework or external assignments. *Attendance Records* and NLL Examiner address labels for these will be issued under a separate despatch.

For absent candidates, 'ABS' should be recorded on the *Attendance Records*. The work of all candidates should be sent, together with a signed *Candidate Record Form* attached to the work of each candidate, to the allocated examiner.

G. Visiting moderation

Moderation by centre visit applies to some Principal Learning units, all Art and Design, Drama and PE qualifications, and may be carried out in a number of other specifications. Instructions regarding arrangements for moderation for these will be sent on an individual basis to the teachers in charge of the specifications concerned.

H. Contact details of each office for submission queries

Administrative Queries:

Guildford	Tel 01483 477 974	e-mail courseworkadmin-S@aqa.org.uk
Harrogate	Tel 01423 840 015	e-mail courseworkadmin@aqa.org.uk

Allocation Queries (ie allocated moderator names and/or addresses):

Exams Office Support Tel 0844 209 6614

Missing Documentation (eg *Centre Mark Forms*, *Candidate Record Forms*):

Exams Office Support Tel 0844 209 6614