

# Entry Procedures

## All exam series 2011-2012

You should use this document in conjunction with the AQA  
*Entry codes: All examination series 2011-2012*,  
which was sent to all AQA approved centres in September 2011  
and is available to view or download from the  
[Administration | Library](#) section of the AQA Website  
at [www.aqa.org.uk/library](http://www.aqa.org.uk/library)

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## 1

## Administrative changes for 2011-2012

## Entries on disk

As we have not received any entries on disk for a number of years, we have withdrawn, from 1 September 2011, the facility for centres to submit entries on disk. You may continue to use EDI, e-AQA or *Entry Forms* to submit your entries.

## A2C Transport mechanism

During autumn 2011 all centres will receive an invitation to upload a new transport solution (known as the JCQ migration tool) that will replace the current EDI (Electronic Data Interchange) transport system. Please see Section 20 for further information.

## Formats for the exchange of examination related data

The latest version of the *Formats for the exchange of examination related data* is Version 14 (Revised March 2011) and is effective from September 2011. The major MIS suppliers have agreed to use this latest version and you should ensure, before making any entries in 2011-2012, that you have the latest version of your software installed.

The *Formats for the exchange of examination related data* is available to view or download from the JCQ website at [www.jcq.org.uk](http://www.jcq.org.uk).

## Late awards for GCSE new specifications

As is the case for GCE specifications, there will be an opportunity to cash-in GCSE modular new specifications after results have been published, but a student **must** meet the 40% terminal requirement in that examination series. Late award entries will be accepted without additional fees<sup>†</sup> during the four week period immediately following the publication of results (until the closing date for Enquiries about Results: 17 April 2012 for the January 2012 examination series; 20 September 2012 for the June 2012 examination series).

<sup>†</sup> Where applicable, the Entry Fee will be charged for GCSE (Short Course) awards as shown in the *Entry fees and other charges 2011-2012*.

### Retrospective or Very Late Awards

After the closing date for Enquiries about Results (4 weeks after the publication of results) requests for a GCSE award (aggregation of a GCSE new specification) in that series or any previous series will be considered on a case by case basis (documentary evidence is required) and, if accepted, will incur an additional fee for each subject award to be aggregated (see the *Entry fees and other charges 2011-2012* available on the [Administration|Library](#) page of our website for details of the fee).

### Submission of Late Awards by EDI

From September 2011, we will accept entries for Late Awards (for both GCE and GCSE) by EDI as an alternative to using the *Late request for subject awards* form that is available from the *Secure Key Materials* service of e-AQA. See page 59 for further information.

## 2

## Changes to exam provision

## GCSE specifications withdrawn after the June 2011 series

The following GCSE specifications were withdrawn after the June 2011 exams:

- English, English Literature
- ICT, including Applied ICT
- Mathematics

AQA will provide a final assessment and certification opportunity in winter 2011/2012 only for the following:

- English A (November 2011)
- English B (November 2011) (English B (Mature) will not be available)
- Applied ICT Unit 3 (January 2012)
- Mathematics A (November 2011)
- Mathematics B (November 2011)

### Initial Entry Information form

You will need to inform us that you wish to enter candidates for the final assessment opportunity. You will have received with the results of the June 2011 exams a form requesting *Initial Entry Information* for the final assessment opportunity. If you intend to enter candidates, you must return the form to us **by 15 September 2011**. We will offer only those units and options for which there is demand. It will not be possible for us to accept requests received after this date for the provision of these exams where no other request for provision has been received. Details of individual candidate entries will need to be submitted by 4 October 2011 for the November 2011 series and by 21 October 2011 for the January 2012 series.

## GCSE specifications to be withdrawn after the June 2012 series

The following GCSE specifications will be withdrawn after the June 2012 series and replaced by new specifications for first teaching from September 2011.

- GCSE Sciences: Outgoing specifications in 4411 Biology, 4421 Chemistry, 4451 Physics, 4461 Science A, 4462 Science B, 4463 Additional Science, 4861 Applied Science (Double Award), 4863 Additional Applied Science

A final assessment opportunity will be available

- in November 2012 for the Objective Tests Units: Biology 1a & 1b, Chemistry 1a & 1b and Physics 1a & 1b. The on-screen alternatives will be available in this final assessment series. The November 2012 series will be the final certification opportunity for the outgoing GCSE Science A specification.
- in January 2013 for the Written Units: Biology 1, 2 and 3, Chemistry 1, 2 and 3 and Physics 1, 2 and 3. The January 2013 series will be the final certification opportunity for the outgoing Science B, Biology, Chemistry, Physics and Additional Science specifications.

You will need to inform us that you wish to enter candidates for this final assessment opportunity. You will receive with the results of the June 2012 exams a form requesting *Initial Entry Information* for the final assessment opportunity. If you intend to enter candidates for any of the externally assessed units, you must return the form to AQA by 15 September 2012. Only those units for which there is demand will be offered. It will not be possible for AQA to accept requests received after this date for the provision of these exams where no other request for provision has been received. Details of individual candidate entries will need to be submitted by 4 October 2012 for the November 2012 series and by 21 October 2012 for the January 2013 series.

## Withdrawal of GCSE restricted pilot schemes

- The **GCSE Mathematics (Pilot)** specification (9307) was withdrawn after the June 2011 examination. A final assessment and certification opportunity will be available in January 2012.

You will need to inform us that you wish to enter candidates for this final assessment opportunity. You will receive with the results of the June 2011 exams a form requesting *Initial Entry Information* for the final assessment opportunity. If you intend to enter candidates, you must return the form to us **by 15 September 2011**. We will offer only those units for which there is demand. It will not be possible for us to accept requests received after this date for the provision of these exams where no other request for provision has been received. Details of individual candidate entries will need to be submitted by 21 October 2011 for the January 2012 series.

- The **GCSE Use of Mathematics (Pilot)** specification (9350) will be withdrawn after the June 2012 examination, which will be the final opportunity for examination of the FSMQ Pilot Units and final certification of the overall GCSE USE of Mathematics (Pilot) subject award.

If you require any information on any of the restricted pilot exams, please contact the appropriate Subject Team.

## GCSE: New Specifications

New GCSE specifications for English, English Language, English Literature, Mathematics and ICT were introduced for first teaching from September 2010. The Short Course award in ICT was available for first certification in June 2011 with full course awards available for all these specifications in June 2012.

A new suite of GCSE Sciences specifications has been introduced for teaching from September 2011. The new specifications Science A and Science B will be available for first award in June 2012. All other new GCSE Sciences specifications (Biology, Chemistry, Physics, Additional Science and Additional Applied Science) will be available for first award in June 2013.

You should check details of assessment arrangements during the transition from the current specifications to the new specifications and ensure that all assessments are completed in line with the published timelines.

**AQA cannot transfer credit from previous GCSE specifications to the current (new) GCSE specifications and it will not be possible for students to combine units from previous and current (new) specifications to make up a GCSE qualification.**

## Changes to GCE specifications

### English Language and Literature B: Unit ELLB1 Introduction to Language and Literature Study

There will be a new Anthology for this unit from January 2012. The theme of the new Anthology will be 'Food'.

There will be a final assessment opportunity in January 2012 for candidates studying the legacy 'Travel, Transport & Locomotion' anthology.

New entry codes have been assigned to this unit. Please make sure that candidates are entered in the January 2012 and subsequent series for the correct entry code.

### Government and Politics: Units GOV3C and GOV4C

Units GOV3C and GOV4C were withdrawn after the June 2011 examination. A final assessment opportunity for these units will be available in January 2012.

You will need to inform us that you wish to enter candidates for this final assessment opportunity. You will receive with the results of the June 2011 exams a form requesting *Initial Entry Information* for the final assessment opportunity. If you intend to enter candidates, you must return the form to us **by 15 September 2011**. We will offer only those units for which there is demand. It will not be possible for us to accept requests received after this date for the provision of these exams where no other request for provision has been received. Details of individual candidate entries will need to be submitted by 21 October 2011 for the January 2012 series.

### Leisure Studies

The June 2012 series will be the final opportunity for the assessment of

Units LS04, LS05, LS06, LS07, LS11, LS12, LS13 AND LS14

and the final opportunity for the certification of the

Advanced Subsidiary Double Award (8643)  
Advanced GCE with Advanced Subsidiary GCE (additional) Award (8647) and the  
Advanced Double Award (8649).

Assessment of units LS01, LS02, LS03, LS08, LS09 AND LS10 and certification of the Advanced Subsidiary Single Award (8641) and the Advanced Single Award (8646) will continue until 2014.

### **Travel and Tourism**

The June 2012 series will be the final opportunity for the assessment of

Units TT04, TT05, TT06, TT07, TT11, TT12, TT13 AND TT14

and the final opportunity for the certification of the

Advanced Subsidiary Double Award (8653)  
Advanced GCE with Advanced Subsidiary GCE (additional) Award (8657) and the  
Advanced Double Award (8659).

Assessment of units TT01, TT02, TT03, TT08, TT09 AND TT10 and certification of the Advanced Subsidiary Single Award (8651) and the Advanced Single Award (8656) will continue until 2014.

## **Free-Standing Mathematics Qualifications**

New Foundation and Higher Levels units have been introduced for first teaching from September 2011.

They will be available for first examination and certification in June 2012 and each June thereafter.

## **AQA Level 1/2 Certificates**

New AQA Level 1/2 Certificates in English Language, English Literature and Further Mathematics have been introduced for first teaching from September 2011.

They will be available for first examination and certification in June 2012 and each January and June thereafter.

## **Functional Skills**

AQA will offer Functional Skills at Entry 1, 2 and 3 for teaching from September 2011. Assessment opportunities will be available in November, January, March and June each year.

## **Entry Level Certificate**

New Entry Level Certificate specifications will be introduced for teaching from September 2011 with first certification in June 2013. The outgoing specifications will be withdrawn after the June 2012 examination series.

## **Certificate in the Use of Mathematics**

The Certificate in Use of Mathematics (equivalent to GCSE Mathematics) will be introduced for teaching from September 2011 with first assessment and certification in June 2012 and each June thereafter.

## **Principal Learning (AQA-City & Guilds)**

Certification of Level 1, Level 2 and Level 3 awards will be available for all Lines of Learning in January and June 2012.

## Key Skills and Wider Key Skills

### Claiming certification for Key Skills

The last AQA Key Skills tests and portfolio moderation took place in June 2011, but certification may be claimed up until June 2012.

### Wider Key Skills

The Wider Key Skills qualifications were withdrawn after the June 2011 series.

## Vocationally Related Qualifications

**The legacy specifications will be available only for certification (no units will be available for assessment) in January 2012 and June 2012, which will be the final certification opportunity.**

New specifications for Vocationally Related Qualifications were introduced for learners starting a new course from September 2010 as follows:

- Certificate in Counselling Skills (Level 2) 1605
- Certificate in Counselling (Level 3) 1610
- Diploma in Therapeutic Counselling (Level 4) 1615
- Diploma in Counselling Practice (Level 5) 1620

The following new Vocationally Related Qualification specification will be introduced for teaching from September 2011 with first assessment of centre assessed units in January 2012 and first certification in June 2012.

- Diploma in Therapeutic Counselling Supervision (Level 6) 1630



## Collecting and sharing information

It is essential that AQA collects personal information about exam candidates: for example, names and dates of birth. We also hold details of candidates' achievements for the issue of certificates.

Some of the information that we gather is held indefinitely, for example the final results for units and subject awards. There is also some information that is held on a temporary basis. This relates mainly to the marks for individual exam papers, and is normally destroyed after the end of the appeals process, when the exam scripts are also destroyed.

Access to this information is strictly controlled, but is shared within the education and training community when this is appropriate. For example, we may be required to provide data that we hold to educational agencies such as UCAS, Government bodies such as the Department for Education and Ofqual and Local Authorities, and other agents working directly on our behalf. AQA is working with City & Guilds to offer Principal Learning and learner data relating to this qualification will be shared between the two bodies. In England, the Learning Records Service (LRS) administers the system to provide learners with a Unique Learner Number (ULN). Candidate information will be used to verify the Unique Learner Number (ULN) provided in candidates' entry submissions. It is your centre's responsibility to ensure that candidates are made aware of these data sharing arrangements.

We do not provide information to organisations involved in direct marketing or similar ventures.

## AQA Registration

AQA is registered with the Information Commissioner, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF. Our Registration Number is PZ6944888 and the information can be viewed on [www.ico.gov.uk](http://www.ico.gov.uk) along with other information about data protection.

## Data Protection principles

We abide by the eight Data Protection principles, and require that all those who supply or use data also adhere to those principles. Your centre is expected to take care both in the collection of data for transmission to AQA and in the dissemination of data from AQA.

We offer the following guidance:

- You must inform candidates that relevant personal data (name, date of birth, gender) has been transferred to us for the purpose of examining and awarding qualifications. This is particularly important where candidates themselves are not completing forms. In most cases, the information is supplied from centres' computer systems and candidates may not be aware that their details are being passed on.
- You should exercise care when releasing personal information supplied by AQA. This information is intended for your centre's internal use only. Information that your centre has obtained from AQA must not be used for marketing purposes or any other purpose that could be reasonably objected to by a candidate.
- Your centre should be appropriately registered with the Information Commissioner.

## Access to data

Candidates have a right of access to the data that we hold about them. In general, parents and others do not have right of access under the Data Protection Act, so all applications must come from the candidate.

Under the Data Protection Act, we should respond to all access requests within 40 days. However, this requirement does not apply if it would require us to release exam results before the normal publication date. In such cases we will carry out the request after the exam results have been published. There is a standard charge of £10.00 for providing details following a subject access request under the Data Protection Act.

For further details, please see section 5 of the *AQA Privacy and Fair Processing Statement* on our website at [www.aqa.org.uk/privacy.php](http://www.aqa.org.uk/privacy.php)

## 4

## Regulations and general information for entries

## AQA regulations for entries

The following regulations for entries apply in addition to those specified in the JCQ *General Regulations for Approved Centres, 1 September 2011 to 31 August 2012*.

### Malpractice

We reserve the right not to accept entries in respect of individual candidates who may have been found to have engaged in serious exam malpractice by any other examining authority and will not accept entries in respect of candidates who have been debarred from entry by AQA itself or by the Joint Council for Qualifications.

You may not withdraw the entry of any candidate who is the subject of a malpractice enquiry by either your centre or AQA.

### Transferred candidate arrangements

If we have received and approved a request for transferred candidate arrangements (see Section 26), the centre that made the original entry retains responsibility for the candidate and will receive their results.

### Fees

You cannot carry forward exam and test fees (see Section 25) from one exam series to another.

### Centres outside the United Kingdom

If your centre is outside the United Kingdom (excepting the Republic of Ireland), you must complete and submit an *Overseas timetable declaration* form for each academic year.

You are reminded of the *AQA Conditions for the registration of overseas centres*, which is available for you to view or download from our website.

In particular, you should note the requirement that exams **must** be conducted at the time scheduled by AQA in the United Kingdom (ie 9.00am and 1.30pm UK time) and you should adjust your local starting times to comply.†

There may be circumstances in which it is possible to seek approval to start exams at times other than the UK published starting time (for example, 9.00am and 1.30pm **local** time), within limits that guarantee the security of question papers.† Applications for approval to vary exam start times must be made on the *Overseas timetable declaration* form (see below).

† Candidates can take the following exams at any time on the day shown on the timetable.

Basic Skills Levels 1 and 2 tests

Candidates can take the Functional ICT Level 1 and Level 2 tasks at any time during the 5-day period shown on the timetable, but you must set an internal timetable for the period with consecutive and simultaneous sessions where possible. You must make your internal timetable available to AQA on request.

No other departure from the timetable is permitted without our prior written approval.

### Supervision of candidates at centres outside the United Kingdom

If you have received approval for candidates to take an exam **later** than the UK published starting time, you must keep them under direct supervision of centre staff from 30 minutes after the UK published starting time for the paper concerned until the time when they begin their exam.

If you have received approval for candidates to take an exam **earlier** than the UK published starting time, you must keep them under supervision by centre staff, arranged by the Head of your Centre, until one hour after the UK published starting time. You must also ensure that the question papers used by those candidates are kept under secure conditions until one hour after the UK published starting time for that exam. For exams lasting less than one hour, candidates must be supervised and question papers kept secure until the normal UK finishing time of the exam.

### Timetable declaration for centres outside the United Kingdom

We will send you a copy of the *Overseas timetable declaration for centres outside the UK* for each academic year. You should ensure that you complete the form and return it to AQA by 1 October 2011.

### Methods of entry for centres outside the United Kingdom

You can make entries using exactly the same methods as those for UK centres (see Section 9). Please note that we have obligations under the UK Data Protection Act that mean that we cannot accept entries and related data by e-mail. You should use e-mails sent to AQA for correspondence only.

## General information

You should read this *Entry Procedures* booklet in conjunction with our *Administrative Procedures* booklets for :

- GCSE Modular specifications and GCSE in Applied Subjects specifications
- GCE (including GCE in Applied Subjects), Basic Skills Tests and Key Skills, Extended Project Qualification and FSMQ specifications

which will be made available on our website in September 2011, and for:

- Foundation Certificate of Secondary Education (FCSE) specifications
- Entry Level Certificate specifications

which will be sent to centres with details of the externally-assessed assignments and made available on our website in September 2011.

Administrative information relating to Principal Learning will be made available to all centres registered to offer Principal Learning with AQA-City & Guilds.

## Qualifications covered by this booklet

The information contained in this booklet applies to entry information for all AQA series in the 2011-2012 academic year for the following exam types:

- GCSE Awards, Module Tests and Units (including GCSE Short Course and GCSE in Applied Subjects)
- Advanced Subsidiary and Advanced GCE Awards and Units (including GCE in Applied Subjects)
- Entry Level Qualifications
- Functional Skills
- AQA L1/2 Certificates
- AQA Baccalaureate
- Free-Standing Mathematics Qualifications
- Level 1 and Level 2 Certificates
- Vocationally Related Qualifications Awards and Units in Counselling
- Key Skills Awards
- Basic Skills Tests (Literacy and Numeracy)
- Foundation Certificate of Secondary Education
- Level 1 Foundation Project Qualification, Level 2 Higher Project Qualification and Extended Project (Level 3) (AQA-City & Guilds)
- Principal Learning Units and Awards (AQA-City & Guilds)

## Other AQA qualifications and awards

Separate entry procedures and documentation apply to any AQA qualifications not listed above (eg Unit Award Scheme, On Demand tests). Further information and contact details appear on the AQA website as follows:

- On Demand Tests
  - ELC Adult Literacy: [www.aqa.org.uk/qual/elc/literacy.php](http://www.aqa.org.uk/qual/elc/literacy.php)
  - ELC Adult Numeracy: [www.aqa.org.uk/qual/elc/numeracy/php](http://www.aqa.org.uk/qual/elc/numeracy/php)
  - Test in Electronics: [www.aqa.org.uk/over/qual/test-elec/php](http://www.aqa.org.uk/over/qual/test-elec/php)
  - Intermediate Certificate in Introduction to Counselling Concepts: [www.aqa.org.uk/qual/vrq/which\\_spec.php](http://www.aqa.org.uk/qual/vrq/which_spec.php)

For queries on any on-demand tests, please contact [ondemand2@aqa.org.uk](mailto:ondemand2@aqa.org.uk) or telephone 01483 556100
- Unit Award Scheme: [www.aqa.org.uk/qual/uas.php](http://www.aqa.org.uk/qual/uas.php)

For queries on the Unit Award Scheme, please contact [unitawardscheme@aqa.org.uk](mailto:unitawardscheme@aqa.org.uk) or telephone 01423 534235
- Personal and Social Education: [www.aqa.org.uk/qual/level/pshe\\_overview.php](http://www.aqa.org.uk/qual/level/pshe_overview.php)

The Level 1 Award in PSE has been revised to offer a wider choice of units and to allow for qualifications of two sizes: Award and Certificate, under the revised title of Personal and Social Education (5800).

Centres wishing to enter students Personal and Social Education should contact the Work Related Learning (WRL) Department in Harrogate [pse@aqa.org.uk](mailto:pse@aqa.org.uk) or telephone 01423 534225.

## 5





## The AQA Entries Department

Regardless of your centre's geographical location, you should deal with all entries matters via the Entries Department in Manchester.

## Contact details for entries

Entries Department  
AQA  
Devas Street  
MANCHESTER  
M15 6EX

For entry enquiries, you should contact:



-  Direct Line (0161) 455 5482
-  Switchboard (0161) 953 1180
-  Direct Fax (0161) 455 5408
-  e-mail [entries@aqa.org.uk](mailto:entries@aqa.org.uk) (*for correspondence only*)

Our Entries staff will be pleased to assist you with all your enquiries regarding your entry submission.

## e-AQA Helpdesk

e-AQA is a secure section of our Website that allows authorised staff within your centre to communicate directly with AQA (see Section 6 for further information).

For e-AQA enquiries, you should contact:

-  0844 209 6614 Monday to Friday, 08 00 to 17 00.  
A voicemail service operates outside these hours: please leave a message and a member of the helpdesk team will contact you as soon as possible.
-  [e-aqahelpdesk@aqa.org.uk](mailto:e-aqahelpdesk@aqa.org.uk)

The e-AQA Helpdesk staff will be pleased to assist you with all your enquiries about registration for and use of the on-line service.

## 6

## e-AQA

## About e-AQA

e-AQA is a secure section of our Website. e-AQA allows authorised staff within your centre to communicate directly with AQA and will offer access to an increasing number of features as the area is developed.

e-AQA offers two roles for staff at centres:

- the *centre administrator* – who is responsible for registering the centre for e-AQA and managing access for colleagues
- *centre users* – colleagues whose access has been set up by the centre administrator.

Please note that e-AQA centre administrators will be responsible for ensuring that, for the period when early access to results information is given only to the Head of Centre and the Exams Office staff, the access rights of any other centre users are disabled.

e-AQA currently enables you to:

- change details within your personal profile
- for centre administrators, register additional centre users and control their access rights within e-AQA
- submit intention to enter information
- submit estimated entries
- make and amend entries
- view your centre's entries
- view, print and save statements of entry, entry reports by specification, option or component, and *Attendance Records*
- view your centre's results
- view Enhanced Results Analysis
- view exam related materials, including Controlled Assessment tasks
- submit Enquiries about Results and applications for Access to Scripts
- track the progress of your centre's requests for Post-Results services
- order modified papers
- apply for Access arrangements for GCE and GCSE qualifications
- apply for Special Consideration for all scheduled AQA and AQA-City & Guilds exams
- order publications on-line via the e-AQA Shop

If you have not yet registered for e-AQA, but wish to do so, please follow the simple instructions on page 16. If you have any difficulty during the registration process or require any further information, please contact our e-AQA help desk:

 0844 209 6614 Monday to Friday, 08 00 to 17 00.

A voicemail service operates outside these hours: please leave a message and a member of the helpdesk team will contact you as soon as possible.

 [e-aqahelpdesk@aqa.org.uk](mailto:e-aqahelpdesk@aqa.org.uk)

## e-AQA registration

Data held in e-AQA is secure. The registration process is designed to safeguard information related to your centre. Please note that registration requires acceptance of the *AQA Website Terms and Conditions*.

### How to register your centre for e-AQA

#### STEP ONE

- You need to decide who will act as *Centre Administrator* at your centre, who should then follow the online registration process described below.

#### STEP TWO



- Select the link below or type it carefully into the address bar of your internet browser (eg Internet Explorer, Netscape Browser etc) and select the Go button.

<https://extranet.aqa.org.uk/e-AQA/templogon.do>

#### STEP THREE



- Enter your centre's five-digit centre number and select the Submit button.

#### STEP FOUR



- Your nominated member of staff registers as *centre administrator* choosing a username and password.

#### STEP FIVE



- AQA acknowledges receipt of registration by e-mail and carries out security checks. In cases where (for example) a 'hotmail' account has been given as your centre e-mail address, it may be necessary for Helpdesk staff to telephone your centre to confirm the registration request.

#### STEP SIX



- AQA sends confirmation to the *Centre Administrator* and Head of Centre by post; the username and password are now active.

#### STEP SEVEN



- Welcome to e-AQA.
- Centre administrator can use services and enable colleagues' access. Once registration is approved, e-AQA can be accessed from any page of the main AQA website at [www.aqa.org.uk](http://www.aqa.org.uk)

Once the *AQA Website Terms and Conditions* have been accepted and your registration confirmed, Centre Administrators will automatically have access to all features of the secure section of the Website for centres. As the number of features grows, the facility to allocate access rights to your *centres users* will allow you to configure access rights for your colleagues according to your centre's needs.

We hope you will enjoy the added efficiency, accessibility and flexibility that e-AQA will increasingly provide, and look forward to hearing your feedback to help guide the future development of our Website.

## 7

## Preliminary entry information

AQA collects the following preliminary entry information.

## Intention to enter information

Intention to enter information is used to enable us to

- despatch any entry material for appropriate series (applies only if you use the *Entry form* to submit your entries),
  - remind you to submit entries if you fail to enter by the entry closing date,
  - update our records relating to your centre name as you want it to appear on certificates and the name of your Exams Officer and Head/Principal,
  - compile a list of centres willing to accept entries from Private Candidates,
  - determine whether or not you wish AQA to print your centre's statements of entry.
- **If your centre is registered for e-AQA**, you should use the e-AQA service for the submission of Intention to Enter information to indicate the exam series for which you expect to be entering candidates in 2011-2012.

The *Intention to enter* form for the collection of Intention to enter information will only be sent to you on request to the Entries Department (see Section 5 for details), or you can access the document from the [Administration|Library](#) section of the AQA Website at [www.aqa.org.uk/library](http://www.aqa.org.uk/library).

You should have submitted Intention to Enter information by **21 July 2011**.

- **If your centre is not registered for e-AQA**, you will have received in June 2011 an *Intention to enter* form to indicate the exam series for which you expect to be entering candidates in 2011-2012. If you require a further copy of the booklet, you can access it from the [Administration/Library](#) section of the AQA Website at [www.aqa.org.uk/library](http://www.aqa.org.uk/library).

You should have returned the *Intention to enter* form to AQA Entries at the Manchester office by **21 July 2011**.

## Estimated entries information

We collect estimated entries information for all the qualifications and exam types covered in this booklet and listed at the top of page 13. It enables us to

- compile a preliminary register of centres intending to offer a particular specification, module or unit,
- make any necessary arrangements for meetings of teachers involved with internal assessment,
- make preliminary arrangements for certain subjects (eg subjects with practical tasks) and despatch any relevant materials (eg early-release materials) to centres prior to the receipt of actual entry data,
- estimate the number of question papers or assignments required,
- estimate the number of examiners and moderators required for each subject, unit or module.

Estimated entries for restricted pilots are collected separately by the pilot scheme organisers.

We collect estimated entries information twice each academic year from all centres approved for AQA exams and tests, as follows:

- Estimated entries for [October 2011](#), [November 2011](#) and [January 2012](#) exams should have been submitted to AQA by **21 July 2011**.
  - Estimated entries for [Spring and Summer 2012](#) exams are submitted to AQA by **10 October 2011**.
- **If your centre is registered for e-AQA**, you should use the e-AQA service for the submission of estimated entries for each of the specifications available in the above exam periods.

You will only be sent booklets for the collection of Estimated entries on request to the Entries Department (Telephone: 0161 455 5482 or e-mail: [entries@aqa.org.uk](mailto:entries@aqa.org.uk)), or you may access them from the [Administration/Library](#) section of the AQA Website at [www.aqa.org.uk/library](http://www.aqa.org.uk/library).

- **If your centre is not registered for e-AQA**, you will receive (by separate despatch in June and September) booklets for providing us with an estimate of your centre's estimated entries for each of the specifications available in the above exam periods. If you require a further copy of either booklet, you may access them from the [Administration/Library](#) section of the AQA Website at [www.aqa.org.uk/library](http://www.aqa.org.uk/library).

# 8

## Series

All entries for AQA exams are collected by series, irrespective of the method of entry you use to submit them (see Section 9). The closing date for the receipt of entries and the date of publication of results for particular exams determine each series.

A complete list of the series to be used for the 2011-2012 academic year is given in the table on pages 21 to 23.

A copy of the table in A3 format was sent to you in September 2011. A copy of the table in A4 format is available [here](#).

## Coding of series

Each series has been allocated a four-character code made up of a two-character Series Code and a two-digit Year Code.

The Series and Year Codes to be used in the 2011-2012 academic year are shown in column 1 of the table on pages 21 to 23.

## Series Code

- The Series Code is a two-character code, specified in the Joint Council for Qualifications' *Formats for the exchange of examination related data*. You can download or view a copy from the JCQ Website at [www.jcq.org.uk](http://www.jcq.org.uk).
- The first character refers to the main month in which exams in that series will be taken, as follows:

First character	Month of exam	First character	Month of exam
1	January	7	July
2	February	8	August
3	March	9	September
4	April	A	October
5	May	B	November
6	June	C	December

- The second character is a letter (A-Z) decided by an awarding body without reference to the values used by other awarding bodies (see example below). It is defined to represent a set of exams to be processed together for a particular series.

AQA has allocated a letter that helps to identify the **main** qualification type within a series. The letters that are used are as follows:

- A** = GCE
- B** = AQA Baccalaureate
- G** = GCSE
- K** = Key Skills
- M** = GCSE Modules (where a 'G' series already exists for the same month)
- R** = Registration for Principal Learning (AQA-City & Guilds)
- V** = Applied Subjects

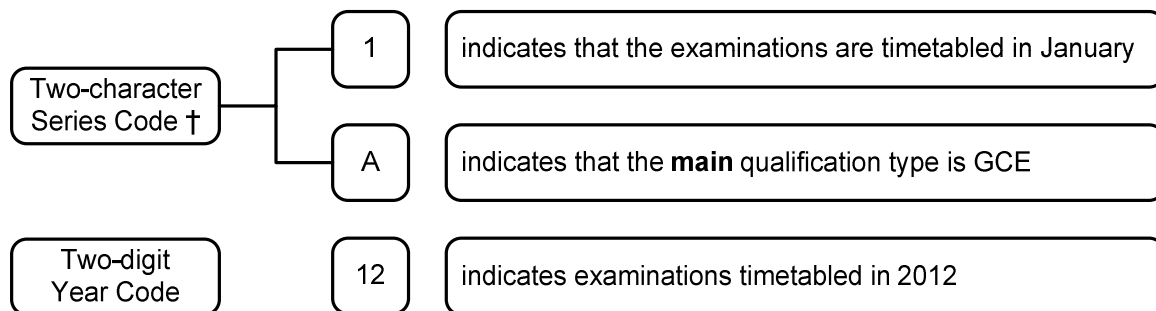
However, any series may contain more than one qualification type. For example, series that have the main qualification type A will include not only GCE, but may also include some GCSE, VRQ and/or FSMQ.

## Year Code

The Year Code is made up of the last two digits of the calendar year in which the main exams in that series will be held, for example, 12 for exams taken in 2012.

## Series Code example

All our January 2012 exams for GCE (including GCE in Applied Subjects), Principal Learning, FSMQ, GCSE Science, GCSE in Applied Subjects and VRQ Units in Counselling have the same entry closing date and the same date for the publication of results. Therefore they will be in the same series, coded 1A12 for the January 2012 Series 1A, where AQA series are listed by Entry Closing Date (and then by the Date of Publication of Results, if more than one series has the same Entry Closing Date).



† The designation of this January 2012 series as Series 1A applies only to AQA exams. Other awarding bodies offering exams in January 2012 may use a different series identifier for their equivalent series.

## AQA SERIES 2011-2012

Series and Year code	Series title	ENTRY CLOSING DATE † Late Entry Fees payable after	Products in series	Basedata available for download from web site on or before	† Very Late Entry/ Amendment Fees payable No refunds after	Results Publication Date
BG11	November 2011 Series BG	4 October 2011	GCSE <i>New Specification</i> Mathematics Units 1 and 2	2 September 2011	25 October 2011	12 January 2012
			GCSE <i>New Specification</i> Science B Unit 1			
			GCSE <i>Outgoing specifications</i> English A and B, Mathematics A, Mathematics B Modules 1,3 and 5 and Award <b>(Final opportunity for assessment and award)</b>			
			GCSE <i>Outgoing Specification</i> Biology, Chemistry and Physics 1a and 1b Objective Test Units			
			GCSE <i>Outgoing Specification</i> Science A, Biology, Chemistry and Physics Awards			
			Functional Skills (English, ICT and Mathematics) (Level 1,2, Entry 1,2,3)			
			Basic Skills Level 1 and Level 2 Tests (Literacy and Numeracy)			
			Extended Project Qualification (AQA-City & Guilds)			
<b>Restricted Entry Pilots:</b> GCSE Use of Mathematics Award						
9R11	September 2011 Series 9R	21 October 2011	Registrations for Principal Learning	14 September 2011	21 April 2012	Not Applicable
1A12	January 2012 Series 1A	21 October 2011	GCE (including GCE in Applied Subjects) Units and Awards	14 September 2011	15 December 2011	8 March 2012
			Principal Learning Levels 1, 2 and 3 Units and Awards (incl Wales) (AQA-City & Guilds)			
			GCSE <i>New Specification</i> Units (including Sciences <i>New Specification</i> Units Biology 1, Chemistry 1, Physics 1 and Science A1, A2) and Awards			
			GCSE <i>Outgoing Specification</i> Biology, Chemistry and Physics 1, 2 and 3 Written Paper Units			
			GCSE <i>Outgoing Specification</i> Science B, Additional Science, Biology, Chemistry and Physics Awards			
			GCSE in Applied Subjects <i>Outgoing Specification</i> Science Units and Awards			
			GCSE in Applied Subjects <i>Outgoing Specification</i> ICT Unit 3 and Award <b>(Final opportunity for assessment and award)</b>			
			Functional Skills (English, ICT and Mathematics) (Level 1,2, Entry 1,2,3)			
			Level 1 and Level 2 Project Qualification (AQA-City & Guilds)			
			VRQ Counselling ( <i>New Specifications</i> ) Units and Awards			
			VRQ Counselling ( <i>Outgoing Specifications</i> ) Awards			
<b>Restricted Entry Pilots:</b> GCSE Applications in Mathematics Units and Award, GCSE Methods in Mathematics Units and Award, GCSE Use of Mathematics Award, FSMQ (Foundation and Intermediate levels only) Awards, GCSE Mathematics Units 2 and 3 and Award <b>(Final opportunity for assessment and award)</b>						

Continued on next page

### AQA SERIES 2011-2012 (continued)

Series and Year code	Series title	ENTRY CLOSING DATE † Late Entry Fees payable after	Products in series	Basedata available for download from web site on or before	† Very Late Entry/ Amendment Fees payable No refunds after	Results Publication Date
1K12	January 2012 Series 1K	11 November 2011	Key Skills Proxy Claims	14 September 2011	30 November 2011	8 March 2012
			Key Skills Unit Awards			
			Basic Skills Level 1 and Level 2 Tests (Literacy and Numeracy)			
3G12	March 2012 Series 3G	21 January 2012	GCSE <i>New Specification</i> Science B Units 1, 2 and 3	12 October 2011	21 February 2012	19 April 2012
			GCSE Mathematics Units 1 and 2			
			GCSE <i>Outgoing Specification</i> Biology, Chemistry and Physics 1a and 1b Objective Test Units			
			GCSE <i>Outgoing Specification</i> Science A, Biology, Chemistry and Physics Awards			
			Functional Skills (English, ICT and Mathematics) (Level 1,2, Entry 1,2,3)			
			Key Skills Proxy Claims, Key Skills Unit Awards			
			Basic Skills Level 1 and Level 2 Tests (Literacy and Numeracy)			
<b>Restricted Entry Pilots:</b> GCSE Use of Mathematics Award						
6G12	June 2012 Series 6G	21 February 2012	GCSE <i>New Specification</i> Units (except Mathematics Units 1,2 and 3 and Science B Units 1, 2 and 3)	18 November 2011	21 April 2012	23 August 2012
			GCSE (including GCSE in Applied Subjects) <i>New and Outgoing Specifications</i> Awards			
			GCSE <i>Outgoing Specification</i> Sciences Centre Assessed Units ( <b>Final opportunity for assessment</b> )			
			AQA Certificates			
			Level 1 and Level 2 Certificates			
			Certificate in Use of Mathematics Units and Award			
			FSMQ <i>New Specification</i> (Foundation and Higher levels) Units			
			Entry Level Certificate			
			Foundation Certificate of Secondary Education			
			Level 1 and Level 2 Project Qualification (AQA-City & Guilds)			
			<b>Restricted Entry Pilots:</b> GCSE Applications in Mathematics Units and Award, GCSE Methods in Mathematics Units and Award, GCSE Use of Mathematics Award ( <b>Final opportunity for award</b> ), FSMQ (Foundation & Intermediate levels only) Units and Awards ( <b>Final opportunity for assessment and award</b> )			

Continued on next page

## AQA SERIES 2011-2012 (continued)

Series and Year code	Series title	ENTRY CLOSING DATE † Late Entry Fees payable after	Products in series	Basedata available for download from web site on or before	† Very Late Entry/ Amendment Fees payable No refunds after	Results Publication Date
6A12	June 2012 Series 6A	21 March 2012	GCE (including GCE in Applied Subjects) Units and Awards	18 November 2011	21 April 2012	16 August 2012
			Principal Learning Level 3 Units and Awards (incl Wales) (AQA-City & Guilds)			
			Extended Project Qualification (AQA-City & Guilds)			
			Functional Skills (English, ICT and Mathematics) (Level 1,2, Entry 1,2,3)			
			FSMQ <i>Continuing Specification</i> (Advanced level) Units			
<b>Restricted Entry Pilots:</b> FSMQ <i>New Specification</i> (Advanced level) Units, GCE Use of Mathematics Units and Award						
6B12	June 2012 Series 6B	21 March 2012	<b>Restricted Entry:</b> AQA Baccalaureate: Enrichment	18 November 2011	21 April 2012	16 August 2012
			<b>Restricted Entry:</b> AQA Baccalaureate			23 August 2012
6V12	June 2012 Series 6V	21 March 2012	GCSE <i>Outgoing Specification</i> Biology, Chemistry and Physics 1, 2 and 3 Written Paper Units	18 November 2011	21 April 2012	23 August 2012
			GCSE in Applied Subjects <i>Outgoing Specification</i> Science Units			
			Principal Learning Levels 1 and 2 Units and Awards (incl Wales) (AQA-City & Guilds)			
			VRQ Counselling ( <i>New Specifications</i> ) Units and Awards			
			VRQ Counselling ( <i>Outgoing Specifications</i> ) Awards <b>(Final opportunity for award of the Intermediate Certificate in Counselling Skills)</b>			
6K12	June 2012 Series 6K	31 March 2012	Key Skills Proxy Claims <b>(Final opportunity)</b>	18 November 2011	26 April 2012	16 August 2012
			Key Skills Unit Awards <b>(Final opportunity for award)</b>			
			Basic Skills Level 1 and Level 2 Tests (Literacy and Numeracy)			
6M12	June 2012 Series 6M	26 April 2012	GCSE Mathematics Units 1, 2 and 3	18 November 2011	14 May 2012	23 August 2012
			GCSE <i>New Specification</i> Science B Units 1, 2 and 3			
			GCSE <i>Outgoing Specification</i> Biology, Chemistry and Physics 1a and 1b Objective Test Units			

† As specified in the AQA [Entry fees and other charges 2011-2012](#).

## 9

## Methods of entry

- You can choose one of the following methods for the submission of your entries for each series. It is not a requirement that you use the same entry method for every series.
  - Electronic Data Interchange (EDI)
  - A2C Transport
  - e-AQA Entry Submissions On-Line
  - *Entry Form*

We will accept entries by only one of these methods in any series.

- Our obligations under the Data Protection Act mean that we **cannot accept entries and related data by e-mail or as a file attached to an e-mail**. e-mail should be used only for correspondence.
- Any Entry or related files that you produce must be in the JCQ standard format, which is detailed in Version 14 of the *Formats for the exchange of examination related data* (see Section 18). We will not accept Entry and related files created as spreadsheets.
- You should note that a surcharge will be applied per entry to all main entries made using the *Entry Form*. Details of the surcharge and any exceptions are given in the AQA *Entry fees and other charges 2011-2012*.
- Further information on each method of entry is given in the following Sections:
  - EDI                                      Section 19
  - A2C transport                        Section 20
  - On-line via e-AQA                  Section 21
  - *Entry Form*                            Section 22

## Despatch of entry material to centres

We will use the information you provided on the *Intention to Enter* form (see Section 7) to determine the entry material you require for each series.

If required, we will despatch entry material to you at least four weeks before the Entry Closing Date for each series (see Section 10).

## Entry codes

The *Entry codes: All examination series 2011-2012* contains all the entry codes, which you must use irrespective of your method of entry, for all the exams (registrations, subject awards, units, modules and components) that are available in any given series. We will also provide Basedata (see Section 18) for each series if you wish to submit entries electronically using your centre's MIS.

A copy of the *Entry codes: All examination series 2011-2012* document was sent to all AQA approved centres in September 2011 and is available on the [Administration|Library](#) page of our website.

You can find further information on making entries for subject awards, units, modules and components in the *Entry codes: All examination series 2011-2012*.

## 10

## Closing dates for entries

The last date for the receipt of all entries for each series is given in the *AQA Series 2011-2012* document, which was sent to you in September 2011, and in the table of series on pages 21 to 23 of this *Entry Procedures*.

An extract of the table showing the closing dates for each series is given below for convenience.

<b>Series and Year Code</b>	<b>Series title</b>	<b>ENTRY CLOSING DATE</b>
BG11	November 2011 Series BG	<b>4 OCTOBER 2011</b>
9R11	September 2011 Series 9R	<b>21 OCTOBER 2011</b>
1A12	January 2012 Series 1A	<b>21 OCTOBER 2011</b>
1K12	January 2012 Series 1K	<b>11 NOVEMBER 2011</b>
3G12	March 2012 Series 3G	<b>21 JANUARY 2012</b>
6G12	June 2012 Series 6G	<b>21 FEBRUARY 2012</b>
6A12	June 2012 Series 6A	<b>21 MARCH 2012</b>
6B12	June 2012 Series 6B	<b>21 MARCH 2012</b>
6V12	June 2012 Series 6V	<b>21 MARCH 2012</b>
6K12	June 2012 Series 6K	<b>31 MARCH 2012</b>
6M12	June 2012 Series 6M	<b>26 APRIL 2012</b>

## 11

## Candidate details required for entries

The following information is required in the entry record of each candidate, irrespective of the method of entry you use.

## Candidate number

You need to allocate a unique candidate number to each candidate for each series. The allocation of candidate numbers for each series is entirely at your discretion: they need not start at 0001 nor be consecutive. However, you should note that

- the candidate number must be a four-figure number in the range 0001 to 9999
- AQA will not allocate candidate numbers
- entries received without a candidate number cannot be processed
- all lists of candidates provided by us once entries have been processed will be in ascending candidate number order
- you must use the four-figure candidate number to identify the candidate on any entries, coursework submitted by the candidate and on any record and assessment forms etc submitted to us.

When allocating candidate numbers, we advise that you should, wherever possible,

- allocate numbers to all candidates at the beginning of the academic year,
- use the same four-figure candidate number for each series for which the candidate is entered,
- use the same four-figure candidate number when entering a candidate for the exams offered by any of the other awarding bodies.

## Candidate name

Candidates' names must be given in the format surname:forename(s) and/or initial(s).

For example      BURNS :EMMA KAY  
                          BARBER-DOHERTY :B K LORNA  
                          DE LA BLANCHE :JULIE

If a candidate's name does not include a forename, the colon should be put at the end of the complete name.

For example      TANG PO HENG :

In accordance with the JCQ *Formats for the exchange of examination related data*, acceptable characters in candidates' names are:

- A-Z, a-z, hyphen, apostrophe, space, round brackets (open and close) and full stop.
- In electronic files, all the acceptable characters are ASCII characters in the range 32 to 126. Awarding bodies may convert names to upper case on transfer to their own computer systems and they may also remove or replace any characters that are not acceptable.

Up to 40 characters are available for recording a candidate's name, either in an electronic entry file or on the *Entry Form*.

The colon, any hyphen or apostrophe and each space in a candidate's name count as a separate character.

If abbreviating a candidate's name to meet the maximum allowance of 40 characters creates difficulties for any of your candidates, we can make special arrangements to record their full names on certificates only. You should contact the Records Section in the Guildford or Manchester office, as appropriate to your centre's location, to request these arrangements.

We strongly recommend that you enter candidates under names that can be verified by the presentation of suitable identification, such as a birth certificate, passport or driver's licence. This ensures that there will be no delays or confusion when candidates subsequently present their results documentation to employers or tertiary institutions.

Where candidates are registered on the Learner Registration Service (LRS), please ensure that their personal details provided for entries and on LRS are maintained in parallel.

## Candidate gender

Use "F" for a female candidate and "M" for a male candidate.

## Candidate date of birth

The date of birth of each candidate must be given in the format DDMMYY

For example: for 5 August 1991 enter 050891

You must ensure that valid dates of birth have been provided for all candidates. We will not issue a certificate if the date of birth is invalid or is missing from the candidate's entry record.

## Candidate status

Candidates must be designated either Centre or Private as follows.

- Centre candidates

For the purposes of entry, you should regard all candidates on roll at your centre, whether part-time or full-time students, as Centre candidates.

For a Centre candidate: you can leave the status column blank on the *Entry Form* or set it to **C** in an electronic file.

- Private candidates

For the purposes of entry, you should regard all other candidates taking exams at your centre as Private candidates.

For a Private candidate: enter **P** in the status column on the *Entry Form* or set it to **P** in an electronic file.

You should be aware that certain subjects/units/modules are not available to private candidates. You should check the appropriate *Specification* for any entry restriction.

Further information about entries from private candidates is given in Section 24. A separate document, *Supplementary guidance for private candidates*, is also available on request to our Entries Department or from our website at [www.aqa.org.uk/admin/p\\_private.php](http://www.aqa.org.uk/admin/p_private.php).

## Unique Candidate Identifier (UCI)

Before you allocate a new UCI, you should ensure that a candidate has not already been issued with a UCI by a different centre or for a different awarding body. You must not issue a candidate with a new UCI where one already exists.

Further details of the UCI are given in Section 12.

## Unique Learner Number (ULN)

The Unique Learner Number (ULN) is a 10-digit string allocated by the Learner Registration Service (LRS). The ULN enables us to track a student's entries and results across different series and is mandatory for Principal Learning and must also be provided with entries for any qualification that will be used towards a Diploma award since it will be used to track students, and their results, across awarding bodies.

If a candidate has previously been allocated a ULN by the LRS, you **must** use that ULN. If you do not know it, please contact the LRS ( [www.learningrecordsservice.org.uk](http://www.learningrecordsservice.org.uk) ).

Please ensure that any amendments to the personal details of candidates (names, date of birth etc) are passed both to LRS and to AQA.

Further details of the ULN are given in Section 13.

## Unique Pupil Number (UPN)

This applies only to centres submitting entries electronically by EDI or via e-AQA.

The Unique Pupil Number (UPN) has been required since the autumn of 1999 to be issued for pupils up to the age of 16 within the maintained sector of education.

There is provision for the UPN to be included in entry records submitted electronically to the awarding bodies.

## 12

## Unique Candidate Identifier (UCI)

The need for a Unique Candidate Identifier (UCI) arrived with the development of modular schemes of assessment where candidates may hold module/unit results over a period of time and may study and take tests at more than one centre.

The 13-character UCI is used by awarding bodies to accumulate all the results achieved by a candidate over that period. This enables the subject award to be calculated by totalling the uniform marks for the individual module/unit results.

## Allocation of UCIs

Before you allocate a new UCI, you should ensure that a candidate has not already been issued with a UCI by a different centre or for a different awarding body.

You must not issue a candidate with a new UCI where one already exists.

### Centres submitting entries electronically by EDI or via e-AQA

You must supply UCIs for all candidates, **including** those who are solely entered for linear (non-modular) exams, in all entry and entry amendment files submitted electronically by EDI or via e-AQA.

### Centres submitting entries in writing on the Entry Form

You must supply UCIs for all candidates entered for modular or unitary exams. You do not need to give us a UCI for candidates who are entering solely for linear (non-modular) exams.

## Generating a UCI

Where a candidate has not already been allocated a UCI, you will need to generate a Unique Candidate Identifier in accordance with the rules given below.

We will reject any entries that require a UCI where none is supplied and you will be asked to supply the missing UCIs.

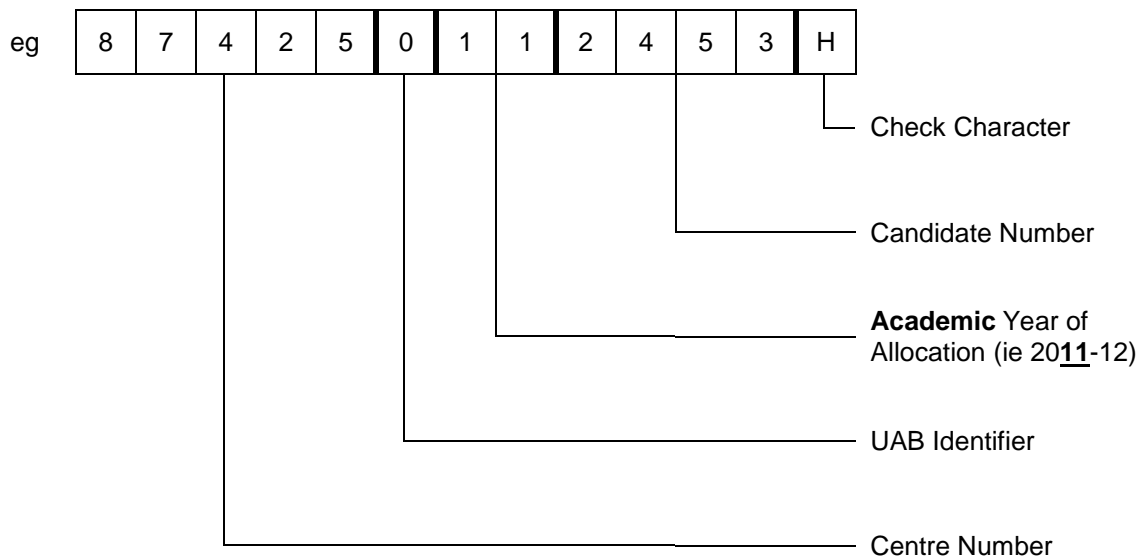
We will not generate complete UCIs for you. When allocating a UCI, you are asked, where possible, to generate all 13 characters. However, if you are submitting entries **in writing on the Entry Form**, you can fill in the first 12 characters of the 13-character identifier and we will automatically generate the 13th character (the check character). We will let you know the full UCI on statements of entry and results documentation.

If you make your centre's entries **by EDI**, please refer to Version 14 of the [Formats for the exchange of examination related data](#). You will see that the UCI should be recorded in the 'entries and amendments detail record' for a candidate in positions 60-72. Your centre's software package(s) will usually have the facility to generate full UCIs: please contact your software supplier directly for instructions.

UCIs are generated from the following data:

Position	Data required	Comments
1-5	Centre number	Always the National Centre Number
6	Awarding Body identifier	Always 0 (zero) for AQA
7-8	<b>Academic</b> year of allocation	The last two digits of the academic year in which the UCI is allocated: eg 10 for all UCIs allocated in the 2011-2012 academic year
9-12	Candidate serial number	Allocated by the centre (usually the candidate's 4-digit candidate number). Numbers must be unique within the academic year.
13	Check character	Used to verify data. Checks that the first 12 digits are correct in relation to the check character. Calculated using modulus 17. See below.

Character Position	1 2 3 4 5	6	7 8	9 10 11 12	13
Explanation	Centre Number	Awarding Body identifier	<b>Academic</b> Year of Allocation	Candidate Serial Number	Check Character



If you require any advice on the correct procedures for generating UCIs please contact the Entries Department.

## Algorithm for the calculation of the UCI check character

The first 12 digits of the UCI (see above) are used to calculate the check character.

The first digit of the Identifier is multiplied by 16, the second digit is multiplied by 15, the third by 14 and so on to the last (12<sup>th</sup>) digit, which is multiplied by 5.

The products of the multiplication are then added together.

The sum of the products is divided by 17.

The remainder from the division (a number in the range 0 to 16) is converted to a letter using the following table:

Remainder	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Character	A	B	C	D	E	F	G	H	K	L	M	R	T	V	W	X	Y

Using the example above, the check character is calculated as follows:

	Centre number					AB ID	Year of registration		Candidate Serial Number				Check character
UCI	8	7	4	2	5	0	1	1	2	4	5	3	?
Multiplied by	x16	x15	x14	x13	x12	x11	x10	x9	x8	x7	x6	x5	
Products	128	105	56	26	60	0	10	9	16	28	30	15	
Sum	483												
Sum÷17	28												
Remainder	7												
Check character =	H												

## Use of UCIs

Once a unique identifier has been generated, you must use it for all specifications entered with AQA or any of the other awarding bodies, for all exams and at any exam centre.

**Each student must have only one UCI.**

It is essential for students moving from one centre to another to know their UCIs, particularly if they are transferring part-way through modular courses.

The UCI is needed in addition to the four-digit candidate number assigned to a candidate in the current series. For subsequent exams, you may assign a different candidate number, **but the UCI must remain the same**. You are advised to retain the same candidate number where this is possible.

The UCI will be quoted on statements of entry and results documentation.

The AQA Entries Department will provide any help needed in understanding the UCI.

## 13

## Unique Learner Number (ULN)

## What is the ULN?

ULN stands for Unique Learner Number. It is a number that has been introduced to allow individual learners to be uniquely identified and it is compulsory for all learners taking the Diploma. The Diploma qualification is made up of different constituent qualifications that can be taken at different times and with different awarding bodies; the ULN enables these different component results to be aggregated by the Diploma Aggregation Service (DAS) so that an overall Diploma result can be awarded.

## What does the ULN look like?

The ULN is a 10-digit number that is generated by the Learning Records Service (LRS) to correspond uniquely to one learner.

## Do I need a ULN for all of my learners?

No, not for all of your learners.

- All Diploma learners must have ULNs. You will be unable to open a learner account with the Diploma Aggregation Service without one.
- Learners not doing Diplomas will not need a ULN, unless you are an FE College, in which case you may be required to allocate ULNs to learners for funding purposes.

## How do I obtain ULNs for all my Diploma learners?

ULNs can be obtained from the LRS. Full instructions on how to use this service are available from LRS ([www.learningrecordsservice.org.uk](http://www.learningrecordsservice.org.uk)).

## When do I need to get the ULN for a learner?

When a learner enrolls for a Diploma at your centre, you should immediately request a ULN from LRS if the learner does not already have one. If the learner supplies you with a ULN, you can validate this with LRS to ensure that it is correct.

## How do I get the ULN on to my centre's MIS?

You will need to check with the MIS supplier to find out whether you can import the ULNs through an automated upload of data, or you have to enter the ULNs manually. Please refer to Version 14 of the *Formats for the Exchange of Exams Related Data*. The ULN should be recorded in the 'entries and amendment detail record' for a candidate in positions 86-95.

## Is the ULN mandatory for all my entries/registrations?

No. The ULN is mandatory for Principal Learning and must also be provided with entries for any other qualification that will be used towards a Diploma award.

## Do I still need to use the candidate number and UCI with my exams entries?

Yes, the candidate number and the UCI (Unique Candidate Identifier) will still be mandatory for all entries/registrations for general qualifications and for any other information submitted via the JCQ EDI format.

## What do I do if the learner's name changes? Do I need to amend the name on the Learner Registration Service as well as with the Awarding Body?

Yes. It's really important that you keep both the details you have sent the Awarding Bodies and the details in LRS in step and up-to-date. If you amend the name with LRS but do not update the Awarding Body, there may be problems when the Awarding Body validates the ULN with LRS or submits results to the Diploma Aggregation Service. This will lead to delays to the issue of the learner's Diploma.

## 14

## Candidate Registration for Principal Learning (AQA-City &amp; Guilds)

## Registration

Any candidate taking AQA–City & Guilds Principal Learning will need to register with AQA for the Line of Learning and Level at the start of the academic year in which they intend to enter any units for assessment. This registration entry will be in addition to entries for the units and awards for Principal Learning.

Registrations for candidates entering units in the January 2012 and/or June 2012 exam series must all be made in the **one** registration entry series, 9R11. The closing date for these registration entries is **21 October 2011**. These registrations can also be made in the unit/award series 1A, 6A (Level 3 only) and 6V (Levels 1 and 2), but will incur fees appropriate to the date of registration, including late or very late registration fees as appropriate.

Where an entry for any unit of Principal Learning is received for a candidate who does not have a registration for the same Line of Learning and Level, the registration will be generated by AQA and the appropriate registration fee, together with any late fees or very late fees, will be invoiced to the centre making the unit entry.

Registration entries can be made through one of the usual methods for the submission of entries (see Section 9).

- Electronic Data Interchange (EDI)
- on-line via e-AQA
- Entry Form

The registration will need to include the following candidate details:

- Candidate name (as described on Page 26)
- Candidate gender (as described on Page 27)
- Candidate date of birth (as described on Page 27)
- Unique Learner Number (ULN) (as described on Page 27)
- Unique Candidate Identifier (UCI) (as described on Page 27)

together with the registration entry codes for the appropriate Line of Learning and Level as shown in the table on page 35:

## Fees

Registrations for Principal Learning will attract Entry fees as shown in the fees booklet [Diploma: 2011/12 Entry Fees and Other Charges](#).

Any registration entries submitted after 21 October but before 22 April will also attract a Late fee in addition to the Registration fee while those registrations submitted after 21 April will attract a Very Late fee in addition to the Registration fee.

The fees for registrations will be charged to the centre that submits the registration entry or to the centre that submits the unit entry that auto-generates the registration. Home centres for Principal Learning candidates are advised to make their registrations before any unit entries are made.

No refunds will be given for the withdrawal of registration.

**Registration entry codes for the academic year 2011-2012**

Principal Learning: Lines of Learning	Level	Specification Code	Registration Code
Business, Administration and Finance	1	7351	7351R
	2	7352	7352R
	3	7353	7353R
Construction and the Built Environment	1	7311	7311R
	2	7312	7312R
	3	7313	7313R
Creative and Media	1	7321	7321R
	2	7322	7322R
	3	7323	7323R
Engineering	1	7331	7331R
	2	7332	7332R
	3	7333	7333R
Environmental and Land-Based Studies	1	7361	7361R
	2	7362	7362R
	3	7363	7363R
Hair and Beauty Studies	1	7371	7371R
	2	7372	7372R
	3	7373	7373R
Hair and Beauty Studies (Wales)	1	7376	7376R
	2	7377	7377R
	3	7378	7378R
Hospitality	1	7381	7381R
	2	7382	7382R
	3	7383	7383R
Information Technology	1	7341	7341R
	2	7342	7342R
	3	7343	7343R
Public Services	1	7421	7421R
	2	7422	7422R
	3	7423	7423R
Retail Business	1	7431	7431R
	2	7432	7432R
	3	7433	7433R
Society, Health and Development	1	7411	7411R
	2	7412	7412R
	3	7413	7413R
Society, Health and Development (Wales)	1	7416	7416R
	2	7417	7417R
	3	7418	7418R
Sport and Active Leisure	1	7441	7441R
	2	7442	7442R
	3	7443	7443R
Travel and Tourism	1	7451	7451R
	2	7452	7452R
	3	7453	7453R

## 15

## Making entries for subject awards, units, options, modules and components

## Entry codes

The AQA *Entry codes: All examination series 2011-2012* document contains all the entry codes for all the exams (registrations, subject awards, units, modules and components) that are available in any given series. You must use the appropriate entry code irrespective of your method of entry. The AQA *Entry codes: All examination series 2011-2012* document was sent to all AQA approved centres in September 2011 and is available on the [Administration/Library](#) page of our website.

Basedata (see Section 18) will also be provided for each series for centres wishing to submit entries electronically.

Each entry code comprises four, five or six characters. The first four characters usually code the subject or unit, with any option and/or tier being identified by the fifth and sixth characters.

A separate entry, using the appropriate entry code, is required for every assessment (subject award, unit, option, module or component) for which a result is to be reported.

Before making an entry, you should refer to any statement in the appropriate *Specification* that deals with prohibited combinations or overlap of content and also to Section 16 *Restrictions on Entry* of this booklet.

## Administrative Procedures booklets

Before making an entry, you should refer to the AQA *Administrative Procedures* booklets, which are supplied for the following:

- † GCSE Modular and GCSE in Applied Subjects Specifications
- † GCE (including GCE in Applied Subjects), Key Skills and FSMQ Specifications
- ELC
- FCSE

The *Administrative Procedures* booklets provide Subject Teachers and Exams Officers with a helpful summary of information relating to the administration of unit/module assessments and associated subject awards, including information on the grading of unit/module tests and aggregation of unit/module tests for subject awards.

Separate administrative information relating to Principal Learning will be made available to all centres registered to offer Principal Learning with AQA-City & Guilds.

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† We issue the GCE and GCSE Administrative Procedures booklets in electronic form only. The booklets are available from the [Administration/Library](#) section of [aqa.org.uk](http://aqa.org.uk) for you to refer to as necessary.

## Assessment and entry structures

The following sections illustrate by example the assessment and entry structures for each AQA exam type (GCE, GCSE, GCSE Modular etc).

You should also refer to the individual *Specifications*, which give full details of the schemes of assessment.

In the examples given, **bold** boxes are used to indicate where an entry must be made.

The following exam types are illustrated:

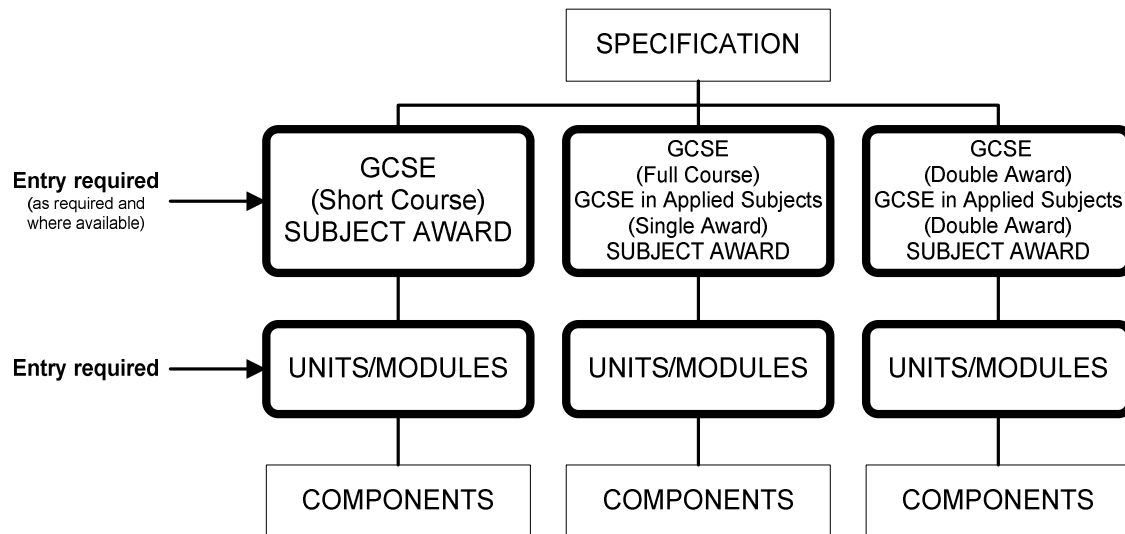
GCSE Linear (non-Modular)	Page 38
GCSE Modular units/modules and subject awards	Page 38
GCE (including GCE in Applied Subjects)	Page 40
Principal Learning (Levels 1, 2 and 3)	Page 41
Functional Skills	Page 42
AQA Level 1/2 Certificates	Page 42
Entry Level Certificate	Page 42
Foundation Certificate of Secondary Education	Page 42
Basic Skills Tests	Page 42
Free-Standing Mathematics Qualifications	Page 42
Level 1 and Level 2 Certificates	Page 42
Key Skills Awards	Page 43
Vocationally Related Qualifications in Counselling	Page 44

## Entries for GCSE Linear (non-Modular) Exams

For **GCSE Linear** (non-Modular) exams, you need to make a separate entry for each subject.

In most cases, the entry code will include (usually as the fifth and/or sixth characters of the code) an option (for example, written papers only or written papers and coursework) and/or tier of entry. In those cases where there are neither options nor tiers, the entry code is the same as the specification code.

## Entries for GCSE Modular units/modules and subject awards including GCSE in Applied Subjects specifications



For **GCSE Modular** and **GCSE in Applied Subjects** specifications, you need to make a separate entry for:

- each unit or module
  - A unit/module result that has been used to count towards a GCSE (Short Course) award will remain available for inclusion in a GCSE (Full Course), GCSE (Single Award) or GCSE (Double Award) award.
  - A unit/module result that has been used to count towards a GCSE (Single Award) will remain available for inclusion in a GCSE (Double Award).
- the GCSE Short Course subject award, if appropriate.
- the GCSE Full Course subject award, if appropriate.
- the GCSE in Applied Subjects Single Subject Award, if appropriate.
- the GCSE in Applied Subjects Double Subject Award, if appropriate.

We will award the overall subject awards only when the appropriate entry ('cash-in' claim) has been made. Entries and/or results for sufficient units or modules will **not** automatically trigger an entry for a subject award.

For the new GCSE specifications in English, English Language, English Literature, ICT and Mathematics, the Short Course (ICT only) was available for first certification in June 2011 with the GCSE (Full Course) awards in all subjects being available for first certification in June 2012.

### Retaking GCSE units/modules

The GCSE Qualification Criteria set by QCDA require that unitted specifications must allow only one re-sit of an assessment unit with the better result counting towards the qualification.

Therefore, with the following exceptions, candidates can retake a GCSE unit or module (including those for **new** specifications) only once before a subject award is made.

- For the **outgoing GCSE Sciences (including Applied and Additional Applied Science)**, each assessment unit may, within the shelf-life of the specification, be taken an unlimited number of times before certification of the qualification.

- For the **outgoing GCSE Mathematics B** specification, candidates may retake any non-terminal module only once before a subject award is made. The terminal Module 5 (see below) may not be retaken prior to certification.

## Offering combinations of awards within the outgoing GCSE Sciences

For units in the **outgoing** GCSE Science suite of specifications (including applied specifications), there is no limit on the number of unit retakes within the shelf life of the specification.

Where a candidate wishes to claim awards in

**either** Science A (4461) or Science B (4462) with any of Biology (4411), Chemistry (4421) or Physics (4451)

**or** Additional Science (4463) with any of Biology (4411), Chemistry (4421) or Physics (4451)

the following conditions apply:

1. Candidates must have at least **two separate results** for the common unit required in both the two awards (eg Biology 1 for GCSE Science and GCSE Biology).
  - The Science award (and/or the Additional Science award) will be graded first using the best result for any common unit.  
The separate science award (Biology, Chemistry or Physics) will be graded using the remaining units.
2. Once a unit result has contributed to an award, it will remain linked to that subject award.

## The terminal requirement

### New GCSE Specifications

For all new GCSE specifications, the GCSE Qualification Criteria set by the regulators require that unitised specifications must allocate a weighting of at least 40% to terminal assessment: ie 40% of the assessment must be taken in the exam series in which the qualification is awarded. This rule is not dependent on the size of the qualification. Therefore, all GCSE (New Specifications) candidates, whether taking short course, full course and double awards, must take at least 40% of the assessment for the relevant award at the end.

For specifications available for teaching from September 2010 (English, English Language, English Literature, ICT), candidates who complete the units for a full course qualification in June 2011 or in January 2012 may enter for the subject award in June 2012, provided that he/she met the terminal requirement in that earlier exam series. Any units retaken since the series in which the candidate last fulfilled the terminal requirement will not be included in the determination of the subject grade.

For the new AQA GCSE Sciences specifications (for teaching from September 2011), the 40% terminal requirement will apply normally to each subject award.

Any specification for which the 40% rule applies is indicated in the additional information for the specification in the *Entry codes: All examination series 2011-2012* document.

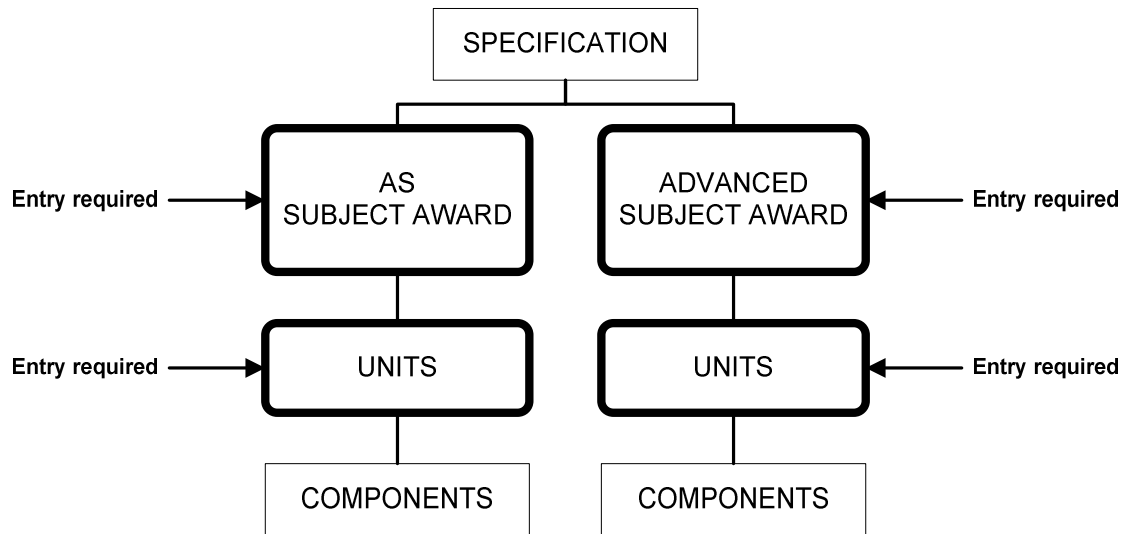
You can find information and guidance on retaking GCSE units/modules and aggregation of units/modules for a subject award in the booklet *Administrative Procedures*, which is available from the [Administration/Library](#) section of our website ([www.aqa.org.uk/library](http://www.aqa.org.uk/library)) for you to refer to as necessary.

### Outgoing GCSE Specifications

For the November 2011 final assessment opportunity in **GCSE Mathematics B**, Module 5 is the terminal module. To obtain a GCSE Award candidates must have an entry for the terminal Module 5 and for the overall subject award. Entry only for Module 5 will not trigger certification. Candidates also must have an entry in November 2011 or results from previous series for Modules 1 and 3.

The entry for the overall subject award will be untiered. The range of grades available for the overall subject award will be determined by the tier of entry for Module 5.

## Entries for GCE (including GCE in Applied Subjects) subject awards and units



For **GCE (including GCE in Applied Subjects)**, you need to make a separate entry for:

- each unit
- the overall AS subject award, if appropriate (Single or Double AS subject award for GCE in Applied Subjects)
- an overall Advanced level subject award, if appropriate (Single Advanced, Advanced with Advanced Subsidiary (additional) or Double Advanced subject award for GCE in Applied Subjects).

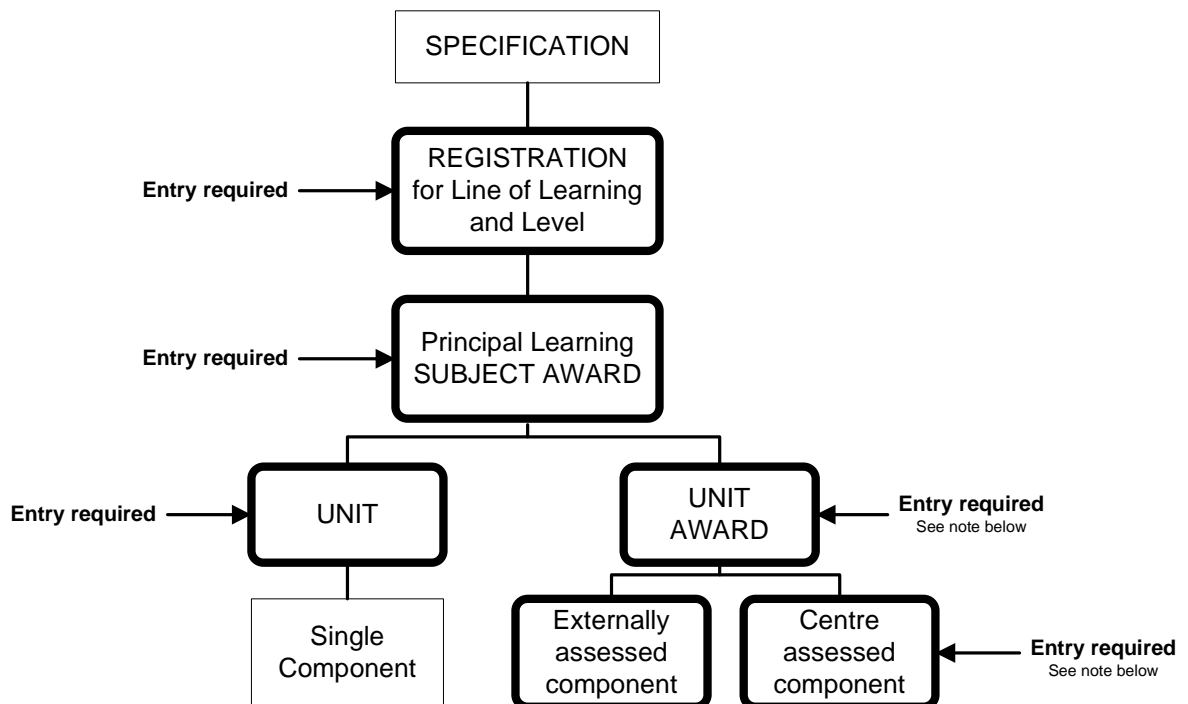
We will only award overall subject results at AS or Advanced GCE (including GCE in Applied Subjects) when the appropriate entry ('cash-in' claim) has been made. Entries and/or results for sufficient units or modules will **not** automatically trigger an entry for a subject award.

The GCE specifications have three potential models with 2-unit GCE awards, 4-unit GCE awards, and 6-unit GCE awards, although the principles outlined above apply to all.

The 6-unit specifications in GCE mathematics subjects (Mathematics, Pure Mathematics, Further Mathematics) and GCE Statistics and the existing 3-unit specification for AS Use of Mathematics will continue to be available until further notice.

You can find information and guidance on retaking GCE (including GCE in Applied Subjects) units and aggregation of units for a subject award in the booklet *AQA Administrative Procedures*, which is available from the [Administration/Library](#) section of our website for you to refer to as necessary.

## Entries for Principal Learning (AQA-City & Guilds)



For **Principal Learning**, you need to make a separate entry for:

- the registration of each student for a Line of Learning and Level (see Section 14 for further information)
- each unit

Entries should be made by the centre at which those students will be assessed for that unit; exam material will be provided to the address of the centre making the entry, to be used at that address.

- If the unit is centre assessed, the centre delivering the teaching also makes the entry.

If the unit is externally assessed by timetabled exam, the home centre should make the entry if they are hosting the timetabled exam.

**Please note:** the following Principal Learning units consist of two elements (one externally assessed and one centre assessed). An entry for each element of the unit must be made in the appropriate series. It is possible to enter each element separately in different series and, if necessary, to resit each element separately. An entry is also required in the appropriate series for the overall unit result.

- Creative and Media: Level 1 Unit 4

A separate entry in the appropriate series is required for:

Creative and Media: Level 1 Unit 4 Externally assessed element CM1U4W

Creative and Media: Level 1 Unit 4 Centre assessed element CM1U4C

Creative and Media: Level 1 Unit 4 award CAM1U4

- Engineering: Level 3 Unit 9

A separate entry in the appropriate series is required for:

Engineering: Level 3 Unit 9 Externally assessed element EN3U9W

Engineering: Level 3 Unit 9 Centre assessed element EN3U9C

Engineering: Level 3 Unit 9 award ENG3U9

- Information Technology: Level 1 Unit 3

A separate entry in the appropriate series is required for:

Information Technology: Level 1 Unit 3 Externally assessed element IN1U3W

Information Technology: Level 1 Unit 3 Centre assessed element IN1U3C

Information Technology: Level 1 Unit 3 award INF1U3

- the Principal Learning Line of Learning and Level (eg Creative and Media Level 2) subject award, when appropriate

We will only award overall Principal Learning Line of Learning and Level results when the appropriate entry ('cash-in' claim) has been made. Entries and/or results for sufficient units or modules will **not** automatically trigger an entry for a subject award.

## Functional Skills

For **ICT and Mathematics** an entry is required for each unit.

For **English**, an entry is required for

- each element (Reading, Writing and Speaking, listening and communication).
- aggregation of the results for each element to give an award in Functional English.

We will only award overall Functional English when the appropriate entry ('cash-in' claim) has been made.

## AQA L1/L2 Certificates

For **AQA L1/L2 Certificates** (non-Modular) exams, a single entry is all that is needed for both examination papers and certification.

In some cases, the entry code will include (usually as the fifth and/or sixth characters of the code) an option (for example, written papers only or written papers and coursework) and/or tier of entry. In cases where there are neither options nor tiers, the entry code is the same as the specification code.

## Entries for Entry Level Certificates

For **Entry Level Certificates (ELC)**, an entry is required for each subject award.

## Entries for Foundation Certificate of Secondary Education

For **Foundation Certificate of Secondary Education (FCSE)**, an entry is required for each subject award.

## Entries for Basic Skills Tests (Literacy and Numeracy)

For the **Basic Skills Tests (Literacy and Numeracy)**, you need to make an entry for each test and must specify the level (1 or 2) at the time of entry.

Basic Skills Tests are available to Key Stage 4 candidates, in addition to post-16 candidates.

## Entries for Free-Standing Mathematics Qualifications

For **Free-Standing Mathematics Qualifications (FSMQ)**, you need to make a separate entry for each unit.

## Entries for Level 1 and Level 2 Certificates

For **Level 1 and Level 2 Certificates**, an entry is required only for the subject award.

## Entries for Key Skills awards

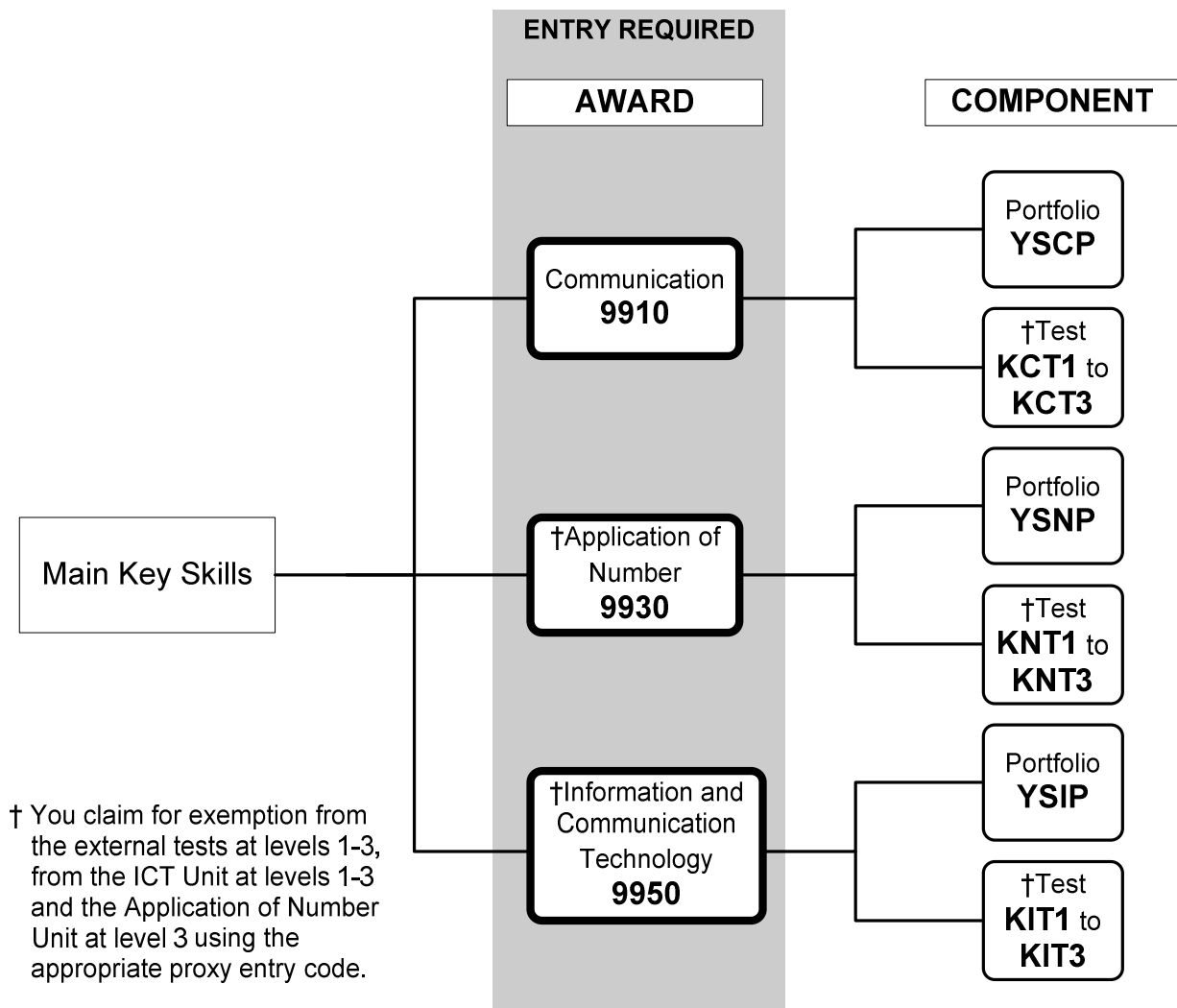
The last AQA Key Skills tests and portfolio moderation took place in June 2011, but exemptions and certification may be claimed up until June 2012.

For the **main Key Skills**, (Communication, Application of Number, Information and Communication Technology) you need to make a separate entry for:

- aggregation of the test and portfolio results to give an award in that Key Skill.  
Candidates must have results from a previous series for the appropriate components.

We will only award overall Key Skill results when the appropriate entry ('cash-in' claim) has been made.

The assessment and entry structure for Key Skills is as follows.



You can find further information and guidance on Key Skills entries and awarding in the *GCE Administrative Procedures* booklet, which is available from the [Administration/Library](#) section of our Website for you to refer to as necessary.

See also Section 17 *Claims for exemption from Key Skills tests and units (Proxy Claims)*.

## Entries for Vocationally Related Qualifications in Counselling

### Legacy specifications

**The legacy specifications will be available only for certification (no units will be available for assessment) in January 2012 and June 2012, which will be the final certification opportunity.**

For the legacy Vocationally Related Qualifications, you need to make a separate entry for

- if required, the unit award (VC11 or VC21 as appropriate) for the mandatory Unit 1 (only for Intermediate Certificate, Advanced Certificate and Advanced Diploma).  
Candidates must have results from a previous series for the individual components of the unit.
- if required, the unit award (VC22) for the mandatory Unit 2 (only for Advanced Diploma)  
Candidates must have results from a previous series for the individual components of the unit.
- the overall Award for the qualification.

We will award overall results for a Vocationally Related Qualification only when the appropriate entry ('cash-in' claim) has been made.

### New specifications

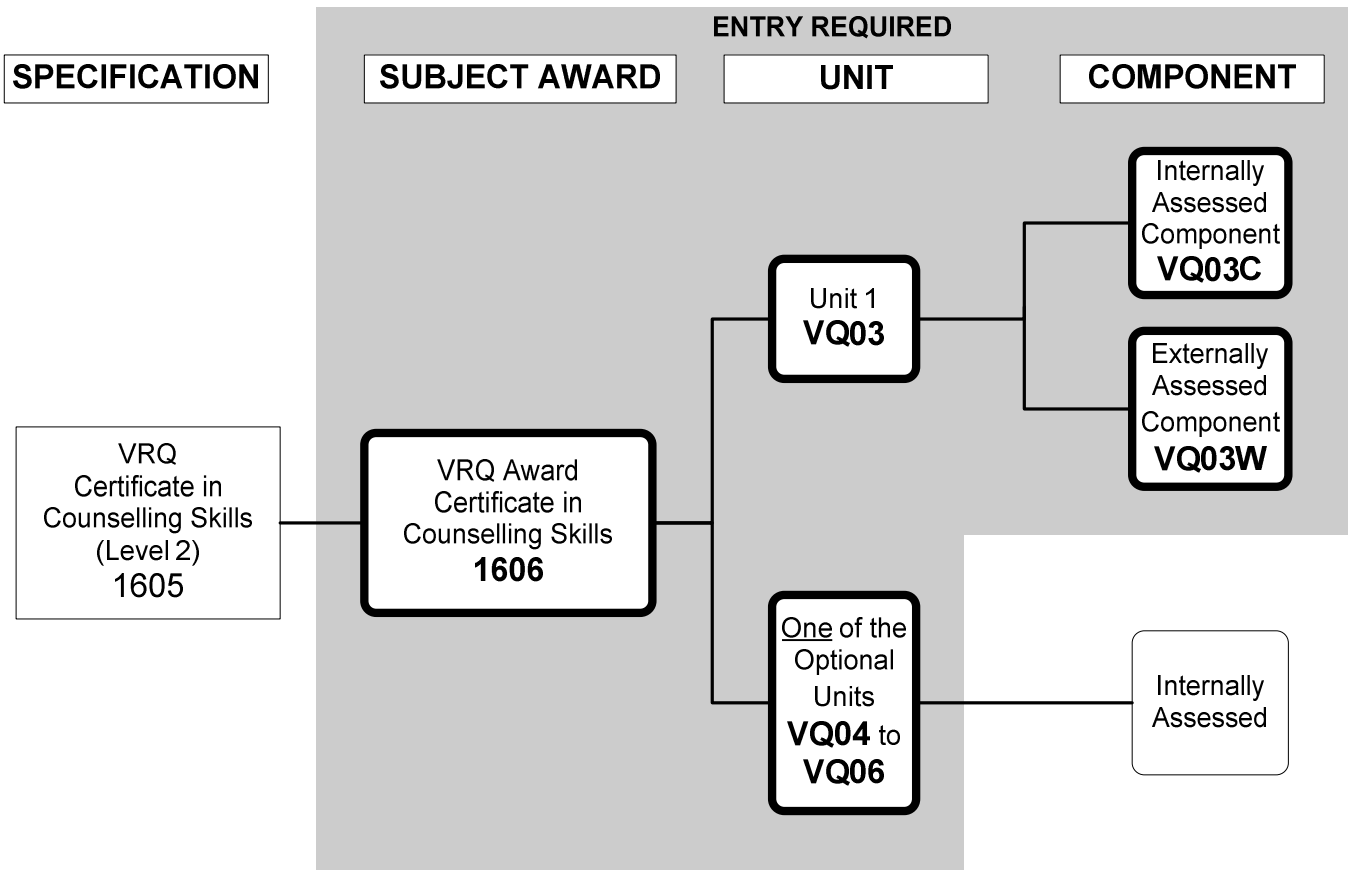
For the new Vocationally Related Qualifications, you need to make a separate entry for

- each component of the mandatory Unit 1 (only for Certificate in Counselling Skills (Level 2), Certificate in Counselling (Level 3) and Diploma in Therapeutic Counselling (Level 4)) and, when required, the unit award (VQ03, VQ07 or VQ20 as appropriate)
- each component of the mandatory Unit 2 (only for Diploma in Therapeutic Counselling (Level 4)) and, when required, the unit award (VQ21)
- each unit
- the overall Award for the qualification.

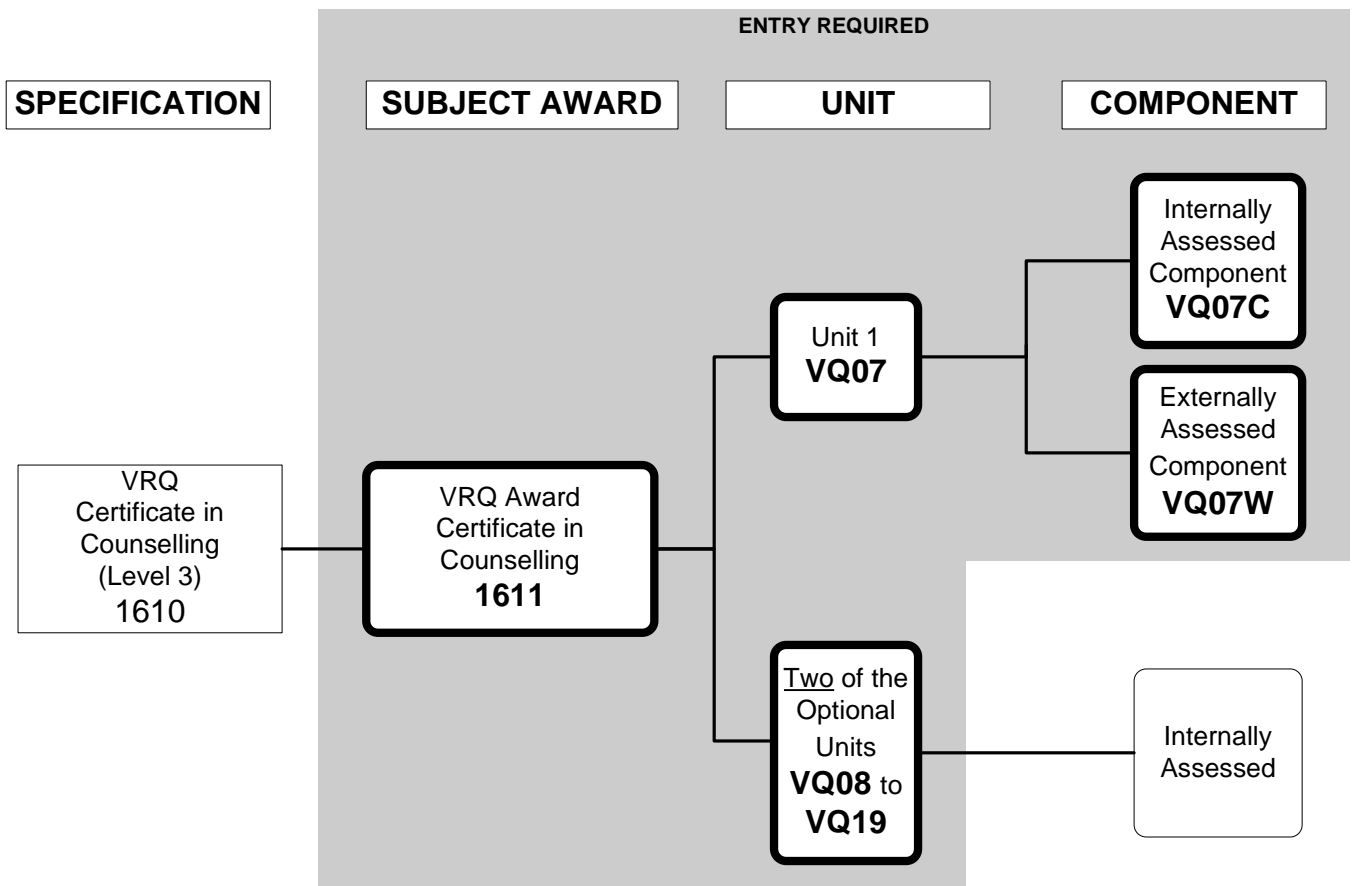
We will award overall results for a Vocationally Related Qualification only when the appropriate entry ('cash-in' claim) has been made.

The assessment and entry structure for the new Vocationally Related Qualification specifications are given on pages 45 to 47.

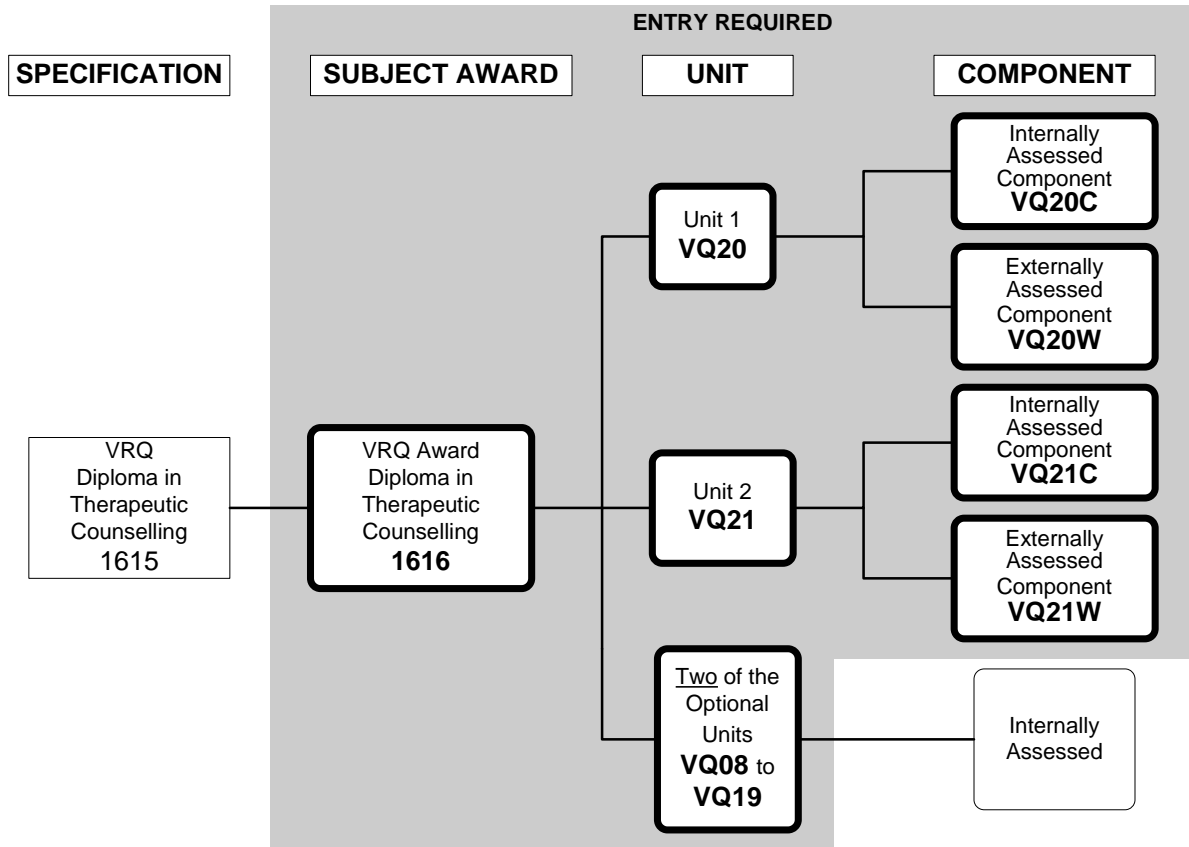
VRQ assessment and entry structure: Certificate in Counselling Skills (Level 2)



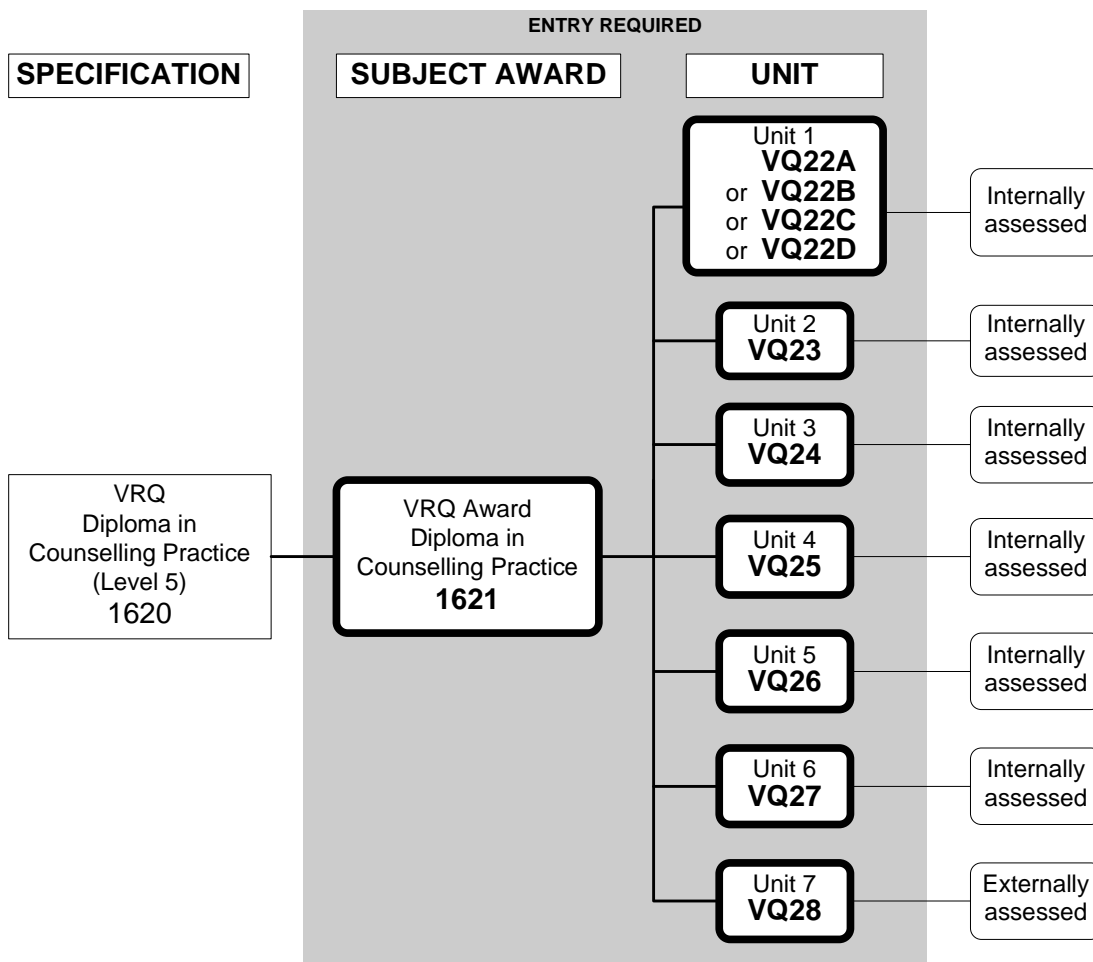
VRQ assessment and entry structure: Certificate in Counselling (Level 3)



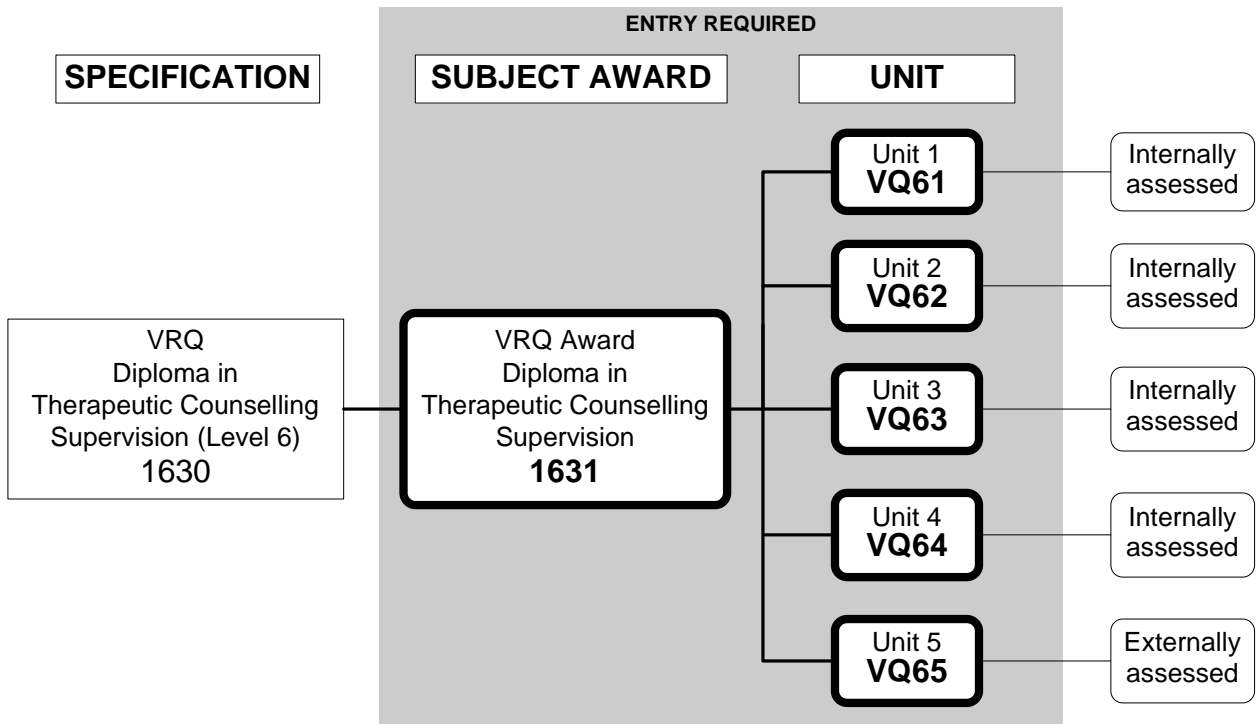
VRQ assessment and entry structure: Diploma in Therapeutic Counselling (Level 4)



VRQ assessment and entry structure: Diploma in Counselling Practice (Level 5)



VRQ assessment and entry structure: Diploma in Counselling Practice (Level 6)



## 16

## Restrictions on entry

## Specifications with the same Classification Code

Every specification is assigned a national classification code indicating the subject area to which it belongs.

You should be aware that candidates who enter for more than one qualification at the same level (GCE or GCSE) with the same classification code will have only one grade (the highest) counted for the purpose of the School and College Performance Tables.

You may wish to advise candidates that, if they take two specifications with the same classification code, schools, colleges, universities and employers are very likely to take the view that they have achieved only one of the two specifications. The same view may be taken if candidates take two specifications that have different classification codes but have significant overlap of contents. Candidates who have any doubts about their subject combinations should check with the institution to which they wish to progress or company they wish to join, before embarking on their programmes.

Classification codes are shown in the tables of entry codes. Any specification that shares a classification code is indicated in the additional information for the specification in the *Entry codes: All examination series 2011-2012*.

## Prohibited combinations

Before making an entry for a particular subject, you should refer to any statement in the *Specification* that deals with prohibited combinations of units and specifications, in addition to any restrictions of specifications within the same classification code.

Candidates entered for prohibited combinations of subjects will be reported on the *Centre Entry Query Report*, which will be provided with the entry confirmation documents. You will be required to cancel or amend the entry appropriately. You must inform AQA of these decisions by EDI, via e-AQA or on the *Entry Amendments* form.

## 40% terminal rule: GCSE (New Specifications)

For all new GCSE specifications, the GCSE Qualification Criteria set by the regulator require that unitised specifications must allocate a weighting of at least 40% to terminal assessment: ie 40% of the assessment must be taken in the examination series in which the qualification is awarded. This rule is not dependent on the size of the qualification. Therefore, all GCSE (New Specifications) candidates, whether taking short course, full course and/or double awards, must have 40% of their assessment taken at the end.

Any specification for which the 40% rule applies is indicated in the additional information for the specification in the *Entry codes: All examination series 2011-2012* document. In addition, the weighting and maximum uniform mark of each unit within a qualification are also shown in the tables of entry codes.

## Retaking GCSE units/modules

The GCSE Qualification Criteria set by the regulator require that unitised specifications must allow only one re-sit of an assessment unit with the better result counting towards the qualification, unless the re-sit forms part of the terminal assessment when the terminal result will be used.

Therefore, with the following exceptions, candidates can retake a GCSE unit or module (including those for new specifications) only once before a subject award is made.

- For the **outgoing GCSE Sciences (including Applied and Additional Applied Science)**, each assessment unit may, within the shelf-life of the specification, be re-taken an unlimited number of times before certification of the qualification.
- For **GCSE Mathematics B (Outgoing Specification)**, candidates may retake any non-terminal module once at each tier before a subject award is made. The terminal Module 5 may **not** be retaken prior to certification.

Where there is a restriction on retaking units or modules, the maximum number of attempts for a unit is shown in the tables of entry codes in the *Entry codes: All examination series 2011-2012* document.

## Transition between outgoing and new GCSE specifications

You should check details of assessment arrangements during the transition from the outgoing specifications to the new specifications and ensure that all assessments are completed in line with the published timelines.

**AQA cannot transfer credit from withdrawn or outgoing GCSE specifications to new GCSE specifications and it will not be possible for students to combine units from withdrawn or outgoing and new specifications to make up a GCSE qualification.**

## Offering combinations of awards within the outgoing GCSE Sciences

For units in the **outgoing** GCSE Science suite of specifications (including applied specifications), there is no limit on the number of unit retakes within the shelf life of the specification.

Where a candidate wishes to claim awards in

**either** Science A (4461) or Science B (4462) **with any of** Biology (4411), Chemistry (4421) or Physics (4451)

**or** Additional Science (4463) **with any of** Biology (4411), Chemistry (4421) or Physics (4451)

the following conditions apply:

1. Candidates must have at least **two separate results** for the common unit required in both the two awards (eg Biology 1 for GCSE Science and GCSE Biology).
  - The Science award (and/or the Additional Science award) will be graded first using the best result for any common unit.  
The separate science award (Biology, Chemistry or Physics) will be graded using the remaining units.
2. Once a unit result has contributed to an award, it will remain linked to that subject award.

## Restricted pilot examinations

Examinations offered as part of a restricted pilot have been included in this booklet. Most pilot schemes have the maximum number of candidates and centres that can participate determined by the regulator. Centres will normally be invited to take part in the pilot scheme. If you require any information on any of the restricted pilot examinations, please contact the appropriate Subject Team.

## 17

## Claims for exemption from Key Skills tests or units (Proxy Claims)

To ensure that candidates who have taken GCSE, GCSE in Applied Subjects, GCE (including GCE in Applied Subjects), VCE or GNVQ qualifications in English, Gaeilge, General Studies, Welsh, Mathematics and IT are not involved in unnecessary double assessment when seeking their Key Skills qualifications, the Regulatory Authorities have agreed that certain awards in these subjects can be used to claim exemption from external tests at levels 3, 2 or 1, or the whole Unit at levels 3, 2 or 1.

## Claiming exemptions

**The last AQA Key Skills tests and portfolio moderation took place in June 2011, but exemptions and certification may be claimed up until June 2012.**

To claim exemptions you must enter your candidates for proxies using the proxy entry codes given in the *Entry codes: All examination series 2011-2012* document. There is a charge for each proxy entry.

In the June Key Skills series only, your candidates will be allowed to claim potential proxies relating to GCE (including GCE in Applied Subjects) awards which have not yet been taken, **provided that the candidate has been entered for the GCE (including GCE in Applied Subjects) award with AQA in the current (June) series.**

It is **not** possible to claim June **GCSE** qualifications as proxies in the same June. It is essential when claiming current AQA awards as proxies for your candidates that you:

- use the proxy entry code to show that the candidate has a 'concurrent Key Skill AQA entry'
- use the same UCI for their entries in the Key Skills series and the GCE (including GCE in Applied Subjects) series. If you use a different UCI, it will not be possible to match your candidates and transfer their results from the GCE (including GCE in Applied Subjects) series to the Key Skills series.

You may make entries to claim proxies in the January, March or June series.

When an entry is made for a Key Skill Certificate, the same entry codes are to be used whether or not a proxy will contribute to the award.

For example, a Key Skills candidate might enter as follows:

Series	Entry Code	
November 2009	KCT2	Communication Test, Level 2
	KNX2	Application of Number Test <u>Proxy</u> , Level 2
January 2010	YSCP	Communication Portfolio
	9910	Communication Award
March 2011	YSNP	Application of Number Portfolio
	YSIP	ICT Portfolio
	9930	Application of Number Award
June 2011	YSPS	Problem Solving Unit
June 2012	KIX1	ICT Test <u>Proxy</u> , Level 1
	9950	ICT Award

## Providing details of proxy qualifications

When we have received your centre's proxy entries, you will be sent detail sheets listing all the candidates entered for each proxy code. You will need to complete these forms to show for each candidate:

- the award level (GCE (including GCE in Applied Subjects) AS/A, GCSE Full Course, GCSE Short Course, GCSE in Applied Subjects)
- the grade awarded
- the subject
- the awarding body
- the date of the award (month and year)
- the centre number and candidate number(s) under which the proxy qualification was taken.

Your Head of Centre will be asked to sign a declaration that the relevant certificates have been inspected and the Head must accept responsibility for the accuracy of the details provided. We will make checks on the accuracy and authenticity of claims for proxies.

## Results and shelf-life of proxy claims

**The last AQA Key Skills tests and portfolio moderation took place in June 2011, but proxies and certification may be claimed up until June 2012.**

You do not have to claim a Key Skill Certificate that uses the proxy in the same series in which the proxy is claimed.

Once a proxy has been claimed, it can be used in a future series.

However,

- proxies must be claimed **within three years** from the date that the qualification on which it is based was awarded, and
- must be **used** in a Key Skills qualification **within three years** from the date the qualification on which it is based was awarded.

Details of proxy claims that we have accepted will be reported to you on results slips.

You will be able to enquire within the normal period for enquiries about results if you are not satisfied that a proxy claim has been accurately recorded.

## Formats for the exchange of examination related data

The awarding bodies have prepared the *Formats for the exchange of examination related data* booklet, which has been approved by the Joint Council for Qualifications (JCQ), to enable data to be transferred between awarding bodies and centres. During the course of its preparation, suppliers of software and communication systems have been consulted on the file structures to be used.

The booklet specifies the file formats to be used by both awarding bodies and centres for the exchange of basedata, entry, coursework mark, forecast grade and results data. It also provides all the necessary detail for the writing of software that will enable data to be read into or extracted from a centre's database and presented in an acceptable common format for more than one awarding body.

Version 14 of the *Formats for the exchange of examination related data* booklet is effective from 1 September 2011.

Printed copies of the *Formats* booklet are not distributed to centres. If you want a copy of the booklet for reference, you can view or download a .pdf file of the booklet from the JCQ Website ([www.jcq.org.uk](http://www.jcq.org.uk)).

## Basedata files

Basedata is the term used for a set of files that contain information on the specifications, units, options, modules and components that an awarding body offers in a particular series. It includes, for example, information such as entry codes, the dates and times of exam papers, fees and details of the centre assessed components for which you may supply marks electronically.

The information contained in the files can be imported into most centre administration software packages.

Each set of basedata consists of at least four files, defined in Part IV of the *Formats* booklet, as follows.

- S Specification Definitions
- O Option Definitions
- C Component Definitions
- L Option/Component Link File

In addition, the basedata may contain an additional text file, which can be read in any word processor or text editor, giving additional information for the series, or detailing changes to previous versions of the basedata.

### Provision of basedata

AQA will issue a separate set of basedata files for each series. Basedata files will be posted to the AQA Website at [www.aqa.org.uk/admin/basedata.php](http://www.aqa.org.uk/admin/basedata.php) according to the following schedule.

Series and Year code	Series title	Basedata available on AQA Website on or before
BG11	November 2011 Series BG	2 September 2011
9R11	September 2011 Series 9R	14 September 2011
1A12	January 2012 Series 1A	14 September 2011
1K12	January 2012 Series 1K	14 September 2011
3G12	March 2012 Series 3G	12 October 2011
6G12	June 2012 Series 6G	18 November 2011
6A12	June 2012 Series 6A	18 November 2011
6B12	June 2012 Series 6B	18 November 2011
6V12	June 2012 Series 6V	18 November 2011
6K12	June 2012 Series 6K	18 November 2011
6M12	June 2012 Series 6M	18 November 2011



While we make every effort to check that the basedata files are correct, you should check any data loaded from these files against the official confirmed version of the timetable and against the entry codes given in the *Entry codes: All examination series 2011-2012* document.

## Downloading basedata from the AQA Website

In order to download basedata files, you will need to navigate to the basedata page of the AQA Website, by either

- accessing the basedata web page directly at [www.aqa.org.uk/admin/basedata.php](http://www.aqa.org.uk/admin/basedata.php), ① in the diagram on page 54,
- or
- from the AQA home page [www.aqa.org.uk](http://www.aqa.org.uk), click *Administration* ② and then *Basedata* ③.

Each set of Basedata files has been compressed into a single 'zipped' archive, so that the file can be transmitted more quickly and will reduce the time you need to spend on-line.

There are two types of archive files (**zip** and **zipped exe** ④) available for downloading, from which you should pick the one most appropriate to your system:

- zip** files require an unzipping utility to extract all of the constituent basedata files from the archive. Many Centre Management Information Systems (CMIS) have this facility built in. Where this facility is not available through your CMIS, you will need an independent unzipping utility (eg WinZip, PKZip) installed on your computer to be able to extract the basedata,
- zipped exe** files are self-extracting zip files that contain an unzipping program, and are therefore usually about 15Kb larger than zip files.

**Basedata**

Enquiries about basedata formats should be addressed to AQA at [basedata@aqaa.org.uk](mailto:basedata@aqaa.org.uk)

Basedata for previous academic years is available from our [Basedata Archives 2010 - 2011](#).

Examination Series 2009 - 2010

- [2008 - 2009 Certification/Unit link file](#)  
the latest version is: 4 February 2009 version 1.0

Basedata is specification and timetable information in the inter-board common format. It is designed to be imported into school or college administration software. Series marked with an asterisk have been *amended* since they were originally loaded.

From 1 September 2011 basedata will be published to confirm to version 14 of the [Formats for the Exchange of Examination Related Data](#) standards.

Gradeset information can be found on the [JCO website](#).

**Basedata Schedule 2011-2012**

Basedata will be posted to AQA's website in accordance with the following schedule, which has been agreed across the awarding bodies.

Series Code	Products in Series	Date of website publication	Version 14
BG11	November 2011 Series BG GCSE <i>New Specification</i> Mathematics Unit 1 and 2 GCSE <i>New Specification</i> Science B Unit 1 GCSE <i>Outgoing specifications</i> English A and B, Mathematics A, Mathematics B Modules 1,3,5 and Award ( <i>Final opportunity for assessment and award</i> ) GCSE <i>Outgoing Specification</i> Sciences Objective Test Units Biology, Chemistry and Physics 1a and 1b GCSE <i>Outgoing Specification</i> Science A, Biology, Chemistry and Physics Awards Functional Skills (English and Mathematics) Basic Skills Level 1 and Level 2 Tests <i>Restricted Entry Pilots</i> : GCSE Use of Mathematics Award Extended Project Qualification (AQA-City & Guilds)	2 September	<a href="#">zip</a>   <a href="#">zipped exe</a>
9R11	September 2011 Series 9R Registrations for Principal Learning (AQA-City & Guilds)	14 September	

Click on the appropriate link (zip or zipped exe ④).

- A dialog will be displayed, showing the name of the file that will be downloaded, asking whether you wish to run/open or save the file. The filename takes the form:

**zSSYY\_70.xxx** where

**SS** is the Series Code

**YY** is the Year Code

**70** is the awarding body code (70 for AQA)

**.xxx** is the file extension (either **.zip** for zip files, or **.exe** for zipped exe files)

- Select the 'Save' option. The standard Windows 'Save As' dialog will be displayed.
- Save (Download) the .zip or .exe file to a suitable directory on your computer;

- Either
  - For **zip** files, use an unzipping program such as WinZip or PKZip to extract all of the constituent files to a suitable directory;
  - or
  - In My Computer or Windows Explorer, navigate to and open the directory in which the .exe file was downloaded (saved). Double-click on the downloaded .exe file, which will automatically extract all of the constituent files to the same directory in which the .exe file was saved;
- use the import or update feature in your exams software to add the new basedata.

## Basedata updates

In cases where it is necessary to make changes to the basedata for a series, a new version of the basedata will be released to the AQA Website. Full details of the changes will also be posted to the Website and included in the text file accompanying the basedata.

It is essential, therefore, that you check the AQA Website at regular intervals to obtain the latest version of the basedata.



**If you have opted to produce statements of entry (see Section 23) from your own management information system, you must ensure that the latest version of the basedata has been imported before producing the statements, and that you check the AQA Website regularly for any subsequent changes to the basedata files.**

## 19

## Submission of entries by EDI (Electronic Data Interchange)

As an alternative to EDI, you may use the interim A2C transport solution (JCQ migration tool) to transfer files to and from your centre. Please see Section 20 for further information.

## Equipment requirements

Any system that produces Entry and related files in the Version 14 JCQ standard format will be acceptable to AQA.

The formats are normally updated on an annual basis. Suppliers of the major school and college administration packages have agreed to update their software to take format changes into account. You need to ensure, therefore, that you have installed the most recently upgraded version of your software.

You will also need an Internet connection and an account with one of the current EDI carriers listed below.

You will need to download appropriate basedata (see Section 18) from the AQA Website at [www.aqa.org.uk/admin/basedata.php](http://www.aqa.org.uk/admin/basedata.php).

## EDI carriers

If you submit entries by EDI, you must not submit a duplicate set of entries by an alternative method.

You may use any of the following EDI carriers:

- AVCO
- Redstone WebXchange (DIALnet)
- RM SecureNet

## Compiling entry data

### Centre details

Please make sure that your centre number is input correctly into your administration package, so that it is correctly exported to any files.

### Candidate details

You should enter candidate details into your administration package in accordance with the instructions in Section 11.

### Entries for subject awards, units, components or modules

Wherever possible, you should import entry data into your administration package from the supplied basedata (see Section 18). If you are unable to use the supplied basedata and need to set up entry data manually, you should take care to use the correct AQA entry codes. AQA entry codes do not include spaces, hyphens, colons or prefixes indicating exam level or type.

The entry codes for all exams (subject awards, units, modules and components) available in any given series are listed in the *Entry codes: All examination series 2011-2012* document.

Details of the entry and assessment structure for each type of exam (eg GCE, GCSE Modular, etc) are given in Section 15.

## Identification of files

### Board code and series

Any Entry File or Entry Amendment File that you submit by EDI **must** contain the correct awarding body, Series and Year Codes in the file header records as follows. These will be the same as those used in the basedata files sent to centres.

**BBSSYY** where

- BB** is the awarding body code. This is always **70** for AQA exams
- SSYY** is the Series and Year Code (see Section 8).

### File names

The name of Entry and Entry Amendment Files submitted by EDI take the form:

**Eccccbb.Xnn** for Entry Files and

**Accccbb.Xnn** for Entry Amendment Files where

- E** indicates that the file contains **E**ntries (**A** for Entry **A**mendments)
- cccc** is the centre number
- bb** is the awarding body code (ie **70** for AQA)
- nn** is the second two digits of the sequence number of the file.

## Transferring EDI files to AQA

When you use EDI to transfer files, you must **not** submit a duplicate set of entries by an alternative method: for example, a back-up printout must **not** be sent.

### Checking the status of file transfers

There are three separate ways of checking the status of your file transfer:

- Log file on your local machine
- Audit trail from the EDI carrier
- EDI Acknowledgement from AQA

### Log file

The whereabouts of your local log file and the information contained in it will vary according to carrier software you are using. The log file contains a record of the file transfers that your machine thinks have been performed, but you should not rely on it as evidence that the transfer has been successful.

### Audit trail from the EDI carrier

Again, this will vary according to the carrier you use for the file transfer. Carriers confirm the successful transfer of a file either by sending a mail message or other system message, or by allowing an online search of the server logs. If in doubt, you should consult your EDI software service provider or check the product documentation.

### EDI acknowledgements from AQA

We will generate a reply file for each incoming file once we have processed it. The reply file (EDI acknowledgement) will be sent to you via your centre's EDI Carrier. EDI acknowledgements are plain text files, which you can read in any standard text editor or word processing software.

There are two types of reply files: *Acknowledgement* and *Error*.

- An *Acknowledgement* file is created when a file is received and found to be in the correct JCQ format. The content of any file **has not** been validated at this stage. We will notify you separately of any errors relating to the content by telephone or via the *Centre Entry Query Report* (see Section 23).

- An *Error* file will be generated when the file received by AQA is **not** in the JCQ agreed format and cannot be processed further. Centres should either arrange to send a replacement file in the agreed JCQ format or contact the Entries Department for advice.

Further information on EDI acknowledgements is available on the AQA Website at [www.aqa.org.uk/admin/edi\\_ack\\_faq.php](http://www.aqa.org.uk/admin/edi_ack_faq.php).

## Submission of entry files by EDI

Any entry file that you produce must be in the JCQ standard format detailed in Version 14 of the booklet *Formats for the exchange of examination related data* (see Section 18). If you are using the latest version of one of the major software packages, your entry file should automatically be produced in the correct format.

**You must submit only one entry file per series.** All subsequent changes or additions should be made as Entry Amendments either by EDI or using the *Entry Amendments* form. You must submit your centre's entry files so as to be received by us by the closing date for entries for the particular series (see Section 10). It should be noted that EDI transmissions are not instantaneous and may not be received on the same day that they are sent.

## Submission of entry amendments by EDI

Once your initial entry submission for a series has been sent to us, all subsequent changes, deletions or additions to the original entries submission should be made as amendments. You may either submit an Entry Amendments file by EDI or use the *Entry Amendments* form.

**We must receive final amendments to candidates' personal details and entries no later than 14 days before the publication of results for the appropriate series.**

### Entry amendments files

An Entry Amendments file should include **complete replacement entry records** for all candidates whose entries and/or personal details have changed since the Entry file or last Entry Amendments file was submitted. We will determine the differences between the incoming amendment record and the data held on our database.

For example: Assuming that the original entry record for a candidate is as follows, and that all changes below are to the original entry submission:

```
E5C323540003BURNS:EMMA KAY  ~ ~ F111190323540020003R1000100111  ~ ~ 3702F 3192F 3441F
```

- To **change the candidate's personal details** (in this case, to amend the date of birth), the Entry Amendments file should contain the following data (note that the original entry codes are also included):

```
A5C323540003BURNS:EMMA KAY  ~ ~ F010191323540020003R1000100111  ~ ~ 3702F 3192F 3441F
```

- To **withdraw the entry for 3441F**, the Entry Amendments file should contain the following data:

```
A5C323540003BURNS:EMMA KAY  ~ ~ F111190323540020003R1000100111  ~ ~ 3702F 3192F
```

- To **amend the tier of entry for 3441F to 3441H**, the Entry Amendments file should contain the following data:

```
A5C323540003BURNS:EMMA KAY  ~ ~ F111190323540020003R1000100111  ~ ~ 3702F 3192F 3441H
```

- To **add an entry for 3712F**, the Entry Amendments file should contain the following data:

```
A5C323540003BURNS:EMMA KAY  ~ ~ F111190323540020003R1000100111  ~ ~ 3702F 3192F 3441F 3712F
```



When adding an entry to a candidate's existing entries, it is **NOT** sufficient to send an Entry Amendments File containing only the additional subject, such as:

```
A5C323540003BURNS:EMMA KAY  ~ ~ F111190323540020003R1000100111  ~ ~ 3712F
```

When compared to the original entry, this will be treated as an instruction to **withdraw** the entries for 3702F, 3192F and 3441F, **and** to **ADD** the entry for 3712F.

- A candidate record with **no entries** in the Entry Amendment File will be interpreted as an instruction to **withdraw** the candidate from **all** entries in the appropriate series.

A5C323540003BURNS:EMMA KAY



F111190323540020003R1000100111



## Entry Amendments form

A generic copy of the [Entry Amendments](#) form, which may be photocopied, is available for you to download or print from the AQA Website at [www.aqa.org.uk/library](http://www.aqa.org.uk/library). You should ensure that the Series and Year Codes are completed correctly.

If, having submitted an *Entry Amendments* form, you wish to submit subsequent amendments by EDI, you should ensure that any amendments submitted on the *Entry Amendments* form are also made to your administration package so that your centre database is kept in line with the entry data that we hold for your centre.

**We must receive final amendments to candidates' personal details and entries no later than 14 days before the publication of results for the appropriate series.**

## Results by EDI

Results will be issued solely in electronic format to centres. A *Notice to Centres* is available at [www.jcq.org.uk](http://www.jcq.org.uk).

If you use EDI to transfer your centre's entries, you will receive your centre's results by the same EDI carrier and using the same awarding body, Series and Year Codes used to collect entries.

In addition, the Results and Enhanced Results Analysis (ERA) area of e-AQA enables you to print out:

- *candidate results by series* which shows the subject grades awarded to a candidate in a particular series plus any results for units sat in a previous series
- *candidate results history* which shows a candidate's result for a particular subject across series and the units that were used towards the overall award
- *subject results* which show all candidates' results for a particular subject. These can be downloaded through ERA into a spreadsheet
- *print results slips* which enables you to print off individual Candidate Statements of Provisional Results in pdf format.

These options should provide the data required by the Exams Office team, subject staff and candidates.

## Submission of late award entries by EDI

From September 2011, we will accept entries for Late Awards (for both GCE and GCSE) by EDI as an alternative to using the *Late request for subject awards* form that is available from the *Secure Key Materials* service of e-AQA.

Requests for entries for late awards should be submitted as entry amendments: see *Submission of entry amendments by EDI* on page 58.

Please note that we must receive final amendments to candidates' personal details and other entries **no later than 14 days before the publication of results** for the appropriate series. After this date, only entries for late awards contained in any amendment file will be processed: any other amendments contained in the file will **not** be processed.

## 20

## Submission of entries via the A2C transport solution

## The A2C Project

The A2C Data Exchange Project is designed to bring significant improvement to the way that operational data is transferred between awarding bodies and examination centres that currently use Electronic Data Interchange (EDI).

A2C is led by the Joint Council for Qualifications (JCQ) awarding bodies in England and Wales, which is working closely with management information system (MIS) suppliers and other partners.

The A2C Project is split into **two phases**:

### Phase 1: Transport

During autumn 2011 all centres will receive an invitation to download a new transport solution (known as the JCQ migration tool) that will replace the current EDI (Electronic Data Interchange) system to transport your entry and entry amendment files (and possibly coursework mark and/or estimated grade files) to awarding bodies and to transport your results files to you.

The new system is part of the JCQ A2C project – for more details of the project as a whole, please look at the website [a2c.jcq.org.uk](http://a2c.jcq.org.uk), which gives details of this interim transport solution and the longer term plans of the A2C project

You do not need to do anything until your centre is contacted directly by AVCO, one of the current carriers who will be developing the transport solution. The initial contact with your centre will be made between September 2011 and the end of December 2011. You will then be invited to download the solution for use with your MIS system; this must be completed before the end of August 2012.

During the academic year 2011/2012 you will be able to use EDI or the A2C interim transport solution (JCQ migration tool) to transport your files and results (both in EDI Formats) to and from AQA.

From autumn 2012 AQA will no longer be using EDI transport and you will need to use this free transport solution to send and receive your files.

### Phase 2: Messages: The structure of the data and underlying processes

Phase 2 of the project will be the development of a new XML messaging standard. Further news will follow through 2011-2012 about the second phase of A2C developments.

## 21

## Submission of entries on-line via e-AQA

## Entry Submissions On-Line

The Entry Submissions On-Line service provides an easy to use web-based facility for the submission of AQA entries and entry amendments by series. It is **not** intended to be a replacement for your own MIS system. If you normally make entries and entry amendments by EDI (Electronic Data Interchange) you should continue to do so.

The on-line service is available only

- to AQA approved centres that are registered for e-AQA (full details of the services available through e-AQA and the procedure for e-AQA registration are given in Section 6), and
- where you have indicated on your *Intention to Enter* returns (see Section 7) that you wish to submit entries for a particular series either on-line using e-AQA or in writing using the *Entry Form*.


The non-EDI surcharge, detailed in the AQA *Entry fees and other charges 2011-2012*, will **not** be applied to entries made using the e-AQA Entry Submissions on-line service.

If you submit entries on-line via e-AQA, you **must not** submit a duplicate set of entries by an alternative method.


## Inputting entry data

To reach the Entry Submissions on-line page, you need to select the **Entries** link from the e-AQA Home Page and then, on the next page, select the **Entry submissions** link in the right-hand column.

A screenshot showing a partially completed on-line submission is given on the next page.

You can get full details on using the Entry submissions service by selecting the  **Help** link in the top right-hand corner of the page.

### Candidate details

You should input your candidates' details in accordance with the instructions in Section 11. You can find further information on the data required for each input field on the  **Help** page.

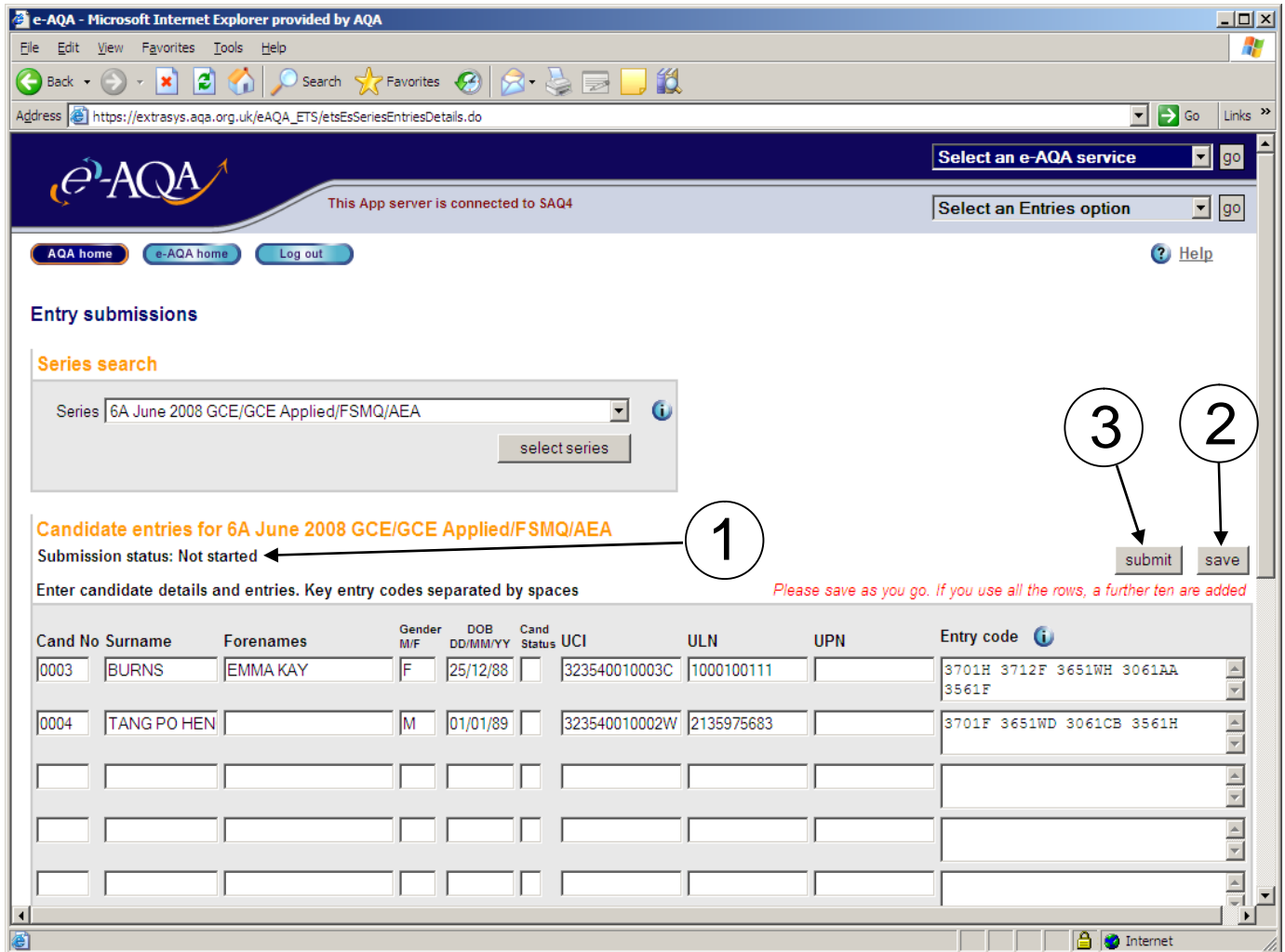
### Entries for subject awards, units, components or modules

You make entries for subject awards, units, modules and components using 4, 5 or 6-character entry codes.

The entry codes for all exams (subject awards, units, modules and components) available in any given series are listed in the *Entry codes: All examination series 2011-2012* document.

You should take care to use the correct AQA entry codes. AQA entry codes do not include spaces, hyphens, colons or prefixes indicating exam level or type.

Details of the entry and assessment structure for each type of exam (eg GCE, GCSE Modular, etc) are given in Section 15 of this book.



## Production of entry and amendment files

On first entry to the Entry submissions page, the status of each entry Submission for a series is shown as 'Not started' ①. You are presented with the option to

- copy candidates' personal details from a previous series in the current or previous academic year. You can then amend, add or delete the details as necessary and add appropriate entry codes, or
- key all candidate personal and entry details to a new 'blank' page.

As you compile your entries you can **Save** ② them until you are ready to submit them to AQA. When you save for the first time, the submission status changes to 'In progress' and remains so until you **Submit** ③.

Each time you select the **Submit** button ③, a file will be created for processing by AQA. The **first** time you select **Submit** for a series will create your main Entries file (equivalent to sending the *Entry Forms* to AQA).

We suggest that you keep **saving** your entries until your main entry submission is ready for processing, and **submit it (before the entry closing date) once it is complete**. All subsequent **Submits** for a series will generate an Amendment file (equivalent to sending an *Entry Amendments* form).

You can only make Entry Amendments via the e-AQA Entry Submissions On-line service where your initial entry file for the series was created by the same method.

If you submitted your centre's initial entry file for a series by EDI or in writing, you should continue to use the same method to submit entry amendments: you will not be able to do so via e-AQA

If your centre's initial entry file for a series was submitted through e-AQA, any entry amendments are best submitted using the same method. If you do send some amendments by paper on the *Entry Amendments* form, please ensure that any subsequent entry amendment made by e-AQA also incorporates the changes sent on paper.

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Submission of entries in writing using the *Entry Form*

## The *Entry Form*

We will provide you with *Entry Forms* for each series where these were requested on the AQA *Intention to Enter* form. The number of *Entry Forms* we supply will be based on the estimated number of candidates that you indicated on the *Intention to Enter* form for each series. If you require further copies of the *Entry Form*, you should contact the AQA Entries Department (see Section 5).

Each *Entry Form* is supplied as an A4 two-part self-carbonising set and will be labelled with your centre number, centre short title and telephone number.

When completing the *Entry Form*, please

- use a black, ballpoint pen
- use CAPITAL LETTERS throughout
- do not attempt to erase errors. Cross out errors and write the corrections clearly.

In addition, a generic copy of the *Entry Form*, which you may photocopy, is available for you to download or print from our Website. Please make sure that, if you use this, all series and centre details have been filled in correctly before you despatch to AQA.

You should note that normally a surcharge will be applied per entry to all main entries made using the *Entry Form*. Full details of the surcharge are given in the AQA *Entry fees and other charges 2011-2012*, together with any exceptions.

As an alternative to submitting entries in writing, you could use the e-AQA on-line entries service for the collection of entries. See section 20 for details.

## Completing the *Entry Form*

### Centre details

Please make sure that your centre number, centre name and telephone number are shown on all *Entry Forms*.

### Candidate details

You should enter candidate details on the *Entry Form* in accordance with the instructions in Section 11.

### Entries for subject awards, units, components or modules

You need to make entries for subject awards, units, modules and components using 4, 5 or 6-character entry codes, which you should write in the spaces provided on the *Entry Form*.

The entry codes for all exams (subject awards, units, modules and components) available in any given series are listed in the *Entry codes: All examination series 2011-2012* document.

You should take care to use the correct AQA entry codes. AQA entry codes do not include spaces, hyphens, colons or prefixes indicating exam level or type.

Details of the entry and assessment structure for each type of exam (eg GCE, GCSE Modular, etc) are given in Section 15.

There are enough spaces on each candidate block of the *Entry Form* to record up to twelve entry codes. For candidates with more than twelve entry codes, you should use two (or more) candidate blocks of the *Entry Form* as shown in the following example:

Candidate number	CANDIDATE NAME					SEX	Date of birth D D M M C C Y Y	Cand status	UNIQUE CANDIDATE IDENTIFIER	UNIQUE LEARNER NUMBER	Total entries		
0001	DE LA BLANCHE:JULIE					F	02021990		323540010001L	1234567890			
ENTRY CODES	6191	SCY4	SC5C	SCY6	SCY2	6416	BYB4	BYB5	BYB8	5766	G5B2	G5B3	12
0002	TANG PO HENG:					M	01011990		32354001002W				
ENTRY CODES	PA02												1
0003	BURNS:EMMA KAY					F	25121989		323540010003C				
ENTRY CODES	5131	6131	BUS3	BUS4	BU5C	BUS6	8656	TT08	TT09	TT10			10
ENTRY CODES													

## Totalling the *Entry Form*

These totals will be used for checking purposes to minimise the possibility of keying errors.

Enter the total number of **entry codes** (rather than the total number of subjects entered) for each candidate in the column headed "TOTAL ENTRIES".

For each *Entry Form*, enter the "Number of candidates on this sheet" in the box at the bottom right of the sheet.

Enter the sheet number and total number of sheets on each sheet in the boxes at the bottom right corner.

On the final sheet, the Head of Centre or Exams Officer should sign and date the declaration.

## Despatching the *Entry Form*

If you submit entries in writing on the *Entry Form*, you must not submit a duplicate set of entries by an alternative method.

You should despatch the whole entry for a series together, not in separate batches.

You must send the top copy of the completed *Entry Form* to the AQA Entries Department (see Section 5) to be received by us by the closing date for entries for the particular series (see Section 10). **You should retain the second copy of the *Entry Form* for your reference.**

## Submission of entry amendments

Once you have sent your *Entry Forms* to AQA, you must make all subsequent changes, deletions or additions to the original entries submission as amendments using the [Entry Amendments](#) form.

We will provide you with copies of the *Entry Amendments* form for appropriate series. A generic copy of the *Entry Amendments* form, which you may photocopy, is available for you to download or print from our Website at [www.aqa.org.uk/library](http://www.aqa.org.uk/library). Please make sure that, if you use this, the Series and Year Codes are completed correctly.

We must receive amendments to candidates' entries no later than 14 days before the publication of results for the appropriate series.

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## Entries confirmation documentation

In May 2010 we made changes to the *Intention to Enter* information we collect so that you can let us know if you want to receive paper copies of entries and amendments reports from us or if you want to print your own statements of entry from e-AQA or your own MIS system. *Intention to Enter* information for 2011-2012 should have been submitted to us by **21 July 2011**.

## Centres registered for e-AQA

We provide online facilities enabling you to:

- view/print/save statements and query reports produced by AQA relating to your entry and amendment submissions
- view/print/save up-to-date candidate and centre statements of entry
- view/print/save lists of candidates by subject, option or component, including *Attendance Records*.

Unless you let us know that you want AQA to print your statements of entry, you print your own from e-AQA (or your centre's MIS system, if you prefer). If you have asked us to print your statements of entry, you will receive printed copies of your entries confirmation documentation. Please see *AQA prints your statements* below for the details of the printed statements you will receive.

You will be able to view, print and/or save statements of entry from e-AQA whether or not you have asked us to print them for you.

## Centres not registered for e-AQA

Unless you let us know on the *Intention to enter* form that you do not wish to receive them, we will automatically provide printed copies of your centre's entries confirmation documentation. Please see *AQA prints your statements* below for the details of the printed statements you will receive.

## AQA prints your statements

### Confirmation of main entry submission

If you have asked us to print your statements of entry, we will send you the following entries confirmation documentation once we have processed your centre's initial entry submission for a series. You should receive these documents within three weeks of AQA receiving your entry submission.

- *Centre Statement of Entries (By Candidate)*
  - These are provided for your centre records and for checking.
  - They list all candidates and their entries for a series.
- *Centre Summary of Entries*
  - These are provided for your centre records and for checking.
  - They show the total number of candidates entered for each entry code.
- *Centre Entry Query Report*

This is a report of any remaining entry errors that we have not been able to resolve during the processing of entries. You will need to resolve these outstanding errors by submitting Entry Amendments either by EDI or in writing on the *Entry Amendments* form.

- *Individual Candidate Statement of Entry*
  - They are for distribution to candidates.
  - They each include the candidate's personal details and the date, session\* and duration of all timetabled exams.



\*You will need to notify candidates separately of the starting times and venue of all exams.

## Confirmation of entry amendments

If you have asked us to print your statements of entry, we will send you, normally on a weekly basis, the following documents to confirm any amendments to entries once we have processed amendments.

- **Individual Candidate Statement of Entry**  
We will send revised statements for candidates whose entries and/or personal details have been amended. These are for distribution to candidates.
- **Centre Statement of Entries (By Candidate)**  
This will list only candidates whose entries and/or personal details have been amended. They are provided for your centre records.
- **Confirmation of Entry Amendments**  
This lists the amendments made to candidates' entries and/or personal details and is provided so that you can check that we have made any amendments correctly.

## 24

## Private Candidates

## General

You will find details of the exams available to private candidates in the *Entry codes: All examination series 2011-2012* document, and a summary of the entry procedures for private candidates is given below.

We also provide full details of exams available to private candidates and the full entry procedures to be followed by private candidates in separate documents:

*Entry information for private candidates and  
Supplementary guidance for private candidates.*

If you intend to accept entries of private candidates, we would advise you to either view or download a copy of the above documents from the AQA Website at [www.aqa.org.uk/admin/p\\_private.php](http://www.aqa.org.uk/admin/p_private.php), or we can send you a printed copy if you contact the AQA Entries Department.

## Restrictions on private candidate entries



Candidates cannot enter as both centre and private candidates at the same centre in the same exam series.



AQA does not accept entries **for** private candidates from centres outside the United Kingdom.



Transferred candidate arrangements cannot be made to overseas host centres for private candidates nor for distance learning candidates entered by centres.

## Summary of entry procedures for private candidates

If you receive a request from a private candidate wishing to enter an AQA exam through your centre, you must make an appointment so that the candidate can make their entry **in person** in order to verify the candidate's identity. You should not make entries for private candidates from requests made by telephone, e-mail, fax etc.

If you are able to provide the facility for private candidates to take exams at your centre, you will need to undertake some or all of the following depending on the exam(s) concerned.

- **Ascertain which specification the candidate wishes to enter for** and determine whether or not it is available to private candidates.

Please note that certain specifications may be available to private candidates only in certain circumstances. For example, a specification might have a restriction that it is only available to candidates carrying forward centre assessed marks or that they must follow the course of study at a centre.

For new GCSE specifications, you can only accept entries for controlled assessment units from private candidates where your centre will supervise, authenticate as required and assess the controlled assessment.

Details of any such restrictions are given in the *Entry codes: All examination series 2011-2012* document and in the *Entry information for private candidates* booklet.

- **Ascertain the candidate's personal details**, which you will require to make the entry. You will also need to record the private candidate's contact details so that you can forward to them any exam and related material and/or inform them of any changes to their exam arrangements.
- **Verify the private candidate's identity by one of the following means:**
  - (a) If the private candidate is known personally to the staff of your centre and can be identified by the Invigilator at the beginning of each exam session, including any speaking and practical exams, no further action needs to be taken to prove identification at this stage.

**or**

  - (b) Private candidates may use a current and valid passport or driving licence incorporating a photograph as evidence of identity at the time of making the entry. The private candidate **must** produce the passport or

driving licence for inspection by the Invigilator at the beginning of each exam session, including any speaking and practical exams.

- or (c) If the private candidate is not known personally to the staff of your centre or does not have a current, valid passport or driving licence incorporating a photograph, the candidate should present two passport-sized photographs taken at the same time and within the last twelve months, one of which must be witnessed by signing the reverse by the Head of an educational establishment; a medical practitioner; a minister of religion; a magistrate; a solicitor; a bank manager or their employer, who must also complete and sign the *Private candidate identification form*, which is available for you to view or download from the AQA Website at [www.aqa.org.uk/admin/p\\_private.php](http://www.aqa.org.uk/admin/p_private.php).

You should retain the completed *Private candidate identification form*, the witnessed photograph and the **second** photograph so that the Invigilator can confirm the candidate's identity at the beginning of each exam session, including any speaking and practical exams.

- Where appropriate, **ascertain the candidate's previous Unique Candidate Identifier (UCI)** where s/he has previously entered some units and/or modules with AQA.

If the candidate has no previous UCI, you will need to allocate a UCI, if necessary (see Section 12).

- **Inform the applicant of the fees payable** (see Section 25), including Entry Fees and any additional late entry or amendment fees, and of any charge to be levied by your centre to cover your administrative costs. You will also be responsible for collecting the fees from the candidate. Private candidate fees will be automatically invoiced and debited by AQA from your centre's account once the entry has been processed.

## Your responsibilities

Once your centre has accepted the entries of private candidates, you are responsible for:

- sending **details of the entry to AQA**,

You should send the entries of private candidates in the usual way: by EDI, via e-AQA, or in writing using the *Entry Form* or *Entry Amendments* form.

- if the private candidate wishes to enter for a specification involving coursework, **ensure the candidate has correctly completed the Private Candidate coursework procedures** summarised on the next page.
- forwarding to the private candidate a **Candidate Statement of Entry** (including revised versions resulting from any entry and/or personal detail amendments) (if appropriate: see Section 23).
- ensuring that the private candidates are **aware of the published timetable** for exams, especially if your centre has elected not to receive individual *Candidate Statements of Entry* from AQA.

In particular, you must

- inform them of the starting times of exams if they are different from the published timetable,
  - inform them of the date(s) and time(s) of any practical exams, oral exams or controlled assessments that are not shown on their *Candidate Statement of Entry*,
  - inform them of the venue for each of their exams,
  - provide them with any additional information to ensure that they arrive for the exam on time and at the appropriate place.
  - forwarding to the private candidate any **preliminary material** required by the candidate in advance of an exam,
  - forwarding to private candidates a copy of the **Notice to Candidates** for written papers and for coursework as appropriate,
  - ensuring that all **invigilators check a private candidate's identity** as part of your centre's overall responsibility for checking all candidates' identities,
  - informing them of their **exam results**,
- Private Candidates' results will not appear on your centre's results statistics.
- informing them when their **exam certificate** (if appropriate) is available.

## Controlled assessments for new GCSE specifications

Private Candidates cannot attempt GCSEs with controlled assessments unless they can find centres which will supervise, authenticate as required and assess the controlled assessments.

Ofqual require that all candidates complete controlled assessment under the same levels of supervision and there is to be no separate provision for Private Candidates.

## Private candidate coursework procedures

Private candidates who wish to enter for an exam that includes coursework **must in all cases** complete a copy of the *Private candidate coursework information form*. They must complete a separate *Private candidate coursework information form* for each appropriate subject entry.

The private candidate should give you the completed form(s) **when making his/her entry** so that you can forward them to AQA at the time you submit the candidate's entry.

The candidate will have been sent (in the *Entry information for private candidates* booklet) a copy of the *Private candidate coursework information form*, which is available for you to view or download from the AQA Website at [www.aqa.org.uk/admin/p\\_private.php](http://www.aqa.org.uk/admin/p_private.php).

If you have any questions relating to the authentication and assessment of private candidates' coursework, please contact AQA's Coursework Processing section.

## Carrying forward coursework marks

If a private candidate is retaking exams, it may be possible to have the marks previously obtained for the coursework component(s) carried forward. Please refer to the *Entry codes: All examination series 2011-2012* document for details of the specifications that allow components to be carried forward (indicated with a ☒ symbol).

The candidate should have completed Sections 1, 2, 5 and 6 of the *Private candidate coursework information form* giving details of his/her previous centre name and number, candidate number, subject entry and previous exam.

See also Section 27 about carrying forward coursework marks in the common elements in GCSE English.

## Private candidates' preparation of new coursework

For each specification, private candidates may prepare new coursework using **one** of three methods, which will affect the way in which his/her coursework is authenticated and assessed.

### Method 1 – Studying at the centre of entry

Method 1 candidates are defined as those who are following a course and attending sessions at an institution that is an AQA approved centre, but who are entering as private candidates.

### Method 2 – Studying through an accredited correspondence college

Method 2 candidates are defined as those who are following a distance-learning course with an institution that is accredited by AQA (see below) as providing appropriate tutor support and satisfying AQA's authentication procedures.

<b>Mercers College/Civil Service Correspondence School</b>	
Ware	
Hertfordshire	
SG12 9AD	☎ 01920 465926
<b>National Extension College</b>	
The Michael Young Centre	
Purbeck Road	
Cambridge	
CB2 2HN	☎ 01223 400350

Candidates who are using distance-learning material from an institution that is not shown in the table above as accredited will be classified as "studying independently" and will follow the **third method** of study.

### Method 3 – Studying independently

Method 3 candidates are defined as those who are studying independently, eg studying at home, through non-accredited correspondence colleges, private tuition or self-tuition.

### Private candidates' submission of new coursework

Irrespective of the method of coursework preparation, it is the private candidate's responsibility to ensure that his/her coursework is available for assessment on time.

The main dates by which the coursework should be received by the moderator are shown in the table below. A full list of coursework submission dates for all appropriate units is available on our website at [www.aqa.org.uk/deadlines/coursework\\_deadlines.php](http://www.aqa.org.uk/deadlines/coursework_deadlines.php).

Series	Main submission date
November 2011 Series BG	5 November 2011
January 2012 Series 1A	10 January 2012
June 2012 Series 6G	7 May 2012
June 2012 Series 6A	15 May 2012



Entries from candidates wishing to submit new coursework will **not** be accepted after the last date for submission of coursework for assessment.

### Method 1 candidates submitting new coursework

The candidate should complete Sections 1, 2, 3(a), 5 and 6 of each *Private candidate coursework information form*. Section 3(a) of each form should be signed by the Exams Officer of the centre assessing the coursework. Section 4 does not need to be completed for this method.

It is expected that the teacher responsible for the class will supervise, authenticate and assess the coursework and will submit the marked coursework to AQA.

A subject-specific *Candidate record form* for centre assessed work, signed by both the candidate and the teacher must be attached to the front of the work. If the candidate fails to provide a signed *Candidate record form*, a mark of zero will be issued to the candidate for the component.

### Method 2 candidates submitting new coursework

The candidate should complete Sections 1, 2, 3(b), 4, 5 and 6 of each *Private candidate coursework information form*. The candidate's work will be sent by the correspondence college, along with all appropriate documentation, to the AQA moderator for review.

The candidate's tutor will mark and authenticate his/her work.

Either a subject-specific *Candidate Record Form* (CRF) for centre assessed work or a *Private candidate record form*, signed by both the candidate and the authenticator must be attached to the front of the work. If the candidate fails to provide a signed record form, a mark of zero will be issued to the candidate for the component.

### Method 3 candidates submitting new coursework

The candidate should complete Sections 1, 2, 3(c), 4, 5 and 6 of each *Private candidate coursework information form*.

AQA is prepared to undertake the marking of coursework for specifications where the coursework would normally be assessed by a centre.

You will need to make arrangements with the private candidate to receive his/her coursework, together with the necessary completed forms, at the appropriate time for despatch to AQA for marking.

Details of the procedures for the authentication and submission of new coursework by Method 3 private candidates are given below.

## Authentication of new coursework for Method 3 private candidates



AQA will **not** be able to accept coursework from candidates who have not had their coursework supervised for authentication purposes. Coursework submitted without satisfactory authentication will be issued with a mark of zero.

The private candidate **must** nominate an authenticator for each subject entry for which s/he wishes to submit new coursework. The authenticator will normally be a tutor/teacher who is in regular contact with the candidate and has supervised sufficient coursework material to be able to confirm that s/he has undertaken the work submitted for the exam. A relative may **not** act as the candidate's authenticator.

The authenticator should initial each page of the final version of each separate piece of coursework to confirm that it is the candidate's own work.

## Submission of new coursework by Method 3 private candidates

**It is important** that you inform the private candidate when they will need to give the coursework to you so that you can forward it, using the appropriate labels supplied by AQA, to the coursework moderator appointed by AQA who will mark the coursework.

A *private candidate record form*, signed by both the candidate and the authenticator must be attached to the front of the work given to you by the candidate for forwarding to the AQA moderator. If the candidate fails to provide a signed record form, a mark of zero will be issued for the component.

The candidate will have been sent (in the *Entry information for private candidates* booklet) a copy of the *Private candidate record form*, which is available for you to view or download from the AQA Website at [www.aqa.org.uk/admin/p\\_private.php](http://www.aqa.org.uk/admin/p_private.php).

Fees may not be carried forward from one exam series to another.

## Registration Fee for Principal Learning

The Registration fees for Principal Learning for 2011-2012 are shown in the [Diploma: 2011/12 Entry Fees and Other Charges](#).

The registration fee is charged per candidate registered for each Line of Learning.

The fees for registrations will be charged to the centre that submits the registration entry or to the centre that submits the unit entry that auto-generates the registration. Home centres for Principal Learning candidates are advised to make their registrations before any unit entries are made.

In addition to the Registration fee, any registrations received between 21 October 2011 and 21 April 2012 will also attract a late registration fee and those received on or after 22 April 2012 will attract a very late registration fee.

## Entry Fee

Entry fees for the 2011-2012 exams were notified to centres in September 2011 in the [Entry fees and other charges 2011-2012](#) and [Diploma: 2011/12 Entry Fees and Other Charges](#).

For modular and unit based specifications, entry fees are charged as follows.

<b>GCE (incl GCE in Applied Subjects) FSMQ</b>	<p>Entry fees are charged per unit entry.</p> <p>There is no fee for entry for an overall subject award made by the due date for the aggregation of unit results to give subject awards.</p> <p>See also information on Late Awards on Page 74</p>
<b>New GCSE specifications</b>	<p>Entry fees are charged per unit entry.</p> <p>With the exception of some GCSE (Short Course) specifications, there is no fee for entry for the overall subject award made by the due date for the aggregation of unit results to give subject awards.</p> <p>All GCSE new specification unit entries for the June 2012 exams must be made in series 6G12, apart from those for GCSE Mathematics (Modular) and GCSE Science B units, which are made in 6M12.</p> <p>Any candidate wishing to resit a unit in the June 2012 Series 6G12 that they also took in the January 2012 Series 1A12 should be entered for that unit in Series 6G12 within two weeks of the publication of results for the January 2012 series. The late fee (if incurred) for that unit entry alone will be credited to your centre by 31 May.</p> <p>See also information on Late Awards on Page 74</p>
<b>Outgoing GCSE Sciences Outgoing GCSE in Applied Subjects</b>	<p>Entry fees are charged per unit entry.</p> <p>There is no fee for entry for the overall subject award made by the due date for the aggregation of unit results to give subject awards.</p>
<b>GCSE Mathematics Specification B (Outgoing specification)</b>	<p>Entry fees are charged per module entry.</p> <p>There is no fee for entry for the overall subject award made by the due date for the aggregation of module results to give subject awards.</p>

<b>Functional Skills</b>	For ICT and Mathematics entry fees are charged per unit entry. For English, entry fees are charged for each element. There is no fee for entry for the overall unit award made by the due date for the aggregation of component results.
<b>Vocationally Related Qualifications</b>	Entry fees are charged per component or unit entry. There is no fee for entry for a unit award nor for an overall subject award made by the due date for the aggregation of unit results to give subject awards.
<b>Principal Learning</b>	In addition to Registration fees (see page 72) entry fees are charged per unit entry (or split unit element entry). For split units there is no fee for an entry for the unit award. There is no fee for entry for an overall award of Principal Learning.
<b>Key Skills</b>	There is a fee for claiming 'proxy' qualifications. There is no fee for entry for the overall Key Skill award made by the due date for the aggregation of component results.

## Entries made on the *Entry Form*, the *Entry Amendments* form or in writing

AQA now receives about 99% of its entries submitted electronically through Electronic Data Interchange (EDI) services and e-AQA.

We appreciate that some centres either do not wish to use EDI or e-AQA or cannot do so. We will therefore continue to offer the possibility of making entries in writing, but will make a surcharge on entries from centres that indicate on their *Intention to Enter* form that they will not be making any entries by EDI or e-AQA in the coming year.

The **non-EDI entry surcharge** will apply to main entries for all qualifications, unless an exception is specifically noted in the [Entry fees and other charges 2011-2012](#).

### Late Entry Fee

Unless indicated otherwise in the AQA [Entry fees and other charges 2011-2012](#), an additional fee will be charged for each entry of a new candidate received after the closing date for the receipt of entries as given in Section 10 and in the table on page 74. Details of Late Entry fees were notified in the booklet [Entry fees and other charges 2011-2012](#).

### Very Late Entry Fee

An additional fee will be charged for each entry of a **new candidate** received after the dates given in the table on page 74. Details of Very Late Entry fees were notified in the booklet [Entry fees and other charges 2011-2012](#).

### Amendment Fee

An additional fee will be charged for each amendment or addition to the entries of existing candidates received after the dates given in the table on page 74. Details of Amendment fees were notified in the booklet [Entry fees and other charges 2011-2012](#).

The amendment fee is payable for:

- the addition of each new entry for a candidate already entered
- an amendment of an existing entry from one specification to another and
- a change of entry from one unit, module, option/tier or component to another within the same specification.

### Withdrawal of entries

If you withdraw a candidate from one or more entries by the dates given in the table in on the next page, your centre will receive a refund of entry fees paid to that date.

We do not show the results of withdrawn candidates on the broadsheet of results; the candidates will receive no results for the entries from which they have been withdrawn. Their names will not appear on any lists of candidates produced after the withdrawal has been processed.



Please note that AQA cannot withdraw candidates/entries any later than a fortnight before the publication of results for the appropriate series.

## Partial refunds on medical grounds

After the dates given in the table below, AQA will consider a partial refund of fees for candidates who are required to withdraw from their exam(s) on medical grounds.

Any request for a partial refund of fees must be accompanied by satisfactory supporting medical evidence. Applications for a partial refund must be submitted to AQA no later than 14 days after the last exam in the appropriate series.

## Late Awards

No fees or late fees are charged for **GCE (including GCE in Applied Subjects) and new specification GCSE** (except for certain Short Course awards) subject award entries made in the entry period or in the 4-week period immediately following the publication of results (up to the closing date for Enquiries about Results).

After the closing date for Enquiries about Results (4 weeks after the publication of results) requests for a very late award (aggregation) in that series or any previous series will be considered on a case by case basis (documentary evidence is required) and, if accepted, will incur an additional fee for each subject award to be aggregated (see the [Entry fees and other charges 2011-2012](#) available on the [Administration|Library](#) page of our website for details of the fee).

## Payment of fees

AQA will send you an invoice once an Entry or Entry Amendments submission has been processed. Fees are due within 30 days of the date of the invoice.

## Dates for Very Late Entry Fees, Amendment Fees and withdrawals

Unless indicated otherwise in the AQA [Entry fees and other charges 2011-2012](#), the Very Late Entry Fee and Amendment Fee will apply after the dates shown in the table below.

No refunds will be granted for withdrawals of entry made after these dates, unless on medical grounds (see above).

Series and Year Code	Series title	Late Entry Fees apply after	Very Late Entry Fees & Amendment Fees apply & No refund for Withdrawals after
BG11	November 2011 Series BG	<b>4 OCTOBER 2011</b>	<b>25 OCTOBER 2011</b>
9R11	September 2011 Series 9R	<b>21 OCTOBER 2011</b>	<b>21 APRIL 2012</b>
1A12	January 2012 Series 1A	<b>21 OCTOBER 2011</b>	<b>15 DECEMBER 2011</b>
1K12	January 2012 Series 1K	<b>11 NOVEMBER 2011</b>	<b>30 NOVEMBER 2011</b>
3G12	March 2012 Series 3G	<b>21 JANUARY 2012</b>	<b>21 FEBRUARY 2012</b>
6G12	June 2012 Series 6G	<b>21 FEBRUARY 2012</b>	<b>21 APRIL 2012</b>
6A12	June 2012 Series 6A	<b>21 MARCH 2012</b>	<b>21 APRIL 2012</b>
6B12	June 2012 Series 6B	<b>21 MARCH 2012</b>	<b>21 APRIL 2012</b>
6V12	June 2012 Series 6V	<b>21 MARCH 2012</b>	<b>21 APRIL 2012</b>
6K12	June 2012 Series 6K	<b>31 MARCH 2012</b>	<b>26 APRIL 2012</b>
6M12	June 2012 Series 6M	<b>26 APRIL 2012</b>	<b>14 MAY 2012</b>

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## Transferred candidate arrangements

AQA can make arrangements in certain exceptional circumstances for individual candidates to sit exams at a centre other than the one through which they were entered.

Transferred candidate arrangements are not suitable for the regular entries for Principal Learning between consortium members.

## Making a transferred candidate request

You must use the JCQ form *Application for GCSE, GCE, ELC and Free-standing Functional Skills Exams: Transferred Candidates* to make any requests to alter the venues at which individual candidates will sit their exams.

The application form will be sent to all centres on behalf of JCQ in September 2011, together with a copy of the *Guidance notes concerning transferred candidates*.

You can view or download a copy of the application form from the JCQ Website at [www.jcq.org.uk](http://www.jcq.org.uk).

You must submit applications for transferred candidate arrangements as early as possible and normally **at least four weeks** before the date of the first exam of the series. We will be unable to guarantee arrangements if we receive requests within four weeks of the start of the exam series.

Full details of the application procedure are given in the *Guidance notes*.

## Reasons for transferred candidate requests

Full details of the acceptable reasons for transferred candidate requests are given in the *Guidance notes*.

AQA **will not** make transferred candidate arrangements to accommodate candidates' personal holidays.

AQA **cannot** make transferred candidate arrangements to Host Centres outside the United Kingdom for open-learning candidates and private candidates.

You should seek advice from us (☎ 01483-477606 ✉ [transferredcandidates@aqa.org.uk](mailto:transferredcandidates@aqa.org.uk)) if you are uncertain as to the acceptability of the reason for a proposed transfer.

## Responsibilities of entering and host centres

Full details of the responsibilities of the entering and host centres are given in the *Guidance notes*.

Where we have received and approved a request for transferred candidate arrangements, the entering centre retains responsibility for the candidates and receives their results.

AQA will send question papers and other appropriate exam material to the Host Centre.

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## Coursework Marks and Estimated (Forecast) Grades

## Centre consortium arrangements for General Qualifications

**Please note** : these arrangements are NOT designed to cater for Gateway-approved consortia delivery of Diploma Principal Learning.

When candidates are entered for AQA general qualification exams from several centres, but are taught together for a particular subject, it is possible for all candidates in the teaching group to be treated as a single population for the purposes of moderation of any centre assessed component.

Please ensure that the appropriate members of staff at your centre are aware of this facility.

The entries of candidates involved in consortium arrangements must be made through the centre at which the candidates are on roll.

The centres concerned must nominate a consortium co-ordinator who undertakes to liaise with AQA on behalf of all centres in the consortium. The co-ordinator of the consortium must complete Form JCQ/CCA, which can be found on the JCQ Website at [www.jcq.org.uk](http://www.jcq.org.uk), in order that such arrangements may be put into place.

Where there are different co-ordinators for different specifications, a separate Form JCQ/CCA is required for each specification.

Completed forms must be returned to the Principal Manager, Processing/Examining, AQA, Stag Hill House, Guildford, GU2 7XJ by 30 October 2011 for the January/March 2012 Series and by 31 January 2012 for the May/June 2012 Series.

## Submission of Estimated (Forecast) Grades and Coursework Marks by EDI

AQA will provide to all centres forms for the submission of Estimated (Forecast) Grades and Coursework Marks, together with full instructions for their completion.

However, the table of series in Section 8 indicates those exams where Estimated (Forecast) Grades and/or Coursework Marks may be submitted electronically by EDI.

All files containing Estimated (Forecast) Grades or Coursework Marks sent to AQA must be in the JCQ standard format given in Version 14 of the *Formats for the exchange of examination related data* booklet.

Further information on Estimated (Forecast) Grades and Coursework Marks is given in the *Administrative Procedures* booklets, which are available from the Administration/Library section of our website for you to refer to as necessary.

## Identification of files

### Board Code and Series

Any Estimated (Forecast) Grade or Coursework Mark File submitted by EDI **must** contain the correct awarding body, Series and Year Codes in the header records as follows:

**BBSSYY** where

- BB** is the UAB code. This will always be 70 for AQA exams
- SSYY** is the Series and Year Code (see Section 8).

### File names

The name of Estimated (Forecast) Grade or Coursework Mark Files submitted by EDI should take the form:

**Fccccbb.Xnn** and

**Mccccbb.Xnn** where

- F** indicates that the file contains Estimated (Forecast) Grade Files
- M** indicates that the file contains Coursework Mark Files
- cccc** is the centre number
- bb** is the UAB Code (ie 70 for AQA)
- nn** is the second two digits of the sequence number of the file.

## Amendments to Estimated (Forecast) Grades and Coursework Marks submitted by EDI

There is no provision in the [Formats for the exchange of examination related data](#) booklet for the submission of amendments to Estimated (Forecast) Grades or Coursework Marks.

All amendments to the original submission of Estimated (Forecast) Grades or Coursework Marks **must** be made in writing to AQA.