

Administration procedures and assessment arrangements



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1. Registration of centres

1. Any centre wishing to register to use the Unit Award Scheme must:
 - complete a Unit Award Scheme Centre Registration Form (CRF)
 - arrange for the proposed centre Coordinator to attend Unit Award Scheme training on the operation of the Scheme, unless he/she has recent experience as a Coordinator for the Unit Award Scheme at another centre, or if UAS staff agree training is not necessary.
2. Any centre not registered with AQA for examination purposes must complete an AQA Credit assessment form. This is incorporated into the CRF.
3. Where a centre has no Department for Education or national centre number, the CRF requires the following additional information:
 - contact details of two referees (for the centre, not for the proposed Coordinator)
 - a prospectus or other published information about the centre or details of how to access this on a website
 - confirmation of a Child Protection Policy if the centre is working with young people under the age of 16.
4. Where AQA has concerns relating to information provided about a centre during the registration process, it reserves the right to refuse registration. Similarly, registration may be cancelled by AQA if deemed necessary because of a centre's failure to operate the Scheme to an acceptable standard or for other good reason, eg non-payment of fees.
5. The initial training is provided by AQA throughout the year at a number of central venues. Alternatively, an AQA trainer will visit a prospective centre or group of centres to provide training. The latter arrangement is most likely to be taken up where a centre or group of centres wishes AQA to provide training to a range of staff in addition to the proposed Coordinator(s).
6. Details of current charges for training and dates of meetings are available on the Unit Award Scheme pages of the AQA Website at aqa.org.uk/uas or by contacting the Unit Award Scheme department.
7. The Scheme may, at AQA's discretion, accept learners from centres overseas.

2. Responsibilities of the centre

1. To nominate up to two Coordinators (monitored/experienced centres can have up to four Coordinators) for the Scheme and ensure appropriate guidance and training is received before carrying out the role.
2. To ensure that all teachers involved in the Scheme receive training in the assessment of units and the administrative operation of the Scheme.
3. To use the Scheme only with learners with whom the centre has a direct involvement or for whom the centre has a direct responsibility.
4. To ensure that login details and passwords issued to Coordinators are kept safe and secure and not shared with other staff.

5. To ensure that each unit taught in the centre represents a valid and worthwhile learning experience and that the way units are used provides, for individual learners, courses which display both coherence and progression.
6. To ensure that any units developed in the centre are checked prior to submission.
7. To teach and assess only validated units.
8. To check all evidence as specified in the unit.
9. To keep Summary sheets for each unit.
10. To ensure that any reference to the Scheme which it makes in published material, both paper and electronic, is accurate, does not refer to the Scheme as a qualification and makes no use of the AQA logo. You are however permitted to state that your centre is registered with AQA for the delivery of the Unit Award Scheme.
11. To inform the Unit Award Scheme department as soon as possible in writing of
 - any change to its registered and/or certificate name
 - any change to its address or other contact details
 - a change of Coordinator (see section 10)
 - a planned closure or merger with another centre.

3. Fees

1. Initial charges
 1. A charge is made for the initial training which is a condition of registration.
 2. A one-off registration fee which covers
 - an assessment visit, where one is deemed necessary by AQA
 - administration costs to set up a new centre
 - one to one support to register and operate UAS
 - cost of writing new units and making minor amendments to existing units
 - access to well over 10,000 units on our website
 - webinar training once you are an established centre, if needed.
2. Learner and certificate fees
 1. An annual charge is made for each learner who is active in the Scheme, ie who achieves at least one unit over the course of an academic year.
 2. The fee is per active learner regardless of the number of units achieved or the number of Unit Award Certificates issued.
3. Submission of units for validation
 1. No charge is made for the writing of new units and the minor amendment of existing units, although AQA reserves the right to review this if large numbers of units are written by a centre or if there are continuing problems with units written.

4. Replacement certificates

1. A charge is normally made for the issue of replacement Unit Award certificates unless the need for a replacement arises from an AQA error.
2. Where more than five Unit Award certificates are requested for a learner the maximum charge will be five times the replacement certificate charge.

5. Invoicing

1. The one off registration fee will be invoiced once the registration has been confirmed and must be paid before submission of any claims.
2. Learner and certificate fees are normally invoiced in retrospect, after the end of each academic year. Where necessary, a centre may request an invoice on account. A reconciliation would then be carried out after the end of the academic year.
3. If you are a pay-up front or an overseas centre, you are invoiced and must pay prior to receiving AQA certificates.
4. International postage/courier charges for the issue of certificates will be recharged to overseas centres and must be paid prior to their despatch.
5. Replacement certificate fees are invoiced at the end of each term.

4. Role of the Coordinator

1. To disseminate information following training to all colleagues who will be using the Scheme.
2. To ensure colleagues have produced all materials required by the evidence, eg worksheets, and also a Summary sheet for each unit they wish to use.
3. To verify assessments made by unit teachers, ie check the evidence to ensure that it is appropriate and that all outcomes have been achieved by the learners.
4. To liaise with AQA over the timing of postal assessments.
5. To complete and upload Claim forms via the Gateway on line processing system.
6. To receive, check and distribute Unit Award certificates as quickly as possible.
7. To arrange for new units to be checked before submission to AQA following the procedure outlined in the Guide to Writing and Submitting Units.
8. To promote the Scheme in the centre and offer assistance and guidance to new colleagues wishing to use the Scheme – a PowerPoint presentation is available on the Unit Award Scheme website to help with this.
9. To ensure colleagues in the centre are aware of any developments in the Scheme or changes to procedures.
10. To let AQA know of any changes to centre details and if necessary inform the National Centre Number (NCN) Register of the changes.

5. Registering learners

1. Learners should be registered using the Claim form once they have completed their unit(s) and the work has been internally assessed and verified in the centre. This can happen at any time of the year.
2. All learners must be given a centre determined **unique four digit number** when registered.
3. Learners should be added to the Claim form in **learner surname alphabetical order**. Learners should be added to the Claim form using **uppercase**.
4. All learners must be registered with a date of birth. Where you are unable to provide a date of birth a default of 01/01/1900 will be used. **Please note that this date will appear on the learner's certificates.**
5. When entering the codes of the units the learner has completed, use the full unit code per column using the next available column for the next unit. An example of a completed Claim form is given in Appendix 1.

6. Preparing recommendations for the award of units

1. Role of the unit teacher (who may also be the Coordinator)
 1. To prepare a Summary sheet for each unit he/she is using. This will list all the learners on one axis by learner number and full name and the outcomes on the other. It enables the teacher to keep track of which outcomes have been achieved. An example of a completed Summary sheet is given in Appendix 2. Examples of blank Summary sheets are given on the UAS website. Please note that you do not have to write out the outcome on the Summary sheet – the outcome number alone will suffice.
 2. To teach the unit.
 3. To complete the Summary sheet by dating the columns as outcomes are achieved.
 4. To ensure that each portfolio/folder of evidence carries the learner's name to make it clear which learner the evidence belongs to.
 5. To check the evidence presented to ensure that it reflects individual learner achievement and is complete and appropriate. They are the subject expert.
 6. To annotate work to show that the outcomes have been achieved.
 7. To check that all learner produced evidence is 'flagged', ie make it clear within the evidence where the evidence for each outcome is to be found.
 8. To sign the Summary sheet to confirm evidence has been checked.
 9. To ensure that any additional learner work or other items which are not specified as evidence are not included in the material presented to the Coordinator.
 10. To present the evidence for assessment by unit and by learner number order within each unit.

2. Role of the Coordinator (who may also be the Unit teacher)
 1. To verify assessments made by unit teachers, ie check the evidence to ensure that it is appropriate and that all outcomes have been achieved by the learners and despatch the evidence to AQA immediately upon request.
 2. To ensure that all evidence is marked and appropriately flagged and the unit code and title are clearly given.
 3. To ensure that the learner's full name and number appears on the front of each folder/portfolio of evidence.
 4. To sign the Summary sheet to confirm checking.
 5. To complete and upload a Claim form and relevant Summary sheets(s), for each unit on the claim. **NB Summary Sheets should only be uploaded when monitoring is taking place.**
 6. To liaise with AQA over the postal arrangements and a visit, where one is deemed necessary.

3. Role of AQA
 1. To inspect evidence and ensure that learners are correctly recorded on Summary sheets and the Claim form.
 2. To judge, on the basis of the evidence presented, whether the outcomes specified have been achieved.
 3. To confirm the acceptability of the Coordinator's recommendations for the successful completion of units.
 4. To provide a report for the centre following each assessment.

7. Submitting claims for the award of units

1. New centres - postal assessment
 1. AQA will check all of the first two full postal assessments of a new centre. A flow chart showing the postal assessment process for new centres is given in Appendix 3.
 2. It is the responsibility of the Coordinator to contact AQA to arrange approximate dates for these assessments when a reasonable amount of work is ready.
 3. At the agreed time, the Coordinator will:
 - upload a Claim form onto Gateway
 - send/upload a copy of the Summary sheet for each unit included on the Claim form, signed by the teacher and the Coordinator
 - send AQA the evidence relating to all learners for all units. See Section 8.
 4. During the postal assessment AQA will contact the Coordinator if there are issues to resolve, such as incomplete evidence. It is important that the Coordinator remains contactable until the postal assessment is complete. Recommendations which cannot

be confirmed will be deleted from the Claim form in Gateway and will be highlighted in the Assessment report. In such cases, the Coordinator should keep all material relating to the unit concerned so that if and when the problem has been rectified, the claim can be submitted again.

5. All the recommendations confirmed by AQA will be processed and Unit Award certificates issued to the centre. The Coordinator will also be sent a copy of the Assessment report on the postal assessment.
6. After at least two full postal assessments, AQA can recommend that a centre moves to monitored status. Confirmation of this will be given in the Assessment report. If a centre is not ready to move to monitored status, at this stage, a further postal assessment or centre visit will take place after which a recommendation to move to monitored status may be made. If there are still problems with the operation of the Scheme in the centre, AQA reserves the right to charge for any remedial action it deems necessary, including additional assessments or further training.

2. Monitored/experienced centres

1. Once monitored/experienced status has been achieved, a centre may submit internally verified recommendations for the award of units direct to AQA at any time of the year and as frequently as it wishes.
2. However, one set of recommendations each year must be sent for approval to AQA; this is termed annual monitoring. It is a requirement that **all** the evidence relating to this set of recommendations is available for monitoring so that AQA can select the evidence required. This should normally be the **first set of recommendations made by the centre in the academic year**. Where possible, the first set of recommendations should reflect a significant assessment in relation to the centre's normal use of the Scheme. If you have a small assessment and are not sure if it is a suitable size for monitoring please contact AQA for advice. Details of the arrangements are provided below and a flow chart showing the assessment process for monitored centres is given in Appendix 4.
3. When you are ready for your annual monitoring to take place the Coordinator should:
 - a. upload **one** Claim form onto Gateway
 - b. send/upload a copy of the Summary sheet for each unit included on the Claim form, signed by the teacher and the Coordinator.

No evidence should be sent to AQA at this stage, however please make sure it is available immediately upon request

4. AQA will then complete and send to the Coordinator a *Materials request form* which will give details of the sample of evidence he/she wishes to see. AQA will specify:
 - by learner id number, the required evidence from the Claim form.

Normally no more than 20 units in total will be selected from the Claim form. However, AQA reserves the right in certain circumstances to request a larger number of units or a larger number of learners from the Claim form. See Section 8 re posting evidence and options.

5. On receipt of the above material, AQA will inspect all the evidence and records. If necessary, AQA will contact the Coordinator to resolve any minor problems. It is important that the Co-ordinator remains contactable until the monitoring is complete. If

AQA are unable to confirm recommendations made in respect of some or all learners for a particular unit, AQA will amend the Claim form on Gateway and inform the Coordinator of this when returning the evidence and Assessment report. In such cases, the Coordinator should keep all material relating to the unit concerned so that if and when the problem has been rectified, the recommendations can be put forward again.

6. Once the Claim form has been verified, the Coordinator will be sent Unit Award certificates and the Assessment report on the postal monitoring.
7. If the postal monitoring reveals significant problems, AQA reserves the right to withdraw monitored status from the centre and to charge the centre for any additional postal assessments and/or visit/training that might need to be arranged.
8. For the remainder of the academic year AQA may select submissions, at random, to monitor. No more than two learners for no more than five units will be selected for which the evidence will be requested. The claim will not be processed until the evidence has been received and verified. The Coordinator will then be sent the Unit Award certificates and the Assessment report on the postal monitoring.

8. Evidence

1. Sacks for posting evidence were provided in the New Centre training pack and further sacks are available on request. A Certificate of Posting or its equivalent should be obtained but delivery requiring a signature should be avoided. It is recommended that the Coordinator liaises with AQA over specific arrangements to ensure that material is received safely.
2. There are some items of evidence, eg a learner produced artefact, which may be difficult to store and certainly difficult to post. **In such circumstances, evidence should be photographed.** Where evidence may be required for another purpose, eg the learner wishes to keep the evidence; **photocopied work may be submitted** to AQA. However, the need to take photocopies may be avoided by completing Unit Award Scheme assessments before the work is required elsewhere.

9. Special consideration and queries on results

1. There may be occasions when the specified evidence of a learner's achievement has been produced but cannot be made available to the Coordinator and/or AQA when required. This situation may arise from fire, theft or other unusual circumstances.
2. Provided that the unit teacher can confirm that all the required evidence for the unit was appropriately produced and the Coordinator and Head of Centre are prepared to endorse the recommendations made, a request for special consideration may be submitted.
3. Such a request should be made in writing to AQA Unit Award Scheme and should be received **before** the related Claim form is submitted. Details must be provided of the circumstances involved.
4. If at the time of the annual monitoring the Coordinator is unable to provide the samples requested by AQA, the Head of Centre should write to the Unit Award Scheme department with the appropriate details and ask for special consideration.

5. If a centre wishes to query AQA's decision to disallow unit recommendations on a Claim form, the Coordinator should contact the Unit Award Scheme department to explain the centre's concerns. The UAS Delivery Manager will investigate the matter and respond appropriately. If the centre is unhappy with the response, the Head of Centre may ask formally for the matter to be referred to the UAS Head of Department. This request should be made in writing, setting out clearly the grounds on which the centre disagrees with the decision(s) made.
6. Use of scribes is acceptable but the Coordinator must notify AQA in writing and confirm that all such evidence is the student's own work.

10. Certification

1. Unit Award certificates

1. A Unit Award certificate is normally issued within 5-10 working days of receiving formal notification, via Gateway, of a learner's successful completion of a unit or the provision of requested evidence.
2. The certificates will give the learner's name, date of birth and the certificate name of the centre the learner attended when the unit was achieved. It will also list the outcomes achieved, as they are shown on the unit.
3. The Coordinator should check the certificates on receipt and report any errors or any you believe are missing as soon as possible.
4. If a centre wishes to change the centre's certificate name they must inform AQA Unit Award Scheme in writing.

2. Replacement certificates

1. Where the learner's details are incorrect on a certificate, replacement certificates can be obtained by returning the certificate together with details of the change. A replacement certificate cannot be issued until the original certificate has been received.
2. If a Unit Award certificate is lost then a replacement can be requested. Requests must be sent in writing to the Unit Award Scheme Department giving full details of how the certificate came to be lost.
3. Replacements are normally issued within 15 days of receipt of the request and the original certificate

11. Changing/adding a centre Coordinator

1. The Coordinator's role within the operation of the Scheme is a crucial one which carries with it significant responsibility. **It is therefore essential that when there is to be a change of Coordinator, the new Coordinator has received sufficient training and guidance** to enable him/her to carry out the necessary roles in an appropriate manner.
2. Whenever there is a change of Coordinator or a centre wishes to notify us of a joint Coordinator, a Coordinator amendment form, provided for this purpose on the AQA website, must be completed and submitted to AQA as soon as possible.
3. All new Coordinators must now watch the UAS Coordinator training webinar either as a live event or on-demand before being accepted as a coordinator. Until the appropriate

confirmation has been received, AQA will not issue a Gateway login for the new Coordinator. First submissions by a new Coordinator will be subject to monitoring.

4. Monitored centres may have up to four joint Coordinators.

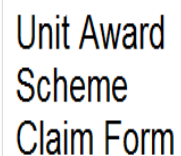
12. Free webinars for new and inexperienced Coordinators

The Unit Award Scheme provides webinar training sessions on the operation of the Scheme for new and inexperienced Unit Award Scheme Coordinators. Please contact the team should you need this service.

13. Support materials and forms

The following support materials and forms are available on the AQA website at www.aqa.org.uk/programmes/unit-award-scheme/administer

- Administrative procedures and assessment arrangements (this booklet)
- Coordinator amendment form
- Summary sheet
- Excel spreadsheet Claim form
- Sample spreadsheet Claim form
- Brief notes for users of Claim form
- Gateway – User guide for Coordinators.



I confirm that all recommendations shown on this form has been verified by me and transferred accurately from AQA Summary Sheets.

Please do not add Learners that have not achieved units.

Centre Name: The Progressive Centre

Centre Number: 80000

Co-ordinator Name: J Brown

Use full unit code per column, using the next available column for learner's next unit

Learners should be added using uppercase, in alphabetical order of surname

Only add learners who have achieved units

AQA Unit Award Scheme: Summary Sheet

Sheet No 1 of 1

Name of Centre The Progressive Centre

Centre No

8	0	0	0	0
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Unit Title VOLUNTEERING IN THE LOCAL COMMUNITY

Unit Code

30400

***Dates must be used to record the achievement of each outcome in the columns below**

Student Details		Outcomes *														Date of Completion
		1	2	3	4	5	6	7								
Number	Name															
1004	ARMSTRONG: DANIEL	11/9	11/9	2/10	2/10											
1005	COLLINS: PAUL J	11/9	11/9	18/9	18/9	25/9	9/10	23/9								9/10/18
1009	RUSSELL: BARBARA	11/9	18/9	25/9	25/9											
1016	YOUNG: JAKE	11/9														

I, the teacher, confirm that each student has individually completed in full, all aspects of the outcomes for this unit and all appropriate evidence is present and correct.

Signed S. Smith (Unit teacher)

Date 9/10/18

Verified J. Brown (Coordinator)

Date 10/10/18

Postal assessment arrangements for new centres

At least the first two full postal assessments will be carried out with AQA before a centre can move to monitored status

Step 1

The **Coordinator** contacts AQA when the centre is ready to make each of its first two sets of recommendations.

At an agreed time the **Coordinator** will:

- submit a Claim form onto Gateway
- upload/send AQA a copy of the Summary Sheet for each unit included on the Claim form, signed by the teacher and the Coordinator
- send AQA the evidence for all units on the Claim form.

Step 2

AQA checks all materials received and contacts the centre if problems arise such as missing evidence. AQA amends the Claim form if appropriate.

AQA writes an assessment report and sends the report, evidence and Unit Award Scheme Certificates to the Coordinator.

Step 3

EITHER

If there have been significant issues with the first two assessments, it may be necessary for AQA to request a third postal assessment or visit the centre to resolve ongoing issues.

OR

AQA notifies the Coordinator that the centre has gained monitored status.

Postal assessment arrangements for monitored centres

Centres must submit their first assessment of the academic year (for students registered for the current year onwards) through AQA. This assessment is referred to as the current assessment.

Step 1

In early autumn the **Coordinator** will be contacted by AQA **regarding** when their first assessment is likely to be ready.

At agreed time the **Coordinator**

- submits a Claim form onto Gateway
- upload/sends a copy of the Summary sheet for each unit included on the Claim form, signed by the teacher and the Coordinator.

Step 2

AQA completes and sends a *Materials request form* to the **Coordinator**, specifying the evidence (normally a max of two students for 20 units) to be assessed.

The **Coordinator** sends the evidence as requested to AQA.

AQA checks all materials received and contacts the centre if problems arise such as missing evidence.

AQA processes the Claim form(s) before sending the Assessment report, evidence and Unit Award certificates to the **Coordinator**.

Co-ordinator.

Step 3

After the annual monitoring with AQA, the **Coordinator** can submit claims at will during the remainder of the academic year. However, AQA may randomly select submissions during the year to monitor. No more than two learners and no more than five units will be selected. Evidence will be requested and the claim held until this has been received and validated.

AQA sends the Unit Award certificates to the centre.

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