

# Admin Guide

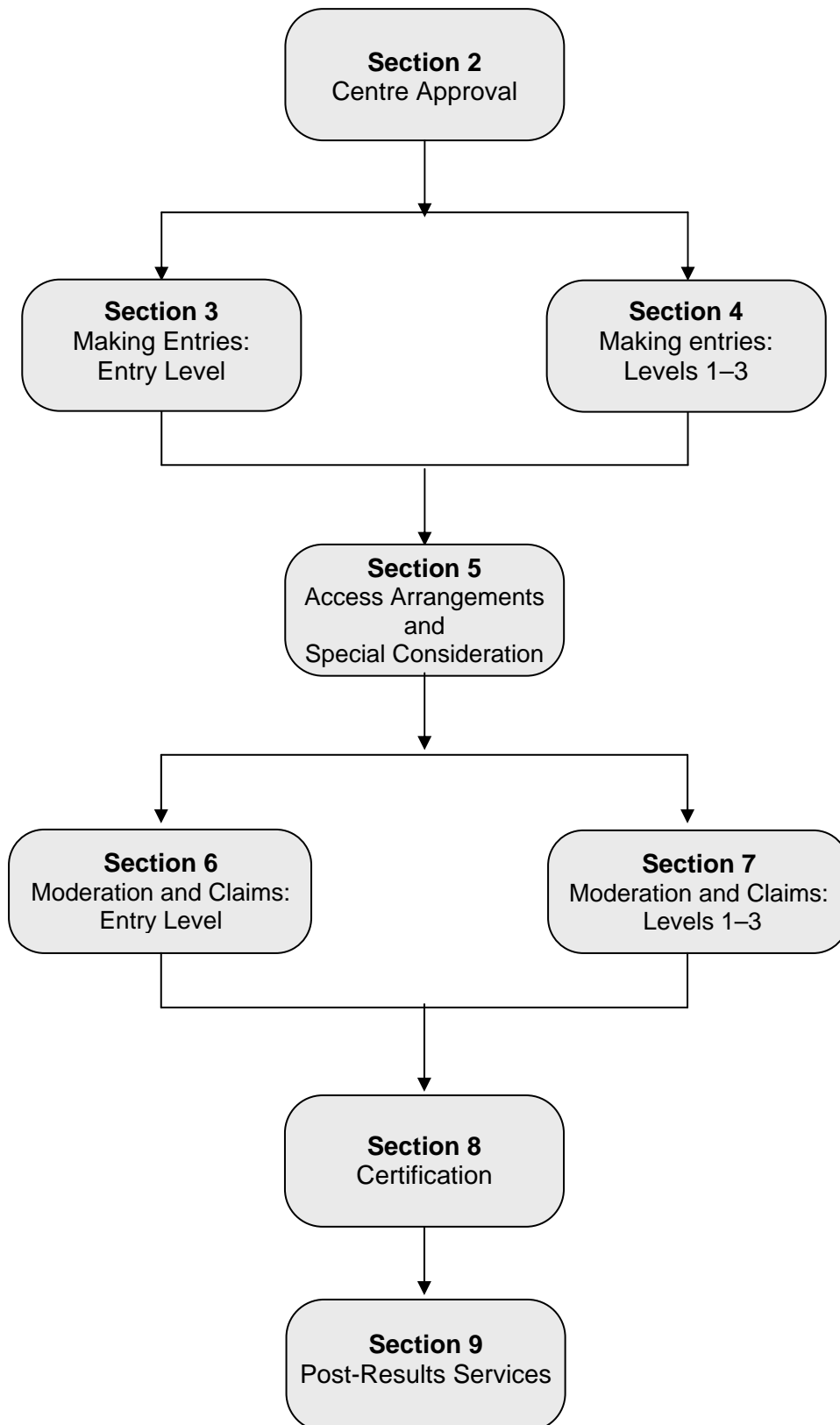
# Essential Skills Wales

2011/12



# Overview

This document is structured in chronological order of activity. Each box in the flow chart below corresponds to a section in this *Guide*.





# Contents

<b>1</b>	<b>Introduction</b>	<b>1</b>
1.1	Purpose and scope of the <i>Admin Guide</i>	1
1.2	What are Essential Skills Wales?	1
1.3	Qualification update	1
1.4	Obtaining further support and information	2
1.5	Contacting OCR	3
<b>2</b>	<b>Centre Approval</b>	<b>4</b>
2.1	What is centre approval?	4
2.2	Applying for centre approval	4
2.3	Credit checking	4
<b>3</b>	<b>Making Entries: Entry Level</b>	<b>5</b>
3.1	What are candidate entries?	5
3.2	Entry deadlines	5
3.3	Entry fees	5
3.4	Information required to make named entries	6
3.5	Information required to make unnamed entries	7
3.6	Method of submitting entries at Entry Level	7
3.7	Making entries using Interchange	7
3.8	Viewing entries	8
3.9	Amending or withdrawing entries	9
<b>4</b>	<b>Making Entries: Levels 1–3</b>	<b>10</b>
4.1	What are candidate entries?	10
4.2	Entry deadlines	11
4.3	Entry fees	11
4.4	Information required to make named entries	11
4.5	Methods of submitting entries at Levels 1–3	12
4.6	Making entries using Interchange	13
4.7	Making EDI entries	14
4.8	Viewing entries	15
4.9	Amending or withdrawing entries	16
<b>5</b>	<b>Access Arrangements and Special Consideration</b>	<b>17</b>
5.1	Access arrangements and reasonable adjustments	17
5.2	Special consideration	17
<b>6</b>	<b>Moderation and Claims: Entry Level</b>	<b>19</b>
6.1	Assessment	19
6.2	Certification claims	19
6.3	Making an online claim	19
6.4	Submitting candidate work following an online claim	21
6.5	Processing an online claim	22
6.6	Feedback reports (e-NQF6)	22
<b>7</b>	<b>Moderation and Claims: Levels 1–3</b>	<b>23</b>
7.1	Scheduling the moderator visits	23
7.2	Evidence	23
7.3	Assessment	24
7.4	Internal moderation	24
7.5	Certification claims	25
7.6	Making an online claim	25
7.7	Accredited centre status (ACS)	26

7.8	Preparing for the moderation visit (non-ACS centres)	26
7.9	The moderation visit (non-ACS centres)	27
7.10	Outcomes of the visit (non-ACS centres)	27
7.11	The moderation visit (ACS centres)	28
<b>8</b>	<b>Certification</b>	<b>29</b>
8.1	Results	29
8.2	Certificates	29
8.3	Replacement certificates	30
<b>9</b>	<b>Post-Results Services</b>	<b>31</b>
9.1	Missing or incomplete results	31
9.2	Enquiries about results	31
<b>10</b>	<b>Entry Codes</b>	<b>34</b>
10.1	Application of Number	34
10.2	Communication	35
10.3	Information and Communication Technology	36
<b>11</b>	<b>Reference</b>	<b>37</b>
11.1	Glossary	37
11.2	Documents referred to in the text	38
11.3	Useful websites	38

# 1 Introduction

## 1.1 Purpose and scope of the *Admin Guide*

---

The purpose of this *Admin Guide* is to assist exams officers and teachers within registered OCR centres with the administration of OCR Essential Skills Wales qualifications. This document should be read in conjunction with the Essential Skills Wales standards produced by DfES, JCQ guidance and the OCR centre handbooks for each qualification.

This *Admin Guide* is also available to download from the OCR website ([www.ocr.org.uk](http://www.ocr.org.uk)). We will notify centres of any amendments to the *Admin Guide* in a circular or Notice to Centres.

## 1.2 What are Essential Skills Wales?

---

Essential Skills Wales is the new suite of skills qualifications that replace the current Key Skills qualifications in Communication, Application of Number and ICT, and the Basic Skills qualifications in Adult Literacy and Adult Numeracy, in Wales. Qualifications in the suite are available from Entry Level through to Level 3.

The Levels 1–3 qualifications can be used together with the Wider Key Skills qualifications of Improving Own Learning and Performance, Problem Solving and Working with Others (see the *OCR Admin Guide: Key Skills*).

Essential Skills Wales are applicable to all programmes, ages, abilities and contexts and support the effectiveness of learning and performance both in education and at work. They are therefore appropriate for a variety of candidates at all levels.

### Forms of assessment

---

The Entry Level qualifications and Levels 1–3 qualifications have different methods of assessment and moderation.

To achieve an **Entry Level Essential Skills Wales qualification** in Communication, Application of Number or ICT, candidates must complete an OCR-set assignment, which is internally assessed in the centre and sent by post to an OCR moderator for moderation. Candidates can take the assignment at any time.

To achieve a **Level 1–3 Essential Skills Wales qualification** in Communication, Application of Number or ICT, candidates must successfully complete a portfolio of evidence. The portfolio is internally assessed and moderated, and then externally moderated by an OCR visiting moderator.

## 1.3 Qualification update

---

### Apprenticeships

---

Essential Skills Wales qualifications are component qualifications for various Apprenticeship Frameworks.

Apprenticeships are made up of a number of parts or components. During 2011, Sector Skills Councils (SSCs) have been updating Apprenticeship frameworks. This is to comply with the Specification of Apprenticeship Standards for England (SASE) and Wales (SASW). Apprenticeships are currently made up of the following components:

- **Competence** – Was covered by an NVQ; now QCF competence equivalent.
- **Knowledge** – Was the Technical Certificate; now QCF knowledge equivalent.
- **Transferable skills** (Key Skills/Functional Skills/Essential Skills Wales) – Key Skills have been extended in England for use until the end of September 2012. This means that learning providers in England can offer a choice of either Functional Skills or Key Skills until this date. Since September 2010, centres in Wales have been required to use Essential Skills Wales in Apprenticeship frameworks.
- **Employee Rights and Responsibilities (ERR)** – This must now be formally assessed.
- **Personal, Learning and Thinking Skills (PLTS)** – In England, PLTS have been introduced to the framework and must be formally assessed.

For further information on OCR's Apprenticeships, please see the OCR website at [www.ocr.org.uk/apprenticeships](http://www.ocr.org.uk/apprenticeships). Our *Admin Guide: Apprenticeships* is also available to download from the OCR website. For more information on Apprenticeship frameworks, please see the National Apprenticeship Service website at [www.apprenticeships.org.uk](http://www.apprenticeships.org.uk).

## 1.4 Obtaining further support and information

---

A glossary of common terms has been provided at the end of this *Admin Guide*, together with a list of where to obtain copies of documents referred to within the *Guide*.

### OCR website

---

The best way to obtain up-to-date information is via the OCR website at [www.ocr.org.uk](http://www.ocr.org.uk). The website includes essential support materials such as centre handbooks, sample and past question papers and datasheets, together with details about entries, results and fees. New administrative and qualification information is added regularly.

### Interchange

---

Interchange (<https://interchange.ocr.org.uk>) is a free, secure website that has been developed to help exams officers and teachers carry out day-to-day administrative functions online quickly and efficiently. The site allows you to check your approval status, make and view entries and claims, view achievements and access external verifier and feedback reports. As Interchange is updated daily, it is always the place to view the most accurate information. In order to use Interchange for the first time, you just need to register your centre by returning the Interchange Agreement. This can be downloaded from the OCR website.

### OCR support and training

---

OCR's Customer Admin Support Team (CAST) offers training specifically for groups of exams officers, as well as attending network meetings. To find out more about the training we can offer to give you more confidence in administering OCR qualifications, or to invite us to your network meetings, please email the team at [cast@ocr.org.uk](mailto:cast@ocr.org.uk).

OCR Training also offers a programme of training for teachers to provide essential support in the delivery and assessment of a full range of OCR qualifications. Details of our programme are mailed to your centre and you can find a full A to Z list of courses on the OCR website at [www.ocr.org.uk/training](http://www.ocr.org.uk/training). You can also find training and book online using OCR EventBooker – visit [www.ocreventbooker.org.uk](http://www.ocreventbooker.org.uk). If you would like more information, please contact us at [training@ocr.org.uk](mailto:training@ocr.org.uk).

## OCR Publications

---

The OCR Publications Service offers support to OCR centres, parents and candidates. It offers a wide range of up-to-date materials for sale which relate to our key qualifications. These materials include specifications and a range of support materials.

The OCR Publications catalogue, which can be downloaded from the OCR website, holds the full list of materials currently available to order. There are several ways to place an order:

- **Online** – <http://publications.ocr.org.uk>
- **Email** – [publications@ocr.org.uk](mailto:publications@ocr.org.uk)
- **Telephone** – 0870 7706622.

## Community

---

Our social network site enables teachers to share best practice, offer guidance and upload and access a range of support materials such as lesson plans, presentations, videos and links to other helpful sites. Visit [www.social.ocr.org.uk](http://www.social.ocr.org.uk) to find out more.

## 1.5 Contacting OCR

---

For general enquiries and queries relating to the administration of **Entry Level** Essential Skills Wales qualifications, please contact the **OCR Customer Contact Centre**:

Telephone: 02476 851509 (08:00–17:30 Monday to Friday)  
Fax: 02476 851633  
Email: [vocational.qualifications@ocr.org.uk](mailto:vocational.qualifications@ocr.org.uk)  
(Please include centre name and number in the email.)  
Post: OCR, Westwood Way, Coventry, CV4 8JQ

For enquiries relating to the administration of **Levels 1–3** Essential Skills Wales qualifications, please contact the **OCR Wales National Office**:

Telephone: 02920 537810  
Fax: 02920 537820  
Email: [ocr-cymru@ocr.org.uk](mailto:ocr-cymru@ocr.org.uk)  
(Please include centre name and number in the email.)  
Post: OCR Cymru, Windsor House, Windsor Lane, Cardiff, CF10 3DE

As part of our quality assurance programme, calls may be recorded or monitored for training purposes. Please note that we may not be able to provide specific information if a centre email address is not used.

## 2 Centre Approval

### 2.1 What is centre approval?

---

If you want to offer OCR Essential Skills Wales qualifications, you must first gain approval from OCR. You will only be able to enter candidates for the qualifications that you are approved to offer. In addition, approval is subject to continued centre activity; if there are no entries or certifications for a qualification for three consecutive years, centre approval will automatically lapse for that qualification.

### 2.2 Applying for centre approval

---

To apply for centre approval, you need to complete an application form. The form, together with guidance on completing it, is available from the centre approval section of the OCR website. The form asks for general information about the centre and for more specific details about the way the centre will deliver the qualifications for which it seeks approval. Completed forms should be returned to OCR Operations, Coventry.

When OCR approves each application, you will receive a letter of confirmation. You can then enter candidates for the qualifications that you are approved to offer (see Sections 3 and 4).

All changes of centre address should be sent to the Allocations Team, Coventry, on centre-headed paper. If a visit is required, we will contact you to arrange this.

### 2.3 Credit checking

---

If you are a company, sole trader or partnership, we have a credit checking process in place to help us verify your credit worthiness. You need to have been established, and trading on credit terms, for a minimum of six months and be able to supply us with two credit references (banks, solicitors and accountants are not considered as trade creditors and cannot be used as referees).

If you cannot satisfy these requirements then we will be unable to process your application; however, we can review your application after six months of trading. If you cannot satisfy these requirements but think there are extenuating circumstances, please email the details to the Customer Contact Centre at [vocational.qualifications@ocr.org.uk](mailto:vocational.qualifications@ocr.org.uk).

# 3 Making Entries: Entry Level

## Key points

- Centres make entries for Entry Level qualifications via Interchange.
- All Essential Skills Wales qualifications are full award, single-unit qualifications.
- It is essential that entry information is correct to ensure that candidates receive their certificates.
- **We do not allow entry withdrawals or transfers for any Essential Skills Wales qualifications.**

## 3.1 What are candidate entries?

---

In order to let OCR know which qualifications your candidates wish to take and before you can claim qualifications for candidates, you need to make entries. Note that the term 'registration' has been replaced by the term 'qualification entry'.

All Essential Skills Wales qualifications are single-unit, full award qualifications. Therefore, you can only make full award entries.

### Entry routes

---

For Entry Level Essential Skills Wales qualifications, entries can be made via either the named route or the unnamed route.

- **Named** – This is where you provide specific candidate information (e.g. name and date of birth) for each qualification (see Section 3.4).
- **Unnamed** – This allows you to order a number of qualifications in bulk, without specifying who will be taking them (see Section 3.5).

## 3.2 Entry deadlines

---

Candidates can be entered for Essential Skills Wales qualifications on an ongoing basis – there are no specific entry deadlines and entries are processed within 24 to 48 hours.

## 3.3 Entry fees

---

Details of the entry fees for all OCR qualifications can be found in the OCR Fees List, which can be downloaded from the OCR website. Invoices will be sent (normally via email) to your accounts contact once you have made your entries.

## Querying a fees invoice

---

To query an invoice, please forward a copy of the invoice and supporting documentation (quoting your centre number and invoice number in all correspondence) to OCR Sales Ordering, Finance Division, OCR, 1 Hills Road, Cambridge, CB1 2EU. Alternatively, you can fax 01223 553048 or email [creditcontrol@cambridgeassessment.org.uk](mailto:creditcontrol@cambridgeassessment.org.uk).

## 3.4 Information required to make named entries

---

### Qualification details

---

All Essential Skills Wales qualifications are single-unit, full award qualifications. Therefore, centres provide entry codes of the **full qualification(s)** only – unit entry codes are not applicable.

Please ensure you select the correct entry code for the qualification you'd like to enter for (see Section 10).

### Candidate personal details

---

Centres provide candidate names and dates of birth. You should 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 delay or confusion when candidates subsequently present their results documentation to employers or tertiary institutions. Also, if candidates apply to OCR for additional or replacement copies of their results, they must be able to provide identification that matches the archived information.

### Centre candidate number

---

An optional field for named qualifications, this number can be allocated by a centre if you wish to add an additional reference; it can be up to four digits long.

### OCR candidate number

---

This is an eight-digit number allocated by OCR which allows candidates' units to be linked together when claiming for multiple units or full awards. For candidates entering for OCR qualifications for the first time, this should be left blank. If the candidate has a previous OCR candidate number, you should provide this to avoid additional numbers being generated.

### ULN

---

The unique learner number (ULN) is a personal ten-digit number, which is essential for candidates taking a 14–19 Diploma programme of study. It is used to link the Diploma component results together for Diploma certification. The ULN must accompany a candidate's entry for any qualification which they intend to count towards their Diploma. Where a candidate is not working towards a 14–19 Diploma, a ULN is not mandatory; however, it is good practice to provide a ULN.

Where a ULN is included with an entry, OCR will check the ULN and candidate details with the Learning Records Service (LRS). Candidate details submitted to OCR need to match those held on the LRS exactly. If there are any differences, we will be unable to validate the ULN. This will not prevent your entries from being processed, but OCR will not be able to send Diploma component results to the Diploma Aggregation Service until the ULN and candidate details held by OCR match the records held by the LRS.

For more information, and to generate a ULN, please refer to the Learning Records Service – Learner Registration area: [www.learningrecordsservice.org.uk](http://www.learningrecordsservice.org.uk).

## Order number

---

The order number will be quoted on your centre's invoice. It can be either an official order number or simply a reference, e.g. a tutor's name. It is good practice to provide an order number as this enables invoices to be matched to your entries easily. You can use the same order number for as many entry submissions as you wish and it can be up to 20 characters long.

## 3.5 Information required to make unnamed entries

---

Centres provide the number of full-award entries that you would like for each qualification.

The unnamed entry route is **only** available for Entry Level Essential Skills Wales qualifications. You **cannot** submit unnamed entries for Levels 1–3 Essential Skills Wales qualifications.

## 3.6 Method of submitting entries at Entry Level

---

Candidates for Essential Skills Wales Entry Level qualifications can be entered using **Interchange only**. If you cannot make entries via Interchange or are having problems making entries, please call the Customer Contact Centre.

Interchange is OCR's secure extranet (<https://interchange.ocr.org.uk>). If your centre is new to Interchange and does not currently have an Interchange account, please complete and return the Interchange Agreement, which can be downloaded from the OCR website, to receive your login details. If your centre has an account but you are a new user, or your existing account needs to be updated, please contact your Centre Administrator (usually the exams officer). If you are unsure whether your centre is registered or you cannot locate your Centre Administrator, please email the Customer Admin Support Team at [cast@ocr.org.uk](mailto:cast@ocr.org.uk).

## 3.7 Making entries using Interchange

---

Once you are logged in, hover over 'Entries' in the left-hand menu and click on 'Make entries'. Then click on the category entitled 'Vocationally related qualifications (including Entry Level, Text Processing, Young Enterprise)'. **Do not** use the Key Skills entry form. You then have a choice: you can either upload a spreadsheet or use a web-based entry form.

### Uploading a spreadsheet

---

This is an ideal way of submitting entries if you have large numbers of candidates. Click on 'Upload vocational entries spreadsheet' and then download and save the spreadsheet template. Read the instructions by clicking on the help link and then populate the spreadsheet with the information described in Section 3.4 – either manually or by importing data from your management information system.

When you are ready to make your entries, click on 'Browse' to find your saved spreadsheet, add an order number or reference in the box provided and then click on 'Submit entries spreadsheet'.

Interchange will automatically validate the contents and highlight any errors it finds, allowing you to correct these before submitting the spreadsheet to OCR. This allows you to ensure that all the information is correct before it reaches us, which in turn helps us prevent any unnecessary delays in processing your entries.

## Using the web-based form

---

This method is useful if your candidates already exist on Interchange or you only have a few candidates to enter. This is also the method you use to make unnamed entries.

For **Entry Level** qualifications, you can submit either named or unnamed entries. To submit entries for Entry Level qualifications using the web-based form, click on the relevant web-based entry form link (either named or unnamed, depending on your preferred entry route).

For both routes, you will be asked to select your assessment. You can find your assessment by entering the assessment code, title or part title in the search box. If you leave the search box blank, all the vocational qualifications for which you are approved will appear in the dropdown list. Select the qualification you require and click 'OK'. The process will then vary depending on which entry route you have chosen:

- **Named:** Next, you need to select your candidates. You can do this by choosing individual candidates or whole candidate groups. These groups can be created within Interchange and tailored to include candidates of your choice. To create a bespoke candidate group, log in to Interchange, hover over 'Candidates' in the left hand menu and click on 'Candidate groups'. You should select existing candidates rather than creating new ones; however, if you cannot find a candidate, you can enter their details. When searching for existing candidates, you can restrict the search to show only candidates added during a given time period, from 'today' to 'in the last five years'.

Once you have selected your candidates, click 'Next'. You will then be asked to select your entry options. Select 'full award' for all candidates (unit entries are not valid for Essential Skills Wales qualifications). You can then review your entries before submitting them.

- **Unnamed:** If you have chosen the unnamed web-based form, once you have selected your assessment, you need to enter the number of full award entries you'd like before clicking on 'Add'. Once you have added these entries, you can either continue entering more awards, or click on 'Next' to view the entry confirmation screen. On the entry confirmation screen you can review and edit your entries before submitting them.

Data is transferred between Interchange and our internal systems several times a day.

## 3.8 Viewing entries

---

You can view all entry information within Interchange. To access this area, hover over 'Entries' in the left-hand menu and then click on 'View entries'. Click on the 'Vocationally related qualifications (including Entry Level, Text Processing, Young Enterprise)' heading and then 'Find vocationally related qualification entries'. It is possible to view entry information for a specific candidate group (see Section 3.7 for details of how to set up candidate groups).

You can also check your entry submission history by hovering over 'Entries' and then clicking on 'Entry submission history'. Click on the 'Vocationally related qualifications (including Entry Level, Text Processing, Young Enterprise)' heading and then 'View named/unnamed vocationally related qualifications entry submission history'.

An 'entry status' will be visible for each entry. The status will indicate whether you need to take any action to help us process your entries successfully. Descriptions of each of the status messages (including any action required) are given in the table below.

Status	Description	Action required?
Duplicate file	The spreadsheet could not be processed as it contains duplicate entries	Please call the OCR Customer Contact Centre to resolve this
Empty file	The spreadsheet does not contain any details	Please check and upload the spreadsheet again
OCR handling this	We are currently resolving the outstanding issues with the spreadsheet	None required
Processing complete	The spreadsheet has been successfully uploaded and processed	None required
Processing in progress	We are currently resolving any issues with the spreadsheet	None required
Read and recognised	The spreadsheet has been successfully uploaded and is currently being processed	None required
Read and rejected	The spreadsheet is incorrectly formatted or there was a problem processing the file	Please call the OCR Customer Contact Centre to resolve this
Upload failed	The spreadsheet could not be uploaded	Please check and upload the spreadsheet again

### 3.9 Amending or withdrawing entries

---

If you need to update candidates' personal details, e.g. name or date of birth (see Section 3.4), you can make the changes via Interchange. If you wish to change a candidate's whole name (rather than correct a spelling mistake), you will also need to send proof of the candidate's name change to OCR Operations in Coventry.

**We will not refund any entry fees where the entry has been made in error. It is not possible to withdraw an entry.**

# 4 Making Entries: Levels 1–3

## Key points

- Centres make entries for Levels 1–3 qualifications via Interchange or EDI.
- Entries for Levels 1–3 qualifications must be made via the named route.
- All Essential Skills Wales qualifications are full award, single-unit qualifications.
- It is essential that entry information is correct to ensure that candidates receive their certificates.
- **We do not allow entry withdrawals or transfers for any Essential Skills Wales qualifications.**

## 4.1 What are candidate entries?

---

In order to let OCR know which qualifications your candidates wish to take and before you can claim qualifications for candidates, you need to make entries. Note that the term ‘registration’ has been replaced by the term ‘qualification entry’.

All Essential Skills Wales qualifications are single-unit qualifications. Therefore, you can only make full award entries. For Essential Skills Wales qualifications at Levels 1–3, a full award entry covers all three levels of the qualification:

- OCR Essential Skills Wales in Communication (Levels 1–3)
- OCR Essential Skills Wales in Application of Number (Levels 1–3)
- OCR Essential Skills Wales in Information and Communication Technology (Levels 1–3).

**Important:** Although the entry covers all three levels of the qualification, you can only claim the qualification at one level. Therefore, when you submit your claim (see Section 7), you must **only select the award at the level you wish to claim for**.

### Entry route

---

For Essential Skills Wales qualifications at Levels 1–3, entries **must** be made via the named route. This is where you provide specific candidate information (e.g. name and date of birth) for each qualification (see Section 4.4).

**We cannot accept entries for Levels 1–3 via the unnamed route.**

### Entry types

---

There are two types of qualification entry for Essential Skills Wales qualifications at Levels 1–3.

You can enter for **all three Essential Skills Wales qualifications** at Levels 1–3 using one overarching entry code. This entitles a candidate to:

- Take each of the three Essential Skills Wales qualifications at any level (Levels 1–3)
- Moderation of portfolio evidence
- Certification.

Alternatively, you can enter for **each Essential Skills Wales qualification individually** at Levels 1–3. This entitles a candidate to:

- Take that individual qualification at any level (Levels 1–3)
- Moderation of portfolio evidence
- Certification.

## 4.2 Entry deadlines

---

Candidates can be entered for Essential Skills Wales qualifications on an ongoing basis – there are no specific entry deadlines and entries are processed within 24 to 48 hours. However, for candidates who require their Essential Skills Wales results in time for submission of the results for the Welsh Baccalaureate, please see Section 7.1.

## 4.3 Entry fees

---

Details of the entry fees for all OCR qualifications can be found in the OCR Fees List, which can be downloaded from the OCR website. Invoices will be sent (normally via email) to your accounts contact once you have made your entries.

### Querying a fees invoice

---

To query an invoice, please forward a copy of the invoice and supporting documentation (quoting your centre number and invoice number in all correspondence) to OCR Sales Ordering, Finance Division, OCR, 1 Hills Road, Cambridge, CB1 2EU. Alternatively, you can fax 01223 553048 or email [creditcontrol@cambridgeassessment.org.uk](mailto:creditcontrol@cambridgeassessment.org.uk).

## 4.4 Information required to make named entries

---

### Qualification details

---

All Essential Skills Wales qualifications are single-unit, full award qualifications. Therefore, centres provide entry codes of the **full qualification(s)** only – unit entry codes are not applicable.

Please ensure you select the correct entry code for the qualification you'd like to enter for (see Section 10).

### Candidate personal details

---

Centres provide candidate names and dates of birth. You should 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 delay or confusion when candidates subsequently present their results documentation to employers or tertiary institutions. Also, if candidates apply to OCR for additional or replacement copies of their results, they must be able to provide identification that matches the archived information.

## Centre candidate number

---

An optional field for named qualifications, this number can be allocated by a centre if you wish to add an additional reference; it can be up to four digits long.

## OCR candidate number

---

This is an eight-digit number allocated by OCR which allows candidates' units to be linked together when claiming for multiple units or full awards. For candidates entering for OCR qualifications for the first time, this should be left blank. If the candidate has a previous OCR candidate number, you should provide this to avoid additional numbers being generated.

## ULN

---

The unique learner number (ULN) is a personal ten-digit number, which is essential for candidates taking a 14–19 Diploma programme of study. It is used to link the Diploma component results together for Diploma certification. The ULN must accompany a candidate's entry for any qualification which they intend to count towards their Diploma. Where a candidate is not working towards a 14–19 Diploma, a ULN is not mandatory; however, it is good practice to provide a ULN.

Where a ULN is included with an entry, OCR will check the ULN and candidate details with the Learning Records Service (LRS). Candidate details submitted to OCR need to match those held on the LRS exactly. If there are any differences, we will be unable to validate the ULN. This will not prevent your entries from being processed, but OCR will not be able to send Diploma component results to the Diploma Aggregation Service until the ULN and candidate details held by OCR match the records held by the LRS.

For more information, and to generate a ULN, please refer to the Learning Records Service – Learner Registration area: [www.learningrecordsservice.org.uk](http://www.learningrecordsservice.org.uk).

## Order number

---

The order number will be quoted on your centre's invoice. It can be either an official order number or simply a reference, e.g. a tutor's name. It is good practice to provide an order number as this enables invoices to be matched to your entries easily. You can use the same order number for as many entry submissions as you wish and it can be up to 20 characters long.

## 4.5 Methods of submitting entries at Levels 1–3

---

There are two methods of entering candidates for Essential Skills Wales qualifications at Levels 1–3. If you cannot make entries via either of these methods, please call the Customer Contact Centre.

- **Interchange** – OCR's secure extranet (<https://interchange.ocr.org.uk>). If your centre is new to Interchange and does not currently have an Interchange account, please complete and return the Interchange Agreement, which can be downloaded from the OCR website, to receive your login details. If your centre has an account but you are a new user, or your existing account needs to be updated, please contact your Centre Administrator (usually the exams officer). If you are unsure whether your centre is registered or you cannot locate your Centre Administrator, please email the Customer Admin Support Team at [cast@ocr.org.uk](mailto:cast@ocr.org.uk).
- **EDI (electronic data interchange)** – An electronic method of transmitting entry and results data to and from OCR using a third party carrier (see Section 4.7). We are currently working on the JCQ A2C Project, which will replace the current EDI method with an improved system.

During 2011/12, although centres will continue to create and send entries via EDI, a new system will be introduced which will allow centres to send EDI entries without using a third party carrier. The A2C Project will be in touch before centres need to do anything but, in the meantime, more information can be found on the A2C website at <http://a2c.icq.org.uk>.

## 4.6 Making entries using Interchange

---

Once you are logged in, hover over 'Entries' in the left-hand menu and click on 'Make entries'. Then click on the category entitled 'Vocationally related qualifications (including Entry Level, Text Processing, Young Enterprise)'. **Do not** use the Key Skills entry form. You then have a choice: you can either upload a spreadsheet or use a web-based entry form.

### Uploading a spreadsheet

---

This is an ideal way of submitting entries if you have large numbers of candidates. Click on 'Upload vocational entries spreadsheet' and then download and save the spreadsheet template. Read the instructions by clicking on the help link and then populate the spreadsheet with the information described in Section 4.4 – either manually or by importing data from your management information system.

When you are ready to make your entries, click on 'Browse' to find your saved spreadsheet, add an order number or reference in the box provided and then click on 'Submit entries spreadsheet'.

Interchange will automatically validate the contents and highlight any errors it finds, allowing you to correct these before submitting the spreadsheet to OCR. This allows you to ensure that all the information is correct before it reaches us, which in turn helps us prevent any unnecessary delays in processing your entries.

### Using the web-based form

---

This method is useful if your candidates already exist on Interchange or you only have a few candidates to enter.

For Essential Skills Wales qualifications at Levels 1–3, you can only submit named entries. Click on the 'Use vocational qualifications named web-based entry form' link to upload named entries.

You will be asked to select your assessment. You can find your assessment by entering the assessment code, title or part title in the search box. If you leave the search box blank, all the vocational qualifications for which you are approved will appear in the dropdown list. Select the qualification you require and click 'OK'.

Next, you need to select your candidates. You can do this by choosing individual candidates or whole candidate groups. These groups can be created within Interchange and tailored to include candidates of your choice. To create a bespoke candidate group, log in to Interchange, hover over 'Candidates' in the left hand menu and click on 'Candidate groups'. You should select existing candidates rather than creating new ones; however, if you cannot find a candidate, you can enter their details. When searching for existing candidates, you can restrict the search to show only candidates added during a given time period, from 'today' to 'in the last five years'.

Once you have selected your candidates, click 'Next'. You will then be asked to select your entry options. Select 'full award' for all candidates (unit entries are not valid for Essential Skills Wales qualifications). You can then review your entries before submitting them.

Data is transferred between Interchange and our internal systems several times a day. Entry information can also be viewed on Interchange if entries are made using EDI.

## 4.7 Making EDI entries

---

To make entries for Levels 1–3 Essential Skills Wales qualifications using EDI, electronic entry files need to be created. To do this, you should load OCR's basedata to your system. The basedata is available to download from the OCR website. Basedata is published on 1 September to cover the coming academic year. Revised versions of the basedata will be released during the year if new qualifications are launched.

How you load the basedata will depend on your examination administration software. All electronic entry and amendment files must conform to a common file structure and format. These are defined in the JCQ document, *Formats for the Exchange of Examination Related Data*.

Unlike for general qualifications such as GCSEs and A Levels, please ensure that for Essential Skills Wales you use the awarding body identifier of 72 (OCR Coventry Office). In addition, Essential Skills Wales entries should come under the September series, which may need to be created.

### Who to contact if experiencing problems with EDI entries

---

Each set of basedata includes a help file (.txt suffix) containing a description of the contents of the basedata and other helpful advice. Please consult this help file first if you have any queries.

Technical support for the examination software packages used by centres is not available from OCR; please contact your software suppliers. However, if you have any queries relating to the receipt of entry files, please contact the Customer Contact Centre.

### How to submit your EDI entry file to OCR

---

During 2011/12, a new system will be introduced which will allow centres to send EDI entries without using a third party carrier. More information can be found on the A2C website at <http://a2c.icq.org.uk>.

Until you move to the new system, you will need to be signed up to one of the approved EDI carriers: AVCO, Redstone (formerly DIALnet) or RM. Upon installation of the software, instruction on the use of the application will be issued and should be referred to for guidance.

Contact details:

#### **AVCO Systems Ltd**

Software: Exam Service  
Tel: 01753 213700  
Fax: 01753 213701  
Email: [examsupport@avcosystems.com](mailto:examsupport@avcosystems.com)  
Website: [www.avcosystems.com/Products/ExamCentre/](http://www.avcosystems.com/Products/ExamCentre/)

#### **Redstone Managed Solutions Ltd**

Service: webXchange  
Tel: 0845 200 2000 (Support)  
Fax: 0845 2010 271  
Email: [sales@webxchange.co.uk](mailto:sales@webxchange.co.uk)  
Website: [www.webxchange.co.uk](http://www.webxchange.co.uk)

#### **RM**

Service: RM SecureNet  
Tel: 08453 077 855 (Technical Support)  
Email: [support@rm.com](mailto:support@rm.com)  
Website: [www.rm.com/support](http://www.rm.com/support)

## EDI entry amendments

---

Once you have sent your first EDI entry file, any additional entry files must be sent as **amendment** files. It is possible to send EDI amendment files with:

- Entries for new candidates
- New entries for existing candidates.

However, unlike for general qualifications such as GCSEs and A Levels, you **must not** send changes to candidates' **personal details** or changes to candidates' **existing entries** via EDI (see Section 4.9).

## Acknowledgements of EDI files

---

Once OCR has downloaded your entry or amendment file, you will receive an acknowledgement in your EDI inbox. An acknowledgement does not mean that the file has been successfully loaded to our system as, at this point, no validation checks have been performed.

## 4.8 Viewing entries

---

You can view all entry information within Interchange. To access this area, hover over 'Entries' in the left-hand menu and then click on 'View entries'. Click on the 'Vocationally related qualifications (including Entry Level, Text Processing, Young Enterprise)' heading and then 'Find vocationally related qualification entries'. It is possible to view entry information for a specific candidate group (see Section 4.6 for details of how to set up candidate groups).

You can also check your entry submission history by hovering over 'Entries' and then clicking on 'Entry submission history'. Click on the 'Vocationally related qualifications (including Entry Level, Text Processing, Young Enterprise)' heading and then 'View named vocationally related qualifications entry submission history'.

An 'entry status' will be visible for each entry. The status will indicate whether you need to take any action to help us process your entries successfully. Descriptions of each of the status messages (including any action required) are given in the table below:

Status	Description	Action required?
Duplicate file	The spreadsheet could not be processed as it contains duplicate entries	Please call the OCR Customer Contact Centre to resolve this
Empty file	The spreadsheet does not contain any details	Please check and upload the spreadsheet again
OCR handling this	We are currently resolving the outstanding issues with the spreadsheet	None required
Processing complete	The spreadsheet has been successfully uploaded and processed	None required
Processing in progress	We are currently resolving any issues with the spreadsheet	None required
Read and recognised	The spreadsheet has been successfully uploaded and is currently being processed	None required
Read and rejected	The spreadsheet is incorrectly formatted or there was a problem processing the file	Please call the OCR Customer Contact Centre to resolve this
Upload failed	The spreadsheet could not be uploaded	Please check and upload the spreadsheet again

## 4.9 Amending or withdrawing entries

---

If you need to update candidates' personal details, e.g. name or date of birth (see Section 4.4), you can make the changes via Interchange (but not via EDI). If you wish to change a candidate's whole name (rather than correct a spelling mistake), you will also need to send proof of the candidate's name change to OCR Operations in Coventry.

We will not refund any entry fees where the entry has been made in error. It is not possible to withdraw an entry.

# 5 Access Arrangements and Special Consideration

## 5.1 Access arrangements and reasonable adjustments

---

Access arrangements and reasonable adjustments are made prior to an assessment to enable a candidate with particular requirements to demonstrate attainment. They must not, however, affect the reliability or validity of assessment outcomes; nor must they give the learner an assessment advantage over other learners taking the same or similar assessments.

Applications for alternative assessment arrangements and reasonable adjustments must only be made by the centre and cannot be made by parents or candidates.

Depending on the type and level of the assessment, centres will need to do one of the following:

- Apply to the OCR Special Requirements Team (OCR, 1 Hills Road, Cambridge, CB1 2EU).
- Make the arrangement without consulting OCR and keep a record on file.
- Make the arrangement without consulting OCR; evidence is not required on file.

Specific information and guidance for each qualification can be found in the JCQ *Access Arrangements, Reasonable Adjustments and Special Consideration*.

## 5.2 Special consideration

---

Special consideration is a post-assessment adjustment reflecting temporary injury, illness or other indisposition at the time the assessment was taken. It is important to note that it may not be possible to apply special consideration where:

- An assessment requires the demonstration of a practical competence
- The assessment criteria have not been fully met
- Units/qualifications confer licence to practise.

Where an assessment has been missed, the centre should offer the learner an opportunity to take the assessment at a later time.

A learner will not be eligible for special consideration where:

- Evidence is not supplied by the centre that the learner has been affected at the time of the assessment by a particular condition
- Any part of the assessment is missed
- Preparation for a component is affected by difficulties during the course such as disturbances through building work, lack of proper facilities, changes in or shortages of staff or industrial disputes.

Under the above circumstances, OCR will not award an aegrotat (an award made on the basis of partial achievement to a candidate who is unable, through temporary illness, injury or indisposition, to complete all the usual assessment requirements).

## Obtaining special consideration

---

Applications for special consideration must be submitted to OCR within seven days of the affected assessment having taken place using the appropriate JCQ form (available from the JCQ website). Applications cannot be accepted after results have been issued.

Forms should be sent to the Special Requirements Team, OCR, 1 Hills Road, Cambridge, CB1 2EU.

Further details can be found in the JCQ *Access Arrangements, Reasonable Adjustments and Special Consideration*.

# 6 Moderation and Claims: Entry Level

This section applies to **Entry Level** Essential Skills Wales qualifications (see Section 7 for information on **Levels 1–3** qualifications).

These qualifications are on-demand, portfolio-based qualifications, which can take place at any time at a centre's request. OCR-set tasks are assessed in the centre and the candidates' work is then sent by post to be moderated by an OCR examiner-moderator.

## 6.1 Assessment

---

Once you have made your entries, you can download the OCR-set tasks from OCR Interchange.

Further information about the assessment for each qualification can be found in the centre handbooks, which are available on the OCR website.

## 6.2 Certification claims

---

Once the assessment is complete, you need to make a claim in order to obtain the certification. There are two steps to the claim process:

- Step one – submit an online claim (see Section 6.3).
- Step two – submit candidate work by post to the OCR examiner-moderator (see Section 6.4).

Centre-assessed work for Entry Level Essential Skills Wales qualifications is submitted to the OCR examiner-moderator, by post, for moderation. This allows OCR to sample the work, in order to ensure that the required standards are being met.

There are no specific deadlines for making certification claims; however, it is important only to make claims when you are confident that the requirements for the unit have been met. Under no circumstances must claims be submitted unless, in the final opinion of the centre, the work meets the requirements for certification.

Centres must clarify any assessment queries with OCR before making claims for centre-assessed work. **The moderation process must not be used as a means of obtaining a second opinion on assessment decisions.**

You should also submit the claim **at least two weeks** before you expect the examiner-moderator to review your candidates' work. (Certificates will be issued 35 days after submitting your candidate work to the examiner-moderator.)

## 6.3 Making an online claim

---

Certification claims are made via Interchange. You can only create a claim if entries have previously been made for the qualification (see Section 3). For further help and support in making online claims, please see our step-by-step guides, which are available on the OCR website.

## Starting a claim

---

To get started, log in to Interchange, hover over 'Certification claims' in the left-hand menu and then click on 'Make claim' under the '**Functional Skills claims**' heading. You will then be able to see a list of the qualifications for which you have made entries and the status of any claims being made.

If you cannot see this area, check with your Interchange Centre Administrator that you have the correct role – you need either the 'Centre Administrator' or 'Tutor/Teacher' role.

You can only start a new claim for a particular qualification if all previous claims for that qualification have been submitted. To start a claim, choose the qualification you want to make a claim for from the list and click 'Create' next to a qualification title. Once a claim has been started for a qualification, this will change to 'Edit'. A list of all candidates entered via the named route for this qualification will be displayed.

## Setting up your assessment personnel

---

The first time you create a claim for each qualification, you will be prompted to set up your **centre assessors**. These are the people within **your centre** who will be marking the assessment, **not** the OCR assessor. (Once your first centre assessor is set up, you won't be prompted in this way again.) Type the centre assessor's full name and initials in the boxes provided. Up to four initials will be accepted and these should be unique within your centre.

## Adding candidates

---

You will see a list of all eligible candidates once you click to create a claim. When you click on 'Create new' next to each candidate's name, you will see the qualification the candidate is entered for.

You can add either individual candidates or whole candidate groups to a claim. Candidate groups can be tailored to include candidates of your choice. To create a bespoke candidate group, log in to Interchange, hover over 'Candidates' in the left hand menu and click on 'Candidate groups'.

## Adding units

---

Entry Level Essential Skills Wales qualifications are single-unit qualifications. Therefore, it is only necessary to add one unit, at the level you wish to claim for. It is not possible to add additional units to your claim. The claim will show you all the units that you have entered for. To add a unit, select the centre assessor from the dropdown list and click in the 'Claiming' column.

## Editing the claim

---

You can build up claims over a period of time. As long as you do not submit the claim, you can keep adding to or editing an existing claim by clicking 'Edit' next to the qualification title or the candidate name.

**Remember to save your additions before leaving each page.** If you cancel or do not save a specific candidate claim, all the details you have entered will be removed – this includes candidate details if this is a new claim for a new candidate for an unnamed entry.

You may wish to **remove a candidate/qualification from the claim**. Click on the candidate's name to open the claim for that candidate. Click on the radio button in the 'Not claiming' column to remove the candidate/qualification from the claim and click on 'Save claim'.

## Submitting the claim

---

When you have included all the relevant candidate achievements, you can submit a claim from the 'View claim' option on the claim.

It is good practice to enter the data for each qualification, save the claim (without submitting) and then print it so that it can be checked and amended before submitting. Before you submit the claim, you can also export it as a CSV file for your records.

Please also check that the email address shown for you is correct. You can edit it here but it will not change your Interchange profile. If your address has permanently changed, ask your Centre Administrator to update your profile.

For Entry Level only, you will also see a declaration and tick box on this page. This requires you to confirm that you have printed a copy of the claim to be included with the work submitted for moderation (see Section 6.4). If you do not tick this box, an error message will appear and you will not be allowed to submit the claim. Print the claim by clicking on the 'Print page' link on the right-hand side of the page before ticking the declaration box and clicking on 'Submit to assessor'.

**It is important that you check your claim carefully before you submit, as you will not be able to amend any of the contents once it has been submitted.** When you click on 'Submit to assessor', a warning message will appear, prompting you to confirm that you want to submit the claim.

## Checking the progress of a claim

---

You can see the claim you are making at each stage of the process as well as after certification. To view all submitted claims, hover over 'Certification claims' in the left-hand menu and then click on 'View claim history'. Your most recent claim should be at the top of the list. You can check the whole claim or export the claim for your own records. The claim will stay available on Interchange for 12 months. At each stage of the process, the claim will show a different status:

Status	Comments
Submitted	The claim has been submitted to your assessor. It can no longer be edited.
Finalised	The claim has been revised/finalised by the OCR assessor. This will only appear for a short time. However, if all units within a claim have been withdrawn, the claim will remain in this stage.
Processed	The claim has been sent to OCR and results should appear on Interchange in approximately 48 hours.
Withdrawn	The OCR assessor has withdrawn the whole claim. If the assessor withdraws the claim, and the candidate wishes to achieve the qualification, when the candidate is ready, you simply need to make a new claim; there is no need to make a new entry.

## 6.4 Submitting candidate work following an online claim

---

Within 24 hours of submitting your claim online, you need to send all of the candidate work to your examiner-moderator.

We will no longer be sending qualification-specific letters containing your examiner-moderator details. Each time you wish to send candidate work, please check Interchange, where your up-to-date examiner-moderator details are held. On Interchange, hover over 'Centre information' and then click on 'View examiner-moderators' in the left-hand menu. Then just enter the qualification information into the relevant boxes and a list of the examiner-moderators for your

qualifications will be produced. Click on the 'magnifying glass' for each qualification to view the full examiner-moderator address details.

When sending your candidate work, you need to send a printout of the claim (see 'Submitting the claim' above for details).

Please make sure that the work for each claim is packaged separately; do not submit work for more than one claim in the same package. We recommend that centres use a secure form of delivery to send the candidates' work to their allocated examiner-moderator. We cannot take responsibility for any work lost in transit.

**We are unable to return candidate work to centres, so you may wish to take a copy before submitting evidence.**

## 6.5 Processing an online claim

---

Your OCR examiner-moderator will moderate the work and confirm or edit the claim as appropriate. They will then send it to OCR to process. You will get an email to say the claim has been sent to OCR and you can view the actual claims sent on Interchange by hovering over 'Certification claims' in the left-hand menu and clicking on 'View claim history' under the 'Functional Skills claims' heading (look for Finalised/Processed statuses in the status column).

## 6.6 Feedback reports (e-NQF6)

---

Once moderation is complete, the examiner-moderator will produce a centre feedback report for each batch of work submitted. This form is a multi-purpose document which is used to:

- Record the examiner-moderator's adjustments to the centre's assessment or administration
- Provide feedback to the centre on possible issues with the centre's assessment or administration.

To view the report, log in to Interchange, hover over 'Centre information' and then click on 'Examiner-moderator reports'.

If the examiner-moderator finds that the standard of centre assessment is not consistent enough to ensure that sample moderation will be successful, the claim will be withdrawn.

# 7 Moderation and Claims: Levels 1–3

This section applies to **Levels 1–3 Essential Skills Wales qualifications**. (For Entry Level qualifications, see Section 6.)

Essential Skills Wales qualifications at Levels 1–3 are **centre assessed**. This means that candidates' work is assessed and standardised by centre staff and then externally moderated by an OCR visiting moderator. Assessment and moderation can take place at any time. External moderation ensures that a centre's internal assessment of candidate work is reliable, fair and consistent with required standards (as specified in the *Essential Skills Wales amplification and guidance* documents, which can be downloaded from the DfES website).

## 7.1 Scheduling the moderator visits

---

Once you have made your qualification entries (see Section 4), we will allocate a visiting moderator to your centre. The OCR visiting moderator will contact you to provisionally agree mutually convenient dates for their visit. Approved centres are entitled to one free visit per academic year, but centres may request additional moderation visits. Any additional visits will be charged at the standard visit fee, as described in the OCR Fees List.

If candidates require their Essential Skills Wales results in time for submission of the results for the Welsh Baccalaureate, it is recommended that centres with **accredited centre status (ACS)** (see Section 7.7) plan and request the moderation visit before the end of May. For centres without accredited centre status (also known as non-ACS centres) the moderation visit should be planned and requested no later than mid-May.

## 7.2 Evidence

---

When compiling the Essential Skills Wales portfolio, candidates must generate evidence which must be assessed against the Essential Skills Wales standards and evidence requirements. The evidence can be:

- Embedded in academic or vocational work
- Generated from activities outside the candidate's main curriculum.

All portfolio evidence must:

- Be fully completed
- Be assessed by the centre and meet the evidence requirements and be in line with the current regulatory authorities' guidance
- Be included in the centre's internal standardisation process to ensure the assessment decisions are consistently accurate.

### Evidence used from other qualifications

---

Where a candidate's work has been initially assessed against other specific NVQ, AVCE, GCSE, AS or A Level specifications, it must be assessed separately for Essential Skills Wales and appropriate feedback should be provided to the candidate. Assessors must provide a clear record of this assessment and feedback using standard assessment recording documents.

## Recording documents

---

OCR has produced recording documents for each Essential Skills Wales qualification to support assessors and candidates in recording assessment and tracking evidence. These can be downloaded from the OCR website.

## 7.3 Assessment

---

Assessors are required to have appropriate specialist expertise and knowledge in the Essential Skills Wales qualifications they are assessing to enable them to make accurate assessment decisions in line with the national standards. They do not need to hold an assessor qualification.

## 7.4 Internal moderation

---

Internal moderation is the process that checks assessment decisions are consistently accurate within a centre and must be completed before portfolio achievements can be claimed. Internal moderators must have a full understanding of the national standards and OCR's systems and documentation, although they do not have to hold an internal moderator qualification.

Where internal moderators also act as assessors, the centre must have at least two internal moderators and they must not moderate any evidence that they have assessed.

### Choosing an assessment sample

---

It is not normally necessary to check every single assessment decision, so the internal moderator should select a sample. Sampling should take place well before the moderation visit so that assessors and candidates have sufficient time to resolve any problems.

The minimum requirement when choosing the sample is to include:

- All assessors in the internal moderator's team (each assessor must be sampled once in a 12-month period)
- All Essential Skills Wales qualifications assessed by each assessor
- Welsh medium and dual language (English and Welsh) portfolios, where applicable.

When choosing the sample, you should consider other factors that influence assessment. For example:

- The experience of the assessors
- The number of portfolios assessed by each assessor
- The language used to present the portfolio evidence, i.e. English, Welsh medium, dual language (English and Welsh)
- The number of different candidate cohorts allocated to each assessor
- The number of different assignment briefs/tasks used by the assessor
- The centre's experience in delivering the different Essential Skills Wales qualifications
- Any problems that may have already been identified, e.g. in interpreting the Essential Skills Wales standards.

## Recording assessment decisions

---

The feedback to the assessor and any actions must be recorded. We have created an Essential Skills Wales internal moderation sampling record and an Essential Skills Wales internal moderator's report on assessment decisions to help internal moderators record their internal moderation sample and monitor assessment practice. These can be downloaded from the relevant qualifications pages of the OCR website. Since centres must use standard tracking and assessment recording documents for accredited centre status, we recommend that these documents are used.

Where action for the assessor is identified, the internal moderator is responsible for checking that the actions have been completed before the moderation visit. Confirmation that the actions have been completed must be recorded and dated.

All centres should keep records of assessment decisions and outcomes of internal moderation for at least two years after certification has been claimed.

Centres should also keep a representative sample of candidates' work to ensure that assessment decisions remain consistent over time (this can be a photocopy).

## 7.5 Certification claims

---

When you are ready to submit candidates' work for external moderation by OCR, you can make a claim for each candidate; this must be done via Interchange. Additional information on making online claims, including a step-by-step guide, is provided on the OCR website.

There are no specific deadlines for making certification claims; however, it is important only to make claims when you are confident that the requirements for the unit have been met. Under no circumstances must claims be submitted unless, in the final opinion of the centre, the work meets the requirements for certification.

To allow visiting moderators time to select a sample of candidates' work for moderation, centres must ensure that the claim is made **at least two weeks** before the scheduled moderation visit.

**You must only submit a claim when you are ready for the claim to be moderated and processed.** If you are not ready to make claims, contact your visiting moderator to discuss the possibility of organising a visit for advice and guidance ahead of formal moderation (see Section 7.1). The fee for the advisory visit can be found in the OCR Fees List, which is available on the OCR website.

Centres must clarify any assessment queries with OCR before making claims for centre-assessed work. **The moderation process must not be used as a means of obtaining a second opinion on assessment decisions.**

## 7.6 Making an online claim

---

To make a claim for Essential Skills Wales qualifications at **Levels 1–3**, the process is the same as for the **Entry Level** qualifications; you need to make a claim via Interchange. Please follow the instructions in Section 6.3.

Note: When making an online claim for Levels 1–3 qualifications, once you click to create a claim, you will see a list of all eligible candidates. When you click on 'Create new' next to each candidate's name, you will see the award the candidate is entered for, at Levels 1–3. **Only select the award at the level you wish to claim for.**

## Selecting a sample

---

**Non-ACS centres** – The OCR moderator will select a sample after you have submitted the claim. Centres will be notified of the selected sample via email and further details of the sample can be found on Interchange.

**ACS centres** – Every three months, the OCR moderator will contact the ACS officer to let them know which portfolios must be retained. Once the OCR moderator has confirmed which portfolios are to be retained, the centre can return the remaining portfolios to candidates. For the three-month period immediately prior to the visit, the centre must retain all portfolios for which claims have been made during this three-month period.

## 7.7 Accredited centre status (ACS)

---

Accredited centre status (ACS) enables centres which have demonstrated consistently accurate assessment standards to claim Essential Skills Wales portfolio achievements directly. Key Skills ACS is not transferable to Essential Skills Wales qualifications.

### Achieving accredited centre status

---

To be eligible for ACS, your centre's two most recent moderation visits must have been successful (i.e. no portfolios should have been withdrawn by the centre or rejected by the OCR moderator). At the second visit, the OCR moderator confirms that your centre is eligible for ACS and records this on the centre report. OCR will then send you two copies of the ACS offer letter which outlines OCR's conditions of ACS.

You should nominate an **ACS officer**, who will be responsible for managing the internal moderation of OCR's Essential Skills Wales qualifications effectively. The ACS officer will therefore normally hold a senior position, e.g. Senior Manager, Essential Skills Wales Co-ordinator or Head of Centre. Whilst the ACS officer is responsible for managing the internal moderation process, this does not mean that they are expected to authorise each individual portfolio achievement claim.

The ACS officer should sign and return one copy of the offer letter to OCR. We will then email the ACS officer to confirm your centre's ACS status.

## 7.8 Preparing for the moderation visit (non-ACS centres)

---

You must ensure that the following are available for the OCR moderator:

- **A quiet base room** – This should include facilities for:
  - Accessing Interchange
  - Moderating electronic portfolios (if applicable)
  - Replaying audio and/or video recordings (if applicable).
- **The moderation sample**
- **All centre assessment and internal moderation records** – These should be separately available. Copies of assignments/activities/tasks set by the centre.
- **Evidence that shows how Essential Skills Wales information is disseminated** – Up-to-date information provided by OCR and the regulatory authorities should be distributed to all centre staff involved in the assessment and internal moderation.

## 7.9 The moderation visit (non-ACS centres)

---

The OCR moderator will not need to see any candidates during the visit and centre staff does not need to be present until the OCR moderator is ready to discuss the outcomes (see below).

The OCR moderator will assess the portfolio evidence in the sample and judge whether the evidence meets the agreed Essential Skills Wales standards.

If it is deemed to be unacceptable, this could be for one or more of the following reasons:

- Work does not meet the required standard in line with the current DfES guidance.
- Important aspects of the evidence requirements are being misinterpreted.
- Assessment in the sample is inconsistent.
- Some evidence is missing or has not been cross-referenced to the evidence requirements, so cannot be found by the OCR moderator.

If portfolio evidence has been withdrawn, candidates may be resubmitted for moderation when the OCR moderator's actions have been carried out. This moderation will take place at a separate visit.

## 7.10 Outcomes of the visit (non-ACS centres)

---

At the end of each moderation visit, the OCR moderator will discuss the outcomes of their moderation with centre staff and agree any action required by the centre. The outcome will apply to all candidates entered for moderation on that occasion for that Essential Skills Wales qualification by the centre – not just the candidates sampled. A centre report will be completed and signed by the OCR visiting moderator and the centre representative and a copy left with the centre. This report is designed to be supportive and will include comments on the accuracy of the centre's assessment, advice to the centre and action to be taken by the centre.

### Successful outcomes

---

Where the outcome of the moderation for each Essential Skills Wales qualification is successful, the OCR moderator will review and confirm the claim(s) on Interchange.

If this visit is the second consecutive successful visit, the OCR moderator will also confirm the centre's eligibility for accredited centre status on the front of the centre report.

### Unsuccessful outcomes

---

Where the outcome of the moderation process for any Essential Skill Wales skill area is not successful or where the centre has withdrawn portfolios, the OCR moderator will provide action points and review and withdraw the claim(s) on Interchange. This will ensure that any affected Essential Skills Wales skill is not claimed. The certification record summary sheet and certification record forms will be left in the centre until the next moderation visit.

If a centre wishes to make an enquiry about results following a moderation visit (see Section 9.2), it must retain all those portfolios sampled at the moderation visit.

## 7.11 The moderation visit (ACS centres)

---

Once centres have been awarded accredited centre status, they must have a visit **within six months**. If this visit is successful, the ACS will be confirmed until the date of the next visit. This visit must then take place within 12 months or ACS approval will lapse.

Centres with ACS must ensure that the following are available:

- **A sample of candidates' portfolios** for which portfolio claims have been made since the last visit. Every three months, the OCR moderator will contact the ACS officer to let them know which portfolios must be retained. Once the OCR moderator has confirmed which portfolios are to be retained, the centre can return the remaining portfolios to candidates. For the three-month period immediately prior to the visit, the centre must retain all portfolios for which claims have been made in this three-month period. During the ACS visit, the OCR moderator will reassess the sample and judge whether the evidence meets the Essential Skills Wales standards. Following the ACS visit, the centre can return all portfolios to candidates.
- **Internal moderation process** and records of the centre's internal moderation activities.
- **Evidence of the centre's progress** in completing the action points identified at the last visit.

### Outcomes of the visit and feedback

---

On the basis of the visit, the OCR moderator will confirm whether the centre can continue to have accredited centre status. The OCR moderator will complete a written report which will give feedback on both the assessment decisions and the internal moderation process and activities within the centre. The OCR moderator will discuss the outcomes with the centre's ACS officer and agree any action required by the centre. The action points must be completed by the date of the next visit. The centre report will be signed by the OCR moderator and the centre's ACS officer.

### Suspending ACS

---

The OCR moderator will suspend ACS for one or more of the following reasons:

- Work does not meet the required standard in line with the current DfES guidance.
- Important aspects of the evidence requirements are being misinterpreted.
- Assessment in the sample is inconsistent.
- Some evidence is missing or has not been cross-referenced to the evidence requirements and cannot be found by the OCR moderator.
- Action points identified at the previous visit have not been addressed.

Please note that, if ACS is suspended, it will be suspended for all Essential Skills Wales qualifications and centres will not be permitted to make portfolio achievement claims directly.

### Reinstating ACS

---

Once the centre is confident that all the action points within the centre report have been addressed, they should arrange a free ACS 'reinstatement visit'. At this visit, the OCR moderator will check that action points have been addressed. If this is successful, the OCR moderator will confirm that ACS is reinstated. If the OCR moderator does not confirm reinstatement, they will provide further action points for the centre. The reinstatement visit is free of charge; however, if the OCR moderator does not confirm reinstatement, the centre will be charged for subsequent visit(s).

# 8 Certification

## 8.1 Results

---

Once moderation has taken place and the OCR visiting moderator/examiner-moderator has confirmed your candidates' claims, we will issue electronic results and a hard copy awarding report.

Results for all levels (Entry and Levels 1–3) will appear on **Interchange** as and when results are processed. Interchange will always show the most up-to-date results information.

Results are **not** issued via EDI for Essential Skills Wales qualifications.

## 8.2 Certificates

---

We aim to issue full award certificates for successful candidates within six working days of receipt of a confirmed claim. These must be checked carefully as soon as they are issued since a fee is charged for replacement certificates more than six months after the date of issue.

### What appears on the certificate?

---

Certificates are issued in the candidate's name at the time the award is made. Centres are advised to enter candidates in their legal name which can be supported by appropriate documentation, e.g. birth certificate. Replacements will not be provided to accommodate a subsequent change of name (including a change by deed poll).

A Qualification Reference Number is printed where the specification has been accredited by the regulators of external qualifications in England, Wales and Northern Ireland.

### Certificate conditions of issue

---

A certificate is and remains the property of OCR and is issued on the following conditions:

- A certificate must be returned upon OCR's request. OCR reserves the right to replace certificates if necessary.
- It is the responsibility of the centre to forward certificates to its candidates. Certificates may be handed to the candidates, and centres should obtain proof of identity and signatures confirming receipt. Alternatively, certificates may be posted to candidates by a traceable method, e.g. **Recorded Signed For™**, at the centre's discretion and responsibility.
- Any alteration or defacement of a certificate renders it invalid and may result in its withdrawal.
- Centres must retain all unclaimed certificates under secure conditions for a minimum of 12 months from the date of issue.
- Centres can destroy any unclaimed certificates after retaining them for a minimum of 12 months. They must be destroyed confidentially. Centres that are unable to do this may return them to OCR Operations, Coventry. A record of certificates that have been destroyed should be retained for four years from their date of destruction.

## 8.3 Replacement certificates

---

For vocational qualifications, OCR can provide a replacement certificate in the cases described below.

### Lost certificates

---

Centres should formally make the request in writing on centre-headed paper. Candidates should use the application form which can be downloaded from the OCR website. If the request is made within six months of the certificate issue date, replacements will be provided free of charge. A fee is charged for replacement certificates more than six months after the date of issue. Please see the OCR Fees List. Applications and letters should be sent to the Archives Team in Coventry.

### Damaged certificates

---

Centres or candidates may apply for replacements for damaged certificates. The request must be made in writing to the Archives Team in Coventry and accompanied by the original certificate. If the request is made within six months of the certificate issue date, replacements will be provided free of charge. A fee is charged for replacement certificates more than six months after the date of issue. Please see the OCR Fees List.

### Requests for name corrections

---

Although it is not possible to change names on certificates (see Section 8.1), requests to correct spelling mistakes can be made by the centre or the candidate in writing. The request must be made in writing to the Archives Team in Coventry and accompanied by the original certificate, highlighting the change required. If the request is made within six months of the certificate issue date, replacements will be provided free of charge. A fee is charged for replacement certificates more than six months after the date of issue. Please see the OCR Fees List.

# 9 Post-Results Services

This section applies to all the qualifications within this guide.

## 9.1 Missing or incomplete results

---

If a candidate's work was submitted, but no certificate is received or the certificate accredits different units from those expected, you should check the centre feedback report (either hard copy or via Interchange). If there is no reference to the amendment of awards, you should check the centre copy of the candidate submission sheet (if applicable) or Interchange to see if the correct units have been indicated for the candidate(s) concerned. If the incorrect units are shown, please contact the OCR Customer Contact Centre.

## 9.2 Enquiries about results

---

### Available services

---

The following enquiry about results services are available:

- **Clerical re-check** – This is a re-check of all clerical procedures leading to the issue of a result. This service will include the following checks:
  - That all parts of the script have been marked
  - The totalling of marks
  - The recording of marks
  - The application of any adjustments
  - The application of any grade thresholds
  - The application of any special consideration, where applicable – please indicate on your application if special consideration was requested at the time of the examination.
- **Post-results review without report (for an individual candidate)**– This is a review of the original marking to ensure that the agreed mark scheme has been applied correctly. The service is available for both on-demand and timetabled specifications. This service will include:
  - The clerical re-checks detailed above
  - A review of marking as described above.
- **Post-results review with report (for an individual candidate)** – This is a review of the original marking to ensure that the agreed mark scheme has been applied correctly. The service is available for both on-demand and timetabled specifications. This service will include:
  - The clerical re-checks detailed above
  - A review of marking as described above
  - A report by the Chief Examiner – This will be an individual report detailing the candidate's performance.

- **Post-results review with report (for a group of candidates)** – This is a review of the original marking to ensure that the agreed mark scheme has been applied correctly, for a group of candidates (no more than 15 candidates per examination). The service is available for both on-demand and timetabled specifications. This service will include:
  - The clerical re-checks detailed above
  - A review of marking as described above
  - A report by the Chief Examiner – This will be a group report, which will not refer to specific candidates but will report on the group as a whole.

If you wish to query the outcome of a moderated or verified qualification, please contact us to discuss the service you require by emailing [vq\\_result\\_enquiries@ocr.org.uk](mailto:vq_result_enquiries@ocr.org.uk).

## Submitting enquiries about results

---

All enquiries about results must be submitted within three months of the receipt of results.

Before submitting a request, it is good practice for centres to obtain consent for clerical checks and post-results reviews of marking since, with these services, candidates' marks and subject grades may be lowered.

Enquiries about results should be submitted using the application form that can be downloaded from the OCR website and emailed to [vq\\_result\\_enquiries@ocr.org.uk](mailto:vq_result_enquiries@ocr.org.uk).

Application forms must be emailed by the Head of Centre, an authorised member of staff or a private candidate (with proof of ID). OCR will not accept applications submitted by any other individuals, e.g. candidates entered through a centre or parents. An emailed application form will be accepted by OCR as confirmation that the centre agrees to pay any fees applicable should the enquiry be unsuccessful.

## Acknowledgements and outcomes

---

All applications will be acknowledged within seven working days.

The outcome of each enquiry will be confirmed in writing. You should expect to receive an outcome as follows:

- **Clerical re-check** – Within 20 days of OCR receiving the request.
- **Post-results review** – Within four to six weeks of OCR receiving the request.

Where a grade changes and a certificate has already been issued, a replacement will be issued showing the revised grade once the centre returns the original to OCR.

## Fees

---

There is no charge for a clerical re-check.

The fees associated with the post-results review services are provided in the OCR Fees List. Centres will only be charged if a subject grade does not change. Where the subject grade changes as a consequence of the enquiry, no fee will be charged.

Centres can either request to be invoiced following the outcome of the enquiry or send a cheque with the application form. If the enquiry is successful, the centre will not be invoiced for the fee. If a cheque was sent with the enquiry, this will be returned if the enquiry is successful.

## Appeals

---

If you still have concerns following the outcome of an enquiry about results, you may appeal against it. This must be done in writing, within 14 calendar days of receipt of the outcome, and addressed to the Appeals Unit, OCR, 1 Hills Road, Cambridge, CB1 2EU. More information about appeals can be found in the OCR *Appeals Processes in Vocational Qualifications – A Guide for Centres*.

# 10 Entry Codes

## 10.1 Application of Number

Entry code	Qualification title	Qualification number
<b>Entry Level</b>		
04091	OCR Entry Level Essential Skills Wales in Application of Number (Entry 1)	600/1126/9
04092	OCR Entry Level Essential Skills Wales in Application of Number (Entry 2)	600/1127/0
04093	OCR Entry Level Essential Skills Wales in Application of Number (Entry 3)	600/1128/2
<b>Level 1</b>		
04491	OCR Level 1 Essential Skills Wales in Application of Number	500/7967/0
<b>Level 2</b>		
04491	OCR Level 2 Essential Skills Wales in Application of Number	500/7968/2
<b>Level 3</b>		
04491	OCR Level 3 Essential Skills Wales in Application of Number	500/7969/4
<b>04490</b>	<b>Access to all three Essential Skills Wales qualifications at Levels 1–3 at a reduced fee</b>	<b>n/a</b>
OCR offers centres in Wales a reduced fee for Levels 1–3 Essential Skills Wales qualifications. To access this reduced fee, learners must have been entered for Essential Skills Wales through entry code 04490.		
<b>04499</b>	<b>Access to Wider Key Skills at a reduced fee</b>	<b>n/a</b>
OCR also offers centres in Wales a reduced fee for the Wider Key Skills (Problem Solving, Working with Others and Improving Own Learning and Performance). To access Wider Key Skills at a reduced fee (04499), learners must have been entered for Essential Skills Wales through entry code 04490.		

## 10.2 Communication

Entry code	Qualification title	Qualification number
<b>Entry Level</b>		
04094	OCR Entry Level Essential Skills Wales in Communication (Entry 1)	600/1129/4
04095	OCR Entry Level Essential Skills Wales in Communication (Entry 2)	600/1130/0
04096	OCR Entry Level Essential Skills Wales in Communication (Entry 3)	600/1131/2
<b>Level 1</b>		
04492	OCR Level 1 Essential Skills Wales in Communication	500/7962/1
<b>Level 2</b>		
04492	OCR Level 2 Essential Skills Wales in Communication	500/7963/3
<b>Level 3</b>		
04492	OCR Level 3 Essential Skills Wales in Communication	500/7970/0
<b>04490</b>	<b>Access to all three Essential Skills Wales qualifications at Levels 1–3 at a reduced fee</b>	<b>n/a</b>
OCR offers centres in Wales a reduced fee for Levels 1–3 Essential Skills Wales qualifications. To access this reduced fee, learners must have been entered for Essential Skills Wales through entry code 04490.		
<b>04499</b>	<b>Access to Wider Key Skills at a reduced fee</b>	<b>n/a</b>
OCR also offers centres in Wales a reduced fee for the Wider Key Skills (Problem Solving, Working with Others and Improving Own Learning and Performance). To access Wider Key Skills at a reduced fee (04499), learners must have been entered for Essential Skills Wales through entry code 04490.		

## 10.3 Information and Communication Technology

Entry code	Qualification title	Qualification number
<b>Entry Level</b>		
04448	OCR Entry Level Essential Skills Wales in Information and Communication Technology (Entry 1)	600/1132/4
04449	OCR Entry Level Essential Skills Wales in Information and Communication Technology (Entry 2)	600/1153/1
04450	OCR Entry Level Essential Skills Wales in Information and Communication Technology (Entry 3)	600/1133/6
<b>Level 1</b>		
04493	OCR Level 1 Essential Skills Wales in Information and Communication Technology	500/7964/5
<b>Level 2</b>		
04493	OCR Level 2 Essential Skills Wales in Information and Communication Technology	500/7965/7
<b>Level 3</b>		
04493	OCR Level 3 Essential Skills Wales in Information and Communication Technology	500/7966/9
<b>04490</b>	<b>Access to all three Essential Skills Wales qualifications at Levels 1–3 at a reduced fee</b>	<b>n/a</b>
OCR offers centres in Wales a reduced fee for Levels 1–3 Essential Skills Wales qualifications. To access this reduced fee, learners must have been entered for Essential Skills Wales through entry code 04490.		
<b>04499</b>	<b>Access to Wider Key Skills at a reduced fee</b>	<b>n/a</b>
OCR also offers centres in Wales a reduced fee for the Wider Key Skills (Problem Solving, Working with Others and Improving Own Learning and Performance). To access Wider Key Skills at a reduced fee (04499), learners must have been entered for Essential Skills Wales through entry code 04490.		

# 11 Reference

## 11.1 Glossary

ACS (accredited centre status)	Accredited centre status (ACS) enables centres which have demonstrated consistently accurate assessment standards to claim Essential Skills Wales portfolio achievements directly.
Centre approval	To offer OCR qualifications, you must first gain approval from OCR. Approval needs to be obtained for each suite of qualifications and you will only be able to enter candidates for the qualifications that you are approved to offer.
Centre handbook	Provides essential information for tutors/teachers (for example, qualification specifications and assessment requirements). Copies can be downloaded from the OCR website.
Datasheet	Summarises useful technical information relating to the qualification; for example, its structure, unit titles and assessment requirements. Datasheets are written primarily for tutors/teachers but some administrative staff may find these useful.
Enquiry about results	A post-results service available from OCR.
Examiner-moderator	An OCR examiner-moderator will review the centre assessment of candidates' work in accordance with the agreed assessment criteria.
Exams officer	The person appointed by the Head of Centre to act on behalf of the centre to administer examinations. OCR corresponds formally with the exams officer.
Head of Centre	This is the most senior officer in the organisation, e.g. the Headteacher or Principal of a school/college. The Head of Centre accepts full responsibility for the correct administration and conduct of OCR examinations.
Interchange	OCR's secure extranet, which allows centres to make entries and view results.
JCQ (Joint Council for Qualifications)	A forum of examining boards in England, Wales and Northern Ireland, which seeks to create common standards, regulations and guidance.
Named entry route	Where you provide specific candidate information (e.g. name and date of birth) for each qualification. All entries for Essential Skills Wales can be made via this route.
ULN (unique learner number)	A personal ten-digit number, which is required by candidates taking a 14–19 Diploma programme of study.
Unnamed entry route	Where you order a number of units or qualifications in bulk, without specifying who will be taking them. Unnamed entries can only be submitted for Entry Level qualifications.
Visiting moderator	An OCR visiting moderator visits centres to carry out the moderation of certain forms of work which are centre assessed. The visiting moderator will review the centre assessment of candidates' work in accordance with the agreed assessment criteria.

## 11.2 Documents referred to in the text

---

The following documents are referred to within this *Admin Guide*. Additional copies can be downloaded from the relevant organisation's website.

DfES *Essential Skills Wales amplification and guidance*

JCQ *Access Arrangements, Reasonable Adjustments and Special Consideration*

JCQ *Formats for the Exchange of Examination Related Data*

OCR *Appeals Processes in Vocational Qualifications – A Guide for Centres*.

OCR Fees List

## 11.3 Useful websites

---

DfES (Department for Education and Skills) – <http://new.wales.gov.uk>

EOA (Examination Officers' Association) – [www.examofficers.org.uk](http://www.examofficers.org.uk)

JCQ (Joint Council for Qualifications) – [www.jcq.org.uk](http://www.jcq.org.uk)

LRS (Learning Records Service) – [www.learningrecordsservice.org.uk](http://www.learningrecordsservice.org.uk)

National Apprenticeship Service – [www.apprenticeships.org.uk](http://www.apprenticeships.org.uk)

OCR (Oxford Cambridge and RSA Examinations) – [www.ocr.org.uk](http://www.ocr.org.uk)

OCR Interchange – <https://interchange.ocr.org.uk>

Ofqual (Office of Qualifications and Examinations Regulation) – [www.ofqual.gov.uk](http://www.ofqual.gov.uk)

Ofqual Register of Regulated Qualifications – [www.accreditedqualifications.org.uk](http://www.accreditedqualifications.org.uk)

---

**www.ocr.org.uk**  
OCR customer contact centre

**Vocational qualifications**

Telephone 024 76 851509

Facsimile 024 76 851633

Email [vocational.qualifications@ocr.org.uk](mailto:vocational.qualifications@ocr.org.uk)

*For staff training purposes and as part of our quality assurance programme your call may be recorded or monitored.*

© OCR 2011 Oxford Cambridge and RSA Examinations is a Company Limited by Guarantee. Registered in England.  
Registered office 1 Hills Road, Cambridge CB1 2EU. Registered company number 3484466. OCR is an exempt charity.



FS 27093