

Guide to the Data Submission Process

For Enquiries about Results DR1



June 2016

Ofqual/16/5885

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1 Enquiries about Results (EaR)

Introduction

In order to fulfil our regulatory and accreditation functions as set out in the Apprenticeships, Skills, Children and Learning Act 2009¹, we require awarding organisations to provide exams delivery data for regulated qualifications.

When will data be collected?

Data will be collected according to the reporting schedule which is agreed and maintained by Ofqual's Data Services team.

What data will be collected?

Enquiries about Results data will be collected for GCSE, GCSE linear, GCSE full course, GCSE short course, AS, A-level, Level 1/Level 2 Certificates and Advanced Extension Award (AEA).

How will the data be collected?

Awarding organisations will need to login to the secure FTP site and upload a CSV file to the relevant folder, e.g. EaRs_DR1.

In each folder, there will also be two sub folders called **Valid** and **Invalid**. Every time a file is uploaded, the validation process will generate a report, either confirming the file is valid or invalid.

This report will then be placed in the **Valid** or **Invalid** folder for reference. When an invalid report has been generated, a notification e-mail will be sent to awarding organisations and the invalid CSV file will be removed from the folder it was placed in so that a replacement file can be uploaded.

¹ <http://www.legislation.gov.uk/ukpga/2009/22/contents>

General completion guidelines

- Please see appendix A (page 10) for further clarification of field values.
- Numeric values must not have any formatting.
- The following fields will accept -2 to represent unknown for candidates that are not certificating:

Field name	Notes
QAN	-2 for unknown e.g. cases where candidate is not certificating
Specification code	For none certificating candidates taking units/components that can be used against multiple specifications
Original unit raw mark	-2 accepted for absences
Post EaR raw mark	-2 accepted for EaRs still in process, so post EaR mark not yet established
Original unit UMS	-2 accepted for subjects that do not convert to UMS
Post EaR UMS	-2 accepted for subjects that do not convert to UMS
Original qualification UMS (modular) / Scale score (linear)	-2 accepted for candidates not certificating
Post EaR qualification UMS (modular) / Scale score (linear)	-2 accepted for candidates not certificating
Original qualification grade	-2 accepted for candidates not certificating
Post EaR qualification grade	-2 accepted for candidates not certificating
Total No. of awards/certifications	-2 accepted for candidates not certificating

2 File formats

Standard formats

The first row of the file must be headers as displayed in the '**Name**' column of the table below. The subsequent rows must have the values of the data to be reported which must match the format and validation rules below.

Name	Description	Position	Validation Regular Expression	Description of Regular Expression
Exam series	Exam series data relates to e.g. June 2016	1	^(January March June November)([][0-9][0-9][0-9])\$	Full month name of exam series and year.
Reporting date	Date the file was due to be submitted regardless of when it was actually uploaded. Format accepted 120 ODBC canonical yyyy-mm-dd .	2	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 1[12])[0-9]3[01]\$	The date in the following format: year (four digits), a dash, month (two digits), a dash, day (two digits).
Awarding Organisation	Name of the awarding organisation	3	^{1,100}\$	One, to one hundred characters accepted
Centre No.	Centre number (NCN)	4	^d{1,5}\$	Up to five digit integer accepted
Unique Candidate Identifier	Unique Candidate Identifier (UCI)	5	^{1,13}\$	Alpha numeric 13 characters accepted
QAN	Qualification Accreditation Number e.g. 123/1234/1	6	^{1,10}\$	One, to ten characters accepted -2 also accepted
Specification title	Specification title also known as subject title	7	^{1,150}\$	One, to one hundred and fifty characters accepted Not Certificating also accepted.

Specification code	Specification code also known as Subject Award Code and Cash-in Code	8	^.{1,7}\$	One, to seven characters accepted -2 also accepted
Qualification level	Level of qualification e.g. GCSE	9	^(GCSE GCSE linear GCSE short course GCSE full course AS A level A-level App A Level Db App A Level Sgl App AS Db App AS Sgl Level1/Level2 Certificates AEA)\$	One of the following list: GCSE, GCSE linear, GCSE short course, GCSE full course, AS, A level, App A Level Db, App A Level Sgl, App AS Db, App AS Sgl, Level1/Level2 Certificates, or AEA
Original unit raw mark	Original unit raw mark	10	^\d{1,3}\$	Up to three-digit integer accepted -2 also accepted
Post EaR raw mark	Post EaR raw mark	11	^(TBD \d{1,3})\$	Up to three-digit integer or TBD accepted -2 also accepted
Original unit UMS	Original unit UMS	12	^\d{1,3}\$	Up to three-digit integer accepted -2 also accepted
Post EaR UMS	Post EaR UMS	13	^(TBD \d{1,3})\$	Up to three-digit integer or TBD accepted -2 also accepted

Original qualification UMS (modular) / Scale score (linear)	Original qualification UMS (modular) / Scale score (linear)	14	^\d{1,3}\$	Up to three-digit integer accepted -2 also accepted
Post EaR qualification UMS (modular) / Scale score (linear)	Post EaR qualification UMS (modular) / Scale score (linear)	15	^\d{1,3}\$	Up to three-digit integer accepted -2 also accepted
Original qualification grade	Original qualification grade	16	^(A Star A Star A Star A Star A A* A*A* A*A AA* AA AB BB BC CC CD DD DE EE EF FF FG GG A B C D E F G U 1 2 3 4 5 6 7 8 9 1-1 1-2 2-2 2-3 3-3 3-4 4-4 4-5 5-5 5-6 6-6 6-7 7-7 7-8 8-8 8-9 9-9)\$	One of the following list: A*, A Star, A*A*, A Star A Star, A*A, A Star A, AA*, AA, AB, BB, BC, CC, CD, DD, DE, EE, EF, FF, FG, GG, A, B, C, D, E, F, G, U, 1-9, 1-1 to 9-9 and any of the grades listed, followed by a number from 1-5 e.g. C3. -2 also accepted

Post EaR qualification grade	Post EaR qualification grade	17	^(A Star A Star A Star A Star A A* A*A* A*A AA* AA AB BB BC CC CD DD DE EE EF FF FG GG A B C D E F G U 1 2 3 4 5 6 7 8 9 1-1 1-2 2-2 2-3 3-3 3-4 4-4 4-5 5-5 5-6 6-6 6-7 7-7 7-8 8-8 8-9 9-9 TBD)\$	One of the following list: A*, A Star, A*A*, A Star A Star, A*A, A Star A, AA*, AA, AB, BB, BC, CC, CD, DD, DE, EE, EF, FF, FG, GG, A, B, C, D, E, F, G, U, 1-9, 1-1 to 9-9 and any of the grades listed, followed by a number from 1-5 e.g. C3. -2 also accepted
Unit code	Unit code	18	^.{1,10}\$	One, to ten characters accepted
Unit title	Unit title	19	^.{1,150}\$	One, to one hundred and fifty characters accepted
Unit max. raw mark	Unit maximum raw mark	20	^\d{1,3}\$	Up to three digit integer accepted
Total No. of unit entries	Total Number of unit entries	21	^\d{1,6}\$	Up to six digit integer accepted
Total No. of awards/certifications	Total Number of awards/certifications	22	^\d{1,6}\$	Up to six digit integer accepted -2 also accepted
Service	Type of service e.g. 2	23	^(1 2 P2 3)\$	One of the following list: 1, 2, P2, 3

Marking method	Marking method	24	^(Full Script Paper Based Full Script Electronic Item Based Electronic Internal Assessment)\$	One of the following list: Full Script Paper Based, Full Script Electronic, Item Based Electronic, or Internal Assessment
Date received	Date received	25	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9][3[01])\$	DATETIME in the following format: year (four digits), a dash, month (two digits), a dash, day (two digits), a space, hour (two digits), a colon, minutes (two digits), a colon, seconds (two digits).
Date completed	Date completed	26	^(20)\d\d[-](0[1-9] 1[012])[-](0[1-9] 12)[0-9][3[01])\$	DATETIME in the following format: year (four digits), a dash, month (two digits), a dash, day (two digits), a space, hour (two digits), a colon, minutes (two digits), a colon, seconds (two digits). 2999-12-31 00:00:00.000 or 'still in process' accepted
Completed within deadline	Completed within deadline	27	^(Y N TBD)\$	One of the following list: Y, N, TBD

Appendix A

DR1 - Candidate level EaRs		
Field Name	Exemplar value	Notes
Exam Series	June 2016	Month followed by the year for each exam series, e.g. June 2016, November 2016
Reporting date	2016-08-26	Date in the following format: year (four digits), a dash, month (two digits), a dash, day (two digits)
Awarding Organisation	OCR	One, to one hundred characters accepted
Centre No.	12345	Five digit integer accepted
Unique Candidate Identifier	123456789012T	Alpha numeric 13 characters accepted
QAN	123/1234/1	Alpha Numeric - Qualification Accreditation Number or -2 for unknown e.g. cases where candidate is not certifying
Specification title	Mathematics	Specification title. One, to one hundred and fifty characters accepted. 'Not Certifying' also accepted. Preferred if no commas in text, but if present must be enclosed by speech marks. Also known as 'Subject Award Code' and 'Cash-in Code'. NB. Codes must exist on the JCQ classifications-entries spreadsheet. -2 also accepted to represent unknown, for candidates not certifying, but taking units/components that can be used against multiple specifications.
Specification code	1650	
Qualification level	GCSE	Accepted values; GCSE, GCSE linear, GCSE full course, GCSE short course, AS, A-level, AEA, Level 1/Level 2 Certificates
Original unit raw mark	40	Three digit integer accepted or -2 for absences. Note: If examiner marks are adjusted to correct consistent variance from the standard, the original raw mark provided in the DR1 data, should be the value following this adjustment process, not before.
Post EaR raw mark	42	Three digit integer. -2 accepted where the post EaR raw mark is unknown
Original unit UMS	50	Three digit integer accepted. Float also accepted for a three digit integer with up to two decimal places. -2 accepted for subjects that do not convert to UMS
Post EaR UMS	51	Three digit integer accepted. Float also accepted for a three digit integer with up to two decimal places. -2 accepted for subjects that do not convert to UMS or value unknown.
Original qualification UMS (modular) / Scale score (linear)	40	Three digit integer accepted. Float also accepted for a three digit integer with up to two decimal places. -2 accepted for subjects that do not convert to UMS. Note: This should be the overall qualification UMS before any EaRs have been processed, ignoring any changes that occur at unit level. Candidates with multiple EaRs on the same specification should have consistent original qualification UMS across all units.
Post EaR qualification UMS (modular) / Scale score (linear)	40	Three digit integer accepted. Float also accepted for a three digit integer with up to two decimal places. -2 accepted for subjects that do not convert to UMS or value unknown. Note: This should be the overall qualification UMS after any EaRs have been processed, ignoring any changes that occur at unit level. Candidates with multiple EaRs on the same specification should have consistent post qualification UMS across all units.
Original qualification grade	D	One of the following list: A*, A Star, A*A*, A Star A Star, A*A, A Star A, AA*, AA, AB, BB, BC, CC,CD,DD, DE, EE,EF, FF, FG, GG, A, B, C, D, E, F, G, U, 1-9, 1-1 to 9-9 and any of the grades listed, followed by a number from 1-5 e.g. C3. -2 also accepted for unknown value. Note: This should be the overall qualification grade before any EaRs have been processed, ignoring any changes that occur at unit level. Candidates with multiple EaRs on the same specification should have a consistent original qualification grade across all units.
Post EaR qualification grade	C	One of the following list: A*, A Star, A*A*, A Star A Star, A*A, A Star A, AA*, AA, AB, BB, BC, CC,CD,DD, DE, EE,EF, FF, FG, GG, A, B, C, D, E, F, G, U, 1-9, 1-1 to 9-9 and any of the grades listed, followed by a number from 1-5 e.g. C3. -2 also accepted for unknown value. Note: This should be the overall qualification grade after any EaRs have been processed, ignoring any changes that occur at unit level. Candidates with multiple EaRs on the same specification should have a consistent post qualification grade across all units.
Unit code	MA02	One, to ten characters accepted. Note: If a unit has sub components, they should be identifiable from a unique value within the unit code e.g. MA02 1, MA02 2.
Unit title	Maths Unit 2	One, to one hundred and fifty characters accepted. Preferred if no commas in text, but if present must be enclosed by speech marks.
Unit max. raw mark	60	Three digit integer accepted
Total No. of unit entries	5000	Six digit integer accepted
Total No. of awards/certifications	1250	Six digit integer accepted and -2
Service	2	Values 1,2,3 or P2 accepted
Marking method	Full Script Paper Based	One of the following list: Full Script Paper Based, Full Script Electronic, Item Based Electronic, Internal Assessment
Date received	2015-08-27 15:12:00	DATETIME in the following format: year (four digits), a dash, month (two digits), a dash, day (two digits), a space, hour (two digits), a colon, minutes (two digits), a colon, seconds (two digits).
Date completed	2015-08-29 00:00:00	DATETIME in the following format: year (four digits), a dash, month (two digits), a dash, day (two digits), a space, hour (two digits), a colon, minutes (two digits), a colon, seconds (two digits). For EaRs that have not been completed at the time data is reported a value of 2999-12-31 00:00:00.000 may be entered or 'still in process'.
Completed within deadline	Y	Y, N, or TBD accepted

3 Contacts

For all queries relating to the data collection process, amendments to data previously provided, or for general guidance, please contact:

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