



Prince's Trust



# QUALIFICATIONS

## Qualifications Support Pack

### Centre Handbook



# CONTENTS

---

INTRODUCTION.....	4
Contacting Prince’s Trust Qualifications .....	4
CENTRE APPROVAL PROCEDURE .....	5
QUALITY REVIEW PROCEDURE .....	8
MALPRACTICE / MALADMINISTRATION POLICY AND PROCEDURE.....	10
Reporting an Allegation of Malpractice / Maladministration .....	12
ACCESS TO QUALIFICATIONS POLICY .....	16
Learner details.....	16
Equality of access.....	16
Special Consideration.....	17
Reasonable Adjustments .....	19
ASSESSMENT POLICY.....	21
Recognition of Prior Learning (RPL) and Exemptions .....	21
MODERATION POLICY .....	23
Internal Quality Assurance (IQA).....	23
External Moderation (EM).....	23
CUSTOMER SERVICE POLICY .....	25
Feedback .....	25
Complaints .....	25
Whistleblowing .....	27
Enquiries and Appeals .....	29

APPEALS POLICY AND PROCEDURE .....	30
INVOICING POLICY .....	33
Qualification Prices.....	34
DATA PROTECTION POLICY .....	35
Personal Learning Record (PLR).....	35
Unique Learner Number (ULN).....	36
Learner Records Service (LRS) .....	36
Scottish Candidate Number (SCN) .....	36
Data Submissions .....	37
Access to data.....	37
WITHDRAWAL OF QUALIFICATIONS PROCEDURE .....	38
APPENDICES .....	41
Appendix 1: Sanctions .....	41

# INTRODUCTION

---

The Prince's Trust became an awarding organisation in 2010 and is currently recognised by the relevant qualifications regulators in England, Wales, Northern Ireland and Scotland to design, deliver and award qualifications. We also provide qualifications outside the UK.

The structure of our qualifications allows a wide range of learners the opportunity to get the qualifications they need, in a way that suits them. All our qualifications are designed with the help of employers so learners can be assured that they're gaining skills that employers are looking for. Other benefits include:

- The ability to design more flexible programmes, suitable to the needs of individual learners;
- Improved retention and progression rates by recognising smaller steps of achievement more frequently;
- The ability to track all learners' achievements through the use of a Unique Learner Number (ULN) / Scottish Candidate Number (SCN);
- Achievements describable to employers and learners in easy to understand language, enabling comparison and equivalence to be established between qualifications.

The information in this handbook is intended to support centres with the administration and delivery of our units and qualifications.

## Contacting Prince's Trust Qualifications

All approved centres can contact us through The QualsHub or we can be emailed at [qualifications@princes-trust.org.uk](mailto:qualifications@princes-trust.org.uk)

Telephone and video calls can also be arranged.

# CENTRE APPROVAL PROCEDURE

---

The Prince's Trust Qualifications team is committed to ensuring that all learners are given the best chance of success. Therefore, partners offering Prince's Trust qualifications must become an approved centre and comply with the appropriate regulatory requirements. Centre approval covers all annexes, satellites and franchised locations of the named organisation. Once centres have gained approved centre status they can enter learners for units or qualifications.

Centre approval is all undertaken on The QualsHub, our online system. Please contact us at [qualifications@princes-trust.org.uk](mailto:qualifications@princes-trust.org.uk) if you wish to become an approved centre.

To comply with regulatory requirements all centres are required to have the following policies and procedures in place before applying for centre approval:

- Access to Fair Assessment Statement
- Appeals Policy for Learners
- Complaints Policy
- Contingency arrangements in place that will safeguard the interests of the learners and ensure that they receive continuity in their programme of learner, should any problems arise
- Data Protection Policy
- Disability Discrimination Policy
- Equality and Diversity Policy
- Conflicts of Interest Policy
- Internal Quality Assurance/Verification Policy
- Malpractice, Maladministration and Plagiarism Policy
- Reasonable Adjustment and Special Consideration Policy

These policies should be regularly reviewed and updated, as necessary.

Prince's Trust Qualifications will support new centres through this process to ensure they are able to meet the requirements. The approach of The Prince's Trust is to work with centres to overcome any problems identified.

All centres will need to confirm on The QualsHub that they agree to and will comply with regulatory conditions as detailed in the Approved Centre Agreement. This agreement outlines the requirements and responsibilities of the centre and Prince's Trust Qualifications. Centres will be required to ensure they are always compliant with these conditions.

Once centres have gained approved centre status with Prince's Trust Qualifications they can start to deliver units and qualifications.

Sanctions may be applied if centres do not comply with the Approved Centre Agreement. Ultimately, this could result in the suspension of certification or withdrawal of approval.

### **Key Principles:**

The Approved Centre Agreement is a formal commitment by the Head or Principal of a centre to meet all the requirements of The Prince's Trust and any linked codes or regulations.

- The centre agrees as part of gaining approval to abide by specific terms and conditions around the effective delivery and quality assurance of assessment; it must abide by these conditions throughout the period of delivery
- Responsibility for quality assurance and the application of agreed procedures rests with the named organisation
- Prince's Trust Qualifications makes available to approved centres a range of materials and opportunities intended to exemplify the processes required for effective assessment. Approved centres must use the materials and services to ensure that all staff delivering Prince's Trust qualifications are up to date with the guidance on assessment
- An approved centre must follow agreed protocols for standardisation of Assessors and Internal Quality Assurers (IQAs); planning, monitoring and recording of assessment processes; and for dealing with special consideration, appeals, malpractice and maladministration

The Prince's Trust believes that its qualifications should:

- Be available to everyone who is capable of reaching the required standards
- Be free from any barriers that restrict access and progression
- Promote equal opportunities for all wishing to access the qualifications

Centres should take the appropriate steps to assess each learner's potential and make a professional judgement about their ability to successfully complete the programme of study and achieve the qualification. This assessment will need to take account of the support available to the learner within the centre during their programme of study and any specific support that might be necessary to allow the learner to access the assessment for the qualification.

**The Prince's Trust reserves the right to refuse centre approval to any organisation that:**

- acts in an unprofessional manner to Prince's Trust staff
- misrepresents The Prince's Trust and/or its qualifications
- is identified with any activity that could adversely affect the reputation of The Prince's Trust, its products or programmes
- does not comply with relevant regulations

**The Prince's Trust maintains the right to withdraw, limit or suspend centre approval within the following parameters:**

- when it is felt necessary to protect the interests of the learner, the integrity of the qualification, the appropriate Regulator's or The Prince's Trust's reputation
- when a centre does not meet its financial obligations to The Prince's Trust
- when a centre is in breach of the Approved Centre Agreement
- if a centre does not comply with the qualification specification relating to the units or qualification offered

If centre approval is not granted, Prince's Trust Qualifications will outline the reasons for rejection in a report which will include details of the Appeals Procedure should the centre be unhappy with the decision.

In most cases satellite centres or third-party delivery will be covered by the centre approval process of the main centre and we expect appropriate contracts to be in place. In some cases, however, we may ask for satellite centres or third parties to also sign an Approved Centre Agreement, especially if there is no formal agreement in place between the main centre and the satellite centre/third party which sufficiently covers the areas covered in the Approved Centre Agreement.

If you would like to become an approved centre or wish to understand more about becoming a centre, please contact Prince's Trust Qualifications.

# QUALITY REVIEW PROCEDURE

---

From time-to-time Prince's Trust Qualifications will carry out monitoring and review activities. Approved centres are required to participate in these reviews as a condition of their approval. These reviews may include centre visits, audits, review of policy documents, or conversations with staff and learners.

Centres should also note that the qualifications Regulators may also wish to conduct monitoring and review activities. Centres are required to participate in all review activities as part of their ongoing centre approval: whether by the Regulator or The Prince's Trust. Centres must agree to provide access to premises, people and records as required, and fully co-operate with all monitoring activities, including but not limited to providing access to any premises used (including satellite sites).

## Quality Processes

There are a number of mechanisms Prince's Trust Qualifications will use to monitor the quality of centres, including:

- **Programme Quality Reviews**

For centres who are delivering qualifications as part of a Prince's Trust programme, Prince's Trust regional staff may conduct programme quality reviews which may be shared with Prince's Trust Qualifications. These reviews will cover elements of policy, procedures and delivery of Prince's Trust programmes which relate to the delivery of qualifications. The reviews will ensure centres are meeting the minimum standards of delivery for the programmes and qualifications.

Where possible, during programme delivery a member of Prince's Trust staff will periodically observe delivery of sessions to monitor the quality of teaching and learning. These may also include speaking to teaching staff and learners to ensure ongoing quality of delivery

- **External Moderation Reports**

These reports will focus on the quality of internal quality assurance and assessment of each centre. A report will be provided during each moderation window in which a centre makes claims and will highlight areas of good practice, improvements and actions (where applicable). The External Moderators will monitor the actions and improvements in the report for each window and expect centres to put processes in place to ensure they are actioned for future submissions. Where problems continually arise, External Moderators will raise the issues with the Qualifications Manager and Head

of Qualifications Assessment who may invoke the sanctions policy highlighted under Appendix 1. Sanctions such as action plans and suspension of certifications may apply.

- **Lead Moderator / Responsible Officer / Accountable Officer Reports**

Annually, our Lead Moderator or Accountable/Responsible Officer will produce a report specifically aimed at giving feedback to all centres about recurring issues or good practice in respect to our qualifications. These should be used by centres as part of their internal quality assurance procedures to review their own current and future practice.

- **Qualifications Quality Reviews**

On a periodic basis Prince's Trust Qualifications will undertake Quality Reviews in line with our Approved Centre Agreement. This may include a centre visit or a request for information from a centre to ensure continued compliance with the Approved Centre Agreement. Where changes in law, policy, or regulatory requirements are made, Prince's Trust Qualifications may undertake a small sample review to ensure centres have made the necessary changes to continue to be compliant.

The Head of Qualifications Assessment will monitor all quality reviews of centres and where centres are found not to be fully compliant with the Approved Centre Agreement an action plan will be implemented with the relevant centre to ensure compliance is achieved. The Head of Qualifications Assessment will invoke the sanctions outlined in Appendix 1 where necessary.

All quality reviews undertaken may be shared between regional Prince's Trust programme staff, Prince's Trust Qualifications, the centre, and the appropriate Regulators where required.

If you have any queries about any aspects of our Quality Reviews, please do not hesitate to contact us.

# MALPRACTICE / MALADMINISTRATION POLICY AND PROCEDURE

---

Each centre is required to have its own Malpractice and Maladministration Policy and procedures as part of their conditions of being an approved centre and should make this available to all learners and staff.

Malpractice is any activity, neglect or practice which breaches the regulations relating to the assessment and award of qualifications and affects the integrity of the qualification or The Prince's Trust as the awarding organisation and its reputation. It covers any deliberate actions, neglect or practice which could compromise:

- The assessment process
- The integrity of a regulated qualification
- The validity of a result or certificate
- The reputation and credibility of The Prince's Trust, or,
- The qualification or the wider qualifications community

Maladministration is any non-intentional activity, neglect or practice where a centre or learner does not comply with the requirements for delivery of the qualification as set out in documents issued by the Regulators or The Prince's Trust.

## Examples of Malpractice

Examples of **centre** malpractice may arise where the centre fails to meet the standards set out by The Prince's Trust which may include but is not limited to:

- Failure to comply with the policies and procedures set out by Prince's Trust Qualifications
- Failure to meet reporting requirements
- Failure to implement action plans
- Refusing entry to the centre or consistently failing to respond to requests for information
- Influencing or affecting the assessment processes and assessment decision making
- Improper assistance given to learners
- Making inappropriate assessment decisions where evidence is not valid, authentic, sufficient or relevant
- Failure to comply with Prince's Trust Qualifications requirements for accurate and safe retention of learner evidence, assessment and internal moderation records
- Deliberate falsification of records to claim certificates.

Examples of **learner** malpractice may arise where a learner acts in a manner which breaches the regulations relating to the assessment which may include but is not limited to:

- Use of material produced by someone other than themselves as evidence
- Collusion with others when an assessment must be completed by individual learners
- The falsification of evidence
- Claiming a reasonable adjustment or special consideration which is later found out to be invalid
- Giving false personal information
- Plagiarism

Examples of **awarding organisation** malpractice may arise where the awarding organisation fails to meet the standards set out by the Regulators which may include but is not limited to:

- Improper security around certificate storage and issue
- Improper awarding of qualifications and units
- Failure to declare an interest in a centre or learner
- Non-compliance with the Regulatory Principles / Conditions of Recognition

### General Principles:

Centres are expected to co-operate with The Prince's Trust's activities and investigations surrounding malpractice or maladministration

- Centres are required to report any examples of malpractice and/or maladministration to Prince's Trust Qualifications immediately
- Failure to report instances of malpractice, maladministration or failure to fully co-operate with any ensuing investigation, will lead to sanctions being imposed by Prince's Trust Qualifications which may result in suspension of registration and/or certification

It is the responsibility of all those involved in the award and assessment of qualifications to act in a manner to protect the integrity of qualifications and report any suspected instances of malpractice or maladministration. Those "involved" with award and assessment, include but may not be limited to:

- Prince's Trust staff
- Staff of the centres approved by Prince's Trust Qualifications, as the awarding organisation, to offer the qualification
- Assessors, Internal Quality Assurers and External Moderators
- Learners

## Reporting an Allegation of Malpractice / Maladministration

1. The Learner Reporting Form (MRF1) should be used to record and report allegations of learner malpractice or maladministration;
2. The Centre Reporting Form (MRF2) should be used to record and report allegations of centre malpractice or maladministration;
3. The AO Staff Reporting Form (MRF3) should be used to record and report allegations of awarding organisation malpractice or maladministration;
4. Copies of these forms will be emailed to centres when relevant or can be sent on request. Completed forms should be emailed to [qualifications@princes-trust.org.uk](mailto:qualifications@princes-trust.org.uk). Reports can be made by any member of centre staff, awarding organisation staff or learners.

The Reporting Forms must be accompanied by the following documentation, as appropriate -

- A statement of the facts
- A detailed account of the circumstance of the alleged incident, and details of any investigations carried out by the centre
- Written statements from the centre staff and learners who have been interviewed
- In the case of learner malpractice or maladministration, any remedial action being taken by the centre to ensure the integrity of the qualifications now and in the future
- Any mitigating factors that should be considered

## Investigating Incidents

On receipt of a Reporting Form the Quality Assurance Group reviews the report.

### **1. Where the allegation of malpractice or maladministration is made against a member of centre staff or a learner**

- a) Prince's Trust Qualifications will determine who will lead an investigation into the allegation; this may be a member of Prince's Trust staff or an appropriate centre staff member.
- b) A timetable for the investigation will be agreed but will be completed within 28 working days of the original report.
- c) At the end of the investigation a written report must be submitted to Prince's Trust Qualifications. The written report must contain:
  - An account of the allegation and investigation;

- Written statements by those involved in the allegation;
- Relevant paperwork and evidence produced by the learner.

Individuals accused of malpractice should be notified, where appropriate, that an allegation has been made.

d) Prince's Trust Qualifications will issue a report of findings to the centre describing the outcome of the investigation and explaining the implications that this has for the centre or learner.

## **2. Where the allegation of malpractice or maladministration is made against an External Moderator or staff member of The Prince's Trust as an awarding organisation and needs further investigation**

a) Prince's Trust Qualifications appoints a Lead Moderator amongst the External Moderators used to verify assessment processes;

b) The Lead External Moderator will lead any investigation of allegation or suspicion of malpractice or maladministration;

c) A timetable for the investigation will be agreed and will be completed within 28 working days of the original report;

d) At the end of the investigation a written report must be submitted to Prince's Trust Qualifications. The written report must contain:

- An account of the allegation and investigation
- Written statements by those involved in the allegation
- Relevant paperwork and evidence produced by External Moderator or staff member.

e) Prince's Trust Qualifications will issue a report of findings to the centre describing the outcome of the investigation and explaining the implications that this has for the External Moderator or staff member.

All investigations will focus on the key points below:

- Provide detail on the facts of the allegation and the investigation carried out
- Capture written statements from those involved in the allegation e.g. learners, Assessors, Witnesses, Moderators
- Explore and detail any mitigating factors
- Provide details of how centre policy related to the malpractice has been implemented
- Provide examples of learners' work, Assessors' and Moderators' work.

Each case of malpractice or maladministration will be reviewed to determine an appropriate course of action. The following list details the possible outcomes-

1. The report is reviewed and no further action is required
2. A request that further information is provided by the centre
3. Refer the case to the Quality Assurance Group and hold an awarding organisation investigation

The Quality Assurance Group reviews each case of malpractice and maladministration reported to determine whether procedures have been broken, who is responsible and decides the actions to be taken. In deciding on the actions to be taken the Group's primary concern is to protect the units' / qualifications' integrity, confidence in The Prince's Trust and to discourage further acts of malpractice or maladministration.

Potential sanctions are outlined in Appendix 1.

Prince's Trust Qualifications may decide to undertake an investigation itself after which the Quality Assurance Group will determine the most appropriate course of action either recording the investigation and that no action is required or to refer the matter to the Senior Head of the awarding organisation, as appropriate.

During any investigation by the centre or The Prince's Trust, the following principles should be adhered to:

**1) Confidentiality** - all material collected as part of an investigation must be kept secure and should not be disclosed to any third parties (other than the Regulators, a funding agency or the police, where appropriate).

**2) Rights of individuals** - where an individual is suspected of malpractice they should be informed of the allegation made against them (preferably in writing) and the evidence that supports the allegation. They should be provided with the opportunity to consider their responses to the allegation or seek advice if they wish to. They should also be informed of what the possible consequences could be if the malpractice is proven and of the possibility that other parties may be informed e.g. the Regulators, the police or funding agency.

It is probable that an individual may need to be interviewed as part of the investigation. These interviews should be conducted in accordance with a centre's policy and procedures.

Where a learner is to be interviewed and they are a minor or young person, the centre and/or The Prince's Trust should consider the need to have a parent, guardian or carer present or permission from them.

**3) Retention and storage of evidence and records** - all relevant documents and evidence should be retained for at least three years.

**4) Decisions and action plans** - all conclusions and decisions should be based on evidence. Any action plan must be agreed by the centre and The Prince's Trust.

**5) Sanctions** - sanctions will be commensurate with the level of non-compliance and will be in line with our sanctions policy.

### **Reports to the Regulator**

In all cases of suspected or actual malpractice or maladministration, a full report will be made available to the relevant qualifications Regulator. Prince's Trust Qualifications will co-operate with any further investigations required by the Regulator. Prince's Trust Qualifications will agree with the Regulator on any remedial action to be taken.

### **Appealing against sanctions**

Learners, centres and staff can appeal against sanctions imposed using the Enquiries and Appeals Policy and procedures.

### **Monitoring malpractice and maladministration**

Prince's Trust Qualifications will monitor all investigations into malpractice and maladministration and produce annual reports which will be reviewed by the Head of Qualifications Assessment in order to improve the service provided to learners and centres.

If you would like any further information on reporting malpractice or maladministration please contact [qualifications@princes-trust.org.uk](mailto:qualifications@princes-trust.org.uk)

If you wish to make a complaint of malpractice against an awarding organisation you can do so direct to the applicable Regulator.

# ACCESS TO QUALIFICATIONS POLICY

---

There are no formal entry requirements for learners undertaking our qualifications. However, centres must take appropriate steps to ensure that learners are given appropriate support and only entered for units which will offer them the best chance of success.

For qualification specific information please see the relevant Qualification Specification document on our website.

## Learner details

The following information will need to be submitted to register learners for qualifications:

- Full legal name of the learner
- Learner's date of birth and gender
- Unique Learner Number or Scottish Candidate Number (where applicable)

## Equality of access

We aim to facilitate open access to all our units and qualifications for learners, without compromising the assessment of the skills, knowledge, understanding or competence being measured.

The Prince's Trust is an approachable and diverse organisation which values and respects peoples' different backgrounds, characteristics, ideas and beliefs. It is responsive to the needs of young people, staff, volunteers, delivery partners and all stakeholders.

We support equal opportunities in education, training and employment and are committed to ensuring that anyone who wants to gain one of our qualifications faces no unnecessary barriers in doing so. We will make appropriate reasonable adjustments to remove any barriers.

We are committed to ensuring we do not discriminate against learners because of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation and/or political opinion.

To meet our commitment we will:

- develop and offer qualifications and assessments that do not unnecessarily discriminate against anyone on the basis of the protected characteristics.
- ensure equality principles are embedded in the development processes and training of internal staff and Moderators and will consult with relevant individuals and organisations to ensure there are no unnecessary barriers to our qualifications.
- review all units, qualifications and assessments to ensure that they comply with equality policies.
- facilitate access to assessment by having in place clear arrangements for making reasonable adjustments in relation to our qualifications. These will reflect the needs of individual learners and ensure the assessment remains valid, reliable and consistent where adjustments are approved.
- ensure our approved centres have their own equal opportunities policy and that they have systems and procedures in place to implement that policy effectively.
- ensure our centres maintain an effective appeals and complaints procedure and tell learners how to find and use this, and how they can appeal or complain to The Prince's Trust.

If you want to discuss access to assessment for your learners, please contact the appropriate person at your centre. If you feel there has been a problem getting access to assessment in your centre which you believe your centre has not dealt with properly, please contact Prince's Trust Qualifications.

Centres should have their own policies in place to ensure learners are supported throughout their learning. Where adjustments need to be made centres should follow the correct processes set out below:

### **Special Consideration**

Special consideration is a process which may result in an adjustment to the results of learners who have not been able to demonstrate attainment because of temporary illness, indisposition or an unforeseen incident at the time of the assessment.

A learner who is fully prepared and present for a scheduled assessment may be eligible for special consideration if:

- performance in an assessment is affected by circumstances beyond the control of the learner, e.g. recent personal illness, accident, bereavement, or serious disturbance during the assessment
- alternative assessment arrangements which were agreed in advance of the assessment proved inappropriate or inadequate
- part of an assessment has been missed due to circumstances beyond the control of the learner

The decision to allow special consideration will be based on various factors. These factors may include the severity of the circumstances, the date of the assessment and the nature of the assessment (e.g. practical, presentation, etc).

Special consideration cannot give a learner an unfair advantage, nor must its use cause the user of a certificate to be misled regarding a learner's achievement. The learner's results must reflect real achievement in assessment and not potential ability. To this end, special considerations can only be a small post-assessment adjustment to the outcome.

The following are **examples of circumstances** which might be eligible for special consideration (this list is not exhaustive):

- illness of the learner or an injury that may affect a learner's performance
- terminal illness of a parent or recent bereavement of a member of the immediate family
- serious and disruptive domestic crises or recent traumatic experience such as a severe car accident
- flare-up of severe congenital conditions such as epilepsy, diabetes, severe asthmatic attack
- noise or disturbance on the day of the assessment in close proximity to where the assessment took place that may affect the learner's performance

A learner will **not** be eligible for special consideration if:

- no evidence is 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 due to personal arrangements including holidays or unauthorised absence
- preparation for a component is affected by difficulties during the course, e.g. disturbances through building work, lack of proper facilities, changes in or shortages of staff, or industrial disputes.

Prince's Trust Qualifications expects a centre to put arrangements in place to enable a learner, in extenuating circumstances, to complete the assessment and then achieve the unit/ qualification. Only when this is unsuccessful should an application for special consideration be made. All applications for special consideration must be made on a case-by-case basis and separate applications must be made for each learner.

There are no circumstances whereby a centre can apply its own special consideration. Applications for special consideration must be made through The QualsHub.

## Reasonable Adjustments

Reasonable adjustments are any actions that help to reduce the effect of a disability or difficulty.

Reasonable adjustments can cover the entire course and should be approved **before** an assessment takes place. Reasonable adjustments must not, however, affect the reliability or validity of assessment outcomes nor must they give the learner an assessment advantage over other learners undertaking the same or similar assessments.

A learner does not necessarily have to be disabled (as defined by the Equality Act 2010) to be allowed an access arrangement. Reasonable adjustments are intended to increase access to assessments and are intended to assist learners in demonstrating their attainment without affecting or circumventing the assessment requirements. Where possible the reasonable adjustment should reflect a learner's normal way of working.

Reasonable adjustments are intended to give all learners a level playing field in which to demonstrate their skills, knowledge and understanding. In order to ensure this, Prince's Trust Qualifications requires that evidence of need is obtained by centres to support an access arrangement (see table below for the types of evidence required). This evidence of need must be made available for inspection if required.

The following table of access arrangements provides guidance on some of the main arrangements available. Please contact Prince's Trust Qualifications if you require any further advice or guidance.

Access arrangement	Eligibility and/ or evidence requirement	Centre delegated/ refer to Prince's Trust Qualifications
Extra time where assessment is time framed – up to a maximum of 25%	Education, Health and Care Plan Psychological report Physical disability	Centre
Audio recording	Hearing impairment	Centre
Alternative accommodation / venue away from the centre	Medical reason Psychological report	Centre

Amplification equipment	Normal way of working	Centre
Braille material or materials in large format	Blind learner	Centre
Sign interpreter	Hearing impairment	Prince's Trust Qualifications
Read aloud	Normal way of working	Centre
CCTV	Normal way of working	Centre
Live speaker	Hearing impairment	Centre
Low vision aid/ OCR scanners	Visual impairment	Centre
Modified assessment material	Visual impairment Hearing impairment	Prince's Trust Qualifications
Practical assistant	Physically disability	Prince's Trust Qualifications
Prompter	Normal way of working	Centre
Reader/ scribe	Psychological report Physical disability Visual impairment	Centre

All reasonable adjustments should be recorded on The QalsHub.

# ASSESSMENT POLICY

---

Each unit of work for Prince's Trust Qualifications is submitted via a portfolio of evidence to meet the specifics of the assessment criteria and learning outcomes.

The centre is responsible for ensuring that assessment results are fair and valid. Centres should ensure learners are supported by Assessors. The responsibilities of the Assessor are to:

- ensure that each learner is fully briefed on the assessment process
- assess evidence put forward by learners as described in the unit's learning outcomes and assessment criteria
- complete necessary documentation and keep accurate records
- provide advice and guidance to learners on what evidence to put forward and on the construction of portfolios
- attend standardisation events and training workshops
- complete CPD and work towards professional qualifications, where appropriate

Prince's Trust Qualifications expects Assessors employed by an approved centre or subcontractor to meet specific requirements. From time-to-time Prince's Trust Qualifications may request details of Assessor competency as part of the quality reviews.

## Recognition of Prior Learning (RPL) and Exemptions

The use of **recognition of prior learning is optional**. But, if centres choose to apply it, they need to have an internal policy on RPL and the proper resources to do so. It is available for all qualifications offered by Prince's Trust Qualifications.

### Definition of Recognition of Prior Learning

Recognition of Prior Learning is the identification, assessment and formal acknowledgement of whether a learner can demonstrate that they can meet some or all the assessment requirements for a unit through knowledge, understanding or skills they already possess. The learner needs to demonstrate that through knowledge, understanding or skills they already have, they do not need to repeat the learning.

This is done by an Assessor reviewing whether the evidence is enough to demonstrate that a learner has met the assessment requirements for some current assessment

criteria and/or unit. If there is evidence that the learner has previously shown the knowledge, skills or understanding required by an assessment criterion and/or unit, this may be used towards achieving that unit.

The evidence must be valid, current, reliable, authentic and sufficient.

### **Can learners use a previously achieved certificate towards a qualification?**

A centre will need to map and check that a learner's previous achievement meets the current assessment criteria. It is important that centres keep a record of the mapping so that Prince's Trust Qualifications can confirm that it is valid. No extra assessment is needed if a learner's previously achieved certificate or qualification meets the requirements of a whole unit.

### **When should RPL be claimed?**

If a learner can provide evidence that meets all criteria in a unit, then the unit can be claimed solely by using RPL evidence. If only some criteria can be evidenced, then further evidence will need to be produced to cover the other criteria.

Evidence used for RPL is not time-limited but assessors must determine whether it is valid and authentic. RPL may be used in conjunction with other assessment methods such as professional discussion or observation to assess current competence.

### **Process for applying for RPL**

Centres should apply in writing to Prince's Trust Qualifications ([qualifications@princes-trust.org.uk](mailto:qualifications@princes-trust.org.uk)), giving their centre name, the name/s of the learner/s and their Unique Learner Number/s (ULN), the assessment criteria and/or unit of assessment that is being claimed through RPL.

Prince's Trust Qualifications will consider this application. If accepted, the centre will be required to evidence the prior learning by entering the learner for the unit and provide evidence of the assessment criteria, including evidence obtained from prior learning. The types of evidence that are acceptable include CVs, testimonies, evidence of competence from the world of work and letters from employers. If evidence is sufficient, the unit will be awarded in the usual way. Any request will be processed in accordance with the published assessment window timescales.

If a learner wants to appeal against a decision made about their assessment, they first need to follow their centre's policy and procedures and then PTQ's Enquiries and Appeals Policy.

# MODERATION POLICY

---

In order to ensure the assessment results are fair and valid there are two stages to the moderation process:

1. Internal Quality Assurance - managed by the centre;
2. External Moderation - managed by Prince's Trust Qualifications.

Centres must only make certificate claims for units and qualifications when they are satisfied that the portfolio meets all the assessment criteria and it has been thoroughly assessed and internally quality assured.

## Internal Quality Assurance (IQA)

Centres must ensure they complete internal quality assurance processes to:

- monitor the quality of Assessors' decisions
- observe Assessor practice and give developmental feedback
- sample assessment records, learners' work and Assessor decisions
- complete necessary documentation and keep accurate records
- undertake standardisation activities
- provide general assessment advice and guidance to groups of Assessors including interim sampling to pick up problems at an early stage. Interim sampling will also highlight individual Assessor needs for support or training which in turn may be used to develop the assessment team as a whole. Similarly, it will provide an opportunity to identify and share good practice

Further information on Internal Quality Assurance can be found in our Qualifications Support Pack 02: Internal Quality Assurance.

Prince's Trust Qualifications expects those responsible for Internal Quality Assurance employed by an approved centre or subcontractor to be suitably qualified or trained. From time to time Prince's Trust Qualifications may request details of IQA competency as part of the quality reviews.

## External Moderation (EM)

Prince's Trust Qualifications are responsible for providing external moderation processes to:

- monitor the quality of assessment and IQA procedures within and between centres by the use of systematic sampling
- advise Assessors and IQAs on areas of best practice and improvement
- complete necessary documentation and keep accurate records
- formally pass or fail the evidence provided

# CUSTOMER SERVICE POLICY

---

Prince's Trust Qualifications believes that all learners should have the chance to succeed. In order to ensure you have a positive experience when you work with us, we are committed to ensuring that:

- You will be treated equally and with respect
- Your information will only be used in a way we've agreed with you, unless you tell us something that places you or others at risk of harm
- You will be treated by staff in a professional manner

Prince's Trust Qualifications will conduct an assessment of its performance every year. The purpose of the annual assessment is to carry out a comprehensive review of our quality assurance systems, processes and procedures to determine if there are areas for improvement. The assessment will also review the rationale and continued need for units and qualifications to determine if changes are necessary.

## Feedback

Prince's Trust Qualifications will collect information on its operations, units and qualifications by a number of means, including questionnaires, meetings with External Moderators and specific learner feedback. Prince's Trust Qualifications will work closely with all involved as to the outcome of the feedback process, and particularly where changes are proposed to its units and qualifications. You can also give feedback using our customer feedback process or by contacting Prince's Trust Qualifications directly.

Full details of The Prince's Trust's Customer Feedback Procedures can be found on the main Prince's Trust website.

## Complaints

Prince's Trust Qualifications is committed to providing a high quality service to all its service users and seek to ensure that all Prince's Trust service users have the opportunity to make complaints about the service; that all complaints are taken seriously, investigated thoroughly and objectively; and the results communicated to the complainant.

Full details of The Prince's Trust Complaints Procedures can be found on the main Prince's Trust website and can be provided on request.

All centres approved to offer Prince's Trust qualifications are required to have their own Complaints Policy, which must abide by the latest UK legislation and be made available to learners.

## Qualification Complaints in Scotland

A learner or centre making a complaint in Scotland can raise complaints to their centre, to The Prince's Trust and, once these have been exhausted, to SQA Accreditation. Where the qualification has been taken at a public body such as a college, learners may also complain to the Scottish Public Services Ombudsman (SPSO).

If a learner has a complaint relating to any aspect of the course, they should first raise it with the course provider to allow the provider to investigate under their own complaints procedures and resolve the issue. If the course provider is unable to resolve the issue the learner may then use The Prince's Trust Complaints Policy and Procedures as set out on the Prince's Trust website.

If, following the exhaustion of The Prince's Trust's complaints policy and procedures, a learner or centre remains dissatisfied, they may seek advice from SQA Accreditation, Optima Building, 58 Robertson Street, Glasgow, G2 8DQ. SQA Accreditation will only deal with complaints about awarding organisations and qualifications it regulates.

The role of SQA Accreditation is to ensure due process has been followed in accordance with awarding organisation procedures. SQA Accreditation will not overturn assessment decisions.

Users of public bodies in Scotland have the right to complain to the SPSO as the final arbiter. Users have to exhaust the public body's own complaints procedure before the SPSO will consider their complaint, and it must usually have been raised within the previous 12 months. The SPSO will not consider complaints about academic decisions, such as the outcome of an assessment. These types of complaints should be treated as an Appeal and should follow The Prince's Trust's Enquiries and Appeals Procedure. More information on SPSO's Complaints Handling Procedure can be found at [www.valuingcomplaints.org.uk](http://www.valuingcomplaints.org.uk).

## Qualification Complaints in Wales

A learner or centre making a complaint in Wales can raise complaints to their centre, to The Prince's Trust and, once these have been exhausted, to Qualifications Wales.

If a learner has a complaint relating to any aspect of the course, they should first raise it with the course provider to allow the provider to investigate under their own complaints procedures and resolve the issue. If the course provider is unable to resolve the issue the learner may then use The Prince's Trust Complaints Policy and Procedures as set out on the Prince's Trust website.

If following the exhaustion of The Prince's Trust's complaints policy and procedures, a learner or centre remains dissatisfied, they may seek advice from Qualifications Wales, Q2 Building, Pencarn Lane, Imperial Park, Coedkernew, Newport, NP10 8AR.

Qualifications Wales will only deal with complaints about awarding organisations and qualifications it regulates.

### Qualification Complaints in Northern Ireland

A learner or centre making a complaint in Northern Ireland can raise complaints to their centre, to The Prince's Trust and, once these have been exhausted, to CCEA Accreditation.

If a learner has a complaint relating to any aspect of the course, they should first raise it with the course provider to allow the provider to investigate under their own complaints procedures and resolve the issue. If the course provider is unable to resolve the issue the learner may then use The Prince's Trust Complaints Policy and Procedures as set out on the Prince's Trust website.

If following the exhaustion of The Prince's Trust's complaints policy and procedures, a learner or centre remains dissatisfied, they may seek advice from CCEA Regulation, 29 Clarendon Road, Clarendon Dock, Belfast, BT1 3BG. CCEA Regulation will only deal with complaints about awarding organisations and qualifications it regulates.

### Qualification Complaints in England

A learner or centre making a complaint in England can raise complaints to their centre, to The Prince's Trust and, once these have been exhausted, to Ofqual.

If a learner has a complaint relating to any aspect of the course, they should first raise it with the course provider to allow the provider to investigate under their own complaints procedures and resolve the issue. If the course provider is unable to resolve the issue the learner may then use The Prince's Trust Complaints Policy and Procedures as set out on the Prince's Trust website.

If following the exhaustion of The Prince's Trust's Complaints Policy and Procedures, a learner or centre remains dissatisfied, they may seek advice from Ofqual, Earlsdon Park 53-55 Butts Road Coventry CV1 3BH. Ofqual will only deal with complaints about awarding organisations and qualifications it regulates.

### Whistleblowing

Whistleblowing is a term used to describe a situation where an individual or group raise a genuine concern about suspected malpractice or wrongdoing. Whistleblowing is distinct from a complaint in that a complaint is an expression of personal dissatisfaction.

We would encourage that a concern be raised initially within your organisation. However, if the concern does not elicit an appropriate response, or you feel unable to raise a concern, you should follow the procedure outlined below.

To be protected by law, a worker must be making a disclosure of information which they reasonably believe is made in the public interest and shows one or more of the following has occurred:

- A criminal offence;
- Breach of any legal obligation;
- A miscarriage of justice;
- Danger to the health and safety of an individual;
- Danger to the environment;
- The deliberate concealment of any of the above.

We are unable to advise if any disclosure made will be protected under the law. You may wish to seek advice externally on this matter.

A disclosure will not be protected if the individual making it:

- Does not do so in the interest of the public;
- Commits a criminal offence in making it;
- Has received the information in the course of providing legal advice (legally privileged information);
- Does not have reasonable belief that the information disclosed is substantially true.

Examples of disclosures made to Prince's Trust Qualifications may include, but are not limited to:

- A worker for an approved Prince's Trust Qualifications centre about that centre's malpractice or failure to comply with the Approved Centre Agreement;
- A learner, parent or guardian making a disclosure about a centre's malpractice who has already exhausted the centre's own policies or does not feel able to raise the concern with the centre directly.

Our preferred method of receiving whistleblowing disclosures is via email to [qualifications@princes-trust.org.uk](mailto:qualifications@princes-trust.org.uk). Disclosures can also be made to our office on 0207 543 1391.

When making a disclosure please include:

- Centre name;

- Qualification name;
- Report of the incident you wish to disclose;
- Your role (e.g. staff; learner; parent; guardian)
- Your name and contact details.

While it is possible to make an anonymous disclosure, the best way to raise concerns is to do so openly. Anonymous disclosures are often hard to investigate thoroughly.

While we will treat any information given to us sensitively, we cannot always guarantee to keep your identity confidential as we may need to disclose your identity if required to do so by law. It should also be recognised that your identity may be recognisable to others during the investigation due to the nature of the disclosure, although we will endeavour to limit the risk of this where possible.

We will consider each disclosure of information carefully and decide upon an appropriate course of action. All disclosures whether raised anonymously or openly will be reviewed. In some cases it may not be possible to investigate or substantiate disclosures, or it may fall outside of our responsibilities.

If you have given contact details, we will inform you of any part of the investigation which may involve you directly. However, due to confidentiality and legal restrictions we may not disclose the outcome of the investigation or any information gained during the investigation, for example, we may only report that an investigation has been carried out and appropriate action taken.

## Enquiries and Appeals

In the case of learner enquiries or appeals against decisions or assessment outcomes made within a centre, these must go through the centres' own Internal Appeals Procedure. Each centre is required to have an appeals procedure as part of their conditions of being an approved centre and should make this available to learners.

Prince's Trust Qualifications operates an Enquiries and Appeals Policy for centres or learners wishing to appeal decisions made by Prince's Trust Qualifications. This can be found in the next section.

# APPEALS POLICY AND PROCEDURE

---

Prince's Trust Qualifications aims to ensure that all of its decisions and assessment outcomes are fair, consistent and based on valid judgements. As part of our commitment to ensuring quality standards Prince's Trust Qualifications provide support for centres to ensure they can meet the regulatory requirements for qualifications, as imposed on us by the Regulators. However, Prince's Trust Qualifications recognises that there may be occasions when a centre or a learner wishes to question a decision.

In the case of learner enquiries or appeals against decisions or assessment outcomes made within a centre, these must go through the centres' own Internal Appeals Procedure. Each centre is required to have an Appeals Procedure as part of their conditions of being an approved centre and should make this available to learners.

Where a centre or learner wishes to enquire about an assessment decision, or any other decision made by Prince's Trust Qualifications, an enquiry or appeal can be made directly to Prince's Trust Qualifications. Enquiries and appeals can relate to any matter including issues relating to centre approval, assessment outcomes, malpractice/maladministration, or reasonable adjustments/special consideration.

There are three stages of the enquiries and appeals process:

Stage 1 - Enquiry

Stage 2 - Prince's Trust Appeals and Enquiries Review Group

Stage 3 - Appeals Board

## Stage 1

The centre or learner must contact Prince's Trust Qualifications by e-mail ([qualifications@princes-trust.org.uk](mailto:qualifications@princes-trust.org.uk)) specifying the nature of the enquiry within **10 working days** of the assessment result or decision date.

The enquiry must come with supporting evidence (including learner work, if applicable) and must be accompanied by payment of £50 to cover the administration costs.

Upon receiving complete documentation and payment Prince's Trust Qualifications will confirm receipt of the enquiry and will aim to respond within **10 working days**, depending on the complexity of the enquiry.

Where the enquiry is regarding an assessment decision, the portfolio will be re-marked by an External Moderator who is independent of the original decision and has no connection with the centre concerned. If the enquiry finds the assessment decision to be correct it will set out its reasons in writing with supporting evidence and send these to the centre or learner.

If the original assessment outcome or decision is judged to be incorrect and the result is changed, Prince's Trust Qualifications will issue a new result and the fee of £50 will be refunded.

If other assessment outcomes or decisions are affected by the result of the enquiry, all similar results or decisions may be recalled and reviewed.

## **Stage 2**

If a centre or learner is not satisfied with the outcome of their Stage 1 enquiry, they may appeal to the Appeals and Enquiries Review Group within **10 working days** of the Stage 1 decision. This group will review the process and consider whether the correct procedures were followed consistently during the Stage 1 enquiry and whether they were applied properly and fairly in arriving at the judgements.

The Appeals and Enquiries Review Group is not concerned with making judgements about learners' work and the group is not authorised to remark learners' work.

All appeals must be accompanied by payment of £100 to cover administrative costs. The total fee (for stages 1 and 2) will be refunded if the Appeals and Enquiries Review Group find that the correct procedures were not followed in Stage 1. If this happens the appeal will be referred back to the enquiry team for remedial action and a review may then be ordered. This review will be undertaken by an External Moderator who has had no previous involvement in the case and will also include a decision maker who is not an employee of The Prince's Trust or an External Moderator working for Prince's Trust Qualifications.

If the Appeals and Enquiries Review Group finds that due process was followed in Stage 1, the centre or learner will be sent a letter of notification and information about the Stage 3 appeal process will be provided should they wish to further challenge the decision.

## **Stage 3**

In the event of Stages 1 and 2 being exhausted without a satisfactory resolution for the centre or learner, Stage 3 of the Enquiries and Appeals Procedure can be invoked. The Appeals Board exists to ensure that in the very few cases where disputes cannot be resolved, there is a fully independent avenue of appeal.

The Appeals Board will include members who have had no previous involvement in the case and a representative who is not connected to Prince's Trust Qualifications.

An application to the Appeals Board must be received within **10 working days** of the notification of the Appeals and Enquires Review Group findings (the Stage 2 appeal).

The application to the Appeals Board must contain a clear, sound reason why the appellant considers that Prince's Trust Qualifications did not follow the due process and the reasons for escalating the appeal to this external review. The appeal must be accompanied by payment of £100 to cover administrative costs.

The Appeals Board may request information from all parties involved and will convene a meeting to consider the information provided in order to establish whether all procedures have been correctly followed.

If the Appeals Board finds that the appropriate procedures have not been followed, they will inform the appellant and refer the appeal back to the Stage 1 enquiry group for remedial action. The total fee (for all stages) will be refunded by The Prince's Trust.

If the decision from the Appeal Board confirms that the enquiry and appeals process (Stages 1 and 2) is appropriate and process has been followed correctly, the Board will set out its reasons in writing with supporting evidence and send this to the centre or learner.

On exhaustion of these three stages of appeal to Prince's Trust Qualifications the appellant may decide to make a complaint to the relevant qualifications Regulator if they feel the process has not been carried out satisfactorily. Information will be given to the appellant of the relevant contact details of the Regulator. The Regulators responsibility is to ensure due process has been followed in regard to regulatory requirements, they are unable to overturn moderation decisions.

## INVOICING POLICY

---

Invoices are raised when centres purchase goods/services from Prince's Trust Qualifications including qualifications, units, informal awards and other services offered by Prince's Trust Qualifications.

On The QualsHub, each centre will have a Superuser who can control which other staff members can claim qualifications. Claiming qualifications will result in an invoice being generated.

For the purchase of qualifications, Prince's Trust Qualifications will endeavour to dispatch invoices within 30 working days of the qualifications window closing or the order being received (whichever is the latest date). All invoices will contain a brief description of the services purchased; however, centres are advised to keep their own records.

Other fees are usually invoiced within 30 working days of the point where services have been completed. Other fees include qualification advisory visit fees, bespoke external moderation windows, additional certification fees and fees for enquiries and appeals.

There is no minimum order value for any purchase. Up-to-date pricing information for all goods and services can be found on the Prince's Trust Qualifications website.

The Prince's Trust's payment terms are the standard 30 days from the date of the invoice. Payment can be by credit/debit card or BACS.

The Prince's Trust will contact a centre's Finance Department if invoices have not been paid within the period stated above, requesting payment to be made immediately. Where no response or payment is received, we reserve the right to refuse to accept claims from a centre and/or withhold certificates if the centre has a debt outstanding to The Prince's Trust. Centres who fail to pay may be in breach of the Approved Centre Agreement and may be reported to the appropriate Regulator.

Copies of invoices relating to services are stored on our business system and are retained in line with current financial legislation.

The Prince's Trust are able to take payment via the following methods:

- BACS:  
The relevant details will be shown on your invoice.

- Credit/Debit Card:

To pay by credit or debit card please call us on 0207 543 1391 and we will take the relevant details to process the payment.

From September 2020 we will no longer accept cheques

### **Qualification Prices**

The current prices for all qualifications are displayed on our website. Please contact us for further information.

# DATA PROTECTION POLICY

---

The Prince's Trust will hold details of learners' achievement(s) for the issue of certificates. Access to this information is strictly controlled, but is shared within the education and training community when this is appropriate. For example, centres receive details of their learners' results, and details are usually added to the Personal Learning Record (PLR). Awarding organisations may also be required to supply central government and their agencies with data for statistical analysis.

We abide by the Data Protection principles and require that all those who supply or use data also adhere to these principles. Centres are expected to take care both in the collection of data for transmission to The Prince's Trust and in the dissemination of data from The Prince's Trust.

We offer the following guidance:

Learners should be aware that their personal details are being given to The Prince's Trust. This is particularly important where learners themselves are not completing forms. In most cases the information is supplied from centre computer systems, and learners may not be aware that their details are being passed on.

Centres should exercise care when releasing personal information supplied by the awarding organisation. This information is intended for centres' internal use only. Information a centre has obtained from The Prince's Trust must not be used for marketing purposes or any other purpose which could be reasonably objected to by the learner.

Centres should be appropriately registered with the Information Commissioner.

## Personal Learning Record (PLR)

The Personal Learning Record (PLR) in England, Wales and Northern Ireland provides valuable evidence for young people when they are looking for careers advice, applying to study or when seeking employment. Young people can log-in to a secure website to view their Personal Learning Record providing they have a Unique Learner Number (ULN).

A key aim of the PLR is to improve the flow of information about learners from schools to other education providers and ultimately employers, leading to more effective information and data sharing and better informed decision making for young people.

Learners aged 14+ who are involved in any kind of education or training should not need to provide copies of different certificates each time they apply for a course, seek careers guidance or take examinations. A Personal Learning Record (PLR) Report will list verified qualifications.

Learners aged 16+ can view their PLR online and choose to allow access to others and share their information. For more information on the PLR please visit the gov.uk website.

### **Unique Learner Number (ULN)**

Unique Learner Numbers (ULNs) are 10-digit identifiers which are issued to learners aged 14+ and stay with them throughout their lives. They are issued by the Learning Records Service (LRS) who use the numbers to index learner identity details as well as education and training qualifications within the PLR. ULNs are currently mandatory in 14-18 State Funded schools and State Funded FE establishments in England, Wales and Northern Ireland, as well as some coverage in the HE sector.

For all learners undertaking a Prince's Trust Qualification the ULN should be provided to us on registration or as soon as possible thereafter. Details of qualifications achieved will be uploaded to the PLR using the details provided by the centre.

### **Learner Records Service (LRS)**

This is the internet-based service which enables you to generate a ULN for your learners. However, the majority of learners aged 14 or above since 2007/08 will have already been allocated a ULN.

LRS can be contacted for help and advice at [LRS.Support@education.gov.uk](mailto:LRS.Support@education.gov.uk).

### **Scottish Candidate Number (SCN)**

Scottish Candidate Numbers (SCN) are unique identifiers allocated to pupils at school and in FE colleges who undertake qualifications in Scotland. SCNs are created by the Scottish Qualifications Authority and assigned to each child by their school when they enter the Scottish School Education System (usually in Primary 1).

For all learners undertaking a Prince's Trust Qualification the SCN should be provided to us on registration or as soon as possible thereafter.

## **Data Submissions**

As an approved awarding organisation, Prince's Trust Qualifications, has an obligation to provide data to the Regulators, Government departments and other external providers. The information on attainment will also be used internally within the Prince's Trust to inform evaluation and monitoring.

## **Access to data**

Learners have a right to access the Personal Data that we hold about them. They can exercise this right by making a subject access request (SAR). A SAR will be dealt with promptly and the Data Subject will be sent a response one month after the date of receipt. A SAR can be made verbally or in writing.

## WITHDRAWAL OF QUALIFICATIONS PROCEDURE

---

Prince's Trust Qualifications will ensure that any qualification withdrawal will be managed with the interests of the learners and centres foremost. Prince's Trust Qualifications will do this by ensuring learners and centres have sufficient notice to make entries and certifications, and by giving guidance on alternative qualifications, where necessary.

Prince's Trust Qualifications will comply with any requirements communicated to it by the regulatory authorities in regards to the withdrawal of qualifications.

There are a number of reasons why a qualification might be withdrawn by The Prince's Trust, including:

- lack of demand for the qualification
- qualification no longer meets regulatory requirements
- qualification subject matter is no longer relevant
- units and qualifications are owned by other awarding organisations who have decided to withdraw

A recognised Prince's Trust Qualifications centre may also withdraw a programme leading to a Prince's Trust qualification, the reasons for this might include:

- lack of demand for the programme which leads to a Prince's Trust qualification
- Prince's Trust Qualifications imposing sanctions on a centre
- withdrawal of the qualification by Prince's Trust Qualifications

The withdrawal process will follow a two-stage process:

Stage 1 - Decision to withdraw

Stage 2 – Managing the withdrawal

### **Stage 1 – Decision to withdraw**

All current Prince's Trust qualifications (as listed on the Regulators' registers) will be reviewed by the Qualification Design and Development Group (QDDG) annually or more frequently if required. The group will consider entry data, attainment levels, qualification relevance and regulatory changes. They will

provide a report to the Qualifications Committee (QC) with recommended actions.

The QC will consider the report provided by the QDDG; they will take into account additional factors such as financial viability and market needs when considering whether a qualification should be withdrawn.

In the event that a decision is made to withdraw a qualification a report outlining the rationale will be developed and signed off by the Responsible Officer.

## **Stage 2 – Managing the Withdrawal**

Upon the decision being made to withdraw a qualification the QDDG will prepare a written withdrawal plan for agreement by the QC. The plan will comply with any regulatory requirements and will

- specify how the interests of learners in relation to the qualification will be protected.
- detail how the withdrawal will be communicated to the regulatory authorities, centres and learners providing details of all deadlines including the last date for accepting entries and the last date for certification.

A communication will then be sent to the appropriate regulatory authority stating -

- the rationale for the withdrawal of the qualification
- the last date for learner registrations
- the last date for certification
- any other relevant information

Upon confirmation from the appropriate regulatory authority, a communication will then be sent to all centres approved to take the qualification. This will be via The QualsHub stating

- the rationale for the withdrawal of the qualification
- the last date for learner registrations
- the last date for certification
- contact details for further guidance
- any other relevant information

Prince's Trust Qualifications will as a minimum send out a reminder communication to all centres

- three months before the end of registrations for that qualification
- three months before the end of certification for that qualification

### **Centres withdrawing from Prince's Trust qualifications**

When a centre withdraws from providing a Prince's Trust qualification (whether through its own choice or not) it must:

- ensure learners and potential learners are informed in a timely fashion
- ensure the interests of learners already entered for the qualification have been provided with support to find alternative options for them to complete the qualification
- not make any misrepresentations in any marketing material regarding qualifications that have been withdrawn
- notify Prince's Trust Qualifications of any learners who may be affected by the withdrawal
- comply with any written instructions by Prince's Trust Qualifications in regard to the withdrawal of its qualifications.

The Prince's Trust will endeavour to support learners to find alternative venues to complete the qualification.

# APPENDICES

## Appendix 1: Sanctions

Level	Sanction	Rationale
0	No sanction required	No additional action required to maintain compliance
1	Escalation to centre management	Limited confidence in specific areas of provision/systems
2	Additional development visit	Non-compliance with qualification or approved centre criteria, not responding to action points
3	(a) Suspension of registration (b) Suspension of certification (c) Suspension of entries	(a) Threat to learners (b) Loss of integrity of assessment (c) Danger of invalid claims for certification (d) Non-payment of invoices (financial risk – see table below)
4	Withdrawal of centre approval for specific qualifications	Irretrievable breakdown in the management and quality assurance of specific qualifications
5	Withdrawal of centre approval for all qualifications	Irretrievable breakdown in the management and quality assurance of all qualifications

The following table outlines sanctions in respect of financial risk:

Rating	Justification	Sanction
Red	<ul style="list-style-type: none"> <li>Invoice 120+ days overdue</li> <li>Invoice 90-119 days overdue, total value &gt; £1,000</li> </ul>	<ul style="list-style-type: none"> <li>Suspend claims and withhold results</li> <li>Report to Regulator</li> <li>Continued monitoring</li> <li>Pay-as-you-go basis</li> </ul>
Amber	<ul style="list-style-type: none"> <li>Invoice 90-119 days overdue, total value &lt; £1,000</li> <li>Invoice 60-89 days overdue</li> </ul>	<ul style="list-style-type: none"> <li>Suspend claims and withhold results</li> <li>Continued monitoring</li> <li>Consider red rated sanctions</li> </ul>
Green	<ul style="list-style-type: none"> <li>Prompt payer (e.g. by credit card)</li> </ul>	<ul style="list-style-type: none"> <li>None</li> </ul>
(Blank)	<ul style="list-style-type: none"> <li>No known problems</li> </ul>	<ul style="list-style-type: none"> <li>None</li> </ul>



Prince's Trust

# BE THERE FOR YOUNG PEOPLE