

Qualifications Support Pack 03

Making Claims & Results



Prince's Trust



Prince's Trust

CONTENTS

Contacting Prince's Trust Qualifications	3
QUALIFICATION CLAIMS	4
Centre Approval.....	4
Registering Learners.....	4
Making Claims for External Moderation	4
SAMPLES FOR EXTERNAL MODERATION	6
MODERATION RESULTS	8
RESUBMISSIONS.....	9
APPEALS	10
RETAINING EVIDENCE	11
DIRECT CLAIM STATUS	12
ISSUING OF CERTIFICATES	14
Replacement certificates.....	14
RECORDS OF ACHIEVEMENT	16
Personal Learning Record.....	16
Unique Learner Number (ULNs)	16
Learner Records Service (LRS)	17
Scottish Candidate Number	17
Data Submissions.....	17

INTRODUCTION

The Prince's Trust became an awarding body 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 claiming of units and qualifications for learners.

Contacting Prince's Trust Qualifications

➔ qualifications@princes-trust.org.uk

➔ Qualifications, Prince's Trust House, 9 Eldon Street, London,
EC2M 7LS

➔ 020 7543 1391

QUALIFICATION CLAIMS

Centre Approval

Before a centre can make claims for units or qualifications, they must become an approved centre for delivering Prince's Trust qualifications. Please refer to our Centre Approval Procedures in our Qualifications Support Pack 00: Centre Handbook.

When applying to become an approved centre you will be given access to our Qualifications Portal. This is an online system used for making qualification and unit entries, seeing sample requests and finding results. In some cases centres may not be able to have access due to development requirements or for data protection reasons.

Registering Learners

Learners are registered with The Prince's Trust when they sign up to a programme of study. For centres delivering qualifications and units through a Prince's Trust programme learners will be registered using the Profile Forms. For centres who are not delivering units and qualifications via a Prince's Trust programme, learners should be registered directly with Prince's Trust Qualifications using the Registration Form provided at centre approval. A copy of this form can be obtained by contacting Prince's Trust Qualifications.

All registered learners will appear on the Qualifications Portal.

Making Claims for External Moderation

Once assessment and internal quality assurance has taken place a centre can then make claims for External Moderation (EM). For support on assessment and internal quality assurance please see our relevant Qualifications Support Packs.

Prince's Trust Qualifications operates EM Assessment Windows for each of the qualifications it offers. Please see our website for submission deadline dates for each qualification.

New qualification and unit claims should be made via the Qualifications Portal (unless other instructions have been issued to your centre). Portal Guides are available on our website which will guide centres through the process of making their claims, looking at sample requests and downloading results.

Centres should ensure that:

- ➔ learner names are spelt correctly on The Portal and notify the qualifications team of any changes required. Please note that certificates will be issued in the name as the claim is submitted on The Portal and there is a charge for replacement certificates.
- ➔ learners have a unique learner number (ULN) or Scottish candidate number (SCN) where applicable. If they are missing from The Portal then please email these to qualifications@princes-trust.org.uk.
- ➔ learners are only entered for units/levels which they have fully completed.
- ➔ claims are only made after internal quality assurance (IQA) processes have been completed.

Failure to comply with the above may lead to Malpractice or Maladministration processes being invoked. Please see our guidance on Malpractice and Maladministration in our QSP 00: Centre Handbook.

SAMPLES FOR EXTERNAL MODERATION

Sample requests will be uploaded to the Qualifications Portal by 5pm on the date advertised for each EM assessment window. Prince's Trust Qualifications do not email centres to advise them that their sample request is ready. It is the responsibility of the centre to check The Portal for their sample request.

Centres should collate their requested sample and internal quality assurance records and send them to Prince's Trust Qualifications to arrive before the published deadline.

Centres should include a fully completed Cover Sheet indicating who the sample is from (centre name) and where work/certificates should be returned to. A named person should be provided to ensure that the work is received to the correct department. If your centre operates over a number of different sites your work will still be treated as one submission and will be returned together to one address.

If Prince's Trust Qualifications has decided not to request a sample of work, the person who submitted the claims will be contacted by email by the sampling deadline advising them of what is required for submission. If you have not received this email for a window and no sample request is available on The Portal then please contact Prince's Trust Qualifications immediately.

Where centres fail to submit work on time, the claims will be recorded as a fail and the centre will have to resubmit learners which may incur a charge. Your centre may also be subject to sanctions as outlined in our Maladministration Policy.

Before sending samples for external moderation centres should check the following:

- ➔ All requested samples have been collated. Incomplete samples will automatically be recorded as a fail and the centre will be required to resubmit in another EM assessment window.
- ➔ That the Tracking Sheets have been fully completed and signed by both the learner and the Assessor.
- ➔ That only work relevant to the sampled units is submitted. The portfolios should include the work which is referenced on the Tracking Sheets; all superfluous work should be removed if it is not to be used as evidence.
- ➔ When sending work, centres are advised to keep copies of the Tracking Sheets and IM Forms for your records. Prince's Trust Qualifications cannot be held responsible

for items lost in the post. We recommend you obtain proof of postage when you send documents to us.

- ➔ Centres are advised to send original documents, **not** photocopies, for EM. Centres can, if they choose, send scans of units by email or to the Qualifications One Drive. Please contact us for access details. We also support other electronic portfolio systems so please contact us to discuss any system you wish to use.
- ➔ That any Reasonable Adjustment or Special Consideration Form for the learners and units entered, regardless of whether the learner's work is sampled or not, is included.
- ➔ That any Internal Quality Assurance (IQA) documents are included.
- ➔ Information showing changes that have been made in light of previous EM feedback is included.
- ➔ All submissions should be accompanied by a Cover Sheet; these can be found on our website. Please ensure you include a name and address for the work to be returned to.

Centres should **not** submit:

- ➔ any personal information about the learners – including details of medical conditions or educational needs, summaries of personal circumstances or other documents/details that should be kept secure under the Data Protection legislation unless specifically requested by Prince's Trust Qualifications.
- ➔ personal letters to the EMs. Only the correct official paperwork should be completed and submitted. If you have any problems that you would like to highlight please contact Prince's Trust Qualifications prior to submitting entries.

A full list of all deadlines relating to entry, sampling, and results can be found on our website. Centres who do not meet these deadlines will have this noted in their EM report. If deadlines are not met the External Moderator may not have chance to moderate the work. In this case the work will be marked as a fail for the window it was entered and it will need resubmitting in a subsequent window.

MODERATION RESULTS

Prince's Trust Qualifications employs a team of External Moderators, many of whom are contracted to Prince's Trust Qualifications and work across other awarding organisations. The External Moderators will write an External Moderation Report for all centres making claims within a window, offering feedback on actions, improvements and good practice where applicable.

During each assessment window a selection of work is referred to the Qualifications Review Group, which consists of a number of Moderators who standardise the work submitted. All EM Reports are subject to review.

Once results have been finalised these will appear on the Qualifications Portal before 5pm on the deadline date given. Centres will be able to see the results and export/download a copy for their records.

All Prince's Trust Qualifications are graded as either Pass or Fail.

EM Reports, sampled work (hard copies) and certificates (if requested), will be returned to the name and address provided on the centre Cover Sheet. If no Cover Sheet was included in the submission then the work will be returned to the centres registered address.

RESUBMISSIONS

If a centre has failed some units they have the opportunity to make amendments as per the EM Report and resubmit.

When the centre receives the EM Report and returned work they should review the feedback given. If the centre has any queries or wishes to clarify points highlighted in the report they should contact Prince's Trust Qualifications.

If the centre decides that they would like to resubmit the work, they should review all learners' work and make any amendments required based on feedback from the EM process.

First resubmissions are free within six months of the original results deadline, subsequent resubmissions or resubmissions made after the six months have passed will be charged as new submissions.

When the work is ready for resubmitting centres should:

- ➔ ensure the work undergoes a further internal quality assurance check if required
- ➔ contact Prince's Trust Qualifications to request the resubmission documents.
Please note that resubmissions cannot be made via the Qualifications Portal.

Resubmissions will be processed in the next assessment window and the centre will be notified which learners have been sampled by email to the person who made the resubmission.

Please note that the sample selected for external moderation for a resubmission may not be the same as the sample for the original submission. Therefore it is imperative that all learners resubmitted have met the standards as outlined by the original report.

Results of resubmissions will appear on the Qualifications Portal in line with the assessment window dates. An EM Resubmission Report will be issued to the centre.

APPEALS

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.

Details of Prince's Trust Qualifications Appeals Policy and Process can be found in the Qualification Support Pack 00: Centre Handbook.

RETAINING EVIDENCE

Centres must retain all learners' work until after the unit results have been issued and any appeals have been completed or the deadline for submitting an appeal has passed.

In addition, a selection of work may be copied by Prince's Trust Qualifications and retained to form an archive after each assessment window. This may be used during training events and moderation events to ensure that standards are maintained and appropriately carried forward year on year.

Centres must keep complete accurate records for all qualifications, for at least three years from the end of the academic year to which they relate. These must be made available to Prince's Trust Qualifications or the appropriate Regulator on request.

Centres are advised to retain the following records:

- ➔ Name of learner, date of birth and contact address
- ➔ Title and accreditation number of each qualification and unit studied
- ➔ Name(s) of Assessor(s)
- ➔ Assessment records, including assessment decision and reason for decision
- ➔ Name(s) of IQAs(s)
- ➔ Internal Quality Assurance records
- ➔ Copies of Tracking Sheets should be kept until results have been issued

DIRECT CLAIM STATUS

If a centre has consistently met all the required criteria, delivered high quality assessments, shown evidence of robust IQA processes and addressed all action points, they may be eligible for Direct Claim Status (DCS). This is when centres can claim for identified qualifications and units without the requirement to wait for an assessment window.

Centres which have consistently delivered high quality assessments, addressed all the feedback they have been given and meet the criteria below may be eligible for DCS. A centre with direct claim status is judged to have an appropriate Internal Quality Assurance processes and suitably skilled and competent Assessors.

DCS is given to named individuals who have been approved and not to the centre itself. Any change in an individual's responsibilities within a centre may result in the DCS being revoked. The centre is responsible for contacting Prince's Trust Qualifications to declare any changes. Failure to do so may result in a Malpractice process being instigated.

The main benefits of DCS are that the process of receiving certificates is faster and staff time preparing portfolios for external moderation is reduced. The centre simply makes certification claims on the Qualifications Portal as soon as their learners have completed the work and the IQA process has been completed. This is especially useful for short qualifications or roll-on roll-off modes of delivery.

If you are awarded DCS, you carry on doing what you're doing - deliver the qualification to your learners, assess their work and make sure it's internally quality assured, then you make your certificate claims on the Qualifications Portal. Prince's Trust Qualifications will endeavour to process these claims and produce your certificates within one month of the entries being made.

The following criteria must be met before a centre will be considered for DCS:

- ➔ The centre has successfully delivered a Prince's Trust qualification for a minimum of 12 months;
- ➔ The centre has had a good annual programme quality review (where applicable);
- ➔ The centre has two consecutive EM Reports with no action points;
- ➔ The centre is considered to be a low risk to Prince's Trust Qualifications;
- ➔ The centre has comprehensive assessment plans, standardisation records and internal quality assurance (IQA) procedures and processes;
- ➔ The centre has not been subject to any sanctions, malpractice or maladministration within the last 12 months;
- ➔ The centre has no outstanding payments owed to The Prince's Trust;
- ➔ The centre is deemed to be compliant with the Approved Centre Agreement.

At various points throughout the qualification cycle centres with DCS will be subject to quality monitoring. This is usually on an annual basis, but may be more frequent if changes to the qualifications, units or Regulatory standards are implemented. Centres are therefore recommended to keep hold of all assessment and IQA evidence until certificates have been issued by Prince's Trust Qualifications, and ensure they retain evidence as advised in the Retaining Evidence guidance.

All centres will be subject to the quality assurance procedures of The Prince's Trust, regardless of their status. Details of our Quality Assurance Reviews can be found in our QSP00: Centre Handbook.

DCS is not transferable between IQAs, Assessors or centres.

Prince's Trust Qualifications will keep your DCS status under review and renew it each year. You will need to make sure that you continue to operate to the high standards that you already have in place. The status is retained as long as the centre runs Prince's Trust Qualifications unless:-

- ➔ the approved individual no longer performs the same role for Prince's Trust qualifications because s/he leaves the centre or moves to another job within the centre. Direct Claim Status is given to named individuals who have been approved and not to the centre itself.
- ➔ any random sampling of the portfolios raises doubts about the quality of the assessments and IQA decisions, resulting in the Direct Claim Status being withdrawn, suspended or kept under review.
- ➔ the centre has not made entries for a Prince's Trust qualification in the previous 12 months.

ISSUING OF CERTIFICATES

Certificates are issued in the learner's name, which is taken as it is entered on The Portal. Centres are advised to enter learners in their legal name which can be supported by appropriate documentation, e.g. passport, birth certificate. Replacements will not be provided to accommodate a subsequent change of name (including a change by Deed Poll).

Centres are responsible for ensuring that names are correctly spelt on the Qualifications Portal before they submit entries. Please contact Prince's Trust Qualifications if there are any errors at the point entries are made. Errors noted after the certificates have been issued will result in replacement certificate fees being charged.

A certificate is and remains the property of Prince's Trust Qualifications and is issued on the following conditions:

- ➔ A certificate must be returned upon request. Prince's Trust Qualifications reserves the right to replace certificates if necessary.
- ➔ It is the responsibility of the centre to forward certificates to its learners. Certificates may be handed to the learners, and centres should obtain proof of identity and signatures confirming receipt. Alternatively, certificates may be posted to learners by a traceable method at the centre's discretion and responsibility.
- ➔ Any alteration or defacement renders a certificate 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. A record of certificates that have been destroyed should be retained for four years from their date of destruction.

Replacement certificates

Requests for replacement certificates must be made by the centre or the learner in writing. Requests must be accompanied by the original certificate, highlighting the change required. If the request is made within six months of the certificate issue date and if the error was made by The Prince's Trust, replacements will be provided free of

charge. A fee is charged for replacement certificates made more than six months after the date of issue or if incorrect details were given by the centre at the time of the claim.

A Replacement Certificate Request Form can be obtained from Prince's Trust Qualifications on request.

Details on fees can be found in the Price List within the relevant Qualification Specification on our website.

RECORDS OF ACHIEVEMENT

Personal Learning Record

The Personal Learning Record (PLR) 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 regulated 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 (ULNs)

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. The LRS help desk telephone number is 0845 602 2589.

Scottish Candidate Number

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.