

## PP30 Certificate Issuance Policy and Procedure

### PURPOSE

This policy and procedure describes the principles and procedures for the issuance of nationally recognised, accredited and non-accredited courses certification documents by Southern Cross Education Institute.

### SCOPE

This policy and procedure applies to all staff of Southern Cross Education Institute who are involved in the issuance of certification documents to the graduated students of Southern Cross Education Institute.

### DEFINITIONS

Academic File	An academic file contains information and documentation about the students program of study included in the academic file are: compliance checklist, training plans, completed student assessments, completed work placement booklets, copy of certification documentation, CoE, student request form, certificate checklist
AQF	Australian Qualifications Framework
Award Qualification	An Award qualification is the result of an accredited complete program of learning that leads to formal certification that a graduate has achieved learning outcomes as described in the AQF
Certification documentation	Certification documentation is the set of official documents that confirms that a qualification has been completed and awarded to an individual.
Non-Award qualification	Non-Award qualifications are those that are not government quality assured and not accredited by the Australian vocational education and training or higher education accreditation authorities.
Record of Results	A record of results is a record of all learning leading to an AQF qualification or an accredited unit in which a student is enrolled and is issued by an authorised issuing organisation. In Australia this may be called a 'transcript of results', 'academic transcript', 'record of achievement' or 'statement of results'
SCEI	Southern Cross Education Institute
Statement of Attainment	A Statement of Attainment recognises that one or more accredited units has been achieved
Testamur	A testamur is an official certification document that confirms that a qualification has been awarded to an individual. In Australia this may be called an 'award', 'parchment', 'laureate' or 'certificate'
Unique Student Identifier	Unique identifier assigned to an individual by the Registrar under section 10 or 12 of the Student Identifiers Act 2014
Unit of Competency	Specification of the standards of performance required in the workplace as defined in a training package
USI	Unique Student Identifier

## POLICY

1. Southern Cross Education Institute (SCEI) is committed to operating in accordance with the practices defined by the Australian Qualifications Framework (AQF) relating to the issuance, recording and reporting of Award qualifications, Statements of Attainment and related certification.
2. SCEI will only issue a testamur, record of results or Statement of Attainment from within its scope of registration with the Australia Skills Quality Authority (ASQA) or Commonwealth Register of Institutions and Courses for Overseas Students (CRICOS).
3. All testamurs, records of results or Statement of Attainment will contain sufficient information to ensure it can be authenticated in accordance with the Award Qualifications Issuance Policy and Certification Documentation: An Explanation available at [www.aqf.edu.au](http://www.aqf.edu.au)
4. SCEI will ensure all students who undertake a program of study with the Institute, are issued the correct certification in accordance with the requirements of the Training Package, VET accredited course or non-Award course.
5. Testamurs and Statements of Attainment will be issued within 30 calendar days of the student being assessed as meeting all the requirements of the course and subject to the payment of all course fees.
6. All certification documents will be issued directly to the recipient of the award and not to a third party.
7. Students who complete part, but not all, of an accredited program of study will receive a Statement of Attainment listing the units of competency completed.
8. Non-Award certificates will not use any award title nomenclature already in use that leads to an Award qualification and will not use the NRT or AQF logos.
9. Testamurs and Statements of Attainment will be re-issued within 20 working days of a student making a request for re-issue and paying the reissue fee.
10. SCEI will maintain a register of all Award and non-Award Qualifications authorised to issue and issued to graduated students.
11. All testamurs, records of results or Statements of Attainment issued by SCEI are protected against fraud.
12. SCEI will retain records of all testamur, records of results or Statements of Attainment that have been issued to students for a period of 30 years.
13. SCEI permits replacement of testamur, records of results or Statement of Attainment.

## PROCEDURE

### 1. Issuance of Award Certification documentation

- 1.1. All students who have completed a program of study leading to an Award qualification or Statement of Attainment are required to complete FOR267 Certificate Request Form, have their trainer/assessor sign that they are eligible to be issued with certification documentation and submit to student administration.
- 1.2. Upon receipt of the completed FOR267 Certificate Request Form, student administration will:
  - 1.2.1. check the student's completed academic file and forward with the completed FOR267 Certificate Request Form to the Campus or Training Manager; and
  - 1.2.2. check the student has a verified USI recorded in the Student Management System.

- 1.3. If the student does not have a recorded and verified USI, student administration must notify the student and inform them of the process to obtain a USI.
- 1.4. Once the USI is received by student administration it must be verified before any certificate documentation can be issued as per Clauses 3.1 – 3.4 and 3.6 of the 2015 Standards for Registered Training Organisations.
- 1.5. The Campus or Training Manager/Coordinator will review the student's academic file:
  - 1.5.1. to be assessed as competent in all units of competency required for the award of the qualification or statement of attainment; and
  - 1.5.2. as having met all the program of study requirements, including any credit transfer or recognition of prior learning arrangements, and all documentation has been completed.
- 1.6. If the student's academic file is deemed to be compliant, the Campus or Training Manager sign and date the Compliance and Certificate Checklists and return the file FOR267 Certificate Request Form to student administration.
- 1.7. Upon receipt of the checked and verified academic file, student administration must check with the Accounts Department to ensure all program of studies fees have been paid. If a student has outstanding fees, their certification documentation may be withheld.
- 1.8. If the student has paid all program of studies fees and has a recorded and verified USI, then student administration will print a copy of the testamur and records of results via the student management system.
- 1.9. The compliance officer will check the copy of testamur and records of result and verify:
  - 1.9.1. The testamur contains correct and current qualification code and title; and
  - 1.9.2. The record of result contains the correct code and title of units of competency; and
  - 1.9.3. The compliance officer will then sign the FOR267 Certificate Request Form at relevant section and give back to student administration.
- 1.10. After the Testamur and Record of Results has been deemed compliant from Compliance Officer, Student Administration will issue the testamur and records of result to the student.
- 1.11. The testamur and records of result must be issued within 30 calendar days of the student's final assessment being completed, subject to full payment of course fees and a valid USI.
- 1.12. All testamur and records of results issued can only be signed by the Chief Executive Officer.
- 1.13. Before signing a testamur and records of results the Chief Executive Officer shall ensure they contain information in accordance with the Australian Qualifications Framework.
- 1.14. At a minimum a testamur and records of results must contain the following:
  - Southern Cross Education Institute as the issuing organisation
  - full legal name of graduate who is entitled to receive the Award qualification
  - awarded qualification by its full code and title
  - date of issue
  - person(s) in the organisation authorised to issue the documentation
  - authenticity of the document to protect against fraudulent use
  - units of competency by their full code and title
  - RTO provider number
  - AQF statement or AQF logo

## 2. Issuance of Statements of Attainment

- 2.1. Statement of attainment is issued to students who have completed one or more units of competency but does not meet the requirements for a full qualification as specified in the Training Package or Accredited Course.
- 2.2. The first steps in the procedure are as per items 1.1 – 1.10 under Issuance of Award Certification documentation
- 2.3. The statement of attainment must be issued within 30 calendar days of the student's final assessment being completed, subject to full payment of course fees and a valid USI.
- 2.4. All statement of attainments issued can only be signed by the Chief Executive Officer.
- 2.5. Before signing a statement of attainment the Chief Executive Officer shall ensure they contain information in accordance with the Australian Qualifications Framework.
- 2.6. At a minimum a statement of attainment must contain the following:
  - Southern Cross Education Institute as the issuing organisation
  - full legal name of graduate who is entitled to receive the statement of attainment
  - the accredited units of competency by their full code and title
  - date of issue
  - person(s) in the organisation authorised to issue the documentation
  - authenticity of the document to protect against fraudulent use
  - RTO provider number
  - NRT logo
  - The statement 'A statement of attainment is issued when an individual has completed one or more accredited units.'
- 2.7. A Statement of Attainment may also contain a statement regarding professional accreditation(s) associated with the award.

## 3. Issuance of a non-Award Certificate

- 3.1. All students who have completed a non-Award program of study are required to complete FOR267 Certificate Request Form, have their trainer/assessor sign that they are eligible to be issued with a certificate and submit to student administration.
- 3.2. Upon receipt of the completed FOR267 Certificate Request Form, student administration will:
  - 3.2.1. present the student's completed academic file and FOR267 Certificate Request Form to the Campus or Training Manager; and
  - 3.2.2. check the student has a verified USI recorded in the Student Management System.
- 3.3. If the student does not have a recorded and verified USI, student administration must notify the student and inform them of the process to obtain a USI.
- 3.4. Once the USI is received by student administration it must be verified before any certificate documentation can be issued as per clauses 3.1 – 3.4 and 3.6 of the 2015 Standards for Registered Training Organisations
- 3.5. The Campus or Training Manager will review the student's academic file:
  - 3.5.1. to be assessed as successfully completed all modules or subjects required for the award of the certificate; and
  - 3.5.2. as having met all the program of study requirements and all documentation has been completed.

- 3.6. If the student's academic file is deemed to be compliant, the Campus or Training Manager sign and date the Compliance and Certificate Checklists and return the file and FOR267 Certificate Request Form to student administration.
- 3.7. Upon receipt of the checked and verified academic file, student administration must check with the Accounts Department to ensure all program of studies fees have been paid. If a student has outstanding fees, their certification documentation may be withheld.
- 3.8. If the student has paid all program of studies fees and has a recorded and verified USI, then student administration will print a copy of testamur and record of results via the student management system.
- 3.9. The compliance officer will check the copy of testamur and record of results and verify:
  - 3.9.1. The testamur contains correct and current qualification code and title; and
  - 3.9.2. The record of result contains the correct code and title of modules or subjects; and
  - 3.9.3. The compliance officer will then sign the FOR267 Certificate Request Form at relevant section and give back to student administration
- 3.10. After Testamur and Record of Result deemed compliant from the compliance officer, student administration can issue testamur and record of results to the student.
- 3.11. The certificate must be issued within 30 calendar days of the student's final assessment being completed, subject to full payment of course fees and a valid USI.
- 3.12. All certificates issued can only be signed by the Chief Executive Officer.
- 3.13. At a minimum a Non-Award certificate must contain the following:
  - Southern Cross Education Institute as the issuing organisation
  - full legal name of graduate who is entitled to receive the award
  - Non-Award program/ course by its full code and/or title
  - the modules or subjects by their full code and/or title
  - date of issue
  - person(s) in the organisation authorised to issue the documentation
  - authenticity of the document to protect against fraudulent use
  - RTO provider number
- 3.14. For Non-Award ELICOS courses the certificates must contain the start and end date of the course.

#### **4. Re-issuance of Certification Documentation**

- 4.1. A graduated student may request a replacement testamur, record of results, statement of attainment or non-award certificate upon completion and submission of FOR66 Student Request Form.
- 4.2. The FOR66 Student Request Form must be accompanied by:
  - The originally issued testamur, record of results, statement of attainment or non-award certificate\*
  - A Statutory declaration, if the original testamur, record of results, statement of attainment or non-award certificate is not available stating the original has been lost, damaged or destroyed.
  - A certified copy of photographic proof of identity e.g. Passport, Drivers Licence.
  - Payment of the prescribed replacement fee, as per PP03 Student fees and charges policy and procedure, in the form of cheque or money order. If paying by credit card, the student must go to the accounts department, pay the fee and receive a receipt to accompany the form.

*\*the original testamur, record of results, statement of attainment or non-award certificate will be retained in the Student Management System.*

- 4.3. The student submits the form and accompanying documents to Student Administration.
- 4.4. Student administration will forward the completed FOR66 Student Request Form and accompanying documents to the Campus or Training Manager.
- 4.5. The Campus or Training Manager will:
  - 4.5.1. review the credential register and student electronic file in the Student Management System and the student's academic file to ensure the original testamur, record of results, statement of attainment or non-award certificate was issued; and
  - 4.5.2. document on FOR66 Student Request Form if they approve or reject the application. If the application is rejected, the Campus or Training Manager must provide a reason; and
  - 4.5.3. return FOR66 Student Request Form and accompanying documentation to Student Administration.
- 4.6. Student Administration will:
  - 4.6.1. re-issue the testamur, record of results, statement of attainment or non-award certificate within 20 days of receipt of the completed FOR66 Student Request Form;
  - 4.6.2. the re-issued testamur, records of results, statement of attainment or non-award certificate will be issued in the approved format which is in affect at the time of the replacement;
  - 4.6.3. before receiving the replacement document, the student must sign an agreement on FOR66 Student Request Form to state that in the event the lost testamur, records of results, statement of attainment or non-award certificate is found, the replacement document will be returned to Southern Cross Education Institute;
  - 4.6.4. record and file FOR66 Student Request Form, copy of replacement document in the student's administration file and make a journal entry in the student's electronic file in the student management system;
  - 4.6.5. the student may appeal against a decision not to re-issue the testamur, records of results, statement of attainment or non-award certificate via the Institute's PP11 Complaints and Appeals policy and procedure.

## **5. Revocation of an Award**

- 5.1. Southern Cross Education Institute may require the return of a testamur, record of results, statement of attainment or non-award certificate in the following circumstances:
  - 5.1.1. If the award was improperly obtained through fraudulent or misleading information; and/or
  - 5.1.2. If there is identified to be an administrative error e.g. the document contains incorrect information.
- 5.2. Upon revocation of an award the student is notified in writing that they are no longer to cite or imply that they are a recipient of that award.
- 5.3. Revocation of an award and its reasons are documented in the student's file in the student management system by the Administration Manager.

## RELATED DOCUMENTS

- Award Qualifications Issuance Policy 2013 ([http://www.aqf.edu.au/wp-content/uploads/2013/05/AQF\\_Issuance\\_Jan2013.pdf](http://www.aqf.edu.au/wp-content/uploads/2013/05/AQF_Issuance_Jan2013.pdf))
- AQF Certification Documentation: An Explanation (<http://www.aqf.edu.au/wp-content/uploads/2013/06/Certification-Documents-Explanation.pdf>)
- FOR66 Student Request Form
- FOR267 Certificate Request Form
- PP03 Student fees and charges policy and procedure
- PP11 Complaints and Appeals policy and procedure

## LEGISLATIVE CONTEXT

Australian Government, Department of Industry, Skills Unique Student Identifier: The USI and reporting.  
(<http://usi.gov.au/Training-Organisations/Pages/the-USI-andreporting.aspx>)

Australian Qualifications Framework (<http://www.aqf.edu.au>)

2015 Standards for Registered Training Organisations: Standard 3 (<http://www.asqa.gov.au/users-guide-to-the-standards-for-registered-training-organisations-2015/about-the-standards-for-rtos/standard-three/standard-three.html>)

2014-16 VET Funding Contract – Schedule 1 Victorian Training Guarantee Program Specifications (Version 3.0): Schedule 15.2  
The National Code of Practice for Registration Authorities and Providers of Education and Training to Overseas Students 2018, Standard 11

## RESPONSIBILITIES

The position(s) responsible for implementing and ensuring compliance with this policy and procedure are:

- Chief Executive Officer
- Campus Manager
- Training Manager
- Administration Manager
- Compliance Manager
- Administration Officer(s)

The position(s) or groups who should be aware of this policy and procedure are:

- Trainers and Assessors
- Administration
- Compliance Assistant(s)
- Students

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