



# CONFERRAL AND ISSUANCE POLICY

<b>Version:</b>	<b>Approved by:</b>	<b>Approval Date:</b>	<b>Effective Date:</b>	<b>Next Review:</b>						
9	UOWC Ltd Board	29 August 2023	29 August 2023	29 August 2028						
<b>Policy Custodian:</b>	Administration Manager	<b>Document No:</b>	POL-UOWC-03							
<b>Purpose:</b>	The purpose of this Policy is to: <ol style="list-style-type: none"><li>1. Provide instruction on conferral and issuance standards for UOW College Australia (UOWCA); and</li><li>2. Ensures that the production and issuance of official documentation reflects regulatory requirements.</li></ol>									
<b>Scope:</b>	<b>UOWGE</b>		<b>UOWCA</b>	✓	<b>UOWD</b>		<b>UOWCHK</b>		<b>UOWMKDU</b>	
	This Policy applies to: <ol style="list-style-type: none"><li>1. UOWCA Higher Education Diploma and Undergraduate Certificate programs; and</li><li>2. VET Training Packages delivered by UOWCA.</li></ol> <p>This Policy <b>does not</b> apply to UOW-accredited Higher Education Diploma and Undergraduate Certificate programs that are conferred by UOW. Where a Student has completed a UOW-accredited Higher Education Diploma or Undergraduate certificate, UOWCA will provide their details to UOW Student Services who will manage the conferral of these awards.</p>									
<b>Related Documents:</b>	Certificate and Qualification Issuance Procedure - Academic Certificate Reprint Request Form (Academic and ELICOS) Privacy Policy Records Management Policy Vocational Qualification Issuance Procedure									
<b>References and</b>	Australian Qualifications Framework									



<b>Legislation:</b>	Australian Qualifications Framework Issuance Policy
	Australian Qualifications Framework Qualifications Register Policy
	Standards for Registered Training Organisations (RTOs) 2015
	Student Identifiers Act 2014

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## 1. Definitions

<b>Word/Term</b>	<b>Definition (with examples if required)</b>
AQF Qualification	The result of successfully completing an accredited Higher Education course or VET Training Package that leads to the issuance of formal Certification that a graduate has achieved learning outcomes as described in the AQF.
Australian Qualifications Framework (AQF)	The framework for regulated, quality assured and nationally recognised qualifications in the Australian schools, Higher Education and Vocational Education and Training (VET) education sectors.
Certification	The set of official documents that confirms that an AQF qualification or Statement of Attainment has been completed and awarded to an individual.
Conferral	Occurs when a Student has met the requirements of the qualification or Statement of Attainment. It is the official act of awarding an AQF Qualification or Statement of Attainment.
Higher Education Diploma Award	The official UOWCA certificate which confirms the completion of a Higher Education Diploma program.
Higher Education Undergraduate Certificate	The official UOWCA certificate which confirms the completion of a Higher Education Undergraduate Certificate program.
Statement of Attainment	A record of results which recognises the completion of one (1) or more units of competency as part of a nationally recognised VET course.
Student	A person enrolled in any course or program of study offered at UOWCA. For Students enrolled in VET Training Packages, this may be referred to as 'learner'.
Subject	A self-contained unit of study or VET unit of competency in any course or program offered at, or in conjunction with, UOWCA.
VET	Vocational Education and Training.

VET Training Package	The nationally endorsed, integrated set of competency standards, expressed in units of competency, for a specific industry, industry sector or enterprise. Training packages also detail how units of competency can be packaged into nationally recognised and portable qualifications that comply with the AQF.
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## 2. Conferral of AQF Qualifications and Statement of Attainment

- 2.1 The award of an AQF Qualification or Statement of Attainment will be conferred, by the Delegated Authority, to Students who meet the following requirements:
1. The Student has met all the relevant course requirements;
  2. The Student is not indebted to UOWCA; and
  3. The Student is not currently subject to any Student conduct matters.
- 2.2 Where a Student does not meet the above requirements, an award cannot be conferred.
- 2.3 Details on the process of conferral can be found in the relevant program's *Conferral Procedure*.

## 3. Certification Documentation

- 3.1 Certification documentation for the conferral of an AQF Qualification consists of:
1. A Testamur; and
  2. A Record of Results (Academic Transcript).
- 3.2 At the discretion of UOWCA, certification documentation and Statement of Attainment may be issued in digital or paper format.
- 3.3 Copies of certification documents and Statement of Attainment or a printout of the online Enrolment Record are not official certification documents and should not be accepted or presented as such.
- 3.4 Under no circumstances should any certification documentation or Statement of Attainment include a Unique Student Identifier (USI).

### ***Supply of Documentation***

- 3.5 Certification documents and Statement of Attainment are produced and issued under the authority of the UOWC Ltd Board or a Delegated Authority.
- 3.6 Appropriate academic records or related information may be provided under specific legislation to a law enforcement agency under subpoena, police search warrant or other official request.



- 3.7 One (1) testamur and one (1) record of results or one (1) Statement of Attainment will be provided to Students free of charge upon conferral of an award. Replacement or additional certification documentation will incur a charge.
- 3.8 Certification documentation and Statement of Attainment will reflect the name of the Student as it is recorded in the relevant Student system. It is the responsibility of the Student to ensure all aspects of their recorded name are correct prior to their award being conferred.
- 3.9 Certification documentation and Statement of Attainment for Students enrolled in VET Training Packages must be issued to a learner within thirty (30) days of the learner being assessed as meeting the requirements of the training product.

### ***Security of Documentation***

- 3.10 UOWCA is responsible for ensuring that it has in place mechanisms to reduce fraudulent or unauthorised reproduction and use of the AQF qualifications it issues.
- 3.11 At a minimum, Certification documentation and Statement of Attainment issued by UOWCA will contain the following security measures:
  - 1. UOWCA Watermark appears on the transcript;
  - 2. Micro Print Line appears on the transcript;
  - 3. The UOWCA Crest appears on the transcript; and
  - 4. The UOWCA Seal appears on the testamur.
- 3.12 A hologram will also be included on the Academic Transcript.

## **4. Content and Format of Certification Documentation**

- 4.1 Certification documentation and Statement of Attainment will be generated using official UOWCA formatting, design and stationary, appropriate to the document type.
- 4.2 Certification documentation and Statement of Attainment will only use the English character set and Standard English punctuation marks.
- 4.3 The General Manager is responsible for maintaining the currency of the formatting and content of Certification documentation and Statement of Attainment. Any substantive alterations to the documentation must be approved by the General Manager and the Executive Director, Commercial and Legal.

### ***Testamur***

- 4.4 Each graduate is entitled to a Testamur following the conferral of a UOWCA qualification.
- 4.5 UOWCA Testamurs will contain the following information:
  - 1. The name of the issuing provider;

2. The full name of the graduate who is entitled to receive the AQF qualification;
  3. The full title of the awarded qualification;
  4. Date of issuance/conferral;
  5. The name, office and signature of the Delegated Authority authorised to issue the testamur; and
  6. Authenticity of the document as shown through the use of security features as outlined in Part 3.11, to reduce fraud.
- 4.6 Where the Testamur relates to an AQF qualification, it must include either the AQF Logo or the statement “The qualification is recognised within the Australian Qualifications Framework”.
- 4.7 In addition to the above, Testamurs issued for VET AQF Qualifications will also include:
1. The name, RTO code and UOWCA logo;
  2. The code of the awarded vocational qualification and full title; and
  3. The NRT Logo.

### ***Higher Education Record of Results (Academic Transcript)***

- 4.8 Where an AQF Qualification is conferred for the award of a Higher Education Diploma or Undergraduate Certificate, a Student will be issued with an Academic Transcript which details their academic performance while studying at UOWCA.
- 4.9 The transcript will be printed on official stationery and contain:
1. The name of the issuing provider;
  2. The full name of the graduate who is entitled to receive the AQF qualification;
  3. The full title of the awarded qualification;
  4. Date completed;
  5. Student Number;
  6. A complete record of results, comprising:
    - a. Full unit of study (subject) title(s) and code(s);
    - b. Year and session when units of study were undertaken and completed;
    - c. The weighting of units of study (credit points);
    - d. Credit granted through recognition of prior learning; and
    - e. The grades and/or marks awarded for each unit of study undertaken.
  7. Any security features; and
  8. The seal of UOWCA.

- 4.10 Students who complete part of the requirements of a Higher Education AQF qualification in which they are enrolled are entitled to receive a record of results.

### ***VET Record of Results (Transcript)***

- 4.11 Where an AQF Qualification is conferred for the award of a VET AQF Qualification, a Student will be issued with a Transcript.
- 4.12 The transcript will be printed on official stationery and contain:
1. Course Code and Name;
  2. Student Name;
  3. Student Number;
  4. Date of issuance;
  5. A complete record of units of competency successfully completed in the enrolled VET Training Package, comprising:
    - a. Unit of Competency Code and Name;
    - b. Unit Outcome; and
    - c. Unit Completion date.
  6. The name, RTO code and UOWCA logo;
  7. Statement 'These units have been delivered and assessed in English';
  8. The signature of the Delegated Authority;
  9. Any security features; and
  10. The seal of UOWCA.

## **5. Statement of Attainment**

- 5.1 Statement of Attainment must be in a form that ensures it cannot be mistaken for a Testamur for a full qualification and must include:
1. The name, RTO Code and UOWCA logo;
  2. A list of all units of competency showing their full title and the national code for each unit;
  3. The authorised signatory;
  4. Date of issuance;
  5. The NRT Logo;
  6. The following elements, as applicable:
    - a. The NSW State Training Authority Logo;
    - b. The statement: "A Statement of Attainment is issued by a Registered

Training Organisation where an individual has completed one or more accredited units”;

- c. The statement: “These competencies form part of [code and title of qualification(s) / course(s)]”;
  - d. The statement: “These competencies were attained in completion of [code] course in [full title]”; and
  - e. The statement: “These units / modules have been delivered and assessed in English” followed by a listing of the relevant units/modules.
- 5.2 UOWCA is responsible for authenticating and verifying a Student’s Statement of Attainment to reduce fraudulent reproduction and use.

## 6. Replacement of Certification Documentation and Statement of Attainment

- 6.1 Certification documentation and Statement of Attainment are legal documents that evidence a nationally recognised qualification, or components thereof, issued by an approved body. As such, their issuance and replacement is controlled.
- 6.2 UOWCA will replace certification documentation and Statement of Attainment where the Student has:
1. Submitted a written request for the documentation to be re-issued; and
  2. Paid any associated administrative fees.
- 6.3 UOWCA systems will be noted to record records relating to the replacement of certification documentation or Statement of Attainment.
- 6.4 Certification documentation and Statement of Attainment will be reissued in the event that the Student has changed their name. For documents to be reissued the Student will need to do the following:
1. Submitted a written request for the documentation to be re-issued along with the new name;
  2. The Student will provide documentary evidence of an official change of name; and
  3. Paid any associated administrative fees.

## 7. Rescinding Qualifications

- 7.1 An AQF qualification, or part thereof, that is conferred by a Delegated Authority may be rescinded in the following circumstances:



1. It is proved through investigation, in light of information not known at the time of conferral, that the Student met the requirements of the course through engaging in academic misconduct as a result of which, had it been detected, would have prevented the Student from meeting the course requirements or learning outcomes; or
  2. The qualification, or part thereof, was conferred in error.
- 7.2 Where a qualification, or part thereof, is revoked, all certification documentation issued to the Student must be surrendered to UOWCA within five (5) working days of receiving the notice of revocation.
- 7.3 The power to rescind qualifications, or parts thereof, which have been conferred vests with the UOWC Ltd Board.

## 8. Record Management and Governance

- 8.1 UOWCA will keep complete records regarding the conferral of awards.
- 8.2 These records are to be managed in accordance with UOW Global Enterprises' *Records Management Policy*.
- 8.3 Special provisions pertain to the management of AQF qualification records. UOWCA is obliged to:
1. Maintain a certificate register of all AQF qualifications and Statements in systems of Attainment that have been issued, including sufficient information to identify the:
    - a. Holder of the qualification;
    - b. AQF qualification by its full title; and,
    - c. Date of issuance.
  2. Retain records of AQF certification documentation and Statement of Attainment for a period of thirty (30) years;
  3. Provide reports of records of qualifications and Statement of Attainment issued, to regulatory authorities, as requested; and
  4. Authenticate and verify graduates' certification documentation where the graduate has provided consent for their personal information to be released to a third party.
- 8.4 Nothing in this Policy precludes or limits any provisions of the UOW Global Enterprises' *Privacy Policy*.



## 9. Graduation Ceremony

9.1 The act of conferral is a distinct process from attendance at a Graduation Ceremony.

9.2 Graduation ceremonies will be conducted for Students who are eligible for an AQF qualification at venues and on dates to be determined by the General Manager.

9.3 The graduation ceremony booklet will include the names of all Students eligible to receive awards. Eligible Students are invited to graduation.

## 10. Version Control and Change History

Version Control	Date Effective	Approved By	Amendment
1	16/11/2007	WCA Academic Board	New Policy
2	23/02/2009	WCA Academic Board	Removal of <ul style="list-style-type: none"><li>condition of 45-49% in 8<sup>th</sup> subject for eligibility of diploma (DIPB &amp; DIP IT)</li><li>progression to UOW with 42cps (DIPB)</li></ul> Corrections to steps for conferral of awards
3	10/08/2010	ITC Quality Manager	Administrative update - Migrated to new template
4	20/06/2011	ITC Quality Manager	Administrative update - Updated for name change
5	18/02/2013	UOWC Academic Board	Amended to include Dip CMS, Custodian changed from PM Curriculum
6	04/09/2015	Policy Officer and Law Clerk	Administrative update – merge to new template, update position titles.
7	21/07/2016	Compliance Officer	Administrative update – UOWCA branding and document format updated.
8	19/06/2017	UOWC Ltd Board	Substantive review. Incorporation of legislative requirements.
9	29/08/2023	UOWC Ltd Board	Substantive review – definitions updated, migrated to new template, titles and courses



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			updated, security measures on certification updated, official documentation added for name change, graduation ceremony updated, alignment with the AQF Qualifications Issuance Policy and AQF Qualifications Register Policy.
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