

QUALIFICATION ISSUANCE AND GRADUATION POLICY AND PROCEDURE

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Policy Lead	Director Student Experience
Approving Authority	Board of Directors
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Version	2024.1
Relevant legislation or external requirements	<p>National Code of Practice for Providers of Education and Training to Overseas Students 2018 (NC: 2.1.4, 3.3.5)</p> <p>Higher Education Standards Framework (Threshold Standards) 2021 (HESFs: 1.5, 6.2.1(a, h), 6.3.1d, 7.1.2, 7.2.2d)</p> <p>Australian Qualifications Framework (AQF)</p> <p>Tertiary Education Quality and Standards Agency Act 2011 (TEQSA Act)</p> <p>Education Services for Overseas Students Act 2000 (Cth) (ESOS Act)</p> <p>Education Services for Overseas Students Regulations 2019 (Cth) (ESOS Regulations)</p>
Related ASA Documents	<p>Governance Charter</p> <p>Quality Assurance Framework</p> <p>Delegations of Authority Register</p> <p>Student Assessment Policy</p> <p>Short Courses and Microcredentials Policy and Procedure</p> <p>Records and Information Management Policy and Procedure</p> <p>Student Code of Conduct</p> <p>Student Fees, Charges, and Refund Policy</p> <p>Student Fees, Charges, and Refund Procedure</p> <p>Deferral, Suspension, and Cancellation Policy and Procedure</p> <p>Student Support, Wellbeing, and Health Policy and Procedure</p> <p>Academic Integrity Policy</p> <p>Academic Misconduct Procedure</p> <p>Awards and Prizes Policy and Procedure</p> <p>Privacy Policy</p>

1. Purpose

This Policy and Procedure describes the requirements of the Australian School of Accounting (ASA) for conferring formal qualifications under the Australian Qualifications Framework (AQF), encompassing the procedural steps for approving documentation confirming students' academic attainment at ASA.

ASA upholds the integrity of the AQF qualifications. This commitment is manifested through the implementation of rigorous procedures for award approval, ensuring the authenticity of issued certification documentation, and safeguarding the security of records related to certification documentation.

2. Scope

This Policy applies to all documentation issued by ASA relating to student academic attainment and qualifications.

3. Principles

All students who satisfactorily complete an approved course will receive certified documentation that verifies their achievements.

- The process for issuing qualifications and awards will be transparent.
- The integrity and credibility of all ASA's qualifications will be safeguarded against fraudulent issuance.
- Graduates will only receive the qualification documentation for which they are eligible and only when all the requirements of the course of study have been fulfilled.

4. Definitions

Term	Definition
award	A qualification accredited by the Tertiary Education Quality and Standards Agency according to the Australian Higher Education Standards Framework and the Australian Qualifications Framework, which is conferred on a student who has fulfilled the requirements of the course leading to the award.
Australian Higher Education Graduation Statement (AHEGS)	A secondary transcript issued to students when they graduate that provides a snapshot of their graduate achievements.
Australian Qualifications Framework (AQF)	The national policy for regulated qualifications in Australian education and training. The AQF encompasses higher education, vocational education and training and school education.
conferral	The formal decision by the Board of Directors to confer an award on a graduand.
Graduand	A student whose completion of an ASA accredited higher education course has been confirmed, and the award has not yet been conferred.
Graduate	A student who has had an award conferred on the basis of course completion.
graduation	The moment when an award is conferred on a graduand.
non-AQF award	A course leading to a qualification of an award not covered by the Australian Qualifications Framework.
record of results / academic transcript	A record of results is a record of 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'.
Statement of Attainment (SoA)	A statement, authorised by the Academic Dean, issued for partial completion of an ASA course. It includes details of units of study enrolled in and awarded grades, and any advanced standing and academic credit given.
Testamur	An official certification document that confirms a qualification has been awarded to an individual.

5. Policy Statement

ASA will only issue qualification documentation consistent with this policy and applicable legislation, standards, and regulations.

6. Qualifications and Certifications

All certification documents are designed to be readily distinguishable from other certifications by ASA or other providers and able to be traced, authenticated, and replaced, if required, by ASA through an authorised and verifiable process.

Awardees of ASA qualifications are issued with authorised certification documentation including a Testamur, and either a record of results or an Australian Higher Education Graduation Statement (**AHEGS**) (graduation statement).

If a student ceases their enrolment at ASA prior to completing a qualification, including a nested qualification, they will be provided with a Statement of Attainment (SoA) upon request.

These documents will correctly state:

- the name of the registered higher education provider; the Australian School of Accounting;
- the full name of the person to whom the documentation applies;
- the date of issue;
- the name and office of the person authorised to issue the documentation;
- a universal identifier for the certificate; and
- inclusions designed to protect documents against fraud and unauthorised reproduction.

All AQF Qualifications issued by ASA will be clearly distinguishable from Non- AQF Awards. If the qualification is recognised in the AQF, it will also include:

- the logo of the AQF or the words, 'This qualification is recognised within the Australian Qualifications Framework';

6.1 Testamurs

All Testamurs will state in addition to the details listed above:

- the full title of the qualification awarded, including the field or discipline of study; and
- any subsidiary component of the qualification (such as integrated honours, an area of specialisation or a major study); and
- if any parts of the course of study or assessment were conducted in a language other than English.

6.2 Records of Results / Academic Transcript

All Records of Results issued by ASA will state correctly:

- the full name of all courses and units of study undertaken and when they were undertaken and completed;
- credit granted through recognition of prior learning (Advanced Standing);
- the weighting of units within the course of study;
- the grades and/or marks awarded for each unit of study undertaken and, if applicable, for the course overall;
- where grades are issued, an explanation of the grading system used;
- where a course of study includes a significant particular focus of study such as honours,

an area of specialisation or a major study, a definition of that component of significant focus; and

- where an award is made as posthumous or aegrotat, an appropriate note will be added indicating this fact.

6.3 Posthumous and Aegrotat awards

A student who fails to complete their award due to death or permanent disability may be eligible for a respective posthumous or aegrotat award. Such a student must have completed approximately seventy five percent of their award. An application for such an award may be made by the student, student's immediate family, Course Coordinator, or Academic Dean. On recommendation from the Academic Dean, the Academic Board may recommend the awarding of the posthumous or aegrotat degree.

7. Provision of Academic Documentation

Upon the conferral of the award, a Testamur, an Official Academic Transcript, and a Completion Letter will be issued to students who have successfully fulfilled the requirements of their enrolled award. These documents are provided at no additional cost. Any further requests for a Testamur or final Academic Transcript beyond the initial issuance will incur a nominal fee.

Upon the conclusion of each study period, students who have no outstanding fees may request an Interim Academic Transcript, detailing their grades for each enrolled unit of study. A small fee will be applied to this service, please refer to the *Student Fees, Charges, and Refund Policy* for further detail.

8. Record Keeping

To enable appropriate authentication and verification processes, ASA will maintain student records containing comprehensive information on all issued academic documentation.

ASA will maintain a record of all AQF qualifications the provider is authorised to issue; and all qualifications and certifications issued.

8.1 Replacement Documentation

Replacement Testamurs, Academic Transcripts and Statements of Attainment may be requested from ASA and will be re-issued after verification of requests.

Students seeking a reissued academic testamur must submit a formal request to the Director Student Experience or the designated administrative department.

- Students must provide necessary information, including full name, student identification number, program of study, graduation date, and any other relevant details.
- Depending on circumstances, students may need to provide supporting documentation to verify their identity or the need for a reissued testamur. This could include identification documents or a sworn affidavit.
- Students will be charged associated fees for the reissuance of an academic testamur and will be required to make necessary payments as instructed by the institution. Please refer to the *Student Fees, Charges, and Refund Policy* for further detail.
- ASA will endeavour to process requests within 20 days, but processing times may vary.
- Once approved, students will be notified regarding the collection or delivery of the reissued academic testamur. This may involve in-person pickup or mailing to the

student's address.

- Upon receipt, students must review the reissued testamur to ensure accuracy. Any errors or discrepancies should be reported promptly to the institution for correction.
- All students and institutional staff involved in the reissuance process must adhere to the guidelines outlined in this policy. Non-compliance may result in delays or errors in the reissuance process.

8.2 Integrity and Security

ASA will safeguard the integrity and security of all academic documentation. ASA uses embedded security sealed certificate paper when awarding its qualifications and other mechanisms to minimise the potential for fraudulent duplication and/or use.

Other security and integrity measures include sequential numbering of the each of the Testamur documents and a unique logo.

ASA's student management system and records are protected against unauthorised access as outlined in the *Cyber Security Framework*. The physical premises are secured appropriately as per the *Work, Health, and Safety Policy* and associated procedure.

9. Award Conferral Procedure

1. The Academic Dean will review all results to verify students' fulfillment of course requirements and that there are no unresolved reviews of academic results.
2. The Academic Dean will provide a list of students to the Academic Board, stating that the students have completed course requirements and confirming the fulfillment of all conditions for completion.
3. The Academic Board will recommend the conferral of educational awards to the Board of Directors for approval.
4. The Board of Directors will approve the conferral of all degrees and other qualifications granted by ASA after considering recommendations from the Academic Board.
5. Upon meeting the course requirements to the satisfaction of the Board of Directors, students become eligible to graduate, provided all fees are settled, and there is no ongoing disciplinary action or investigation.
6. The Director of Student Experience will review the students' records to ensure that there are no outstanding fees, charges or investigations into students' non-academic conduct.
7. Once all academic and non-academic requirements have been met the Director of Student Experience, or delegate, will inform graduands of their status and the date of conferral (graduation). If relevant, graduands will be informed of graduation ceremony information.
8. The Director of Student Experience, or delegate, will issue the following to graduates:
 - a. a Testamur
 - b. an Official Academic Transcript and
 - c. a Completion Letter.
9. Graduands/ Graduates who will not be in attendance at ASA on the conferral date will be provided with other means of receiving their academic documentation.

9.1 Graduation Eligibility Criteria

To be eligible for graduation, a student must fulfill the following conditions:

1. Completion of all course requirements.
2. No outstanding fees at the time of graduation. Students with outstanding fees or undergoing disciplinary action or penalties are ineligible for graduation until their financial obligations are cleared or the disciplinary matters are resolved.
3. Absence of any current suspension, exclusion, or expulsion penalties on the student's record.
4. No prior graduation from the same award.

For students enrolled in a higher qualification who have fulfilled the requirements of a nested award within that qualification, eligibility for the nested qualification is contingent upon withdrawal from the current course. Following withdrawal, the student becomes eligible to graduate with the highest nested qualification for which all course requirements have been met.

Should a student who has obtained a Testamur for a nested qualification desire to pursue the highest nested qualification, the return of the Testamur for the nested qualification is a prerequisite. Only after the return of the initial Testamur can the Testamur for the highest nested qualification be issued.

9.2 Revocation of Awards

If a qualification was erroneously awarded or based on inaccurate information, the Board of Directors may, upon the Academic Board's recommendation, rescind the award promptly. The recipient will be required to return the associated certification documentation.

ASA retains the authority to revoke any conferred award in the following circumstances:

- In the event of an administrative error leading to the conferral of an award for which the student was not eligible.
- When the application of a penalty for academic misconduct, as outlined in the Academic Misconduct Policy, necessitates the revocation of an award.

10. Responsibilities

The Board of Directors is responsible for approving lists of graduands and conferring all degrees and other qualifications granted by ASA after considering recommendations by the Academic Board.

The Academic Board is responsible for considering lists of completed students and, if appropriate, recommending students to the Board of Directors for approval and conferral.

The Academic Dean is responsible for:

- monitoring the progression of students towards the completion of academic requirements of their enrolled course;
- verifying that students have satisfactorily completed all course requirements to the Academic Board; and
- recommending appropriate students to the Academic Board for awards.

The Director of Student Experience is responsible for:

- issuing or reissuing academic documentation;
- responding to verification requests regarding ASA academic documentation;
- organising graduation ceremonies; and
- monitoring the implementation of this procedure.

11. Relevant HESFs

This Policy and the associated Procedure comply with Higher Education Standards Framework (2021) which specifies that:

Standard 1.5 Qualifications and Certification

1. Qualifications, other than higher doctoral or honorary qualifications, are awarded only if a course of study leads to the award of that qualification and all of the requirements of the course of study have been fulfilled.
2. Higher doctoral qualifications require significant, sustained original contributions to a field of research over and above the requirements of a doctoral degree and are awarded in accordance with the higher education provider's specific policies and academic governance requirements for the award of Higher Doctoral Degrees.
3. When an Australian higher education qualification is offered, the course of study leading to the qualification is either self-accredited under authority to self-accredit or accredited by TEQSA and the learning outcomes for the qualification are consistent with the level classification for that qualification in the Australian Qualifications Framework.
4. Awardees of qualifications are issued with authorised certification documentation including a testamur, and either a record of results or an Australian Higher Education Graduation Statement (graduation statement) that state correctly:
 - a. the name of the registered higher education provider issuing the documentation
 - b. the full name of the person to whom the documentation applies
 - c. the date of issue
 - d. the name and office of the person authorised by the higher education provider to issue the documentation, and
 - e. if the qualification is recognised in the Australian Qualifications Framework, the testamur and/or the graduation statement is certified with either the logo of the Australian Qualifications Framework or the words, 'This qualification is recognised within the Australian Qualifications Framework'.
5. All certification documentation issued by the higher education provider is:
 - a. unambiguously issued by the registered higher education provider
 - b. readily distinguishable from other certification documents issued by the higher education provider
 - c. protected against fraudulent issue
 - d. traceable and authenticable
 - e. designed to prevent unauthorised reproduction, and
 - f. replaceable by the higher education provider through an authorised and verifiable process.
6. Testamurs state correctly, in addition to the requirements for all certification documentation:
 - a. the full title of the qualification awarded, including the field or discipline of study
 - b. any subsidiary component of the qualification (such as integrated honours, an area of specialisation or a major study), and
 - c. if any parts of the course of study or assessment leading to the qualification were conducted in a language other than English, except for the use of another

- language to develop proficiency in that language.
7. Records of results state correctly, in addition to the requirements for all certification documentation:
 - a. the full name of all courses and units of study undertaken and when they were undertaken and completed
 - b. credit granted through recognition of prior learning
 - c. the weighting of units within courses of study
 - d. the grades and/or marks awarded for each unit of study undertaken and, if applicable, for the course overall
 - e. where grades are issued, an explanation of the grading system used
 - f. where a course of study includes a significant particular focus of study such as honours, an area of specialisation or a major study, a definition of that component of significant focus, and
 - g. any parts of a course or units of study or assessment that were conducted in a language other than English, except for the use of another language to develop proficiency in that language.
 8. Graduation statements contain, in relation to a particular course of study and the qualification awarded, the information contained in a record of results, presented in a form that conforms with the requirements for an Australian Higher Education Graduation Statement.
 9. Qualifications that do not align with a qualification that is recognised in the Australian Qualifications Framework are not described using the nomenclature of the Australian Qualifications Framework or implied to be a qualification recognised in the Australian Qualifications Framework or an equivalent qualification.
 10. Students who complete one or more units of study that do not lead to the award of a qualification have access to an authorised record of results for the units undertaken.
 11. Any documentation issued with the award of an honorary qualification unambiguously identifies the qualification as an honorary qualification.

Standard 6.2 Corporate Monitoring and Accountability

1. The provider is able to demonstrate, and the corporate governing body assures itself, that the provider is operating effectively and sustainably, including:
 - a. the governing body and the entity comply with the requirements of the legislation under which the provider is established, recognised or incorporated, any other legislative requirements and the entity's constitution or equivalent [...]
 - h. qualifications are awarded legitimately [...]

Standard 7.1 Representation [...]

2. Courses or units of study that are offered or intended to be offered are not described as accredited, whether by TEQSA or by a professional accreditation body for the purposes of registration to practise, until such accreditation has been obtained. [...]

Standard 7.2 Information for Prospective and Current Students [...]

2. Information for students is available prior to acceptance of an offer, written in plain English where practicable, accompanied by an explanation of any technical or specialised terms, and includes: [...]
 - d. information to give access to current academic governance policies and requirements including admission, recognition of prior learning, transition, progression, assessment, grading, completion, qualifications, appeals, academic integrity, equity and diversity, intellectual property and withdrawal from or cancellation of enrolment [...]

12. Version Control

This Policy has been reviewed and approved by the Australian School of Accounting Board of Directors as at April 2024 and is reviewed every three years.

The Policy and Procedure, are published and available on the Australian School of Accounting website <https://www.asahe.edu.au/policies-and-forms/>.

Change and Version Control				
Version	Authored by	Brief Description of the changes	Date Approved:	Effective Date:
2024.1	Director Student Experience	Updated policy to include HESF references, add process detail, ensure meets regulatory compliances. Benchmarked against 4 other Higher Education Providers.	26/04/2024	08/05/2024
Previous version archived. New Policy code and numbering system implemented.				
4.0	ASA Staff	Board of Directors approval	15/12/2021	15/12/2021
3.0	ASA Staff	Board of Directors approval	06/07/2021	06/07/2021
2.0	ASA Staff	Board of Directors approval	04/11/2020	04/11/2020
1.0	ASA Staff	Council approval	26/07/2018	26/07/2018