

POLICY

Title	Parchment Policy	
Approved	TAFE SA Executive	Active Date: 10 February 2017

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TAFE SA Policies are issued under the TAFE SA Policy Management Framework. They are binding on all TAFE SA employees

Responsible Division Executive (Policy Owner): Executive Director Education

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1 Policy

The Parchment Policy establishes the principles, responsibilities and staff procedures for the issuance of Australian Qualifications Framework (AQF) Qualification and Statement of Attainment Parchments in accordance with the Standards for Registered Training Organisations 2015, the Higher Education Standards Framework (Threshold Standards) 2015 and the AQF Qualifications Issuance Policy.

Parchments are statutory documents and it is an offence to issue formal certification outside TAFE SA's scope of registration or to individuals who have not been assessed as meeting the requirements for parchment issuance.

TAFE SA has a zero tolerance stance towards corruption (including fraud), misconduct and maladministration. All allegations of this nature will be fully investigated and appropriate action taken against any staff member or contractor found to have misappropriated TAFE SA resources or acted inappropriately in the performance of their official duties with respect to issuance of Parchments.

2 Scope

This policy applies to all TAFE SA staff involved in the design, security, storage, printing and issuance of Parchment and Statement of Attainment on behalf of TAFE SA.

3 Definitions

Academic Transcript	Academic transcript is an officially authorised record of a student's full enrolment history, results and qualifications
AQF	Australian Qualifications Framework
COE	Confirmation of Enrolment (International Students)
Credit	Credit is the value assigned for the official recognition of knowledge and skills a student demonstrates having previously obtained. Also commonly referred to as 'status'
CRICOS	Commonwealth Register of Institutions and Courses for Overseas Students
Higher Education Standards Framework	Higher Education Standards made under the Tertiary Education Quality and Standards Agency (TEQSA) Act 2011
PRISMS	Provider Registration and International Student Management System
Statements of Attainment	Issued to certify achievement of one or more units of competence from a nationally recognised qualification(s) or VET accredited course(s); or Issued on completion of a Training Package endorsed Skills Set, a nationally recognised "Course in..." or partial completion of a qualification or accredited AQF course.
USI	The Unique Student Identifier scheme allows Students to access a single online repository of their VET achievements. This includes achievements from the beginning of 2015.

VQF	The VET Quality Framework (VQF) is aimed at achieving greater national consistency in the way training providers are registered and monitored and in how standards in the vocational education and training (VET) sector are enforced.
WorkReady	South Australian Government subsidised funding aligned to targeted strategic industry sectors that support economic transformation and jobs in priority areas for Government

4 Related policies

PPMF TAFESA 70	Admissions and Course Management Policy
PPMF TAFESA 1007	Fraud & Corruption Control Plan
PPMF TAFESA 188	Fraud & Corruption Policy and Procedure
PPMF TAFESA 80	Resulting Policy
PPMF TAFESA 57	TAFE SA Assessment Policy and Procedures
PPMF TAFESA 192	TAFE SA Student Fees Policy for Funded/Subsidised Courses 2016

5 References

Australian Government Legislation National Vocational Education and Training Regulator Act 2011	National Vocational Education and Training Regulator Act 2011 and associated legislative instruments (including Standards for Registered Training Organisations (RTO) 2015)
Australian Government Legislation Student Identifiers Act 2014	Student Identifiers Act 2014
Australian Government Legislation Tertiary Education Quality and Standards Agency Act 2011	Tertiary Education and Quality Standards Agency Act 2011 and associated legislative instruments (including Higher Education Standards Framework (Threshold Standards) 2015)
Australian Qualifications Framework (AQF) AQF Issuance Policy	AQF Qualifications Issuance Policy
Australian Qualifications Framework (AQF) AQF Register	AQF Qualifications Register Policy

Department of Education and Training Application of AQF Qualifications Issuance Policy within the VET sector	Department of Education and Training Policy: Application of the Australian Qualifications Framework Qualifications Issuance Policy Within the VET Sector
Department of State Development - WorkReady WorkReady	WorkReady
TAFE SA TAFE SA Staff Brand Guidelines	Staff Brand Guidelines
Australian Skills Quality Authority VET Quality Framework	VQF

6 Procedure

This document outlines the procedures and associated responsibilities for issuance of Australian Qualifications Framework (AQF) Qualification and Statement of Attainment Parchments in line with the underpinning legislative requirements prescribed for a VET and Higher Education registered provider. Quality controls are embedded in the process to mitigate the risk of incorrect, inconsistent or fraudulent issuance of these documents. Oversight of the issuance of parchments is the responsibility of the Regulation Unit. Parchments will only be printed by the Issuance Officers within the Regulation Unit.

6.1 Issuance of Parchments

- TAFE SA will only issue AQF Qualification or Statement of Attainment Parchments, in accordance with legislative requirements, when the following conditions have been met:
 - The student has been assessed as having met the requirements of the training product as specified in the relevant training package, or course of study specified in the VET or Higher Education accredited course.
 - The qualification or units of competency are included on TAFE SA's scope of registration
 - The Student has a verified Unique Student Identifier, unless an exemption applies under the *Student Identifiers Act 2014*, or the qualification is a Higher Education accredited course.
 - In the case of International Students, the qualification is registered on CRICOS and matches the student's Confirmation of Enrolment (COE) from PRISMS.
 - All agreed fees for the qualification applied for have been paid.
- To commence the Parchment issuance process a request must be initiated by completing an on line form. Supporting documents may include;
 - Application for Parchment.
 - Application for Parchment – Checklist,

- Academic Transcript relevant to the Application
- BI005 Report Parchment and Statement of Attainment
- Confirmation of Enrolment (International students only)
- Parchment applications will be deemed unsuccessful if training package or accredited course requirements are not met, or any other corrective action is required at time of lodgement.
- The parchment application can be resubmitted once corrective action has been taken.
- In the case of any financial holds the application may be processed to enable TAFE SA to receive Work Ready funding on “Issuing of Parchment”; however, the Parchment is not physically issued to the student. The Issuance Officer will store the printed Parchment until written notification is received from the education unit that all holds have been cleared.
- TAFE SA may issue a copy of a student’s Parchment to another party, such as an employer, if the student has given written approval. Evidence must be cited to demonstrate that the student has approved the issuance of a copy of their Parchment to another party.
- All uncollected Parchments and Academic Transcripts and those returned by mail as ‘not at address’ must be stored by the Issuance Officer in a secure location for a period of 30 years, and in line with the VET Quality Framework and State Records Act, 1997.

6.2 Timeframe of Issuance

TAFE SA Parchments and Statement of Attainments shall be issued to a student within 30 calendar days of the student’s application being received, provided the student has met the educational requirements of the certification requested, all agreed fees the student owes to TAFE SA has been paid, and the student’s Unique Student Identifier has been provided.

The timeframe is broken down as follows:

30 Calendar Day	Process	Responsibility
20 Calendar Days	Assess Application	Education Unit
10 Calendar Days	Record and Issue	Issuance Unit

Priority requests

- Education units are able to expedite the record and issue of Parchments by the Issuance Unit through submission of a priority request. Priority requests can be processed on the same business day if received prior to 10:00 am. Priority issuance requests must meet one of the following criteria:
 - Issuance of the Parchment enables students to secure a licence that is required for work purposes
 - The student has been disadvantaged by Parchment processing delays within TAFE SA
 - As an outcome of a complaint
 - At the request of the Training Advocate, VET or Higher Education Regulator
 - The Parchment is required for immigration purposes

6.3 Recognition of student achievement with other RTOs towards TAFE SA Parchment

TAFE SA recognises the AQF certification documentation issued by other Registered Training Organisations (RTO) or AQF authorised issuing organisations.

TAFE SA minimum assessment requirements

- For a TAFE SA Parchment to be issued, TAFE SA must have assessed at least 25% of the content of the Qualification or Statement of Attainment.
- Nominal hours shall be used as the quantity indicator when determining 25% of the content of the Parchment or Statement of Attainment.
- Recognition of prior learning (RPL) is a legitimate way for TAFE SA to assess the minimum 25% required.

Assessment of Parchments and Transcripts Issued by another RTO for Credit

The following applies when a student presents an AQF Qualification or Statement of Attainment issued by another RTO for credit towards a TAFE SA Qualification:

- TAFE SA educational staff must verify AQF qualification and statement of attainment issued by another RTO, or Unique Student Identifier (USI) transcripts.
- Verification can occur through a check of the RTO's National Provider number (TGA – www.training.gov.au), or by contacting the Organisation that issued the documents. Verified copies must be kept in the student file along with the student's results from TAFE SA.
- If TAFE SA already has the relevant unit/s of competency on its scope of registration and within SIS, the appropriate result (credit/status) can be recorded in accordance with the TAFE SA Resulting policy. Programs may need to link the unit/s to the qualification to enable resulting.
- If TAFE SA does not have the relevant unit/s of competency on its scope of registration and within SIS, the units will not be entered into SIS solely for the purposes of awarding credit. In this scenario, verified copies of the original AQF certification or USI transcript must be submitted with an *Application for Parchment* and will accompany the TAFE SA academic transcript to support Parchment issuance.

6.4 Issuance Relating to Historical Delivery

Replacement (including Re-issue) of Parchment

- TAFE SA may replace or reissue any Parchment originally issued on or after 1/1/1995 in instances where an original Parchment has been lost, stolen or destroyed, or where the applicant has changed his/her name.
- In all instances, the applicant must complete a Statutory Declaration declaring the status of the original parchment.
- TAFE SA will charge fees in relation to the replacement or reissuance of Parchments:
 - An administration fee of \$50.00 will apply for all replacement Parchments.
 - Where an archival search is required a non-refundable additional fee of \$65 will be charged. This fee is payable prior to the search being conducted.
- To commence the issuance of a replacement Parchment, a Application for Parchment Replacement-Reissue-Extract form must be completed by the applicant, and lodged at a TAFE SA campus.
- In the case of reissuance in a new legal name, appropriate evidence establishing the new name must be presented in accordance with Appendix 2 of this Policy.
- All original documents used to confirm the applicant's identity and support the application are to be copied and endorsed by the Officer receiving the application.
- All endorsed legible documents must be submitted, with the application, to the Issuance team via the online Parchment Request Form on the Issuance intranet page.
- Confirmation will be made to ensure records within SIS (or archives) verify that the Parchment or Statement of Attainment Parchment was originally issued.
- A Parchment will be issued noting that it is a replacement.
- A record will be kept in SIS of the re-issuance or replacement of the parchment.

Historical Parchment Issuance

- Where a student requests issuance of a parchment outside of learner transition requirements a parchment will only be issued where it can be demonstrated that the student was assessed as meeting the requirements of the qualification at the time it was on TAFE SA's scope of registration.
- Retrospective resulting and linking of inactive units to inactive qualifications for the purpose of issuance will not be an accepted work practice.

6.5 Non Accredited and/or Non Assessed Training

- An Acknowledgement of Training may be provided to students in those situations where either no assessment was undertaken by the student or where the training course is non-accredited.
- The Acknowledgement of Training must not resemble in any way TAFE SA's official Parchment, Statement of Attainment, or other official testamur.
- Acknowledgements of Training must be printed on TAFE SA official letterhead.
- Acknowledgement of Training templates and supporting work instructions are available on the TAFE SA Intranet and:
 - No further changes can be made to the template
 - No other form of recognition of training may be produced
- There may be rare instances where a non-accredited industry program is used as a delivery strategy for a unit of competency from a Training Package, making a student eligible to receive both a Parchment and an Acknowledgement of Training.

6.6 Management of Parchment Shells

Parchment Shells

- TAFE SA Marketing is responsible for the design of Parchment shells which meet Government of South Australia and TAFE SA branding requirements.
- TAFE SA Parchment shells shall include security features designed to minimise the risk of production of counterfeit Parchments.
- Blank Parchment shells shall be stored securely at all times.
- Parchments will only be issued on the approved shells of the day.

Joint Badged Parchments

- TAFE SA Parchment and Statement of Attainment and Academic Transcripts will not be permitted to carry the logo or official badging of any other organisation (joint badging) without approval.
- An application for joint badging approval must include the recommendation of the Executive Director, Education and endorsement of the Chief Executive of TAFE SA.
- Approval must consider the Department of Premier and Cabinet (DPC) Circular PC023 (issued July 2006).
- Upon approval a copy of the authorisation will be provided to the TAFE SA Marketing Unit for the development of the appropriate Parchment and Academic Transcript shells specific to the authorisation.
- TAFE SA Marketing Unit is to seek approval of jointly-badged Parchment templates from the Manager, Regulation to ensure compliance with legislative requirements.
- Education Units are responsible for the printing and production cost of non-standard shells that include modification and additional art work. This payment is made directly to the printing contractor.

- In all cases, TAFE SA Parchments can only be issued by TAFE SA as the enrolling body and the final responsibility for recording and issuing academic results remains with TAFE SA.

6.7 Administrative Matters

Record Keeping

- Records of student AQF certification documentation are maintained by TAFE SA in accordance with the requirements of the AQF Qualifications Register Policy, Standards for Registered Training Organisations (RTO) 2015 and Higher Education Standards Framework (Threshold Standards) 2015.
- Where an archival search is required a non-refundable fee of \$65 will be charged. This fee is payable prior to the search being conducted.
- Clients must be advised that not all student records are stored electronically. In this case additional fees, equal to that charged by State Records, may be charged.
- Information retrieved through an archival search will be entered into SIS where possible, or otherwise stored.

If TAFE SA issues a Parchment in error:

- TAFE SA must advise the student in writing of the error, informing the student that the Parchment has been declared invalid and should be returned.
- The returned Parchment will be securely stored by Issuance Officer and noted on the Parchment Database.
- If the student who was issued an incorrect Parchment is eligible for an alternative Parchment, normal Parchment issuance procedures are to be followed to rectify the mistake.
- If the student who was issued an incorrect Parchment is not eligible for an alternative Parchment the relevant work team should provide adequate information as to why the student was not eligible and provide any appropriate assistance to support the student.

Verification and Authentication of Parchments

Requests for verification and authentication of TAFE SA Parchments shall be sent to Parchments@tafesa.edu.au. The Issuance Business Unit is responsible for the authentication and verification while TAFE SA is responsible for ensuring that it has in place mechanisms to reduce fraudulent reproductions and use of the AQF qualifications.

Monitoring

- TAFE SA Staff need to be aware of their obligations and are responsible for notifying the Issuance Business Unit in relation to any suspected fraud or reproduction of parchment documentation.
- If potential fraud is identified, the TAFE SA Fraud & Corruption Policy and Procedure will be followed.
- TAFE SA will report any breach to ASQA, TEQSA and SAPOL in instances of substantiated fraudulent Parchments.
- TAFE SA has systems in place to ensure certification is only issued to students after they have fully demonstrated competence and where evidence is in place.
- A monthly independent review of sample records will be undertaken to confirm legitimate student records and accuracy of information provided by educational unit.
- Monthly stocktake and reconciliation of Parchment and Statement of Attainment shells will be performed.

7 Responsibilities

7.1 Education Unit

The Education Unit is responsible for facilitating the completion of Application for Parchment forms as soon as practicable after students have completed the requirements for a qualification.

The Education Unit will ensure Applications for Parchment are submitted to the Issuance Unit with all the required supporting documentation within 20 calendar days of being received from student.

Education Business Units will ensure that Parchment Issuance occurs within the required timeframe to enable accurate course completions data to be reported to the Commonwealth Department of Education and Training in line with VET Student Loan, VET FEE-HELP, FEE-HELP and Higher Education regulatory reporting requirements.

- **Lecturing** staff are responsible for:
 - Entering student results into SIS.
 - Maintenance of student files and currency of training plans.
 - Establishing the requirements of the qualification and all Training Package/Accredited Course and [VET Qualification Framework](#) (VQF)/Higher Education requirements has been met.
 - Verifying and recording the number of core, elective and total number of units required for issuance of the qualification.
 - Confirming by signature (electronic or other) a student has met the requirements to be issued a Parchment or Statement of Attainment;
 - Notifying Program Support that results have been entered into SIS and the student is able to apply for their parchment.
- **Program Support** staff are responsible for:
 - Ensuring parchment applications are recorded at time of receipt on an education unit Parchment Register.
 - Checking the student has met their financial requirements and any student holds are lifted/removed.
 - Facilitating the completion of Application for Parchment forms as soon as practicable after students have completed the requirements for a Qualification or Statement of Attainment.
 - Confirming that the student has verified Unique Student Identifier and all personal details are current and correct.
 - Submission of application checklist and supporting documentation to Issuance
 - Informing Issuance Officers when any outstanding holds have been cleared.

7.2 Regulation Business Unit

- **Issuance Officers** are responsible for:
 - Processing applications for parchment within 10 calendar days of receipt from the Educational Program.
 - Recording details of applications in database.
 - Completing all required checks as identified in checklist.
 - Recording details of parchment issuance in Student Information System.
 - Management of parchment stocks and security including management of parchment numbers, ordering of shells.
 - Printing of correct parchments according to the parchment templates, and issuance of parchments by registered post Conducting audits of parchment requirements.
 - Weekly resolution of issuance data integrity issues.

- maintaining and uploading register of all received parchment and statement of attainment applications twice weekly.
 - **Manager, Registrations** is responsible for:
 - Providing statistical reporting of performance of parchment issuance.
 - Maintaining records of all parchments issued.
 - Maintaining a Register of AQF qualifications that have been issued.
 - Management of procurement activities associated with parchment shells.
 - **Manager, Regulation** is responsible for:
 - Maintaining the Result Legend to be printed on the reverse side of the Academic Transcript.
 - Reviewing national VET and Higher Education legislation and policy to inform any reviews of Parchment, Statement of Attainment and Academic Transcript shells, in consultation with respective units and TAFE SA Marketing Unit.
 - Facilitation of the endorsement of the final shell design and wording through TAFE SA Executive.
- 7.3 Marketing Manager** is responsible for:
- Design, maintenance and development of the Parchment and Statement of Attainment Shells and the Academic Transcript shell.
 - Maintenance and development of the overwrite templates for the information to be added to the shells by TAFE SA staff.
 - Ensuring designs meet Government of South Australia and TAFE SA branding compliance requirements.
- 7.4 International Unit** is responsible for:
- Ensuring the COE of all international students matches the course registration.
- 7.5 TAFE SA Chief Executive**
- Delegation from the TAFE SA Board provides for the **TAFE SA Chief Executive** as the authorised signatory for Parchments and Statements of Attainment.
- 7.6 TAFE SA students** are responsible for:
- Informing TAFE SA of any changes to legal names or contact details.
 - Returning incorrectly issued Parchments for destruction.
- 7.7 Review of TAFE SA Policy**
- This Policy will be reviewed by the Manager, Regulation according to national legislation and quality standard changes, changes to logos, feedback received from clients or TAFE SA education units and/or contextual changes as required. Failing any of the above changes the Policy will be reviewed every 2 years.

APPENDIX 1: Specifications for Academic Transcripts

The TAFE SA Academic Transcript shell will be A4 in size and printed on paper quality appropriate for formal certification as determined by TAFE SA Marketing Unit.

The TAFE SA Academic Transcript shell will carry the following pre-printed information:

- The authorised form of the title and logo of TAFE SA
- The current results legend

The TAFE SA Academic Transcript will carry the following information fields which are to be entered on the transcript from SIS and checked by the Issuance Officers as appropriate:

- The correct name of the person receiving the Academic Transcript as recorded in SIS at the time of printing of the transcript
- The correct current residential address as recorded on SIS of the person receiving the Academic Transcript
- The correct National Title and Code of the qualification/skill set, where relevant
- The correct National Title and Code for each unit of competence or subject attained/attempted
- The date of issue, which is to be deemed the date of printing of the transcript in the form XX Month XXXX
- The statement Parchment Issued where relevant
- The results, semester and year of completion next to each unit of competence or subject
- The statement 'End of Results printout'
- The weighting of each unit of study within a Higher Education accredited course

APPENDIX 2: Standard Identification Documents

Below is a list of standard documents that can be used to establish identity of a person

- Photographic evidence (i.e. driver's licence)
- Birth Certificate
- Birth Certificate Extract
- Current passport

This subset refers specifically to evident of name change

- Certificate of Change of Name issued by the Principal Registry Office of Births, Deaths and Marriages, Registration Division, Office of Business and Consumer Affairs (South Australia), or interstate equivalent
- Deed Poll executed through a solicitor or Notary Public
- Decree nisi
- Decree absolute
- Gender reassignment medical certification
- Certificate of Marriage

In the case of proof of name change:

Certified copies of the above documents that have been appropriately notarised by a Justice of the Peace, notary or solicitor may be used as evidence

APPENDIX 3: Flowchart for the process for issuing parchments to graduates

