

Academic Records Vice-Chancellor’s Directive

Abstract

The Academic Records Vice-Chancellor’s Directive outlines the principles and practices for UTS official academic record documents issued to students and graduates.

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Approved by	Directive is due for review (up to five years)	07/2021
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	Vice-Chancellor	
Implementation Officer	Director, Student Administration Unit	
Relevant to	All staff and all students	
Related documents	Credit Points for UTS Coursework Awards Policy Department of Education Guidelines for AHEGS Guidelines for the Award of University Medals Privacy Management Plan (PDF) Privacy Vice-Chancellor’s Directive Records Management Vice-Chancellor’s Directive Standing Delegations of Authority Student Rules	
Legislation	Crimes Act 1900 (NSW) Education Services for Overseas Students Act 2000 (Cwlth) Higher Education Support Act 2003 (Cwlth) Independent Commission Against Corruption Act 1988 (NSW) State Records Act 1998 (NSW)	
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Superseded documents	Academic Transcripts Vice-Chancellor’s Directive, 2006 Procedures for the Replacement of Testamurs, November 2003	

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1. Purpose

This Directive has been developed to provide:

- a clear, authoritative statement of the purpose, supply, content and format of the UTS academic transcript, the UTS Australian Higher Education Graduation Statement (AHEGS) and the UTS testamur
- information to UTS staff, students and the wider community about UTS academic records, and
- a mechanism for the approval and recording of subsequent changes to the content and format of UTS academic records.

2. Scope

2.1 Academic transcripts

This Directive applies to all academic transcripts produced from the effective date of this Directive and the reproduction of academic transcripts from 2003 onwards for all coursework and research award courses. It also applies to enrolment in selected courses that do not lead to an academic award of the University (for example, non-award study, cross-institution study, exchange programs).

This Directive does not apply in cases where the study was taken at an antecedent institution and where the student information relating to that study is not held on the UTS Curriculum and Student System (CASS).

Academic transcripts are defined in the Student Rules, [Schedule 1 Definitions](#).

2.2 Australian Higher Education Graduation Statements (AHEGS)

This Directive applies to all AHEGS for coursework or research awards conferred on or after the 18 August 2010 conferral date.

The AHEGS is provided only upon conferral of an award. It is not provided for awards conferred prior to 18 August 2010 and for programs that do not lead to an academic award of the University, including exchange, non-award and cross-institutional programs.

AHEGS are defined in the Student Rules, [Schedule 1 Definitions](#).

2.3 Clinical/professional placements or experience

In certain faculties there is a requirement to record information on student clinical/professional placements or experience and to provide students with an official statement of such experience. This Directive does not apply to such statements of practice. Records of clinical/professional placements or experience are held by the relevant faculties in accordance with the [State Records Act 1998 \(NSW\)](#).

2.4 Testamurs

Requirements relating to testamurs are set out in the Student Rules, [Rule 13.9](#) and [Schedule 1 Definitions](#). This Directive applies to all testamurs produced by UTS including reprints (due to administrative error) and replacement testamur certificates issued in cases where the original has been lost, damaged or destroyed.

3. Definitions

The following definitions apply for this Directive. Other terms used in this Directive are defined in [Schedule 1, Student Rules](#).

Antecedent institutions means former institutions which were amalgamated with or subsumed by UTS and where separate records are maintained, including:

- New South Wales Institute of Technology (NSWIT) (from 1965 to 1987)
- Sydney College of the Arts — School of Design (SCA) (prior to 1988)
- Kuring-gai College of Advanced Education (KCAE) (1974 to 1989)
- Balmain Teachers College (BTC) (from 1946 to 1970)
- William Balmain College of Advanced Education (WBC) (from 1971 to 1973)
- Sydney College of Advanced Education (SCAE): Institute of Technical and Adult Teacher Education (ITATE) (from 1980 to 1989)
- Australian College of Acupuncture (APA) (prior to 1992).

Replacement testamur certificate, issued in accordance with [Rule 13.9.3](#), is an official statement which certifies that the graduate was admitted to a degree, awarded a diploma or awarded a graduate certificate by the University or one of its antecedent institutions.

Verification of UTS qualifications and student records means the right of UTS to confirm with a third party whether:

- a person is a graduate of the University
- a document which purports to be either a UTS testamur, a UTS academic record, a UTS Australian Higher Education Graduation Statement (AHEGS) or any other UTS document, is an authentic UTS document, and
- whether the contents of any of the above UTS documents are consistent with UTS official records.

4. Directive principles

The accuracy and authenticity of the UTS academic transcript, the AHEGS and the UTS testamur is of primary significance to UTS, its students and graduates. This is further reinforced by legislation and agencies that empower, review and support public institutions and their reputations.

Falsification of the UTS academic transcript, the AHEGS or the UTS testamur damages the reputation of the University and its students and graduates. Persons who falsify academic documents may be prosecuted under the [Crimes Act 1900 \(NSW\)](#).

False claims about conferral of a UTS award also damage the reputation of the University, its students and graduates. UTS is committed to having systems in place to provide accurate and up-to-date qualification verification as a service to graduates and to deal with any false claims while meeting privacy obligations to UTS graduates.

5. Directive statements

5.1 Supply of academic records

Production Management

Academic records are managed and produced under the authority of the Director, Student Administration Unit.

Student responsibilities

In accordance with [Rule 2.3.9](#), it is the responsibility of the student to ensure that their contact details are kept up to date so they receive their academic records.

Provision

Academic transcripts are provided to students at the conferral of an award and at other times as requested by individual students on a fee-for-service basis.

AHEGS are provided free of charge to students upon conferral of an award on the basis of one copy per conferred award. Reprints of the AHEGS may be issued on a fee for service basis.

AHEGS will not be provided for non-award courses or for courses where the award has not been conferred or has been withheld in accordance with [Rule 13.3](#).

A set of academic documents consisting of a testamur, AHEGS and academic transcript for a conferred award is either presented at attendance at a graduation ceremony or made available for collection. Students may also request to have their document set mailed to them, which is charged on a cost recovery basis. In instances where students have nominated collection or mail for their documents, students may also choose to attend a graduation ceremony, in which case they will receive a statement and not a document set at the ceremony.

Original version

An original testamur is a distinct legal document and is produced in original form only once for each course from which a student graduates.

Uncollected originals

Uncollected original testamurs and AHEGS are retained for 12 months then destroyed in accordance with requirements of the [State Records Act 1998 \(NSW\)](#).

Replacements

A replacement testamur certificate may be issued on a fee-for-service basis in instances where an original testamur has been lost, damaged or destroyed since graduation.

Copies

After initial provision, graduates may request further AHEGS copies on a fee-for-service basis.

Provision to third parties

Academic records may be provided to external organisations (for example, to professional accreditation bodies, Universities Admission Centre (UAC), other educational institutions and for employment purposes), where the student has provided appropriate written authority for the University to do so (see also section 5.7 of this Directive).

Academic records may be provided to external organisations where required under specific legislation (such as the [Higher Education Support Act 2003 \(Cwlth\)](#), [Education Services for Overseas Students Act 2000 \(Cwlth\)](#) and [Independent](#)

[Commission Against Corruption Act 1988 \(NSW\)](#)) or where provision of an academic record is permitted or required by any other law in response to a written official request. Academic records may also be provided where required to comply with subpoenas, court orders, or police search warrants.

Withholding supply of academic records

Academic records may be withheld if:

- i. a student has not paid all due fees, charges, financial obligations, debts and any other specified amount ([Rule 4.4.1\(7\)](#))
- ii. misconduct proceedings are in progress or as a penalty for misconduct ([Rule 16.3.1\(7\)](#)).

5.2 Format of academic records

Official stationery

Academic records will be printed on official UTS stationery, pertaining to the document type, which contains inbuilt security features.

Registers of formats and stationery used for academic records, including copies of the actual paper used, will be maintained by the Director, Student Administration Unit for each official document. Each register will document the dates when specific formats were in operation and when changeovers occurred.

Language

Academic records are printed using the English (Roman) character set with standard English punctuation marks.

For courses that are taught in a language other than English, the academic transcript will be provided in English, with an annotation showing the specific language in which the course was taught. Explanations of results will also be provided in the language of instruction on the reverse of the academic transcript.

For courses that are taught in a language other than English, the AHEGS will be provided in English, with details of the specific language in which the course was taught.

For courses that are taught in a language other than English, normally the testamur will be provided bilingually in English and the language of instruction but may be provided in other formats, including in a single language, as approved by the Vice-Chancellor on a case by case basis.

5.3 Academic transcript

General content

The academic transcript provided upon conferral of an award will show all courses in which a student has enrolled, with marks and final assessment results for all subjects where that information is held.

The academic transcript provided at times other than upon conferral of an award may, at the specific request of the student, be printed with subject marks suppressed. This includes grades for all subjects including fail grades.

As a general rule and from 2004, UTS does not provide partial academic transcripts, i.e. for enrolment in single courses. This provision may be varied in exceptional circumstances only and with the approval of the Director, Student Administration Unit.

UTS does not provide a 'statement of attainment' showing only those subjects that have been completed satisfactorily (i.e. with fail results suppressed).

Specific content

Student-specific content on the UTS academic transcript is as follows:

- Personal identification on the academic transcript is limited to student name and UTS student identification number.
- Academic awards conferred and/or awards completed and yet to be conferred.
- Level of awards where these are relevant and the award of the University Medal (refer [Guidelines for the Award of University Medals](#)).
- Courses in which the student has enrolled.
- The status of the student within each course at the time of printing.
- Credit recognition granted for a particular course.
- Subjects in which the student has enrolled, and subject results and subject marks where applicable.
- Credit points enrolled and gained, if applicable.
- Award of official prizes based on meritorious performance in academic or academic-related activities.
- Periods of approved leave of absence.
- Thesis title for higher degree research study.
- GPA (Grade Point Average) for courses commenced after 2003.
- Academic penalties, arising from unsatisfactory academic performance or from misconduct, which result in cessation of study including cancellation of enrolment, suspension of enrolment, exclusion from a course, etc.

5.4 AHEGS

General content

The AHEGS is provided for a completed course of study where an award has been conferred. This statement will contain details of the course, a description of UTS as the awarding institution, marks and final assessment attributed to the course and special achievements such as prizes and awards, details of particular course related achievements of the student where that information is held. Details of the Australian Higher Education System are also provided as determined by the Department of Education.

The UTS AHEGS will include marks and final grades for all subjects undertaken as part of the award course, this includes fail grades.

The AHEGS provided upon the conferral of an award is the only version issued and reprints may be requested on a fee-for-service basis. Subsequent amendments to the AHEGS template (format or content) are not reflected in any reprinted document.

Specific content

- Personal identification on the AHEGS is limited to the student name and UTS student identification number.
- Academic award conferred and the field or fields of specialisation for the award.

- Level of award ([Rule 13.7](#)) and the award of the University Medal (refer [Guidelines for the Award of University Medals](#)) where this is relevant.
- Details of the course such as admission requirements, normal duration of study and language of instruction.
- Description of external examination arrangements for research higher degrees.
- Course features such as professional placements, industry-based learning and overseas study.
- Further or advanced higher education awards where this award typically serves as preparation.
- External accreditation of the course.
- Description of UTS as the awarding institution.
- Where the course is a jointly-badged award with another institution, or is delivered by another institution, brief details of this arrangement.
- Exemptions granted for a particular subject(s) in recognition of prior learning.
- Periods of approved leave of absence.
- Periods of concurrent study.
- Academic penalties including exclusion from a course.
- Subjects for the course in which the student was enrolled for the award, subject results and marks if applicable.
- Credit points gained (refer [Credit Points for UTS Coursework Awards Policy](#)).
- Grade Point Average (GPA) for courses commenced after 2003.
- Thesis title and thesis abstract for higher degree research study.
- Particular course related achievements of the student and assessed competencies and graduate employability skills, such as student participation on committees, where this information is held. May include: workplace learning; institutional organised study abroad or independent overseas study credited to the award; major practicum or professional training placements; and assessed competencies or graduate employability skills.
- Award of official prizes based on meritorious performance in academic or academic-related activities.
- Scholarships received for academic merit where this information is held.
- Description of the Australian Higher Education System.

Items for inclusion on AHEGS must also meet the following requirements:

- Records for individual students must be verifiable i.e. there must be records of participation in course related activities and selection for the prizes or scholarships, and records must be kept with award conferral records.
- Records must be kept on a corporate records file as the authoritative data source so that future agencies, employers, and other interested parties can be provided with detailed information about the program or activity.

5.5 Testamur

Content of original testamur

The testamur contains the recipient's name, award title, level of award (if applicable, all levels except pass level), date of award, an official testamur number, the University Seal and the signatures of the Chancellor and Vice-Chancellor.

The original testamur issued upon conferral is the only version issued. A replacement testamur certificate may be issued if an original testamur is lost or destroyed.

5.6 Replacement testamur certificate content

General content

The replacement testamur certificate contains the recipient's name, award title, level of award (if applicable, all levels except pass level), date of award, and is signed by the Director, Student Administration Unit. It also includes original testamur number where the original was issued post 2003 (there is no testamur number for awards conferred prior to 2003).

The replacement testamur certificate does not bear the University Seal and is not a facsimile of the testamur issued after conferral of an award. Replacement testamur certificates may be generated for the University's antecedent institutions (listed in section 3).

Student-specific content

A replacement testamur certificate contains the following information:

- student's full name
- academic award conferred
- institution (either UTS and/or one of its antecedents)
- testamur number (if award was conferred after 2003), and
- date of award.

The replacement testamur certificate also contains the following statement 'this certificate is issued at the request of the recipient of the award, who has declared the original testamur to be lost or destroyed'. Where applicable, a background and date of the antecedent institution's incorporation into the University is included.

Student responsibilities

In accordance with [Rule 2.3.9](#), it is the responsibility of students to ensure that their personal details are kept up to date while they are enrolled students. A change in name will not be approved once a student has graduated and left the University. See section 5.9.

5.7 Verification of qualifications or information on academic records requested by third parties

Genuine and accurate academic records

It is in the University's interest, and that of its students and graduates, that the academic achievements and qualifications claimed by applicants for educational, professional, business and other service roles are genuine.

Requests for verification – qualifications

Request for verification of qualifications may be made:

- i. in writing, to Student Administration Unit Records via email student.records@uts.edu.au, and include the name of the graduate, qualification, and year of conferral or date of birth, or
- ii. online via the publicly available search site [UTS Qualification Verification Service](#) which requires the name of the graduate, student identification number and degree type (available for records from 2004).

Requests for verification – academic records

Requests for verification of academic records may be made in writing, addressed to Student Administration Unit Records via email student.records@uts.edu.au and include a copy of the complete document for which verification has been requested. The University will advise the requesting party whether the information contained in the copy of the submitted academic record is or is not consistent with its current official records. A fee for this service may apply.

5.8 Amendment to general format or content

From time to time, it will be necessary for the University to consider inclusion of additional information to be displayed on the academic records or for existing information to be displayed differently as appropriate. Requests or suggestions for such changes should be made in writing and addressed to either:

- i. the Director, Student Administration Unit for the Director, Student Administration Unit to consult and approve changes as appropriate to the academic transcript and AHEGS, or
- ii. the Vice-Chancellor who has authority under [Delegation 3.8](#) to approve the form of the UTS testamur, including diplomas and other certificates awarded by the University.

The Department of Education has provided [Guidelines for the presentation of AHEGS](#). Any departmental amendment or updates to these Guidelines will govern in part what changes will be made to the AHEGS issued by UTS and implemented by the Director, Student Administration Unit.

5.9 Amendment to personal student information

Requests to amend personal student information recorded on the academic records will be handled in accordance with the [Privacy Vice-Chancellor's Directive and Privacy Management Plan](#).

Replacement testamur certificates will only be issued on account of a change of name and in a name other than that of the graduate at the time of graduation, where a change in the graduate's name has been officially reflected in a change to a birth certificate.

A graduate must return the original testamur, provide reasons for the request together with documentary proof of change of name. Documentary proof may include a certified copy of a birth certificate and a change of name certificate from the relevant statutory body, for example, the NSW Registry of Births, Deaths and Marriages.

6. Roles and responsibilities

Accountable Officer: Deputy Vice-Chancellor (Corporate Services) is responsible for managing Directive compliance and initiating the Directive review process (at least every five years).

Implementation Officer: Director, Student Administration Unit is the primary point of contact for advice on implementing and administering this Directive; for establishing and maintaining the official file; for proposing amendments as required; and for managing the consultation process when the Directive is due for review.

7. Version control and change history

Effective date	Version	Approved by (date)	Amendment
06/09/2010	1	Vice-Chancellor	New Directive.
29/08/2012	2	Vice-Chancellor	Added references to UTS testamur and replacement testamur certificate, and verification of qualifications and academic records. In 5.8 added reference to approval of changes to academic transcript and AHEGS format by the Registrar.
15/04/2014	3	Vice-Chancellor (01/04/2014)	New section 5.2.6 specifying the language a testamur is provided in for courses taught in a language other than English.
01/09/2014	4	Vice-Chancellor (27/08/2014)	Amendments made as a consequence of the disestablishment of the position of Registrar.
24/06/2016	5	Vice-Chancellor (02/06/2016)	Amendments made during the scheduled review.