

## Certification Policy and Procedures for Financial Capability and Corporate & Professional Qualifications

The purpose of the Certification Policy and Procedures is to provide students and relevant stakeholders with information about The London Institute of Banking & Finance qualification certification process. The policy outlines the requirements covering eligibility for the issuing of certificates, the circumstances in which The London Institute of Banking & Finance will replace certificates, and how the procedures underpinning this process are monitored and evaluated. The aim of this policy is to maintain the highest possible standards of certification and to avoid fraudulent certificate claims. Any fees that are applicable to certification are published on our website.

### 1. Introduction

- 1.1 We will automatically provide a certificate to students upon successful completion of the qualification they have studied to achieve. This is known as a qualification certificate. Students may also request a unit/module certificate for an additional fee.
- 1.2 The content of the qualification certificate or unit/module certificate is designed to comply with the requirements of the regulators (Ofqual, Qualifications Wales and CCEA, and in particular the requirements stated within the General Conditions of Recognition<sup>1</sup> and the Additional Certificate Requirements<sup>2</sup>. Further information about the design requirements of certificates can be found in Appendix 1 of this policy. Where the policy refers to a certificate, this may be either a unit/module certificate or a qualification certificate, unless otherwise specified.

### 2. Entitlement, timescales and issuing of certificates

#### Eligibility

- 2.1 A student is entitled to receive a qualification certificate if they have passed all the units/modules within the qualification. The certificate will be generated automatically and sent to the student within the timescales stated below. The only exception to this is if a student is studying for a Financial Capability qualification, in which case all qualification certificates are sent to the centre (which includes schools / colleges).

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<sup>1</sup> <https://www.gov.uk/government/publications/general-conditions-of-recognition>

<sup>2</sup> <https://www.gov.uk/government/publications/additional-certificate-requirements>

- 2.2 A student or centre may request a unit/module certificate from us upon successful completion of a unit or a module within the qualification. This is an option only, and will not be generated automatically by us. Such a request will incur a fee to the student or centre.

### **Timescales**

- 2.4 A qualification certificate will be issued and dispatched to a student within 30 days of successfully completing all components of the qualification.
- 2.5 A unit/module certificate will be issued and dispatched to the student or centre within 30 days of receipt of the student or centre application, accompanied by the appropriate fee.
- 2.6 We will issue qualification certificates to qualifying students by the end of August following the academic year in which the qualification is completed for Financial Capability qualifications. These certificates will be dispatched to centres for receipt at the beginning of the next Academic Year. It is the responsibility of the centres receiving qualification certificates to make sure that they are held securely and are distributed to the students as soon as possible.

### **Issuing certificates**

- 2.7 Only one original certificate will be issued to the student or centre for any unit/module or qualification. The certificate will be labelled with its own unique identifier code and serial number and state the name of the qualification as it appears on the regulators' registers.
- 2.8 In the event that a student or centre receives the original issue of a certificate, having already requested a replacement certificate, the student or centre must return to us one of the certificates that they have received.
- 2.9 A certificate will be issued bearing the name of the student as originally registered with us. If a student is known by another name and wishes this name to appear on a certificate, they must provide us with independent verification of this alternative name. Students should inform us of this as soon as possible, and before the original certificate is issued.
- 2.10 In the event that a student or centre receives a certificate in error, the certificate will be revoked and the student or centre must return to us the certificate that they have received.
- 2.11 Certificates will include the name of the awarding organisation at the time the certificate is printed.
- 2.12 All certificates are designed to meet the design requirements set out by the regulators (see Appendix 1)

### **3. Replacement certificates**

- 3.1 We will only replace a certificate under the following circumstances:

- i. The student or centre fails to receive the original certificate.
  - ii. The student receives an original certificate that has been damaged in transit.
  - iii. The student or centre loses their original certificate. A certificate is defined as lost if it is issued by us and received by the student or centre, but subsequently lost. If the original certificate is subsequently found, the student or centre must return the replacement certificate to us
  - iv. The student or centre receives a certificate containing a production error.
  - v. The student changes their name after the original certificate is issued. A student wishing to receive a replacement record of achievement or certificate in their new name must:
    - a. indicate clearly on the application form their new name; and
    - b. include written independent evidence of their new name. Any documents provided in support of a name change must be the original or certified copy.
- 3.2 The issuing of replacement certificates for the two circumstances defined in 3.1, i and ii, is only applicable if the student or centre contacts us and completes the required application form within 60 working days of the relevant certificate issue date. We reserve the right not to replace original certificates once this time period has elapsed or for reasons specified in 3.8, below.
- 3.3 In relation to circumstance 3.1i above, if we have already sent the certificate out on three occasions and it still has not been received then students or centres will be required to pay the certificate reissue fee and a courier fee in order for us to send it out again.
- 3.4 Replacement certificates will be issued by us at the earliest opportunity, and upon receipt of the original certificate, if the original certificate is still available.
- 3.5 A student or centre requesting the replacement of an original certificate will be required to complete an [application form](#). The application form must include a statement confirming the status of the original certificate, i.e. lost, damaged, etc., describing in as much detail as possible the circumstances of their need for a replacement certificate. We will not accept verbal requests for replacement certificates. The application form must be accompanied by a fee, where appropriate.
- 3.6 Provided that the appropriate conditions for the replacement of a certificate have been met, a replacement certificate will be issued by us within 30 working days of receipt of the request for a replacement.
- 3.7 A replacement certificate issued by us is labelled with its own unique identifier code and unique serial number, which is different from the original certificate number. Each replacement certificate is marked 'Replacement' at the bottom of the certificate.
- 3.8 Under normal circumstances, a replacement certificate will be issued when all conditions have been met for its replacement. However, if we consider the request to be unreasonable, fraudulent or potentially damaging to our reputation or security, the request may be declined. In such an eventuality, we will write to the student or centre giving them grounds for declining the request.

#### **4. False declarations and appeals process**

- 4.1 If either party involved in providing information required for the certification process, inadvertently or otherwise provides information that is false, we will revoke any such certificates.
- 4.2 We will investigate how the inaccuracies have occurred in the production of the certificate in line with any applicable Student Malpractice Policies.

#### **5. Monitoring and evaluation of the Certification Policy and Procedures**

- 5.1 We maintain records of all original and replacement certificates that we issue.
- 5.2 The policy and the procedures are also subject to regular monitoring and review by us and are formally approved.
- 5.3 We are subject to regulation by the qualifications regulatory authorities, Ofqual, Qualifications Wales and CCEA, as a recognised awarding organisation.

## Appendix 1 – Annex C: Design requirements for certificates<sup>3</sup>

The following are the requirements that the qualifications regulators would expect an awarding organisation to include on a certificate.

1. the full name of the awarding organisation as recognised by the regulator
2. the full name of the Learner as registered
3. for qualification certificates the Qualification Number or for credit certificates Unit Reference Number/s as assigned on the Register
4. the level of attainment of the Learner
5. the level of the qualification or credit
6. the date (day/month/year) the awarding organisation confirms the Learner's attainment by issue of a certificate
7. the regulator's logo in line with Logo Requirements which may be published by the regulators and updated from time to time
8. for credit certificates a statement that indicates that the learner has been awarded credit.

An awarding organisation may include other relevant logos, including those of other regulators where appropriate.

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<sup>3</sup> <https://www.gov.uk/government/publications/additional-certificate-requirements>