



# CERTIFICATION POLICY



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# 1. RESPONSIBILITIES

1.1. This policy is for qualifications offered by Smart Awards. This policy is for centres accessing Smart Awards qualifications and related services and all those involved with the delivery and quality assurance of Smart Awards qualifications. Smart Awards has overall responsibility for ensuring this policy complies with our legal and ethical obligations, and that all those under our control comply with it. Smart Awards has the day-to-day responsibility for implementing this policy and for monitoring its use and effectiveness and dealing with any queries on its interpretation.

## 2. OFQUAL GENERAL CONDITIONS

2.1. B3.2: For the purposes of this condition, such events may include those where – (f) the awarding organisation has issued incorrect results or certificates.

2.2. I3.1: An awarding organisation must ensure that the design of each certificate in relation to a qualification which it makes available complies with the Certificate Requirements which may be published by Ofqual and revised from time to time.

2.3. I3.2: An awarding organisation must ensure that – (a) all certificates which it issues clearly and uniquely identify both the Learner and the certificate itself, (b) all certificates which it issues clearly display the title of the qualification as it appears on the Register (and any Endorsement known after the qualification is submitted to the Register) and do not include any other title for the qualification.

2.4. I3.3: Where an awarding organisation issues any replacement certificate, it must ensure that the certificate is clearly identifiable as being a replacement.

2.5. I3.4: Where an awarding organisation issues a certificate in relation to a qualification and – (a) the assessment of the qualification was in a language other than English, and (b) the objective of the qualification was not for the Learner to gain skills in, or knowledge or understanding of that language, the awarding organisation must ensure that the language of the assessment is clearly identifiable on the certificate.

2.6. I4.1: An awarding organisation must, in relation to qualifications which it makes available – (a) publish the expected dates or timescales for the issue of certificates, (b) ensure that the issue of certificates is timely, (c) issue only certificates which are clear and readily capable of being understood by Users of qualifications, (d) issue only certificates which are accurate and complete and which reflect accurate and complete results, (e) maintain a record of all certificates and replacement certificates which it issues, and (f) not include a qualification which is not a regulated qualification on a certificate which contains regulated qualifications.

2.7. I4.2: An awarding organisation must take all reasonable steps, including having procedures in place, to ensure that it – (a) issues a certificate and any replacement certificate to any Learner who has a valid entitlement to that certificate or replacement certificate, (b) does not issue any certificate to a Learner who does not have a valid entitlement to that certificate, (c) revokes any certificate if the result on the certificate is false because of malpractice, maladministration, or is revealed to be inaccurate as a consequence of an appeals process, and (d) meets any date or timescale published by it in respect of the issue of certificates and replacement certificates.

## 3. SQA ACCREDITATION PRINCIPLES

3.1. Principle 5. The awarding body shall provide clear information on its procedures, products and services and ensure that they are accurate and appropriate to SQA accredited qualifications.

3.2. Principle 15. The awarding body must have effective, reliable and secure systems for the registration and certification of learners.

## 4. CERTIFICATES

4.1. Learners are registered for Smart Awards qualifications by Smart Awards approved centres via the Smart Awards Management System (SAMS). Centres add learner achievements to the SAMS system to generate a certificate. Approved Centres can only register learners for the qualifications that they have been approved for.

4.2. When a qualification has been completed Centres will input the achievements on the SAMS system. Once the information has been added to the SAMS system Smart Awards will check all information for any anomalies. Providing the information is all correct Smart Awards will generate certificates that will be issued via the SAMS system. All certificates are e-certificates unless otherwise requested.

4.3. If the information is incorrect or incomplete, it will be returned to the centre via the SAMS system for any corrective action required. Certificates will be issued within 2 working days from the date we receive the correct information.

4.4. The content of the certificates may vary depending on the requirements for different regulated and non-regulated qualifications but will contain the following details:

- Qualification title
- Full learner name
- Smart Awards unique reference number and QR code
- Units achieved
- Date achieved.
- Regulators logo for regulated qualifications

## 5. REPLACEMENT CERTIFICATES

5.1. Smart Awards will replace certificates wherever possible. In such cases, there will be a charge for all replacement certificates regardless of the reason for the request. If a learner requires a replacement certificate, please email [info@smartawards.co.uk](mailto:info@smartawards.co.uk). Smart Awards will issue the replacement certificate within 2 days of receiving payment. All certificates, unless replacements are ordered directly by the Learner, will be issued to the Centre for distribution.

## 6. LOST CERTIFICATES

6.1. Smart Awards sends certificates upon learner achievements to the centre who registered learners for a specific qualification. If a learner has not received their certificate, please contact the centre directly in the first instance. If the centre has since closed, please email [info@smartawards.co.uk](mailto:info@smartawards.co.uk).

## 7. WITHDRAWAL OF CERTIFICATES

7.1. Smart Awards reserves the right to suspend or withdraw Certification upon evidence of a breach of Smart Awards' policies (see Malpractice/Maladministration Policy for further details). Smart Awards may prescribe corrective actions to remedy the breach with a reasonable time limit for implementation, normally one month. Upon receiving written notification of the withdrawal of certification, the individual shall return the certificate to Smart Awards. They must cease carrying out work within the scope of certification that has been withdrawn. Notification of withdrawal will be sent to the Centre, current employer and formally withdrawn on Smart Awards database.

## 8. CERTIFICATE VALIDATION

8.1. Smart Awards certificates hold an identification number via a QR code that is unique to the certificate. To validate a certificate scan the QR code.

## 9. COMPLAINTS

9.1. If a learner has a complaint about their certificate or would like to appeal against a decision, please contact the centre directly in the first instance. If a learner is unable to resolve the complaint with the centre then please email [info@smartawards.co.uk](mailto:info@smartawards.co.uk) with nature of the complaint to allow us to investigate further.

Further information can be found in the below policies:

- Complaints Policy
- Appeals Policy
- Whistleblowing Policy

## 10. PROCESS FOR CERTIFICATE CLAIMS

| Process Step Description                             | Process  | Person Responsibility                                                                                              | Organisation Responsibility |
|------------------------------------------------------|----------|--------------------------------------------------------------------------------------------------------------------|-----------------------------|
| Submit certificate claim via SAMS                    | Process  | Centre super user                                                                                                  | Centre                      |
| Check certificate claim for acturaries               | Process  | Standards and Compliance Officer                                                                                   | Smart Awards                |
| Award certificate or return claim to centre to amend | Decision | Standards and Compliance Officer holds responsibility and experience to make decisions and apply suitable actions. | Smart Awards                |
| Send electronic learner certificate via SAMS         | Process  | Standards and Compliance Officer                                                                                   | Smart Awards                |

## 11. REVIEW OF THIS POLICY

11.1. This policy is reviewed and revised annually in response to feedback, changes in legislation and guidance from the regulators, SQA Accreditation or Ofqual.