

Issuance of Qualification and Records of Results Policy and Procedure

RTO Standard 3.1, 3.2, 3.3, 3.4, 3.5, 3.6

1. Purpose

The purpose of this document is to outline a consistent set of principles under which certificates and statements of attainment are issued at ABEX in accordance with the Australian Qualifications Framework and Standards for RTOs 2015 and VET funding Contract.

2. Scope

This policy and procedure applies to all ABEX students who meet all course requirements for the issuance of testamur and records of result and/or a statement of attainment. The policy does not apply to non-AQF qualifications.

3. Responsibility

The General Manager is responsible for ensuring compliance with this policy and procedure. The General Manager will process approval for issuance of certification documentation, review and sign all printed certification documents. Admin Team Leader will process creation/ issuance of certification documentation in preparation for authorised signatory.

4. Definitions

Nationally Recognised Qualifications: In line with national requirements for consistency in the use of qualification titles, the name of the qualification and its title must confirm to the AQF nomenclature exactly as recorded on the national register www.training.gov.au. The TGA code number is to be used with the title of the qualification and the use of the Nationally Recognised Training (NRT) logo. The qualification name is followed by "in" for short courses, Certificates I-IV, Graduate Certificates and Associate Degrees, and "of" for Diplomas, Advanced Diplomas, Graduate Diplomas, Bachelor Degrees, Masters Degrees and Doctoral Degrees.

Statement of attainment (SOA): Issued in recognition of completed competencies from a training package or unit of study from an accredited course. A statement of attainment must include a list of the competencies completed and, if applicable, the AQF qualification partially completed, with the title of the training package or accredited course from which these were drawn. The national code for each competency must also be used. ABEX's provider number from the National Register must be included on all certificates and statements of attainment issued by the Institute. Guidelines for issuing a statement of attainment will be in accordance with the AQF Implementation Handbook.

Certificate: an official document that confirms a qualification has been issued to an individual.

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Accredited short course means a course accredited by the VET Regulator in accordance with the Standards for VET Accredited Courses that leads to an AQF statement of attainment.

AQF certification documentation is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

AQF qualification means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

Authenticated VET transcript has the meaning given in the Student Identifiers Act 2014.

Nationally Recognised Training (NRT) Logo means the logo used nationally to signify training packages and VET accredited courses.

Registrar has the meaning given in the Student Identifiers Act 2014.

Statement of attainment means a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

Student Identifier has the meaning given in the Student Identifiers Act 2014.

Testamur an official certification document that confirms that a qualification has been awarded to an individual. In Australia this may be called an 'award', 'parchment', 'laureate' or 'certificate'. (Extract from Australian Qualifications Framework)

5. Policy

ABEX will issue AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training product.

All graduates who have completed a program of learning that leads to the award of an AQF qualification are entitled to receive the following certification documentation on award of the qualification:

- a testamur, and
- a record of results.

In pursuant to the policy, the following key considerations will be met for issuing certificates and SOAs.

- a) All AQF certification documentation issued by ABEX will meet the requirements of Schedule 5 of Standards for RTOs 2015.

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- b) Records of learner AQF certification documentation are maintained by ABEX in accordance with the requirements of Schedule 5 of Standards for RTOs 2015 and are accessible to current and past.
- c) AQF certification documentation is issued to a learner within thirty (30) calendar days from the day the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete and all agreed fees the learner owes to ABEX have been paid.
- d) Students undertaking training and assessment with ABEX's Third Party Providers will be issued certificate from ABEX.
- e) No Third Party will be allowed to issue Certificate or SOA on behalf of ABEX.
- f) Offers training and assessment against both nationally recognised training and non-nationally recognised training programs. Nationally recognised training is aligned to national competency standards from Training Packages and VET Accredited Courses.
- g) Only issues qualifications and Statements of Attainment to those clients who meet the required outcomes of a qualification, accredited course, unit of competency or module, as specified in the relevant Training Package or VET accredited Course.
- h) Student Identifier (USI) must NOT be included on the testamur, consistent with the Student Identifier Act 2014.
- i) Maintain a register of all AQF qualifications issued;
- j) Retain records of all AQF certification documentation for a period of 30 years; and
- k) Provide reports of records of qualifications issued to the VET Regulator on a regular basis as requested by the VET regulator.
- l) AQF certification documentation will be issued to a client within 30 calendar days of the client being assessed as meeting the requirements of the Training Package or VET Accredited course:
 - if the training program in which the client is enrolled in is complete; and
 - Providing all agreed fees the client owes to ABEX have been paid.
- m) AQF certification documentation will not be issued to an individual without being in receipt of the verified unique Student Identifier for that individual, unless an exemption applies, as per the requirements of the Student Identifier Act 2014.
- n) Qualifications must contain the mandatory statement 'This training is delivered with Victorian and Commonwealth Government funding'.
- o)

6. Record keeping and confidentiality

Copies of all certificates and SOAs handled under this policy and procedure shall be maintained for a period of at least thirty (30) years in line with ASQA requirements.

7. Associated documents and References

- Certificate Request Form
- Certificate Issuance and Certificate Approval Checklist

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- Australian Qualifications Framework
- Standards for RTOs 2015
- ASQA Fact Sheet – Sample forms of AQF Certification documentation for nationally recognised VET qualifications

Annex – 1: Schedule 5 of SRTOs 2015

Application of the AQF Qualifications Issuance Policy within the VET Sector RTOs must meet the requirements of the AQF for issuing AQF qualifications and statements of attainment, in addition to the following requirements.

A. Issuing AQF Qualifications

1. RTOs must include the following information on the certificate, in addition to the requirements of the AQF Qualifications Issuance Policy:
 - The name, National RTO Code and logo of the issuing organisation
 - The code and title of the awarded AQF qualification, and
 - The NRT Logo in accordance with the current conditions of use contained in Schedule 4
2. The following elements are to be included on the certificate as applicable:
 - The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities, e.g. within User Choice contracts)
 - The industry descriptor, e.g. Hospitality
 - The occupational or functional stream, in brackets, e.g. (First Aid)
 - Where relevant, the words, ‘achieved through Australian Apprenticeship arrangements’, and
 - Where relevant, the words, ‘these units have been delivered and assessed in followed by a listing of the relevant units.
3. ABEX must not include the learner’s Student Identifier on the certificate consistent with the Student Identifiers Act 2014.
4. ABEX will:
 - retain registers of AQF qualifications authorised to issue and of all AQF qualifications issued
 - retain records of AQF certification documentation issued for a period of 30 years, and
 - provide reports of Records of Qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.

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B. Issuing Statements of Attainment (SOA)

ABEX must include the following information on a SOA:

- The name, National RTO Code and logo of the issuing organisation
- A list of units of competency showing their full title and the national code for each unit of competency
- The authorised signatory
- The NRT Logo
- The issuing organisation's seal, corporate identifier or unique watermark
- The words 'A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'

The following elements are to be included on the SOA as applicable:

- The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities)
- The words 'These competencies from part of [code and title of qualification(s)/course(s)]
- The words, 'These competencies were attained in completion of [code] course in [full title]', and
- Where relevant, the words, 'these units have been delivered and assessed in followed by a listing of the relevant units
- RTOs must not include the learner's Student Identifier on the SOA consistent with the Student Identifier Act 2014.

RTOs will:

- maintain registers of all SOAs issued
- retain records of SOAs issued for a period of 30 years, and
- provide reports of its records of SOAs issued to its VET Regulator on a regular basis, as determined by the VET Regulator.

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Procedure

Certification Issuance Procedures – Standard 3.1, 3.2, 3.3, 3.4, 3.5, 3.6

STEP 1 – Issuing Certification Documentation

No.	Who	Actions
1.1	Assessor	Monitors / tracks completion of course / qualification by client. Forward course completion
1.2	Admin	Review assessment documentation for each candidate, keeping a track on client eligibility for certification. Check the SMS for unit completed and results. For clients who are eligible for the issuance of certification documentation, verify that all outstanding fees are paid in full. For clients with outstanding invoices: Send email to client requesting full payment, advising certification documentation cannot be supplied when payment of invoices is outstanding. Once payment received progress to Step 1.2 f. For clients with NO outstanding invoices: Print the certification documentation for all successful clients, as relevant, and in accordance with certification issuance form. Provide completed form and printed certification documentation to General Manager for final verification, signatory and approval for distribution.

STEP 2 – Authorisation by General Manager

No.	Who	Actions
2.1	General Manager	Review the documentation supplied; verify eligibility and compliance of certification documentation. If approved, sign certification documentation for distribution and note on 'Certificate Issuance Authority Form'. If NOT approved, return all documentation to Admin, and note on 'Certificate Issuance Authority Form'

STEP 3 – Processing Certification Documentation

No.	Who	Actions
3.1	Admin	If approved: Take photocopy of signed certification documentation. Place all documentation and photocopy of signed certification documentation on client file. Forward signed certification documentation to client nominated address. Keep the copy for 30 years. Enter note on client records in SMS.

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Certification Issuance Procedures – Standard 3.1, 3.2, 3.3, 3.4, 3.5, 3.6

If NOT approved. Destroy documentation.

Replacement Certification Procedures –Standard 3.1,3.2,3.3, 3.4, 3.5, 3.6

STEP 1 – Issuing Replacement Certification Documentation

No.	Who	Actions
1.1	Client	Completes 'Replacement Certificate Form' and submits to admin with payment.
1.2	Admin	Verifies the authenticity of the original issuance of the requested certificate. Check client file. Check SMS for confirmation of certificate issuance. If certificate is authentic: Process payment of \$50.00 to reprint certificate. Raise invoice and record payment in SMS. Re-print the certification documentation. Provide completed form and re-printed certification documentation to CEO for final verification, signatory and approval for distribution.

STEP 2 – Authorisation by General Manager

No.	Who	Actions
2.1	General Manager	Review 'Replacement Certificate Form' and documentation supplied; verify eligibility and compliance of certification documentation. If approved, sign certification documentation for distribution and note on 'Replacement Certificate Form'. If NOT approved, return all documentation to Admin, and note on 'Replacement Certificate Form'.

STEP 3 – Processing Certification Documentation

No.	Who	Actions
3.1	Admin	If approved: Take photocopy of signed certification documentation. Place all documentation and photocopy of signed certification documentation on client file. Forward signed certification documentation to client nominated address. Enter note on client records in SMS. Serial number of certificates and transcripts are recorded If NOT approved, file all documentation on client file. Enter note on client records in SMS.

STEP 4 – Processing payment

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Certification Issuance Procedures – Standard 3.1, 3.2, 3.3, 3.4, 3.5, 3.6

No.	Who	Actions
4.1	Finance	Upon receipt of completed 'Replacement Certificate Form' process and raise invoice to the client. Update finance system (eg MYOB, Quickbooks etc) File documentation accordingly.