Issuing AQF Credentials Policy and Procedure

Learning Sphere
RTO Code 91718

Compliance Focus
ASQA Standards, Clauses: 3.1-3.4, 3.6
National Code, Part D Standard 9

Policy Overview
The purpose of this policy is to ensure that we issue certificates (testamurs) and statement of attainments (as appropriate) to students whom we have assessed as competent in accordance with the requirements of a Training Package and regulatory requirements.

Policy Purpose
The purpose of this policy and procedure is to outline the approach to issuing AQF credentials and ensuring obligations under State and Federal Legislation, Funding Body contracts and VET Regulatory Body requirements are met.

Policy Scope
This policy and procedure is applicable to all staff, contractors and students.

Definitions
For the purposes of this procedure, the following definitions apply:

Australian Qualifications Framework (AQF)	The Australian Qualifications Framework (AQF) is the policy for regulated qualifications in the Australian education and training system. AQF is a national system of qualifications in Australia, encompassing higher education, vocational education, training (VET), and schools. The AQF is the agreed policy of Commonwealth, State and Territory ministers.
Credential	This includes: *Testamur* – also known as a Certificate. Issued to a student who has completed an entire qualification that is recognised under the AQF framework and is currently on the scope of registration. *Record of Results* – is the statement outlining the units of competency completed in the achievement of the qualification. *Statement of Attainment* – is the statement issued for the completion of one or more units of competency that make up part of a full qualification.
Unique Student Identifier (USI)	Is a reference number consisting of 10 numbers and letters that is unique to each student undertaking a nationally recognised training that allows the student to access online records of their nationally recognised training undertaken since January 2015.

Policy
The CEO will ensure qualifications issued are for those currently on the scope of registration and certify the achievement of the relevant AQF qualifications, units of competency or accredited courses.

In all circumstances a qualification must be issued if documented evidence exists that a student can demonstrate suitable competence against the relevant units of competency specified within the endorsed training package.

A Statement of Attainment must be issued when a student has completed one or more accredited units of competency, without completing an entire qualification.
Issuance of qualification or statement of attainment is to be completed **within 30 days** of the student being

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assessed as having met all the requirements for the training product.

Students must have paid all fees owed to be eligible to receive certificate or statement of attainment and have provided a valid Unique Student Identifier.

Staff with responsibility to prepare certificates for issue must be familiar with the policy outlined on the Australian Skills Quality Authority website ASQA - Issuing qualifications and statements of attainment.

1. Record Retention and Reporting

A register of AQF qualifications and statements of attainment that has been issued is to be maintained within the Student Management System and can be produced as a report upon request.

All records of AQF certification documentation issued must be retained for a period **of 30 years.**

Student services will issue a qualification or Statement of Attainment within 30 days of completion, subject to payment of any outstanding fees and charges.

The Compliance Manager will review templates for AQF testamurs and statements of attainment are formatted in accordance with Schedule 5 of the Standards for RTOs.

2. Format For Qualifications

All qualifications issued will include the following as required by the *Australian Qualifications Framework (AQF)*, Second Edition, and Schedule 5 of the *Standards for RTOs*:
- Name, code, and logo of the RTO
- Name of student receiving the qualification
- Code and title of the award AQF e.g., TAE40116 Certificate IV in Training and Assessment
- Date issued
- Name, title, and authorising signatory (CEO)
- The words, 'The qualification is recognised within the Australian Qualifications Framework' or the AQF logo
- The National Recognised Training Logo in accordance with the conditions of use contained within Schedule 4 of the Standards for RTOs
- The RTO's embossed seal or other approved fraud prevention measures

Where applicable:
- Occupational or functional stream, in brackets e.g., Training and Education
- Include the words 'achieved through Australian Apprenticeship arrangements'
- Include the State or Territory Training Authority logo
- Include the industry descriptor e.g., Engineering
- The units or modules have been delivered and assessed in <insert language> followed by a listing of the relevant units or modules

3. Format For Statement of Attainment

A Statements of Attainment issued by the RTO will include the following elements:
- The words "Statement of Attainment"
- Name, code, and logo of RTO
- Name of the student who achieved the competencies
- Date issued
- Each unit of competency completed showing its full title and national code

- Name, title, and authorising signatory (CEO)
- Contact details for enquiries relating to the Statement of Attainment
- The Nationally Recognised Training logo
- The RTO embossed seal or other approved fraud prevention measures
- The words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'

Where applicable:
- the words 'These competencies form part of (code and title of qualification or course)'
- the State / Territory Training Authority logo
- the words, 'these units or modules have been delivered and assessed in <insert language> followed by a listing of the relevant units or modules'
- the words, 'These competencies were attained in completion of (code and title of qualification or course)'

4. Skills Sets

When a skill set has been achieved by a student a Statement of Attainments is issued to recognise achievement of a skill set. The statement of attainment contains the name of the skill set and a statement using the wording given in the Training Package to indicate whether the skill set meets a licensing or regulatory requirement or an identified industry need.

5. Unique Student Identifier

The Student Identifiers Act 2014 was approved and came into effect from 1 January 2015. All students studying nationally recognised training in Australia from this date are required to have a Unique Student Identifier (USI).

A USI is a reference number made up of numbers and letters and allows a student online access to their training records and results (transcript).

In respect of credentials relating to nationally recognised training the following applies:
- A student's USI must not appear on either a qualification or statement of attainment
- A student who has not provided a verified USI must not be issued a credential relating to nationally recognised training unless an exemption applies under the Student Identifiers Act 2014
- Where an exemption applies, the student prior to or on commencement must be informed that the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar

6. Re-issue of Certificates

The following principles are to be applied to reissuing Qualifications and Statements of Attainments:
- Re-issues will only be produced for the past student to whom the credential was originally issued. The past student to provide a written request and identity is verified through provided a formal identity document. Once verified the past student personal information is updated.
- All re-issues are to be authorised by the General Manager
- A fee may be charged for the reissue of a credential (Refer to current schedule of fees and charges)
- All re-issues will be replicas of the original document
- The re-issue will be published using the SMS from the existing qualification in the system
- Re-issues are required to comply with the AQF requirements
- Once authorised the re-issue is to be issued to the student via email or post

7. Record keeping requirements

In accordance with the requirements of the Australian Qualifications Framework (AQF), Second Edition, and Schedule 5 of the Standards for RTOs the following is required:

- To maintain a register of all AQF qualifications and statements of attainment issued
- To retain records of AQF certification documentation and statements of attainment issued for a period of 30 years
- Provide regular reports as required of records of qualifications and statements of attainment issued to the Australian Skills Quality Authority

Procedure

Before a Certificate (testamur) and Record of Results is awarded, the relevant staff member must ensure that all units of competency for the qualification have been completed and assessed as competent in line with the training package.

All students that complete a program of learning that leads to the award of an AQF qualification will receive a Certificate (testamur) and a Record of Results listing the units of competency that have been awarded due to a competent result being attained.

All students that have not completed the full AQF qualification but have been deemed competent in any unit/s, will receive a Statement of Attainment.

The student must pay any outstanding fees before a certificate (testamur), or a statement of attainment is issued. Student must have a verified Unique Student Identifier prior to issuing a certificate (testamur). Staff must issue AQF certification documentation within thirty calendar days of the student's final assessment being completed or upon exiting their course. Staff must ensure a students' enrolment status is changed to 'Completed' or 'Withdrawn' in the SMS.

Under the Student Identifiers Act 2014 a student may be exempt from requiring a USI, in this event the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET Record of Results prepared by the Registrar.

Issuing AQF Qualifications

We will provide sufficient information on a certificate (testamur) and record of results to ensure that the documentation is able to be authenticated and to reduce fraudulent use. All certificate (testamur) must contain the following information:

- Our name, RTO code and logo
- Students full name receiving AQF qualification
- The code and title of the awarded AQF qualification (any relevant specialisation attained through qualification) Must be added in brackets
- The NRT logo (as specified below)
- The state/territory training authority logo (only where use of the logo is directed by State/Territory Training Authorities.
- Date of issue/award/conferral
- Signature of the CEO or nominated delegate as the authorised person to issue documentation
- Authenticity of the document may be in the form of a seal
- Certificate (testamur) issue number
- Academic Record of Results listing record of results

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We will not include the student's Student Identifier on the certificate (testamur) consistent with the Student Identifiers Act 2014.

Issuing Statements of Attainment

We recognise that students may not successfully complete or study a whole AQF qualification. Any student that has successfully completed any accredited unit(s) are entitled to receive a statement of attainment which will include the following information:

- Our name, RTO code and logo
- Students full name who is entitled to receive their statement of attainment
- The code and title of the completed accredited unit(s)
- The code and title of the partially completed qualification/accredited course
- The NRT logo (as specified below)
- Where relevant, the state/territory training authority logo
- State/Territory Training Authorities
- Date of issue
- Signature of the CEO or nominated delegate as the authorised person to issue documentation
- Authenticity of the document may be in the form of a seal
- Certificate (Statement of Attainment) issue number
- Mandatory statement 'A STATEMENT OF ATTAINMENT IS ISSUED BY A REGISTERED TRAINING ORGANISATION WHEN AN INDIVIDUAL HAS COMPLETED ONE OR MORE ACCREDITED UNITS"

We will not include the student's Student Identifier on the statement of attainment consistent with the Student Identifier Act 2014.

Records Management

We utilise a SMS which maintains all records of training and assessment. This system also generates data compliant to the VET Quality Framework and has the capacity to provide the VET regulator with AVETMISS compliant data and is used to generate certificate (testamur) and statements of attainment.

A copy of certificate (testamur), statements of attainment and academic Record of Results will be retained in the student's academic file for a period as defined by the regulator for thirty (30) years.

Conditions of Use of NRT Logo

The Nationally Recognised Training (NRT) Logo must be depicted on all AQF certification documentation issued by us. These can only be issued by us when the qualification and/or unit of competency are within our scope of registration. The NRT Logo must not be depicted on other certificate (testamur) and Record of Results.

Additional Traineeship/Apprenticeship Requirements

We will only issue the qualification for Apprentices/Trainees when:

- All competencies of the Structured Training have been achieved

- The employer has returned written confirmation of the Apprentice/Trainee's competence in the Workplace (If the employer is a group training organisation, final confirmation must be from them and not the host employers)
- We have given clear advice to the employer and Apprentice/Trainee that the final confirmation completes the Training Contract

We will ensure the qualifications issued following the completion of an Approved Training Scheme contain on the certificate (testamur) below the program title, 'achieved through Australian Apprenticeship arrangements.'

Related Documents and Forms
- Document Control Policy and Procedure
- Interaction with the National VET Regulator Policy and Procedure
- Reporting Obligations Policy and Procedure
- Student Access to Records Procedure
- Student Enrolment Policy and Procedure

Responsible Officer
The responsible officer for the implementation and training for this Policy and Procedure is the General Manager.

Publishing details

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