Qualification issuance Policy and Procedure

POLICY PURPOSE

The purpose of this policy and procedure is to describe the process involved in relation to the issuance of qualifications and statements of attainment for successful and partial completion of Chelsea College (THE RTO) training programs, in compliance with the AQTF Essential Conditions and Standards for continuing Registration & VRQA Guidelines for VET Providers.

SCOPE

This policy applies to all:

- Staff of THE RTO, who are responsible in the issuance of qualifications and statements of attainment.
- Current, prospective and previous learners.

REFERENCE

AQTF Essential Conditions (Condition 6 – Certification & Issuing of Qualifications)

DEFINITIONS

Certificate/Testamur is defined by the AQF as "an official certification document that confirms that a qualification has been awarded to an individual". Certificates or testamurs refer to official documents that confirm that an AQF qualification has been awarded to an individual. A learner who has been assessed as meeting the requirements of a training product as specified in the relevant training package or VET accredited course is entitled to receive the following certification documentation on award of the qualification:

- A Certificate, and
- A Record of Results

The Record of Results will be provided to the learner on a separate page.

Statement of Attainment will only be issued if a learner successfully completes one or more units of competency but does not meet the requirements for a qualification (as specified in the Training Package). The Statement of Attainment will list all of the units of competency achieved.

POLICY

THE RTO will provide a Statement of Attainment of the completed units upon request of learner at any time during the course.

THE RTO will provide Certificate / Record of Results to the learner when final assessment being completed as academic requirement and all the official requirements are met.

PROCEDURE

Certificate Issuance

- On completion of each unit or module, the assessor is required to handover the completed assessment workbooks to the admin team, the admin team will update the results of the students in the Student Management System (SMS).

- THE RTO will issue AQF qualification documentation within 30 calendar days of the learner's final assessment being completed for their exiting course, providing all fees have been paid.

- When a learner has completed their course, they are required to complete either Qualification Issuance Form and submit it to the admin team via email/post/in person, for processing, provided that the learner has fully completed the course and paid all necessary fees. Qualification Issuance staff has to check the requirements according to Qualification Issuance Checklist, the details of which are detailed hereafter.

- In order to process the learner's request, the Record department is to firstly check that the learner has a Unique Learner Identifier (USI). If the learner provides a USI, this must be verified by SMS.

- If the learner does not have a USI, THE RTO will not issue a Certificate unless an exemption applies under the Learner Identifiers Act 2014. For example, i*f THE RTO will deliver the course in country other than Australia, then Learner is exempted of USI.*

- Provided the learner has provided a verified USI, the admin department must then check that the learner has completed all the units or modules of competency as outlined in the course by checking the SMS and by checking that the academic record contains all the completed assessments.

- In the event that evidence is missing, the Facilitator/Trainer will be asked to submit the remaining assessments before any further action can be taken.

- In the event that the learner has not completed all the required units or modules for that course, the learner will be asked to complete the outstanding units or modules before any further action can be taken.

- When the SMS and the learners' academic record have both been checked and found to be in order, the admin department should then check with the Accounts department that all agreed fees are paid.

- If there are any outstanding fees, the learner will be required to settle those before a certificate can be issued, as per the enrolment form which the learner has previously signed and agreed to.

- If all fees are cleared, the admin department is to generate the Certificate, and print the Certificate to be issued. The certificate must be in the same name as on their Enrolment Application form.

- Once the Certificate and Record of Results are printed, the CEO is required to check, if it meets the requirements.

- Once signed and stamped with the THE RTO seal, the Records department should go through the Qualification Issuance Checklist and sign, which is on the reverse of the Qualification Issuance form. This is a final check prior to issuance of Qualification.

- The Certificate is then to be recorded on the Certificate Issuance Register outlining the learner name, ID number, and course name and certificate number.

- A copy of the certificate is to be placed on the learner file. The copy is to be stored for 30 years.

- The Records Officer must then sign and date the Qualification Issuance Form to state that the certificate has been issued.

- The learner must also sign the Form and Qualification Issuance Register to acknowledge receipt of the certificate.

- The Certificate may now be issued to the learner.

AQF Certificates must include the following information:
- Name of provider
- RTO code
- RTO logo
- Learners' full name
- Learner ID
- Course code and title
- CEO Signature
- AQF logo or statement
- NRT Logo
- Certificate number / Document number
- THE RTO Seal
- Date of issue

The Record of Results must include the following information:
- Name of provider
- RTO code
- Learners' full
- Learner ID
- Course code and name
- Core / Elective Unit Codes
- Core / Elective Unit Names
- Result for each unit
- CEO Signature
- THE RTO seal
- Date of issue

- Document number

Statement of Attainment Issuance
- Where a learner has not completed their course in full but has completed one or more of the units of competency, s/he can request a Statement of Attainment (SOA).
- THE RTO will issue SOA documentation of the completed units or modules upon request at any time during the course and SOA will be issued within 10 working days of the learner's request or their exiting the course, provided all official requirements are met, so learners can provide proof of their competence to employers (or potential employers) and obtain any industry licences or accreditation, or other requirements.
- They are required to complete a Qualification Request Form and submit it to the reception via email / post / in person, for processing, provided that the learner has paid all necessary fees.
- In order to process the learners request, the THE RTO personnel is to firstly check that the learner has a Unique Learner Identifier (USI). If the learner provides a USI, this must be verified.
- If the learner does not have a USI, THE RTO will not issue a Certificate unless an exemption applies under the Learner Identifiers Act 2014. For example, *If THE RTO will deliver the course in country other than Australia, then Learner is exempted of USI.*
- Provided the learner has provided a verified USI, the Records department is to then check which unit(s) the learner has completed by checking the SMS and by checking the academic file.
- In the event that evidence is missing and the learner file and the SMS do not match, the learners' facilitator / trainer will be asked to confirm which assessments the learner completed.
- When the SMS and the learners' file have both been checked and found to be in order, the Records department should then check with the Accounts department that all agreed fees are paid.
- If there are any outstanding fees the learner will be required to settle those before a Statement of Attainment can be issued, as per the Enrolment Application Form which the learner has previously signed and agreed to.
- If all fees are cleared, the Records department is to generate SOA using SMS, and print the SOA to be issued. The SOA must be in the same name as on the Enrolment Application Form, and only include the units completed by the learner.
- Once the SOA is printed, the CEO is required to check, sign and stamp the document when satisfied that the information is correct.

- Once signed and stamped with the THE RTO seal, the Records department should check that the learners' name, course name, unit names and codes are correct.
- The SOA is then to be recorded on the Qualification Issuance Register, outlining the learner name, ID number, course and SOA number.
- A copy of the SOA is to be placed on the learner file. The copy is to be stored for 30 years.
- The Records Officer must then sign and date the Qualification Issuance Form to say the SOA has been issued.

- The learner must also sign the Form and Qualification Issuance Register to acknowledge receipt of the SOA.
- The SOA may now be issued to the learner.

The SOA must include the following information:
- Name of provider
- RTO code
- Learners' full name
- Learner ID
- Course code and name
- NRT Logo
- CEO/ Authorised personnel Signature
- Date of issue
- Statement number
- The statement "A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units".
- The words "These unit of competency form part of (course code, course title)".

Given below is the table detailing what logos should be on a Certificate and Statement of Attainment used:

Logos	Certificate / Testamur	Statement of Attainment
NRT Logo	Yes	Yes
AQF logo or words	Yes	No
State or territory registering body logo	No	No

Re-issuing Qualifications

- In some instances, re-issue of/or replacement of qualification documentation is to be carried out by staff at THE RTO based on a learner making request as the relevant application on a Student General Request Form. The cost of this is AUD80 per document and will be completed by the Records department within 10 working days of receipt of the request. The learner must provide photographic proof of identity to the Records department for a replacement Qualification or Statement of Attainment. This can be done via email/post/in person.
- The earlier issued Certificate / Statement of Attainment should be cancelled in SMS and new qualification document will be printed in lieu of cancelled document, once the required fee is collected.
- After the printing of the new Certificate or Statement of Attainment, it should be stamped as "Re-Issued".
- Afterwards, the CEO is required to check, sign and stamp the documents when satisfied that the information is correct.

- The statement will be printed on the reverse of that "This is Qualification Document is issued in lieu of Qualification Document No. XXXXXX", where XXXXXX is the number of cancelled qualification document.
- The Certificate / Statement of Attainment is then to be recorded on the Qualification Issuance Register outlining the learner name, ID number, date of re-issue.
- A copy of the re-issued qualification document is to be placed on the learner file.
- The Records Officer must then sign and date the Student Genral Request Form to close-out that the certificate/SOA has been re-issued.
- The certificate/SOA may now be re-issued to the learner.

Revoked Qualifications

- THE RTO reserves the right to revoke Certification (AQF Qualifications or Statements of Attainment) that it is has issued in the following instances:
    - Where incorrect information has been included in a Certificate / Statement of Attainment.
    - Where acts of plagiarism by a learner have been proven.

- THE RTO will contact all learners who have had their Certificates or Statements of Attainment revoked and inform them of the revocation action in writing. Learners will be sent a letter advising them of the need to return their completion documents. In the letter they are advised that they have 10 working days to do so.

- In case of incorrect information in Qualification Document, THE RTO will immediately reissue an amended version of revoked Certificate or Statement of Attainment where incorrect information has been used. The learner name, ID, date and reason for revocation should be recorded in Qualification Issuance Register.

- If incorrect qualification document is already issued to learner, then new qualification documents should be stamped "Revised" and reason of revision will be printed on the back of document.

- The incorrect version should be crossed through and placed on the learner file along with a copy of the new, corrected version.

Unique Learner Identifier (USI)

- THE RTO will not issue any AQF certification documentation to an individual without being in receipt of a verified USI for that individual, unless an exemption applies under the Learner Identifiers Act 2014.

- If a learner has an exemption, THE RTO will inform the learner prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that the results of the training will not be accessible through

the Commonwealth and will not appear on any authenticated VET transcript. The exemption is already stated in the policy.

- THE RTO has record keeping processes in place to ensure the security of learner identifiers and all related documentation, including information stored in the SMS. Refer to Record Management Policy for details.

- THE RTO can generate USI on learner's behalf but s/he has to submit USI Application Form to Student Support Services via email/post/in person.

Retention requirements

- Records of Statements of Attainment and Qualifications issued will be kept for a period of 30 years.

APPEALS

Applicants who are not satisfied with the outcome of their application, may seek to appeal the decision via the Complaints and Appeals Policy and Procedure using Complaints and Appeals Form available from THE RTO website.