RTO Certification Issuance Policy and Procedure

Purpose

The purpose of this policy and procedure is to ensure that CPLE issues Australian Qualifications Framework (AQF) Certification documentation including Qualifications and Statements of Attainment, and CPLE Certificates of Participation using the correct protocol.

CPLE will ensure processes are in place for the retention of records and reissuance of certification according to the requirements of the VET Quality Framework.

Introduction

The Centre of Professional Learning and Education (CPLE) will issue candidates the appropriate certification in the form of a Testamur or Statement of Attainment (SOA) that includes an academic transcript of nationally recognised training where overall competence has been achieved.

For the purpose of this policy and procedure, the following legislative requirements and regulations apply.

- Australian Skills Quality Authority
- Standards for Registered Training Organisations (RTO's) 2015
- National Vocational Education and Training Regulator Act 2011
- Total VET Activity Data (AVETMISS)
- National VET Data Policy
- National Vocational Education and Training Regulator (Data Provision Requirements) Instrument 2020
- Qualifications Framework Qualifications Issuance Policy
- Student Identifiers Act 2014

This policy supports clauses 3.1 – 3.4 of the Standards for Registered Training Organisations (RTO) 2015.

Authorisation

This policy shall be issued and endorsed under the RTO Manager.

Policy or Procedure

Records which support certification include

- **Candidate's results:**
  - Training results include a record of the candidates' details, date of enrolment and results of training and assessment. This includes the units of competency (including unit codes & titles) and the result the student achieved. This may include if the candidate withdrew, was assessed as competent or not-yet-competent, was

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recognised as competent through an RPL process or was issued national recognition for current competency held. Candidate results also include all relevant data elements relating to the Australian Vocational Education and Training Management Information Statistical Standards (AVETMISS).

- **Completed assessment:**
  o Completed assessment items include documents or other media where assessment evidence is obtained by candidates and assessment decisions and outcomes are recorded by trainers and/or assessors. It may be a combination of templates, training record book, training plans, questionnaires, checklists, summary sheets, RPL tools, or records of feedback from trainers and/or assessors to students.
  o Assessment items and resources include all those items which substantiate the assessment decision made by trainers and/or assessor. ASQA refer to these records as "Completed student assessment items".

- **Student file:**
  o Student administrative records are managed through VETtrak, our student management system. Student files are in SharePoint and hold all completed assessment resources and administrative records.

- **Administrative records:**
  o Administrative records are those documents which are used to facilitate the student's administration during their enrolment. Examples of administrative records are.
    - Enrolment and eligibility forms
    - Terms of conditions
    - LLN assessments
    - Release of Personal Information forms
    - Invoices And Receipts
    - Refund Requests
    - Training Plans and Training Record Books
    - Certificates And Statement of Attainment

Statements of Attainment and Certificates issued by CPLE will meet Australian Qualifications Framework requirements; include the RTO provider number from the National register; and include the National Recognised Training (NRT) logo in accordance with the current conditions of use (as outlined by ASQA).

Statements of Attainment and Qualifications will only be issued for Units of Competency and Qualifications as approved by ASQA and listed on CPLE scope of registration.

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Procedure

Issuing AQF certification documentation

Following completion of all requirements for an enrolled program, CPLE will validate results and record participant completion in the participant management system. To avoid delays in issuing certification, CPLE verifies a candidates USI at the point of their initial enrolment.

When issuing certification, CPLE will:

- Issue all AQF certification documentation within 30 calendar days of the candidate exiting their course or the student's final assessment being completed
- Issue AQF certification documentation directly to the candidate. In the case of User Choice funded students, employers will also receive a copy of this documentation for the sake of evidence.
- Issue candidates who have completed all units or modules in a qualification with a testamur and an academic transcript.
- Issue candidates who have completed one or more units/modules (but not a full qualification) and has finished their training with CPLE, with a statement of attainment.
- Ensure candidates can access records of certification issued to them

CPLE is responsible for ensuring that results are valid and correct. Part of this process involves crosschecking data within the candidates file, LMS and SMS to ensure all results have been completed accurately.

The CPLE RTO administrator will organise AQF certification documentation to be printed and issued to candidates. All AQF certification documentation is to be version controlled through VETtrak.

In accordance with the AQF Qualifications Register Policy, CPLE will:

- maintain a register of all AQF qualifications it is authorised to issue
- maintain a register of all AQF qualifications it issues to candidates.

CPLE trainer/assessors are to:

1. Ensure the candidate has completed all training and assessment tasks required,
2. Are to record the candidate as satisfactory for each assessment item activity and the date the assessment was marked as satisfactory.
3. Record the student as Competent for each unit/module outcome and the date the outcome was given
4. Liaise with students and employers to complete and update the student training plan.
5. Conduct a file check of the student record on completion of a qualification to ensure that all evidence and assessment records correspond with VETtrak (SMS) and the units of competency being issued to the student.
6. Inform RTO Administrative staff of a candidate's qualification completion or withdrawal. If assessment records are received by administration for entry and archiving and they are deficient of detail, administration staff are instructed to return the assessment documentation to the Trainers and/or Assessors for further detail and completion.

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On receipt of candidate's completion or withdrawal of a qualification, CPLE administrative staff are to:

1. Conduct an audit of the student record to ensure that all evidence and assessment records (including electronic files, LMS and SMS) correspond with the units of competency being issued to the student before certification is formally issued.
2. Liaise with trainer/assessors to complete the student training plan.
3. Lodge contract variation for funded contracts in AVETARS if candidates and/or employer have confirmed withdrawal of a qualification. Document against student contact records in SMS.
4. On approval of contract variation, administrative staff can then record any withdrawn and withdrawn/discontinued units of competency, for results recorded as withdrawn/discontinued the estimated number of hours engaged must be included as per AVETMISS requirements in VETtrak (SMS).
5. Ensure a USI has been supplied and verified. Certificates cannot be issued until a USI has been supplied and verified.
6. Ensure the candidate has no reasons that would prevent a certificate from being issued such as outstanding fees, unresolved complaints, or appeals. Certificates cannot be issued until any concerns are resolved.
7. Process the candidate's completion/cancellation from the course and generate the award in the SMS, VETtrak.
8. Save a copy of the certification on the candidate's electronic records and post original to the candidate directly.
9. Issue a confirmation letter confirming status in regard to enrolment and attach any relevant documentation such as a Testamur or SOA and updated training plan on confirmation that all administration fees are paid in full.
10. Issue copies of testamurs, academic transcripts and if relevant SOA's to employer if applicable.
11. Once completion or withdrawal has been finalised and enrolment status is updated within VETtrak (SMS) and Canvas (LMS), all file checks are complete and certification is issued, Administration staff can proceed with archiving records. Move the candidates electronic file to archived records under the year of completion or withdrawal.

Testamur

Candidates that have successfully completed all the required units of competency as specified in the training package for a qualification or accredited course are awarded a testamur. The testamur will include:

- The student's details, including:
  - The candidates full name as per their Unique Student Identification (USI) and Student Management System (SMS) details
- Training product details including:
  - The qualification or accredited course code and title

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- o Nationally Recognised Training (NRT) logo as per the NRT Logo specifications
  - o Statement – This qualification is recognised within the Australian Qualifications Framework.
  - o Additional Statement for User Choice funded students – Achieved through Australian Apprenticeships Pathways
  - o ACT Australian Apprentice Number (User Choice funded students only)
- CPLE details:
  - o Date of Issue
  - o Date competence achieved
  - o Authorised person name and position
  - o Authorised signatory
  - o RTO name, code and logo

Testamurs are issued with an academic transcript. That is, a student learner who has completed a course leading to an AQF qualification is entitled to a testamur and an academic transcript.

Academic Transcript

An academic transcript is awarded to candidates who have successfully completed all the required units of competency as specified in the training package for a qualification or accredited course and is to be combined with the relevant testamur.

The following information is to be included on an Academic transcript

- Candidate details
  - o The student's full name as per their Unique Student Identification (USI) and Student Management System (SMS) details
- Training product details including:
- The qualification or accredited course code and title
  - o A list of units of competency showing their code and title using a capital letter for only the first word in the unit of competency name
  - o The result awarded for each unit/module. That is Competent (C); Credit Transfer (CT); or Recognition of Prior Learning (RPL)
  - o Nationally Recognised Training (NRT) logo as per the NRT Logo specifications
  - o Where applicable, include the students Australian Apprenticeship number
- CPLE details:
  - o Date competence achieved
  - o Date of Issue
  - o Authorised person
  - o Authorised signatory
  - o RTO name, code, and logo

Statement of Attainment

A Statement of Attainment is issued to a candidate when a candidate has completed one or more accredited units.

The following information is to be included on a Statement of Attainment:

- Candidate details

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- o The student's full name as per their Unique Student Identification (USI) and Student Management System (SMS) details
- The words "This is a Statement that"
- Training product details including:
- The qualification or accredited course code and title
  - o A list of units of competency showing their code and title using a capital letter for only the first word in the unit of competency name
  - o The result awarded for each unit/module. That is Competent (C); Credit Transfer (CT); or Recognition of Prior Learning (RPL)
  - o Nationally Recognised Training (NRT) logo as per the NRT Logo specifications
  - o Statement – This statement is issued without alteration or erasure of any kind
  - o Additional Statement for User Choice funded students – Achieved through Australian Apprenticeships Pathways
  - o Where applicable, include the students Australian Apprenticeship number
  - o Where applicable, the words 'These competencies form part of (code and title of qualification / course)'
- CPLE details:
  - o Date competence achieved
  - o Date of Issue
  - o Authorised person
  - o Authorised signatory
  - o RTO name, code, and logo

Statement of Attainment

A Statement of Attainment is issued to a candidate when a candidate has completed one or more accredited units.

The following information is to be included on a Statement of Attainment:

- Candidate details
  - o The student's full name as per their Unique Student Identification (USI) and Student Management System (SMS) details
- The words "This is a Statement that"
- Training product details including:
- The qualification or accredited course code and title
  - o A list of units of competency showing their code and title using a capital letter for only the first word in the unit of competency name
  - o The result awarded for each unit/module. That is Competent (C); Credit Transfer (CT); or Recognition of Prior Learning (RPL)
  - o Nationally Recognised Training (NRT) logo as per the NRT Logo specifications
  - o Statement – This statement is issued without alteration or erasure of any kind
  - o Additional Statement for User Choice funded students – Achieved through Australian Apprenticeships Pathways
  - o Where applicable, include the students Australian Apprenticeship number
  - o Where applicable, the words 'These competencies form part of (code and title of qualification / course)'

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- CPLE details:
  - Date competence achieved
  - Date of Issue
  - Authorised person
  - Authorised signatory
  - RTO name, code, and logo

Retainment of Records and Reissuance of Certification

- CPLE will retain records of Qualifications and Statements of Attainment that have been issued to candidates for a thirty (30) year period as per Schedule 5 of the Standards for RTOs 2015.
- CPLE will retain sufficient data required to reissue a candidate with a Statement of Attainment or Qualification for a thirty (30) year period.
- CPLE will ensure both current and past enrolled candidates will have access to their records of achievement.

Re-issuing AQF certification documentation

When re-issuing AQF certification documentation, CPLE will issue candidates documentation in the same format as the original.

Candidates must be able to prove their identity before being re-issued their Certification. Reissuing of AQF certification documentation will require candidates to submit a formal request. A Statement of Attainment and/or Certificate will be reprinted, and appropriate notation stored through VETtrak.

Recognition of Statement of Attainment issued by other RTOs (Credit Transfer)

Under the AQF, CPLE recognises and accepts AQF Qualifications or Statements of Attainment issued by any other RTO. All Credit Transfers are required to be verified either by:

- Contacting the issuing RTO asking them to confirm the certification, or if they have ceased operation, with the relevant governing body (ASQA), or
- Checking the candidates USI Transcript on usi.gov.au

Credit will only be provided for Units of Competency which form part of a qualification or skill set on CPLE scope of registration.

Revocation of Certificates

Statements of Attainment, Qualifications and Academic Transcripts may be revoked in the following circumstances:

- In cases where alleged fraud or dishonesty has been substantiated. This includes copying or plagiarism.
- When a Qualification, Academic Transcript or Statement of Attainment was issued erroneously or contained incorrect details.
- When the evidence submitted was erroneously deemed as competent.

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Responsibilities

Chief Executive Officer

- Sign and authorise CPLE certification being issued to students

RTO Manager

- Ensure this policy is read, understood, and adhered to by all staff members that fall under their responsibility.
- Support employees during the process

CPLE Employees

- Adhere to policy and procedure accordingly in line with compliance for the registered training organisation.
- Inform RTO Manager of any relevant changes or suggestions for continuous improvement.

Related Documents:

1. ORG-QMS-POL-001 Purpose, Mission, and Values
2. RTO-PRG-POL-002 RTO Training and Assessment Policy and Procedure
3. RTO-PRG-POL-010 RTO Retention of Records Management Policy & Procedure.
4. RTO-PRG-POL-011 RTO Reporting Obligations Policy and Procedure
5. RTO-PRG-POL-012 RTO Recognition of Prior Learning (RPL) Policy and Procedure
6. RTO-PRG-POL-018 RTO Credit Transfer (CT) Policy and Procedure
7. RTO-PRG-POL-019 RTO Enrolment and Induction Policy and Procedure
8. RTO-PRG-POL-020 RTO Training Plan Policy and Procedure

References

1. ISO 9001:2015 Quality Management System
2. ISO 3100: 2018 Risk Management
3. ISO 45001: 2018 Occupational Health and Safety
4. AS ISO/IEC 27004:2018 Information Security Management
5. Standards for Registered Training Organisations (2015)

Document Contact

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Review Specifications

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