

ISSUING CERTIFICATION POLICY AND PROCEDURE

POLICY:

1. Purpose

Success Resources International Pty Ltd (SRI) is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (SRTOs 2015). As such, SRI is required to issue and maintain AQF certification documentation and provide access to those documents to clients.

2. Policy Statement

SRI is committed to ensuring AQF qualifications and Statements of Attainment are issued in accordance with the requirements of the Standards for Registered Training Organisations (SRTOs 2015), and the endorsed Training packages and VET Accredited courses within its scope of registration.

SRI will ensure that:

- AQF qualifications and statements of Attainment issued by the RTO are within its scope of registration and that they certify the achievement of qualifications or industry competency standards from nationally endorsed Training Packages or VET Accredited courses.
- A clear distinction can be made between AQF certification documents and non-AQF certification issued.

3. Definitions

The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.

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*)

4. Policy Principles

4.1 Underpinning principles

The following principles underpin this policy.

- a) SRI is obliged to issue certification in accordance with Schedule 5 of Standards for Registered Training Organisations (SRTOs 2015).
- b) SRI 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.
- c) SRI only issues qualifications and Statements of Attainment to those students 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.
- d) Student Identifier (USI) must NOT be included on the testamur, consistent with the Student Identifier Act 2014.
- e) SRI will, using the Student Management System:
 - i. Maintain a register of all AQF qualifications issued;
 - ii. Retain records of all AQF certification documentation for a period of 30 years; and
 - iii. Provide reports of records of qualifications issued to the VET Regulator on a regular basis as requested by the VET regulator.
- f) 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:
 - i. if the training program in which the client is enrolled in is complete; and
 - ii. providing all agreed fees the client owes to the RTO have been paid.
- g) AQF certification documentation will not be issued to an individual without SRI 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.
 - i. If an exception applies, in accordance with SRTOs, SRI will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever comes first, 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.

4.2 Qualifications

- a) All clients who have completed a training program which leads to the award of a full AQF qualification will receive :
 - i. A testamur, and

- ii. A record of results.
- b) Each AQF qualification issued will comply with the 'AQF Qualifications Issuance Policy' and the 'Standards for RTOs 2015' - Schedule 5, and will include:
 - i. SRI name and logo
 - ii. SRI national provider number (RTO Code: 31335)
 - iii. The full name of the individual receiving the award
 - iv. The full title and national code of the unit/s of competencies or AQF qualification awarded
 - v. A certificate number
 - vi. The date of issue
 - vii. The signature of an authorized person
 - viii. The relevant National and State logos (in accordance with the Standards for RTOs – Schedule 4)
 - ix. Authentication mark (SRI seal, Corporate identifier, unique watermark)
 - x. The industry descriptor, e.g. Engineering
 - xi. The occupational or functional stream, in brackets e.g. (Fabrication)
 - xii. Where relevant, the words, 'achieved through Australian Apprenticeship arrangements'
 - xiii. Where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.
- c) All testamurs will identify the qualification as an AQF qualification either :
 - i. by the inclusion of the words, 'The qualification is recognised within the Australian Qualifications Framework; or
 - ii. the use of the AQF logo authorised by the AQF Council.

4.3 Statement of Attainment

- a) Each Statement of Attainment issued will comply with the 'AQF Qualifications Issuance Policy' and the 'Standards for RTOs 2015' - Schedule 5, and will include:
 - i. SRI name and logo
 - ii. SRI national provider number (RTO Code: <RTO Number>)
 - iii. The full name of the individual receiving the award
 - iv. The full title and national code of the unit/s of competency / modules awarded
 - v. A certificate number
 - vi. The date of issue
 - vii. The signature of an authorized person
 - viii. The relevant National and State logos (in accordance with the Standards for RTOs – Schedule 4)
 - ix. Authentication mark (SRI seal, Corporate identifier, unique watermark)
 - x. The words, 'A statement of attainment is issued when an individual has completed one or more accredited units'
 - xi. Where relevant, the words, 'achieved through Australian Apprenticeship arrangements'
 - xii. Where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.
 - xiii. Where relevant, the words, 'These competencies form part of [code and title of qualification]'
 - xiv. Where relevant, the words 'These competencies were attained completion of [code] course in [full title]' – for an Accredited course

4.4 Use of Logos (AQF, NRT, State Regulator, Funding body)

- a) SRI abides by 'Conditions of Use of NRT Logo' as prescribed in Schedule 4 of STROs 2015.
- b) AQF logo will be used on all AQF documentation issued by SRI.
- c) AQF logo must NOT be used on non-National recognised training certification issued by SRI.
- d) SRI will comply with the use of "State" regulator logo, in accordance with relevant Logo Specifications
- e) SRI will comply with the use of Sate/Territory funding body logo requirements, in accordance with contract obligations.

4.5 Replacement of Certification Documentation

- a) AQF certification documents can be re-issued to a client, upon written request. Replacement certification documentation will incur a fee, as noted in SRI 'Schedule of Fees'.

5. SRI Responsibilities

The Directors of SRI are responsible for ensuring compliance with this policy.

The Directors of SRI will process approval for issuance of certification documentation, review and sign all printed certification documents.

An Administration Officer of SRI will process creation/ issuance of certification documentation in preparation for authorised signatory.

6. Legislation

Legislation applicable to this policy include:

- Student Identifier Act 2014 and Regulations.

7. Access & Equity

The SRI Access & Equity Policy applies. (See Access & Equity Policy)

8. Records Management

All documentation from issuing certification documentation processes are maintained in accordance with Records Management Policy. (See Records Management Policy)

9. Monitoring and Improvement

All practices for issuing certification documentation are monitored by the Director SRI and areas for improvement identified and acted upon. (See Continuous Improvement Policy)

Procedure

Step 1: Issuing certification documentation

Assessor	1.1	Monitors / tracks completion of course / qualification by student Completes ' Tracking Sheet '. Forward completed ' Tracking Sheet ' to admin for processing.
SRI Admin	1.2	Review assessment documentation for each student, keeping a track on student eligibility for certification. Reviews ' Tracking Sheet ' submitted by Assessors. Completes ' Tracking Sheet ' for approval. For students who are eligible for the issuance of certification documentation, verify that all outstanding fees are paid in full. For clients with outstanding invoices: <ul style="list-style-type: none"> ➤ Send email to student/employer requesting full payment, advising certification documentation cannot be supplied when payment of invoices is outstanding. ➤ Check regularly for payment. ➤ Once payment received progress to issuance of certification documentation. For students with NO outstanding invoices: <ul style="list-style-type: none"> ➤ Print the certification documentation for all successful students, as relevant, and in accordance with certification issuance form. ➤ Provide completed form and printed certification documentation to Director for final verification, signatory and approval for distribution.

Step 2: Authorisation by Director

Director & SRI Admin	2.1	Review ' Tracking Sheet ' and documentation supplied; verify eligibility and compliance of certification documentation. If approved, sign certification documentation for distribution and note on ' Tracking Sheet '. If NOT approved, return all documentation to Admin, and note on ' Tracking Sheet '
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Step 3: Processing certification documentation

SRI Admin	3.1	If approved: <ul style="list-style-type: none"> ➤ 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. If NOT approved. Destroy documentation.
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