

P23- AQF Certification Documentation Issuance

1.0 Purpose

- i) This policy was developed to ensure that AQF certification documentation are issued only to a learner who has met all requirements of the training products as specified in the relevant training package or VET accredited course. This issuance is accurately recorded with traceable delivery.
- ii) Baxter Institute will ensure all AQF certification documentation by Baxter Institute are within its Scope of Registration and meet the requirements as stipulated in the relevant nationally endorsed Training Package, qualifications, competency standards or modules specified in accredited courses.
- iii) The issuance of these Qualifications, and Statements of Attainment will also meet the requirements in accordance with:
 - (1) Australian Qualifications Framework;
 - (2) AQF Qualifications Issuance Policy;
 - (3) Standards for Registered Training Organisations (2015),
 - (4) National RTO/ AQF /State /Territory Training Authority NRT logo conditions,
 - (5) The Student Identifiers Act 2014.
- iv) Baxter Institute will issue a Statement of Attainment free of charge to all students who withdraw, cancel or transfer, prior to completing their enrolled qualifications, provided that at least one Unit of Competency has been successfully completed and paid for.

2.0 Responsibility

- i) The issuance of documents is the responsibility of the Director of Studies/Operations Manager with the assistance of Academic and Student Support department.

3.0 Definitions

- i) A Testamur or a Certificate is a document issued by Baxter Institute when a student has met all the criteria to be awarded a qualification.
- ii) For a VET student, to be issued with a testamur, they must have been deemed Competent for all of the Units of Competency in a qualification.
- iii) A Statement of Attainment is a list of one or more units or modules that a student has studied and gained a competent result in. This is usually issued prior to the student completing the qualification, in the event of course withdrawal, cancellation or a student transferring to another institute.
- iv) An USI stands for a unique student identifier which is made up of ten numbers and letters. It gives students access to a single online record of their VET achievements.

4.0 Requirements/Process

4.1 Student Results - VET

- i) As Units of Competency are assessed, the results are entered onto the Student Management System (Wise.Net) by the Student Support department.
- ii) Once a student has completed his/her course, a Testamur/Certificate and a Record of Results will be electronically generated and issued to the learner within 30 calendar days from the date the learner is assessed as meeting the requirements of the training product, provided that the training program the learner enrolled in is complete, and all agreed fees the learner owes to the RTO have been paid.
- iii) A Statement of Attainment will be generated and issued to the Learner within 30 calendar days from the date of the student exiting his/her course and provided all fees owed have been paid. The completion date of the qualification is the day when the last assessment is marked competent. The date shown on the Testamur/Certificate and the statement of attainment is the date of completion/award, regardless of the end date on the Letter of Offer/CoE or end date of qualification as defined in the AQF's guide - *Certification documentation: an explanation*.
- iv) The date on the record of results is consistent with the qualification Testamur/Certificate as required by the *AQF Certification documentation*.
- v) Unless exempt, a USI is required for all students who have completed their VET training courses after 1 January 2015 to receive the qualifications, or statements of attainment.

4.2 Checking / Validation

Step 1

i) Student Support Department:

- Student records on the Student Management System (SMS) – Wise.net / Academic File will be reviewed by student support staff to determine whether the student has completed and been marked competent in the prescribed units for the qualification. This prevents certification being issued prior to all assessments being completed.
- Verification of learner's USI will be conducted automatically on SMS – Wise.net. Wise.net is an AVETMISS compliant Student Management System which links to USI Registry System. Student Support staff will check if this has been completed prior to any formal documents being issued. Baxter Institute will only issue a qualification Testamur/Certificate or Statement of Attainment to a learner after:
 - the learner has provided Baxter Institute with a verified USI unless exempt, or
 - Baxter Institute has applied for a USI on behalf of the learner (at the time of enrolment).
 - These records are secure and protected from unauthorized access, loss or damage through Baxter Institute's cloud-based SMS – Wise.net. (Appendix 2)
- If all results are completed successfully, the student's status will be changed from "Current" to "Completed" on Wise.net.
- If the student has only completed some, but not all units, a Statement of Attainment will be issued instead of a Testamur or a Certificate.

Step2

ii) Finance Department:

- Finance officers will check to ensure all outstanding fees have been fully paid. Units which have been commenced but have not been paid for will be noted down.
- Notification of fees owing and suggestions on how to rectify the situation will be communicated to the students via email or mail if necessary.

iii) A Testamur or Certificate with Record of Results can be issued ONLY when:

- ALL units for the qualification have been completed and graded as Competent.
- ALL fees have been paid.

iv) A Statement of Attainment can be issued ONLY when:

- In VET, at least one Unit of Competency has been completed and assessed as Competent
- Fees for the Unit(s) have been paid.

4.3 Certificate Register

i) Student Support Department allocates the next available Certificate Number from the Certificate Register and record this on the request form. At the same time the following information should be recorded (as a minimum) in the register. (NOTE: this is done automatically if Wise.Net is used for certificate issuance).

- Name to go on Certificate (same as application name, unless an official name change has occurred)
- Student Number
- Completion Date
- Qualification - Training Package Number and Name
- Unit No and Unit Name for EACH Unit
- Certificate Number
- Type of certificate
- USI status
- Student ID
- CoE end date

- Date of issue
- ii) This process ensures the students will be receiving the Certificate/ Testamur or Statement of Attainment within 30 working days in accordance with ASQA Standards Guide 2015.
- iii) Baxter Institute will retain registers of AQF qualifications it authorized to issue and of all AQF qualifications issued.
- iv) If there is an exemption from the USI, Baxter Institute can issue a qualification, or statement of attainment to a student without collecting and verifying a USI from them. Where the USI exemption applies, the results of the training will not appear on the authenticated VET transcript accessed through the student's USI account. For more details about USI, please refer to *P53- Unique Student Identifier Policy* on the Institute's website.

4.4 Document Retain

In accordance with Baxter Institute's *P25 – Records and Document Management*, A record of student results and certification issued must be retained in electronic format and must include at least the following fields:

- Student Surname
- Student given name
- Student last known postcode
- Student date of birth
- Enrolment date
- Qualification / Course code and title
- Unit codes for each unit commenced
- Unit outcomes for each unit commenced
- Credential awarded (Statement of Attainment, Certificate, Diploma)
- Date credential issued
- Credential number

An original electronic copy of these documents is saved on Baxter Institute's servers in different campus locations, a backup copy is maintained by SMS cloud-based Wise.net. Both are kept for 30 years in a form that can be transmitted and/ or printed for ASQA on request.

4.5 Document Issue and template

- i) Document here means either a Testamur or Certificate together with its associated Record of Results OR Statement of Attainment
 - Access the appropriate certificate template.
 - Complete the individual details. (Student name to be as requested by student on the Certificate Issue Request Form – this is to correlate with the student registered name and name on eCoE)
 - Copy the Certificate number onto the certificate.
 - The following information must be presented on a Certificate/ Testamur:
 - The name, National RTO code and logo of Baxter Institute,
 - The code and title of the awarded AQF qualification, and
 - The Nationally Recognised Training (NRT) Logo in accordance with the current conditions.
 - 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. Automotive
 - The occupational or functional stream, in brackets, e.g. (Light Vehicle)
 - Where relevant, the words, 'achieved through Australian Apprenticeship arrangements', and

- Where relevant, the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.
 - The following information must be presented on a Statement of Attainment:
 - the name, National RTO Code and logo of Baxter Institute,
 - a list of units of competency (or modules where no units of competency exist) 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 Baxter Institute when an individual has completed one or more accredited units'
 - Under no circumstances, the learner's Student Identifier is included on the Statement of Attainment and testamur in compliant with the *Student Identifier Act 2014*.
 - Save an electronic copy of the completed certificate with the student number;
 - Print the testamur or certificate on Baxter Name certificate paper;
- ii) All Qualifications and Statements of Attainment are to be produced in English language.

4.6 Signing of Certificates

- i) The Certificate and a copy of the Record of results or the Statement of Attainment are presented to the authorised person(s) for signature and or an electronic signature may be used.
- ii) The signed certificate is protected by a unique certificate number and electronic Institute seal, the use of polymer paper and watermark for authenticity.

4.7 Testamur/Certificate Collection/Delivery

- i) If current or past students wish to collect a copy of their Testamur/Certificate, it is their responsibility to complete form SS119 Request for Document, which is available from reception or Baxter's website, and return it to Baxter Institute. However, if there are no fees owed the institute will email a copy of the Testamur/Certificate/Statement of Attainment to the student within the specified requirements.
- ii) The student is informed that the normal process will take up to 10-15 working days and archived documents will take up 20 working days from the date the request form SS119 is submitted by the student.
- iii) Upon receiving the SS119 Request for Document form from students, the Student Support Department will prepare the documents requested.
- iv) A checklist is completed before a qualification is printed or signed.
- v) The student is contacted as per details on request form and advised that the document is ready. Documents can only be delivered or collected with the appropriate client verification.
- vi) Certificates to be posted
 - Email/phone student and advise certificate on its way
 - Prepare letter and post
 - Update register comments to show date & postal address
 - Update form with information and then file with a copy of the document in the student file.
- vii) Certificates to be collected
 - Email/phone student advise certificate is ready for collection
 - Certificates are held by Students Services until collection
 - Student is to sign the request form where indicated on receipt
 - Update form with information and then file with a copy of the document in the student file.

4.8 Record Access

- Students and or staff may request to see their records. They also have the right to correct any inaccuracies for example, addresses, dates of birth etc.

- To access their records, they must fill in a form and hand into reception.
- Administration will prepare the file and agree a date and time for the student or staff member to view the file. NO pages may be removed. If a viewer requests a copy of a document, subject to Baxter Institute's discretion a photocopy of the original will be arranged. This will be done by Baxter Institute and delivered to the student within 5 working days. This is in accordance with Baxter's policy stated in *P15 – Record and Document Management*.

4.9 References

- Standards for Registered Training Organisations (2015)
- AQF (Australian Qualifications Framework)
- NRT logo specifications
- ELICOS National Standards (adjunct to national code 2017)
- Student Identifiers Act 2014
- AQF Qualifications Issuance Policy

4.10 Related Documents

- PM2-09 Certificate or Statement of Attainment Issuing
- SS119 Request for documents Form
- P15 – Records and Document Management

END

5.0 Version History

Version	Date	Description of modifications
1.1	March 2011	Original
2.0	27/9/2011	Added procedure when detected error in the issuance of Certificate, SOA & Testamur
2.1	23/11/2011	Replaced VRQA to ASQA
2.2	7/5/2012	Removed HE
2.3	8/4/2014	Reviewed & included that the completion date in the certificate is the last day of the last assessment that is marked competent.
2.4	02/06/2014	Review and added "authorized staff" under 4.5
2.5	06/03/2015	Added the clause about Certificates being generated within 30 days from the date of last assessment.
2.6	27/10/2015	Amended the policy to reflect the current practices and regulatory requirements (during the internal audit).
2.7	20/09/2017	<ul style="list-style-type: none"> 1.0 Added relevant policy and regulations 4.1 Reviewed and adjusted jargon 4.2 Added USI verification and storing process 4.3 Updated Certificate Register process purpose 4.4 New section about retaining documents 4.5 Updated process for issuing document and agreed template 4.7 Updated with document delivery time and required checklist. 4.8 New section about students' ability to access their records 4.9 Updated Reference list with relevant policies and regulations.
2.8	21/09/2017	Updated 4.2 Step 1
2.9	08/11/2017	Updated the address