

Certification Documentation Issuance Policy and Procedure



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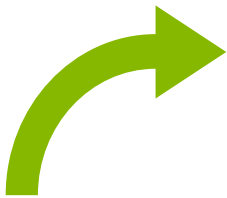
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DOCUMENT CONTROL

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Quality Area	Student Experience
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PURPOSE

The purpose of this policy and procedure is to outline The Association of Superannuation Funds of Australia Limited "ASFA" approach to ensuring it only issues AQF certification documentation (Testamurs, Records of Results, Statements of Attainment) to students who have completed all requirements of the course they are enrolled in.

It outlines the systems in place to ensure certification is issued correctly and only after students have fully demonstrated competence against the required units or modules.

This ensures compliance with Standard 3 of the Standards for Registered Training Organisations (RTO's), as well as Schedules 4 & 5.



DEFINITIONS

AQF means Australian Qualifications Framework which can be accessed at <http://www.aqf.edu.au/>

AQF Qualifications Issuance Policy means the national policy outlined in the AQF and available at https://www.aqf.edu.au/sites/aqf/files/aqf_issuance_jan2013.pdf

ASQA means Australian Skills Quality Authority which is the national VET regulator and the RTO's registering body

Certification document means a Testamur, Statement of Attainment or Record of Results Course means any nationally recognised qualification, unit of competency, skill set or short course in which a student is enrolled into with ASFA

Record of Results is a record of all the units and modules completed and their results that lead to an AQF qualification or VET Accredited Course being issued and is issued alongside an AQF qualification or Statement of Attainment. Students who complete part of the requirements of an AQF qualification are entitled to receive a Record of Results

SRTOs means the Standards for RTOs 2015 – refer definition of 'Standards'

Standards means the Standards for Registered Training Organisations (RTOs) 2015 of the VET Quality Framework which can be accessed from <https://www.asqa.gov.au/about/australias-vet-sector/standards-registered-training-organisations-rtos-2015>

Statement of Attainment confirms that one or more nationally recognised units or modules has been achieved by an individual but is only issued where there has been partial completion of a qualification or VET accredited course

Testamur is an official certification document that confirms that an AQF qualification has been awarded to an individual. This may be called an 'award', 'qualification' 'parchment', or 'certificate'

Unique Student Identifier means a unique number assigned to an individual by the Registrar, in accordance with the Student Identifiers Act 2014



POLICY

1. Certification issuance

In accordance with Clause 3.1 of the Standards for Registered Training Organisations (RTOs) 2015, ASFA issues nationally recognised AQF certification documentation (Testamurs and Record of Results or Statements of Attainment) to students who have been assessed as meeting the requirements of a unit of competency, module, qualification or course as specified in the relevant Training Package or VET Accredited Course. This means that the student has been assessed in accordance with the Standards, and if being issued a qualification has achieved the required units of competency as specified in the training package.

ASFA has controls in place to prevent AQF certification documentation being issued prior to all assessment being completed by:

- Completing an electronic *Check Qual Enrolment* checklist within the Student Management System, Microsoft Dynamics CRM, prior to generating the certification documentation which ensures:
 - AVETMISS data has been provided and complete
 - A verified USI is on file
 - All core competencies have been completed as required by the packaging rules
 - Sufficient electives have been completed as required by the packaging rules
 - The student has met the packaging rule for overall number of competencies to be completed
 - The student completed within the required timeframe allowed for the Course.
- Quality check by the Compliance and Administration Officer to confirm the unit/s of competency listed on the certification documentation meet the training package rules, all assessment work has been completed and all required information is included on the AQF certification documentation being issued.

As per Clause 3.2 of the Standards for Registered Training Organisations (RTOs) 2015, all AQF certification documents issued by ASFA meet the requirements of Schedule 5 of the Standards, as well as the requirements of the National AQF Qualifications Issuance Policy. This means that all AQF certification documents issued by ASFA are produced in the required format as specified in Schedule 5 and include integrity mechanisms to prevent their fraudulent production.

As per Clause 3.3 of the Standards for Registered Training Organisations (RTOs) 2015, AQF certification documentation is issued to a student within 30 calendar days of the student being assessed as meeting the requirements of the training product if the training program in which the student is enrolled is complete, and providing all agreed fees the student owes ASFA have been paid.

ASFA maintains an accurate register of all AQF certification documents it has issued. Current and past students can access their records and/or obtain a Record of Results or a re-issued AQF certification document, if this is requested by a student.

AQF certification documents will not be issued or handed to any third party unless this has been pre-approved by the student.

AQF certification documents will not be issued electronically.

Students who complete a non-accredited course will receive a certificate of course completion electronically after attending the course.

2. Authenticity

To ensure authenticity of our AQF certification documents and to ensure they cannot be fraudulently reproduced, our AQF certification documents:

- Include an individual certificate number on them that can be authenticated against our database.
- Include a foiled border and logo which is difficult to re-produce.

Registered Training Organisations, Higher Education Institutes, Employment Agencies, and members of the public are welcome to contact ASFA Student Services to confirm the details of any Testamur, Statement of Attainment or Record of Results issued by ASFA. The person making the enquiry must have the student's permission and provide evidence of this to ASFA, as well as provide the details of the document including student name, qualification or unit details, issue date and document number.

This information is published in the *Student Handbook* and ASFA's website to ensure members of the public have the information they need to verify / authenticate any AQF certification documents issued by ASFA.

3. Record keeping

In accordance with Clause 3.4 of the Standards for Registered Training Organisations (RTOs) 2015 ASFA:

- Retains a register of AQF certification documents it is authorised to issue and of all AQF certification documents issued, in its student management system Microsoft Dynamics CRM. Current and past students can access their records and obtain a Record of Results or a re-issued AQF certification document if this is requested by a student.
- Retains records of AQF certification documentation issued for a period of 30 years, on its student management system Microsoft Dynamics CRM, or in a reproducible format in I:\Education\RTO\RTO Compliance
- Reports the AQF certification documents issued when required by ASQA.

4. Unique Student Identifiers (USI's)

ASFA Will not issue AQF certification documentation to an individual without being in receipt of a verified USI for that individual, unless an exemption applies under the Student Identifiers Act 2014.

Unique Student identifiers will not be included on a Statement of Attainment, Testamur or Record of Results.

5. Reissuing AQF Certification Documentation

- Current and past students can request a copy of their AQF certification documents at any time. There is a cost of \$80 (inc GST) for re-issuance, as detailed in the *Student Handbook, Fees and Refunds Policy & Procedure* and ASFA's website.
- Re-issues will only be produced for the individual to whom the Testamur, Record of Results or Statement of Attainment was originally issued. The individual must make a written request to ASFA for a re-issue by completing the *Reissue of Certificate Request Form*. They must also verify their identity by providing a certified copy of their license, birth certificate, passport or other formal identity document in support of the request.
- All reissues are to be authorised by the Training and Development Manager or Compliance and Administration Officer. The Training and Development Manager or Compliance and Administration Officer will cross check the information for the relevant AQF certification document with the information retained in the students record within Microsoft Dynamics CRM or within historical student records.
- Re-issues are required to comply with the AQF requirements, identify ASFA by its national provider number from www.training.gov.au and include the NRT logo in accordance with the current conditions of use. These requirements are consistent with those for the original issue of a Testamur, Record of Results or Statement of Attainment.



PROCEDURES

1. Setting up certification document templates

Procedure	Responsibility
<p>A. Testamur</p> <ul style="list-style-type: none"> • The following information must be included on a Testamur: <ul style="list-style-type: none"> • The student’s full name • The code and full title of the awarded AQF qualification • The legal name or trading name, National RTO Code and ABN of ASFA • Logo of ASFA • Either the words ‘The qualification is recognised within the Australian Qualifications Framework’ or inclusion of the AQF logo authorised by the AQF council • Date of issue or award • The authorised signatory of ASFA and their name and title • Contact details for enquiries relating to the issued Testamur • The NRT logo in accordance with its conditions of use outlined in Schedule 4 of the Standards • A certificate or Testamur number. • The following information must be included as applicable: <ul style="list-style-type: none"> • The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities. e.g. User Choice contracts) • The industry descriptor, eg. Engineering • The occupational or functional stream, in brackets. Eg (Fabrication) • Where relevant, the words ‘achieved through Australian Apprenticeship arrangements’, and • Where relevant (e.g languages other than English) the words ‘these units/modules have been delivered and assessed in (insert language)’, followed by a listing of the relevant units/modules. • The student’s Unique Student Identifier (USI) must not be included on the Testamur. 	<p>Compliance and Administration Officer</p>

Procedure	Responsibility
<p>B. Statement of Attainment</p> <ul style="list-style-type: none"> • The following information must be included on a Statement of Attainment: <ul style="list-style-type: none"> • The student’s full name • The words “Statement of Attainment” • The units of competency and/or modules achieved by their full title and national code • The legal or trading name, National RTO Code and ABN of ASFA • Logo of ASFA • The date the Statement of Attainment is issued • Contact details for enquiries relating to the Statement of Attainment • The words ‘A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units’ • The authorised signatory of ASFA and their name and title • The NRT logo in accordance with its conditions of use outlined in Schedule 4 of the Standards • A certificate or Statement of Attainment number. • The following information must be included as applicable: <ul style="list-style-type: none"> • The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities) • The words ‘These competencies form part of [code and title of qualification(s)/course(s)]’ • the words, ‘These competencies were attained in completion of [code] course in [full title]’ • Where the units have been delivered and/or assessed in a language other than English, the words ‘these units/modules have been delivered and assessed in (insert language)’, followed by a listing of the relevant units/modules. • The student’s Unique Student Identifier (USI) must not be included on the Statement of Attainment. 	<p>Compliance and Administration Officer</p>
<p>C. Record of results</p> <ul style="list-style-type: none"> • The following information should be included on a Record of Results: <ul style="list-style-type: none"> • The student’s full name • The units of competency and/or modules achieved by their full title, national code and the relevant results • The name, National RTO Code and ABN of ASFA • Logo of ASFA • The date the Record of Results is printed • The certificate or Testamur number. • The following information should not be included on a Record of Results: <ul style="list-style-type: none"> • The student’s Unique Student Identifier (USI) • The AQF logo or reference to the AQF • The NRT logo. 	<p>Compliance and Administration Officer</p>

2. Issuing Testamurs and Records of Results

Procedure	Responsibility
<p>A. Check eligibility</p> <ul style="list-style-type: none"> Once a student has completed all the required units of competency or modules in a qualification / course they are eligible to have their AQF certification documentation issued. Students who have completed a full qualification and have paid all fees must have their Testamur issued within 30 calendar days of completing the requirements of the qualification. Use the <i>Check Qual Enrolment</i> function within CRM to confirm all course requirements have been met. Ensure ASFA has a verified student identifier for the student. Where a student has completed the requirements of a qualification but have not paid all their fees, they are to be followed up about fee payment in order that their qualification can be issued. In this case, the qualification should be issued within 30 calendar days of receiving the final payment. A Testamur will be accompanied by a Record of Results. Review the student's record in Microsoft Dynamics CRM and make a determination as to whether the student is eligible for completion. 	<p>Student Advisors</p>
<p>B. Award the qualification</p> <ul style="list-style-type: none"> If eligible for completion - award the qualification within Microsoft Dynamics CRM which will automatically generate a certificate number and allow the record to appear on future 'AQF Certification Documentation Issued' reports generated from Microsoft Dynamics CRM.. The date of award should be the date on which the award is generated / issued. 	<p>Student Advisors</p>
<p>C. Print Testamur and Record of Results</p> <ul style="list-style-type: none"> Use the approved template to print the Testamur and Record of Results. This is available on Microsoft Dynamics CRM and will mail merge the required details onto the Testamur and Record of Results. Ensure the details printed on the Testamur and Record of Results are accurate. Supply printed Testamur and Record of results to the Compliance and Administration Officer for quality checking. 	<p>Student Advisors</p>

Procedure	Responsibility
<p>D. Quality Check</p> <ul style="list-style-type: none"> • Check that the training package rules have been met, all assessment work has been completed and all required information is included on the AQF certification documentation being issued. • Authorise issuance of the Testamur and Record of Results if all correct. 	Compliance and Administration Manager
<p>E. Issuance of Testamurs and Records of Results</p> <ul style="list-style-type: none"> • Dispatch the Testamur and Record of Results directly to the student via Australia Post. • Make a note against the students record in Microsoft Dynamics CRM of the date the Testamur and Record of Results was sent, address sent to and postal reference / tracking number (if sent by express or registered post). 	Student Advisors

3. Issuing Statements of Attainment

Procedure	Responsibility
<p>A. Check eligibility</p> <ul style="list-style-type: none"> • A student who has partially completed a qualification, or has completed a single unit, skill set or a VET Accredited Course is to be issued with a Statement of Attainment. This includes a student who withdraws from a Course and has completed a unit/s of competency during their studies. • The Statement of Attainment must be issued within 30 calendar days of completing the requirements of the single unit, skill set or a VET Accredited Course (if not completing a full qualification), or of notification of withdrawal in the case of the student withdrawing but completing a unit/s of competency during their studies • A Statement of Attainment should only be issued if all fees due have been paid. • Ensure ASFA has a verified unique student identifier for the student. • Where a student is eligible for a Statement of Attainment but has not paid all fees due, they are to be followed up about fee payment in order that their Statement of Attainment can be issued. In this case, the Statement of Attainment should be issued within 30 calendar days of receiving the final payment. • A Statement of Attainment should not be accompanied by a Record of Results. • Review the student's record in Microsoft Dynamics CRM and make a determination as to whether the student is eligible to receive their Statement of Attainment. 	Student Advisors

Procedure	Responsibility
<p>B. Record the Statement of Attainment</p> <ul style="list-style-type: none"> • If the student is eligible for a Statement of Attainment, award the Statement of Attainment within Microsoft Dynamics CRM which will automatically generate a certificate number and allow the record to appear on future 'AQF Certification Documentation Issued' reports generated from Microsoft Dynamics CRM. • The date of award should be the date on which the award is generated / issued. 	Student Advisors
<p>C. Print Statement of Attainment</p> <ul style="list-style-type: none"> • Use the approved template to print the Statement of Attainment. This is available on Microsoft Dynamics CRM and the required details will be mail merged onto the Statement of Attainment. • Ensure the details printed on the Statement of Attainment are accurate • Supply printed Statement of Attainment to the Compliance and Administration Officer for quality checking. 	Student Advisors
<p>D. Quality Check</p> <ul style="list-style-type: none"> • Check that the unit/s of competency on the Statement of Attainment are correct, all assessment work has been completed and all required information is included on the AQF certification documentation being issued. • Authorise issuance of the Statement of Attainment if all correct. 	Compliance and Administration Manager
<p>E. Issuance of Statement of Attainment</p> <ul style="list-style-type: none"> • Dispatch the Statement of Attainment directly to the student via Australia Post. • Make a note against the student's record in Microsoft Dynamics CRM of the date the Statement of Attainment was sent, address sent to and postal reference / tracking number (if sent by express or registered post). 	Student Advisors

4. Reissuing certification documents

Procedure	Responsibility
<p>A. Check and re-print document</p> <ul style="list-style-type: none"> • Upon receipt of a <i>Reissue of Certificate Request Form</i> and certified valid identity document, find the details of the original document issued. • A fee of \$80 (inc GST) for re-issuing will be applicable to any re-issuance of a Testamur or Statement of Attainment as per the <i>Fees & Refunds Policy & Procedure</i>. • Re-issue the Testamur or Statement of Attainment within Microsoft Dynamics CRM which will automatically generate a certificate number and allow the record to appear on future 'AQF Certification Documentation Issued' reports generated from Microsoft Dynamics CRM. • Ensure the document is printed with the same details as the original document except for the re-issue date, which is the only detail that may be different. 	<p>Student Advisors</p>
<p>B. Re-issuance Quality Check</p> <ul style="list-style-type: none"> • Supply printed document to the Training and Development Manager or Compliance and Administration Officer to cross-check against the original document issued and the student's Microsoft Dynamics CRM record and authorise issuance if all details are correct. • Authorise re-issuance of the Testamur or Statement of Attainment if all correct. 	<p>Compliance and Administration Officer / Training and Development Manager</p>
<p>B. Re-issuance</p> <ul style="list-style-type: none"> • Dispatch the re-issued Testamur or Statement of Attainment directly to the student via Australia Post. • Make a note against the student's record in Microsoft Dynamics CRM of the date the re-issued Testamur or Statement of Attainment was sent, address sent to and postal reference / tracking number (if sent by express or registered post). 	<p>Student Advisors</p>