

4 Up Skilling PTY LTD

QUALIFICATION ISSUANCE

Policy & Procedure

Objective

This policy describes the process by which 4 Up Skilling PTY.LTD. will record and issue testamurs and statements of attainment to students who have met the requirements for a qualification that is listed on 4 Up Skilling PTY.LTD scope of registration. This will be in accordance with the requirements of the ASQA Standards for Registered Training Organisations 2015 and the guidelines outlined in the AQF 2013, as well relevant VET Funding Agreements.

Scope

This policy applies to 4 Up Skilling PTY.LTD and its students addressing the program requirements for the awarding of a testamur or a statement of attainment.

The policy does not apply to non-AQF qualifications.

Definitions

A **Testamur** is the official document that confirms that a qualification has been awarded. This may also be referred to as a 'parchment', 'certificate' or 'award'.

A **Qualification** is the result of a complete accredited program of learning that leads to formal certification that a graduate has achieved learning outcomes as described in the AQF.

A **Statement of Attainment** is issued when one or more units of competency from nationally recognised qualification/s or accredited short course/s has been achieved. The SOA is issued for partial completion of a course.

An **Academic Transcript** is a record of all learning leading to an AQF qualification or an accredited unit in which a student is enrolled and is issued by an authorised issuing organisation. This may also be referred to as a 'record of results'. The academic transcript does not include the NRT logo.

NVR is an acronym for the National VET Regulator. This may also be referred to as ASQA or Australian Skills Quality Authority.

A **Credit Transfer** is when a new training package or accredited course is published on the national register and a currently enrolled student in the superseded course has requested or been asked to transition to new course. The previously completed units will be mapped to the new course, a renewed enrolment agreement or training plan, whichever is appropriate will be completed and student will receive Credit Transfer (CT) for those units completed in superseded course. A Credit Transfer will also be used in the case of National Recognition.

A **Student Management System (SMS)** is used to maintain all records of training and assessment; it also generates compliance to the ASQA Standards for RTO 2015 and has the capacity to provide the NVR with AVETMISS compliant data and is used to generate Certificates/Diplomas & Statements of Attainment.

Policy Statements

1. Before a testamur is awarded, the Course Coordinator, must ensure that all units of competency for the qualification have been completed and assessed as competent, before the testamur can be issued on ICARE. This is done via the completion of the form; Application Qual USQAL. The Chief Executive Officer completes the final check before signing the official document.
2. All students that complete a program of learning that leads to the award of an AQF qualification will receive a testamur and a transcript of results within 30 days of completion of the qualification.
3. All students that have not completed the full AQF qualification will receive a statement of attainment and record of results within 30 days of completion of their training and assessment.
4. The student or employer (person responsibility for paying fees) must pay any outstanding fees before a testamur, transcript of results or a statement of attainment is issued (this is discussed with students at induction, and to avoid any misunderstanding, it is made available on the 4 Up Skilling website and further outlined in the Student Handbook).
5. Student must return any resources on loan prior to issuing of testamur or statement of attainment.

Testamur

1. The testamur for all AQF qualifications issued will identify the qualification as an AQF qualification either by the words 'The qualification is recognised within the Australian Qualifications Framework' or the use of any AQF logo authorised by the AQF Council.
2. Testamurs issued following the completion of an Approved Training Scheme must ensure that below the qualification title on the Certificate, the words "achieved through Australian Apprenticeship arrangements" is printed.
3. Whereby an Apprentice/Trainee successfully completes Structured Training after becoming unemployed, the qualification will be issued with the words "achieved through Australian Apprenticeship arrangements" omitted from the Certificate OR at the Apprentice's request, the certificate will be withheld to allow for re-employment and completion of the Training Contract.
4. 4 Up Skilling PTY.LTD maintains an electronic register of all AQF qualifications they are authorised to issue in their student management system.
5. NVR RTOs must not include a state or territory registering body logo on testamurs.

6. In some cases, for example within User Choice contracts, RTOs may need to include a state or territory training body logo on testamurs, where directed by a state or territory training body.

Record of Result

1. The NRT logo **is not used** on the record/statement of results.
2. The AQF logo or words 'The qualification is recognised within the Australian Qualifications Framework' **is not used** on the record of results.

Statement of Attainment

1. Statements of attainment must not include the Australian Qualifications Framework (AQF) words or logo.
2. The RTOs must not include a state or territory registering body logo on statements of attainment.
3. In some cases, for example within User Choice contracts, RTOs may need to include a state or territory training body logo on statements of attainment, where directed by a state or territory training body.
4. 4 Up Skilling PTY.LTD uses the NRT logo in accordance with current conditions of use (as specified in the ASQA Standards for RTO 2015 schedule 4).
5. 4 Up Skilling PTY.LTD has developed the statement of attainment in a format so that it cannot be mistaken for a full AQF qualification:
 - The words 'statement of attainment' are placed at top of document (just below RTO logo) in prominent upper case, Arial font – size 26
 - The number of the statement of attainment is titled: Statement of Attainment No. xxxxxx
 - The card stock is a lower GSM (thickness) than the Testamur stock
6. 4 Up Skilling PTY.LTD will retain client records of attainment of units of competency and qualifications for a period of 30 years
7. This policy document will be made available to students and staff via the RTO website.

Coding of Results

Results will be recorded as follows:

Placement will be on the record of results

C	Competent
NYC	Not Yet Competent
CT	Credit Transfer
EXT	Extension Granted
RPL	Recognition of Prior Learning Granted
RNG	Recognition of Prior Learning Not Granted
RAU	Recognition of Prior Learning Underway

W Withdrawn

DNS Did Not Start

(see Qualification Grading Categories Form)

Qualifications Testamur

Sufficient information is provided on a testamur, statement of attainment and record of results to ensure that the documentation is able to be authenticated and to reduce chances of fraudulent reproduction.

To ensure the most current data is used in developing our testamurs and statements of attainment we have used the specifications as specified in the ASQA Standards for RTO 2015 schedule 5 and VET funding Contracts.

4 Up Skilling PTY.LTD samples Testamur, Statement of Attainment are available from the document registry of forms and templates.

Mechanisms to Reduce Fraudulent Reproduction

The following Elements have been added to reduce chances of fraudulent reproduction:

- All testamurs have a 6-digit ID number which is unique to the student who completed course.
- All statements of attainment have a 6-digit ID number which is unique to the student who completed unit(s) competency.
- Card stock used for testamurs are pre-printed templates.
- Card stock used for statements of attainments is made from a lower GSM paper thickness
- Testamurs and statement of attainments are printed on different templates, unique to each one
- The academic transcript is printed separately.
- The SMS has built in templates of testamurs and statements of attainment, which have been updated from the AQF 2013 Edition and the protocols listed in the ASQA Standards for RTO 2015 schedule 4.
- To ensure templates remain compliant and current, the templates are password protected to ensure only approved staff have access to make changes or additions. Any printed certifications are stored in a locked bank vault or saved electronically in a secure cloud service.
- Client record files both academic and administrative are stored in a locked bank vault
- Electronic copies of student data are maintained by 4 Up Skilling PTY.LTD in the Student Management System (SMS) ICARE, and secured off site on a web-based site provided by Omniscient Australia. ICARE maintains a register of testamurs and statements of attainments issued.

Record Keeping

4 Up Skilling PTY.LTD SMS maintains all records of training and assessment; it also generates compliance to the ASQA Standards and has the capacity to provide the NVR with AVETMISS compliant data and is used to generate Certificates/Diplomas & Statements of Attainment.

A copy of testamurs, statements of attainment and academic transcripts will be kept in the student's academic file, copies kept in electronic format in the SMS and backed up on web-based site provided by Omniscient Australian.

4 Up Skilling PTY.LTD will provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator.

Should 4 Up Skilling PTY.LTD withdraw its registration, it will return its Certificate of Registration to the NVR (ASQA) within 10 working days of the date the withdrawal takes effect and forward requested records of students to NVR also within 10 working days.

National Recognition

4 Up Skilling PTY.LTD recognises Qualifications and Statements of Attainment issued by other Registered Training Organisations throughout Australia. The policy on National Recognition clearly states the recognition and application process. Recognition is granted by direct recognition of the competency unit completed at another RTO. The applicant must provide original testamurs for verification prior to acceptance of recognition. 4 Up Skilling PTY.LTD will record this as a credit transfer against the relevant unit(s).

(Refer to the National Recognition Policy)

Re-issuing Qualifications

If the testamur or statement of attainment is misplaced or damaged, the student or prior student may contact 4 Up Skilling PTY.LTD to order a **replacement**.

Students or prior students making requests for replacement certification must provide proof of identity including a current Australian driver's licence or a current passport. The Educational Administration Officer will then complete a verification check to ensure the person requesting documentation is the person previously enrolled in the stated course. The cost for a certified copy of the original award documentation is as per the current fee schedule, which is to be paid at the time of application for replacement

documentation. It may take up to two weeks for the copy award document to be completed.

The reprinting and issuing of the Certificate or Statement of Attainment is to be entered in the students iCare file as a comment.

Privacy

4 Up Skilling PTY.LTD will ensure it operates consistently with the National Privacy Principles and only collects the personal information that is necessary for the conduct of its business, and that it will use that information in the manner for which it was intended. Students have access to their records via completion of the Student Records Access form. (*Refer to Privacy Policy*).

Testamurs and Statement of Attainments will only be issued directly to the student (not to a third party/ employer), unless advised or agreed to by that student.

Issuing Testamurs and Statements of Attainment

The Chief Executive Officer is responsible for the resulting and issuing of testamurs, statements of attainment and records of results, including replacement certification documents and preserving the Student Management System (SMS) in current, compliant and operational status.

Care should be taken when issuing certificates to ensure Trainees are issued with the correct testamur template, with consideration given to their employment status.

The ICARE Omniscient Australian maintains all data, including all relevant student details and a register of Certificate, Diploma, Statements of Attainment issued. The SMS has the ability to generate and provide AVETMISS data if and when required.

Issuance Procedure

- Final day of training/assessment: The course Coordinator will complete an application for Qualification Testamur/Statements of Attainment and ensure the student's address is current on the SMS and as a quality check that correct units/packaging rules have been met in full.
- Once Trainer/Assessor has completed all assessments for a student, & the Course Coordinator has retained signed evidence of assessment for each unit, he/she must give the Educational Administration Officer:
 - Confirmation Report from ICARE (or final Staff report), with all results populated, within 2 weeks of final assessment taking place. OR
 - A completed Training Plan, with all assessment outcomes completed.
 - The student's Qualification Application form, ensuring all packaging rules have been met.
 - Internal Student audit form SFIAC, page 1 & 2 completed

- Course Coordinators, Training Manager or the Chief Executive Officer completes a quality and compliance check to ensure the packaging rules of the Training Package are met, and adds data to SMS, and ensures personal details are up to date on SMS.
- Finance Manager must also complete a reconciliation of the student's financial records to ensure all payments have been processed.
- Coordinators to advise the Traineeship Officer of trainee completions so that they can be completed on the traineeship portals.
- Educational Administration Officer generates testamurs and record of results or statements of attainment and record of results via the SMS using 250GMS blank card stock for printing.
- The Chief Executive Officer completes final verification that testamurs, statements of attainment and record of results have correctly identified the student, the qualification and/or traineeship, the units of competency (and whether employability skills statement is required on qualification); and that testamurs correctly identify the AQF qualification that is current on scope.
- Chief Executive Officer signs all verified testamurs and Statement of Attainments.

The Educational Administration Officer retains a copy of the award documents in the students file.

All Certificates or Statements of Attainment waiting on payment of outstanding fees are filed in the relevant folder in the Executive draw of the 4 Up Skilling Office, and the student notified.

The Educational Administration Officer arranges for student collect award documents or mails to student.

Responsible parties

The CEO is responsible for the control and issuance of this policy & procedure and ensuring graduates receive the certification documentation to which they are entitled, this may be delegated, as detailed below:

- The Course Coordinator is responsible for ensuring the Application for a Qualification (form USQUAL) is completed and verifies the qualification (**first check**).
- The Educational Administration Officer is responsible for maintaining up to date records of enrolment, data entry of results and learners access to their records via approval from the Chief Executive Officer.
- The Chief Executive Officer is responsible for overall management of the SMS.
- The Educational Administration Officer & Manager Director are responsible for resulting and printing of testamurs and statements of attainment, including

replacement certification documents and maintaining currency of data on the Student Management System (SMS) and also in hard format in student files; they must also complete a second verification of the students eligibility for the award/ qualification (**second check**).

- The Educational Administration Officer and Chief Executive Officer will facilitate ongoing Professional Development to staff regarding use of the SMS where required.
- The Chief Executive Officer completes the third and final check to verified the printed documents and true and valid (**third check**)

Correcting USI Transcripts

Students may access authenticated transcripts of their studies (from the 1st January 2015 onwards) via the USI register for all training undertaken where their USI has been verified. Where a student has expressed concerns that their USI transcript is inaccurate for a previous year's data report (from 1st January 2015 to the current collect year), the Quality Manager may login online to NCVER website, select the 'COLLECTIONS' drop down menu, and select "USI TRANSCRIPT UPDATES". Updates should be managed carefully, marrying back to 4 Up Skilling's SMS. All updates will be reported to relevant STA.

RTOs may also view a student's transcript only if the student has granted permission for them to do so. The student may log on to the USI register, select "Manage Permissions", adding the RTO details. This can be useful for Credit Transfers – which should only be used if the transcript is viewed online given it is then authenticated.

Deleted Scope Products:

If qualifications have been removed from an RTO's scope of registration no new Certificates or Statement of Attainments can be issued. This has important legal obligations. In such cases an RTO must cease from:

- advertising deleted scope products
- providing and issuing qualifications deleted scope products
- providing and issuing statements of attainment deleted scope products

An RTO can provide Certificates or Statement of Attainments for deleted scope products when a replacement for a previously issued qualification or Statement of Attainment is required.

It is an offence under Part 6, Division 1, Subdivision A of the Act to:

- advertise to provide all or part of a VET course outside scope of registration
- provide all or part of a VET course outside scope of registration
- issue VET qualifications and statements of attainment outside scope of registration

Civil penalties may also apply to these offences.

Associated documents:

Quality Management System Policy USQMS

Privacy Policy (form USPP)

National Recognition Policy (form USNR)

Qualification on Scope Register (form USQSR; see also TGA website

www.training.gov.au)

Qualification Grading Categories (form USQG)

Application for Qualification Testamur / Statements of Attainment (form USQUAL)

Confirmation Report (available on ICARE)

Policy developed by: Quality Manager

Policy endorsed by: Chief Executive Officer