

1.0 Policy

The purpose of this policy and procedure is to ensure that Ultimate Institute has controls in place to:

- Not issue qualifications, statements of attainment and records of results unless the learner has completed all requirements of the training product as specified in the relevant training package or VET accredited course
- Meet the AQF qualifications issuance policy and any other specifications required within the VET sector; including the use of the NRT logo

2.0 Related Standard

Standard 3: Clauses 3.1 to 3.4

3.0 Responsibility

The CEO and the Training Manager are responsible for the implementation of this procedure and to ensure that staff are aware of its application and implement its requirements;

4.0 Requirements

1. When issuing certification:
 - a. Issue in a timely manner (AQF certification documentation must be issued within 30 calendar days of the learner's final assessment being completed or their exiting their course, providing all fees have been paid), so learners can provide proof of their competence to employers (or potential employers) and obtain any industry licences or accreditation
 - b. Issue AQF certification documentation directly to the learner, not to another party, such as an employer
 - c. Issue learners who have completed all units or modules in a qualification with a testamur and a record of results
 - d. Issue a learner who has completed one or more units/modules (but not a full qualification) and has finished their training with Ultimate Institute with a statement of attainment (a record of results may also be issued in this case), and
 - e. Ensure learners can access records of certification issued to them.
2. To avoid delays, the learner's Unique Student Identifier (USI) will be verified well in advance of issuing any certificates or testamurs
3. Testamurs will only be issued for completed courses units of competence or accredited modules. Interim documents will not be issued
4. All records of qualification and statements of attainments will be kept for at least 30 years. If the Ultimate Institute ceases to be an RTO, it ensures that all records are provided to ASQA or the current VET Regulator in digital form

5. All records of qualification and statements of attainments will be recorded through the USI system so that learners and past learners may access their records through the USI system. Alternatively, learners and past learners may request copies of their qualification and statements of attainments directly through Ultimate Institute
6. Ultimate Institute will ensure that certificates for qualifications or statements of attainments have security measures in place to provide security against fraudulent use or reproduction
7. Ultimate Institute will keep a record of qualification and statements of attainment that are issued to learners with the date of issue/distribution, as proof that they were issued and within a 30-day time frame.

5.0 Definitions

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.

Transcript of results is a document that lists units of competence or accredited modules indicating the result for that unit of module. It does not indicate if a training product has been completed.

6.0 Procedure

Academic records

1. Application forms are completed and filed for all students. Data from the application form is entered on to the student records database.
2. Competency records for each unit are maintained by trainers, signed and dated by the trainer and then forwarded to the Training Manager at the end of each study period.
3. Based on the competency records forwarded by trainers at the end of each study period the achievement of units of competency for each student is recorded on the student records database by the Training Manager, or whoever the Training Manager delegates to undertake this task.
4. When it is believed that a student has completed all competencies required for the issuing of an award a transcript is printed and sent to the Training Manager for review and checking.
5. Students completing one or more units / modules but not a complete qualification will be issued, a Statement of Attainment on completion of their studies or upon withdrawing from a course.
6. When it is believed that a student is eligible for the issuing of a Statement of Attainment, a transcript is printed and sent to the Training Manager for review and checking.

7. A trainer in the program and the Training Manager must verify eligibility for an Award or a Statement of Attainment.
8. Verification requires checking student module / unit completions against the qualification requirements or packaging rules in the curriculum / training package. Applicable rules will be those that applied at or after the time of enrolment up until the time of completion.
9. After verification of eligibility an Award or Statement of Attainment will be prepared and issued to the student.
10. The date of issue, title of the Award or Statement of Attainment, and sequence number of the document is recorded in the student records database.

Address and contact details

1. Remind students in writing at the beginning of their course and by notices posted on notice boards of the requirement to advise Ultimate Institute of any change in their contact details, such as a new residential address and contact telephone number.
2. Maintain the current residential address as supplied by the student in the student records database.

Confidentiality and access to records

1. Students wishing to access their own records must put the request in writing to the Administration Manager using the Student Records Request Form
2. The Administration Manager will then arrange for supervised access at a mutually suitable time.
3. Students must view their records at Ultimate Institute and cannot take records away from Ultimate Institute.

Testamur Security Policy

1. All testamurs (certificates and statements of attainment) are to be printed on templates included in the Student Record System or, if the system is un-available, the template in the forms file.
2. The testamur will contain sufficient information to identify correctly the:
 - a. issuing organisation
 - b. learner who is entitled to receive the AQF qualification
 - c. awarded AQF qualification by its full title
 - d. date of issue/award/conferral
 - e. person(s) in the organisation authorised to issue the documentation, and
 - f. authenticity of the document, in a form to reduce fraud such as the issuing organisation's seal, corporate identifier or unique watermark
 - g. the NRT Logo in accordance with the current conditions of use contained in Appendix 2 of the Standards for Registered Training Organisation 2015

Issuing AQF Qualifications

1. The following information must be included on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:
 - a. the name, National RTO code and logo of the issuing organisation
 - b. the code and title of the awarded AQF qualification, and
 - c. the NRT Logo in accordance with the current conditions of use contained in Appendix 2 of Standards for Registered Training Organisations 2015
2. The following elements are to be included on the test amur as applicable:
 - d. the State / Territory Training Authority logo (only where use of the logo is directed by State / Territory Training Authorities, the industry descriptor, e.g. Engineering
 - e. the occupational or functional stream, in brackets, e.g. (Fabrication)
 - f. where relevant, the words, '**achieved through Australian Apprenticeship arrangements**', and
 - g. where relevant, the words, '**these units/modules have been delivered and assessed in <insert language>**' followed by a listing of the relevant units/modules.
3. The learner's Student Identifier must not appear on the test amur consistent with the Student Identifiers Act 2014
4. Ultimate Institute will:
 - a. retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued
 - b. retain records of AQF certification documentation issued for a period of 30 years, and
 - c. provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator

Issuing Statements of Attainment

1. The following information must be included on a statement of attainment:
 - a. the name, National RTO Code and logo of the issuing organisation
 - b. 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
 - c. the authorised signatory
 - d. the NRT Logo
 - e. the issuing organisation's seal, corporate identifier or unique watermark
 - f. the words '**A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units**'
2. The following elements are to be included on the statement of attainment as applicable:

- a. the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities)
 - b. the words '***These competencies form part of [code and title of qualification(s)/course(s)]***'
 - c. the words, '***These competencies were attained in completion of [code] course in [full title]***', and
 - d. where relevant, the words, '***these units / modules have been delivered and assessed in <insert language>***' followed by a listing of the relevant units/modules
3. The learner's Student Identifier must not appear on the statement of attainment consistent with the Student Identifier Act 2014
 4. Ultimate Institute will:
 - a. maintain registers of all statements of attainments issued
 - b. retain records of statements of attainment issued for a period of 30 years, and
 - c. provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator
 5. If practical, the templates are to include a unique pre-printed watermark
 6. If practical, each test amur, (certificate or statement of attainment) is to be embossed **after printing** with the Ultimate Institute logo and/or the signature of the Chief Executive Officer and/or another mark approved by the Chief Executive Officer
 7. Testamur, (certificate or statement of attainment) may be verified free of charge by contacting the Ultimate Institute
 8. Test amurs, (certificates and statements of attainment) will only be reissued after applicants:
 - Applying in writing indicating the reasons for requesting for a reissue; and
 - confirming their identity using the 100 points system of identification; which may be provided through the service offered to businesses by Australia Post - <http://auspost.com.au/business/in-person-id-checks.html>
 - The reissue must be approved by the Chief Executive Officer or a person specifically nominated by the Chief Executive Officer to approve a reissued testamur
 9. Statement of attainment must be in a form that ensures it cannot be mistaken for a testamur for a full AQF qualification. It must include the statement '***A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units***'
 10. The testamur or graduation statement 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

Issuance of Award and Statement of Attainment Policy and Procedure



logo authorised by the AQF Council. The AQF logo or these words must not be used on certification documentation for non-AQF qualifications

11. If any of the accredited units has been delivered and/or assessed in a language other than English, a statement that this has occurred will be included on the statement of attainment

7.0 Resources and Forms

Award Issuance Checklist
Testamur Template
Statement of Attainment Template
Transcript of Results Template

8.0 Approval

This policy and procedure has been endorsed by the CEO and the management of the Ultimate Institute in March 2016 and will be implemented upon an approval as an RTO by ASQA.

9.0 Revision history

Revision	Date	Description of modifications
1 1.0	March 2016	Policy created and approved
2 1.1	August 2016	Policy updated
3		