

Certificate Issuance
Policy, Procedures, Forms and Registers

POLICY	
Purpose	ATAR Design is committed to providing quality training and assessment in accordance with the Standards for Registered Training Organisations (2015). As such, ATAR Design is required to issue and maintain AQF certification documentation and provide access to those documents to clients.
Standard reference	3.1, 3.2, 3.3, 3.4, 3.5, 3.6
Who is responsible	<p>The CEO is responsible for ensuring compliance with this policy.</p> <p>The CEO will process approval for issuance of certification documentation, review and sign all printed certification documents.</p> <p>The CEO will process creation/ issuance of certification documentation in preparation for authorised signatory.</p>
Review date	Every 12 months
Definitions	<p>The following words and expressions have the following specific meaning, as in the Standards for Registered Training Organisations (RTOs) 2015.</p> <p>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.</p> <p>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.</p> <p>AQF qualification means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.</p> <p>Authenticated VET transcript has the meaning given in the Student Identifiers Act 2014.</p> <p>Nationally Recognised Training (NRT) Logo means the logo used nationally to signify training packages and VET accredited courses.</p> <p>Registrar has the meaning given in the Student Identifiers Act 2014.</p> <p>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.</p> <p>Student Identifier has the meaning given in the Student Identifiers Act 2014.</p> <p>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)</p>

POLICY

Policy

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

ATAR Design 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

Policy principles

The following principles underpin this policy.

ATAR Design:

- Is obliged to issue certification in accordance with Schedule 5 of Standards for Registered Training Organisations (2015).
- 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.
- Only issues qualifications and Statements of Attainment to those clients 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.
- Student Identifier (USI) must NOT be included on the testamur, consistent with the Student Identifier Act 2014.
 - Will, using the Student Management System:
 - Maintain a register of all AQF qualifications issued;
 - Retain records of all AQF certification documentation for a period of 30 years; and
 - Provide reports of records of qualifications issued to the VET Regulator on a regular basis as requested by the VET regulator.
- 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:
 - If the training program in which the client is enrolled in is complete; and
 - Providing all agreed fees the client owes to the RTO have been paid.
 - AQF certification documentation will not be issued to an individual without 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.
 - If an USI exemption applies, in accordance with <https://www.usi.gov.au/training-organisations/training-organisation-requirements/exemptions-reporting-usi> ATAR Design 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.

POLICY

Qualifications

All clients who have completed a training program which leads to the award of a full AQF qualification will receive:

- A testamur, and
- A record of results.

Each AQF qualification issued will comply with the 'AQF Qualifications Issuance Policy' and the 'Standards for RTOs 2015' – Schedule 5, and will include:

- Name and logo
- National provider number (RTO Code)
- The full name of the individual receiving the award
- The full title and national code of the unit/s of competencies or AQF qualification awarded
- A certificate number
- The date of issue
- The signature of an authorized person
- The relevant National and State logos (in accordance with the Standards for RTOs – Schedule 4)
- Authentication mark (seal, Corporate identifier, unique watermark)
- The industry descriptor, e.g. Engineering
- The occupational or functional stream, in brackets e.g. (Fabrication)
- Where relevant, the words, 'achieved through Australian Apprenticeship arrangements'
- Where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.
- All testamurs will identify the qualification as an AQF qualification either:
 - by the inclusion of the words, 'The qualification is recognised within the Australian Qualifications Framework; or
 - the use of the AQF logo authorised by the AQF Council.

POLICY

Statement of Attainment

Each Statement of Attainment issued will comply with the 'AQF Qualifications Issuance Policy' and the 'Standards for RTOs 2015' – Schedule 5, and will include:

- Name and logo
- National provider number (RTO Code)
- The full name of the individual receiving the award
- The full title and national code of the unit/s of competency / modules awarded
- A certificate number
- The date of issue
- The signature of an authorised person
- The relevant National and State logos (in accordance with the Standards for RTOs – Schedule 4)
- Authentication mark (seal, Corporate identifier, unique watermark)
- The words, 'A statement of attainment is issued when an individual has completed one or more accredited units'
- Where relevant, the words, 'achieved through Australian Apprenticeship arrangements'
- Where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.
- Where relevant, the words, 'These competencies form part of [code and title of qualification]'
- Where relevant, the words 'These competencies were attained in completion of [code] course in [full title]' – for an Accredited course

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

ATAR Design:

- Abides by 'Conditions of Use of NRT Logo' as prescribed in Schedule 4 of STROs 2015.
- AQF logo will be used on all AQF documentation issued by ATAR Design
- AQF logo must NOT be used on non-National recognised training certification issued by ATAR Design
- Will comply with the use of 'State' regulator logo, in accordance with relevant Logo Specifications
- Will comply with the use of State/Territory funding body logo requirements, in accordance with contract obligations.

Replacement of Certification Documentation

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

POLICY

Records management

Legislation

Legislation applicable to this policy include:

- Student Identifier Act 2014 and Regulations.

Access and Equity

The Access and Equity Policy applies. (See Access and Equity Policy)

Records Management

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

Monitoring and Improvement

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

PROCEDURE – ISSUING CERTIFICATE

Step	Who	Procedure
1 Issuing Certification Documentation	Assessor	<ul style="list-style-type: none"> Monitors / tracks completion of course / qualification by client Completes 'Certificate Issuance Authority Form'. Forward completed 'Certificate Issuance Authority Form' to admin for processing.
	Admin	<ul style="list-style-type: none"> Review assessment documentation for each candidate, keeping a track on client eligibility for certification. Reviews 'Certificate Issuance Authority Form' submitted by Assessors. Completes 'Certificate Issuance Authority Form' for approval. For clients who are eligible for the issuance of certification documentation: Verify that all outstanding fees are paid in full. Verify the individual is in receipt of a verified unique Student Identifier for that individual, unless an exemption applies, as per the requirements of the Student Identifier Act 2014. <p>For clients with outstanding invoices:</p> <ul style="list-style-type: none"> Send email to client requesting full payment, advising certification documentation cannot be supplied when payment of invoices is outstanding. Check regularly for payment. <p>For clients with an outstanding verified unique Student Identifier:</p> <ul style="list-style-type: none"> Check the enrolment form to see if the student has agreed to ATAR Design creating a USI Number on their behalf If not email or write to the student advising them of the requirement referring to the website www.usi.gov.au. Inform the student_AQF certification cannot be issued to an individual without 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. https://www.usi.gov.au/training-organisations/training-organisation-requirements/exemptions-reporting-usi <p>For clients with NO outstanding invoices or outstanding verified USI:</p> <ul style="list-style-type: none"> Print the certification documentation for all successful clients, as relevant, and in accordance with certification issuance form. Provide completed form and printed certification documentation to CEO for final verification, signatory and approval for distribution.
2 Authorisation by CEO	CEO	<ul style="list-style-type: none"> Review 'Certificate Issuance Authority Form' and documentation supplied; verify eligibility and compliance of certification documentation. If approved, sign certification documentation for distribution and note on 'Certificate Issuance Authority Form'. If NOT approved, return all documentation to Admin, and note on 'Certificate Issuance Authority Form'

PROCEDURE – ISSUING CERTIFICATE

Step	Who	Procedure
3 Processing Certification Documentation	Admin	<ul style="list-style-type: none"> • 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.

PROCEDURE – REPLACEMENT CERTIFICATION

Step	Who	Procedure
1 Issuing Replacement Certification Documentation	Client	Completes 'Replacement Certificate Form' and submits to admin with payment.
	Admin	<ul style="list-style-type: none"> Verifies the authenticity of the original issuance of the requested certificate. Check client file. Check SMS for confirmation of certificate issuance. <p>If certificate is authentic:</p> <ul style="list-style-type: none"> Process payment for reprint certificate. Raise invoice and record payment in SMS. Re-print the certification documentation. Provide completed form and re-printed certification documentation to CEO for final verification, signatory and approval for distribution.
2 Authorisation by CEO	CEO	<ul style="list-style-type: none"> Review 'Replacement Certificate Form' and documentation supplied; verify eligibility and compliance of certification documentation. If approved, sign certification documentation for distribution and note on 'Replacement Certificate Form'. If NOT approved, return all documentation to Admin, and note on 'Replacement Certificate Form'.
3 Processing Certification Documentation	Admin	<p>If approved:</p> <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, file all documentation on client file. Enter note on client records in SMS.
4 Processing payment	CEO	<ul style="list-style-type: none"> Upon receipt of completed 'Replacement Certificate Form' process and raise invoice to the client. Update finance system (e.g. MYOB, QuickBooks, Xero etc.) File documentation accordingly.

CERTIFICATE ISSUANCE AUTHORITY FORM

SECTION 1 – CLIENT DETAILS

Name:		Date:	
Qualification Code and Title / Course Name:			

SECTION 2 – CERTIFICATE DETAILS

Certificate to be issued:	Nationally Recognised Training:	NON-Nationally Recognised Training:
	<input type="checkbox"/> Qualification (including Transcript of Results)	<input type="checkbox"/> Certificate of Completion
	<input type="checkbox"/> Statement of Attainment	<input type="checkbox"/> Certificate of Attendance

Units/ Modules included: (Can be supported by printout from SMS)

Unit/Module Code	Unit/Module Name	RTO Issued

SECTION 3 – AUTHORISATION

I confirm the information is correct and certification can be issued:

Name:		Position:	
Signature:		Date:	

ADMIN USE ONLY

All Fees Paid:	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Signature:		Date:	
Certificate Correct:	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Signature:		Date:	
Certificate Sent:	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Signature:		Date:	
Certificate Copy Filed:	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Signature:		Date:	

Replacement Certificate Request Form – Certification Documentation to be issued within 30 days

SECTION 1 – CLIENT DETAILS

Name:		Date:	
Address			

SECTION 2 – CERTIFICATE DETAILS

I wish to apply for a re-print Certificate to be Issued:

Qualification Code and Title / Course Name		
Date of course commencement		
Reason for Re-print		
Certificate to be re-issued:	Nationally Recognised Training: <input type="checkbox"/> Qualification (including Transcript of Results) <input type="checkbox"/> Statement of Attainment	NON-Nationally Recognised Training: <input type="checkbox"/> Certificate of Completion <input type="checkbox"/> Certificate of Attendance

Reason for Re-print

Replacement Certificate Request Form – Certification Documentation to be issued within 30 days

SECTION 3 – PAYMENT (CERTIFICATES WILL ONLY BE ISSUED IF PAYMENT IS CONFIRMED)

I confirm the information is correct and certification can be issued:

☐ I agree to receive an invoice for replacement of certification documentation, payable to ATAR Design

SECTION 4 – AUTHORISATION (ATAR TO COMPLETE)

I endorse accuracy of re-print certification:

Name:

Position:

Signature:

Date:

ADMIN USE ONLY

All Fees Paid:

☐ Yes

☐ No

Signature:

Date:

Certificate Sent:

☐ Yes

☐ No

Signature:

Date:

Certificate Copy
Filed:

☐ Yes

☐ No

Signature:

Date: