Certificate Issuance Policy

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Last review	27 December 2023
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Authority	Chief Executive Officer or Nominee
Next review	27 December 2023
Related policies	- Enrolment Policy - RPL and Credit Transfer Policy - Fee Administration and Refund Policy - Records Management Policy - Privacy Policy
Related procedures	- Enrolment Procedure - Certificate Issuance Procedure - Credit Transfer Procedure - Records Management Procedure - RPL Procedure
Forms and supporting documents	- Completion Checklist - Training Plan - AQF Certificate Template - Record of Results Template - Statement of Attainment Template

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Certificate Issuance Policy

PURPOSE

1. The purpose of this Policy is to establish the bases of certificate issuance procedures for Australian Polytechnic Institute, including its development, review, approval, and implementation.
2. The decision-making authority upon which this Policy is based follows existing regulatory requirements stipulated in the Standards for Registered Training Organisations 2015 (SRTOs 2015), and corresponding directions provided through its regulator, the Australian Skills Quality Authority (ASQA). In particular:
   - Clause 3.1 to 3.4 – Provide secure certification
   - Clause 3.6 Participate in the Student Identifier Scheme

SCOPE

This Policy applies to all Nationally Recognised Training certificates issued by Australian Polytechnic Institute. This applies to all administrative staff processing course completion of students enrolled in any Nationally Recognised Training offered by AuPI, regardless of the location and mode of delivery.

POLICY STATEMENT

Australian Polytechnic Institute issues certification in accordance with Schedule 5 of Standards for Registered Training Organisations (SRTOs 2015). Australian Polytechnic Institute only issues qualifications and statements of attainment to those students 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.

Australian Polytechnic Institute will ensure the security of student identifiers and all related documentation under its control, including information stored in its student management systems. The Unique Student Identifier (USI) must NOT be included on the testamur, consistent with the Student Identifier Act 2014.

Australian Polytechnic Institute will, using the Student Management System:
1. maintain a register of all AQF qualifications issued;
2. retain records of all AQF certification documentation for a period of 30 years; and
3. provide report of records of qualifications issued to the VET Regulator on a regular basis as requested by the VET regulator.

Australian Polytechnic Institute issues AQF certification documentation to students within 30 calendar days of the student being assessed as meeting the requirements of the training package or VET accredited course:
1. if the training program in which the student is enrolled in is complete; and
2. providing all agreed fees the student owes to Australian Polytechnic Institute have been paid.

AQF certification documentation will only be issued once the student has settled all their obligations with Australian Polytechnic Institute, such as outstanding fees. However, completion status and qualification issuance must be reported within 30 days from the date the student is deemed competent.

AQF certification documentation will not be issued to the student without Australian Polytechnic Institute being in receipt of the verified Unique Student Identifier (USI) for that student, unless an exemption applies, as per the requirements of the Student Identifier Act 2014 (Click here to learn more about Exemptions from the USI).

If an exception applies, in accordance with SRTOs 2015, Australian Polytechnic Institute 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.

Certificate Issuance Policy

1. Verified Unique Student Identifier (USI)

Australian Polytechnic Institute requires all VET students to supply a USI verified by the Commonwealth Registrar, before any certification documentation can be issued.

Exemptions to the USI requirements may apply including for international students studying offshore and outside of Australia. (NOTE: AuPI does not accept onshore international students.)

Any student who requests exemption from the USI shall be notified that any completion results and records will not be available through the Commonwealth Registrar.

Student's USIs are subject to privacy requirements.

2. Issuing Qualifications / Testamurs

All students who have completed a training program which leads to the award of a full AQF qualification will receive:
   1. a testamur; and
   2. 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:
   1. Australian Polytechnic Institute name and logo;
   2. Australian Polytechnic Institute national provider number (RTO Code: <insert code>);
   3. the full name of the individual receiving the award;
   4. the full title and national code of the unit/s of competencies or AQF qualification awarded;
   5. a certificate number;
   6. the date of issue;
   7. the signature of an authorized person;
   8. the relevant national and state logos (in accordance with the Standards for RTOs – Schedule 4);
   9. authentication mark (Australian Polytechnic Institute seal, corporate identifier, unique watermark);
   10. the industry descriptor, e.g. Engineering;
   11. the occupational or functional stream, in brackets e.g. (Fabrication);
   12. where relevant, the words, 'achieved through Australian Apprenticeship arrangements';
   13. where relevant, the words, 'these units/modules have been delivered and assessed in English', followed by a listing of the relevant units/modules.

All testamurs will identify the qualification as an AQF qualification either:
   1. by the inclusion of the words, 'The qualification is recognised within the Australian Qualifications Framework; or
   2. the use of the AQF logo authorised by the AQF Council.

3. Issuing Statement of Attainment

Each statement of attainment issued will comply with the 'AQF Qualifications Issuance Policy', 'Standards for RTOs 2015' - Schedule 5, and will include:
   1. Australian Polytechnic Institute name and logo;
   2. Australian Polytechnic Institute national provider number (RTO Code:<insert code>);
   3. the full name of the individual receiving the award;
   4. the full title and national code of the unit/s of competency / modules awarded;
   5. all the elements required under the specific training package;
   6. a certificate number;
   7. the date of issue;

8. the signature of an authorized person;
9. the relevant national and state logos (in accordance with the Standards for RTOs – Schedule 4);
10. authentication mark (Australian Polytechnic Institute seal, corporate identifier, unique watermark);
11. the words, 'A statement of attainment is issued when an individual has completed one or more accredited units';
12. where relevant, the words, 'achieved through Australian Apprenticeship arrangements';
13. where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules;
14. here relevant, the words, 'These competencies form part of [code and title of qualification]';
15. where relevant, the words 'These competencies were attained completion of [code] course in [full title]' – for an accredited course.

4. Use of Logos

Australian Polytechnic Institute 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 Australian Polytechnic Institute.

AQF logo must NOT be used on non-nationally recognised training certification issued by Australian Polytechnic Institute.

5. Replacement of Certification Documentation

AQF certification documents can be re-issued to a student, upon written request. Replacement certification documentation will incur a fee of $100.

RESPONSIBILITIES

1. Compliance, monitoring and review

1.1. The CEO of Australian Polytechnic Institute has overall responsibility to ensure all NRT certificates are processed in accordance with the regulatory standards. This includes:

1.1.1. Ensuring that this Policy is reviewed and revised accordingly to maintain compliance against relevant regulatory and industry standards,

1.1.2. Ensuring that the Certificate Issuance Procedures and corresponding implementation systems and tools comply with the Policy requirements, and

1.1.3. Ensuring that all relevant staff facilitates the certificate issuance in accordance with the Certificate Issuance Policy and Procedures

1.2. The practical application of this Policy, including the activities and tasks associated with processing NRT Certificates can be delegated to other persons, including:

1.2.1. Ensuring students have successfully completed all course requirements as outlined in the training package prior to receiving NRT certification

1.2.2. Ensuring that students have paid all course fees in relation to the certification being issued prior to its issuance

1.2.3. Ensuring that all certification documents meet the Standard requirements

1.2.4. Ensuring that NRT certification documents are only issued to students with verified USI

1.3. All practices for issuing certification documentation are monitored by the Administrative Team and the CEO of Australian Polytechnic Institute. Areas for improvement identified are lodged in the Continuous Improvement Register, reviewed and acted upon.

2. Reporting

2.1. All staff responsible for tasks related to issuing NRT certificates will report opportunities for improvement to the CEO. This includes:

2.1.1. Staff checking students' completion

2.1.2. Staff issuing NRT certificates

2.1.3. Staff providing advice to students completing the course

2.2. All certificate issuance activities are reported to the CEO at the end of each specified reporting cycles.

3. Records management

3.1. Staff must maintain all records relevant to administering this Policy in using the prescribed filing system in the Procedure document.

3.2. Certificate issuance records are treated as confidential and only shared with authorised personnel or to meet regulatory reporting requirements unless explicit permission from the student is obtained.

DEFINITIONS

1. **SRTOs 2015** means Standards for Standards for Registered Training Organisations (RTOs) 2015.
2. **ASQA** means Australian Skills Quality Authority.
3. **USI** means Unique Student Identifier.
4. **AQF** Qualification means a qualification type endorsed in a training package or accredited in a VET
5. accredited course.
6. **NRT** means Nationally Recognised Training.
7. **Unit of competency** (UoC) means the specification of the standards of performance required in the workplace as defined in a training package.
8. **SOA** means Statement of Attainment
9. **ROR** means Record of Results
10. **AQF Certificate** means Australian Qualifications Framework Certificate
11. **VET** means Vocational Education and Training.

RELATED LEGISLATION AND DOCUMENTS

1. **References**
   - Standards for Registered Training Organisations (RTOs) 2015: https://www.legislation.gov.au/Details/F2019C00503
   - Users' guide to Standards for RTOs 2015: https://www.asqa.gov.au/standards/enrolment
   - Sample forms of AQF certification documentation: https://www.asqa.gov.au/resources/fact-sheets/sample-forms-aqf-certification-documentation

2. **Related Polices**
   - Enrolment Policy
   - RPL and Credit Transfer Policy
   - Fee Administration and Refund Policy
   - Records Management Policy
   - Privacy Policy

3. **Related Procedures**
   - Enrolment Procedure
   - Certificate Issuance Procedure
   - Credit Transfer Procedure
   - Records Management Procedure
   - RPL Procedure

4. **Forms and Supporting Documents**
   - Completion Checklist
   - Training Plan
   - AQF Certificate Template
   - Record of Results Template
   - Statement of Attainment Template

FEEDBACK

AuPI staff and students may provide feedback about this document by emailing info@aupi.com.au.

REVISION HISTORY

Date / Version no.	Revision details	Person Responsible	Status	Comments
1.1	First version provided by the registration consultant was reviewed. Minor changes were made	Dr Ehsan Ahmed	Reviewed	
1.2	Version 1.1 was reviewed and minor changes were made	Dr Ehsan Ahmed	Reviewed and uploaded to the AUPI website	Next review due 26 December 2023

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