

PROVIDING SECURE CERTIFICATION (3.1 – 3.4)

- 3.1 The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.
- 3.2 All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.
- 3.3 AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.

Strategy

The RTO ensures that only students who have met the qualification requirements, in all of the required units, have been deemed competent and will be issued with an AQF Certification. All AQF Certification meets the requirements of Schedule 5 of the Standards and will be issued to the student within 30 calendar dates of the learner being deemed competent.

A register of all qualifications issued will be maintained on the AVETMISS compliant database.

Policy and Procedure/s

Certification (T&S)

In determining whether a student is competent/or not yet competent, the student is assessed against the requirements of the qualification, including the units of competencies and the performance criteria and assessment requirements within the units of competency.

Students are issued with a VET Statement of Attainment or VET Qualification once competency has been achieved, as outlined within the Training Product. The testamur for all AQF qualifications issued will identify the qualification as an AQF qualification with the words “The qualification is recognised within the Australian Qualifications Framework”.

Issuing AQF Qualifications

Application of the AQF Qualifications Issuance Policy within the VET Sector

RTOs must meet the requirements of the AQF for issuing AQF qualifications and statements of attainment, in addition to the following requirements.

Issuing AQF Qualifications

RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:

- the name, National RTO code and logo of the issuing organisation
- the code and title of the awarded AQF qualification, and
- the NRT Logo in accordance with the current conditions of use contained in Schedule 4.

The following elements are to be included on the testamur as applicable: the State / Territory Training Authority logo (only where use of the logo is directed by State / Territory Training Authorities, e.g. within User Choice contracts)

- 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’, and

where relevant, the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules.

RTOs must not include the learner's Student Identifier on the testamur consistent with the Student Identifiers Act 2014.

RTOs will:

- retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued

- retain records of AQF certification documentation issued for a period of 30 years, and

- 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

RTOs must include the following information on a statement of attainment: the name, National RTO Code and logo of the issuing organisation

- 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

- the authorised signatory

- the NRT Logo

- the issuing organisation's seal, corporate identifier or unique watermark

- the words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'

The following elements are to be included on the statement of attainment as applicable:

- 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]', and

- where relevant, the words, 'these units / modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.

RTOs must not include the learner's Student Identifier on the statement of attainment consistent with the Student Identifier Act 2014.

RTOs will:

- maintain registers of all statements of attainments issued

- retain records of statements of attainment issued for a period of 30 years, and

- provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.

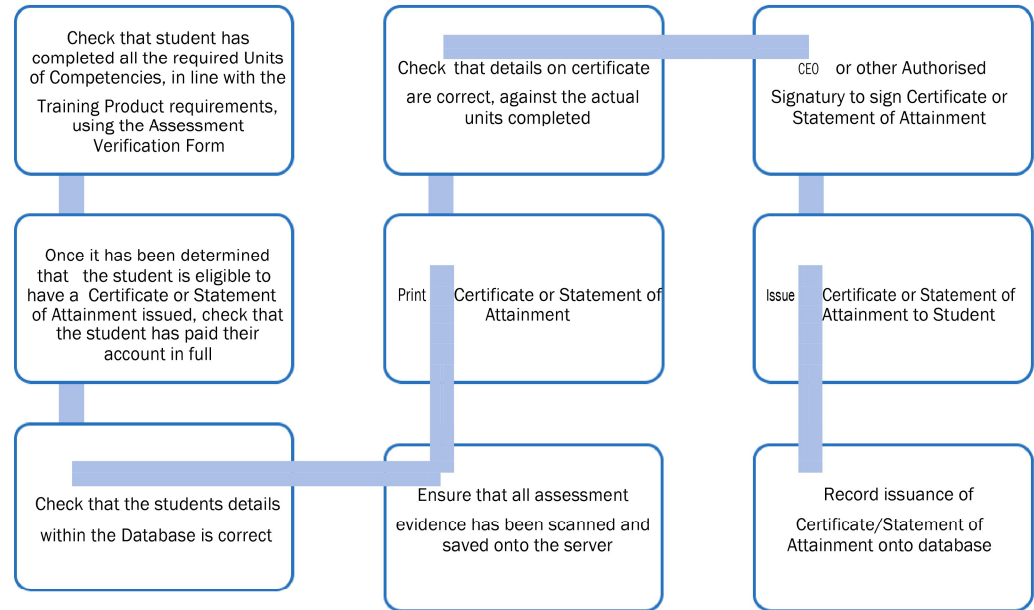
The RTO will issue Certificates and/or Statements of Attainment 30 calendar days of the student being deemed competent, providing all agreed fees the student has outstanding to the RTO have been paid.

Contact your regulatory body (ASQA, VRQA, TACWA) or the State or Territory registering body where your organisation is registered to obtain hard or electronic copies of the NRT logo. The AQF logo can be accessed from:

<https://www.aqf.edu.au/aqf-logo-and-copyright>



Process for Issuing Certification

Following is the process for ensuring that accounts have been paid prior to a Certificate and/or Statement of Attainment is issued, as well as ensuring that the student has completed all the required competencies.



Logos on Certification

Following is an outline of what logos should be used on each type of certification. All staff are required to adhere to these requirements.

	Full Qualification	Statement of Attainment	Non-Accredited	
	Yes	Yes	No	<ul style="list-style-type: none"> RTOS must include the Nationally Recognised Training (NRT) logo on testamurs and statements of attainment The NRT logo is not to be used on the record of results
	Yes	No	No	<ul style="list-style-type: none"> RTOs must include the AQF logo or the words "The qualification is recognised within the Australian Qualifications Framework" on the testamur The AQF logo or words are not to be used on the record of results The AQF logo or words are not to be used on statements of attainment The AQF logo is available from the AQF website RTOs must comply with the AQF's Conditions for use of the AQF log
Other logos				<ul style="list-style-type: none"> ASQA RTOs must not include state or territory registering body logo on testamurs, statements of attainment or record of results In some cases (for example within User Choice contracts) RTOs may need to include a state or territory training body logo on testamurs or statements of

				<p>attainment, where directed by a state or territory training body</p> <ul style="list-style-type: none"> • RTOs must not use the Australian Government Crest logo (eg the crest used as ASQA's logo). The Australian Government Crest is only to be used by authorised government departments and agencies.
<p>Evidence</p>	<ul style="list-style-type: none"> ▪ Student Management Database ▪ Certificates ▪ Statements of Attainment ▪ Marketing Materials 			
<p>Continuous Improvement</p>	<p>This standard is reviewed, according to the Continuous Improvement Cycle, during the month of August on an annual basis.</p>			
<p>Responsibility</p>	<ul style="list-style-type: none"> ▪ Chief Executive Officer ▪ Senior Management 			

3.4 Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

Strategy

Employees and Third Parties of IQY Technical College must ensure that student records are kept up-to-date so that current and accurate records can be provided to students upon request.

The RTO will securely retain, and be able to produce in full at audit if requested to do so, all completed student assessment items for each student, as per the definition outlined in "ASQA's General Direction: Retention Requirements for Completed Student Assessment Items", for a period of six months from the date on which the judgement of competence for the student was made.

Policy and Procedure/s

Certificate Register

A register of all certificates will be maintained on the AVETMISS Compliant database and will be kept for a period of 30 years. The database will keep a record of all required information that will enable reissuance of certification.

In line with the AQF Qualifications Register Policy the RTO will maintain a register that will contain sufficient information to identify correctly the:

- Authorised issuing organisation;
- Responsible person or persons and contact details of the organisation, including contact details for public enquiries; and

AQF qualifications the organisation is authorised to issue, including the full and correct AQF qualifications titles, the accreditation period, and any caveats.

These registers will clearly distinguish AQF qualifications from non-AQF qualifications. The RTO will maintain an auditable-quality register of the AQF qualifications that they have issued.

The registered will contact sufficient information to identify correctly the:

- Holder of the qualification;
- AQF qualification by its full title; and
- Date of issue/award/conferral.

Records Management – Paper Based (T)

In accordance with [The AQF Qualifications Register Policy](#), the RTO will ensure that all records kept for students meets the requirements of the AQF Qualifications Register Policy.

The RTO is committed to implementing best practice in its records management practices and systems. All student records are to be entered and maintain on the AVETMISS compliant Student Management System.

The RTO will provide returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis, or as determined by the National VET Regulator.

All staff employed by the RTO will be required to apply themselves to the following written procedures and safeguard confidential and personal information according to the Privacy and Protection of Personal Information Act 1998:

- All staff are responsible for recording all student fee payments and details of refunds paid.
- Upon enrolment each student's personal details are to be entered into the Student Management System.
- A student file will be created in hard copy and on the database

Paper based file will include

- Record of Attendance for class
- Record of enrolment
- Completed assessment tasks
- Record of progress
- Copies of any forms completed, ie Complaints and Appeals, Opportunities for Improvement, WHS Incidents

All paper-based files are kept for a minimum period of 6 months post course completion for each student

Paper based files will be stored in a locked filing cabinet in alphabetical order under the students surname

Electronic file will include

- Participants name, address and contact details
- Record of participation
- Qualifications and Statements of Attainment issued
- Record of Units of Competencies completed
- Trainer/Assessor details
- Place of Training
- Dates of Training

All electronic records will be kept for a period of 30 years.

Student personal details and records shall be maintained in a current up to date condition, updating of records will be actioned as advised by the student/client.

Student records are backed up and maintained electronically daily through the student management system.

Only RTO staff directly involved with student welfare and or student results will have access to personal student details.

Upon written request and given sufficient notice administrative staff shall provide a student with access to their personal student records for progress information (see page 124 for procedure).

Students may request a reissuance of statements of attainment or qualifications achieved by completing a Certificate Re-issue form.

The CEO permits the replacement of certification documentation. All re-issuance of certification documentation will be based on the verification and authentication of testamurs issued by the RTO prior to issue. (refer to the current fees schedule for Certificate Re-issue Fees)

Where a request for a replacement testamur is received from a current or past student the student's identification must be verified by sighting the clients photo ID, such as a driver's license or Passport.

The student's records of course achievement will then be accessed, and any issued testamur may be reissued in accordance with the RTO's Issuance Policy and current fee structure.

All staff will comply with all 'external reporting responsibilities' at the required date to do so. (i.e. AVETMISS and Quality Indicator Reporting) including returns of its client records of attainment of units of competence and qualifications to the National VET Regulator on a regular basis (as determined by the Australian Skills Quality Authority).

Designated RTO staff will maintain up to date records of the employment history and qualifications of all staff employed by the RTO.

Designated RTO staff shall ensure that all student records are maintained in an accurate manner providing for the safekeeping of all student assessment results for a term no less than 30 years.

On cessation of services and the discontinuation of its business the CEO shall ensure that all student records are made available to the National VET Regulator. Electronic copies of records will be maintained through the database.

Hard copies of records will be kept for a period of “no less than” 6 months on the RTO site. Following this period an electronic record will be maintained and the hard copy will be destroyed by either shredding or burning. No confidential records will be kept as these will be destroyed.

If student records are required to be stored for more than 6 months, in accordance with agreements for Government funded contracts, records will be archived at an offsite location which will be secure from water or pest infestation, which will ensure the integrity of the data is kept on the files.

Access to Records (S)

All student records, such as personal details and records of participation and progress (this includes data collected on the Enrolment Agreement Form and assessment results that are collected), are kept within a secure area (both electronic and hard files). An electronic record of each Student’s enrolment and participation is kept on the Student Management System for a period of 30 years, this record is password protected and is only accessible by employees of the RTO.

All students have the right to access their record of participation and progress within a timely manner. For a student to access their records they are required to submit a request in writing to the RTO. If the student wishes to provide a third party with access to their records, they should state this in their formal request in writing.

The RTO will provide, within 48 hours of receiving the written request, a confirmation in writing that the RTO has received a request for Access to Records and confirmation of how long it will take for the access to be granted.

In no more than 5 business days the RTO will provide the student with access to their records as well as a transcript of the student’s participation and progress.

Records Management – Electronic (T)

In order to ensure accuracy, integrity and currency of student record of participation and progress, all data collected from the Enrolment Agreement Form and Assessment results (this includes personal details and records of participation and progress are collected are entered into the Student Management System in a timely manner. Following is the procedure for ensuring records are current:

Data to be entered into the Student Management System includes personal details and records of participation and progress

All student enrolment data is to be entered into the Student Management System prior to course commencement. Late enrolments may be accepted up to 7 days after course commencement depending on student circumstances.

Assessments are given to the students by the trainer, who also sets a reasonable due date for the assessment within the timeframe of the course.

Students are to submit their completed assessments to their trainer by no later than the set due date. In certain circumstances trainers may give an extension after reviewing such a request for a student. Any such extensions to be noted in the student file and Student Management System.

Trainers are to submit the marked assessment within two weeks of receipt from student, to the RTO Manager

Assessments that are deemed Not Yet Competent are to be resubmitted by the student for reassessment.

The RTO Manager is responsible for ensuring that all assessments are entered into the Student Management System, once submitted by the trainer, within 5 business days.

Prior to Certificate issue, all records of competency are to be verified against the Assessment Verification Form, please see page 125 for the policy and procedure for Assessment Verification.

The RTO Manager is responsible for ensuring that all data is entered within the Student Management System. The RTO Manager can delegate these duties to appropriate personnel.

The CEO is responsible for issuing the Certificate and ensuring that the correct units of competencies are on the Certificate prior to distribution. The following are triggers for Certificates or Statements of Attainment to be issued

A record of their results and has successfully completed some UOC's and is eligible to receive a Statement of Attainment:

Student has requested

Student has completed all requirements of training and has been signed off by their trainer.

Student has withdrawn from training and submitted in writing a request to withdraw, who has successfully completed some UOC's and is eligible for a Statement of Attainment

Student has dropped out of training, but may not have provided a formal request for withdrawal, and has successfully completed some UOC's and is eligible for a Statement of Attainment

Students are required to have paid their account in full prior to the RTO issuing the student a Certificate or Statement of Attainment. It is the responsibility of the RTO Manager to ensure that all accounts have been paid
IN FULL

If the account has not been paid in full, the RTO is to print the Certificate or Statement of Attainment and store on the Paper Based File until such time as the account being paid in full

Also refer to Process for Issuing on page 120 under Clause 3.3.

Version Control

In order to ensure that the current documentation is being used, the RTO has implemented a Version Control system to identify the following:

Name of the document (Document Name)

Date the version was released (MMYY)

Version number (v01)

Date approved (app RTO 08FEB19)

Following is an example of how the version control should look on the bottom of the document:

[IQY Technical College | Document Name -MMYY-v01.Docx | App RTO 8-Aug-19](#)

A document register is in place for recording all documents, which includes all of the above details. This register is kept in a folder with all versions of the document kept in hard copy.

The RTO manager is responsible for ensuring that the version control is managed and in place.

Assessment Verification (T)

In order to ensure consistency of both paper-based and electronic records of assessment, all training staff are required to complete an Assessment Verification Form. This form identifies all the units that are to be assessed for each qualification

against the assessment methods used to assess the student as well as includes the results of assessment (i.e. Competent, Not Yet Competent, RPL etc).

Results recorded onto the Assessment Verification Form are to be entered into the Student Management System or verified against the database.

The assessor is responsible for the safe storage of the Assessment Verification.

Process for Verification

Trainer to record details of the student and their course enrolment onto the Assessment Verification Form

As the student completes a Unit of Competency, the Assessor records the result and method of assessment onto the form

The Assessor continues to record results until the student has completed all the required units

On completion of training and assessment for each student, the Assessor returns the completed form to the RTO Manager for verification.

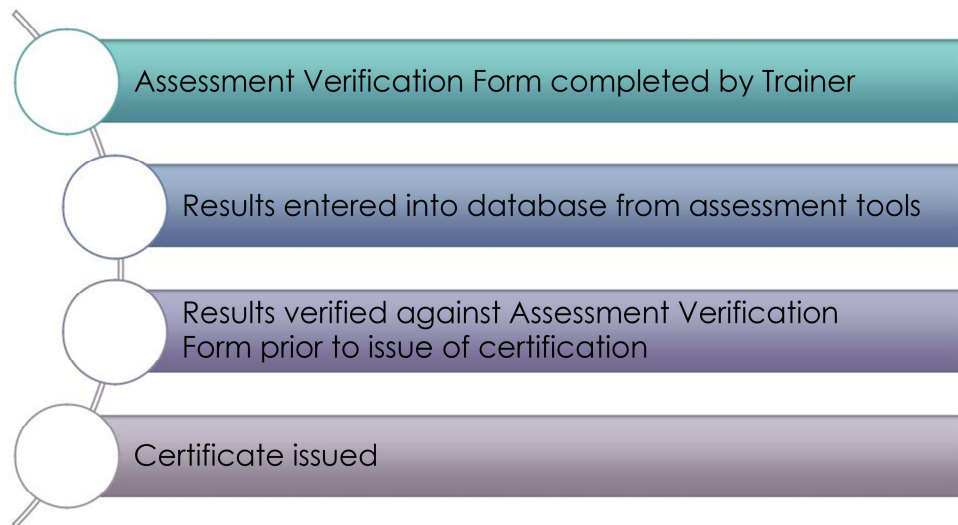
The RTO Manager is to utilise the form to check student completion against the database

Once the records are verified between the Assessment Verification Form and the database, a certificate can be issued

If the records are inconsistent the RTO Manager is responsible for:

Following up with the trainer to ensure the student has met the requirements of their course of enrolment

Monitor and review Accuracy and Integrity of Records



Archiving Procedure

When a student has completed all the requirements for a course, all student files are to be entered into the database and archived for a period of six months. See Records Management Policy and Procedure for details on what is to be kept on file.

Evidence

- Student Management Database
- **Student and class files**
- Student Handbook
- Student Management Database
- Archiving records
- Accounting system

Continuous
Improvement

- Backup systems management

This standard is reviewed, according to the Continuous Improvement Cycle, during the month of **August** on an annual basis.

Responsibility

- Chief Executive Officer
- Senior Management

PARTICIPATING IN THE STUDENT IDENTIFIER SCHEME (CLAUSE 3.6)

3.6 The RTO meets the requirements of the Student Identifier scheme, including:

verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose;

ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014;

ensuring that where an exemption described in Clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs 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; and

ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

Strategy

The RTO has in place an AVETMISS compliant database that is USI compliant, for managing student files including the recording of the students Unique Student Identifier (USI).

The RTO will not issue any qualifications or statements of attainment without being in receipt of a verified Student Identifier for that individual, unless an exemption has been applied under the Student Identifiers Act 2014.

Policy and Procedure/s

Unique Student Identifier (S)

The Unique Student Identifier (USI) scheme, enabled by the Student Identifiers Act 2014, allows learners to access a single online record of their VET achievements. The scheme also allows for reliable confirmation of these achievements by employers and other RTOs.

Unless exempt, the RTO must only issue a qualification or statement of attainment to a learner after:

- The learner has provided the RTO with a verified USI, or
- The RTO has applied for a USI on the students' behalf only if the student has agreed to by signing

A USI gives you access to your online USI account, which is made up of ten numbers and letters. It will look something like this: 3AW88YH9U5.

A USI account will contain all your nationally recognised training records and results from 1 January 2015 onwards. Your results from 2015 will be available in your USI account in 2016. When applying for a job or enrolling in further study, you will often need to provide your training records and results. One of the main benefits of the USI is that you will have easy access to your training records and results throughout your life. You can access your USI account online from a computer, tablet or smart phone anywhere and anytime.

Do you need a USI?

You will need a USI when you enrol or re-enrol in training from 1 January 2015 if you are a:

- student enrolling in nationally recognised training for the first time, for example if you are studying at TAFE or with a private training organisation, completing an apprenticeship or skill set, certificate or diploma course; or
- school student completing nationally recognised training; or

student continuing with nationally recognised training.

You are a continuing student if you are a student who has already started your course in a previous year (and not yet completed it) and will continue studying after 1 January 2015.

Once you create your USI you will need to give your USI to each training organisation you study with so your training outcomes can be linked, and you will be able to:

view and update your details in your USI account;

give your training organisation permission to view and/or update your USI account;

give your training organisation "view access" to your transcript;

control access to your transcript; and

view online and download your training records and results in the form of a transcript which will help you with job applications and enrolment in further training.

If you are an international, overseas or an offshore student please visit usi.gov.au for more information.

While students may create their own USI, our RTO is also able to create USIs for our students. As a part of the enrolment process, we have included on the Enrolment Agreement Form a section for the student to provide their USI, if you do not have a USI in place, we can provide you with a USI Privacy Notice so that we can apply for a USI on the students' behalf.

For more information, please refer to the following <https://www.usi.gov.au/students>, a copy of the USI Fact Sheet is also accessible from the RTO head office.

Enrolment Process for USI

All clients are to complete an Enrolment Agreement Form, which includes a section for the student to provide their USI.

RTO to verify the USI supplied by the student before visiting

If the student does not currently have a USI, the RTO can apply for a USI on their behalf, by providing the following forms of ID to the RTO:

- Driver's Licence
- Medicare Card
- Australian Passport
- Visa (with Non-Australian Passport) for international students
- Birth Certificate (Australian)
- Certificate of Registration by Descent
- Citizenship Certificate
- Immi Card (international students)

Completed enrolment forms are entered into the Student Management Database creating a client record within the database

The client record will be retained within the Student Management System with all records of attainments in an accessible format for a period of thirty (30) years.

Where a qualification or statement of attainment is recorded in the USI scheme, no additional records are required to be kept, as the records required will exist within the USI scheme.

Security of the Student USI

The RTO will ensure the security of USIs and all related documentation for verifying the student identity, all personal information collected solely for the purpose of applying for a USI on behalf of a student will be destroyed in manner that will keep all personal information confidential, this includes digital and hard-copy of records.

The following process is in place for ensuring the security of a student's USI:

Only authorised personnel will have access to a student's personal information, for both hard copy and electronic records.

All student records, including evidence collected for verifying the students record, are stored in "locked" filing cabinets within the head office.

Strong passwords on all network-connect computers are in place, which is only accessible by authorised personnel.

Back-up copies of the database is automatic as the Database is cloud based.

USI Privacy Notice

All students who do not currently have a Unique Student Identifier (USI) in place and want the RTO to apply for a USI on their behalf, will be issued with a USI Privacy Notice. The student will be required to sign this form prior to the RTO setting up the students USI.

Issuance of recognised qualifications or statements of attainment

Once a USI has been collected and stored into the RTO's database, and on successful completion of training, the RTO will provide nationally recognised qualifications or statement of attainments to students in a variety of different formats.

Below are some examples that are considered a statement of attainment and they cannot be issued until the student has supplied the RTO with a USI that has been verified. They can include:

A certificate

A building industry white card

A stamp on their license to certify they can now drive heavy machinery

When a student logs into their USI account it will link to the national data collection using the USI. The students USI account will then be able to see their records and results completed. The student's results from 2015 will be available in their USI accounts in 2016.

International students in Australia

For international students studying in Australia the RTO's students will also need a Unique Student Identifier (USI).

All international students in Australia must have been issued with an Australian Visa. This will let those students use their passports as their form of ID when creating their USI as their Visa is linked to their passport number.

Students studying overseas

An overseas student studying offshore and not having an Australian passport or visa, may be covered by arrangements for collection of USIs and the student will need to contact the RTO or the USI Team for advice about the need to apply for a USI.

Australian students studying overseas

If you are an Australian training organisation and you are training Australian students offshore, then these students will be able to create a USI following the normal process.

USI Exemption - RTO

An RTO may be exempt from issuing a USI or recoding results within the USI database if they meet certain criteria.

If the RTO is exempt from USI, student details will not be recorded on the USI database or on AVETMISS, this means that your assessment results will not appear on their authenticated VET transcript or be available via the USI system. Learners are required to sign a declaration to acknowledge this during the enrolment process.

	<p>USI Exemption - Student</p> <p>A student may be exempt from applying for a USI or recoding results within the USI database if they work within an industry that could affect the security of the nation, for example if they work in the military, State or Federal Police Departments.</p> <p>In addition, individuals who have a genuine personal objection to being assigned a student identifier will be able to apply for an exemption to the Student Identifiers Registrar.</p> <p>If the student is exempt from USI, student details will not be recorded on the USI database or on AVETMISS, this means that your assessment results will not appear on their authenticated VET transcript or be available via the USI system. Learners are required to sign a declaration to acknowledge this during the enrolment process.</p>
<p>Evidence</p>	<ul style="list-style-type: none"> ▪ Student Management Database ▪ Enrolment Agreement Form ▪ USI Privacy Notice
<p>Continuous Improvement</p>	<p>This standard is reviewed, according to the Continuous Improvement Cycle, during the month of August on an annual basis.</p>
<p>Responsibility</p>	<ul style="list-style-type: none"> ▪ Chief Executive Officer ▪ Senior Management

