Certificate Issuance Policy and Procedure

Purpose

It is important that all Certificates and Statement of Attainments (SOAs) are issued as per standard three (3) of the Standards for RTOs 2015, and in accordance with the Principles of the AQF Qualifications Issuance Policy that ensures that:

- Learners receive the certification documentation to which they are entitled
- AQF qualifications are correctly identified in certification documentation
- AQF qualifications are protected against fraudulent issuance
- A clear distinction can be made between AQF qualifications and non-AQF qualifications
- Certification documentation is used consistently across the education and training sectors, and
- Learners and others are confident that the qualifications they have been awarded are part of Australia's national qualifications framework – the AQF

Aim

Ensure that all Certificates and SOAs are issued in accordance with relevant legislation, issued to Learners within the required timeframes, and are protected against fraudulent activity.

1. Certificate Issuance

Roles and Responsibilities

The following roles and responsibilities have been identified to ensure that members of REINSW training are aware of their responsibilities to meet the purpose and aim of this policy/procedure.

1.1. Training Manager/Compliance Coordinator

The Training Manager/Compliance Coordinator are to:

a) Will ensure that all certificate templates are in accordance with the Standards for RTOs 2015, and the AQF Qualifications Issuance Policy
b) Ensure that compliance is maintained by all REINSW Training team members where certificates are issued
c) Conduct random audits of certificate issuance to ensure compliance
d) Ensure systems are in place to record certificate issuance for a period of 30 years

1.2. Learner Engagement Coordinator

The Learner Engagement Coordinator is to:

a) Complete audits of certificate issuances completed by the Learner Support Officers to ensure that certificates issued are in accordance with the evidence guidelines of the qualification, and of this policy and procedure
b) Ensure that all certificates issued are records against the Learners SMS profile
c) Ensure that all certificate paper is stored securely and only available to required team members within the REINSW training team
d) Complete all certificate and SOA certificate cancellations within the SMS

1.3. Learner Support Officers:

The Learner Support Officers are to:

a) Congratulate Leaner on their completion and advise of certificate process
b) Ensure that all evidence is available and marked as satisfactory or competent prior to the issuance of a certificate

c) Ensure that all checklists against each UoC are completed to identify storage location of evidence
d) Ensure that all certificates due for issuance, are issued to a Learner within 30 days of being deemed competent within all assessment requirements of the qualification studied
e) Record successfully within the SMS the certificate issuance
f) Provide evidence to the LEO where requested for audit requirements
g) For Traineeships – the FTP has been completely signed by the workplace supervisor with the certificate endorsement completed by the workplace supervisor

1.4. Trainer and Assessors

The Trainer and Assessors are to:

a) Ensure that all evidence has been recorded within the LMS or SMS relevant for the evidence type
b) Ensure that overall assessment sheets with full feedback to Learners has been issued to Learners and stored on the SMS for each UoC
c) Complete the certificate issuance checklist and send to LSO for certificate issuance to occur

1.5. Customer Support Officers

The Customer Support Officers are to:

a) Advise Learners that Certificates will be issued within the required 30 days from final assessment
b) Will forward inquiries to the relevant LSO for Certificate inquiries once the certificate has been received by the Learner

2. Statement of Attainment Issuance

Roles and Responsibilities

All issuances of an SOA responsibilities will be the same as for Certificates.

3. Re-Issuance of a Certificate or a Statement of Attainment

Roles and Responsibilities

3.1. Training Manager/Compliance Coordinator

The Training Manager/Compliance Coordinator are to:

a) Ensure that all REINSW Training team members are aware of the requirements of certificate re-issuance
b) Support Customer Support team where evidence of a request cannot be found

3.2. Customer Support / Administration Coordinator

The Customer Service / Administration Coordinator is to:

a) Supervise the Customer Support Officers in the receiving of certificate re-issuance requests from Learners, and ensure that these are completed within 30 days of receipt date
b) Approve certificate re-issuances once evidence has been collected to support the re-issuance
c) Audit to ensure that all reissuances are recorded against the Learners profile within the SMS

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3.3.   Customer Support Officer

The Customer Support Officers are to:

a) Acknowledge the Learner that we have received the request and of the timeframe of 30 days
b) Ensure payment of re-issuance has been received
c) Action all requests for certificate re-issuances that are received
d) Search the SMS for previous certificates that have been issued
e) Provide to the Customer Support / Administration Coordinator the evidence to support re-issuance and seek approval to issue another certificate
f) Issue certificate following the procedure below
g) Advise Learner of the outcome of the certificate-reissuance request

3.4.   Trainer and Assessors

The Trainer and Assessors are to:

a) Support Customer Support Team where required to gather evidence to support the re-issuance of certificates

3.5.   Learners

The Learners are to:

a) Submit a certificate re-issuance application form along with payment

4. Certificate Issuance Procedure

All REINSW Training team members responsible for the issuance of certificates are to follow this procedure to ensure that all certificates are compliant to the RTO and ADF standards.

1. Trainer and Assessor provides to the LSO a certificate request form
2. All units of competencies must have a checklist completed that outline the following:
   a. All evidence has been received as per the TAS for the UoC
   b. Learner has an outcome of Competent against each UoC
   c. Indicates the location of the evidence for each UoC either within the SMS or LMS
   d. Detailed feedback has been provided against each assessment and provided to the Learner and recorded against the Learners Logbook
   e. Signed by the Trainer and Assessor that they are endorsing the issuance of the certificate

3. Learner Support Officer audits the checklist to ensure that all evidence required is available within the location specified on the checklist
4. Learner Support Officer ensures that the outcome code against the UoC within the SMS is correct for the type of assessment outcome
5. Certificates are only issued once all evidence has been verified as being available and saved against the Learners profile within the LMS or SMS

Important – Certificates can not be deleted once issued, ensure that all requirements are met prior to the issuance of a certificate

6. To issue a certificate within the SMS, follow these steps found here – click here
7. Select the correct Certificate Template within the SMS
8. Certificates are to be printed on the approved certificate paper only

9.   Certificates must contain the required information as per the requirements found on appendix one (1)

10. Certificates can be issued using the PDF copy within the SMS, however, all Learners must also receive a paper copy with the REINSW seal

11. A scanned copy of the certificate must be uploaded on to the Learners SMS logbook for future reference. Where a PDF certificate has been issued and saved against the Learners Profile, the certificate does not need to be scanned

12. Student file set to completed where a certificate has been issued.

13. All certificates must be issued and posted within 30 days of receiving notification that the Learner has completes their studies

14. All certificates must have a transcript always printed and sent with the certificate

5. SOA Issuance Procedure

All REINSW Training team members responsible for the issuance of SOAs are to follow this procedure to ensure that all SOAs are compliant to the RTO and ADF standards.

A SOA is only to be issued for the purpose of a single unit of Competency, or a skill set course being completed. Where a Learner studying a full qualification and completes a unit of competency, a SOA is not required to be printed. Refer to Transcript of Results.

1.   Trainer and Assessor advises that a Learner has completed the requirements of an UoC
2.   All units of competencies must have a checklist completed that outline the following:
     a.   All evidence has been received as per the TAS for the UoC
     b.   Learner has an outcome of Competent against each UoC
     c.   Indicates the location of the evidence for each UoC either within the SMS or LMS
     d.   Detailed feedback has been provided against each assessment and provided to the Learner and recorded against the Learners Logbook
     e.   Signed by the Trainer and Assessor that they are endorsing the issuance of the certificate

3.   Learner Support Officer audits the checklist to ensure that all evidence required is available within the location specified on the checklist
4.   Learner Support Officer ensures that the outcome code against the UoC within the SMS is correct for the type of assessment outcome
5.   SOA are only issued once all evidence has been verified as being available and saved against the Learners profile within the LMS or SMS

Important – SOAs cannot be deleted once issued, ensure that all requirements are met prior to the issuance of a SOA

6.   To issue a SOA within the SMS, follow these steps found here – click here
7.   Select the correct Certificate Template within the SMS
8.   SOA are to be printed on the approved SOA paper only
9.   SOAs must contain the required information as per the requirements found on appendix two (2)
10. SOAs can be issued using the PDF copy within the SMS, however, all Learners must also receive a paper copy with the REINSW seal
11. A scanned copy of the SOA must be uploaded on to the Learners SMS logbook for future reference. Where a PDF SOA has been issued and saved against the Learners Profile, the SOA does not need to be scanned

6. Certificate or SOA Re-Issuance Procedure

All REINSW Training team members responsible for the re-issuance of Certificates or SOAs are to follow this procedure to ensure that all SOAs are compliant to the RTO and ADF standards.

1. Learner completes and submits the certificate / SOA re-issuance request form and pays required fee
2. Customer Support Officer received request and ensured that they are completed within 30 days of receipt
3. CSO searches for previous certificates / SOA or evidence of competence within the SMS
4. CSO provides evidence and submission form to the Customer Support / Administration Coordinator for approval to re-issue
5. CSO re-issues certificate or SOA using the SMS, once approval from the coordinator has been received

Important – A previous certificate cannot be re-issued. A new certificate using the correct template must be used to re-issue a Learners certificate

6. To re issue a certificate or SOA within the SMS, please follow these steps – click here
7. Select the correct Certificate Template within the SMS
8. Where a certificate has been re-issued, a transcript must be attached to the certificate

Important – A Learner must pay for the service of a re-issuance, even if we are not able to obtain their file or re-issue their certificate, the fee is non-refundable

7. Transcripts – Transcript of Results (TOR) Procedure

All REINSW Training team members are responsible for the issuance of Transcripts are to follow this procedure to ensure that all Transcripts are compliant to the RTO and ADF standards.

A transcript must be printed and provided to all Learners when:

1. A Learner contacts REINSW Training and requests a Transcript of their completed Units of Competencies
2. A Learner has competed their studies and a AQF certificate is being awarded
3. Are currently studying a full qualification – SMS will automatically email out every three months a Transcript of Results for all Active Learners

All transcripts must:

1. Be printed on the approved transcript paper only
2. Transcripts must contain the required information as per the requirements found on appendix three (3)
3. Transcripts can be issued using the PDF copy within the SMS, however, all Learners must also receive a paper copy with the REINSW seal
4. A scanned copy of the Transcripts must be uploaded on to the Learners SMS logbook for future reference. Where a PDF Transcripts has been issued and saved against the Learners Profile, the Transcripts does not need to be scanned
5. Student file set to completed where a certificate has been issued.
6. All Transcripts must be issued and posted within 30 days of receiving a request or a certificate has been issued

8. Cancelling a Certificate or SOA Procedure

For Australian organisations delivering AQF accredited qualifications, you are required to maintain an "auditable quality credentials register" according to AQF Second Edition sections 2.3 & 2.4. For this reason, the only REINSW Training team member authorized to cancel a certificate or SOA issued is the Learner Engagement Coordinator.

A valid reason for the cancellation must be recorded within the SMS where a certificate or SOA is cancelled.

9. Evidence not found to support issuance or re-issuance of a Certificate / SOA

Where evidence cannot be found to support the issuance or re-issuance of a certificate or SOA, the REINSW Team member must:

1. Seek assistance from the relevant trainer and assessor for information to find evidence to support the outcome of the UoC
2. Where no evidence can be found, or the team member is not comfortable in the issuance of the certificate or SOA, the case must be referred to the Training Manager for determination

10. Certificate Issuance and Re-issuance Auditing

It is important that validation of the issuance and re-issuance of certificates and SOA is carried out to ensure that all evidence requirements are being met for the certificate of SOA to be issued in accordance with the RTO Standards 2015, and to ensure that certificates and SOAs are printed on the approved templates in accordance with AQF standards.

The Learner Engagement Officer must:

1. Select at random, five (5) learners monthly per LSO that have had either a:
    a. Certificate issued, or
    b. SOA issued

2. The LEO must ensure the following:
    a. All checklists have been completed
    b. All evidence to support the issuance of a certificate or SOA is available
    c. Feedback has been provided to the Learner from their Trainer and Assessor

Where there is a breach in the issuance of a certificate or SOA, the LEO must:

1. Seek the assistance of the Trainer and Assessor to find and save the required evidence
2. Talk through the procedure with the relevant LSO
3. Report the issue to the Training Manager

11. Documentation to be Posted with Certificates, SOAs

It is important that the following documentation supports the Certificate or SOA to all Learners. Where a Certificate or SOA has been issued and ready for posting, the following must be placed within the envelope with the document:

1. Congratulations letter with postal address
2. AQTF Quality Survey for Learners letter with the QR and link to the Survey
3. Qualification brochure for the qualification next in line
4. Registration with Fair Trading NSW information

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11. Certificate Issuance Flow Chart

```
┌─────────────────────────┐
│ Trainer and Assessor    │
│ advises Learner has     │
│ completed the required  │
│ assessment tasks for    │
│ certificate issuance    │
└─────────────────────────┘
           │
┌─────────────────────────┐
│ LSO acknowledges receipt│
│ of request and emails   │
│ both Trainer and        │
│ Assessor and Learner to │
│ advise of 30 day        │
│ timeframe               │
└─────────────────────────┘
           │
┌─────────────────────────┐
│ LSO checks each UoCs for│
│ the competency checklist│
│ and audits it to ensure │
│ that all evidence can   │
│ be found                │
└─────────────────────────┘
           │
┌─────────────────────────┐
│ Can evidence be found   │
│ for all UoCs required   │
│ for the qualification?  │
└─────────────────────────┘
      │              │
    ┌────┐        ┌────┐
    │Yes │        │ No │
    └────┘        └────┘
      │              │
┌──────────────┐ ┌──────────────────┐
│ LSO ensures  │ │ LSO to contact   │
│ that all UoCs│ │ Trainer and      │
│ have an      │ │ Assessor to find │
│ outcome that │ │ and save evidence│
│ is correct to│ │ against UoC      │
│ the          │ │ either on the LMS│
│ assessment   │ │ or SMS and update│
│ method used. │ │ the competency   │
│ Is SMS UoC   │ │ checklist        │
│ up to date?  │ └──────────────────┘
└──────────────┘
   │        │
 ◇Yes◇    ◇No◇
   │        │
┌──────────┐ ┌──────────────┐
│ If a     │ │ LSO to update│
│ Trainee, │ │ all UoC as   │
│ has the  │ │ per the      │
│ FTP been │ │ assessment   │
│ signed   │ │ outcome and  │
│ off with │ │ method       │
│ the      │ └──────────────┘
│ certificate │
│ issuance │
│ page     │
│ signed by│
│ the      │
│ workplace│
│ supervisor?│
└──────────┘
   │
┌──────────────┐
│ LSO completes│
│ certificate  │
│ issuance     │
│ steps within │
│ SMS and      │
│ ensures it is│
│ attached to  │
│ Learners SMS │
│ profile      │
└──────────────┘
   │
┌──────────────┐
│ LSO prints   │
│ certificate  │
│ on approved  │
│ AQF template │
│ with a       │
│ Transcript of│
│ Results and  │
│ has LEO      │
│ verify       │
│ certificate  │
└──────────────┘
   │
┌──────────────┐
│ Certificate  │
│ Posted to    │
│ Learner      │
│ within 30    │
│ days of      │
│ request -    │
│ Learner SMS  │
│ and LMS      │
│ profiles set │
│ to completed │
└──────────────┘
```

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12. SOA Issuance Flow Chart

```
┌─────────────────────────┐
│ Trainer and Assessor    │
│ advises Learner has     │
│ completed the required  │
│ assessment tasks for    │
│ single UoC              │
└─────────────────────────┘
            │
┌─────────────────────────┐
│ LSO acknowledges receipt│
│ of request and emails   │
│ both Trainer and Assessor│
│ and Learner to advise of│
│ 30 day timeframe        │
└─────────────────────────┘
            │
┌─────────────────────────┐
│ LSO checks each UoC for │
│ the competency checklist│
│ and audits it to ensure │
│ that all evidence can be│
│ found                   │
└─────────────────────────┘
            │
┌─────────────────────────┐
│ Can evidence be found   │
│ for UoC?                │
└─────────────────────────┘
       │              │
      Yes             No
       │              │
┌──────────────┐  ┌──────────────────┐
│ LSO ensures  │  │ LSO to contact   │
│ that UoC has │  │ Trainer and      │
│ an outcome   │  │ Assessor to find │
│ that is      │  │ and save evidence│
│ correct to   │  │ against UoC      │
│ the          │  │ either on the LMS│
│ assessment   │  │ or SMS and update│
│ method used. │  │ the competency   │
│ Is SMS UoC up│  │ checklist        │
│ to date?     │  └──────────────────┘
└──────────────┘
    │        │
   Yes       No
    │        │
┌──────────┐ ┌──────────────┐
│ If a     │ │ LSO to update│
│ Trainee, │ │ UoC as per   │
│ has the  │ │ the          │
│ FTP been │ │ assessment   │
│ signed   │ │ outcome and  │
│ off for  │ │ method       │
│ the UoC  │ └──────────────┘
│ completed?│
└──────────┘
    │
┌──────────────┐
│ LSO completes│
│ SOA issuance │
│ steps within │
│ SMS and      │
│ ensures it is│
│ attached to  │
│ Learners SMS │
│ profile      │
└──────────────┘
    │
┌──────────────┐
│ LSO prints   │
│ SOA on       │
│ approved AQF │
│ template and │
│ has LEO      │
│ verify SOA   │
└──────────────┘
    │
┌──────────────┐
│ SOA Posted to│
│ Learner      │
│ within 30    │
│ days of      │
│ request      │
└──────────────┘
```

13. Certificate and SOA Re-Issuance Flow Chart

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```
┌─────────────────────────┐
│   Learner submits       │
│   request for re-issuance│
│   of certificate or SOA │
└─────────────────────────┘
             │
┌─────────────────────────┐
│   CSO to acknowledge    │
│   receipt of request with│
│   Learner and advise up │
│   to 30 day issuance    │
└─────────────────────────┘
             │
┌─────────────────────────┐
│   CSO checks Leaner     │
│   profile for evidence of│
│   previous certificate or│
│   SOA                   │
└─────────────────────────┘
             │
┌─────────────────────────┐
│   Can evidence be found │
│   of a certificate or SOA?│
└─────────────────────────┘
        │           │
     ┌─────┐     ┌─────┐
     │ Yes │     │ No  │
     └─────┘     └─────┘
        │           │
```

Yes path:
- CSO provides evidence to Coordinator to approve re-issuance of certificate or SOA
- CSO completes issuance steps within SMS and ensures it is attached to Learners SMS profile
- LSO prints on approved AQF template and has Cordinator verify
- SOA Posted to Learner within 30 days of request

No path:
- CSO to contact Trainer and Assessor to find and save evidence against Learner profile on the LMS or SMS

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14. Related Policies and Procedures
- Evidence and Record Keeping Policy and Procedure

15. Related Documentation
- REINSW Certificate Request Form
- REINSW Certificate Re-issuance Form
- Congratulations letter with postal address
- AQTF Quality Survey for Learners including self-addressed envelope to send back to REINSW Training
- Qualification brochure for the qualification next in line
- Registration information with Fair Trading NSW

16. Related Legislation / Contracts
- AQF Qualification Standards Policy
- Standards for Registered Training Organisations

17. Risk Rating

Category	Consequences	Review Period	Evidence of Understanding
Low Risk	Non-compliance could result in increased risk rating with ASQA audit requirements	5 years	Relevant staff members must be aware of the document. Staff/Contractors must retain records of evidence in relation to the issuance of certificates or SOAs in relation to this policy/Procedure

18. Policy, Procedure Information

Date Issued:	27/03/2022
Date of last review:	16/08/2022
Date of next review:	27/03/2027
Policy / Procedure owner:	Training Department
Approved by:	Training Manager
Policy/Procedure number:	EAT001

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Suggested form: Testamur to certify attainment of a VET qualification

The legal name or trading name, as published on the National Register, can be used → **RTO NAME, CODE and LOGO**

This is to certify that

STUDENT NAME ← Graduate who is entitled to receive the AQF qualification

has fulfilled the requirements for

Awarded AQF qualification by its full title → **CODE and FULL TITLE of VET qualification**

INDUSTRY DESCRIPTOR *if applicable*

(OCCUPATIONAL OR FUNCTIONAL STREAM) *if applicable*

ACHIEVED THROUGH AUSTRALIAN APPRENTICESHIP ARRANGEMENTS *only where relevant*

THESE UNITS / MODULES HAVE BEEN DELIVERED AND ASSESSED IN <INSERT LANGUAGE> *only where relevant; identify units / modules to which this applies*

STATE / TERRITORY TRAINING AUTHORITY LOGO *if applicable*

The following elements are included as applicable

This date may be the date of issue, award or conferral as defined in the organisation's policies → **DATE**

AUTHORISED PERSON ← Person(s) in the organisation authorised to issue the documentation. A signature can be included

In a form to reduce fraud; such as the issuing organisation's seal, corporate identifier, unique watermark and / or document number → **AUTHENTICITY MEASURE**

NRT LOGO ← To be used only in accordance with the conditions of use

The AQF logo may also be used → **THE QUALIFICATION IS RECOGNISED WITHIN THE AUSTRALIAN QUALIFICATIONS FRAMEWORK**

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Appendix Two – Statement of Attainment Sample

Suggested form: Statement of attainment

A STATEMENT OF ATTAINMENT IS ISSUED BY A REGISTERED TRAINING ORGANISATION WHEN AN INDIVIDUAL HAS COMPLETED ONE OR MORE ACCREDITED UNITS

Mandatory statement that must be prominent to ensure the statement of attainment is not mistaken for a testamur

The legal name or trading name, as published on the National Register, can be used

RTO NAME, CODE and LOGO

This is a statement that
STUDENT NAME

Sufficient information must be provided to authenticate the student

List the code and full title as identified on the National Register

has attained
CODE and FULL TITLE of competency / modules

This element should only be included if the RTO has the relevant qualifications/courses on scope

THESE COMPETENCIES FORM PART OF [CODE AND TITLE OF QUALIFICATION(S) / COURSE(S)] *if applicable*

The following elements are included as applicable

THESE COMPETENCIES WERE ATTAINED IN COMPLETION OF [CODE] COURSE IN [FULL TITLE] *if applicable*

THESE UNITS / MODULES HAVE BEEN DELIVERED AND ASSESSED IN [INSERT LANGUAGE] *only where relevant; identify units / modules to which this applies*

STATE / TERRITORY TRAINING AUTHORITY LOGO *if applicable*

Suggested words for Statement of Attainment may be included for delivery of a skill set

SKILL SET STATEMENT

This date may be the date of issue, award or conferral as defined in the organisation's policies

DATE

AUTHORISED PERSON

Person(s) in the organisation authorised to issue the documentation. A signature can be included

In a form to reduce fraud, for example the issuing organisation's seal, corporate identifier, unique watermark and/or document number

AUTHENTICITY MEASURE

NRT LOGO

To be used only in accordance with the conditions of use

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Appendix Three – Record of Results (Transcript) sample

Suggested form: Record of results

The legal name or trading name, as published on the National Register, can be used →

RTO NAME, CODE and LOGO

Record of Results

Name of student: **STUDENT NAME** ←

ID number and date of birth may be included as defined in the issuing organisation's policies to authenticate the student.

Awarded AQF qualification by its full title →

Name of qualification: **CODE and FULL TITLE of VET qualification**

SEMESTER / YEAR	UNITS / MODULES ENROLLED	RESULTS

This section should include the unit / modules details, results and date enrolled

THESE UNITS / MODULES HAVE BEEN DELIVERED AND ASSESSED IN <INSERT LANGUAGE>
only where relevant

This statement must be included on the testamur and record of results where applicable

This date is consistent with the qualification testamur →

DATE

AUTHORISED PERSON ←

Person(s) in the organisation authorised to issue the documentation. A signature can be included

In a form to reduce fraud; such as the issuing organisation's seal, corporate identifier, unique watermark and / or document number →

AUTHENTICITY MEASURE