

### 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 reissuance
- 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



## 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 <u>click here</u>
- 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 <u>click here</u>
- 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 <u>click here</u>
- 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
- 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

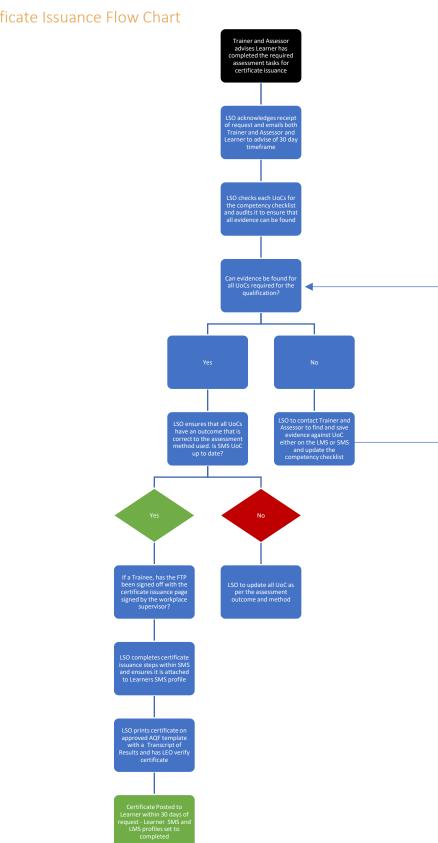
## 11. Documentation to be Posted with Certificates, SOAs

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

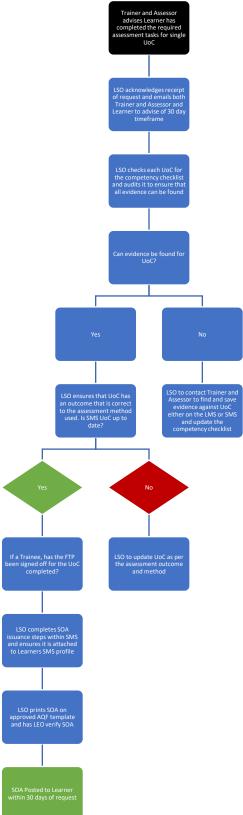










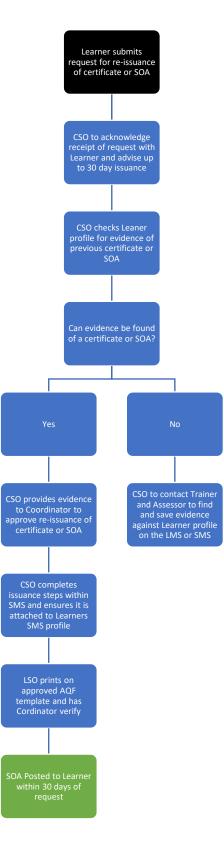






13. Certificate and SOA Re-Issuance Flow Chart







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

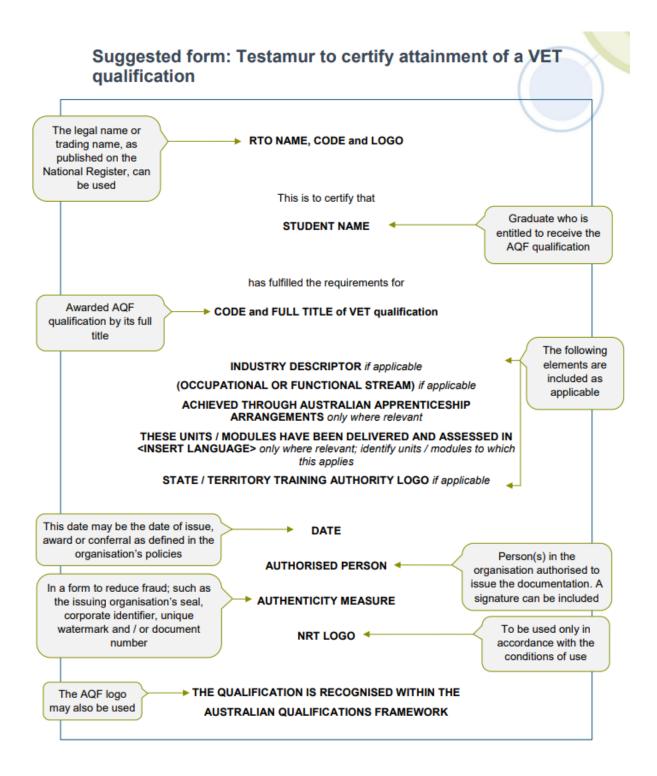
## 18. Policy, Procedure Information

| 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              |  |  |



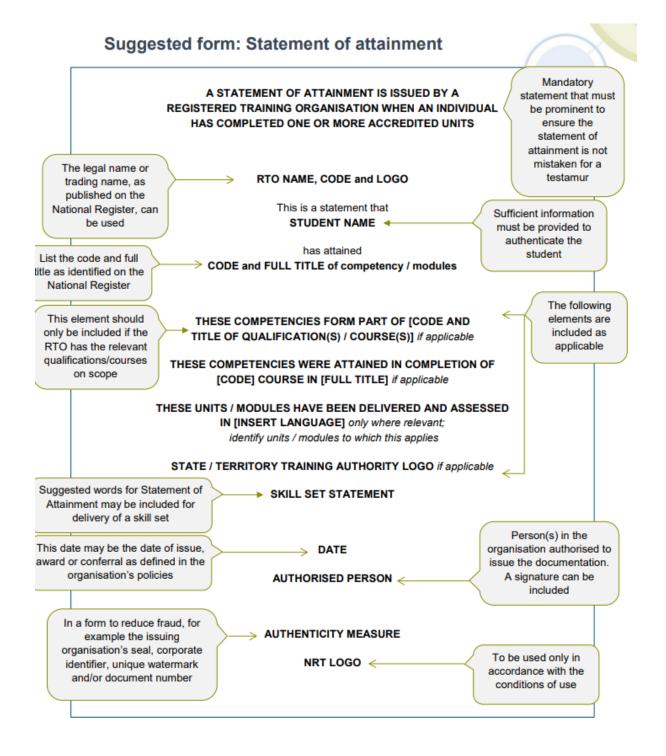


Appendix One – Certificate Sample





## Appendix Two – Statement of Attainment Sample





Appendix Three – Record of Results (Transcript) sample

