

Purpose

This policy and procedure applies to the control of documentation provided to all students upon successful completion of nationally recognised qualifications, and units of competency delivered by Tubal Pty Ltd.

Tubal will issue to persons whom it has assessed as competent in accordance with the requirements of the training package or VET accredited course, a VET qualification or VET Statement of Attainment (whichever is applicable).

Compliance

This policy relates to the following 2015 SNR standards: 3.1-3.4, 3.6

This policy relates to the following 2012 SNR standards: 23.1, 23.3, 23.5

This policy relates to the following AQTF Conditions: 3.4

This policy relates to the [Australian Qualifications Framework Issuance Policy](#).

Scope

This policy applies to all staff of the RTO.

Responsibility

The Director of Tubal is responsible for the accurate control, proper issuing and signing off on all Qualifications, Records of Results, and Statements of Attainment. The Director of Tubal is responsible for ensuring the templates for issuance of AQF certification remain current and compliant.

The Administration Manager is responsible for managing the data entry of successful students and producing certificates for approval based on information provided at enrolment, to end of the enrolment (issuance of certification).

Policy

Tubal can only issue nationally recognised certification for qualifications or units of competency that are listed on the RTO's scope of registration on training.gov.au. Certification issued will be Nationally Recognised and will carry logos as applicable to signify that recognition.

All trainees who complete a course that meets the qualification rules of that course will receive an AQF qualification (certificate) and a record of result that lists the units they have been deemed competent in. Trainees who complete part of the training package requirements of an AQF qualification in which they are enrolled are entitled to receive a statement of attainment.

AQF Certification Documentation Requirements

Certification documentation is defined in the AQF as follows:

Certification documentation is the set of official documents that confirms that a qualification has been completed and awarded to the individual.

The certification must meet all the requirements set out in the AQF Issuance policy as well as the AQF Explanations Guide from May 2014. It is the responsibility of the Quality Manager to ensure this information is kept up to date and to review annually.

A template has been developed for *Traineeships* and *Fee for Service* students to ensure the relevant statements are displayed on each documents.

Form Number:	P-014
Version:	3.0

Date Effective:	February 2017
Review Date	February 2018

Student Database

Tubal will only use their Student Management Database *PowerPro* to produce the RTO's certification records. Unique parchment numbers are allocated per trainee/qualification and this parchment number will be recorded automatically each AQF document produced.

The student database has 'Qualification Rules' set up for each course, to ensure that the correct award is issued – depending on if the qualification rules have been met or not.

Outcomes

All student outcomes are entered into the Student Management System which is an AVETMISS compliant database. This automatically enables a soft copy of qualifications to be generated and accessible in future.

Fraud Prevention

Electronic signatures are not used on any parchments, and the Director will add the required *Tubal watermark sticker* to certification at the time of signing. The Director has sole access to these stickers and applies the sticker after approving and signing the document.

Records of Results and Statements of Attainment have been designed to include a Tubal globe watermark on the parchment paper. Additional measures include partially pre-printed, specially ordered paper and individual parchment ID's maintained through the student database.

Tubal retains the right to recall any certification where they believe the requirements of this policy and procedure have not been met.

Procedure

1. Upon completion of the final units of competency the trainer will review the Learning Management System and the *F-101 Competency Sign Off and Confirmation of Trainee Completion* form for that trainee and ensure all required paperwork has been signed off on. These documents will be handed to the Administration Manager for processing.
2. Administration will review the contents of the student file and LMS to determine if all units of the qualification have been completed successfully and the award can be issued.
3. Each qualification that is issued should be issued with the complimentary *Record of Results* that will display the units of competency (meeting the training package minimum requirements) that the student has completed.
4. Where a full qualification has not been completed the Administrator will create a *Statement of Attainment* for the units that have been deemed competent.
5. If the Administrator is unclear if the packaging rules have been met, they should advise the Quality Manager of their query/findings before proceeding further.
6. All Qualifications, Records of Results, and Statements of Attainment must be printed only from the student management system to ensure the current and compliant templates are used, and the registration of qualification numbers are correctly recorded for reporting and record keeping.
7. After printing the certification, the completed *F-101 Competency Sign Off and Confirmation of Trainee Completion* and certification is then given to the Director of Tubal to review and sign.
8. Pending payment of any invoices, Administration will distribute the certificates to the applicable trainer to hand to the employee in the workplace.
9. For trainees that have left the workplace or prefer post for any other reasons, any and all certification must be sent in a trackable Express Post envelope. The tracking number is recorded in the student database against the individual's enrolment record. Certificates should never be given to someone for 'safe keeping' or 'passing on'. The trainer needs to give the certificate directly to the student.

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10. Where invoices have not been paid by an individual or client Tubal will withhold the certificate until payment is made.
11. A copy of the signed and watermarked certification is photocopied and one copy put on the student file, one copy put in the certificate issued compactus for that year.

Reissuing of Certificates or Statements of Attainment

Where the certificate is required to be re-printed, there will be an administration charge of \$50 + GST payable. This amount must be paid in full before the reprint of the award is actioned. The *F-016 Replacement Certificate Request* form is available on our website under *Student Information*. Invoices and receipt of payment must be recorded through MYOB.

Unique Student Identifier

As of January 1st 2015, no students can be issued with an AQF document without having provided their USI. The Administration Manger is responsible for the monitoring of USI's not provided at enrolment, to ensure they are obtained prior to training being completed. Tubal trainer/assessors are also reminded weekly (where applicable) where their trainees are missing a USI number, and to collect at the next appointment.

The Student Management System we use also does not allow for awards to be issued without a validated USI being recorded against the student record.

Record Keeping

Information on the Student Management System is securely stored. Attainment history for clients are kept on record permanently by the RTO and never destroyed. This data is provided through state and commonwealth reporting systems such as AVETMISS, and as of January 1st 2015, will be retained through the USI registry.

Issuing Qualifications To Tubal Staff

The procedures outlined within this policy document must be followed for the training and assessment of any Tubal staff members. The exception for staff members will be that validation of the training and assessment process will be completed by an independent contractor, employed by Tubal Pty Ltd.