



Australian Leading Institute of Technology

RTO Code: 45156

CRICOS Code: 03981M

No.5.1.1: Issuance of Statement of Results and Award Policy and Procedure

Policy Context

This policy relates to:	
Registration Manager	Australian Skills Quality Authority (ASQA)
Conditions of Registration	VET Quality Framework (VQF)
Codes and Standards	Standards for RTOs 2015 – Standard: 1.26(b); Schedule 5
Legislation or other requirements	National Vocational Education and Training Regulator Act 2012

Purpose

This policy has been developed and implemented to ensure that that students and staff of the ALIT is provided with guidelines on how the ALIT issues Statements of Result, Awards and Statements of Attainment and to ensure that:

- Graduates receive the certification documentation to which they are entitled
- AQF qualifications are correctly identified in certification documentation
- The ALIT certification documents are protected against fraudulent issuance
- A clear distinction can be made between AQF and non-AQF qualifications
- ALIT only issue the AQF certification documents who is meeting the training package requirements specified in the relevant training package.

Objective

The ALIT will ensure that the issuing of Qualification (Statements of Attainment and/or Award) complies with Australian Qualifications Framework, VET Quality Framework and relevant standards.

Scope

This policy will apply to all current, prospective and previous students, staff and other ALIT stakeholders.

Guidelines

- All participants who complete a full qualification that result in an AQF qualification will receive:
 - A Testamur and
 - A Record of Results.
- Candidates, who complete part, but not all the qualification, will receive a Statement of Attainment listing the units completed as part of their learning and assessment, credit transfer or recognition of prior learning pathways.
- Candidates, who successfully complete units other than those required for completing the qualification, will be issued a separate Statement of Attainment for those units.
- Candidates, completing non-accredited courses will be issued the following documents:
 1. Completion Certificate
 2. Partial Completion Certificate
 3. Completion Transcript
 4. Partial completion Transcript
- The ALIT will provide credit for prior studies.
- Qualification is issued in a timely manner (AQF certification documentation must be issued within 30 calendar days of the learner's final assessment being completed or their exiting their course, providing all fees have been paid), so our learners can provide proof of their competence to employers (or potential employers) and obtain any industry licences or accreditation.
- The ALIT will issue AQF certification documentation directly to the learner, not to another party, such as an employer.
- Records of learner AQF certification documentation are maintained by the ALIT in accordance with the requirements of Schedule 5 and are accessible to current and past learners.
- The ALIT will ensure learners can access records of certification issued to them.
- The ALIT must collect and verify every participant's Unique Student Identifier (USI) before a testamur or a Statement of Attainment can be conferred.
- The ALIT will collect the USI from the Participant on enrolment.
- If they do not yet have a USI, they must apply for a USI and supply it to ALIT prior to issuance of certification.
- After the student provides their USI, the ALIT will verify the USI by one of the following methods:
 1. through the USI website
 2. through USI integrated software
 3. Through Student Management System

- The ALIT, however, must not include the learner's USI on any of the certification documentation as per the Student Identifiers Act 2014.
- Certification documents are to be issued to the student within 30 calendar days of the student being assessed as completing their studies, providing all fees the student owes have been fully paid, and the USI has been provided to the ALIT. If a student has outstanding fees, their results may be withheld.
- The ALIT will retain evidence that students are issued with all documents they are entitled to.

Additional Guidelines

1. The ALIT must issue to persons to 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 as appropriate that:
 - meets the Australian Qualifications Framework (AQF) requirements;
 - identifies the ALIT by its national provider number from the National Register and;
 - includes the NRT logo in accordance with current conditions of use and service
 - includes the AQF logo in accordance with current conditions of use and service.
2. A learner who has successfully completed all of the required units of competency or modules (as specified in the Training Package qualification or accredited course) is entitled to receive the following certification documentation on award of the qualification:
 - A testamur, and
 - A record of results
3. A testamur is defined by the AQF as 'an official certification document that confirms that qualification has been awarded to an individual'. References to 'testamurs' on this policy and procedures refer only to official documents that confirm that an AQF qualification has been awarded to an individual.
4. A record of results will be provided in addition to the testamur.
5. ALIT will not issue a testamur until students have completed their enrolled course.
6. Students will receive an award if they have satisfied the requirements for the enrolled course. That is, if they are enrolled in a Diploma, they will only receive their testamur after they have fulfilled the requirements for the Diploma.
7. ALIT will issue a Statement of Attainment upon a student's request when a student has completed
 - One or more units from a VET qualification or an accredited short course;

- a Training Package identified skill set which meets a licence or regulatory requirements; or
 - a Training Package identified skill set which meets a defined industry need.
- i. A Statement of Attainment will list all units which students have attained during their enrolment at ALIT
 - ii. The issuance of Statement of Attainment recognises that students do not always study a whole AQF qualification. They may choose to complete only a unit or units of competence or study from an accredited qualification or an accredited short course.
 - iii. The Statement of Attainment must be in a form that ensures it cannot be mistaken for a testamur for a full qualification. It must include the statement “A statement of Attainment is issued when an individual has completed one or more accredited units”.
8. A Statement of Result (transcript) is a statement that records the cumulative units that students have attained for the entire duration of enrolment at ALIT. If needed, the Statement of Result can be used as sufficient proof of the completed units until a Testamur or Statement of Attainment is available.
9. Logo Use –Nationally Recognised Training (NRT) The NRT logo must be depicted on all AQF qualifications, Statements of Attainment and certificates relating to courses meeting the requirements of the AQTF. These can only be issued by an ALIT when the training delivered is covered by the ALIT's scope of registration.
- i. All testamurs must include the NRT logo and the AQF logo in accordance with current conditions of use and service.
 - ii. All Statement of Attainment must include the NRT logo in accordance with current conditions of use and service.
 - iii. All record of results must NOT include the NRT logo and the AQF logo in accordance with current conditions of use and service.
10. Sufficient information must be provided on certification documents to ensure that the documentation is able to be authenticated and to reduce fraudulent use.
- i. The testamur must contain below information to identify correctly:
 - ALIT code and logo
 - The full name of the graduate entitled to receive the testamur
 - the code and full title of the awarded AQF qualification
 - Date of issue

- Authorised signature
 - The NRT logo
 - The AQF logo
 - Authenticity of the document, including a unique certification number and/or ALIT's official seal.
- ii. The Statement of Attainment must contain below information to identify correctly:
- ALIT code and logo.
 - The full name of the person entitled to receive the Statement of Attainment
 - A list of units of competency (or modules where no units of competency exist) showing the full title and the national code for each unit of competency;
 - Date of issue
 - Authorised signature
 - The NRT logo
 - Authenticity of the document, including a unique statement number
 - the words "A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more units of competency from nationally recognised qualification(s)/course(s)"
 - the words "These competencies form part of [code and title of qualification(s)/course(s)]" (if applicable)"
 - the words "These competencies were attained in completion of [code] Course in [full title]" (if applicable; this is only for accredited courses titled 'Course in ...')
- iii. All templates for certificates and Statements of Attainment must be checked against the AQF template and approved by CEO before printing. Both signatures must be on the final version of templates approved before they are printed. Templates will be created in the student management system.
11. The ALIT will maintain and retain a register of all AQF qualification and Statement of statement issued and authorised to issue. All student records of qualification and Statement of Attainment are to be kept in the secured network folder for a period of 30 years. This information will be provided to relevant regulator on a regular basis as determined by the regulator.
12. Certification documents may be forfeited or required to be surrendered in the following circumstances:
- where it is shown that an award has been improperly obtained;

- where an application is made for a replacement document due to damage or legal name change
 - where an award has been erroneously presented by ALIT
13. Any request for replacement of certification documents will incur extra charges. A reissuance authentication and verification process is in place for any reissuance of the replacement of certification documents
14. This policy must be read in conjunction with AQF Qualifications Issuance Policy: Application of the AQF Qualifications Issuance Policy within the VET sector available at https://www.aqf.edu.au/sites/aqf/files/aqf_issuance_jan2013.pdf

Procedures

	Description	Responsibility
1.	<p>Procedure</p> <ul style="list-style-type: none"> • Completed students must be assessed when meeting trainers, receiving/checking paperwork, doing data entry, and running extensive SMS reports. • Audit file: Student files must be audited ASAP (strictly follow the below steps) and Certificate must be issued within 5 working days of the audit. • Update SMS: change the Enrolment status to Completed • Print Certificate/Statement of Attainment: ensure appropriate Certificate/SOA template is used. • Send Certificate to Student • Archive the file: follow the Archiving Procedure <p>If there are any queries regarding the student file, they are referred to the PEO.</p>	<p>PEO</p> <p>Student support officer</p>
2	<p>Completion Audit (competent assessment)</p> <p>Preparation</p> <ol style="list-style-type: none"> 1. Ensure the student file has a student file checklist attached from SMS. 	<p>PEO</p> <p>Student support officer</p>

	<ol style="list-style-type: none"> 2. Check enrolment documents (Enrolment form, declaration form, welcome letter, LL&N, IDs, etc) against Student Enrolment checklist 3. Ensure all there is no outstanding payment. If there is payment outstanding, follow up with the agent/Finance Department before issuing Certificate/SOA. 4. Print the client enrolment report with comments <p>Audit</p> <ol style="list-style-type: none"> 1. Audit the student paperwork in the file (training plan, assessments, logbook (If relevant), and workplace observations (If relevant). Check each checklist item against SMS report. All dates and paperwork recorded on VT must be matching with the evidence in the student’s file. 2. Check the training package to identify the minimum required core and elective units are complete and identify if there are any extra units above the qualification requirement. 3. Audit the evidence of training within the file to the data entry provided on the client enrolment report <p>Update SMS</p> <ol style="list-style-type: none"> 1. Once the file has been audited add notes to SMS regarding the outcome of the audit. (If further evidence is required e-mail the trainer) 2. Change the end date on the enrolment to the last date provided on the training plan 3. Create the award using SMS 4. Where there are more than the minimum required units left click the + next to the award and right click over the awarded enrolment below and ‘Link and unlink units from this enrolment’ unlink the extra units which are not counted toward the qualification. 5. Where there are extra units create the statement of attainment 6. Print the Certificate 	
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	<ol style="list-style-type: none"> 7. If a student is withdrawn and Statement of Attainment is to be issued, Credit Transfer units should NOT be included in the Statement 8. Print the statement of attainment (select the statement of attainment applicable to the number of units to be added) enter the client code – select the appropriate award – select ‘select units’ tick the required units. 9. Print the Client enrolment report If the student has no other active Enrolment on SMS, make the student inactive (Right click Personal – Edit Client – right click the box left of client is inactive) 10. Place both the client enrolment report and the certificate in the certificate tray located in the administration office. <p>Archive</p> <p>Once the Certificate has been signed and photocopied post the original to the student and place the photo copy in the student file.</p> <p>Archive the file</p>	
3	<p>Reissuance certification documents authentication and verification process</p> <ul style="list-style-type: none"> • All requests for reissuance certification document must be in writing outlining the reissue providing supporting evidence (For e.g. a police report if the document was stolen, statutory declaration if the document was lost etc.) The request must be accompanied by formal ID and signature (passport, driver’s licence). If possible, the original/certified copy of the certification document or the certificate number must be attached. • Payment of related charges must be made to the Accounts office prior to the request. 	Student Support Officer

	<ul style="list-style-type: none"> Student support officer will check SMS - AQF register and student file record to see if there is an original certification document has been issued that matches the reissuance request. <p>If there is a record of original certification document, a duplicate copy can be produced.</p>	
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