

PP1.13 – Student Completion and Issuing Certificates



Policy area	Student Support
Standards	Outcome Standards for RTOs, Standard 1.3 Compliance Standards for RTOs for RTOs, Standard 9 to 13
Responsibility	Office Manager, CEO
Classification	Internal Only

1. Purpose

The purpose of this policy and procedure is to ensure:

- INSERT RTO NAME only issues AQF certification documentation to a student whom it has assessed as meeting the requirements of the training product
- AQF certification documentation is issued in the correct format
- AQF certification documentation is issued to a student within 30 calendar days of the student being assessed as meeting the requirements of the training product, providing all fees have been paid
- Records of student AQF certification documentation is maintained by the RTO and are accessible to current and past students

To provide a clear and efficient process for a student's completion where:

- The student wishes to defer, transfer or withdraw their enrolment
- A student has displayed poor behaviour, misconduct or plagiarised
- A student is not contactable or responding
- A student does not achieve course requirements, attendance or progress benchmarks

2. Definitions

Statement of attainment means a statement issued to a person confirming that the person has satisfied the requirements of the unit(s) of competency, modules or accredited short course specified in the statement.

AQF qualification means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

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Record of Results. A record of results is a record of the achieved units of competency leading to an AQF qualification. A record of results is always issued with an AQF qualification to specify the units of competency that were issued to the student as part of the achievement of the qualification.

3. Policy statement

Issuing AQF Certificates

3.1 Issuing Qualifications and Statements of Attainment

INSERT RTO NAME will issue qualifications or statements of attainment to students who have achieved the required outcomes of the training product **within 30 calendar days** of the final assessment being completed, provided:

- a) the AQF qualification in which the VET student is enrolled is complete (Qualification), or
- b) The student has completed one or more unit of competency (Statements of Attainment), and
- c) all agreed fees the VET student owes to INSERT RTO NAME have been paid and the student has provided a verified Unique Student Identifier.

3.2 Format for AQF Qualifications and Statements of Attainment

INSERT RTO NAME must comply with the formatting requirements for AQF Qualifications and Statements of Attainment as outlined in the Compliance Standards for RTOs for RTOs specified at requirement 7 (Qualifications) and 8 (Statements of Attainment).

3.2.1 All testamurs for **AQF qualifications** issued by INSERT RTO NAME will:

- a) include the following information:
 - i) the name, RTO code and logo of the issuing organisation
 - ii) the code and title of the awarded AQF qualification
 - iii) the NRT Logo in accordance with the NRT Logo Conditions of Use Policy
 - iv) the authorised signatory
 - v) the issuing organisation's seal, corporate identifier or unique watermark

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- vi) the words 'The qualification is recognised within the Australian Qualifications Framework' or any AQF logo authorised by the AQF Council
- b) include the following information where applicable:
 - i) the industry descriptor, e.g. Engineering
 - ii) the occupational or functional stream, in brackets, e.g. '(Fabrication)'
 - iii) where relevant, the words, 'achieved through Australian Apprenticeship arrangements'
 - iv) where relevant, the State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities)
 - v) where relevant, the words, 'these units/modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules
- c) comply with the AQF Qualifications Issuance Policy.

3.2.2 All **statements of attainment** issued by INSERT RTO NAME will:

- a) include the following information:
 - i) the name, RTO Code and logo of the issuing organisation
 - ii) 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
 - iii) the NRT Logo in accordance with the NRT Logo Conditions of Use Policy
 - iv) the authorised signatory
 - v) the issuing organisation's seal, corporate identifier or unique watermark
 - vi) the words 'A VET statement of attainment is issued by an NVR registered training organisation when an individual has completed one or more accredited units or modules'
- b) include the following information where applicable:
 - i) the words 'These competencies form part of [code and title of qualification(s)/course(s)]'
 - ii) the words, 'These competencies were attained in completion of [code] course in [full title]'

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- iii) where relevant, the State/Territory Training Authority logo (only where use of the logo is directed by State/ Territory Training Authorities)
- iv) where relevant, the words, 'these units / modules have been delivered and assessed in <insert language>' followed by a listing of the relevant units/modules.
- c) comply with the AQF Qualifications Issuance Policy.

INSERT RTO NAME is not to include a VET student's Student Identifier on a testamur or statement of attainment consistent with the *Student Identifiers Act 2014*.

3.3 Skills Sets

When a recognised skill set has been achieved by a student, a Statements of Attainment is issued to recognise the achievement of a skill set. The statement of attainment may include the code and title of the skill set and list all of the units of competency which comprise the skill set.

3.4 Nationally Recognised Training logo

INSERT RTO NAME will only use the Nationally Recognised Training Logo in accordance with the Compliance Standards for RTOs for RTOs, Schedule 2 Nationally Recognised Training Logo Conditions of Use Policy. Without completely repeating the schedule in this policy, the following are the key rules to apply:

- a) The NRT Logo is a registered trademark and cannot be modified or adjusted in any way,
- b) The NRT Logo must be used on any AQF Certificate that INSERT RTO NAME issues,
- c) The NRT Logo must not be depicted on other transcripts or record of results,
- d) The NRT Logo may be used in authorised marketing by INSERT RTO NAME but only in direct connection with nationally recognised training products that are on the INSERT RTO NAMEscope of registration,
- e) The NRT Logo must not be used in connection with non-accredited training or any other training that is not nationally recognised.
- f) The NRT Logo may only be used in direct connection with nationally recognised training products that are properly described in accordance with how they appear on the national training register.
- g) The NRT Logo must not be used on corporate stationary, on business cards, building signage, merchandise or learning and assessment material.

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- h) The NRT Logo may only be used in the colour and format as specified within the Compliance Standards for RTOs for RTOs, Schedule 2 Nationally Recognised Training Logo Conditions of Use Policy, section 6 Standards for the use of the NRT Logo.

3.5 Unique student identifier

All students studying nationally recognised training in Australia are required to have a Unique student identifier (USI). A USI is a reference number made up of numbers and letters. The USI will allow students online access to their training records and results (VET Transcript) through their online USI account. <https://www.usi.gov.au/help/login-to-usi-registry>

INSERT RTO NAME will comply with the requirements of the *Student Identifiers Act 2014*, including:

- a) verifying with the USI Registrar a student's USI before using that USI for any purpose,
- b) not issuing AQF certification documentation to an individual without being in receipt of a verified USI for that individual, unless an exemption applies under the *Student Identifiers Act 2014*,
- c) ensuring that where an exemption described in clause 3.4(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 USI Registrar.

Students are advised within the pre-enrolment information that there are a number of unique circumstances where a person may be exempt from requiring a USI. These do not apply to the majority of students in Australia. The USI Exemption Table is available from the USI website which explains these circumstances <https://www.usi.gov.au/exemptions>. Students who exercise an exemption from submitting a USI should be aware 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 USI Registrar.

3.6 Retention and reporting of AQF qualifications and statements of attainment issued

INSERT RTO NAME will:

- a) maintain registers of AQF qualifications it is authorised to issue and of all AQF qualifications and statements of attainment issued. This is maintained within the student management system.
- b) retain records of AQF certification documentation issued for a period of:

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- a) **seven years** if a student completes a training product on or after 1 January 2015
- b) **thirty years** if a student completes a training product before 1 January 2015
- c) ensure records of VET student AQF certification documentation are accessible to current and past VET students. These Records are not retained physically but the details of these issued outcomes are retained within the student management system and these records can be reproduced on request. This may be requested by the national regulator or may be required to issue the student a replacement certificate if required.
- d) provide reports of records of qualifications and statements of attainment issued to the VET Regulator on a regular basis as determined by the VET Regulator (Refer to: *PP4.8 - Interaction with the National VET Regulator*).

Completion of enrolment

3.7 Completion and Certificate Issuance

The completion of a student's enrolment is an important step in the journey of the learning and assessment with INSERT RTO NAME. The completion is a complex administrative process that requires careful attention and detail by the administrative team to verify the competencies that have been awarded, finalise all the enrolment documentation and update student management system records to ensure INSERT RTO NAME is complying with its reporting obligations. The steps to this process are outlined very clearly in detail within the procedure. The administrative support team are also supported by a completion and certificate issuance checklist which details the key tasks to be completed as part of the completion of enrolment. This checklist will be completed for

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each student completion and retained as evidence on the student record. Students will typically finalise their enrolment under the following circumstances:

- a) The student has completed all units of competency and is eligible to receive an AQF certificate,
- b) The student has requested to withdraw from the course,
- c) The student has not achieved the course requirements and enrolment is being closed,
- d) The student is not contactable, and enrolment is being closed, and
- e) The student's enrolment is being closed due to the student's behaviour misconduct or academic misconduct due to reoccurring plagiarism.

Please refer to the procedures for the detailed steps of the enrolment completion process.

3.7 Students who have requested to withdraw from the course

Students who have requested to withdraw from the course are to be offered counselling on their options which may include transferring to a different course or receiving additional student support to assist them in the current course. Where the student declines these options and request withdraw from the course, the completion process will follow the normal process; however, the student will be issued a statement of attainment only for units of competency they have achieved. Requests for course withdrawal are to be submitted using the *Application for Course Withdrawal*.

For policy relating to student requests for course substitutions or transfer ref to *PP2.2 - Enrolment*. Please note that deferral from a course after the course has commenced are not permitted. Course deferral may only be requested in writing more than 10 working days prior to the course commencing.

3.8 Students who are not contactable or not responding (Inactive Students)

Where a student is not contactable or fails to respond to requests by the INSERT RTO NAME, the student's enrolment is to be closed in absentia. Before a student's enrolment can be closed without their written or expressed consent, a minimum of three attempts (one week apart) must be made using the last known contact details (email, phone and mail) to contact the student and issue the student with a warning letter notifying them of the intent to close the enrolment. Every reasonable attempt must include attempting to contact the student via all means possible including phone, text, and email. If INSERT RTO NAME is holding any alternate points of contact for the student, they should also be contacted.

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Prior to closing the enrolment, the student should be sent a warning letter to the postal address held within our student management system and given a period of no less than 28 days to respond before the enrolment is completed. It should be noted that 28 days is the period which the student has to appeal a decision that INSERT RTO NAME makes. It is administratively fair process to provide the student this notification and give them an opportunity to respond before taking final action.

3.9 Students who have not achieved course requirements

Students who are assessed as not yet competent and have exhausted their reassessment opportunities, are to be provided with detailed verbal and written feedback. It is the policy of INSERT RTO NAME to provide three opportunities for training and re-assessment at no additional cost to the student or employer. The initial assessment is one and therefore the student will have two remaining opportunities if they are not able to demonstrate competency on the first attempt. Students who require additional training and re-assessment after they have exhausted their three opportunities will be required to pay a fee for additional training and re-assessment.

Where students repeatedly do not demonstrate competence following significant learning and assessment support, a student's enrolment can be determined through mutual agreement. The completion process will follow the normal process; however, the student will be issued a statement of attainment only for units of competency they have achieved.

3.10 Students who have demonstrated behaviour misconduct

INSERT RTO NAME seeks to provide an environment that is free from unacceptable behaviour and promotes a positive learning environment for all students. Behaviour misconduct is defined (ref to *PP2.7-Behaviour Misconduct*) unacceptable behaviour and includes, but is not limited to:

- Behaviour that impairs the reasonable freedom of other persons to pursue their studies and participate in the activities of the RTO
- Any act or failure to act that endangers the safety or health of any other person
- Actions that impair any person's participation in a legitimate RTO activity or, by act or omission disrupts the peace or good order of the RTO
- Acting in a way that causes students or staff or other persons within the RTO to fear for their personal safety
- Wilfully obstructing or disrupting any official RTO meeting, ceremony, activity, class or examination/assessment
- Any form of harassment, whether based on gender, race, age, sexual preference or religious belief

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- Wilfully damaging or wrongfully dealing with any RTO property, or the property within the RTO of any person, including theft
- Being under the influence of prohibited drugs and/or substances including alcohol
- Trespassing or knowingly entering any place within the premises of the RTO that is out of bounds to students
- Making a false representation as to a matter affecting student status
- Possession of dangerous articles or banned substances
- Abusive behaviour to others

A student must at all times, maintain a high standard of behaviour while engaged in RTO activities either within the premises of the RTO or at another location. Students who demonstrate behavioural misconduct after being formally warned are to have their enrolment cancelled and will not be entitled to a refund (ref to *PP2.7 – Behaviour Misconduct*). This does not limit the requirement to provide the student suitable warning in writing, the opportunity to make oral or written representations regarding the misconduct or their right to appeal a decision. Where the student's behaviour is so egregious or leads to the actual damage to property or harm to another person, the student's enrolment can be closed immediately. This does not remove the student's right to appeal a decision made by INSERT RTO NAME (ref to *PP2.10-Appeals Handling*). Only after any appeal process has been completed that the completion process will follow the normal process; however, the student will be issued a statement of attainment only for units of competency they have achieved.

3.11 Students who have been identified for academic misconduct due to plagiarism

Where it has been determined that the plagiarism has arisen from poor academic practice, the student is to be requested to revise the work and resubmit it for the assessment.

If it has been determined that the plagiarism was intentional, the student's work is not to be accepted and the student is to be handled in accordance with the PP1.9 - Plagiarism and AI. The student is to be given a formal warning (in writing) by the CEO explaining the seriousness of the incident and the consequences if the student is found to plagiarise again.

Students who are found to have plagiarised after being formally warned are to have their enrolment cancelled and will not be entitled to a refund. This does not limit the requirement to provide the student suitable warning in writing, the opportunity to make oral or written representations regarding the misconduct or their right to appeal a decision (ref to *PP2.10-Appeals Handling*). Only after any appeal process has been completed that the completion process will follow the normal process; however, the student will be issued a statement of attainment only for units of competency

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they have achieved.

4. Considerations

Staff with responsibility for preparing certificates for issue must be familiar with the policy outlined on the ASQA website at the following address: [ASQA - Issuing qualifications and statements of attainment](#). Specific reference should be made to the Compliance Standards for RTOs of the Revised Standards for RTO's – Policy Guidance 2014: [Policy Draft - Compliance Standards for RTOs - Department of Employment and Workplace Relations, Australian Government](#).

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5. Procedure

Steps	Person/s responsible
5.1 Student Completion and Issuing AQF Certificates (within 30 days)	
<p>i. Notify administration staff and check for completeness</p> <p>Assessors must notify the administrative staff when the student has completed all required units of competency.</p> <p>When the administrative staff receive the completed student assessment records, they are to check them for their completeness accuracy (ref to <i>PP1.8-Assessment Quality Control</i>).</p> <p>Note. To comply with the requirement under the Compliance Standards for RTOs for RTOs to issue student's their certificates within 30 calendar days of the student being assessed as meeting the requirements of the training product, all completed assessments must be returned to the head office for processing within 5 working days from the date the assessment was completed. Assessors must comply with this requirement to allow sufficient time for the result to be recorded into the student management system and the certificate to be produced and dispatched to the student. If the assessment record is required to be returned to the trainer for remediation, the assessment should not be considered as complete, and this 30 day requirement will only commence once all completed assessments have been properly assessed.</p>	<p>Administrative staff</p> <p>Trainers and Assessors</p>
<p>ii. Enter outcomes into the student management system</p> <p>Enter assessment outcomes into the student's enrolment within the student management system ensuring that the correct Outcome Identifier National is selected and the date assessed corresponds with the date the student was assessed by the assessor.</p> <p>Note. The date field linked with the Outcome Identifier National within the competency record (within the student management system) may automatically default to the date the outcome is entered. This means that administrative staff must ensure they select the correct date</p>	<p>Administrative staff</p>

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Steps	Person/s responsible
<p>before exiting the student's record. The date of competency achieved entered into the student management system must correspond with the assessment record completed by the assessor.</p> <p>To comply with the requirement under the Compliance Standards for RTOs for RTOs to issue student's their certificates within 30 calendar days, all assessment results must be entered into the student management system within 10 working days from the date the assessment was completed.</p>	
<p>iii. Complete the Certificate Issuance Checklist</p> <p>Recognise when all units of competency have been completed by the student (or the student's enrolment has otherwise ended), complete the <i>Certificate Issuance Checklist</i>, and commence the process to produce the certificate.</p> <p>The <i>Certificate Issuance Checklist</i> must be fully completed prior to producing the certificate and the completed checklist is to be retained on the student's file.</p> <p>Note. Before a certificate can be issued, administrative staff are to confirm that the student has paid all outstanding fees owed to INSERT RTO NAME and that we have a verified the student's USI recorded within the student management system. If either of these items are identified as being outstanding, administrative staff are to contact the student via phone immediately (and send an email to confirm the discussion or message) and seek their assistance to resolve the issue as a matter of urgency.</p> <p>Detailed notes are to be recorded within the student notes section of the student management system of attempts to contact the student and to resolve these issues. The delay caused by these outstanding items does not impact on our obligation under the Compliance Standards for RTOs for RTOs to issue student's their certificates within 30 calendar days. The day count (for the 30-day requirement) is suspended until these items are resolved.</p> <p>It should be noted however that active collection of the student's fees in accordance with the agreed fee schedule and early verification of</p>	<p>Administrative staff</p>

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Steps		Person/s responsible
	the student's USI (at enrolment) must occur to prevent these issues hindering the timely completion of the certification process.	
iv.	<p>Generate Certificate</p> <p>Once all the requirements of the <i>Certificate Issuance Checklist</i> have been met, the relevant certificate should be generated, the following steps are to be followed:</p> <ul style="list-style-type: none"> • Digital certificates should be generated from the student management system in accordance with its operating instructions. Authorisation should be automated to allow production of the digital certificate. Certificates should be encrypted or locked to prevent fraudulent production or copying. A digital Letter of Completion should also be produced. • Hard Copy Certificates should be printed with the Letter of Completion and handed to the CEO. At no time should certificates be left unattended or have any opportunity to be overlooked by the CEO. It is critical that record integrity of the certificate is maintained. <p>The CEO may want to review the student's records to confirm the validity of the certificate being issued. Once the CEO is satisfied the certificate is valid, the CEO is to sign the certificate as the authorised person. The CEO is also to sign the letter of completion.</p> <p>With the certificate now properly authorised, together with the Letter of Completion; it is passed back to administration.</p> <p>Note. To comply with the requirement under the Compliance Standards for RTOs for RTOs, all certificates requiring authorisation must be handed to the CEO within 15 working days from the date the assessment was completed, and all authorised certificates must be handed back to administration within 20 working days from the date the assessment was completed.</p>	Administrative staff

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Steps		Person/s responsible
v.	<p>Issue Certificate</p> <p>Issue the certificate, along with the Letter of Completion, to the student.</p> <p>All AQF certificates must be dispatched, or handed to the student, within 25 working days from the date the assessment was completed. It is accepted that this process for producing certificate and issuing it to the student may occur in a quicker timeframe however the above time frames identified are the maximum.</p> <p>Note. At no time is the certificate to be handed to any third party (e.g. an employer) unless the student has provided written and signed instructions for this to occur, and these instructions are confirmed with the student verbally. In such instances, these details are to be recorded within the student notes section of the student management system and any written instructions received from the student are to be retained on their student file.</p>	Administrative staff
vi.	<p>Record certificate issuance into the student management system</p> <p>Record in the student management system that the certificate was issued together with the date of issue.</p>	Administrative staff
vii.	<p>File records</p> <p>File the student's records into archive and note this within the archiving register of the student management system.</p>	Administrative staff
5.2 Re-issue of Certificates		
<p>INSERT RTO NAME acknowledges the requirement to provide past and present students with re-issued qualifications and statements of attainment when required. The following steps are to be applied to reissuing Qualifications and Statements of Attainments:</p>		
i.	<p>Receive written request</p> <p>The individual must make a written request (via email) to INSERT RTO NAME for a re-issue of certificate and must verify their identity by</p>	Student

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Steps		Person/s responsible
	<p>providing a license, birth certificate, passport or other formal identity document in support of the request.</p> <p>Re-issues will only be produced for the individual to whom the Qualification or Statement of Attainment was originally issued.</p>	
ii.	<p>Authorise re-issue of certificate</p> <p>The CEO must authorise all reissues. No other staff member of INSERT RTO NAME is authorised to re-issue Qualifications and/or Statements of Attainments under any circumstances.</p>	CEO
iii.	<p>Invoice and receive payment for re-issued certificate</p> <p>Charge a fee for reissue of Qualifications or Statements of Attainments.</p> <p>For a full list of current fees and charges please refer to <i>Schedule of Fees and Charges</i>.</p>	Accountant
iv.	<p>Produce re-issued certificate</p> <p>Check all re-issues are replicas of the original document, including the 'student name', 'student number' and other distinguishing features such as paper weight and the logo or corporate identifier in the top centre of the certificate.</p> <p>The only detail which is to be changed is the 'issued on' date, which will be the date of re-issue and specified as 're-issued'.</p> <p>Check re-issues comply with the AQF requirements; identify the RTO by its national provider number from Training.gov.au; include the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use. These requirements are consistent with those for the original issue of a Qualification or Statement of Attainment.</p>	Administrative staff
v.	<p>Record re-issued certificate in LMS</p> <p>Publish the re-issue using the student management system.</p>	Administrative staff

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Steps		Person/s responsible
	Cross check the information for the relevant certificate with the photocopy or scan of the original which has been retained in the student file.	
vi.	<p>Issue the re-issued certificate to the student</p> <p>Once authorised, issue the re-issued certification to the student.</p> <p>Record the date of the re-issue in the student management system.</p> <p>Retain the written request from the student for re-issue in the student management system.</p>	Administrative staff
5.3 Closing a students' enrolment at the students' request (Withdrawal)		
i.	<p>Student Requests to withdraw from the course</p> <p>Where a student wishes to finalise their enrolment early for personal or academic reasons, they are to complete the form <i>Application for Course Withdrawal</i>.</p> <p>Where the student is not willing to complete an <i>Application for Course Withdrawal</i>, advice received from a student via email or phone conversation communicating their request to be withdrawn is to be accepted. Email records and written records of phone conversations are to be retained on the students file as evidence of these expressed instructions from the student.</p> <p>The student should specify their reasons and select to defer their enrolment, to transfer their enrolment to another course, or to terminate their enrolment.</p>	<p>Student</p> <p>Student Support Officer</p> <p>Administrative staff</p>
ii.	<p>Issue Statement of Attainment for completed units. Where the enrolment is being deferred or terminated, students are to be issued a Statement of Attainment to recognise the outcomes they have achieved during their enrolment.</p>	Administrative staff
iii.	<p>Update SMS. Record in the student management system that the certificate was issued together with the date of issue.</p>	Administrative staff

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Steps		Person/s responsible
iv.	<p>Returning Students. A student who defers and returns to complete a course will be eligible to recommence their training within 6 months and receive a credit transfer for any completed units of competency if there is a suitable place in a suitable class (cohort) available.</p> <p>Enrol the student and credit transfer any units of competency achieved.</p>	Administrative staff
5.4 Cancelling a student's enrolment		
i.	<p>a. Students who are not responding - Before a student's enrolment can be terminated without their written or expressed consent, a minimum of three attempts (one week apart) must be made using the last known contact details (email, phone and mail) to contact the student and issue the student with a warning letter given the student 15 days' notice notifying them of the intent to terminate the enrolment.</p> <p>b. Poor behaviour or misconduct - If the student has misbehaved or conducted themselves in an inappropriate manor, they are to be reprimanded and formally warned in writing against repetition of misconduct.</p> <p>The student may be suspended from using all or some RTO facilities and/or services for a period of time.</p> <p>If the student commits behavioural misconduct after being formally warned they are to have their enrolment cancelled and will not be entitled to a refund.</p> <p>Note: This does not limit the requirement to provide the student suitable warning in writing given the student 15 days' notice notifying them of the intent to terminate the enrolment and the opportunity to make oral or written representations regarding the misconduct or their right to appeal a decision.</p> <p>c. Students who have not achieved course requirements - Students who are assessed as not yet competent are to be</p>	Office Manager Training Manager

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Steps		Person/s responsible
	<p>provided with detailed verbal and written feedback to assist them to identify the gaps in their knowledge and skills to be addressed through further training. These students are to be provided with additional training and learning support to target their specific gaps in knowledge and/or skills and prepare them for additional assessment.</p> <p>Provide three opportunities for additional training and re-assessment at no additional cost to the student or employer. Students who require additional training and re-assessment after they have exhausted their three opportunities will be required to pay a fee for additional training and re-assessment.</p> <p>Student's requiring additional learning support are to be brought to the attention of INSERT RTO NAME management, so the progress of the student can be monitored closely, and additional support services can be applied well before it becomes necessary to impose an additional fee for re-assessment.</p> <p>Where students repeatedly do not demonstrate competence following significant learning and assessment support, a student's enrolment can be terminated through mutual agreement.</p>	
ii.	<p>Notify the student. Notify the student in writing that their enrolment has been terminated and on what grounds.</p> <p>Include in the notification, information on the student's right to appeal this decision and refer them to <i>PP2.10 Appeals Handling</i>.</p>	Office Manager or Training Manager
iii.	<p>Inform the trainer. Applicable trainers are to be informed of the students' enrolment termination and advised to inform the Office Manager if the student makes contact.</p>	Office Manager Trainers
iv.	<p>Update the student's record. Update the student's record within the student management system with details of termination and enter</p>	Office Manager

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Steps		Person/s responsible
	the outcome of “withdrawn” into each unit of competency that has not been completed at the time.	
v.	Issue final Statement of Attainment. Any final AQF certificate to which the student is entitled is to be sent or emailed to the student.	Office Manager
vi.	Archive student record. The student’s record is to be archived in accordance with the <i>PP1.14 - Student Record Retention and Management</i> .	Office Manager
vii.	Consider any Opportunities for Improvement. Consider any opportunities for improvement and raise a Continuous Improvement Report to be considered at the next management meeting. Opportunities for improvement to the assessment system will then be considered and implemented in a systematic way. Refer to: <i>PP4.7 - Continuous Improvement and PP4.3 Management Meeting</i> .	Office Manager or Training Manager

6. Other documents to consider with this policy

Policies

- PP1.14 Student Record Retention and Management
- PP2.7 Behaviour Misconduct
- PP2.10 Appeals Handling
- PP2.8 Fees and Refunds

Forms

- Application for Course Deferment / Transfer / Withdrawal
- Certificate Issuance Checklist
- Schedule of Fees and Charges

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Handbooks, manuals or other documents

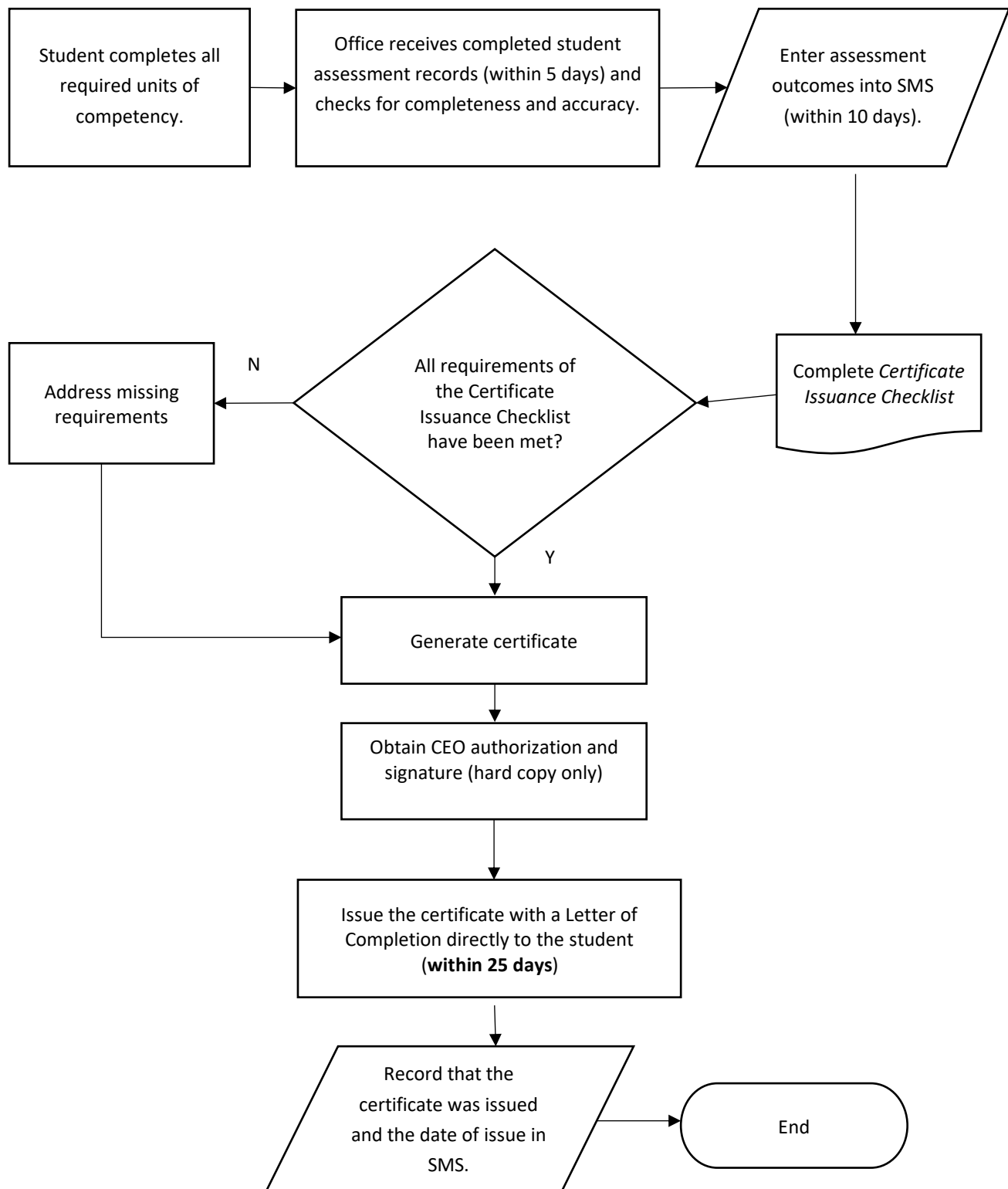
- USI verification

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7. Flow chart

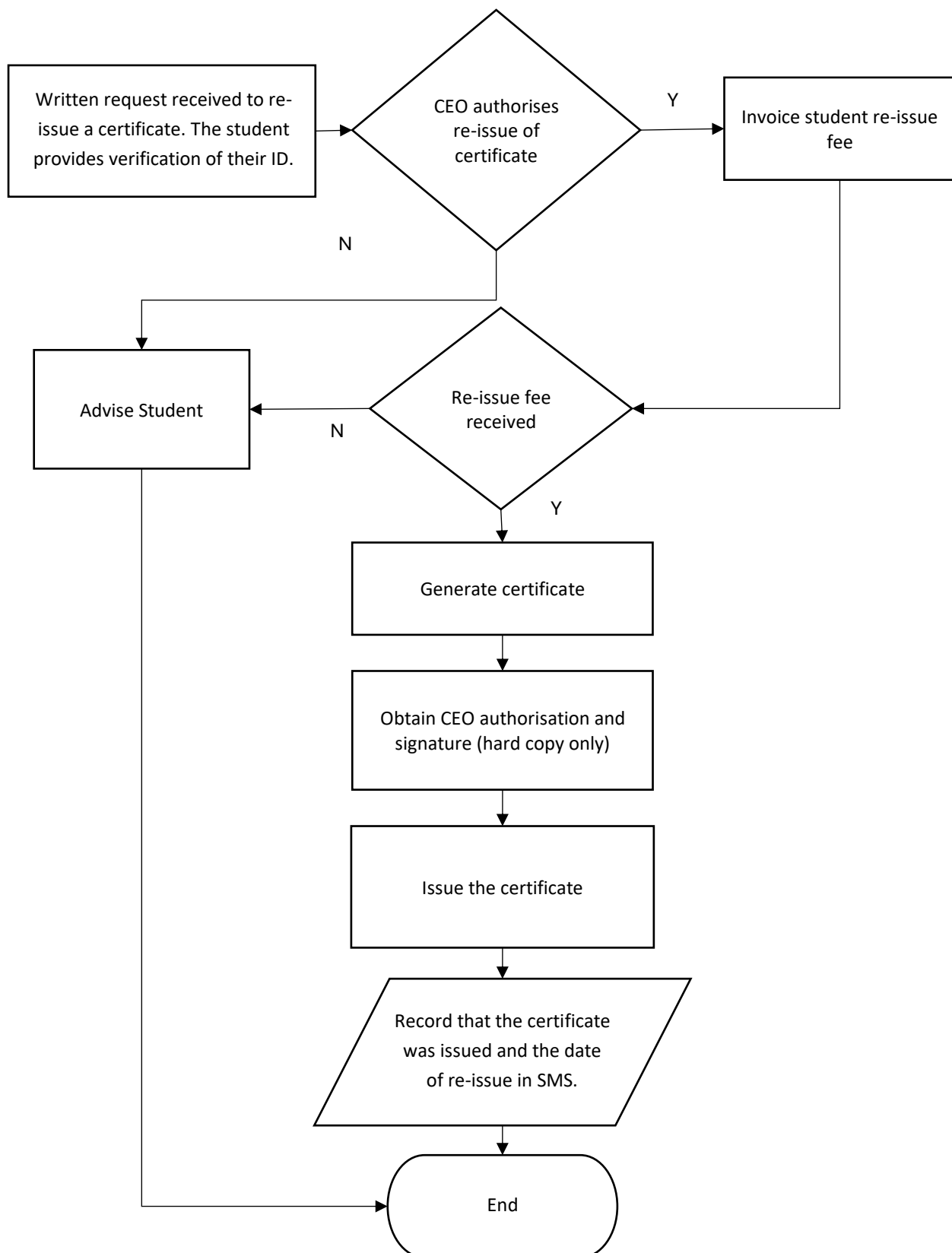
Student Completion and Issuing AQF Certificates



PP1.13 – Student Completion and Issuing Certificates



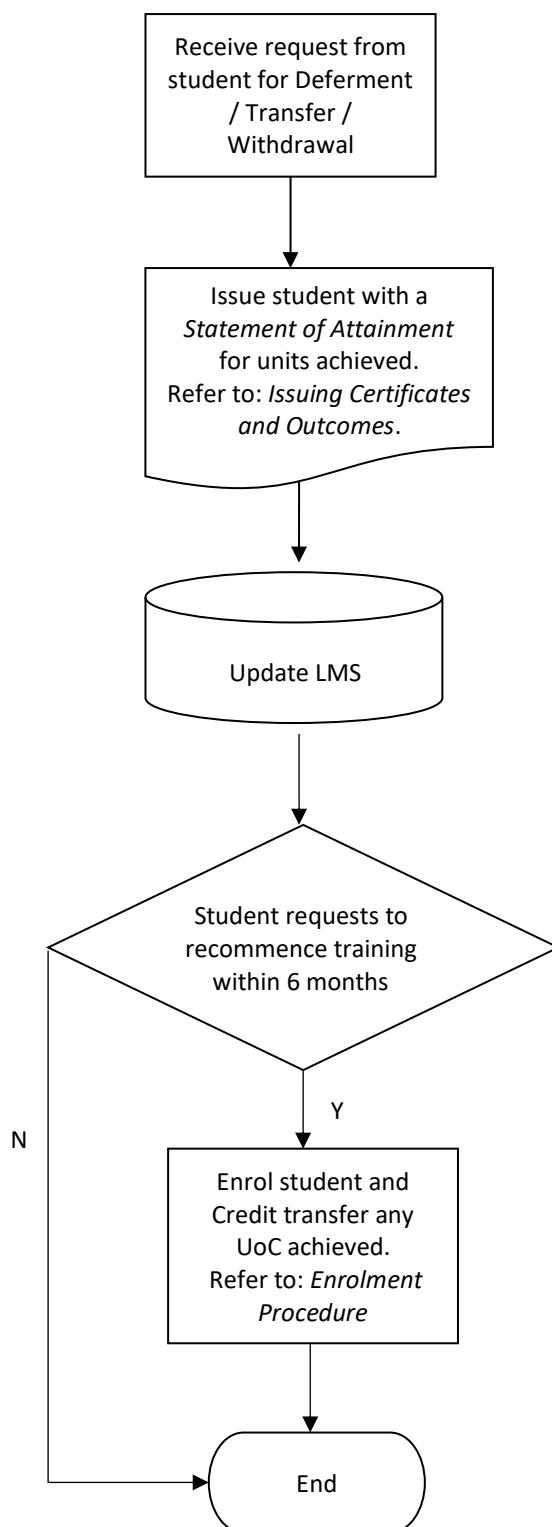
Re-issuing AQF Certificates



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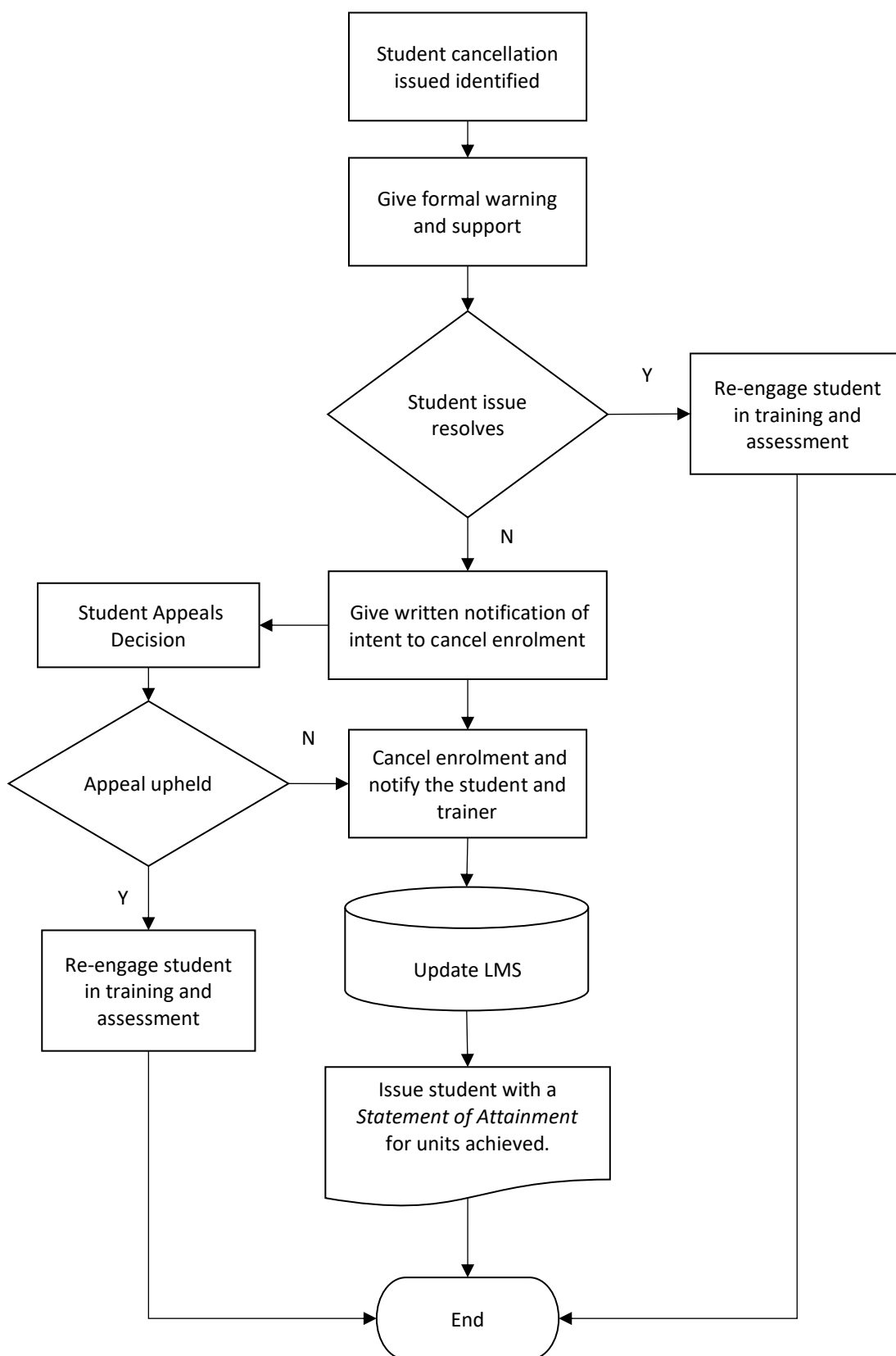
Deferring or terminating a students' enrolment at the students' request



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Cancelling a students' enrolment



8. Reference(s)

Compliance Standards for RTOs for RTOs, Standard 9 to 13

Division 2 – Integrity of Nationally Recognised Training Products

9 Issuance of AQF certification documentation

- (1) An NVR registered training organisation must not issue AQF certification documentation to any person unless the person is a VET student who the organisation has assessed as meeting the requirements of the training product.
- (2) Where an NVR registered training organisation has assessed a VET student as meeting the requirements of the training product in accordance with subsection (1), the organisation must ensure the AQF certification documentation is issued to the VET student within 30 calendar days from the completion of the assessment, provided the VET student:
 - (a) has completed the AQF qualification or completed one or more units of an AQF qualification which they have subsequently withdrawn from; and
 - (b) has paid to the organisation all agreed fees associated with the training product.

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10 Records of AQF certification documentation and assessments

- (1) An NVR registered training organisation must:
 - (a) maintain a register in accordance with the AQF Qualifications Register Policy of all:
 - (i) AQF qualifications it is authorised to issue; and
 - (ii) AQF qualifications and VET statements of attainment the organisation has issued to VET students;
 - (b) retain records, in accordance with the AQF Qualifications Register Policy, of all AQF certification documentation issued to VET students for a period of thirty years;
 - (c) retain records of all assessments submitted by a VET student to the organisation or a third party for a period of 2 years after the student has completed the training product;
 - (d) ensure VET students – including those previously enrolled with the organisation – are able to access copies of their AQF certification documentation retained under paragraph (b); and
 - (e) upon request from the National VET Regulator, provide a report of all AQF qualifications and VET statements of attainment the organisation has issued during the period specified in the Regulator's request.

11 Issue of VET qualifications and VET statements of attainment

- (1) All VET qualifications issued by an NVR registered training organisation must comply with the AQF Qualifications Issuance Policy and must include:
 - (a) the name, registration code and logo of the organisation;
 - (b) the code and title of the AQF qualification;
 - (c) the NRT logo – in accordance with the requirements of the NRT Logo Conditions of Use policy;
 - (d) the signature of an individual who the organisation has authorised to sign the AQF qualification;

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- (e) the organisation's seal, corporate identifier or unique watermark;
 - (f) the following statement: "The qualification is recognised within the Australian Qualifications Framework", or any Australian Qualifications Framework logo authorised by the Conditions for the use of the Australian Qualifications Framework Logo policy;
 - (g) where the AQF qualification has an industry descriptor as listed on the National Register in the corresponding training product – the industry descriptor;
 - (h) where the AQF qualification has an occupational or functional stream listed on the National Register under the corresponding training product – the title of the stream in brackets after the code and title of the AQF qualification;
 - (i) where the AQF qualification has been obtained by a VET student in the course of undertaking an Australian apprenticeship – the statement: "Achieved through Australian Apprenticeship arrangements"; and
 - (j) where any part of the AQF qualification has been delivered in another language – the statement: "these units of competency/modules have been delivered and assessed in [insert relevant language]" followed by a list of all units of competency or modules that have been delivered in the relevant language.
- (2) All VET statements of attainment issued by an NVR registered training organisation must comply with the AQF Qualifications Issuance Policy and must include:
- (a) the name, registration code and logo of the organisation;
 - (b) the full title and national code, as set out on the National Register, of:
 - (i) each unit of competency to which the statement relates; or
 - (ii) if no units of competency exist – each module to which the statement relates;
 - (c) the NRT logo – in accordance with the requirements of the NRT Logo Conditions of Use policy;
 - (d) the signature of an individual who the organisation has authorised to sign the statement;
 - (e) the organisation's seal, corporate identifier or unique watermark;

- (f) the statement: “A VET statement of attainment is issued by an NVR registered training organisation when an individual has completed one or more accredited units or modules”;
- (g) where the units of competency form part of a VET course or qualification – the following statement: “These competencies form part of [code and full title of the relevant VET course or qualification]”;
- (h) where the units of competency have been attained in the course of completing a VET course – the following statement: “These competencies were attained in completion of [VET course code] course in [full title of the VET course]”; and
- (i) where any of the units of competency or modules listed on the statement have been delivered in another language – the statement: “these units of competency/modules have been delivered and assessed in [insert relevant language]” followed by a list of all units of competency or modules that have been delivered in the relevant language.

12 Student identifier requirements

- (1) An NVR registered training organisation must:
 - (a) not include any individual’s student identifier on a VET qualification or VET statement of attainment; and
 - (b) request the Registrar to verify that any student identifier provided to it by an individual belongs to that individual before the organisation uses the identifier for any purpose.
- (2) Subject to subsections (3) and (5), an NVR registered training organisation must not issue a VET qualification or a VET statement of attainment to a VET student unless the student has been assigned a student identifier.
- (2) *Exemptions given by the Minister*
- (3) The Minister may, in writing and as agreed by the Ministerial Council, specify an issue to which the requirement in subsection (2) does not apply, by reference to one or more of the following:
 - (a) the organisation doing the issuing;
 - (b) the VET qualification, or VET statement of attainment, being issued; or

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- (c) the VET student to whom the VET qualification, or VET statement of attainment, is being issued.
- (4) Where an exemption described in subsection (3) or subsection 53(3) of the *Student Identifiers Act 2014* applies – an NVR registered training organisation must inform the VET student prior to the completion of enrolment or commencement of training and assessment, whichever occurs first, that the results of the training:
 - (a) will not be accessible through the Commonwealth; and
 - (b) will not appear on any authenticated VET transcript prepared by the Registrar.
- (5) Subsections (2) and (3) only apply to NVR registered training organisations that are not constitutional corporations.
- (3) Note: Similar requirements to those set out in subsections (2) and (3), that apply to NVR registered training organisations that are constitutional corporations, are set out in section 53 of the *Student Identifiers Act 2014*.

13 Nationally Recognised Training logo

- (4) An NVR registered training organisation must ensure that it uses the NRT logo in accordance with the requirements specified in the NRT Logo Conditions of Use policy.