



## 1. Objective

This policy describes the process by which the RTO will record and issue testamurs and statements of attainment to students who have met the requirements for a qualification that is listed on the ALATA's scope of registration. This will be in accordance with the requirements of the VET Quality Framework for Registered Training Organisations 2015 and the guidelines outlined in the AQF Second Edition 2013 and as directed by the NVR.

## 2. Scope

This policy applies to ALATA and its students addressing the program requirements for the awarding of a testamur or a statement of attainment.

The policy does not apply to non-AQF qualifications.

## 3. Definitions

- a) A **Testamur** is the official document that confirms that a qualification has been awarded. This may also be referred to as a 'parchment', 'certificate' or 'award'.
- b) A **Qualification** is the result of a complete accredited program of learning that leads to formal certification that a graduate has achieved learning outcomes as described in the AQF.
- c) A **Statement of Attainment** is issued when one or more units of competency from nationally recognised qualification/s or accredited short course/s has been achieved. The SOA is issued for partial completion of a course.
- d) An **Academic Transcript** is a record of all learning leading to an AQF qualification or an accredited unit in which a student is enrolled and is issued by an authorised issuing organisation. This may also be referred to as a 'record of results'. The academic transcript does not include the NRT logo.
- e) **NVR** is an acronym for the National VET Regulator. This may also be referred to as ASQA or Australian Skills Quality Authority.
- f) A **Credit Transfer** is when a new training package or accredited course is published on the national register and a currently enrolled student in the superseded course has requested or been asked to transition to new course. The previously completed units will be mapped to the new course, a renewed enrolment agreement will be completed and student will receive Credit Transfer (CT) for those units completed in superseded course. A Credit Transfer will also use in the case of National Recognition.
- g) **VETtrak** is used to maintain all records of training and assessment; it also generates compliance to the VET Quality Framework and has the capacity to provide the NVR with AVETMISS compliant data and is used to generate Certificates/Diplomas & Statements of Attainment.

## 4. Policy Statements

- a) Before a testamur is awarded, the RTO Manager and College Manager must ensure that all units of competency for the qualification have been completed and assessed as competent
- b) Students will be advised within 2 weeks of completion of competency as to their results
- c) All students that complete a program of learning that leads to the award of an AQF qualification will receive a testamur and a record of results within 30 calendar days of the learner being assessed as meeting the requirements of the training package, and providing all agreed fees the learner owes to ALATA have been paid
- d) The VETTRAK contains an evidence checklist which must be completed by the College Manager before a testamur is awarded

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- e) Our VETTRAK has a flagging mechanism that reminds the college manager at least one week before end 30 days, therefore the process will be completed within set timelines
- f) All students that have not completed the full AQF qualification will receive a statement of attainment and record of results
- g) We do not offer non-AQF programs of study
- h) If a student has outstanding fees, the student will be notified. The student must pay any outstanding fees before a testamur, record of results or a statement of attainment is issued (this document is provided to students at induction, to avoid any misunderstanding).

## 5. AQF Qualifications (refer Schedule 5)

- a) The testamur for all AQF qualifications issued will identify the qualification as an AQF qualification (refer Schedule 5)
- b) ALATA maintains a register of all AQF qualifications they are authorised to issue
- c) ALATA maintains a register of all AQF qualifications they issue to graduates
- d) ALATA's must not include a state or territory registering body logo on testamurs
- e) In some cases, for example within User Choice contracts, RTOs may need to include a state or territory training body logo on testamurs, where directed by a state or territory training body.
- f) **Record of Result** (refer Schedule 5)
- g) The NRT logo **is not used** on the record of results
- h) **Statement of Attainment** (refer Schedule 5)
- i) Statements of attainment must not include the Australian Qualifications Framework (AQF) words or logo
- j) ALATA do not include a state or territory registering body logo on statements of attainment
- k) In some cases, for example within User Choice contracts, RTOs may need to include a state or territory training body logo on statements of attainment, where directed by a state or territory training body
- l) ALATA uses the NRT logo in accordance with current conditions of use and maintains a copy of NRT logo specifications on file
- m) ALATA has developed the statement of attainment in a format so that it cannot be mistaken for a full AQF qualification:
  - a. The words 'statement of attainment' are placed at top of document (just below RTO logo) in prominent upper case, Arial font – size 26
  - b. The number of the statement of attainment is titled: Statement of Attainment No.
  - c. The card stock is a lower GSM (thickness) than the Testamur stock.

ALATA will retain client records of attainment of units of competency and qualifications for a period of 30 years.

This policy document will be made available to students and staff as an addendum to the student handbook.

## 6. Coding of Results

Results will be recorded as follows:  
Placement will be on the record of results

### C Competent

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- NYC** Not Yet Competent  
**CT** Credit Transfer  
**RPL** Recognition of Prior Learning  
**W** Withdrawn

## 7. Qualifications Testamur

Sufficient information is provided on a testamur, statement of attainment and record of results to ensure that the documentation is able to be authenticated and to reduce chances of fraudulent reproduction.

To ensure the most current data is used in developing our testamurs and statements of attainment we have used the specifications detailed on the ASQA website<sup>1</sup> and the Australian Qualifications Framework.

## 8. Mechanisms to Reduce Fraudulent Reproduction

The following Elements have been added to reduce chances of fraudulent reproduction:

- a) All testamurs have an 8 digit ID number which is unique to the student who completed course
- b) All statement of attainments have an 8 digit ID number which is unique to the student who completed unit(s) competency
- c) Card stock used for testamurs is made from 250 GSM
- d) Card stock used for statement of attainments is made from 128 GSM
- e) The RTO has an embossing machine with a die which includes the RTO logo in centre and on the perimeter the text displays the RTO name and National Code
- f) The embosser is used to press a Red seal onto the testamur and statement of attainments
- g) The seal not only adheres but also indents the shape of the die into the testamur and statement of attainments - which cannot be removed without destroying the product
- h) The academic transcript will be placed on the back of the testamur
- i) The embosser is locked in the College Managers office inside a safe; the only staff with access to the safe is the College Manager and CEO
- j) The VETTRAK has built in templates of testamurs and statements of attainment
- k) To ensure templates remain compliant and current, the templates are password protected to ensure only approved staff has the access to make changes or additions. This also ensures certification documentation is used consistently across the education and training sectors
- l) Client record files both academic and administrative are locked in a filing cabinet inside the RTO Managers office and then relocated to the secure archive room once students have completed course or part thereof
- m) Hard copies of client records of attainment of units of competency and qualifications are maintained in two registers:
  - Certificate Register (form QUALCR) and
  - Statement of Attainment Register (form QUALSAR)
- n) The registers are securely stored in RTO Managers office.
- o) Electronic copies of student data are maintained in the RTO Client Management System (VETTRAK) and also secured off site in a fire proof safe at CEO personal residence.

<sup>1</sup> <http://www.asqa.gov.au/vet-registration/meet-the-requirements-of-ongoing-registration/issue-qualifications-and-statements-of-attainment.html>

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## 9. Record Keeping

ALATA VETTRAK maintains all records of training and assessment; it also generates compliance to the VET Quality Framework and has the capacity to provide the NVR with AVETMISS compliant data and is used to generate Certificates/Diplomas & Statements of Attainment.

A copy of testamurs, statements of attainment and academic transcripts will be kept in the student’s academic file, scanned copies kept in electronic format in the VETTRAK and backed up to tape drive. ALATA will provide returns of its client records of attainment of units of competency and VET qualifications to the National VET Regulator on a regular basis, as determined by the National VET Regulator.

Should the RTO withdraw its registration, it will return its Certificate of Registration to the NVR (ASQA) within 10 working days of the date the withdrawal takes effect and forward requested records of students to NVR also within 10 working days.

## 10. National Recognition

ALATA recognises Qualifications and Statements of Attainment issued by other Registered Training Organisations throughout Australia. The policy on National Recognition clearly states the recognition and application process. Recognition is granted by direct recognition of the competency unit completed at another RTO. The applicant must provide original testamurs for verification prior to acceptance of recognition. ALATA will record this as a credit transfer against the relevant unit(s).

## 11. Re-issuing Qualifications

If the testamur or statement of attainment is misplaced or damaged, the student or prior student may contact ALATA to order a **replacement**.

ALATA **will not** re-issue a testamur or statement of attainment or academic transcript; however, we will issue a **‘Certified Copy’** of the original certification documentation with a statement on the documentation stating: **‘this is a replacement of original document.’**

Students or prior students making requests for replacement certification must provide proof of identity including the student identification number in addition to a current Australian driver’s licence or a current passport. The college manager will then complete a verification check to ensure the person requesting documentation is the person previously enrolled in stated course. The cost for a certified copy of the original award documentation is \$20.00, which is to be paid at time of application for replacement documentation. It may take up to two weeks for the copy award document to be completed.

## 12. Privacy

ALATA will ensure it operates consistently with the *Privacy Act 1988* (Cth) as amended. Principles and only collects the personal information that is necessary for the conduct of its business, and that it will use that information in the manner for which it was intended. Students have access to their records via completion of the Student Records Access form. (**Refer to Privacy Policy**).

## 13. Issuing Testamurs and Statements of Attainment

The College Manager is authorised by the CEO and responsible for the resulting and issuing of testamurs, statements of attainment and records of results, including replacement certification documents and preserving the VETTRAK in current, compliant and operational status. In the absence of

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College Manager, the CEO is the only other person authorised to issue above documentation [unless otherwise delegated by CEO].

The VETtrak – maintains all data, including all relevant student details and a register of Certificate, Diploma, Statements of Attainment issued. The VETTRAK has the ability to generate and provide AVETMISS data if and when required.

The Student Identifier must be verified before we issue an AQF certification documentation to an individual. Where there is no verification of the student identifier there will be no issuance of AQF certification documentation.

#### 14. Issuance Procedure

- a) Trainer/assessor provides assessed student evidence (assessments, coversheets etc...) to RTO Manager at end each working week
- b) Trainer/assessor must ensure this data is compliant
- c) Trainer/assessor provides final assessment evidence including completed training plan to RTO Manager within 1 week of assessment taking place
- d) Training Coordinator completes a quality and compliance check and approves evidence as compliant and ready for data entry to VETTRAK
- e) Evidence that is non-compliant will be handed back to Trainer with the Evidence Quality Check form and noted details as to why evidence is not compliant – trainer has 1 week to re-submit
- f) Evidence outcomes (results) are then provided to data entry person
- g) Evidence outcomes (results) are also provided to finance manager
- h) The Finance officer completes a reconciliation of student’s financial records to ensure all payments have been processed
- i) The Finance Officer provides a formal clearance to CEO
- j) Data entry person enters data updates to the VETTRAK student records system the following week after receiving data
- k) Data entry person generates testamurs and record of results or statements of attainment and record of results via the VETTRAK using 250GMS blank card stock for printing
- l) Data entry person provides printed stock to RTO Manager for verification
- m) RTO Manager verifies that testamurs and record of results or statements of attainment and record of results have correctly identified student
- n) RTO Manager verifies that testamurs have correctly identified qualification
- o) RTO Manager verifies that testamurs and record of results or statements of attainment and record of results have correctly identified units of competency
- p) RTO Manager verifies that testamurs have correctly identified whether foundations skills (previously employability skills) statement is required on qualification
- q) RTO Manager verifies that testamur correctly identifies the AQF qualification that is on scope (refer to register of AQF qualifications we are authorised to issue, which are detailed in the Qualification on Scope Register)
- r) RTO Manager verifies that testamur is clearly for an AQF qualification. AEA

Once the above procedures have been completed, the RTO Manager will provide formal notification to the College Manager stating that compliance checks have been completed and that the award documents are cleared for final processing which includes signing and embossing by the College Manager, the formal notification will include relevant student details.

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The College Manager completes a final check of student records and also cross checking that testamur is clearly for the AQF qualification that is on scope.

If all data is compliant, the College Manager will place the RTO seal onto testamur and / or statement of attainment via embossing machine and then sign and date document. This is to be considered as the date of issue of award or the conferral date

A final closeout check of the student’s admin and academic files is completed by the RTO Manager; a copy of the award documents is placed into the students file and then moved into the secure archive room.

The College Manager arranges for student to pick up award documents or mails via registered mail to student. If the award documents are issued by mail, the envelope is to display the wording: “PLEASE DO NOT BEND, FRAGILE” and a cardboard 300gsm is also placed in envelope.

The testamur or statement of attainment details are recorded in the Certificate Register or Statements of Attainment Register for reporting and audit purposes.

The RTO Manager completes the register updates with the College Manager cross checking and initialing register.

**15. Responsible parties**

The CEO is responsible for the control and issuance of this policy & procedure and ensuring graduates receive the certification documentation to which they are entitled, this may be delegated, as detailed below:

- a) The data entry officer is responsible for maintaining up to date records of enrolment, data entry of results and learners access to their records via approval from RTO Manager.
- b) The College Manager in consultation with the RTO Manager is responsible for overall management and review of the VETTRAK.
- c) The College Manager is responsible for the resulting and issuing of testamurs and statements of attainment, including replacement certification documents and maintaining currency of data in the (VETTRAK) and also in hard format.
- d) The College Manager must not issuing of testamurs and statements of attainment, including replacement certification documents without the final approval of the CEO. This approval will be documented within the VETTRAK.
- e) The RTO Manager will facilitate ongoing Professional Development to staff regarding use of the VETTRAK.
- f) The RTO Manager is responsible for data maintenance and backup
- g) The College Manager is responsible for secure storage of tapes (as per backup procedure) and checking restore functionality of data backup system.

Before a testamur is awarded, the RTO Manager and Training Coordinator must ensure that all units of competency for the qualification have been completed and assessed as competent. The CEO will provide final approval, the approval will be documented within the VETTRAK

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