

RECORDS MANAGEMENT AND CERTIFICATE ISSUANCE POLICY

PURPOSE/SCOPE:

This procedure provides guidance for issuing AQF Qualifications and Statements of Attainment in compliance with the *AQF Qualifications Issuance Policy* and record keeping requirements outlined in the *Standards for Registered Training Organisations (RTOs) 2015* and guidelines produced by ASQA.

DEFINITIONS:

AS: Assessment Services

CT: Credit Transfer

LDC: Learning and Development Coordinator

LDS: Learning and Development Specialist

PDR: Professional Development Record

NRT: Nationally Recognised Training

ROR: Record of Results

RPL: Recognition of Prior Learning

RTO: Registered Training Organisations

aXcelerate: Student Management System

SOA: Statement of Attainment

Standards for RTOs 2015: Standards for Registered Training Organisations (RTOs) 2015

Testamur: the printed Qualification

TAAR: Training and Attendance and Assessment Register

TRACKER: Tracking database for delivery of NRT programs

USI: Unique Student Identifier

REFERENCES:

Fees and charges (as published in current program guide and on aimwa.com website)

[AQF Qualifications Issuance Policy 2013.](#)

[Standards for Registered Training Organisations \(RTOs\) 2015](#)

[Guidelines for Retention of Evidence \(ASQA\)](#)

[Traineeship and other funding contractual obligations](#)

POLICY:

4.1 Participant Records

- 4.1.1 Accurate and up to date records will be kept of client assessment evidence throughout a full or partial qualification journey.
- 4.1.2 Participant records are kept in the participant's aXcelerate folder. Access is restricted to Assessment Services staff and related Assessors.
- 4.1.3 On customised programs a TAAR will be set up using the current template and maintained for the duration of a program. The LDC will set up the TAAR and record attendance details.
- 4.1.4 Funded programs and claims are managed on an excel spreadsheet.

4.2 Statement of Attainment

- 4.2.1 A Statement of Attainment (SOA) documents the units of competency achieved by the participant in partial completion of a qualification or completion of a Skill Set.
- 4.2.2 Participants who have outstanding assessment fees will have their SOA withheld until their debt is cleared. Extenuating circumstances are referred to Accounts Receivable.
- 4.2.3 Participants may apply for a replacement SOA however these requests may incur a fee.
- 4.2.4 All SOA must be issued with the appropriate NRT logo. Electronic copies of SOAs must be secure Pdf'd before being released to the client.
- 4.2.5 Replacement SOAs must state that the document has been re-issued and the date of re-issue.
- 4.2.6 Replacement certification documents attract a re-issue fee.

4.3 Professional Development Records

- 4.3.1 Professional Development Records (PDR) are issued for Open programs and Customised programs at the completion of the training program.
- 4.3.2 All PDRs should be issued on the appropriate AIM WA stationery and must never use the NRT logo..

4.4 Application for Recognition of Prior Learning (RPL)

- 4.4.1 Recognition of Prior Learning (RPL) takes into account previous studies the client may have completed as well as life and work experiences. This allows for fairer access to gaining a nationally recognised Qualification by ensuring they are not required to duplicate learning they have already achieved.
- 4.4.2 While AIM WA provides advice and guidance on a candidate's suitability for RPL, the decision to opt for an assessment only pathway for one or more units of competency, including a whole qualification, is the client's.
- 4.4.3 Applicants for RPL will be supplied with an online RPL kit detailing the evidential requirements.
- 4.4.4 If the skills and knowledge of a client have already been gained through accredited training and assessment for a unit, a process of CT will be applied. AS must be supplied with a certified copy of the Statement of Attainment/Record of Results or Academic Transcript before any relevant competencies are credited. An administrative fee may apply for CT depending on the number of units to be credited.
- 4.4.5 AIM WA is in no way obligated to pursue documentation from another provider. This is the responsibility of the applicant.
- 4.4.6 AS will verify the authenticity of any request for CT prior to issuing any certification documents.

4.5 Issuing Certification Documents

- 4.5.1 Certification documents will be issued upon successful completion of the full assessment requirements and the meeting of any additional contractual requirements that may apply.
- 4.5.2 Before issuing any certification documents, AS must ensure that:
 - 4.5.2.1 All assessment components have been addressed and assessed as satisfactory by the Assessor in aXcelerate
 - 4.5.2.2 All fees have been paid
 - 4.5.2.3 The assessment evidence has been retained in aXcelerate– in line with the guidelines for retention of evidence prepared by ASQA.
 - 4.5.2.4 The client has a verified USI.



- 4.5.3 All certification documents will be processed within 30 days, provided that all the required criteria for issuing certification documentation have been met.
- 4.5.4 All Testamurs and Records of Results must be issued on the appropriate AIM WA stationery or with the appropriate AIM WA branding, ensuring that the NRT logo is present. Electronic copies must be secure Pdf'd before being released to the client.
- 4.5.5 Where a process of credit transfer has applied, the ROR will state the unit has been attained through CT.
- 4.5.6 All SOAs and Testamurs must be issued by AIM WA through the aXcelerate and also registered recorded on the Client Qualification Register. Electronic copies of the records are to be kept in the participant record folder on the secure R Drive.

4.6 Wording on SOA, ROR and Testamurs

- 4.6.1 All Certification documents will comply with the principles, protocols and suggested formats for the issue of qualifications or statements of attainment as outlined in the AQF Qualifications Issuance Policy 2013.
- 4.6.2 The Apprenticeship Office requires that certificates issued under apprenticeship/traineeship arrangements should include the wording 'achieved through apprenticeship, traineeship, cadetship or internship arrangements' as appropriate.

4.7 Participant Debtors

- 4.7.1 Before issuing a SOA or Testamur, Assessment Services must check that the participant is **not** an institute debtor.
- 4.7.2 If the Participant is a debtor, Assessment Services will request that the participant pay for all outstanding fees *before processing* the certification documents.

4.8 Replacement of Certification Documents

- 4.8.1 Participants may apply for a replacement SOA, ROR or Testamur. The replacement documents must state that the document has been re-issued and include the date of re-issue. Re-issuing certification documents attracts an administrative fee.