| Institution | Mercury Institute of Victoria |
|---|---|
| Policy Name | Qualification Issuance and Data Provision Policy and Procedure |
| Policy Governance | Compliance Manager |
| Reference to Standards | Standards for RTO 2015 - Standard 3 Clause 3.1 – 3.4, Clause 3.6 |
| Date of Approval | April 2022 |
| Review Date | April 2023 |

## PURPOSE

The purpose of this procedure is to define the system used to:

- Students receive the certification documentation to which they are entitled

- AQF qualifications are correctly identified in certification documentation

- AQF qualifications are protected against fraudulent issuance

- A clear distinction can be made between AQF qualifications and Non-AQF qualifications

- Certification documentation is used consistently across the education and training sectors

- Students and others are confident that the qualifications they have been awarded are part of Australia's National Qualifications Framework – the AQF

- Ensure the use of logos (NRT and AQF) are used as per the AQF guidelines.

Mercury Institute of Victoria establishes this policy and procedure to:

- Comply with the requirements of Standards for RTO 2015 - Standard 3 Clause 3.1 – 3.4, Clause 3.6

## SCOPE

This policy applies to all staff employed at Mercury Institute of Victoria.

## MONITORING

The Compliance Manager is responsible for monitoring the implementation of this policy. Compliance Manager is also responsible for reviewing the policy as per the changes in the AQF guidelines.

## 1. POLICY

**Testamur**: A testamur is defined by the AQF as 'an official certification document that confirms that a qualification has been awarded to an individual'. 'Testamurs' in this sense refer **only** to official documents that confirm that an AQF qualification has been awarded to an individual.

A student 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.

**Statement of Attainment:**  A statement of attainment should only be issued if a student successfully completes one or more units of competency or modules or an accredited short course but does not meet the requirements for a qualification (as specified in the training package). The statement of attainment will list all of the units of competency or modules achieved. A record of results may also be issued.

The issuance of a statement of attainment recognizes 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.

The statement of attainment must be in a form that ensures it cannot be mistaken for a testamur for a full AQF qualification. It must include the statement 'A statement of attainment is issued when an individual has completed one or more accredited units.'

All students who have completed a program of learning that leads to the award of an AQF qualification are entitled to receive the following certification documentation on award of the qualification:

- a testamur, and
- a record of results.

The testamur or statement of attainment must correctly identify the person entitled to receive the qualifications, the accredited units by their full title and the date issued.

If any part of the qualification has been delivered and/or assessed in a language other than English, a statement that this has occurred will be included on the testamur, the record of results or the graduation statement. This does not preclude the use of languages other than English for the delivery and/or assessment of a program of learning leading to a qualification provided that the level of English language proficiency is appropriate for the intended use of the qualification.

The testamur or statement of attainment for all AQF qualifications issued will identify the qualification as an AQF qualification either by the words 'The qualification is recognised within the Australian Qualifications Framework' or the use of any AQF logo authorised by the AQF Council.

(Please refer the *AQF-NRT Logo use Policy and Procedure* for more details)

The AQF logo or these words must not be used on certification documentation for non-AQF qualifications.

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

- issuing organisation

- student's name who is entitled to receive the AQF qualification

- awarded AQF qualification by its full title

- date of issue/award/conferral

- person(s) in the organisation authorised to issue the documentation, and

- authenticity of the document, in a form to reduce fraud such as the issuing organisation's seal, corporate identifier or unique watermark.

Please refer the AQF Factsheet for issuing qualifications for template
https://www.asqa.gov.au/sites/default/files/2020-05/Fact%20sheet%20-%20Sample%20forms%20of%20AQF%20certification%20documentation.pdf

Only the Chief Executive Officer (CEO) is authorized to sign the qualification.

Mercury Institute of Victoria shall issue the qualifications to the students within 30 days of student's course completion or cancelation of their course (if applicable, statement of attainment will be issued).

Mercury Institute of Victoria shall not issue any qualifications (Certificates, Record of Results and Statement of Attainment) without a valid and verified Student's Unique Student Identifier (USI).

Certificates are printed and verified for accuracy. *Qualification Issuance Checklist* must be followed for each student prior to handing-over the qualification to the students.

Record Keeping

A *Qualification Register* is maintained for all the qualifications issued to the students.

Replacement of Qualification

The student may request the replacement of qualifications by filling the '*Replacement Certificate Request Form'* Administration Officer can authorize the issue of replacement qualifications document. The replaced document must clearly identify itself as a replacement copy and not the original issued.

Fee and charges

The qualifications (testamur, record of results, statement of attainment) shall be issued free of charge to the students.

The re-issue of the qualifications (testamur, record of results, and statement of attainment) will be charged at AUD 50.00 per request.

Unique Student Identifier

Unique student identifier must not be printed on any documentation, which includes testamurs, statement of attainment, and record of results.

Data and Reporting of Quality Indicators (QIs)

The Data Provision Requirements 2012 requires all registered training organisations (RTOs) registered with ASQA to provide an annual summary report of their performance against the learner engagement and employer satisfaction quality indicators to ASQA.

Mercury Institute of Victoria will use the Learner Questionnaire and the Employer Questionnaire to collect the data for the learner engagement and employer satisfaction quality indicators.

Mercury Institute of Victoria will use the following systems to report the learner engagement and employer satisfaction quality indicators to ASQA:

- ASQA's Quality indicator annual summary report template (DOC)

Mercury Institute of Victoria will compile and report its learner engagement and employer satisfaction QI survey response rates, survey information feedback and improvement actions

for reporting.

Mercury Institute of Victoria will submit its quality indicator data reports (previous year) in full to qidata@asqa.gov.au   latest by close of business on 30 June any given year. We require Quality Indicator data for the previous calendar year (1 January to 31 December).

## 2. PROCEDURE

Inclusions on certification documents

| Procedure | Responsibility |
|---|---|
| A.   Testamur<br>• The following information must be included on a Testamur:<br>  – The student's full name<br>  – The code and title of the awarded AQF qualification<br>  – The units and/or modules achieved by their full title and national code<br>  – The name, National RTO Code and logo of Mercury Institute of Victoria<br>  – Either the words 'This qualification is recognised within the Australian Qualifications Framework' or inclusion of the AQF logo authorised by the AQF council.<br>  – Date of issue or award<br>  – The authorised signatory of the RTO and their name<br>  – The NRT logo in accordance with its conditions of use outlined in Schedule 4 of the Standards<br>  – The RTO's seal, corporate identifier or unique watermark<br>• A certificate or testamur number will also be included.<br>• The following information must be included as applicable:<br>  – The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities. e.g. User Choice contracts)<br>  – The industry descriptor, e.g. Engineering<br>  – The occupational or functional stream, in brackets. E.g. (Fabrication)<br>  – Where relevant, the words 'achieved through Australian Apprenticeship arrangements', and<br>  – Where relevant the words 'these units/modules have been delivered and assessed in (insert language)', followed by a listing of the relevant units/modules. | Compliance Manager |

| Procedure | Responsibility |
|---|---|
| • The student's Unique Student Identifier (USI) <u>must not</u> be included on the testamur. | |
| **B. Statement of Attainment**<br><br>• The following information <u>must</u> be included on a Statement of Attainment:<br>  – The student's full name<br>  – The units and/or modules achieved by their full title and national code<br>  – The name, National RTO Code and logo of Mercury Institute of Victoria<br>  – The date the statement is issued<br>  – The words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'<br>  – The authorised signatory of the RTO<br>  – The NRT logo in accordance with its conditions of use outlined in Schedule 4 of the Standards<br>  – The RTO's seal, corporate identifier or unique watermark<br>• A statement number will also be included.<br>• The following information must be included as applicable:<br>  – The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities)<br>  – The words 'These competencies form part of [code and title of qualification(s)/course(s)]'<br>  – The words, 'These competencies were attained in completion of [code] course in [full title]'<br>  – Where the units have been delivered and/or assessed in a language other than English, the words 'these units/modules have been delivered and assessed in (insert language)', followed by a listing of the relevant units/modules.<br>• The student's Unique Student Identifier (USI) <u>must not</u> be included on the Statement of Attainment. | Compliance Manager |
| **C. Record of results**<br><br>• The following information should be included on a Record of Results:<br>  – The student's full name<br>  – The units and/or modules achieved by their full title, national code and the relevant results | Compliance Manager |

| Procedure | Responsibility |
|---|---|
|   −  The name, National RTO Code and logo of Mercury Institute of Victoria<br><br>  −  The date the record of results is printed<br><br>  −  The RTO's seal, corporate identifier or unique watermark to ensure the document is able to be authenticated and to reduce fraudulent use<br><br>•  The following information <u>should not</u> be included on a Record of Results:<br><br>  −  The student's Unique Student Identifier (USI)<br><br>  −  The AQF logo or reference to the AQF<br><br>  −  The NRT logo | |

### Issuing Testamurs and Records of Results

| Procedure | Responsibility |
|---|---|
| **D.  Check eligibility**<br><br>•  Once a student has completed all the units or modules in a qualification they are eligible to have their qualification issued. Students who have completed a qualification and have paid all fees must have their qualification issued within 30 calendar days of completing the requirements of the qualification.<br><br>•  Use the *Qualification Issuance Checklist* to check a student's eligibility for a qualification to be issued.<br><br>•  Ensure Mercury Institute of Victoria has a verified student identifier for the student.<br><br>•  Where a student has completed the requirements of a qualification but have not paid all their fees, they are to be followed up about fee payment in order that their qualification can be issued. In this case, the qualification should be issued within 30 calendar days of receiving the final payment.<br><br>•  A Testamur will be accompanied by a record of results. | Compliance Manager |
| **E.  Award the qualification**<br><br>•  Record the award of the qualification on student management system<br><br>•  The date of award should be the date on which the award is generated/issued. | Compliance Manager |
| **F.  Print testamur and record of results**<br><br>•  Use the approved template to print the testamur.<br><br>•  Use the approved template to print the Record of Results.<br><br>•  Ensure the details printed on the Testamur and Record of Results are accurate and record this on the *Qualification Issuance Checklist.*<br><br>•  Have the authorised person sign the testamur. | Compliance Manager |

| Procedure | Responsibility |
|---|---|
| • Keep a copy of the testamur and record of results on the student's file. | |

### Issuing Statements of Attainment

| Procedure | Responsibility |
|---|---|
| **G. Check eligibility**<br><br>• A student who has partially completed a qualification, or has completed a single unit, skill set or some VET Accredited Courses that commence with the words 'Course in…', are to be issued with a Statement of Attainment. This includes a student who withdraws from a Course and has completed some units or modules.<br><br>• A Statement of Attainment should only be issued if all fees due have been paid.<br><br>• Use the *Qualification Issuance Checklist* to check a student's eligibility for a qualification to be issued.<br><br>• Ensure Mercury Institute of Victoria has a verified USI number for the student.<br><br>• Where a student is eligible for a Statement of Attainment but has not paid all fees due, they are to be followed up about fee payment in order that their Statement of Attainment can be issued. In this case, the Statement of Attainment should be issued within 30 calendar days of receiving the final payment.<br><br>• A Statement of Attainment does not need to be accompanied by a Record of Results unless specifically requested. | Compliance Manager |
| **H. Record the Statement of Attainment**<br><br>• Record the issuing of the Statement of Attainment on student management system | Compliance Manager |
| **I. Print Statement of Attainment**<br><br>• Use the approved template to print the Statement of Attainment.<br><br>• If applicable, use the approved template to print the Record of Results.<br><br>• Ensure the details printed on the Statement of Attainment are accurate and record this on the *Qualification Issuance Checklist.*<br><br>• Have the authorised person sign the Statement of Attainment.<br><br>• Keep a copy of the Statement on the student's file. | Compliance Manager |

### Reissuing certification documents

| Procedure | Responsibility |
|---|---|
| **J. Reissuance** | Compliance Manager |

| Procedure | Responsibility |
|---|---|
| <ul><li>Upon request for re-issuing of a qualification testamur, record of results or statement of attainment, find the details of the original document issued.</li><li>A fee for re-issuing may be applicable – refer to current Fees, Charges and Refund Policy.</li><li>Ensure the document is printed with the same details as the original document. If a printing date is included, this is the only detail that may be different.</li><li>The replaced document must clearly identify itself as a replacement copy and not the original issued.</li><li>Keep a copy of the re-issued document on the student's file.</li></ul> | |