

# Issuance of AQF Certification Document Policy

## Master Builders Association of Victoria

### 1. Purpose

This policy describes the processes by which Master Builders Association of Victoria RTO (hereinafter called “Master Builders”) records and issues testamurs and statements of attainment to students who have met the requirements for a qualification that is listed on Master Builders scope of registration. This policy is in accordance with the requirements of the VET Quality Framework for National VET Regulator (NVR) Registered Training Organisations and the guidelines outlined in the Australian Qualifications Framework (AQF) Second Edition January 2013 and the Standards for RTOs 2015.

### 2. Scope

This policy applies to Master Builders and its students addressing the program requirements for the issuance of AQF Certification Documentation i.e. Testamur, a Statement of Attainment (SoA) or Record of Results (RoR). The policy does not apply to non-AQF qualifications.

### 3. Definitions

A **Testamur** is the official document that confirms that a qualification has been awarded. This may also be referred to as a ‘Certificate’ or ‘Award’.

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.

A **Statement of Attainment (SoA)** is issued when one or more units of competency from nationally recognised qualification/s or accredited short course/s have been achieved. The SoA is issued for partial completion of a course.

A **Record of Results (RoR)** is an official document which states the course, lists the unit of competencies and results and the completion date. This may also be referred to as a “Transcript of Results”.

A **Statement of Attendance** is issued for non-accredited courses which state the name of the course and the attendance record of the student in that course.

**NVR** is an acronym for the National VET Regulator. This may also be referred to as ASQA or Australian Skills Quality Authority.

A **Credit Transfer** is used 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new training package or accredited course is published on the national register and a currently enrolled student in the superseded course has requested or been asked to transition to new course.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 are mapped to the new course, a renewed enrolment agreement is completed and student receives Credit Transfer (CT) for those units completed in superseded course. A Credit Transfer is also used in the case of National Recognition.

A **Student Management System (SMS)** 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 Testamurs, SoAs and RoRs. Master Builders uses VETtrak as its SMS.

## 4. Policy statement

Master Builders shall ensure that:

- a) graduates receive the certification documentation to which they are entitled;
- b) AQF qualifications are correctly identified in certification documentation;
- c) AQF qualifications are protected against fraudulent issuance and
- d) a clear distinction is be made between AQF qualifications and non-AQF qualifications.

## 5. Policy principles

- a) Master Builders issues AQF certification documentation only to a student who it has assessed as meeting the requirements of the training product as specified in the relevant training package.
- b) Master Builders will meet the requirements of *Standards for RTOs 2015 – Standard 3 (including Schedule 4 & 5) and the AQF Qualifications Issuance Policy*.
- c) Master Builders will ensure that it will not issue AQF certification documentation to a student without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the *Student Identifiers Act 2014*.
- d) AQF certification documentation is issued to the student within 30 calendar days of the student being assessed as meeting the requirements of the training product if the training program in which the student is enrolled is complete, and providing all agreed fees the student owes Master Builders have been paid and on the proviso that the student has a valid USI provided to Master Builders.

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- e) Records of the student's AQF certification documentation are maintained and retained for a period of 30 years in the SMS. Reports of Record of qualifications will be provided to ASQA on a regular basis as determined by ASQA.
- f) Master Builders accepts and provides credit to learners for units of competency and/or modules where it is evidenced by AQF certification documentation.
- g) All students who complete a program of learning that leads to the award of an AQF qualification receive a Testamur and a RoR.
- h) All students who have not completed the full AQF qualification receive a SoA.
- i) If a student has outstanding fees, the student is notified. The student must pay any outstanding fees before a testamur, record of results or a SoA is issued (this information is provided to students at induction, to avoid any misunderstanding).
- j) Master Builders will not include the Student's *Student Identifier* on the testamur or SoA consistent with the *Student Identifiers Act 2014*.

## 5.1. Issuance

Sufficient information is provided on a Testamur, SoA and RoR 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 SoA we have used the specifications as cited in the Standards for RTOs 2015 and the AQF Qualifications Issuance Policy. Master Builders reviewed the NRT logo specifications<sup>i</sup> and sample forms of testamurs and statements of attainment for nationally recognized VET qualifications<sup>ii</sup>.

### i. Protocols for defining a testamur

- a) The testamur for all AQF qualifications issued identifies 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.
- b) Before a Testamur is awarded, the Head of Training (or designated training staff) must ensure that all units of competency for the qualification have been completed and assessed as competent.
- c) The Testamur will contain the following information:
  - Master Builder's legal name, RTO code and logo;
  - Full Name of the student who is entitled to receive the AQF qualification
  - the code and full title of the awarded AQF qualification;

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- the NRT logo in accordance with the current conditions of use;
  - date of issue/award/conferral;
  - a unique document number;
  - the name of the Head of Training who is authorised to issue the documentation, and
  - Master Builders' seal.
  - the wordings, 'The qualification is recognised within the Australian Qualifications Framework' or use of any AQF logo authorised by the AQF Council.
- d) A RoR is issued together with the Testamur.
- e) A RoR will contain the following information:
- Master Builder's legal name, RTO code and logo;
  - Full Name of the student who is entitled to receive the AQF qualification
  - the code and full title of the awarded AQF qualification;
  - Enrolment Semester or Year, Units (with unit codes and titles) that have been delivered and the graduate has been assessed in and result of assessment against each unit
  - a legend for any abbreviations used to define assessment outcomes
  - date of issue/award/conferral,
  - a unique document number;
  - the name of the Head of Training who is authorised to issue the documentation

### ii. **Protocols for defining a statement of attainment**

- a) SoA do not include the Australian Qualifications Framework (AQF) words or logo.
- b) SoA do not include a state or territory registering body logo on statements of attainment, unless directed by state or territory body.
- c) Master Builders uses the NRT logo in accordance with current conditions of use and maintains a copy of NRT logo specifications on file.
- d) The SoA will include the following information:
- Master Builder's legal name, RTO code and logo;
  - Full Name of the student who has completed one or more accredited units
  - a list of units of competency showing their full title and the national code for each unit of competency;
  - date of issue/award/conferral

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- a unique document number;
- the authorised signatory;
- the NRT logo;
- Master Builders' seal;
- the words "A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units", and
- The words "These competencies form part of [code and title of qualification]" will be included on the SoA (as applicable).

This policy document is made available to students and staff as a reference to the Student Handbook.

### iii. Issuance timelines

Master Builders Management shall ensure that a Testamur, Statement of Attainment, Statement of Attendance and Record of Result is issued in a timely manner.

**A Qualification Testamur** will be issued within 30 days of when the student submits their final assessments subject to the determination of a student's eligibility for that Qualification (i.e. all units of competence deemed as 'competent' by the assessor/s) and all fees have been paid.

**Statement of Attainment** will be issued within 30 days upon:

- receipt of notification of a withdrawal from a course to identify the attainment of any unit(s) of competency;
- completion of any identified skill set that meets a licence or regulatory requirement;
- completion of any identified skill set that meets a defined industry need.

Statement of attainment will not be issued in any other circumstances unless specifically approved by the Head of Training.

**Record of Result** will be issued at the same time as the Qualification Testamur.

**Statement of Attendance** within the same day of the training course or within a week depending on the course.

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## Issuance of AQF documentation table

Enrolled	Completion Result	AQF Certification Documentation
Full Qualification	Completed all units of competency with a “Competent” result	A Testamur is awarded with a Record of Results
	Did not complete all units of competency in the full qualification.	A Statement of Attainment for Units with a “Competent” result and a Record of Results to show all Unit of Competency results including “Not Yet Competent”.
Cluster in an accredited course	Completed all units of competency for the full cluster with a “Competent”	A Statement of Attainment is awarded with a list of unit of competency achieved.
	Did not complete all units of competency for the full cluster	A Statement of Attainment is issued with a list of unit of competencies that are marked as Competent. A Record of Results that also shows the units of competency that are marked as “Not Yet Competent”.

### iv. Issuance procedure

- a) Trainer/assessor provides assessed student evidence (assessments, coversheets feedback) to Assessment Administrator within two weeks of receiving assessment.
- b) The student must be marked as Competent, Recognition of Prior Learning (RPL) or Previously Assessed for every unit of the module or qualification.
- c) Assessment Administrator completes a quality and compliance check and approves evidence as compliant and ready for data entry to SMS.
- d) Evidence that is non compliant is handed back to Trainer with noted details as to why evidence is not compliant.
- e) Assessment Administrator completes a reconciliation of student’s financial records to ensure all payments have been processed.
- f) Assessment Administrator enters data updates to the SMS student records system.

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- g) Assessment Administrator generates testamurs and record of results or statements of attainment or statement of attendance via the SMS using 120GMS blank card stock for printing.
- h) Assessment Administrator provides printed stock to Head of Training for verification.
- i) Head of Training verifies that testamurs and record of results or statements of attainment and have correctly identified student.
- j) Head of Training verifies that testamurs have correctly identified qualification.
- k) Head of Training verifies that testamurs and record of results or statements of attainment and record of results have correctly identified units of competency.
- l) Head of Training verifies that testamurs have correctly identified whether employability skills statement is required on qualification.
- m) Head of Training verifies that testamur correctly identifies the AQF qualification that is on scope (refer to register of AQF qualifications Master Builders RTO is authorised to issue, which are detailed in the Qualification on Scope Register).
- n) Head of Training verifies that testamur is clearly for an AQF qualification.
- o) Head of Training authorises the placement of the seal onto testamur/SOA, and signs and dates the document.
- p) Assessment Administrator arranges for student to pick up award documents or mails to student. If the award documents are issued by mail, the certificate is placed in a hard plastic folder (which keeps the certificate from being bent or creased) and is placed in envelope.
- q) If a student declares that they have not received their testamur, and want another one sent out, they will need to send in a Statutory Declaration affirming it did not arrive. The Standard Victorian Government Statutory Declaration can be accessed from <http://www.justice.vic.gov.au/home/justice+system/legal+assistance/statutory+declarations/statutory+declaration+form>

### **v. Reissuance of testamurs and statement of attainment**

All replacement or re-issued testamurs will be issued in the approved format which is in effect at the time of the application/re-issue. A “re-issued date” is to be printed on the bottom of the replacement testamur indicating that the testamur has been replaced or re-issued on a particular date.

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## 5.2. Record keeping

Master Builders SMS maintains all records of training and assessment; and has the capacity to provide the NVR with AVETMISS compliant data. It is also used to generate certification documents.

Master Builders provides summaries 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 Master Builders 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.

## 5.3. National recognition

Master Builders 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. Master Builders RTO records this as a credit transfer against the relevant unit(s). (*Refer to the National Recognition and Credit Transfer Policy*)

## 5.4. Privacy

Master Builders RTO ensures that it operates consistently with the Australian Privacy Principles and only collects the personal information that is necessary for the conduct of its business, and that it uses that information in the manner for which it was intended. Students have access to their records by contacting Master Builders Training Department. (*Refer to Privacy Policy*).

## 5.5. 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 the course.
- b) All statements of attainment have an 8 digit ID number which is unique to the student who completed unit(s) of competency.
- c) Card stock used for testamurs is made from 128 GSM.
- d) Card stock used for statements of attainment is made from 128 GSM.

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- e) Master Builders RTO has an embossing machine which includes Master Builders RTO logo in centre and displays Master Builders RTO name on the perimeter the text.
- f) The embosser is used to press a watermark seal onto the testamur and statement of attainment.
- g) The embosser is locked in the Assessment Administrators cupboard inside a locked cupboard; the only staff with access to the cupboard is the Head of Training and the Assessment Administrator.
- h) The student's record of results is attached to the testamur.
- i) The SMS has built in templates of testamurs and statements of attainment, which have been updated based on *Standard 3* outlined in the *Standards for RTOs 2015*.
- j) To ensure templates remain compliant and current, only approved staff have the access to make changes or additions.
- k) Client record files, both academic and administrative, are locked in a filing cabinet and stored electronically and are securely destroyed as per Student Record Management Policy.
- l) Electronic copies of student data are maintained in Master Builders RTO Student Management System (SMS) as per Student Records Management Policy.

### 5.6. Re-issuing qualification testamur, statement of attainment or statement of attendance

If the Qualification, Testamur or Statement of Attainment is misplaced or damaged, the student or prior student may contact Master Builders RTO to order a *replacement*. To do this, students are required to complete a *Qualification, Statement of Attainment or Student Records Replacement Form* which can be downloaded from the Master Builders website <http://www.mbavtraining.com.au/forms/> or requested from the Training Department.

The completed form should be returned to:

**Head of Training**

**332 Albert Street, East Melbourne, Vic 3002**

**Fax: (03) 9415 7084; or Email: [training@mbav.com.au](mailto:training@mbav.com.au)**

Within 14 days of the receipt of the student's request, Master Builders will arrange for the student's records to be made available to the student. Students are required to supply sufficient photo identification (for e.g. driver's licence, passport – see the list on the form) to confirm their identity prior to provision of their records.

The cost for a replacement copy of the documentation is \$50.00, which is to be paid at time of application for replacement documentation. The copy document is supplied to the student within two weeks of request.

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## 6. Person(s) responsible

The Head of Training 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:

- Training Assessment Administrator is responsible for maintaining up to date records of enrolment, data entry of results and learners access to their records via approval from Head of Training;
- The Head of Training is responsible for overall management and review of the SMS;
- The Head of Training is responsible for issuing of testamurs and statements of attainment, including replacement certification documents and maintaining currency of data in the Student Management System (SMS);
- The Head of Training facilitates ongoing Professional Development to staff regarding use of the SMS and
- The Head of Training is responsible for data maintenance and backup.

## 7. Associated documents

- VQF Quality Management System
- Code of Practice
- Privacy Policy
- National Recognition and Credit Transfer Policy
- Qualification on Scope Register
- Statement of Attainment Template
- Qualification Template

**Policy developed by:** Head of Training and Compliance Coordinator

**Refer to:** Standard 3 of the Standards for RTOs 2015

**Approved by:** Corrie Williams, Head of Training  
Viviana Hood, General Manager – Commercial Operations

**Policy endorsed by:** Radley De Silva, Chief Executive Officer

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## Issuance of AQF Certification Document Policy

Version Control	Date Released	Approved by	Amendment	Next Review Date
V1.0				
V2.0	10 Feb 2014	Julie-Anne Sheppard, Manager – Training Viviana Hood, General Manager – Commercial Services		Feb 2015
20150119	23 Mar 2015	Corrie Williams, Manager, Training Viviana Hood, General Manager – Commercial Services	Policy developed to meet the Standards for RTO 2015.	Jun 2016
V3.0	14 Sep 2016	Corrie Williams, Head of Training Viviana Hood, General Manager – Commercial Operations	Formatting adjusted to reflect standard template for policies. Rearrangement and editing of text for clarification and ease of flow.	Jun 2017
V4.0	2/01/2018	Corrie Williams, Head of Training Viviana Hood, General Manager – Commercial Operations	Changed made to align with ASQA standards – issuance of AQF certification documentation	Dec 2018

<sup>i</sup> <https://www.asqa.gov.au/standards/appendices2/appendix-2>

<sup>ii</sup> <https://www.asqa.gov.au/news-publications/publications/fact-sheets/sample-aqf-documentation>

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