



# OCA Certificate Issuance Policy

This policy document was created to meet the requirements of the VET Quality Framework.

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Reference to SNR / SRTTO's:	Standards for RTOs 2015 Clauses 3.1 – 3.4 Provide secure certification. Clause 3.6 Participate in the Student Identifier scheme		Version	1
Review Date:				
Related Documents:	<ul style="list-style-type: none"><li>• 2.2.1 OCA Fee Administration and Refund Policy Procedure v.1.0</li><li>• 4.3.1 Training and Assessment Policy Procedure v.1.1.</li><li>• 5.1.1a Certificate (Testamur) CUA5018 Template</li><li>• 5.1.1b Certificate (Testamur) CUA40915 Template</li><li>• 5.1.2a Record of Results CUA50815 Template v1.0.docx</li><li>• 5.1.2b Record of Results CUA40915 Template</li><li>• 5.1.3 Statement of Attainment (SOA) Template v1.0</li></ul>			

Version Control Table			
Date	Summary of Modifications	Modified By	Version
11/12/2019	<ul style="list-style-type: none"><li>• Reviewed for compliance</li><li>• Included Procedure documentation</li></ul>	Dianne Ramage	V1.0
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## Table of Contents

PURPOSE	2
SCOPE	2
POLICY PRINCIPLES	2
Issuing Certification Policy	2
Verified Unique Student Identifier (USI)	3
Issuing Qualifications / Testamurs	3
Issuing Statement of Attainment	4
Maintaining records of Qualifications and Statements of Attainment	4
Use of Logos	4
Replacement of Certification Documentation	4
MONITORING AND IMPROVEMENT	4
PROCEDURE – Certificate Issuance	5
Annex A	7
Schedule 5 – Application of the AQF Qualifications Issuance Policy within the VET Sector:	7



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## PURPOSE

This policy provides the framework and general principles for issuing certification documentation in **OCA**.

**OCA** issues and maintains AQF certification documentation and provides access to those documents to students under Standard 3 of SRTOs 2015.

This policy outlines **OCA's** policy principles and procedure when issuing only AQF qualifications and statements of attainment that meet the requirements of the AQF Implementation Handbook, and nationally recognised training on the scope of registration.

## SCOPE

**OCA** issues AQF qualifications and statements of attainment according to the requirements of the Standards for Registered Training Organisations (SRTOs 2015).

As such, **OCA** ensures that:

1. All AQF qualifications and statements of attainment issued by the RTO are within its scope of registration and certify the achievement of qualifications or units of competency from nationally endorsed training packages.
2. **OCA** makes a clear distinction between AQF certification documents and non-AQF certification issued.

## POLICY PRINCIPLES

### Issuing Certification Policy

**OCA** issues certification according to Schedules 4 and 5 of the SRTOs 2015.

- **OCA** only issues qualifications and statements of attainment to students who meet the required outcomes of a qualification, or unit of competency or module, as specified in the relevant training package.
- **OCA** will ensure the security of student identifiers and all related documentation under its control, including information stored in its student management systems. **OCA** must not use the Unique Student Identifier (USI) on the testamur, consistent with the Student Identifier Act 2014.
- **OCA** will use the NRT Logo to depict all AQF certification documentation issued by the RTO. **OCA** will not use the NRT Logo to depict other testamurs or transcripts of results.

**OCA** will use the Student Management System:

1. maintain a register of all AQF qualifications issued;
2. retain records of all AQF certification documentation for 30 years; and
3. provides a report of records of qualifications issued to the VET Regulator regularly as requested by the VET regulator.

**OCA** issues AQF certification documentation to students within 30 calendar days of the successful final assessment:

1. if the student satisfactorily completes all units of competency in the training program the student is enrolled in;



# OCA Certificate Issuance Policy

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2. providing all agreed fees, the student owes to **OCA** have been paid.

**OCA** issues AQF certification documentation once the student settles all their obligations, such as outstanding fees. However, **OCA** will report completion status and qualification issuance within 30 days from the date the student is deemed competent.

**OCA** will not issue AQF certification documentation to the student without receipt of the verified Unique Student Identifier (USI), unless an exemption applies, as per the requirements of the Student Identifier Act 2014.

If the student is except for the USI, **OCA** informs the student before commencement of training and assessment, the results of the training will not be accessible through the Commonwealth and will not appear on any authenticated VET transcript prepared by the Registrar.

## Verified Unique Student Identifier (USI)

**OCA** requires all VET students to supply a USI verified by the Commonwealth Registrar, before issuing any certification documentation. Only official USI identifiers are used, for example, <https://portal.usi.gov.au/org/>.

- Exemptions to the USI requirements may apply, including for international students studying offshore and outside of Australia.
- Any student who requests an exemption from the USI is notified that any completion results and records will not be available through the Commonwealth Registrar.
- Student's USIs are subject to privacy requirements.

## Issuing Qualifications / Testamurs

All students who complete a training program which leads to the award of a full AQF qualification will receive:

- a testamur; and
- a record of results.

Each AQF qualification issued will comply with the 'AQF Qualifications Issuance Policy', and the 'Standards for RTOs 2015' - Schedule 5, and will include:

1. **OCA** name and logo;
2. **OCA** national provider number (RTO Code: TBA);
3. the full name of the individual receiving the award;
4. the full title and national code of the unit/s of competencies or AQF qualification awarded;
5. a certificate number;
6. the date of issue;
7. the signature of an authorised person;
8. the relevant national logos (per the Standards for RTOs – Schedule 4);
9. authentication mark (**OCA** Document Number);

All testamurs will identify the qualification as an AQF qualification either:



# OCA Certificate Issuance Policy

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10. use the AQF logo authorised by the AQF Council.

## Issuing Statement of Attainment

Students who complete a unit/s of competence will receive a Statement of Attainment. Each statement of attainment issued will comply with the 'AQF Qualifications Issuance Policy', 'Standards for RTOs 2015' - Schedule 5, and will include:

1. **OCA** name and logo;
2. **OCA** national provider number (RTO Code: TBA);
3. the full name of the individual receiving the award;
4. the full title and national code of the unit/s of competency awarded;
5. all the elements required under the specific training package;
6. a certificate number;
7. the date of issue;
8. the signature of an authorised person;
9. the relevant national logos (per the Standards for RTOs – Schedule 4);
10. authentication mark (**OCA** Document Number)
11. the words, 'A statement of attainment is issued when an individual has completed one or more accredited units';
12. where relevant, the words, 'These competencies form part of [code and title of qualification]';

## Maintaining records of Qualifications and Statements of Attainment

OCA will retain sufficient data to reissue a qualification or statement of attainment during a 30-year period, regardless of the storage method in use. If the OCA ceases to operate as an RTO, the CEO will provide the information to ASQA in digital form.

## Use of Logos

**OCA** abides by 'Conditions of Use of NRT Logo' as prescribed in Schedule 4 of STROs 2015.

- **OCA** uses the AQF logo on all AQF documentation issued.
- **OCA** will not use the AQF logo on non-nationally recognised training certification issued.

## Replacement of Certification Documentation

OCA will reissue AQF certification documents to a student, upon written request. Replacement certification documentation will incur a fee of \$50.

## MONITORING AND IMPROVEMENT

The Administrative Team and the CEO monitor all practices for issuing certification documentation by **OCA**. Lodge areas for improvement identified in the Continuous Improvement Register reviewed and action.



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## PROCEDURE – Certificate Issuance

<b>PURPOSE</b>		<p>This process serves as the guide and reference document for the issuance of certification documentation of <b>OCA</b>.</p> <p>The Admin Coordinator may make changes to this procedure in consultation with the CEO.</p>
<b>ROLE UNDERTAKING TASK</b>		Admin Team
<b>Step 1 – Record Final Assessment</b>		
<b>No.</b>	<b>Who</b>	<b>Actions</b>
1.1	<b>TRAINER AND ASSESSOR</b>	<ol style="list-style-type: none"><li>1. Tracks completion of units in the qualification by the student.</li><li>2. Update unit results in SMS Trainer Portal.</li><li>3. Send the final assessment results to the student (via Trainer Portal).</li></ol>
1.2	<b>ADMIN STAFF</b>	<ol style="list-style-type: none"><li>1. Assessment results are automatically updated in SMS. If not, update the unit results in SMS manually.</li><li>2. Update the RPL/ Credit Transfer results for relevant unit results in SMS.</li><li>3. Update the student record with the descriptions of units completed.</li><li>4. Run the SMS completion report weekly to check for completions.</li></ol>
<b>Step 2 – Checking of Packaging Rules and other student requirements</b>		
<b>No.</b>	<b>Who</b>	<b>Actions</b>
2.1	<b>ADMIN STAFF</b>	<ol style="list-style-type: none"><li>1. Conduct a final check of all completed units to see if they align with relevant TAS.</li><li>2. Notify the trainer/assessor if the units do not align with the packaging rules in the relevant to request the student complete relevant units.</li></ol>
2.2	<b>TRAINER AND ASSESSOR</b>	<ol style="list-style-type: none"><li>1. Assess required units as per the packaging rules (if applicable).</li><li>2. Update unit in Trainer Portal.</li><li>3. Send back assessment results to <b>ADMIN STAFF</b>.</li></ol>
2.3	<b>Student</b>	<ol style="list-style-type: none"><li>1. Completes workplace requirement (if applicable).</li><li>2. Submit all paperwork requirement.</li></ol>
2.4	<b>ADMIN STAFF</b>	<ol style="list-style-type: none"><li>1. Verify results by repeating step 2.1.</li><li>2. If all requirements are complete and the units align, proceed to Step 3.</li></ol>
<b>Step 3 – Verification of USI and Outstanding Payment Check</b>		
<b>No.</b>	<b>Who</b>	<b>Actions</b>



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3.1	ADMIN STAFF	<ol style="list-style-type: none"><li>1. Completion automatically updates in SMS. If it is not, update the enrolment status manually by setting the relevant student to “complete” when recording the award/completion.</li><li>2. For students who are eligible for the issuance of certification documentation, verify USI and check all outstanding fees are paid in full.</li><li>3. Collect student’s photo ID and confirm the existing postal address on the student record/ to post the certification.</li><li>4. For students with outstanding invoices:<ol style="list-style-type: none"><li>a. <i>Send email to the student requesting full payment, advising certification documentation cannot be supplied when payment of invoices is outstanding.</i></li></ol></li><li>5. Check regularly for payment.</li></ol>
Step 4 – Add Award and Generate Certificate		
No.	Who	Actions
4.1	ADMIN STAFF	<ol style="list-style-type: none"><li>1. Enter details of the award in the SMS.<ol style="list-style-type: none"><li>a. Record the date of completion.</li><li>b. Record the date when the status was changed.</li></ol></li><li>2. Check the unit end dates align with the actual course end date.</li><li>3. Adjust the award type based on the certification documentation to be issued.</li><li>4. Check all necessary details before printing the certificate:<ul style="list-style-type: none"><li>○ Name</li><li>○ Dates / Completion Dates</li><li>○ Unit Code</li><li>○ Result Type</li></ul></li></ol>
4.2		<ol style="list-style-type: none"><li>1. Update the student status to inactive.</li><li>2. Generate Award for the student.</li><li>3. Print the certificate and check for certification compliance.</li><li>4. Revise as required. If no revisions are needed, prepare the certificate to be sent to the student.</li><li>5. Provide Certification to the student within 30days from student completion via post.</li><li>6. Once the certificate is sent out, update student record in SMS.</li><li>7. Tick “Parchment issued to the student”.</li></ol>



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## Annex A

Schedule 5 – Application of the AQF Qualifications Issuance Policy within the VET Sector:

- <https://www.asqa.gov.au/standards/appendices/appendix-2>



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