

RTO009 Policy Issuing, Maintaining and Acceptance of AQF Certification and Providing Access to Records

1. Purpose

This policy is to ensure that Health Information Management Association of Australia Limited (HIMAA) issues, maintains and accepts AQF certification documentation, including Statements of Attainment, in accordance with the Standards and provides access to learner's records.

2. Scope

This policy applies to Education Services Staff and Quality and Compliance Officer.

3. Standard 3 Clauses 3.1 -3.5

3. The RTO issues, maintains and accepts AQF certification documentation in accordance with these standards and provides access to learner records.

To be compliant with Standard 3 the RTO must meet the following:

3.1 The RTO issues AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course.

3.2 All AQF certification documentation issued by an RTO meets the requirements of Schedule 5.

3.3 AQF certification documentation is issued to a learner within 30 calendar days of the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete, and providing all agreed fees the learner owes to the RTO have been paid.

3.4 Records of learner AQF certification documentation are maintained by the RTO in accordance with the requirements of Schedule 5 and are accessible to current and past learners.

3.5 The RTO accepts and provides credit to learners for units of competency and/or modules (unless licensing or regulatory requirements prevent this) where these are evidenced by:

- a) AQF certification documentation issued by any other RTO or AQF authorised issuing organisation; and
- b) Authenticated VET transcripts issued by the Registrar.

Schedule 5

Application of the AQF Qualifications Issuance Policy within the VET Sector

RTOs must meet the requirements of the AQF qualifications and statements of attainment, in addition to the following requirements.

Issuing AQF Qualifications

1. RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualification Issuance Policy;
 - a. The name, RTO code and logo of the issuing organisation;
 - b. The code and title of the awarded AQF qualification; and

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- c. The NRT logo in accordance with the current conditions of use contained in Schedule 4.
2. The following elements are to be included on the testamur as applicable;
 - a. The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities, e.g. within User Choice contracts);
 - b. The industry descriptor, e.g. Engineering
 - c. The occupational or functional stream, in brackets e.g. (Fabrication);
 - d. Where relevant, the words, 'achieved through Australian Apprenticeship arrangements'; and
 - e. Where relevant the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of relevant units/modules.
3. RTOs must not include the Student Identifier on the testamur consistent with the Student Identifiers Act 2014.
4. RTOs will:
 - a. Retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued;
 - b. Retain records of AQF certification documentation issued for a period of 30 years; and
 - c. Provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.

Issuing Statements of Attainment

5. RTOs must include the following information on a statement of attainment;
 - a. The name, RTO Code and logo of the issuing organisation;
 - b. A list of units of competency (or modules where no units of competency exist) showing their full title and the national code for each unit of competency;
 - c. The authorised signatory;
 - d. The NRT Logo;
 - e. The issuing organisations seal, corporate identifier or unique watermark;
 - f. The words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units':
6. The following elements are to be included on the statement of attainment as applicable:
 - a. The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities);
 - b. The words 'These competencies were attained in completion of [code and title of qualification(s)/course(s)];
 - c. The words, 'These competencies were attained in completion of [code] course in [full title]'; and
 - d. Where relevant, the words, 'these units/modules have been delivered and assessed in < insert language>' followed by a listing of the relevant units/modules.

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7. RTOs must not include the learner's Student Identifier on the statement of attainment consistent with the Student Identifiers Act 2014.
8. RTOs will:
 - a. Maintain registers of all statements of attainments issued;
 - b. Retain records of statements of attainment issued for a period of 30 years; and
 - c. Provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.

Schedule 4

Conditions of Use of the NRT Logo

The Nationally Recognised Training (NRT) Logo is a distinguishable mark of quality for promoting and certifying national vocational education and training leading to AQF certification documentation. The NRT Logo is a registered trade mark.

Schedule 4 Clause 6

6. The NRT logo must be depicted on all AQF certification documentation issued by the RTO. These can only be issued by an RTO when the qualification and/or unit of competency are within the RTO's scope of registration. The NRT Logo must not be depicted on other testamurs or transcripts of results.

4. References

This policy has been developed within the guidelines for:

- Australian Qualifications Framework (AQF)
- Standards for Registered Training Organisations (RTOs) 2015
- Users' Guide Standards for Registered Training Organisations (RTOs) 2015
- Australian Skills Quality Authority (ASQA)
- Nationally Recognised Training (NRT) logo requirements
- RTO009 SOP Issuing, Maintaining and Acceptance of AQF Certification and Providing Learners Access to Records
- RTO010 Form Access to Records
- RTO013 Form Verification of Qualifications Checklist
- RTO018 Form Credential Request
- RTO017 Form Change of Personal Details

5. Policy

5.1 Issuing Statements of Attainment

- 5.1.1 HIMAA only issues Statements of Attainment for only the units of competency HIMAA has on scope
- 5.1.2 HIMAA issues a statement of attainment to learners whom it has assessed as competent within the requirements of the Training Package or VET accredited course
- 5.1.3 HIMAA
 - 5.1.3.1 Meets the Australian Qualification Framework (AQF) requirements

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- 5.1.3.2 Identifies the RTO by its National Provider Number
- 5.1.3.3 Includes the Nationally Recognised Training (NRT) logo
- 5.1.3.4 Recognises Australian Qualification Framework and VET qualifications and VET Statements of Attainment issued by other Registered Training Organisations (RTO's)
- 5.1.3.5 Retains learner's record of attainment of units of competency for a period of thirty years
- 5.1.3.6 Provides details of its learner's records of attainment to the National VET Regulator on a regular basis as determined by the National VET regulator
- 5.1.4 AQF Statements of Attainment issued by HIMAA certify achievement of
 - 5.1.4.1 A unit of competency from a nationally endorsed training package.
 - 5.1.4.2 HIMAA ensures that its Statements of Attainment meet the requirements of schedule 5 (above)
 - 5.1.4.1.1 The name, national RTO code and logo of the issuing organisation
 - 5.1.4.1.2 The units of competency showing full title and national code for each unit of competency
 - 5.1.4.1.3 The authorised signatory (CEO)
 - 5.1.4.1.4 The NRT logo used within the specified guidelines
 - 5.1.4.1.5 The organisations seal, corporate identifier or unique watermark
 - 5.1.4.1.6 The words "A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units"
 - 5.1.4.1.7 The words: "These competencies form part of (code and title of qualification(s)/course(s) (if applicable)"
- 5.1.5 A register of all Statements of Attainment issued to learners is maintained
- 5.1.6 Statements of Attainment are issued within the required timeframe of thirty days
- 5.1.7 Statements of Attainment are released only to the holder of the Statement of Attainment
- 5.1.8 Statements of Attainments are replaced if lost or damaged

5.2 Verifying Qualifications

- 5.6.1 HIMAA conducts checks on submitted Vocational Education Training (VET) qualifications from students and staff
- 5.6.2 HIMAA's Quality and Compliance Officer completes these checks
- 5.6.3 HIMAA will not accept copies that have not been verified by a Justice of the Peace
- 5.6.4 HIMAA staff can present their VET qualifications to the Quality and Compliance Officer with a copy for verification purposes
- 5.6.5 HIMAA Quality and Compliance Officer will use a checklist to verify the VET qualifications
- 5.6.6 All VET qualifications will be checked against training.gov

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5.3 Learners Access to Records

- 5.2.1 HIMAA will allow the National VET Regulator access to its learner's records. Learners can obtain access to their records at any time
- 5.2.2 Learners must complete the RTO010 Form Access to Records to gain access to their learning record

5.4 Retaining, Archiving, Retrieval and Transfer of Student Records

- 5.3.1 HIMAA ensures that it meets the requirements of the National VET Regulator
- 5.3.2 HIMAA ensures that it can retrieve student records in a timely manner
- 5.3.3 HIMAA ensures that it keeps an electronic record of its learner's records for issuance of Statements of Attainment purposes
- 5.3.4 HIMAA ensures that all current learners' records are stored securely and disposed of securely when the timeframe has been completed
- 5.3.5 HIMAA ensures that all learners' records are located on the Student Management System (Business Applications)

5.5 Records Management

- 5.4.1 This policy applies to all HIMAA records, in any format, created, received and maintained by HIMAA
 - Employee Records
 - Financial
 - Personal
 - Medical
 - Membership Records
 - Database
 - Administration Files
 - Learner Records
 - Database
 - Administration file
 - Mailing Lists
 - Any other records that contains personal information of staff, clients, learner's and members
- 5.4.2 HIMAA acknowledges that records play a critical role within the HIMAA organisation, providing evidence of its actions, decisions and preserving its corporate memory
- 5.4.3 HIMAA ensures that all records are stored securely in locked filing cabinets with limited access for hardcopy documents or stored securely on computer or database with limited access and password protection
- 5.4.4 HIMAA ensures that all records stay current and are updated when changes to details have been declared

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5.6 Nationally Recognised Training and Assessment

- 5.5.1 HIMAA only advertises and delivers Nationally Recognised Training (NRT) and assessment within its scope of registration and only uses currently endorsed training packages
- 5.5.2 HIMAA ensures that when conducting marketing or advertising VET courses it complies with the ethical principles and ensures accuracy of information provided to learners
- 5.5.3 When using the NRT logo HIMAA ensures that it complies with the conditions of use
- 5.5.4 For funded training HIMAA acknowledges the funding source and abides by the conditions of funded training and assessment as required by the contractual bodies

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