

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

1. Purpose

This Standard Operating Procedure 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 standard operating procedure applies to all Education Services Staff and the 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.
7. RTOs must not include the learner's Student Identifier on the statement of attainment consistent with the Student Identifiers Act 2014.

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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. Definition

AQF certification documentation – is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

AQF Qualification – means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.

Code – means the unique identifier for units of competency, skill sets, VET accredited courses, modules, AQF qualifications or training packages as required by the Standards for Training Packages and Standards for VET Accredited Courses.

Competency – means the consistent application of knowledge and skills to the standard of performance required in the workplace. It embodies the ability to transfer and apply skills and knowledge to new situations and environments.

Data Provision Requirements – are the requirements for data provision as agreed by the Industry and Skills Council and implemented by the VET Regulator as required by its governing legislation.

Module – means a group of learning outcomes in a VET accredited course where it can be established that it is not possible to develop an appropriate unit of competency.

Nationally Recognised Training (NRT) Logo – means the logo used nationally to signify training packages and VET accredited courses.

RTO Code – means the registration identifier given to the RTO on the National Register.

Scope of registration – means the training products for which an RTO is registered to issue AQF certification documentation. It allows the RTO to:

- a) Both provide training delivery and assessment resulting in the issuance of AQF certification documentation by the RTO; or
- b) Provide assessment resulting in the issuance of AQF certification documentation by the RTO.

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Statement of Attainment – means a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.

Testamur - is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

Training Package – means the components of a training package endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed components of a Training Package are: units of competency; assessment requirements (associated with each unit of competency); qualifications; and credit arrangements. The endorsed components form part of the requirements that an RTO must meet under these Standards. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

Training Product – means AQF qualification, skill set, unit of competency, accredited short course and module.

Unit of competency – means the specification of the standards of performance required in the workplace as defined in a training package.

5. References

- 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

6. Procedure

6.1 Issuing Statements of Attainment

- 6.1.1 Once the cohort of learners has completed the course a sample of the final exams are validated to ensure competency has been achieved. Once the validation has taken place and the cohort of learners have achieved competency, all learners are informed of the decision and asked, if necessary, to obtain a Unique Student Identifier (USI) prior to the Statement of Attainment being created
- 6.1.2 The Student Support and Administration Officer will create the Statement of Attainment through the Student Management System (Business Applications) and place the HIMAA seal on the Statement of Attainment

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- 6.1.3 The Student Support and Administration Officer will confirm the learner's address and mail the Statement of Attainment to the learner within twenty-eight days of completion, unless the learner owes fees. If the learner owes fees they are reminded of the amount owing and advised that the Statement of Attainment will not be issued until the outstanding amount has been paid
- 6.1.4 HIMAA's Quality and Compliance Officer ensures that the certification documentation meets the requirements of the Standards
- 6.1.5 The Quality and Compliance Officer will conduct audits on the certification documentation/ Statements of Attainment on an annual basis to ensure that they meet the requirements of the Standard. This will also occur when there has been a change to the Standard and requirements for Statements of Attainment
- 6.1.6 HIMAA recognises certification documentation from other Registered Training Organisations
- 6.1.7 The Quality and Compliance Officer checks the certification documentation against the RTO013 Form Verification of Qualifications Checklist to confirm that the RTO exists that they have the course on scope and that the document is true and correct
- 6.1.8 Learners must provide verified certification documentation to HIMAA. This can either be completed by the Quality and Compliance Officer sighting the original or by the learner verifying the document with a Justice of the Peace (JP)
- 6.1.9 If the certification documentation is verified as being true and correct the learner is granted credit transfer. If the certification documentation is not proved true and correct HIMAA will not accept the certification document without further investigation

6.2 Verifying Qualifications

- 6.2.1 All copies of qualifications, certificates and Statements of Attainment that a learner or staff member provides must be certified by a Justice of the Peace
- 6.2.2 When a staff member or learner provides HIMAA with an original qualification, Certificate or Statement of Attainment, they must be verified against the RTO013 Form Verification of Qualifications Checklist by the Quality and Compliance Officer. This process is to be done to ensure the qualification, Certificate or Statement of Attainment is not fraudulent
- 6.2.3 Once the qualification, Certificate or Statement of Attainment has been verified against the checklist and has been proven not to be a fraudulent copy, it is then certified by the Quality and Compliance Officer
- 6.2.4 The qualification, certificate or Statement of Attainment for a staff member is then scanned and saved on G drive in the staff members file with the RTO013 Form Verification of Qualifications Checklist. The documents and copy go into the staff member's hard copy file

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- 6.2.5 For learners, the qualification is scanned and uploaded onto the Student Management System. Where applicable the unit of competency is credit transferred to the learner for entry into their enrolled course

6.3 Access to Records

- 6.3.1 HIMAA ensures that all learners' records are kept on the Student Management System Business Applications. This ensures that HIMAA has all learners' records in the one place and they can be accessed at any time by selected staff members who have access to the Student Management System
- 6.3.2 The National VET Regulator can at any time access a learner's file to verify that all documentation in the learners file on the Student Management System is compliant. This request is processed by the Training Manager, Student Support and Administration Officer and the Quality and Compliance Officer
- 6.3.3 HIMAA learners can at any time request access to their records. Learners are to complete the RTO010 Form Access to Records. They can obtain either a scanned copy of their records by email or come into HIMAA's National Head Office and view the file. A learner is not allowed to take the file off the premises

6.4 Retaining, Archiving, Retrieval and Transfer of Learner Records

- 6.4.1 Only selected staff are given access to the Student Management System and have a login and password. This ensures that all information on the system is kept private and confidential as well as secure:
- 6.4.1.1 Training Manager - System Administrator Access
 - 6.4.1.2 Education Officers - Trainers Access
 - 6.4.1.3 Quality and Compliance Officer - Student Database Access. This is for the purpose of reporting to the registering body and monitoring quality. The Quality and Compliance Officer will make random checks of the SMS against Statement of Results (SAR) and other relevant information. Random checks will also be made of the administration processes against policies, procedures and work instructions to ensure accuracy and integrity of records management
 - 6.4.1.4 Student Support and Administration Officer - System Administrator Access
- 6.4.2 In no circumstances are HIMAA staff to give out their password and login to others within or outside the organisation. If this happens it could mean disciplinary action for the staff member(s) involved
- 6.4.3 The Student Management System is backed up in real time to a Cloud server and overnight to servers in three countries
- 6.4.4 Operational records on individual computers are backed up on a weekly basis
- 6.4.5 Operational records on the independent hard drive and internal servers are backed up weekly on a Cloud service

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- 6.4.6 The Student Support and Administration Officer scans documents that has not been completed online and uploads them onto the Student Management System
- 6.4.7 The Student Support and Administration Officer is responsible for maintaining learner details and enrolment information
- 6.4.8 The Student Support and Administration Officer is responsible for entering the exam marks onto the Student Management System
- 6.4.9 If a learner requests access to their records they need to complete RTO010 Form Access to Records. The learner will receive a download of their record from the Student Management System
- 6.4.10 Learners may request photocopies of assessment results, Certificate of Achievement and/or Statement of Attainment at no cost
- 6.4.11 Learners may request an original Statement of Attainment and/or Certificate of Achievement by completing RTO018 Form Credential Request and paying a fee
- 6.4.12 Learners do not have access to other learners information
- 6.4.13 Learners are to keep all their personal details up- to-date with HIMAA. If their details change at any time learners are to contact HIMAA and complete a RTO017 Form Change of Personal Details. Once received the Student Support and Administration Officer is to update the details in the Student Management System
- 6.4.14 This ensures that all records are current
- 6.4.15 Any communication with a learner will be stored on the Student Management System
- 6.4.16 Emails sent to the learner via the Student Management System will be saved automatically in the Communications tab against the learner's enrolment
- 6.4.17 Other electronic correspondence with a learner is to be attached to the learner's enrolment in the Student Management System under the Communications or Documents tab
- 6.4.18 Phone conversations with learners should be documented in the Student Management System in the learner's enrolment under the Communications tab
- 6.4.19 All records of learner communications and assessment results are to be entered into the Student Management System in a timely manner to ensure the Student Management System is current
- 6.4.20 In the case of a learner transferring to another Registered Training Organisation (RTO), assessment information requested by the other RTO is only available after authorisation by the Quality and Compliance Officer and with the learner's explicit consent
- 6.4.21 Replacement qualification and requests from other RTOs for assessment information must be responded to within five business days

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6.4.22 If in the future HIMAA is to transfer a learner's details to another Registered Training Organisation HIMAA will offer the RTO a download of the learner's Statement of Attainment confirming competency

6.5 Employers Access to Learners Records

6.5.1 Do not have access to information about learners except when required for third party assessment purposes

6.6 Records Management

6.6.1 HIMAA Employee Records

6.6.1.1 All employee records contain personal information relating to

- The engagement, training, disciplining, resignation or termination of employment
- Terms and conditions of employment
- Employees performance or conduct, hours of employment, salary or wages, personal and emergency contact details
- Employees membership
- Health
- Leave such as annual, personal/carers, maternity, paternity or long service
- Banking details, taxation and superannuation information
- Contract
- Qualifications

6.6.1.2 If an employee's details change the employee should inform the Chief Executive Officer (CEO) and Manager Financial and Corporate Services (MFCS) and inform them of the change in writing

6.6.1.3 An employee can have access to their own personal records providing the request meets the legislative requirements including

- Time and wages records, including overtime (if applicable) and remuneration
- Records of leave including leave taken and available leave entitlement
- Records of superannuation contributions
- Workers compensation records (if applicable)

6.6.1.4 HIMAA has the right to keep confidential information that is judged sensitive or restricted because it may relate to other employees or comments not meant to be accessed by the employee in question.

6.6.1.5 HIMAA will provide a copy of personal financial records as requested by the employee within seven days of the request being made

6.6.1.6 Financial records will be presented to the employee at the HIMAA office. If the employee cannot attend the HIMAA office due to illness or

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injury, HIMAA may consider meeting the employee at an agreed meeting place

6.6.1.7 HIMAA's CEO will either approve or deny an employee having access to their employment history record. The CEO will make a decision based on the confidentiality impact on others and the prospect of litigation arising from disclosing particular information. HIMAA will generally but not always grant access to personal information held by HIMAA regarding an employee

6.6.1.8 All medical information about employees must be kept strictly confidential. Medical information can include but is not limited to drug and alcohol screening

6.6.1.9 Any breach of this policy could expose the company to serious legal liability and any breach of this policy could lead to disciplinary action being taken which can include termination of employment

6.6.1.10 HIMAA's MFCS keeps all personnel and financial records in a locked filing cabinet. Electronic records of employee's time and wages are password protected and only accessed by the MFCS

6.6.2 HIMAA Membership Records

6.6.2.1 The membership database contains information relating to a member:

- Home and /or business address
- Contact details
- Membership history
- Financial history
- Educational history
- Professional credentialing information

6.6.2.2 HIMAA members can request to be excluded from mailouts of HIMAA advertising material. The database is updated with this information accordingly

6.6.2.3 State branches of HIMAA have access to this information regarding the financial status of members in their state. This information is used for recruitment and retention purposes and to advise members of functions and workshops

6.6.2.4 The CEO has access to statistical information for Board meeting reports. Other staff has access to information which relates to their work or job role

6.6.2.5 HIMAA members have access to copies of receipts, invoices and other personal information that relates to the particular member at no cost

6.6.2.6 HIMAA members can request username and password information which is supplied by Membership Services

6.6.2.7 HIMAA member's administration records are kept in the Membership Services department in lockable cabinets. The file contains membership applications, copy of certificates awarded to the member, membership letters and payment information

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6.6.2.8 HIMAA's membership database is password protected and maintained by Membership Services Department

6.6.3 **Learner Records**

6.6.3.1 The Student Management System (SMS) Business Applications (BA) contains personal information relating to learners including

- Home and/or business address
- Contact details
- Prior learning
- Course enrolment dates
- Timetable selection
- Assessment results
- Course competency completion date
- Payment information
- Cultural background
- AVETMISS details
- Issuance of credential

6.6.3.2 The Learning Management System (LMS) contains learner information relating to training and assessment

6.6.3.3 Electronic versions of learner assessments are uploaded in the SMS/LMS

6.6.3.4 The Summative Assessment Report is scanned and uploaded into the SMS/LMS

6.6.3.5 All learners' records that are prior to the implementation of the SMS/LMS have been archived

6.6.3.6 HIMAA learners can request photocopies of assessment results, Certificate of Achievement and/or Statement of Attainment at no cost. However, if another original is requested for a credential then RTO018 Form Credential Request must be completed by the learner this incurs a fee

6.6.3.7 Learners must under no circumstances be given access to another learner's information

6.6.3.8 Employers do not have access to specific information about learners who are in their employ or sponsored by their organisation unless written approval has been given by the learner

6.6.3.9 Assessment information requested by another Registered Training Organisation (RTO) may be confirmed after authorisation of the learner involved and compliance

6.6.4 **Maintenance of Employees Records**

6.6.4.1 HIMAA is required to keep personnel records for seven years from date on which an entry has changed or from termination of an employee's employment, whichever occurs first

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6.6.4.2 HIMAA's financial records must be maintained for a continuous period of seven years from the date the entry is made

6.6.4.3 All HIMAA's learners' records must be maintained for a continuous period of thirty years from the date the entry is made

6.6.5 **Disclosure of Employees personal information**

6.6.5.1 Personal information concerning employees is confidential and will only be used for purposes for which information is relevant

6.6.5.2 Exceptions may be used for personal information being used for purposes other than for which it was collected. These may include

- With consent of the person concerned
- To prevent a serious threat to a person's health or life
- As required or authorised by law
- Where reasonably necessary for the enforcement of criminal revenue law

6.6.5.3 When a request is made by a third party, such as a bank seeking information about an employee, the employee will be contacted and their written permission, duly signed, will be required before any information is released to the third party

6.6.5.4 Theft of Intellectual property (designs and copyrighted material etc) is a serious breach of company policy and the law. This will be treated as a serious matter and depending on particular circumstances may justify dismissal

6.6.6 **Protection of Mailing Lists**

6.6.6.1 Member and learner mailing lists are the intellectual property of HIMAA and are to be protected by internal security arrangements as follows

- HIMAA lists are not under any circumstances to be given out to any person or organisation except as required by the Board or CEO for internal organisational use e.g. State lists to State committees
- All mailings to these lists will be conducted by HIMAA National Office or authorised third parties after execution of a confidentiality agreement

6.6.7 **Protection against Loss of Electronic Records**

6.6.7.1 Each employee's operational documents and data stored on their computer is backed up on a weekly basis using an automated system

6.6.7.2 After each backup the automated system archives these files to an online, Cloud-based repository operated by Amazon Web Services S3

6.6.7.3 In the event of a catastrophic loss of data all files within the online archive are available to ensure the timely restoration of data

6.6.7.4 The financial database (MYOB) is housed on a standalone drive and connected to users through the file server

6.6.7.5 MYOB data is copied daily by the Accounts Assistant or MFCS onto a USB memory device which is held securely offsite by the MFCS

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6.6.7.6 The Membership database and Financial database (MYOB) is copied onto a disc weekly and held by the Information Technology Support Officer in a secure location outside the office. A log is maintained of back up date and location of the databases

6.6.7.7 Education Services learner administration and training and assessment records are stored in the Business Application (BA) System and are backed up by BA to three servers in three overseas countries on a continuous basis

6.6.8 Username and Passwords

6.6.8.1 In the event of unexpected absence of an employee it is vital that electronic documents can be accessed. This ensures continuous operation of HIMAA

6.6.8.2 All employees must

- Note their user name and passwords plus explanatory notes if appropriate for all systems they use or access
- Place the list in a sealed envelope with their name on the front of the envelope and double seal the back with a label bearing their signature and date of signature
- Pass the envelope to the CEO for safekeeping

6.6.8.3 The sealed envelope will only be opened in an emergency by the CEO or his nominated substitute and the employee advised as soon as possible of this action. The employee will then be given the opportunity to change their user name and password and duplicate the process above

6.6.8.4 In the event of the employee leaving the organisation, a staff member nominated by the CEO will remove the employee's username and password access to HIMAAS internal and internet-based system

6.7 Records Maintained

6.7.1 All certification documentation records are maintained through the Student Management System Business Applications. At any time if a learner misplaces or their Statement of Attainment is damaged HIMAA's Student Support and Administration Officer can reproduce another copy for the learner. This may incur an administration fee

6.7.2 To obtain a copy of the learner's certification documentation the learner must complete RTO018 Form Credential Request and provide a copy of their Identification

6.7.3 When the Student Support and Administration Officer receives the request with the ID the request is processed and a new Statement of Attainment or Certificate issued.

6.7.4 HIMAA stores electronic records for the learner on the Student Management System which are kept records are not deleted from the Student Management System

6.8 Scope of Registration

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- 6.8.1 HIMAA will only issue the Statement of Attainment for units of competency or qualifications that are on HIMAA's scope of registration
- 6.8.2 HIMAA's Training Manager and Quality and Compliance Officer receive notifications from the training.gov website to maintain its scope of registration and to keep aware of changes to training packages

6.9 National VET Regulator

- 6.9.1 HIMAA provides Quality Indicator information to the National VET Regulator on a yearly basis (prior to the 30th June) or upon request by the National VET Regulator. The following information is provided to the National VET Regulator
 - 6.9.1.1 Number of qualifications issued
 - 6.9.1.2 Number of Statements of Attainment issued
 - 6.9.1.3 Number of enrolments
 - 6.9.1.4 Learner and employer feedback
- 6.9.2 The National VET Regulator uses this information to ensure that RTOs are following the standards, to obtain information on the number of learners enrolling into the course and completing the course and to provide quality training and assessment to its clients

6.10 Nationally Recognised Training

6.10.1 Advertising and Marketing for Nationally Recognised Training

- 6.10.1.1 HIMAA ensures it only markets and advertises VET courses on its scope of registration
- 6.10.1.2 Ethical principles apply to all HIMAA's advertising to ensure that we provide the service we are advertising and marketing
- 6.10.1.3 If HIMAA uses the Nationally Recognised Training (NRT) logo it is checked to ensure it meets the NRT guidelines. This includes colours being correct and the logo is not distorted in any way
- 6.10.1.4 All advertising and marketing materials are checked against 010 Form Advertising and Marketing Approval. This ensures that it meets the criteria specified in the Standards for NVR Registered Training Organisations
- 6.10.1.5 Once approval has been given the VET courses are advertised and marketed to potential learners, via the website, journals, emails and other mediums

6.11 Acknowledging Funding Source

- 6.11.1.1 If HIMAA has a VET course that is funded training HIMAA ensures that it acknowledges the source of the funding on the marketing and advertising material and where required to by registering and contractual bodies

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