VE-HRP04 ISSUING OF QUALIFICATIONS POLICY AND PROCEDURE

Abbreviations

Apex or Apex Australia	Apex Australia Vocational Education
AQF	Australian Qualifications Framework
ASQA	Australian Skills Quality Authority
CEO	Chief Executive Officer
CoE / e-CoE	Confirmation of Enrolment / electronic Confirmation of Enrolment
CRICOS	Commonwealth Register of Institutions and Courses for Overseas Students
ESOS	Education Services for Overseas Students
LMS	Learning Management System
NRT	Nationally Recognised Training
PRISMS	Provider Registration and International Student Management System
RTO	Registered Training Organisation
SMS	Student Management System
USI	Unique Student Identifier
VET	Vocational Education and Training

1. Purpose

1.1 This policy governs the accurate, secure and timely issue, access, replacement and correction of Apex qualifications, records of results and statements of attainment. It applies to all VET students, including overseas students, and to staff and third parties handling assessment and certification records.

2. Policy Statement

2.1 Apex issues a testamur and record of results for a completed qualification, and a statement of attainment for achieved units or modules when a student exits without completing the qualification or completes a relevant standalone training product. Certification reflects verified achievement only.

2.2 The CEO is accountable for certification integrity. The RTO Manager controls this policy and monitors compliance. Academic staff verify achievement, Accounts verifies relevant agreed fees, and authorised administration staff prepare and securely release documents.

2.3 Apex issues nationally recognised certification only within its lawful registration and scope, after checking the applicable training product, packaging rules, transition arrangements and any registration conditions. Third parties must not issue AQF certification on Apex's behalf.

2.4 All testamurs must comply with the AQF Qualifications Issuance Policy and section 11(1) of the 2025 Compliance Standards. They must identify the graduate and date of award/issue and include:

2.4.1 Apex's registered issuing name, RTO code 91606 and logo; the full national qualification code and title. The legal entity and trading name must match the current National Register.

2.4.2 The NRT logo used in accordance with Schedule 2; an authorised signatory's signature; and Apex's seal, corporate identifier or unique watermark.

2.4.3 The statement "The qualification is recognised within the Australian Qualifications Framework", or the authorised AQF logo.

2.4.4 The industry descriptor where listed for the qualification; and any occupational or functional stream, in brackets after the qualification code and title.

2.4.5 Where applicable, "Achieved through Australian Apprenticeship arrangements".

2.4.6 Where relevant, "these units of competency/modules have been delivered and assessed in [insert relevant language]", followed by the affected units or modules. Template instructions in square brackets must be replaced with the applicable details.

2.5 Apex also includes the student number, unique certificate number, CRICOS provider code 03156M and contact details for authentication. These institutional identifiers do not replace mandatory certification information. The USI must never appear on a testamur, statement of attainment or record of results.

2.6 A statement of attainment must identify the student and issue date and contain Apex's name, RTO code and logo; the full national code and title of each achieved unit or module; NRT logo; authorised signature; and seal, corporate identifier or unique watermark. It must include the following wording and any applicable course or language statements under section 11(2):

2.6.1 "A VET statement of attainment is issued by an NVR registered training organisation when an individual has completed one or more accredited units or modules".

2.6.2 Where units form part of a course or qualification: "These competencies form part of [code and full title of the relevant VET course or qualification]". Where attained through completing a VET course: "These competencies were attained in completion of [VET course code] course in [full title of the VET course]". Include the applicable non-English delivery and assessment statement and unit list required by section 11(2)(i).

2.7 A statement of attainment must be clearly distinguished from a qualification. Do not use the AQF logo or full-qualification recognition statement on it, list unachieved units as achieved, or issue it as an interim progress statement while the student continues the same qualification. A record of results may record interim progress.

2.8 A record of results identifies Apex, the student, qualification or course, national unit/module codes and titles, outcomes and date, with sufficient authentication information to link it to the award. Record credit transfer and recognition of prior learning accurately. The approved outcome legend must distinguish C (Competent), CT (Credit Transfer), RPL (competency achieved through recognition of prior learning) and NYC (Not Yet Competent), where used. NYC is not an attained competency and must not be certified as one.

2.9 Before certification, academic staff confirm all required core and permitted elective units, prerequisite and licensing requirements, assessment conditions and required work placement have been satisfied. Evidence must support each competent judgement. RPL and credit transfer must be verified and approved under the applicable procedures; attendance, fee payment or a CoE alone is not evidence of competency.

2.10 Issue eligible certification within 30 calendar days from completion of assessment, in accordance with section 9(2) of the Compliance Standards, where the student has completed the qualification or completed units of a qualification from which they subsequently withdraw, and has paid all agreed fees associated with that training product. A verified

USI or valid exemption is also required. Apex applies a 30-calendar-day maximum to completed standalone units, skill sets and accredited short courses.

2.11 Issuance is initiated by Apex and does not depend on a student application, graduation ceremony, collection appointment or exit survey. For withdrawal, initiate the statement of attainment immediately upon confirmed exit and establish the due date against the assessment and exit records. If the original assessment date has already passed, issue promptly on exit without starting a fresh discretionary 30-day period. Apex targets 14 calendar days after exit once eligibility is established, subject to the earlier applicable deadline.

2.12 Only unpaid agreed fees associated with the relevant training product may affect initial issuance under section 9(2)(b); unrelated debts must not be used as a blanket bar. Accounts must document the agreement, amount, due date and product. Escalate disputed fees to the RTO Manager under the complaints process. Certification must not be withheld for fees waived, refunded or not lawfully payable.

2.13 Record any genuine barrier, notify the student and actively resolve it. Missing internal signatures, stationery or administrative processing are not grounds to extend the deadline. Where an eligibility condition is met later, release promptly, with an internal target of five working days. Log and remedy overdue issuance; never backdate assessment, issue or approval records.

3. Procedure for generating Testamurs

3.1 Authorised academic staff generate the aXcelerate Finishers Report at the end of each unit and review completion and withdrawal reports at least weekly. Record the final assessment date, course/exit status, applicable certification deadline and responsible officer in the certification workflow.

3.2 Complete an internal Application for Certificate checklist for each eligible student. Reconcile the student's verified name, student number, training product version and scope against enrolment and assessment records. A student's signature on this internal form is not a precondition to automatic issuance.

3.3 The academic verifier checks every unit outcome against signed assessor records and supporting evidence, including approved RPL/credit transfer, packaging and placement requirements. Resolve inconsistencies before issue and document corrections with an audit trail. Incomplete students receive written advice about achieved units, outstanding requirements, available support and reassessment or appeal options.

3.4 Any additional assessment or enrolment extension must be academically justified and authorised under the relevant policies. For overseas students, apply National Code Standard 8.16 before extending enrolment; there is no automatic 30-day extension or reassessment entitlement that overrides ESOS requirements.

3.5 Accounts Manager or delegate checks and signs the relevant fee clearance. Academic staff confirm and sign academic clearance. Admissions/administration confirms verified USI or documented exemption. Staff record clearance dates and outstanding actions so internal routing does not delay eligible issuance.

3.6 An authorised staff member generates documents using the CEO-approved controlled template and unique certificate number. Check all mandatory and conditional wording, spelling, student identity, national codes and titles, outcomes, award/issue dates and logo use. Use actual dates; where award and issue dates differ, label each clearly.

3.7 The CEO or formally authorised secondary signatory checks the certification pack against the clearance records and approves and signs it. Record the delegation, its scope and duration. Maintain a second-person check; where one person prepares and signs, another authorised officer must verify the pack before release.

3.8 Record the issue in the Certificates Issued Register and retain an exact copy before secure dispatch. Send directly to the student through an authenticated portal, verified email or secure post, or verify identity for collection. Record the dispatch date, method and recipient. Release to another person only with verified student authority or a lawful basis.

3.9 Update aXcelerate accurately to reflect actual completion or withdrawal and certification issue separately. Do not delay recording academic completion until the certificate is collected. Complete PRISMS and data-reporting checks under section 5; retain the final checklist and dispatch evidence.

4. Mechanisms to reduce fraudulent reproduction

4.1 The CEO controls certification stationery, seal labels and signing credentials. Keep physical stock and seals locked with access restricted to the CEO and documented delegates. Reconcile stationery issued, spoiled and unused; securely destroy spoiled copies and retain the stock record.

4.2 Only the CEO approves creation or amendment of testamur, statement of attainment and record of results templates. The RTO Manager maintains the approved version, approval evidence and mandatory-content checklist and removes obsolete versions from use. Recheck templates when legislation, scope, branding or authorised signatories change.

4.3 Use unique certificate numbers and retain a permanent audit trail. Restrict SMS, certificate generation, registers and archived records by role; use individual accounts, strong authentication, access reviews, secure backups and restoration checks. Protect electronic signatures and seals from copying or unauthorised use. Digital certification must be authenticatable and resistant to alteration.

4.4 The Certificates Issued Register must be searchable and include the recipient's full name, student number, product code and title/version, award type, achieved units where relevant, unique certificate number, assessment/completion and issue dates, authorised signatory, dispatch details and status. Link replacements, corrections and revocations to the original entry without deleting history.

4.5 Maintain a separate current register or controlled scope record of the AQF qualifications Apex is authorised to issue, reconciled to the National Register. The RTO Manager checks scope and transition status before approving templates and each certification batch.

4.6 Store student files securely and allow access only to authorised staff. Verify the student's identity and any third-party authority before confirming an award or sharing records. Disclose only information necessary for the authorised purpose, except where disclosure is required or permitted by law; record the request and response.

4.7 Suspected fraud, unauthorised issue, incorrect certification, lost stationery, compromised credentials or data breaches must be reported immediately to the CEO and RTO Manager. Secure evidence, stop affected processes, assess the extent and notify affected people and regulators where required. Apply privacy breach assessment and notification requirements where applicable.

4.8 The RTO Manager monitors pending and overdue issuance weekly and samples issued documents and clearance evidence each quarter. Check identity, achievement, fees, USI, template wording, timing, dispatch and reporting. Record findings and corrective actions, owners, deadlines and effectiveness checks in the continuous improvement register; report significant risks to the CEO.

5. Recordkeeping and Student File Close-out

5.1 Retain records of all AQF certification issued for at least 30 years, including testamurs, statements of attainment, associated records of results and register entries sufficient to authenticate and reproduce them. Keep them readable, retrievable and protected against loss, unauthorised change and unauthorised disclosure, including after system migration.

5.2 Retain all assessments submitted by students to Apex or its third parties for at least two years after the student completes the training product, as required by section 10(c). As an Apex retention control, retain records for withdrawn or discontinued students for at least two years after exit. Apply longer periods where required by law, funding contracts, licensing, complaints, investigations, litigation or a regulatory direction. Do not destroy material subject to a hold.

5.3 Maintain assessment submissions, assessor judgements, feedback, authenticity checks, RPL/credit evidence, clearance forms and relevant correspondence so the basis for certification can be demonstrated. Obtain records held by third parties and verify their completeness. Apply the longest applicable retention period to records serving more than one purpose.

5.4 Current and former students must be able to access retained certification records. Verify identity, provide an accessible request route and process under section 6. An administrative request form must not unreasonably prevent access. Provide a report of issued qualifications and statements of attainment when ASQA requests it, for the specified period and by the required deadline.

5.5 Before closing a file, reconcile assessment, aXcelerate, the certificates register and dispatch records. Ensure the file contains the completed checklist, signed certification copy, fee/USI clearances, exit documentation, any PRISMS variation receipt and associated student communications. Record unresolved matters and ownership rather than falsely recording completion.

5.6 For overseas students, the authorised PRISMS officer checks actual course completion against the CoE. Report early completion or another reportable change under ESOS Act section 19(1)(e) within 31 days of the change. Retain the variation and submission evidence. Do not classify successful early completion as non-commencement, non-payment or unsatisfactory progress, or wait for fees or certificate collection before reporting an actual change.

5.7 Where RPL or credit reduces course duration, apply National Code Standards 2.3–2.5: provide the decision for written acceptance, retain acceptance for two years after the student ceases to be an accepted student, adjust the CoE duration and report the reduction in PRISMS where required. Retain written agreements and payment receipts for at least the period required by Standard 3.6 and ESOS recordkeeping requirements.

5.8 Reconcile AVETMISS and other required VET reporting with verified outcomes, USIs, completions and issue records. Correct errors through the applicable reporting process. If Apex ceases operations, the CEO must arrange secure transfer of student records to ASQA in accordance with applicable statutory requirements and ASQA directions.

6. Student request for a replacement of certificates issued

6.1 Students may request a replacement using the Application for Replacement Certificate Form or an equivalent accessible written request. Verify identity, any name change and authority of a representative. A statutory declaration is required only where reasonably necessary to resolve an identity or record concern.

6.2 Verify the original award against retained certification and the register. A replacement reproduces the achievement originally awarded; do not substitute a newer training product or change historical results. Show “Replacement”, retain the original award date and record the actual replacement issue date and linked identifier.

6.3 Any replacement fee must be reasonable, disclosed before acceptance and consistent with the published fee schedule and applicable law. Do not charge to correct Apex’s error. Preserve statutory access rights and access to retained copies; do not automatically condition access to existing records on unrelated debts or purchase of a new testamur.

6.4 Issue verified replacements within 30 calendar days of receiving the information needed to process the request, subject to any lawful disclosed replacement fee. Notify the requester of missing information promptly. Refer discrepancies or missing records to the CEO; do not fabricate a replacement where original achievement cannot be established.

6.5 Correct administrative errors promptly, at no cost, after checking evidence. The CEO approves corrected certification, marks the superseded record accordingly and links the correction and reason in the register. Request return or secure destruction of the incorrect copy where practicable, and correct related data and reporting where required.

6.6 Where an award may have been issued without valid achievement or through fraud, the CEO must investigate and preserve evidence. Give the student written reasons and an opportunity to respond, consider evidence impartially and provide written reasons for a decision and available internal and external review avenues. Revocation requires a documented lawful basis and CEO authorisation; it is not a debt-recovery measure. Record any final revocation and notify relevant parties only as authorised or required by law. Comply separately with any regulator’s cancellation decision or direction.

7. Procedure for collecting verifying and storing USIs

7.1 Admissions informs students about USI requirements, verification, privacy and exemptions. Offshore intending students may enrol before obtaining a USI; international students studying in Australia must obtain one after arrival. Assist students before departure because they may be unable to create a USI overseas.

7.2 Collect the student’s USI securely and request Registrar verification that it belongs to that person before use. Record verification and resolve mismatches against identity records; do not create duplicate USIs. If applying for a student, obtain their authority, provide the required privacy notice and follow Registrar identity requirements.

7.3 Check and retain evidence of any exemption under the Student Identifiers Act 2014 and applicable instruments before issue. Being an international student, leaving Australia or failing to supply a USI is not itself an exemption. Where an exemption applies, give the required advance warning that results will not be available through the Commonwealth or appear on an authenticated VET transcript. Escalate late-identified exemptions and document remedial advice.

7.4 Store verified USIs in the SMS with restricted access and use/disclose them only for authorised purposes. Follow the Student Identifiers Act, privacy requirements and Registrar guidance. Securely destroy personal information collected

solely to obtain a USI when no longer required for that purpose, subject to any other lawful retention obligation. Do not print a USI on certification or disclose it through public verification tools.

7.5 Administration follows up missing or invalid USIs early, logs contacts and escalates unresolved cases to the RTO Manager before final assessment. Check actual verification status in the current system; do not assume that aXcelerate integration alone proves verification. Without verified USI or established exemption, hold certification lawfully and assist the student to resolve the matter.

8. Definitions

Term	Meaning
Credit transfer	Recognition of equivalent prior achievement supported by authenticated AQF documentation or an authenticated VET transcript, subject to training product and regulatory requirements.
Qualification	An AQF qualification awarded when the applicable training product requirements have been met.
Record of results	A record identifying the student's units or modules and outcomes for the course or qualification, including verified credit and RPL where relevant.
Statement of attainment	Certification of achieved nationally recognised units or modules that do not constitute the full qualification awarded by the issuing organisation.
Testamur	The official document confirming that an AQF qualification has been awarded to an individual.
RPL	Recognition of prior learning through assessment of relevant prior skills and knowledge against the training product.

9. Associated Documents

Application for Certificate and academic clearance checklist; Application for Replacement Certificate Form; Certificates Issued Register; authorised qualifications/scope register; Finishers and withdrawal reports; controlled testamur, record of results and statement of attainment templates; signatory delegation and stationery records; certification deadline and exceptions log.

Read with Apex's assessment, RPL, credit transfer, fees and refunds, complaints and appeals, privacy, records management, course progress, enrolment variation, data reporting and continuous improvement policies and procedures.

10. Relevant Legislation and Regulatory References

The following requirements govern this policy. Use the current in-force text and applicable transitional provisions. The 2015 RTO Standards and Schedule 5 are historical references only and are replaced here by the 2025 instruments.

2025 Compliance Standards

National Vocational Education and Training Regulator (Compliance Standards for NVR Registered Training Organisations and Fit and Proper Person Requirements) Instrument 2025, particularly ss 9–14, 17 and 20 and Schedule 2.

https://www.legislation.gov.au/F2025L00355/latest/text

2025 Outcome Standards

National Vocational Education and Training Regulator (Outcome Standards for Registered Training Organisations) Instrument 2025, Schedule 1: Standards 1.3–1.7, 2.1, 2.7–2.8 and 4.1–4.4.

https://www.legislation.gov.au/F2025L00354/latest/text

AQF

AQF Qualifications Issuance Policy; AQF Qualifications Register Policy; Conditions for the use of the AQF Logo policy.

https://www.aqf.edu.au/framework/aqf-policies

USI

Student Identifiers Act 2014, especially ss 11 and 53, applicable exemption instruments and Registrar guidance.

https://www.legislation.gov.au/C2014A00036/latest/text

ESOS

Education Services for Overseas Students Act 2000, particularly ss 19 and 21; Education Services for Overseas Students Regulations 2019.

https://www.legislation.gov.au/C2004A00757/latest/text

National Code

National Code of Practice for Providers of Education and Training to Overseas Students 2018, as amended, particularly Standards 2.3–2.5, 3.6, 8.16–8.17 and 10.

https://www.legislation.gov.au/F2017L01182/latest/text

Other applicable law

National Vocational Education and Training Regulator Act 2011; Privacy Act 1988, Australian Privacy Principles and Notifiable Data Breaches scheme where applicable; Competition and Consumer Act 2010 Schedule 2 (Australian Consumer Law); applicable state/territory fair trading and electronic transactions laws.

https://www.legislation.gov.au/

Operational guidance: ASQA Testamurs and statements of attainment; ASQA Integrity of nationally recognised training products practice guide; USI provider privacy obligations and exemption guidance. These support implementation and do not override legislation.

Implementation responsibility: Before releasing this version, the CEO must authorise its commencement and the RTO Manager must align templates, forms, system workflows, retention settings and staff instructions with it. Record the actual authorisation and staff briefing evidence in the controlled policy register. Do not record the September review-cycle label as evidence of an approval that did not occur.

11. Document Control

Document Name	Issuing Qualifications Policy and Procedure
Document Code	VE-HRP04
Approved By	Livleen Sodhi, CEO
Historical approval dates	October 2020, October 2022, February 2024
Department	Compliance
Review cycle	September 2026 cycle recorded in the source document
Current version	V10.2 – compliance revision of V10.1
Review Due	September 2028, or earlier when a legislative, regulatory or operational change requires review.
Organisation	Apex Australia Vocational Education
Document Controller	RTO Manager

Revision History

Version	Date of Changes	Change Summary	Author	Review Due
V1.0	October 2020	New document.	CEO	October 2022
V9.1	October 2022	Reviewed to ensure information is up to date.	Academic Manager	October 2024
V10.0	February 2024	Reformat document, update legislation links and document control table.	Senior Compliance and Risk Manager	February 2026
V10.1	February 2026	Reformat document, update legislation links and document control table.	RTO Manager	September 2028
V10.2	September 2026	Further review of V10.1. Comprehensive 2025 Standards and ESOS revision; detailed changes in section 12.	RTO Manager	September 2028