

## QUALIFICATIONS POLICY & PROCEDURE

The purpose of this procedure is to clearly define the policy and procedure for the issuance of nationally recognised Qualifications and Statements of Attainment and acceptance and recognition (Credit Transfer) of AQF Qualifications and RPL.

### RELEVANT STANDARD AND CLAUSES

#### Standard 3

##### Clause 3.1

The RTO issues AQF [Australian Qualifications Framework] 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 [vocational education and training] accredited course.

##### Clause 3.2

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

##### Clause 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.

##### Clause 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.

##### Clause 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:

- AQF certification documentation issued by any other RTO or AQF authorised issuing organisation, or
- authenticated VET transcripts issued by the Registrar.

##### Clause 3.6

The RTO meets the requirements of the Student Identifier scheme, including:

- a. verifying with the Registrar, a Student Identifier provided to it by an individual before using that Student Identifier for any purpose
- b. ensuring that it will not issue AQF certification documentation to an individual without being in receipt of a verified Student Identifier for that individual, unless an exemption applies under the Student Identifiers Act 2014
- c. ensuring that where an exemption described in clause 3.6 (b) applies, it will inform the student prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that 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
- d. ensuring the security of Student Identifiers and all related documentation under its control, including information stored in its student management systems.

#### Standard 1

##### Clause 1.12

The RTO offers recognition of prior learning to individual learners.

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### POLICY

We shall only issue AQF certification documentation to a learner who we have assessed as meeting the requirements of the training product as specified in the relevant training package or VET accredited course. All AQF certification documents will meet the requirements of the AQF Qualifications Issuance Policy and Schedule 4 and 5. Smartlink Training will ensure that any third-party arrangements for the delivery of training and assessment services on behalf of Smartlink Training are informed that they are not allowed to issue qualifications or statements of attainment using their own name or branding. Smartlink Training is the principal RTO and will be responsible for issuing all certificates or statements of attainment only when all requirements are met by third-party providers.

The learner may achieve the requirements of the training package by one of the following as applicable on a case-by-case basis:

1. Complete all training and assessment tasks through the training and assessment services we provide;
2. Recognition of Prior Learning;
3. A combination of training and assessment and Recognition of Prior Learning;
4. A combination of training and assessment, Recognition of Prior Learning and credit transfer; and
5. A combination of Recognition of Prior Learning and credit transfer.

### STATEMENTS OF ATTAINMENT (SOA) RULES

Statements of Attainment are issued to learners who have been deemed competent in a unit of competency or a number of units of competency, which are insufficient to enable the award of a Qualification. A Statement of Attainment shall be issued where applicable and shall proclaim the following information:

- RTO name, Code and Logo;
- Full name of student;
- List of units of competency or modules showing full title and national code of unit of competency/module achieved;
- Authorised Signatory;
- RTO's organisational seal, corporate identifier or unique watermark; and
- NRT Logo in accordance with the current conditions of use as per Schedule 4
- the words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units';

The following information is to be included where applicable/relevant:

- State and Territory Training Authority logo where the training was funded by the State Body;
- the words 'These competencies form part of (Code and Title of Full Qualification);
- the words 'These competencies were attained in completion of (Code) course in (Full title) and
- 'These units/modules have been delivered and assessed in <insert language> followed by a list of the relevant units/modules.
- Smartlink Training will ensure to develop relevant certificates and statement of attainment templates that are approved by the CEO and are available through the SMS.

**\* Note - The learner's Student Identifier must not be included on the statement of attainment consistent with the Student Identifiers Act 2014.**

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### **REGISTER OF AWARDS**

A register of all Certificates and Statements of Attainment issued shall be maintained in the Student Management System and such record shall be maintained for a period of 30 years. All certificates and Statements of Attainment issued are reported on a regular basis to the VET Regulator.

### **ISSUANCE OF AWARDS**

We shall ensure 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 where USI has been verified unless exempt, completed assessment evidence is stored and providing all agreed fees the learner owes to us have been paid.

Statements of Attainment will be issued where a learner does not complete a full qualification or is only deemed competent in some of the units of competency.

### **RECORDING AND STORAGE OF CERTIFICATION ISSUED**

All records of a learner receiving AQF certification documentation shall be maintained by us in accordance with the requirements and are accessible to current and past learners.

A learner wishing to obtain a copy of their certification within a year or more of receiving it shall be able to do so free of charge. Learner will be required to contact us and provide evidence to confirm their identity so that Smartlink training can verify them in our SMS prior to reissuing a copy of the certificate or SOA. Only authorised and trained RTO staff who have appropriate access can verify and reissue copies of certificates. This is to ensure that accuracy and integrity of all certificates and statements of attainment is maintained using appropriate security measures (specific login details for SMS) in order to reduce any fraudulent reproductions.

### **LEARNER RECORDS**

#### **TIMELINE**

Learner records must be maintained for a period of 30 years, with all assessment evidence kept for a minimum of 6 months.

Where the training has been funded under a training contract, the assessment evidence must, unless otherwise specified, be kept for a minimum period of 2 years.

#### **LEARNER'S RECORDS CONTENTS**

Each Learner's records will consist of the following:

- Enrolment form;
- Credit Transfer Form and required evidence documents (where applicable);
- RPL Kit (where applicable);
- Complaints and Appeals record (Where applicable);
- Payment record;
- Attendance record;
- Record of completion/non completion; and
- Evidence of certificate award.

**When placing any document in this file it is imperative that it is a true and accurate record.**

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### ACCESS TO RECORDS

#### **Learners**

Learners may make a written request at any time to review their personal records as held by us.

Learners having completed their study within 6 months of the request to view records may do so no less than 2 working days after the request, and at a time that is mutually beneficial to both parties.

Learners who have completed their study more than 6 months after the request to view their records may do so no less than 5 days after the request and at a time that is mutually beneficial to both parties. The time is extended so that records can be drawn from storage.

#### **Our Employees**

Our employees may access the records of a learner as required. This means that only authorised and trained RTO staff who have appropriate access can do so as per Smartlink Training RTO policies and procedures while maintaining privacy and confidentiality requirements.

#### **Outside Agencies**

We will not use, disclose or communicate to any person any learner personal information, except where it is necessary and authorised to do so by the learner or National VET Regulator Act 2011 and its standards.

Such release of information shall only be done in accordance with the learner's authorisation or the National VET Regulator Act 2011 and Standard 3 learners have timely access to current and accurate records of their participation and progress.

## CREDIT TRANSFER

### DEFINITION

We define Credit Transfer as the recognition of learning achieved through formal education and training. Under the VET Quality Framework, qualifications and statements of attainment issued by any RTO are to be accepted and recognised by all other RTOs. Credit transfer allows a learner to be awarded a unit of competency based on successful completion of the same unit which has been previously awarded.

### POLICY

We adhere to the following guidelines regarding Credit Transfer when an application for Credit Transfer is received from the learner:

- All learners are entitled to apply for credit transfer in a program or qualification in which they are currently enrolled or enrolling in.
- Learners may not apply for credit transfer for units of competence or qualifications which are not included in our scope of registration.
- Whilst learners may apply for credit transfer at any time, we encourage all learners to apply before commencing the training program.
- The learner does not incur any fees for credit transfer and we do not receive any funding when credit transfer is granted.
- Credit transfer may only be awarded for whole units of competence. Where the unit of competence has a different code and/or title it will be necessary to map the unit outcomes hence the learner will be advised to seek Recognition of Prior Learning. Please refer to Smartlink Training's RPL policy and procedure for more information.

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### DIFFERENT UNIT CODES AND TITLES

- If credit transfer is being sought for a unit of competence which has a different title or code, then it is necessary to establish the equivalence between the unit held and the unit being sought.
- We are not obliged to recognise the unit through credit transfer if there is no mapping available. In these circumstances, the learner will be referred for Recognition of Prior Learning in accordance with our Recognition of Prior Learning Policy and Procedure which is a separate document.
- When the unit has **exactly** the same code and title, even if it is not from the same Training Package the learner will be granted Credit Transfer based on the unit of competency.
- When the unit has been **reviewed** and this has resulted in minor changes to the unit code or title e.g. A code to B code. This indicates that the outcomes of the unit have remained substantially the same and there is at least 80% commonality with the original unit.
- If the unit has been **transferred** from another Training Package/curriculum and recoded and it is necessary to map the learning outcomes from the old and new units the learner will need to apply for Recognition of Prior Learning. Please refer to Smartlink Training's RPL policy and procedure for more information.

### EVIDENCE REQUIREMENTS FOR CREDIT TRANSFER PROCESS

- We will provide sufficient information to learners to inform them of opportunities for alternative pathways via credit transfer and the credit transfer policy. Ideally, this information should be provided to learners prior to enrolment in the nominated program.
- Smartlink Training's provides information on credit transfer to potential students through its student pre-enrolment information document. This document can be downloaded from Smartlink training's website or by contacting the office.
- The learner will be required to present their statement of attainment or qualification for examination by the Smartlink Training by submitting copies. These documents will provide the detail of what units of competencies the learner has been previously issued with. Learners must also provide satisfactory evidence that the statement of attainment or qualification is theirs and that it has been issued by an Australian RTO. Statements of attainment or qualifications should be in the correct format as outlined in the Australian Qualifications Framework Implementation Handbook.

### CREDIT TRANSFER PROCEDURE

The following procedure is applied by us upon receipt of an application for credit transfer:

- If a learner wishes to apply for credit transfer then they must first contact our office for more information prior to enrolment.
- Our administration team will provide the relevant information and explain the learner how to apply for credit transfer if they have the relevant unit/s by conducting a preliminary assessment either via phone or email based on the information provided by the learner in relation to the relevant unit/s that they have previous completed. Based on that the administration team will email them the credit transfer application form, if applicable.
- Where the unit/s of competencies do not align with the unit/s of competencies requested, further information is to be sought in the form of Training Package mapping guides or purchasing guides and the learner will be advised to apply for Recognition of Prior Learning. Please refer to Smartlink Training's RPL policy and procedure for more information.

To apply for credit transfer, the Learner must complete and submit the following documentation to us:

- The learner will need to complete the credit transfer application form and attach copies of the relevant certificates, statements of attainment, record of results, academic transcript and or USI transcript as evidence and submit it to our office either via email and attach scanned copies or in hardcopy with printed documents.

On receipt of the application, we will check the qualification or statement of attainment for authenticity by using:

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- Once the administration team receive the completed credit transfer application form and the required evidence then they will contact the previous provider via email or phone to confirm and verify the results that have been issued for the relevant unit/s as per the correct unit code/s and unit title/s.
- Once the administration team have verified and confirmed the results issued with the previous provider either via email or phone then they will complete the credit transfer form to record the details process it. If the verification is completed via email then the email will be saved to the server in the relevant credit transfer folder. If the verification is done via phone then the administration team will note the details in the SMS notes section to record the date and time and person with whom the result was verified and confirmed.
- The completed credit transfer application form and the relevant verified evidence copies of certificates or statements or attainment are to be scanned to one drive under the credit transfer folder and filed with the student's enrolment records.
- The administration team will then process and enter the credit transfer results in the SMS for the relevant unit/s as applicable.
- The administration team will then notify the student in writing via email about the credit transfer being granted for relevant unit/s and also notify the relevant trainers/assessors depending on the course/s that it applies to.
- Smartlink Training will ensure to inform students about certified copies which will only be required if we are unable to verify results through the previous provider if they are unreachable due to closure or through USI verification system where the results are not available.
- Smartlink Training's CEO may also verify the students results through the online USI verification process if required and will ensure to notify students to setup the USI permission prior to conducting this verification so that the students can activate the permission.
- Smartlink Training will ensure to verify the students results for credit transfer regardless of whether the results are available on the USI transcript due to the variation in the reporting cycles for providers.
- Decisions made on credit must ensure that integrity of qualification outcomes is maintained and that there is consistency, fairness and transparency in the decision-making process.

## UNIQUE STUDENT IDENTIFIER

The administration team is responsible for:

- Verifying with the Registrar, a Student Identifier provided to us by a learner before using that Student Identifier for any purpose;
- Ensuring we will not issue AQF certification documentation to a learner without being in receipt of a verified Student Identifier for that learner, unless an exemption applies under the Student Identifiers Act 2014;
- Ensuring that where an exemption applies, we will inform the learner prior to either the completion of the enrolment or commencement of training and assessment, whichever occurs first, that 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; and
- Ensuring the security of Student Identifiers and all related documentation under our control, including information stored in our student management systems.

Where necessary we will assist learner to obtain a Unique Student Identifier. Please refer to Smartlink Training USI policy and procedure for more information.