



**Mastery Institute Australia**

**Student Completion and Issuing Certificates  
Policy and Procedure**

***Version 1.0***

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## 1. Purpose

The purpose of this policy and procedure is to ensure:

- MIA only issues AQF certification documentation to a student whom it has assessed as successfully meeting the requirements of the training product and deemed Competent.
- AQF certification documentation is issued in the correct format
- AQF certification documentation is issued to a student within 30 calendar days of the student being assessed as meeting the requirements of the training product, providing all fees have been paid
- Records of student AQF certification documentation is maintained by MIA and are accessible to current and past students

To provide a clear and efficient process for a student's completion where:

- The student wishes to defer, transfer or withdraw their enrolment
- A student has displayed poor behaviour, misconduct or plagiarised
- A student is not contactable or responding
- A student does not achieve course requirements, attendance or progress benchmarks

## 2. Policy

### Issuing AQF Certificates

#### 2.1 Issuing Qualifications and Statements of Attainment

MIA will issue qualifications or statements of attainment to students who have achieved the required outcomes of the training product **within 30 calendar days** of the final assessment being completed, provided:

- a) the AQF qualification in which the VET student is enrolled is complete (Qualification), or
- b) The student has completed one or more unit of competency (Statements of Attainment), and
- c) all agreed fees the VET student owes to MIA have been paid and the student has provided a verified Unique Student Identifier.

#### 2.2 Format for AQF Qualifications and Statements of Attainment



MIA must comply with the formatting requirements for AQF Qualifications and Statements of Attainment as outlined in the Compliance Standards for RTOs for RTOs specified at requirement 7 (Qualifications) and 8 (Statements of Attainment).

2.2.1 All testamurs for **AQF qualifications** issued by MIA will:

- a) include the following information:
  - i) the name, RTO code and logo of the issuing organisation
  - ii) the code and title of the awarded AQF qualification
  - iii) the NRT Logo in accordance with the NRT Logo Conditions of Use Policy
  - iv) the authorised signatory
  - v) the issuing organisation's seal, corporate identifier or unique watermark
  - vi) the words 'The qualification is recognised within the Australian Qualifications Framework' or any AQF logo authorised by the AQF Council
- b) comply with the AQF Qualifications Issuance Policy.

2.2.2 All **statements of attainment** issued by MIA will:

- a) include the following information:
  - i) the name, RTO Code and logo of the issuing organisation
  - ii) 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
  - iii) the NRT Logo in accordance with the NRT Logo Conditions of Use Policy
  - iv) the authorised signatory
  - v) the issuing organisation's seal, corporate identifier or unique watermark
  - vi) the words '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'
- b) comply with the AQF Qualifications Issuance Policy.



MIA is not to include a VET student's Student Identifier on a testamur or statement of attainment consistent with the *Student Identifiers Act 2014*.

### 2.3 Skills Sets

When a recognised skill set has been achieved by a student, a Statements of Attainment is issued to recognise the achievement of a skill set. The statement of attainment may include the code and title of the skill set and list all of the units of competency which comprise the skill set.

### 2.4 Nationally Recognised Training Logo

MIA will only use the Nationally Recognised Training Logo in accordance with the Compliance Standards for RTOs for RTOs, Schedule 2 Nationally Recognised Training Logo Conditions of Use Policy. Without completely repeating the schedule in this policy, the following are the key rules to apply:

- a) The NRT Logo is a registered trademark and cannot be modified or adjusted in any way,
- b) The NRT Logo must be used on any AQF Certificate that MIA issues,
- c) The NRT Logo must not be depicted on other transcripts or record of results,
- d) The NRT Logo may be used in authorised marketing by MIA but only in direct connection with nationally recognised training products that are on the MIA scope of registration,
- e) The NRT Logo must not be used in connection with non-accredited training or any other training that is not nationally recognised.
- f) The NRT Logo may only be used in direct connection with nationally recognised training products that are properly described in accordance with how they appear on the national training register.
- g) The NRT Logo must not be used on corporate stationary, on business cards, building signage, merchandise or learning and assessment material.
- h) The NRT Logo may only be used in the colour and format as specified within the Compliance Standards for RTOs for RTOs, Schedule 2 Nationally Recognised Training Logo Conditions of Use Policy, section 6 Standards for the use of the NRT Logo.

## 2.5 Unique student identifier

All students studying nationally recognised training in Australia are required to have a Unique student identifier (USI). A USI is a reference number made up of numbers and letters. The USI will allow students online access to their training records and results (VET Transcript) through their online USI account. <https://www.usi.gov.au/help/login-to-usi-registry>

MIA will comply with the requirements of the *Student Identifiers Act 2014*, including:

- a) verifying with the USI Registrar a student's USI before using that USI for any purpose,
- b) not issuing AQF certification documentation to an individual without being in receipt of a verified USI for that individual, unless an exemption applies under the *Student Identifiers Act 2014*,
- c) ensuring that where an exemption described in clause 3.4(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 USI Registrar.

Students are advised within the pre-enrolment information that there are a number of unique circumstances where a person may be exempt from requiring a USI. These do not apply to the majority of students in Australia. The USI Exemption Table is available from the USI website which explains these circumstances <https://www.usi.gov.au/exemptions>. Students who exercise an exemption from submitting a USI should be aware 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 USI Registrar.

## 2.6 Retention and reporting of AQF qualifications and statements of attainment issued

MIA is adhere to:

- a) maintain registers of AQF qualifications it is authorised to issue and of all AQF qualifications and statements of attainment issued. This is maintained within the student management system.
- b) retain records of AQF certification documentation issued for a period of:
  - a) **seven years** if a student completes a training product on or after 1 January 2015
  - b) **thirty years** if a student completes a training product before 1 January 2015
- c) ensure records of VET student AQF certification documentation are accessible to current and past VET students. These Records are not retained physically but the details of these issued outcomes are



retained within the student management system and these records can be reproduced on request. This may be requested by the national regulator or may be required to issue the student a replacement certificate if required.

- d) provide reports of records of qualifications and statements of attainment issued to the VET Regulator on a regular basis as determined by the VET Regulator

## 2.7 Completion and Certificate Issuance

The completion of a student's enrolment is an important step in the journey of the learning and assessment with MIA. The completion is a complex administrative process that requires careful attention and detail by the administrative team to verify the competencies that have been awarded, finalise all the enrolment documentation and update student management system records to ensure MIA is complying with its reporting obligations. The steps to this process are outlined very clearly in detail within the procedure. The administrative support team are also supported by a completion and certificate issuance checklist which details the key tasks to be completed as part of the completion of enrolment. This checklist will be completed for each student completion and retained as evidence on the student record. Students will typically finalise their enrolment under the following circumstances:

- a) The student has completed all units of competency and is eligible to receive an AQF certificate,
- b) The student has requested to withdraw from the course,
- c) The student has not achieved the course requirements and enrolment is being closed,
- d) The student is not contactable, and enrolment is being closed, and
- e) The student's enrolment is being closed due to the student's behaviour misconduct or academic misconduct due to reoccurring plagiarism.

Please refer to the procedures for the detailed steps of the enrolment completion process.

## 2.8 Students who have requested to withdraw from the course

Students who have requested to withdraw from the course are to be offered counselling on their options which may include transferring to a different course or receiving additional student support to assist them in the current course. Where the student declines these options and request withdraw from the course, the completion process will follow the normal process; however, the student will be issued a statement of attainment only for units of competency they have achieved. Requests for course withdrawal are to be submitted using the *Withdrawal Request form*.

## **2.9 Students who are not contactable or not responding (Inactive Students)**

Where a student is not contactable or fails to respond to requests by the MIA, the student's enrolment is to be closed in absentia. Before a student's enrolment can be closed without their written or expressed consent, a minimum of two attempts (one week apart) must be made using the last known contact details (email, phone and mail) to contact the student and issue the student with a warning letter notifying them of the intent to close the enrolment. Every reasonable attempt must include attempting to contact the student via all means possible including phone, text, and email. If MIA is holding any alternate points of contact for the student, they should also be contacted.

Prior to closing the enrolment, the student should be sent a warning letter to the postal address held within our student management system and given a period of no less than 28 days to respond before the enrolment is completed. It should be noted that 28 days is the period which the student has to appeal a decision that MIA makes. It is administratively fair process to provide the student this notification and give them an opportunity to respond before taking final action.

## **2.10 Students who have not achieved course requirements**

Students who are assessed as not yet competent and have exhausted their reassessment opportunities, are to be provided with detailed verbal and written feedback. It is the policy of MIA to provide two opportunities for training and re-assessment at no additional cost to the student or employer. The initial assessment is one and therefore the student will have one remaining opportunities if they are not able to demonstrate competency on the first attempt. Students who require additional training and re-assessment after they have exhausted their two opportunities will be required to pay a fee for additional training and re-assessment.

Where students repeatedly do not demonstrate competence following significant learning and assessment support, a student's enrolment can be determined through mutual agreement. The completion process will follow the normal process; however, the student will be issued a statement of attainment only for units of competency they have achieved.

## **2.11 Students who have demonstrated behaviour misconduct**

MIA seeks to provide an environment that is free from unacceptable behaviour and promotes a positive learning environment for all students. Behaviour misconduct is defined unacceptable behaviour and includes, but is not limited to:

- Behaviour that impairs the reasonable freedom of other persons to pursue their studies and participate in the activities at MIA.
- Any act or failure to act that endangers the safety or health of any other person



- Actions that impair any person's participation in a legitimate MIA activity or, by act or omission disrupts the peace or good order at MIA.
- Acting in a way that causes students or staff or other persons within the campus to fear for their personal safety
- Wilfully obstructing or disrupting any official MIA meeting, ceremony, activity, class or examination/assessment
- Any form of harassment, whether based on gender, race, age, sexual preference or religious belief
- Wilfully damaging or wrongfully dealing with any MIA property, or the property within the campus of any person, including theft
- Being under the influence of prohibited drugs and/or substances including alcohol
- Trespassing or knowingly entering any place within the premises of the RTO that is out of bounds to students
- Making a false representation as to a matter affecting student status
- Possession of dangerous articles or banned substances
- Abusive behaviour to others

A student must at all times, maintain a high standard of behaviour while engaged in RTO activities either within the premises of the RTO or at another location. Students who demonstrate behavioural misconduct after being formally warned are to have their enrolment cancelled and will not be entitled to a refund. This does not limit the requirement to provide the student suitable warning in writing, the opportunity to make oral or written representations regarding the misconduct or their right to appeal a decision. Where the student's behaviour is so egregious or leads to the actual damage to property or harm to another person, the student's enrolment can be closed immediately. This does not remove the students right to appeal a decision made by MIA (ref to *Complaint and Appeals Policy and Procedures*). Only after any appeal process has been completed that the completion process will follow the normal process; however, the student will be issued a statement of attainment only for units of competency they have achieved.

### **2.12 Students who have been identified for academic misconduct due to plagiarism**

Where it has been determined that the plagiarism has arisen from poor academic practice, the student is to be requested to revise the work and resubmit it for the assessment.

If it has been determined that the plagiarism was intentional, the student's work is not to be accepted and the student is to be handled in accordance with the *Plagiarism and AI Policy and Procedures*. The student is to be given a formal warning (in writing) by the CEO explaining the seriousness of the incident and the consequences

if the student is found to plagiarise again.

Students who are found to have plagiarised after being formally warned are to have their enrolment cancelled and will not be entitled to a refund. This does not limit the requirement to provide the student suitable warning in writing, the opportunity to make oral or written representations regarding the misconduct or their right to appeal a decision (ref to *Complaint and Appeal Policy and Procedures*). Only after any appeal process has been completed that the completion process will follow the normal process; however, the student will be issued a statement of attainment only for units of competency they have achieved.

### 3. Procedures

#### 3.1 Notify administration staff and check for completeness

Assessors must notify the administrative staff when the student has completed all required units of competency.

When the administrative staff receive the completed student assessment records, they are to check them for their completeness accuracy (ref to *Assessment Quality Control Policy and Procedures*).

**Note.** To comply with the requirement under the Compliance Standards for RTOs for RTOs to issue student's their certificates within 30 calendar days of the student being assessed as meeting the requirements of the training product, all completed assessments must be returned to the head office for processing **within 5 working days** from the date the assessment was completed. Assessors must comply with this requirement to allow sufficient time for the result to be recorded into the student management system and the certificate to be produced and dispatched to the student. If the assessment record is required to be returned to the trainer for remediation, the assessment should not be considered as complete, and this 30 day requirement will only commence once all completed assessments have been properly assessed.

##### 3.1.1 Enter outcomes into the student management system

Enter assessment outcomes into the student's enrolment within the student management system ensuring that the correct Outcome Identifier National is selected and the date assessed corresponds with the date the student was assessed by the assessor.

**Note.** The date field linked with the Outcome Identifier National within the competency record (within the student management system) may automatically default to the date the outcome is entered. This means that administrative staff must ensure they select the correct date before exiting the student's record. The date of competency achieved entered into the student management system must correspond with the assessment record completed by the assessor.

To comply with the requirement under the Compliance Standards for RTOs for RTOs to issue student's their certificates within 30 calendar days, all assessment results must be entered into the student management system **within 10 working days** from the date the assessment was completed.

### 3.1.2 Complete the Certificate Issuance Checklist

Recognise when all units of competency have been completed by the student (or the student's enrolment has otherwise ended), complete the *Certificate Issuance Checklist*, and commence the process to produce the certificate.

The *Certificate Issuance Checklist* must be fully completed prior to producing the certificate and the completed checklist is to be retained on the student's file.

**Note.** Before a certificate can be issued, administrative staff are to confirm that the student has paid all outstanding fees owed to MIA and that we have verified the student's USI recorded within the student management system. If either of these items are identified as being outstanding, administrative staff are to contact the student via phone immediately (and send an email to confirm the discussion or message) and seek their assistance to resolve the issue as a matter of urgency.

It should be noted however that active collection of the student's fees in accordance with the agreed fee schedule and early verification of the student's USI (at enrolment) must occur to prevent these issues hindering the timely completion of the certification process.

### 3.1.3 Generate Certificate

Once all the requirements of the *Certificate Issuance Checklist* have been met, the relevant certificate should be generated, the following steps are to be followed:

- **Digital certificates** should be generated from the student management system in accordance with its operating instructions. Authorisation should be automated to allow production of the digital certificate. Certificates should be encrypted or locked to prevent fraudulent production or copying. A digital Letter of Completion should also be produced.
- **Hard Copy Certificates** should be printed with the Letter of Completion and handed to the CEO. At no time should certificates be left unattended or have any opportunity to be overlooked by the CEO. It is critical that record integrity of the certificate is maintained.
- The CEO may want to review the student's records to confirm the validity of the certificate being issued. Once the CEO is satisfied the certificate is valid, the CEO is to sign the certificate as the authorised person. The CEO is also to sign the letter of completion.
- With the certificate now properly authorised, together with the Letter of Completion; it is passed back to administration.
- **Note.** To comply with the requirement under the Compliance Standards for RTOs for RTOs, all certificates requiring authorisation must be handed to the CEO **within 15 working days** from the date the assessment was completed, and all authorised certificates must be handed back to administration **within 20 working days** from the date the assessment was completed.

### 3.1.4 Issue Certificate

- Issue the certificate, along with the Letter of Completion, to the student.



- All AQF certificates must be dispatched, or handed to the student, **within 25 working days** from the date the assessment was completed. It is accepted that this process for producing certificate and issuing it to the student may occur in a quicker timeframe however the above time frames identified are the maximum.

### **3.1.5 Record certificate issuance into the student management system**

Record in the student management system that the certificate was issued together with the date of issue.

### **3.1.6 File records**

File the student's records into archive and note this within the archiving register of the student management system.

## **3.2 Reissuance of Certificates**

MIA acknowledges the requirement to provide past and present students with re-issued qualifications and statements of attainment when required. The following steps are to be applied to reissuing Qualifications and Statements of Attainments:

### **3.2.1 Receive written request**

The individual must make a written request (via email) to MIA a re-issue of certificate and must verify their identity by providing a license, birth certificate, passport or other formal identity document in support of the request.

Re-issues will only be produced for the individual to whom the Qualification or Statement of Attainment was originally issued.

### **3.2.2 Authorise re-issue of certificate**

The CEO must authorise all reissues. No other staff member of MIA is authorised to re-issue Qualifications and/or Statements of Attainments under any circumstances.

### **3.2.3 Invoice and receive payment for re-issued certificate**

Charge a fee for reissue of Qualifications or Statements of Attainments.

For a full list of current fees and charges please refer to *Schedule of Fees and Charges*.

### **3.2.4 Produce re-issued certificate**

Check all re-issues are replicas of the original document, including the 'student name', 'student number' and other distinguishing features such as paper weight and the logo or corporate identifier in the top centre of the certificate.

The only detail which is to be changed is the 'issued on' date, which will be the date of re-issue and specified as 're-issued'.

Check re-issues comply with the AQF requirements; identify the RTO by its national provider number from Training.gov.au; include the Nationally Recognised Training (NRT) logo in accordance with the current conditions of use. These requirements are consistent with those for the original issue of a Qualification or Statement of Attainment.

### **3.2.5 Record re-issued certificate in LMS**

Publish the re-issue using the student management system.

Cross check the information for the relevant certificate with the photocopy or scan of the original which has been retained in the student file.

### **3.2.6 Issue the re-issued certificate to the student**

Once authorised, issue the re-issued certification to the student.

Record the date of the re-issue in the student management system.

Retain the written request from the student for re-issue in the student management system.

## **3.3 Closing Student Enrolment at Withdrawal Request**

### **3.3.1 Student Requests to withdraw from the course**

Where a student wishes to finalise their enrolment early for personal or academic reasons, they are to complete the form *Withdrawal Request Form*.

The student should specify their reasons and select to defer their enrolment, to transfer their enrolment to another course, or to terminate their enrolment.

### **3.3.2 Issue Statement of Attainment for completed units**

Where the enrolment is being deferred or terminated, students are to be issued a Statement of Attainment to recognise the outcomes they have achieved during their enrolment.

### **3.3.3 Update SMS**

Record in the student management system that the certificate was issued together with the date of issue.

### **3.3.4 Returning Students**

A student who defers and returns to complete a course will be eligible to recommence their training within 6 months and receive a credit transfer for any completed units of competency if there is a suitable place in a suitable class (cohort) available.

Enrol the student and credit transfer any units of competency achieved.

## **3.4 Cancelling Student Enrolment**

### 3.4.1 Students who are not responding

Before a student's enrolment can be terminated without their written or expressed consent, a minimum of **two attempts** (one week apart) must be made using the last known contact details (email, phone and mail) to contact the student and issue the student with a warning letter given the student 15 days' notice notifying them of the intent to terminate the enrolment.

### 3.4.2 Poor behaviour or misconduct

If the student has misbehaved or conducted themselves in an inappropriate manor, they are to be reprimanded and formally warned in writing against repetition of misconduct.

The student may be suspended from using all or some RTO facilities and/or services for a period of time.

If the student commits behavioural misconduct after being formally warned they are to have their enrolment cancelled and will not be entitled to a refund.

Note: This does not limit the requirement to provide the student suitable warning in writing given the student 15 days' notice notifying them of the intent to terminate the enrolment and the opportunity to make oral or written representations regarding the misconduct or their right to appeal a decision.

### 3.4.3 Students who have not achieved course requirements

Students who are assessed as not yet competent are to be provided with detailed verbal and written feedback to assist them to identify the gaps in their knowledge and skills to be addressed through further training. These students are to be provided with additional training and learning support to target their specific gaps in knowledge and/or skills and prepare them for additional assessment.

Provide **two** opportunities for additional training and re-assessment at no additional cost to the student or employer. Students who require additional training and re-assessment after they have exhausted their two opportunities will be required to pay a fee for additional training and re-assessment.

Student's requiring additional learning support are to be brought to the attention of MIA management, so the progress of the student can be monitored closely, and additional support services can be applied well before it becomes necessary to impose an additional fee for re-assessment.

Where students repeatedly do not demonstrate competence following significant learning and assessment support, a student's enrolment can be terminated through mutual agreement.

### 3.4.4 Notify the student.

Notify the student in writing that their enrolment has been terminated and on what grounds.

Include in the notification, information on the student's right to appeal this decision and refer them to *Complaint and Appeal Policy and Procedures*.

### 3.4.5 Inform the trainer

Applicable trainers are to be informed of the students' enrolment termination and advised to inform the Campus Manager if the student makes contact.

#### **3.4.6 Update the student's record**

Update the student's record within the student management system with details of termination and enter the outcome of "withdrawn" into each unit of competency that has not been completed at the time.

#### **3.4.7 Issue final Statement of Attainment**

Any final AQF certificate to which the student is entitled is to be sent or emailed to the student.

#### **3.4.8 Archive student record**

The student's record is to be archived in accordance with the *Student Record Retention and Management*.

#### **3.4.9 Consider any Opportunities for Improvement**

Consider any opportunities for improvement and raise a Continuous Improvement Report to be considered at the next management meeting. Opportunities for improvement to the assessment system will then be considered and implemented in a systematic way.



| P&P Version Control  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
|----------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
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| Standards:           | Outcome Standards for RTOs, Standard 1.3<br>Compliance Standards for RTOs for RTOs, Standard 9 to 13                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| Responsibility       | CEO and Compliance Team                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| Reference            | <p>Compliance Standards for RTOs for RTOs, Standard 9 to 13</p> <p>Division 2 – Integrity of Nationally Recognised Training Products</p> <p>9 Issuance of AQF certification documentation</p> <p>(1). An NVR registered training organisation must not issue AQF certification documentation to any person unless the person is a VET student who the organisation has assessed as meeting the requirements of the training product.</p> <p>(2) Where an NVR registered training organisation has assessed a VET student as meeting the requirements of the training product in accordance with subsection (1), the organisation must ensure the AQF certification documentation is issued to the VET student within 30 calendar days from the completion of the assessment, provided the VET student:</p> <p>10 Records of AQF certification documentation and assessments</p> <p>11 Issue of VET qualifications and VET statements of attainment</p> <p>12 Student identifier requirements</p> <p>13 Nationally Recognised Training logo</p> |