P010
Qualification Issuance and Data Provision Policy and Procedure

HCR Constructions Pty Ltd t/a SITS College

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Purpose

This policy and procedure sets out SITS' expectations and requirements for issuing Australian Qualifications Framework (AQF) certification documentation and for collecting, managing and providing VET data.

It aims to ensure that:

- certification is only issued where competence has been validly achieved
- AQF documents are issued in the correct format and within required timeframes
- student and training data is accurate, complete, securely stored and retained for the required period
- SITS meets its obligations under the VET Quality Framework, Outcome Standards for RTOs 2025 and other relevant legislation, and uses certification and data as part of its self-assurance and continuous improvement system.

This policy and procedure applies to all nationally recognised qualifications, skill sets and units of competency on SITS' scope of registration, regardless of delivery mode or location, including training provided to overseas students on student visas.

It applies to all staff who are involved in assessment, certification, learner records, data entry, reporting and related administrative or management activities.

Definitions

AQF certification documentation	The collective set of documents issued by SITS to certify learning outcomes within the AQF, including testamurs, statements of attainment and records of results.
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard that sets the rules for the collection and reporting of VET student data.
Data Provision Requirements	Requirements made under the National Vocational Education and Training Regulator Act that describe what data an RTO must report, and how and when that data must be provided.
Record of Results	An academic transcript issued with a testamur that lists all units of competency or modules achieved in a qualification, including codes, titles and results.
Statement of Attainment	AQF certification documentation issued when a learner has completed one or more accredited units of competency or modules, but not a full qualification.
Student Management System (SMS)	The approved electronic system used by SITS for recording and reporting learner enrolment, progression, outcomes and certification data.
Testamur	AQF certification documentation that confirms a learner has completed a qualification or accredited course.

Unique Student Identifier (USI)	An identifier created for each learner in the national USI system. A verified USI is required before SITS can issue AQF certification documentation, unless an exemption applies under the Student Identifiers Act.

Policy

SITS will only issue AQF certification documentation where a learner has been assessed as having met all of the requirements of the relevant training product and those assessment decisions are supported by valid, sufficient, current and authentic evidence. Certification will be issued within thirty calendar days of the learner being assessed as competent, or of their formal exit from the course, provided all fees have been paid and there are no unresolved matters that affect the result, such as an outstanding complaint or appeal.

SITS will not issue AQF certification documentation without a verified USI, except where a lawful exemption has been granted. All certification documents will comply with AQF and Nationally Recognised Training (NRT) specifications and will clearly identify SITS as the issuing RTO. Certification templates are controlled documents and may only be amended with the approval of the Head of Quality and Compliance.

SITS does not permit any third party to produce, approve, sign, or issue AQF certification documentation on behalf of SITS. All certification is generated, quality-checked, authorised and issued under SITS-controlled systems and delegations.

SITS recognises that high quality data underpins both compliance and self-assurance. The organisation will collect, record and report VET data, including AVETMISS and quality indicator data, accurately and on time. Records of issued qualifications and statements of attainment, and sufficient associated data to allow reissue, will be retained for at least thirty years or any longer period specified in legislation. All personal information and certification records will be handled in accordance with SITS' Privacy Policy and Records Management Policy.

Certification documents are issued directly to learners as their entitlement. Copies may be provided to employers, funding bodies or other stakeholders only where this is permitted or required by law, contract or a valid consent process.

Certification issuance requirements

When certification is issued

SITS issues a testamur and record of results to learners who have completed all of the requirements for a qualification or accredited course on the RTO's scope of registration. Where a learner has successfully completed one or more units of competency, but not a full qualification, and training with SITS has concluded, SITS issues a statement of attainment. All certification is generated from the SMS using current approved templates so that format and content are consistent and auditable.

USI requirements

Before any AQF certification documentation is issued, SITS must hold a verified USI for the learner, unless an exemption applies under the Student Identifiers Act. Where SITS assists a learner to obtain a USI, the learner's consent is recorded and any identity information collected for that purpose is used, stored and destroyed in line with legislative requirements and SITS' Privacy Policy.

Timeframes

Once a learner has been assessed as having met all requirements of the course or has formally withdrawn and all relevant results have been recorded, SITS will issue the appropriate AQF

certification documentation within thirty (30) calendar days. Issuance may be delayed where there are outstanding fees, or where a complaint or appeal is in progress that could affect the outcome. Any delays and the reasons for them are documented.

Content and format of certification

Each certification document issued by SITS will contain the information required by the AQF and NRT specifications. This includes, as applicable:

- the learner's full legal name
- SITS' trading name, RTO legal name and RTO code
- the full code and title of the qualification or units achieved, as listed on the national training register
- the date of issue, and where appropriate the date of completion or competence
- the name and position of the authorised signatory
- required AQF and NRT wording and logos, used in accordance with current guidelines
- any necessary statements relating to funding, skill sets or licensing outcomes, ensuring that such statements are accurate and not misleading.

SITS will ensure that a learner's Unique Student Identifier (USI) is not printed on, embedded in, or otherwise included on any AQF certification documentation or results statements.

SITS uses seals, watermarks or other security features where practicable to reduce the risk of fraud or unauthorised alteration.

Registers, retention, reissue and revocation

SITS maintains a register of all AQF certification issued, whether in physical or electronic form. Records of issued certification and sufficient associated data to allow reissue are retained in secure systems for at least thirty years.

SITS retains assessment evidence for a minimum of two (2) years after the learner completes the training product, unless longer retention applies due to licensing, contractual, or other regulatory requirements. Where assessment evidence is stored electronically, SITS ensures it remains readable, complete, and accessible for the full retention period.

Learners may request reissue of a lost or damaged testamur, statement of attainment or record of results. In such cases SITS verifies the learner's identity against existing records and issues a replacement document in line with current templates and branding. A fee may be charged, as set out in the Fees and Refunds Schedule.

In limited circumstances SITS may revoke and, where appropriate, reissue certification. This may occur where fraud, serious plagiarism or academic misconduct has been substantiated, where a certificate was issued in error or with incorrect details, or where an assessment decision has been overturned through a review, complaint or appeal process. Any revocation or reissue is documented in the certification register and relevant records.

Data management and provision

Data collection and entry

SITS treats VET data as a critical asset. All enrolment, USI, progression, attendance, outcome data and other relevant data is entered into the SMS as close as practicable to the time when the information is collected or the assessment decision is made.

Trainers and assessors record assessment outcomes against each unit of competency, including dates of competence and any relevant notes. Administration staff use these records to update the

SMS so that learner information remains current and accurate. Changes to enrolment, such as deferrals, withdrawals or transfers, are processed promptly and any associated funding or reporting requirements are met.

Data quality assurance

To maintain data quality, SITS uses AVETMISS compliant systems and applies appropriate controls, such as:

- validation rules and mandatory fields built into the SMS
- staff training in correct use of codes and outcome identifiers
- routine data checks and reconciliations between source documents and system records
- internal audits and spot checks of selected files.

The Compliance Assistant and Head of Quality and Compliance review data quality on a regular basis and record required improvements in the Continuous Improvement Register. Findings are used to update procedures, provide staff feedback and strengthen SITS' self-assurance approach.

Reporting and quality indicators

SITS meets its reporting obligations for VET delivery by:

National and state VET data reporting

- Extracts AVETMISS compliant activity data from the SMS for the national VET provider collection.
- Submits data in the prescribed formats and by NCVER and VET regulator deadlines (at least annually, and more frequently where required by funding contracts).
- Meets additional reporting requirements for funded programs, such as monthly or quarterly uploads, outcome confirmations and evidence of participation.
- Investigates and corrects validation errors or data queries within agreed internal timeframes.

CRICOS and PRISMS reporting

- Creating and updating Confirmations of Enrolment (CoEs) for overseas students.
- Reporting enrolment changes, such as deferrals, suspensions, cancellations and provider transfers, within ESOS and National Code timeframes.
- Reporting course progress or attendance breaches in PRISMS and ensuring consistency between PRISMS and the SMS.

Quality indicator and feedback data

- Collecting and reporting learner engagement and employer satisfaction data for domestic cohorts using recognised tools.
- Gathering additional feedback from CRICOS students on orientation, support, teaching quality and overall student experience.
- Submitting quality indicator summaries and any required performance data to the VET regulator and funding bodies.

Use of data for self-assurance

- Conducting SMS data quality checks on fields such as USIs, outcome codes, dates of completion, funding fields and PRISMS alignment, with summary reports provided to the Head of Quality and Compliance.
- Conducting internal "data and certification" audits that sample completed learner files to check consistency between assessment evidence, SMS outcomes and issued certification.

- Reviewing trends in enrolments, completions, withdrawals, timeliness of certification, satisfaction results and CRICOS reporting at scheduled management and governance meetings, at least each quarter.
- Recording agreed improvement actions in the Continuous Improvement Register and, where relevant, updates the Risk Register, TAS documents and program improvement plans.

Privacy and security

All personal information and USI data is collected, stored, used and disclosed in line with SITS' Privacy Policy, the National VET Data Policy and the Student Identifiers Act. Access to the SMS and to certification records is restricted to authorised staff and protected through appropriate technical and organisational measures, including user permissions, secure storage and regular backups. Paper records are stored on the premises. Electronic records are backed up and tested in accordance with SITS' records and IT policies.

Qualification Issuance and Data Provision Procedure

The following procedure has been developed to ensure that SITS meets the intent of this policy, the required outcomes and its compliance obligations. The steps themselves, relevant staff members, and supporting documentation/records have been included for clarity and specificity.

Staff are expected to adhere to these actions as directed by the Head of Quality and Compliance and the Managing Director.

Step	Action	Responsible Person
1	**Establish learner record and USI** - Collect the learner's personal details and/or before enrolment. - Verify the details provided by the learner in line with requirements. - Create the learner record in the Student Management System (SMS). - Obtain and verify the learner's USI, or record a valid exemption where permitted. - Provide required privacy and data use information to the learner. - Record learner consent where SITS assists with USI creation.	Administration staff
2	**Maintain enrolment and progress data during training** - Record attendance, participation and assessment progress in accordance with TAS and assessment tools. - Update enrolment status, contact details and other key fields in the SMS as changes occur. - Process variations such as deferrals, withdrawals or transfers in line with SITS policies. - Meet any associated funding, reporting or CRICOS requirements when enrolment changes.	Trainers and Assessors Administration staff

Step	Action	Responsible Person
3	**Finalise assessment outcomes** - Confirm that all required assessment tasks have been completed or that the learner is formally exiting. - Review evidence and determine final outcomes for each unit of competency. - Record outcomes and dates of competence on approved assessment record forms or in the designated electronic system. - Check that all assessment documentation is complete and legible. - Submit assessment records and required supporting documentation to Administration within agreed timeframes.	Trainers and Assessors
4	**Conduct file and data check prior to issuing certification** - Compare trainer or assessor records with SMS data for the learner. - Confirm that all required units have a final, valid outcome recorded. - Check that the learner's USI is verified and personal details are accurate. - Confirm that all fees have been paid or appropriately managed. - Check that there are no unresolved complaints or appeals affecting results. - Escalate any discrepancies or issues to the Head of Quality and Compliance or delegate and resolve before proceeding.	Administration Manager Head of Quality and Compliance or delegate
5	**Generate and approve certification documentation** - Generate the appropriate testamur, record of results or statement of attainment from the SMS using current approved templates. - Check that qualification and unit codes and titles match the national training register. - Confirm that dates, learner name, RTO details and any required statements are correct. - Ensure required AQF and NRT logos and wording appear as specified. - Present the documents to the authorised signatory (for example Managing Director or Head of Quality and Compliance) for review and signature.	Administration staff
6	**Issue certification and update registers** - Issue certification directly to the learner in hard copy, electronically, or both, in line with SITS practice and any learner preference.	Administration staff

Step	Action	Responsible Person
	- Where a learner exits or withdraws and has achieved one or more units, SITS will issue the relevant statement of attainment within 30 calendar days of the most recent of: (a) completion of assessment for the achieved unit(s), or (b) the learner's recorded withdrawal request date, where no assessment has been completed within the preceding 30 days. - Record issued certification in the certification register, including learner name, qualification or units, date of issue and document identifier. - Save a copy or electronic image of the certification to the learner's file in accordance with the Records Management Policy. - Advise the learner of how to request reissue in future if required.	
7	**Prepare and submit data reports** - Extract AVETMISS and other required data from the SMS at scheduled reporting points. - Review extracted data for completeness, obvious errors and alignment with internal records. - Correct identified data issues or refer them back to trainers or administration for clarification. - Prepare data files in the format required by regulators or funding bodies. - Obtain review and approval from the Head of Quality and Compliance or delegate where required. - Submit data by specified deadlines and resolve any validation errors or queries raised by the receiving body.	Administration Manager Head of Quality and Compliance or delegate
8	**Retain records and support reissue or audit** - Store certification records, assessment evidence and related data in secure systems with access restricted to authorised staff. - Retain records for at least the minimum periods specified in legislation and SITS' Records Management Policy. - Verify learner identity when responding to requests for reissued certification. - Generate and issue reissued documents using current templates and record them in the certification register. - During internal or external audits, retrieve requested certification and data records and provide them to the auditor. - Record any audit findings in the Continuous Improvement Register and implement agreed actions.	Administration Manager Head of Quality and Compliance