

**Kaplan Professional
Certification Issuance Policy**

Kaplan Higher Education Pty Ltd.

Certification Issuance Policy

This policy is current as at 3 September 2018.

Scope

This policy is applicable to Kaplan Education Pty Ltd trading as Kaplan Professional (referred to as 'Kaplan Professional'). The policy applies to all Kaplan Professional staff involved in the issuance of certificates, records of results and statements of attainment to students who successfully complete Kaplan Professional vocational education assessment requirements.

Purpose

The purpose of this policy is to ensure that Kaplan Professional:

- issues qualifications testamurs, records of results and statements of attainment that comply with its scope of registration, the AQF Qualifications Issuance Policy and the requirements of the Standards for Registered Training Organisations (RTOs) 2015 (RTO Standards).
- issues certification documentation within the timeframe specified in the RTO Standards.
- only issues qualifications testamurs, records of results and statements of attainment to individuals who have successfully completed the requirements of a whole qualification, course or units of competency.
- ensure the integrity and security of certification documentation issued.

Issuance policy

Kaplan Professional will:

- issue students who complete a full AQF qualification or course, with a qualification or course testamur and a record of results (transcript).
- issue students who complete part of the requirements of an AQF qualification or course with a statement of attainment for each unit, or group of units of competency completed.
- issue AQF certification documentation within 30 days of the student being assessed as having met all the requirements of the qualification, course or units of competency, providing all required fees have been paid and the student has provided a valid Unique Student Identifier (USI), unless exempt.
- ensure that certification documentation is only issued to students who have been identified as the person who has successfully completed the required assessments. Certification documentation will not be issued to third parties, such as employers, without the express consent of the student enrolled.
- ensure that the format of, and information contained in, the testamur and record of results, or statement of attainment meets the requirements of the AQF Qualifications Issuance Policy and the RTO Standards, Standard 3 and Schedule 5.
- where required, include any other information on certification documentation required by state or Commonwealth funding bodies or other bodies authorised to make such a direction.
- ensure that documentation templates contain security measures to minimise fraud.
- ensure that sufficient information is provided on the testamur, record of results or statement of attainment to ensure that the documentation is able to be authenticated.
- issue all certification documentation under the signature of the appropriately authorised Kaplan Professional delegate.
- maintain a register of all AQF qualifications and documentation issued by the organisation.
- ensure a record of certification documentation issued is retained for at least the minimum period required by the RTO standard; 30 years.

Revoking certification documentation

Kaplan Professional may revoke the issuance of certification documentation on the basis of fraud, where there is evidence to show that the AQF certification documentation issued by Kaplan Professional has been improperly obtained, created, duplicated or falsified, or where the AQF certification documentation has been issued in error (in which case a revised document may be issued if applicable).

No person is permitted to cite, reference or imply that a revoked certification document issued from Kaplan Professional is in any way valid, current or endorsed by Kaplan Professional. Where any AQF certification documentation has been revoked or re-issued the relevant student's records on the USI Register will be updated accordingly.

Replacement documentation

Kaplan Professional will issue replacement certificates, records of results or statements of attainment provided a written request is made by the student concerned. The student must provide sufficient identification to allow Kaplan Professional to verify the identity of the student, and the qualification or course documentation required.

Replacement certification documentation will be issued under the signature of the appropriately authorised Kaplan Professional delegate.

Requests for replacement documentation made by third parties will not be met, unless specifically authorised by the student concerned.

A fee will be charged for the replacement documentation. Refer to the Kaplan Professional schedule of fees.

Unique Student Identifier (USI)

Kaplan Professional, as an RTO, is not permitted to issue a qualification or statement of attainment unless the student has provided a Unique Student Identifier (USI) or Kaplan Professional has obtained a USI on the student's behalf.

USI information will not be included on certification documentation, in accordance with the Student Identifiers Act 2014.

Certain student and course exemptions exist under the Student Identifiers Act 2014.

Retention of records

Kaplan Professional will:

- retain registers of AQF qualifications and statements of attainment issued.
- retain such records for at least the minimum period specified by the RTO Standards, currently 30 years.
- provide reports of records of qualifications issued to the VET regulator or other authorised body, as required.

If Kaplan Professional ceases operation as an RTO it will transfer records to the RTO regulatory authority, currently the Australian Skills Quality Authority (ASQA). It will do this within 30 days of it ceasing to operate.

If students are still enrolled with Kaplan Professional at the time of ceasing operation as an RTO, and those students transfer to another provider, Kaplan Professional will transfer the students' records to that provider.

Student access to records and record security

Kaplan Professional will ensure that current and past students are able to access records of their achievements. All students who hold a verified USI, and whose results have been reported into the USI system, will be able to access their records through the USI system.

If a student's achievements have not been recorded through the USI system (for example, if they or the course is exempt from requiring a USI), students will still be able to access their records by contacting Kaplan Professional.

Students' records and other information will be secured in accordance with the Privacy Policy. Any information will only be released to the individual concerned. No information will be released to a third party without the express permission of the student.

Related documents

- Assessment Policy
- Privacy Policy
- Training Product Transition Policy

Related legislation and guidelines

- AQF Qualifications Issuance Policy (www.aqf.edu.au)
- Certification Documentation: An Explanation (www.aqf.edu.au)
- Standards for Registered Training Organisations (RTOs) 2015 – Clauses 3.1-3.6, 4.1 and Schedule 5.
- Student Identifiers Act 2014

Version Control and accountable officers

The owner of this policy with responsibility for the implementation and relevant training of is the Head of Operations — Kaplan Professional.

Policy Category	Quality and Standards			
Document Owner	Head of Operations			
Review Date	3.9.2019			
Approved by	Head of Operations — Kaplan Professional Director, Quality Assurance & Governance — Kaplan Australia			Authorised by CEO — Kaplan Professional
Change and Version Control				
Version	Authored by	Brief Description of the changes	Date Approved	Effective Date
1.0	Head of Operations	New Procedure	31.3.2016	1.4.2016
2.0	Head of Operations	Policy updated to include circumstances for revocation of certification documentation	1.7.2017	1.7.2017
2.1	Head of Operations	General update	9.7.2018	3.9.2018