

# **Kaplan Professional Certificate Issuance Policy**

**Kaplan Education Pty Ltd**



## 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 qualification 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.

## Policy Statement

Kaplan Professional will ensure that all qualification testamurs, records of results and statements of attainment are compliant and secure so students and employers can trust the validity of certificates issued.

## Definitions

The following terms and definitions are applicable to this policy.

<b>Australian Qualifications Framework (AQF)</b>	means the framework for regulated qualifications in the Australian education and training system, as agreed by the Commonwealth, State and Territory ministerial council with responsibility for higher education.
<b>ASQA</b>	The Australian Skills Quality Authority is the regulator for vocational education.
<b>Certificate</b>	See Testamur.
<b>AQF Qualification</b>	means an AQF qualification type endorsed in a training package or accredited in a VET accredited course.
<b>Record of Results</b>	record of all learning leading to an AQF qualification or an. accredited unit in which a student is enrolled and is issued by an authorised issuing organisation. Also known as an Academic Transcript.
<b>Statement of Attainment (SoA)</b>	means a statement issued to a person confirming that the person has satisfied the requirements of the unit/s of competency or accredited short course specified in the statement.
<b>Testamur</b>	an official certification document that confirms that a qualification has been awarded to an individual' This may also be called a Certificate.
<b>Unique Student Identifier (USI)</b>	A USI is an individual education number for life. It also gives a student an online record of their VET training undertaken in Australia.



## Policy Principles

### Compliant and secure documentation

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 Qualifications and Statements of Attainments to students digitally, with the option to request a hardcopy.
- 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.

### Security measures

The documentation templates contain security measures to minimise fraud.

- Digital certificates are protected with high encryption settings, a unique certificate number, a fixed background image and editing settings switched off.
- Hardcopy certificates are protected with embossed paper, a unique certificate number and a watermark.
- Sufficient information is provided on the certificate, record of results and/or statement of attainment to ensure that the documentation can be authenticated.
- All certification documentation under the signature of the appropriately authorised Kaplan Professional delegate.

### Retention of records

Kaplan Professional will retain registers of AQF qualifications and statements of attainment issued.

- These records will be retained for at least the minimum period specified by the RTO Standards, currently 30 years.

Kaplan will 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.

## Revoking certification documentation

Kaplan Professional may revoke the issuance of certification documentation based on 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.

## 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.



## Complaints and Appeals

Any complaint or appeal in relation to the implementation of this policy will be managed in accordance with the Complaints and Appeals Policy and Procedure located on the Kaplan Professional website.

## Relevant Legislation

As a registered education provider, Kaplan operates under strict legislation and regulations. Policies and procedures are in place to ensure compliance with the legislative instruments referenced below.

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

## Related Policies

This policy should be read in conjunction with the following Kaplan policies and documents:

- Assessment Policy
- Privacy Policy
- Training Product Transition Policy

## Version Control and accountable officers

It is the joint responsibility of the Implementation Officer and Responsible Officer to ensure compliance with this Policy.

<b>Policy Category</b>	Operational			
<b>Responsible Officers</b>	Head of Operations			
<b>Implementation Officers</b>	Course Operations Manager			
<b>Review Date</b>	August 2024			
<b>Approved by</b>		<b>Authorised by</b>		
Policy Committee		CEO		
<b>Version</b>	<b>Authored by</b>	<b>Brief Description of the changes</b>	<b>Date Approved</b>	<b>Effective Date</b>
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
2.2	Quality Regulations and Standards team	Revised process: Issuing digital certificates and SoAs. New template with definitions added.	26.08.2021	02.09.2021