LEARNING - POLICIES & PROCEDURES

Policy Title	**Certificate Issuance Policy & Procedure**
Date	June 2024
Review Date	June 2026
Authority	Head of Learning
Responsibility	Compliance Manager
Standards (SRTOs)	Clause 3.1, 3.2, 3.3, 3.4 and 3.6. Schedule 4 & 5. AQF Qualifications Issuance Policy.

PURPOSE:

The purpose of this policy and procedure is to outline The Association of Superannuation Funds of Australia Limited "ASFA" approach to ensuring it only issues certificates, Testamurs, Records of Results and Statements of Attainment ('certification documentation') to students who have completed all requirements of the course they are enrolled in. It outlines the systems in place to ensure certification documentation is issued correctly and only after students have fully demonstrated competence against the required units of competency or modules. This ensures compliance with Standard 3 of the Standards for Registered Training Organisations (RTO's), as well as Schedules 4 & 5.

SCOPE:

This policy and procedure applies to all students enrolled in courses with ASFA.

POLICY:

Certification issuance

- ASFA issues nationally recognised AQF certification documentation to students who have been assessed as meeting the requirements of a unit of competency, module, qualification or course as specified in the relevant Training Package or VET Accredited Course. This means that the student has been assessed in accordance with the Standards, and if being issued a qualification has achieved the required units of competency as specified in the training package.
- All AQF certification documentation issued by ASFA meet the requirements of Schedule 5 of the Standards, as well as the requirements of the National AQF Qualifications Issuance Policy. This means that all AQF certification documentation issued by ASFA are produced in the required format as specified in Schedule 5 and include integrity mechanisms to prevent their fraudulent production.
- As per Clause 3.3 of the Standards for Registered Training Organisations (RTOs) 2015, 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 and providing all agreed fees the student owes ASFA have been paid.
- ASFA maintains an accurate register of all AQF certification documentation it has issued. Current and past students can access their records and/or obtain re-issued certification documentation if this is requested by a student.

- ASFA retains records of AQF certification documentation issued for a period of 30 years within its Customer Relationship Management (CRM) system, or in a reproducible format within SharePoint.
- ASFA will only issue Testamurs or Statements of Attainments for VET courses and units of competency that are on its scope of registration, or that have been otherwise approved by an external party.
- Students who complete a non-VET course will receive a certificate of completion electronically upon successful completion of the course.
- Students will only be issued their certification documentation when it is determined that they have met all the requirements of the course as specified either in the training package (for VET courses) or within the ASFA course outline (for non-VET courses).
- ASFA has controls in place to prevent all VET course certification documentation being issued prior to all assessments being completed by the Student Support Administrator checking completion data in the Client Relationship Management, Student Management System and Learning Management System prior to generating the certification documentation which ensures:
    - The students AVETMISS data (which is collected upon enrolment) has been provided and complete (if applicable)
    - Student legal name matches enrolment record
    - A verified USI is on file or the student has provided evidence that they are exempt (if applicable)
    - USI has been validated through the USI Registry
    - All core competencies and sufficient electives have been completed as required by the packaging rules
    - The student has met the packaging rule for overall number of competencies to be completed
    - The student completed all assignments to an acceptable standard within the required timeframe allowed for the course
    - All assessment outcomes are marked competent
    - Financial status is cleared
- Certification documentation is generated by the Student Support Administrator and approved by the Head of Learning prior to release. Records are retained in the Student Management System.
- All certification documentation will not be issued or handed to any third party unless this has been pre-approved by the student in writing.
    - ASFA will not send certification documentation to the employer on behalf of the student.
    - If an employer is funding the student's enrolment in a VET course, they cannot be copied into the certification documentation due to ASQA requirements but may otherwise be notified that the student has completed their course.
    - If an employer is funding the student's enrolment in a non-VET course and the student is still employed with that company at the time of completion, the employer may be copied into the email sent to the student with their certificate of completion, but the student must receive the certificate directly.
- All certification documentation will be issued electronically, provided that all appropriate checks have been conducted.
- If a student is undertaking a VET course, Unique Student identifiers will not be included on a Testamur, Record of Results, or Statement of Attainment.
- If a student is undertaking a VET course, ASFA will not issue a Testamur, Statement of attainment or Record of Results to an individual without being in receipt of a verified USI for that individual unless an exemption applies under the Student Identifiers Act 2014.

- No certification documentation will be issued for CPD products due to the nature of those products.

Authenticity
- Electronic certification documentation is protected with encryption and security features that cannot be removed, a unique certificate number, a fixed background image that cannot be removed and editing settings switched off.
- Hardcopy certification documentation is protected with embossed paper and a unique certificate number.
- Sufficient information is provided on certification documentation to ensure that the documentation can be authenticated.
- If a third party wishes to verify the authenticity of certification documentation issued by ASFA, they are welcome to contact ASFA Student Services. The person making the enquiry must have the student's <u>written</u> permission and provide evidence of this to ASFA, as well as provide the details of the document including student name, qualification or course details, and issue date. ASFA reserves the right to contact any third party to confirm the request has been made by an employee of that third party.

Reissuing Certification Documentation
- Students who completed a course with ASFA after 2004 can request re-issue of their certification documentation at any time by contacting Student Services at learning@superannuation.asn.au.
- If students completed a VET course with ASFA prior to 2004, they will be referred to Macquarie University, who were the issuing Registered Training Organisation at the time. ASFA cannot issue certification documentation to the student under any circumstances.
- Re-issues will only be produced for the individual to whom the certification documentation was originally issued.
- ASFA charges a processing fee for re-issues as listed in the *Fees and Refunds Policy and Procedure, Student Handbook* and on the ASFA website. ASFA reserves the right to waive this fee depending on a student's circumstances.
- All re-issues are to be authorised by the Compliance Manager. The Compliance Manager and/or Student Support Administrator will cross check the information for the relevant certification documentation with the information retained in the students record within the ASFA CRM system or historical student records.
- Re-issues will comply with the VET requirements consistent with those for the original issue of the certification documentation.
- All re-issued certification documentation will be in the name given at the time of completion and requests for re-issued certification documentation will only be approved if the individual has provided evidence of a name change. Certification documentation will be issued in the student's legal name.

PROCEDURE:
- Once a student has met all the requirements of the course as specified either in the training package (for VET courses) or within the ASFA course outline (for non-VET courses) and they have paid all outstanding invoices, they are eligible to have certification documentation issued.
- A student who has partially completed a VET course (which may include a single unit of competency or skill set) is to be issued with a Statement of Attainment. This includes a student who withdraws from a VET course and has completed any unit(s) of competency during their studies.
- Where a student is eligible to have certification documentation issued but has not paid all fees due, they are to be followed up about fee payment in order that their certification documentation can be issued. In this case, the certification

documentation should be issued within 30 calendar days of receiving the final payment.

- Certification documentation must be issued within 30 calendar days of completing the requirements of the course or qualification.
- A Statement of Attainment should not be accompanied by a Record of Results.
- A Testamur will be accompanied by a Record of Results for a VET course.
- Review the student's record in ASFA's Student Management System and make a determination as to whether the student is eligible for completion.
- If it is a VET course check that:
  - o student legal name matches enrolment record
  - o the training package rules have been met
  - o the student has a verified Unique Student Identifier or has been identified as being exempt
  - o USI has been validated through the USI Registry
  - o all assessment work has been completed and
  - o all required information is included on the AQF certification documentation being issued
  - o financial status is cleared.
- If eligible for completion, approve the award of the course within ASFA's CRM system which will automatically generate a certificate number and allow the record to appear on future 'AQF Certification Documentation Issued' reports generated.
- Student Support Administrator will then request approval from the Head of Learning prior to release.
- Once approved, an email will be automatically generated via ASFA's CRM system and the certification documentation dispatched via this method.

For Reprints/Reissued Certificates:
- **If qualification dates prior to 2004,** inform the student that they will need to contact Macquarie University (who were the issuing RTO at the time) for a copy of their certification documentation and provide them with the contact details. ASFA is not to issue certification documentation under any circumstances.
- **If qualification is after 2004,** issue an invoice to the student (to be paid directly by that student) in line with the required fee schedule.
- Check the system to ensure invoice has been paid.
- Re-issue the certification documentation within ASFA's CRM system which will automatically generate a certificate number and allow the record to appear on future 'AQF Certification Documentation Issued' reports generated.
- Ensure the document is printed with the same details as the original document (including name) and that the re-issue date is included, which is the only detail that may be different.
- If the student has requested a soft copy, the system will automatically generate an email. Check to make sure that the certification documentation meets the requirements stated above and send the email if the certificate meets the standards.
- If the student has requested a hard copy: supply printed certification documentation to the Compliance Manager to cross-check against the original document issued and the student's ASFA CRM system record and authorise issuance if all details are correct. Dispatch directly to the student via Australia Post. Make a note against the student's record in ASFA's CRM system of the date the re-issued certification documentation was sent, address sent to and postal reference / tracking number.