

## LEARNING - POLICIES & PROCEDURES

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| Policy Title               | <b>Certificate Issuance Policy &amp; Procedure</b>  |
| Date                       | May 2026  |
| Review Date                | May 2028  |
| Authority & Responsibility | Head of Learning  |
| Standards                  | Standards for RTOs 2025; Compliance Requirements - Integrity of Nationally Recognised Training Products; AQF Qualifications Issuance Policy; AQF Qualifications Register Policy; Student Identifiers Act 2014 |
| Version                    | 4.0   |

### **PURPOSE:**

The purpose of this policy and procedure is to outline The Association of Superannuation Funds of Australia Limited's (ASFA) approach to issuing AQF certification documentation and non-VET certificates of completion. This policy ensures certification documentation is issued accurately, securely and only to students who have met the relevant requirements of their training product, course or program.

This policy supports compliance with the 2025 Standards for RTOs, including the Compliance Requirements relating to integrity of nationally recognised training products, certification documentation, student records, assessment evidence retention, and Unique Student Identifier (USI) requirements.

### **SCOPE:**

This policy and procedure applies to all ASFA students enrolled in nationally recognised training, non-VET courses, workshops and other ASFA Learning products where a certificate or record of completion may be issued.

This policy applies to ASFA staff involved in assessment finalisation, student records management, certification approval, certificate generation, re-issue requests, and verification of issued documents.

### **DEFINITIONS:**

| <b>Term</b>                            | <b>Meaning</b>  |
|--|---|
| <b>AQF certification documentation</b> | Testamurs, Records of Results and Statements of Attainment issued for nationally recognised training in accordance with AQF and VET requirements. |
| <b>Testamur</b>                        | The official certification document confirming that a qualification has been awarded to a student.  |
| <b>Record of Results</b>               | A record that accompanies a testamur and lists the units of competency achieved as part of the qualification.                                     |

| <b>Term</b>                      | <b>Meaning</b>  |
|----------------------------------|---|
| <b>Statement of Attainment</b>   | AQF certification documentation issued where a student has completed one or more units of competency but has not completed the full qualification or course.    |
| <b>Certificate of Completion</b> | A non-AQF document issued by ASFA for successful completion of a non-VET course or workshop, where applicable.  |
| <b>USI</b>                       | Unique Student Identifier required for students undertaking nationally recognised training, unless an exemption applies under the Student Identifiers Act 2014. |

### **POLICY:**

ASFA will issue certification documentation in a way that protects the integrity of nationally recognised training and ensures students receive the correct documentation once all requirements have been met.

#### **1. Certification issuance**

- ASFA will only issue AQF certification documentation to a VET student who has been assessed as meeting the requirements of the relevant training product, unit of competency, module, qualification or course.
- ASFA will not prepare, approve or issue AQF certification documentation before assessment has been finalised and all relevant competency decisions have been recorded.
- Where a VET student has completed an AQF qualification, ASFA will issue a testamur and Record of Results.
- Where a VET student has completed one or more units of competency but has not completed the full qualification, including where the student has withdrawn, ASFA will issue a Statement of Attainment for units successfully completed.
- AQF certification documentation will be issued within 30 calendar days of the student completing the assessment requirements of the training product, provided the student has paid all agreed fees owed to ASFA.
- Where a student withdraws and has completed one or more units, ASFA will issue the relevant Statement of Attainment within 30 calendar days of the withdrawal request where there has been no assessment completion within the previous 30 calendar days.
- ASFA will issue non-VET certificates of completion electronically via Accredible where the student has met the completion requirements specified in the relevant ASFA course outline or product information.
- ASFA does not issue AQF certification documentation for CPD-only products unless those products include nationally recognised training. CPD participation records may be issued where appropriate.

#### **2. Pre-issue checks and approvals**

Before any AQF certification documentation is issued, ASFA will complete documented checks to confirm that the student is eligible for completion. These checks include, where applicable:

- the student's legal name matches the enrolment record and student management system record
- the student has a verified USI or evidence of a valid USI exemption
- the USI has been validated through the USI Registry
- all required units of competency have been completed and marked competent
- qualification packaging rules, including core and elective requirements, have been met

- any RPL or Credit Transfer outcomes have been recorded and supported by evidence
- all assessment outcomes have been finalised and no academic misconduct or appeal process is unresolved
- all agreed fees due to ASFA have been paid
- the correct certificate type, course code, course title, unit codes, unit titles, issue date and authorised signatory details are included
- the certification document includes required integrity and authenticity features.

Certification documentation will be generated by the Student Support Administrator and released only after approval by the Head of Learning or authorised delegate. Access to generate and issue AQF certification documentation will be limited to authorised ASFA staff.

### **3. USI requirements**

- ASFA will not issue AQF certification documentation to a VET student unless the student has provided a verified USI or evidence of exemption under the Student Identifiers Act 2014.
- A USI must not be printed on a testamur, Record of Results or Statement of Attainment.
- Where a student has not provided a verified USI or evidence of exemption, ASFA will contact the student and advise what is required before AQF certification documentation can be issued.

### **4. Format and content of AQF certification documentation**

- AQF certification documentation issued by ASFA will meet the requirements of the AQF Qualifications Issuance Policy, the AQF Qualifications Register Policy, and applicable VET Compliance Requirements.
- ASFA will only issue testamurs and Statements of Attainment for training products that are on its scope of registration, or for which ASFA is otherwise authorised to issue certification documentation.
- ASFA will ensure the Nationally Recognised Training logo is used only in accordance with the current conditions of use.
- A Statement of Attainment will not be accompanied by a Record of Results.
- A testamur for a VET qualification will be accompanied by a Record of Results, either on the reverse side or as a separate document.
- Certification documentation will be issued electronically unless a hard copy is requested and any applicable fee has been paid.

### **5. Authenticity and security**

- ASFA will maintain controls to prevent the fraudulent production, alteration or unauthorised issue of certification documentation.
- Electronic certification documentation will include appropriate security features, such as a unique certificate number, fixed formatting, restricted editing and/or other integrity controls.
- Sufficient information will be included on certification documentation to allow ASFA to authenticate the document if requested by the student or an authorised third party.
- ASFA will not allow a third party to produce or issue AQF certification documentation on ASFA's behalf.

### **6. Issuing to students, employers or third parties**

- AQF certification documentation will be issued directly to the student.
- ASFA will not issue AQF certification documentation directly to an employer or other third party unless the student has provided prior written consent.

- Where an employer has funded the student's enrolment, ASFA may notify the employer that the student has completed the course but will not provide a copy of AQF certification documentation without the student's written consent.
- For non-VET courses, where an employer has funded the enrolment and the student remains employed by that organisation, ASFA may copy the employer into completion communications where this is consistent with the relevant enrolment terms, privacy requirements and student expectations.

## **7. Records and retention**

- ASFA will maintain an accurate register of all AQF qualifications and Statements of Attainment issued.
- ASFA will retain records of AQF certification documentation issued to VET students for 30 years in its CRM system, student management system, SharePoint or another secure and reproducible format.
- ASFA will retain assessment evidence submitted by VET students for at least two years after the student completes the training product, unless a longer retention period applies because of legislation, licensing, funding or contractual requirements.
- Records will be retained in a manner that protects student privacy, prevents unauthorised access, and allows records to remain accessible, readable and usable throughout the retention period.
- ASFA will be able to provide a report of AQF certification documentation issued during a specified period if requested by the National VET Regulator.
- If ASFA ceases to operate as an RTO, ASFA will provide records to the National VET Regulator as required.

## **8. Verification of issued documentation**

- Students or authorised third parties may request verification of certification documentation issued by ASFA.
- A third party requesting verification must provide written consent from the student and sufficient details to allow ASFA to verify the document, such as the student's name, qualification or course details, certificate number and issue date.
- ASFA may contact the student or third party to verify the request before confirming any information.

## **9. Re-issue of certification documentation**

- Students who completed a course with ASFA after 2004 may request re-issue of their certification documentation by contacting ASFA Student Services.
- Where a student completed a VET course prior to 2004 and Macquarie University was the issuing RTO, ASFA will refer the student to Macquarie University and will not issue certification documentation for that training.
- Re-issued AQF certification documentation will only be provided to the student to whom the original documentation was issued, unless the student has provided written consent for a copy to be provided to a third party.
- Re-issued documents will reflect the information as at the original issuance date, except where a re-issue date or replacement notation is required.
- Where a student has changed their name, ASFA will require appropriate evidence before re-issuing documentation in the student's current legal name.
- Applicable re-issue fees will be published in ASFA's Fees and Refunds Policy and Procedure, Student Handbook and/or website. ASFA may waive a re-issue fee in special circumstances.

## PROCEDURE:

### 1. Issuing AQF certification and documentation

- Confirm that the student has completed the requirements of the relevant training product, qualification, unit of competency or module.
- Review the student's record in the CRM, student management system and learning management system to confirm all assessments have been finalised and all required outcomes are recorded.
- Confirm the student's legal name, USI status, AVETMISS data, packaging rules, assessment outcomes and fee status.
- Where the student has completed a full VET qualification, prepare a testamur and Record of Results.
- Where the student has completed one or more units but has not completed the full qualification, prepare a Statement of Attainment.
- Check that all required AQF, RTO, training product and authenticity information appears correctly on the documentation.
- Submit the certification documentation to the Head of Learning or authorised delegate for approval before release.
- Issue the approved documentation directly to the student within the required 30 calendar day timeframe.
- Record the issue in the AQF certification documentation register and retain a copy in the student record.
- Where documentation cannot be issued because fees are outstanding or a verified USI has not been provided, contact the student and record the reason for non-issue in the student record.

### 2. Issuing non-VET certificates of completion

- Non-VET certificates of completion are issued electronically to students via Accredible when the student has successfully met the completion requirements configured for the relevant course or CPD product.
- Completion requirements may include required attendance, participation, assessment completion, online activity completion, or other criteria specified in the relevant course outline or product information.
- Once the set completion requirements have been met, Accredible automatically generates and issues the certificate of completion to the student.
- Manual checking or staff approval is not required before a non-VET certificate of completion is issued.
- Records of certificate issue are retained within Accredible and/or the relevant student record system. Staff may review these records where required for audit, verification, reporting, or customer support purposes.

### 3. Re-issue process

- Receive the re-issue request from the student and confirm the student's identity.
- Confirm whether ASFA was the issuing RTO for the original certification documentation.
- If the training was completed prior to 2004 and ASFA was not the issuing RTO, refer the student to the relevant issuing organisation.
- If ASFA was the issuing RTO, verify the original completion record, certificate number, course details, issue date and student legal name.
- Issue an invoice for the applicable re-issue fee unless the fee is waived by the Head of Learning.
- Once payment has been received, generate the re-issued documentation with the same details as the original document, except where a permitted re-issue date, replacement notation or approved name change applies.
- Check the documentation against the original record and obtain approval from the Head of Learning or authorised delegate before release.

- Issue the re-issued documentation directly to the student and record the re-issue in the student record and certification register.
- For hard-copy re-issues, record the date sent, address, delivery method and tracking number where applicable.

#### **4. Record keeping and quality assurance**

- The Student Support Administrator will ensure all issued and re-issued certification documentation is recorded in the CRM or student management system.
- The Head of Learning will periodically review certification issuance records to confirm that certificates are being issued correctly, securely and within required timeframes.
- Any error in issued certification documentation must be reported to the Head of Learning as soon as it is identified. Corrected documentation must be issued promptly, and the original incorrect version must be marked as superseded or cancelled in the student record.
- Certification issuance controls, document templates and registers will be reviewed as part of ASFA's internal audit and continuous improvement processes.

#### **VERSION CONTROL:**

| <b>Version</b> | <b>Date</b> | <b>Approved by</b> | <b>Summary of changes</b>                          |
|----------------|-------------|--------------------|--|
| 4.0            | 15/05/2026  | Head of Learning   | Updated to align with the Standards for RTOs 2025. |