AQF Certification Issuance Policy and Procedure

Compliance Requirements for RTOs 2025
Part 2 – Division 1 – Information and Transparency – AQF Certification and Student Identifier

1. Purpose

The purpose of this policy is to specify the way in which George Brown College (GBC) will meet the requirements of Division 2 - Integrity of Nationally Recognised Training Products. GBC ensures compliance with the Student Identifier requirements under Division 2, paragraph 12 of the Compliance Requirements for Standards for RTOs 2025

2. Rationale

The AQF Certification Issuance Policy and Procedure ensures that GBC issues Australian Qualifications Framework (AQF) certification documentation accurately, securely, and consistently, in compliance with national regulatory standards, particularly Division 2 of the Compliance Requirements for Standards for RTOs 2025. This policy safeguards the integrity and credibility of qualifications by ensuring that certification documents are issued only to students who have legitimately met all training and assessment requirements, verified through rigorous administrative controls, including strict adherence to Student Identifier (USI) protocols. It also reinforces transparency, accountability, and trust among students, stakeholders, employers, and regulatory bodies by maintaining accurate, accessible, and secure records in alignment with legal and regulatory frameworks.

3. Policy

This policy provides a procedure to ensure that GBC will:

- only issue qualifications that are on its scope of registration
- only issue an Australian Qualifications Framework (AQF) certification document to a student who it has assessed as meeting the requirements of the training product as specified in the relevant training package
- This policy applies to the issuance of AQF certification for all students, including those enrolled under CRICOS, and complies with the requirements of the National Code 2018 where applicable.
- issue the AQF certification documentation to a student within 30 calendar days of the student being assessed as meeting the requirements of the training product they are enrolled in, once the student has paid all the required fees to GBC
- accept and recognise AQF certification documentation issued by another RTO or AQF authorised issuing organisation once it has been authenticated

Student Identifier (USI) Requirements

- The Unique Student Identifier (USI) must not appear on any VET qualification or Statement of Attainment issued by GBC.

- GBC must verify with the USI Registrar that the provided USI belongs to the student before using the identifier for any administrative or record-keeping purposes.
- GBC must not issue an AQF qualification or a VET Statement of Attainment unless the student has provided a verified USI.
- If an exemption from providing a USI applies (as detailed in the Student Identifiers Act 2014), GBC will clearly inform the student, prior to the completion of enrolment or commencement of training and assessment (whichever occurs first), of the implications, specifically:
    - The student's training outcomes will not be accessible through Commonwealth resources.
    - The training results will not appear on any authenticated VET transcript prepared by the USI Registrar.

▪ (Further details about the implications of being exempt can be obtained from the USI website - Link)

NRT and AQF Logos

▪ use AQF and NRT logos on a Qualification or a Statement of Attainment in accordance with Conditions of Use policy for these logos

GBC will ensure all administrative and academic staff understand and implement these requirements consistently to maintain regulatory compliance.

4. Definitions

AQF certification documentation is the set of official documents that confirms that an AQF qualification or statement of attainment has been issued to an individual.

AQF qualification means an AQF qualification type endorsed in a training package or accredited in a VET accredited course. Technically, within the AQF a qualification is comprised of a testamur and a record of results. A testamur is the actual official certification document that confirms that a qualification has been awarded to an individual. In Australia, a testamur may also be referred to as an 'award,' 'parchment,' or 'certificate.' Within this policy, it is referred to as a qualification or an AQF qualification.

Statement of attainment 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.

This may include a course such as first aid or may occur where the learner achieved one or more units of competency as part of an enrolment in a qualification-based course, but the learner did not achieve all of the units of competency to receive the full qualification. In these situations, a statement of attainment would be issued.

Record of Results. A record of results is a record of the achieved units of competency leading to an AQF qualification. In Australia this may also be referred to as a 'transcript of results,' 'academic transcript', 'record of achievement' or 'statement of results'. A record of results can also be issued at any time during a learner's enrolment sand is often used to provide a learner with a formal notification of their current progress in a course in which they are enrolled.

A record of results is always issued with a testamur or AQF qualification to specify the units of competency that were issued to the learner as part of the achievement of the qualification. A record of results is issued as a separate document.

5. Responsibility

RTO Manager is responsible for approving course outcomes
Student Services Team Leader is responsible for the implementation of this procedure, to maintain records in accord with this policy and to ensure that all staff with responsibility are aware of and implement this policy
Administration staff must be aware of and implement this policy
The Director or delegate signs the award or Statement of Attainment

6. Legislative Requirements

GBC must meet the requirements of Division 2 - Integrity of Nationally Recognised Training Products, paragraphs
- National Code of Practice for Providers of Education and Training to Overseas Students 2018 (Standard 3)
- Education Services for Overseas Students Act 2000 (Cth)
    9. Issuance of AQF certification documentation
    10. Records of AQF certification documentation and assessments and
    11. Issue of VET Qualifications and VET statements of attainment
    12. Student Identifier Requirements
    13. Nationally Recognised Training Logo – Conditions of Use Policy
- Student Identifiers Act 2014

7. Scope

This policy and procedure applies to all AQF certification documentation issued by GBC, including Australian Qualifications Framework (AQF) qualifications, Statements of Attainment, and Records of Results. It governs the processes for verifying student eligibility, issuing, reissuing, and recording certification in accordance with regulatory and compliance requirements.

It applies to all students enrolled in nationally recognised training with GBC, as well as to all staff involved in assessment, administrative processing, and executive authorisation of certification documentation. This includes trainers and assessors, administrative staff, the Compliance Manager, and the Chief Executive Officer (CEO).

8. Procedure

The following procedure details the comprehensive steps that GBC undertakes to issue AQF certification documentation in a compliant, secure, and timely manner.

Upon the completion of all assessment requirements, the trainer will confirm that the student has fulfilled the necessary competencies as outlined by the relevant training package. The General Manager then formally approves these course outcomes.

Following academic approval, the Student Services Team Leader will verify all administrative documentation, ensuring that the student's enrolment and supporting documents such as their Unique Student Identifier (USI), Language, Literacy and Numeracy assessment (LLND), identification, pre-requisites, and fee payment are complete and correct. It is crucial that the student's USI is verified with the USI Registrar promptly and accurately, and it must not appear on any formal AQF certification documentation.

If a student is exempt from providing a USI, the Student Services Team Leader must clearly inform the student of the specific consequences of this exemption, including that their results will not appear on any authenticated VET transcript or Commonwealth records. This notification occurs before the completion of enrolment or prior to the commencement of training and assessment, whichever comes first.

The Compliance Officer prepares and reviews the student's file thoroughly, ensuring all units of competency are accurately recorded. This file is then forwarded to the Director or designated delegate, who authorises and signs the AQF certification documentation. Certification documents are issued within 30 calendar days of the student meeting all course requirements and the clearance of all outstanding fees.

Following issuance, the Student Services Team Leader securely files all student assessment and administrative evidence, ensuring traceability and ease of access. AQF certification documentation is then entered into the Student Management System (SMS), where it must be retained securely for 30 years, in line with regulatory requirements.

In cases of reissue, the student must submit a formal written request and provide valid identification to confirm their identity. All reissue requests require explicit authorisation from the Director, and a corresponding fee will be charged to the student. Reissued certificates precisely duplicate the original documentation, clearly marked as 're-issued', with all details validated against original records held within the SMS and learner file.

All staff involved in these processes receive comprehensive training and guidance on their responsibilities to ensure consistent adherence to this policy and associated regulatory obligations.

Procedure Summary Table

Procedure Step & Action	Responsibility	Timeframe	Reference/Use

1. Trainer confirms student has fulfilled all assessment requirements in line with the training package before certification is approved.	RTO Manager	At point of final assessment completion	Ensures student meets all competency and packaging rules
2. Verify enrolment and admin documents are complete (USI, LLND, ID, pre-requisites, fee payment) before issuing certification.	Student Services Team Leader	Immediately after final assessment approval and before issuing certificate	Pre-issuance compliance check
3. Verify student USI with USI Registrar before use for administrative or record-keeping purposes	Compliance Officer	Immediately upon receiving USI from student	Compliance with Student Identifiers Act 2014
4. Inform students about USI exemption consequences clearly before enrolment/training commencement	Student Services Team Leader	Before completion of enrolment or training commencement (whichever occurs first)	Compliance with Student Identifiers Act 2014
5. Ensure USI is not printed on testamur or SOA, and certification is withheld if USI is not verified (unless exempt); inform students of transcript access limitations if exempt.	Student Services Team Leader	During enrolment and before certification issuance	Ensures compliance with Student Identifiers Act 2014
6. Student Services Team Leader prepares completed student file for CEO; units recorded progressively; full review prior to printing.	Student Services Team Leader	Upon course completion or withdrawal	Verification prior to printing
7. Director signs AQF certification and ensures it is issued within 30 calendar days; copy saved to student file.	Director	Within 30 calendar days of course completion and fee clearance	Meets Clause 9 of the Compliance Requirements for Standards for RTOs 2025
8. File student assessment and admin evidence securely in date order.	Compliance Officer	Immediately after issuance	Ensures traceability and compliance

9. Store AQF certification records in SMS for 30 years.	Student Services Team Leader	Upon issuance	Meets Clause 10 of the Compliance Requirements for Standards for RTOs 2025

Reissue Procedure

Procedure Step & Action	Responsibility	Timeframe	Reference/Use
1. Re-issues will only be produced for the individual to whom the Qualification or Statement of Attainment was originally issued. The individual must make a written request and verify their identity using a valid document (e.g., licence, passport, birth certificate).	Student Services Team Leader	At time of student request	Initiates reissue process and confirms eligibility
2. All reissues must be authorised by the Director. No other staff may approve re-issues.	Director	Upon verification and before printing	Ensures controlled and accountable certificate reissue
3. A fee is charged for the reissue. An invoice is to be issued to the student.	Student Services Team Leader	After request and before certificate preparation	Confirms cost recovery and finance tracking
4. Reissued certificates are exact duplicates of the original, with only the issue date changed to show ‘re-issued’.	Student Services Team Leader	During certificate preparation	Maintains consistency and audit trail
5. Certificate details are validated in the SMS against the original scan/photocopy retained in the learner file.	Compliance Officer	Before printing	Prevents error or fraud in reissue process
6. Once approved, the re-issue is provided to the learner. A copy and the request are retained on the student’s file, labelled as a re-issue.	Compliance Officer	Immediately after authorisation and issuance	Ensures evidence of issue and compliance

7. Policy Implementation

This policy and procedure is implemented through a structured, monitored process to ensure that all AQF certification documentation issued by GBC is compliant with national standards, accurately reflects student achievement, and is managed in a secure and timely manner.

Implementation includes:

- Clear delegation of responsibilities to qualified staff including trainers and assessors, administrative personnel, and the CEO or delegated authority.
- Training and induction of staff on certification requirements, AQF protocols, and the use of the Student Management System (SMS) to record outcomes and track issuance.
- Ongoing monitoring of certification practices through internal audits, use of the Certificate Issuance Checklist, and regular reviews of the AQF Certificate Register.
- Integration with student records systems, ensuring all issued certificates are linked to verified assessment records and compliant enrolment documentation.
- Use of supporting forms and registers such as the Certificate Reissue Request Form, SMS issuance logs, and reissue procedures, all retained in accordance with regulatory timelines.
- Review and update of certification templates to reflect any changes to training package codes, AQF guidelines, or branding requirements.
- Retention of certification records for a minimum of 30 years as per Clause 10 of the Standards for RTOs 2025 and access provisions under the NVR Act.

This policy is communicated to all relevant staff and reviewed as part of the RTO's internal policy review cycle. Any identified non-compliance or delays in issuing certification are investigated and rectified through the Continuous Improvement Register.

8. Review

This Policy and Procedure will undergo an annual review, or sooner if required, using the ASQA RTO Self-assessment tool template. The aim is to ensure it remains relevant and effective in guiding the operations and strategies or as needed to reflect any changes in the regulatory environment or operational practices.

The Compliance Officer is responsible to ensure that feedback will be collated and analysed and discussed at the monthly management meetings, for noting or action with any necessary changes documented in a Continuous Improvement Form and in the Continuous Improvement Register.

The Director is responsible to ensure that the outcomes of the reviews will be used to evaluate and improve the effectiveness of the training and assessment services.

Document Control

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1.0	Original Version	**Preeti Singh**	**1/07/2025**

Associated Documents

Policies

Records Management Policy and Procedure

Forms and Templates

Certificate Format Checklist
Certificate Issuance Checklist
Student Handbook