



AQF Issuance and replacement

VET policies and procedures

School RTO approval statement					
School RTO name	St Ursula's College				
Policy start date	1/12/2019	QCAA school number	474	National provider number	30032
The Principal as Chief Executive Officer (CEO) approves: <ul style="list-style-type: none">• the policy, procedure and implementation requirements• all identified attachments to this policy and procedure• all modifications to the policy and procedure prior to implementation• the delegated Registered Training Organisation (RTO) officer/s to implement the policy and procedure• the allocation of time to ensure delegated officers carry out all components within the prescribed timelines and dates of all activities outlined in the quality calendar detailed through this policy and procedure• the RTO Manager monitoring, evaluating and reviewing the application of this policy and procedure to ensure compliance at all times• QCAA analysing these documents when conducting audits• that email addresses provide the same acknowledgment as a signature.					
RTO Manager			Principal		
Name	April Acworth		Name	Deborah Ryan	
Email	april@stursulas.qld.edu.au		Email	Deborah@stursulas.qld.edu.au	
Date	26/04/2023		Date	01/01/2021	
All additional delegated officers (add additional places to this table as required)					
Delegated officer	Kim Morris		Delegated officer		
Email	kimm@stursulas.qld.edu.au		Email		
Date	1/12/2019		Date	[Date]	

Section 1 Policy and procedure

Section 1 of this policy and procedure addresses: (a) conditions for issuance of qualifications and statements of attainment; (b) templates to be used; (c) timeframes for issuance; (d) records to be kept; and (e) replacement of certification documents.

Relevant Standards: 3.1–3.6, 7.5, 8.1(f), Schedule 4.6, Schedule 5, AQF policy requirements

Issuance

Issuance policy and procedure				
Policy	Qualification	Statement of Attainment (SoA)	Timeframe	Records
<p>A student is only issued with:</p> <ul style="list-style-type: none"> • a Qualification when they meet the training package requirements • a Statement of Attainment when one or more units of competency are successfully completed. 	<p>Issue an AQF certificate and Record of Results if the qualification in which the student is enrolled is successfully completed.</p>	<p>Issue an SoA if the qualification in which the student is enrolled is partially completed.</p>	<p>Issue certification documentation to a student within 30 calendar days of all conditions for issuance being met.</p>	<p>Maintain sufficiently detailed records capable of identifying the student, type of certification (Certificate or SoA), qualification, award/attainment date and issuance date.</p>
Conditions for issuance				
Unique Student Identifier (USI)	Fees and exemptions	Verification	Templates	Replacement
<ul style="list-style-type: none"> • A USI must be held prior to issuance. • The USI must be verified by the RTO using the USI Registry System website. 	<ul style="list-style-type: none"> • Any agreed student fees have been paid. • Certification may be issued on sighting confirmation that a student has been granted an exemption issued by the USI Registrar. 	<ul style="list-style-type: none"> • AVETMISS-compliant data that supports issuing of certification. • Data held in the QCAA provided AVETMISS-compliant student management system. 	<p>Certification documentation is based on templates compliant with Schedules 4 and 5 of the Standards and the AQF. Attached templates include the RTO's measures to reduce fraudulent reproduction.</p>	<p>A certification documentation replacement policy and procedure is in place and is publicly available.</p>

Replacement

Replacement policy and procedure				
Policy	Verification	Records	Templates	Replacement
<p>On request the RTO permits replacement of AQF certification documentation it has issued in the previous 30 years. Replacements are free of charge.</p>	<p>Verify the identity of the applicant (name, address, date of birth) based on suitable proof of identity documents.</p>	<p>Confirm details of certification to be replaced using records from the AVETMISS-compliant student management system provided by QCAA.</p>	<p>Issued certification documentation is based on templates that meet the requirements of Schedules 4 and 5 of the Standards and the AQF.</p>	<p>The replacement certification documentation shows the current Principal's signature and the original award/attainment date and a re-print date.</p>

Section 2 Issuance checklist

Complete this checklist when the issuance policy requirements have been met.

If 'No' is checked against any condition, report to the RTO Manager and do not proceed.

Issuance policy requirements
<ul style="list-style-type: none"> • All AQF documentation: <ul style="list-style-type: none"> – must be printed using the RTO-approved templates and print stock or stationery (Certification is printed on 150GSM white paper, which is located in the Skills and Training Office) – must not include student USIs – must be issued to students by mail or in person within 30 days of the award/attainment or issuance date – must include one or more of the following fraud prevention measures: <ul style="list-style-type: none"> ▪ organisation's seal (blue seal with St Ursula's logo and RTO no.) ▪ corporate identifier (RTO no.) ▪ unique watermark (STU logo) ▪ document number. (bottom right hand corner) • Records of issuance must be retained for reprinting, archive and audit purposes for a period of 30 years.

Certificate	N/A	Yes	No
Certificate template includes:			
• the RTO name, code and logo	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the qualification code and title	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the NRT logo, as per NRT logo requirements	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• <i>either</i> the AQF logo <i>or</i> the statement: 'This qualification is recognised within the Australian Qualifications Framework.'	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Printing or replacing a certificate using the approved template			
When printing a replacement:			
• has ID confirming student's identity been sighted?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• do records confirm the original certification documentation was awarded?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Has the student's USI been verified? <i>Tick N/A if there is a USI exemption or when issuing a replacement certificate.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the student's name match the verified USI information? <i>Tick N/A if there is a USI exemption or when issuing a replacement certificate.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If a USI exemption has been claimed, has the USI Registrar exemption been sighted?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the data confirm that the student is eligible to be awarded a certificate?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Have all agreed student fees been paid?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the printed certificate include:			
• the Principal's name?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the Principal's actual or digital signature?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the certificate award date?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• the certificate print date?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Record of Results	N/A	Yes	No
Note: A Record of Results may be printed on the back of a certificate or on a separate page.			
Record of Results template:			
<ul style="list-style-type: none"> includes: <ul style="list-style-type: none"> the RTO name, code and logo 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> the mandatory title 'Record of Results' 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> the qualification code and title 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> where relevant, the Record of Results mandatory statement: 'These units/modules have been delivered and assessed in [insert language]' is used and only required if assessed in another language 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> does not include the NRT or AQF logos. 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Printing a Record of Results using the approved template			
Have all conditions for 'Printing a certificate using the approved template' been checked as Yes or N/A for the student? If No, report to the RTO Manager and do not proceed.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the student name match the certificate?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Do the units of competency titles and codes match the certificate?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the award date match the certificate?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is the Principal's name included (signature is optional)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Statement of Attainment (SoA)	N/A	Yes	No
Note: An SoA can be requested by a student or supplied when a student exits a course.			
SoA template includes:			
<ul style="list-style-type: none"> the RTO name, code and logo 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> the mandatory statement: 'These competencies form part of [code and title of qualification/course]' 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> the mandatory statement: 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units.' 	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> where relevant, the mandatory statement 'These units/modules have been delivered and assessed in [insert language]' followed by a listing of relevant units/modules (only required if assessed in another language). 	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Printing or replacing the SoA using the approved template			
When printing a replacement, has ID confirming student's identity been sighted and do records confirm the original SoA was awarded?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Does the data confirm that the student is eligible to be awarded an SoA?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Has the student's USI been verified? <i>Tick N/A if there is a USI exemption or when issuing a replacement SoA.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Statement of Attainment (SoA)	N/A	Yes	No
Does the student's name match the verified USI information? <i>Tick N/A if there is a USI exemption or when issuing a replacement SoA.</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
If a USI exemption has been claimed, has the USI Registrar exemption been sighted?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have all agreed student fees been paid?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are the codes and titles of competencies or modules listed?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is the Principal's name included?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is the attainment date included?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Record of issuance	N/A	Yes	No
The record of issuance includes:			
• the RTO name and code	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• all student names	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• all types of certification documentation issued in the current year	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
• all award, attainment and issuance dates.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Section 3 Systematic monitoring

Completing Section 3 satisfies the requirement of the Standard for systematic monitoring.

The RTO Manager will record the dates when monitoring activities occur, record the outcomes of the monitoring process and detail any rectifications required to ensure ongoing compliance.

A 'No' indicates a non-compliance and must be reported to the RTO Manager. Appropriate rectification must be recorded and actioned.

Relevant Standards: 2.1, 2.2

Systematic compliance monitoring checklist	
Date of successive monitoring activities	Name of person/s conducting successive monitoring activities
28/10/2020	Natasha Oldham
4/11/2020	Marie Previte (EREA) and Natasha Oldham
2/08/2021	Natasha Oldham
26/10/2021	Marie Previte (EREA) and Natasha Oldham
08/11/2022	Marie Previte (EREA) and Natasha Oldham

Monitoring the application of this policy and procedure by the RTO		Record of last monitoring	
		Yes	No
School RTO approval statement (Page 1 of this document)	The following details are current and complete:		
	• school RTO name	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	• the policy and procedure document is dated (start date)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	• QCAA school number	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	• national provider number	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	• Principal's name and contact details	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	• RTO Manager's name and contact details	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	• all delegated officers' names and contact details.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Policy and procedure (Section 1 of this document)	Issuance policy represents current practice.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Issuance procedures represent current practice.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Replacement procedures represent current practice.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Conditions for issuance represent current practice.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Issuance checklist (Section 2 of this document)	Issuance checklist is used for issuing certification documentation.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Replacement	The identity of the applicant is verified if a replacement certification is requested.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Record	Details of all issued certification kept for 30 years.	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Monitoring the application of this policy and procedure by the RTO		Record of last monitoring	
		Yes	No
Data	Data recorded in QCAA's student management system has been checked for accuracy.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Certificates and record of results template	Current approved certificate template is attached.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Current Record of Results template is attached.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	The approved templates are being used.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Student management software accurately records certificates and Records of Results issued.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Certification documentation is issued to a student within 30 calendar days of meeting all the completion requirements.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Statements of Attainment template	Current approved SoA template is attached.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	The approved template is being used.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	Student management software accurately records Statements of Attainment issued.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
	SoA is issued to a student within 30 calendar days if student is exiting the course or school.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Fee schedule	Replacement fee schedule is attached (mandatory if applicable).	N/A	<input type="checkbox"/>

RTO Manager notes	
Comment on the last monitoring activity	<p>28/10//2020 Website reviewed - replacement policy is not on the College website.</p> <p>4/11/2020 Website Compliant</p> <p>2/08/2021 Policy and procedure contains an outdated Record of Results, SoA and Certificate template (previous Principal as CEO)</p> <p>26/10/2021 Policy and Procedure current and evidence of implementation</p> <p>8/11/2022 Revise replacement procedure to provide greater clarity of process (completed) 8/11/2022</p>
List any non-compliances	28/10/2020 - Replacement policy not publicly available on website
List any rectifications	<p>28/10/2020 - Added Replacement policy to website</p> <p>2/08/2021 – Replaced Cert templates with current templates.</p>

Section 4 Explanation of terms

This policy and procedure contains words and expressions which have specific meaning.

Glossary	
Term	Meaning
AQF	The Australian Qualifications Framework (AQF) specifies all qualification types recognised in the National framework. These are certificates, diplomas and degrees. The AQF also specifies mandatory policies that RTOs must have relating to issuing and replacing certification documentation.
AQF certification documentation	The Australian states and territories recognise three types of AQF VET certification documentation; certificates with Records of Results, Statements of Attainment (SoAs) and USI transcripts.
AQF logo	RTOs must include the AQF logo or the words 'The qualification is recognised within the Australian Qualifications Framework' on certificates only. The AQF logo must not be used on SoAs or Records of Results.
AQF Register	School RTOs using QCAA approved student management software meet the AQF register requirements.
AQF replacement certification documentation	The AQF requires all RTOs to have a certification documentation replacement policy. The policy must include verifying the applicant is entitled to replacement certification.
Attainment date	The attainment date is the date the RTO deems the student to have successfully met the requirements of one or more units and is eligible to receive an SoA. (Attainment date only applies to SoAs.)
AVETMISS-compliant data	Accurate and current data is recorded in a timely manner in QCAA approved student management software. QCAA sends AVETMISS data to the National Centre for Vocational Education Research (NCVER) on behalf of school RTOs under the delegation.
AVETMISS-compliant student management system	Accurate student VET enrolment and outcome records maintained in QCAA approved student management software meet AVETMISS requirements. School RTOs operating under the QCAA delegation only report VET data to the QCAA. Current software includes: SDCS, SLIMS and Student Management (2018 Year 10 students).
Award date	The award date is the date the RTO deems the student to have successfully completed all requirements of a qualification. Award date only applies to a certificate.
Certificate	A certificate is an official AQF document that confirms that a qualification has been awarded to an individual.
Evaluate	Assess the findings of the monitoring to determine if the certification policies and procedures are adhered to.
Fraudulent Prevention Measures	All AQF certification documentation issued or replaced must include one or more fraud reduction measures.
Monitor	The ongoing process of regularly collecting and analysing relevant information to determine if the certification documents are issued in accordance with this policy and procedure.

Glossary	
Term	Meaning
Nationally Recognised Training (NRT) logo	The logo used nationally to signify training packages and VET accredited courses. It must NOT be included in Records of Results. Conditions for using the NRT logo are found in Schedule 4 of the Standards.
Qualification	All students must be enrolled in a specific qualification. The student is issued certification documentation on successfully completing all training package or accredited course requirements.
Quality assurance processes	Quality assurance processes ensure RTO's policies and procedures are followed and regularly monitored. This directly relates to Sections 1, 3 and 4 of this document.
Records	The RTO's 30-year retention of student enrolments and outcomes data. These records must be accessible to reissue certification documents whenever requested by past students and to provide reports on request by the QCAA.
Record of Results	The Record of Results is the document that accompanies a certificate detailing all the units making up the successfully completed qualification. It does not include the AQF or NRT logos. This is not a SoA.
Review	Identify and implement recommendations resulting from the evaluation of current practices to ensure quality services are being delivered and meet the needs of the students.
RTO officers	Any person delegated by the Principal to ensure the RTO's AQF Issuance and Replacement policy and procedure is followed.
Statement of Attainment (SoA)	A Statement of Attainment officially lists successfully completed units forming part of a qualification.
Student management system (SMS)	AVETMISS-compliant software. Currently SDCS for Queensland school RTOs. In 2018 this also includes the QCAA Student Management software for Year 10 students. USIs are recorded in SLIMS.
Systematic monitoring	The process of collecting, analysing and using information to track progress towards maintaining compliance and consistency across the RTO's operations.
Templates	The RTO approved templates for certificates and records of results and SoAs attached to this policy and procedure.
Timeframe	Number of calendar days between the last completion date recorded for the units of competency and the date that the certification document was issued to a student. This timeframe must not exceed 30 days.
Unique Student Identifier (USI)	The RTO must hold a verified USI or exemption granted by the Commonwealth USI Registrar prior to issuance of AQF certification documentation.
Verification	Confirmation of the applicant's proof of identity and confirmation of the entitlement of the applicant for initial issuance. This will be the data held in the QCAA approved SMS. Verification will also be required before providing replacement certification.

Attachments

- Record of Results template: p.11
- Record of Results sample: p. 12
- Statement of Attainment template: p. 13



St Ursula's College, Yeppoon
RTO Number 30032

This is to certify that

«Student_Name»

has fulfilled the requirements for

«Course_Number» «Course_Name»

Awarded: «Awarded_Date»

.....
Chief Executive
Deborah Ryan
St Ursula's College, Yeppoon

Printed: «Printed_Date»



«Certificate_Number»



St Ursula's College, Yeppoon

RTO Number 30032

Record of Results

«Student_Name»

has achieved the following units of competency
in «Course_Number» «Course_Name»

«Year_1»	«Code_1»	«Competency_1»	«Results_1»
«Year_2»	«Code_2»	«Competency_2»	«Results_2»
«Year_3»	«Code_3»	«Competency_3»	«Results_3»
«Year_4»	«Code_4»	«Competency_4»	«Results_4»
«Year_5»	«Code_5»	«Competency_5»	«Results_5»
«Year_6»	«Code_6»	«Competency_6»	«Results_6»

Awarded: «Issued_Date»

.....

Chief Executive

Deborah Ryan

St Ursula's College, Yeppoon

«Certificate_Number»

STATEMENT OF ATTAINMENT

A Statement of Attainment is issued by a Registered Training Organisation
when an individual has completed one or more accredited units.



St Ursula's College, Yeppoon

RTO Number 30032

This is a statement that

«Student_Name»

has attained

«Unit Code»

«Unit Name»

«Unit Code»

«Unit Name»

«Unit Code»

«Unit Name»

These competencies form part of

SIT10216 Certificate I in Hospitality

Awarded: «Awarded»

.....
Chief Executive

Deborah Ryan

St Ursula's College, Yeppoon



Printed: «Printed Date»

«Certificate Number»