LEADERSHIP
MANAGEMENT
AUSTRALIA

LMA

AQF Certification Policy and Procedure

Leadership Management Australia

1. PURPOSE

1.1   The purpose of this policy and procedure is to outline Leadership Management Australia's Pty Ltd (LMA) approach to ensuring it only issues qualifications, statements of attainment and records of results to Participants who have completed all requirements of the course they are enrolled in.

1.2   It outlines the systems in place to ensure Certification is issued correctly and only after Participants have fully demonstrated competence against the required units or modules.

1.3   This complies with the Australian Qualifications Framework (AQF)and the Standards for Registered Training Organisations (2015), Standard 3, Schedules 4 & 5 and the Student Identifiers Act 2014.

2. DEFINITIONS

AQF means Australian Qualifications Framework which can be accessed at http://www.aqf.edu.au/

AQF Qualifications Issuance Policy means the national policy outlined in the AQF and available at

https://www.aqf.edu.au/publication/aqf-qualifications-issuance-policy

ASQA means Australian Skills Quality Authority which is the national VET regulator and the RTO's Registering body

Certification document means a Testamur, Statement of Attainment or Record of Results.

Course means any nationally recognised qualification, unit of competency, skill set or short course in which a Participant is enrolled with the RTO.

Record of Results is a record of all the units and modules completed and their results that lead to an AQF qualification or VET Accredited Course being issued and is issued alongside an AQF qualification or Statement of Attainment. Participants who complete part of the requirements of an AQF qualification are entitled to receive a record of results.

SRTOs means the Standards for RTOs 2015 – refer definition of 'Standards'

Standards means the Standards for Registered Training Organisations (RTOs) 2015 of the VET Quality Framework which can be accessed from www.asqa.gov.au

Statement of Attainment confirms that one or more nationally recognised units or modules has been achieved by an individual but is only used where there has been partial completion of a qualification or VET accredited course.

Testamur is an official Certification document that confirms that an AQF qualification has been awarded to an individual. This may be called an 'award', 'qualification' 'parchment', or 'Certificate'.

Unique Participant Identifier means a unique number assigned to an individual by the Registrar, in accordance with the Participant Identifiers Act 2014.

3. POLICY

3.1 Certification issuance

3.1.1   In accordance with the Standards, LMA issues AQF Certification documentation to Participants who have been assessed as meeting the requirements of a unit, module, qualification or course as specified in the relevant Training Package or VET Accredited Course.

3.1.2   All AQF Certification documents issued by LMA will meet the requirements of Schedule 5 of the Standards, as well as the requirements of the National AQF Qualifications Issuance Policy.

3.1.3   Certification documents will be issued within 30 days of the Participant being assessed as meeting the requirements of the Course, providing that all course/tuition fees have been paid.

3.1.4   In some states traineeship contracts require Certificates and Statements of Attainment to be provided to Participants in less the 30 days. Where this is the case the Certificate or Statement of Attainment will be provided in the timeframe that meets the state regulations.

3.1.5   LMA will not issue a Certificate or Statement of Attainment to a Participant without having verified the Participant's Unique Student Identifier (USI), unless the Participant has obtained a USI exemption from the Commonwealth Department of Education and Training.

3.1.6   Certificates, Statements of Attainment and Records of Results are provided at no cost to Participants when they complete or withdraw from their course.

3.2 Authenticity

3.2.1   To ensure authenticity of our Certification documents and to ensure they cannot be fraudulently reproduced, our Certification documents:
- Include an individual Certificate number on them that can be authenticated against our database.
- Include our embossed/ branded sticker seal/watermark which is difficult to re-produce.
- All important information including date, Participant name and title of qualification/course is printed on a coloured watermark/background, so they are difficult to tamper with.

3.2.2   Members of the public are welcome to contact our office to confirm the details of any Qualification, Statement of Attainment or Record of Results issued by LMA. The person making the enquiry must provide the details of the document including Participant name, qualification or unit details, issue date and document number.

3.2.3   This information is published in the Participant Handbook and LMAs website to ensure members of the public have the information they need to authenticate our Certification documents.

3.3 Record keeping

3.3.1 LMA:
- Retains a Registry of AQF qualifications it is authorised to issue and of all AQF qualifications issued, in its Participant management system.
- Retains records of AQF Certification documentation issued for a period of 30 years, on its Participant management system.
- Reports the AQF Qualifications issued to ASQA on a regular basis as required by ASQA.

3.4 Unique Participant Identifiers (USIs)

3.4.1 The LMA
- Will not issue AQF Certification documentation to an individual without being in receipt of a verified USI for that individual, unless an exemption applies under the Participant Identifiers Act 2014.
- Unique Participant identifiers will not be included on a Statement of Attainment or a Testamur.

3.5 Replacement or Reissuing

3.5.1 Participants can request that a Certificate or Statement of Attainment be replaced if the original Certificate is lost or damaged.

3.5.2 If Participants require a Certificate, Statement of Attainment or Record of Results to be reissued a fee of $35 will be charged.

3.5.3 Current and past Participants can request a copy of their Certification documents at any time. There may be an additional cost for re-issuance, as detailed in the Fees and Refunds Policy & Procedures.

3.6 Revoking of Certificate

3.6.1 Certificates or Statements of Attainment that have been incorrectly issued must be revoked. The National Quality and Compliance Manager will write to the Participant explaining the reason why the Certificate or Statement of Attainment is being revoked and request the return of the original Certificate or Statement of Attainment. A Registry of revoked Certificates and Statements of Attainment is retained. The returned Certificates and Statements of Attainment are recorded as returned on the Registry of Revoked Certificates before being destroyed.

3.6.2 Where applicable, corrected Certificates and Statements of Attainment will be reissued. A reissued Certificate or Statement of Attainment will have a new document number.

Procedures

1. Setting up Certification document templates

Procedure	Responsibility

A. Testamur
 	
• The following information <u>must</u> be included on a Testamur:
 	
  − The Participant's full name
 	
  − The code and title of the awarded AQF qualification
 	
  − The occupational or specialisation stream, in brackets e.g. (Fabrication) where applicable
 	
  − The RTO legal name, National RTO Code and logo of LMA
 	
  − The statement "The qualification is recognised within the Australian Qualifications Framework".
 	
  − Date of issue or award
 	
  − The Authorised Signatory of LMA and their name
 	
  − The NRT logo in accordance with its conditions of use outlined in Schedule 4 of the Standards
 	
  − The LMA (RTO's) seal, corporate identifier or unique watermark
 	
• A Certificate or Testamur number, and printing date may also be included.
 	
• The following information must be included as applicable:
 	
  − Where a Certificate has been undertaken through a traineeship it will also contain the following statement as appropriate for the state:
 	
    ▪ Achieved through Australian Apprenticeship arrangements' (VIC, NSW, QLD, ACT)
 	
    ▪ Achieved through traineeship arrangements (WA)
 	
    ▪ Achieved under an approved South Australian Apprenticeship or Traineeship Pathway (SA)
 	
    ▪ Achieved through an apprenticeship or traineeship arrangement (TAS, NT)
 	
  − The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities. e.g., User Choice contracts)
 	
  − Where relevant (e.g., languages other than English) the words 'these units/modules have been delivered and assessed in (insert language)', followed by a listing of the relevant units/modules.
 	
• The Participant's Unique Participant Identifier (USI) **must not** be included on the Testamur.
	Administration Team
	
	National Quality and Compliance Manager

Procedure	Responsibility

B. Statement of Attainment
 	
• The following information <u>must</u> be included on a Statement of Attainment:
  – The Participant's full name
  – The units and/or modules achieved by their full title and national code
  – The RTO legal name, National RTO Code and logo of LMA
 	
  – The date the statement is issued
  – The words 'A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units'
  – The Authorised Signatory of LMA
  – The NRT logo in accordance with its conditions of use outlined in Schedule 4 of the Standards
  – The LMA (RTO's) seal, corporate identifier or unique watermark
• A statement number and printing date may also be included.
 	
• The following information must be included as applicable:
 	
  – The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities)
  – The words 'These competencies form part of [code and title of qualification(s)/course(s)]'
  – The words, 'These competencies were attained in completion of [code] course in [full title]'
  – Where the units have been delivered and/or assessed in a language other than English, the words 'these units/modules have been delivered and assessed in (insert language)', followed by a listing of the relevant units/modules.
• The Participant's Unique Participant Identifier (USI) ***must not*** be included on the Statement of Attainment.
	Administration Team
	
	National Quality and Compliance Manager

C. Record of results
 	
• The following information should be included on a Record of Results:
  – The Participant's full name
  – The units and/or modules achieved by their full title, national code and the relevant results
  – The name, National RTO Code and logo of LMA
  – The date the record of results is printed
  – The RTO's seal, corporate identifier or unique watermark to ensure the document is able to be authenticated and to reduce fraudulent use
• The following information ***must not*** be included on a Record of Results:
  – The Participant's Unique Participant Identifier (USI)
  – The AQF logo or reference to the AQF
 	
  – The NRT logo
	Administration Team
	
	National Quality and Compliance Manager

2. Issuing Testamurs and Records of Results

Procedure	Responsibility

A. Check eligibility
 	
• Once a Participant has completed all the units or modules in a qualification, they are eligible to have their qualification issued. Participants who have completed a qualification and have paid all fees must have their qualification issued within 30 calendar days of completing the requirements of the qualification.
 	
• Use the *Qualification and Statement of Attainment Issuing Checklist* to check a Participant's eligibility for a qualification to be issued.
 	
• Ensure LMA has either:
 	
    − a verified Participant identifier for the Participant, or
 	
    − a notice of exemption for the individual, by the Participant Identifiers Registrar.
 	
• Where a Participant has completed the requirements of a qualification but have not paid all their fees, they are to be followed up about fee payment in order that their qualification can be issued. In this case, the qualification should be issued within 30 calendar days of receiving the final payment.
 	
• A Testamur will be accompanied by a record of results.
 	
• Use the *Qualification and Statement of Attainment Issuing Checklist* to double check all items relating to Participant's eligibility for completion and make the final determination as to whether Participant is eligible for completion.
	Administration Team
	
	National Quality and Compliance Manager

B. Award the qualification • If eligible for completion – the issue of the qualification is administered through the Participant management system either FBOL or VetTrak • The date of issue should be the date on which the award is generated/issued. • This will automatically add the qualification to the *Award Registry Report*.	Administration Team National Quality and Compliance Manager
C. Print Testamur and record of results • Use the approved template to print the Testamur. This is available on (insert name of Participant management system if applicable or other location) which will automatically include the required details on the Testamur. • Use the approved template to print the Record of Results. This is available on (insert name of Participant management system if applicable or other location) which will automatically include the required details on the record. • Ensure the details printed on the Testamur and Record of Results are accurate in accordance with the *Qualification and Statement of Attainment Issuing Checklist* and recorded on the *Award Record Registry*.	Administration Team National Quality and Compliance Manager

Procedure	Responsibility
D. Issuance of Testamurs • Supply printed Testamur and Record of results to Authorised Signatory along with the completed checklist. • Approve and sign printed Testamurs if all correct. • Keep a copy of the Testamur and record of results on the Participant's file. • Issue to Participant and record the item reference on the *Award Record Registry.*	Administration Team National Quality and Compliance Manager

3. Issuing Statements of Attainment

Procedure	Responsibility

A. Check eligibility
 	
• A Participant who has partially completed a qualification, or has completed a single unit, skill set or some VET Accredited Courses that commence with the words 'Course in…', are to be issued with a Statement of Attainment. This includes a Participant who withdraws from a Course and has completed some units or modules.
 	
• A Statement of Attainment should only be issued if all fees due have been paid.
 	
• Use the *Qualification and Statement of Attainment Issuing Checklist* to check a Participant's eligibility for a qualification to be issued.
 	
• Ensure LMA has either:
  − a verified Participant identifier for the Participant, or
  − a notice of exemption for the individual, issued by the Participant Identifiers Registrar.
• Where a Participant is eligible for a Statement of Attainment but has not paid all fees due, they are to be followed up about fee payment in order that their Statement of Attainment can be issued. In this case, the Statement of Attainment should be issued within 30 calendar days of receiving the final payment.
 	
• A Statement of Attainment does not need to be accompanied by a Record of Results unless specifically requested.
 	
• Use the *Qualification and Statement Issuing Checklist* to double check all items relating to Participant's eligibility for completion and make the final determination as to whether Participant is eligible to receive their Statement of Attainment.
	Administration Team
	
	National Quality and Compliance Manager

B. Record the Statement of Attainment • Record the issuing of the Statement of Attainment through the Participant management system FBOL or VetTrak. • The date of issue should be the date on which the award is generated/issued. • This will automatically add the qualification to the Award Record Registry in the Participant management system. • Issue to Participant and record the item reference on the *Award Record Registry.*	Administration Team National Quality and Compliance Manager

Procedure	Responsibility
C. Print Statement of Attainment • Use the approved template to print the Statement of Attainment. This is available on the LMA Participant management system which will automatically include the required details on the Statement. • If applicable, use the approved template to print the Record of Results. This is available on the Wise Net Participant management system which will automatically include the required details on the record. • Ensure the details printed on the Statement of Attainment are accurate as per the *Qualification and Statement of Attainment Issuing Checklist* and record on the *Award Record Registry*.	Administration Team National Quality and Compliance Manager
D. Issuance of Statement of Attainment • Supply printed Statement of Attainment to the Authorised Signatory along with the checklist. • Approve and sign if all details are correct. • Keep a copy of the Statement of Attainment on the Participant's file. • Issue to Participant and record the item reference on the *Award Record Registry.*	Administration Team National Quality and Compliance Manager

4. Reissuing Certification documents

Procedure	Responsibility
A. Check and re-print document • Upon request for re-issuing of a Qualification Testamur, Record of Results or Statement of Attainment, find the details of the original document issued. • A fee for re-issuing may be applicable – refer to current *Fees, Charges & Refunds Policy & Procedure.* • Ensure the document is printed with the same details as the original document. If a printing date is included, this is the only detail that may be different.	Administration Team National Quality and Compliance Manager
B. Re-issuance • Supply to Authorised Signatory along with details/copy of original document for cross referencing. • Approve and sign if all details are correct • Keep a copy of the re-issued document on the Participant's file. • Issue to Participant and record the item reference on the *Award Record Registry.*	Administration Team National Quality and Compliance Manager

SUPPORTING DOCUMENTS

• LMA Certificate Issue Registry

• AQF Qualifications Issuance Policy (2012)

• NRT Logo Conditions of Use