



**COMPLETION, WITHDRAWAL AND
CERTIFICATE ISSUANCE
POLICY AND PROCEDURE**



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1. Overview of the certificate issuance policy and procedure

1.1. Purpose

Allara is committed to protecting the integrity of the Australian Qualifications Framework. The integrity of Australian Qualifications Framework (AQF) qualifications is protected by:

- Legislation that provides for the accreditation of qualifications and organisations authorised to issue qualifications by accrediting authorities
- Quality assurance arrangements for qualifications and authorised issuing organisations
- Nationally consistent use of certification documentation, and
- Nationally consistent and correct use of AQF qualification titles

This policy sets out the procedures Allara will undertake to ensure that participants complete their study in a training product within the defined contract period or are withdrawn from studies prior to the expected completion date of the training contract and that the AQF certification for the training product is issued within reasonable timeframes.

1.2. Definitions

Allara – Allara Investments Pty Ltd, trading as Allara learning and is inclusive of; Tactical Training Group Pty Ltd, RTO provider No: 91054 (TTG) and W G learning Pty Ltd, RTO Provider No: 91178 (WGL).

TTG - Tactical Training Group Pty Ltd, RTO provider No: 91054 (TTG)

WGL– W G learning Pty Ltd, RTO Provider No: 91178 (WGL)

Scope means, Scope of registration and consists of; the list of training package qualifications, units of competency or state accredited courses which a training organisation is registered to provide the services offered: either training and assessment, or assessment only

Training package means the components of a training package endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages. The endorsed components of a training package are: units of competency; assessment requirements (for individual units of competency); qualifications; and credit arrangements. A training package also consists of a non-endorsed, quality assured companion volume/s which contains industry advice to RTOs on different aspects of implementation.

Training product means, a course, AQF qualification, accredited course, skill set or unit of competency currently or previously endorsed by the Industry and Skills Council or its delegate in accordance with the Standards for Training Packages

Training Plan means a document describing the formal off the job training provided by the RTO and is inclusive of; Units of competency to be trained and assessed, dates of training, methods of assessment, assessment outcomes and date of competence, employer support of competence.

1.3. Scope

The policy applies to all participants of Allara Learning (Allara) inclusive of participants undertaking training and assessment with Tactical Training Group Pty Ltd, RTO provider No: 91054 (TTG) and W G learning Pty Ltd, RTO Provider No: 91178 (WGL) leading to an AQF qualification.

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It covers all training products on scope, AQF qualifications and, through the issuance of a statement of attainment, accredited units regardless of where and how they are delivered (for example onshore, off shore, on the job, in the classroom, workplace, online, through formal study or assessment).

1.4. Policy

- 1.4.1. Allara will ensure that participants complete their study within a training product within the defined contract period by;
 - i. Conducting regular training and assessment sessions
 - ii. Reviewing participant progress on a monthly basis
 - iii. Communicating with participant and employer (if applicable) with regard to participant progress
 - iv. Making application for extension of contract where applicable
 - v. Completing assessment in all units of competency contained within the training plan by the expected completion date
- 1.4.2. Where completion of a training product is not achievable Allara will withdraw the participant from the training product within a reasonable timeframe.
- 1.4.3. Allara will ensure that when producing and issuing certificates and/or statements of attainment for participants that:
 - i. Participants receive the certification documentation to which they are entitled
 - ii. AQF qualifications are correctly identified in certification documentation
 - iii. AQF qualifications are protected against fraudulent issuance
 - iv. A clear distinction can be made between AQF qualifications and non-AQF qualifications
 - v. Certification documentation is used consistently across the education and training sectors, and
 - vi. Participants and others are confident that the qualifications they have been awarded are part of Australia's national qualifications framework – the AQF.
 - vii. Prior to issuing the AQF qualification and/or statement of attainment the students unique student identifier (USI) is verified with the registry unless an exemption applies under the Student Identifiers Act 2014
 - viii. The student management system will be configured to prevent issuance of certification where a there is no record of a valid USI
 - ix. Limited staff has access to the student management system for which to produce and issue AQF qualification Certificate and statement of attainments from
 - x. Certificates and/or statements of attainment are issued within 30 days of course completion or withdrawal

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2. Completion procedure

2.1. Monitoring progress and expected completion dates

- 2.1.1. On the fifteenth (15th) day of each calendar month or next business day if falls on a non-operational day, the administrator will;
- i. generate a three (3) month to completion report to identify participants that are expected to complete within a three (3) month period, and;
 - ii. issue the report to the Client Relations Manager and Training Facilitator
- 2.1.2. The Training Facilitator and Client Relations Manager are to;
- i. review the participant's progression of training, and
 - ii. determine if completion is achievable within the required timeframe, and
 - a. notify the National General Manager if completion is not achievable and extension of contract is required, or
 - b. lodge a withdrawal form as soon as practicable

2.2. Completion of training

- 2.2.1. To complete the participants study within a training product, the Training Facilitator is to;
- i. Finalise assessment in all units of competency within the participants training plan
 - ii. Ensure the training plan is completed by;
 - a. Marking all units of competency with an assessment outcome and outcome date
 - b. Identifying assessment methods used for each unit of competency
 - c. Ensuring employer support of competence is attained (if applicable)
 - iii. Issue a completion form and have all stakeholders of the training contract, RTO, Participant and Employer (if applicable) sign in agreement of the completion
 - iv. Ensure the participant completes an AQTF satisfaction survey

2.3. Completion notification

- 2.3.1. To notify of the completion the training facilitator is to; Submit to administration the end of week report and paperwork inclusive of; final assessments, completion form, finalised training plan and AQTF survey
- 2.3.2. Upon receipt of the completion notification the administrator will undertake the Certificate issuance procedure as described at item 4.

3. Withdrawal or cancellation procedure

3.1. Monitoring participant progress

3.1.1. Participant progress is to be monitored on a regular basis in accordance with item 3.7 of the Training and assessment policy and procedure.

3.2. Withdrawal or Cancellation notification

3.2.1. To notify of the participant withdrawal or cancellation the training facilitator is to;

- i. Create a file note against the participants records in the student management system by;
 - a. Selecting the file note category "Participant Enrolment Status"
 - b. Selecting the template "Cancellation Pending"
 - c. Completing the relevant details of the template including; reason for cancellation and training end date
 - d. Assigning the file note to the Client Relations Manager with a follow up date of 5 business days

Note: File note can be associated (linked) to the employer if applicable

3.2.2. The Client Relations Manager is to review their allocated file note tasks on a daily basis, and;

- i. For all assigned "Cancellation Pending" file notes;
 - a. Collect a signed cancellation form from the participant and employer (if applicable)
 - b. Submit the signed cancellation form to the administration department

3.2.3. Upon receipt of the withdrawal or cancellation notification the administrator will undertake the Certificate issuance procedure as described at item 4.

4. Certificate issuance procedure

4.1. Notification of completion or withdrawal

- 4.1.1. Notification of the requirement to issue certification is received from the Client relations manager and/or the Training Facilitator by the submission of a completion or withdrawal form with the form being as detailed at item 2 and item 3.

4.2. File audit, quality assurance

- 4.2.1. Upon Completion and or cancellation/withdrawal of a participant from the training program and prior to issuing an AQF qualification and/or statement of attainment the RTO administrator will:
- i. Check the Student Management System record that the participants Unique Student Identifier (USI) has been verified with the registry (unless an exemption applies under the Student Identifiers Act 2014)
 - a. When no USI is present and the participant is in a registered contract as a trainee or apprentice with a state regulatory body/ department, contact the participant to create / verify a USI
 - USI created / verified; continue with completion procedure, step II
 - USI not created / verified; send notification to the relevant state department of the pending completion and estimated timeframe for finalisation of the participants record
 - Record correspondence with participant and relevant state department against participant in the Student Management System
 - b. When no USI is present and the participant is a fee for service / commercial fee paying participant, contact the participant to create / verify a USI
 - USI created / verified; continue with completion procedure, step II
 - USI not created / verified; File note correspondence with participant in the Student Management System
 - Notify state or territory regulatory body when three (3) attempts have been made to acquire and verify the participants USI without success.
 - ii. Review the participants hard copy file and conduct a completion and or cancellation/withdrawal audit to ensure that:
 - a. completed units of competency are in line with the training plan
 - b. all records of results for each unit of competency are accurately recorded within the student management system
 - c. all required documentation and evidence of assessment is contained within the participant file

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4.3. Certificate issuance

4.3.1. For all participant files deemed compliant, the administrator will;

- iii. Produce Certificates and or Statement of attainments whichever is applicable within the student management system
- iv. Print Certificates and or Statement of attainments whichever is applicable are on the required certificate or statement paper stock
- v. Verify that the Certificate and or Statement of attainment meets the requirements of Schedule 5 of the Standards for RTO's 2015 (Schedule 5 below)
- vi. Scan completed Certificates and or Statement of Attainments and save a record of this in the Certificate archive folders located on g:drive
- vii. Record the issuance of the AQF qualification Certificate and or Statement of attainment in the Qualifications issued register (Managed within the Student Management System)

Note: AQF certification documentation must be issued within 30 calendar days of the participant's final assessment being completed or exiting their course, providing all fees have been paid.

The below procedural step is specific to Western Australia Only

sub-regulation 52(2) of Vocational Education and Training (General) Regulations 2009 states that within 21 days after the date on which a training contract is successfully completed, the nominated training provider under the contract must give the chief executive a written notice stating the date on which the contract was successfully completed.

- viii. Within 21 days after the date on which a training contract, under its terms, is successfully completed, the relevant trainee or apprentice record is to be updated on the TRS including;
 - a. Employer sign-off checkbox
 - b. Final completion checkbox
 - c. Actual completion date
 - d. RTO representative name
 - e. Certificate issue date
- ix. To ensure that notification is provided within the 21-day period the administration manager is to run a completion report on a weekly basis and;
 - a. identify all Western Australia completions
 - b. Log into TRS and complete the student as in item 4.3.1.viii

Note: if unable to process completion for any reason within this 21 day period, notification and a description of the reason for this must be provided to the Apprenticeship office via email to; apprenticeshipoffice@dtwd.wa.gov.au

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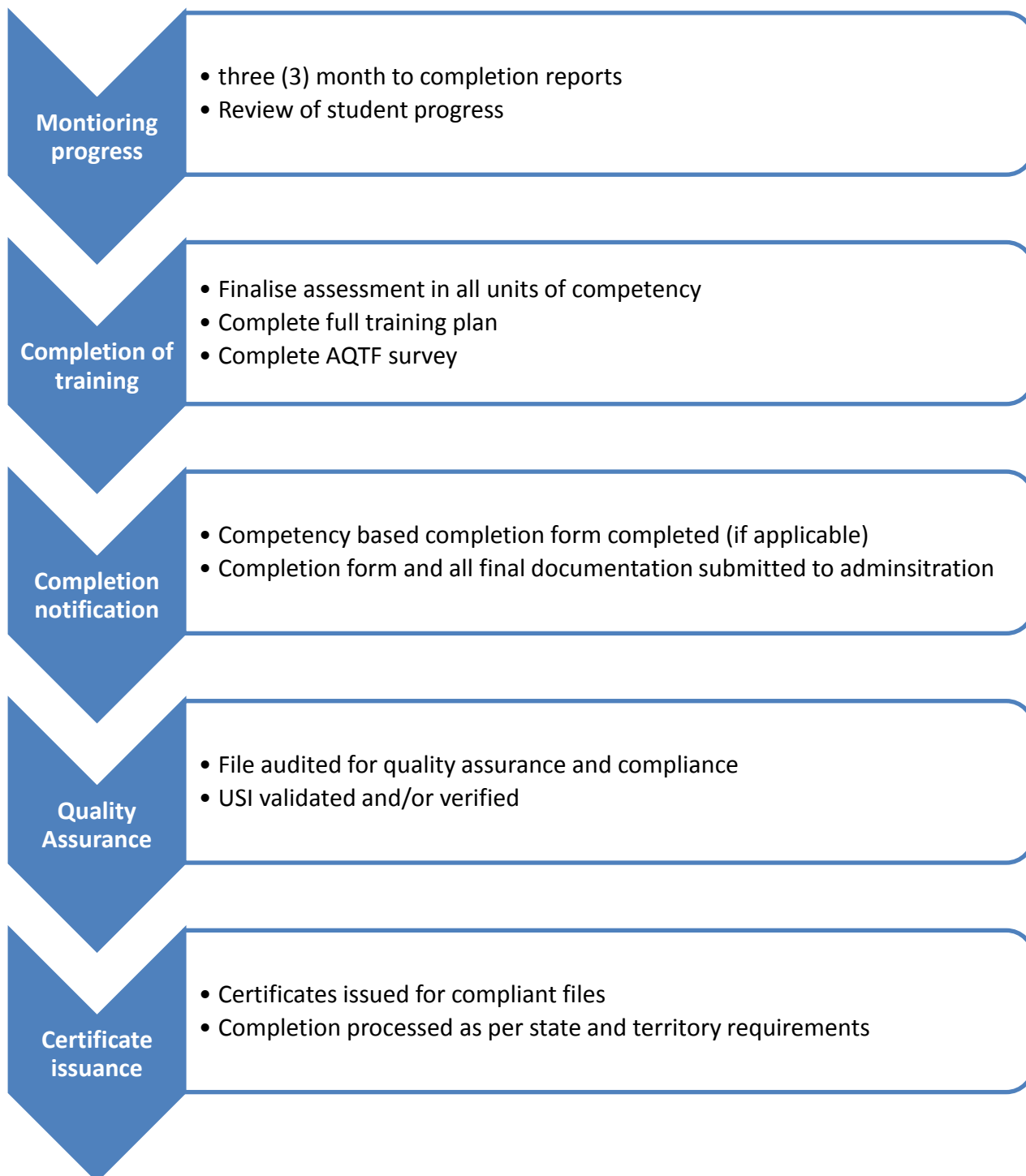
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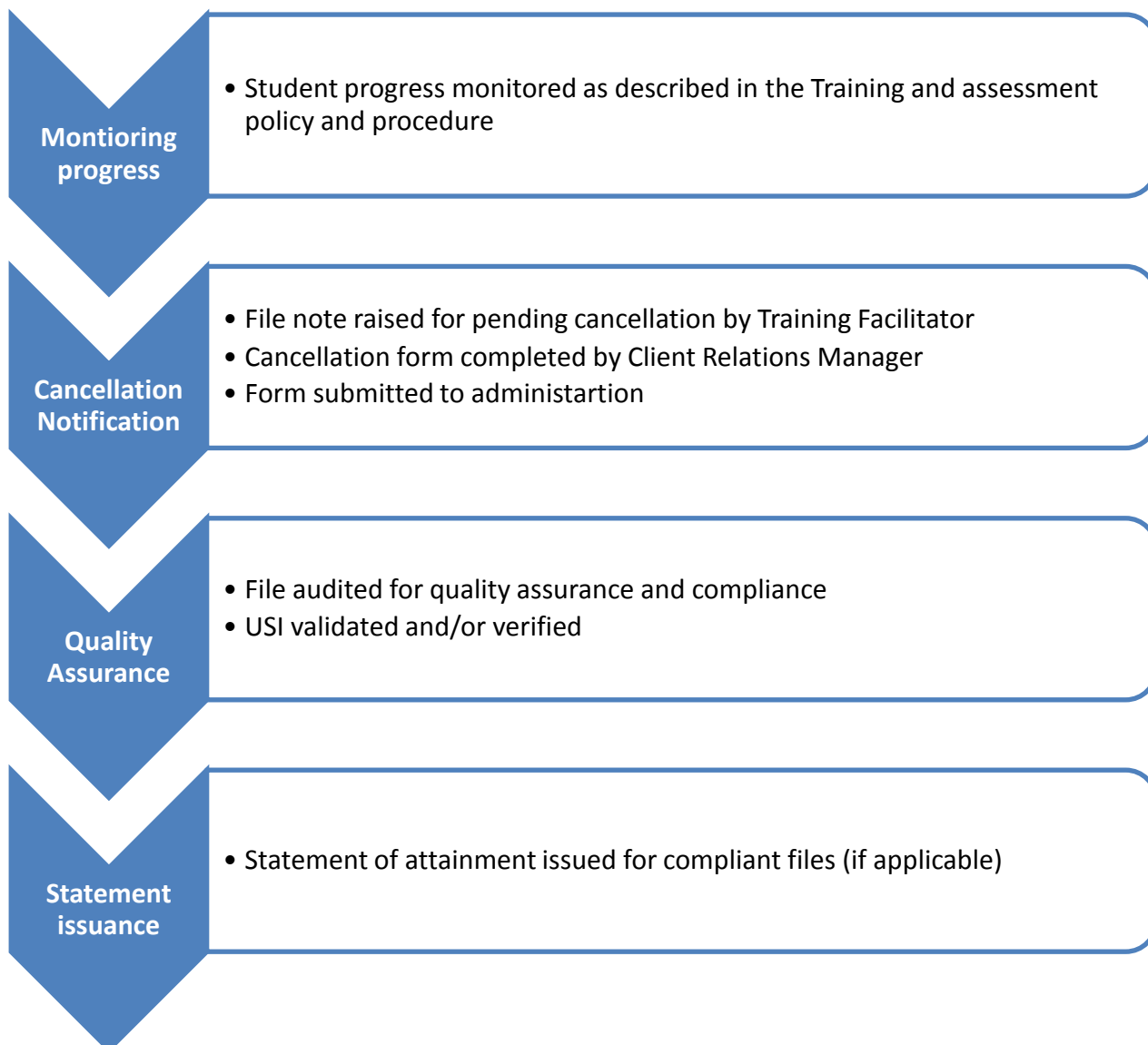
The below procedural step is specific to Australian Capital Territory Only

- viii. Within 30 days after the date on which a training contract, under its terms, is successfully completed, written notice is to be given stating the date on which the contract was successfully completed. To do so the relevant trainee or apprentice record is to be updated in AVETARS including;
 - Actual completion date
 - RTO representative name
 - Certificate issue date
- ix. To ensure that notification is provided within the 30-day period the administration manager is to run a completion report on a weekly basis and;
 - identify all Australian Capital Territory completions
 - Log into TRS and complete the student as in item 4.3.1.viii

5. Completion process flow chart



6. Withdrawal or cancellation process flow chart



7. Related Documents

- Change of enrolment details form (Allara)
- Contract variation forms – Cancellation and /or completion (State or Territory authority approved)
- Standards for registered training organisations 2015 – Schedule 5

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Standards for registered Training Organisations 2015 - schedule 5

Application of the AQF Qualifications Issuance Policy within the VET Sector

RTOs must meet the requirements of the AQF for issuing AQF qualifications and statements of attainment, in addition to the following requirements.

Issuing AQF Qualifications

1. RTOs must include the following information on the testamur, in addition to the requirements of the AQF Qualifications Issuance Policy:
 - the name, National RTO code and logo of the issuing organisation
 - the code and title of the awarded AQF qualification, and
 - the NRT Logo in accordance with the current conditions of use contained in Schedule 4.
2. The following elements are to be included on the testamur as applicable:
 - the State / Territory Training Authority logo (only where use of the logo is directed by State / Territory Training Authorities, e.g. within User Choice contracts)
 - the industry descriptor, e.g. Engineering
 - the occupational or functional stream, in brackets, e.g. (Fabrication)
 - where relevant, the words, 'achieved through Australian Apprenticeship arrangements', and
 - where relevant, the words, 'these units/modules have been delivered and assessed in <insert language> followed by a listing of the relevant units/modules
3. RTOs must not include the learner's Student Identifier on the testamur consistent with the Student Identifiers Act 2014
4. RTOs will:
 - retain registers of AQF qualifications they are authorised to issue and of all AQF qualifications issued
 - retain records of AQF certification documentation issued for a period of 30 years, and
 - provide reports of Records of qualifications issued to its VET Regulator on a regular basis as determined by the VET Regulator.

Issuing Statements of Attainment

5. RTOs must include the following information on a statement of attainment:
 - the name, National RTO Code and logo of the issuing organisation
 - a list of units of competency (or modules where no units of competency exist) showing their full title and the national code for each unit of competency
 - the authorised signatory
 - the NRT Logo

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- the issuing organisation’s seal, corporate identifier or unique watermark
 - the words ‘A statement of attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units
 - The following elements are to be included on the statement of attainment 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]’, and
 - where relevant, the words, ‘these units / modules have been delivered and assessed in <insert language>’ followed by a listing of the relevant units/modules
6. RTOs must not include the learner’s Student Identifier on the statement of attainment consistent with the Student Identifier Act 2014
7. RTOs will:
- maintain registers of all statements of attainments issued
 - retain records of statements of attainment issued for a period of 30 years, and
 - provide reports of its records of statements of attainment issued to its VET Regulator on a regular basis, as determined by the VET Regulator.

Refer to	Standard 3	Responsible Manager	National General Manager
Policy Issued	13/12/2016	Version Control	Version 5 – 12/2016