



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



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Completion, Withdrawal and Certificate issuance Policy and procedure



1. Overview of the certificate issuance policy and procedure

1.1. Purpose

Allara is committed to the integrity and credibility of the qualifications it issues, by ensuring that it meets the requirements of the AQF Qualifications Issuance Policy and Schedules 4 and 5 of the RTO Standards 2015.

This policy sets out the internal procedures and controls Allara will utilise to ensure that the AQF certificates Allara issues for its training products under its scope of registration: are issued only to learners following adequate assessment; comply with the RTO standards and the AQF policy including fraud prevention measures; are issued to the learner within 30 calendar days of completion; and are compliant with the requirements of the Unique Student Identifier scheme.

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.

"Three lines of defence" model - Allara has adopted a three lines of defence model approach to Compliance, which clearly identifies the roles of the business operations (first Line) Compliance (second Line) and Assurance performed by the General Manager Education (third line). First line business operations are responsible for procedural compliance and ensuring certificates are issued in accordance with AQF standards and rules. The second line of defence is responsible for ensuring procedures comply with Standards and Rules, and undertakes testing to ensure procedures are consistently and accurately understood and followed. The third line of defence independently reviews and challenges the effectiveness and accuracy of the operation of the first and second lines of defence and provides assurance to the CEO on Allara's Compliance and progress on any areas identified for continuous improvement.

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1.3. Scope

The policy applies to Allara Learning (Allara) including Tactical Training Group Pty Ltd, RTO provider No: 91054 (TTG) and W G learning Pty Ltd, RTO Provider No: 91178 (WGL), its participants and employers.

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

1.4. Policy

- 1.4.1. Allara will ensure that sufficient controls are in place so that it issues AQF certificates only to participants validly assessed as competent
- 1.4.2. Allara will also ensure that student data is accurate and complete when entered into the student management system (Job Ready) and Quality Assurance (QA) checked by Compliance before the certificate issued
- 1.4.3. Allara complies with the requirements of the Student Identifiers Act 2014 by having processes in place to collect a participants Unique Student Identifier (USI) and Allara's student management systems (Job Ready) has the inbuilt capability to create and verify a participants USI and to prevent issuance of certification where there is no record of a valid USI. Further Allara has security policies to protect access to a participant's USI information and to meet its obligations under Australian Privacy Principles in accordance with Allara's Privacy and personal information policy and Unique Student Identifier (USI) policy
- 1.4.4. Allara will ensure that the format of its qualification certificates, statement of attainment certificates and record of results comply with the requirements of schedule 5 of the RTO standards and the requirements specified within the AQF Qualifications Issuance Policy including measures to prevent the fraudulent production of certificates
- 1.4.5. Allara has internal controls to issue certificates to participants within 30 calendar days of completion and to retain records of qualifications and statements of attainment issued for 30 years in accordance with Allara's Records Management Policy and Procedure

2. Issuance of certification control procedure

2.1. General procedures

2.1.1. Allara's employs a "three lines of defence" compliance model where the first line of defence (Administration, Training Facilitators and Client Relationship Managers) are responsible for performing the control procedures set out below.

2.1.2. Allara's issuance of certificates is undertaken in each state.

2.1.3. The second line of defence (Compliance) performs quality assurance on the accuracy and completeness of the training records and the timeliness of the issuance of the certificates.

2.1.4. Compliance report any issues detected to the third line for process or performance improvement.

3. First line control procedures

3.1. Completion procedure - Monitoring progress and expected completion dates

3.1.1. On the fifteenth (15th) day of each calendar month or the next business 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 Training Facilitator and cc the Client Relations Manager and Compliance

3.1.2. The Training Facilitator is to;

- i. review the participant's training progression to determine if completion is achievable within the required timeframe
 - a. if completion of training is achievable refer to point 3.2 below;
 - b. if completion is not achievable and extension of the contract is required advise the Client Relations Manager and the State Manager to lodge an extension form as soon as practicable in accordance with the procedures set out in item 6. Training contract review and updates of the Training and Assessment policy and procedure

3.2. Completion of training

3.2.1. 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 the assessment methods used for each unit of competency; and
 - c. Ensuring employer support of competence is attained (if applicable).
- iii. Issue a completion form (see table 1 for required form) and have all stakeholders of the training contract, Allara, the Participant and if applicable, their Employer (mandatory for all traineeships and apprenticeships) sign in agreement of completion.
- iv. Ensure the participant completes an AQTF satisfaction survey.

3.3. Completion notification

3.3.1. To notify of completion, the training facilitator is to; Submit to administration and cc to Compliance the end of week report and paperwork including: final assessments; completion form, finalised training plan and the completed AQTF survey.

3.3.2. Within two (2) business days of receipt of the completion notification and all required documentation, the administrator will undertake the Certificate issuance procedure as described at item 3.6.

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3.4. Withdrawal or cancellation procedure - Monitoring participant progress

- 3.4.1. Participant progress is to be monitored on a regular basis in accordance with item 4.6 of the Training and assessment policy and procedure.
- 3.4.2. If as a result of monitoring it is identified that the participant is unlikely to complete the program and chooses not to complete the administrator will undertake the withdrawal procedure as described at item 3.5.

3.5. Withdrawal or Cancellation notification

- 3.5.1. To notify of the participant withdrawal or cancellation the training facilitator is to either;
- i. Collect a cancellation form signed by the Participant and Employer if applicable and notifying Client Relations Manager of the forms collection, or
 - ii. Providing written (email) notification to the relevant Client Relations Manager
- 3.5.2. If notified by a training facilitator of participant withdrawal or cancellation from a training program the Client Relations Manager is to;
- i. Collect a signed cancellation form from the participant and employer (if applicable)
 - ii. Submit the signed cancellation form to the administration department and cc Compliance
- 3.5.3. Within two (2) business days of receipt of the withdrawal or cancellation notification the administrator will undertake the Certificate issuance procedure as described in Section 3.6.

3.6. Certificate issuance procedure

- 3.6.1. Notification of completion or withdrawal requirement to issue certification is received from the Training Facilitator and/or Client Relations Manager by the submission of a completion or withdrawal form detailed under item 3.2 to 3.5 above.

3.7. File audit, quality assurance

- 3.7.1. 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 administrator will:
- i. Check the Student Management System (Job Ready) record that the participants 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 (Job Ready)

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- 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 (Job Ready)
 - 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 and training package
 - b. all records of results for each unit of competency are accurately recorded within the student management system (Job Ready)
 - c. all required documentation and evidence of assessment is contained within the participant file
- iii. Produce Certificates and/or Statement of attainments whichever is applicable within the student management system (Job Ready)
- iv. Print Certificates and/or Statements of attainment whichever is applicable on the required certificate or statement paper stock that has been verified to meet the requirements of the AQF Qualifications Issuance Policy and Schedule 5 of the Standards for RTOs 2015
- v. Scan completed Certificates and/or Statements of Attainment and save a record of this in the Certificate archive folders located on g: drive
- vi. Provide a copy of the issued certification to Compliance for Second line control procedures

Note:

AQF certification documentation must be issued within 30 calendar days (21 days for all contracted enrolments in WA) of the participant's final assessment being completed or exiting their course, providing all fees have been paid.

The procedures and deadlines for certification issuance vary slightly for WA and ACT as set out in item 7. State and territory specific policies.

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4. Second line control procedures

4.1. Certification quality assurance

4.1.1. Administrator issues certificate in accordance with item 3.6. Certificate Issuance procedure

4.1.2. Completion certificates and records of results are emailed to compliance on the last business day of each week for approval (Each business day for Western Australia)

4.1.3. Compliance conducts quality assurance of the certification documentation by;

- i. Verifying that the student's unique student identifier is recorded and validated within Job Ready RTO
- ii. Ensuring that the date of issue and completion are accurate with the records of completion or withdrawal
- iii. Each unit of competency is accurately recorded in Job Ready RTO

4.1.4. Compliance notifies the administrator and CRM of Certification that is;

- i. Approved for issuance; go to item 6. Approved certification
- ii. Declined for non-compliances; go to item 5. Declined certification

Note:

See Table 1 for detailed timelines for the certification issuance procedure and the relevant control processes.

5. Declined certification

5.1 Certificate recall

5.1.1. Upon notification from compliance of declined certification documents the administrator will:

- i. disable the original issued certification in the student management system
- ii. mark the hard copy certification as Declined with a date of decline and file the hard copy in the participants hard copy file
- iii. make necessary amendments to student records in the student management system
- iv. create a file note in the student management system (Job Ready) and record;
 - a. the recommendations for rectification
 - b. amendments made to student records, and
 - c. the document number of the cancelled certification

5.2. Certificate re-issue

5.2.1. After necessary amendments to student records have been completed the administrator will re-issue the certification following item 3.7.1. (iii – vi)

6. Approved certification

6.1. Certificate register

6.1.1. For all certificates approved for issuance by Compliance, the administrator will;

- i. Record the issuance of the AQF qualification Certificate and or Statement of attainment in the Qualifications issued register (managed within the Student Management System (Job Ready) and Job Ready can produce a report over any given timeframe of statements of attainment and qualifications it has issued)
- ii. Upload the approved certification to the participants records within the student management system
- iii. Provide soft copy of certification (scanned) to client relations manager and training facilitator as notification of finalisation of the completion and/or withdrawal procedures

6.2. Certificate delivery

6.2.1. Certificates are delivered by either;

- i. direct mail to the participant
- ii. direct to employer via the relevant CRM

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Table 1; Completion and withdrawal processing timelines

Step in the process	Timeline
Final assessment records submitted to administration for processing	5 Business days from the date the participant is assessed as competent in their final unit of competency)
Conduct a completion or withdrawal participant file audit	Within two (2) business days after notification received
Notify trainer and/or CRM of file non-compliances and rectification requirements	Within two (2) business days after notification received
Rectifications provided to administration (if applicable)	Five (5) Business days from the date the rectification notice is provided by administration)
Rectifications received (if applicable) and Certificate issued	One (1) business day from the date rectifications received
Quality assurance completed by compliance	Last business day of each week (Each business day for WA)
Notifications to administrator for: <ul style="list-style-type: none"> • Certification non-compliance • Certification approval 	First business day of each week (Each business day for WA)
Certificate re-issue (if applicable)	One (1) business day from the date rectifications received
Certificates delivered	One (1) business day from date of Compliance approval

7. State and Territory Specific Policies

7.1. The following procedure 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.

7.1.1. 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 (online portal) including;

- i. Employer sign-off checkbox
- ii. Final completion checkbox
- iii. Actual completion date
- iv. RTO representative name
- v. Certificate issue date

7.1.2. 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;

- i. identify all Western Australia completions
- ii. Log into TRS and complete the certificate issuance records as in item 5.1.1.iv

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.

7.2. The following procedure is specific to Australian Capital Territory Only

7.1.3. 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 (online portal) including;

- i. Actual completion date
- ii. RTO representative name
- iii. Certificate issue date

7.1.4. 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;

- i. identify all Australian Capital Territory completions
- ii. Log into TRS and complete the certificate issuance records in item 5.1.1.iv

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- iii. Where a trainee or apprentice has completed training but has not paid the required fee/s, or has other outstanding obligations to the RTO, the completion status and qualification issuance must be reported within 30 days of the date deemed competent and no later than the due to complete date even if certification is withheld from the student.
- iv. Where a trainee or apprentice ceases employment or withdraws from training prior to completion of the qualification, the cancellation must be initiated within 30 days of notification of cancellation.
- v. Where a student withdraws from training prior to completion of the qualification, the student record must be cancelled within 30 days of the decision. Where initiated by the RTO, evidence of student cancellation must be retained on the student file.

8. Fraud protection controls

8.1. Certification security features

8.1.1. Allara has implemented the following security features to prevent the fraudulent production of its certificates;

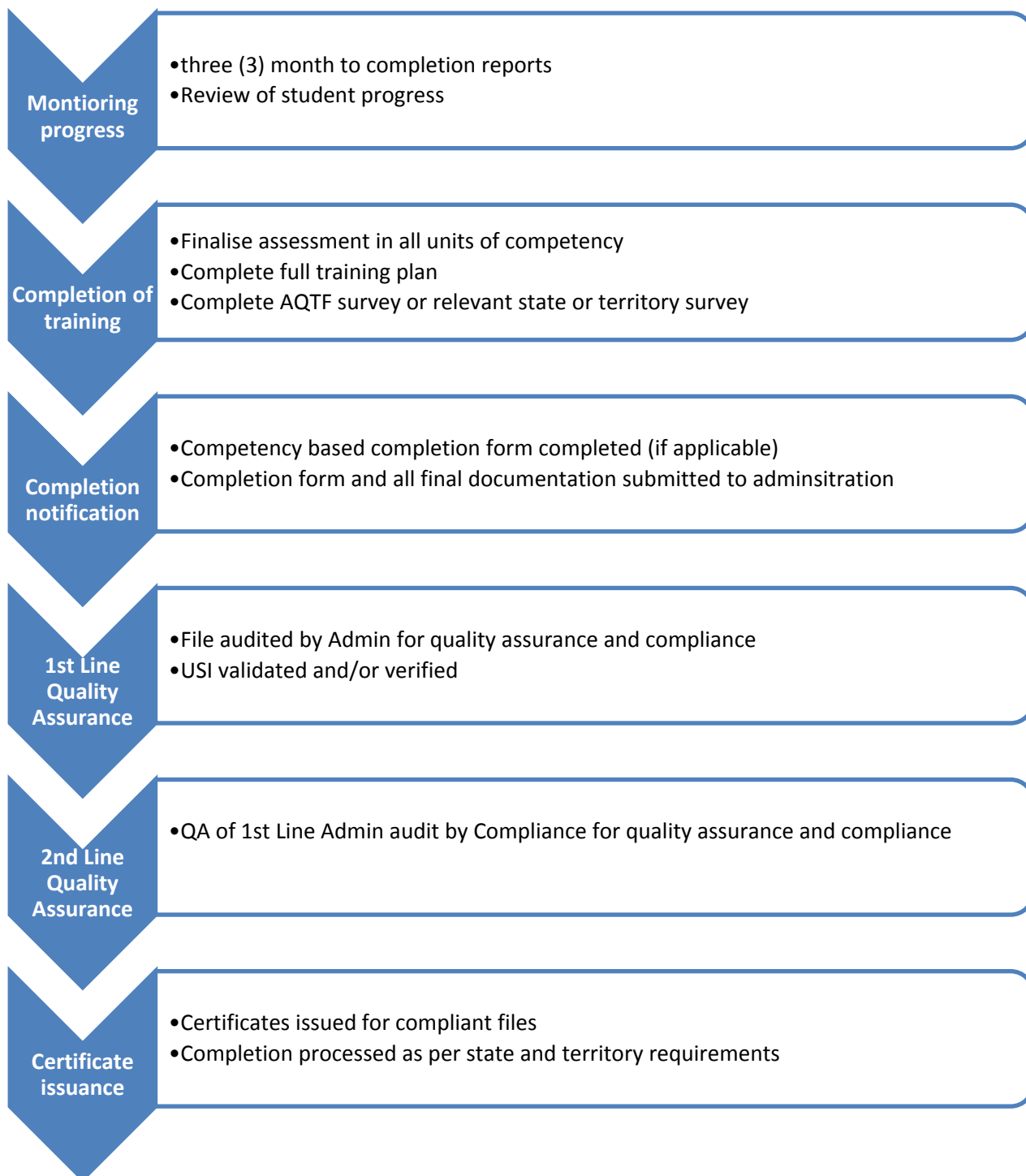
- i. Certificate template, each certificate has:
 - a unique certificate number
 - Cert Check – a unique QR Code (two-dimensional barcode) present on the certificate for real time authentication of certification documents
 - security stock paper preventing unauthorised copying of the template

8.2. Quality assurance

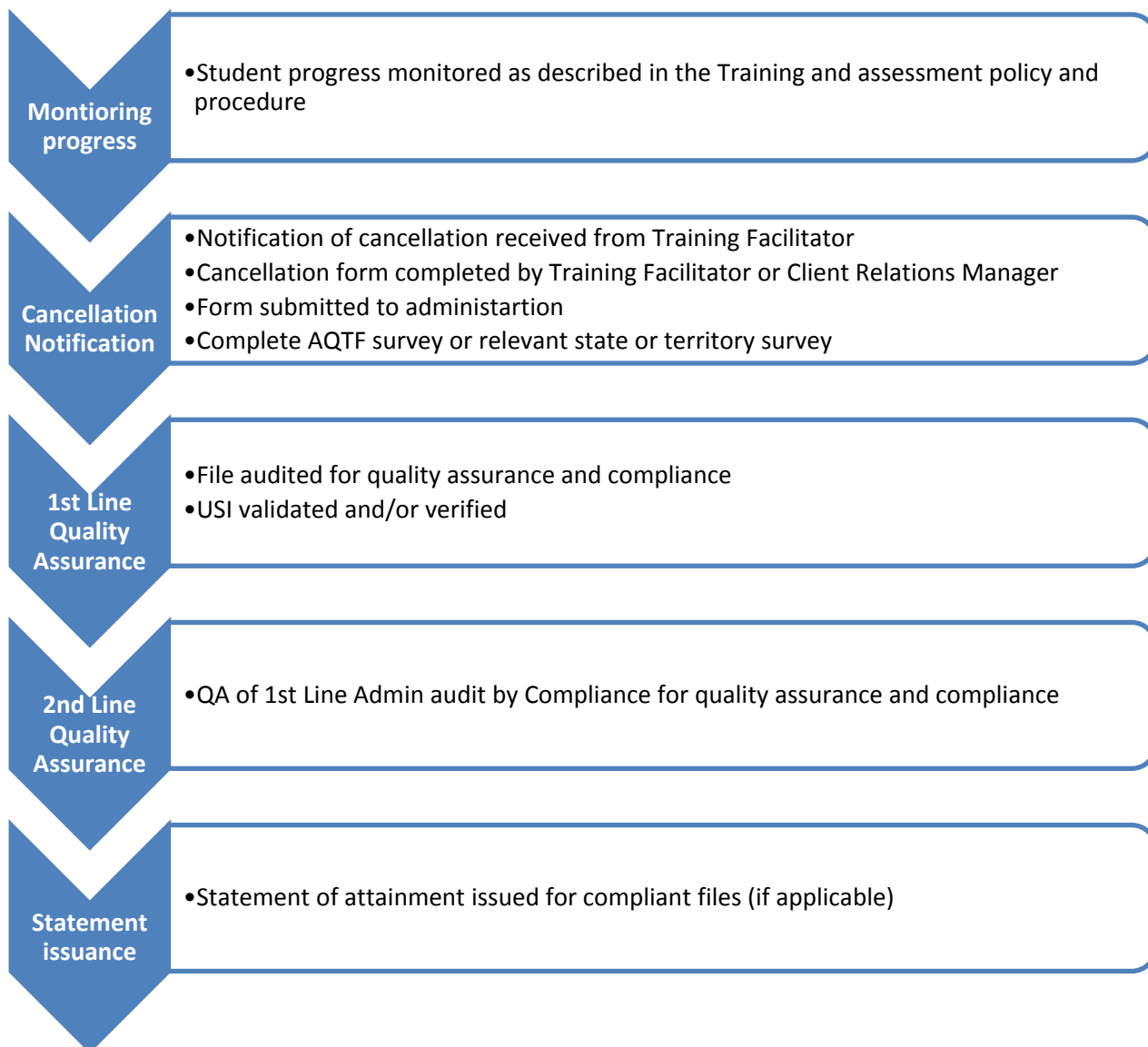
8.2.1. Allara implements a three lines of defence model including;

- i. Quality assurance participant records
- ii. Quality assurance of issued certification
- iii. Quality audits and review

9. Completion process flow chart



10. Withdrawal or cancellation process flow chart



11. 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
- Certificate, record of results and statement of attainment templates