Student Completion and Issuance of Certification Policy and Procedure

RTO No. 46394

1. Purpose

SDG College Pty Ltd implements a structured, systematic, and compliant framework for managing student completion and the issuance of AQF certification documentation. This policy ensures that certification is issued accurately, fairly, and in a timely manner, reflecting the student's demonstrated competency and meeting all regulatory requirements.

The organisation recognises that certification is a critical outcome of the training and assessment process, representing formal recognition of a student's skills and knowledge. As such, all completion and certification processes are governed by strict controls to ensure integrity, accuracy, and compliance.

This policy ensures that:

- certification is issued only where competency has been validly assessed
- certification is issued within required regulatory timeframes (30 calendar days)
- all certification documentation complies with AQF and regulatory requirements
- student completion processes are consistent, transparent, and evidence-based
- student rights, including access, correction, and appeals, are protected

This policy aligns with:

- Outcome Standard 1.3 & 1.4 – Assessment integrity and judgement
- Standard 2.1 – Accurate student information
- Standard 2.7 & 2.8 – Complaints and appeals
- Standard 4.1 & 4.4 – Governance and continuous improvement

2. Scope

This policy applies to all certification-related processes across the organisation, including:

- all students enrolled in nationally recognised training
- all qualifications, units of competency, and short courses delivered
- all AQF certification documentation issued (Qualifications, Statements of Attainment, Records of Results)
- all staff involved in assessment, administration, compliance, and certification

This ensures a consistent and organisation-wide approach to completion and certification management.

3. Policy Principles

SDG College ensures that student completion and certification processes are accurate, timely, fair, and compliant, forming a critical component of the student lifecycle and organisational integrity.

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The organisation adopts a controlled and evidence-based approach, ensuring that all certification decisions are based on valid assessment outcomes and supported by documented evidence. Certification is not treated as an administrative function alone, but as a regulated outcome of the assessment system, requiring strict verification and oversight.

The organisation ensures that:

- certification is issued only where competency has been demonstrated against training package requirements
- completion decisions are based on valid, sufficient, authentic, and current evidence
- students are clearly informed of completion requirements prior to enrolment, as outlined in the Student Handbook
- certification processes are systematic, documented, and auditable
- all decisions are subject to review, verification, and governance oversight
- student rights, including access to records and appeals, are protected at all times

Certification practices reflect the organisation's commitment to integrity, transparency, regulatory compliance, and quality outcomes for students.

4. Student Completion Requirements

A student is considered eligible for completion only when all academic, administrative, and regulatory requirements have been met. Completion is formally determined through a verification process, ensuring that all conditions have been satisfied prior to certification issuance.

A student must meet the following requirements:

- successful completion of all required units of competency
- achievement of all assessment requirements in accordance with assessment conditions
- completion of any required work placement hours (where applicable)
- full payment of all fees and charges
- provision and verification of a valid Unique Student Identifier (USI)

Completion Outcomes

Scenario	Outcome	Explanation
All units completed	Full Qualification issued	Student meets all course requirements
Partial completion	Statement of Attainment issued	Only achieved units recognised
Withdrawal	Statement of Attainment (if applicable)	Units completed prior to withdrawal
Not yet competent	No certification	Until competency achieved

5. Issuance of Certification

SDG College Pty Ltd ensures that all certification is issued in a controlled, accurate, and compliant manner, in accordance with the Australian Qualifications Framework (AQF) requirements, regulatory obligations, and internal governance controls. Certification is treated as a formal and regulated outcome of the training and assessment process and is only issued once all completion requirements have been verified.

The organisation applies a systematic certification issuance process, ensuring that all student results are confirmed, administrative checks are completed, and documentation is generated and issued in accordance with required standards. Certification issuance is subject to strict verification to ensure that all data is accurate, all eligibility requirements are met, and the integrity of the qualification is maintained.

5.1 Issuance Timeframe

SDG College ensures that all AQF certification documentation is issued **within 30 calendar days** of the student being assessed as competent and meeting all completion requirements. This timeframe is monitored through administrative processes and internal controls to ensure ongoing compliance.

Certification issuance is subject to the following conditions:

- successful completion of all required units of competency
- confirmation that all assessment requirements have been met
- full payment of all applicable fees and charges
- provision and verification of a valid Unique Student Identifier (USI)

Failure to meet any of the above conditions may result in a delay in certification issuance until all requirements are satisfied.

5.2 Types of Certifications

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SDG College issues different types of certifications based on the student's completion status. Each type of certification reflects the student's achievement and is issued in accordance with regulatory requirements.

Certification Type	Description	Issuance Condition
Qualification	Official AQF qualification certificate	Issued when all units within the qualification are successfully completed
Statement of Attainment	Formal recognition of completed units	Issued for partial completion OR standalone short courses
Record of Results	Detailed transcript of completed units	Issued alongside the qualification certificate

All certification issued accurately reflects the student's actual competency outcomes, ensuring transparency and integrity.

5.3 AQF Certification Requirements

All certification documentation issued by SDG College complies with AQF Issuance Requirements and regulatory standards, ensuring consistency, authenticity, and recognition within the national VET system.

Each certification document must meet the following requirements:

Requirement	Description
RTO Identification	Includes the full legal name of the RTO, trading name (if applicable), and RTO Code
RTO Address (Best Practice)	Includes the registered or principal place of business address for traceability
Student Identification	Includes the student's full legal name as per enrolment records
Qualification / Unit Details	Includes the official qualification code and title or unit(s) of competency as per training.gov.au
NRT Logo	The Nationally Recognised Training (NRT) logo is displayed on all certification documentation for nationally recognised training in accordance with logo usage requirements.
Authorised Signatory	Signed by an authorised representative of the organisation
Issue Date	Clearly states the date the certification was issued

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Requirement	Description
Unique Certificate Identifier	Includes a unique certificate number or identifier to ensure traceability and prevent fraud
Security Features	Includes additional security measures such as watermark, seal, controlled formatting, or the use of secure or specialised certificate paper, where applicable.
Record of Results	Includes a list of completed units of competency with codes and titles
Statement of Attainment Wording	Includes required wording for Statements of Attainment in accordance with AQF requirements- A Statement of Attainment is issued by a Registered Training Organisation when an individual has completed one or more accredited units
Compliance with AQF	Meets all AQF Issuance Policy requirements
USI Protection	Student's USI is not printed on certification documentation

All certification is generated through controlled systems and verified prior to issuance to ensure that documentation is accurate, secure, and compliant with national standards.

Each certification document includes a unique identifier or certificate number to support traceability and verification.

5.4 Certification for Short Courses and Skill-Based Training

SDG College Pty Ltd also delivers short courses and skill-based training programs, including units such as First Aid and CPR.

Where training consists of one or more units of competency that do not form a full qualification, students who successfully complete the required assessment outcomes will be issued with a Statement of Attainment.

The organisation ensures that:

- Statements of Attainment are issued for all successfully completed units of competency delivered as standalone short courses
- no qualification certification is issued unless all qualification requirements are met
- certification issued for short courses complies with AQF requirements
- the same verification, issuance, and record management processes apply as outlined in this policy

Short course certification is subject to:

- successful demonstration of competency
- completion of all assessment requirements

- provision of a valid USI
- compliance with all organisational and regulatory requirements

This ensures that certification for short courses is accurate, compliant, and consistent with nationally recognised training requirements.

6. Unique Student Identifier (USI)

The organisation ensures strict compliance with USI requirements.

The organisation:

- requires all students to provide a valid USI prior to certification issuance
- verifies USI through the official registry
- does not issue certification without a valid USI (unless exempt)

Students are informed that:

- USI enables access to national training records
- exemptions may affect transcript availability

7. Student Completion Scenarios

SDG College Pty Ltd manages student completion under a range of scenarios to ensure that outcomes are fair, consistent, transparent, and compliant with regulatory requirements. Each scenario is supported by defined processes to ensure that students are treated equitably, their achievements are accurately recognised, and all decisions are properly documented and supported by evidence.

Student Completion Scenarios

Scenario	Conditions / Situation	Organisational Actions	Outcome / Certification Issued	Compliance / Notes
Successful Completion	Student has successfully completed all required units of competency, assessments, and any mandatory work placement requirements	- Verify all assessment results - Confirm completion of all units - Confirm fees are paid and USI is valid - Finalise records in SMS	- Full Qualification issued - Record of Results provided	Must be issued within 30 calendar days; aligns with AQF requirements
Withdrawal (Voluntary Exit)	Student withdraws from the course before completion	- Provide academic/support counselling prior to withdrawal	- Statement of Attainment issued (for	Must align with Student Handbook and refund policy;

Scenario	Conditions / Situation	Organisational Actions	Outcome / Certification Issued	Compliance / Notes
		- Process withdrawal request - Review completed units	completed units only)	ensure documentation of withdrawal
Non-Completion (Not Yet Competent)	Student fails to demonstrate competency in one or more units and has exhausted reassessment opportunities	- Provide feedback and reassessment opportunities - Record final outcome as Not Yet Competent (NYC) - Offer support where appropriate	- Statement of Attainment issued (for units successfully completed only)	Must demonstrate fairness, validity, and sufficient assessment opportunities
Inactive / Disengaged Student	Student becomes uncontactable or ceases participation without formal withdrawal	- Attempt minimum of 3 contact attempts (phone/email) - Issue formal written notice - Provide 28-day response period - Record all attempts	- Statement of Attainment issued (if applicable) - Enrolment finalised as inactive	Ensures procedural fairness and compliance; evidence of contact attempts required
Misconduct / Academic Integrity Breach	Student engages in plagiarism, cheating, or other academic misconduct	- Investigate in accordance with misconduct policy - Provide student opportunity to respond - Apply appropriate academic action - Record outcome	- Certification issued only for units where competency is validly demonstrated	Must align with Academic Integrity and Complaints & Appeals Policy
Administrative Hold (Fees/USI Pending)	Student has completed training but has outstanding fees or invalid/missing USI	- Notify student of outstanding requirements - Hold certification issuance - Follow up until resolved	- Certification withheld until requirements met	Certification cannot be issued without valid USI (unless exempt)

8. Certification Issuance Procedure

SDG College Pty Ltd applies a structured, controlled, and verifiable certification issuance process to ensure that all AQF certification documentation is issued accurately, within required timeframes, and only to students who have validly met the requirements of the relevant training product. The process is designed to ensure compliance with regulatory obligations, maintain the integrity of certification outcomes, and provide a clear separation of responsibilities between assessment, administrative verification, authorisation, and record management.

Certification issuance is treated as a governed compliance process, not merely an administrative task. Before any qualification or Statement of Attainment is issued, the organisation verifies that the student has successfully completed the required training and assessment, that all results have been accurately entered and checked, that any applicable work placement or course requirements have been met, that all fees have been paid, and that a valid USI has been provided and verified. This approach ensures that certification is supported by documentary evidence, internal checks, and management oversight.

The procedure also reflects the organisational responsibilities described in the Student Handbook, where Trainers and Assessors are responsible for training delivery and assessment decisions, Administration and Student Support staff maintain records and support processing, the General Manager oversees operational implementation and monitoring, and the CEO retains overall compliance and governance oversight.

8.1 Certification Issuance Workflow

Step	Responsibility	Detailed Action	Evidence / Record Generated
1. Confirmation of competency	**Trainer / Assessor**	The Trainer or Assessor confirms that the student has been assessed as competent in all required unit(s) or, where applicable, in the completed applicable unit(s) only. The Trainer/Assessor ensures assessment records are complete, signed where required, dated, and supported by sufficient assessment evidence before submitting the final results for processing.	Completed assessment records, marking records, assessor outcome sheets, work placement evidence where applicable
2. Submission of final results for processing	**Trainer / Assessor**	Final assessment outcomes and supporting completion records are submitted to Administration within the required internal timeframe so the organisation can meet the 30-calendar-day issuance	Result submission record, assessment pack, completion checklist initiation

Step	Responsibility	Detailed Action	Evidence / Record Generated
		requirement. Any incomplete, unclear, or missing documentation must be resolved before the result is treated as final.	
3. Administrative verification of completion	**Administration / Student Support Officer**	Administration checks that all required units have been completed, results are consistent across records, work placement requirements (if applicable) have been met, enrolment details are complete, and the student is eligible for either a qualification or Statement of Attainment. Administration also checks whether there are any holds relating to incomplete records, outstanding fees, or unresolved student status matters.	Student completion checklist, SMS review notes, student file verification record
4. USI and fee verification	**Administration / Student Support Officer**	Administration verifies that the student has provided a valid USI and confirms that the USI has been successfully verified. Administration also confirms that all agreed fees and charges have been paid in full before certification is issued, unless a lawful exemption or approved arrangement applies.	USI verification record, fee payment status, student account clearance
5. Entry and validation in Student Management System	**Administration / Student Support Officer**	Final results and completion status are entered into the Student Management System (SMS). Administration validates that the student's personal details, unit codes, qualification code and title, completion date, and certification outcome are correct and consistent with the	SMS records, AVETMISS-aligned data entry, student completion status update

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Step	Responsibility	Detailed Action	Evidence / Record Generated
		student file and assessment records.	
6. Operational review and compliance check	**General Manager**	The General Manager reviews the completion and certification information to ensure that the process has been followed correctly, records are complete, and there are no operational or compliance concerns. This review acts as an internal quality assurance checkpoint before certification is authorised.	Internal review notation, completion quality check, escalation notes if required
7. Approval for issuance	**Chief Executive Officer (CEO) / Authorised Signatory**	The CEO, or formally authorised signatory, reviews the verified completion details and approves certification for issue. This approval confirms that the organisation is satisfied that the student has met the relevant requirements and that the documentation is ready for release.	Approval record, signatory authorisation, certificate issue approval
8. Generation of certification documentation	**Administration**	Administration generates the relevant AQF certification documentation in the correct format, including the qualification testamur, Statement of Attainment, and Record of Results where applicable. Documentation must comply with AQF and compliance requirements, including correct wording, qualification details, authorised signatory, and exclusion of the student's USI from the certificate.	Draft certificate, statement of attainment, record of results
9. Final quality check before release	**Administration / General Manager**	A final review is completed to check spelling of student name, qualification code and	Final certification checklist, corrected issue-ready version

Step	Responsibility	Detailed Action	Evidence / Record Generated
		title, unit codes and titles, issue date, certificate number, authorised signatory details, and formatting compliance. This step ensures that no certification documentation is released with administrative or compliance errors.	
10. Issuance to student	**Administration**	The approved certification documentation is issued to the student by the authorised method, such as secure handover, registered post, or approved electronic delivery where applicable. The date of issue is recorded, and the student is advised that the document should be retained securely.	Issuance record, dispatch log, email record or collection acknowledgement
11. Update of certification register and records	**Administration / Student Support Officer**	Following issuance, Administration updates the certification register and student record to reflect the certification issued, issue date, certificate number, and type of award. All supporting records are filed in accordance with the Records Management Policy and retained for audit and future reissuance purposes.	Certification register, student file update, archived completion and issuance records
12. Monitoring and audit readiness	**CEO / General Manager**	Certification records and issuance timeframes are periodically reviewed through governance processes, internal audits, and compliance monitoring to ensure that certification is being issued accurately, within timeframes, and in accordance with policy and regulatory requirements.	Internal audit reports, governance meeting minutes, CI entries if required

8.2 Internal Control Requirements

To ensure the integrity of certification issuance, SDG College applies the following control requirements throughout the process:

- certification must not be issued until all required units and completion conditions have been verified
- certification must not be issued without a valid and verified USI unless a lawful exemption applies
- certification must not be issued where fees remain outstanding, unless approved otherwise in accordance with policy
- incomplete or inconsistent assessment records must be rectified before issuance proceeds
- all certification documentation must undergo a final quality check prior to release
- the certification register must be updated immediately after issuance
- all records must be maintained in a way that supports future verification, student access requests, reissuance requests, and audit review

These controls ensure that the organisation maintains accuracy, traceability, and compliance at every stage of the certification process.

8.3 Role Alignment with Organisational Structure

The certification issuance procedure is aligned with the organisation's operational structure as described in the Student Handbook.

Role	Function in Certification Process
Chief Executive Officer (CEO)	Provides governance oversight, approves final issuance, and ensures regulatory compliance
General Manager	Monitors operational implementation, conducts compliance and quality checks, and escalates issues where required
Trainers and Assessors	Confirm competency outcomes, finalise results, and ensure assessment evidence is complete and valid
Administration / Student Support Officer	Verify student records, USI, fee status, enter results into SMS, generate documentation, issue certification, and update registers

This division of responsibility supports clear accountability, segregation of duties, and internal quality assurance, which strengthens audit defensibility and aligns with Outcome Standards expectations regarding governance, roles, and systematic monitoring.

8.4 Timeframe Management

Certification documentation will be issued within 30 calendar days of the student being assessed as competent and meeting all requirements.

To ensure compliance with the 30-calendar-day issuance requirement, the organisation expects all staff involved in the process to complete their part promptly and accurately. Assessment outcomes must be submitted without unnecessary delay, administrative checks must be completed systematically, and any issues preventing issuance must be escalated immediately to the General Manager and CEO for resolution. Delays caused by missing records, unverified USIs, or unpaid fees must be documented and followed up promptly to reduce compliance risk.

Certification issuance timeframes are monitored against the 30-calendar-day requirement through the certification register and reviewed during governance and internal audit processes.

8.5 Audit and Compliance Assurance

The certification issuance process is monitored through:

- certification register reviews
- internal audit activities
- governance and management review meetings
- complaints and appeals analysis
- continuous improvement processes

Where errors, delays, or non-compliance risks are identified, corrective actions are recorded and monitored through the organisation's quality and continuous improvement systems. This ensures that certification issuance remains a controlled, compliant, and continuously improving process.

9. Records Management

SDG College Pty Ltd maintains comprehensive, accurate, and secure records relating to student completion and certification to ensure full traceability, accountability, and regulatory compliance. Records management is an integral part of the certification process and supports verification of outcomes, re-issuance requests, audit review, and student access to information.

All certification-related records are managed in accordance with the organisation's Records Management Policy and Procedure, ensuring that records are complete, current, protected, and retrievable. Records are maintained within approved systems, including the Student Management System (SMS) and secure document storage platforms, with appropriate access controls, version control, and backup mechanisms in place.

The organisation maintains, at a minimum, the following records:

- certification register (including certificate number, issue date, qualification/unit details)

- student completion records (including enrolment, progression, and completion status)
- assessment evidence and assessor records supporting competency decisions
- certification issuance records, including approval and dispatch details

The organisation retains a record of all AQF certification documentation issued, including student name, qualification or unit details, and date of issue, for a minimum period of 30 years. These records are maintained within the Student Management System and/or certification register to ensure accessibility for verification and re-issuance purposes.

Certification Records Framework

Record Type	Description	Purpose / Compliance Requirement	Retention & Access
Certification Register	Central register of all issued qualifications and Statements of Attainment	Provides traceability, audit evidence, and supports re-issuance	Retained for a minimum of 30 years in accordance with AQF certification record requirements; accessible for audit, verification, and re-issuance
Student Completion Records	Records of enrolment, unit outcomes, and completion status	Confirms eligibility for certification and supports reporting	Retained for a minimum of 2 years after completion or cancellation, or longer where required for audit, reporting, or compliance purposes
Assessment Evidence	Completed assessment tools, marking guides, and evidence of competency	Supports validity and integrity of assessment decisions	Retained for a minimum of 2 years after completion or cancellation, or longer where required for audit, reporting, or compliance purposes
Issuance Records	Records of certificate approval, generation, and dispatch	Confirms compliance with issuance requirements and timeframe	Maintained securely; supports audit and student requests

All records are:

- securely stored within approved organisational systems with restricted access
- retained in accordance with regulatory and organisational requirements
- protected from unauthorised access, loss, or damage
- accessible to students upon request, subject to identity verification

This ensures that all certification processes are fully documented, verifiable, and audit ready.

10. Re-Issuance of Certification

SDG College provides a structured and controlled process for the re-issuance of certification documentation, ensuring that replacement certificates are issued accurately and only to authorised individuals.

Students may request replacement documentation in cases such as:

- lost or damaged certificates
- changes to personal details (where supported by evidence)
- additional certified copies required

The organisation ensures that all re-issuance requests are subject to strict verification and are reproduced only from official records maintained within the certification register and student file.

Re-Issuance Procedure

Step	Responsibility	Action	Control Measure
1	Student	Submit formal request for re-issuance	Request must be in writing
2	Administration	Verify student identity and request details	Identity verification required
3	Administration	Retrieve original certification details from records	Only official records used
4	Administration	Reproduce certification with updated issue date (if applicable)	Clearly marked as re-issued
5	Administration	Apply any approved administrative fee	Fee applied as per Fees Policy
6	Administration	Issue replacement documentation and update register	Re-issuance recorded

The organisation ensures that:

- re-issued certificates are clearly identifiable where required
- all re-issuance activities are recorded and traceable
- confidentiality and data integrity are maintained at all times

11. Student Rights and Appeals

SDG College ensures that all students are provided with fair, transparent, and accessible processes to review and appeal decisions relating to assessment outcomes, completion status, and certification.

Students have the right to:

- appeal assessment outcomes where they believe the decision is incorrect or unfair
- request a review of completion status or certification eligibility
- raise concerns regarding certification accuracy or issuance

All complaints and appeals are managed in accordance with the organisation's:

- Complaints and Appeals Policy and Procedure
- Student Handbook, which outlines student rights and processes

Appeals Process Framework

Stage	Action	Outcome	Timeframe
Submission	Student submits appeal in writing, outlining reasons and supporting evidence	Appeal formally recorded and acknowledged	Within 20 working days of the decision
Acknowledgement	Organisation acknowledges receipt of appeal and outlines process	Student informed of next steps	Within 24–48 hours
Review / Investigation	Assessment or certification decision reviewed by authorised personnel not involved in the original decision (where possible), including review of evidence and consultation with relevant parties	Independent and impartial evaluation conducted	As soon as practicable
Outcome	Student notified in writing of the outcome, including reasons and any actions	Transparent and documented decision provided	Within 30 calendar days
Further Action	Student may access external review if not satisfied with outcome	Procedural fairness maintained	External process available as per policy

The organisation ensures that all appeals are:

- managed in a timely and impartial manner
- supported by documented evidence
- conducted in accordance with principles of procedural fairness and natural justice

All complaints and appeals are managed in accordance with the principles of procedural fairness and natural justice. Students are not subject to any form of victimisation, discrimination, or adverse treatment as a result of lodging a complaint or appeal. Please refer to the Appeals Management Policy and Procedures for more information.

12. Monitoring and Continuous Improvement

Certification processes are subject to ongoing monitoring and systematic review to ensure continued compliance, accuracy, and effectiveness. Monitoring activities are integrated into the organisation's governance framework and supported by data, feedback, and audit outcomes.

Certification processes are reviewed through:

- internal audits and compliance reviews
- validation and moderation activities
- student feedback and satisfaction data
- complaints and appeals analysis
- governance and management meetings

Monitoring and Improvement Framework

Activity	Purpose	Outcome
Internal Audits	Verify compliance with certification requirements	Identify gaps and corrective actions
Validation	Ensure assessment decisions support certification outcomes	Maintain assessment integrity
Student Feedback	Identify issues with completion and certification	Improve student experience
Complaints & Appeals	Identify systemic issues	Strengthen processes
Governance Meetings	Monitor overall performance	Ensure accountability

All identified improvements are:

- formally recorded in the Continuous Improvement (CI) Register
- assigned to responsible personnel
- implemented within defined timeframes
- verified before closure, in line with the principle, which is No Close Without Verification

This ensures that certification processes remain accurate, compliant, and continuously improved.

13. Responsibilities

SDG College defines clear roles and responsibilities to ensure effective management of student completion and certification processes. Responsibilities are aligned with the organisation's governance structure and operational framework.

Roles and Responsibilities

Role	Responsibility
Chief Executive Officer (CEO)	Provides overall governance oversight, approves certification issuance processes, and ensures regulatory compliance
General Manager	Monitors operational implementation, reviews compliance, and ensures processes are followed correctly
Trainers and Assessors	Conduct assessments, confirm competency, and ensure accuracy of student results
Administration / Student Support Staff	Verify records, manage certification issuance, maintain registers, and support student requests
Students	Provide accurate information, complete all requirements, and comply with policies and procedures

All staff are responsible for:

- maintaining the integrity and accuracy of certification processes
- complying with organisational policies and regulatory requirements
- contributing to continuous improvement and quality assurance

All responsibilities are supported by documented procedures, internal controls, and governance oversight to ensure accountability and compliance.