

## PQS Compliance Audit Evidence Guide for Pre-qualified Suppliers 2015-16

This *Evidence Guide for Pre-qualified Suppliers 2015-16* has been developed for your use. It aims to support development of a shared understanding of the requirements a Pre-qualified Supplier (PQS) must meet and helps explain the linkages between the *Vocational Education and Training (VET) Pre-qualified Supplier (PQS) Agreement* and relevant programs within the 2015-16 Annual VET Investment Plan from July 2015.

When implemented correctly, the evidence guide will help your organisation work more effectively within Queensland's funded training program environment, assist in maintaining compliance and mitigate much of the stress that can be associated with compliance audits. Your Contract Manager is your first point of contact to clarify any requirements not addressed here.

The evidence guide follows the structure of the *Pre-qualified Supplier Policy 2015-16* and provides general advice on the types of evidence necessary to prove compliance with the *VET PQS Agreement*, the *Pre-qualified Supplier Policy 2015-16* and relevant program policies. In 2015-16, the relevant VET investment programs are the Certificate 3 Guarantee and the Higher Level Skills program.

The evidence guide should be read in conjunction with the relevant policy documents. These documents are available online at:

<http://training.qld.gov.au/training-organisations/funded-programs/index.html>

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## Co-contribution fees

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 9	
PQS Policy 2015-16	Performance standard 1 – Disclose information up front to enable informed consumer choice Appendix 1	

## Exceptions or exemptions

Exceptions to co-contribution fee arrangements are:

- Competencies assigned code '60' or '65' AVETMISS or department Outcome identifiers.
- Queensland Year 12 graduates who enrol in a high priority qualification and commence training within 12 months of completing Year 12 (that is, by the end of the calendar year following completion of Year 12).
- VETiS students - this training is provided fee-free to school students and additional costs are met by the school.
- Foundation skills — this training can be provided fee-free to students if determined by the PQS.
- Lower-level qualifications for concessional students – this training can be provided fee-free to students if determined by the PQS.
- Student cohorts exempt from paying fees as specified in the relevant program or strategy policy or guidelines. Partnerships and Strategic industry initiatives.
- Costs associated with Australian Federal Police checks undertaken prior to vocational placement must be advertised with co-contribution fees and included in initial notifications to prospective students. However, if the student is a fee-free Year 12 graduate this cost cannot be charged to the student.

## Requirements

- Must be **collected** prior to the submission of claims for payment. Where an invoice has been issued, the PQS must wait until payment in full has been received before reporting the fee amount to the department. At audit claims for payment made for units, prior to collection of co-contribution fees, will be identified as overpayments and sanctions including recovery of funds will result.
- Must be published on the PQS's website in a prominent and easy to access location.
- Must address each funded qualification the PQS is approved to deliver under the funding program with the exception of lower level and foundation skills qualifications.
- Must advertise fees relevant to all variations of delivery under each qualification.
- Must outline **total** co-contribution fees (including all costs associated with the achievement of the qualification such as identification cards , tuition fees, services fees, material fees) both concessional and non-concessional, and any variations in fees due to mode of delivery, geographical location of the student, higher cost of training, etc.
- Additional, atypical or minor charges are permitted on a cost recovery basis for services not required for delivery of training and assessment or awarding of a qualification e.g. reissue of a qualification.
- Must provide notice of the fees to each prospective student at the unit of competency level and relevant to their circumstances.
- For concessional students, demonstrate good faith with the intent of the higher government subsidy program by reducing the co-contribution fee and/or providing greater learning support for the student.

- Must report to the department all co-contribution fees, at the unit of competency level in whole dollar amounts.
- Fees must be charged and collected by the PQS and must **not** be waived or returned to the payer (except as indicated in relevant program documents).
- Fees may be paid by the student or a third party. (The PQS must not refund, waive, pay, return payment or provide a cash payment or bonus either by way of 'referral fee' or otherwise to any payer of the co-contribution fee (including third parties except as provided for in the relevant program policy).
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### Acceptable evidence

- Proof of payment which may be requested at audit includes invoices **and** receipts, financial reports relating to student fees and bank statements to demonstrate payment has been **received and retained** by the PQS.
- Evidence collected from the student confirming the concessional status of the student as at the date of enrolment.
- All advertising material including but not limited to flyers, brochures, information packs and websites align with fees reported to the department. Where the co-contribution fee has changed screen shots and hard copies relevant to that student cohort are to be retained.
- Contact logs, emails, induction information list signed off by student, student handbook or similar document outlining full spectrum of fees at unit of competency level.
- Administrative process to record, monitor and progress fee charges and payments.
- Student handbook.
- Where no fee has been charged for 'fee-free' year 12 graduates, evidence the student is a Queensland Year 12 graduate who enrolls and commences training within 12 months of completing Year 12 (that is, by the end of the calendar year following completion of Year 12).
- Where no fee has been charged for foundation skills, evidence requirements relating to enrolment in foundation skills training have been met by PQS.
- Where no fee has been charged for lower-level qualifications, evidence the student is a concessional student.
- Where no fee has been charged for VETiS students, evidence the student is a Queensland year 10, 11 or 12 high school student

Refund policy		
Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 9	
PQS Policy 2015-16	Performance standard 1 – Disclose information up front to enable informed consumer choice Appendix 1	
Other	Standards for NVR Registered Training Organisations 2012 (and or its successor)	

### Requirements

- Must provide prospective students a copy of, or access to, the refund policy prior to enrolment.
- Must meet the requirements under the Standards for Registered Training Organisations (RTOs) 2015.

### Acceptable evidence

- Refund policy.
- Evidence of handbooks/documents (e.g. student application, eligibility enquiry form, information sheets) /emails/flyers/contact logs sent, dated prior to enrolment, concerning the refund policy.
- Standards for Registered Training Organisations (RTOs) 2015 do not provide specific detail regarding refund policies or arrangements, however, a legal standard of 'reasonableness' is applied due to obligations of businesses under Australian Consumer Law. While there is no prescription concerning refund requirements, consumer protection law refers to 'reasonableness' as a requirement. For example, a withholding of 100% of co-contribution fees for cancellation between one and three months prior to course commencement could be seen as significant and unreasonable.
- Justification relating to 'reasonableness' for decisions made not to refund a significant proportion of fees charged.
- Administrative process to respond to requests for refunds and records of the PQS response to any requests made.

**Information sharing requirements**

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 11	
PQS Policy 2015-16	Performance standard 1 – Disclose information up front to enable informed consumer choice	
Program policies	Certificate 3 Guarantee Program Policy 2015-16 Higher Level Skills Program Policy 2015-16	

**Requirements**

Prior to enrolment the PQS must:

- notify prospective students of the expectations and rules regarding accessing a government subsidised training place under the relevant program
- inform the student they will no longer be eligible for a government subsidised training place under the program once they complete the qualification level targeted through the program
- refer the prospective student to the applicable student fact sheet for the relevant program published on the department's Training website
- notify prospective students if training and/or assessment is to be subcontracted to a partnering RTO, advise the full name of that RTO and details of the training and assessment services that RTO will provide
- if applicable, advise if they are an approved VET FEE-HELP provider and notify prospective students that if they are eligible, a loan may be available to the student to cover all or part of their contribution towards the cost of a diploma or advanced diploma level qualification subsidised under the Higher Level Skills program.

**Acceptable evidence**

- Sign-off by student acknowledging advice has been provided concerning expectations and rules regarding accessing a government subsidised training place under the relevant program. The information to be acknowledged must include advice the student will no longer be eligible for a government subsidised training place under the program accessed once they complete the qualification level targeted.
- Proof the student has been referred to any applicable student fact sheet for the relevant program.
- An induction checklist including the relevant exclusion advice, information about partnering RTOs (as applicable) and required documents by name signed-off and dated by the student as read/received. For any information delivered electronically emails containing the appropriate exclusion advice with hyperlinks to the appropriate information pages of the department's Training website and, information about partnering RTOs (as applicable) , complete with return email from the student acknowledging receipt. Read receipts would not provide sufficient evidence in this case.
- Advertising material including but not limited to flyers, brochures, information packs and websites.
- Student handbook with evidence this is provided prior to enrolment.

**ASQA audit results**

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 3	
PQS Policy 2015-16	Performance Standard 1 – Disclose information up front to enable informed consumer choice Appendix 2	

**Requirements**

- Must publish a summary of its latest ASQA VET Quality Framework audit results in a prominent location on its website. If not yet audited under the VET Quality Framework, AQTF audit information is required.

**Acceptable evidence**

Information retained must include the non-compliances identified prior to provision of rectification to ASQA as well as confirmation from ASQA it has sufficient evidence those non-compliances had been fully rectified.

Website information must include:

- audit date
- qualifications audited (i.e. list all qualifications audited on the above date)
- audit outcomes (e.g. 'audit non-compliance identified' – 'Yes/No' and 'non-compliances rectified' – 'Yes/No/ Not applicable')
- summary of significant and/or critical non-compliances (if applicable) and actions taken to rectify
- confirmation from ASQA all non-compliances have been rectified.



## Marketing and advertising

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clauses 3, 11 and 16.4	
PQS Policy 2015-16	Performance standard 2 – Demonstrate professional and ethical standards of behaviour	
Other	Pre-qualified supplier marketing and disclosure directives	

## Requirements

- The PQS must hold approval from the department for the specific program and qualification at the time the training and assessment services are delivered and the time funding is claimed in relation to that delivery.
- Comply with all department policies and [directives](#) in relation to the proper promotion and marketing of a program.
- Must acknowledge the Queensland Government and/or the department as the funding source.
- Not advertise fee-free training, or market, advertise or offer any gift or other benefit to a student, prospective student, employer or any other person which, in the department's reasonable opinion, is considered to be an inducement or likely to influence the student, prospective student, employer or any other person to enrol with the PQS.
- Must always use the correct program name (Certificate 3 Guarantee) with the correct capitalisation. 'C3G' or 'Certificate III Guarantee' are not acceptable.
- The Queensland Government Coat of Arms cannot be used by PQS in advertising, communication or promotional material.
- Ensure any third party, irrespective of the nature of the relationship it has with the PQS, does not market the funding program, the PQS's funded training and assessment or the PQS's participation in the program. Failure to abide by this condition may result in termination of the PQS Agreement. Read the PQS marketing and disclosure fact sheet for further clarification. The department does not permit a third party to advertise employment opportunities with the sole purpose of referring individuals to training offered by a PQS. A 'third party' does not include a separate entity with expertise in marketing or similar, engaged by the PQS to provide advice to, or assist the PQS to market the PQS in line with the department's marketing instructions. The definition of 'third party' does not include any entity/person that refers its clients or associates to a PQS it recommends (provided that entity/person does not engage in any marketing of the PQS).
- Approval has been sought by the department for the advertisement of lower level qualifications that lead directly to an employment outcome.

## Acceptable evidence

- Inclusions and exclusions in all advertising material including, but not limited to, flyers, brochures, information packs and websites align with the relevant directives and policies.
- Documented approval from the department for any waivers to the requirements.
- Claims made are for students accessed only under marketing carried out by the PQS and not that of any third party advertising access to RPL, employment or training opportunities.
- Written permission from the department for the advertisement of lower level qualifications identified as leading to direct employment outcomes.



Complaints	
Applicable to	Certificate 3 Guarantee
	Higher Level Skills
	Skilling Queenslanders for Work
	VET in Schools
VET PQS Agreement	Clause 3
PQS Policy 2015-16	Performance standard 2 – Demonstrate professional and ethical standards of behaviour
Requirements	
<ul style="list-style-type: none"> <li>Ensure appropriate avenues exist for students (and/or employers where applicable) to make complaints, and that business processes are in place to resolve any complaints in a timely and fair manner.</li> </ul>	
Acceptable evidence	
<ul style="list-style-type: none"> <li>Information in student handbooks, flyers, information packs or induction scripts informing the student of the process to take if they have a complaint.</li> <li>A complaints policy and procedures document clearly outlining what the PQS staff must do to resolve complaints issues.</li> <li>Records of complaints made and actions taken where relevant.</li> </ul>	

## AVETMISS Data

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 5	
PQS Policy 2015-16	Performance standard 2 – Demonstrate professional and ethical standards of behaviour Appendices 4, 6 and 7	
Program policies	Certificate 3 Guarantee Program Policy 2015-16 Higher Level Skills Program Policy 2015-16	
Other standards	Standards for Registered Training Organisations (RTOs) 2015(or its successor) AVETMISS Data element definitions manual	

## Requirements

- Ensure true and accurate AVETMISS data is submitted to the department.
- Ensure the PQS's student management system is compliant against the most current AVETMISS release and Queensland state requirements.
- Meet all requirements outlined in Appendix 4 of the Pre-qualified Supplier Policy 2015-16 including:
  1. submitting VET activity data on or before the last working day of each month. For TAFE Queensland, data is to be submitted by the 15th day of each month
  2. reporting enrolments within 30 days of the unit of competency enrolment
  3. reporting outcomes within 30 days of completion of the unit of competency
  4. reporting concessional students as 'C' and non-concessional students as 'N'
- Must be completed in accordance with the most current national AVETMISS reporting requirements (including manuals, standards, guidelines, rules and descriptors).
- Must provide detail of co-contribution fees only after fees have been **collected**. Where an invoice has been issued, the PQS must wait until payment in full has been received before reporting the fee amount to the department.

Must report any unit of competency available for credit transfer as a credit transfer. It is the responsibility of the PQS to check a student's statement of attainment when they have previously undertaken training, to determine if any completed unit/s of competency can be counted towards the qualification in which the student intends to enrol. If yes, the PQS must record the unit of competency as a credit transfer. Where legislation, regulation or industry standards stipulate students must undertake retraining and reassessment of units of competency to address licensing or industry specific requirements, the department will not provide funding in these instances. For example, after obtaining specific security licenses in Queensland, a student is required to undertake "triennial revalidation" and complete units of competency from Certificate II and/or III in Security Operations in order to maintain industry currency. The retraining of these units will not be funded under the Certificate 3 Guarantee program. Another example of the requirement to use credit transfer in a compulsory retraining situation is *Recognised Standard 11 Training in coal mines* and the six specific units of competency from RII20213 Certificate II in Surface Extraction Operations.

- Must have evidence to support the accurate reporting of fund source codes used – see 'Fund source code' section of this guide.
- Unique Student Identifier (USI) – from January 2015 all students (new and continuing), participating in nationally recognised training are required to have a USI. A VET qualification or statement of attainment must not be issued to any student without a USI.

- Location loadings – loadings will be paid to encourage delivery in Queensland’s identified country and remote areas, including Cape York and the Torres Strait.

### Acceptable evidence

- Enrolment procedures include the attainment of the USI for each student and qualifications and statements of attainment include the student’s USI. Where an exemption applies the evidence can be produced at audit.

### Concessional status Code

- C evidence of eligibility for concessional status under the relevant program collected at enrolment.
- N does not meet eligibility criteria for concessional status under the relevant program. *(see ‘Eligibility’ section of this Evidence Guide for more detail on evidence for concessional status.)*

- Delivery Mode Identifier – in instances where the PQS uses more than one method of training delivery (e.g. a combination of face-to-face instruction and correspondence) there must be documented evidence to support which method is predominant, per unit of competency, to ensure the predominant delivery type is the code reported.
- Outcome Identifier – assessments must be marked, signed and dated by the assessor and there must be clear evidence to support the assessment outcome. **100% of assessment evidence must be retained for 100% of units of competency for 100% of students.** Outcome identifiers must align with PQS Program Policy Table 4 and AVETMISS Data element definitions Manual. Claims may not be made for any activity outlined in PQS Program Policy 2015 -16 Table 5. (Also see Appendix 3 of the Evidence Guide for further information on acceptable evidence for funded assessment.)
- AVETMISS Outcome Identifier Code ‘30’ (Not Yet Competent)  
Evidence retained must support that the student has attempted and been marked on all forms of assessment required for the unit of competency and has been given the number of re-assessment attempts outlined within the PQS assessment policy.
- AVETMISS Outcome Identifier ‘40’ (Withdrawal)  
Evidence must be retained to validate the student’s participation in training for each unit of competency where a withdrawn claim is submitted. Position number 129, the ‘Hours Attended’ field, within AVETMISS enables a PQS to report the actual hours of participation in training when outcome code ‘40’ is reported. At audit the PQS may be required to provide evidence to support the number of hours of training reported. The number of recorded hours may vary according to the mode of training delivery chosen by the PQS. Withdrawn claims for payment will only be validated where actual hours of training and assessment delivered are identified. A record of emailing training resources to a student will not suffice as evidence of participation, nor will evidence of the student opening that email. Evidence must be kept of the student having accessed specific learning resources and having engaged with them.  
Where the PQS claimed a 40 outcome for a student (i.e. received 50% payment) and subsequently, for the same student and unit of competency/module, claimed an outcome that pays 100% (for example, 20 or 30 outcome) then, unless approved by the department, the PQS must withdraw the earlier 40 outcome claim..

Acceptable evidence at audit will be:

- date of training,
- location of training,
- hours of training for that date (e.g. 2pm-5pm),
- unit/s of competency *(For holistic delivery of a group of units at one or more training sessions the PQS is required to identify and maintain evidence of the proportion of time for each individual unit for each session)*
- trainer’s name and signature, and

- student's name and signature.

For electronic delivery the PQS can provide log-on and log-off reports which include the above information with unique sign-on identifier to indicate the student's signature). For correspondence-type delivery the PQS should maintain a record of the contacts between the student and the trainer assessor by email (or whatever mode of communication is being used) which includes the above information (with the exception of the student's signature if it is not possible to obtain it and there is another method of verifying the student's agreement).

- AVETMISS Outcome Identifier '51' (Recognition of Prior Learning)  
Data must contain a Delivery Mode Identifier code '90' for each student for each relevant unit of competency/module. This requirement may be evidenced by:
  - evidence which addresses all components of the units of competency claimed
  - copies of formal/informal course certificates which relate to skills required for the qualification
  - references or testimonials from employers, volunteer organisations, clubs, associations etc.
- AVETMISS Outcome Identifier Code '60' (Credit Transfer)  
An AISS report is not acceptable evidence for this outcome. The PQS should provide a copy of the qualification, record of results (which includes details of the issuing RTO and the date issued) or statement of attainment previously issued to the student for each unit of competency/module being reported for each student. The PQS must ensure all credit transfers are acknowledged and are included in the competency count in relation to the maximum number of units of competency payable for the qualification.. No co-contribution fee can be charged for this outcome identifier.
- AVETMISS Outcome Identifier '65'  
To be used when transitioning a student from a superseded qualification to the new qualification in accordance with the transition and teach-out rules prescribed by ASQA. It applies in instances when a unit of competency has been successfully completed under the old qualification, however the superseded competency does not map directly into the new competency, therefore requiring additional training. The rule is attached to the student not the PQS training provider. Therefore a PQS must carry out a mapping process (and retain evidence of this process) for each student who transitions from an old qualification to a new. Where direct mapping is identified credit transfers are to be awarded. Where partial mapping is identified and gap training is required a 65 outcome is to be applied if the student successfully completes the gap training. There is no payment for failure of gap training. Where no mapping is possible the PQS is to deliver the entire unit of competency. No co-contribution fee can be charged for this outcome identifier.
- AVETMISS Postcode  
AVETMISS postcode of where the student undertook the highest proportion of training. If at the PQS' premises, this would be the postcode reported. If training was delivered online or by correspondence, the PQS must report the postcode of where the training is coordinated, not the student location. The audit team will examine training attendance sheets and training logs for evidence of delivery in country and remote locations. Location loadings will only be payable for AVETMISS delivery codes 10 (classroom based) and 30 (employment based). Locations attracting loading amounts can be found in the Localities and Location Loadings List.
- Co-contribution fees – Invoices and receipts referencing the relevant student's name, which match the amount of co-contribution fees reported (with allowance made for rounding to the nearest dollar). Evidence should also include proof the fee has gone through the PQS' financial accounting system and has been banked appropriately.
  - Start and end dates
  - Start dates should be supported by evidence of when formal training commenced for each unit of competency. Evidence would include trainer logs, signed student attendance sheets etc.

- End date indicating when the final approval of competence has been signed off for each unit of competency for each student. This may be in the form of a unit overview sheet countersigned by the student, the assessor and where appropriate (where assessment occurs during vocational placement), the workplace representative. The auditor will be comparing the AVETMISS end date reported to the department with the most recent piece of assessment for the unit of competency which has been successfully completed by the student. The PQS is encouraged to cross-reference a sample of supporting evidence for the claim against the AVETMISS end dates that have been reported to ensure they match.
- Use of generic start and end dates for all units in a qualification is not acceptable.
- Fund source codes used – see 'Fund source code' section of this guide.

### Conflicts of interest and inducements

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clauses 3 and 12	
PQS Policy 2015-16	Performance standard 2 – Demonstrate professional and ethical standards of behaviour	

### Requirements

- PQS must not **give** or **offer to give** any gift or other benefit **to a student** including a **prospective student** or any other persons, which in the department's reasonable opinion is an inducement or **likely to influence enrolment** with the PQS in a qualification funded under the program.
- If a conflict or risk of conflict of interest arises the PQS must immediately give notice of it to the department. It is the responsibility of the PQS to identify any potential conflict of interest and its possible effect on the integrity of the funded arrangement and the outcomes expected from the program.

### Definitions

- A conflict of interest means, in the reasonable opinion of an independent observer, the interest of the PQS comes into conflict with, or opposition to, the objectives or standards within the PQS Agreement, this PQS Policy or the relevant program policy.
- An inducement means the offer of gifts or money to a person or business to entice or persuade that person or business.

### Acceptable evidence

- Marketing, promotional and advertising materials and any other marketing activities do not contain inducements or offers of gifts.
- Risk management process addressing potential conflicts of interest, including inducement, and evidence of monitoring of these activities.
- Letters or emails sent by the PQS to the department outlining the conflict or risk of conflict of interest and subsequent response from the department.
- Letters or emails sent by the PQS to the department regarding marketing activities and subsequent responses from the department.



## Student eligibility

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 9	
PQS Policy 2015-16	Performance standard 3 – Comply with all funding terms and conditions	
Program policies	Certificate 3 Guarantee Program Policy 2015-16 Higher Level Skills Program Policy 2015-16	

## Exceptions or exemptions

### Any cohort of students specifically approved by the department as eligible.

VETiS students will not be able to provide some evidence required of all other cohorts. In addition to the VETiS specific requirements, school students under VETiS must provide:

- birth certificate (date of birth and Australian/New Zealand citizenship) or drivers licence
- letter from the school or detention centre confirming student's current physical address and enrolment in school (Queensland residency)
- immigration documentation confirming status (if candidate is from overseas and has Australian permanent residency or on path to permanent residency)
- statement from the school or youth detention centre concerning all VET qualifications previously attempted and outcomes, i.e. statement/s of attainment or qualification/s issued
- evidence the student is a school student and is enrolled in a VETiS program (may include youth in detention) including signed confirmation from Queensland Government school or detention centre.

### Skilling Queenslanders for Work:

- For Certificate 3 Guarantee and Higher Level Skills funding accessed under a Skilling Queenslanders for Work agreement a document/letter from the organisation accessing Skilling Queenslanders for Work which identifies the student, by name, as eligible is sufficient evidence of student eligibility.
- Under specific circumstances negotiated between the department and the organisation accessing Skilling Queenslanders for Work approval may be given for a student or a cohort to undertake a second certificate III level qualification or a second certificate IV level qualification.

## Requirements

- Assess student eligibility prior to enrolment and retain all evidence to verify eligibility including any specific restrictions for enrolment in a qualification outlined in the Queensland Training Subsidies List.
- Demonstrate a process of integrity in ensuring student eligibility. To meet this requirement the PQS must collect and retain evidence of the student's:
  - age at time of commencement (must be 15 years or over)
  - permanent residency in Queensland
  - Australian citizenship, Australian permanent residency (includes humanitarian entrant), temporary residency status with the necessary visa and work permits on the pathway to permanent residency, or New Zealand citizenship
  - not already holding a post-school certificate III qualification (Certificate 3 Guarantee) or higher level qualification (Higher Level Skills training)
  - not be currently enrolled in a post-school certificate III qualification or higher level qualification



- eligibility for concession (only required for concessional students)
- graduation from year 12 in Queensland, if seeking to enrol under 'Fee-Free Training' arrangements
- participation in a specific cohort-targeted initiative (i.e. Skilling Queenslanders for Work, Community Learning, Indigenous Training Strategy or Industry Partnerships Strategy).
  - Report the correct fund source code for the student, based on the eligibility rules for the cohort – see 'Fund source code' section of this guide.

### Acceptable evidence

(To be read in conjunction with Appendices 1 and 2 of this Evidence Guide).

- Enrolment forms containing questions sufficient to eliminate ineligible candidates and seeking to identify previously achieved units of competency; Apprenticeships Information Self Service (AISS) search screen shots; plus statutory declarations (in exceptional cases where substantive evidence is not obtainable) covering the eligibility criteria; copies of statements of attainment or qualifications previously achieved.
- Statutory declarations may be used when substantive evidence is not obtainable. However, a statutory declaration alone generically addressing all or most eligibility criteria will not be accepted at audit.
- The absence of a student's name from AISS does not guarantee his/her eligibility. Many students undergo unfunded training with private Queensland training providers, or interstate training providers, which may not have been recorded on AISS. Others may change name after receiving their VET qualification or university education.
- Where information provided by the student on an enrolment form or other documentation differs from AISS information, retain evidence appropriate action has been taken to establish what qualification or unit of competency the student holds.

#### Date of birth

- Driver's Licence or Adult Proof of Age Card (18+ card), or
- Australian, New Zealand or International Passport, or
- Birth Certificate or Birth Extract.

#### Permanent residency in Queensland

A copy of ONE of the following:

- Student's current Queensland Driver's Licence, Heavy Vehicle or Marine Licence (where held)
- Student's current Health Care Card showing a Queensland residential address
- Student's current Department of Veterans' Affairs/Pensioner Concession Card showing a Queensland residential address
- Student's current Commonwealth Seniors Health Card

(see Appendix 1).

The copy retained as evidence must clearly show the student's current address and must match any other address information provided by the student (for example on their enrolment form).

Where the student's address differs across information captured by the PQS, it must retain a range of evidence to support the student's eligibility as a Queensland resident.

#### Australian or New Zealand Citizenship

A copy of the student's:

- Australian or New Zealand Passport or
- Birth Certificate or Birth Extract or
- Medicare card (current green Medicare card only, except in circumstances where the candidate qualifies as in the process of obtaining permanent residency. In these cases a blue Medicare card along with the appropriate immigration documentation will suffice-coloured copies required); or
- Certificate of Status for New Zealand Citizens in Australia (CSNZA).

Australian permanent residency

(only required for students who are not Australian or New Zealand citizens)

- Evidence of visa status should be documented, recorded and retained.
- Student's permanent visa label on their passport or documents from the Commonwealth Department of Immigration and Border Control showing approval of a permanent visa subclass.
- Temporary residency visa with the visa and work permits with copies of correspondence to and from the Commonwealth Department of Immigration and Border Control indicating progress toward permanent residency.
- Current Medicare card (usually green Medicare card however in some cases the blue Medicare card can be used with sufficient additional documentation –coloured copies required) or
- Certificate of Evidence of Residence Status (CERS).

The Department of Immigration and Border Protection has developed a free online service, Visa Entitlement Verification Online (VEVO), which gives visa holders and registered Australian organisations access to visa status information.

Eligibility for concession

(required where a concessional payment is being claimed for the student)

- Student's health care or concession card issued under Commonwealth law.
- Proof the student is the partner or dependant of a person who holds a health care or concession card and is named on that card.

Previous qualifications

- Records from the AISS system and other relevant sources, indicating the prospective student does not hold and is not enrolled in a post-school AQF certificate III qualification or higher level qualification (Certificate 3 Guarantee) or a AQF certificate IV qualification or higher level qualification (Higher Level Skills program).
- The absence of a student's name from AISS does not guarantee his/her eligibility under this criterion. DETConnect/AISS for example, does not contain all fee-for-service training records and will not provide options for close alternatives to the name entered if it has been misspelt. The PQS must retain evidence enrolment forms or other pre-enrolment documentation which requires the prospective student to provide sufficient information to make an informed decision on eligibility.
- Where AISS indicates a qualification has been previously attained, this renders the student ineligible irrespective of the number of units of competency reported as being achieved. If the PQS is convinced the student does not have a previously held qualification it should provide at least one of the following types of evidence at audit to justify accepting the student under the funding program:
  - Written confirmation from the previous RTO on that RTO's letterhead acknowledging the submission of inaccurate AVETMISS data relating to the issuance of a qualification to a specific [named] student as well as confirmation amended AVETMISS data will be resubmitted.
  - Written confirmation from Contract Management and Performance stating Certificate 3 Guarantee funding will be available for a specific [named] student.
  - Written notification from the Australian Skills Quality Authority under Section 56 of the National Vocational Education and Training Regulator Act 2011 advising the qualification issued by the previous RTO has been cancelled.

A CHECKLIST OF THE ITEMS ABOVE IS PROVIDED AT APPENDIX 2

Concessional status

Student eligibility for concessional status must be confirmed by the PQS at the time of the student's enrolment and evidence must be retained by the PQS, in order to attract the higher government subsidy.

- evidence the student holds a health care card or pensioner card issued under Commonwealth law, or is the partner or a dependant of a person who holds a health care card or pensioner concession card, and is named on that card, or
- evidence the student holds an official form under Commonwealth law that the student, his or her partner or the person on whom the student is dependant, is entitled to concessions under a health care card or pensioner concession card, or
- evidence the student is an Aboriginal or Torres Strait Islander person; self-declaration on the enrolment form, by the student, will suffice, or
- evidence the student has disability – pensioner concession card or other documentation verifying the holder has disability, or
- evidence the student is an adult prisoner – formal signed confirmation from the place of incarceration.

#### Previous qualifications

- PQS is required to evidence other actions/processes undertaken to ensure prospective students do not already hold or are not already enrolled in a Certificate III or higher qualification relevant to the specific program under which training is being funded.

#### Vocational placement

- Where a training package requires vocational placement for the student to be deemed competent within an industry for which a security clearance (e.g. police check or blue card) is required, this document must be retained by the PQS for audit purposes.

#### Approved cohorts

- A copy of the deed of variation executed by the department.
- A copy of the letter of approval issued by the department.

### Certificate 3 Guarantee specific

#### **Requirements**

Individuals may be participating in specific cohort-targeted initiatives or programs, but access their training through the Certificate 3 Guarantee. These initiatives include:

- Skilling Queenslanders for Work
- Community Learning
- Indigenous Training Strategy
- Industry Partnerships Strategy

PQS must not publish/advertise fee-free training, except in relation to students who fit within the “Exceptions or exemptions” specifications under the “Co-contribution fees” section of this evidence guide.

PQS must ensure these students are accessing Certificate 3 Guarantee funding in accordance with the rules and any exemptions prescribed in the relevant initiatives guidelines. To meet this requirement the PQS must retain evidence of the referral of the student from a funded supplier under these initiatives.

#### **Acceptable evidence**

##### Previous qualifications

- When a student has a lower-level qualification or one which does not impact eligibility (i.e. Certificate III in Written and Spoken English) a copy of the certificate or statement of attainment should be accessed to assess eligibility for credit transfer.
- When a student has partially completed any qualification, a copy of the statement of attainment should be accessed to assess eligibility for credit transfer.

#### Fee-free training for Year 12 Graduates

To be eligible to access 'Fee-free training' the student must enrol and start training with a PQS by the end of the calendar year following the completion of Year 12. Acceptable evidence would be Senior Statement or Statement of Results issued by the Queensland Studies Authority.

#### Specific cohort targeted

For students accessing training through Skilling Queenslanders for Work, Community Learning, the Indigenous Training Strategy and the Industry Partnerships Strategy, the PQS must retain evidence of the referral of the student from the funded organisation under these strategic initiatives. All other aspects of eligibility will have been addressed by the organisation accessing the strategic initiative.

#### Higher Level Skills specific

### Exceptions or exemptions

If a Diploma/Advanced Diploma on the Queensland Training Subsidies List has entry requirements which necessitate completion of specific units or qualifications at Certificate IV or higher, a student who has completed a higher level qualification under a **fee for service arrangement** may still be eligible for Higher Level Skills funding. For example:

- **FNS50210 Diploma of Accounting** (entry requirements of nine core units from **Certificate IV in Accounting** in the FNS04 or FNS10 training packages), or
- **FNS60210 Advanced Diploma of Accounting** (entry requires completion of FNS50210). If the student has completed the certificate IV which includes the diploma entry requirement under fee-for-service they are still eligible for funding under Higher Level Skills for the diploma.

A student who already holds a certificate IV or above qualification may be eligible for funding for some skill sets as identified in the Queensland Training Subsidies List.

### Requirements

Individuals may be participating in specific cohort-targeted initiatives or programs, but access their training through the Higher Level Skills program. These initiatives include:

- Indigenous Training Strategy
- Industry Partnerships Strategy.

The PQS must ensure these students are accessing Higher Level Skills funding in accordance with the rules and any exemptions prescribed in the relevant initiative's guidelines. To meet this requirement the PQS must retain evidence of the referral of the student from a funded supplier under these initiatives.

In addition to the standard eligibility requirements, specific restrictions may apply in relation to participation in certain subsidised qualifications. Any additional eligibility requirements will be based on industry advice or requirements under the relevant national training package and will be detailed in the Queensland Training Subsidies List. Some examples on the 2015-16 list include:

- BSB40407 Certificate IV in Small Business Management – student must be the owner, manager or employee of a small business in Queensland

- CHC60312 Advanced Diploma of Community Sector Management – student must be an existing worker in the Community Services industry
- CPC40110 Certificate IV in Building and Construction (Building) – student must hold a trade qualification (Certificate III) in the Construction industry.

An existing worker is described in the Pre-qualified supplier Policy as a current employee who has a one month or more employment relationship with their employer and has actively fulfilled work duties for this period. The one month working relationship could be full-time or on a part time/casual employment equivalent basis. Existing workers have access to employee entitlement and therefore do not include volunteers. Registration with a Labour Hire Company does not satisfy the 'existing worker' requirement, unless at the commencement of the training the prospective student has been engaged in employment for a period of one month or more and is currently employed.

#### Priority Skill Sets:

To attract a subsidy under the Higher Level Skills program, skill sets must target workers who already hold entry level qualifications (certificate III level) in the industry and who require further training for career progression.

#### **Acceptable evidence**

In addition to the requirements outlined in the general section above there is the additional requirement that evidence processes ensure prospective students do not already hold or are not already enrolled in a certificate IV or higher qualification.

#### Previous qualifications

When a student has a lower-level qualification, or one which does not impact eligibility, a copy of the qualification or statement of attainment should be accessed to assess eligibility for credit transfer. When a student has partially completed a certificate IV level or higher qualification, a copy of the statement of attainment should be accessed to assess eligibility for credit transfer.

#### Specific cohort targeted

For students accessing training through the Indigenous Training Strategy or the Industry Partnerships Strategy, the PQS must retain evidence of the referral of the student from the funded organisation under these strategic initiatives. All other aspects of eligibility will have been addressed by the organisation accessing the strategic initiative.

#### Specific restrictions in certain subsidised qualifications

To prove current employment in an industry an official letter or email from the employer, or evidence of ABN, invoicing and client list for self-employed candidates, a copy of the relevant industry qualification, pay advice and current identification card.

#### **Requirements**

Eligible students will be able to undertake one complete employment stream qualification while at school. The VET investment budget will only fund those qualifications that have been identified by industry as leading to employment. A list of employment stream qualifications can be found at [www.training.qld.gov.au/vetis](http://www.training.qld.gov.au/vetis). Schools and students undertaking VETiS funded by the VET investment budget will be able to choose any RTO approved by DETE as a pre-qualified supplier (PQS) under the Certificate 3 Guarantee for the eligible qualification.

VET in Schools candidates:

- Secondary school students in Year 10, 11 and 12 funded for those qualifications identified as employment stream qualifications. Employment stream qualifications are certificate I and II level qualifications that have been identified by industry as leading to employment. (The apprenticeship/traineeship program may be used for Certificate III and above level training.)
- In exceptional circumstances the department may consider a business case for delivery of a certificate III qualification under VET in Schools.

#### Acceptable evidence

- Documentation confirming the student as eligible under the VET in Schools program. In addition to the VETiS specific requirements, school students under VETiS must provide:
  - Birth Certificate (date of birth and Australian/New Zealand citizenship)
  - letter from the school or detention centre confirming student's current physical address and enrolment in school (Queensland residency)
  - immigration documentation confirming status (if candidate is from overseas and has Australian permanent residency or on path to permanent residency)
  - documentation for concessional status as applicable
  - statement from the school concerning all VET qualifications previously attempted and outcomes, i.e. statements of attainment or qualifications issued).



**VET FEE-HELP loans**

Applicable to	Higher Level Skills
VET PQS Agreement	Clause 3
PQS Policy 2015-16	Performance standard 3 – Comply with all funding terms and conditions Appendix 1
Program policies	Higher Level Skills Program Policy 2015-16

**Exceptions or exemptions**

The National Partnership Agreement on Skills Reform introduced a limited trial to extend the availability of state subsidised VET FEE-HELP loans to:

- Certificate IV in Aged Care
- Certificate IV in Disability
- Certificate IV in Building and Construction (Building)
- Certificate IV in Engineering, and
- Certificate IV in Small Business Management.

**Requirements**

VET FEE-HELP is an Australian Government loan scheme to assist eligible students studying (usually) diploma level and above qualifications to pay their tuition fees. If the student and PQS are eligible, a loan may be available to the student to cover all or part of the cost of their co-contribution fee for a diploma or advanced diploma level qualification subsidised under the Higher Level Skills program. This assistance has been extended to some certificate IV qualifications for a trial period. The level of subsidy paid by the department will not be affected by whether the student accesses a VET FEE-HELP loan. A PQS that is an approved VET FEE-HELP provider will also need to manage the level of state subsidised VET FEE-HELP loans offered to an average of \$5000 or less. Should a PQS breach this requirement, their PQS status may be suspended or terminated.

Must be:

- PQS approved by the Australian Government under the Higher Education Support Act 2003 to offer VET FEE-HELP loans to eligible students
- PQS approved by the Australian Government to offer the qualification under VET FEE-HELP in Queensland
- a student who meets the eligibility requirements to access VET FEE-HELP
- able to manage state-subsidised VET FEE-HELP loans offered to students to an average of no more than \$5000
- able to provide information to students in relation to VET FEE-HELP in accordance with the requirements of the Australian Government.

**Acceptable evidence**

- Notice from the Australian Government of PQS current approval as a VET FEE-HELP provider.
- Publication of information of VET FEE-HELP to prospective students including websites, flyers, advertisements.
- Invoices to the student, which identify no loan fee has been charged for VET FEE-HELP.



**ASQA registration**

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 25	
PQS Policy 2015-16	Performance standard 3 – Comply with all funding terms and conditions Appendix 3	

**Requirements**

- Maintain ASQA registration for each qualification it is approved to deliver under a program, and be registered to deliver full qualifications.
- If the PQS ceases to be registered for a qualification or training and assessment of a qualification on its delivery schedule or relevant approval for a program, it must inform the department immediately by submitting a variation through Variations Online.

**Acceptable evidence**

- For cessation of delivery of a qualification, the relevant emails/correspondence to and from ASQA and DETE concerning the anticipated change.

## Co-operation with DETE

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clauses 3, 6, 8, 9, 10, 18, 20 and 25	
PQS Policy 2015-16	Performance standard 3 – Comply with all funding terms and conditions. Appendices 3 and 8.	

### Requirements

- Ensure accuracy and currency of information held by the department relating to the PQS' business details, contact information, and the qualifications it is approved to deliver. Cooperate fully with the department's PQS performance monitoring activities.
- Demonstrate a sound knowledge of PQS obligations stipulated in the PQS Agreement, the Pre-qualified Supplier Policy 2015-16 and relevant program policies and guidelines.
- Ensure staff regularly review all relevant policies and contact their departmental contract manager if they require clarification.
- Deliver training and assessment services in line with funding objectives.
- Claim only eligible and payable training and assessment services from the department in line with Appendices 5, 6 and 7 of PQS Policy 2015-16.
- Cease new enrolments in a qualification from a specified future date if directed by the department.

### Acceptable evidence

- Documents evidencing compliance with all requirements of the VET PQS Agreement.
- At audit PQS staff are able to access and reference the appropriate funded policy or agreement when discussing issues identified by departmental auditors
- Staff manuals, staff emails and/or staff training include activities undertaken by the PQS to ensure its training and assessment practices under funded programs align with the requirements of PQS Agreement, the Pre-qualified Supplier Policy 2015-16 and relevant program policies and guidelines
- PQS business details, contact information and qualifications delivered align with departmental PQS delivery schedule(s).
- Documented communication with Contract Management and Performance concerning any changes to PQS information and official evidence of the department's consent or acknowledgement of the change/s. This includes notifying the department prior to any anticipated change of ownership or key personnel (This must occur before the date of change).
- If the PQS is not listed on the Australian Securities Exchange, the PQS must obtain the written consent of the department prior to any change affecting the control of the company including (a) transfer in the legal or beneficial interest in shares of the Supplier; (b) allotment of shares in the PQS; or (c) changes in the Supplier's constitution.
- If the PQS is listed on the Australian Securities Exchange the Supplier must immediately notify the department of any change in Control of the PQS, including full details of the change.
- Allowing departmental auditors access to PQS premises, records and documents.
- Cooperation with process of scheduling audits and providing full and accurate answers to questions asked at audit.
- PQS agreement and policy related issues as standing agenda items at staff meetings/minutes and information days, correspondence to and from Contract

Management case manager or other relevant departmental officers regarding policy related matters.

- Prompt repayment of overpayments.
- Immediate rectification of non-compliances identified at audit, unless otherwise advised by the lead auditor.

Historical document

**Inclusive practice**

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 3	
PQS Policy 2015-16	Performance standard 4 – Support the learning needs of students	

**Requirements**

- Implement inclusive practice strategies which align with the Queensland VET Inclusive Learning Framework - Inclusive Learning: A way forward.
- Must be able to show at audit that inclusive practice is a core business element.
- Must demonstrate implementation of inclusive practices to support student participation and learning outcomes. The department provides free inclusive practice resources at [www.training.qld.gov.au/inclusivelearning](http://www.training.qld.gov.au/inclusivelearning) to inform and support professional learning.

**Acceptable evidence**

- Logs or records showing the successful completion of the department's online learning modules or the successful completion of the PQS' own materials
- Notations on the files and appropriate adjustments to training and assessment for students with learning needs which align with practice outlined under the Queensland VET Inclusive Learning Framework. Where relevant this should include accessing the department's Skills Delivery Support service
- Evidence of professional development undertaken by staff relating to inclusive practice
- Permanent or regular agenda items at regular staff meetings, minutes or trainer information sessions
- Inclusion of inclusive practice matters in administrative policies and procedures documents, induction checklists and/or staff manuals
- Documented accessing of the department's Skills Disability Support service or 'five actions for RTOs and four principles for VET educators', as detailed in the department's [Inclusive learning: A way forward](#) guide or similar strategies to embed inclusive practice evidenced in processes, systems and day-to-day activity.

Foundation skills		
Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	
VET PQS Agreement	Clause 3	
PQS Policy 2015-16	Performance standard 4 – Support the learning needs of students	
Exceptions or exemptions		
<ul style="list-style-type: none"> <li>• VETiS students are not eligible for funded delivery of foundation skills.</li> <li>• Claims cannot be made under AVETMISS outcome code '51' (RPL) for foundation skills delivery.</li> <li>• If an individual requires significant language, literacy and numeracy (LLN) support, individuals eligible for assistance under an Australian Government LLN program must be redirected by the PQS to such a program before enrolling in the Certificate 3 Guarantee. For further information refer to: <ul style="list-style-type: none"> <li>– Adult Migrant English Program (AMEP)</li> <li>– Skills for Education and Employment (SEE).</li> </ul> </li> </ul>		
Requirements		
<ul style="list-style-type: none"> <li>• Effective assessment of a candidate's need for foundation skills training including language, literacy and numeracy (LLN) proficiency skills prior to enrolment.</li> <li>• A training and support plan tailored to the student's needs must be developed prior to the commencement of training that outlines how foundation skills training will be delivered and the foundation skills outcomes to be achieved through to completion of the vocational qualification. The plan and learning pathway must be agreed to by the student.</li> <li>• Where a student is eligible under Australian Government LLN programs, PQS must redirect them to the program.</li> </ul>		
Acceptable evidence		
<ul style="list-style-type: none"> <li>• Effective assessment of a candidate's need for foundation skills training must include evidence of: <ul style="list-style-type: none"> <li>– assessment of the student's capabilities against recognised foundation skills benchmarks -Australian Core Skills Framework (ACSF) or the Core Skills for Work developmental framework (CSfW). This could be evidenced by tests, interviews, and activities but must include an LLN test.</li> <li>– assessment of the student's capabilities against the skills required for completion of the vocational qualification</li> <li>– information from suitably qualified professionals concerning any impairments and disabilities the student may have</li> <li>– documented analysis of the impact of educational, training and work history and impairments/disabilities on the student's suitability for foundation skills training and ability to complete the vocational qualification.</li> </ul> </li> <li>• Analysis against industry peak body or packaging rules advice concerning the language, literacy or numeracy score essential to fulfil industry competency requirements relating to the qualification to be trained.</li> <li>• Record of interview, completed Australian Core Skills Framework (ACSF) or the Core Skills for Work developmental framework (CSfW) test or activity relating to approved or registered core skills.</li> </ul>		

- All analysis customised to the competencies required to meet the relevant qualification or vocational outcome.
- Copies of documents relevant to the student's previous education and training, work history, impairments, disabilities, and a training and support plan which includes outcomes to be achieved, what training is needed and how it will be delivered - signed by the student and the PQS.
- The training and support plan must include a pathway to the targeted vocational qualification indicating key milestones.
- Evidence the training and support plan has been reviewed at the achievement of each key milestone and agreement has been reached on adjustments to the plan based on the progress of the student and the most appropriate path to meet learning needs and vocational training outcomes (documented analysis and justification by the assessor and signature of the student and the assessor to indicate agreement complete with relevant dates).

## Lower-level qualifications

Applicable to	Certificate 3 Guarantee	
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 9	
PQS Policy 2015-16	Performance standard 4 – Support the learning needs of students	
Other	Community Learning Guidelines for Funding 2015-16	

### Exceptions or exemptions

- Claims cannot be made under AVETMISS outcome code '51' (RPL) for lower-level qualification delivery.
- If approval has been given to deliver a lower-level qualification specific to a funding strategy cohort, this qualification cannot be delivered to mainstream students.

### Requirements

Outside of delivery to VETiS students, the PQS may only deliver certificate I and/or II level qualifications on the Queensland Training Subsidies List in the following circumstances:

- Qualification — where the qualification is mandated as a prerequisite for the certificate III level qualification under training package rules.
- Individual — where the student is assessed as requiring this pathway, for example lower-level qualifications are supported for disadvantaged learners.
- Industry — where industry or local employers have supported the qualification as the preferred employment outcome, including basic trade skills to support entry into a traditional apprenticeship pathway.

In addition, for disadvantaged learners the PQS must develop a training and support plan that is tailored to the individual's circumstances and abilities at enrolment.

Justification for choosing lower-level qualifications and the expected outcomes for all students must be progression to employment, further training, career advancement or approval relating to a specific cohort under a funding strategy must be evidenced and supporting documentation retained.

### Acceptable evidence

For disadvantaged learners the training and support plan must include:

- learning support strategies
- documented skills assessment/s identifying the need for lower-level vocational training (other than foundation skills/LLN training) prior to, or rather than, certificate III enrolment.

The PQS must retain evidence of the circumstances that support a student's enrolment in a lower-level qualification, either at the qualification, individual, industry or pre-apprenticeship level:

- Qualification – copy of the packaging rules for the qualification, which indicate mandated prerequisite units and confirmation from the relevant industry skills body.
- Individual – policies, procedures and templates forming a thorough process to support analysis of specific areas of difficulty an individual may have in completing certificate III qualifications which is customised to the student and to the end result qualification. These



should include LLN tests and analyses of those tests by suitably qualified assessors and according to the PQS' own policy and procedure guidelines.

- Industry – written confirmation from industry representatives supporting the training pathway as the preferred one for employment. In addition written confirmation from at least one employer addressing the requirements of the student identifying specific units of competency, the specific employment outcomes or apprenticeship pathway these will lead to and details of the position available (fulltime/part-time/casual) and the date the position will commence.
- Registration with a Labour Hire Company is not considered an employment outcome and does not meet the requirements of the program when delivering lower-level training.

Historical document

### Industry and employer networks

Applicable To	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
PQS Agreement	Clause 3	
PQS Policy 2015-16	Performance standard 5 – Achieve a minimum outcome for students	

### Requirements

- Must maintain strong industry and employer networks to deliver training linked to local job vacancies and employment outcomes, facilitate any vocational or work placements, and support students to transition to the workforce or into further training.

### Acceptable evidence

- Partnership with relevant industry bodies or business enterprises.
- Involvement with industry advisory committees relevant to student's employment and vocational goals.
- Documented industry networking with a consistent pattern of interaction with employers or managers in relevant industries (e.g. signed records of conversation, industry engagement event minutes, memoranda of understanding).
- Formation of, or participation in, assessment moderation networks involving relevant employers.
- Staff, resource or knowledge exchange programs with employers and/or industry networks.
- For PQS delivering pre-employment or foundation skills training, engagement with employment service providers, disability employment networks or other such bodies that facilitate employment outcomes for the particular cohort of students engaging in training and assessment.
- Contact logs with employers, correspondence between the PQS and employer.
- Vocational placement plans.

**Employment survey**

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 9	
PQS Policy 2015-16	Performance standard 5 – Achieve a minimum outcome for students	
Other	Student Employment Survey	

**Requirements**

- Inform students of the requirement to complete an employment survey within three months of completing or discontinuing subsidised training.
- Survey students with mandated questions outlined in the Student Employment Survey.
- Manage an effective student survey process to achieve an adequate response rate.
- Submit a completed survey quarterly to the department containing the collated data of training outcomes for all students who have completed or discontinued their training.

**Acceptable evidence**

- A survey which includes mandated questions outlined in the Student Employment Survey (see [training.qld.gov.au/resources/training-organisations/pdf/student-survey-factsheet.pdf](http://training.qld.gov.au/resources/training-organisations/pdf/student-survey-factsheet.pdf)).
- A strategy for administering the survey, which identifies and addresses the risk factors associated with post-training survey response rates, and includes timelines for action to ensure the three month deadline is met.
- Administrative procedures for managing the collection of the survey evidence.
- Mail log or checklist which includes student name, qualification and date the survey is sent or administered.
- Evidence of monitoring and follow up communication as required.
- Copies of the completed surveys for each student.
- Copies of completed surveys and training and employment outcomes for the quarter align with the completed quarterly survey of training outcomes submitted to the department.

### Vocational placement

Applicable to	Certificate 3 Guarantee	Higher Level Skills
	Skilling Queenslanders for Work	VET in Schools
VET PQS Agreement	Clause 9	
PQS Policy 2015-16	Appendix 8	
Other	Guide to Vocational Placement ( <a href="#">see document</a> )	

### Requirements

- Where vocational or work placement is a mandatory requirement for training in the qualification, evidence of vocational placement must be retained, including the quantum of vocational placement undertaken.
- Needs to be structured to ensure quality work based training experiences that address Standards for NVR Registered Training Organisations, industrial relations requirements, liability issues with adequate insurance coverage and any other relevant legislation requirements.
- Where a training package requires vocational placement for the student to be deemed competent within an industry for which a security clearance (e.g. police check or blue card) is required, the PQS must include the attainment of this security outcome as part of the students' eligibility/enrolment process and a copy of the card or police check outcome must be retained.

### Acceptable evidence

- Evidence vocational placement has been identified at enrolment in a training fact sheet or summary of information.
- Evidence there is an agreement between the placement host, the student and the training organisation detailing the total hours required and what dates and hours the student will be in the workplace.
- Evidence the student has attended the workplace at the dates and for the hours identified in the agreement. This would include a workplace supervisor's signature against specific dates the student has attended (e.g. timesheet).
- Where the industry requires it, the document required for the security clearance.

## Fund source codes

Applicable to	Certificate 3 Guarantee	Higher Level Skills
VET PQS Agreement	Clause 9	
PQS Policy 2015-16	Appendices 4 and 6	

## Requirements

- PQS must report the correct fund source code for each student based on the eligibility rules for the program.

## Acceptable evidence

## Certificate 3 Guarantee specific

- Fund source code applicable to student cohort















Code	Definition
ENT	Mainstream student
GS1	Year 12 graduates (high priority qualifications only)
VSS	VET in Schools (secondary school students)
CLG	Community Learning (continuing students only)
SQT	Skilling Queenslanders for Work
IT3	Indigenous Training Strategy
IP3	Industry Partnerships Strategy



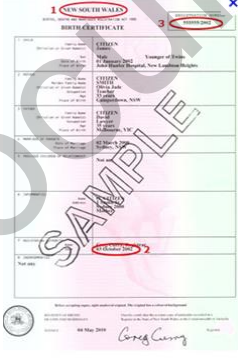


## Higher Level Skills specific

- Fund source code applicable to student cohort

Code	Definition
ENH	Mainstream student
HLT	Student accessing VET FEE-HELP loan
ITH	Indigenous Training Strategy
IPH	Industry Partnerships Strategy

Appendix 1

Identification type	As evidence of	Sample
Queensland Drivers Licence	Date of birth and/or Queensland residency (if back of licence, showing address, is captured).	 
18+ Card	Date of birth.	
Heavy Vehicle or Marine Licence	Date of birth and/or Queensland residency (if back of licence, showing address, is captured).	 
Pensioner Concession card	Eligibility for concession and Queensland residency (if showing QLD address).	 
Health Care Card <i>Different classes include: Ex-Carer Allowance (Child) Foster Child Low Income</i>	Eligibility for concession. Queensland residency (if showing QLD address).	 
Commonwealth Seniors Health Card	Eligibility for concession. Queensland residency (if showing QLD address).	 
Medicare Card	<p>A current <b>green</b> Medicare card is sufficient evidence of Australian Permanent Residency.</p> <p>A <b>blue</b> interim Medicare card may address eligibility requirements for students claiming temporary residency status if accompanied by the necessary Department of Immigration documentation, visa and work permits on the pathway to permanent residency.</p> <p>A <b>yellow</b> Reciprocal Health Care card does not address eligibility requirements.</p>	  

<p>Australian Passport</p>	<p>Australian citizenship.</p>	
<p>Australian Citizenship Certificate</p>	<p>Australian citizenship.</p>	
<p>Australian Birth Certificate</p>	<p>Australian citizenship and date of birth.</p>	
<p>Certificate of Evidence of Residence Status (CERS)</p>	<p>Australian Permanent Residency.</p>	
<p>Certificate of Status for New Zealand Citizens in Australia (CSNZA)</p>	<p>New Zealand Citizenship.</p>	

**Additional examples of evidence to support Queensland residency**

<p>Queensland residential address documents</p>	<ul style="list-style-type: none"> <li>• Australian Electoral Commission document (e.g. acknowledgement of electoral enrolment letter or electoral enrolment card).</li> <li>• Contract of property purchase, lease/rental document, mortgage/land ownership certificate.</li> <li>• Electricity, gas or telephone account.</li> <li>• Queensland local government rates notice.</li> <li>• Queensland vehicle registration certificate.</li> <li>• Queensland Driver Licence or Vehicle registration renewal notice.</li> <li>• Bank Statement issued within the last 6 months.</li> <li>• Official letter from Centrelink or the Department of Human Services.</li> <li>• Australia Taxation Office assessment/Tax-file number confirmation notice.</li> </ul>
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Appendix 2

Eligibility requirements evidence guide – Checklist (items 1-7 only)								
Item Number	1	2	3	4	5	6	7	8
Category	Date of birth	Queensland residency	Australian citizenship	New Zealand citizenship	Australian permanent residency*	Australian temporary residency	Concession eligibility	Fee-free training for Year 12 graduates
<b>Mandatory requirement for evidence</b>	<b>YES</b>	<b>YES</b>	<b>YES, for ONE of these categories</b> ★				<b>YES, if claimed</b>	<b>YES, if claimed</b>
<b>EVIDENCE LIST</b>								
Driver's Licence	✓	✓✓						
18+ Card	✓							
Heavy Vehicle or Marine Licence	✓	✓✓						
Birth Certificate or Birth extract	✓		✓✓✓	✓✓✓				
Australian, New Zealand or Inter-national Passport	✓		✓✓✓	✓✓✓				
Certificate of Evidence of Residence Status (CERS)					✓			
Certificate of Evidence of New Zealand Citizens in Australia (CSNZA)				✓				
Dept of Veterans' Affairs/ Pensioner Concession Card		✓✓					✓	
Health Care Card		✓✓					✓	
Commonwealth Seniors Health Card		✓✓					✓	
Medicare Card (current green only)			✓	✓	✓	✓		
Blue Medicare Card						✓✓✓✓		
Senior Statement or Statement of Results								✓

For EACH eligibility criterion that applies, the PQS must collect and retain AT LEAST ONE suitable piece of evidence.

★ Includes humanitarian permanent residency visas

Additional examples of evidence for Queensland residency are at Attachment 1.

**Legend**

✓	Suitable evidence.
✓✓	Must show a Queensland residential address if used as evidence of Queensland residency.
✓✓✓	Must be an Australian or New Zealand Birth Certificate, Birth Extract or Passport if used as evidence of Australian or New Zealand Citizenship.
✓✓✓✓	Subclass 201 and 202 Humanitarian visa holders, with visa and work permits and commencement of application for permanent residency.

This table must be read in conjunction with the Eligibility Requirements section of this Guide.

## Appendix 3

### Acceptable evidence for funded assessment

The focus of the department's performance monitoring and evaluation activities is to ensure eligible individuals are accessing quality training to develop skills in areas of industry demand, and being effectively assessed for competence in the required skills and knowledge required for the qualification undertaken, to facilitate the achievement of improved career prospects.

#### Requirements

The VET Pre-qualified Supplier Agreement Clause 3.2(b and c) requires the PQS to provide training and assessment to students with due skill, care and diligence to a high professional standard; and comply with the VET Quality Framework, the NVR Act and any other relevant Acts.

#### Acceptable evidence

Evidence of a framework for quality assessment includes:

##### Planning

- Training and assessment strategies (one or more documents) and marker's guides which match the current training package requirements, clearly outline the training and specific assessments which must be completed in order to enable that cohort of students to reach competence and which the PQS can demonstrate are actually used by the assessor and other relevant staff to monitor achievement.
- Proof that assessors signing off the students' achievement of competency in each assessment have the appropriate qualifications and industry experience to make the necessary judgement.
- The content of pre-enrolment tests to determine suitability of the student to complete the qualification and/or the special needs of the student (including language, literacy and numeracy tests) reflect the critical skills necessary to work in the industry and/or complete the qualification.
- Evidence mapping the requirements of each unit of competency to the assessment tools used for each qualification is retained.

##### Content

- Assessments requiring a written response must be the student's own work. Responses to written assessments should not be identical or too similar from one student to another, except in cases where there is only one correct answer. For example, identical answers would be appropriate if the question required the student to identify the appropriate Act of parliament which covers activity in a particular industry. Where a student provides a verbal response this should be recorded verbatim.
- Assessment evidence for practical skills observation must include a record of the skills the assessor observed the student demonstrating relevant to the unit of competency to substantiate the judgement of competence. The use of checklists with pre-populated lists of observable behaviours relevant to the unit is acceptable if the assessor has included details of the activity observed and an indication of the behaviours demonstrated by the student by writing notes and circling the relevant variables from the pre-populated lists. An overview document identifying the unit of competency and containing only the signatures of the student and assessor to indicate a satisfactory result is not sufficient evidence of practical assessment under a funded program.
- Where changes have been made to assessments to customise the assessment to student needs, the replacement assessment must be clearly identified and approval by the appropriate staff and the rationale for the change must be documented.
- All planning documents (training and assessment strategies, marker's guides etc.) align with each other and each student's completed assessment tools, and when a change is made to mode or content of assessment, the rationale is documented and supported by senior staff of the PQS.

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