

Skills Assure Supplier Audit Evidence Requirements (User Choice 2021-22)

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An electronic version of this document is available at

<https://desbt.qld.gov.au/training/providers/sas/audits>

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Your guide to compliance

This *Skills Assure Supplier Audit Evidence Requirements* document has been developed by the Queensland Department of Employment, Small Business and Training (the [department](#)) to provide specific detail to the Skills Assure Supplier ([SAS](#)) on the level of supporting documentation required for the SAS to evidence the adequate completion of tasks as required by the *Vocational Education and Training ([VET](#)) Skills Assure Supplier (SAS) Agreement* and relevant policies which underpin the VET Investment. It also helps explain the linkages between:

- the *Further Education and Training Act 2014* (FET Act)
- the *Further Education and Training Regulation 2014*
- apprenticeship / traineeship policy and procedures which support the FET Act
- the *Vocational Education and Training Skills Assure Supplier Agreement*
- the *User Choice 2021-22 Policy*
- the *Registered Training Organisation User Choice Skills Assure Supplier 2021-22 Policy*.

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

The *Skills Assure Supplier Audit Evidence Requirements* document follows the structure of the *Registered Training Organisation User Choice Skills Assure Supplier 2021-22 Policy* and provides advice on the types of evidence necessary to assist demonstrating compliance with the *VET SAS Agreement*, the *User Choice 2021-22 Policy* and the FET Act, and should be read in conjunction with each of these documents to provide a clear overview of the roles and responsibilities of SAS.

How to read and interpret this document:

Compliance focus	
FET Act 2014 / Further Education and Training Regulation 2014	
Apprenticeship / traineeship operational policy and procedures	
Vocational Education and Training Skills Assure Supplier Agreement	
User Choice 2021-22 Policy	
Requirements	Acceptable Evidence

Supplier Governance and Internal Controls

The information provided in this section is a **guide only**. It is recognised that suppliers will have their own arrangements, systems and documentation in place to achieve compliance with the terms of the SAS Agreement.

Governance and internal controls form part of the overall framework that suppliers are expected to have in place to support their obligations within the Skills Assure Supplier Agreement. Sound governance and strong internal controls will facilitate the achievement of a compliant outcome and assist suppliers in managing associated risks. This section of the Audit Evidence Requirements document provides a guide regarding systems and controls to inform suppliers' strategic, managerial and operational capacity and capabilities in the context of the Skills Assure environment.

Corporate

Queensland Vocational Education and Training Skills Assure Supplier Agreement	<p>Clause 4 - Supplier's obligations</p> <p>Clause 8 – Supplier's employees and contractors</p> <p>Clause 11 - Records</p> <p>Clause 18 - Third Party Arrangement and Subcontracts</p>
Other related documents	<p>RTO User Choice Skills Assure supplier policy 2021-22</p> <p>User Choice program policy 2021-22</p> <p>Skills Assure supplier third party arrangements directive</p> <p>Skills Assure supplier marketing and disclosure directive</p>

Corporate

Assurance Area	Scope/ Coverage/ Attributes
Business Plan	The plan includes content that addresses SAS Agreement funding requirements as part of the supplier's current and/or future delivery arrangements.

Corporate

Assurance Area	Scope/ Coverage/ Attributes
Organisational Chart	Reference is made to the position/s responsible for SAS Agreement compliance assurance with the supplier's organisational structure.
Third Party Arrangements - as related to the supplier's SAS Agreement whereby third parties are delivering services on behalf of the supplier	All Third Party Agreements have been reported to the department and includes: <ul style="list-style-type: none"> • details of the services to be provided by the third party on behalf of the supplier. • includes the responsibility for the supplier to undertake an internal review of the training, assessment and administrative tasks undertaken by the third party organisation on behalf of the supplier. • frequency of the internal review/s and identification of the position/s responsible for undertaking this process. • Notification to the department where there has been a change in control in the Third party.
Internal Audit/Review - as related to the supplier's SAS Agreement	<ul style="list-style-type: none"> • timeframe of audit/review indicates it is timely and aligned to a schedule of compliance assurance activities that checks and/or validates the effectiveness of internal controls. • content indicates that scope of audit/review incorporates a consideration of the SAS Agreement, funding policies and the audit evidence requirements document. • aligns with related documents such as the continuous improvement register and risk management register.
Continuous Improvement Register - as related to the supplier's operations for subsidised programs	<ul style="list-style-type: none"> • content includes details of areas/issues for improvement identified within the supplier's operations and functions as related to the SAS Agreement, funding policies and the audit evidence requirements document, identified by the supplier and its staff from time-to-time.

Corporate

Assurance Area	Scope/ Coverage/ Attributes
	<ul style="list-style-type: none"> register is complete, with all fields populated, including rectification action undertaken and the name/position of the actioning officer. aligns with related documents such as internal audit/review and risk management register.
Risk Management Register <ul style="list-style-type: none"> as related to the supplier's operations for funded programs 	<ul style="list-style-type: none"> at a minimum, content includes the identification of supplier risks associated with the compliance requirements of the subsidised program, with appropriate risk treatments. register aligns with the principals stated in <i>ISO 31000 Risk Management</i>.

Training and Assessment

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 4 - Supplier's obligations Clause 11 - Records
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Training and Assessment

Assurance Area	Scope/ Coverage/ Attributes
Training and Assessment Strategies (TAS) <ul style="list-style-type: none"> for the qualifications listed on the supplier's funded delivery schedule 	<ul style="list-style-type: none"> content within each strategy aligns with the correct number of core and elective units of competency as specified in the applicable training package rules. details of pre and/or co-requisites relevant to the units of competency are identified within the TAS.

Training and Assessment

Assurance Area	Scope/ Coverage/ Attributes
	<ul style="list-style-type: none"> • if applicable, reference should be made to any specific <i>student eligibility restrictions and/or exemptions</i> listed within the Priority Skills List. • details of how training delivery is conducted (across a variety of delivery methodologies) and how the supplier has determined the predominant mode of delivery is outlined. • details of nominated assessment strategies against either individual units of competency or clusters is outlined. • nominated trainer/s are listed against each unit of competency required to be completed in order for the student to achieve the qualification.
<p>Mapping Document</p> <ul style="list-style-type: none"> - for clustered units of competency 	<p>Content includes details of how the range of assessment instruments with the cluster align to the requirements of individual units of competency.</p>
<p>Training Attendance</p> <ul style="list-style-type: none"> - Template/ Access Log - Process/ Procedure/ Policy - Withdrawn Claims 	<p>Template/ Access Log</p> <ul style="list-style-type: none"> • template used to capture and record student participation in training (applicable to classroom or workplace delivery) includes the following: <ul style="list-style-type: none"> ○ name of student ○ unit of competency code and name ○ date/s of training ○ duration of training (actual hours of training delivered against individual units of competency) ○ trainer's name and signature (including date of signing) ○ signature of student (including date of signing) • if training is conducted on-line, the template/document used to capture student participation in training includes the following: <ul style="list-style-type: none"> ○ name of student

Training and Assessment

Assurance Area	Scope/ Coverage/ Attributes
	<ul style="list-style-type: none"> ○ unit of competency code and name ○ date/s of training ○ duration of training (actual hours of training delivered against individual units of competency) <p>Process/ Procedure/ Policy</p> <p>Content of document includes:</p> <ul style="list-style-type: none"> ● name of the position/s responsible for completion of tasks within the procedure. ● details of action/s required to assure that the participation in training record is completed fully and accurately. <p>Withdrawn Claims</p> <ul style="list-style-type: none"> ● withdrawn claims are supported by a documented procedure/process that enables the retention of sufficient evidence to substantiate a claim i.e. <ul style="list-style-type: none"> ○ For classroom/workplace delivery – evidence that the student has participated in some training for each unit of competency claimed. ○ For on-line delivery - evidence that the student has accessed on-line learning materials and/or resources.
<p>Assessment</p> <ul style="list-style-type: none"> - arrangements for administrative and quality assurance of assessment evidence 	<p>Content of document includes:</p> <ul style="list-style-type: none"> ● name of the position/s responsible for completion of tasks within the procedure. ● checks to ensure assessment instruments and/or tools are completed fully, with the appropriate declaration/ attestation/ validation in place, executed by the relevant parties. ● checks to validate marking of assessment instruments and/or tools aligns with the applicable marking guide.

Training and Assessment

Assurance Area	Scope/ Coverage/ Attributes
	<ul style="list-style-type: none"> assurance to confirm assessment instruments and/or tools address all unit of competency knowledge and performance requirements. assurance to confirm the capture of information to address practical observation requirements adequately as outlined in the 'Assessment' section of the <i>SAS Audit Evidence Requirements (VET Investment Programs)</i> document.
<p>Records Management</p> <ul style="list-style-type: none"> procedure to manage training and assessment records in accordance with subsidised program requirements 	<p>Content of document includes:</p> <ul style="list-style-type: none"> name of the position/s responsible for completion of tasks within the procedure. details of how hard copies are safeguarded (e.g. fire-proof safe and/or off-site storage). <p>References are made within the document concerning:</p> <ul style="list-style-type: none"> departmental requirements to retain records of each student's participation in Training and Assessment for each unit of competency, including records of the commencement of educational content, attendance and progression for a period of seven (7) years from the end of the term of the Agreement. retention of other documentation related to a student's enrolment within a subsidised training program other than training and assessment records. how electronic and online records are maintained and regularly backed up.
<p>Staff Induction</p>	<ul style="list-style-type: none"> content of document includes details of how the staff are made aware of the policies and procedures of the supplier.
<p>Trainer Qualifications</p>	<p>Trainers hold the required qualifications at the time of training.</p>
<p>Qualifications and Statements of Attainment</p>	<p>Content of document includes:</p> <ul style="list-style-type: none"> name of the position/s responsible for completion of tasks within the document. information regarding the requirement for a qualification to be issued by the PQS within 30 days (as per SRTO Standard 3.3) as well as the submission of

Training and Assessment

Assurance Area	Scope/ Coverage/ Attributes
	<p>'qualification issued flag' (NAT130) AVETMISS data (which may appear in the document) within 30 days of the qualification being issued.</p> <p>Content of document does not include any reference to qualifications or statements of attainment being withheld owing to outstanding fees for both User Choice and VET Investment programs.</p>

Enrolment/Induction

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 4 - Supplier's obligations Clause 11 - Records
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Enrolment/Induction

Assurance Area	Scope/ Coverage/ Attributes
Student Handbook	<p>Content includes information regarding co-contribution fees consistent with details outlined in the relevant funding policy and audit evidence requirements document including:</p> <ul style="list-style-type: none"> • how fees are calculated; and when fees are charged and collected. • details regarding exemptions categories for reduction of fees and/or full-fee exemption (e.g. credit transfers are fee exempt). • refund information relevant to the subsidised program. • information regarding assessment processes (how and when they are carried out). • information on the number of re-submissions allowed before a student's assessment in a unit is deemed as 'competency not achieved/failed'.

Employer Resource Assessments (ERAs)

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 11 - Records
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ERAs

Assurance Area	Scope/ Coverage/ Attributes
Development and Administration	<p>Content of document includes:</p> <ul style="list-style-type: none"> • name of the position/s responsible for completion of tasks within the document. • details regarding the requirement for ERAs to be reviewed at intervals of no longer than three (3) monthly and process/procedure to assure this. • checks to assure ERA is completed fully, including declarations and signatures of all parties.

AVETMISS Data

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 6 - Reporting
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AVETMISS Data

Assurance Area	Scope/ Coverage/ Attributes
AVETMISS Data Submissions	<ul style="list-style-type: none"> • Content of document includes guidance and/or procedural steps and/or contextual information that supports the submission of accurate data to the department within the required timeframes.

AVETMISS Data

Assurance Area	Scope/ Coverage/ Attributes
	<ul style="list-style-type: none">• Reference is made to the position/s responsible for completing allocated tasks regarding data submission in the document.

Employment Arrangements / Enrolment

Employment Arrangements

Employment Arrangements

FET Act 2014 references	<p>s. 17(5) – Registering training contracts</p> <p>s. 56 – Employer to provide supervision, facilities and training</p> <p>s. 67 – Availability of facilities</p> <p>s. 68 – Supervising registered training organisation to ensure delivery of training</p> <p>s. 74 – Signing of training plan</p>
Departmental policy / procedures	<p>Adequate training arrangements</p> <p>Declaration of apprenticeships and traineeships – policy</p> <p>Transfer of registered training contracts - permanent or temporary</p> <p>Guide to completing an employer resource assessment</p>
Vocational Education and Training Skills Assure Supplier Agreement	<p>Clause 4.1 (1) – The supplier must provide Training and Assessment and other VET services with skill, care and diligence to a high professional standard</p>
User Choice 2021-22 Policy	<p>Clause 1.2 – Employment arrangements</p>

Employer Resource Assessment (ERA)

Employer Resource Assessment ([ERA](#))

If the supplier identifies the employer is unable to provide the facilities, range of work, supervision and / or training necessary to achieve the outcomes of the training plan, the supplier should not commit to the training plan and must advise the employer, the Australian Apprenticeship Support Network ([AASN](#)) provider and the department immediately.

The department does not in all instances, require the completion of a new separate employer resource assessment (ERA) for each new apprentice / trainee where there are more than one apprentice / trainee in a workplace with the same qualifications. The supplier will now be able to create and maintain one or more ERAs in the following situations:

- for a workplace with one apprentice / trainee – the supplier must conduct and retain evidence of the ERA process and have a system in place to update the existing ERA to include the details of other apprentices / trainees commencing in the same workplace with the same qualification as the existing apprentice or trainee.
- for a workplace with multiple apprentices / trainees with the same qualifications – the supplier must conduct and retain evidence of the one ERA process and have a system in place to update the existing ERA to include the details of other apprentices / trainees who commence in the same workplace with the same qualifications as the existing apprentices / trainees.
- for a workplace with multiple apprentices or trainees with different qualifications – the supplier must conduct an ERA process for each of the qualifications being undertaken in the workplace, or each cohort of apprentices / trainees, and have a system in place to update the ERAs to include the details of other apprentices / trainees who commence in the same workplace with the same qualifications as any of the existing apprentices / trainees.

In all cases where an apprentice or trainee starts in a workplace in which an ERA is current for a different qualification/s to that of the commencing apprentice or trainee, a new ERA must be undertaken.

To assist suppliers in retaining sufficient evidence to substantiate the fact that the ERA has been conducted, and to determine the legitimacy of workplace arrangements, the department:

- provides a range of templates to assist suppliers in complying with this requirement
- provides the above to clarify the department's expectations of the evidence the supplier should retain to ensure compliance with their obligations under the [FET Act](#). These templates can be located at [Apprenticeships Info](#).

Employer Resource Assessment (ERA)

Requirements	Acceptable evidence
<p>A supplier must provide evidence it has sourced or developed an ERA document, which addresses the employment and training arrangements required under the FET Act for each apprenticeship / traineeship qualification within the workplace.</p>	<p>The supplier must retain evidence for either of the following:</p> <ul style="list-style-type: none"> • implementation of the department's ERA template current at the time the apprentice / trainee was enrolled; or • documentation of the process used by the supplier which captures all of the required information reflective of the department's ERA template current at the time apprentice / trainee was enrolled, including the sufficiency of range of work, facilities and equipment, and supervisory arrangements. <p>Please note: <i>Should the supplier wish to develop its own version of the ERA, it must ensure all information contained within the department's templates is captured as a minimum. The absence and / or incompleteness of information in an ERA will be identified as non-compliance and recovery of funds may occur.</i></p> <p><i>This documented process may be contained within one document or a collection of documents.</i></p>
<p>The supplier must, prior to negotiating the training plan for the apprentice / trainee, capture and retain evidence it has assessed the employer's ability to provide the apprentice / trainee the following requirements as stated within the FET Act:</p>	<p>The supplier must retain a fully completed ERA document, in accordance with the above scenarios, which accurately captures evidence the supplier has assessed the workplace arrangements for each apprentice / trainee and the employer is able to provide adequate facilities, range of work, supervision and the on-the-job training required by the FET Act.</p> <p>Please note:</p> <ul style="list-style-type: none"> • <i>In the majority of cases the ERA is completed through a visit to the workplace where the apprentice will be located. This is not always possible depending on the location of the workplace and / or where the workplace is not static.</i> • <i>In cases where remoteness or accessibility is an issue, the supplier may choose to conduct the ERA via other methods, most commonly through the use of phone and / or email conversations with the employer. The supplier must be satisfied it has obtained sufficient information to make a determination regarding the legitimacy of workplace arrangements as well as identifying any gaps in the range of work and facilities available, and the supervision complies with the qualification requirements. The supplier must also retain information as to how the ERA was conducted if it was not done via a workplace visit.</i>

Employer Resource Assessment (ERA)

Requirements	Acceptable evidence
	<ul style="list-style-type: none"> The supplier must ensure that information captured in the ERA must also reflect on the apprentice's / trainee's training plan in every instance. If the employer does not provide workplace-based tasks aligned to a unit of competency, it therefore applies that it is unable to provide all necessary on-the-job training.
Range of work, workplace facilities and equipment	<p>The supplier must identify the units for which the employer cannot provide aligned workplace tasks and provide details of how training related to those units will be delivered and assessed.</p> <p>Please note: Overarching statements regarding the sufficiency of the range of work in accordance with the training plan or unit of competency, or similar, will not be accepted.</p>
<p>Supervisory arrangements</p> <p>Please note: Adequate supervision of apprentices and trainees cannot solely be carried out from an offsite location by electronic means. Electronic means include, but are not limited to, telephones, radios and webcams.</p>	<p>Information regarding the name of the nominated "qualified person" charged with supervisory duties and details regarding their current industry specific qualifications must be captured within the ERA.</p> <p>Please note: The supplier must ensure the qualified person/s responsible for supervising the apprentice / trainee:</p> <ul style="list-style-type: none"> is permanently engaged at the same workplace as the apprentice or trainee be predominantly employed and available during the same working hours as the apprentice or trainee is signing the on-the-job verification against individual units of competency has been acknowledged as being a "qualified person" and is listed within the ERA. <p>For a qualification which leads to a licensed outcome, the supplier must sight the licence, or look up online where possible, and keep a copy of the licence or the online printout attached to the ERA. Please note:</p> <ul style="list-style-type: none"> requirements for a qualified person are defined in the department's ERA as referenced in "Declaration of Apprenticeships and Traineeships in Queensland" – Section 16.1 and 16.2. reference to the number of years within an industry (e.g. 25 years) or a generic position title (e.g. Manager) will not be accepted. The supervisor's knowledge must be current. Also, the supervisor must be working in the specialist area for which the apprentice / trainee under their guidance is studying.

Employer Resource Assessment (ERA)

Requirements	Acceptable evidence
	<ul style="list-style-type: none"> for a qualification which does not lead to a licensed outcome, retaining copies of the relevant qualifications and licences for the qualified person or persons nominated within the ERA, whilst not mandatory, will be seen as best practice.
<p>The supplier must ensure the ERA is signed by the employer, apprentice / trainee and supervising registered training organisation (SRTO) representative to confirm information contained within the ERA is a true and accurate reflection of current workplace arrangements.</p>	<p>The ERA has been signed by all parties (employer, apprentice / trainee and SRTO).</p> <p>Please note: When the ERA is updated for a new apprentice / trainee, the signature of the new apprentice / trainee is required. Similarly, if the employer's representative changes, the new representative will need to sign the ERA.</p>
<p>The supplier is required to determine an appropriate ratio of apprentices / trainees to qualified persons (supervisor). Where the supplier determines a supervisor (as the qualified person) is able to act as the supervisor for more than one apprentice or trainee, the supplier must justify this decision and record all details within the ERA.</p> <p>The supplier must also review the Queensland Training Information Services (QTIS) database to determine whether the specific qualification the apprentice / trainee is enrolling in includes any industry specific requirements regarding the supervision requirements for apprentices / trainees.</p> <p>Please note: While there is no set ratio required for the number of supervisors to apprentices / trainees it is generally accepted for apprenticeships there is one supervisor to each apprentice.</p> <p><i>This may be relaxed as an apprentice gains skills and experience, or where an apprentice commences with existing skills and experience.</i></p>	<p>The supplier must capture information regarding the number of apprentices / trainees employed and the number of qualified persons identified as addressing supervisory requirements.</p> <p>Where the supplier determines a ratio of more than 1:1 has been identified, the supplier must retain a documented rationale supporting these arrangements. Factors which may support the supplier in its determination of an appropriate ratio include:</p> <ul style="list-style-type: none"> the age and life experience of the apprentice / trainee in the workplace whether the apprentice / trainee is a new or an existing worker the level of competence and experience of the apprentice / trainee in a particular task / skill the risk associated with the work environment and the tasks to be completed by the apprentice / trainee the proximity of qualified persons and apprentices / trainees within the workplace industry regulations / requirements.
<p>In situations where the training contract is transferred to another employer, whether it is a permanent transfer or on a temporary basis, the supplier must conduct a new ERA on the new employer, and record and retain all evidence of</p>	<p>A fully developed ERA as per above requirements.</p>

Employer Resource Assessment (ERA)

Requirements	Acceptable evidence
<p>this process as outlined above. In the case of a temporary transfer, the ERA would only need to cover the period of the temporary transfer and the relevant training plan requirements for that time.</p>	
<p>The supplier must monitor the ongoing adequacy and legitimacy of workplace training arrangements to ensure the necessary facilities, range of work and supervision remain in place for the term of the training contract.</p> <p><i>Please note: If the supplier identifies the employer is no longer able to provide, or arrange to provide, the facilities, range of work, supervision, and / or training under the training plan, the supplier must notify the department.</i></p>	<p>The ERA is now a workplace-based document which is designed to be updated whenever there are changes within the workplace, such as the commencement of a new apprentice or a change in supervisor. Consequently, the supplier must review each ERA at intervals of no greater than three (3) months which aligns with the legislative requirement to review a training record.</p> <p>This evidence could include, but is not limited to:</p> <ul style="list-style-type: none"> • a documented workplace visit form signed and dated by the employer and supplier confirming the ERA has been reviewed and, if necessary, updated to reflect any changes to the workplace regarding facilities, range of work, supervision, and / or training under the training plan • Appendix One of the ERA form completed, confirming the ERA has been reviewed and, if necessary, updated to reflect any changes to the workplace regarding facilities, range of work, supervision, and / or training under the training plan.

Enrolment

<p>FET Act 2014 references</p>	<p>Schedule 1 – Dictionary</p> <p>s. 56 – Employer to provide supervision, facilities and training</p> <p>s. 67 – Availability of facilities</p> <p>s. 68 – Supervising registered training organisation to ensure delivery of training</p> <p>s. 69 – Supervising registered training organisation to notify chief executive if progress not made under training plan</p> <p>s. 71 – Training plan for apprentice or trainee</p> <p>s. 72 – Parties to training plan</p> <p>s. 73 – Training plan to be negotiated by parties</p> <p>s. 74 – Signing of training plan</p> <p>s. 75 – Copies of signed training plan for apprentice or trainee</p> <p>s. 77 – Training plan ends on replacement of supervising registered training organisation</p> <p>s. 79 – Training plan ends if registered training contract transferred</p> <p>s. 80 – Changing training plan for an apprentice or trainee</p> <p>s. 81 – Signing changed training plan for apprentice or trainee</p> <p>s. 82 – Supervising registered training organisation may make minor change to training plan</p>
<p>FET Regulation 2014</p>	<p>Part 2.4 – Keeping training record</p>
<p>Departmental policy / procedures and supporting documents</p>	<p>Guide to Training Plans and Training Records</p> <p>Transfer of Registered Training Contracts – Permanent or Temporary</p>
<p>Queensland Vocational Education and Training Skills Assure Supplier Agreement</p>	<p>Clause 4.1 (i) – The supplier must provide Training and Assessment and other VET Services with skill, care and diligence to a high professional standard</p>
<p>User Choice 2021-22 Policy</p>	<p>N/A</p>

Training Plans

Training Plans

Requirements	Acceptable evidence
<p>An apprentice / trainee must have a training plan (in the approved format) that outlines the training the supplier and the employer will provide, and the qualification that will be issued at the completion of the apprenticeship / traineeship.</p>	<p>On 11 September 2014, the department recognised the national training plan template as the approved document. The department's national training plan template is available at: https://desbt.qld.gov.au/training/apprentices/srto.</p> <p>It is acceptable for suppliers to develop their own training plan template to meet their individual requirements provided it contains all the information and functionality contained within the national training plan template.</p>
<p>The supplier must ensure a training plan has been developed for each apprentice / trainee. It must be negotiated and agreed to by all the parties (which include apprentice / trainee, employer and supplier). When all parties have agreed to the terms and conditions of the training plan, they must sign to validate the document.</p>	<p>The training plan must be fully completed and signed by all three parties. The approved document must include:</p> <ul style="list-style-type: none"> • the training (on-the-job / workplace tasks) to be delivered to the apprentice / trainee by the apprentice / trainee's employer • the training to be delivered to the apprentice / trainee by the supplier • the maximum duration of the training to be delivered by the supplier during the apprenticeship / traineeship • the qualification to be issued to the apprentice / trainee on completion of training • an indication that the nominated workplace for the apprentice / trainee has the necessary range of work, facilities and supervision required to ensure the apprentice / trainee is able to undertake the workplace training to the required standard • the response provided by the supplier regarding whether the nominated workplace for the apprentice / trainee has the necessary range of work, resources and facilities needed to undertake the workplace training.
<p>In developing the initial training plan for an apprentice / trainee, the supplier must ensure this process is completed within three (3) months from the start of the apprenticeship or traineeship.</p>	<p>The supplier must retain evidence to support the fact that the initial training plan has been negotiated, completed and signed by the parties within three (3) months from the start of the apprenticeship / traineeship.</p> <p>However, it is acknowledged the supplier is often not involved in the signing up of an apprentice / trainee and is reliant on notification from an Australian Apprenticeship Support Network (AASN) to confirm the commencement of a new apprentice / trainee.</p> <p>If the supplier receives late notice from an AASN, thereby resulting in less than adequate time to develop the initial training plan before the three (3) month period has expired, then the supplier must retain</p>

Training Plans

Requirements	Acceptable evidence
	<p>evidence of when it received notification from the AASN. In addition, the supplier must retain documented correspondence conducted with the apprentice / trainee and employer scheduling the induction / sign-up meeting during which time the training plan would be negotiated and developed. The supplier must endeavour to facilitate the completion of the training plan in a timely manner.</p> <p>Further, it is strongly recommended the supplier provides written notice to the department regarding delays incurred as a result of late notification from an AASN.</p>
<p>If the parties to the training contract have decided to replace the supplier, the new supplier must ensure the new training plan is negotiated, developed and signed by all parties within 28 days of becoming the supplier.</p>	<p>Evidence (e.g. email or written communication confirming date of actioning) to support the replacement training plan has been negotiated, completed and signed by all parties within 28 days from receipt of AASN notification that the supplier has been nominated as the replacement SRTO.</p>
<p>The supplier must ensure a copy of the signed training plan is provided to the apprentice / trainee and the employer within 14 days of being signed by the parties.</p>	<p>Documented evidence to support the fact that the original and any subsequent training plan/s were issued to the employer and apprentice / trainee within 14 days of the training plan being signed.</p> <p>For example, these include:</p> <ul style="list-style-type: none"> • induction checklist signed by the apprentice / trainee and employer referencing receipt of a signed copy of the training plan • letter or email correspondence to apprentice / trainee and employer referencing the attached signed copy of training plan.
<p>Where parties have agreed to amend the original training plan, the supplier must provide a copy of the signed, amended training plan to the apprentice / trainee and the employer within 14 days of it being signed by all parties in all instances where amendments result in changes to the:</p> <ul style="list-style-type: none"> • how (method of training delivery or assessment) • when (timeframes for training delivery and assessment, e.g. unit start and end dates) • where (location of training delivery or assessment) • what (changes to qualifications or units of competency being trained and assessed) 	<p>Documented evidence to demonstrate the original and any subsequent training plan/s were issued to the employer and apprentice / trainee within 14 days of the training plan being signed.</p> <p>For example, these include:</p> <ul style="list-style-type: none"> • induction checklist signed by the apprentice / trainee and employer referencing receipt of a signed copy of the training plan • letter or email correspondence to apprentice / trainee and employer referencing the attached signed copy of training plan.

Training Plans

Requirements	Acceptable evidence
<ul style="list-style-type: none"> who (party responsible for training delivery or assessment). 	
<p>The supplier must ensure the selection of units of competency within the training plan aligns with the packaging rules for the qualification, and takes into consideration any requirements for pre- and / or co-requisite units of competency, and qualification entry requirements.</p>	<p>The training plan listing the units of competency which align with the relevant qualification packaging rules in relation to the selection and the sequencing of units of competency (where applicable).</p>
<p>Transition</p> <p>A supplier must maintain a current scope of registration by ensuring it transitions from a superseded qualification to its nationally recognised equivalent.</p> <p>The supplier must transition the apprentice or trainee to the replacement qualification within 12 months of its publication / release date as it appears on training.gov.au.</p> <p>Where a bulk transition has occurred, the supplier must retain evidence that:</p> <ul style="list-style-type: none"> the employer and apprentice / trainee have been consulted of the changes the training plan has been updated to reflect the changes a new training plan has been arranged and signed by all parties and the same has been provided to all parties within 14 days, in cases where the transition from a superseded qualification resulted in changes to the how, where and / or when the training will be delivered or who is delivering the training. 	<p>The supplier must retain evidence to validate that:</p> <ul style="list-style-type: none"> the employer and apprentice / trainee have been consulted and all parties have agreed to the change the training plan has been updated to reflect the changes in instances where the transition to the current training package qualification has resulted in changes to the how, where and / or when the training will be delivered or who is delivering the training, the supplier must retain supporting evidence that the new training plan has been signed by all parties a copy of the amended signed training plan has been provided to the employer and apprentice / trainee within 14 days of being signed by all parties.

Training Plans

Requirements	Acceptable evidence
<p>Simulated arrangements</p> <p>In situations where the employer does not have the necessary range of work or facilities relating to any specific unit/s of competency, it is acceptable for all assessment requirements (including the on-the-job verification) for those unit/s of competency to occur in the supplier's training and assessment classroom environment.</p> <p>Where this strategy is identified as the most suitable method of ensuring demonstration of knowledge and skills in accordance with training package requirements, the supplier must ensure details of these arrangements are documented within the development of the initial training plan.</p>	<p>The supplier must document the following information sections on the training plan to identify and acknowledge any unit/s of competency completed through simulated arrangements:</p> <ul style="list-style-type: none"> • Section 3 – detailing whether the nominated workplace for the apprentice / trainee has the necessary range of work, resources and facilities needed to undertake the workplace training. • Section 4 – details of the unit/s of competency where the responsibility for training, both on and off-the-job, is with the supplier. <p><i>Please note: The supplier is reminded that in instances where the employer is unable to provide range of work and / or facilities which support how training and assessment will be conducted for any unit/s of competency, the details must be documented in the ERA.</i></p>

Training Records

This document evidences provision of the training required (both on-the-job and off-the-job) to satisfy completion of all competencies for the selected qualification. There is no set format for a training record, which can be produced in a way the supplier considers appropriate to satisfy the mandatory requirements. For example, the training record may be kept in booklet or electronic format.

As the name suggests, a training record evidences the apprentice / trainee's training and the date it was completed. The training record must always remain in the possession of the apprentice / trainee and is to be made available upon request from departmental officers.

Please note: Suppliers are reminded that training records are not assessment tools and will not be accepted as evidence of formal assessment at audit.

As best practice, the training record should include details regarding observable workplace tasks relevant to each individual unit of competency to allow the employer / workplace supervisor an understanding of the expectations. Employers and apprentices / trainees cannot be expected to 'unpack' or interpret unit of competency requirements in order to determine workplace performance requirements. It is also unacceptable to simply 'cut and paste' from the relevant unit of competency into a training record or third party report.

Training Records

Requirements	Acceptable evidence
The supplier must provide the appropriate training record to the apprentice / trainee, to be kept for the duration of the apprenticeship or traineeship, within 14 days of the training plan being signed.	<p>Documents include:</p> <ul style="list-style-type: none"> • induction checklist signed by the apprentice / trainee referencing receipt of the training record and / or • letter or email to the apprentice / trainee referencing: <ul style="list-style-type: none"> ○ attached training record; or ○ provision of login details enabling viewing and / or updating of electronic training record.
<p>The supplier and the employer must, at intervals of no more than three (3) months, ensure the apprentice / trainee produces the training record to confirm the particulars of the completed training have been recorded.</p> <p>The contribution of the employer / supervisor to confirm appropriate performance (acknowledging the apprentice / trainee's progression) requires the supplier to engage with the workplace in the development, delivery and monitoring of training and assessment.</p>	<p>Evidence the apprentice / trainee has been requested to present their training record for the purpose of having the details of training entered, for example:</p> <ul style="list-style-type: none"> • documented workplace visit signed and dated by the apprentice / trainee, employer and supplier confirming the training record has been reviewed and updated to reflect the details of training and the progression of unit/s of competency • a copy of the signed and dated page from the training record relating to unit/s of competency trained and / or completed during the three month interval.

Training

FET Act 2014 references	s. 68 – Supervising registered training organisation to ensure delivery of training
Departmental policy / procedures	N/A
Vocational Education and Training Skills Assure Supplier Agreement	Clause 4 – Supplier's obligations Clause 11 - Records
User Choice 2021-22 Policy	N/A

Record of Participation

Requirements	Acceptable evidence
<p>Retain full and complete records supporting each student's participation in training for each unit of competency from commencement of educational content, attendance and progression to completion.</p> <p>Face-to-face delivery (at the supplier's premises and / or workplace)</p> <p>The record of participation in training must contain the following information:</p> <ul style="list-style-type: none"> • name of the student • unit of competency code and name • the date/s of training • duration of training (actual hours of training delivered against individual units of competency) • location • trainer's name and signature and date signed, and • signature of the apprentice / trainee 	<p>Evidence can be captured in any combination of the following types of records:</p> <ul style="list-style-type: none"> • Class rolls • Workplace visit sheets • Attendance records.

Please note: To streamline the requirements for suppliers to evidence training participation, the department will accept the apprentice / trainee signature on the initial record of training participation for each individual unit of competency. Subsequent records of training participation will only require the apprentice / trainee name and the signature of the trainer to validate attendance. This evidence will be sufficient to substantiate any AVETMISS data relating to withdrawn claims for payment.

Electronic delivery

The record of participation in training must contain the following information:

- name of the apprentice/s or trainee/s
- unit of competency code and name
- the date/s of training duration of training (actual hours of training delivered against individual units of competency).

Distance / correspondence delivery

The record of participation in training must contain the following information:

- name/s of the apprentice/s or trainee/s
- code and name for unit of competency
- date/s and duration of training
- location
- trainer's name and signature and date signed
- signature of employer / workplace supervisor.

Please note: The issuance of training materials or resources to the apprentice / trainee does not constitute any training has been conducted or the apprentice / trainee has been engaged in learning.

Evidence covering electronic delivery can be captured within the following types of records:

- Log-on and log-off reports, which include the above information with unique sign-on identifier to indicate the apprentice's or trainee's signature

Evidence demonstrating the engagement of learning can cover the above information captured within correspondence (e.g. emails) between the apprentice / trainee and the supplier confirming the commencement and / or progression through nominated unit/s of competency.

Correspondence (e.g. emails) between the apprentice / trainee and the supplier confirming the commencement and / or progression through nominated unit/s of competency to show engagement in the learning activities.

Record of training, capturing all of the above information, is to be maintained by the apprentice / trainee to record withdrawal from routine work to undertake course work.

Assessment

Evidence of Assessment

FET Act 2014 references	s. 68 – Supervising registered training organisation to ensure delivery of training
Departmental policy / procedures	N/A
Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 4 – Supplier's obligations Clause 11 – Records
User Choice 2021-22 Policy	Clause 2.4 – Payment and reporting Table 4 – Payment codes

Specifically within the User Choice funding program, the following evidence must be retained prior to the submission of claims for payment for any unit of competency:

- 1) formal assessment of the knowledge and skills, and their practical application, for each individual unit of competency conducted in accordance with the requirements of the unit of competency and has been assessed as satisfactorily completed.
- 2) on-the-job verification has been conducted to confirm the apprentice / trainee has received on-the-job training and achieved an appropriate level of workplace performance to industry standard.

Competency is achieved when an apprentice / trainee can demonstrate required knowledge and skills, and their practical application. The decision of competency remains that of the supplier and therefore must be based on the retention of a sufficient range of assessment evidence. This responsibility cannot be assigned to the employer / workplace supervisor.

The following section must be read in conjunction with the requirements and acceptable evidence outlined within the 'AVETMISS' section.

Evidence of Assessment

Requirements	Acceptable evidence
<p>AVETMISS Outcome identifier '20' – Competency achieved / pass</p> <p>Acceptable evidence to validate a claim for payment must include, for each unit of competency:</p> <ul style="list-style-type: none"> • full and complete assessment instruments in accordance with: 	<p>All completed assessment instruments, and associated assessment tools, used by the assessor to form a determination of competence for each unit of competency (as aligned to the requirements of each unit of competency).</p> <p>Example: If the full range of assessment instruments used for a unit of competency comprise of short answer questions and an observation, the supplier must retain evidence of the completed and marked written assessment (short answer questions) and the observation checklist / benchmark criteria</p>

Evidence of Assessment

Requirements	Acceptable evidence
<ul style="list-style-type: none"> ▪ methods of assessment ▪ unit of competency requirements (e.g. range of assessment and number of assessments) ▪ the supplier's marking guides. <ul style="list-style-type: none"> • assessment instruments have been assessed (marked), signed and dated by the responsible assessor • assessment instruments have been signed and dated by the apprentice / trainee acknowledging the outcome of the assessment process. <p>In order to substantiate a judgement of competency, the assessment evidence for practical skills observation and performance evidence must include</p> <ul style="list-style-type: none"> • clear detail regarding the task or activity that the apprentice / trainee is required to do (i.e. contextualisation); and • assessor comments in relation to the individual apprentice / trainee observed as relevant to the unit of competency requirements (i.e. individualisation). <p>The use of checklists with lists of generic observable behaviours relevant to the unit is only acceptable if the checklist also has been designed to capture and includes comments that are specific to the individual apprentice / trainee to which it relates, in addition to the task and activity observed.</p> <p>Where it is not possible for an assessor to directly observe the demonstration of practical skills by an apprentice / trainee in the ordinary course of assessing, the following strategies may be used:</p> <ul style="list-style-type: none"> • remote observation via the provision of video recorded evidence capturing the apprentice / 	<p>(observation assessment) the assessor used to make a judgement on competence (observation assessment).</p> <p>In terms of the assessor's observation of the apprentice / trainee, context can be demonstrated by referencing specifics regarding the task or activity observed (not a generic copy from the unit of competency). Individualisation could be demonstrated through the writing of commentary or notes regarding skills observed or relevant variables demonstrated by the apprentice / trainee in relation to the task or activity. This is particularly important if part of a group task.</p> <p>An example of a circumstance that would support the use of a video recording or third party supplementary evidence would be the requirement to observe an apprentice / trainee in a mine performing skills as part of unit competency:</p> <p><i>RIBHD302D Conduct underground mine drilling</i> – in this instance the assessor would not ordinarily be permitted to go underground to perform this task due to safety regulations. Mine supervisors could be used to record / collect video evidence and/or complete an observation checklist/s for each activity being observed.</p> <p>Where video evidence is being retained, this must be accompanied with a completed practical observation checklist for the same apprentice / trainee, which includes individualised commentary, and captures the assessor's analysis of the skills being demonstrated by the apprentice / trainee to support a judgement of competence.</p> <p>If photographic evidence is used to support a judgement of competence, evidence of a mapping document which verifies the relationship between the photographic evidence and how it aligns to unit/s of competency, and how the assessor judgement was recorded must be retained.</p> <p>Please note:</p> <p><i>It is acknowledged in some instances it is impractical to retain the actual completed product of an assessment item (e.g. ladder or cake). However in these instances the supplier must retain the completed checklist the assessor used to make a judgement on competence for each apprentice / trainee. It is recommended that the supplier also retain supplementary evidence such as videos and/or photographs</i></p> <p><i>Further, retention of a copy of a completed training record (in its entirety or specific section) or a signed and completed third party report for a unit of competency, which have been retained for the purpose of substantiating on-the-job verification, will not be accepted as evidence of the observation of practical skills by the assessor.</i></p>

Evidence of Assessment

Requirements	Acceptable evidence
<p>trainee's performance of required practical skills; and</p> <ul style="list-style-type: none"> development of a third party framework for the observation of the student's performance that: incorporates details of the roles and responsibilities of each party, captures the relevant qualifications held by the third party; and identifies how the assessor verifies and is accountable for the quality of all evidence collected from the third-party and is able to make judgement about whether competency is achieved. <p>These strategies could be utilised where assessment conditions do not allow for an assessor to directly observe the apprentice / trainee, such as where there are workplace safety concerns or activities that compromise confidentiality and / or privacy.</p> <p>The use of video or third party supplementary evidence does not remove the assessor's responsibility to determine an apprentice's / trainee's competence. Collection of supplementary evidence must include sufficient detail as to how the final assessor judgement of competency was made. When supplementary evidence is presented as having contributed to the outcome, documented evidence of the arrangements with the third party, and the circumstances surrounding the need to use a third party must also be included.</p> <p><i>Please note:</i></p> <ul style="list-style-type: none"> <i>An overview document identifying the unit of competency and containing only the signatures of the apprentice / trainee and the assessor to indicate a satisfactory result is not sufficient evidence of practical assessment under a subsidised program.</i> 	

Evidence of Assessment

Requirements	Acceptable evidence
<ul style="list-style-type: none"> • <i>Assessment evidence will not be accepted where the assessor has only signed and dated the unit of competency coversheet but the actual assessment instrument includes no notations supporting the evidence has actually been assessed.</i> • <i>Assessments requiring a written response must be the apprentice's / trainees own work. Responses to written assessments should not be identical or too similar to the associated marking guide, nor from one apprentice / trainee to another, except in cases where there is only one correct answer.</i> • <i>Where an apprentice / trainee provides a verbal response, as part of an oral assessment instrument and / or where reasonable adjustment has been taken in relation to the completion of written theory questions, this must be recorded verbatim. This includes instances where an apprentice / trainee is required to address knowledge-based questions as part of a practical observation assessment task.</i> • <i>Expectations of the range of tasks and the performance level expected for the practical demonstration of skills must be clearly documented. It is not acceptable to simply 'cut and paste' unit of competency requirements to evidence the observation of practical skills.</i> 	
<p>AVETMISS Outcome identifier '30' – Competency not achieved / fail</p> <p>The supplier must ensure sufficient evidence is retained to validate the supplier's decision to report an apprentice / trainee as not competent, or as not satisfying one or more of the requirements for the unit of competency.</p>	<p>Documented evidence that the apprentice / trainee has attempted all forms of assessment required for the unit of competency, and following the assessment of which it has been determined as competency not achieved in at least one form of assessment.</p> <p><i>For example, this code would apply if an apprentice / trainee attempted 10 of 10 required assessments and was assessed as not competent in one or more of the assessments. However, if an apprentice / trainee had only attempted 9 of 10 assessments, this code would not be used as they were required to attempt all of the assessments in order to receive a 'competency not achieved / fail' outcome.</i></p>

Evidence of Assessment

Requirements	Acceptable evidence
<p>The supplier must also ensure sufficient evidence has been retained to support the apprentice / trainee has been given the number of re-assessment attempts outlined within the supplier's assessment policy.</p> <p>Please note: <i>This outcome is not appropriate for an assessment undertaken as an RPL process.</i></p>	
<p>AVETMISS Outcome identifier '65' – Transitional gap training</p> <p>AVETMISS Outcome identifier '65' must be used when transitioning an apprentice / trainee from a superseded qualification to the new qualification or when previously completed unit/s of competency have been superseded, such as when:</p> <ul style="list-style-type: none"> • An apprentice / trainee commencing in a qualification which is subsequently superseded is required to transition to new qualification • An apprentice / trainee enrolling with the supplier into the current qualification is able to present qualification or statement of attainment which lists the unit/s of competency previously attained under a superseded qualification. <p>Where previously completed unit/s of competency are identified as not being equivalent to new unit/s thereby necessitating additional delivery, the supplier must provide all necessary gap training and assessment to address the outcomes of the new unit.</p> <p>Please note:</p> <ul style="list-style-type: none"> • <i>Where direct mapping (equivalency) is identified, credit transfers must be acknowledged and accurately reported.</i> 	<p>Documented evidence of attainment achieved against listed unit/s the apprentice / trainee has completed under the superseded qualification.</p> <p>In each instance where previously completed unit/s of competency are identified as not being equivalent to the new unit/s, the supplier must provide evidence of:</p> <ul style="list-style-type: none"> • a completed mapping process (i.e. qualification mapping guide) ascertaining where the current unit of competency, which has been determined as not equivalent (does not fully map), compares to the unit previously completed by the student • gap training and gap assessment, including on-the-job verification from the employer (if applicable), to support its claim/s for payment.

Evidence of Assessment

Requirements	Acceptable evidence
<ul style="list-style-type: none"> • <i>Where no mapping is possible, the supplier is required to deliver the entire unit of competency.</i> • <i>Where previously completed unit/s of competency are identified as not being equivalent to new unit/s, therefore necessitating additional delivery, the supplier must provide all necessary gap training <u>and</u> assessment to address the outcomes of the new unit.</i> • <i>No student co-contribution can be charged for this AVETMISS Outcome identifier.</i> 	

Recognition of Prior Learning (RPL)

Recognition of prior learning ([RPL](#)) is assessment of an individual's relevant prior learning (including formal, informal and non-formal learning). This assessment determines the extent to which the apprentice / trainee has achieved the required learning outcomes, competency outcomes, or standards for entry to, and / or partial or total completion of a program of study.

Please note: RPL does not include any additional training at the unit of competency level as it is an assessment-only pathway. If a unit of competency has any training activity associated with it, then AVETMISS Outcome identifiers '51' — Recognition of prior learning granted or '52' — Recognition of prior learning not granted must not be used. Should any training need to occur in order for an apprentice / trainee to meet unit requirements then AVETMISS Outcome identifier '20' is to be used, if appropriate.

Assessment instruments retained by the supplier to validate claims for payment must contain sufficient evidence to verify that a qualified assessor has reviewed and assessed the adequacy of apprentice's / trainee's responses against the requirements of the unit of competency. Evidence will not be accepted where the assessor has only signed and dated the unit of competency coversheet.

Further, the RPL requirements for 'challenge test/s' (including practical observation and/or knowledge tests) referenced below relate specifically to the submission of claims for funding under a Queensland SAS Agreement. This evidence represents the minimum requirement a SAS must retain if it wishes to conduct RPL processes under Queensland Government-funded arrangements.

Recognition of Prior Learning (RPL)

Requirements	Acceptable evidence
<p>AVETMISS Outcome identifier '51' – Recognition of prior learning (RPL)</p> <p>RPL must be conducted with the same rigour as any other form of assessment. Where assessment is completed via RPL it must comply with the packaging rules of the relevant qualification; and be conducted in accordance with the <i>Principles of Assessment and Rules of Evidence</i> (refer to Standards for Registered Training Organisations (RTOs) 2015).</p> <p>The supplier must ensure sufficient evidence is retained to validate the supplier's decision to award RPL. Evidence retained by the supplier must incorporate all of the assessments undertaken for the RPL process along with any other supporting documentation, such as originals or certified copies of formal / informal course certificates, references or testimonials from employers, volunteer organisations, clubs and associations etc. that contributed to the judgement of the apprentice's / trainee's competence.</p> <p>Please note:</p> <ul style="list-style-type: none"> <i>The supplier will be challenged at audit in cases where the sequence of training and assessment and RPL are not in accordance with unit of competency requirements. RPL should not be granted for competencies where the supplier then provides training and assessment for the underpinning pre-requisite(s).</i> <i>The supplier must retain evidence the assessor has verified the authenticity of employment and detailed the industry experience of, and qualifications held by, the letters' authors. All</i> 	<p>RPL assessment policies and procedures incorporating an outline of how the supplier will come to its decision to recognise the apprentice's / trainee's proficiency against each unit of competency required for the qualification. As a minimum this is to include:</p> <ul style="list-style-type: none"> A document that maps key requirements of the qualification / unit of competency and includes identification of critical aspects of evidence and the required skills and knowledge for units claimed. The document must also list each piece of assessment evidence which was considered in the decision to grant RPL for the apprentice / trainee and links it to the relevant unit requirements. Documented "<i>Competency Conversation</i>" with the apprentice / trainee which is signed by the student and the RTO assessor. Actual questions with sufficient response detail must be documented and retained. Documented "<i>Competency Conversation</i>" with at least one recent employer validating the apprentice / trainee has demonstrated workplace performance against unit requirements, which is further verified by signatures from the employer and the RTO assessor. Actual questions with sufficient response detail must be documented and retained. <p>Please note:</p> <ul style="list-style-type: none"> <i>Questions asked by the assessor as well as the expected responses should be selected from a benchmark document developed by the supplier to ensure consistency and reliability of the assessment process when used across multiple candidates.</i> <i>Verbatim responses are not mandatory, however, assessor notes must accurately reflect the substance of each response regarding the apprentice's / trainee's actual workplace performance related to the knowledge and skills aligned with the unit/s of competency.</i> Documented self-appraisal (signed by the apprentice / trainee) of formal and informal knowledge and skills against tasks relevant to the units making up the qualification Record of experience relevant to the intended qualification. Evidence will include, but is not limited to, a resume or consecutive list of recent employment, which includes dates during which employment occurred, a short description of work undertaken and contact details of employer or supervisor Where applicable and in accordance with the unit of competency requirements, challenge test/s (including practical observation and/or knowledge tests) addressing the elements and performance criteria of the unit, and the skills required as a minimum in the relevant industry. Whether conducted against an individual unit or cluster, the supplier must retain sufficient direct evidence of

Recognition of Prior Learning (RPL)

Requirements	Acceptable evidence
<p><i>supporting evidence from previous employers, volunteer organisation, clubs and associations must be on official letterhead.</i></p> <ul style="list-style-type: none"> <i>A table pre-populated with possible response/s with only ticked boxes and an apprentice / trainee signature would not provide sufficient evidence for the purposes of RPL claims under these programs.</i> <i>In some cases an apprentice / trainee may not have access to previous employer/s. In these instances, the required documented competency conversation can be provided from the apprentice's / trainee's current employer. Alternatively, justification evidence can be obtained in the form of a referee testimonial from someone with the relevant industry, such as a business associate, or from other evidence like customer reviews. The person providing the evidence must be independent and able to provide unbiased judgement of the RPL applicant's workplace performance.</i> 	<p>the apprentice / trainee being able to demonstrate the requisite level of practical skills stipulated within each unit.</p> <ul style="list-style-type: none"> Where applicable and in accordance with the unit of competency requirements, further evidence to support the decision to grant RPL to the apprentice / trainee.

Recognition of Prior Learning (RPL)

Requirements	Acceptable evidence
<p>The supplier must be able to demonstrate that the decision to award RPL is based on evidence provided by the apprentice / trainee regarding previously obtained skills and knowledge achieved outside of the formal education and training system of their apprenticeship or traineeship.</p> <p>Please note: RPL cannot be claimed for experience, skills or knowledge gained since commencing the current apprenticeship or traineeship.</p> <p><i>The supplier will be challenged at audit in cases where the RPL process has commenced more than three (3) months after the training plan has been signed by the parties. The client is required to substantiate its RPL process is based on previously unrecognised skills and knowledge achieved outside of the apprenticeship / traineeship.</i></p>	<p>Evidence which substantiates that the RPL process has been based on the assessment of previously unrecognised skills and knowledge an individual has achieved outside the formal education and training system and which pre-dates the commencement of the apprenticeship / traineeship, including:</p> <ul style="list-style-type: none"> • email or other documented evidence the supplier has contacted the previous employer / supervisor to confirm claims made by the apprentice / trainee and which provides a record of the main points of the conversation • work samples demonstrating apprentice / trainee performance within the workplace prior to the commencement of the apprenticeship / traineeship.

On-the-job Verification

On-the-Job Verification

Requirements	Acceptable evidence
<p>The supplier must retain evidence that “on-the-job verification” has been achieved for each unit of competency for each apprentice / trainee prior to submission of claims for payment.</p> <p>Suppliers must ensure employers, particularly direct supervisors, are involved in the monitoring of progress towards competence. This can be best achieved through:</p>	<p>The supplier is able to evidence on-the-job verification requirement by retaining one of the following:</p> <ul style="list-style-type: none"> • a copy of the training record related to the nominated unit of competency, which includes the employer / supervisor’s signature; or • a third party report signed and dated by the employer / supervisor also sufficiently substantiates on-the-job verification provided by the employer / supervisor. <p>In relation to the apprentice / trainee’s progress for the purpose of evidencing on-the-job verification, the following types of evidence are not accepted:</p>

On-the-Job Verification

Requirements	Acceptable evidence
<ul style="list-style-type: none"> regular communication between the supplier and the apprentice or trainee’s workplace supervisor, considered vital towards ensuring apprentice / trainees are making appropriate progress in their journey towards completing their apprenticeship / traineeship discussions about the level of performance and the range of skills required by apprentice / trainees should be in the language of the workplace (task-based industry terms). <p>At all times the supplier must ensure the apprentices / trainees’ progress towards a qualification is being measured against the requirements of the unit of competency, without placing any additional performance requirements on apprentice / trainees resulting from employer expectations.</p>	<ul style="list-style-type: none"> overarching disclaimer statements within a unit of competency coversheet or similar document such as “I agree that the candidate has demonstrated competency in this unit” file notes retained by the supplier documenting a telephone or in-person conversation with the employer, or via receipt of a SMS from the ‘qualified person’ within the workplace. <p>Please note:</p> <ul style="list-style-type: none"> <i>To assist the employer in providing feedback substantiating their satisfaction with the apprentice / trainee’s on-the-job performance, captured either within the training record or third-party report, the supplier must communicate to the employer / workplace supervisors expectations of the range of tasks and the performance level expected, in terminology appropriate to the workplace. Employers and apprentices / trainees cannot be expected to ‘unpack’ or interpret unit of competency requirements in order to determine workplace performance requirements. It is also unacceptable to ‘cut and paste’ from the relevant unit of competency into a training record or third party report.</i> <i>Further, the employer or supervisor responsible for providing the on-the-job verification must categorically be acknowledged as a “qualified person” and must be listed within the respective ERA. Where the employer is a Group Training Organisation (GTO) or Principal Employer Organisation (PEO) the supplier must have a process in place to verify any person who has signed an on-the-job verification on behalf of the legal employer or host employer and must detail:</i> <ul style="list-style-type: none"> <i>their name and position within the organisation</i> <i>any industry specific qualifications currently held by the person.</i> <i>As the training record must always remain in the possession of the apprentice / trainee, the supplier must implement a process to ensure this evidence is captured and retained prior to the submission of claims for payment.</i> <i>The completed third party report supporting on-the-job verification will not be accepted as evidence of formal assessment of practical skills.</i>
<p>Exceptions and exemptions</p>	
<p><i>In relation to first aid related units of competency, on-the-job verification from the employer will not be required to substantiate a claim for payment as it has been determined unlikely that an opportunity to demonstrate the required skills and knowledge would present itself within the workplace. Further, it will not be necessary for details regarding the “institutional” delivery of training and assessment of a first aid unit of competency to be documented within the ERA. However, the supplier must ensure the training plan accurately reflects the responsibility for training remains solely with the supplier. Similarly, evidence of on-the-job verification will not be</i></p>	

On-the-Job Verification

Requirements	Acceptable evidence
<i>required where the ERA and the training plan identify the workplace is unable to provide the facilities, range of work, supervision and / or training necessary to achieve the outcomes of the training plan, and that all necessary training and assessment has been undertaken within a simulated environment.</i>	

Marking Guides

Requirements	Acceptable evidence
The supplier must keep, for each unit of competency for each apprentice / trainee, the assessor's completed marking guide/s, criteria and observation checklists.	<p>The supplier must have a full and complete marking guide (Benchmark Answers) for each unit of competency aligning to each method of assessment as nominated in the supplier's Training and Assessment Strategy.</p> <p>Please note: <i>If the marking guide is updated or changed the supplier is required to retain copies relating to these apprentices / trainees trained and assessed under the User Choice funding program for seven (7) years from the end of the term (refer to 'Record retention' section within this document).</i></p>

Student Contribution Fees

FET Act 2014 references	N/A
Departmental policy / procedures	N/A
Queensland Vocational Education and Training Skills Assure Supplier Agreement	N/A
User Choice 2021-22 Policy	Clause 2 – Government contribution Clause 2 – Fees and charges Table 2 and Table 3 – Fund source codes

Induction Information

Requirements	Acceptable evidence
<p>The supplier must provide the apprentice / trainee with enrolment information addressing the following as stated within the <i>User Choice 2021-22 Policy</i> as well as provide the apprentice / trainee access to its written policy.</p> <p>A supplier must, prior to enrolment, provide each apprentice / trainee with information on the department's fees and charges requirements.</p> <p>Please note: <i>The fees and charges information provided to Queensland State Government subsidised apprentice / trainees must state:</i></p> <ul style="list-style-type: none"> • <i>the correct student contribution fee rate</i> • <i>exemption fee categories and</i> • <i>refund requirements</i> <p><i>as per User Choice 2021-22 Policy arrangements.</i></p>	<p>Evidence the apprentice / trainee has been provided with a copy of the supplier's 'Student Handbook' (or similar document) as referenced within an induction checklist signed by the apprentice / trainee.</p> <p>Evidence the apprentice / trainee has been directed to the supplier's website which contains all Queensland User Choice program specific information regarding student contribution fees including:</p> <ul style="list-style-type: none"> • full costs associated with the qualification • method and timing of collection • refunds • exemptions available.

Collection of student contribution fees

Collection of student contribution fees

The User Choice 2021-22 Policy requires suppliers to collect GST exempt fees as the apprentice / trainee's contribution to the cost.

Requirements	Acceptable evidence
<p>The supplier must provide evidence it has charged, collected and applied any relevant exemptions. The rate of student contribution fees is reviewed annually and any increase is often implemented from 1 January each year.</p> <p>The supplier must retain evidence it has charged and collected a student contribution fee from each apprentice / trainee unless explicitly stipulated under the <i>User Choice 2021-22 Policy</i>.</p> <p>The supplier must have a process in place to ensure student contribution fees are charged and collected for all apprentice / trainees who convert from school-based to either full-time or part-time training delivery and are not undertaking a high priority qualification. In relation to this situation, the supplier must only charge and collect the student contribution fees for any unit of competency not yet commenced at time of transition.</p> <p>The supplier must ensure the student contribution fee is calculated against the correct fee rate as at the commencement of training for each respective unit of competency.</p> <p>Suppliers must only charge apprentice / trainees the student contribution fee as outlined within the <i>User Choice 2021-22 Policy</i> irrespective of whether a third party pays the fee on the apprentice / trainee's behalf.</p>	<ul style="list-style-type: none"> • Invoice issued to the apprentice / trainee, his / her employer or a third party (whoever paid the student contribution fee) which lists the following information: <ul style="list-style-type: none"> ○ name/s of apprentices / trainees ○ date of invoice ○ qualification or specific units of competency depending on whether the supplier issues multiple invoices over the term of the qualification ○ rate of student contribution fee in accordance with current User Choice policy as at the date of invoice ○ GST amount has been excluded ○ total amount of student contribution fees. • Receipt of student contribution fees collected which captures the following information: <ul style="list-style-type: none"> ○ name/s of apprentices / trainees ○ date of receipt generated ○ invoice number against which payment has been reconciled. <p>Please note: <i>The audit process may request access to the supplier's accounting software to sight verifiable evidence to support the receipt of student contribution fees.</i></p>
<p>The supplier is not permitted to charge any other fee associated with the apprenticeship / traineeship including, but not limited to, the following:</p> <ul style="list-style-type: none"> • enrolment fee • administration fee 	<p>Invoice issued to the apprentice / trainee, his / her employer or a third party (whoever paid the student contribution fee) which lists the following information:</p> <ul style="list-style-type: none"> • name/s of apprentices / trainees • date of invoice • qualification or specific units of competency depending on whether the supplier issues multiple invoices over the term of the qualification

Collection of student contribution fees

The User Choice 2021-22 Policy requires suppliers to collect GST exempt fees as the apprentice / trainee's contribution to the cost.

Requirements	Acceptable evidence
<ul style="list-style-type: none"> • credit card processing fee • account keeping and / or processing fees charged by external fee collection agencies. <p>In addition, the supplier must not charge an apprentice / trainee for any of the following:</p> <ul style="list-style-type: none"> • the provision of materials essential to achieving competence • the development and supply of a training plan • the development and supply of the initial training record. 	<ul style="list-style-type: none"> • rate of student contribution fee in accordance with current User Choice policy as at the date of invoice • GST amount has been excluded • total amount of student contribution fees.

Partial student contribution fee exemptions

Requirements	Acceptable evidence
<p>Where partial exemptions apply to the student contribution fee, irrespective of who pays on behalf of the apprentice / trainee, evidence must be retained to verify the exemption.</p> <p>This requirement may be evidenced by the following (depending on the exemption category):</p>	
<p>Evidence the apprentice / trainee was, or will be aged under 17, at the end of February in the year in which the supplier provides training, and the apprentice / trainee has not completed year 12.</p>	<p>A copy of 'Training Download' information on DETConnect where date of birth is clearly identified.</p>
<p>Evidence the apprentice / trainee holds a Health Care Card or Pensioner Concession 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.</p>	<p>A photocopy of either the current concession card which has the apprentice / trainee's name listed and captures the cardholder's signature or an image captured from Centrelink digital wallet application.</p>
<p>Evidence the apprentice / trainee holds an official form under Commonwealth law stating the apprentice / trainee, his or her partner or the person of whom the apprentice / trainee is a dependant, is entitled to concessions under a Health Care Card or Pensioner Concession Card.</p>	<p>A copy of correspondence from Centrelink or Federal Department of Human Services outlining entitlement to Health Care Card or Pensioner Concession Card and has the apprentice / trainee's name listed.</p>
<p>Evidence the apprentice / trainee is an Aboriginal or Torres Strait Islander person, through self-declaration on a signed and completed AVETMISS compliant enrolment form.</p>	<p>A signed and completed AVETMISS compliant enrolment form which captures information regarding the apprentice / trainees Indigenous status.</p>

Full student contribution fee exemptions

Full student contribution fee exemptions

Requirements	Acceptable evidence
<p>A full exemption of student contribution fees for the entire qualification is appropriate where evidence indicates payment of the student contribution fee would cause the apprentice / trainee extreme financial hardship.</p> <p>The supplier must have a process in place to manage any application from an apprentice / trainee regarding possible financial hardship and his / her inability to pay a student contribution fee that can adversely impact his / her standard of living.</p>	<p>This evidence could include, but not limited to:</p> <ul style="list-style-type: none"> • simple budget outlining expenses versus income. <p>However, suppliers should also investigate other available options, such as allowing a payment plan that lessens the impact on the apprentice / trainee having to pay the entire student contribution as a lump sum and instead allows them to provide some contribution towards their eligible qualification.</p>
<p>Applications by the apprentice / trainee should be approved by the supplier if the apprentice / trainee is able to provide sufficient evidence supporting how the recommended payment of student contribution fees would adversely affect their ability to cover cost of living expenses. The supplier must retain information regarding the evidence supplied by the apprentice / trainee substantiate an application for financial hardship.</p> <p>The supplier must ensure it has a process in place to efficiently manage any appeals lodged by the apprentice / trainee should their application for financial hardship be refused.</p>	<p>Please note:</p> <ul style="list-style-type: none"> • <i>A generic form completed by the apprentice / trainee without attached supporting documentation will not be accepted.</i> • <i>Applications for financial hardship and relevant supporting documentation must be gathered and assessed on an individual basis.</i> • <i>Instances where the supplier is granting a full fee exemption based on financial hardship for a large cohort of apprentices / trainees, without supporting evidence being retained against each individual apprentice / trainee will be viewed as the supplier circumventing the User Choice requirement to charge and collect fees.</i>
<p>A full exemption of student contribution fees for the entire qualification must be granted for the following cohorts:</p> <p>When the apprentice / trainee is a school-based apprentice or trainee.</p>	<p>Evidence the apprentice / trainee is registered on “DETConnect” as being enrolled within a school-based apprenticeship or traineeship and fund source codes ‘T21’ or ‘SAT’ have been submitted within AVETMISS data reported by the supplier. DETConnect is a secure site that provides stakeholders with reporting and searching facilities to support vocational training delivery</p>

Full student contribution fee exemptions

Requirements	Acceptable evidence
<p>An apprentice / trainee commences an apprenticeship / traineeship in a high priority qualification within 12 months of graduating Year 12.</p> <p>An apprentice / trainee commences a high priority apprenticeship / traineeship after 1 July 2019 and were under the age of 21 at time of commencement.</p> <p>An apprentice / trainee commences a high priority apprenticeship / traineeship after 1 January 2021 and were under the age of 25 at time of commencement.</p> <p>Please note: The supplier must use the correct fund source codes for the Free apprenticeships for under 21's and the Free apprenticeships for under 25's</p>	<p>Year 12 Graduate - Evidence the apprentice / trainee had graduated from Year 12 in Queensland within 12 months before commencing a high priority qualification.</p> <p>Free apprenticeships for under 21's – Evidence the apprentice / trainee commenced a high priority qualification during the four-year period between 1 July 2019 and 30 June 2023. This also includes instances where an apprentice or trainee had already commenced a high priority apprenticeship / traineeship but was under the age of 21 as at 1 July 2019.</p> <p>Free apprenticeships for under 25's – Evidence the apprentice / trainee commenced a high priority qualification during the period 1 January 2021 and 30 September 2022. This also includes instances where an apprentice or trainee had already commenced a high priority apprenticeship / traineeship but was under the age of 25 as at 1 January 2021.</p>
<p>A school-based apprentice / trainee who has graduated Year 12 and has converted to either a full-time or part-time apprenticeship / traineeship in a high priority qualification.</p>	<p>Evidence the apprentice / trainee converted from a school-based apprenticeship / traineeship to either a full-time or part-time apprenticeship / traineeship within a high priority qualification. This must include a copy of the Senior Statement issued by the Queensland Curriculum and Assessment Authority (QCAA), or equivalent certification.</p>
<p>A full exemption of student contribution fees for individual units of competency must be granted for the following instances:</p>	
<p>The supplier has reported AVETMISS Outcome identifier '60' – Credit transfer for unit/s of competency previously achieved.</p>	<p>Evidence of either a qualification and / or statement of attainment demonstrating competency has been previously achieved within the unit of competency (or its equivalent).</p>
<p>The supplier has reported Department Outcome identifier '65' – Transitional gap training for unit/s of competency where the training package deems the unit not equivalent as a result of the qualification being superseded.</p>	<p>Evidence of either a qualification and / or statement of attainment demonstrating competency has been previously achieved within the unit of competency (or its equivalent).</p>
<p>Please note: The supplier will be directed to issue a refund of student contribution fees in instances identified at audit where the supplier has charged and collected a</p>	

Full student contribution fee exemptions

Requirements	Acceptable evidence
<p><i>student contribution fee for any unit/s of competency where:</i></p> <ul style="list-style-type: none"> <i>credit transfer has been, or should have been, acknowledged and reported as AVETMISS Outcome identifier '60'</i> <i>transitional gap training has been, or should have been, conducted and has been reported as Department Outcome identifier '65'.</i> 	

Employer contribution fee

Requirements	Acceptable evidence
<p>If the supplier elects to collect an employer contribution fee, the supplier must be able to evidence how the employer contribution fee has been negotiated and agreed upfront, prior to the apprentice / trainee's enrolment.</p>	<p>Evidence must include:</p> <ul style="list-style-type: none"> a formal agreement between the supplier and employer whereby the employer has agreed to pay a contribution fee the fee amount the employer has committed to pay when and how the employer contribution fee will be collected refund arrangements.

Refunds

Refunds

Requirements	Acceptable evidence
<p>In the event an apprentice / trainee either cancels their training contract or nominates to change to another SRT0, the supplier must retain evidence that student</p>	<p>Where a student contribution fee has been charged and collected, the supplier must retain evidence to support a full refund has been issued for each individual unit of competency where no participation in training has been undertaken at the time of cancellation of enrolment.</p>

Refunds

Requirements	Acceptable evidence
<p>contribution fees paid has been reimbursed to the apprentice / trainee, where the apprentice / trainee has not undertaken the training, or a proportionate refund has been provided, where they have withdrawn from a unit of competency.</p> <p>Please note: Cancellation of enrolment relates to the following instances:</p> <ul style="list-style-type: none"> • cancellation of training contract ending apprenticeship / traineeship • replacement of SRTO • change of elective unit of competency. <p>Further, the User Choice funding policy does not require an apprentice / trainee to apply for a refund should any of the above situations occur. The supplier must have a system in place to identify and automatically process a refund of any student contribution fees which have been collected against individual units of competency.</p>	<p>This evidence could include, but not limited to receipt of payment from the supplier to whoever paid the student contribution fee and lists the following information:</p> <ul style="list-style-type: none"> • name/s of apprentice / trainee • date of refund • specific unit/s of competency • amount refunded. <p>Please note: The User Choice funding policy does not stipulate what percentage of an employer contribution fee must be refunded should the apprentice / trainee cancel before the completion of his / her apprenticeship / traineeship. However, the employer contribution fee relates to the achievement of the qualification as a whole and not against individual units of competency. Consequently, the supplier must provide a proportionate refund and be able to justify how the refund has been calculated in relation to the apprentice's / trainee's progression through the qualification prior to cancellation. Further, the inclusion of any "administration processes fee" must be reasonable.</p>
<p>To meet the requirements of the <i>User Choice 2021-22 Policy</i>, a supplier must include the following in its refund policy:</p> <p>Provision of full refunds to the apprentice / trainee for any student contribution fees charged for training delivery provided training had not commenced at the time of the cancellation of enrolment.</p>	<p>Where a student contribution fee has been charged and collected, the supplier must retain evidence to support a full refund has been issued for each individual unit of competency provided no participation in training was undertaken at the time of cancellation of enrolment.</p> <p>This evidence could include, but not limited to receipt of payment from the supplier to whoever paid the student contribution fee and lists the following information:</p> <ul style="list-style-type: none"> ○ name/s of apprentice / trainee ○ date of refund ○ specific unit/s of competency ○ amount refunded.
<p>Provision for proportionate refunds where the apprentice / trainee has withdrawn from the unit of competency. Suppliers should consider outlining how they will determine the proportionate rate of fees to be refunded</p>	<p>Where a student contribution fee has been charged and collected, the supplier must retain evidence to support a proportionate refund has been issued for each individual unit of competency where participation in training has been undertaken but the apprentice / trainee has withdrawn from the unit of competency.</p>

Refunds

Requirements	Acceptable evidence
<p>for any unit of competency commenced but not completed.</p>	<p>This evidence could include, but not limited to receipt of payment from the supplier to whoever paid the student contribution fee and lists the following information:</p> <ul style="list-style-type: none"> ○ name/s of apprentice / trainee ○ date of refund ○ specific unit/s of competency ○ amount refunded.
<p>Provision for refunds to the employer / industry for additional charges paid beyond the apprentice / trainee and government contributions.</p>	<p>Where an employer contribution fee has been charged and collected, the supplier must retain evidence to support a full refund was issued for each individual unit of competency where no participation in training has been undertaken at the time of cancellation of enrolment.</p> <p>This evidence could include, but not limited to receipt of payment from the supplier to whoever paid the student contribution fee and lists the following information:</p> <ul style="list-style-type: none"> ○ name/s of apprentice / trainee ○ date of refund ○ specific unit/s of competency ○ amount refunded.

AVETMISS Data

AVETMISS Reporting Requirements

FET Act 2014 references	N/A
Departmental policy / procedures	N/A
Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 11 – Records
User Choice 2021-22 Policy	<p>Clause 2.4 – Payment and reporting</p> <p>Clause 2.4.3 – AVETMISS reporting requirements</p> <p>Table 4 – Payment codes</p> <p>Clause 2.4.7 – Administration payments</p> <p>Table 6 – Service provision not funded</p>

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
In relation to each apprentice / trainee, the supplier must submit electronic AVETMISS data that contains full and correct information against all relevant fields in AVETMISS and in accordance with section 2.4.3 AVETMISS reporting requirements of the current User Choice policy.	The supplier is required to submit AVETMISS data that is error-free and meets the standard departmental validations for User Choice delivery and payment.
The <i>User Choice 2021-22 Policy</i> requires suppliers to submit full and correct information that accurately reflects the delivery and outcomes for individual units of competency per apprentice / trainee. The reporting must be completed in accordance with the most current national AVETMISS reporting requirements (including standards, guidelines, rules and descriptors).	
In relation to each apprentice / trainee, the supplier must submit electronic AVETMISS data that contains full and correct information against all relevant fields in AVETMISS including:	<p>Training and Assessment Strategy capturing the information below:</p> <ul style="list-style-type: none"> In instances where there are one or more methods of training used by a supplier (for example, a combination of face-to-face instruction and online learning), the supplier must have documented

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
<ul style="list-style-type: none"> Delivery mode identifier specified in AVETMISS for the relevant mode of delivery. <p>AVETMISS Release 8.0 mandates the submission of a 'Predominant delivery mode' based on delivery mode details reported in AVETMISS delivery mode identifier (which now consists of three (3) mandatory fields).</p>	<p>evidence to support which method is predominant per unit of competency and must ensure the correct predominate delivery mode is reported.</p> <ul style="list-style-type: none"> To support the accurate reporting of the AVETMISS Delivery mode identifier, the supplier must identify the planned release pattern (based on its strategy and experience of the 'average' apprentice / trainee) for the purposes of undertaking formal training. To identify the predominate delivery mode, for example where face-to-face instruction is 5 hours, and online resources is 10 hrs, the following would be reported: <ul style="list-style-type: none"> the use of Internal and External Delivery modes by reporting YYN within the respective AVETMISS Delivery mode identifier fields as well as reporting 'E' as the predominant mode of delivery.
<p>Report the accurate outcome identifier specified in AVETMISS for the relevant outcome.</p>	<ul style="list-style-type: none"> AVETMISS Outcome identifiers '20', '30', '51', and '65' See Assessment section of this document for acceptable evidence. AVETMISS Outcome Identifier '40' See Training section of this document for acceptable evidence. <p>In addition, the User Choice policy outlines, where an AVETMISS Outcome identifier '40' claim for payment is to be submitted, the supplier must also report the number of actual hours of participation in training as undertaken by the apprentice / trainee.</p> <p>Please note: A withdrawn claim for payment under the User Choice funding program will only be validated where the apprentice's / trainee's training contract has been cancelled or withdrawn, or a change of SRTO has occurred, and this change of status has been recorded within DELTA.</p> <ul style="list-style-type: none"> AVETMISS Outcome identifier '60' – Credit transfer <p>A copy of the qualification, record of results (which includes details of the issuing RTO and the date issued), statement of attainment previously issued to the apprentice / trainee for each unit of competency, or authenticated VET transcripts issued by the Registrar as per the meaning given in the Student Identifiers Act 2014.</p> <p>Please note: A screenshot and / or record from the apprentice's / trainee's AISS search is not acceptable evidence for this outcome. In the instance whereby the supplier is unable to obtain the record of results, statement of attainment and / or authenticated VET transcripts issued by the Registrar as per the meaning</p>

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
	<p>given in the Student Identifiers Act 2014, the supplier may be required to provide training and / or assessment under a fee-for-service arrangement.</p> <p><i>The supplier must ensure all units of competency available to be used as a credit transfer towards the completion of the apprentices / trainee's current enrolment must be acknowledged and reported as such to the department. Any substitution of new elective units of competency in place of previously completed elective units must be supported with a documented and signed statement from the employer providing a justification as to the specific job role to be undertaken by the apprentice / trainee and why existing units of competency are not relevant.</i></p>
<p>AVETMISS Outcome identifier '81' – Non-assessable activity – satisfactorily completed</p> <p><u>SRTO1</u> – Prepare for training – The department will only pay an administration payment against unit of competency SRTO1 in the following instances where an apprentice / trainee has either:</p> <ul style="list-style-type: none"> had his / her training contract cancelled prior to any training provision commencing; or withdrawn / discontinued within the probationary period prior to any training provision commencing; or changed to another SRTO prior to any training provision commencing. <p><u>SRTO2</u> – Apprentice or trainee completion – The department will only pay an administration payment against unit/s of competency SRTO2 in the following instances where an apprentice / trainee has either:</p> <ul style="list-style-type: none"> achieved a qualification through an alternative pathway and has subsequently entered the corresponding apprenticeship / traineeship for that qualification, and only requires a completion certificate to be issued for the apprenticeship / traineeship; or 	<p>The supplier must retain evidence of the following:</p> <ul style="list-style-type: none"> an induction checklist (or similar document) supporting the apprentice / trainee has been inducted into the apprenticeship / traineeship. the training plan for the apprentice / trainee has been fully developed. <p><i>Please note:</i> A developed training plan means the supplier has retained evidence the training plan, which aligns to the requirements of the national training plan template, has been negotiated, developed and signed by all parties.</p> <p>The supplier must retain a copy of the certificate previously issued indicating the successful completion of all necessary units of competency, and which corresponds to the same qualification as the apprenticeship / traineeship.</p> <p><i>Please note:</i> In circumstances where an apprentice / trainee may have gained the entire qualification via a Recognition of Prior Learning pathway, the supplier must first, prior to the supplier submitting any SRTO2 claim for payment, confirm with a regional office departmental representative that the apprentice's / trainee's training contract will be approved by the department.</p>

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
<ul style="list-style-type: none"> received all training and assessment required from a different SRTO under their previous training contract, then entered into a new training contract, and only require a completion certificate to be issued for the apprenticeship / traineeship; or gained the entire qualification through RPL. <p>Please note: Where the supplier has retained sufficient evidence to validate the submission of unit of competency SRTO2, the User Choice funding policy allows the automatic submission of unit of competency SRTO1 to allow payment of the total Administration Payment of \$500.00 to the supplier.</p>	
<p>Report an AVETMISS postcode of where the apprentice / trainee undertakes training.</p> <p>Please note: If training is conducted at the supplier's premises, then the postcode of that location would be reported. If the apprentice / trainee is predominantly undertaking training via the supplier's trainer attending the workplace, then the workplace's postcode would be reported.</p> <p>If training is conducted via an electronic (including online) or by correspondence method of delivery, the supplier must report the postcode where the training has been co-ordinated from, such as the supplier's national head office or Queensland state office location.</p>	<p>A valid record of participation in training (see: 'Training' section of this document for more detail on evidence for AVETMISS delivery mode identifier).</p> <p>Please note: Training delivered in country, remote, Cape York and Torres Strait regions of the state attracts a location loading. In order to be eligible to claim the Cape York and Torres Strait loadings, the following evidence must be retained to validate the submission of a postcode (combined with the appropriate corresponding region) defined in the User Choice Localities and Location Loadings document as representing Cape York or Torres Strait:</p> <ul style="list-style-type: none"> an apprentice or trainee must have a residential address in one of the postcodes and regions shown in the User Choice Localities and Location Loadings document as Cape York or Torres Strait an apprentice or trainee must receive User Choice training and assessment services within one of the 'postcode' and 'regions' shown in the User Choice Localities and Location Loadings document as Cape York or Torres Strait.
<p>The supplier must report an AVETMISS activity start and end dates which accurately represents when formal training commenced and when the apprentice / trainee was deemed competent in the unit of competency.</p> <p>To ensure that this is occurring, the supplier is encouraged to cross-reference a sample of apprentice /</p>	<p>This evidence could include, but is not limited to:</p> <ul style="list-style-type: none"> AVETMISS start date reported accurately representing when formal training commenced in the unit of competency. 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.

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
<p>trainee assessment evidence (both on-the-job, i.e. employer's verification, and off-the-job / formal) against the AVETMISS end dates that have been reported.</p> <p>Please note:</p> <ul style="list-style-type: none"> The use of generic start and end dates for all units of competency in a qualification is not acceptable. In relation to AVETMISS Outcome identifier '20' claims for payment, the AVETMISS activity end date submitted to the department must align with the date the apprentice / trainee has been deemed competent and must take into consideration both the formal assessment undertaken by the supplier, and the on-the-job verification. No payment will be made for training and assessment not reported within 90 days after the date the training and assessment is delivered. 	<ul style="list-style-type: none"> class roll, workplace visit sheet or attendance record signed by the apprentice / trainee and recording the date when participation in training commenced. AVETMISS end date reported accurately representing when the student was deemed competent in the unit of competency (and includes the on-the-job verification component). 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, the workplace representative. The audit process will include comparing the AVETMISS end date reported to the department with the latest piece of assessment for the unit of competency, which has been successfully completed by the student. The supplier is encouraged to cross-reference all supporting evidence for the claim against the AVETMISS end dates that have been reported to ensure they match.
<p>Accurately report the Third Party identifier code.</p>	<p>This would include:</p> <ul style="list-style-type: none"> accurate submission of AVETMISS data identification of the third party on Training and/or Assessment evidence retained

Administration

FET Act 2014 references	N/A
Departmental policy / procedures	N/A
Queensland Vocational Education and Training Skills Assure Supplier Agreement	<p>Clause 8 – Supplier’s employees and contractors</p> <p>Clause 11 – Records</p> <p>Clauses 12 and 19 Access to premises and records and Performance review and audit process</p> <p>Clause 14 – Conflicts of interest and inducements</p>
User Choice 2021-22 Policy	N/A

Supplier’s employees and contractors

Requirements	Acceptable Evidence
<p>The supplier must ensure its personnel, which incorporates all employees, contractors, agents and officers of the supplier engaged in delivering the services, are sufficiently qualified, skilled and experienced to comply with the Supplier’s obligations under this Agreement.</p> <p>Suppliers must retain trainer and assessor qualifications for a period of 7 years in line with the records.</p>	<p>As all personnel that the supplier employs or contracts within any capacity are the supplier’s responsibility, the supplier must be able to present evidence to substantiate that anyone delivering training and/or assessment services on its behalf, holds qualification/s stipulated by ASQA to comply with Clauses 1.14 and 1.15, and Schedule 1 of the Standards for RTOs 2015.</p>

Third Party Arrangements

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 18 – Third Party Arrangements and Subcontractors
User Choice Policy 2021-22	N/A
Other related documents	Skills Assure Supplier Third Party Arrangements Directive 2021-22

Third Party Arrangements

Requirements	Acceptable evidence
The Third Party Arrangement has been set out in writing	Each Third Party Arrangement must be in writing and contain the minimum standard terms as defined within Attachment 1 the Third party Arrangements Directive 2021-2022.
The supplier must undertake 6-monthly reviews of third party services delivered under the Third Party Arrangement and within one month of any change in control of the third party. All reviews must be conducted in accordance with the Third party Arrangements Directive 2021-2022	A record of each completed Third Party Compliance Review undertaken.

Records

The supplier must retain for seven (7) years from the end of the [Term of Agreement](#) documents, records and all information necessary to substantiate, to the reasonable satisfaction of the department, compliance with the terms and conditions of the agreement, including:

- a. information and material necessary to provide a complete record of Training and Assessment including:
 - i. records of each apprentice's / trainees participation in Training and Assessment for each Unit of Competency, such as records of the commencement of education content, attendance and progression
 - ii. evidence that the on-the-job training component (only if on-the-job training is applicable) has been achieved for each unit of competency for each apprentice / trainee before the supplier claims payment of funding in relation to the unit of competency
 - iii. evidence supporting the accuracy and validity of data included in reports provided by the supplier to the department under clause 5, including evidence supporting the start and end dates for each apprentice / trainee for each Unit of competency
 - iv. copies of the Qualifications and Statements of Attainment issued to each apprentice / trainee.
- b. for each Unit of Competency, for each apprentice / trainee:
 - i. The assessor's completed marking guide, criteria and observation checklists for the Unit of Competency
 - ii. The completed assessment items for the Unit of Competency retained in hard copy (paper-based) or electronic (digital/scanned) form.
- c. any other information and material required to substantiate claims for funding as outlined in the Department's evidence requirements documents, or reasonably requested by the Department.

In addition, the supplier must ensure that:

- a. all physical records relating to the delivery of the Services are stored in Queensland and accessible by the supplier at all times;
- b. all electronic information and documents relating to the delivery of the Services are stored in Australia (not offshore) and are accessible by the supplier at all times.

Complaints and Disputes

User Choice Policy 2020-21	Clause 3 – Supplier performance
Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 4.1 (p-r) - Supplier's Obligations

Complaints

Requirements	Acceptable evidence
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.	<p>This could include:</p> <ul style="list-style-type: none"> • information in student handbooks, flyers, information packs or induction scripts informing the student of the official process to register their complaints • a complaints policy and procedures document clearly outlining what the supplier must do to resolve complaints and issues • records of complaints made and actions taken, where relevant.
Keep and implement a document outlining the supplier's procedure for dealing with complaints that any person may make about any of the services or the activities and actions of the supplier in providing the Services and make it available for viewing by any person on request.	<p>This could include:</p> <ul style="list-style-type: none"> • a complaints policy and procedures document clearly outlining what the supplier must do to resolve complaints about its services or activities

Disputes

Requirements	Acceptable evidence
Have and comply with a dispute resolution procedure for disputes between the supplier and any other person with whom the supplier may interact with in the provision of the services.	<p>This could include:</p> <ul style="list-style-type: none"> • a dispute policy and procedures document clearly outlining what the supplier must do to resolve complaints and issues • records of disputes made and actions taken, where relevant.

Make a copy of the dispute resolution procedure available to persons interacting with the supplier.	<p>This could include:</p> <ul style="list-style-type: none"> • having a copy of the procedure accessible on the supplier's website • having hard copies of the procedure available
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Conflict of Interest and Inducements

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 14 – Conflicts of interest and inducements
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Conflict of Interest and Inducements

Requirements	Acceptable Evidence
<p>Immediately give notice to the department if a conflict or risk of conflict of interest arises. It is the responsibility of the supplier to identify any potential conflict of interest and its possible effect on the integrity of the subsidised arrangement and the outcomes expected from the program.</p>	<p>This would include:</p> <ul style="list-style-type: none"> • risk management process addressing conflicts of interest or potential conflicts of interest, including inducement, and evidence of monitoring and management of these activities in support of any conflict of interest management plan submitted to the department • letters or emails sent by the supplier to the department outlining the conflict or risk of conflict of interest and subsequent responses from the department.
<p>Do 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 could be viewed as an inducement or likely to influence enrolment with the supplier in a qualification subsidised under the program.</p>	<p>This would include:</p> <ul style="list-style-type: none"> • marketing, promotional and advertising materials and any other marketing activities do not contain inducements or offers of gifts • letters or emails sent by the supplier to the department regarding marketing activities and subsequent responses from the department.

Appendix, Glossary, References and Document Control

Overview	<p>The SAS system is based on a performance framework wherein the assessment, selection and monitoring of RTOs linked to national standards and department-specific requirements in quality management.</p> <p>The SAS must operate in accordance with the terms of their SAS approval, including the SAS Agreement and relevant program policies. Failure to comply may result in the department seeking recovery of funds paid under the SAS Agreement.</p>
Overpayments	<p>Overpayments, as defined in Clause 10.1 of the SAS Agreement, refer to those payments by the department to the supplier to which the supplier is not entitled in accordance with the agreement or the department's policies.</p> <p>Insufficient retention of evidence as outlined in the department policies and related documentation, such as evidence requirements, constitutes an unsubstantiated claim and therefore an overpayment. The department may seek full recovery for these overpayments.</p>
<p>In some instances, full recovery may not be applied and instead a partial recovery for overpayments amounting to a percentage less than 100% recovery or a recovery of the difference may be applied.</p>	

Appendix 1 – Overpayments Information

Overpayments information

Overpayment issue resulting in partial recovery	Recovery amount
<p>Incorrect use of AVETMISS outcome codes Reporting inaccurate AVETMISS outcome codes resulting in the supplier being paid a higher government subsidy than is allowable.</p>	Difference in funding paid for all related units of competency for all related students.
<p>Incorrect delivery mode and/or postcode Reporting inaccurate delivery modes and/or postcodes resulting in the supplier being paid a higher government subsidy than is allowable.</p>	Difference in funding paid for all related units of competency for all related students.

Glossary of Terms

Glossary of Terms

Acronym	Title	Web Link
AASN	Australian Apprenticeship Support Network	https://desbt.qld.gov.au/training/apprentices/aasn
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard	https://www.ncver.edu.au/rto-hub/statistical-standard-software/avetmiss-data-element-definitions-edition-2.3
DESBT	Department of Employment, Small Business and Training	https://www.desbt.qld.gov.au/
Duration of Agreement	To be kept for the term of the agreement, (VET SAS Agreement (User Choice)) and for a period of seven (7) years from the date of expiration or termination of this agreement, unless otherwise specified in writing by the department.	
ERA	Employer Resource Assessment	https://desbt.qld.gov.au/training/apprentices/resources/information-sheets/is49
FET Act	Further Education and Training Act 2014	https://www.legislation.qld.gov.au/view/pdf/inforce/current/act-2014-025
GTO	Group Training Organisation	https://www.qld.gov.au/education/apprenticeships/for-trainers/pages/gto.html
PEO	Principal Employer Organisation	https://desbt.qld.gov.au/training/employers/peo/what
SAS	Skills Assure Supplier	https://desbt.qld.gov.au/training/providers/sas
QCAA	Queensland Curriculum and Assessment Authority	https://www.qcaa.qld.edu.au/
QTIS	Queensland Training Information Service	http://www.qtis.training.qld.gov.au/
RPL	Recognition of Prior Learning	https://desbt.qld.gov.au/training/training-careers/recognition/rpl
RTO	Registered Training Organisation	https://www.asqa.gov.au/vet-registration/apply-registration
SRTO	Supervising Registered Training Organisation	https://desbt.qld.gov.au/training/apprentices/srto
SRTO1	Prepare for training	https://desbt.qld.gov.au/training/providers/sas/become (2.4.7 Administration Payments)
SRTO2	Apprentice or trainee completion	https://desbt.qld.gov.au/training/providers/sas/contract (2.4.7 Administration Payments)

Glossary of Terms

Acronym	Title	Web Link
Recent	Employment history within three (3) years of the date of enrolment.	
Signature	<p>Refers to 'signed' or 'signature' within this document incorporates the use of both manually handwritten and electronic signatures.</p> <p>For the purpose of departmental funding programs, a manually handwritten signature refers to instances where a person uses a pen to sign their name on a hard copy document. Similarly, an electronic signature will incorporate only the following:</p> <ul style="list-style-type: none"> • a digital rendition of a person's signature e.g. scanned version on a touch screen or via use of mouse • electronic communication, such as an email that provides an agreement/approval/signed consent and must clearly show the sender's name and domain address belonging to them (which coincides with the email address within the signed and completed enrolment form), and the contents of the email or attached document clearly highlights the person's intention in relation to the information communicated • a digitised signature using an encrypted digital code, which must be provided, that can be authenticated that it was the student who affixed their signature (digital code) onto the enrolment form. <p>The above types of electronic signatures are acceptable; however, the key factor that will be analysed within any compliance activity will be to determine the process taken by the supplier to prove that the document was signed by an identifiable person (authentication) and that the person cannot credibly deny their identity; therefore supporting the veracity or truthfulness of the contents of document signed.</p> <p>Further, central to the matter is the authenticity of each occasion an electronic signature is presented i.e. it must be an imprint that is original at each point of use. The signature system used must not be taken from a database and must not allow the supplier to copy and reuse an electronic signature previously submitted or provided.</p>	
Term of Agreement	<p>This Agreement starts on the date specified in the department's letter to the supplier advising of the supplier's success in obtaining 'Skills Assure Supplier' status and will continue until the earlier of:</p> <ol style="list-style-type: none"> a) the date this Agreement terminated in accordance with the terms of this Agreement; b) and the date that the last Funding Program ends. 	
Third party	Any entity other than the Supplier	
Third Party Arrangement	<ol style="list-style-type: none"> a) a subcontract for delivery of any part of the Services; and b) the arrangements described as "Third Party Arrangements" in the <i>Standards for Registered Training Organisations 2015 (Cth)</i> and any updated or replacement guides or fact sheets published by ASQA from time to time 	
VET	Vocational Education and Training	http://www.asqa.gov.au/about/australias-vet-sector/australias-vet-sector.html

References

References

REFERENCES	
Adequate training arrangements	https://desbt.qld.gov.au/training/apprentices/resources/information-sheets/is39
Apprenticeships Info	https://desbt.qld.gov.au/training/apprentices
Apprenticeship and traineeship operational policies and procedures	https://desbt.qld.gov.au/training/apprentices/resources/policies-procedures
AVETMISS 8.0 VET Provider Collection specifications	https://www.ncver.edu.au/publications/publications/all-publications/statistical-standard-software/avetmiss-vet-provider-collection-specifications-release-8.0
Australian Government – Department of Education and Training	http://training.gov.au/
Declaration of apprenticeships and traineeships in Queensland	https://desbt.qld.gov.au/_data/assets/pdf_file/0013/8203/declaration-policy.pdf
Department Outcome identifier ‘65’ – Transitional gap training. As referenced, SAS and User Choice 2021-22 policy	https://desbt.qld.gov.au/training/providers/funded/userchoice/resources
DETConnect	https://desbt.qld.gov.au/training/providers/detconnect
Employer Resource Assessment templates	https://desbt.qld.gov.au/training/apprentices/resources/era-training-plan
National Vocational Education and Training (FET) Act 2011	https://www.legislation.gov.au/Details/C2011A00012
Further Education and Training (FET) Regulation 2014	https://www.legislation.qld.gov.au/view/html/inforce/current/sl-2014-0103
Guide to completing an employer resource assessment	https://desbt.qld.gov.au/training/apprentices/resources/information-sheets/is50
Guide to Training Plans and Training Records	https://training.qld.gov.au/site/apprentices/Documents/srto/guide-training-plan-record.pdf
SAS Compliance Audit Report (User Choice 2021-22)	https://desbt.qld.gov.au/_data/assets/pdf_file/0016/8107/sas-compliance-audit-report.pdf

References

REFERENCES	
Standards for Registered Organisations (RTOs) 2015	https://www.legislation.gov.au/Details/F2014L01377
Student Identifiers Act 2014	https://www.legislation.gov.au/Details/C2014A00036
Training Plan Template	https://desbt.qld.gov.au/training/apprentices/srto
Training.gov.au	http://training.gov.au/Home/Tga
Transfer of Registered Training Contracts – permanent or temporary	https://training.qld.gov.au/site/docs-data/Documents/procedures/transfer-training-contract-procedure.pdf
User Choice 2021-22 Policy	https://desbt.qld.gov.au/_data/assets/pdf_file/0021/7824/user-choice-policy.pdf
User Choice localities and location loadings list	https://desbt.qld.gov.au/training/providers/funded/userchoice/resources
User Choice 2021-22 qualification and price list	https://desbt.qld.gov.au/training/providers/funded/userchoice/pricing
VET SAS Agreement	https://desbt.qld.gov.au/training/providers/sas/contract

Document Control

Document:	SAS Audit Evidence Requirements (User Choice 2021-22) for the <i>Further Education and Training Act 2014</i>
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Approval date:	7 July 2021
Effective date:	7 July 2021
Related documents:	<ol style="list-style-type: none"> 1. <i>Further Education and Training Act 2014</i> 2. <i>Further Education and Training Regulation 2014</i> 3. <i>Queensland Vocational Education and Training (VET) Skills Assure Supplier (SAS) Agreement</i> 4. <i>Registered Training Organisation User Choice Skills Assure Supplier Policy (RTO)</i> 5. <i>User Choice 2017—20 Policy</i>
Version control:	Version 2.0 (released July 2021)
All documents are available online at: https://desbt.qld.gov.au/training or www.legislation.qld.gov.au .	

