

Pre-qualified Supplier Audit Evidence Requirements

(User Choice 2017–20)

(Effective 2 July 2018)

HISTORICAL DOCUMENT



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HISTORICAL DOCUMENT

Your guide to compliance

This *Pre-qualified Supplier Audit Evidence Requirements* document has been developed by the Queensland Department of Employment, Small Business and Training ([DESBT](#)) to provide specific detail to the pre-qualified supplier ([PQS](#)) on the level of supporting documentation required for the PQS to evidence the adequate completion of tasks as required by the *Vocational Education and Training (VET) Pre-qualified Supplier (PQS) Agreement* and relevant policies which underpin the *2018–19 Annual VET Investment Plan* from July 2018. 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 *VET PQS Agreement*
- the *User Choice 2017–20 Policy*
- the *Registered Training Organisation User Choice Pre-qualified Supplier 2017–20 Policy*.

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

The *Pre-qualified Supplier Audit Evidence Requirements* document follows the structure of the *Registered Training Organisation User Choice Pre-qualified Supplier 2017-20 Policy* and provides advice on the types of evidence necessary to assist demonstrating compliance with the *VET PQS Agreement*, the *User Choice 2017–20 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 PQS.

How to read and interpret this document:

COMPLIANCE FOCUS

[FET Act 2014 / Further Education and Training Regulation 2014](#)

[Apprenticeship / traineeship operational policy and procedures](#)

[VET PQS Agreement](#)

[User Choice 2017–20 Policy](#)

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EMPLOYMENT ARRANGEMENTS	
FET Act 2014 references	<p>s. 17(5) – Registering training contracts (page 21–23)</p> <p>s. 56 – Employer to provide supervision, facilities and training (page 49)</p> <p>s. 67 – Availability of facilities (page 55–56)</p> <p>s. 68 – Supervising registered training organisation to ensure delivery of training (page 56)</p> <p>s. 74 – Signing of training plan (page 58)</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>
VET PQS Agreement	<p>Clause 3 – The supplier must provide Training and Assessment and other VET services with skill, care and diligence to a high professional standard (page 4–5)</p>
User Choice 2017–20 Policy	<p>Clause 1.2 – Employment arrangements (page 3)</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.

EMPLOYER RESOURCE ASSESSMENT (ERA)

- 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](#).

REQUIREMENTS

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.

ACCEPTABLE EVIDENCE

The supplier must retain evidence for either of the following:

- 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.

Please note: 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.

This documented process may be contained within one document or a collection of documents.

EMPLOYER RESOURCE ASSESSMENT (ERA)

REQUIREMENTS	ACCEPTABLE EVIDENCE
<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> <i>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.</i>
<p>Range of work, workplace facilities and equipment</p>	<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: <i>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.</i></p>

EMPLOYER RESOURCE ASSESSMENT (ERA)

REQUIREMENTS	ACCEPTABLE EVIDENCE
<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. • 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>

EMPLOYER RESOURCE ASSESSMENT (ERA)

REQUIREMENTS	ACCEPTABLE EVIDENCE
<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 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>A fully developed ERA as per above requirements.</p>

EMPLOYER RESOURCE ASSESSMENT (ERA)

REQUIREMENTS	ACCEPTABLE EVIDENCE
<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>Please note: <i>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	
FET Act 2014 references	Schedule 1 – Dictionary s. 56 – Employer to provide supervision, facilities and training (page 49) s. 67 – Availability of facilities (page 55) s. 68 – Supervising registered training organisation to ensure delivery of training (page 56) s. 69 – Supervising registered training organisation to notify chief executive if progress not made under training plan (page 56) s. 71 – Training plan for apprentice or trainee (page 57) s. 72 – Parties to training plan (page 57) s. 73 – Training plan to be negotiated by parties (page 58) s. 74 – Signing of training plan (page 58) s. 75 – Copies of signed training plan for apprentice or trainee (page 58) s. 77 – Training plan ends on replacement of supervising registered training organisation (page 59) s. 79 – Training plan ends if registered training contract transferred (page 59) s. 80 – Changing training plan for an apprentice or trainee (page 60) s. 81 – Signing changed training plan for apprentice or trainee (page 60) s. 82 – Supervising registered training organisation may make minor change to training plan (page 60)
FET Regulation 2014	Part 2.4 – Keeping training record (page 4)
Departmental policy / procedures and supporting documents	Guide to Training Plans and Training Records Transfer of Registered Training Contracts – Permanent or Temporary
VET PQS Agreement	Clause 3 – The supplier must provide Training and Assessment and other VET Services with skill, care and diligence to a high professional standard (p. 4-5)
User Choice 2017–20 Policy	N/A

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: training.qld.gov.au/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.

TRAINING PLANS	
REQUIREMENTS	ACCEPTABLE EVIDENCE
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>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 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>
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.	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.
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>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.

TRAINING PLANS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<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) • who (party responsible for training delivery or assessment). 	<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.
<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>

TRAINING PLANS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<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

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

TRAINING RECORDS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>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>	<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 (p. 56)
Departmental policy / procedures	N/A
VET PQS Agreement	Clause 9 (p. 7)
User Choice 2017–20 Policy	N/A

FACE TO FACE WITHIN SUPPLIER PREMISES OR WORKPLACE

REQUIREMENTS

Where [AVETMISS](#) delivery mode identifier of '10' or '30' (or predominant delivery mode of internal delivery (I) or workplace-based delivery (W) respectively under AVETMISS release 8.0) has been reported to the department, full and complete records supporting participation in training for each apprentice / trainee for each unit of competency / module from commencement to completion is to be provided.

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.

ACCEPTABLE EVIDENCE

Evidence can be captured in any combination of the following types of records:

- Class rolls
- Workplace visit sheets
- Attendance records.

These documents must capture the following information:

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

ELECTRONIC DELIVERY / ONLINE

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Where AVETMISS delivery mode identifier '20' (or predominant delivery mode of external delivery (E) under AVETMISS release 8.0 where the training has been undertaken via an online or electronic method of delivery) has been reported to the department, full and complete records supporting participation in training for each apprentice / trainee for each unit of competency / module from commencement to completion is to be provided.</p> <p>Please note: Situations where the apprentice / trainee is attending the supplier's classroom environment for the purpose of completing online learning activities will be considered as AVETMISS Delivery identifier '20' – Electronic based delivery / Online (or external delivery (E) under AVETMISS release 8.0).</p>	<p>Provision of student activity logs from the supplier's learning management system which demonstrates program delivery.</p> <p>This activity log must capture the following information:</p> <ul style="list-style-type: none"> • name/s of the apprentice/s or trainee/s • code and name for the unit of competency / module • date/s and duration of training.

OTHER DELIVERY (E.G. CORRESPONDENCE / DISTANCE DELIVERY)

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Where AVETMISS delivery mode identifier '40' (or predominant delivery mode of external delivery (E) under AVETMISS release 8.0 where the training has been undertaken via a correspondence method of delivery) has been reported to the department, full and complete records supporting participation in training for each apprentice / trainee for each unit of competency / module from commencement to completion is to be provided.</p> <p>AVETMISS Delivery mode identifier '40' is used where the predominant method of learning is not covered by the options provided.</p> <p>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.</p>	<p>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.</p> <p>This correspondence must capture the following information:</p> <ul style="list-style-type: none"> • name/s of the apprentice/s or trainee/s • code and name for unit of competency / module • date/s and duration of training • location • trainer's signature and date signed • signature of employer / workplace supervisor. <p>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.</p>

ASSESSMENT

FET Act 2014 references	s. 68 – Supervising registered training organisation to ensure delivery of training (page 56)
Departmental policy / procedures	N/A
VET PQS Agreement	Clause 9 (p. 7)
User Choice 2017–20 Policy	Clause 2.4 – Payment and reporting (p. 9) Table 3 – Payment codes (p. 12–13)

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.

ASSESSMENT RETENTION REQUIREMENTS

Please note: The intent of this section is to validate the submission of various AVETMISS Outcome identifiers ensuring that the assessment evidence references and includes documentation retained in either a hard copy (paper-based) or electronic (digital / scanned) form.

AVETMISS OUTCOME IDENTIFIERS

REQUIREMENTS

AVETMISS Outcome identifier '20' – Competency achieved / pass

Formal assessment conducted by the supplier must involve the evaluation and retention of a sufficient range of assessment evidence to enable a decision to be made regarding competence and must comply with the assessment guidelines and other requirements stated in the nationally endorsed training package.

Where evidence from the workplace is to be used to contribute to the assessment process (as supplementary assessment evidence), the supplier must interpret competency standards and translate the requirements of the unit of competency into workplace tasks meaningful to the employer and which are able to be observed in the normal course of work carried out by the apprentice / trainee.

Please note:

- *Assessments requiring a written response must be the student's own work. Responses to written assessments should not be identical or too similar to neither the associated marking guide nor from one student to another, except in cases where there is only one correct answer. For example, identical answers would be appropriate if the question required the student to identify the appropriate "Act of Parliament" which covers activity in a particular industry.*
- *Where a student provides a verbal response, as part of an oral assessment instrument or where reasonable adjustment has been taken in relation to the completion of written theory questions, this must be recorded verbatim.*
- *The supplier must ensure that expectations of the range of tasks and the performance level expected for the practical demonstration of skills is clearly documented. It is not*

ACCEPTABLE EVIDENCE

All completed assessment instruments, and associated assessment tools, used by the assessor to form a determination of competence for each unit of competency. 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 / trainee responses against the requirements of the unit of competency.

Acceptable evidence to validate an AVETMISS Outcome identifier '20' claim for payment must include, for each unit of competency:

- full and complete assessment instruments in accordance with:
 - methods of assessment nominated within the individual apprentice / trainee training plan
 - unit of competency requirements (e.g. range of assessment and number of assessments)
 - supplier's marking guides
- assessment instruments assessed (marked), signed and dated by the responsible assessor
- assessment instruments signed and dated by the apprentice / trainee acknowledging the outcome of the assessment process.

For 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 written assessment (short answer questions) and the observation checklist / benchmark criteria the assessor used to make a judgement on competence (observation assessment). It is acknowledged that 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 is required to retain the completed checklist the assessor used to make a judgement on competence for each trainee / apprentice.

In order to substantiate the judgement of competence, assessment evidence for practical skills observation must include a record of the skills the assessor observed the student demonstrating relevant to the unit of competency. The use of checklists with pre-populated lists of observable behaviours relevant to the unit is acceptable, provided the checklist demonstrates individualisation and / or contextualisation to the student to which it relates, in addition to documenting the task and activity observed. Individualisation / contextualisation could be demonstrated through, for example, the writing of commentary or notes on the behaviours observed during the completion of tasks, and identifying the relevant variable/s demonstrated by the student from the pre-populated list in relation to the activity that is being observed.

<p><i>acceptable to simply 'cut and paste' unit of competency requirements to evidence the observation of practical skills.</i></p>	<p>Further, if the supplier intends to retain photographic and / or video evidence to support a judgement of competence, then the supplier must retain evidence of a mapping document which verifies the relationship between the photographic and / or video evidence and how it aligns to unit/s of competency.</p>
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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 contains no notations supporting that evidence has actually been assessed.</i> • <i>An overview document identifying the unit of competency and containing only the signatures of the student and assessor to indicate a satisfactory result is not sufficient evidence of practical assessment under a funded program.</i> 	<p>Please note:</p> <ul style="list-style-type: none"> • <i>Units of competency contain other specifications besides 'Elements' and 'Performance Criteria' that must be incorporated into the supplier's assessment tools and instruments. These additional assessment requirements are captured within the required knowledge and skills, and critical aspects and often relate to the specific number of times a task must be assessed, the stipulation around the use of specific equipment and / or demonstration of a specific technique or process.</i> • <i>Suppliers are advised that the employer's signing of the training record cannot be used as evidence to confirm the practical application of skills, this can only be used as supplementary evidence. As noted in the training record section, training records are not assessment tools and will not be accepted as evidence of formal assessment at audit.</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 / module.</p> <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>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 a student attempted 10 of 10 required assessments and was assessed as not competent in one or more of the assessments. However, if a student had only attempted 9 of 10 assessments, this code would not be used as the student is required to attempt all of the assessments in order to receive a 'competency not achieved / fail' outcome.</i></p>

AVETMISS OUTCOME IDENTIFIERS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p><u>Department Outcome identifier '65' – Transitional gap training</u></p> <p>Department Outcome identifier '65' must be used when transitioning an apprentice / trainee from a superseded qualification to the new qualification (often accompanied with the completion of a ATF-028 Transition of Qualification form or when previously completed unit/s of competency have been superseded. These include instances when:</p> <ul style="list-style-type: none"> an apprentice / trainee commencing in a qualification that is subsequently superseded and requires the apprentice / trainee to transition to new qualification. an apprentice / trainee enrolls with the supplier into the current qualification but is able to present a qualification or statement of attainment that 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, therefore necessitating additional delivery, the supplier must provide all necessary gap training and assessment to address the outcomes of the new unit.</p> <p>In each instance, the supplier must provide evidence of:</p> <ul style="list-style-type: none"> a mapping process (i.e. training package mapping guide) that identifies how the current unit of competency, which has been determined as not equivalent (does not fully map) compares in relation to the unit previously completed by the apprentice / trainee gap training and gap assessment, including on-the-job verification from the employer, to support its claim/s for payment. <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> <i>Where no mapping is possible, the supplier is required to deliver the entire unit of competency (including the on-the-job verification from the employer).</i> <i>No student contribution fees can be charged for this AVETMISS Outcome identifier.</i>

RECOGNITION OF PRIOR LEARNING (RPL)

Recognition of prior learning (RPL) involves the assessment of previously unrecognised skills and knowledge an individual may have achieved outside the formal education and training system. RPL is an assessment process (rather than a training process) in which the individual's non-formal and informal learning is assessed. 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 or module level as it is an assessment-only pathway. If a unit of competency or module 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 a student 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 students' 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 and knowledge tests) referenced below relate specifically to the submission of claims for funding under a Queensland PQS agreement. This evidence represents the minimum requirement a PQS 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>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 apprentice / trainee competence.</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 training package qualification; and be conducted in accordance with the <i>Principles of Assessment</i> and the <i>Rules of Evidence</i> (refer to Standards for RTOs 2015)</p>	<p>A Training and Assessment Strategy (TAS) customised to the relevant industry and the specific skills of each student, including:</p> <ul style="list-style-type: none"> • RPL assessment policies and procedures • an outline of how the PQS will come to its decision to recognise the student's proficiency against each unit of competency required for the qualification • assessment mapping document • assessment validation schedule • assessment validation report • industry consultation report • third parties to be consulted • essential points to discuss with the candidate / student • essential points to discuss with recent employers.

RECOGNITION OF PRIOR LEARNING (RPL)

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Please note: User Choice funding will not be paid where RPL has been reported for any unit of competency within Sport and Recreation qualifications for school-based apprentices / trainees.</p> <p>In cases where RPL has been claimed for a school-based apprentice / trainee, the supplier will be challenged at audit in regards to how the supplier's RPL process has been based on previously unrecognised skills and knowledge achieved outside of the apprenticeship / traineeship.</p> <p>The supplier will also be challenged at audit in cases where the sequence of training and assessment, and RPL are not in accordance with qualification packaging rule requirements. If applicable, RPL should not be granted for competencies where the PQS then provides training and assessment for the underpinning pre-requisite(s).</p> <p>** Please note: A table pre-populated with possible response/s with only ticked boxes and a student signature would not provide sufficient evidence for the purposes of RPL claims under these programs.</p> <p>In addition, the PQS must retain evidence their assessor has verified the authenticity of the client's previous employment and detailed the industry experience of, and qualifications held by, the letters' authors. All supporting evidence from previous employers, volunteer organisations, clubs and associations must be on official letterhead.</p>	<p>A mapping document:</p> <ul style="list-style-type: none"> A document which maps key requirements of the qualification / unit of competency, including identification of critical aspects of evidence and required skills and knowledge for units claimed. The document must also list each piece of assessment evidence considered in the course of making the decision to grant RPL for the candidate and link it back to relevant unit requirements. <p>** Proof of competence must include:</p> <ul style="list-style-type: none"> Documented "Competency Conversation" with the student against unit requirements which is signed by the student and the RTO assessor. (Actual questions and responses must be recorded and retained.) Please note: Questions asked by the assessor as well as expected responses should be selected from a benchmark document developed by the PQS to ensure consistency and reliability of the assessment process when used across multiple candidates. Documented "Competency Conversation" with at least one recent employer validating students demonstrated the requisite workplace performance against unit requirements, verified further by signatures from the employer and the RTO assessor. (Actual questions and responses must be recorded and retained.) Please note: Questions asked by the assessor as well as expected responses should be selected from a benchmark document developed by the PQS to ensure consistency and reliability of the assessment process when used across multiple candidates. Documented student self-appraisal (signed by the student) demonstrating formal and informal knowledge and skills against tasks relevant to the units making up the qualification. Record of previous 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, a challenge test/s (including practical and knowledge tests) addressing the elements and performance criteria of the unit and the skills required as a minimum in the relevant industry. Where applicable and in accordance with the unit of competency requirements, further evidence to support the decision to grant RPL to the candidate.

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

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>The supplier must retain evidence that “on-the-job verification” has been achieved for each unit of competency / module 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> <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>	<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 evidence cannot be accepted:</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 module” 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. However, an ERA is not required to be completed for an apprentice or trainee employed by a group training organisation (GTO) or principal employer organisation (PEO). The supplier must also accordingly 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>

ON-THE-JOB VERIFICATION

EXCEPTION:

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 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.

MARKING GUIDES

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>The supplier must keep, for each unit of competency for each student, the assessor’s completed marking guide/s, criteria and observation checklists.</p>	<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 students trained and assessed under the User Choice funding program for six years from the end of the term (refer to ‘Record retention’ section p. 43 within this document).</i></p>

STUDENT CONTRIBUTION FEES

FET Act 2014 references	N/A
Departmental policy / procedures	N/A
VET PQS Agreement	N/A
User Choice 2017–20 Policy	Clause 2 – Government contribution (p. 8) Clause 2 – Fees and charges (p. 17-18)

INDUCTION INFORMATION

REQUIREMENTS

The supplier must provide the apprentice / trainee with enrolment information addressing the following as stated within the *User Choice 2017–20 Policy* as well as provide the apprentice / trainee access to its written policy.

A supplier must, prior to enrolment, provide each apprentice / trainee with information on the department's fees and charges requirements.

Please note: The fees and charges information provided to Queensland State Government funded apprentice / trainees must state:

- the correct student contribution fee rate
- exemption fee categories and
- refund requirements

as per *User Choice 2017–20 Policy* arrangements.

ACCEPTABLE EVIDENCE

Evidence the apprentice / trainee has been provided with a copy of the supplier's 'Student Handbook' as referenced within an induction checklist signed by the apprentice / trainee.

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:

- full costs associated with the qualification
- method and timing of collection
- refunds
- exemptions available.

COLLECTION OF STUDENT CONTRIBUTION FEES

The User Choice 2017–20 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 2017–20 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 2017–20 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: A departmental auditor may request access to the supplier's accounting software to sight verifiable evidence to support the receipt of student contribution fees.</p>

COLLECTION OF STUDENT CONTRIBUTION FEES

REQUIREMENTS	ACCEPTABLE EVIDENCE
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<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 • 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. 	<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 • 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.
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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 either the apprentice / trainee's birth certificate or current passport.</p>

PARTIAL STUDENT CONTRIBUTION FEE EXEMPTIONS

REQUIREMENTS	ACCEPTABLE EVIDENCE
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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.	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.
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.	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.
Evidence the apprentice / trainee is an Aboriginal or Torres Strait Islander person, through self-declaration on AVETMISS compliant enrolment form.	The completion of an AVETMISS compliant enrolment form which captures information regarding the apprentice / trainees Indigenous status.

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>

FULL STUDENT CONTRIBUTION FEE EXEMPTIONS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<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 students, 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 student 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>
<p>An apprentice / trainee commences an apprenticeship / traineeship in a high priority qualification within 12 months of graduating Year 12.</p>	<p>Evidence the apprentice / trainee had graduated from Year 12 in Queensland within 12 months before commencing a high priority qualification.</p>

FULL STUDENT CONTRIBUTION FEE EXEMPTIONS

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

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

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>In the event an apprentice / trainee either cancels their training contract or nominates to change to another SRTO, the supplier must retain evidence that student 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 / module.</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>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> <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>

REFUNDS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>To meet the requirements of the <i>User Choice 2017–20 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 / module. Suppliers should consider outlining how they will determine the proportionate rate of fees to be refunded for any unit of competency commenced but not completed.</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> <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.

REFUNDS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<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	
FET Act 2014 references	N/A
Departmental policy / procedures	N/A
VET PQS Agreement	Clause 9 – Records (p. 7)
User Choice 2017–20 Policy	Clause 2.4 – Payment and reporting (p. 9) Clause 2.4.3 – AVETMISS reporting requirements (p. 10) Table 3 – Payment codes (p. 12) Clause 2.4.7 – Administration payments (p. 14) Table 5 – Service provision not funded (p. 15)

AVETMISS DATA

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.

AVETMISS DELIVERY MODE IDENTIFIERS

The *User Choice 2017–20 Policy* 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).

AVETMISS DELIVERY MODE IDENTIFIERS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>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> <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>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 evidence to support which method is predominant per unit of competency and must ensure the correct predominate delivery mode is reported. • 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"> ○ for AVETMISS data submitted under AVETMISS Release 7.0, online resources would be the predominant delivery mode and AVETMISS Delivery mode identifier '20' must be reported. ○ for AVETMISS data submitted under AVETMISS Release 8.0, the supplier would report 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.

AVETMISS OUTCOME IDENTIFIERS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>AVETMISS Outcome identifier '20' – Competency achieved / pass</p> <p>The supplier must retain evidence of all the assessment instruments completed by each student for each unit of competency / module.</p> <p>(i.e. sufficient evidence has been gathered that competency has been met / completed, as outlined in the relevant authorised industry / enterprise competency standards of a training package or learning outcomes of an accredited course).</p>	<p>Suppliers must have evidence to support the accurate reporting of AVETMISS Outcome identifier data. Assessment must be marked by the assessor, and in addition clear evidence supporting the assessment outcome must be retained. The supplier must retain 100% of assessment evidence for 100% of units of competency for 100% of apprentices and trainees.</p>

AVETMISS OUTCOME IDENTIFIERS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>AVETMISS Outcome identifier '30' – Competency not achieved / fail</p>	<p>Suppliers must have evidence to support the accurate reporting of AVETMISS Outcome identifier data. Assessment must be marked by the assessor, and in addition clear evidence supporting the assessment outcome must be retained. The supplier must retain 100% of assessment evidence for 100% of units of competency for 100% of apprentices and trainees.</p>
<p>AVETMISS Outcome identifier '40' – Withdrawn / discontinued</p> <p>The supplier may submit a withdrawn claim for payment where evidence has been retained to validate the apprentice / trainee's participation in training for each unit of competency for which a withdrawn claim is being submitted. In addition, withdrawn claims for payment will only be validated where the department acknowledges (recorded in the departmental apprenticeship / training database known as Direct Entry Level Training Administration DELTA) the apprentice / trainee has either cancelled the training contract or training has ceased as a result of a change of supplier.**</p>	<p>The supplier must retain evidence of apprentices / trainees participation in training, in accordance with information contained within the Training section above, to substantiate the submission of AVETMISS Outcome identifier '40' claims for payment.</p> <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 apprentices / trainees 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> <p>**As part of AVETMISS data submission for withdrawn claims for payment, the supplier must ensure accurate information regarding the actual hours of training participation is also submitted to the department. The absence of actual hours may result in the supplier not receiving funding against each individual unit of competency.</p>

AVETMISS OUTCOME IDENTIFIERS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>AVETMISS Outcome identifier '51' – Recognition of Prior Learning</p> <p>As outlined within the <i>User Choice 2017–20 Policy</i>, the department will not fund the completion of a qualification where all units of competency have been granted through an RPL process.</p> <p>Similarly, the supplier will be challenged at audit in cases where:</p> <ul style="list-style-type: none"> the sequence of training and assessment and RPL are not in accordance with qualification packaging requirements. If applicable, RPL should not be granted for competencies where the supplier then provides training and assessment for the underpinning pre-requisite(s) the majority of units of competency have been successfully achieved through RPL, though training and assessment is provided for a small number of basic core units. <p>In these instances, non-compliance may result in the recovery of funds.</p>	<p>Evidence to support the accurate reporting of AVETMISS Outcome identifier data. Assessment must be marked by the assessor, in addition to which clear evidence supporting the assessment outcome must be retained. The supplier must retain 100% of assessment evidence for 100% of units of competency for 100% of apprentices and trainees.</p> <p>The supplier must retain evidence of the full RPL application and supporting evidence submitted by the apprentice / trainee as well as all documentation from the supplier outlining how the decision was made to either grant or not grant an RPL outcome for each unit of competency.</p>

AVETMISS OUTCOME IDENTIFIERS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>AVETMISS Outcome identifier '60' – Credit transfer</p> <p>The supplier must ensure all available credit transfers are acknowledged and are counted as part of the competency / points count in relation to the maximum number of units of competency / points payable for the qualification. This requirement may be evidenced by a copy of the qualification or statement of attainment issued to the apprentice / trainee for each unit of competency for which payment is being claimed.</p> <p>If the qualification or statement of attainment presented by the apprentice / trainee is from a superseded qualification, the supplier must refer to the mapping guide within the relevant training package to determine equivalency and issue a credit transfer for all equivalent units of competency.</p> <p><i>Please note: In circumstances where legislation, regulation or industry standards stipulate apprentice / trainees must undertake re-training and re-assessment of units of competency to address licensing or industry specific requirements, the department will not provide funding in instances where evidence exists indicating the apprentice / trainee has previously completed the same or equivalent unit of competency.</i></p>	<p>A copy of the qualification, record of results (which includes details of the issuing registered training organisation (RTO) and the date issued), statement of attainment previously issued to the apprentice / trainee for each unit of competency / module or authenticated VET transcripts issued by the Registrar as per the meaning given in the Student Identifiers Act 2014.</p> <p><i>Please note: 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.</i></p>

AVETMISS OUTCOME IDENTIFIERS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Department Outcome identifier '65' – Transitional gap training</p> <p>The supplier must use this outcome when transitioning a student from a superseded qualification to the new qualification in accordance with the transition and teach-out directions prescribed by ASQA in each of the following situations:</p> <ul style="list-style-type: none"> • a student commencing a qualification which is subsequently superseded and the student is required to transition to the new qualification. • a student enrolls with the supplier into the current qualification and is able to present a qualification or statement of attainment listing unit/s of competency previously attained under the superseded qualification. <p>In each instance, 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 (equivalence) is identified, credit transfers must be acknowledged and accurately reported.</i> • <i>There is no payment for failure of gap training.</i> 	<p>Evidence to support the accurate reporting of AVETMISS Outcome identifier data. Assessment must be marked by the assessor, in addition to which clear evidence supporting the assessment outcome must be retained. The supplier must retain 100% of assessment evidence for 100% of units of competency for 100% of apprentices and trainees.</p> <ul style="list-style-type: none"> • The supplier must provide evidence a mapping process has been completed (i.e. training package mapping guide) for each transitioned student to identify where the current unit of competency is no longer equivalent (does not fully map) to the unit previously completed by the student. • The supplier must provide evidence a mapping process has been completed (i.e. training package mapping guide) identifying any previously completed units of competency which is determined as not equivalent within the current. • The supplier must retain all evidence of gap training and gap assessment, including on-the-job verification from the employer, to support its claim/s for payment.

AVETMISS OUTCOME IDENTIFIERS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>AVETMISS Outcome identifier '81' – Non-assessable activity – satisfactorily completed</p> <p><u>SRT01</u> – Prepare for training – The department will only pay an administration payment against unit of competency SRT01 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 SRT0 prior to any training provision commencing. <p><u>SRT02</u> – Apprentice or trainee completion – The department will only pay an administration payment against unit/s of competency SRT02 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 • received all training and assessment required from a different SRT0 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>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>Please note: 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>Please note: 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 SRT02 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 OUTCOME IDENTIFIERS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Please note: Where the supplier has retained sufficient evidence to validate the submission of unit of competency SRT02, the User Choice funding policy allows the automatic submission of unit of competency SRT01 to allow payment of the total Administration Payment of \$500.00 to the supplier.</p>	

AVETMISS POSTCODES

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>The supplier must report an AVETMISS postcode of where the apprentice / trainee undertakes the predominant amount of training and / or assessment.</p> <p>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 'location postcode' where the apprentice or trainee predominantly undertakes training and / or assessment (excluding online delivery), as specified in the User Choice Localities and Location Loadings document at: AVETMISS Postcodes – location loadings</p> <p>Please note: If AVETMISS Delivery mode identifier '20' (or external delivery (E) as the predominant mode of delivery under AVETMISS release 8.0) has been reported by the supplier to indicate training has been conducted via an electronic method of delivery (including online), the supplier must report the postcode from where the training has been co-ordinated, 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.

AVETMISS ACTIVITY START AND END DATES

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 accurate AVETMISS activity start and end dates for each apprentice / trainee for each unit of competency. To ensure this occurs, a supplier is encouraged to cross-reference a sample of its apprentice / trainee participation records against the AVETMISS start dates reported.

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>The supplier must report an AVETMISS activity start date which accurately represents when formal training commenced in the unit of competency.</p> <p>To ensure this occurs, a supplier is encouraged to cross-reference a sample of its apprentice / trainee participation records against the AVETMISS start dates reported.</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. • class roll, workplace visit sheet or attendance record signed by the apprentice / trainee and recording the date when participation in training commenced.
<p>The supplier must report an AVETMISS activity end date which accurately represents 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 / 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"> • <i>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.</i> • <i>No payment will be made for training and assessment not reported within 90 days after the date the training and assessment is delivered.</i> 	<ul style="list-style-type: none"> • AVETMISS end date reported accurately representing when the student was deemed competent in the unit of competency. • 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 departmental auditor will be 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.

ADMINISTRATION

FET Act 2014 references	N/A
Departmental policy / procedures	N/A
VET PQS Agreement	Clause 9 – Records (p. 7) Clause 12 – Conflicts of interest and inducements (p. 9)
User Choice 2017–20 Policy	N/A

RECORD RETENTION

REQUIREMENTS

The supplier must retain for 6 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 student's 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 Student 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 Student for each Unit of competency
 - iv. copies of the Qualifications and Statements of Attainment issued to each Student.
- b. for each Unit of Competency, for each Student:
 - 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. information and material specified in the *Pre-qualified Supplier Audit Evidence Requirements* published by the department
- d. any other information and material reasonable requested by the department.

Please note: The retention of assessment evidence to validate the submission of various AVETMISS Outcome identifiers is that assessment evidence references and includes documentation retained in either a hard copy (paper-based) or electronic (digital / scanned) form. Whilst not specifically referenced within the PQS Agreement, the department does accept the retention of assessment evidence within an electronic format.

CONFLICT OF INTEREST AND INDUCEMENTS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Conflict of interest</p> <p>The supplier warrants that, as at the date it executes its PQS Agreement, it does not have a conflict of interest in the performance of its Agreement and that a conflict of interest is unlikely to arise.</p> <p>However, should a conflict or risk of conflict of interest arise during the term of the PQS Agreement, the supplier must immediately give notice of it to the department.</p> <p>Please note: A conflict of interest means, in the reasonable opinion of an independent observer, the interest of the supplier comes into conflict with, or opposition to, the objectives or standards within the PQS Agreement, the PQS Policy or the User Choice funding program policy.</p>	<p>Risk management process addressing potential conflicts of interest, including inducement, and evidence of monitoring of these activities.</p> <p>This evidence could include, but not limited to:</p> <ul style="list-style-type: none"> • letters or emails sent by the supplier to the department outlining the conflict or risk of conflict of interest and subsequent response from the department.
<p>Inducements</p> <p>The supplier must not give, or agree or offer to give, to another person any valuable consideration with a view to securing the enrolment with the supplier of an apprentice / trainee or prospective apprentice / trainee in relation to a qualification funded under the User Choice funding program.</p> <p>This restriction includes any person who refers or offers to refer a current or prospective apprentice / trainee to the supplier.</p> <p>Please note: An inducement means the offer of gifts or money to a person or business to entice or persuade that person or business.</p>	<p>Marketing, promotional and advertising materials and any other marketing activities which does not contain any reference to inducements or the offering of gifts in exchange for the apprentice / trainee selecting the supplier as their nominated supervising registered training organisation.</p>

GLOSSARY OF TERMS

TERM	DEFINITION	LINK (IF APPLICABLE)
AASN	Australian Apprenticeship Support Network	https://training.qld.gov.au/apprentices/aasn
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard	https://www.qld.gov.au/education/training-orgs/pages/vetdata.html
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 PQS Agreement (User Choice)) and for a period of 6 years from the date of expiration or termination of this agreement, unless otherwise specified in writing by the department.	
ERA	Employer Resource Assessment	http://apprenticeshipsinfo.qld.gov.au/employer-capacity/employer-resource-assessment-factsheet.html
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://training.qld.gov.au/employers/peo/what
PQS	Pre-qualified Supplier	https://training.qld.gov.au/providers/pqs
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://training.qld.gov.au/training/recognition/rpl
RTO	Registered Training Organisation	http://www.asqa.gov.au/about-vet/about-rtos/about-rtos.html
SRTO	Supervising Registered Training Organisation	https://training.qld.gov.au/apprentices/srto
SRTO1	Prepare for training	https://training.qld.gov.au/providers/pqs/become (2.4.7 Administration Payments)

GLOSSARY OF TERMS

TERM	DEFINITION	LINK (IF APPLICABLE)
SRT02	Apprentice or trainee completion	https://training.qld.gov.au/providers/pgs/contract (2.4.7 Administration Payments)
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 • 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, 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 authenticates the person who is affixing their signature to a document. <p>Any of the above types of electronic signatures can be accepted but central to the matter is the authenticity of each and every 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 RTO 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 'Pre-qualified 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. 	
VET	Vocational Education and Training	http://www.asqa.gov.au/about/australias-vet-sector/australias-vet-sector.html

REFERENCES	
Adequate training arrangements	https://training.qld.gov.au/apprenticeshipsinfo/information-resources/information-sheets/atis-039
Apprenticeships Info	http://apprenticeshipsinfo.qld.gov.au/
Apprenticeship and traineeship operational policies and procedures	https://training.qld.gov.au/docs-data/policies/apprenticeship
AVETMISS 8.0 for VET Providers: what's changing from release 7.0	https://www.ncver.edu.au/publications/publications/all-publications/avetmiss-8.0-for-vet-providers-whats-changing-from-release-7.0#
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://training.qld.gov.au/site/docs-data/Documents/policies/apprenticeship/declaration-policy.pdf
Department Outcome identifier '65' – Transitional gap training. As referenced, PQS and User Choice 2017–20 policy	https://training.qld.gov.au/providers/funded/userchoice/resources
DETConnect	https://training.qld.gov.au/providers/detconnect
Employer Resource Assessment templates	http://apprenticeshipsinfo.qld.gov.au/employer-capacity/index.html
FET Act 2014	https://www.legislation.qld.gov.au/view/html/inforce/current/act-2014-025
FET Regulation 2014	https://www.legislation.qld.gov.au/view/html/inforce/current/si-2014-0103
Guide to completing an employer resource assessment	http://apprenticeshipsinfo.qld.gov.au/employer-capacity/guide-to-complete-era.html
Guide to Training Plans and Training Records	https://training.qld.gov.au/site/apprentices/Documents/srto/guide-training-plan-record.pdf

PQS Compliance Audit Report (User Choice 2016-17 & 2017-20)	https://training.qld.gov.au/providers/pqs/audits
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REFERENCES	
Training Plan Template	https://training.qld.gov.au/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 2017–20 Policy	https://training.qld.gov.au/providers/funded/userchoice/resources
User Choice localities and location loadings list	https://training.qld.gov.au/providers/funded/userchoice/resources
User Choice 2017–20 qualification and price list	https://training.qld.gov.au/providers/funded/userchoice/pricing
VET PQS Agreement	https://training.qld.gov.au/providers/pqs/contract

DOCUMENT CONTROL	
Document:	PQS Audit Evidence Requirements (User Choice 2017–20) for the <i>Further Education and Training Act 2014</i>
Approving authority:	Director, Market Quality Training and Skills
Approval date:	29 June 2018
Effective date:	2 July 2018
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>Vocational Education and Training (VET) Pre-qualified Supplier (PQS) Agreement</i> 4. <i>Registered Training Organisation User Choice Pre-qualified Supplier Policy (RTO)</i> 5. <i>User Choice 2017—20 Policy</i> 6. <i>PQS Compliance Audit Report (User Choice 2016-17 & 2017-20)</i>
Version control:	<p>Version 1 (released 13 November 2014)</p> <p>Version 2 (released 1 July 2015)</p> <p>Version 3 (released 13 October 2015)</p> <p>Version 4 (released 6 February 2017)</p> <p>Version 5 (released 1 October 2017)</p> <p>Version 5.1(released 9 March 2018)</p> <p>Version 6 (released 2 July 2018)</p>
All documents are available online at: www.training.qld.gov.au or www.legislation.qld.gov.au .	