

Skills Assure Supplier Audit Evidence Requirements

(VET Investment Programs 2023-24)

Version 3.2 (Effective 1 July 2023)



Skills Assure Supplier Audit Evidence Requirements (VET Investment Programs 2023-24)

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An electronic version of this document is available at

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

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Your guide to compliance

This *Skills Assure Supplier Audit Evidence Requirements (VET Investment Programs 2023-24)* has been developed by the Queensland Department of Youth Justice, Employment, Small Business and Training ([the department](#)) to provide specific detail to skills assure suppliers (SAS) on the level of supporting documentation required for SAS to evidence the adequate completion of tasks as required by the *Vocational Education and Training (VET) Skills Assure Supplier (SAS) Agreement* and relevant policies which underpin VET Investment.

When implemented correctly, the audit evidence requirements will help your organisation work more effectively within Queensland's subsidised training program environment and assist in maintaining compliance. Your contract manager is your first point of contact to clarify any requirements including those not addressed here.

The *Skills Assure Supplier Audit Evidence Requirements* document follows the structure of the *Skills Assure Supplier Policy* and provides advice on the types of evidence necessary to assist in demonstrating compliance with the *VET SAS Agreement*, the *Skills Assure Supplier Policy* and relevant program policies. In 2023–24, the relevant VET investment programs are the Certificate 3 Guarantee program and the Higher Level Skills program.

The audit evidence requirements specify the supporting documentation required under "Requirements", whilst comprehensive examples of that documentation is listed under "Acceptable Evidence".

Supplier Governance and Internal Controls

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

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

Corporate

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 4 - Supplier's obligations Clause 8 – Supplier's employees and contractors Clause 11 - Records Clause 18 - Third Party Arrangement and Subcontracts
Other related documents	Skills Assure supplier policy Certificate 3 Guarantee program policy Higher Level Skills program policy Skills Assure supplier third party arrangements directive Skills Assure supplier marketing and disclosure directive

Corporate

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

Corporate

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

Corporate

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

Training and Assessment

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

Assurance Area	Scope/ Coverage/ Attributes
Training and Assessment Strategies (TAS) <ul style="list-style-type: none">for the qualifications listed on the supplier's subsidised delivery schedule	<ul style="list-style-type: none">content within each strategy aligns with the correct number of core and elective units of competency as specified in the applicable training package rules.details of pre and/or co-requisites relevant to the units of competency are identified within the TAS.if applicable, reference should be made to any specific <i>student eligibility restrictions and/or exemptions</i> listed within the Priority Skills List.details of how training delivery is conducted (across a variety of delivery methodologies) and how the supplier has determined the predominant mode of delivery is outlined.

Training and Assessment

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

Training and Assessment

Assurance Area	Scope/ Coverage/ Attributes
	<ul style="list-style-type: none"> • name of the position/s responsible for completion of tasks within the procedure. • details of action/s required to assure that the participation in training record is completed fully and accurately. <p>Withdrawn Claims</p> <ul style="list-style-type: none"> • withdrawn claims are supported by a documented procedure/process that enables the retention of sufficient evidence to substantiate a claim i.e. <ul style="list-style-type: none"> ○ For classroom/workplace delivery – evidence that the student has participated in some training for each unit of competency claimed. ○ For on-line delivery - evidence that the student has accessed on-line learning materials and/or resources.
<p>Assessment</p> <ul style="list-style-type: none"> - arrangements for administrative and quality assurance of assessment evidence 	<p>Content of document includes:</p> <ul style="list-style-type: none"> • name of the position/s responsible for completion of tasks within the procedure. • checks to ensure assessment instruments and/or tools are completed fully, with the appropriate declaration/ attestation/ validation in place, executed by the relevant parties. • checks to validate marking of assessment instruments and/or tools aligns with the applicable marking guide. • assurance to confirm assessment instruments and/or tools address all unit of competency knowledge and performance requirements. • assurance to confirm the capture of information to address practical observation requirements adequately as outlined in the 'Assessment' section of the <i>SAS Audit Evidence Requirements (VET Investment Programs)</i> document.
<p>Vocational Placement Arrangements</p> <ul style="list-style-type: none"> - as applicable to relevant qualifications 	<p>Content of document includes:</p> <ul style="list-style-type: none"> • how the vocational placement agreement is developed and signed by all parties. • how the quantum of vocational placement hours are captured and validated.

Training and Assessment

Assurance Area	Scope/ Coverage/ Attributes
	<ul style="list-style-type: none"> name of the position/s responsible for completion of tasks within the procedure.
Records Management <ul style="list-style-type: none"> procedure to manage training and assessment records in accordance with subsidised program requirements 	<p>Content of document includes:</p> <ul style="list-style-type: none"> name of the position/s responsible for completion of tasks within the procedure. details of how hard copies are safeguarded (e.g. fire-proof safe and/or off-site storage). <p>References are made within the document concerning:</p> <ul style="list-style-type: none"> departmental requirements to retain records of each student's participation in Training and Assessment for each unit of competency, including records of the commencement of educational content, attendance and progression for a period of seven (7) years from the end of the term of the Agreement. retention of other documentation related to a student's enrolment within a subsidised training program other than training and assessment records. how electronic and online records are maintained and regularly backed up.
Staff Induction	<ul style="list-style-type: none"> content of document includes details of how the staff are made aware of the policies and procedures of the supplier. as related to the delivery of relevant qualifications - reference is made to the mandatory requirement for staff who train to hold a 'Positive Notice for Child Related Employment' (Blue Card) as a paid employee (not volunteer).
Trainer Qualifications	Trainers hold the required qualifications at the time of training.
Qualifications and Statements of Attainment	<p>Content of document includes:</p> <ul style="list-style-type: none"> name of the position/s responsible for completion of tasks within the document. information regarding the requirement for a qualification to be issued by the PQS within 30 days (as per SRTTO Standard 3.3) as well as the submission of 'qualification issued flag' (NAT130) AVETMISS data (which may appear in the document) within 30 days of the qualification being issued.

Training and Assessment

Assurance Area	Scope/ Coverage/ Attributes
	Content of document does not include any reference to qualifications or statements of attainment being withheld owing to outstanding fees for both User Choice and VET Investment programs.

Enrolment

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

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

Enrolment

Assurance Area	Scope/ Coverage/ Attributes
<ul style="list-style-type: none"> - including enrolment forms - any course information relevant to each qualification on supplier's subsidised delivery schedule 	<ul style="list-style-type: none"> • question/s regarding any partially completion of qualifications and/or statements of attainment issued. • reference to the acknowledgement of pre-enrolment information provided to VET Investment program students regarding access to future funding on completion of qualification (funding program specific); information regarding co-contribution fees (qualification specific) including details regarding concessional and non-concessional; provision of refund policy; and where the student has been directed to the department's funding program fact sheet. • course material information includes the provision of upfront information which addresses the requirements of the 'training fact sheet' or 'written summary' as stipulated within the respective VET Investment Program Policies
Student Eligibility	<p>Content of document includes:</p> <ul style="list-style-type: none"> • name of the position/s responsible for completion of tasks within the procedure. • reference to the conducting of AISS (Partner Portal) searches by a person authorised under the Partner Portal access agreement, against student information and includes steps taken by the supplier should student ineligibility be identified. • reference to the requirement to retain sufficient evidence of eligibility and provides instructions to the relevant staff member detailing what range of evidence is acceptable. • reference to how any specific <i>student eligibility restrictions and/or exemptions</i> as listed within the Priority Skills List (if applicable) are addressed.
Fees <ul style="list-style-type: none"> - charging, collection and reporting 	<p>Content of document includes:</p> <ul style="list-style-type: none"> • name of the position/s responsible for completion of tasks within the procedure. • checks to ensure that there is alignment across the advertised fee, invoice, receipt and amount reported (AVETMISS data). • checks to ensure full and partial fee exemptions are applied correctly. • assurance to confirm fee documentation is completed fully.

AVETMISS Data

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

Assurance Area	Scope/ Coverage/ Attributes
AVETMISS Data Submissions	<ul style="list-style-type: none">Content of document includes guidance and/or procedural steps and/or contextual information that supports the submission of accurate data to the department within the required timeframes.Reference is made to the position/s responsible for completing allocated tasks regarding data submission in the document.

Enrolment

Eligibility

Skills Assure Supplier Policy	Performance standard 3 – Complying with all funding terms and conditions Performance standard 4 – Support the learning needs of students
Other related documents	Certificate 3 Guarantee Program Policy Higher Level Skills Program Policy
Cohort specific initiatives	Skilling Queenslanders for Work (SQW) Certificate 3 Guarantee (C3G) boost Regional Skills Investment Strategy (RSIS)

Student Eligibility (general)

Requirements	Acceptable evidence
<p>The supplier is required to demonstrate their process and provide the evidence collected to support the student enrolment.</p> <p>Please note: When a student has partially completed any qualification and / or completed a lower-level qualification (which does not impact on eligibility), a copy of the statement of attainment or authenticated VET transcripts issued by the Registrar as per the meaning given in the Student Identifiers Act 2014 must be accessed to determine eligibility for credit transfer.</p> <p>Please note: All forms of eligibility evidence must be valid at the point of enrolment unless otherwise specified (see appendices 1 & 2 of this document).</p>	<p>A signed and dated enrolment form containing questions sufficient to identify ineligible candidates and seeking to identify previously achieved units of competency.</p> <p>Some examples include:</p> <ul style="list-style-type: none">• highest qualification completed (e.g. Certificate II, Certificate III, Certificate IV, Bachelor Degree)• any currently enrolled courses• previous surname/s. <p>Additionally, evidence to support ALL eligibility criteria as identified within the Student Eligibility section of this document or, alternatively, within appendices 1 & 2.</p>
Retain evidence of the student's age at time of commencement (must be 15 years or over).	See appendices 1 & 2 of this document.

Student Eligibility (general)

Requirements	Acceptable evidence
<p>Retain evidence of the student's permanent residency in Queensland.</p> <p>Please note: Defence personnel, while they may hold evidence of residency, do not meet eligibility / intent of the subsidised program.</p>	<p>See appendices 1 & 2 of this document.</p> <p>Please note: The copy retained as evidence must clearly show the prospective student's current address, which should match any other address information provided by the student (for example, on their signed enrolment form). Where the student's address differs across information captured by the SAS, it must retain evidence to support the student's eligibility as a Queensland resident.</p>
<p>Retain evidence of the student's Australian citizenship, Australian permanent residency (includes humanitarian entrant), temporary residency status with the necessary visa and work permits on the pathway to permanent residency, or New Zealand citizenship.</p> <p>A list of visa subclasses for use as reference for eligibility is available for download.</p> <p>Please note: A visa restriction, which prohibits a person from study and employment would deem the person ineligible for the subsidised program.</p>	<p>See appendices 1 & 2 of this document.</p> <p>Evidence of visa status to be documented, recorded and retained could include:</p> <ul style="list-style-type: none"> • student's permanent visa label on their passport and / or documents from the Department of Home Affairs showing approval of a permanent visa subclass • temporary residency visa and work permits with copies of correspondence to and from the Department of Home Affairs indicating progress toward permanent residency • current Medicare card (usually green Medicare card; however in some cases the blue Medicare card can be used with sufficient additional documentation – coloured copies required)
<p>Retain evidence to confirm that prospective students do not hold a post-school certificate III qualification (Certificate 3 Guarantee) or higher-level qualification (Higher Level Skills training).</p> <p>Retain evidence to ensure prospective students are not already enrolled in a certificate III or higher qualification relevant to the specific program under which training is being subsidised.</p>	<p>Signed enrolment forms or other pre-enrolment documentation which requires the prospective student to provide sufficient information to make an informed decision on eligibility.</p> <p>Some examples include:</p> <ul style="list-style-type: none"> • highest qualification completed (e.g. Certificate II, Certificate III, Certificate IV, Bachelor Degree) • any currently enrolled courses • previous surname/s • evidence of other actions / processes undertaken to ensure prospective students do not already hold or are not already enrolled in a certificate III or higher qualification relevant to the specific program under which training is being subsidised.

Student Eligibility (general)

Requirements	Acceptable evidence
	<ul style="list-style-type: none"> an exemption granted by the department for a range of reasons (program specific), reflected in a letter provided to the SAS.
<p>Conduct a search prior to enrolment using the AISS tool / search facility to help confirm whether prospective students have previously attained a certificate III or higher-level qualification; and/ or prospective are not already enrolled in a certificate III or higher qualification relevant to the specific program under which training is being subsidised.</p> <p>Retain evidence an AISS search has been undertaken in order to determine eligibility for applicable credit transfer/s.</p> <p>Please note: <i>Should it be identified that a student is eligible for applicable credit transfer/s, a copy of the relevant AQF certification document will need to be gathered and retained. An AISS screenshot is not sufficient evidence to validate an AVETMISS Outcome identifier '60' – Credit transfer outcome.</i></p>	<p>AISS screenshot and / or printout of the search conducted.</p> <p>Please note:</p> <ul style="list-style-type: none"> The AISS search must not have been conducted more than 30 days prior to the enrolment of the student. The absence of a student's name from AISS does not guarantee his / her eligibility under this criterion. AISS does not contain all fee-for-service training records and will not provide options for close alternatives to the name entered if it has been misspelt. Where AISS indicates a post school qualification has been previously attained, this renders the student ineligible, irrespective of the number of units of competency reported as being achieved. If the SAS is convinced the student does not have a previously held qualification, it must direct the student back to the previous RTO to request the removal / amendment of data. If the RTO no longer exists the student is to be directed to Australian Skills Quality Authority (ASQA) to request information about their training with the previous RTO. <p>Should AISS identify the attainment of a previously held qualification, the following types of evidence at audit are required to justify accepting the student under the funding program:</p> <ul style="list-style-type: none"> Evidence that data has been removed / amended by the previous RTO (for example, new AISS search) Written notification from Australian Skills Quality Authority confirming that the student has not undertaken any training Written notification from Australian Skills Quality Authority under Section 56 of the National Vocational Education and Training Regulator Act 2011 advising the qualification issued by the previous RTO has been cancelled.

Student Eligibility (general)

Requirements	Acceptable evidence
<p>Retain evidence of the student's eligibility for concession, if applicable. The student's eligibility for concessional status must be confirmed by the supplier at the time of the student's enrolment and evidence must be retained by the supplier.</p> <p>Please note: <i>The concession card must be valid at the time of enrolment. Expired cards will not be accepted.</i></p>	<p>See appendices 1 & 2 of this document.</p> <p>Additionally, the following may be accepted:</p> <ul style="list-style-type: none"> evidence the student is the partner or dependant of a person who holds a Health Care and / or Concession Card and is named on that card evidence the student is an Aboriginal or Torres Strait Islander – self-declaration on the signed enrolment form by the student will suffice evidence the student has a disability – Pensioner Concession Card or other documentation verifying the holder has a disability evidence the student is an adult prisoner – formal signed confirmation from the place of incarceration.
<p>Retain evidence of the student's graduation from Year 12 in Queensland, if seeking to enrol under fee-free training arrangements.</p> <p>Please note:</p> <ul style="list-style-type: none"> <i>To be eligible to access fee-free training the student must enrol and start training with a supplier by the end of the calendar year following the completion of Year 12.</i> <i>Where a student has completed Year 12 midway through the year and the QCE will not be issued until the end of the year, the supplier must obtain a letter from the school confirming the student has graduated Year 12. This does not negate the requirement to obtain a copy of the QCE once issued.</i> 	<p>Any of the following:</p> <ul style="list-style-type: none"> Queensland Certificate of Education (QCE) Senior Statement issued by the Queensland Curriculum Assessment Authority (QCAA) Tertiary Entrance Statement Queensland Certificate of Individual Achievement (QCIA)
<p>Where a qualification requires a security clearance (e.g. police check, blue card and/or yellow card) in order for the student to be deemed competent for vocational placement within an industry, that document must be retained by the supplier prior to the commencement of vocational placement for audit purposes.</p> <p>Please note: <i>Whilst the attainment of the security clearance, prior to or at the time of enrolment, is not mandatory,</i></p>	<p>Any of the following:</p> <ul style="list-style-type: none"> a letter from the relevant governing body approving the security clearance a copy of the student's police check a copy of the student's blue card a copy of the student's yellow card

Student Eligibility (general)

Requirements	Acceptable evidence
<i>students must be made aware of this requirement accordingly. Should a supplier enrol a student who cannot obtain the relevant security clearance in order to achieve the qualification, recovery of funds for unit/s of competency claimed may occur.</i>	
Retain evidence of the student's participation in a specific cohort-targeted initiative.	<p>A document / letter of referral for the student from the funded organisation / community-based organisation (or from the department), under the applicable strategic initiative / project. This document / letter must identify the student by first name, surname and date of birth as eligible under the initiative / project. The letter must be presented on the funded organisation's letterhead and be signed and dated by a representative of the organisation.</p> <p>Please note: All other aspects of eligibility, such as previously held qualifications, will have been addressed by the organisation accessing the strategic initiative.</p>
Retain evidence required to support any specific restrictions to enrolment in a qualification outlined in the Priority Skills List .	<p>This could include, depending on the restriction:</p> <ul style="list-style-type: none"> • Evidence to prove the student is an existing worker in the required industry is an official letter or email (with signature block) from the employer listed within the student's enrolment form. This letter or email must include statements confirming the student's employment status, the length of current employment and confirmation the student has been actively fulfilling work duties for this period. This evidence from the nominated employer is able to be obtained by the Supplier up to 7 calendar day before or after the student's enrolment into the qualification. • evidence of an Australian Business Number (ABN), invoicing and client list for self-employed candidates • a copy of the relevant industry qualification.
Exceptions or exemptions	
<p>For students enrolled in Vocational Education and Training in Schools (VETiS), the supplier is not required to retain evidence the student was 15 years or over at the time of enrolment.</p> <p>Determination of eligibility from appropriate organisation for specific cohorts as follows:</p> <ul style="list-style-type: none"> • SQW – Community-based organisation (CBO) to determine eligibility and to provide document/letter advising of eligibility • Certificate 3 Guarantee Boost – eligibility is determined by Back to Work Jobseeker officers, with letter issued by TAFE Queensland 	

Student Eligibility (general)

Requirements	Acceptable evidence
<ul style="list-style-type: none">• RSIS – eligibility determined by RSIS project, letter issued by the department• Aboriginal and Torres Strait Islander people to obtain a letter from elder/s• Youth Justice participants to provide a letter from appropriate Queensland Government Department• Other exceptions approved by the department providing document or notification of eligibility <p>Please refer to the requirements above regarding retention of evidence to substantiate eligibility.</p>	

Foundation Skills Eligibility (Certificate 3 Guarantee Specific)

Skills Assure Supplier Policy	Performance standard 4 – Support the learning needs of students
Other related documents	Certificate 3 Guarantee Program Policy
<p>Foundation skills training and lower-level qualifications may also be subsidised under the Certificate 3 Guarantee program under certain limited conditions.</p> <p>Under the Certificate 3 Guarantee Program Policy, additional opportunities may be available in exceptional circumstances where an individual does not meet the eligibility criteria for a program but circumstances indicate the objectives of the program will be met through a confirmed employment benefit.</p> <p>The supplier will not be paid for foundation skills where:</p> <ul style="list-style-type: none">• claims are submitted for VETIS students, as these individuals are not eligible for subsidised delivery of foundation skills• claims are submitted under AVETMISS Outcome identifier '51' – Recognition of prior learning (RPL) for foundation skills delivery• an individual eligible for assistance under an Australian Government LLN program must be redirected by the supplier to such a program before enrolling in foundation skills under the Certificate 3 Guarantee. <p>For further information refer to:</p> <ul style="list-style-type: none">• Adult Migrant English Program (AMEP)• Skills for Education and Employment (SEE).	

Foundation Skills Eligibility (Certificate 3 Guarantee Specific)

Requirements	Acceptable Evidence
<p>The supplier must conduct an effective assessment of a prospective student's need for foundation skills training, including LLN proficiency skills, prior to enrolment.</p> <p>Assessment of the student's capabilities must be made against recognised foundation skills benchmarks such as - Australian Core Skills Framework (ACSF) or the Core Skills for Work Developmental Framework (CSfWDF). All documented analysis must be customised to the competencies required to meet the relevant qualification or vocational outcome.</p>	<p>Effective assessment of a candidate's need for foundation skills training must include evidence of:</p> <ul style="list-style-type: none"> • a dated record of interview, completed Australian Core Skills Framework (ACSF) or the Core Skills for Work Developmental Framework (CSfWDF) test or activity relating to approved or registered core skills • results of the student undertaking a reliable LLN test. <p>Further supporting evidence may include:</p> <ul style="list-style-type: none"> • information from qualified professionals concerning any impairments and disabilities the student may have (if applicable) • documented analysis of the impact of educational, training and work history, and impairments / disabilities on the student's suitability for foundation skills training and ability to complete the vocational qualification • assessment of the student's capabilities against the knowledge and skills required for completion of the vocational qualification. • analysis against industry peak body or packaging rules advice concerning the LLN score, essential to fulfil industry competency requirements relating to the vocational qualification • copies of documents relevant to the student's previous education and training, work history, impairments and disabilities.
<p><u>Training and support plan</u> - the supplier must:</p> <ul style="list-style-type: none"> • Develop a training and support plan tailored to the student's needs. It must be developed prior to the commencement of the training and must outline how foundation skills training will be delivered and the foundation skills outcomes expected to be achieved through completion of the vocational qualification. The plan and learning pathway must be agreed to by the student. 	<p>A training and support plan clearly demonstrating the student's pathway to the targeted vocational qualification. The following must be identified within the training and support plan indicating key milestones.</p> <ul style="list-style-type: none"> • learning support strategies which clearly address the barriers to the completion of a certificate III level qualification as identified in the student's initial assessment (which identified the requirement for foundation skills training) and how and where these will be implemented into their training, including any

Foundation Skills Eligibility (Certificate 3 Guarantee Specific)

Requirements	Acceptable Evidence
<ul style="list-style-type: none"> Review the training and support plan at the achievement of each key milestone and / or whereby an agreement has been reached on adjustments to the plan based on the progress of the student and the most appropriate path to meet learning needs and vocational training outcomes. 	<p>customisation necessary to assist with completion of the vocational qualification</p> <ul style="list-style-type: none"> review dates and key milestones, including notes on progress and any adjustments needed to further assist the student to best support their learning needs information to trainers on how to best support the student with their learning needs information on why particular electives have been chosen, i.e. how this supports the customisation of the student's program and in the completion of the qualification, and how it maximises the selection of foundation skills / LLN elective units confirmation agreeing to the terms of the training and support plan signed by the student. <p>Review of the training and support plan must:</p> <ul style="list-style-type: none"> include documented analysis and justification by the assessor be signed by the student and the assessor to indicate milestones completed and relevant dates

Supported training pathway for disadvantaged learners eligibility: Lower-level Qualifications and Foundation Skills (Certificate 3 Guarantee Specific)

Skills Assure Supplier Policy	Performance standard 4 – Support the learning needs of students
Other related documents	Certificate 3 Guarantee Program Policy Certificate 3 Guarantee – Support for disadvantaged learners Fact Sheet
<p>Under the Certificate 3 Guarantee program, foundation skills and/or lower-level vocational qualifications undertaken as part of a supported training pathway that align to the targeted Certificate 3 qualification, may attract a government subsidy where the training falls within one of the following circumstances:</p> <p>Individual – where the student is assessed as a disadvantaged learner that faces barriers to training participation and requires additional support prior to enrolment in a certificate III vocational qualification (in accordance with Performance standard 4, item C of the SAS Policy, including the requirement for the SAS to develop a training and support plan for each student). The supplier will not be paid for enrolment in lower-level qualifications where claims are submitted under AVETMISS Outcome identifier ‘51’ – Recognition of prior learning (RPL) for lower-level delivery.</p> <p>Pre-apprenticeship – where the qualification provides basic trade skills to facilitate entry into a traditional apprenticeship relevant to the basic trade skills delivered. These are lower-level qualifications on the Priority Skills List that do not have a certificate III pathway subsidised under the Certificate 3 Guarantee.</p> <p>Cohort-specific programs – where the qualification is approved for delivery as part of a project subsidised under cohort specific initiatives, or where an exemption for a specific qualification is specified on the Priority Skills List. Justification for choosing lower-level qualifications and the expected outcomes for all students must be progression to employment, further training, career advancement or approval relating to a specific cohort under a funding strategy. This justification must be evidenced and supporting documentation retained for each student.</p> <p>Please note: Lower-level qualifications delivered through VETiS are managed through specific arrangements (see the VETiS-specific section of this document).</p>	

Supported training pathway for disadvantaged learners eligibility: Lower-level Qualifications and Foundation Skills (Certificate 3 Guarantee Specific)

Requirements	Acceptable evidence
<p>The supplier must retain evidence of the circumstances that support a student's enrolment in a lower-level qualification, either at the individual, pre-apprenticeship or cohort-specific level.</p>	<p>Individual</p> <p>Policies, procedures and templates forming part of a thorough process that supports the upfront assessment to identify the student as a disadvantaged learner that faces barriers to training participation, and requires additional support prior to enrolment in a certificate III vocational qualification. Where relevant, evidence of the learners identification with priority population groups, such as:</p> <ul style="list-style-type: none"> • Aboriginal and Torres Strait Islander people • Disadvantaged learners • People with disability • Adult prisoners <p>Documentation supporting the training pathway deemed most suitable for the learner. May include LLN or other assessment, including identification with priority population groups.</p> <p>Where the supported training pathway incorporates foundation skills training, assessment is to include LLN tests and analyses of those tests by suitably qualified assessors as per the supplier's own policy and procedure guidelines.</p> <p>Cohort-specific programs</p> <p>Document / letter of referral provided by the referring organisation for each student reported under the specific program.</p>
<p><u>Training and Support Plan</u> - The supplier must:</p> <ul style="list-style-type: none"> • Develop a training and support plan tailored to the student's unique circumstances and abilities. It must be developed prior to the commencement of the training and must: 	<p>A training and support plan that is tailored to the individual's circumstances and abilities at enrolment and must include:</p> <ul style="list-style-type: none"> • learning support strategies which clearly address the barriers to the completion of a certificate III level qualification as identified in the student's initial assessment

Supported training pathway for disadvantaged learners eligibility: Lower-level Qualifications and Foundation Skills (Certificate 3 Guarantee Specific)

Requirements	Acceptable evidence
<ul style="list-style-type: none"> ○ Be based on a sequential and logical order of learning which progressively develops skills towards the vocational qualification ○ Include learning support strategies and any other adjustments required to support the learner. • Review the training and support plan at the achievement of each key milestone and / or whereby an agreement has been reached on adjustments to the plan based on the progress of the student and the most appropriate path to meet learning needs and vocational training outcomes 	<p>and how and where these will be implemented into their training, including any customisation necessary to assist with completion of the vocational qualification</p> <ul style="list-style-type: none"> • review dates, including notes on progress and any adjustments needed to further assist the student to best support their learning needs • information for trainers on how to best support the student with their learning needs • signed confirmation by the student agreeing to the terms of the training and support plan. <p>Review of the training and support plan must:</p> <ul style="list-style-type: none"> • include documented analysis and justification by the assessor • be signed by the student and the assessor to indicate milestones completed and relevant dates
Exceptions or exemptions	
<p>If approval has been given to deliver a lower-level qualification specific to a funding strategy e.g. SQW, then this qualification cannot be delivered to mainstream students, unless relevant requirements are met.</p>	

Higher Level Skills specific eligibility

The Higher Level Skills program aims to help individuals gain the higher-level skills required to secure employment or career advancement in a priority industry or transition to university to continue their studies.

The Higher Level Skills program also provides eligible employers or industry bodies with the capacity to address current workforce development needs that are adversely impacting on productivity, provided individual employees meet the program's eligibility requirements.

The Higher Level Skills program provides eligible individuals with access to a subsidised training place in selected Australian Qualifications Framework ([AQF](#)) certificate IV level and above qualifications or priority [skill sets](#).

In addition to the requirements outlined in the student eligibility section above, the SAS must also provide evidence of processes that ensure prospective students do not already hold, or are not already enrolled in, a certificate IV or higher qualification.

Higher Level Skills specific eligibility

Requirements	Acceptable evidence
The supplier must ensure students are accessing funding from the Higher Level Skills program in accordance with the rules and any restrictions and / or exemptions.	<p>Specific restrictions and / or exemptions may apply in relation to participation in certain subsidised qualifications.</p> <p>Any additional eligibility requirements will be based on industry advice and / or requirements under the relevant national training package and will be detailed in the Priority Skills List.</p> <p>Where the supported training pathway incorporates foundation skills training, assessment is to include LLN tests and analyses of those tests by suitably qualified assessors as per the supplier's own policy and procedure guidelines.</p> <p>Evidence to demonstrate that the student meets the restriction or exemption which includes:</p> <ul style="list-style-type: none">• Evidence to prove the student is an existing worker in the required industry is an official letter or email (with signature block) from the employer listed within the student's enrolment form. This letter or email must include statements confirming the student's employment status, the length of current employment and confirmation the student has been actively fulfilling work duties for this period. This evidence from the nominated employer is able to be obtained by the

Higher Level Skills specific eligibility

Requirements	Acceptable evidence
	<p>Supplier up to 7 calendar day before or after the student's enrolment into the qualification.</p> <ul style="list-style-type: none">• evidence of ABN, invoicing and client list for self-employed candidates• a copy of the relevant industry qualification. <p>For further information regarding exemptions, please refer to the Priority Skills List.</p>
Exceptions or exemptions	
<p>If a diploma / advanced diploma on the Priority Skills List has entry requirements which necessitate completion of specific units or qualifications at certificate IV or higher, a student who has completed a higher-level qualification under a fee-for-service arrangement may still be eligible for Higher Level Skills program funding.</p> <p>A student who already holds a certificate IV or above qualification may be eligible for funding for some skill sets as identified in the Priority Skills List.</p>	

VET in schools (VETiS) specific eligibility

The VET investment budget provides funding for students to complete one VETiS qualification listed on the Priority Skills List while attending secondary school (in Years 10, 11 and 12). Qualifications are primarily at certificate I and II level and are those that have been identified by industry as leading to employment. The school-based apprentice / traineeship pathway may be used for certificate III and above level training.

Suppliers who enter into arrangements for the delivery of VETiS are encouraged to articulate the roles, responsibilities and expectations of each party in a formal agreement.

VET in schools (VETiS) eligibility

Requirements	Acceptable evidence
Retain evidence to support the student is currently enrolled in secondary school, in Year 10, 11 or 12.	Any form of correspondence / document from the school confirming the student is currently enrolled.
Retain evidence to support each student's eligibility for the program prior to enrolment. Please note: A single letter could be used to evidence a student cohort, however it must list each student individually by name and a copy must be located in the respective student's file.	Letter from the Queensland school confirming: <ul style="list-style-type: none">• student name, date of birth, and Australian or New Zealand citizenship• school year currently enrolled• statement from the school concerning all VET qualifications previously attempted and outcomes, i.e. statements of attainment or qualifications issued• if the previous qualification was completed, the letter from the school must include how it was subsidised.• correspondence where the authorised signatory uses an official stamp, detailing their position and name of school or detention centre, next to their printed name and signature

Information Sharing Requirements

Skills Assure Supplier Policy 2022-23	Performance standard 1 – Disclose information upfront to enable informed consumer choice Performance standard 4 – Support the learning needs of students
Other related documents	Certificate 3 Guarantee Program Policy Higher Level Skills Program Policy Skills Assure supplier marketing and disclosure directive

Information Sharing Requirements

Requirements	Acceptable evidence
Notify the prospective student of the expectations and rules regarding accessing a government-subsidised training place under the relevant subsidised program. This notification must include advice that the student will no longer be eligible for a government-subsidised training place under a program once they complete the qualification level targeted through the program.	<p>This could include:</p> <ul style="list-style-type: none"> • sign-off by student acknowledging advice has been provided concerning expectations and rules in regards to accessing a government-subsidised training place under the relevant program • an induction checklist, including the relevant eligibility criteria, information about partnering RTOs (as applicable) and advice that the student will no longer be eligible for a government-subsidised training place under a program once they complete the qualification level targeted through the program. This document must include the name and signature of the student acknowledging they are aware of the expectations and rules. For any information delivered electronically, emails containing the appropriate eligibility criteria with hyperlinks to the appropriate information pages of the department's Training website and information about partnering RTOs (as applicable), complete with return email from the student acknowledging receipt. Read receipts would not provide sufficient evidence in this case • advertising material including, but not limited to, flyers, brochures, information packs and websites • student handbook (or similar document) provided prior to enrolment, with evidence to support the student acknowledges its contents.

Information Sharing Requirements

Requirements	Acceptable evidence
Refer the prospective student to any applicable student fact sheet for the relevant program published on the department's Training website, so they have access to independent information and a point of contact within the department.	<p>This could include:</p> <ul style="list-style-type: none"> • an induction checklist signed by the student indicating he / she has been referred to an applicable student fact sheet for the relevant program • sign-off by student acknowledging the student has been referred to an applicable fact sheet for the relevant program • student handbook (or similar document) provided prior to enrolment, with evidence to support the student acknowledges its contents.
<p>Comply with the marketing directives and information disclosure requirements as set out in the <i>Skills Assure supplier Marketing and disclosure directive</i>, providing prospective students and participating employers (if applicable) with information upfront and prior to enrolment:</p> <ul style="list-style-type: none"> • Provide specific information about the program, qualification or course and co-contribution fee charges as prescribed in the relevant program policy • Disclose and publish in a prominent location on its RTO website the concessional and non-concessional co-contribution fees it will charge for each qualification it is approved to deliver under a program, and include with the fee information all pertinent information about the offering • Provide a copy of, or access to, its complete refund policy terms and conditions • Disclose if training and/or assessment is being delivered on its behalf by a third party. 	<p>This could include:</p> <ul style="list-style-type: none"> • advertising material including, but not limited to, flyers, brochures, information packs and websites • student handbook (or similar document) provided prior to enrolment, with evidence to support the student acknowledges its contents. • A functional website from where fee information can be accessed from a clearly labelled access point on the home page and/or an easily accessible search function.

Training

Record of Participation in Training

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 4 – Supplier's obligations Clause 11 - Records
Please note: To streamline the requirements for suppliers to evidence training participation, the department will accept the student's signature on the initial record of training participation for each individual unit of competency. Subsequent records of training participation will only require the student's 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.	

Record of Participation

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

Record of Participation

Requirements	Acceptable evidence
<p>The record of participation in training must contain the following information:</p> <ul style="list-style-type: none"> name of the student/s unit of competency code and name the date/s of training duration of training (actual hours of training delivered against individual units of competency). <p>Distance / correspondence delivery</p> <p>The record of participation in training must contain the following information:</p> <ul style="list-style-type: none"> name of the student/s unit of competency code and name the date/s of training location duration of training (actual hours of training delivered against individual units of competency) trainer's name and signature and date signed. <p>Please note: <i>Withdrawn / discontinued claims for payment will only be validated where records of participation in training contain all of the aforementioned required acceptable evidence.</i></p>	<ul style="list-style-type: none"> Log-on and log-off reports, which include the above information with unique sign-on identifier to indicate the student's signature <p>Evidence demonstrating the engagement of learning can cover the above information captured within correspondence (e.g. emails) between the student and the supplier confirming the commencement and / or progression through nominated unit/s of competency.</p>

Withdrawn / Discontinued Claims (AVETMISS outcome identifier 40)

The supplier may submit a withdrawn claim for payment where evidence has been retained to validate a student/s after engaging in some learning activity has then notified the supplier of their withdrawal before completing all the assessment criteria; or the student after engaging in some learning activity has then stopped attending or submitting assessments (i.e. discontinues) without notifying the supplier (in this case the supplier should be satisfied the student will not return to complete the competency).

Please note: *This outcome is not applicable for students who engage in an RPL process.*

Vocational Placement

Related documents	Certificate 3 Guarantee Program Policy Higher Level Skills Program Policy
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Vocational Placement

Requirements	Acceptable evidence
Where work / vocational placement has been identified as a mandatory requirement for completion of the qualification, the supplier must advise each prospective student at enrolment in writing through a training fact sheet or summary of information.	<p>This could include:</p> <ul style="list-style-type: none"> • training fact sheet or summary of information • student handbook (or similar document) provided prior to enrolment, with evidence to support the student acknowledges its contents • all advertising material including, but not limited to, flyers, brochures, information packs and websites, aligned with the relevant directives and policies.
Where work / vocational placement is a mandatory requirement for training in the qualification, evidence of vocational placement must be retained, including the quantum of vocational placement undertaken.	<p>Evidence includes:</p> <ul style="list-style-type: none"> • Vocational placement agreement and / or additional evidence where there is an agreement between the placement host, the student and the training organisation detailing the total hours required as well as the dates and hours the student will be in the workplace • Evidence the student has attended the workplace as per terms specified in the agreement. This would include a workplace supervisor's signature against specific dates the student has attended (e.g. timesheet / hours log).

Assessment

Evidence of Assessment

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 4 – Supplier's obligations Clause 11 - Records
Skills Assure Supplier Policy	Appendix 5 – Data Tables (Table 4 – VET activity outcome identifier and payment) Appendix 6 – Training and assessment services not funded (Table 5 – No payment to apply)
Other related documents	Certificate 3 Guarantee Program Policy Higher Level Skills Policy
<p>Formal assessment conducted by the supplier must involve the evaluation and retention of a sufficient range of assessment evidence and must comply with the assessment guidelines and other requirements stated within the relevant unit of competency within the nationally endorsed training package. For example, if the full range of assessment instruments used for a unit of competency comprise short answer questions and an observation, the supplier must keep records 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).</p> <p>Please note:</p> <ul style="list-style-type: none"> 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 the student's responses against the requirements of the unit of competency. Evidence will not be accepted where the assessor has only signed and dated the unit of competency coversheet. Outcome identifiers must align with Skills Assure Supplier Policy 2021–22, Appendix 5–Table 4 and AVETMISS data element definitions manual. Claims may not be made for any activity outlined in Skills Assure Supplier Policy 2021–22, Appendix 6–Table 5. 	

Evidence of Assessment

Requirements	Acceptable evidence
AVETMISS Outcome identifier '20' – Competency achieved / pass Acceptable evidence to validate a claim for payment must include, for each unit of competency:	All completed assessment instruments, and associated assessment tools, used by the assessor to form a determination of competence for each unit of competency (as aligned to the requirements of each unit of competency).

Evidence of Assessment

Requirements	Acceptable evidence
<ul style="list-style-type: none"> full and complete assessment instruments in accordance with: <ul style="list-style-type: none"> methods of assessment unit of competency requirements (e.g. range of assessment and number of assessments) the supplier marking guides. assessment instruments have been assessed (marked), signed and dated by the responsible assessor assessment instruments have been signed and dated by the student acknowledging the outcome of the assessment process. <p>In order to substantiate a judgement of competency, the assessment evidence for practical skills observation must include:</p> <ul style="list-style-type: none"> clear detail regarding the task or activity that the student is required to do (i.e. contextualisation); and assessor comments in relation to the individual student observed as relevant to the unit of competency requirements (i.e. individualisation). <p>The use of checklists with lists of generic observable behaviours relevant to the unit is only acceptable if the checklist also has been designed to capture (and includes) contextualisation and individualisation i.e. a record of the skills and behaviours the assessor observed the individual student demonstrating which includes detail regarding the task and activity observed.</p> <p>Where it is not possible for an assessor to directly observe the demonstration of practical skills by a student in the ordinary course of assessing, the following strategies may be used:</p>	<p>Example: If the full range of assessment instruments used for a unit of competency comprise of short answer questions and an observation, the supplier must retain evidence of the completed and marked written assessment (short answer questions) and the completed observation checklist / benchmark criteria (observation assessment) the assessor used to make a judgement on competence (observation assessment).</p> <p>In terms of the assessor's observation of the student, context can be demonstrated by referencing specifics regarding the task or activity observed (not a generic copy from the unit of competency). Individualisation could be demonstrated through the writing of commentary or notes regarding skills observed or relevant variables demonstrated by the student in relation to the task or activity. This is particularly important if part of a group task.</p> <p>An example of a circumstance that would support the use of a video recording or third party supplementary evidence would be the requirement to observe a student in a mine performing skills as part of unit competency:</p> <p><i>RIIBHD302D Conduct underground mine drilling</i> – in this instance the assessor would not ordinarily be permitted to go underground to perform this task due to safety regulations. Mine supervisors could be used to record / collect video evidence and/or complete an observation checklist/s for each activity being observed.</p> <p>Where video evidence is being retained, this must be accompanied with a completed practical observation checklist for the same student, which includes individualised commentary, and captures the assessor's analysis of the skills being demonstrated by the student to support a judgement of competence.</p> <p>If photographic evidence is used to support a judgement of competence, evidence of a mapping document, which verifies the relationship between the photographic evidence and how it aligns to unit/s of competency, and how the assessor judgement was recorded, must be retained.</p> <p>Please note:</p> <p><i>It is acknowledged in some instances it is impractical to retain the actual completed product of an assessment item (e.g. ladder or cake). However, in these instances the supplier must retain the completed checklist the assessor used to make a judgement on competence for</i></p>

Evidence of Assessment

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

Evidence of Assessment

Requirements	Acceptable evidence
<ul style="list-style-type: none"> Assessment evidence will not be accepted where the assessor has only signed and dated the unit of competency coversheet but the actual assessment instrument includes no notations supporting the evidence has actually been assessed. Assessments requiring a written response must be the student's own work. Responses to written assessments should not be identical or too similar to the associated marking guide, nor from one student to another, except in cases where there is only one correct answer. Where a student provides a verbal response, as part of an assessment instrument and / or where reasonable adjustment has been taken in relation to the completion of written theory questions, this must be recorded verbatim. This includes instances where a student is required to address knowledge-based questions as part of a practical observation assessment task. Expectations of the range of tasks and the performance level expected for the practical demonstration of skills must be clearly documented. It is not acceptable to simply 'cut and paste' unit of competency requirements to evidence the observation of practical skills. 	
<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 a student as not competent, or as not satisfying one or more of the requirements for the unit of competency.</p> <p>The supplier must also ensure sufficient evidence has been retained to support the student has been given the number of re-</p>	<p>Documented evidence that the student has attempted all forms of assessment required for the unit of competency and 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 apply as they were required to attempt all of the assessments in order to qualify for a 'Competency not achieved / fail' outcome.</i></p>

Evidence of Assessment

Requirements	Acceptable evidence
<p>assessment attempts as outlined within its own assessment policy.</p> <p>Please note: <i>In the instance whereby the unit of competency requires vocational placement and the student has completed all forms of assessment except vocational placement (for any reason), then the appropriate outcome is AVETMISS Outcome identifier '40' – Withdrawn / discontinued and not AVETMISS Outcome identifier '30' – Competency not achieved / fail. This is because the student has not attempted all forms of assessment. This outcome is not appropriate for an assessment undertaken as an RPL process.</i></p>	
<p>AVETMISS Outcome identifier '65' – Transitional gap training</p> <p>AVETMISS Outcome identifier '65' must be used when transitioning a student from a superseded qualification to the new qualification or when previously completed unit/s of competency have been superseded, such as when:</p> <ul style="list-style-type: none"> • A student commencing in a qualification which is subsequently superseded is required to transition to new qualification • A student enrolling with the supplier into the current qualification is able to present qualification or statement of attainment which lists the unit/s of competency previously attained under a superseded qualification. <p>Where previously completed unit/s of competency are identified as not being equivalent to new unit/s thereby necessitating additional delivery, the supplier must provide all necessary gap training and assessment to address the outcomes of the new unit.</p> <p>Please note:</p>	<p>Documented evidence of attainment achieved against listed unit/s the student has completed under the superseded qualification.</p> <p>In each instance where previously completed unit/s of competency are identified as not being equivalent to the new unit/s, the supplier must provide evidence of:</p> <ul style="list-style-type: none"> • a completed mapping process (i.e. qualification mapping guide) ascertaining where the current unit of competency, which has been determined as not equivalent (does not fully map), compares to the unit previously completed by the student

Evidence of Assessment

Requirements	Acceptable evidence
<ul style="list-style-type: none"> Where direct mapping (equivalency) is identified, credit transfers must be acknowledged and accurately reported. Where no mapping is possible, the supplier is required to deliver the entire unit of competency. Where previously completed unit/s of competency are identified as not being equivalent to new unit/s, therefore necessitating additional delivery, the supplier must provide all necessary gap training <u>and</u> assessment to address the outcomes of the new unit. No student co-contribution can be charged for this AVETMISS Outcome identifier. 	<ul style="list-style-type: none"> gap training and gap assessment, including on-the-job verification from the employer (if applicable), to support its claim/s for payment.

Recognition of Prior Learning

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 4 – Supplier's obligations Clause 11 - Records
Skills Assure Supplier Policy	Performance Standard 5 – Achieve a minimum outcome for students Appendix 5 – Data Tables (Table 4 – VET activity outcome identifier and payment)
<p>Recognition of prior learning (RPL) is assessment of an individual's relevant prior learning (including formal, informal and non-formal learning). This assessment determines the extent to which that individual has achieved the required learning outcomes, competency outcomes or standards for entry to, and / or partial or total completion of a program of study.</p> <p>Please note: RPL does not include any additional training at the unit of competency level as it is an assessment-only pathway. Should training need to occur in order for a student to meet unit requirements, then AVETMISS Outcome identifier '20' outcome is to be used, if appropriate.</p> <p>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 students' knowledge and skills 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 alone.</p> <p>Further, the RPL requirements for a 'challenge test/s (including practical observation and/or knowledge tests)' referenced below relate specifically to the submission of claims for funding under a Queensland Government SAS agreement. This evidence represents the minimum requirement a supplier must retain if it wishes to conduct RPL processes under Queensland Government subsidised arrangements.</p>	

Recognition of Prior Learning

Requirements	Acceptable evidence
<p>AVETMISS Outcome identifier '51' – Recognition of prior learning (RPL)</p> <p>RPL must be conducted with the same rigour as any other form of assessment. Where assessment is completed via RPL it must comply with the packaging rules of the relevant qualification; and be conducted in accordance with the <i>Principles of Assessment and Rules of Evidence</i> (refer to Standards for Registered Training Organisations (RTOs) 2015).</p>	<p>RPL assessment policies and procedures incorporating an outline of how the SAS will come to its decision to recognise the student's proficiency against each unit of competency required for the qualification. As a minimum this is to include:</p> <ul style="list-style-type: none"> A document that maps key requirements of the qualification / unit of competency and includes identification of critical aspects of evidence and the required skills and knowledge for units claimed. The document must also list each piece of assessment evidence which was considered in the decision to grant RPL for the student and links it to the relevant unit requirements.

Recognition of Prior Learning

Requirements	Acceptable evidence
<p>The supplier must ensure sufficient evidence is retained to validate the supplier's decision to award RPL. Evidence retained by the supplier must incorporate all of the assessments undertaken for the RPL process along with any other supporting documentation, such as originals or certified copies of formal / informal course certificates, references or testimonials from employers, volunteer organisations, clubs and associations etc. that contributed to the judgement of the student's competence.</p> <p>Please note:</p> <ul style="list-style-type: none"> <i>The supplier will be challenged at audit in cases where the sequence of training and assessment and RPL are not in accordance with unit of competency requirements. RPL should not be granted for competencies where the supplier then provides training and assessment for the underpinning pre-requisite(s).</i> <i>The supplier must retain evidence the assessor has verified the authenticity of employment and detailed the industry experience of, and qualifications held by, the letters' authors. All supporting evidence from previous employers, volunteer organisation, clubs and associations must be on official letterhead.</i> <i>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.</i> <i>In some cases a student may not have access to previous employer/s. In these instances, the required documented competency conversation can be provided from the student current employer. Alternatively, justification evidence can be obtained in the form of a referee testimonial from someone with the relevant industry, such as a business associate, or from other evidence like customer reviews. The person providing</i> 	<ul style="list-style-type: none"> Documented "<i>Competency Conversation</i>" with the student which is signed by the student and the RTO assessor. Actual questions and responses must be documented and retained. Documented "<i>Competency Conversation</i>" with at least one recent employer validating the student has demonstrated workplace performance against unit requirements, which is further verified by signatures from the employer and the RTO assessor. Actual questions and responses must be documented and retained. <p>Please note:</p> <ul style="list-style-type: none"> <i>Questions asked by the assessor as well as the expected responses should be selected from a benchmark document developed by the supplier to ensure consistency and reliability of the assessment process when used across multiple candidates.</i> <i>Verbatim responses are not mandatory, however, assessor notes must accurately reflect the substance of each response regarding the student's actual workplace performance related to the knowledge and skills aligned with the unit/s of competency.</i> <ul style="list-style-type: none"> Documented self-appraisal (signed by the student) of formal and informal knowledge and skills against tasks relevant to the units making up the qualification Record of experience relevant to the intended qualification. Evidence will include, but is not limited to, a resume or consecutive list of recent employment, which includes dates during which employment occurred, a short description of work undertaken and contact details of employer or supervisor Where applicable and in accordance with the unit of competency requirements, challenge test/s (including practical observation and/or knowledge tests) addressing the elements and performance criteria of the unit, and the skills required as a minimum in the relevant industry. Whether conducted against an individual unit or cluster, the supplier must retain sufficient direct evidence of the student being able to demonstrate the requisite level of practical skills stipulated within each unit Where applicable and in accordance with the unit of competency requirements, further evidence to support the decision to grant RPL to the student.

Recognition of Prior Learning

Requirements	Acceptable evidence
<p><i>the evidence must be independent and able to provide unbiased judgement of the RPL applicant's workplace performance.</i></p> <ul style="list-style-type: none">• <i>For self-employed students, RPL evidence must be reviewed on a case-by-case basis. In these instances, the SAS must retain justification evidence in the form of a referee testimonial from someone within the relevant industry, such as a business associate, or from other evidence like customer reviews. The person providing the evidence must be independent and able to provide unbiased judgement of the RPL applicant's workplace performance.</i>	

Marking Guide

Queensland Vocational Education and Training Skills Assure Supplier Agreement

Clause 4 – Supplier's obligations
Clause 11 - Records

Marking Guide

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 (<i>Benchmark Answers</i>) 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 must retain copies relating to students trained and assessed under VET Investment subsidised programs for seven (7) years from the end of the term.</i></p>

Fees

Fees

Skills Assure Supplier Policy	Appendix 1 – Co-contribution fee
Other related documents	Certificate 3 Guarantee Program Policy Higher Level Skills Program Policy

Fees

Requirements	Acceptable evidence
<p>Charge and collect a co-contribution fee at the unit of competency level.</p> <p>Evidence of co-contribution fees charged and collected for each student must be retained (for reporting to the department via the VET activity data submission).</p> <p>Please note: <i>The co-contribution fee charged for a qualification or offering must represent the total cost to the student and include any enrolment charges (such as identification card charges), tuition fees, services fees, materials fees and all other costs associated with delivering the training and assessment services and awarding the qualification.</i></p>	<p>This could include:</p> <p>Administrative process to record, monitor and process fee charges and payments.</p> <p>Please note: <i>where the co-contribution fee has changed, relevant screenshots and hardcopies for that student cohort are to be retained.</i></p>
<p>Ensure fees are paid by the student and/or a third party prior to submission of claims for payment (i.e. VET activity data).</p> <p>Please note: <i>At audit, if payment claims for units of competency are made prior to the collection of co-contribution fees, then they will be identified as overpayments and may result</i></p>	<p>This could include:</p> <ul style="list-style-type: none"> • Invoices and receipts, financial reports relating to student fees and bank statements to demonstrate payment has been received and retained by the SAS • Administrative process to record, monitor and process fee charges and payments.

Fees

Requirements	Acceptable evidence
<i>in sanctions, which could include the recovery of funds from the SAS.</i>	
EXCEPTIONS OR EXEMPTIONS	
<p>Competencies assigned code '60' or '65' AVETMISS or department Outcome identifiers.</p> <p>Foundation skills: This training can be provided fee-free to students if determined so by the supplier.</p> <p>Lower-level qualifications for concessional students: This training can be provided fee-free to students if determined so by the supplier.</p> <p>Year 12 Graduate: who enrol in a high-priority qualification and commence training within 12 months of completing Year 12 (that is, by the end of the calendar year following completion of Year 12).</p> <p>Where no fee has been charged for 'fee-free' Year 12 graduates, evidence needs to be supplied that the student is a Queensland Year 12 graduate who enrolls and commences training within 12 months of completing Year 12 (that is, by the end of the calendar year following completion of Year 12).</p> <p>Specific fee-free programs: Evidence must be retained, based on each individual fee-free program, to confirm the student addresses any specific eligibility criteria to be determined a fee-free and supports the non-collection of Student Co-contribution fees.</p> <p>VETiS students: This training is provided fee-free to school students and additional costs are met by the school.</p> <p>Skilling Queenslanders for Work (SQW) participants: This training is provided fee-free to students with any additional costs met through SQW funding (held by the community-based organisation (CBO)). If determined by the supplier, lower-level vocational qualifications for concessional students only (see the Student Eligibility section of this document for further information) can be provided fee-free to students, rendering the requirement for a fee to be charged to the CBO. In all other instances, it is expected that the SAS will charge and collect the co-contribution fee from the CBO on behalf of the student.</p>	

Refunds

Skills Assure Supplier Policy	Performance Standard 1 – Disclose information upfront to enable informed consumer choice
Other related documents	Certificate 3 Guarantee Program Policy Higher Level Skills Program Policy Standards for Registered Training Organisations (RTOs) 2015

Refunds

Requirements	Acceptable evidence
The supplier must have a refund policy that outlines what the student is entitled to (full or part refunds). Must meet the requirements under the <i>Standards for Registered Training Organisations (RTOs) 2015</i>	Copy of up-to-date Refund Policy

AVETMISS Data

AVETMISS Reporting Requirements

Skills Assure Supplier Policy	Appendix 3 – Reporting conditions Appendix 4 – Payment terms Appendix 5 – Data Tables (Table 4 – VET activity outcome identifier and payment) Appendix 6 – Training and assessment services not funded (Table 5 – No payment to apply)
Other related documents	AVETMISS – Vet Provider Collection specifications Release 8.0
<p>The supplier must ensure the supplier's student management system is compliant with the most current AVETMISS release and Queensland state requirements.</p> <p>It is the responsibility of the supplier to ensure it submits for each student accurate and compliant VET activity data that contains complete information against all relevant fields specified for the applicable AVETMISS and Queensland state requirements. This submission of such data is required to be reported within specified timeframes as outlined within Appendix 3: Reporting Conditions of the current Skills Assure Supplier Policy.</p>	

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
<p>Accurate AVETMISS data is submitted to the department in accordance with the most current national AVETMISS reporting requirements and meets all requirements outlined in Appendix 3 of the current Skills Assure Supplier Policy.</p> <p>Please note: <i>Unique Student Identifier (USI) — from January 2015 all students (new and continuing) participating in nationally recognised training are required to have a USI. A VET qualification or statement of attainment must not be issued to any student without the student holding a valid USI. For the purposes of clarity, a qualification or statement of attainment must not have the USI recorded on the document.</i></p>	<p>For each student, compliant VET activity data that contains complete and correct information against all relevant fields specified for the applicable AVETMISS and Queensland state requirements as superseded, amended or replaced from time to time.</p>

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
<p><i>Enrolment procedures must include the attainment of the USI for each student. Where an exemption applies the evidence must be available to be produced for examination at audit.</i></p>	
<p>Report accurate AVETMISS activity start and end dates for each student for each unit of competency.</p> <p>Please note: <i>To ensure this occurs, a supplier is encouraged to cross-reference all of its student participation records against the AVETMISS start and end dates that have been reported. Use of generic start and end dates for all units in a qualification is not acceptable.</i></p>	<p>The AVETMISS start date reported accurately represents 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.</p> <p>The AVETMISS end date reported accurately represents when the student was deemed competent in the unit of competency.</p> <p>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, in the instances where assessment occurs during vocational placement, the workplace representative. The audit process will include comparing the latest piece of assessment successfully completed by the student for the unit of competency with the AVETMISS end date reported to the department.</p>
<p>Report the accurate delivery mode identifier as specified in AVETMISS.</p> <p>Please note: <i>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). Information regarding AVETMISS 8.0</i></p>	<p>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.</p> <ul style="list-style-type: none"> To identify the predominant delivery mode, for example, where face-to-face instruction is 5 hours, online resources is 10 hours, the following would 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.
<p>Report the accurate outcome identifier specified in AVETMISS for the relevant outcome.</p>	<p>AVETMISS Outcome identifiers '20', '30', '51', and '65'</p> <p>See Assessment section of this document for acceptable evidence.</p>

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
	<p>AVETMISS Outcome Identifier '40'</p> <p>See Training section of this document for acceptable evidence.</p> <p>AVETMISS Outcome identifier '60' – Credit transfer</p> <p>A copy of the qualification, record of results (which includes details of the issuing RTO and the date issued), statement of attainment previously issued to the student for each unit of competency, or authenticated VET transcripts issued by the Registrar as per the meaning given in the Student Identifiers Act 2014.</p> <p>Please note: A screenshot and / or record from the student's AISS search is not acceptable evidence for this outcome. In the instance whereby the supplier is unable to obtain the record of results, statement of attainment and / or authenticated VET transcripts issued by the Registrar as per the meaning given in the Student Identifiers Act 2014, the supplier may be required to provide training and / or assessment under a fee-for-service arrangement.</p>
Report the accurate concessional status for each student.	See Eligibility section of this document for more detail on evidence for concessional status.
<p>Report the accurate co-contribution fee <u>collected per unit of competency</u> (rounded to the nearest dollar).</p> <p>Please note: Where an invoice has been issued, the supplier must wait until payment in full has been received before reporting the fee amount to the department.</p>	<p>Invoices and receipts referencing the relevant student's name, which match the amount of co-contribution fees reported (with allowance made for rounding to the nearest dollar). Evidence should also include proof the fee has gone through the SAS' financial accounting system and has been banked appropriately.</p> <p>Please note: Evidence of payment of the co-contribution fee through a payment plan / purchase order / invoice arrangement by appropriate third parties, i.e. employers, job active providers, on behalf of the student would be sufficient evidence to demonstrate this requirement provided the supplier can demonstrate the payment is received within the terms of payment (for example, payable within 30 days or as per time-to-pay arrangement terms).</p>

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
<p>Report an AVETMISS postcode of where the student undertakes training.</p> <p>Please note: <i>If training is conducted at the supplier's premises, then the postcode of that location would be reported. If the student is predominantly undertaking training via the supplier's trainer attending the workplace, then the workplace's postcode would be reported.</i></p> <p><i>If training is conducted via an electronic (including online) or by correspondence method of delivery, the supplier must report the postcode where the training has been co-ordinated from, such as the supplier's national head office or Queensland state office location.</i></p>	<p>A valid record of student participation in training. See Training section of this document for more detail on acceptable evidence to validate student participation in training.</p> <p>Please note:</p> <ul style="list-style-type: none"> Location loadings are paid to encourage delivery in Queensland's identified country and remote areas, including Cape York and the Torres Strait. Location loadings will only be payable for AVETMISS delivery codes 10 (classroom-based) and 30 (employment-based), and internal delivery (I) and workplace-based (W) predominant delivery modes only. Locations attracting loading amounts can be found in the Priority skills localities and location loadings list. The audit process will include the examination of training attendance sheets and training logs for evidence of delivery in country and remote locations.
<p>Do not submit claims for payment for units in excess of the competency count for the qualification.</p>	<p>AVETMISS data reported against the program proving it does not exceed the maximum competency count.</p>
<p>Report any unit of competency available for credit transfer as a credit transfer. It is the responsibility of the supplier to check a student's statement of attainment for previously undertaken training and determine if any completed unit/s of competency can be counted towards the qualification in which the student intends to enrol. If yes, the supplier must record the unit of competency as a credit transfer.</p> <p>Please note: <i>In circumstances where legislation, regulation or industry standards stipulate students must undertake retraining and reassessment of units of competency to address licensing or industry specific requirements, the department will not provide funding in those instances where evidence exists indicating the student 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 RTO and the date issued) and / or statement of attainment previously issued to the student and / or authenticated VET transcripts issued by the Registrar as per the meaning given in the Student Identifiers Act 2014.</p> <p>Please note: <i>If the qualification or statement of attainment presented by the student is from a superseded qualification, the supplier must refer to the mapping guide within the relevant training package to determine where equivalency is identified and issue a credit transfer for all equivalent units of competency.</i></p>

AVETMISS Reporting Requirements

Requirements	Acceptable evidence
Report the accurate fund source code for the student and program.	<p>This could include:</p> <ul style="list-style-type: none"> • signed enrolment form • student records identifying the program • letter of referral from CBO / program supplier • signed approval letter from the department.
Accurately report the student's highest level of schooling completed.	<p>This could include:</p> <ul style="list-style-type: none"> • signed enrolment forms • school completion certificates.
Report within 30 days, the 'issued flag' for that qualification when the student has successfully completed all requirements of the recognised qualification and the supplier has issued the qualification.	<p>This would include:</p> <ul style="list-style-type: none"> • accurate submission of AVETMISS data • issuance of the qualification.
Accurately report the Third Party identifier code.	<p>This would include:</p> <ul style="list-style-type: none"> • accurate submission of AVETMISS data • identification of the third party on Training and/or Assessment evidence retained

Administration

Records

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 11 – Records Clauses 12 and 19 – Access to premises and records and Performance review and audit process
<p>The supplier must retain for seven (7) years from the end of the Term 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:</p> <ul style="list-style-type: none">a) Information and material necessary to provide a complete record of Training and Assessment including:<ul style="list-style-type: none">i. Records of each student's participation in Training and Assessment for each unit of competency, including records of the commencement of education content, attendance and progressionii. 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 competencyiii. Evidence supporting the accuracy and validity of data included in reports provided by the supplier to the department under Clause 6, including evidence supporting the start and end dates for each student for each unit of competencyiv. Copies of the Qualifications and Statements of Attainment issued to each student.b) For each unit of competency, for each student:<ul style="list-style-type: none">i. The assessor's completed marking guide, criteria and observation checklists for the unit of competencyii. 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 <i>Skills Assure Supplier Audit Evidence Requirements</i> published by the department.d) Any other information and material reasonably requested by the department. <p>In addition, the supplier must ensure that:</p> <ul style="list-style-type: none">a. all physical records relating to the delivery of the Services are stored in Queensland and accessible by the supplier at all times;b. all electronic information and documents relating to the delivery of the Services are stored in Australia (not offshore) and are accessible by the supplier at all times.	

Supplier's Employees and Contractors

Queensland Vocational Education and
Training Skills Assure Supplier Agreement

Clause 8 – Supplier's employees and contractors

Supplier's Employees and Contractors

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

Third Party Arrangements

Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 18 – Third Party Arrangements and Subcontractors
Skills Assure Supplier Policy	Performance Standard 3 – Comply with all funding terms and conditions
Other related documents	Skills Assure Supplier Third Party Arrangements Directive

Third Party Arrangements

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

Industry and Employer Networks

Skills Assure Supplier Policy

Performance Standard 5 – Achieve a minimum outcome for students

Industry and Employer Networks

Requirements	Acceptable evidence
Maintain strong industry and employer networks to deliver training linked to local job vacancies and employment outcomes, facilitate any vocational or work placements, and support students to transition to the workforce or into further training.	<p>This could include documentation of:</p> <ul style="list-style-type: none">• partnership with relevant industry bodies or business enterprises• involvement with industry advisory committees relevant to student's employment and vocational goals• documented industry networking with a consistent pattern of interaction with employers or managers in relevant industries (e.g. signed records of conversation, industry engagement event minutes and / or memoranda of understanding)• formation of, or participation in, assessment moderation networks involving relevant employers• staff, resource or knowledge exchange programs with employers and / or industry networks• for suppliers delivering pre-employment or foundation skills training, engagement with employment service providers, disability employment networks or other such bodies that facilitate employment outcomes for the particular cohort of students engaging in training and assessment• contact logs with employers, correspondence between the supplier and employer• vocational placement plans.

Complaints and Disputes

Skills Assure Supplier Policy	Performance Standard 2 – Demonstrate professional and ethical standards of behaviour
Queensland Vocational Education and Training Skills Assure Supplier Agreement	Clause 4.1 (p-r) - Supplier's Obligations

Complaints

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

Disputes

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

Disputes

Requirements	Acceptable evidence
	<ul style="list-style-type: none">records of disputes made and actions taken, where relevant.
Make a copy of the dispute resolution procedure available to persons interacting with the supplier.	<p>This could include:</p> <ul style="list-style-type: none">having a copy of the procedure accessible on the supplier's websitehaving hard copies of the procedure available

Conflict of Interest and Inducements

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

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



Conflict of Interest and Inducements

Requirements	Acceptable evidence
	<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 responses from the department.












Appendix, Glossary, References and Document Control

Appendix 1 – Evidence of Eligibility




Appendix 1 - Evidence of Eligibility

Identification Type	As evidence of	Sample
Queensland Driver Licence Digital licence as per the Queensland digital licence app also accepted.	Date of birth Queensland residency	
Photo identification card	Date of birth Queensland residency	


Appendix 1 - Evidence of Eligibility

Identification Type	As evidence of	Sample
Adult Proof of Age Card	Date of birth Queensland residency	 
Heavy vehicle or marine licence	Date of birth Queensland residency	 
Pensioner Concession Card	Eligibility for concession Queensland residency (if showing Queensland address)	 
Health Care Card Different classes include: <ul style="list-style-type: none"> ex-carer allowance (child) foster child low income 	Eligibility for concession Queensland residency (if showing Queensland address)	 
Commonwealth Seniors Health Card	Eligibility for concession Queensland residency (if showing Queensland address)	 
Medicare card	A current green Medicare card is sufficient evidence of Australian Permanent Residency**.	

Appendix 1 - Evidence of Eligibility

Identification Type	As evidence of	Sample
	<p>A blue interim Medicare card may address eligibility requirements for students claiming temporary residency status if accompanied by the necessary Australian Government Department of Immigration and Border Protection / Department of Home Affairs documentation, visa and work permits on the pathway to permanent residency**.</p> <p>A yellow Reciprocal Health Care Card does not address eligibility requirements.</p> <p>**Medicare cards are issued in physical and digital versions. For evidentiary purposes the capture of this document is accepted in hard copy and electronic format (for example – a photocopy or scan of the physical card; or a screenshot of the digital version)</p>	 <p>The top card is a blue interim Medicare card with the number 1234 56789 1, issued to JOHN CITIZEN, valid until 26/07/00. The bottom card is a yellow Reciprocal Health Care Card with the number 1234 56789 0, issued to JOHN A CITIZEN, valid until 22/03/10.</p>
Australian passport	<p>Australian citizenship</p> <p>Date of birth</p>	 <p>The specimen page shows personal details for JANE, born 07 JUN 1979, Australian citizen, residing in MELBOURNE. It includes fields for country of passport (AUS), passport number (N0995852), family name, given names, nationality, date of birth, date of issue (25 DEC 2008), passport expiry (25 DEC 2018), and issuing authority (JANE CITIZEN).</p>
Australian citizenship certificate	<p>Australian citizenship</p>	 <p>The certificate is issued by the Commonwealth of Australia, Department of Immigration and Border Protection, to JANE CITIZEN on 25 December 2018. It includes the Australian coat of arms and a red circular seal.</p>

Appendix 1 - Evidence of Eligibility

Identification Type	As evidence of	Sample
Australian birth certificate	Australian citizenship Date of birth	
Visa Entitlement Verification Online	Visa status details and conditions	

Appendix 1 – Evidence of Eligibility – Additional examples of evidence to support Queensland residency

Identification Type	As evidence of
<p>Any of the following:</p> <ul style="list-style-type: none"> Australian Electoral Commission document (e.g. acknowledgement of electoral enrolment letter or electoral enrolment card) contract of property purchase, lease / rental document, mortgage / land ownership certificate electricity, gas or telephone account issued the last six (6) months Queensland local government rates notice Queensland Driver Licence Receipt 	Queensland residential address


Appendix 1 – Evidence of Eligibility – Additional examples of evidence to support Queensland residency

Identification Type	As evidence of
<ul style="list-style-type: none">• bank statement issued within the last six (6) months• official letter from Centrelink or the Australian Government Department of Human Services• Australian Taxation Office assessment / Tax-file number confirmation notice.	


Please note: All forms of eligibility evidence must be valid at the point of enrolment unless otherwise specified above.

Appendix 2 – Eligibility Requirements


Eligibility Requirements – Checklist (items 1-7 only) and Evidence List

Item number	1	2	3	4	5	6	7	8
Category	Date of birth	Queensland residency	Australian citizenship	New Zealand citizenship	Australian permanent residency*	Australian temporary residency	Concession eligibility	Fee-free training for Year 12 graduates
Mandatory requirement for evidence	Yes	Yes	Yes, for one of these categories 				Yes, if claimed	Yes, if claimed
Drivers licence	✓	✓✓						
Photo identification card (or Adult Proof of Age card)	✓	✓✓						
Heavy vehicle or marine licence	✓	✓✓						
Birth certificate or birth extract	✓		✓✓✓	✓✓✓				
Australian, New Zealand or international passport	✓		✓✓✓	✓✓✓				
Department of Veterans' Affairs or Pensioner Concession Card		✓✓					✓	
Health Care Card		✓✓					✓	
Commonwealth Seniors Health Card		✓✓					✓	
Medicare card (current green only)			✓	✓	✓	✓		

Eligibility Requirements – Checklist (items 1-7 only) and Evidence List

Item number	1	2	3	4	5	6	7	8
Category	Date of birth	Queensland residency	Australian citizenship	New Zealand citizenship	Australian permanent residency*	Australian temporary residency	Concession eligibility	Fee-free training for Year 12 graduates
Mandatory requirement for evidence	Yes	Yes	Yes, for one of these categories 				Yes, if claimed	Yes, if claimed
Blue Medicare card						✓✓✓✓		
Senior Statement or Statement of Results								✓

For each eligibility criterion that applies, the SAS must collect and retain at least one suitable piece of evidence.

 Includes humanitarian permanent residency visas

Additional examples of evidence for Queensland residency please see Attachment 1.

LEGEND

✓	Suitable evidence.
✓✓	Must show a Queensland residential address if used as evidence of Queensland residency.
✓✓✓	Must be an Australian Citizen or hold a New Zealand birth certificate, birth extract or passport if used as evidence of Australian or New Zealand citizenship.
✓✓✓✓	Subclass 201 and 202 Humanitarian visa holders, with visa and work permits and commencement of application for permanent residency.

Appendix 3 – Overpayments Information

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

Overpayments Information

Overpayment issue resulting in partial recovery	Recovery amount
<p>Co-contribution fees</p> <p>Not providing evidence that co-contribution fees have been charged and collected for each unit of competency in which a student enrolls.</p>	20% of funding paid for all related units of competency for all related students.
<p>Concessional status</p> <p>SAS are required to report whether a student is eligible for a concession (i.e. student meets evidence criteria at enrolment for concessional status).</p>	Difference in funding paid for all related units of competency for all related students.
<p>Incorrect use of AVETMISS outcome codes</p> <p>Reporting inaccurate AVETMISS outcome codes resulting in the supplier being paid a higher government subsidy than is allowable.</p>	Difference in funding paid for all related units of competency for all related students.
<p>Incorrect delivery mode and/or postcode</p> <p>Reporting inaccurate delivery modes and/or postcodes resulting in the supplier being paid a higher government subsidy than is allowable.</p>	Difference in funding paid for all related units of competency for all related students.

Overpayments Information

Overpayment issue resulting in partial recovery	Recovery amount
Qualification issued flag not set Not advising the department a student has been issued with a certificate within 30 days of it being issued.	10% of funding paid to the SAS for all related units of competency for all related students.
Insufficient or no evidence of vocational/work placement Where vocational or work placement is a mandatory requirement for training and/or assessment in the qualification (at the qualification level), insufficient or no evidence of the placement, including the quantum of placement undertaken. <i>Where unit of competency assessment requirements include a specific period of hours in the workplace, insufficient or no evidence of the period of placement (including the quantum of hours) will result in full recovery.</i>	20% of funding paid for all students who have completed the qualification.

Glossary of Terms

Glossary of Terms

Acronym	Title	Web Link
ABN	Australian Business Number	http://www.australia.gov.au/information-and-services/money-and-tax/tax/abn-australian-business-number
ACSF	Australian Core Skills Framework	https://www.education.gov.au/australian-core-skills-framework
AISS	Apprenticeships Info Self Service	https://desbt.qld.gov.au/training/apprentices/manage/aiss
AMEP	Adult Migrant English Program	https://immi.homeaffairs.gov.au/settling-in-australia/amep/overview
AQF	Australian Qualifications Framework	https://www.aqf.edu.au/
ASQA	Australian Skills Quality Authority	https://www.asqa.gov.au/
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard	https://www.ncver.edu.au/rto-hub/statistical-standard-software/avetmiss-data-element-definitions-edition-2.3
CBO	Community-based Organisation	https://desbt.qld.gov.au/training/community-orgs/funded
CSfWDF	Cores Skills for Work Development Framework	https://www.employment.gov.au/core-skills-for-work-developmental-framework
DESBT	Department of Employment, Small Business and Training	https://desbt.qld.gov.au/
FFT	Fee-free TAFE	https://desbt.qld.gov.au/training/training-careers/incentives/fee-free-tafe
LLN	Language Literacy Numeracy	https://desbt.qld.gov.au/training/providers/inclusive/foundation/resources
SAS	Skills Assure Supplier	https://desbt.qld.gov.au/training/providers/SAS
PSL	Priority Skills List	https://desbt.qld.gov.au/training/docs-data/strategies/vetinvest/subsidieslist

Glossary of Terms

Acronym	Title	Web Link
QCAA	Queensland Curriculum and Assessment Authority	https://www.qcaa.qld.edu.au/
QCE	Queensland Certificate of Education	https://www.qld.gov.au/education/career/qualifications/qce
QCIA	Queensland Certificate of Individual Achievement	https://www.qcaa.qld.edu.au/senior/certificates-qualifications/qcia
RPL	Recognition of Prior Learning	https://desbt.qld.gov.au/training/training-careers/recognition/rpl
RTO	Registered Training Organisation	https://www.asqa.gov.au/vet-registration/apply-registration
SEE	Skills for Education and Employment	https://www.employment.gov.au/skills-education-and-employment
SQW	Skilling Queenslanders for Work	https://desbt.qld.gov.au/training/community-orgs/funded/sqw
USI	Unique Student Identifier	https://www.usi.gov.au/training-organisations
VETiS	Vocational Education and Training in Schools	https://desbt.qld.gov.au/training/providers/funded/vetis

Glossary of Terms

Conflict of interest	In the reasonable opinion of an independent observer, the interest of the SAS comes into conflict with, or opposition to, the objectives or standards within the VET SAS Agreement, the SAS Policy or the relevant program policy.
Directly	Within three (3) months of completion of the lower-level qualification.
Existing worker	Described in the Skills Assure Supplier Policy as a current employee who has a one month or more employment relationship with their employer and has actively fulfilled work duties for this period. The one-month working relationship could be full-time or on a part-time / casual employment equivalent basis. Existing workers have access to employee entitlement and therefore do not include volunteers. Registration with a Labour Hire Company does not satisfy the 'existing worker' requirement, unless at the commencement of the training the prospective student has been engaged in employment for a period of one month or more and is currently employed.
Inducement	The offer of gifts or money to a person or business to entice or persuade that person or business.
New worker	Individuals employed within the last three months, or have been offered a position with a commencement date after the completion of training.
Recent	Employment history within three (3) years of the date of the enrolment.

Glossary of Terms

Signature	<p>Refers to 'signed' or 'signature' within this document incorporates the use of both manually handwritten and electronic signatures.</p> <p>For the purpose of departmental funding programs, a manually handwritten signature refers to instances where a person uses a pen to sign their name on a hard copy document. Similarly, an electronic signature will incorporate only the following:</p> <ul style="list-style-type: none"> • a digital rendition of a person's signature e.g. scanned version on a touch screen or via use of mouse • electronic communication, such as an email that provides an agreement/approval/signed consent and must clearly show the sender's name and domain address belonging to them (which coincides with the email address within the signed and completed enrolment form), and the contents of the email or attached document clearly highlights the person's intention in relation to the information communicated • a digitised signature using an encrypted digital code, which must be provided, that can be authenticated that it was the student who affixed their signature (digital code) onto the enrolment form. <p>Any of the above types of electronic signatures can be accepted; however, the key factor that will be analysed within any compliance activity will be to determine the process taken by the supplier to prove that the document was signed by an identifiable person (authentication) and that the person cannot credibly deny their identity (non-repudiation), therefore supporting the veracity or truthfulness of the contents of document signed.</p> <p>Further, central to the matter is the authenticity of each occasion an electronic signature is presented i.e. it must be an imprint that is original at each point of use. The signature system used must not be taken from a database and must not allow the supplier to copy and reuse an electronic signature previously submitted or provided.</p>
Skill set	<p>A single unit of competency or combination of units of competency from one or more training packages that link to a licence, regulatory requirement or defined industry need. Nationally endorsed skill sets have been approved by ASQA and assigned a code for reporting purposes.</p> <p>Priority skill sets subsidised under the SAS Policy are published on the Priority Skills List on the department's website: https://training.qld.gov.au/docs-data/strategies/vetinvest/subsidieslist</p>
Third party	Any entity other than the Supplier.
Third Party Arrangement	<ul style="list-style-type: none"> a) a subcontract for delivery of any part of the Services; and b) the arrangements described as "Third Party Arrangements" in the <i>Standards for Registered Training Organisations 2015</i> (Cth) and any updated or replacement guides or fact sheets published by ASQA from time to time

Glossary of Terms

Term of Agreement	<p>This Agreement starts on the date specified in the department's letter to the supplier advising of the supplier's success in obtaining 'Skills Assure Supplier' status and will continue until the earlier of:</p> <ul 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.
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References

Reference	Web Link
AVETMISS 8.0 VET Provider Collection	https://www.ncver.edu.au/rto-hub/statistical-standard-software/avetmiss-vet-provider-collection-specifications-release-8.0
Certificate 3 Guarantee Program Policy	https://desbt.qld.gov.au/training/providers/funded/certificate3
Partner Portal	https://desbt.qld.gov.au/training/providers/partnerportal
Higher Level Skills Program Policy	https://desbt.qld.gov.au/training/providers/funded/higher-level-skills
Fee Free TAFE	https://desbt.qld.gov.au/training/training-careers/incentives/fee-free-tafe
National Vocational Education and Training Regulator Act 2011	https://www.legislation.gov.au/Details/C2011A00012
Skills Assure supplier marketing and disclosure directives fact sheet	https://desbt.qld.gov.au/_data/assets/pdf_file/0025/11887/sas-marketing-disclosure-directive.pdf
Skills Assure Supplier Policy	https://desbt.qld.gov.au/_data/assets/pdf_file/0027/11889/sas-policy.pdf
Priority Skills List	https://desbt.qld.gov.au/training/docs-data/strategies/vetinvest/subsidieslist
Priority skills localities and location loadings list	https://desbt.qld.gov.au/training/docs-data/strategies/vetinvest/subsidieslist
Skilling Queenslanders for Work	https://desbt.qld.gov.au/training/providers/funded/sqw
Student Identifiers Act 2014	https://www.legislation.gov.au/Details/C2014A00036
Standards for Registered Training Organisations (RTOs) 2015	https://www.legislation.gov.au/Details/F2014L01377
Visa subclass eligibility for subsidised training	https://desbt.qld.gov.au/training/providers/inclusive/visa-eligibility
Vocational Education and Training in Schools (VETiS)	https://desbt.qld.gov.au/training/providers/funded/vetis
Vocational Education and Training (VET) Skills Assure Supplier (SAS) Agreement	https://desbt.qld.gov.au/training/providers/sas/become

Document Control

Document Control

Document:	Skills Assure Supplier Audit Evidence Requirements (VET Investment Programs 2023–24)
Endorsed by:	Executive Director, Skills Investment Branch, Investment Division
Approving authority:	Deputy Director-General, Investment Division
Approval date:	05 June 2023
Effective date:	1 July 2023
Related documents:	<i>Queensland Vocational Education and Training (VET) Skills Assure Supplier (SAS) Agreement</i> <i>Skills Assure Supplier Policy</i> <i>Certificate 3 Guarantee Program Policy</i> <i>Higher Level Skills Program Policy</i>
Version control:	Version 3.2 (released June 2023)
All documents are available online at: https://desbt.qld.gov.au/training or www.legislation.qld.gov.au	

