



Pre-qualified Supplier Compliance Audit Evidence Guide **(Certificate 3 Guarantee 2016–17)**

(Effective 6 February 2017)



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PQS Compliance Audit

Evidence Guide (Certificate 3 Guarantee 2016–17)

Your guide to compliance

This *Evidence Guide for Pre-qualified Suppliers 2016–17* has been developed by the Queensland Department of Education and Training ([DET](#)) to provide specific detail to Pre-qualified Suppliers ([PQS](#)) on the level of supporting documentation required for PQS to evidence the adequate completion of tasks as required by the *Vocational Education and Training (VET) Pre-qualified Supplier (PQS) Agreement* and relevant policies which underpin the *2016-17 Annual VET Investment Plan* from July 2016.

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

The evidence guide follows the structure of the *Pre-qualified Supplier Policy 2016-17* and provides general advice on the types of evidence necessary to prove compliance with the *VET PQS Agreement*, the *Pre-qualified Supplier Policy 2016-17* and relevant program policies. In 2016-17, the relevant VET investment programs are the Certificate 3 Guarantee and the Higher Level Skills program.

ENROLMENT	Page
Eligibility	1
Foundation Skills	6
Lower-level Qualification	8
Higher Level Skills	11
VET in Schools	13
Information sharing requirements	14
TRAINING	Page
Record of participation in training	16
AVETMISS outcome 40 – Withdrawn	17
Vocational placement	19
ASSESSMENT	Page
Evidence of Assessment	20
Recognition of prior learning	24
Marking guide	27
FEES	Page
Fees	28
Refunds	31
AVETMISS	Page
AVETMISS reporting requirements	32
ADMINISTRATION	Page
Records	39
Industry and Employer Networks	40
Publicity and marketing	41
Complaints	43
Conflict of interest and inducements	44
APPENDIX, GLOSSARY, REFERENCES AND DOCUMENT CONTROL	Page
Appendix 1	45
Appendix 2	49
Glossary of Terms	51
Document control	54

ENROLMENT

ELIGIBILITY

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Pre-qualified Supplier Policy 2016-17</i>	Performance Standard 3 Performance Standard 4			
Other relating documents	Certificate 3 Guarantee Program Policy 2016–17 Higher Level Skills Program Policy 2016–17			

STUDENT ELIGIBILITY

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>The PQS is required to demonstrate their process and provide the evidence collected to support the student enrolment.</p> <p>Please note:</p> <p><i>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 must be accessed to determine eligibility for credit transfer.</i></p>	<p>Enrolment form containing questions sufficient to identify ineligible candidates and seeking to identify previously achieved units of competency. Additionally, evidence to support ALL eligibility criteria.</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.
Retain evidence of the student's age at time of commencement (must be 15 years or over).	(See appendices 1 & 2 of this evidence guide)

STUDENT ELIGIBILITY

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 funded program.</p>	<p>(See appendices 1 & 2 of this evidence guide)</p> <p>Please note: The copy retained as evidence must clearly show the prospective student's current address and must match any other address information provided by the student (for example on their enrolment form). Where the student's address differs across information captured by the PQS, it must retain a range of evidence to support the student's eligibility as a Queensland resident.</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>Please note: The Department of Immigration and Border Protection has developed a free online service, Visa Entitlement Verification Online (VEVO), which gives visa holders and registered Australian organisations access to visa status information. A visa restriction which prohibits a person from study and employment would deem the person ineligible for the program.</p>	<p>(See appendices 1 & 2 of this evidence guide)</p> <p>Additionally, for students who are not Australian or New Zealand citizens, evidence of visa status should be documented, recorded and retained.</p> <ul style="list-style-type: none"> • Student's permanent visa label on their passport and / or documents from the Commonwealth Department of Immigration and Border Protection showing approval of a permanent visa subclass. • Temporary residency visa with the visa and work permits with copies of correspondence to and from the Commonwealth Department of Immigration and Border Protection indicating progress toward permanent residency. • Current Medicare card (usually green Medicare card however in some cases the blue Medicare card can be used with sufficient additional documentation – coloured copies required) or • Information obtained from VEVO (see note in 'Requirements' on this page).
<p>Retain evidence of students that don't hold a post-school certificate III qualification (Certificate 3 Guarantee) or higher level qualification (Higher Level Skills training).</p>	<p>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.

STUDENT ELIGIBILITY

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Please note: Enrolment data for students commencing from 1 July 2016 will need to pass a system validation to be considered for payment under the VET PQS Agreement.</p>	<ul style="list-style-type: none"> Records from the Apprenticeships Information Self Service (AISS) system and other relevant sources, indicating the prospective student does not hold and is not enrolled in a post-school Australian Qualifications Framework (AQF) certificate III qualification or higher level qualification (Certificate 3 Guarantee) or a AQF certificate IV qualification or higher level qualification (Higher Level Skills program). 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 funded.
<p>Retain evidence an AISS search has been undertaken in order to determine eligibility for applicable credit transfer/s.</p>	<p>AISS screen shot and / or print out of search conducted.</p>
<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. AISS may not capture all student records or awards, therefore PQS must also confirm with prospective students whether they hold, or are currently enrolled in, a certificate III or higher-level qualification and not rely solely on AISS.</p> <p>Please note: Enrolment data for students commencing from October 2016 will need to pass a system validation to be considered for payment under the VET PQS Agreement.</p>	<p>AISS screen shot and / or print out of search conducted.</p> <p>Please note:</p> <ul style="list-style-type: none"> The absence of a student's name from AISS does not guarantee his / her eligibility under this criterion. AISS for example, does not contain all fee-for-service training records and will not provide options for close alternatives to the name entered if it has been misspelt. Where AISS indicates a qualification has been previously attained, this renders the student ineligible irrespective of the number of units of competency reported as being achieved. If the PQS is convinced the student does not have a previously held qualification it 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>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) or Written notification from the Australian Skills Quality Authority (ASQA) confirmation that the student has not undertaken any training or Written notification from the Australian Skills Quality Authority (ASQA) under Section 56 of the <i>National Vocational Education and Training Regulator Act 2011</i> advising the qualification issued by the previous RTO has been cancelled.

STUDENT ELIGIBILITY

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Retain evidence of the student's eligibility for concession (only required for concessional students). The student's eligibility for concessional status must be confirmed by the PQS at the time of the student's enrolment and evidence must be retained by the PQS, in order to attract the higher government subsidy.</p>	<p>(See appendices 1 & 2 of this evidence guide)</p> <p>Additionally:</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 enrolment form by the student will suffice evidence the student is with disability – pensioner concession card or other documentation verifying the holder is with 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 PQS by the end of the calendar year following the completion of Year 12.</i> <i>Where a student has been identified as eligible for fee-free training AND the PQS has attempted all means to gain sufficient evidence to support this, however, the student has not provided evidence and waived their right to fee-free training, the supplier must evidence its process for obtaining information, as well as confirmation from the student they have waived their right to fee-free training. In this instance the supplier MUST obtain a co-contribution fee prior to submission of claim for payment.</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) Other approved equivalent documentation.

STUDENT ELIGIBILITY

REQUIREMENTS	ACCEPTABLE EVIDENCE
Where a training package requires vocational placement for the student to be deemed competent within an industry for which a security clearance (e.g. police check or blue card) is required, this document must be retained by the PQS for audit purposes.	<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.
Retain evidence of the student's participation in a specific cohort-targeted initiative (i.e. Skilling Queenslanders for Work (SQW), Indigenous VET Partnerships, Strategic Industry Initiatives, Community Learning, Industry Pre-apprenticeship Program or Industry Partnerships Strategy).	A document / letter for the referral of the student from the funded organisation / community based organisation 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. (All other aspects of eligibility, such as previously held qualifications will have been addressed by the organisation accessing the strategic initiative.) The requirement to conduct an AISS search is not required for any participants enrolling under one of the aforementioned strategic initiatives / projects.
Retain evidence required to support any specific restrictions for enrolment in a qualification outlined in the Queensland Training Subsidies List.	<ul style="list-style-type: none"> • Evidence to prove current employment in an industry such as an official letter or email from the employer, or pay advice and current identification card. • 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 PQS is not required to retain evidence the student was 15 years or over at the time of enrolment.</p> <p>For Skilling Queenslanders for Work, eligibility is determined by the Community Based Organisation (CBO). Please refer to the requirements above concerning retention of evidence to substantiate eligibility.</p>	

FOUNDATION SKILLS (CERTIFICATE 3 GUARANTEE SPECIFIC)

Under the Certificate 3 Guarantee, foundation skills training (i.e. Language, Literacy and Numeracy [\[LLN\]](#) and work skills training) and lower-level vocational qualifications are also subsidised, based on an individual's learning, skilling or support needs, to achieve employment outcomes for students.

Please note:

The Australian Government's Department of Education and Training has released an interactive online Foundation Skills Assessment Tool ([FSAT](#)) to identify and measure an individual's foundation skill levels (LLN, as well as employability skills).

Note the following exclusions for enrolment in foundation skills:

- VETiS students are not eligible for funded delivery of foundation skills.
- The supplier **must NOT** make any claims under [AVETMISS](#) Outcome identifier '51' Recognition of Prior Learning ([RPL](#)) for foundation skills delivery.
- If an individual requires intensive LLN support, individuals eligible for assistance under an Australian Government LLN program must be redirected by the PQS to such a program before enrolling in the Certificate 3 Guarantee.

For further information refer to:

- Adult Migrant English Program ([AMEP](#))
- Skills for Education and Employment ([SEE](#)).

REQUIREMENTS

The PQS must conduct an effective assessment of a candidate's need for foundation skills training including LLN proficiency skills prior to enrolment.

***Pre-qualified Supplier Policy 2016-17: Performance Standard 4
Certificate 3 Guarantee Program Policy 2016-17***

ACCEPTABLE EVIDENCE

Effective assessment of a candidate's need for foundation skills training must include evidence of:

- assessment of the student's capabilities against recognised foundation skills benchmarks - Australian Core Skills Framework ([ACSF](#)) or the Core Skills for Work Developmental Framework ([CSfWDF](#)). This could be evidenced by tests, interviews, and activities but must include a reliable LLN test.
- 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.

FOUNDATION SKILLS (CERTIFICATE 3 GUARANTEE SPECIFIC)

REQUIREMENTS	ACCEPTABLE EVIDENCE
	<ul style="list-style-type: none"> assessment of the student's capabilities against the knowledge and skills required for completion of the vocational qualification. <p>Further supporting evidence may include:</p> <ul style="list-style-type: none"> Analysis against industry peak body or packaging rules advice concerning the LLN score essential to fulfil industry competency requirements relating to the vocational qualification. 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. Copies of documents relevant to the student's previous education and training, work history, impairments and disabilities. <p>All analyses must be customised to the competencies required to meet the relevant qualification or vocational outcome.</p>
<p>The PQS must 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 achieved through to completion of the vocational qualification. The plan and learning pathway must be agreed to by the student.</p> <p><i>Pre-qualified Supplier Policy 2016-17: Performance Standard 4</i></p> <p><i>Certificate 3 Guarantee Program Policy 2016-17</i></p>	<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 (not just a generic statement) addressing each matter of concern 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 customisation necessary to assist with completion of the vocational qualification. 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 students program to best support the learner in the completion of the qualification, and how it maximises the selection of foundation skills / LLN elective units. Student-signed confirmation agreeing to the terms of the training and support plan.

FOUNDATION SKILLS (CERTIFICATE 3 GUARANTEE SPECIFIC)

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>The PQS must review 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> <p><i>Pre-qualified Supplier Policy 2016-17: Performance Standard 4</i> <i>Certificate 3 Guarantee Program Policy 2016-17</i></p>	<ul style="list-style-type: none"> A documented analysis and justification by the assessor. Further this document must be signed by the student and the assessor to indicate milestones complete with relevant dates.

LOWER-LEVEL QUALIFICATION (CERTIFICATE 3 GUARANTEE SPECIFIC)

Under the Certificate 3 Guarantee, lower-level vocational qualifications are subsidised in certain circumstances, based on an individual's learning, skilling or support needs to achieve employment outcomes for students.

The PQS may only deliver certificate I and / or II level qualifications on the Queensland Training Subsidies List in the following circumstances:

Qualification— where the qualification is mandated as a prerequisite for the certificate III level qualification under training package rules.

Individual— where the student is assessed as requiring this pathway, for example lower-level qualifications are supported for disadvantaged learners.

Industry or local employment— where industry or local employers have supported the qualification as the preferred employment outcome, including basic trade skills to support entry into a traditional apprenticeship pathway.

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

Note the following exclusions:

- The supplier **must** NOT make any claims under AVETMISS Outcome identifier '51' ([RPL](#)) for lower-level delivery.
- Lower-level qualifications delivered through VETiS are managed through specific arrangements (see page 13).

LOWER-LEVEL QUALIFICATION (CERTIFICATE 3 GUARANTEE SPECIFIC)

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>The PQS must retain evidence of the circumstances that support a student's enrolment in a lower-level qualification, either at the qualification, individual, industry or local employment.</p> <p>Pre-qualified Supplier Policy 2016-17: Performance Standard 4</p> <p>Certificate 3 Guarantee Program Policy 2016-17</p> <p>Please note:</p> <p><i>Under Certificate 3 Guarantee, the delivery of lower-level vocational qualifications as a direct entry pathway to employment requires pre-approval by the department, based on evidence of industry support and employers committed to employing graduates. Where the student completes a subsidised lower-level qualification for industry reasons — they will not be eligible to <u>directly</u> (see definitions) enrol in a subsidised certificate III vocational qualification with the same or a related PQS.</i></p>	<p>Qualification</p> <p>Copy of the packaging rules for the qualification, which indicates mandated prerequisite units and confirmation from the relevant industry skills body.</p> <p>Individual</p> <ul style="list-style-type: none"> • Policies, procedures and templates forming a thorough process to support analysis of specific areas of difficulty an individual may have in completing certificate III qualifications which is customised to the student and to the end result qualification. • In addition the supplier MUST provide the following: <ul style="list-style-type: none"> ○ An upfront skills assessment that identifies the learner as disadvantaged and requiring lower-level vocational training (other than foundation skills / LLN training) prior to, certificate III enrolment. This should include LLN tests and analyses of those tests by suitably qualified assessors and according to the PQS' own policy and procedure guidelines. ○ A training and support plan that is tailored to the individual's circumstances and abilities at enrolment and must include — <ul style="list-style-type: none"> ▪ Learning support strategies (not just a generic statement) addressing each matter of concern 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 customisation necessary to assist with completion of the vocational qualification. ▪ 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 they agree to the terms of the training and support plan.

LOWER-LEVEL QUALIFICATION (CERTIFICATE 3 GUARANTEE SPECIFIC)

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Please note:</p> <p><i>Registration with a labour hire company is not considered an employment outcome and does not meet the requirements of the program when delivering lower-level training.</i></p>	<p>Industry or local employment</p> <ul style="list-style-type: none"> • Approval letter provided by the DET Contract Management and Performance unit outlining the conditions of which a business proposal has been approved. <p>Additionally, at audit you may be requested to provide details of application i.e.:</p> <ul style="list-style-type: none"> • a signed letter from the DET Contact Management and Performance unit • records of employment outcomes upon completion. These records must include — <ul style="list-style-type: none"> ○ student name ○ employer name ○ commencement date ○ employment status (full-time, part-time, casual).
EXCEPTIONS OR EXEMPTIONS	
<p>If approval has been given to deliver a lower-level qualification specific to a funding strategy e.g. Skilling Queenslanders for Work, this qualification cannot be delivered to mainstream students.</p>	

HIGHER LEVEL SKILLS SPECIFIC

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 with the capacity to address current workforce development needs that are adversely impacting on productivity, in which 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](#).

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

- Strategic Industry Initiatives
- Indigenous VET Partnerships
- Industry Partnerships Strategy.

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

REQUIREMENTS

The PQS must ensure students are accessing funding from the Higher Level Skills program in accordance with the rules and any restrictions and / or exemptions.

Pre-qualified Supplier Policy 2016-17: Performance Standard 3

ACCEPTABLE EVIDENCE

Specific restrictions and / or exemptions may apply in relation to participation in certain subsidised qualifications. 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 Queensland Training Subsidies List.

Some examples of restrictions on the 2016-17 list include:

- BSB42515 Certificate IV in Small Business Management — student must be the owner, manager or employee of a small business in Queensland
- CHC62015 Advanced Diploma of Community Sector Management — student must be an [existing worker](#) in the Community Services industry
- CHCSS00074 Child Protection skill set — student must be an existing worker in a frontline-service role involving direct contact with children, youth or families who hold a certificate III qualification and may have a certificate IV or higher level qualification.

HIGHER LEVEL SKILLS SPECIFIC

REQUIREMENTS	ACCEPTABLE EVIDENCE
	<p>Evidence to demonstrate that the student meets the restriction or exemption include:</p> <ul style="list-style-type: none"> • to prove current employment in an industry an official letter or email from the employer, or pay advice and current identification card • 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 Queensland Training Subsidy List.</p>
<p>To attract a subsidy for a <u>skill set</u> under the Higher Level Skills program, the PQS must target workers who already hold entry level qualifications (certificate III level) in the industry and who require further training for career progression.</p> <p><i>Pre-qualified Supplier Policy 2016-17: Performance Standard 3</i> <i>Higher Level Skills Program Policy 2016-17</i></p>	<p>A copy of the certificate III qualification within the relevant industry.</p>
<p>Specific cohort targeted</p> <p>For students accessing training through a specific cohort-targeted initiatives (listed above), the PQS must retain evidence of the referral of the student from the funded organisation under these strategic initiatives. All other aspects of eligibility will have been addressed by the organisation accessing the strategic initiative.</p> <p><i>Pre-qualified Supplier Policy 2016-17: Performance Standard 3</i> <i>Higher Level Skills Program Policy 2016-17</i></p>	<p>A document / letter of the referral for the student from the funded organisation under these strategic initiatives. This document / letter must identify the student, by name, as eligible. (All other aspects of eligibility will have been addressed by the organisation accessing the strategic initiative.).</p>

HIGHER LEVEL SKILLS SPECIFIC

EXCEPTIONS OR EXEMPTIONS

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

- **FNS50215 Diploma of Accounting** (entry requirements of nine core units from **Certificate IV in Accounting** in the FNS40615 training packages), or
- **FNS60215 Advanced Diploma of Accounting** (entry requires completion of FNS50215. If the student has completed the certificate IV which includes the diploma entry requirement under fee-for-service they are still eligible for funding under Higher Level Skills program for the diploma.

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

VET IN SCHOOLS SPECIFIC

The VET investment budget will provide funding for students to complete one VETiS qualification listed on the Queensland Training Subsidies 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.

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

REQUIREMENTS

ACCEPTABLE EVIDENCE

Retain evidence to support the student is currently enrolled in secondary school, in year 10, 11 or 12.

Letter and or any form of correspondence from the school confirming the student is currently enrolled.

Retain evidence to support each student's eligibility for the program prior to enrolment.

Pre-qualified Supplier Policy 2016-17: Performance Standard 3
Certificate 3 Guarantee Program Policy 2016-17

- birth Certificate (date of birth and Australian / New Zealand citizenship)
- letter from the Queensland school or detention centre confirming student's current physical address and enrolment in school (Queensland residency)
- immigration documentation confirming status (if candidate is from overseas and has Australian permanent residency or on path to permanent residency)
- statement from the school concerning all VET qualifications previously attempted and outcomes, i.e. statements of attainment or qualifications issued).

INFORMATION SHARING REQUIREMENTS

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Pre-qualified Supplier Policy 2016-17</i>	<i>Performance Standard 1</i>			
REQUIREMENTS		ACCEPTABLE EVIDENCE		
<p>Notify the prospective student of the expectations and rules regarding accessing a government-subsidised training place under the relevant 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> <p><i>Pre-qualified Supplier Policy 2016-17: Performance Standard 1</i></p>	<ul style="list-style-type: none"> • Sign-off by student acknowledging advice has been provided concerning expectations and rules regarding 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 with evidence — this is provided prior to enrolment. 			
<p>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 with the department.</p> <p><i>Pre-qualified Supplier Policy 2016-17: Performance Standard 1</i></p>	<ul style="list-style-type: none"> • An induction checklist signed by the student indicating he / she has been referred to any applicable student fact sheet for the relevant program. • Sign-off by student acknowledging the student has been referred to any applicable fact sheet for the relevant program. • Student handbook with evidence — this is provided prior to enrolment. 			

INFORMATION SHARING REQUIREMENTS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Where some or all of the training and / or assessment services are to be subcontracted to a partner RTO, notify the prospective student of the full name of the partner RTO and the training and / or assessment services to be provided by the partner RTO.</p> <p><i>Pre-qualified Supplier Policy 2016-17: Performance Standard 1</i></p>	<ul style="list-style-type: none"> • 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. • Student handbook with evidence — this is provided prior to enrolment.

TRAINING

RECORD OF PARTICIPATION IN TRAINING

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17</i>	Clause 9.1a			

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.

REQUIREMENTS

Retain full and complete records supporting each student's participation in training for each unit of competency / module from commencement to completion.

Pre-qualified Supplier Policy 2016-17: Clause 9

Please note:

The department has noted situations where PQS are undertaking an electronic training delivery method at their own premises. This involves students attending a classroom environment to complete their online learning and will often see students working through different units of competency or even different qualifications at the same time but with access to a PQS trainer (tutor) to help them through the unit should assistance be required. In the department's view, this method of delivery, even though it is undertaken in a classroom is still considered as AVETMISS Delivery identifier '20' – electronic-based delivery.

ACCEPTABLE EVIDENCE

Face-to-face delivery (within suppliers premises and / or workplace).

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

- name of the student
- unit of competency / module code and name
- the date/s of training
- duration of training (number of hours against individual units of competency)
- location
- trainer's signature, signature of the student (including date of signing).

Evidence covering the above information can be captured within the following types of records:

- class rolls
- workplace visit sheets
- attendance record.

RECORD OF PARTICIPATION IN TRAINING

REQUIREMENTS

Please note:

Issuance of training materials does not constitute training. For correspondence-type delivery the PQS must maintain a record of the contacts between the student and the trainer assessor by email (or whatever mode of communication is being used), which includes the above information (with the exception of the student's signature if it is not possible to obtain it and there is another method of verifying the student's agreement).

ACCEPTABLE EVIDENCE

Electronic delivery

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

- name of the student/s
- unit of competency / module code and name
- the date/s of training.

Evidence covering the above information can be captured within the following types of records:

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

Distance / correspondence delivery

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

- name of the student/s
- unit of competency / module code and name
- the date/s of training
- location
- trainer's signature and date signed.

Evidence covering the above information can be captured within correspondence (e.g. emails) between the student and the supplier confirming the commencement and / or progression through nominated unit/s of competency can confirm the engagement of learning.

WITHDRAWN CLAIMS (AVETMISS OUTCOME IDENTIFIER 40)

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

Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 9.1

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

RECORD OF PARTICIPATION IN TRAINING

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Retain records of each student's participation in training for each unit of competency, including records of the commencement of educational content, attendance and progression.</p> <p><i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 9.1</i></p> <p><i>Please note:</i></p> <p><i>Withdrawn claims for payment will only be validated where actual hours of training and assessment delivered are identified.</i></p>	<p>Evidence to support the record of participation in training (see 'Record of Participation in Training - General' section of this evidence guide for more detail on acceptable evidence).</p>
<p>Where the PQS claimed a 40 outcome for a student (i.e. received 50% payment) and subsequently, for the same student and unit of competency / module, claimed an outcome that pays 100% (for example, 20 or 30 outcome) then, unless approved by the department, the PQS is only entitled to payment of the balance owing between the previous amount paid for the 40 outcome and the amount now due for the 100% claim.</p> <p><i>Pre-qualified Supplier Policy 2016-17: Clause 9.1</i></p>	<p>AVETMISS data has been accurately resubmitted to the department with correct outcome identifier.</p>

VOCATIONAL PLACEMENT

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Pre-qualified Supplier Policy 2016-17</i>	<i>Appendix 8</i>			
Other relating documents	<i>Certificate 3 Guarantee Program Policy 2016-17</i>			

REQUIREMENTS

ACCEPTABLE EVIDENCE

<p>Where work / vocational placement has been identified as a mandatory requirement for completion of the qualification the PQS must advise each prospective student at enrolment through a training fact sheet or summary of information.</p> <p><i>Certificate 3 Guarantee Program Policy 2016-17</i></p>	<ul style="list-style-type: none"> • training fact sheet or summary of information • student handbook with evidence — this is provided prior to enrolment. • all advertising material including, but not limited to, flyers, brochures, information packs and websites align with the relevant directives and policies.
<p>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> <p><i>Pre-qualified Supplier Policy 2016-17: Appendix 8</i></p>	<ul style="list-style-type: none"> • Vocational placement agreement and / or additional evidence there is an agreement between the placement host, the student and the training organisation detailing the total hours required and what dates and hours the student will be in the workplace. • Evidence the student has attended the workplace at the dates and for the hours identified in the agreement. This would include a workplace supervisor's signature against specific dates the student has attended (e.g. timesheet / hours log).
<p>Where a training package requires vocational placement for the student to be deemed competent within an industry for which a security clearance (e.g. police check or blue card) is required, the PQS must include the attainment of this security outcome as part of the student's eligibility / enrolment process and a copy of the card or police check outcome must be retained.</p> <p><i>Certificate 3 Guarantee Program Policy 2016-17</i></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.

ASSESSMENT

EVIDENCE OF ASSESSMENT

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17</i>	Clause 9			
<i>Pre-qualified Supplier Policy 2016-17</i>	Appendix 5, Appendix 6, Table 4, Appendix 8, Table 6			
Other relating documents	<i>Certificate 3 Guarantee Program Policy 2016-17</i>			
<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 in 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 PQS Program Policy, Table 4 and AVETMISS data element definitions manual. Claims may not be made for any activity outlined in PQS Program Policy 2016 - 17, Table 5. 				

EVIDENCE OF ASSESSMENT

REQUIREMENTS

AVETMISS Outcome identifier '20' – competency achieved

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

Please note:

- Assessments requiring a written response **must** be the student's own work. Responses to written assessments should not be identical or too similar from one student to another, except in cases where there is only one correct answer. For example, identical answers would be appropriate if the question required the student to identify the appropriate "Act of Parliament" which covers activity in a particular industry.
- Where a student provides a verbal response, as part of an oral assessment instrument or where reasonable adjustment has been taken in relation to the completion of written theory questions, this **must** be recorded verbatim.
- 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.
- An overview document identifying the unit of competency and containing only the signatures of the student and assessor to indicate a satisfactory result is not sufficient evidence of practical assessment under a funded program

VET Pre-Qualified Supplier Agreement 2016-17: Clause 9

ACCEPTABLE EVIDENCE

All completed assessment instruments, and associated assessment tools, used by the assessor to form a determination of competence for each unit of competency. Assessment instruments retained by the supplier to validate claims for payment **must** contain sufficient evidence to verify that a qualified assessor has reviewed and assessed the adequacy of students responses against the requirements of the unit of competency.

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

- full and complete assessment instruments in accordance with —
 - methods of assessment
 - methods of assessment package requirements (e.g. range of assessment and number of assessments)
 - supplier's 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.

For example, if the full range of assessment instruments used for a unit of competency comprise of short answer questions and an observation, the supplier must retain evidence of the completed written assessment (short answer questions) and the observation checklist / benchmark criteria the assessor used to make a judgement on competence (observation assessment).

Assessment evidence for practical skills observation **must** include a record of the skills the assessor observed the student demonstrating relevant to the unit of competency to substantiate the judgement of competence. The use of checklists with pre-populated lists of observable behaviours relevant to the unit is acceptable if the assessor has included details of the activity observed and an indication of the behaviours demonstrated by the student by writing notes and circling the relevant variables from the pre-populated lists. Further, if the supplier intends to retain photographic and / or video evidence to support a judgement of competence, the supplier **must** retain evidence of a mapping document which verifies the relationship between the photographic and / or video evidence and how it aligns to unit/s of competency.

EVIDENCE OF ASSESSMENT

REQUIREMENTS	ACCEPTABLE EVIDENCE
	<p>Please note:</p> <ul style="list-style-type: none"> The training package contains other specifications besides the 'Elements' and 'Performance Criteria' that must be incorporated into the supplier's assessment tools and instruments. These additional assessment requirements are captured within the required knowledge and skills and the critical aspects and often relate to a specific number of times a task must be assessed, stipulate the use of specific equipment and / or demonstration of a specific technique or process.
<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 / module.</p> <p>The supplier must also ensure sufficient evidence has been retained to support the student has been given the number of re-assessment attempts outlined within the supplier's assessment policy.</p> <p>Please note:</p> <p><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) this is not the appropriate outcome, as the student has not attempted all forms of assessment. Rather the appropriate outcome is AVETMISS Outcome identifier 40 – Withdrawn / discontinued.</i></p> <p><i>This outcome is not appropriate for students undertaking Recognition of Prior Learning.</i></p> <p>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 9</p> <p>Certificate 3 Guarantee Program Policy 2016-17: Appendix 8, Table 6</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 be used as the student is required to attempt all of the assessments in order to receive a 'Competency not achieved / fail' outcome.</i></p>

EVIDENCE OF ASSESSMENT

REQUIREMENTS

AVETMISS Outcome identifier '65' – Transitional Gap Training

AVETMISS Outcome identifier '65' **must** be used when transitioning a student from a superseded qualification to the new qualification or previously completed unit/s of competency have been superseded:

- A student commencing in a qualification which is subsequently superseded and the student is required to transition to new qualification.
- A student enrolls with the supplier into the current training package qualification and is able to present qualification or statement of attainment which lists the unit/s of competency previously attained under a superseded training package.

Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 9

Certificate 3 Guarantee Program Policy 2016-17: Appendix 5, Appendix 6, Table 4, Appendix 8, Table 6

ACCEPTABLE EVIDENCE

Where previously completed unit/s of competency are identified as not being equivalent to new unit/s, therefore necessitating additional delivery, the supplier **must** provide all necessary gap training and assessment to address the outcomes of the new unit.

In each instance, the supplier **must** provide evidence of:

- a mapping process has been completed (i.e. training package mapping guide) to identify where the current unit of competency, which has been determined as not equivalent (does not fully map) to the unit previously completed by the student.
- gap training and gap assessment, including on-the-job verification from the employer (if applicable), to support its claim/s for payment.

Please note:

- *Where direct mapping (equivalency) is identified, credit transfers must be awarded.*
- *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 and assessment to address the outcomes of the new unit.*
- *No student co-contribution can be charged for this AVETMISS Outcome identifier.*

EXCEPTIONS OR EXEMPTIONS

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 is required to retain the completed checklist the assessor used to make a judgement on competence for each student. Additionally, the supplier must retain additional supplementary evidence such as videos, photographs, observation reports etc.

RECOGNITION OF PRIOR LEARNING

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17</i>	Clause 9			
<i>Certificate 3 Guarantee Program Policy</i>				
<p>Recognition of prior learning (RPL) involves the assessment of the previously unrecognised skills and knowledge an individual has achieved outside the formal education and training system. RPL is an assessment process (rather than a training process) in which the individual's non-formal and informal learning is assessed. This assessment determines the extent to which 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:</p> <p><i>For national reporting, RPL does not include any additional training at the unit of competency or module level; they are assessment-only activities. If a unit of competency or module has any training activity associated with it, then '51 — Recognition of prior learning granted' or '52 — Recognition of prior learning not granted' must not be used.</i></p> <p><i>Assessment instruments retained by the supplier to validate claims for payment must contain sufficient evidence to verify that a qualified assessor has reviewed and assessed the adequacy of students' responses against the requirements of the unit of competency. Evidence will not be accepted where the assessor has only signed and dated the unit of competency coversheet.</i></p>				
REQUIREMENTS		ACCEPTABLE EVIDENCE		
<p><u>AVETMISS Outcome identifier '51' (RPL)</u></p> <p>The supplier must ensure sufficient evidence is retained to validate the supplier's decision to award RPL. Evidence retained by the supplier must incorporate all of the assessments undertaken for the RPL process along with any other supporting documentation, such as originals or certified copies of formal / informal course certificates, references or testimonials from employers, volunteer organisations, clubs and associations etc. that contributed to the judgement of the students competence.</p> <p><i>Continued over page</i></p>	<p>A Training and Assessment Strategy (TAS) customised to the relevant industry and the specific skills of each student including:</p> <ul style="list-style-type: none"> • RPL assessment policies and procedures • an outline of how the PQS will come to its decision to recognise the student's proficiency against each unit of competency required for the qualification • assessment mapping document • assessment validation schedule • assessment validation report <p><i>Continued over page</i></p>			

RECOGNITION OF PRIOR LEARNING

REQUIREMENTS

Where assessment is completed via RPL it must comply with the packaging rules of the relevant training package; and be conducted in accordance with the Principles of Assessment and the Rules of Evidence (refer to [Standards for RTOs: 2015](#)).

Please note:

- *The supplier will be challenged at audit in cases where the sequence of training and assessment and RPL are not in accordance with training package requirements. If applicable, RPL should not be granted for competencies where the PQS then provides training and assessment for the underpinning pre-requisite(s).*
- *The PQS must retain evidence the assessor has verified the authenticity of the employment and detailed the industry experience of, and qualifications held by, the letters' authors.*

Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 9

ACCEPTABLE EVIDENCE

- industry consultation report
- third parties to be consulted
- essential points to discuss with the candidate / student
- essential points to discuss with previous employers.

A mapping document:

- A document which maps key requirements of the qualification / unit of competency which includes identification of critical aspects of evidence and required skills and knowledge for each unit claimed. The document **must** also list each piece of assessment evidence which was considered in the decision to grant RPL for the candidate and links it to the relevant unit requirements.

Proof of competence **must** include:

- Documented “*Competency Conversation*” with the student and at least one previous employer against each unit requirements. (Actual questions and responses must be recorded and retained). *Note: Questions asked by the trainer as well as the expected responses should be selected from a benchmark document developed by the PQS to ensure consistency and reliability of the assessment process when used across multiple candidates.*

Continued over page

REQUIREMENTS

ACCEPTABLE EVIDENCE

- Documented student 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 (covering at least the previous two years), which includes dates in which employment occurred, a short description of work undertaken, and contact details of employer or supervisor.
- Evidence the PQS' assessor has contacted the RPL candidates previous employer / supervisor to confirm claims made by the candidate, which includes a record of the main points of the conversation.
- Challenge test/s (including practical and knowledge tests) addressing the elements and performance criteria of the unit and the skills required as a minimum in the relevant industry.

Note: A table pre-populated with possible response/s with only ticked boxes and a student signature would not provide sufficient evidence for the purposes of RPL claims under these programs.

Supporting letters and testimonials:

- Documented student 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 (covering at least the previous two years), which includes dates in which employment occurred; a short description of work undertaken and contact details of employer or supervisor.

Please note:

The PQS **must** retain evidence their assessor has verified the authenticity of the client's previous employment and detailed the industry experience of, and qualifications held by, the letters' authors.

All supporting evidence from previous employers, volunteer organisations, clubs and associations must be on official letterhead.

MARKING GUIDE

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17</i>	Clause 9			
REQUIREMENTS		ACCEPTABLE EVIDENCE		
<p>The supplier must keep for each unit of competency for each student the assessor's completed marking guide, criteria and observation checklists.</p> <p><i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 9</i></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 suppliers Training and Assessment Strategy.</p> <p>Please note:</p> <p><i>If the marking guide is updated or changed the supplier must retain copies relating to students trained and assessed under the Certificate 3 Guarantee program for 6 years from the end of the term.</i></p>			

FEES

FEES

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Pre-qualified Supplier Policy 2016-17</i>	<i>Performance Standard 1, Appendix 1, Appendix 4</i>			
Other relating documents	<i>Certificate 3 Guarantee Program Policy 2016-17</i>			

REQUIREMENTS

ACCEPTABLE EVIDENCE

Provide upfront information regarding fees charged to each prospective student at the unit of competency level and relevant to their circumstances.

Pre-qualified Supplier Policy 2016-17: Performance Standard 1, Appendix 1
Certificate 3 Guarantee Program Policy

- All advertising material including but not limited to flyers, brochures, information packs and websites align with fees reported to the department. Where the co-contribution fee has changed screenshots and hardcopies relevant to that student cohort are to be retained.
- Contact logs, emails, induction information list signed off by student, student handbook or similar document outlining full spectrum of fees at unit of competency level.
- Administrative process to record, monitor and progress fee charges and payments.
- Student handbook.

Please note:

Where the co-contribution fee has changed screenshots and hardcopies relevant to that student cohort are to be retained.

FEES

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Outline total co-contribution fees (including all costs associated with the achievement of the qualification such as identification cards, tuition fees, services fees, material fees) both concessional and non-concessional, and any variations in fees due to mode of delivery, geographical location of the student, higher cost of training, etc.</p> <p>Additional, atypical or minor charges are permitted on a cost recovery basis for services not required for delivery of training and assessment or awarding of a qualification e.g. reissue of a qualification.</p> <p>Pre-qualified Supplier Policy 2016-17: Performance Standard 1, Appendix 1</p> <p>Please Note: Costs associated with Australian Federal Police checks undertaken prior to vocational placement must be advertised with co-contribution fees and included in initial notifications to prospective students. However, if the student is a fee-free Year 12 graduate this cost cannot be charged to the student.</p>	<ul style="list-style-type: none"> • All advertising material, including but not limited to flyers, brochures, information packs and websites align with fees reported to the department. Where the co-contribution fee has changed screenshots and hardcopies relevant to that student cohort are to be retained. • Contact logs, emails, induction information list signed off by student, student handbook or similar document outlining full spectrum of fees at unit of competency level. • Administrative process to record, monitor and progress fee charges and payments. • Student handbook. <p>Please note: Where the co-contribution fee has changed screenshots and hardcopies relevant to that student cohort are to be retained.</p>
<p>Disclose information for each funded qualification (for all variations of delivery) the PQS is approved to deliver under the funding program.</p> <p>Pre-qualified Supplier Policy 2016-17: Performance Standard 1, Appendix 1</p>	
<p>Do not publish / advertise fee-free training, except in relation to students who fit within the “Exceptions or exemptions” specifications under the “Co-contribution fees” section of this evidence guide.</p> <p>Pre-qualified Supplier Policy 2016-17: Performance Standard 1, Appendix 1</p>	

FEES

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Ensure fees are paid by the student and / or third party prior to the submission of claims for payment.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 1</p> <p>Please note:</p> <p><i>At audit claims for payment made for units, prior to collection of co-contribution fees, will be identified as overpayments and sanctions, including recovery of funds will result.</i></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 PQS. • Evidence collected from the student confirming the concessional status of the student as at the date of enrolment. • All advertising material, including but not limited to flyers, brochures, information packs and websites align with fees reported to the department. Where the co-contribution fee has changed screenshots and hardcopies relevant to that student cohort are to be retained. • Administrative process to record, monitor and progress fee charges and payments. • Student handbook.
<p>Publish its fees on the PQS's website in a prominent and easy to access location.</p> <p>Pre-qualified Supplier Policy 2016-17: Performance Standard 1, Appendix 1</p>	<ul style="list-style-type: none"> • A functional website whereby the information can be accessed from a clearly labelled access point from the home page and / or an easily accessible search function. • Where the co-contribution fee has changed screenshots and hard copies relevant to that student cohort are to be retained.
<p>Report to the department all co-contribution fees, at the unit of competency level in whole dollar amounts.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 4</p>	<p>Submission of accurate AVETMISS data reflecting the co-contribution fee amount in accordance with the invoice / receipt of payment.</p>

EXCEPTIONS OR EXEMPTIONS

Competencies assigned code '60' or '65' AVETMISS or department Outcome identifiers.

Foundation skills: this training can be provided fee-free to students if determined by the PQS.

Lower-level qualifications for concessional students: this training can be provided fee-free to students if determined by the PQS.

Queensland Year 12 graduates: who enrol in a high-priority qualification and commence training within 12 months of completing Year 12 (that is, by the end of the calendar year following completion of Year 12).

Where no fee has been charged for 'fee-free' year 12 graduates, evidence the student is a Queensland Year 12 graduate who enrolls and commences training within 12 months of completing Year 12 (that is, by the end of the calendar year following completion of Year 12).

VETiS students: this training is provided fee-free to school students and additional costs are met by the school.

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 PQS, lower-level vocational qualifications for concessional students only (see Enrolment- Student Eligibility 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 PQS will charge and collect the co-contribution fee from the CBO on behalf of the student.

REFUNDS

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Pre-qualified Supplier Policy 2016-17</i>	<i>Performance Standard 1</i>			
Other relating documents	<i>Certificate 3 Guarantee Program Policy 2016-17</i>			

REQUIREMENTS

ACCEPTABLE EVIDENCE

- have a refund policy
- provide the policy to the students prior to them enrolling with the PQS.

Pre-qualified Supplier Policy 2016-17: Performance Standard 1

Certificate 3 Guarantee Program Policy 2016-17

Evidence of handbooks / documents (e.g. student application, eligibility enquiry form, information sheets) / emails / flyers / contact logs sent, dated prior to enrolment, concerning the refund policy.

AVETMISS DATA

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<u><i>Pre-qualified Supplier Policy 2016-17</i></u>	<i>Appendix 4, Table 1, Table 2, Table 3, Table 4</i> <i>Appendix 5</i> <i>Appendix 7</i> <i>Appendix 8</i>			
Other relating documents	<i>Certificate 3 Guarantee Program Policy 2016-17</i>			

AVETMISS REPORTING REQUIREMENTS

The PQS **must** ensure the PQS's student management system is compliant against the most current AVETMISS release and Queensland state requirements.

It is the responsibility of the PQS 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 4. Reporting Conditions of the *Pre-qualified Supplier Policy 2016-17*.

AVETMISS REPORTING REQUIREMENTS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Report accurate AVETMISS data is submitted to the department in accordance with the most current national AVETMISS reporting requirements and meet all requirements outlined in Appendix 4 of the <i>Pre-qualified Supplier Policy 2016-17</i>.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 4</p> <p>Please Note:</p> <p><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 a USI. Enrolment procedures must include the attainment of the USI for each student and qualifications and statements of attainment include the student's USI. Where an exemption applies the evidence can be produced at audit.</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, including:</p> <ul style="list-style-type: none"> • VET PQS Agreement number • a verified Unique Student Identifier (USI) • date of birth • complete student demographic data including, but not limited to, gender, Indigenous status, disability status and main language spoken • correct fund source code • whether eligible for a concession • delivery mode / type identifier • outcome identifier • location postcode where training delivery predominantly took place — for online delivery the PQS must report the postcode where the training is coordinated (such as state office), not the student location • amount of co-contribution fees collected per unit of competency (rounded to nearest dollar) • highest school level completed identifier • year highest school level completed • prior educational achievement flag and identifier • VET in schools flag (if applicable) • labour force status identifier for Job Seekers either 06 or 07 as specified in AVETMISS • labour force status identifier for Existing Workers either 01, 02, 03, 04 or 05 as specified in AVETMISS • actual hours of training and assessment delivered where the student has engaged in the learning activity and withdrawn from the unit of competency prior to completion when all requirements for the successful completion of the qualification, course or skill set have been met, the student must be reported in the Program Completed file (NAT130); until the certificate is issued to the student — the 'issued flag' in the Program Completed file must remain as an 'N' (Not Issued) value • when the certificate is issued to the student, the 'issued flag' value in the Program Completed file must be changed to 'Y' (Issued) • any other information as requested by the department.

AVETMISS REPORTING REQUIREMENTS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Report accurate AVETMISS activity start and end dates for each student for each unit of competency.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 4</p> <p>Please note:</p> <ul style="list-style-type: none"> To ensure this occurs, a supplier is encouraged to cross-reference all of its students participation records against the AVETMISS start dates that have been reported. Use of generic start and end dates for all units in a qualification is not acceptable. 	<ul style="list-style-type: none"> 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. The AVETMISS end date reported accurately represents when the student was deemed competent in the unit of competency. End date indicating when the final approval of competence has been signed off for each unit of competency for each student. This may be in the form of a unit overview sheet countersigned by the student, the assessor and where appropriate (where assessment occurs during vocational placement), the workplace representative. The auditor will be comparing the AVETMISS end date reported to the department with the most recent piece of assessment for the unit of competency which has been successfully completed by the student. The PQS is encouraged to cross-reference all supporting evidence for the claim against the AVETMISS end dates that have been reported to ensure they match.
<p>Report the accurate delivery mode identifier specified in AVETMISS for the relevant delivery mode.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 4, Appendix 8</p> <p>Please note:</p> <p>In instances where more than one method of training is used by a supplier (for example, a combination of face-to-face instruction and correspondence), the supplier must have documented evidence to support which method is predominant per unit of competency to ensure the predominate delivery type is the code reported.</p>	<p>(see 'Training' section of this evidence guide for more detail on evidence for AVETMISS delivery mode identifier)</p>

AVETMISS REPORTING REQUIREMENTS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Report the accurate Outcome identifier specified in AVETMISS for the relevant outcome.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 4, Table 4, Appendix 8</p>	<p>AVETMISS Outcome identifier '20' – Competency Achieved</p> <p>See: 'Assessment' section of this efor evidence of AVETMISS Outcome identifier '20'.</p> <p>AVETMISS Outcome identifier '30' – Not Competent</p> <p>See: 'Assessment' section of this evidence guide for evidence of AVETMISS Outcome identifier '30'.</p> <p>AVETMISS Outcome identifier '40' – Withdrawal</p> <p>See: 'Training' section of this evidence guide for evidence of AVETMISS Outcome identifier '40'.</p> <p>Please note:</p> <p><i>Evidence must be retained to validate the student's participation in training for each unit of competency where a withdrawn claim is submitted.</i></p> <p>AVETMISS Outcome identifier '51' – Recognition of Prior Learning</p> <p>See: 'Assessment' section of this evidence guide for evidence of AVETMISS Outcome identifier '51'.</p> <hr/> <p>AVETMISS Outcome identifier '60' - Credit Transfer / national recognition</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 for each unit of competency / module.</p> <p>Please note:</p> <p><i>A screenshot and / or record from the student's AISS search is not acceptable evidence for this outcome. In the instance whereby the PQS is unable to obtain the record of results and / or statement of attainment the PQS may be required to provide training and / or assessment under a fee-for-service arrangement.</i></p>

AVETMISS REPORTING REQUIREMENTS

REQUIREMENTS	ACCEPTABLE EVIDENCE
	<p>AVETMISS Outcome identifier '65' – Transitional gap training</p> <p>See: 'Assessment' section of this evidence guide for evidence of AVETMISS Outcome identifier '65'.</p>
<p>Report the accurate concessional status for each student.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 4, Table 3, Appendix 8</p>	<p>See: 'Eligibility' section of this evidence guide for more detail on evidence for concessional status.</p>
<p>Report the accurate co-contribution fee collected per unit of competency (rounded to the nearest dollar).</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 4, Appendix 8</p> <p>Please note:</p> <p><i>Where an invoice has been issued, the PQS must wait until payment in full has been received before reporting the fee amount to the department.</i></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 PQS' financial accounting system and has been banked appropriately.</p> <p>Please note:</p> <p><i>The PQS must only provide detail of co-contribution fees only after fees have been collected.</i></p>

AVETMISS REPORTING REQUIREMENTS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Report an AVETMISS postcode of where the student undertakes training.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 4</p> <p>Please note:</p> <p><i>If this is at the supplier's premises, this would be the postcode reported. If the student is predominantly undertaking training via the supplier's trainer attending the workplace, this would be the postcode 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 participation in training (see: 'Training' section of this evidence guide for more detail on evidence for AVETMISS delivery mode identifier)</p> <p>Please note:</p> <ul style="list-style-type: none"> <i>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). Locations attracting loading amounts can be found in the Queensland Training Subsidies Localities and Loadings.</i> <i>The audit team will examine training attendance sheets and training logs for evidence of delivery in country and remote locations.</i>

AVETMISS REPORTING REQUIREMENTS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Have not submitted claims for payment for units in excess of the competency count for the qualification.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 7</p>	<p>AVETMISS data reported against the program 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 PQS to check a student's statement of attainment when they have previously undertaken training, to determine if any completed unit/s of competency can be counted towards the qualification, in which the student intends to enrol. If yes, the PQS must record the unit of competency as a credit transfer.</p> <p>Pre-qualified Supplier Policy 2016-17: Appendix 4, Appendix 5 Appendix 7</p>	<ul style="list-style-type: none"> • policies and procedures relating to the supplier identification and application of credit transfers. • no duplicate claims • AISS print screen • 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.
<p>Please note:</p> <p><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 instances where evidence exists indicating the student has previously completed the same or equivalent unit of competency. (For example, after obtaining specific security licenses in Queensland, a student is required to undertake "triennial revalidation" and complete units of competency from Certificate II and / or III in Security Operations in order to maintain industry currency. The retraining of these units will not be funded under the Certificate 3 Guarantee.)</i></p>	<ul style="list-style-type: none"> • statement of attainment • mapping guide. <p>Please note:</p> <ul style="list-style-type: none"> • <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>

AVETMISS REPORTING REQUIREMENTS

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Report the accurate fund source code for the student and program.</p> <p><i>Pre-qualified Supplier Policy 2016-17: Appendix 4, Table 1 & 2</i></p>	<p>Enrolment form outlining the program the student is to be enrolled in:</p> <ul style="list-style-type: none"> • enrolment form • student records identifying the program • letter of referral from CBO • signed approval letter from the department.
<p>Accurately report the students highest level of school and year completed.</p> <p><i>Pre-qualified Supplier Policy 2016-17: Appendix 4</i></p>	<ul style="list-style-type: none"> • enrolment forms • school completion certificates.
<p>Report within 30 days, the qualification issued flag when the student has successfully completed all requirements of a recognised qualification and the supplier has issued the qualification.</p> <p><i>Pre-qualified Supplier Policy 2016-17: Appendix 4, Appendix 8</i></p>	<ul style="list-style-type: none"> • accurate submission of AVTEMISS data • qualification.
<p>Skilling Queenslanders for Work (SQW) — Report a valid Purchasing Contract Schedule Identifier (Purchase Schedule Number) and / or Purchasing Contract Identifier (Agreement Number).</p>	<ul style="list-style-type: none"> • SQW - VET Pre-qualified Supplier Agreement • letter of referral from CBO (this may include an excerpt and / or Appendix 4 of the CBO VET PQS Agreement).

ADMINISTRATION

RECORDS

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17</i>	<p><i>Clause 9</i> <i>Clause 10</i></p>			
<p>The supplier must keep the following information and material for six (6) years from the end of the term:</p> <ul style="list-style-type: none"> • information and material necessary to provide a complete record of training and assessment including: <ul style="list-style-type: none"> ○ 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 ○ evidence that the on-the-job training component (only if on-the-job training is applicable) has been achieved for each unit of competency for each student before the supplier claims payment of funding in relation to the unit of competency ○ evidence supporting the accuracy and validity of data included in reports provided by the supplier to the department under clause 5, including evidence supporting the start and end dates for each student for each unit of competency ○ copies of the qualifications and statements of attainment issued to each student. <p>For each unit of competency, for each student:</p> <ul style="list-style-type: none"> • the assessor's completed marking guide, criteria and observation checklists for the unit of competency • the completed assessment items for the unit of competency retained in hardcopy (paper-based) or electronic (digital / scanned) form <ul style="list-style-type: none"> ○ any other information and material reasonably requested by the department. <p><i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 9, Clause 10</i></p>				

INDUSTRY AND EMPLOYER NETWORKS

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Pre-qualified Supplier Policy 2016-17</i>	<i>Performance Standard 5</i>			
REQUIREMENTS		ACCEPTABLE EVIDENCE		
<p>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> <p><i>Pre-qualified Supplier Policy 2016-17: Performance Standard 5</i></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 PQS delivering pre-employment or foundation skills training, engagement with employment service providers, disability employment networks or other such bodies that facilitate employment outcomes for the particular cohort of students engaging in training and assessment • contact logs with employers, correspondence between the PQS and employer • vocational placement plans. 		



PUBLICITY & MARKETING

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Pre-qualified Supplier Policy 2016-17</i>	<i>Performance Standard 2</i> <i>Performance Standard 3</i>			
<i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17</i>	<i>Clause 11</i>			
Other relating documents	<i>Certificate 3 Guarantee Program Policy 2016-17</i> <i>Pre-qualified supplier marketing and disclosure directives fact sheet</i>			
<p>Skilling Queenslanders for Work (SQW) — the SQW initiative funds CBO to deliver tailored, local community-based support services as per project requirements to the selected target cohort. PQS are not funded under the SQW initiative and are not permitted to market the project or the additional support services. Additionally, CBO who hold a SQW agreement with the department are not permitted to market the qualifications offered by a PQS under their <i>VET Pre-qualified Supplier Agreement</i>.</p>				
REQUIREMENTS		ACCEPTABLE EVIDENCE		
Hold approval from the department for the specific program and qualification being marketed. <i>Pre-qualified Supplier Policy 2016-17: Performance Standard 2</i>	Written approval from the department for the specific program/s and qualification/s at the time the training and assessment services are delivered and the time funding is claimed in relation to that deliver.			
Comply with all department policies and directives in relation to the proper promotion and marketing of a program. <i>Pre-qualified Supplier Policy 2016-17: Performance Standard 2</i> <i>Pre-qualified supplier marketing and disclosure directives fact sheet</i>	All advertising material including, but not limited to, flyers, brochures, information packs and websites align with the relevant directives and policies.			
Do not use the Queensland Government Coat of Arms in advertising, communication and / or promotional material. <i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 11</i>				

PUBLICITY & MARKETING

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Do not advertise fee-free training, or market, advertise or offer any gift or other benefit to a student, prospective student, employer or any other person which, in the department's reasonable opinion, is considered to be an inducement or likely to influence the student, prospective student, employer or any other person to enrol with the PQS.</p> <p><i>Pre-qualified supplier marketing and disclosure directives fact sheet</i></p>	<p>All advertising material including, but not limited to, flyers, brochures, information packs and websites align with the relevant directives and policies.</p>
<p>Use the correct program name (Certificate 3 Guarantee) with the correct capitalisation. 'C3G' or 'Certificate III Guarantee' is not acceptable.</p> <p><i>Pre-qualified supplier marketing and disclosure directives fact sheet</i></p>	
<p>Acknowledge the Queensland Government and / or the department as the funding source.</p> <p><i>Pre-qualified supplier marketing and disclosure directives fact sheet</i></p>	
<p>Ensure any third party, irrespective of the nature of the relationship it has with the PQS, does not market the funding program, the PQS's funded training and assessment or the PQS's participation in the program. Failure to abide by this condition may result in termination of the VET PQS Agreement. Read the PQS marketing and disclosure fact sheet for further clarification. The department does not permit a third party to advertise employment opportunities with the sole purpose of referring individuals to training offered by a PQS. A 'third party' does not include a separate entity with expertise in marketing or similar, engaged by the PQS to provide advice to, or assist the PQS to market the PQS in line with the department's marketing instructions.</p> <p><i>Pre-qualified supplier marketing and disclosure directives fact sheet</i> <i>Pre-qualified Supplier Policy 2016-17: Performance Standard 3</i></p>	<ul style="list-style-type: none"> • Claims made are for students accessed only under marketing carried out by the PQS and not that of any third party advertising access to RPL, employment or training opportunities. • All advertising material including, but not limited to, flyers, brochures, information packs and websites align with the relevant directives and policies.

PUBLICITY & MARKETING

REQUIREMENTS	ACCEPTABLE EVIDENCE
<p>Ensure approval has been sought by the department for the advertisement of lower-level qualifications.</p> <p><i>Pre-qualified supplier marketing and disclosure directives fact sheet</i></p>	<p>Written approval from the department for the advertisement of lower-level qualifications identified as leading to direct employment outcomes.</p>






COMPLAINTS

REQUIREMENTS	ACCEPTABLE EVIDENCE			
Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Pre-qualified Supplier Policy 2016-17</i>	<i>Performance Standard 2</i>			
REQUIREMENTS	ACCEPTABLE EVIDENCE			
<p>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> <p><i>Pre-qualified Supplier Policy 2016-17: Performance Standard 2</i></p>	<ul style="list-style-type: none"> • information in student handbooks, flyers, information packs or induction scripts informing the student of the process to take if they have a complaint • a complaints policy and procedures document clearly outlining what the PQS staff must do to resolve complaints issues • records of complaints made and actions taken where relevant. 			



CONFLICT OF INTEREST AND INDUCEMENTS

Applicable to:	Certificate 3 Guarantee	Higher Level Skills	Skilling Queenslanders for Work	VET in Schools
<i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17</i>	Clause 12			
REQUIREMENTS		ACCEPTABLE EVIDENCE		
<p>Do not give or offer to give any gift or other benefit to a student including a prospective student or any other persons, which in the department's reasonable opinion is an inducement or likely to influence enrolment with the PQS in a qualification funded under the program.</p> <p><i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 12</i></p>	<ul style="list-style-type: none"> Marketing, promotional and advertising materials and any other marketing activities do not contain inducements or offers of gifts. Letters or emails sent by the PQS to the department regarding marketing activities and subsequent responses from the department. 			
<p>Immediately give notice to the department if a conflict or risk of conflict of interest arises. It is the responsibility of the PQS to identify any potential conflict of interest and its possible effect on the integrity of the funded arrangement and the outcomes expected from the program.</p> <p><i>Vocational Education and Training Pre-qualified Supplier Agreement 2016-17: Clause 12</i></p>	<ul style="list-style-type: none"> Risk management process addressing potential conflicts of interest, including inducement, and evidence of monitoring of these activities. Letters or emails sent by the PQS to the department outlining the conflict or risk of conflict of interest and subsequent response from the department. 			



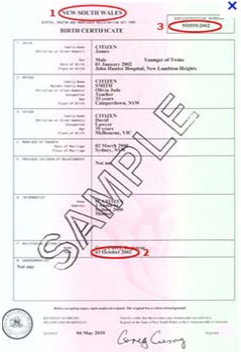
APPENDIX 1 – EVIDENCE OF ELIGIBILITY

IDENTIFICATION TYPE	AS EVIDENCE OF	SAMPLE
<p>Queensland Drivers Licence</p>	<p>Date of birth and / or Queensland residency (if back of licence, showing address, is captured).</p>	
<p>18+ card</p>	<p>Date of birth.</p>	
<p>Heavy vehicle or marine licence</p>	<p>Date of birth and / or Queensland residency (if back of licence, showing address, is captured).</p>	
<p>Pensioner Concession Card</p>	<p>Eligibility for concession and Queensland residency (if showing Queensland address).</p>	
<p>Health Care Card</p> <p>Different classes include:</p> <ul style="list-style-type: none"> ex-carer allowance (child) foster child low income 	<p>Eligibility for concession.</p> <p>Queensland residency (if showing Queensland address).</p>	

APPENDIX 1 – EVIDENCE OF ELIGIBILITY

IDENTIFICATION TYPE	AS EVIDENCE OF	SAMPLE
<p>Commonwealth Seniors Health Card</p>	<p>Eligibility for concession. Queensland residency (if showing Queensland address).</p>	
<p>Medicare card</p>	<p>A current green Medicare card is sufficient evidence of Australian Permanent Residency.</p> <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 Broder Protection 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>	

APPENDIX 1 – EVIDENCE OF ELIGIBILITY

IDENTIFICATION TYPE	AS EVIDENCE OF	SAMPLE
<p>Australian passport</p>	<p>Australian citizenship.</p>	
<p>Australian citizenship certificate</p>	<p>Australian citizenship.</p>	
<p>Australian birth certificate</p>	<p>Australian citizenship and date of birth.</p>	

APPENDIX 1 – EVIDENCE OF ELIGIBILITY

IDENTIFICATION TYPE	AS EVIDENCE OF	SAMPLE
Visa Entitlement Verification Online (VEVO)	Australian Permanent Residency.	
Certificate of Status for New Zealand Citizens in Australia (CSNZCA)	New Zealand Citizenship.	

ADDITIONAL EXAMPLES OF EVIDENCE TO SUPPORT QUEENSLAND RESIDENCY

Queensland residential address documents	<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 • Queensland local government rates notice • Queensland vehicle registration certificate • Queensland Drivers Licence or vehicle registration renewal notice • bank Sstatement 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.
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APPENDIX 2 - Eligibility requirements evidence guide – checklist (items 1-7 only)

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

EVIDENCE LIST

Driver's licence	✓	✓ ✓						
18+ card	✓							
Heavy vehicle or marine licence	✓	✓ ✓						
Birth certificate or birth extract	✓		✓ ✓ ✓	✓ ✓ ✓				
Australian, New Zealand or international passport	✓		✓ ✓ ✓	✓ ✓ ✓				
<i>Visa Entitlement Verification Online (VEVO)</i>					✓			
Certificate of Evidence of New Zealand Citizens in Australia (CSNZCA)				✓				
Dept. of Veterans' Affairs / Pensioner Concession Card		✓ ✓					✓	
Health Care Card		✓ ✓					✓	

APPENDIX 2 - Eligibility requirements evidence guide – checklist (items 1-7 only)

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

EVIDENCE LIST

Commonwealth Seniors Health Card		✓ ✓					✓	
Medicare card (current green only)			✓	✓	✓	✓		
Blue Medicare card						✓ ✓ ✓ ✓		
Senior Statement or Statement of Results								✓

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

★ Includes humanitarian permanent residency visas

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

LEGEND

✓	Suitable evidence.
✓ ✓	Must show a Queensland residential address if used as evidence of Queensland residency.
✓ ✓ ✓	Must be an Australian or 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.

GLOSSARY OF TERMS

TERM	DEFINITION	LINK IF APPLICABLE
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	http://apprenticeshipsinfo.qld.gov.au/about-us/aiss.html
AMEP	Adult Migrant English Program	https://www.education.gov.au/adult-migrant-english-program-0
AQF	Australian Qualifications Framework	http://www.aqf.edu.au/
ASQA	Australian Skills Quality Authority	http://www.asqa.gov.au/
AVETMISS	Australian Vocational Education and Training Management Information Statistical Standard	https://www.ncver.edu.au/support/topics/avetmiss/avetmiss-data-element-definitions
CBO	Community Based Organisation	https://training.qld.gov.au/community-orgs/funded/sqw
CSfWDF	Core Skills for Work Developmental Framework	https://www.education.gov.au/core-skills-work-developmental-framework
CSNZCA	Certificate of Status for New Zealand Citizens in Australia	http://www.border.gov.au/Trav/Life/Cert
DET	Department of Education and Training	https://det.qld.gov.au/
FFYr12	Fee-free training	https://training.qld.gov.au/training/incentives/year12-fee-free
FSAT	Foundation Skills Assessment Tool	https://www.education.gov.au/foundation-skills-assessment-tool
LLN	Language Literacy Numeracy	https://training.qld.gov.au/providers/inclusive/foundation/resources
PQS	Pre-qualified Supplier	https://training.qld.gov.au/providers/pqs

GLOSSARY OF TERMS

TERM	DEFINITION	LINK IF APPLICABLE
Queensland Training Subsidies List	Queensland Training Subsidies List	https://training.qld.gov.au/docs-data/strategies/vetinvest/subsidieslist
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/pages/qce.html
QCIA	Queensland Certificate of Individual Achievement	https://www.qcaa.qld.edu.au/senior/certificates-qualifications/qcia
RPL	Recognition of Prior Learning	https://training.qld.gov.au/training/recognition/rpl
RTO	Registered Training Organisation	https://www.asqa.gov.au/vet-registration/apply-initial-registration
SEE	Skills for Education and Employment	https://www.education.gov.au/skills-education-and-employment
SQW	Skilling Queenslanders for Work	https://training.qld.gov.au/community-orgs/funded/sqw
USI	Unique Student Identifier	https://www.usi.gov.au/documents/factsheet-student-information-rtos
VETiS	Vocational Education and Training in Schools	https://training.qld.gov.au/providers/funded/vetis
VEVO	Visa Entitlement Verification Online	http://www.border.gov.au/Busi/visas-and-migration/visa-entitlement-verification-online-(vevo)
A conflict of interest	in the reasonable opinion of an independent observer, the interest of the PQS comes into conflict with, or opposition to, the objectives or standards within the VET PQS Agreement, this PQS Policy or the relevant program policy.	
An inducement	the offer of gifts or money to a person or business to entice or persuade that person or business.	
Third party	any entity, organisation or person that is not a part of the RTO entity awarded PQS status (i.e. not employed by the PQS, or within its organisational structure such as a director). A third party operates as a separate entity in the marketplace, either with or without a contract or agreement with the PQS.	

GLOSSARY OF TERMS

TERM	DEFINITION	LINK IF APPLICABLE
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 PQS Policy are published on the Queensland Training Subsidies List on the department's website: https://training.qld.gov.au/docs-data/strategies/vetinvest/subsidieslist</p>	
Directly	within three (3) months of completion of the lower-level qualification.	
An existing worker	<p>is described in the Pre-qualified Supplier Policy as a current employee who has a one month or more employment relationship with their employer and has actively fulfilled work duties for this period. The one month working relationship could be full-time or on a part-time / casual employment equivalent basis. Existing workers have access to employee entitlement and therefore do not include volunteers. Registration with a Labour Hire Company does not satisfy the 'existing worker' requirement, unless at the commencement of the training the prospective student has been engaged in employment for a period of one month or more and is currently employed.</p>	
Certificate III trade qualification in the construction industry	a priority AQF certificate III level building and construction apprenticeship or traineeship qualification. Qualifications include apprenticeships and traineeships in horticulture (AHC), furnishing (MSF), engineering (MEM), infrastructure (RII) and electrotechnology (UEE).	

DOCUMENT CONTROL

Document	PQS Compliance Audit Evidence Guide for Pre-qualified Suppliers	
Approving authority:	Director, Market Quality Training and Skills	
Effective date:	6 February 2017	
Related documents:	Certificate 3 Guarantee Program Policy 2016-17	https://training.qld.gov.au/providers/funded/certificate3
	Higher Level Skills Program Policy 2016-17	https://training.qld.gov.au/providers/funded/higher-level-skills
	Pre-qualified supplier marketing and disclosure directives fact sheet	https://training.qld.gov.au/site/providers/Documents/pqs/become/pqs-marketing-disclosure-factsheet-2016-17.pdf
	Pre-qualified Supplier Policy 2016-17	https://training.qld.gov.au/providers/pqs/become
	Queensland Training Subsidies Localities and Loadings	https://training.qld.gov.au/docs-data/strategies/vetinvest/subsidieslist
	Queensland Training Subsidy List	https://training.qld.gov.au/docs-data/strategies/vetinvest/subsidieslist
	Skilling Queenslanders for Work	https://training.qld.gov.au/providers/funded/sqw
	VETiS	https://training.qld.gov.au/providers/funded/vetis
	Vocational Education and Training (VET) Pre-qualified Supplier (PQS) Agreement	https://www.trainandemploy.qld.gov.au/resources/training-organisations/pdf/vet-pre-qualified-supplier-agreement.pdf

DOCUMENT CONTROL

Document	PQS Compliance Audit Evidence Guide (User Choice 2016–17) for the <i>Further Education and Training Act 2014</i>
Approving authority:	Director, Market Quality Training and Skills
Approval date:	6 February 2017
Effective date:	6 February 2017
Related documents:	<ol style="list-style-type: none"> 1. <i>Further Education and Training Act 2014</i> 2. <i>Further Education and Training Regulation 2014</i> 3. Vocational Education and Training (VET) Pre-qualified Supplier (PQS) Agreement 4. PQS Compliance Audit Report (Certificate 3 Guarantee 2016–17)
Version control:	<p>Version 1 (released 13 November 2014)</p> <p>Version 2 (released 04 February 2016)</p> <p>Version 3 (released 6 February 2017)</p>
All documents are available online at: www.training.qld.gov.au or www.legislation.qld.gov.au .	