

Evidence of Participation Policy & Procedure

Purpose

This Policy ensures that sufficient evidence is documented for each subject/unit that a student has enrolled in, in a way that enables the Department to:

- Make a reasonable judgement about a Skills First Student's participation in learning and/or assessment
- Determine if the Evidence of Participation provided is sufficient to substantiate the claim that a Skills First Student participated in learning and/or assessment.

Scope

This policy applies to all the CEAV Institute (RTO 22523) including staff, students and stakeholders.

Responsibility

The RTO Manager – Head of Teaching & Learning is responsible for implementing this Policy and Procedure. Responsibilities regarding the collection and checking of Evidence of Participation are outlined in the Process for Checking Evidence of Participation.

Definitions or Reference Documents

Evidence of Participation (EOP) - Evidence of an individual's participation in training and assessment provided by CEAV Institute. This could be an activity done during class or a group activity.

This evidence must contain the student's name, signature, unit of competency, and the date and captures the learning/assessment activity that has taken place.

Policy

This Policy outlines the processes to be undertaken to assess and document sufficient evidence of participation for all programs on the Funded Scope that are delivered to Skills First Students.

Procedure

CEAV Institute will document Evidence of Participation (EOP) under the Skills First Program by:

- providing valid EOP that contains the Skills First student's name and/or client identifier, a subject identifier and a date expressed in day/month/year format.
- providing EOP relating to engagement in the subject in the accepted forms:
 - evidence of work submitted
 - Skills First teacher notes based on engagement with the student

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- Attendance roll
- Evidence of assessment
- Login and engagement evidence
- Flexible and distance learning records if applicable
- A Statutory Declaration (in exceptional circumstances)
- ensuring EOP is within the subject's Activity Start Date (ASD) and Activity End Date (AED)
- keeping the correct amounts of EOP as follows:
 - If the period between the Activity Start Date and Activity End date (inclusive) is 30 days or fewer, only 1 point of EOP is required
 - If the period between the Activity Start Date and Activity End date for the subject is more than 30 days, 2 points of EOP must be provided. The two points of EOP must be provided in compliance with the following conditions
 - a) the first is no later than 30 days **after** and no earlier than the reported ASD –
 - b) one point must be no earlier than 30 days before (and no later than) the reported Activity End Date; and
 - c) the two points of Evidence of Participation must be two different items of evidence from the following list:

Items of Evidence of Participation	Explanation and minimum requirements
a) evidence of work submitted by the Skills First Student relating to engagement in the subject	<p>This must be the work itself or a copy if this is not possible.</p> <p>If the information required cannot be recorded on the work itself, separate evidence must be provided to link the work to the Skills First Student, the subject and date it was completed.</p> <p>For example, a delivery schedule (timetable, lesson plan or equivalent) detailing how the piece of work covers the subject in question, including due dates and milestones for completion of the work.</p> <p>To be valid the Evidence of Participation must contain</p> <ul style="list-style-type: none"> ○ student name or client identifier ○ a subject identifier ○ a date expressed in day/month/year format

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	<p>Examples of Evidence of Participation can include:</p> <ul style="list-style-type: none"> • Assessments, workbooks, practical placement workbooks, observation checklists • Assessment Feedback Record attached to the assessment • Assessment Submission/Cover Sheet attached to the assessment • RPL Assessment Tool • Moodle activities • Exercises from textbooks • Simulation records • Discussion of case studies 	
<p>b) Skills First Teacher notes based on communication between the Skills First Teacher and Skills First Student establishing their engagement in the learning and/or assessment activity of the subject</p>	<p>Skills First Teacher notes include:</p> <ul style="list-style-type: none"> ○ Personal interview ○ Two-way telephone conversations or e-mail exchanges; or ○ Other communication about the Skills First Student's engagement in learning and/or assessment activity of the subject. ○ Student file notes ○ Student Log/Chat Logs ○ Trainer/Assessor notes ○ E-mails ○ Diary notes ○ Contact log <p>It may include reference to notes from another person working alongside the Skills First Teacher such as an industry expert or workplace supervisor.</p>	
<p>c) Training Provider endorsed attendance</p>	<p>Attendance Record (hard copy)</p>	

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<p>roll showing that the Skills First Student attended a training session related to the subject.</p>	<p>The attendance roll must:</p> <ul style="list-style-type: none"> d) be recognised by the Training Provider as a tool to record attendance used as part of its normal processes; e) be accompanied by additional evidence to show how information is entered, updated, and interpreted if the attendance roll is kept electronically; f) be signed by the Skills First Teacher who conducted the training session, and show their name; g) include the date of the training session; and h) show what subject was delivered at the point at which the Skills First Student is marked on the roll as having attended. <p>For clustered delivery (where a training session or assessment activity covers more than one subject), the Department may request additional evidence to show what subjects were delivered in each training session, such as a delivery schedule (a timetable, lesson plan or equivalent), to verify that the attendance roll provides sufficient Evidence of Participation.</p> <p>Where a Skills First student has only attended the first class of the program, an attendance roll for a subject delivered in that class is not sufficient Evidence of Participation unless the Training Provider provides supporting documentation demonstrating that there was an engagement in the learning and/or assessment activities of the subject indicated on the roll during that class. Attendance at an induction or orientation class alone is not sufficient Evidence of Participation.</p>
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<p>d) primary documentation that provides evidence of assessment</p>	<p>The documentation must be in the form of a secure record that indicates an actual result consistent with the outcome of an assessment (for example 'competent/not yet competent' or a marked score).</p> <p>The documentation must be endorsed at the subject level and signed by the Skills First Teacher who made the assessment, to confirm the accuracy of the information.</p> <p>For all RPL outcomes, only the primary assessment tool used for any skills recognition assessments will be accepted.</p>	
<p>E) secure login to an online learning management system and evidence of the Skills First Student's engagement with learning and/or assessment activity required for the subject</p>	<p>Where a Skills First Student has a secure login (meaning they are issued a unique user ID and password) to an online learning management system to undertake learning and/or assessment activity for the subject, the Training Provider must have:</p> <ul style="list-style-type: none"> i) a record of the login; and ii) evidence that the Training Provider has checked with the student that they are continuing to engage in the subject. <p>A login record indicating the Skills First Student received training materials alone is not sufficient Evidence of Participation. Evidence of engagement with learning and/or assessment activity should also be provided, for example, participation in a discussion forum, completion of an online quiz, completion of an online reflection task or similar activities.</p>	
<p>f) in flexible and distance modes of learning, communication between the Training Provider and Skills First Student engagement confirming that the Skills First Student</p>	<p>This must include evidence that the Training Provider has checked with the Skills First Student that they are continuing to engage in the subject.</p>	

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has commenced engagement in learning and/or assessment activity	
g) in extreme circumstances (for example, fire, flood, or other equivalent circumstances), a statutory declaration from the relevant Training Provider Personnel attesting to the Skills First Student's engagement in learning and/or assessment activity	If extreme circumstances prevent the Training Provider from retaining any of the items of Evidence of Participation in paragraphs (a) to (f), the Training Provider must contact the Department for further information and comply with the requirements directed by or agreed with the Department.
Other Items of Evidence of Participation	<p>Evidence of learning and/or engagement activity that occurs as part of a Skills First Student's Practical Placement MAY be accepted as Evidence of Participation.</p> <p>Sufficient information must be provided to show how the Practical Placement evidence learning and/or engagement in the relevant subject and must meet all other requirements of the relevant item of Evidence of Participation.</p> <p>Note: Practical Placement agreements alone are not accepted as Evidence of Participation</p>

Note - Documents such as 'catch all' sets of questions as Evidence of Participation in the absence of other evidence of learning and/or engagement in the subject are not acceptable. These sets of questions are typically completed on the first day of an individual's attendance, covering all subjects within the cluster, and are not considered to demonstrate engagement in learning and/or assessment activity.

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Process for Checking Evidence of Participation	
Type of Evidence	Evidence must contain
Attendance Record	<p>The attendance record must:</p> <ul style="list-style-type: none"> • show the unit of competency delivered on each day/during each session. If multiple or clustered units are delivered concurrently, a delivery plan must also be included to support this. <ul style="list-style-type: none"> ○ The endorsed attendance record must be completed accurately including: <ul style="list-style-type: none"> ▪ Date of the training session ▪ qualification code and title, ▪ unit of competency code and title, ▪ student name, ▪ student signature ▪ trainer/assessor name ▪ trainer/assessor signature ○ The date must be recorded in day/month/year format • use the correct coding of student attendance (as stated on the attendance record): <ul style="list-style-type: none"> ○ P for Present and A for Absent ○ AN for Absent with Notification ○ PA for Partial Attendance (late or left early) ○ NR for Not Required <p>The trainer/assessor is to forward the attendance record to the RTO Student Services Assistant/Admin.</p> <p>For clustered delivery:</p> <ul style="list-style-type: none"> • where, for the purposes of delivery and assessment, units of competency are clustered together, the evidence provided must satisfy participation at the singular unit of competency level,

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	<ul style="list-style-type: none"> • where the subjects are delivered consecutively, the roll must be clearly annotated to indicate what training was actually delivered in the session at the unit of competency level, and • for other types of clustered delivery, a delivery plan must be provided that clearly shows the planned training at the unit of competency level and on what date/s the Eligible Individual was in attendance. <p>NOTE: pen must be used by both trainers/assessor and students to sign and date the attendance record. A pencil is NOT acceptable.</p>
<p><i>Assessments</i></p>	<p>The assessment must contain:</p> <ul style="list-style-type: none"> • student's name and ID number • unit of competency/module title and code • date of assessment or activity recorded a day/month/year– this must fall within the time span identified by the enrolment period • trainer/assessor's name and <u>signature</u> • the result/outcome of the completed student assessment/tasks – satisfactory/not satisfactory • complete assessment tasks/workbooks/checklists, etc. <p>Trainer/Assessors must maintain either a secure paper-based or electronic record of the completed student assessment.</p>

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<p><i>File Notes</i></p>	<p>File notes from personal interviews, telephone, e-mail, or other communication modes on the engagement of a student in learning and/or assessment activity of the unit of competency must include the following information to be deemed compliant:</p> <ul style="list-style-type: none"> • a log of interaction between the trainer/assessor and the student specifically aligned to a unit of competence <p>The record of this contact must be unit specific and include the following:</p> <ul style="list-style-type: none"> • Unit of competency/module title and code • Date of interaction recorded as day/month/year • Student's name • Details of student and trainer/assessor discussion and outcomes. These details must be specific to the unit and clearly document the exchange between the student and the trainer/assessor leading to the student gaining learning and competence in that module/unit of competence • Trainer/assessor's name and <u>signature</u> • File notes may also include reference to notes from another person working alongside the <i>Skills First</i> teacher, for example, and industry expert or workplace supervisor
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<p><i>Online Delivery Record (e.g., Moodle)</i></p>	<p>To be deemed compliant, the online delivery record must:</p> <ul style="list-style-type: none"> require the student to have a secure login to a specific learning activity for the unit of competency/module in which they are enrolled, the login record demonstrating online participation will constitute evidence of engagement <p>The online record must identify:</p> <ul style="list-style-type: none"> Unit of competency/module title and code Student's name and ID number Date and time the student logged in for access to materials or assessment The specific learning or assessment activity that the student engaged in <p>Note: A login record indicating a student accessed training material is not considered sufficient as evidence of participation.</p>
<p><i>RPL</i></p>	<p>For the RPL assessment records to be deemed compliant:</p> <ul style="list-style-type: none"> records for all successful and unsuccessful RPL assessments must be maintained <p>The RPL Evidence and Assessment Record must be completed for each RPL application, including unsuccessful applications.</p> <p>Refer to the <i>Recognition of Prior Learning Procedure and Form</i> for further information on this process.</p>
<p>CEAV Institute is required to retain Evidence of Participation as evidence to support the claim for payment.</p>	

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Process for checking evidence of Student Participation

1. Check Evidence of Student Participation (EOP)

Checking EOP is an ongoing quality assurance activity that is conducted throughout the duration of a student's learning and assessment cycle.

Activity	Responsibility	Steps
A. Determine all units student has enrolled in	RTO Student Services Assistant Administration	Print the students' Client Enrolment Report from VETtrak (Student Management System).
B. Determine the duration of unit enrolment	Trainer/Assessor	<ul style="list-style-type: none"> Review the unit start and unit end date to determine how many pieces of EOP are required. If the duration is greater than 30 days, two pieces of EOP must be retained on file. If two pieces of EOP are required, the same form of evidence will not be accepted for both pieces of EOP (e.g., attendance record and assessment must be used, not an attendance record twice). <ul style="list-style-type: none"> Where all assessment evidence has been submitted and the result is dependent on the completion of Work placement: Evidence of the student's ongoing engagement in the units remaining open must be retained in the form of notes from the assessor or

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		integrated case studies or demonstration in simulation.
C. Determine whether evidence of participation for the first 30 days of engagement meets EOP regulatory requirements	Trainer/Assessor	<ul style="list-style-type: none"> Check the student start date for the nominated unit and ensure that there has been no student engagement prior to that date. Workplace evidence may only be collected once the unit has commenced.
D. Check evidence for required details	Trainer/Assessor	<ul style="list-style-type: none"> Correct Unit Code and Title Student Name and ID Date of Activity/Attendance Trainer/Assessor Signature Student Signature Note: Electronic signatures for system logins such as Moodle are accepted as valid signatures.
E. If the unit duration is greater than 30 days, determine whether evidence of participation for the last 30 days of engagement meets EOP requirements	Trainer/Assessor	<ul style="list-style-type: none"> Check the student end date for the nominated unit and ensure that there has not been any student engagement after the end date. Note: When a unit has been resulted, the result date becomes the end date. Look for evidence that shows student participation within the last 30 days of the unit end date.
		<ul style="list-style-type: none"> Check that the second piece of evidence is a different form/type of evidence than was used for the student's first 30 days. The Department may request to sight a second piece of EOP for units that are

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		ongoing that have more than 30 days of scheduled engagement but have not yet been completed to demonstrate continuing participation.
F. Check evidence for required details	Trainer/Assessor	<ul style="list-style-type: none"> • Correct Unit Code and Title • Student Name and ID • Date of Activity • Trainer/Assessor Signature • Student Signature <p>Note: Electronic signatures for system logins such as Moodle are accepted as valid signatures.</p>

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Action		
2. Process for EOP for Withdrawing Students (with/without participation)		
Activity	Responsibility	Steps
A. Process a withdrawal for a student who has engaged in some learning activity	Trainer/Assessor	<p>When a student withdraws or is withdrawn from a unit of competence:</p> <ul style="list-style-type: none"> The student must be withdrawn from the unit of competence and administrative tasks completed to support the withdrawal. The completed Withdrawal Form will show how many hours the student was engaged in learning for the nominated unit. <p>All withdrawals must be processed no later than two (2) months from the point of withdrawal as per the Funding Contract.</p>
B. Process withdrawing students who have not engaged in any learning activity	Trainer/Assessor	<p>The student must be withdrawn from the unit promptly and administrative tasks completed to support the withdrawal – see Withdrawal Procedure.</p> <p>This will provide supporting documentation for a student file such as a signed and completed Withdrawal Form confirming zero hours of participation in the unit and demonstrating no student engagement within the first 30 days.</p>

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3. Resulting		
Activity	Responsibility	Steps
A. Enter student results into Student Management System	Co-ordinator RTO Student Services	<ul style="list-style-type: none"> Determine the correct Student Management System result code (e.g., CY, CN, WD, WP) Enter the correct 'date' into the Student Management System. The result date should be supported by assessment evidence. Enter the code into the student Management System, ensuring that the end date has not already passed. <p>For more information on results, please refer to the VET Assessment Procedure.</p>
4. Check EOP prior to archiving the student file		
Activity	Responsibility	Steps
A. Check the file for compliant EOP prior to archiving	Trainer/Assessor/Educ ation Manager	<ul style="list-style-type: none"> As HESG can audit a student's file for participation anytime the completed student files must be thoroughly checked prior to archiving to ensure they will meet all contract requirements. Confirm that there is compliant EOP for each module/unit of competency identified on a student's Training Plan. Check that units that are delivered over more than a 30-day period have two different forms of compliant EOP.

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		<ul style="list-style-type: none"> • Check that the first piece of complaint EOP is within the first 30 days of the unit start date. • Check that the second piece of complaint EOP is within the last 30 dates of the unit end date.
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Meeting the requirements of the VET Quality Framework

- Skills First Contact Schedule 1:
Clause 9 Evidence of Participation

Related Documents

- Quality Indicator Surveys – Learner and Employer
- VET Survey – post enrolment and mid-course
- Validation Policy and Procedure
- Moderation Policy and Procedure
- Validation Schedule
- Validation Checklist
- Industry Consultation Register
- Student File Checklist
- Complaints and Appeals Policy and Procedure
- Student Complaints and Appeals Policy & Procedure
- Skills First Contract – Schedule1, Clause 9

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Legislation	Relevant Websites
Commonwealth	
National Vocational Education and Training Regulator Act 2011, including the July 2020 amendments	https://www.legislation.gov.au/Details/C2020C00250
Australian Privacy Principles	https://www.oaic.gov.au/privacy/australian-privacy-principles
Commonwealth Privacy Act 1988 and Amendments	https://www.legislation.gov.au/Details/C2014C00076
Public Records	https://www.legislation.vic.gov.au/in-force/acts/public-records-act-1973/041
Victorian	
Education and Training Reform Act 2006	https://www.legislation.vic.gov.au/in-force/acts/education-and-training-reform-act-2006/091
Victorian Privacy Act 2008	https://www.vic.gov.au/privacy-vicgovau
Privacy and Data Protection Act 2014	https://www.legislation.vic.gov.au/in-force/acts/privacy-and-data-protection-act-2014/027