

# Evidence of Student Participation / Engagement (VET) Procedure

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## Table of Contents

Purpose .....	1
Scope .....	1
Legislative Context .....	2
Definitions .....	2
Actions .....	2
1. Gather quality documentation that supports Evidence of Participation (EOP) .....	2
2. Check Evidence of Student Participation (EOP) .....	5
3. Process EOP for Withdrawing Students (with/without participation) .....	8
4. Resulting .....	8
5. Checking completeness of evidence including EOP prior to archiving the student file .....	9
Supporting Documents .....	10
Responsibility .....	10
Promulgation .....	10
Implementation .....	11
Records Management .....	11

## Purpose

This procedure details the types of documentation required to be captured and recorded in student files to demonstrate student participation, to:

- support claims for training and/or assessment delivery payment from Higher Education Skills Group HESG; and
- ensure compliance with the VET Funding Contract Agreement requirements

The Department of Education may conduct an audit, review or investigation at any reasonable time to confirm the University is complying with the Contract. The Department will initiate Business Process audits and Transactional Compliance audits which incorporate Evidence of Participation (EOP) audits at regular intervals to confirm and support payment claims made for training and/or assessment delivery to eligible individuals under the VET Funding Agreement.

## Scope

This procedure applies to all VET students' files relating to unit(s) of competency/module(s) for which funding has been claimed from HESG. This includes every unit a student has:

- been assessed as Competent;
- been assessed as Not Yet Competent;
- been assessed as Competent through Recognition of Prior Learning (RPL);
- unsuccessfully applied for RPL;
- been awarded with a confirmed and authenticated Credit Transfer
- participated in the unit/module and withdrawn prior to completion of the unit;
- commenced in and has not yet completed learning and assessment activities

## Legislative Context

- The Dual Sector VET Funding Contract between the Department of Education and Training and Federation University.

## Definitions

Term	Definition
Evidence of Participation (EOP)	<p>Evidence of an individual's participation in training and assessment provided by the University, as detailed in the current VET Funding Agreement.</p> <p>Evidence that contains the student's name, signature, unit of competency/module and date and captures the learning/assessment activity that has taken place.</p>

## Actions

### 1. Gather quality documentation that supports Evidence of Participation (EOP)

Evidence retained in student files must clearly demonstrate student participation in a specific unit/module.

Valid Evidence	
Type of Evidence	Examples
<i>Evidence of work submitted relating to engagement by the student in the unit of competency or module.</i>	<ul style="list-style-type: none"> <li>• Completed Assessment activities, completed workbooks, practical placement workbooks, completed checklists</li> <li>• Assessment Feedback Record attached to assessment</li> <li>• Assessment Submission/Cover Sheet attached to assessment</li> <li>• Completed RPL Assessment Activities</li> <li>• Moodle activities clearly supported by a Moodle Activity Report</li> </ul>
<i>Trainer assessor notes based on personal interviews, telephone, e-mail or other communication modes on the engagement of a student in</i>	<ul style="list-style-type: none"> <li>• Student file notes (using ATOM or approved file note template)</li> <li>• Student Log</li> <li>• Trainer/Assessor notes</li> <li>• Emails</li> <li>• Diary notes</li> </ul>

<i>learning activity of the unit of competency or module</i>	<ul style="list-style-type: none"> <li>Atom contact log</li> </ul>
<i>A provider endorsed attendance roll.</i>	<ul style="list-style-type: none"> <li>University Approved Attendance Record (hard copy) or an electronic version of an attendance record</li> </ul>
<i>Evidence to support engagement when primary recording documentation is not available.</i>	<ul style="list-style-type: none"> <li>In extreme circumstances such as fire or flood, a Statutory Declaration signed by the relevant training staff affirming student's participation and a full explanation of the reasons why primary recording documentation is not available</li> </ul> <p>In order to constitute sufficient Evidence of Participation, an appropriate Training Provider Personnel member must provide a full explanation of the reasons why primary recording documentation is not available and:</p> <ul style="list-style-type: none"> <li>a signed and dated statutory declaration containing a full explanation of the evidence being provided and affirmed that is sufficient to substantiate the claim that the Eligible Individual participated. It should be noted that a signed document merely stating that participation within the enrolment has occurred would not meet verification requirements; and/or</li> <li>a statement from an Eligible Individual declaring they participated in the unit of competency;</li> </ul>
<i>Login and engagement with learning activity required for the unit of competency or module.</i>	<ul style="list-style-type: none"> <li>On-line participation record from Moodle, Catapult or other on-line sources.</li> </ul>
<i>Flexible and distance modes of learning</i>	<ul style="list-style-type: none"> <li><i>records and staff/student engagement with learning activity at a unit of competency or module level that indicates the student has commenced working on the learning materials received.</i></li> </ul>
Employer Sign Off	<ul style="list-style-type: none"> <li>signed and dated employer sign off derived from the University approved apprenticeship management system</li> </ul>

**Invalid Evidence** - The following documentation **cannot** be utilised as sources of evidence of participation as it does not demonstrate active engagement in learning and assessment activities:

<i>Type of Evidence</i>	Examples
Training Plan	<ul style="list-style-type: none"> <li>this details the individual training plan of a student, but does not demonstrate participation/engagement in a unit.</li> </ul>
Cumulative Assessment Record	<ul style="list-style-type: none"> <li>this demonstrates the student's assessment progress, but does not demonstrate student participation/engagement.</li> </ul>
Student Academic Progress Tracker APT,	<ul style="list-style-type: none"> <li>Student Academic Progress Tracker (APT), this demonstrates which units a student has been enrolled and/or graded in, but does not demonstrate student participation/engagement in these units.</li> </ul>
Where two pieces of EOP are required (unit duration greater than one month)	<ul style="list-style-type: none"> <li>the same form of evidence will not be accepted for both pieces of EOP.</li> </ul>

Suggested types of evidence	
Type of Evidence	Evidence must contain the following information to be deemed compliant:
Attendance Record	<p>An attendance record must:</p> <ul style="list-style-type: none"> <li>List 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 and clearly demonstrate which learning and assessment activities are from what unit.</li> <li>The endorsed attendance record must be completed accurately including: qualification code and title, unit of competency code and title, student name, date and trainer / assessor signature</li> <li>If approval has been obtained to use an attendance roll other than the University approved attendance record, the attendance record must:               <ul style="list-style-type: none"> <li>include the University's branding in the header or footer of the document</li> <li>clearly state the qualification code and title, unit of competency code and title, student name, date and trainer / assessor signature</li> </ul> </li> <li>Use the correct coding of student attendance (as stated on the attendance record), e.g.               <ul style="list-style-type: none"> <li>P for Present</li> <li>A for Absent</li> <li>AN for Absent with notification</li> <li>PA for Partial attendance</li> <li>NR for Not required</li> </ul> </li> <li>The trainer/assessor must enter student attendance details accurately to capture attendance and engagement into the approved tracking system after each session.</li> </ul> <p>For clustered delivery:</p> <ul style="list-style-type: none"> <li>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.</li> <li>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</li> <li>for other types of clustered delivery, a delivery plan must be provided that clearly demonstrates the planned training at the unit of competency level and on what dates/s the Eligible Individual was in attendance.</li> </ul>
Assessments	<p>To be deemed compliant, all assessment activities must contain:</p> <ul style="list-style-type: none"> <li>Student's name and ID number.</li> <li>Unit of competency/module title and code.</li> <li>Date of assessment or activity (this must fall within the time span identified by the enrolment period).</li> <li>Trainer/Assessor's name and <b>signature</b>.</li> <li>The result/outcome of the completed student assessment / tasks</li> <li>Complete Assessment Tasks/Workbooks/Checklists etc.</li> </ul>

	Trainer/Assessors must maintain either a secure paper-based or electronic record of the completed student assessment
<i>File Notes</i>	<p>File notes that capture interaction between the trainer/assessor from personal interviews, telephone, e-mail, or other communication modes on the engagement of an Eligible Individual 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"> <li>• Unit of competency/module title and code.</li> <li>• Date of interaction.</li> <li>• Student's name and ID number.</li> <li>• 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.</li> <li>• Trainer/assessor's name and <b>signature</b>.</li> <li>• Files notes may also include reference to notes from another person working alongside the trainer/assessor, for example an industry expert or workplace supervisor;</li> </ul>
<i>Online delivery (e.g. Moodle)</i>	<p>To be deemed compliant, the online delivery record must:</p> <ul style="list-style-type: none"> <li>• 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 on-line participation will constitute evidence of engagement.</li> <li>• The on-line record must identify:</li> <li>• Unit of competency/module title and code</li> <li>• Student's name and ID number.</li> <li>• Date and time the student logged-in for access to materials or assessment to indicate the specific learning or assessment activity that the student engaged in.</li> <li>• Note: A login record indicating a student accessed training material is not considered sufficient as evidence of participation.</li> </ul>
<i>RPL</i>	<p>To be deemed compliant, RPL assessment records must capture:</p> <ul style="list-style-type: none"> <li>• Records for all successful and unsuccessful RPL assessments must be maintained within the student file.</li> <li>• The <b>RPL/RCC Evidence and Assessment Record</b> must be completed for each RPL application, including unsuccessful applications.</li> <li>• Refer to the <a href="#">VET Recognition of Prior Learning (RPL) and Credit Transfer Assessment Procedure</a> and the <b>RPL/RCC Evidence and Assessment Record Form</b> for further information on this process.</li> </ul>

## 2. Check Evidence of Student Participation (EOP)

Checking evidence of 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 unit's student has enrolled in	Trainer/Assessor	<ol style="list-style-type: none"> <li>1. Print the students' Academic Progress Tracker APT from the student management system</li> </ol>
B.	Determine duration of unit enrolment	Trainer / Assessor	<ol style="list-style-type: none"> <li>1. Review the unit start and unit end date to determine how many pieces of EOP are required</li> <li>2. If the unit duration is greater than 30 days, two pieces of EOP must be retained on file</li> <li>3. If two (2) pieces of EOP are required, only a completed student assessment with a result can be used as the 2<sup>nd</sup> piece of EOP.</li> <li>4. If the subject is a Literacy and Numeracy Support unit, regardless of the period between the Activity Start Date and Activity End Date only 1 piece of EOP is required.</li> </ol>
C.	Determine whether evidence of participation for first 30 days of engagement meets EOP regulatory requirements	Trainer/Assessor	<ol style="list-style-type: none"> <li>1. Check student start date for nominated unit and ensure that there has been no student engagement prior to that date.</li> <li>2. Look for evidence that shows student participation within the first 30 days of commencement of unit.</li> <li>3. Check that evidence selected will show genuine engagement (see summary of suggested evidence above) and not simply an induction, information or orientation class.</li> </ol>
D.	Check evidence for required details.	Trainer/Assessor	<ol style="list-style-type: none"> <li>1. Correct Unit Code and title</li> <li>2. Student Name and ID</li> <li>3. Date of activity / attendance</li> <li>4. Trainer/Assessor signature</li> <li>5. Student signature</li> </ol> <p>Note: Electronic signatures for system logins such as Moodle</p>

			and ATOM are accepted as valid signatures.
E	If the unit duration is greater than 30 days, determine whether evidence of participation for engagement meets EOP regulatory requirements	Trainer/Assessor	<ol style="list-style-type: none"> <li>1. Check students end date for nominated unit and ensure that there has not been student engagement after the end date           <ul style="list-style-type: none"> <li>• Note: - when a unit has been resulted, the Grade date becomes the end date.</li> </ul> </li> <li>2. Look for evidence that shows student completed the assessment for the subject and recieved a result.</li> <li>3. Check that the second piece of evidence has a result of 'satisfactory/unsatisfactory' or 'competent/not yet competent'.</li> <li>4. The Department may request to sight a second piece of EOP for units that are ongoing that have more than 30 days scheduled engagement but have not yet been completed to demonstrate continuing participation particularly for units that have long timeframes scheduled to achieve the required learning and assessment outcomes.</li> </ol> <p>It should be noted that during an external audit by the Department, the Department will determine if EOP provided is sufficient to substantiate any claim that a student participated in learning and/or assessment.</p>
F.	Check evidence for required details.	Trainer/Assessor	<ol style="list-style-type: none"> <li>1. Correct Unit Code and title</li> <li>2. Student Name and ID</li> <li>3. Date of activity</li> <li>4. Trainer/Assessor signature</li> <li>5. Student signature</li> </ol> <p>Note: Electronic signatures for system logins such as Moodle and ATOM are accepted as valid signatures.</p>

### 3. Process 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 module/unit of competence:</p> <ol style="list-style-type: none"> <li>1. The student must be withdrawn from the module/unit of competence and administrative tasks completed to support the withdrawal – see <a href="#">Enrolment Withdrawal (TAFE) Procedure</a>.</li> <li>2. The completed withdrawal form will show how many hours the student was engaged in learning for the nominated unit.</li> <li>3. Look for one (1) piece of evidence of participation of engagement that meets EOP regulatory requirements.</li> <li>4. All withdrawals must be processed no later than two (2) months from the point of withdrawal as per the VET Funding Contract.</li> </ol>
B.	Process withdrawing students who have not engaged in any learning activity	Trainer/Assessor	<ol style="list-style-type: none"> <li>1. The student must be withdrawn from the unit promptly and administrative tasks completed to support the withdrawal – see <a href="#">Enrolment Withdrawal (TAFE) Procedure</a>.</li> <li>2. 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.</li> </ol>

### 4. Resulting

	ACTIVITY	RESPONSIBILITY	STEPS
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A.	Enter student results into Student Management System	Trainer/Assessor	<ol style="list-style-type: none"> <li>1. Determine the correct student management system result code, eg; CY, CN, WD, WP</li> <li>2. Enter the correct 'grade date' into the student management system. Grade date should be supported by assessment evidence</li> <li>3. Enter the code into the student management system, ensuring that the end date has not already passed.</li> <li>4. If the date has passed, contact Student HQ before entering</li> </ol> <p>For more information on resulting please refer to the <a href="#">VET Assessment Procedure</a>.</p>
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## 5. Checking completeness of evidence including EOP prior to archiving the student file

	ACTIVITY	RESPONSIBILITY	STEPS
A.	<p>Only fully completed student files should be archived.</p> <p>Check file for completeness prior to archiving, this includes all pre-enrolment documents, unit assessment tasks, files notes, employer sign offs and a print out of the student final results.</p> <p>Ensuring that all documents are in the student file prior to archiving will confirm EOP and validity of testamatur issuance</p>	Trainer/Assessor/Education Manager	<ol style="list-style-type: none"> <li>1. As HESGcan 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</li> <li>2. Confirm all pre-enrolment/ enrolment documentation has been completed and is in file</li> <li>3. Confirm that there is compliant EOP for each module/unit of competency identified on a student's Academic Progress Tracker APT</li> <li>4. Confirm that units that are delivered over more than a 30 day period have two different forms of compliant EOP. Such as Student attendance rolls, Completed Assessment activities and/ and Moodle Activity Reports</li> <li>5. Check that the first piece of compliant EOP is within the</li> </ol>

			<p>first 30 days of the unit start date</p> <ol style="list-style-type: none"> <li>6. Check that the second piece of compliant EOP is a completed assessment for the subject and received a result of 'satisfactory/unsatisfactory' or 'competent/not yet competent'</li> <li>7. Confirm all evidence requirements as listed on the Federation TAFE Student File Checklist has been confirmed</li> <li>8. Print a copy of the students results/statement of attainment and place in file</li> <li>9. Archive student file in accordance with Federation University <a href="#">Records Management Procedure</a></li> </ol>
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## Supporting Documents

- [VET Assessment Procedure](#)
- [VET Recognition of Prior Learning \(RPL\) and Credit Transfer Assessment Procedure](#)
- RPL/RCC Evidence and Assessment Record
- [Enrolment Withdrawal \(TAFE\) Procedure](#)
- [Federation TAFE - Student File Checklist](#)

## Responsibility

- The Provost is the *Approval Authority* responsible for monitoring the implementation, outcomes and scheduled review of this procedure.
- The Manager of Policy and Quality Services is the *Document Owner* responsible for maintaining the content of this procedure.

### Forms.

- [Evidence of Participation Audit Checklist](#) (XLSX 102.2kb)
- [Flexible Delivery Participation Record - Entire Class - Multiple Units](#) (DOCX 609.1kb)
- [Flexible Delivery Participation Record - Entire Class - Single Unit](#) (DOCX 606.5kb)
- [Flexible Delivery Participation Record - Individual Student](#) (DOCX 607.5kb)

## Promulgation

The Evidence of Participation Procedure will be communicated throughout the University community in the form of:

1. an Announcement Notice via FedNews website and on the 'Recently Approved Documents' page on the 'Policies, Procedures and Forms @ the University' website to alert the University-wide community of the approved Procedure;

2. distribution of e-mails to Head of School / Head of Department / University staff; and/or
3. Notification to Faculties.

## Implementation

The Evidence of Participation/Engagement (VET) Procedure will be implemented throughout the University via:

1. Information sessions; and/or
2. Training sessions

## Records Management

Document Title	Location	Responsible Officer	Minimum Retention Period
Program/Course Delivery Timetable		Program Manager	7 years
Student Attendance/ Participation Records		Program Manager	7 years
Complete Student Assessments/Assessment Records		Program Manager	7 years
RPL/RCC Evidence and Assessment Record		Program Manager	7 years
Unit Outline		Program Manager	7 years
Assessment Tools		Trainer/Assessor	7 years
Student/Teacher Interaction Records		Trainer/Assessor	7 years