Evidence of Student Participation and Engagement

Evidence is required to demonstrate a student has participated/engaged in each unit of competency/module for which the University has claimed funding from Higher Education and Skills Group (HESG). This includes units 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;
- participated in the unit/module and left prior to completion of the unit;
- commenced in the current year, but training and delivery of unit continues into the next year.

In supplying evidence of student participation / engagement per unit of competency/module, the following must be provided:

1. One (1) piece of Evidence of Participation per unit of competency/module within the first month of Training Services provided; and
2. One (1) piece of Evidence of Participation per unit of competency/module within the last month of Training Services provided; and
3. If two pieces of Evidence of Participation are required, two different forms of Evidence of Participation must be used (eg. an attendance record for the first piece of EOP and an assessment task as the second piece of EOP).
4. For units of competency/modules that extend over more than one month, additional Evidence of Participation may be required to demonstrate training occurring between the commencement and completion dates.

**Purpose of the Evidence of Participation (EoP) Audit**

The purpose of the Evidence of Participation audit is to ensure the quality of information retained on student participation and engagement in learning activities supports claims for payment from HESG for training by the University.

An Evidence of Participation audit would be instigated if any HESG audit identified issues relating to insufficient evidence being held by the University to support a claim of training delivery to eligible individuals under the VET Funding Agreement for which payment has been made or a claim submitted.

HESG may instigate an Evidence of Participation audit at any time should there be concerns regarding Evidence of Participation in relation to training services provided to eligible individuals.

**Types of Evidence**

**Summary of Suggested Evidence**

Evidence of Participation suggested evidence are as follows:

1. *Evidence of work submitted relating to engagement by the student in the unit of competency or module.*
   - assessments, workbooks, practical placement workbooks, checklists
   - Assessment Feedback Record attached to assessment
   - Assessment Submission/Cover Sheet attached to assessment

2. *Instructor notes based on personal interviews, telephone, e-mail or other communication modes on the engagement of a student in learning activity of the unit of competency or module.*
   - Student File Notes, Student Log, Instructor Notes, e-mails, diary notes

3. *A provider endorsed attendance roll.*
   - Attendance Record (hard copy) or an electronic version of an attendance record or other document (as long as it meets audit requirements as stipulated in Attendance Record Section.

4. *Primary documentation that provides evidence of assessment.*
   - Assessment Tools, Assessment Mapping, Unit Outline to accompany assessments and/or attendance record, particularly if clustered units are involved.
   - RPL/RCC Primary Assessment Tool

5. *Where primary recording documentation is not available a signed statement from the relevant provider staff affirming a student's participation. A full explanation of the reasons why primary documentation is not available is required.*
   - A Statutory Declaration signed by the relevant teaching staff affirming student's participation and a full explanation of the reasons why primary recording documentation is not available (only in extreme circumstances eg fire, flood). It will be at the auditor's discretion whether this mode of evidence is sufficient.

6. *Login and engagement with learning activity required for the unit of competency or module.*
   - On-line participation record from Moodle, Catapult or other on-line sources.

7. *In flexible and distance modes of learning, 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.*
Attendance Record

It is a requirement that staff maintain an attendance record. The attendance record may not always be a suitable source of evidence due to multiple and clustered delivery of units.

The only approved attendance record for use at the University is an electronic role in ATOM.

Attendance records must be correctly and completely filled out. Teachers must:

1. Show the unit of competency/module delivered on the date/s in which the student is marked on the attendance record. If multiple or clustered units are delivered concurrently, further information is required. Refer to Section Multiple and Clustered Delivery of Units.

2. All details on the University endorsed attendance record must be completed accurately including the full program and unit title and code (these must match the enrolled student details as stated on the Student Management System). If the University endorsed attendance record (hard copy or electronic version) is not used, the attendance record must:
   - include the University’s Branding in the header or footer of the document
   - clearly state the dates related to delivery of each unit
   - include all the details as stated on the endorsed attendance record, including the program unit codes and titles (these must match the enrolled student details as stated on the APTUS Class List), and
   - use the correct coding of student attendance (as stated on the attendance record), eg.

| P | for PRESENT |
| A | for ABSENT WITHOUT REASON |
| AP | for ABSENT WITH PERMISSION |
| WD | for WITHDRAWN from unit |

**Note** - If these codes are not utilised, a legend must be present to explain the coding used.

1. Verify the students listed on the attendance record match the data on Student Management System course listing and cross checking, either within three weeks of the unit/module commencing or at appropriate points throughout delivery:
   - Students who have been attending a unit of delivery, but do not appear on the Student Management System, must provide evidence of enrolment and payment of fees within two weeks of being advised they are not enrolled or they must stop attending class. The student must be enrolled in the program in order to continue.

2. The teacher is to enter the attendance record into ATOM after each session.

Multiple and Clustered Delivery

In some programs units are delivered to students via multiple or clustered delivery; attendance records can be used as evidence of participation for these units however the evidence provided must clearly identify participation at the unit of competency/module level.

To maintain such participation records, teaching periods for each unit must be recorded on the attendance record and a delivery plan attached. The delivery plan must clearly show the corresponding dates and times that the units were delivered and that all other details provided are accurate, eg program title/code and unit title/code.

- If two or more units are delivered in the one class, the times must be specified and linked to the unit (eg. a unit delivered from 1.00pm – 3.00pm, then another unit delivered from 3.30pm – 5.00pm), or
- If two units are delivered on the one date, the times must be specified and linked to the unit (eg. a unit delivered in the am, then another unit delivered in the pm)
• A program/course timetable, delivery schedule or lesson plan is to be attached to the attendance record to show student participation/engagement in each unit.

The attendance record must clearly show that the student was present for the entire class.

The attendance record must be signed by the teacher.

Assessments or project work undertaken within clustered units must be mapped back to a related unit of competency/module. The assessment tool must demonstrate that upon successful completion the student has been adequately assessed and achieved competency in a particular unit of competency/module.

Recognition of Prior Learning

Records must be maintained for all successful and unsuccessful RPL assessments. The RPL/RCC Evidence and Assessment Record must be completed for each RPL application, including unsuccessful applications. Refer to the VET Recognition of Prior Learning Procedure and the RPL/RCC Evidence and Assessment Record Form for further information on this process.

For an Evidence of Participation audit only the primary assessment tool used for any recognition of prior learning assessment, no matter what the outcome, will be accepted. This assessment tool must be completed in its entirety to be compliant. Faculties should ensure at least two pieces of evidence are available for all students assessed through RPL.

Flexible Delivery

In flexible and distance modes of learning, where student delivery is being provided via e-learning, in the workplace or blended (on-line, workplace and in the classroom), student participation must be recorded at the unit of competency/module level and should indicate the commencement date and completion date of learning. To record student participation in learning for these modes of delivery, staff should use the Flexible Delivery Participation Record - Individual Student and the Flexible Delivery Participation Record - Entire Class (available under Forms). Evidence must demonstrate engagement by individual students in a unit of competency/module.

On-Line Delivery

Where a student has 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. The on-line record should identify:

• Unit of competency/module title and code must be an exact match (specifically concerning clustered delivery).
• Student's name and ID number.
• Date and time the student logged-in for access to materials or assessment to indicate learning or assessment activity.

A login record indicating a student accessed training material is not considered sufficient as evidence of participation.

Assessments and Workbooks

The Australian Skills Quality Authority (ASQA) has directed, RTOs are required to securely retain, and be able to produce in full at audit if requested to do so, all completed student assessment items for a student.

A student assessment consists of:

Warning - Uncontrolled when printed! The current version of this document is kept on the FedUni website.
1. The student assessment item/questions.

2. The student’s assessment answers (except in the case of practical assessments)

3. A marking guide or checklist to show how the assessor actually marked the student’s work to achieve competency.

Teachers must maintain either a secure paper based or electronic record of the completed student assessment. Therefore the assessment record must include:

- Student's name and ID number.
- Unit of competency/module title and code.
- Date of assessment, this must fall within the time span identified by the enrolment period.
- Teacher/Assessor’s name and signature.
- Actual result consistent with the assessment.
- Complete Assessment Task/Workbook/Checklist etc.

It is recommended that a completed Assessment Feedback Record Template or an Assessment Submission/Cover Sheet Template be attached to the student’s assessment.

Refer to the VET Assessment Procedure.

Record of Student and Trainer Interaction

A log of interaction is a record of contact between the teacher/assessor and the student and can be in the form of personal interviews, calendar/diary entries, telephone, e-mail or other communication modes that specifically relates to the unit of competency/module in which the student is enrolled. The record must include:

- Unit of competency/module title and code.
- Date of interaction.
- Student's name and ID number.
- Details of student and teacher/assessor discussion and outcomes. These details must be specific to the unit and show the exchange between the student and the teacher/assessor is leading to the student gaining learning and competence in that unit.
- Teacher/assessor's name and signature.

**NB** - If notes are kept as part of evidence for student participation, the notes must be able to be directly linked to the specific unit.

The University documents Student File Note, Instructor Notes or a Student Log may be used to record interaction and used as evidence of participation.

Documentation

If documents are created to assist in meeting evidence requirements, it must be in accordance with document control processes and the University Brand Guidelines.

Documents must have the appropriate header, footer and title - without proper identification, it may be difficult to determine what evidence is being presented.

Sources Not Accepted As Evidence of Student Participation
The following documentation cannot be utilised as sources of evidence:
1. Training Plan - this details the individual training plan of a student, but does not show participation/engagement.
2. Cumulative Assessment Record - this shows the student's full assessment record, but does not show student participation/engagement.
3. Student Academic History (via APTUS), this does not show student participation/engagement.
4. Where two forms of EOP are required, the same form of evidence will not be accepted as both pieces of EOP.

**Student Management System Result Codes**

To ensure that evidence complies with the necessary University requirements in relation to the entering of student results into Student Management System, staff must ensure that the correct Student Management System result codes are used. The Data Management and Reporting Team report all training and delivery statistics (Victorian VET Student Statistical Collection) to the Higher Education Skills Group on a monthly basis with the final report forwarded in January of each year.

**Grading Category 1**

<table>
<thead>
<tr>
<th>Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>CD:</td>
<td>Competent with Distinction: for Students who have achieved competency in specified assessment criteria for Competent with Merit and, in addition, meet specified criteria which distinguishes their work from this grade.</td>
</tr>
<tr>
<td>CM:</td>
<td>Competent with Merit: for students who have achieved competency in specified assessment criteria in addition to achievement of all learning outcomes to the specific standard.</td>
</tr>
<tr>
<td>CY:</td>
<td>Competent: for students who have achieved all of the learning outcomes specified for that unit/module to the specified standard.</td>
</tr>
<tr>
<td>CN:</td>
<td>Not Yet Competent: for students who are required to re-enrol in a unit/module in their endeavour to achieve competence.</td>
</tr>
</tbody>
</table>

or

**Grading Category 2**

<table>
<thead>
<tr>
<th>Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>CY:</td>
<td>Competent: for students who have achieved all of the learning outcomes specified for that unit/module to the specified standard.</td>
</tr>
<tr>
<td>CN:</td>
<td>Not Yet Competent: for students who are required to re-enrol in a unit/module in their endeavour to achieve competence.</td>
</tr>
</tbody>
</table>

or

**Grading Category 3 (for Victorian Certificate of Education students only)**

<table>
<thead>
<tr>
<th>Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>S:</td>
<td>Satisfactory: has achieved all the work requirements.</td>
</tr>
<tr>
<td>N:</td>
<td>Not Satisfactory: has not achieved all the work requirements.</td>
</tr>
<tr>
<td>J:</td>
<td>Did Not Complete: no longer in attendance but has not officially withdrawn.</td>
</tr>
</tbody>
</table>

or

**Warning** - Uncontrolled when printed! The current version of this document is kept on the FedUni website.
Grading Category 4 (to be utilised only with explicit authority of the Academic Board)

Percentage/Alphabetic grades.

Graded Assessment Application Form must be completed and submitted to Curriculum Committee for this Category.

or

Other Administrative Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Definition</th>
</tr>
</thead>
</table>
| CS:  | Continuing Studies: The timetabled activity for a unit of competency continues into the next calendar year, therefore the unit of competency has only been partly delivered. Due to reporting and funding requirements being based on the calendar year, the code CS needs to be recorded at the end of the first year of enrolment.  
**NOTE:** The full unit of competency SCH can only be counted once. Therefore the student can only be enrolled in the unit of competency once. When the final assessment has been completed for the unit of competency the student's result must be amended for the year that they were enrolled in the unit of competency. |
| AC:  | Used for apprentice/trainees only, indicates successful completion of unit delivered by FedUni, but awaiting employer sign off. This code will be printed as CS on the Academic Transcript. |
| UP:  | Ungraded Participation: No assessment is to be undertaken and a Statement of Attendance may be provided on completion of the course/program. |
| WN:  | Withdrawn - no evidence of participation. This code will be printed as a ‘WD’ on Academic Transcript. |
| WP:  | Withdrawn - with evidence of participation. This code will be printed as a ‘WD’ on Academic Transcript. |
| WS:  | Withdrawn - a system grade in APTUS equivalent to deletion of the unit enrolment. Units graded WS will not appear on the Academic Transcript (administrative use only). |

or

Other Assessment Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Definition</th>
</tr>
</thead>
</table>
| EX:  | Standard Exemption: Exemption granted through Recognition of Prior Learning (RPL) or Recognition of Current Competency (TAFE) Procedure where evidence is provided that the student has completed similar studies or has specified work or general life experience that has been formally recognised by the Academic Board and included on the Standard Exemption Register.  
Non-Standard Exemption: Exemption granted through Recognition of Prior Learning (RPL) or Recognition of Current Competency (TAFE) Procedure where evidence is provided that the student has any combination of similar |
<table>
<thead>
<tr>
<th>Code</th>
<th>Definition</th>
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<tbody>
<tr>
<td></td>
<td>studies, work or general life experience assessed by the relevant School as being equivalent. This code will be printed as a CY on Statement of Results and Student Contact Hours (SCH's) will be claimed for the nominal duration of the unit.</td>
</tr>
<tr>
<td>TR:</td>
<td>Credit Transfer: Where the student provides evidence that the identical unit/module of competency has previously been studied with another registered training organisation or in another course or program at the University. This code will be printed as a CR on Statement of Results and no SCH's will be claimed.</td>
</tr>
</tbody>
</table>

**Associated Documents**

- VET Recognition of Prior Learning Procedure
- VET Assessment Procedure
- Brand Guidelines

**Forms/Record Keeping**

<table>
<thead>
<tr>
<th>Title</th>
<th>Responsible Officer</th>
<th>Minimum Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Program/Course Delivery Timetable</td>
<td>Deputy Dean/Program Coordinator</td>
<td>7 years</td>
</tr>
<tr>
<td>Student Attendance/Participation Records</td>
<td>Deputy Dean/Program Coordinator</td>
<td>7 years following date of last entry</td>
</tr>
<tr>
<td>Complete Student Assessments Assessment Records</td>
<td>Deputy Dean/Program Coordinator</td>
<td>7 years after completion of training</td>
</tr>
<tr>
<td>RPL/RCC Evidence and Assessment Record</td>
<td>Deputy Dean/Program Coordinator</td>
<td>7 years</td>
</tr>
<tr>
<td>Unit Outline Assessment Tools Student/Teacher Interaction Records</td>
<td>Teacher/Assessor</td>
<td>7 years</td>
</tr>
</tbody>
</table>

**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)

**Legislative Context**

- Current VET Funding Contract
- Current Standards for NVR Registered Training Organisations
Contact

Contact Quality Services via quality@federation.edu.au