

LEADERSHIP  
MANAGEMENT  
AUSTRALIA



## Evidence of Participation Policy and Procedure

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### Leadership Management Australia

**Leadership Management Australia Pty Ltd**

ABN 93 005 018 084

Level 1/6 University Place

Clayton Victoria 3168

Phone: 03 9822 1301

Fax: 03 9824 7154

Email: [info@lma.com.edu](mailto:info@lma.com.edu)

Web.: [www.lma.edu.au](http://www.lma.edu.au)

## 1. Purpose

- 1.1 The purpose of this policy and procedure is to ensure that Leadership Management Australia Pty Ltd (LMA) records, collects and maintains sufficient evidence to demonstrate a Participant's participation in each unit of competency/module undertaken as part of their studies. Failure to comply with these requirements may result in a breach of the Service Agreement/Contract and may require funds to be returned to the government funding body.
- 1.2 This policy and procedure align closely to Standard 1 from the Standards for RTOs 2015 and ensures the strategies and practices used in relation to training and assessment are responsive to industry and Participant needs and meet the requirements of the qualifications and courses provided.

## 2. Definitions

**AQF:** means Australian Qualifications Framework which can be accessed at <http://www.aqf.edu.au/>

**ASQA:** means Australian Skills Quality Authority which is the national VET regulator and LMA's registering body

**Contract:** means the VET Funding Contract for the applicable State/Territory Funding Initiative issued by the Department

**Course:** means any nationally recognised qualification, unit of competency, skill set, or short course delivered by LMA.

**Department:** means the applicable State/Territory Funding Body

**Dimensions of Competency:** refers to the types of skills a person must have to perform effectively in a broad capacity. The dimensions of competency ensure the person being assessed has the skills to perform competently in variety of different circumstances. To be competent, a person must demonstrate the following:

- Task Skills The skills needed to perform a task at an acceptable level. They include knowledge and practical skills, and these are usually described in the performance criteria.
- Task Management Skills - These are skills in organising and coordinating, which are needed to be able to work competently while managing a number of tasks or activities within a job.
- Contingency Skills - The skills needed to respond and react appropriately to unexpected problems, changes in routine and breakdowns while also performing competently.
- Job Role/Environment Skills - The skills needed to perform as expected in a particular job, position, location and with others. These skills may be described in the range of variables and underpinning skills and knowledge.
- Transfer Skills - The ability to transfer skills and knowledge to new situations and contexts.

**Eligible Individual:** means an individual who is eligible for government subsidised training in accordance with the eligibility requirements set out in the VET Funding Contract and related guidelines

**Evidence of Participation (EOP):** means evidence of an Eligible Individual's participation in training and assessment provided by LMA, as detailed in the applicable VET Funding Contract

**Pre-Training Review:** means the process undertaken between LMA and the prospective Participant to determine the most suitable and appropriate training for the Eligible Individual as described in the applicable VET Funding Contract

**Principles of Assessment:** means assessment decisions are based on the principles of fairness, flexibility, validity and reliability, which definitions of each of these as outlined below1:

- I. Fairness - The individual Participant's needs are considered in the assessment process. Where appropriate, reasonable adjustments are applied by LMA to take into account the individual Participant's needs. LMA informs the Participant about the assessment process and provides the Participant with the opportunity to challenge the result of the assessment and be reassessed if necessary.
- II. Flexibility Assessment is flexible to the individual Participant by:
  - reflecting the Participant's needs;
  - assessing competencies held by the Participant no matter how or where they have been acquired; and
  - drawing from a range of assessment methods and using those that are appropriate to the context, the unit of competency and associated assessment requirements, and the individual.
- III. Validity - Any assessment decision of LMA is justified, based on the evidence of performance of the individual Participant. Validity requires:
  - assessment against the unit(s) of competency and the associated assessment requirements covers the broad range of skills and knowledge that are essential to competent performance;
  - assessment of knowledge and skills is integrated with their practical application.
  - assessment to be based on evidence that demonstrates that a Participant could demonstrate these skills and knowledge in other similar situations; and
  - judgement of competence is based on evidence of Participant performance that is aligned to the unit/s of competency and associated assessment requirements.
- IV. Reliability - Evidence presented for assessment is consistently interpreted and assessment results are comparable irrespective of the assessor conducting the assessment.

**Reasonable adjustment:** means a modification made to the learning environment, training or assessment methods used to enable Participants with a disability to access and participate in training on the same basis as those without a disability. The adjustment must be 'reasonable' in that it must not impose unjustifiable hardship on the person or LMA.

**Recognition of Prior Learning or RPL:** means an assessment process that assesses the competency(s) of an individual that may have been acquired through formal, non-formal and informal learning to determine the extent to which that individual meets the requirements specified in the training package of VET accredited courses. For definitions of formal, non-formal and informal learning, refer to the definitions in ASQA's User's Guide.

**RTO:** means Registered Training Organisation

**Rules of Evidence:** means that the evidence on which an assessment decision is based is valid, sufficient, authentic and current, with definitions for each as outlined below:

**Validity:** The assessor is assured that the Participant has the skills, knowledge and attributes as described in the module or unit of competency and associated assessment requirements.

**Sufficiency:** The assessor is assured that the quality, quantity and relevance of the assessment evidence enables a judgment to be made of a Participant's competency

**Authenticity:** The assessor is assured that the evidence presented for assessment is the Participant's own work.

**Currency:** The assessor is assured that the assessment evidence demonstrates current competency. This requires the assessment evidence to be from the present or the very recent past.

**Skills First:** means the Skills First Program funded by the Department

**Skills First Participant:** has the same meaning as Eligible Individual

**Standards:** means the Standards for Registered Training Organisations (RTOs) 2015 from the VET Quality Framework.

**Training Plan:** means the plan for the training and assessment to be delivered to an Eligible Individual in accordance with Clause 7 of Schedule 1 in the Contract.

*Definitions quoted from Australian Skills Quality Authority (ASQA). User's Guide to the Standards for RTOs 2015.*

*Accessed on January 4, 2024, from <https://www.asqa.gov.au/rtos/users-guide-standards-rtos-2015>*

**Participant (Student) Management System:** refers to LMAs systems used to record Participant training and assessment records. These include a combination of VETtrak, Feedback on Line (FBOL) and LARS.

### 3. Scope

- 3.1 All staff involved in the management, delivery, assessment and recording of training are responsible for compliance with this policy and procedure.
- 3.2 LMA is contracted by State and Territory Department's to provide funded nationally recognised training to Eligible Individuals. This policy and procedure contribute to compliance against the Contract.

## **4. Policy**

### **4.1 Delivery of quality training**

- 4.1.1 LMA provides quality training to its Participants for all courses including providing an appropriate amount of training for each course to ensure effective outcomes for Participants in line with industry expectations, Training Package and AQF requirements.

### **4.2 Evidence of Participation (Funded Participants)**

- 4.2.1 All training and assessment delivered by LMA to Participants will be supported by Evidence of Participation (EOP) as defined in the applicable Contract. EOP is authenticated documentary evidence of engagement of the Participant in the training and/or assessment activity.
- 4.2.2 LMA will ensure that EOP is kept on file for each unit of competency in line with the Contract and its Participant Administration Policy and Procedure. At a minimum each piece of evidence includes the following:
- Eligible Individual's name and identification number
  - Unit of Competency Code and Title
  - Date the activity occurred expressed in day/month/year format

### **4.3 Amount of EOP required**

- 4.3.1 The number of the EOP items that must be documented and retained depends on the delivery period of each unit of competency. The following amounts of Evidence of Participation are required:
- One point of Evidence of Participation per unit/module must be on file if the period between the unit start date and unit end date is on month or less
  - Two points of Evidence of Participation per unit/module must be on file if the period between the unit start date and unit end date is greater than one month.
  - There must be one point within the final month of training delivery and/or assessment. In this scenario, the items of EOP maintained must be two different types.
  - LMA maintain multiple items of EOP when a unit of competency/cluster is delivered across an extended period (i.e. several months).

### **4.4 Types of EOP required**

- 4.4.1 In line with the Contract, only the following Evidence of Participation is acceptable:
- Assessment evidence containing Participant name, unit of competency/module, date and signature. In cases where this information cannot be recorded on the work itself, a separate cover sheet must accompany the work to allow it to be linked to the Participant, the unit of competency/module and date completed.
  - Trainer and/or assessor notes based on personal interviews, telephone, e-mail, or other communication modes on the engagement of a Participant in learning and/or assessment activity of the unit of competency or module.
  - Attendance records using LMA approved attendance sheets or Feedback On Line (FBOL) entered by the Facilitator (Trainer Assessor).

- Attendance at an induction or orientation class alone is not sufficient Evidence of Participation and it must be accompanied by another piece of Evidence of Participation.
- Primary documentation that provides evidence of assessment.
- For online/blended delivery mode, log in record demonstrating on-line engagement by participation may be accepted. It must include a signed and dated statutory declaration containing a full explanation of the reasons why primary recording documentation is not available.

#### 4.4.2 Examples of EOP include:

- Structured learning activity as evidence of work submitted relating to engagement by the Eligible Individual in the unit of competency. Additional evidence such as delivery schedule and/or session plans are required to allow it to be linked to the Eligible Individual; this is if the original piece of work doesn't display any of the required information.
- Skills First Teacher notes based on communication between the Skills First Teacher and Eligible Individual. LMA encourage Facilitators/trainers and assessors to record their notes related to their communication with Participants. These notes must establish engagement in learning and/or assessment activity of a unit of competency. Notes referring to communication that doesn't establish this type of engagement include confirmation of class attendance, material receipt, withdrawal warning, etc. Examples include:
  - personal interviews
  - phone calls
  - emails
  - other communication modes
  - written file notes
  - participant notes recorded within the Participant Management Systems (FBOL or LARS and VETrak)
- LMA Training Provider endorsed Attendance Records. When delivering units in clusters, LMA may be requested to provide additional evidence such as a delivery schedule or session plan that demonstrates the planned training at the unit of competency level. When units are delivered concurrently, the attendance record must be annotated to indicate what training was delivered in the session. The Department will also accept this type of EOP where classes have taken place in a virtual environment and not in a physical space (e.g. online delivery via a web-conferencing application). Requirements include:
  - Participant name or Participant Identification Number
  - Unit of Competency Code
  - Date expressed in Date/Month/Year format
  - Eligible Individual marked Present or Absent on the attendance record
  - Skills First Teacher Name
  - Skills First Teacher Signature

- Evidence of Assessment. For subjects more than 30 days duration you must have 2 items of EOP.
- The second item must be evidence showing the student completed the assessment requirements for the subject.
- Evidence of assessment must identify:
  - Participant name or Participant Identification Number
  - Unit of Competency Code: the subject to which the assessment task (or tasks) relates
  - A result, such as satisfactory or competent/not yet competent along with a key if you use abbreviations e.g., C=competent
  - The date expressed in Date/Month/Year format that the item or action was assessed
  - The signature of the Skills First teacher who assessed it.
- You don't have to provide the actual assessment task for this item of evidence.
- This type of EOP can also be used for RPL outcomes however it must include only the primary assessment tool used for any skills recognition assessment. Practical Placement Logbooks (where the activities outlined in the performance criteria of the unit of competency must be performed during a specific period in a workplace environment) as evidence of learning and/or engagement activity that occurs as part of a Participant's Practical Placement may also be accepted as Evidence of Participation.
- Login Records to online platforms. The login record must demonstrate engagement in learning and/or assessment activity. A login record indicating that the eligible individual received training materials alone is not sufficient Evidence of Participation.

#### Examples

- Online Login Record from a Learning Management System
- Record of a Participant participating in an online discussion forum
- Record of the Participant completing a self-paced activity within an LMS e.g. FBOL

#### Requirements

- Participant Name or Participant Identification Number
- Unit of Competency Code
- Date expressed in Date/Month/Year format
- Demonstrates on-line engagement with learning and/or assessment activity for the Unit of Competency
- Records of Training Provider Personnel/Eligible Individual that indicates the individual has commenced working on the learning materials received via either Phone/Email Records. This type of EOP applies to flexible and modes of learning only and must demonstrate engagement with learning and/or assessment activity at a unit of competency level.

#### Examples

- Skills First teacher notes demonstrating a two-way communication and interaction via phone or email confirming the Participant is working on the learning materials requirements
- Participant Name or Participant Identification Number
- Unit of Competency Code
- date expressed in Date/Month/Year format

## 4.5 Withdrawals

- 4.5.1 LMA retain sufficient EOP for withdrawals. EOP collection process to ensure that other types of EOP (Skills First Teacher notes or Evidence of Work such as non-assessable activities) are collected and retained in addition to the attendance records. LMA monitor enrolments of individuals who fail to engage in learning and/or assessment and ensure they are withdrawn within a strict and fair timeframe.

## 4.6 Retention Requirements

- 4.6.1 All records related to Evidence of Participation can be retained in either hardcopy or electronic format. Refer to the applicable VET Funding Contract/s for the retention timelines outlining how long LMA must retain records for the Eligible Individual to whom the records relate has completed or withdrawn from the relevant training program in which they are enrolled.
- 4.6.2 For individuals commenced in past collection years, you can refer to this article for information about record keeping requirements.
- 4.6.3 For non-subsidised enrolments, the retention requirements for EOP is six months, as specified in the National Regulator's general directions.
- 4.6.4 LMA is required to retain Evidence of Participation as evidence to support the claim for government funded payment.

## Procedures

Refer Applicable Funded Contact:

### 1. Evidence of Participation

Procedure	Responsibility
<p><b>A. Check Evidence of Participant Participation (EOP)</b></p> <ul style="list-style-type: none"> <li>Determine all units Participant has enrolled in and print the Participants' Client Enrolment Report from VETrak (Participant Management System).</li> </ul>	Administration Facilitator/ Trainer/Assessor
<p><b>B. Determine the duration of unit enrolment</b></p> <ul style="list-style-type: none"> <li>Review the unit start and unit end date to determine how many pieces of EOP are required.</li> <li>If the duration is greater than 30 days, two pieces of EOP must be retained on file.</li> <li>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).</li> </ul>	Administration Facilitator/ Trainer/Assessor
<p><b>C. Determine whether evidence of participation for the first 30 days of engagement meets EOP regulatory requirements</b></p> <ul style="list-style-type: none"> <li>Check the Participant start date for the nominated unit and ensure that there has been no Participant engagement prior to that date. Workplace evidence may only be collected once the unit has commenced.</li> </ul>	Administration Facilitator/ Trainer/Assessor
<p><b>D. Check evidence for required details</b></p> <ul style="list-style-type: none"> <li>Correct Unit Code and Title</li> <li>Participant Name and ID</li> <li>Date of Activity/Attendance</li> <li>Trainer/Assessor Signature</li> <li>Participant Signature</li> <li>Note: Electronic signatures for system logins such as FBOL are accepted as valid signatures.</li> </ul>	Administration Facilitator/ Trainer/Assessor



Procedure	Responsibility
<p><b>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</b></p> <ul style="list-style-type: none"> <li>• Check the Participant end date for the nominated unit and ensure that there has not been any Participant engagement after the end date. Note: When a unit has been resulted, the result date becomes the end date.</li> <li>• Look for evidence that shows Participant participation within the last 30 days of the unit end date.</li> <li>• Check that the second piece of evidence is a different form/type of evidence than was used for the Participant's first 30 days.</li> <li>• The Department may request to sight a second piece of EOP for units that are ongoing that have more than 30 days of scheduled engagement but have not yet been completed to demonstrate continuing participation.</li> </ul>	Administration Facilitator/ Trainer/Assessor
<p><b>F. Check evidence for required details</b></p> <ul style="list-style-type: none"> <li>• Correct Unit Code and Title</li> <li>• Participant Name and ID</li> <li>• Date of Activity</li> <li>• Trainer/Assessor Signature</li> <li>• Participant Signature</li> <li>• Note: Electronic signatures for system logins such as FBOL are accepted as valid signatures.</li> </ul>	Administration Facilitator/ Trainer/Assessor

## 2. Process for EOP for Withdrawing Participants (with/without participation)

Refer Applicable Funded Contact:

Procedure	Responsibility
<p><b>A. Process a withdrawal for a Participant who has engaged in some learning activity Ensure Participants' needs are considered</b></p> <ul style="list-style-type: none"> <li>• When a Participant withdraws or is withdrawn from a unit of competence:               <ul style="list-style-type: none"> <li>- The Participant must be withdrawn from the unit of competence and administrative tasks completed to support the withdrawal.</li> <li>- The completed Withdrawal Form will show how many hours the Participant was engaged in learning for the nominated unit.</li> </ul> </li> <li>• All withdrawals must be processed no later than two (2) months from the point of withdrawal as per the Funding Contract.</li> </ul>	Administration Facilitator/ Trainer/Assessor
<p><b>B. Process withdrawing Participants who have not engaged in any learning activity</b></p> <ul style="list-style-type: none"> <li>• The Participant must be withdrawn from the unit promptly and administrative tasks completed to support the withdrawal – see Withdrawal Procedure.</li> <li>• This will provide supporting documentation for a Participant file such as a signed and completed Withdrawal Form confirming zero hours of participation in the unit and demonstrating no Participant engagement within the first 30 days.</li> </ul>	Administration Facilitator/ Trainer/Assessor

### 3. Resulting

Refer Applicable Funded Contact:

Procedure	Responsibility
<p><b>A. Enter Participant results into Participant Management System</b></p> <ul style="list-style-type: none"><li>• Determine the correct Participant Management System result code (e.g., C, CT, WD, RPL, CG)</li><li>• Enter the correct 'date' into the Participant Management System. The result date should be supported by assessment evidence.</li><li>• Enter the code into the Participant Management System, ensuring that the end date has not already passed.</li><li>• For more information on results, please refer to the Training and Assessment Procedure.</li></ul>	Administration

### 4. Check EOP prior to archiving the Participant file

Refer Applicable Funded Contact:

<p><b>A. Check the file for compliant EOP prior to archiving</b></p> <ul style="list-style-type: none"><li>• As the Department can audit a Participant's file for participation anytime the completed Participant files must be thoroughly checked prior to archiving to ensure they will meet all contract requirements.</li><li>• Confirm that there is compliant EOP for each module/unit of competency identified on a Participant's Training Plan.</li><li>• Check that units that are delivered over more than a 30-day period have two different forms of compliant EOP.</li><li>• Check that the first piece of complaint EOP is within the first 30 days of the unit start date.</li><li>• Check that the second piece of complaint EOP is within the last 30 dates of the unit end date.</li></ul>	Administration
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## Supporting Documents

- Quality Indicator Surveys – Learner and Employer
- VET Survey – post enrolment and mid-course
- Validation Policy and Procedure
- Moderation Policy and Procedure
- Validation Schedule
- Industry Consultation Register
- Participant File Checklist
- Complaints and Appeals Policy and Procedure
- Complaints and Appeals Policy & Procedure
- Applicable Funding Contract/s