

Acceptable and Unacceptable Evidence to Support Training Outcomes Reported

2011-2012 Approved Providers List (APL) Contract (as varied from 1 January 2014)

Registered Training Organisations must maintain documentary evidence that substantiates a training participant's educational engagement and supports the training outcome reported for each unit of competency (UoC) or module delivered.

Records of documentary evidence may be requested from an RTO by State Training Services at any time. The records may be required as part of a performance review, audit, monitoring visit or other activities undertaken in relation to the APL Contract.

The documentation must clearly identify the unit of competency/module and the dates on which the activity in the UoC/module were undertaken.

Following are examples of acceptable and unacceptable documentary evidence.

Competency achieved/pass, Competency not achieved/fail or Recognition of prior learning granted (RPL) UoC outcome

Acceptable evidence:

Evidence which validates a competency achieved/pass, competency not achieved/fail or RPL result includes evidence of all assessments undertaken. A good example of such primary evidence is a secure paper based record that must include:

- the name and signature of the training participant
- the UoC or module and its identifier (National ID)
- the actual result consistent with assessment (e.g. a competency achieved/pass, competency not achieved/fail or RPL outcome)
- what type of evidence was used in the assessment
- an assessment record that supports the training participant activity in the UoC or module
- the date of the assessment
- the name and signature of the assessor
- evidence of educational engagement by the training participant, and
- the date of the educational engagement.

Unacceptable evidence:

Listed below are the types of documentary evidence that is not accepted as evidence that supports a competency achieved/pass, competency not achieved/fail or RPL outcome, when provided on their own. These documents may still be presented as a support material for the acceptable evidence.

- Database printouts
- Workbooks
- Enrolment forms
- Training Plans (full or proposal)
- Work submitted by student
- Attendance roll
- Student declaration

Training and assessment records may also be requested by State Training Services to verify the details recorded on the Summary Record (clause 6.3.2 (xiv) of the APL Contract).

Withdrawn/discontinued UoC outcome

Acceptable evidence:

Evidence which validates a withdrawn/discontinued outcome may or may not include evidence of assessment. A good example of evidence for this result is a paper based record that indicates:

- the name and signature of the training participant
- the UoC or module and its identifier (National ID)
- evidence of educational engagement by the training participant
- the date of the educational engagement
- an assessment record that supports the training participant activity in the UoC or module (if applicable)
- what type of evidence was used in the assessment (if applicable)
- the date of the assessment (if applicable), and
- the name and signature of the assessor (if applicable).

Unacceptable evidence:

Listed below are the types of documentary evidence that is not accepted as evidence that supports a withdrawn/discontinued outcome, when provided on their own. These documents may still be presented as a support material for the acceptable evidence.

- Database printouts
- Enrolment forms
- Training Plans (full or proposal)

How are the records to be kept?

Under clause 6.3 of the APL Contract, RTOs are required to maintain all records for all training participants, in a readily accessible format for a minimum of **two years** from the later of:

- the completion of the course; or
- issuance of the qualification; or
- a training participant's exit from the training program.

Please note: for the Apprenticeship and Traineeship Training Program (ATTP), if the training participant completes the qualification prior to the end date of the training contract, the exit of training program is the end of the training contract.

Further Information

STS is committed to providing a consistent, quality customer service. **For information about the APL contract and its programs please firstly check the website.** Fact sheets and FAQs on the APL Contract are updated regularly and are located at https://www.training.nsw.gov.au/training_providers/training_market/index.html.

Contact

Training Market Customer Support email: trainingmarket@det.nsw.edu.au | Fax: (02) 9264 5501