

*Skills First Program*  
2021 Audit and Assurance Report

**Business Process and Transactional Compliance Audit**

*Trade Institute of Victoria Pty Ltd*  
21920

Version	Final
Auditor	EY
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## TABLE OF CONTENTS

<b>1.</b>	<b>EXECUTIVE SUMMARY .....</b>	<b>3</b>
1.1	Introduction.....	3
1.2	Overview of the Training Provider ( <i>as provided by the Training Provider</i> ) .....	3
1.3	Objective and Scope of the Audit.....	4
1.4	Business Model and Operating Environment .....	6
1.5	Summary of Findings .....	7
1.6	Training Services Observations .....	9
1.7	Tuition Fees Observations.....	11
1.8	Summary of Student and <i>Skills First</i> Teacher Interviews .....	11
<b>2.</b>	<b>ROOT CAUSE ANALYSIS – <i>BPA SAMPLED STUDENTS ONLY</i> .....</b>	<b>13</b>
<b>3.</b>	<b>DETAILED FINDINGS .....</b>	<b>14</b>
<b>4.</b>	<b>MANAGEMENT ACTION PLAN.....</b>	<b>20</b>
<b>5.</b>	<b>STATUS OF PRIOR AUDIT FINDINGS .....</b>	<b>21</b>
<b>6.</b>	<b>NEXT STEPS .....</b>	<b>24</b>
	<b>APPENDIX A – PTR EXCEPTIONS.....</b>	<b>25</b>
	<b>APPENDIX B – TRAINING PARTICIPATION EXCEPTIONS .....</b>	<b>31</b>

# 1. Executive Summary

## 1.1 Introduction

The *Skills First* Program is an entitlement to government subsidised training for Eligible Individuals.

The Victorian Department of Education and Training (the Department) contracts Training Providers to deliver training to Eligible Individuals under the *Skills First* Program. In accordance with its *Skills First* Audit and Review Strategy, the Department undertakes assurance activity to ensure the contracted Training Providers are complying with the terms and conditions of their VET Funding Contract (the Contract).

The objectives of the *Skills First* Audit and Review Strategy are to:

- confirm that funding has been expended appropriately
- promote training provider regulatory and standards compliance and
- promote training provider process quality.

This audit report includes exceptions-based reporting and has been produced by an externally contracted panel of audit service providers.

This audit examined a sample of data that had been reported by Trade Institute of Victoria (TIV) to the Skills Victoria Training System (SVTS).

## 1.2 Overview of the Training Provider *(as provided by the Training Provider)*

### Overview / Mission Statement

#### HISTORY

Established in 2007 by members of the construction industry, TIV is dedicated to developing the skills of people already in the construction industry, and those who seek to enter it.

#### VALUES

TIV values teamwork, persistence, initiative, compassion and respectfulness towards one another – students, colleagues and stakeholders alike.

#### ETHOS

Our Ethos comprises:

- Striving to deliver training that exceeds learners' expectations;
- An internal environment that rejoices in cultural diversity;
- Good community citizenship;
- Honesty and transparency in all of our dealings;
- Modelling industry standards of work health safety.

#### TARGET DEMOGRAPHIC

- Men and women aged 18 years and older;
- Who aspire to employment outcomes in;
  - the trades of Bricklaying or Carpentry; and/or
  - careers in low to medium rise residential or commercial construction domains including Building, Estimating and Site Management.

#### FEATURES

- Substantial investments in creating 'second to none' simulated workplace environments for learners including the provision of high quality tools, plant, equipment and materials.

- Outstanding independent student survey results 2016 – 2020
- An abundance of construction ‘know how’ delivered by quality trainers and assessors.
- A sharply focussed scope of operations;
- Quality, well equipped classroom training facilities at the Williamstown base;
- Leased quality conference facilities in a variety of suburban locations.

### 1.3 Objective and Scope of the Audit

TIV was provided with 42 of 42 sample data records on 5 October 2021 at 11:17am.

EY conducted the audit remotely which commenced on 7 October 2021 and concluded on 8 October 2021.

<b>Entry Meeting</b>	<b>Date:</b> 07/10/2021	<b>Time:</b> 09:00am
TIV Attendees	1 John MacDonald (CEO), 2 Narelle Weeks (Compliance and Continuous Improvement), 3 Peter Giannopoulos (Manager Training and Development)	
EY Attendees	1 Sophie Rees (Consultant), 2 Jenny Cai (Consultant)	

The objective of the audit was to consider the business processes and internal control environment employed by the Training Provider to comply with its contractual obligations under the Contract.

The scope of work was to:

- gain a contextual understanding of the Training Provider to set the scene for the audit;
- examine internal audit activity undertaken by the Training Provider to self-assess its compliance against the Contract;
- examine processes in place for eligibility assessment, fees and fee concessions, pre-training review, training plan development, training participation;
- gain a contextual understanding of the provision of quality training services delivered by the Training Provider under *Skills First*, including the Quality Charter;
- conduct student and *Skills First* Teacher interviews to validate audit findings, including verification of funding claimed; and
- examine maintenance of records to evidence compliance (e.g. eligibility, pre-training review, fee concession, training plans, Evidence of Participation), including use of the Training Provider’s Student Management System (SMS) and input of relevant data into the SVTS.

The following procedures were performed:

- obtained a sample of program and/or subject enrolments, as reported by the Training Provider via the SVTS, provided by the Department;
- held an entry meeting with the Training Provider’s CEO or authorised delegate;
- obtained documentation/materials from the Training Provider for each student/subject in the sample;

- provided the Training Provider with the opportunity to present available documentation/materials for each sample;
- identified whether the documentation/materials provided by the Training Provider met the requirements of the Contract, as applicable;
- considered the information provided by the Training Provider in identifying the factual findings in this report;
- held an Exit Interview with the Training Provider's CEO or authorised delegate to discuss the findings, develop a Management Action Plan, and provide the Training Provider with the final list of exceptions; and
- requested management comments and incorporated these into the final report as appropriate.

Transactional compliance testing was also performed to identify specific areas of non-compliance with the Contract through sample testing of records associated with student eligibility, pre-training review, training plans, training participation, fee concessions and data reporting.

### Conclusion of fieldwork

At the conclusion of the audit fieldwork on 8 October 2021 at 2:30pm, a Close-Out meeting was held to discuss the possible exceptions and ascertain if further evidence may be available to support the items noted as an exception. The Training Provider was granted 24 hours to locate and provide the documents not provided at the time of the fieldwork.

TIV did provide the documents by the above specified timeframe. The documents were provided on 11 October 2021 at 11:16am.

Where sample testing issues and corresponding root causes have been identified, the results have been incorporated into the findings set out in Section 1.5, Section 3 and the Appendices of this report (as relevant).

An assessment of a prior audit's Management Action Plan was undertaken as part of this audit and the current status is reported in Section 6 of this report.

<b>Close-out Meeting</b>		<b>In Person:</b>	<input type="checkbox"/>	<b>Date:</b>	08/10/2021
		<b>Via Phone:</b>	<input checked="" type="checkbox"/>	<b>Time:</b>	02:30pm
TIV Attendees	1 John MacDonald (CEO), 2 Narelle Weeks (Compliance and Continuous Improvement), 3 Peter Giannopoulos (Manager Training and Development)				
EY Attendees	1 Sophie Rees (Consultant), 2 Jenny Cai (Consultant)				

## 1.4 Business Model and Operating Environment

TIV (21920) is based in Williamstown North with campuses across Victoria in Doncaster, Attwood, West Footscray, Tullamarine, Dandenong and Bendigo. Student records are retained electronically and in hard copy at each of these locations.

TIV management advised that as of 7 October 2021, it is training approximately 832 of *Skills First* funded students. The primary mode for training delivery is online learning.

TIV has added the Certificate III in Concreting to its Registered Scope in the last 12 months.

TIV management advised that over the past five years, changes to the business model have involved a significant increase in online learning, transitioning to online learning as the only mode of delivery to continue operation throughout the COVID 19 pandemic.

TIV employs the following marketing practices:

- Digital channels (website, social media, TV, radio);
- Physical media (billboards, mail campaigns);
- Recruiting events held at schools (in person and online);
- Word of mouth;
- Upsell by TIV staff; and
- Recruitment agents

TIV management also advised:

- Most students are recruited online, through word of mouth and upsell by TIV staff.
- Brokering Services are subcontracted out.
- Training and assessment services are not subcontracted out. Training Services not related to training and assessment (for example, administrative services) are not subcontracted out.

Based on advice from Training Provider management, brokering arrangements are in place with the following parties:

<b>Subcontractor/Third Party/Broker Name</b>	<b>Relationship</b> (Specify Subcontractor/ Third Party/Broker)	<b>Formal Agreement Commencement and End Date</b>	<b>Summary of Subcontractor/Third Party/Broker Inputs</b>
JR Training Pty Ltd	Third Party	19/06/2017 - Present	Recruitment of prospective learners
Yo Yo Australia Pty Ltd	Third Party	11/02/2016 - Present	Recruitment of prospective learners

TIC was most recently audited by ASQA in April 2021. TIV has published the results of this audit on their website. TIV did not receive a rectification plan as a result of this audit.

## 1.5 Summary of Findings

The following control weaknesses were identified which may impact the Training Provider's ability to comply with the Contract:

Report Ref	Area	Control Weakness
3.1	Pre-Training Review	Pre-Training Reviews requirements were not met
3.2	Training Participation	Evidence of Participation requirements were not met

Further details of the control weaknesses, and a Management Action Plans to address them, are included in Sections 3 and 5 of this report and details of the opportunities for improvement are included in Section 4 of this report.

The status of prior audit findings, based on the Management Action Plan developed as a result of prior Business Process and Transaction audit of TIV (Business Process and Transaction Audit report dated 18 March 2021), has been assessed and the current implementation status is below:

Report Ref	Area	Current status
6.1	Eligibility	In Progress
6.2	Eligibility	Completed
6.3	Eligibility	Completed
6.4	Eligibility	Completed
6.5	Eligibility	Completed
6.6	Pre-Training Review	Completed
6.7	Pre-Training Review	In Progress
6.8	Pre-Training Review	Completed
6.9	Pre-Training Review	Completed
6.10	Pre-Training Review	In Progress
6.11	Pre-Training Review	Completed
6.12	Training Plan	Completed
6.13	Training Plan	Completed
6.14	Training Plan	Completed
6.15	Training Participation	In Progress
6.16	Training Participation	Completed
6.17	Fee Concession Control	Completed
6.18	Fees Control	Completed

**Status Definitions**

**Completed:** the Training Provider has provided evidence that the Management Action Plan to address this finding has been implemented

**In Progress:** the Training Provider has provided evidence that progress has been made in the implementation of the Management Action Plan to address this finding, but all elements of the Management Action Plan have not been fully implemented, and/or actions may be evident to ascertain rectification occurred, however findings of a similar nature were identified in this audit/review.

**Not started:** the Training Provider has not provided any evidence that they have begun to implement the Management Action Plan.

**Out of Scope:** some key aspects from a Quality Review are out of scope as they are not assessed in a BPA/TCA – these include Assessment Resources, Methods & Timing/Practical Placements/Training Verification

Further details of the status of prior audit findings are included in Section 6 of this report.



## 1.6 Training Services Observations

### Organisation Level

The following topics and their alignment to contractual requirements were discussed with the Training Provider and/or applicable documents/evidence were sighted:

Topic	Discussed?	Is there a documented <sup>1</sup> process?	Observations
Student attraction activities, including marketing and advertising, in relation to any aspect of this Contract in accordance with Clause 1 of Schedule 1.	✓	✓	Not applicable
Information provided to prospective students about program offerings, fees, support and the impact on the individual's Entitlement to Funded Training in accordance with Clauses 4.8 and 5 of Schedule 1, in addition to collecting and maintaining required evidence.	✓	✓	Not applicable
The conduct of and documented business processes for testing an individual's <b>eligibility</b> for training subsidised through the <i>Skills First</i> Program and any relevant concession or exemption/waiver of tuition fees in accordance with Clauses 2, 3 and 5 of Schedule 1 and the <i>Guidelines About Eligibility</i> .	✓	✓	Not applicable
The conduct of and documented business processes for <b>Pre-Training Reviews</b> , in accordance with Clause 4 of Schedule 1.	✓	✓	Not applicable
The conduct of enrolment processes required including in accordance with Clause 4 of Schedule 1.	✓	✓	Not applicable
The business process and documentation of <b>Training Plans</b> in accordance with Clause 7 of Schedule 1.	✓	✓	Not applicable
Levying of fees, including applying any concessions, exemptions or waivers, including in accordance with Clause 5 of Schedule 1, in addition to collecting and maintaining required evidence.	✓	✓	Not applicable
Reporting and verification of data and other information to the Department including in accordance with Clause 10 of Schedule 1.	✓	✓	Not applicable
Provision of support to Eligible Individuals.	✓	✓	Not applicable
Strategies for industry engagement and how the outcomes of which are systematically used to ensure the industry relevance of its assessment practices and resources.	✓	✓	Not applicable
Complaints and appeals process.	✓	✓	Not applicable
Staff professional development, including how <i>Skills First</i> Teachers and other relevant staff are made aware of and comply with contractual requirements.	✓	✓	Not applicable
Segregation of Duties.	✓	✓	Not applicable
Controls and Systems, in accordance with Clause 4.9 f), for:	✓	✓	Not applicable
<b>Training Participation</b>	✓	✓	Not applicable
<b>Fee Concessions</b>	✓	✓	Not applicable
<b>Fees</b>	✓	✓	Not applicable

<sup>1</sup> While contractually a documented business process is not required for all topics, it may be deemed an opportunity for improvement. If a documented business process is not in place, observation to include details on how this information is communicated to staff.

The Department issued Internal Audit Checklist (IAC) was last completed in June 2021. The Training Provider did embed evidence to support its own assessment of compliance for the relevant contract clauses. The Training Provider did not note any non-compliances.

Where a non-compliance is noted in the BPA, the finding has been cross-checked against the most recent IAC to ascertain the accuracy in the self-assessment for the relevant control area/s. The Training Provider did not identify any non-compliances in the IAC that are relevant to the exceptions identified in this audit. Discrepancies between the BPA finding and the IAC self-assessment will be noted in the Detailed Findings section of this report.

### Sampled Program

<b>Name of the Program being tested</b>		Certificate III in Carpentry			
<b>Where is the program delivered?</b> e.g. a classroom, simulated warehouse environment etc.		Workplace based delivery			
<b>No. of and cohort type of the Training and Assessment Strategies (TAS) applicable for the program</b>		One			
<b>Date TAS last updated</b>		2020			
<b>Duration of program as noted in TAS</b>		Up to four years			
<b>Does the duration align to AQF minimum recommended duration?</b>		Yes			
<b>If no, insert the justification for shorter time period as documented in the TAS (or else, state 'Not documented').</b>		Not Applicable			
<b>In TAS?</b> <b>Y/N</b>	<b>Subjects</b>	<b>Scheduled hours</b>	<b>Delivery Modes</b>	<b>Assessment Methods</b>	<b>SF Teacher responsible for delivery/assessment</b>
Y		Y	Y	Y	Y

Referring to the program enrolment of one of the BPA sampled students, alignment between the Training Plan and TAS was determined.

The information provided to students on the Statement of Fees is consistent with the information in the TAS and includes:

- The code and title of the training product;
- Estimated duration;
- Expected locations at which training, and assessment will occur;
- Expected modes of delivery;
- The hourly concession fees;
- The approximate value of government contribution; and
- Any other applicable fees

The *Skills First* Teacher(s) delivering Certificate III in Carpentry has qualifications as shown in the table below:

<i>Skills First</i> Teacher Name	Qualification/s Held	Date Qualification Obtained	Relevant Industry Experience? Y/N
David Lister	TAE40116 Certificate IV in Training and Assessment CPC30211 - Certificate III in Carpentry	2020 2021	Yes
William Spencer	TAE40110 Certificate IV in Training and Assessment CPC50210 - Diploma of Building and Construction (Building)	2012 2016	Yes
Luke Tiernan	TAE40110 Certificate IV in Training and Assessment CPC302110 - Certificate III in Carpentry	2017 2015	Yes
Robert ZanderZyden	TAE40110 Certificate IV in Training and Assessment CPC302110 - Certificate III in Carpentry	2021 2017	Yes

The Register of Trainers and Assessors was viewed and deemed to be current for the training period included in this audit, and did include all requirements in accordance with the Contract.

## 1.7 Tuition Fees Observations

As requested by the Department, we reviewed tuition fees and have determined the following:

- The Training Provider’s website did publish the standard fees for government subsidised training in a prominent place.
- For two (2) BPA students, the following was noted:
  - In two instances, the Statement of Fees did include all information stipulated in the Guidelines about Fees.
  - In two instances, the Hourly Tuition Fee noted on the Statement of Fees did match the fee reported in SVTS.

## 1.8 Summary of Student and *Skills First* Teacher Interviews

As requested by the Department, we attempted interviews with a sample of 44 students enrolled in government subsidised training.

- Three students declined to participate in the interview.
- Eight students could not be contacted after three attempts.
- Six student interviews were completed.

The outcome of the completed student interviews is outlined below and is based on information provided by the student only.

- For six students, the information obtained from the student interview was consistent with the data reported to SVTS.

As requested by the Department, we attempted interviews with eight *Skills First* Teachers who deliver training for the Training Provider. The outcome of the *Skills First* Teacher interviews is outlined below:

- Four *Skills First* Teacher interviews were completed and no issues were noted.

Please note, management comments relating to student/Teacher interviews are not required. Interview responses of concern will be raised by the Department in the outcome letter.

## 2. Root Cause Analysis – BPA sampled students only

The below table outlines the number of exceptions from the student files reviewed as part of the BPA, based on the business component root cause of each finding.

	Business Policies	Business Processes	People & Organisation	Management Oversight	Systems & Data
Eligibility	0	0	0	0	0
Pre-Training Review	0	2	0	0	0
Training Plan	0	0	0	0	0
Training Participation	0	16	0	0	0
Fee Concessions	0	0	0	0	0
Fees	0	0	0	0	0
<b>Total Errors</b>	<b>0</b>	<b>18</b>	<b>0</b>	<b>0</b>	<b>0</b>
<b>Root Cause Error Rate<sup>2</sup> %</b>	<b>0</b>	<b>100%</b>	<b>0</b>	<b>0</b>	<b>0</b>

The root causes of each instance of non-compliance based on the below descriptions.

Root Cause	Deficiency Description
<b>Business Policies</b>	Business policies and procedural documentation does not include specific guidelines, articulate relevant strategies, authorities, responsibilities or expected standards of conduct.
<b>Business Processes</b>	Business processes, methods and/or templates are non-existent or do not align to the requirements of the Contract
<b>People and Organisation</b>	Staff have not consistently applied their knowledge and experience and/or insufficient training been provided to perform the process in accordance with the Contract requirements.
<b>Management Oversight</b>	Management oversight and internal review processes and controls are inadequate to identify and rectify any non-compliances.
<b>Systems and Data</b>	Information systems do not support compliance with the Contract and/or do not produce accurate data for submission through SVTS.

<sup>2</sup> The Root Cause Error Rate is based on the number of exceptions for each root cause, as a percentage of the total exceptions across all five business components.

### 3. Detailed Findings

The table below details the non-compliances identified and the Training Provider comments on the findings:

Reference	Control Weakness	Training Provider comments on cause of non-compliance
Pre-Training Review		
<p><b>3.1</b> Pre-Training Review requirements were not met</p>	<p>Testing of two BPA and 40 TCA student files identified 43 instances where the Pre-Training Review (PTR) did not meet the requirements of the 2021 Standard VET Funding Contract. Specifically, the following was noted:</p> <ul style="list-style-type: none"> <li>a) 42 instances where the Training Provider did not identify the students’ online, digital capability; and</li> <li>b) One instance where the Training Provider did not assess where the learning strategies and materials were appropriate for the student.</li> </ul> <p>The Training Provider did not identify this an area of non-compliance when completing its most recent Internal Audit Checklist.</p> <p>Refer to <i>Appendix A</i> for further details.</p> <p><b>Root Cause(s)</b></p> <ul style="list-style-type: none"> <li>• Business Processes</li> </ul> <p><b>Contract Reference</b></p> <p>2021 Standard VET Funding Contract – Schedule 1</p> <p>4.3 The Pre-Training Review must:</p> <p>c) consider the individual’s:</p> <ul style="list-style-type: none"> <li>iii) digital capability, where the proposed learning includes portions delivered online; and</li> </ul>	<p>The contract clause states that this must be considered. It does not state that it must be recorded and or documented. TIV engages with its students during the pre-enrolment process to ensure that they are enrolling into the correct qualification for them (face to face or distance learning).</p> <p>Nevertheless, in addition to the Pre-Training Review questionnaire process, TIV informs its student’s about online digital capability in the three separate stages prior to commencement.</p> <p>Stage 1 -</p> <p>TIV marketing material that is provided at application states</p> <ul style="list-style-type: none"> <li>• Have a laptop with Microsoft office programs (or equivalent) and internet access for the duration of the course</li> </ul> <p>Stage 2</p> <p>The following information is provided to those applicants attending the Virtual Classroom Environment additional information is also advised</p> <p>WHAT DOES A STUDENT NEED TO PARTICIPATE IN THE VIRTUAL CLASSROOM?</p>

Reference	Control Weakness	Training Provider comments on cause of non-compliance
Pre-Training Review		
	<p>d) identify whether the proposed learning strategies (including online delivery) and materials are appropriate for that individual and, where necessary, steps to overcome any barriers.</p>	<ul style="list-style-type: none"> <li>• A computer or laptop with Microsoft Office (not an iPad)</li> <li>• A mobile phone or landline for dialling into the Audio Conference</li> <li>• Internet access</li> <li>• Being available during the hours set on the timetable</li> <li>• WhatsApp downloaded</li> <li>• Video access for ZOOM</li> </ul> <p>Stage 3.</p> <p>TIV conducts an Orientation Program as a further measure to gauge the students' digital capabilities. During this orientation session, TIV covers</p> <ul style="list-style-type: none"> <li>• Computer Setup,</li> <li>• Various Computer Applications (Word, excel, Google Chrome etc,),</li> <li>• Online social media applications (Whats App),</li> <li>• How to download and use sharing services (Drop Box),</li> <li>• How to use TIV's Online Learning Platforms (Moodle)</li> <li>• Advice to all students of the Student Support role, how it will assist them with the required technology. And how this support may be accessed for the entire duration of their enrolment with TIV.</li> </ul>

Reference	Control Weakness	Training Provider comments on cause of non-compliance
Pre-Training Review		
		<p>No applicant can proceed to commencement until each has successfully completed the Orientation process.</p> <p><b>EY Comment:</b> The evidence provided does not demonstrate that the Training Provider identified students' digital capability, as access to technology was not considered as required by Schedule 1 Clause 4.3 (c) of the 2021 Standard VET Funding Contract. No update is required to the Report.</p>



Reference	Control Weakness	Training Provider comments on cause of non-compliance
<b>Training Participation</b>		
<p><b>3.2</b> Evidence of Participation requirements were not met</p>	<p>Testing of two BPA and 40 TCA student files identified 18 instances where the Training Provider did not meet the Evidence of Participation (EOP) requirements of the 2021 Standard VET Funding Contract. Specifically, the following was noted:</p> <ul style="list-style-type: none"> <li>a) One instance where the date of formal withdrawal is after the Activity End Date;</li> <li>b) 16 instances where a valid first point of Evidence of Participation was not sighted within the first 30 days of the Activity Start Date (ASD) where a unit of competency was greater than 30 days and no other valid EOP was retained on file;</li> <li>c) One instance where the Training Provider did not provide a second point of Evidence of Participation in the last 30 days of training, where the duration of a unit of competency was greater than 30 days; and</li> </ul> <p>The Training Provider did not identify this an area of non-compliance when completing its most recent Internal Audit Checklist.</p> <p><b>Refer to Appendix B for further details.</b></p> <p><b>Root Cause(s)</b></p> <ul style="list-style-type: none"> <li>• Business Processes</li> </ul> <p><b>Contract Reference</b></p> <p>2021 Standard VET Funding Contract – Schedule 1</p> <p>9.1 The Training Provider must document Evidence of Participation for all programs on the Funded Scope that are delivered to Skills First Students.</p> <p>9.6 The number of points of Evidence of Participation that must be documented and maintained for each subject is as follows:</p> <ul style="list-style-type: none"> <li>b) if the period between the Activity Start Date and Activity End Date for the subject is more than 30 days</li> </ul>	<ul style="list-style-type: none"> <li>a) TCA 21 – PES2-08648 Nadarajamuthali Kulathayendran. The formal withdrawal date (30/07/2021) is after the Activity End Date (21/07/2021). The student spoke with TIV on 21/07/2021. This was the last date TIV had communication with the student. This is the date used for cancellation.</li> </ul> <p><b>EY Comment:</b> The Training Provider has acknowledged that the formal withdrawal was after Activity End Date. No update is required to the Report.</p> <ul style="list-style-type: none"> <li>b) The first point of evidence of participation for the Eight instances align with the 2021 Guidelines as follows.  “2.4 Meaningful and on-going consultation with the employer and the Apprentice/Trainee is essential in the development and delivery of training in accordance with a Training Plan. Requirements for Apprentice and Trainee Training Plans are in Schedule 1 of the Contract.”  “2.11 As required by Clauses 6.19 and 6.20 in Schedule 1 of the Contract, the Training Plan must be maintained to reflect the current status of the Apprentice or Trainee’s training at any time. As it facilitates and evidences competency based progression, the Training Plan must be regularly reviewed and any changes to training must be reflected. For example, the Training Provider should ensure</li> </ul>

Reference	Control Weakness	Training Provider comments on cause of non-compliance
Training Participation	<p>two points of Evidence of Participation per subject must be provided in compliance with the following conditions:</p> <ul style="list-style-type: none"> <li>i) one point must be no later than 30 days after (and no earlier than) the reported Activity Start Date;</li> <li>ii) one point must be no earlier than 30 days before (and no later than) the reported Activity End Date; and</li> <li>iii) the two points of Evidence of Participation must be two different items of evidence from the list specified in Clause 9.7 of this Schedule 1.</li> </ul> <p>9.7 The only items of Evidence of Participation the Department accepts are:</p> <ul style="list-style-type: none"> <li>a) evidence of work submitted by the Skills First Student relating to engagement in the subject;</li> <li>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;</li> <li>c) a Training Provider endorsed attendance roll showing that the Skills First Student attended a training session related to the subject;</li> <li>d) primary documentation that provides evidence of assessment;</li> <li>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;</li> <li>f) in flexible and distance modes of learning, communication between the Training Provider and Skills First Student engagement confirming that that the Skills First Student has commenced engagement in learning and/or assessment activity; and</li> </ul> <p>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.10.10 The Training Provider must report a Skills First Student's withdrawal from a program or subject in accordance with the requirements in the Victorian VET Student Statistical Guidelines, by the earlier of:</p>	<p>the program is current. A change to a superseding program is an important amendment, particularly where this results in the addition of subjects.”</p> <p>The Standard contract states</p> <p><b>9. EVIDENCE OF PARTICIPATION</b></p> <p>“9.4 To be valid, Evidence of Participation must contain:</p> <ul style="list-style-type: none"> <li>a) the Skills First Student's name or client identifier;</li> <li>b) a subject identifier; and</li> <li>c) a date expressed in day/month/year format.” <p>The training plans that have been provided during this audit meets these requirements.</p> <p>In March 2021 TIV underwent a BPA/TCA audit where the Training Plans were used for first points of Evidence of Participation compliance.</p> <p><b>EY Comment:</b> The Training Plans provided as EOP are not a valid form of EOP accepted by the Department as outlined in Schedule 1, Clause 9.7 of the 2021 Standard VET Funding Contract. This audit is independent of prior audits and does not factor in the results from previous audits. No update is required to the Report.</p> </li></ul>

Reference	Control Weakness	Training Provider comments on cause of non-compliance
Training Participation		
	<p>g) two months after the point of withdrawal (as defined in the Victorian VET Student Statistical Guidelines); or</p> <p>h) the final data submission date for the data collection year.</p>	<p>c) TCA 21 – PES2-08648 Nadarajamuthali Kulathayendran. Second point of EOP – Not Provided The formal withdrawal date (30/07/2021) is after the Activity End Date (21/07/2021). The student spoke with TIV on 21/07/2021. This was the last date TIV had communication with the student. This is the date used for cancellation. The email dated 30/07/2021 was from an administration officer not a Trainer and Assessor and would not count as EOP. An email dated 9/7/2021 from the Student Support team was the last formal EOP sent to the student. This is in aligns with the Evidence of Participation guidelines that the second is no earlier than 30 days before the Activity End Date (and no later than it).</p> <p><b>EY Comment:</b> The email dated 9 July 2021 provided by the Training Provider is not a valid form of EOP accepted by the Department as stated in Schedule 1 Clause 9.7 of the 2021 Standard VET Funding Contract. No update is required to the Report.</p>

#### 4. Management Action Plan

Ref.	Nature of exceptions identified	Root Cause	Action to correct non-compliance – as developed by the Training Provider	Responsible Person	Target Completion Date
5.1	Pre-Training Review requirements were not met	Business Processes	<p>In August 2021 the the Pre-Training Review process was updated to include all information in accordance with the VET Funding Contract and to capture applicants digital capabilities so that there can be no misunderstanding on the requirements moving forward.</p> <p>A sample of the updated pre-training review checklist was available in the evidence previously provided.</p>	Peter G	01/08/2021
5.2	Evidence of Participation requirements were not met	Business Processes	<p>First and Second points of Evidence of Participation were provided in accordance to the Standard contract and the 2021 Guidelines About Apprenticeship/Traineeship Training Delivery.</p> <p>To strengthen the Evidence of Participation, an additional documents has been created for Evidence of Delivery for Apprentice enrolments. This form will be used for Workplace Delivery in conjunction with the Apprentice Training Plan.</p>	Narelle W	29/10/2021

## 5. Status of Prior Audit Findings

The following comments relate to the status of the Management Action Plan from the Business Process and Transaction audit report dated 18/03/2021.

Reference	Prior Finding	Implementation Status & Comments
6.1	Evidence of eligibility form was not provided in alignment with the VET Funding Contract	Management has represented this finding as in progress. Management has advised the required documentary evidence was provided at audit and subsequently TIV has not developed an action plan to complete the finding.
6.2	Student Declaration was not completed in alignment with the VET Funding Contract	Management has represented this finding as complete. Management has advised that TIV now uses the Eligibility and Student Declaration Forms provided on the SVTS website. EY was able to sight evidence to support the completion of this action.
6.3	Incorrect reporting of Eligibility exemption	Management has represented this finding as complete. Management has advised that TIV has implemented regular internal audits to ensure all information is recorded accurately. EY was able to sight evidence to support the completion of this action.
6.4	Training Provider Declaration was not completed in alignment with the VET Funding Contract	Management has represented this finding as complete. Management has advised that TIV now uses the Eligibility and Student Declaration Forms provided on the SVTS website. TIV has also implemented regular internal audits to ensure all information is recorded accurately. EY was able to sight evidence to support the completion of this action.
6.5	Student does not appear to have been eligible for Skills First Funded training	Management has represented this finding as complete. Management has advised that TIV has implemented regular internal audits to ensure all information is recorded accurately. EY was unable to sight evidence to support the completion of this action.
6.6	Pre-Training Review was not dated by the Training Provider delegate	Management has represented this finding as complete. Management has advised that TIV has implemented regular internal audits to ensure all information is recorded accurately. EY was able to sight evidence to support the completion of this action.
6.7	Appropriate learning strategies and materials were not assessed in alignment with the requirements of the VET Funding Contract	Management has represented this finding as complete.

Reference	Prior Finding	Implementation Status & Comments
		<p>Management has advised that a new Pre-Training Review Form has been developed to capture appropriate learning strategies and materials. TIV has also strengthened the Authorised Delegate Process in determining suitability and have implemented training of all staff. However, during fieldwork EY identified one instance where the Training Provider did not provide valid documents to evidence assessment of appropriate learning strategies and materials.</p> <p>Refer to Finding 3.1.</p>
6.8	Pre-Training Review does not consider individual's writing capabilities	<p>Management has represented this finding as complete.</p> <p>Management has advised that the LLN test has been revised to consider students' writing capabilities.</p> <p>EY was able to sight evidence to support the completion of this action.</p>
6.9	Previous competencies acquired to determine if RPL is applicable was not identified in alignment with the VET Funding Contract	<p>Management has represented this finding as complete.</p> <p>Management has advised that VETenrol, the software provider, has been requested to rectify this finding in the system. Until such time, the Pre-Training Review Form has been revised to include questions that are relevant to the VETenrol process.</p> <p>EY was able to sight evidence to support the completion of this action.</p>
6.10	Steps to overcome individual's poor digital capability have not been identified	<p>Management has represented this finding as complete.</p> <p>Management has advised that the Pre-Training Review Form and follow up process has been updated to include consideration of an individual's digital capability.</p> <p>However, during fieldwork EY identified instances where students' online, digital capability was not appropriately assessed as part of the Pre-Training Review.</p> <p>Refer to Finding 3.1.</p>
6.11	Pre-Training Review did not document why the program was most suitable for the student in alignment with the requirements of the VET Funding Contract	<p>Management has represented this finding as complete.</p> <p>Management has advised that Pre-Training Review Form has been updated to include all information in accordance with the 2021 Standard VET Funding Contract.</p> <p>EY was able to sight evidence to support the completion of this action.</p>
6.12	The Training Plan did not specify the delivery modes to be used for each unit of competency in alignment with the VET Funding Contract	<p>Management has represented this finding as complete.</p> <p>Management has advised that staff have been reminded of the necessary information to be included on Training Plans and regular audits of Training Plans are now conducted to ensure compliance.</p> <p>EY was unable to sight evidence to support the completion of this action.</p>

Reference	Prior Finding	Implementation Status & Comments
6.13	Training Plan does not align with the relevant TAS in accordance with the requirements of the VET Funding Contract	<p>Management has represented this finding as complete.</p> <p>Management has advised that the Training Plan and TAS has been updated for alignment and regular audits of Training Plans are now conducted to ensure compliance.</p> <p>EY was able to sight evidence to support the completion of this action.</p>
6.14	Training Plan data does not align to SVTS data	<p>Management has represented this finding as complete.</p> <p>Management has advised that the business process has been updated to ensure Activity End Dates are recorded on the student's Training Plan, including for withdrawn units.</p> <p>EY was able to sight evidence to support the completion of this action.</p>
6.15	Valid second point of Evidence of Participation could not be provided in alignment with the VET Funding Contract	<p>Management has represented this finding as complete.</p> <p>Management has advised that staff have been reminded of the guidelines for withdrawn units and recording the accurate Activity End Date. Regular audits of Evidence of Participation are now conducted to ensure compliance.</p> <p>However, during fieldwork EY identified instances where a valid second point of Evidence of Participation was not evidenced.</p> <p>Refer to Finding 3.2.</p>
6.16	Evidence of Participation was sighted prior to the unit activity start date	<p>Management has represented this finding as complete.</p> <p>Management has advised that TIV now uses the date and time stamp provided by LMS for submission dates.</p> <p>EY was able to sight evidence to support the completion of this action.</p>
6.17	Valid evidence of concession was not retained in student file	<p>Management has represented this finding as complete.</p> <p>Management has advised regular internal audits are now conducted to ensure all information is retained in accordance with the 2021 Standard VET Funding Contract.</p> <p>EY was unable to sight evidence to support the completion of this action.</p>
6.18	Hourly fee on the Statement of Fees does not match amount recorded in SVTS	<p>Management has represented this finding as complete.</p> <p>Management has advised regular internal audits are now conducted to ensure all information is retained in accordance with the 2021 Standard VET Funding Contract.</p> <p>EY was unable to sight evidence to support the completion of this action.</p>

## 7. Next Steps

As noted in the letter dated 19 September 2021 notifying your organisation of this audit, other potential actions that may be taken by the Department following this contract compliance audit include:

- Evidence of Eligibility audit, assessing whether a Training Provider has sufficient evidence of eligibility to support student program enrolments for which government subsidised training has been claimed.
- Evidence of Concession audit, assessing whether a Training Provider has sufficient evidence of concession to support the granting of a fee concession claimed under the previous Contract
- Evidence of Participation audit, assessing whether a Training Provider has sufficient evidence of participation to support claims for payment for training delivery in specific subjects for which funding has been claimed.
- Pre-Training Review, assessing the process undertaken between the Training Provider and a prospective student to determine the most suitable and appropriate training for that individual, to confirm that it has been conducted and documented in accordance with the requirements of the Contract and the Quality Charter.
- Rectification Review, assessing the extent to which the Management Action Plan arising from the Business Process and/or Transactional Compliance Audits have been implemented by a Training Provider.
- Quality Review, assessing the quality of Training Services that have been, or are being, delivered at a Training Provider.
- A combination of audits and reviews.
- Monetary penalties may be imposed.
- Further action as noted in the Contract.
- No further action.

Further, in accordance with Clause 11.3(b)(iii) of the Contract, where a Management Action Plan has been developed the Training Provider must advise the Department in writing (including submitting appropriate documentation as determined by the Department) of compliance with and implementation of the auditor's recommendations and/or Management Action Plan within six months of the date of this report.



## Appendix A – PTR Exceptions

Sample No.	Student ID	Program Name	Program ID	Program Commencement Date	Date of PTR assessment	Rep. Ref. 3.1(a)	Rep. Ref. 3.1(b)	Other information	Training Provider Comments
1 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	09/04/2021	2/02/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
2 BPA	LC21-08734	Certificate III in Carpentry	CPC30211	25/03/2021	25/02/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
1 TCA	P163-07186	Certificate IV in Building and Construction (Building)	CPC40110	28/06/2021	25/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
2 TCA	PA10-07945	Diploma of Building and Construction (Building)	CPC50210	04/05/2021	4/03/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
3 TCA	PA27-09081	Certificate IV in Building and Construction (Building)	CPC40110	12/07/2021	16/06/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
4 TCA	I02577	Diploma of Building and Construction (Building)	CPC50210	04/05/2021	8/04/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
5 TCA	PA22-08850	Certificate IV in Building and Construction (Building)	CPC40110	27/04/2021	15/04/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
6 TCA	P201-08704	Certificate IV in Building and Construction (Building)	CPC40110	06/04/2021	10/03/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.

Sample No.	Student ID	Program Name	Program ID	Program Commencement Date	Date of PTR assessment	Rep. Ref. 3.1(a)	Rep. Ref. 3.1(b)	Other information	Training Provider Comments
7 TCA	PES2-09062	Certificate IV in Building and Construction (Estimating)	CPC40308	24/07/2021	11/06/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
8 TCA	PC21-08374	Certificate III in Carpentry	CPC30211	05/05/2021	21/10/2020	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
9 TCA	PA27-09039	Certificate IV in Building and Construction (Estimating)	CPC40308	10/07/2021	8/06/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
10 TCA	PES2-09027	Certificate IV in Building and Construction (Estimating)	CPC40308	10/07/2021	4/06/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
11 TCA	PA24-08936	Certificate IV in Building and Construction (Building)	CPC40110	25/05/2021	5/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
12 TCA	PA25-08996	Certificate IV in Building and Construction (Building)	CPC40110	07/06/2021	25/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
13 TCA	PA10-07951	Diploma of Building and Construction (Building)	CPC50210	07/06/2021	1/03/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
14 TCA	PC21-08651	Certificate III in Carpentry	CPC30211	05/05/2021	23/02/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.

Sample No.	Student ID	Program Name	Program ID	Program Commencement Date	Date of PTR assessment	Rep. Ref. 3.1(a)	Rep. Ref. 3.1(b)	Other information	Training Provider Comments
15 TCA	PA27-09040	Certificate IV in Building and Construction (Building)	CPC40110	12/07/2021	4/06/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
16 TCA	PC21-08669	Certificate III in Carpentry	CPC30211	05/05/2021	16/03/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
17 TCA	PA18-08607	Certificate IV in Building and Construction (Building)	CPC40110	30/03/2021	12/02/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
18 TCA	PA28-09165	Certificate IV in Building and Construction (Building)	CPC40110	20/07/2021	12/07/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
19 TCA	PA22-08863	Certificate IV in Building and Construction (Building)	CPC40110	27/04/2021	19/04/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
20 TCA	PA21-05901	Certificate IV in Building and Construction (Building)	CPC40110	12/04/2021	31/03/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
21 TCA	PES2-08648	Certificate IV in Building and Construction (Estimating)	CPC40308	17/04/2021	25/02/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
22 TCA	PA22-08832	Certificate IV in Building and Construction (Building)	CPC40110	27/04/2021	12/04/2021	✓	✓	The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course. Appropriate learning strategies and materials have not been identified as the Training Provider provided a PTR where the relevant	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.

Sample No.	Student ID	Program Name	Program ID	Program Commencement Date	Date of PTR assessment	Rep. Ref. 3.1(a)	Rep. Ref. 3.1(b)	Other information	Training Provider Comments
								information (student's answer to requiring assistance) had been redacted.	
23 TCA	PA25-08963	Certificate IV in Building and Construction (Building)	CPC40110	07/06/2021	18/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
24 TCA	PA25-08988	Certificate IV in Building and Construction (Building)	CPC40110	07/06/2021	24/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
25 TCA	PES2-08762	Certificate IV in Building and Construction (Estimating)	CPC40308	17/04/2021	23/03/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
26 TCA	PA20-08723	Certificate IV in Building and Construction (Building)	CPC40110	30/03/2021	15/03/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
27 TCA	PA25-09010	Certificate IV in Building and Construction (Building)	CPC40110	07/06/2021	31/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
28 TCA	P196-07929	Diploma of Building and Construction (Building)	CPC50210	07/06/2021	5/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
29 TCA	PES2-08992	Certificate IV in Building and Construction (Estimating)	CPC40308	29/05/2021	24/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
30 TCA	PC21-08900	Certificate III in Carpentry	CPC30211	05/05/2021	27/04/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.

Sample No.	Student ID	Program Name	Program ID	Program Commencement Date	Date of PTR assessment	Rep. Ref. 3.1(a)	Rep. Ref. 3.1(b)	Other information	Training Provider Comments
31 TCA	P152-07052	Diploma of Building and Construction (Building)	CPC50210	08/06/2021	26/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
32 TCA	PC21-08644	Certificate III in Carpentry	CPC30211	05/05/2021	22/02/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
33 TCA	PC21-09047	Certificate IV in Building and Construction (Building)	CPC40110	12/07/2021	10/06/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
34 TCA	PA24-08926	Certificate IV in Building and Construction (Building)	CPC40110	25/05/2021	7/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
35 TCA	P168-07284	Diploma of Building and Construction (Building)	CPC50210	04/05/2021	10/03/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
36 TCA	PC21-08758	Certificate III in Carpentry	CPC30211	21/04/2021	23/03/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
37 TCA	SC21-08461	Certificate IV in Building and Construction (Building)	CPC40110	12/07/2021	1/07/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
38 TCA	PA22-08838	Certificate IV in Building and Construction (Building)	CPC40110	27/04/2021	14/04/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.

Sample No.	Student ID	Program Name	Program ID	Program Commencement Date	Date of PTR assessment	Rep. Ref. 3.1(a)	Rep. Ref. 3.1(b)	Other information	Training Provider Comments
39 TCA	P204-08984	Certificate IV in Building and Construction (Building)	CPC40110	28/06/2021	20/05/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
40 TCA	P204-09050	Certificate IV in Building and Construction (Building)	CPC40110	12/07/2021	9/06/2021	✓		The Pre-Training Review does not ask students whether they have access to necessary technology to complete the course.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
<b>TOTAL</b>						<b>42</b>	<b>1</b>		

## Appendix B – Training Participation Exceptions

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	First point of EOP Date	Second point of EOP Date	Rep. Ref. 4.1 (a) ✓	Rep. Ref. 4.1 (b) ✓	Rep. Ref. 4.1 (c) ✓	Other information	Training Provider Comments
1 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	Carry out levelling operations	CPCCCM3006	13/08/2021	31/10/2021	Not Provided	Not Provided		✓		Valid first point of Evidence of Participation not provided.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
1 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	Carry out measurements and calculations	CPCCCM1015A	13/08/2021	31/10/2021	Not Provided	Not Provided		✓		Valid first point of Evidence of Participation not provided.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
1 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	Carry out setting out	CPCCCA3002A	13/08/2021	31/10/2021	Not Provided	Not Provided		✓		Valid first point of Evidence of Participation not provided.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.
1 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	Conduct workplace communication	CPCCCM1014A	07/06/2021	13/08/2021	Not Provided	13/08/2021		✓		Valid first point of Evidence of Participation not provided.	Please see comments listed under “Training Provider comments on cause of non-compliance” listed above.

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	First point of EOP Date	Second point of EOP Date	Rep. Ref. 4.1 (a)	Rep. Ref. 4.1 (b)	Rep. Ref. 4.1 (c)	Other information	Training Provider Comments
1 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	Plan and organise work	CPCCCM1013A	07/06/2021	13/08/2021	Not Provided	13/08/2021	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
1 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	Read and interpret plans and specifications	CPCCCM2001A	13/08/2021	31/10/2021	Not Provided	Not Provided	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
1 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	Use carpentry tools and equipment	CPCCCA2002B	07/06/2021	13/08/2021	Not Provided	13/08/2021	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
1 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	Use explosive power tools	CPCCCM2007B	07/06/2021	13/08/2021	Not Provided	14/08/2021	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.



Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	First point of EOP Date	Second point of EOP Date	Rep. Ref. 4.1 (a)	Rep. Ref. 4.1 (b)	Rep. Ref. 4.1 (c)	Other information	Training Provider Comments
2 BPA	LC21-08726	Certificate III in Carpentry	CPC30211	Work effectively and sustainably in the construction industry	CPCCCM1012A	07/06/2021	13/08/2021	Not Provided	13/08/2021	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
2 BPA	LC21-08734	Certificate III in Carpentry	CPC30211	Carry out levelling operations	CPCCCM3006	01/07/2021	31/10/2021	Not Provided	Not Provided	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
2 BPA	LC21-08734	Certificate III in Carpentry	CPC30211	Carry out measurements and calculations	CPCCCM1015A	01/07/2021	31/10/2021	Not Provided	Not Provided	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
2 BPA	LC21-08734	Certificate III in Carpentry	CPC30211	Carry out setting out	CPCCCA3002A	01/07/2021	31/10/2021	Not Provided	Not Provided	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	First point of EOP Date	Second point of EOP Date	Rep. Ref. 4.1 (a)	Rep. Ref. 4.1 (b)	Rep. Ref. 4.1 (c)	Other information	Training Provider Comments
2 BPA	LC21-08734	Certificate III in Carpentry	CPC30211	Handle carpentry materials	CPCCCA2011A	25/03/2021	01/07/2021	Not Provided	01/07/2021	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
2 BPA	LC21-08734	Certificate III in Carpentry	CPC30211	Read and interpret plans and specifications	CPCCCM2001A	1/07/2021	31/10/2021	Not Provided	Not Provided	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
2 BPA	LC21-08734	Certificate III in Carpentry	CPC30211	Use carpentry tools and equipment	CPCCCA2002B	25/03/2021	01/07/2021	Not Provided	01/07/2021	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.
2 BPA	LC21-08734	Certificate III in Carpentry	CPC30211	Use explosive power tools	CPCCCM2007B	25/03/2021	01/07/2021	Not Provided	01/07/2021	✓	✓	✓	Valid first point of Evidence of Participation not provided.	Please see comments listed under "Training Provider comments on cause of non-compliance" listed above.

21 TCA	PES2-08648	Certificate IV in Building and Construction (Estimating)	CPC40308	Read and interpret plans and specifications	CPCBC4012B	20/04/2021	21/07/2021	20/04/2021	Not Provided	✓		✓	The formal withdrawal date (30/07/2021) is after the Activity End Date (21/07/2021)	<p>TCA 21 – PES2-08648 Nadarajamuthali Kulathayendran. The formal withdrawal date (30/07/2021) is after the Activity End Date (21/07/2021). The student spoke with TIV on 21/07/2021. This was the last date TIV had communication with the student. This is the date used for cancellation.</p> <p>Second point of EOP – Not Provided The formal withdrawal date (30/07/2021) is after the Activity End Date (21/07/2021). The student spoke with TIV on 21/07/2021. This was the last date TIV had communication with the student. This is the date used for cancellation. The email dated 30/07/2021 was from an administration officer not a Trainer and Assessor and would not count as EOP. An email dated 9/7/2021 from the Student Support team was the last formal EOP sent to the student. This is in align with the Evidence of Participation guidelines that the second is no earlier than 30 days before the</p>
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Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	First point of EOP Date	Second point of EOP Date	Rep. Ref. 4.1 (a) ✓	Rep. Ref. 4.1 (b) ✓	Rep. Ref. 4.1 (c) ✓	Other information	Training Provider Comments
														Activity End Date (and no later than it).
<b>TOTAL</b>										<b>1</b>	<b>16</b>	<b>1</b>		