



*Skills First* Program  
2022 Audit and Assurance Report

**2021 Evidence of Participation**

Trade Institute of Victoria  
21920

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Auditor	EY
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# 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 135 of 135 sample data records on 9 February 2022 at 12:30pm.

EY conducted the audit remotely which commenced on 14 February 2022 and concluded on 18 February 2022. An entry meeting was held with the Training Provider's Compliance and Continuous Improvement Manager, Chief Executive Officer and General Manager.

Entry Meeting		Date: 14/02/2022	Time: 9:00am
TIV Attendees	1 John Macdonald (Chief Executive Officer), 2 Narelle Weeks (Compliance and Continuous Improvement Manager), 3 Peter Giannopoulos (General Manager)		
EY Attendees	1 Elleny Mikropoulos (Consultant), 2 William Vong (Consultant)		

The objective of the Evidence of Participation (EOP) audit was to identify whether documentation/material that meets the EOP requirements of the Contract, is available to support claims that the Training Provider has made for funding under the Contract. The following procedures were performed:

- obtained a sample/s of subjects, 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 Schedule 1, Clause 9 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.

**Conclusion of audit activity**

At the conclusion of the audit fieldwork on 16 February 2022 at 12:15pm, 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 provided the misplaced documents by the above specified timeframe on 17 February 2022 at 12pm.

Where exceptions have been identified, the results have been incorporated into the findings set out in Section 1.4 and Section 2 of this report and a list of exceptions is attached at Appendix A.

<b>Close Out Meeting</b>		<b>In Person:</b>	<input type="checkbox"/>	<b>Date:</b>	16/02/2022
		<b>Via Phone:</b>	<input checked="" type="checkbox"/>	<b>Time:</b>	12:15pm
TIV Attendees	1 John Macdonald (Chief Executive Officer) 2 Narelle Weeks (Compliance and Continuous Improvement Manager)				
EY Attendees	1 Elleny Mikropoulos (Consultant), 2 William Vong (Consultant)				

## 1.4 Summary of Findings

The table below summarises the factual findings of the EOP audit:

EOP Meets Requirements	No. of Subject Commencements	Explanatory Notes
Y	120	There is EOP for the sampled subjects in accordance with the Contract, as applicable.
N	15	EOP was not provided for the sampled subjects in accordance with the requirements of the Contract, as applicable.  Further detail is provided at Section 2 - Exceptions Identified.

<b>Total Sample</b>	135
<b>Error Rate %</b>	11.11%

The factual findings above represent a calculated **error rate of 11.11%** of which TIV management has been advised at the exit interview held on 23 February 2022 at 10:00am.

### Training Provider Responsibility

TIV was responsible for providing EOP to meet the requirements of the Contract as applicable.

### Training Provider Management Comment:

Each of TIV's clustered units of competence open with a power point overview that integrates each unit within the cluster. The intention is to create strong relationships between common or complimentary actions that enhance learning effectiveness and efficiency. In addition to the session plans, the detail of each course's content, structure, delivery and assessment is contained in the Learner Assessment Guides that are supplied to each learner, and in the Trainers' Assessment Guides that are supplied to the respective Trainers.

The session plans that have been provided to EY as additional evidence do not specify, whilst do not exactly cover an individual unit code or name, have been designed to match the resources provided to the TIV students, and trainers and assessors.

The power-point has the additional evidence to show what content was covered in the training session. The first 60 minutes of each session for the clustered units covers the performance criteria and knowledge evidence that is unit neutral between the two units in question.

These resources were not asked to be provided at any stage during the audit process, and whilst TIV could have provided these, we feel that the first point of Evidence of Participation, and subsequent documentation sufficient covers the requirement and the request by EY.

TIV has available the resources, and timetables for review upon request.

### Provided by:

Name: John Macdonald

Position: CEO

Date: 03.03.2022

## 2. Exceptions Identified

The table below outlines the exceptions identified in Section 1.4.

Ref.	Nature of exceptions identified	Number of exceptions	Error rate on total sample	Explanatory notes	Training Provider comments on cause of non-compliance
2.1	The Training Provider did not provide a valid first point of EOP in the first month of training for units of competency which were greater than 30 days in duration, as required by Schedule 1, clause 9.6(b) of the 2021 Standard VET Funding Contract.	15	11.11%	Examination of 135 units of competency identified 15 instances where a valid point of EOP was not provided in the first month of training for units with a duration greater than 30 days. Specifically, additional evidence provided to support the clustered delivery of units did not demonstrate the subjects that were delivered in each training session. In all 135 instances, a valid second point of evidence was sighted in the student file.	<p>In accordance with 9.7 c) If a Skills First student withdraws from a subject enrolment, an attendance roll dated the same as the Activity Start Date alone is not sufficient Evidence of Participation, unless the Training Provider can provide additional evidence to show what content was covered in the training session. This additional evidence must show that it was not simply an induction, information session or orientation class, and that training and/or assessment occurred in relation to the subject indicated on the attendance roll.</p> <p>TIV has provided lesson plan as requested. EY called on 17/2/2022 requesting further attendance rolls to work in conjunction with the session plans. This was provided as requested. EY at no stage requested evidence of what is covered in the training session.</p> <p>The fluidity between the clustered units is based on the Elements and Performance criteria, and the required skills knowledge for each of the 15</p>

					<p>non-compliances. TIV feels that the evidence of participation is covered and has been provided.</p> <p>The session plans that have been provided, do show the number of sessions that have been structured for each of the clustered units. TIV has provided subsequent evidence at EY's request showing that each of the 15 students in question have attended the majority of, or in most cases all the required sessions. (see Training Provider Comments).</p> <p><b>EY Comment:</b> During fieldwork, attendance rolls were provided demonstrating student attendance on the Activity Start Date (ASD). Additional evidence was requested during the 24-hour period to demonstrate what units of competency were delivered within each training session (for clustered delivery), and to demonstrate that the training session on the ASD was not an induction or orientation (for withdrawn students). Prior to the end of the 24-hour period, EY contacted the Training Provider to request further attendance rolls beyond the ASD, to further support the first point of EOP for withdrawn students where the session plans may be insufficient. The Training Provider provided the requested session plans and attendance rolls. The session plans</p>
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					provided for the 15 exceptions noted in this report were not accepted as they did not demonstrate which unit of competency was being delivered within each training session, in accordance with clause 9.7(c) of the 2021 Standard VET Funding Contract.
	<b>Total Exception Count</b>	15	<i>This number represents the total number of exceptions that has been identified and may include multiple exceptions for one subject enrolment.</i>		

### 3. Management Action Plan

Ref.	Nature of exceptions identified	Action to correct non-compliance	Responsible Person	Target Completion Date
3.1	The Training Provider did not provide a valid first point of EOP. A valid attendance roll was provided for clustered delivery, however there was no differentiation between the units that were being delivered in the session attended by the student.	To ensure that there is no confusion or misinterpretation of the Skills First Contract, moving forward all clustered delivery session plans will be reviewed to ensure that the clustered unit codes and names are listed.	Peter Giannopoulos	30/04/2022

## 4. Next Steps

The Department will review the report and determine, if necessary, any appropriate actions required to address instances of non-compliance with the Contract. Please refer to the *Skills First* Audit and Review Strategy for guidance on the range of options for further action.

For example, in some instances, monetary penalties may be imposed and/or the Department may also require a Training Provider to repay Funds paid for the delivery of Training Services following an audit.

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 Management Action Plan within six months of the date of this report.

## Appendix A – Evidence of Participation Exceptions

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	Rep. Ref. 1	Training Provider Comments
16	PA20-08777	Certificate IV in Building and Construction (Building)	CPC40110	Select and prepare a construction contract	CPCBC4003 A	4/05/2021	8/07/2021	✓	<p>Two points of EOP were provided as required; an endorsed attendance roll and a completed assessment. Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 6 scheduled classes was available but was not requested.</p> <p><b>EY Comment:</b> The sampled unit is delivered by the Training Provider as part of a cluster. The session plan did not specify which units of competency were to be delivered within each training session. As such, the attendance roll provided is not a valid point of EOP. No update is required to the Report.</p>
23	P201-08725	Certificate IV in Building and Construction (Building)	CPC40110	Select and prepare a construction contract	CPCBC4003 A	11/05/2021	13/07/2021	✓	<p>Two points of EOP were provided as required; an endorsed attendance roll and a completed assessment. Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 6 scheduled classes was available but was not requested.</p>

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	Rep. Ref. 1	Training Provider Comments
									<a href="#">EY Comment: Please refer to EY's Comment provided above (in response to sample 16).</a>
28	PA17-08464	Certificate IV in Building and Construction (Building)	CPC40110	Apply Structural Principles to Commercial Low Rise Constructions	CPCBC4011 B	26/04/2021	27/06/2021	✓	<p>Two points of EOP were provided as required; an endorsed attendance roll and a completed assessment. Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 12 scheduled classes was available but was not requested.</p> <p><a href="#">EY Comment: Please refer to EY's Comment provided above (in response to sample 16).</a></p>
54	PA19-08635	Certificate IV in Building and Construction (Building)	CPC40110	Apply Structural Principles to Commercial Low Rise Constructions	CPCBC4011 B	26/05/2021	19/07/2021	✓	<p>Two points of EOP were provided as required; an endorsed attendance roll and a completed assessment. Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 12 scheduled classes was available but was not requested.</p> <p><a href="#">EY Comment: Please refer to EY's Comment provided above (in response to sample 16).</a></p>

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	Rep. Ref. 1	Training Provider Comments
57	PA19-08698	Certificate IV in Building and Construction (Building)	CPC40110	Apply legal requirements to building and construction projects	CPCBC4009 B	21/04/2021	29/05/2021	✓	<p>Two points of EOP were provided as required; an endorsed attendance roll and a completed assessment. Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 6 scheduled classes was available but was not requested.</p> <p><b>EY Comment:</b> Please refer to EY's Comment provided above (in response to sample 16).</p>
59	P199-08502	Certificate IV in Building and Construction (Building)	CPC40110	Apply Structural Principles to Commercial Low Rise Constructions	CPCBC4011 B	4/05/2021	23/06/2021	✓	<p>Two points of EOP were provided as requested: an endorsed attendance roll and a contact with the Student Support Team within 30 days of the Activity End Date. Additional information requested by EY was provided within the requested time frame in the form of:</p> <ul style="list-style-type: none"> <li>• A session plan to support clustered delivery attendance;</li> <li>• Valid second point of EOP;</li> <li>• An Activity End Date matching the date of formal withdrawal/date of last engagement;</li> </ul> <p>Further evidence of the student's attendance at 11 of the 12 scheduled</p>

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	Rep. Ref. 1	Training Provider Comments
									<p>classes was available but was not requested.</p> <p><b>EY Comment:</b> Please refer to EY's Comment provided above (in response to sample 16).</p>
64	PA18-08553	Certificate IV in Building and Construction (Building)	CPC40110	Apply Structural Principles to Commercial Low Rise Constructions	CPCBC4011 B	4/05/2021	10/08/2021	✓	<p>Two points of EOP were provided as requested: an endorsed attendance roll and a contact with the Student Support Team within 30 days of the Activity End Date.</p> <p>Additional information requested by EY was provided within the requested time frame in the form of:</p> <ul style="list-style-type: none"> <li>• A session plan to support clustered delivery attendance;</li> <li>• Valid second point of EOP;</li> <li>• An Activity End Date matching the date of formal withdrawal/date of last engagement;</li> </ul> <p>Further evidence of the student's attendance at 11 of the 12 scheduled classes was available but was not requested.</p> <p><b>EY Comment:</b> Please refer to EY's Comment provided above (in response to sample 16).</p>

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	Rep. Ref. 1	Training Provider Comments
65	PA21-08738	Certificate IV in Building and Construction (Building)	CPC40110	Select and prepare a construction contract	CPCBC4003 A	17/05/2021	7/07/2021	✓	<p>Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 6 scheduled classes was available but not requested.</p> <p><b>EY Comment:</b> Please refer to EY's Comment provided above (in response to sample 16).</p>
67	P199-08449	Certificate IV in Building and Construction (Building)	CPC40110	Apply Structural Principles to Commercial Low Rise Constructions	CPCBC4010 B	4/05/2021	17/06/2021	✓	<p>Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance.</p> <p>Further evidence of the student's attendance at each of the 6 scheduled classes was available but not requested.</p> <p><b>EY Comment:</b> Please refer to EY's Comment provided above (in response to sample 16).</p>
79	P203-08948	Certificate IV in Building and Construction (Building)	CPC40110	Apply structural principles to commercial low rise constructions	CPCBC4011 B	18/08/2021	22/09/2021	✓	<p>Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 12 scheduled classes was available but not requested.</p>



Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	Rep. Ref. 1	Training Provider Comments
									<a href="#">EY Comment: Please refer to EY's Comment provided above (in response to sample 16).</a>
86	PA19-08686	Certificate IV in Building and Construction (Building)	CPC40110	Select and prepare a construction contract	CPCBC4003 A	21/04/2021	27/07/2021	✓	<p>Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 6 scheduled classes was available but not requested.</p> <p><a href="#">EY Comment: Please refer to EY's Comment provided above (in response to sample 16).</a></p>
88	PA19-08710	Certificate IV in Building and Construction (Building)	CPC40110	Apply Structural Principles to Commercial Low Rise Constructions	CPCBC4011 B	26/05/2021	15/07/2021	✓	<p>Two points of EOP were provided as requested: an endorsed attendance roll and a contact with the Student Support Team within 30 days of the Activity End Date. Additional information requested by EY was provided within the requested time frame in the form of:</p> <ul style="list-style-type: none"> <li>• A session plan to support clustered delivery attendance;</li> <li>• Valid second point of EOP;</li> <li>• An Activity End Date matching the date of formal withdrawal/date of last engagement;</li> </ul>

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	Rep. Ref. 1	Training Provider Comments
									Further evidence of the student's attendance 12 scheduled classes was available but was not requested.  <b>EY Comment:</b> Please refer to EY's Comment provided above (in response to sample 16).
93	P204-09041	Certificate IV in Building and Construction (Building)	CPC40110	Apply legal requirements to building and construction projects	CPCBC4009 B	2/08/2021	4/10/2021	✓	Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 12 scheduled classes was available but not requested.  <b>EY Comment:</b> Please refer to EY's Comment provided above (in response to sample 16).
113	P201-08740	Certificate IV in Building and Construction (Building)	CPC40110	Apply structural principles to commercial low rise constructions	CPCBC4011 B	24/06/2021	3/08/2021	✓	Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance. Further evidence of the student's attendance at each of the 12 scheduled classes was available but not requested.  <b>EY Comment:</b> Please refer to EY's Comment provided above (in response to sample 16).
117	PA28-09089	Certificate IV in Building and	CPC40110	Apply legal requirements to	CPCBC4009 B	24/08/2021	8/10/2021	✓	Additional evidence requested by EY in the form of a clustered session plan was supplied to confirm compliance.

Sample number	Student ID	Program Name	Program ID	Subject Name	Subject ID	Activity Start Date	Activity End Date	Rep. Ref. 1	Training Provider Comments
		Construction (Building)		building and construction projects					<p>Further evidence of the student's attendance at each of the 6 scheduled classes was available but not requested.</p> <p><b>EY Comment:</b> Please refer to EY's Comment provided above (in response to sample 16).</p>