

2023 Skills First audit and assurance findings

January 2025

This is a snapshot of the 2023 audit and assurance program, conducted from October 2023 to July 2024. We summarise findings, common issues, and our suggestions for improvement.

How we audit your compliance

Our auditors check your compliance with the VET Funding Contract. This is through two streams of activity – the planned audit stream and the targeted audit stream. For further information, see the [Skills First audit and review strategy](#).

The number and type of audits and reviews

Business process audits	Transactional compliance audits	Student interviews	Quality reviews	Other audits
58	55	5	2	5


What we found

We found common non-compliance issues with data reporting, administrative errors and record keeping. The two underlying reasons for these issues are business processes, and people and organisation:

Business processes – when you do not have or use the right methods or templates, or you do not meet the contract requirements.

People and organisation – when your staff have not consistently applied their knowledge and experience to perform your business processes in accordance when the contract, or they've been given insufficient training to do so.

The main themes from our audit findings

 Eligibility	
Finding	Requirement
Assessing eligibility after the student started their training.	For each student, eligibility must be assessed prior to the commencement of training.
Either the student or training provider did not fully complete the eligibility and student declaration form.	The eligibility and student declaration form must be completed in full, with no blank sections.
Not keeping evidence of exemption from school attendance for a student under 17.	For students under 17 (except SBATs), they must have an exemption from school attendance that meets the contract requirements and guidelines.
Further Information <ul style="list-style-type: none"> 2025 guidelines about eligibility Students under 17 fact sheet 	



Pre-training review

Finding	Requirement
Doing the pre-training review after the student started their training.	A pre-training review must be conducted for each prospective student, as part of enrolment, or before the commencement of training.
Not documenting why the course was suitable and appropriate for the student.	You must document why you determined the program each Skills First Student enrolled in was a suitable, and the most suitable, program for that individual.
Not considering the student's digital competencies, skills, or literacy and numeracy skills.	You must consider the individual's literacy and numeracy skills and digital capability where the proposed learning includes portions delivered online.
Not documenting how to overcome the challenges of learning strategies and materials being inappropriate for the student.	You must document steps to overcome any barriers identified.
Missing information for 'scaled-down' pre-training reviews for skill sets.	You must obtain enough information to show the skill set is suitable and appropriate for the student's needs, and they clearly understand all their other training options.
Further Information <ul style="list-style-type: none"> • 2024-25 VET funding contract • How to consider literacy and numeracy skills fact sheet 	



Fee concession

Finding	Requirement
No business process for applying grace periods for the student's concession entitlement.	If you allow a grace period, you must have a documented business process for how you apply it.
Not giving enough information in the written declaration to support the fee concession application.	The written declaration must show the: <ul style="list-style-type: none"> • name of your authorised delegate who sighted the evidence; • date the evidence was sighted; • concession holder's name; and • card type.
Further Information <ul style="list-style-type: none"> • 2025 guidelines about fees • Concessions fact sheet 	



Training plan

Finding	Requirement
<p>The training plan and training and assessment strategy did not align.</p> <p>Missing details in the training plan, such as the methods of assessments for each subject.</p>	<p>You must ensure the training plan aligns with the relevant training and assessment strategy, or documents and justifies any variation.</p> <p>The contract lists what must be included in the training plan for both non-Apprenticeship/Trainee students and Apprenticeship/Trainee students.</p>
<p>For apprentices and trainees, no evidence of all parties' approval of training plan updates, regular contact with the employer, monthly contact with the student, or monitoring of the student's progress and workplace withdrawal logs.</p>	<p>You must update the Training Plan for an Apprentice/Trainee to show changes are mutually agreed with the parties to the Training Contract throughout the delivery of the training and assessment. The changes must be endorsed by the employer and Apprentice/Trainee.</p> <p>You must have evidence that you've made monthly contact with both the Apprentice/Trainee and the workplace supervisor to:</p> <ol style="list-style-type: none"> monitor and document the progress of training against the Training Plan; monitor and document the training/learning activities undertaken during the withdrawal time for the previous month; and document the dates and time periods logged as withdrawal time in the previous month. <p>You must make a minimum of four contacts per year with the employer to discuss the Apprentice/Trainee's progress and confirmation of competence.</p>
<p>Further Information</p> <ul style="list-style-type: none"> 2024-25 VET funding contract 2025 guidelines about apprenticeship/traineeship training delivery 	



Evidence of participation

Finding	Requirement
<p>Evidence of participation was dated before the reported activity start date.</p>	<p>Evidence of participation must align to Student Statistical Reports in SVTS.</p>
<p>Evidence of participation was dated after the reported activity end date.</p>	
<p>Attendance rolls for clustered delivery were not supported with additional evidence to show the student participated in the subjects.</p>	<p>If you use an attendance roll as an item of evidence of participation for clustered delivery, you must make sure it shows what subjects were delivered in each training session.</p>
<p>Further Information</p> <ul style="list-style-type: none"> Evidence of participation fact sheet 	



Other observations

No evidence of a teacher's professional development.	You must ensure all training and assessment is delivered by teachers that meet standards required by the regulators. This includes evidence of professional development.
Inaccurate data reported to the Skills Victoria Training System (SVTS).	You must submit accurate and complete Student Statistical Reports to us via SVTS at least once every calendar month per data collection year.



What students told us

Some students said they would like more time learning and practicing their skills and knowledge.

Some students would like their teachers to be more available for them.

The importance of management action plans

A well-written management action plan can help drive improvements in your organisation. It gives you an opportunity to revisit your work methods and support your obligations under the VET funding contract.

See the table below for an example of a well-written management action plan.

An example extract taken from Compliance College's management action plan (March 2024):

Nature of exceptions identified	Root cause	Action to correct non-compliance	Responsible person	Target completion date
Pre-training review did not address the student's digital capability.	Business process	<ol style="list-style-type: none"> 1. Add questions to the pre-training review form that will assess the student's digital capability. 2. Update the pre-training review business process to reflect the changes. 3. Tell staff at the April team meeting about the new form and how to assess a students' digital capability. 	Training manager – Jo Bloggs	01/05/2024
No evidence of participation was provided	People and organisation	<ol style="list-style-type: none"> 1. Give staff refresher training about evidence of participation requirements. 2. Keep a recording of the training session for future reference and add it to the new staff onboarding materials. 	Training manager – Jo Bloggs	26/05/2024

We listen to your feedback

We want you to have a meaningful and seamless audit experience. So, we send you a satisfaction survey to get your feedback. We value your views about the process and the auditors themselves. We use the information from the survey to improve the next audit and assurance program.

In 2023, 93% of audited training providers completed our survey:

- 80% were satisfied or very satisfied with the auditor's behaviour and professionalism.
- 74% were satisfied or very satisfied with the overall audit process.

Further information

Please submit an [SVTS enquiry](#) if you have a question about our audits.