2025 SKILLS FIRST - INTERNAL AUDIT TOOL

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# Internal audits

You must conduct an internal audit of your compliance with the VET funding contract (the contract) during each calendar year.

It must be signed by your CEO (or equivalent) and you must develop a rectification plan to fix any issues you identify.

## What is the internal audit tool?

We have developed this internal audit tool to help you check that you’re meeting your obligations under the contract. You don’t have to use this tool.

Your internal audit should only be one part of your internal controls and continuous improvement processes and not relied on as the sole process for monitoring your compliance. This may include doing your own testing of a sample of student files.

You should not rely on the internal audit tool in place of all requirements in the contract.

### How to use this tool:

Respond to each section and document your findings for each section under the headings “our practices” and “our evidence”.

**Our practices**

Use this space to describe the compliance practices you identified for this section, including any gaps in your compliance that need to be addressed. Your findings should be based upon your assessment of the adequacy and standard of any evidence you collect about your practices.

**Our evidence**

Use this space to add evidence to show how you meet the compliance expectations for this section. You can embed or attach documents that support your assessment.

Examples of evidence may include:

* Your relevant process and controls.
* Your latest training and assessment strategies.
* Your latest regulator audit report and the policies and procedures you adopted to ensure compliance.
* Document registers such as complaints registers.
* Copies of meeting minutes.
* Results of student file reviews.

Where you identify gaps in your compliance you must create a [rectification plan](#_Rectification_plan).

We have added contract references, but you must refer to the contract for specific details. We recommend you have the contract and guidelines next to you while you do your checking so you clearly understand your obligations.

[Our contracts and fact sheets](https://www.vic.gov.au/vet-funding-contracts) are published on our website.

### Changes to the contract

It’s important that you keep up to date with all information and resources, including contract notifications which may vary contract requirements. These are published on the Skills Victoria Training System (SVTS).

# Your [g](#_Scope_and_Provision)eneral obligations

## Registration and standards

1.1 Do you have a process to notify us immediately if your regulator cancels or suspends your registration?

1.2 Do you ensure your programs:

* meet the requirements of the accredited course or endorsed national training package?
* are consistent with purchasing guides?
* comply with the applicable regulatory standards?

Contract references: clause 4.1

## Requirements for Skills First teachers

1.3 Do all your Skills First teachers hold the relevant qualifications as required by the regulator?

1.4 Do you have records of which Skills First teacher delivered each subject under the contract?

Contract references: clauses 4.2 – 4.5 and clause 6

## Comply with Laws

1.5 How do you ensure your training services comply with all applicable laws?

Contract references: clause 4.6

## Comply with our directions and policies

1.6 What process do you have to monitor and circulate contract announcements, contract notifications, memos and documents to relevant staff?

1.7 Do you refer to the Skills First quality charter for information about our expectations of how you deliver training services?

Contract references: clause 4.7 and [Quality charter](https://www.vic.gov.au/vet-funding-contracts#skills-first-quality-charter)

## Act ethically

1.8 Are your staff (including subcontractors) aware of their ethical obligations? This includes that they cannot offer any person or organisation an incentive to do government-subsidised training with you.

1.9 How do you ensure that you do not engage, employ, contract or otherwise deal with any disallowed person in connection with the contract?

Contract references: clauses 3 and 4.8 and [Quality charter](https://www.vic.gov.au/vet-funding-contracts#skills-first-quality-charter)

## Be accountable

1.10 Do you report contract breaches to us?

1.11 Do you have compliance, reporting and auditing processes, including separation of duties, for the provision of training and receipt of payment?

1.12 How do you ensure your staff (including subcontractors) are aware of the contract requirements, and what do you do when staff report a breach?

1.13 How do you ensure a delegate is available to communicate with us when the CEO is not available?

Contract references: clauses 4.9 and 4.11

## Resources

* fact sheet: disallowed persons

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  **n/a** [ ]  **compliant** [ ]  **non-compliant**

# Subcontracting

Tip: Focus area. Increasing rates of non-compliance.

## Subcontracting of pre-training review

2.1 Do you ensure that you don’t subcontract any aspect of the pre-training review?

Contract references: clause 6.3

## Subcontracting of training and assessment

2.2 Do you ensure that you don’t subcontract any training or assessment without first asking for our approval?

2.3 How do you ensure that:

* subcontracting arrangements meet contract requirements?
* students doing training and assessment under a subcontracting arrangement are aware they are enrolled with you and not the subcontractor?
* all subcontractors have appropriate qualifications and experience and can provide the training?
* any work performed by the subcontractor meets the requirements of the contract?
* you do not exceed the maximum number of subcontracted commencements?

2.4 Do you keep full records of payments you make to your subcontractors?

Contract references: clauses 4.2 b), clauses 6.4 – 6.10,

## Reporting subcontract arrangements for brokering services

2.5 Do you have a process to notify us of all brokering services within the timeframes?

Contract references: clause 7.2

## Resources

* CN 2025 - 01 subcontracting of training and/or assessment
* CN 2025 - 02 mandatory reporting of brokering services
* Reporting brokering services form

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Notification of change in control and other events

## Change in control

3.1 Do you have a process to notify us of any proposed change in control at least 20 business days before the change takes effect?

## Other events

3.2 Do you have a process to notify us of:

* changes to any other VET Funding arrangement(s)
* significant change to your ownership, CEO and/or operations
* your shares or other securities being listed on a stock exchange, including if a disallowed person obtains at least 35% control of you
* your Fair Jobs Code Pre-Assessment Certificate being revoked or lapsed

Contract references: clauses 7.3 - 7.9 (standard contract), clauses 7.3 - 7.7 (TAFE and dual sector contract)

## Resources

* fact sheet: change in control

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Records

## Maintenance, security and integrity of records

4.1 Do you have a policy and process in place to ensure that you:

* retain all records for the required timeframe?
* comply with the relevant regulatory standards or any other applicable law?
* store all records securely?
* dispose of records that include personal information in line with the PDP Act?
* don’t amend records in a way that makes them inaccurate, and if you do amend records, you make it clear why, when and by whom the changes are made and the rationale for the change?

Contract references: clauses 10.1 – 10.10

## Accounting records

4.2 Do you have processes and controls in place to show how you administer the funds we pay you?

4.3 Do you have a complete record of all financial dealings under the contract, which can be audited?

Contract references: clauses 10.11

## Electronic signatures

4.4 Do you ensure that you use electronic signatures in line with contract requirements?

Contract references: clauses 10.14 – 10.15

## Resources

* fact sheet: recordkeeping requirements
* fact sheet: using electronic signatures

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Audit, review and investigation

## Audits, reviews and investigations by us

5.1 Do you have a process in place to prepare for an audit or review?

5.2 Where required, how do you implement and monitor a management action plan and notify us of the status within the timeframes?

Contract references: clause 11.1-11.3

## Internal audits

5.3 Do you conduct an annual internal audit of your compliance with the contract within the required timeframes?

* 1. Where required, how do you ensure your rectification plan is completed?

Contract references: clause 11.4-11.7

## Resources

* factsheet: compliance expectations under the contract
* Skills First audit and review strategy

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Confidentiality and privacy

## Confidentiality and privacy

6.1 How do you ensure that you:

* don’t disclose contract information (including details of payment for an individual) or any of our confidential information?
* obtain necessary consents and comply with applicable laws when collecting personal information?

6.2 Do you have a process to notify us if you become aware of a privacy breach or disclosure (or attempted disclosure) of personal information?

Contract references: clauses 12.1 – 12.8

## Resources

* fact sheet: record keeping requirements

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Liability, indemnity and insurance

Tip: Ensure you have copies of insurances that you can provide to us on request.

## Liability, indemnity and insurance

7.1 Do you have current and valid insurance cover for:

* workers compensation?
* public liability?
* professional liability/indemnity?
* property?

Contract references: clauses 13.1 – 13.7 (Standard and dual sector), clauses 13.1-13.5 (TAFE)

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Student information and protection

## Marketing, promotional materials and recruiting students

8.1 Does your Skills First marketing and promotional material about your funded programs meet contract requirements?

Contract references: Schedule 1, clauses 1.1 – 1.2

## Your website and the Victorian Skills Gateway

8.2 Is the following information in a prominent place on your website?

* standard tuition fees, and any other fees for Skills First programs you deliver.
* a list of all providers of brokering services.
* if applicable, details of subcontract arrangements including the roles of both you and the subcontractor.
* your complaints and appeals process.

8.3 Do you maintain an up-to-date profile on the Victorian Skills Gateway?

Contract references: Schedule 1, clauses 1.3 - 1.4

## Resources

* Victorian Skills Gateway

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Skills First eligibility

Tip: You may wish review a sample of student files to check your compliance.

## Eligibility requirements

9.1 Do you / your staff:

* understand and apply the criteria (including exemptions at Part C), when conducting eligibility assessments?
* use the guidelines about eligibility to inform your assessments?

Contract references: Schedule 1, clauses 2.2 – 2.5 and 2.11 – 2.12, Part C

## Additional eligibility requirements for apprentices and trainees

9.2 Do you ensure that your apprentices and trainees are:

* employed in Victoria (full time or part time) under an award or registered agreement?
* doing an approved training scheme?
* a signatory to a training contract with their employer which is registered with the VRQA?

Contract references: Schedule 1, clause 2.6

## Additional eligibility requirements for students under 17 years of age

9.3 For students under 17 (except SBATs), do you ensure:

* they have received an exemption from school attendance; and it meets the requirements of the contract and guidelines about eligibility?
* they are training or training / employed on a full-time basis?

9.4 Do you have a process to ensure you notify the relevant regional office and the student’s previous school if they stop training and are still under 17?

Contract references: Schedule 1, clauses 2.7 - 2.10

## Resources

* fact sheet: student eligibility for Skills First
* fact sheet: sighting and retaining evidence of eligibility
* fact sheet: understanding skill sets
* fact sheet: enrolling students under 17
* 2025 guidelines about eligibility
* 2025 guidelines about apprenticeship / traineeship training delivery

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Pre-training review and enrolment requirements

Tip: You may wish review a sample of student files to check your compliance.

## Pre-training review

10.1 Do you have a clear and documented business process for conducting pre-training reviews?

10.2 Does your pre-training review:

* identify what the student wants to achieve by doing the program?
* identify whether the student has any relevant skills, knowledge or training?
* consider whether the student has the capabilities to successfully complete the program?

Including:

* + existing educational attainment and capabilities
	+ literacy and numeracy skills
	+ digital capability, where learning includes any online delivery.
* consider whether the learning methods and materials are appropriate? Or whether there are any issues, challenges or barriers?
* document whether the proposed program is suitable, and the most suitable training?

Contract references: Schedule 1, clauses 4.1 – 4.7

## Enrolment requirements

10.3 Do you:

* tell students that their enrolment is funded under Skills First and how it will impact future entitlement?
* ensure students answer all mandatory enrolment questions from the Victorian VET student statistical collection guidelines?
* tell students that they may be contacted by us or NCVER, to participate in surveys, audits or investigations?

10.4 Do your enrolment forms include a standard privacy notice which tells students that their data may be supplied to, and used by us and Commonwealth VET Student Loan agencies?

Contract references: Schedule 1, clauses 4.8 - 4.12

## Resources

* Pre-training review template available on the SVTS
* fact sheet: how to consider literacy and numeracy skills
* Victorian VET Student Statistical Guidelines

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Tuition and other fees

Tip: You may wish review a sample of student files to check your compliance.

## Tuition and other fees

11.1 How do you ensure you charge students the correct fees, including fee concessions and waivers?

11.2 Does your statement of fees include the minimum information?

Contract references: Schedule 1, clause 5.2

## Fee concession / fee waiver contribution

11.3 Do you have a documented process to:

* determine student eligibility for a fee concession or waiver?
* sight evidence to support your application of fee concessions and fee waivers?
* grant a grace period for providing evidence of concession?
* report the fee concession and fee waiver amount and type accurately?

Contract references: Schedule 1, clauses 11.5 – 11.8

## Resources

* fact sheet: concessions
* 2025 guidelines about fees

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Training and assessment

## Training and Assessment Strategy

12.1 Do you have a training and assessment strategy (TAS) for each program and for each cohort of students consistent with the National RTO Standards?

12.2 If your TAS indicates a program can be completed in a shorter time than recommended in the AQF, have you explained:

* the student’s needs, skills and knowledge?
* how students can achieve the required rigour and depth of training, and meet all competency requirements in the shorter timeframe?

12.3 Do you have a clear and documented business process to systematically review and evaluate each TAS?

Contract references: Schedule 1, clauses 6.1 – 6.3

## Amount of training

12.4 How do you ensure that the amount of training for each program is in line with clauses 1.1 and 1.2 of standard 1 of the National RTO Standards?

Contract references: Schedule 1, clauses 7.1

## Training delivery and assessment

12.5 How do you ensure that all training and assessment is delivered in line with the relevant training plan and TAS?

12.6 How do you ensure that all training and assessment is delivered in compliance with regulatory standards and the assessment requirements of the relevant training package or accredited course?

12.7 Do you ensure all your online learning materials comply with the principles of the web content accessibility guidelines?

12.8 If applicable, do you comply with any additional regulatory requirements or other laws relevant to specific programs or types of training?

Contract references: Schedule 1, clauses 7.2 - 7.5,

## Certificates and statements of attainments

12.9 Do you ensure that you issue certificates/statements of attainment in line with:

* the relevant accredited courses and training packages?
* any other applicable guidelines, regulations or legislation?

Contract references: Schedule 1, clauses 7.2 – 7.6

## Resources

* ASQA website
* VRQA website
* 2025 guidelines about apprenticeship/ traineeship training delivery
* fact sheet: quality in online delivery

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Training plans

Tip: You may wish review a sample of student files to check your compliance.

## Training plan

13.1 Do your training plans meet the requirements set out in the contract?

13.2 Is the training plan:

* consistent with the training package rules?
* customised for individual needs (if required)?
* aligned to the TAS or document and any variations from the TAS justified?

13.3 Do you have a clear and documented business process that shows how you authorise the information in the training plan?

13.4 Do you have a process to ensure that you provide the training plan before, or no later than 4 weeks after training starts?

13.5 If the student is doing training in a workplace where they’re employed, is the training plan agreed to and signed by the employer?

13.6 Do you ensure that you update the training plan during the delivery of training and/or assessment and communicate changes to the student as soon as practicable?

## Additional training plan requirements for apprentices and trainees

13.7 Do you have a process in place to jointly develop training plans with the employer and the apprentice/trainee?

13.8 Are the training plans:

* vocationally relevant?
* reflective of industry requirements?
* supported by appropriate work within the workplace?

13.9 Do you ensure that the training plan is signed and dated by the relevant parties?

13.10 Do you have a process to monitor and update the training plan, so that it facilitates competency-based progression and completion, including documenting contacts?

13.11 Do you ensure that changes to the training plan are mutually agreed and endorsed by the employer and apprentice/trainee?

Contract references: Schedule 1, clauses 6.4 - 6.20

## Resources

* fact sheet: understanding skill sets
* 2025 guidelines about apprenticeship/traineeship training delivery

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Practical placements

Tip: You may wish to review a sample of student files to check your compliance.

## Practical placements

14.1 Do you ensure that practical placements are done in accordance with the most recent practical placement guidelines?

14.2 Do students have a written practical placement agreement with the required information?

14.3 Is each agreement signed by the relevant parties before the practical placement starts?

14.4 Is each practical placement sufficient and appropriate to meet the vocational outcomes of the subjects?

14.5 For interstate practical placements, do you ensure:

* that the practical placement is no more than 6 months?
* the agreement states that the student is enrolled in training in Victoria, and the work undertaken is connected to Victoria?

Contract references: Schedule 1, clauses 8.1 - 8.6

## Resources

* Practical placement guidelines
* Model practical placement agreement between RTO and Employer (available in the practical placement guidelines)

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Evidence of participation

Tip: You may wish review a sample of student files to check your compliance.

## Evidence of participation

15.1 Do you / your staff (and any subcontractors):

* understand, collect and retain evidence of participation?
* have a process in place?

15.2 How do you ensure you retain evidence of participation in a format that meets the contract requirements?

Contract references: Schedule 1, clause 9

## Resources

* fact sheet: evidence of participation
* fact sheet: understanding skill sets
* fact sheet: guide to withdrawals

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Reporting and payments

## Reporting generally

16.1 Does your student management system comply with the Victorian VET student statistical collection guidelines?

Contract references: clause 7.1

## Reporting training activity

16.2 Do you have a process to:

* report statistical data to us, and verify that it’s accurate and complete?
* ensure your CEO (or their nominee) can certify the data is complete and accurate?
* ensure that all staff responsible for reporting training delivery understand the requirements for statistical reporting?

16.3 Do you:

* submit student statistical reports at least once every month?
* comply with the reporting requirements for the Victorian Student Number?

16.4 How do you ensure that:

* incorrect data is resubmitted by the following month?
* you report withdrawals by the earlier of 2 months after the date of withdrawal or the final data submission date?

Contract references: Schedule 1, clauses 10.1 – 10.7

## Relationship between reporting and payments

16.5 Do you verify and confirm that you have:

* delivered the reported scheduled hours of training and assessment?
* evidence of participation for each student to support the funds being claimed?

Contract references: Schedule 1, clauses 11.12 – 11.19

## Resources

* Victorian VET student statistical collection guidelines
* fact sheet: guide to withdrawals
* fact sheet: evidence of participation
* fact sheet: guide to superseding training products
* fact sheet: payments under Skills First
* 2025 guidelines about fees

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Programs and initiatives

## Conditions

17.1 Do you comply with program settings under part C schedule 1 that allow you to grant eligibility exemptions or fee waivers? (including the Asylum Seeker VET Program, Youth Access Initiative)

17.2 How do you ensure that you incorporate and update new and existing part C program settings?

Contract references: Schedule 1, clauses 13 – 15.6 for Standard / Schedule 1, clauses 13 – 16.9 for TAFE and dual sector

## Resources

* fact sheet: student eligibility for Skills First
* fact sheet: sighting and retaining evidence of eligibility
* 2025 guidelines about eligibility

Our practices: (Describe your practice)

Our evidence: (Embed / attach evidence)

Our assessment (if applicable, add your actions to your rectification plan)

**status:** [ ]  n/a [ ]  compliant [ ]  non-compliant

# Rectification plan

Table 1 Rectification plan template

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| # | clausereference # | clause / reference detail | internal audit findings | rectification actions / improvement measures | responsible officer | expected completion date | management sign-off upon completion | actual completion date |
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##

# Sample rectification plan

Table 2 Rectification plan example

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| # | clause/reference # | clause / reference detail | internal audit findings | rectification actions / improvement measures | responsible officer | expected completion date | management sign off-upon completion | actual completion date |
| 1 | Schedule 1, clause 3.3 | You must: record your assessment of the individual’s eligibility using the form we prescribe in [the guidelines about eligibility], or in a form that records the same information. | Insufficient eligibility evidence on file. | Management have investigated this event and have updated the business process to ensure all eligibility documentation have been submitted prior to updating the Student Management System (SMS).Additionally, a checklist has also been developed and is required to be signed off by the enrolment officer prior to entering the SMS. | Enrolment officerAdministrationmanager | 15/04/2025 | M Anderson | 15/03/2025 |
| 2 | Schedule 1, clause 4.4 | 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, with reference to the information obtained through considering all items in Clause 4.3 of this Schedule 1. | The review of random student files has identified 5 instances where the teacher had not provided the rationale as to why the program was the most suitable for the student.  | A refresher course for all trainers to ensure trainers are aware of the contract requirements.  | Trainer coordinator | 15/05/2025 | M Anderson | 15/05/2025 |
| 3 | Schedule 1, clause 6.7 | You must develop the training plan and provide it to the non-Apprentice/Trainee Skills First Student either before training commencement, or no later than four weeks after training commencement.  | The review of random student files has identified 2 instances whereby the training plans had been provided to students 6 weeks after training commencement.  | Hold a meeting with the enrolment and administration staff to reiterate the contract requirements. Add training plan issuance to the existing enrolment checklist. | Training coordinator | 30/08/2025 | M Anderson | 30/08/2025 |

# CEO endorsement

Certified by the Chief Executive Officer (or equivalent) as an accurate appraisal of your compliance with the provisions of the VET funding contract, including the rectification plan where applicable.

## Training provider name:

## TOID:

## Contract commencement date:

## Internal audit conducted by:

## Date/s internal audit conducted:

I certify that the internal audit has been completed in accordance with the requirements of the VET funding contract.

I acknowledge that the non-compliances identified through the internal audit will be addressed in the rectification plan.

## Name: Role:

## Signature:

## Date: