

*Victorian Training Guarantee 2014 Contract Compliance
Audit Report*

2014 Evidence of Participation

*Monash Student Association (Clayton) Inc
21526*

Version	FINAL
Auditor	Protiviti
RTO Contract(s)	2014-2016 VET Funding Contract (Non-TAFE)
Date report issued	24 October 2014
Circulation	Department of Education and Early Childhood Development Rebecca Redfern, RTO Director, Monash Student Association (Clayton) Inc.

TABLE OF CONTENTS

1. EXECUTIVE SUMMARY 1

1.1 Introduction 1

1.2 Objective and Scope 1

1.3 Summary of Findings 2

2. NEXT STEPS 4

APPENDIX A – DATA REPORTING EXCEPTIONS 5

1. Executive Summary

1.1 Introduction

The Victorian Training Guarantee (VTG) is an entitlement to government subsidised training for eligible individuals.

The Department of Education and Early Childhood Development (the Department) contracts Registered Training Organisations (RTOs) to deliver training to eligible individuals under the *Victorian Training Guarantee* Program. In accordance with its Contract Compliance Audit Strategy, the Department undertakes a contract compliance audit program to ensure the contracted RTOs are complying with the terms and conditions of their VET Funding Contract.

The objectives of the *VTG Contract Compliance Audit Strategy* are to:

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

The Department conducts these audits using contractors from a panel of service providers.

Protiviti conducted the Evidence of Participation (EOP) audit at Monash Student Association (Clayton) Inc from 24th September to 7th October 2014.

1.2 Objective and Scope

The objective of the EOP audit was to identify whether documentation/material that meets the EOP requirements of the VET Funding Contract is available to support claims that the RTO has made for funding under the Funding Contract. The following procedures were performed:

- Obtained a sample of units of competency, as reported by the RTO, provided by the Department;
- Obtained documentation/materials from the RTO for each student/unit of competency in the sample;
- Identified whether the documentation/materials provided by the RTO met the requirements of Schedule 1, Clause 10 of the 2014-2016 VET Funding Contract;
- Provided the RTO with the opportunity to present available documentation/materials for each sampled unit;
- Provided the RTO with up to 24 hours from 3rd October, 4.16pm to provide any missing information to support EOP for the unit sampled, where EOP was not present on file at the time of the audit;
- Considered the information provided by the RTO in identifying the factual findings in this report;
- Held an exit meeting with the RTO's CEO or equivalent to discuss the findings and provided the RTO with the final list of exceptions;
- Agreed with the RTO on the records for which it was unable to provide evidence of participation for and this agreement is included in the RTO comment section; and
- Requested management comments and incorporated these into the final report.

Where exceptions have been identified, the results have been incorporated into the findings set out in Section 1.3 of this report and a full list of exceptions is attached at Appendix A.

1.3 Summary of Findings

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

EOP Meets Requirements	No. Of Units	Explanatory Notes
Yes	98	There is EOP for the sampled units in accordance with Schedule 1, Clause 10 of the 2014-2016 VET Funding Contract.
No	0	No EOP documentation or materials were provided that met the requirements of Schedule 1, Clause 10 of the 2014-2016 VET Funding Contract.

Total Sample	98
Error Rate	0.00%

The factual findings above represent a calculated **error rate of 0.00%** of which RTO management has been advised at the exit meeting held on 7th October 2014.

In addition, we noted instances where:

- Two points of EOP were required and provided and met the requirements of Schedule 1, Clause 10 of the 2014-2016 VET Funding Contract, however Training Services delivered by the RTO did not match the dates reported to SVTS.*

4 samples were units over a month in duration and required two points of EOP with the second point in the last month of training delivery. For all 4 samples, both points of EOP provided met the requirements of the VET Funding Contract, however the second point of EOP provided in the form of evidence of assessment was dated before the reported Enrolment Activity End Date.
- One point of EOP was required and provided and met the requirements of Schedule 1, Clause 10 of the 2014-2016 VET Funding Contract, however Training Services delivered by the RTO did not match the dates reported to SVTS.*

1 sample was a unit under a month in duration and required one point of EOP. For this sample the one point of EOP provided met the requirements of the VET Funding Contract, however this point of EOP was provided in the form of evidence of assessment and was dated before the reported Enrolment Activity End Date.
- One point of EOP was required and provided and met the requirements of Schedule 1, Clause 10 of the 2014-2016 VET Funding Contract, however Training Services delivered by the RTO did not match the dates reported to SVTS.*

1 sample was a unit under a month in duration and required one point of EOP. For this sample the EOP provided met the requirements of the VET Funding Contract, however additional EOP was provided that was dated before the reported Enrolment Activity Start Date.
- Two points of EOP were required and provided and met the requirements of Schedule 1, Clause 10 of the 2014-2016 VET Funding Contract, however Training Services delivered by the RTO did not match the dates reported to SVTS.*

3 samples were units over a month in duration and required two points of EOP with the second point in the last month of training delivery. For all 3 samples the EOP provided met the requirements of the VET Funding Contract, however additional EOP was provided that was dated after the reported Enrolment Activity End Date.

Refer to Appendix A for details of the exceptions identified.

RTO Responsibility

The RTO was responsible for providing EOP to meet the requirements of Schedule 1, Clause 10 of the 2014-2016 VET Funding Contract.

RTO management comment:

Monash Student Association (Clayton) Inc. acknowledges that there were some discrepancies with the Evidence of Participation (EOP) records and reporting dates. The RTO now has revised all processes in relation to EOP and reporting start and end dates of training delivery to ensure that they are consistently reported and evidenced with appropriate EOP.

All EOP is now maintained electronically and is filed and stored within the Student Management System. All EOP is verified by the Administration Officer prior to any claims being confirmed. This ensures that dates of training delivery are accurately reported.

Provided by: Rebecca Redfern, RTO Director, Monash Student Association (Clayton) Inc.

Date: 20/10/2014

2. Next Steps

The Department will review the audit report and determine, if necessary, any appropriate actions required to address instances of non-compliance with the 2014-2016 VET Funding Contract. Please refer to the *VTG Contract Compliance Audit Strategy* for guidance on the range of options for further action.

Further options for action are noted in the VTG Contract Compliance Audit Strategy. For example, in some instances, monetary penalties may be imposed and/or the Department may also require an RTO to repay Funds paid for the delivery of Training Services following an audit.

In accordance with Clause 10.3(b) of the 2014-2016 VET Funding Contract, where a Management Action Plan has been developed the RTO 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 (6) months of the date of this report.

Appendix A – Data Reporting Exceptions

Details of the data reporting exceptions relating to Evidence of Participation identified in Section 1.3 of the report:

Number	Sample number	Client/ Student ID	Qualification name	Qualification ID	Course Commencement Date	Unit of Competency Name	Unit Competency ID	Unit of competency Enrolment Activity Start Date	Unit of competency Enrolment Activity End Date	Outcome ID - National	Date of first point of EOP	Date of second point of EOP	Variance between 1 st point of EOP and SVTS	Variance between 2 nd point of EOP and SVTS	Date of first claim submitted	Date of first payment received	Other information (Dates of additional EOP provided at audit)	Report Reference (from section 1.3 of the audit report)
1	12	OXY01067	Certificate III in Active Volunteering	CHC30612	7/04/2014	Show leadership in the workplace	BSBMGT401A	7/04/2014	23/06/2014	20	7/04/2014	6/06/2014	-	-	30/06/2014	3/07/2014	EOP (assessment) dated 06/06/14	1
2	79	OXY01067	Certificate III in Active Volunteering	CHC30612	7/04/2014	Work effectively with culturally diverse clients and co-workers	HLTHIR403C	7/04/2014	23/06/2014	20	6/06/2014	6/06/2014	-	-	30/06/2014	3/07/2014	EOP (assessment) dated 06/06/14	1
3	82	45376	Diploma of Accounting	FNS50210	12/01/2014	Provide financial and business performance information	FNSACC501A	3/02/2014	23/04/2014	20	5/04/2014	13/04/2014	-	-	15/05/2014	4/06/2014	EOP (assessment) dated 13/4/14	1
4	88	OXY01067	Certificate III in Active Volunteering	CHC30612	7/04/2014	Facilitate responsible behaviour	CHCCS401C	7/04/2014	23/06/2014	20	6/06/2014	6/06/2014	-	-	30/06/2014	3/07/2014	EOP (assessment) dated 06/06/14	1
5	68	46855	Diploma of Accounting	FNS50210	04-April-2014	Provide financial and business performance information	FNSACC501A	4/04/2014	23/04/2014	20	13/04/2014	N/A	-	-	15/05/2014	4/06/2014	EOP (assessment) dated 13/04/14	2
6	52	OXY01408	Certificate IV in Frontline Management	BSB40812	17-March-2014	Develop work priorities	BSBWOR404A	7/04/2014	29/04/2014	20	21/04/2014	N/A	-	-	30/04/2014	8/05/2014	EOP dated 31/03/14	3
7	41	OXY01387	Certificate III in Active Volunteering	CHC30612	17-February-2014	Work within a relevant legal and ethical framework	CHCCS400C	17/02/2014	13/04/2014	20	17/02/2014	7/04/2014	-	-	30/04/2014	8/05/2014	EOP dated 08/05/14	4
8	50	OXY02110	Certificate III in Active Volunteering	CHC30612	17-February-2014	Work within a relevant legal and ethical framework	CHCCS400C	17/02/2014	13/04/2014	20	17/02/2014	7/04/2014	-	-	31/05/2014	4/06/2014	EOP dated 22/04/14	4
9	51	OXY01432	Certificate III in Active Volunteering	CHC30612	17-February-2014	Work within a relevant legal and ethical framework	CHCCS400C	17/02/2014	13/04/2014	20	17/02/2014	31/03/2014	-	-	11/04/2014	8/05/2014	EOP dated 04/05/14	4