National Standards for Group Training Organisations

Compliance Report

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| **Name of Organisation:** |  |
| **Contact(s):** |  |

The Department for Education (DfE) is responsible for the independent audit of South Australian Group Training Organisations (GTOs) to ensure their compliance with the National Standards for Group Training Organisations (National Standards).

To be compliant with, and registered against, the National Standards, GTOs must undergo an initial audit, followed by a re-registration audit after a specified time period thereafter. Both initial and re-registration audits will be conducted by DfE.

The audit against the National Standards comprises three elements:

1. **Self-assessment** (via the completion of this Compliance Report by the GTO);
2. **Desktop audit** (conducted by DfE on the basis of the completed Compliance Report listed above)
3. **Site audit** (conducted by DfE at the GTO’s premises, or remotely).

This Compliance Report is divided into the following sections:

* Standard 1 – Recruitment, Employment and Induction
* Standard 2 – Monitoring and Supporting Apprentices and Trainees to Completion
* Standard 3 – Governance and Administration

Evidence should be provided against each Standard to demonstrate compliance. Please list all evidence against the relevant standard and number attachments accordingly. For a full list of evidence that may be provided, refer to the [National Standards for Group Training Organisations](https://www.australianapprenticeships.gov.au/gto-national-standards) and [Evidence Guide for GTOs to Support the National Standards](https://www.australianapprenticeships.gov.au/gto-national-standards).

The **desktop audit** will record the auditor’s observations to the self-assessment completed by the GTO and the evidence provided. Feedback will be provided to the GTO prior to the site audit and further evidence may be requested where required.

The **site audit** will involve a visit to the GTO premises by the auditor(s) who will inspect the systems used to conduct the business of the GTO and discuss the implementation of policies and procedures with delegated representatives of the GTO. In the event of pandemic restrictions, site audits may be conducted remotely, on the proviso that the auditor(s) conduct an inspection of premises at a later date during the term of registration.

The results of all three elements of the audit will determine the success of the GTO in achieving registration under the National Standards.

# 1 RECRUITMENT, EMPLOYMENT AND INDUCTION

### **1.1** Before apprentices/trainees enter into an Employment Contract and a Training Contract, the GTO informs them about their employment conditions, the host employer arrangement, the training, the support services to be provided and the rights and obligations of the parties.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Information packages for job applicants (parents/ guardians if applicable)  Evidence of how identification of special needs is assessed and managed (inclusive of language, literacy and numeracy levels)  Evidence of how the applicant’s interests are matched against the expectations of the GTO as the employer  Induction Kits include access and equity policy / information  Systems to collect and analyse data |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

**1.2 The GTO inducts apprentices and trainees to the apprenticeship/traineeship system, including explaining:**

**the apprentice/trainee’s responsibilities under the Training Contract, to the host employer, the GTO, the Registered Training Organisation (RTO) and the school (if under School-based arrangements); as well as**

* **the processes involved in accessing support and dealing with employment or training issues that may arise.**

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Evidence of induction processes / completion for each apprentice/trainee  Information outlining apprentice and trainee, responsibilities to comply with relevant legislation  Apprentice/trainee handbook  Induction / Placement procedure and/or policy  Work Health Safety information  Continuous improvement - review of employment / induction practices / Systems to collect and analyse data  Code of conduct / code of practice  Customer service standards |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

**1.3 The GTO provides clear and accurate advice to host employers to:**

* **take reasonable steps to ensure they understand the apprenticeship/traineeship system; and**
* **obtain their agreement, by means of a Host Employer Agreement, to their role and responsibilities in training and supporting the apprentice or trainee while in their workplace, in meeting their obligations to maintain a safe workplace and in working cooperatively with the GTO and RTO.**

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Host employer handbook  Flowchart for signing up host employers  Host employer visits- vetting processes  WHS assessments – paperwork trail  Rotation policy  Information outlining host employer responsibilities under the training contract / relevant legislation  Off-the-job training record  Schedule of fees and charges in a handout, on a webpage and/or intranet  Documentation regarding supervision requirements |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

**1.4 The GTO actively participates in the RTO’s development of the Training Plan, which is based on competency-based progression and completion principles and relevant to the qualification, the occupation, the host employer’s workplace and the needs of the apprentice/trainee, in conjunction with the apprentice/trainee.**

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Systems to collect and analyse data  On-job/off-job training records  Records of contact with the RTO regarding training plan development  Evidence of apprentice/trainee participation with the training plan development |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

# 2 MONITORING AND SUPPORTING APPRENTICES AND TRAINEES TO COMPLETION

2.1 The **GTO provides services that meet the needs of apprentices and trainees to facilitate the continuity of the Training Contract to completion and the quality and breadth of the training experience, including:**

* **support and mentoring throughout the Training Contract;**
* **providing resources or advice or procuring any special equipment for the workplace in order to meet access and equity and Work Health and Safety requirements.**

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Results of survey analysis that assists continuous improvement to client outcomes  Policies and procedures that meet the requirements of current legislation applicable to the GTO  Policy and procedures for maintaining supervision requirements  Evidence of pastoral care visits  Risk Management Plan |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

2.2 The GTO monitors each apprentice or trainee’s progress against the Training Plan and:

* **facilitates the integration of the training and employment experiences, including arranging for workplace rotations if required;**
* **requests that the RTO review the Training Plan when changes occur with the apprentice/trainee employment arrangements, including any workplace rotations, competency-based progressions or other changes.**

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Individual Training Plan records for apprentice/trainees  Documentation of discussions with the RTO in relation to Training Plan changes aligned with host employer rotations  Assessment process for host employers’ capacity to provide training relevant to the Training Plan  Evidence of feedback from host employer and apprentice/trainee relating to on-job/off-job training issues/concerns  Policy and procedures for supervision requirements  Rotation policy / procedure |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

2.3 The GTO has appropriate systems in place, based on the scale and scope of its operations, to manage and support apprentices and trainees in times of economic downturn or ‘stand down’ to facilitate the retention of the apprentice or trainee.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Policies and procedures in place that address events of economic downturn  Assessment of previous suspension or termination records to:   * identify trends * implement solutions * develop risk management processes that maintain business viability and provide support to apprentice/trainee |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

2.4 The GTO provides assistance, coordination and accurate advice to host employers for the duration of the Host Employer Agreement, and works with the host employer to provide appropriate on-the-job training, supervision, support and mentoring to the hosted apprentice/trainee.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Host employer information pack  Records of site visits / conversations with host employer  Grievance / Complaint Policy  Code of Conduct  Analysis of host employer feedback / continuous improvement solutions  Complaints register – issues raised / actions taken  Licence checks / Employer qualifications  Evidence of number of qualified persons providing on-job training |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

2.5 Where there are any performance issues with an apprentice/trainee, the GTO manages these issues fairly, and records the outcome and the feedback provided to the apprentice or trainee.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Evidence / records of performance management for apprentice/trainee  Performance management policies and procedures applicable to the GTO  Analysis of issues raised to assess continuous improvement strategies  Access and Equity policy procedures and legislative requirements |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

2.6 The GTO complies with Commonwealth, State and Territory requirements for competency-based progression and completion and supports genuine efforts to achieve the qualification in an appropriate timeframe regardless of the nominal duration of the Training Contract.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Documentation indicating nominal duration / legislation / responsibilities  Legislative requirements relevant to the host employer and apprentice/trainee  Evidence of training records / timeframes completion  Pastoral care visits / discussions / supports in place  Documented discussions with the RTO  Survey data / analysis and feedback |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

# 3 GOVERNANCE AND ADMINISTRATION

3.1 The GTO complies with Commonwealth, State and Territory legislative and regulatory requirements and policies as they relate to the employment and training of apprentices and trainees in each State and Territory in which they operate.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| List of relevant legislation  Process for identifying new legislation and implementation  Evidence of notification of legislative updates (State and Commonwealth) to staff, hosts and apprentices/trainees  Policies and procedures reflective of current legislation and regulation applicable to the GTO  GTO’s statement on ethical practice on display for staff, host employers, apprentices and trainees  Records showing how breaches of ethical practice have been addressed  Document management processes |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

3.2 The GTO is incorporated in Australia, a government entity, or regulated by the Australian Charities and Not-for-profits Commission.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Ownership, structure and control of GTO  Corporate Governance handbook / Constitution / terms of reference / hierarchy flowchart  Legal documentation establishing organisation as:   * a company * an incorporated association * a statutory body |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 2):** | |

3.3 The GTO develops, monitors and continually improves its performance and strategic directions using performance data, the results of audits, assessments and surveys plus any other relevant information.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Operational data (e.g. financial, WHS, marketing etc)  Systems to collect and analyse data  Complaint register  Surveys, host employer reports and feedback on apprentices/trainees  Documented analysis of operational data  Advice and strategies implemented as a result of feedback  Advice to management through memo, report or similar, reviewing data on services  Flow charts on review process, to ensure currency of policies and/or procedures |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 2):** | |

3.4 The GTO can demonstrate that it is financially viable, and will inform the registering body where early signs indicate issues associated with viability.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Strategic plan  Financial management policy  Financial reports  Corporate Governance handbook  Independent audited financial report  Aged debtor summary  Accounting system documents  Qualifications and training records of staff and Board  CEO position statement / documented evidence of person responsible for notifying Department of issues with viability |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 2):** | |

3.5 The GTO holds appropriate insurances according to the size and scope of its operations.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| File copies of insurance policies / evidence that insurance premiums are up to date  File evidence that levels and types of insurance coverage – both in dollar terms and areas of operation, and geographical area of coverage – have been reviewed at renewal time or annually |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 2):** | |

3.6 The GTO adheres to the principles of access and equity in all operations including marketing, recruitment, monitoring, support, governance and administration.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Statement or paragraph in each policy and/or procedure on how appropriate access and equity principles are incorporated and/or whether they pertain to legislation  Code of Practice, Code of Conduct, Customer Service Standards or similar contain statements to address the equity needs of people who experience disadvantage, are on display and are in induction and promotional units  Review dates on policy and procedure documents  Records that staff are trained to comply with GTO’s access and equity policy  Staff recruitment – induction; training and qualifications; performance development records |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 2):** | |

3.7 Clear and accurate marketing, advertising materials and other information is provided by the GTO regarding GTO services, the role and responsibilities of the host employer and the requirements of the apprenticeship/traineeship.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Marketing and promotion policy / procedure  Review and feedback analysis  Continuous improvement  Marketing plan aligned with business and/or strategic plan  Advertising material aligned to marketing plan  Documentation where approvals, permission and conditions to use materials or information have been granted  Flow chart showing how copyright requirements are checked |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 2):** | |

3.8 Complaints and appeals are dealt with by the GTO transparently in accordance with a documented complaints and appeals process, or referred to State/Territory dispute resolution mechanisms, where the completion of the Training Contract is at risk.

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| **Examples of evidence of compliance** | **GTO self-assessment** (ensure all attached evidence is listed and numbered) |
| Complaints register  Complaints / Grievance policy / procedures  Analysis for continuous improvement  Code of practice outlining service level requirements  Records of complaints and resolutions  Staff, apprentice and trainee induction materials |  |
| **GTO self-assessment: Compliant YES  NO** |
| **Auditor observations and comments** | |
| **Desktop audit**    **Site audit** | |
| **Auditor assessment score (max score 4):** | |

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| **Follow up required** | | | |
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| **Summary of findings** | | | |
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| **Outcome** | | | |
| **Compliant**  Yes  No | **Audit score (total)** | | **New expiry date for registration** |
| **Auditor(s)** | | | |
| Name  Title  **Traineeship and Apprenticeship Services**  **Department for Education**  Date | | Name  Title  **Traineeship and Apprenticeship Services**  **Department for Education**  Date | |