# National standards for group training organisations - Audits

Version 8

 11 October 2018

**Quality audit workbook**

The Quality Audit Workbook is a resource to assist auditors to undertake quality audits of group training organisations.

Completion of this workbook will assist auditors in determining whether a group training organisation is compliant against the *National Standards for Group Training Organisations.*

In accordance with the *National Standards for Group Training Organisations*, group training organisations are to be audited every three years to maintain their recognition as group training organisations.

Upon completion of the audit, the auditor will determine whether a group training organisation is compliant or not against the state standards.

The auditor will then prepare the Group training organisation quality audit report for submission to the Department of Employment, Small Business and Training advising the department of the audit findings and determinations. The Group Training Organisation Quality Audit Report template can be found at:

<https://desbt.qld.gov.au/training/employers/gto/resources>

A copy of the Quality Audit Workbook along with the audit records will be provided to the department on request.

**Name of audit organisation:**

**Date or period of audit activities:**

|  |  |  |
| --- | --- | --- |
| **Type of audit activity** | **Commencement** | **Completion** |
| Desk audit | dd/mm/20yy | dd/mm/20yy |
| Site visit | dd/mm/20yy | dd/mm/20yy |
| Rectification | dd/mm/20yy | dd/mm/20yy |
| Other [enter type] | dd/mm/20yy | dd/mm/20yy |

**Report prepared by:** [lead auditor’s name]

**Group training organisation:** **Trading as:**

**Site address:**  **State:** **Postcode:**

**Postal address:** **State:** **Postcode:**

**Name of group training organisation contact officer:** **Telephone number:**

**Disclaimer:** The Department of Employment, Small Business and Training is collecting the information on the quality audit workbook for the limited purpose of assessing your compliance with the *National Standards for Group Training Organisations.*  Neither the Department of Industry, Innovation, Science, Research and Tertiary Education nor the department will provide any advice or accept any liability for the accuracy or completeness of your financial information or for your compliance with any laws or regulations. Only authorised departmental officers and pre-qualified auditor selected by your group training organisation to conduct compliance audits against the national standards will have access to this information. Your personal information will not be disclosed to any other third party without your consent, unless authorised or required by law.

**Purpose**

The purpose of the audit is to examine the quality systems of the group training organisation to determine the extent of compliance (or otherwise) with the *National Standards for Group Training Organisations* including the examination of documented procedures, records and systems.

**Audit team members**

List the audit team members and their roles during the audit.

**Group training organisation representatives involved**

List the full names and the roles of all group training organisation representatives who participated in the audit.

**Industry representative and/or observers**

List the full names and details of involvement for each industry representative and/or observer, if any, who was present during the audit.

**Areas for system improvement**

List all system improvement measures identified in the audit and the recommended timeframes for implementation.

**Observations**

Summarise the most important observations, positive as well as negative, and the strengths and weaknesses of the group training organisations that were identified in the audit.

**Recommendation** ⬜ Compliant ⬜ Not compliant

Lead auditor signoff:

**Comments:**

**Audit summary report**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **No.** | **Standard summary** | **Status****COM—compliant****NC—not compliant** | **List evidence sighted &** **assessment comments** | **Details of non-conformance/s & further action required** | **Estimated timeframes** |
| 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.  |  |  |  |  |
| 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.
 |  |  |  |  |
| 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.
 |  |  |  |  |
| 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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| --- | --- | --- | --- | --- | --- |
| **No.** | **Standard summary** | **Status****COM—compliant****NC—not compliant** | **List evidence sighted &** **assessment comments** | **Details of non-conformance/s & further action required** | **Estimated timeframes** |
| 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
 |  |  |  |  |
| 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.
 |  |  |  |  |
| 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.  |  |  |  |  |
| 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**.  |  |  |  |  |
| 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.  |  |  |  |  |
| 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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| **No.** | **Standard summary** | **Status****COM—compliant****NC—not compliant** | **List evidence sighted &** **assessment comments** | **Details of non-conformance/s & further action required** | **Estimated timeframes** |
| 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.  |  |  |  |  |
| 3.2 | The GTO is incorporated in Australia, a government entity, or regulated by the Australian Charities and Not-for-profits Commission.  |  |  |  |  |
| 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.  |  |  |  |  |
| 3.4 | The GTO can demonstrate that it is financially viable and informs the registering body where early signs indicate issues associated with viability.  |  |  |  |  |
| 3.5 | The GTO holds appropriate insurances according to the size and scope of its operations.  |  |  |  |  |
| 3.6 | The GTO adheres to the principles of access and equity in all operations including marketing, recruitment, monitoring, support, governance and administration.  |  |  |  |  |
| 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.  |  |  |  |  |
| 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.  |  |  |  |  |

**Status legend:**

COM Compliant and/or satisfactorily addressed (no further action required)

NC Not compliant