# National standards for group training organisations - Audits

Version 8

**Criteria for desk based audit**  December 2018

**Standard 1 - Recruitment, employment and induction**

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| **Standard** | **Evidence** | **Compliant (COM) /**  **Non compliant (NC)** |
| * 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. The GTO inducts apprentices and trainees to the apprentice/traineeship system, including explaining:      + - the apprentice/trainee’s responsibilities under the Training Contract, to the host employer, the GTO, the 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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| **Standard** | **Evidence** | **Compliant (COM) /**  **Non compliant (NC)** |
| * 1. 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. 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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| **Standard** | **Evidence** | **Compliant (COM) /  Non compliant (NC)** |
| (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. |  |  |

**Standard 2 - Monitoring and supporting Apprentices and Trainees to completion**

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| **Standard** | **Evidence** | **Compliant (COM) /  Non compliant (NC)** |

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| (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 Employment 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. |  |  |

**Standard - 3 GTO Governance and Administration**

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| **Standard** | **Evidence** | **Compliant (COM) / Non compliant (NC)** |
| (3.1) The GTO complies with Commonwealth, State and Territory legislative regularly 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. |  |  |

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| **Standard** | **Evidence** | **Compliant (COM) /  Non compliant (NC)** |
| (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. |  |  |