Principal Employer Organisation

Self-assessment report

Stakeholder and Industry Relations

Date:

# **Self-assessment report**

This self-assessment template is a resource developed to assist principal employer organisations to apply a continuous improvement approach to internal reviews.

Completion of this report does not in itself indicate compliance; that is for the auditor to determine. However, the template does provide a consistent format for principal employer organisations undertaking internal reviews or that are preparing for compliance audits.

In accordance with the *Queensland Quality Standards for Principal Employer Organisations*, principal employer organisations are required to conduct an annual self-assessment audit against the standards by 31 December of each year. The chief executive officer of the principal employer organisation will then submit a certification that the self-assessment has been completed and the organisation continues to be compliant against the Queensland standards to the Department of Employment, Small Business and Training by 31 January of the following year.

The principal employer organisation must provide the auditor with all copies of the self-assessment audit reports, as well as any material requested by the auditor that may be relevant to the audit.

Send the chief executive officer certification to:

Senior Program Officer

Stakeholder and Industry Relations Unit

Department of Employment, Small Business and Training

PO Box 15483

CITY EAST QLD 4001

Email: SIRT@desbt.qld.gov.au

A copy of this report will be provided to the department on request.

The auditor will use the self-assessment in the desk evaluation to determine initial conformity of the systems and processes, as documented in the self-assessment report, with the Queensland standards, and as a tool to plan the site visit assessment.

**Principal Employer Organisation:** **Date of self-assessment:**

**Standard 1: Systems for principal employer services including management of hosting**

The principal employer organisation has systems in place to plan for, and provide, quality principal employer services to apprentices, trainees and host employers.

| **Standard** | **Possible evidence of compliance** | **Actual evidence of compliance and location of evidence** | **Details of System Improvement required** | **Implementation date (improvement)** |
| --- | --- | --- | --- | --- |
| * 1. The PEO shall conduct an internal audit and/or procedures in sub-clause 1.3 at least annually adopting a continuous improvement approach to the self-assessment
 | * Record of annual Internal Review and Self-assessment report evaluating principal employer organisation’s compliance with the *Queensland Quality Standards for Principal Employer Organisations;*
* record of opportunities for improvement identified from review and action taken;
* discussion with stakeholders regarding involvement in improvement strategies (for example, minutes of meetings and surveys with key stakeholders);
* Chief Executive Officer (CEO) signed off Internal Review and Self-assessment;
* feedback from the CEO via meetings, correspondence, signed reports or internal review findings and ensuing actions.
 |  |  |  |
| * 1. The PEO shall have effective systems to demonstrate the demand for its principal employer services, industry support and responsiveness to industry need, and to: manage and track hosting, including demonstrating how the host and the principal employer organisation will discharge their responsibilities for compliance with the Standards and with legislative and regulatory requirements; manage recruitment, placement, welfare, and career support of apprentices and trainees; rotate apprentices and trainees where appropriate; and monitor training.
 | * systems to collect and analyse data;
* surveys, questionnaires, phone and written survey, host employer reports and feedback on apprentices and trainees;
* letters and testimonials;
* complaint register;
* advice to board and staff minutes;
* 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 including management of hosting. This data may include:
* number of hosts providing placements - quarterly
* number of apprentices and trainees in placements - quarterly
* change in number and vocation of hosts and apprentices and trainees - annually
* field staff, apprentices and trainees ratio - annually
* number of field visits to host employers, apprentices and trainees - quarterly
* number of placements per apprentice and trainee per year and percentage on rotation - annually
* number and percentage of apprentices and trainees on down time per week - quarterly
* average duration of down time for each employee - annually
* flow chart for signing up host employers;
* host employer pack including agreement, checklist and OH&S assessment;
* host employer files including agreements;
* index, listing, and record of agreements;
* blank and completed agreements showing identified responsibilities and duties with respect to relevant requirements of the Standards and with legislative and regulatory requirements.
 |  |  |  |
| * 1. The PEO shall document, authorise, implement and review policies and/or procedures, as required by the standards, to ensure quality principal employer services consistent with the organisation’s scale of operations.
 | * written manual of policies and/or procedures;
* intranet document of policies and/or procedures;
* work instructions implementing a policy or procedure;
* staff training records on training sessions on policies and/or procedures and improvement strategies;
* staff meeting minutes recording discussion or actions on policies and/or procedures;
* staff notices about policies and/or procedures;
* staff discussion with chief executive officer (CEO) testing adoption and implementation of policies and/or procedures and correction where failure of compliance is identified;
* correspondence from CEO testing implementation of policies and/or procedures, improvement strategies, corrections where failure of compliance is identified;
* system/activities that have arisen as a result of implementation;
* flow charts on review process to ensure currency of policies and/or procedures;
* feedback from stakeholders regarding the quality of service, and how this is investigated and opportunities for improvement of the system identified;
* staff feedback mechanisms on the applicability and appropriateness of system requirements.
 |  |  |  |
| * 1. The PEO shall document in a publicly available code of practice or similar document the service level requirements for staff providing principal employer services to apprentices, trainees and employers, including information from its policy on complaints handling and resolution, and shall keep records of each complaint and its resolution and review.
 | * code of practice, code of conduct, customer service standards or similar brochure on display for staff, host employers, apprentices and trainees;
* code of practice, code of conduct, customer service standards or similar document on the intranet or webpage for staff, host employers, apprentices and trainees;
* agreements with host employers, apprentices and trainees containing information on code of practice, code of conduct, or customer service standards or similar document;
* staff, apprentice and trainee induction materials;
* staff information or professional development sessions on this topic;
* survey to test satisfaction with staff conduct and principal employer services;
* record outlining methodology followed in conducting survey;
* report on analysis of results and actions taken;
* internal review documentation detailing analysis of results and action taken;
* minutes of staff meetings or process used to review publication of service level requirements;
* written manual has policies and/or procedures for dealing with complaints, grievances and appeals in a constructive and timely manner;
* flow charts on process to ensure policies and/or procedures maintenance;
* a flow chart demonstrating the process followed for dealing with complaints, grievances and appeals in a constructive and timely manner;
* records of complaints registration system;
* records on staff, apprentice, trainee and host employer file regarding remedial action;
* written or electronic record of complaint and action taken including timeframe;
* written record of advice to relevant authorities;
* staff meeting minutes;
* training records on dealing with complaints, grievances and appeals; and
* review notes on data on the number and nature of complaints, grievances and appeals, and follow-up action for continuous improvement.
 |  |  |  |
| * 1. The PEO shall identify relevant principal employer operational data and shall be able to demonstrate how these data are used to plan and monitor performance of the principal employer organisation and in the improvement of services to employees, apprentices and trainees.
 | * systems to collect and analyse data;
* surveys, questionnaires, phone and written survey, host employer reports and feedback on apprentices and trainees;
* letters and testimonials;
* complaint register;
* advice to board and staff minutes;
* 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 including management of hosting. This data may include:
* number of hosts providing placements – quarterly;
* number of apprentices and trainees in placements – quarterly;
* change in number and vocation of hosts and apprentices and trainees – annually;
* field staff, apprentices and trainees ratio – annually;
* number of field visits to host employers, apprentices and trainees – quarterly;
* number of placements per apprentice and trainee per year and percentage on rotation – annually;
* number and percentage of apprentices and trainees on down time per week – quarterly;
* average duration of down time for each employee – annually.
 |  |  |  |
| * 1. The PEO shall collect and analyse stakeholder and client feedback and satisfaction data on the services as the basis for continuous improvement to its policies and procedures
 | * systems to collect and analyse data;
* surveys, questionnaires, phone and written survey, host employer reports and feedback on apprentices and trainees;
* record outlining methodology followed in conducting surveys;
* report on analysis of results and action taken;
* minutes of meetings, surveys and key stakeholders;
* letters and testimonials;
* discussion with stakeholders regarding involvement in improvement strategies;
* feedback from stakeholders, regarding quality of service and opportunity for continuous improvement;
* written manual of policies and/or procedures; and
* flow charts on review process, to ensure currency of policies and/or procedures.
 |  |  |  |

**Standard 1: Findings** [ ]  Compliant [ ]  Not compliant

***Comments:***

**Principal Employer Organisation:       Date of self-assessment:**

**Standard 2: Compliance with Commonwealth, State and/or Territory legislation and regulatory requirements**

The principal employer organisation ensures that compliance with Commonwealth, state and/or territory legislation and regulatory requirements relevant to its operations are integrated into its policies and/or procedures and that compliance is maintained.

| **Standard** | **Possible evidence of compliance** | **Actual evidence of compliance and location of evidence** | **Details of System Improvement required** | **Implementation date (improvement)** |
| --- | --- | --- | --- | --- |
| 1. The PEO shall have a documented process for:
* identifying relevant Commonwealth, state and territory legislation and related 0regulations applicable to its operations
* integrating these requirements, and changes to these requirements, into the principal employer organisation’s policies and/or procedures
* ensuring that staff are made aware of their obligations, related to their duties, with other staff, apprentices and trainees, under such legislation and regulatory requirements, and for reviewing compliance
 | * list of relevant legislation;
* access to consolidated legislation webpage - federal, state and territory;
* staff training records, minutes of meetings, workshop documentation and emails in relation to legislation and regulation;
* policies and procedures reflective of current legislation and regulation applicable to the principal employer organisation—examples include:
* occupational health and safety, especially hazard identification;
* workplace harassment, victimisation and bullying;
* anti-discrimination, racial vilification, disability discrimination;
* child protection;
* vocational education and training;
* industrial relations;
* privacy;
* apprenticeships and traineeships.
* procedures that meet the requirements of identified legislation;
* records which indicate that the staff member or external service provider assessing the systems has detailed knowledge of these requirements.
 |  |  |  |

**Standard 2: Findings** [ ]  Compliant [ ]  Not compliant

***Comments:***

**Principal Employer Organisation:       Date of Self-Assessment:**

**Standard 3: The skills of principal employer organisation staff**

Each member of the principal employer organisation’s staff who is involved in the provision of principal employer services is skilled for the functions they perform.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Standard** | **Possible evidence of compliance** | **Actual evidence of compliance and location of evidence** | **Details of System Improvement required** | **Implementation date (improvement)** |
| 1. The PEO shall develop, document and implement a policy and/or procedures for the:
* recruitment;
* induction; and
* ongoing development of each member of its staff who is involved in the provision of any aspect of principal employer service.
 | * written manual of policies and/or procedures on recruitment, induction, performance management and professional development;
* intranet document of policies and/or procedures on recruitment, induction and professional development;
* work instructions implementing a policy or procedure on recruitment, induction, performance management and professional development;
* organisational chart describing positions within the organisation and lines of responsibility; and
* alignment of duty statements to positions in organisational chart.
 |  |  |  |
| * 1. The PEO shall ensure that staff recruited are competent to carry out the duties of the position they are employed to fill, or that they are provided with adequate training to fulfil these competencies.
 | * up-to-date record of staff qualifications, skills and experience;
* recruitment packages for job applicants;
* induction packages for new staff;
* flow charts of induction process;
* completed checklists for induction; and
* individual staff member's professional development record—training plan.
 |  |  |  |
| * 1. The PEO shall encourage and provide relevant opportunities for the professional development of staff on the vocational education and training system with particular emphasis on the requirements for apprenticeships and traineeships, working with equity clients and working with other local networks.
 | * staff notices - such as emails, minutes and letters - on professional development opportunities;
* evaluation reports from participants in professional development activities; and
* record of formal qualifications acquired through professional development.
 |  |  |  |
| * 1. The PEO shall maintain up-to-date records of qualifications, skills and experience of staff in management, payroll and field officer functions.
 | * personnel records on qualifications, skills and experience of management, payroll and field officer staff; and
* staff performance report.
 |  |  |  |
| * 1. The PEO shall monitor and provide feedback to staff on their performance
 | * Staff performance feedback sheets;
* Staff records of field officers’ current competencies in hazard identification and management; and
* Process used for the identification of competencies required for positions, e.g skills matrix and/or training plans for staff.
 |  |  |  |
| * 1. The PEO shall ensure that their staff are aware of or hold a qualification in Occupational Health and Safety (OH&S) principles.
 | * Evidence that the worksite has been visited and assessed by an OH&S expert.
 |  |  |  |

**Standard 3: Findings** [ ]  Compliant [ ]  Not compliant

***Comments:***

**Principal Employer Organisation:       Date of Self Assessment:**

**Standard 4: Ethical practice**

The board, council or advisory committee of the principal employer organisation and its management and staff behave ethically in the provision of principal employer services.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Standard** | **Possible evidence of compliance** | **Actual evidence of compliance and location of evidence** | **Details of System Improvement required** | **Implementation date (improvement)** |
| 4.1 The PEO shall disseminate clear and accurate information about its services and operations to each host employer, apprentice and trainee. | * information on services and operations including:
* apprenticeship and traineeship induction manual and checklist;
* induction workshop and/or training;
* apprenticeship and traineeship selection, job induction and/or orientation, placement and rotation procedures;
* apprenticeship and traineeship information handout;
* handout provided to host employer, apprentice and trainee outlining responsibilities to comply with relevant legislation including occupational health and safety, workplace harassment, victimisation, bullying, anti-discrimination and code of conduct;
* off-the-job training record;
* tracking system for host employers and apprentices and trainees;
* flow chart on process addressing the career development and support needs of apprentices and trainees;
* review notes monitoring training agreements, career development and support needs of apprentices and trainees;
* schedule of fees and charges in a handout;
* schedule of fees and charges on webpage and/or intranet;
* handout on provision for language, literacy, numeracy and other support;
* handout on welfare and guidance services;
* handout on disciplinary procedures, grievance process, code of conduct; and
* host employer induction kits.
 |  |  |  |
| 4.2 The PEO shall document in a code of practice, or similar, a statement on ethical practice within the organisation which has been approved by the board, council or advisory committee for its own conduct and for the conduct of its management and staff, in the provision of principal employer services including in its relationships with other principal employer organisations and shall monitor compliance with the code  | * code of practice, code of conduct, or customer service standards or similar brochure with the principal employer organisation’s statement on ethical practice on display for staff, host employers, apprentices and trainees;
* code of practice, code of conduct, or customer service standards or similar document with the principal employer organisation’s statement on ethical practice posted on the intranet or webpage for staff, host employers, apprentices and trainees;
* copies of advice minutes, contract document and the induction checklist to staff from management on the need to adhere to the principal employer organisation’s statement on ethical practice;
* records showing how breaches of ethical practice have been addressed;
* training records on ethical practice for board, council, advisory committee, management and staff.
 |  |  |  |
| 4.3 The PEO shall ensure that clients and stakeholders have access to a document on how the principal employer organisation manages conflict of interest within its principal employer function and across other functions within the organisation, or in related organisations. | * code of practice, code of conduct, customer service standards or similar brochure with the principal employer organisation’s statement on management of conflict of interest on display for staff, host employers, apprentices and trainees;
* code of practice, code of conduct, customer service standards or similar document with the principal employer organisation’s statement on management of conflict of interest posted on the intranet or webpage for staff, host employers, apprentices and trainees;
* copies of advice minutes, notices, checklist to staff from management on the need to adhere to the principal employer organisation’s statement on management of conflict of interest;
* records showing complaints about, and breaches of, conflict of interest and how these issues were addressed; and
* training records on conflict of interest for the board, council, advisory committee, management and staff.
 |  |  |  |
| 4.4 The PEO’s marketing and advertising plans and/or materials shall be accurate, define how key stakeholder relationships are managed and demonstrate that permissions, conditions and copyright requirements have been met. | * marketing plan aligned with business and/or strategic plan;
* advertising material aligned to marketing plan;
* statement on stakeholder relationships in marketing plan;
* letters, minutes, memos, notes documenting effective management of stakeholder relationships;
* documentation where approvals, permission and conditions to use materials or information have been granted; and
* flow chart showing how copyright requirements are checked.
 |  |  |  |

**Standard 4: Findings** [ ]  Compliant [ ]  Not compliant

***Comments:***

**Principal Employer Organisation:**

**Declaration**

My principal employer organisation has completed a self-assessment and has systems and processes in place that meet the requirements of the *Queensland Quality Standards for Principal Employer Organisations.*

Signature:

 Chief Executive Officer

Date ….../……/ ……

***Comments:***