NSW Group Training Registration

**Compliance Assessment Report**

**Training Services NSW**

**Organisation Legal Entity Name**:

**ABN**:

**Desk Audit Date**:

**Site/Remote Audit Date**:

# Introduction

The Compliance Assessment Report:

* identifies the National Standards for Group Training Organisations
* allows the GTO to record evidence of compliance against each of the National Standards
* allows the auditor to record desk and site audit evidence of the GTO’s compliance against each National Standard
* allows the auditor to record their assessment of the GTO’s compliance against each National Standard.

# How to complete the Compliance Assessment Report

GTOs need to record evidence of compliance against each of the National Standards in the *Evidence of Compliance* section of the Report. The completed Report should then be submitted electronically to the Department of Education along with:

* a copy of the GTO’s **Employee Handbook**, **Host Employer Handbook and Apprenticeship/Trainee Handbook**
* a completed *Group Training Registration in NSW – Application Form*
* other requested documentation (see Registration Guide)

to **Apprenticeship & Traineeship Unit, Training Services NSW, Department of Education** by email: **group.training@det.nsw.edu.au.**

**Note**: Once the Report, together with other necessary documentation is submitted, an external auditor will be allocated by the Department of Education. This auditor will conduct a desk audit based on the documents provided. The auditor will then conduct a site/remote audit assessing all other evidence demonstrating compliance against the National Standards.

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| BACKGROUND OF THE GTO |
| Please provide detailed information about the GTO, including the business structure, management personnel, total employees, industries serviced, host employers engaged, etc. |
| GTO Response: |
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| STANDARD 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. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 1 - RECRUITMENT, EMPLOYMENT AND INDUCTION (Cont) | |
| 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. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 1 - RECRUITMENT, EMPLOYMENT AND INDUCTION (Cont) | |
| 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. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 1 - RECRUITMENT, EMPLOYMENT AND INDUCTION (Cont) | |
| 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 their apprentice/trainee, in conjunction with the apprentice/trainee. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 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. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 2 – MONITORING AND SUPPORTING APPRENTICES AND TRAINEES TO COMPLETION (Cont) | |
| 2.2 | The GTO monitors each apprentice and trainee’s progress against the Training Plan and:   * facilitates the integration or 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 and workplace rotations, competency-based progressions or other changes. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 2 – MONITORING AND SUPPORTING APPRENTICES AND TRAINEES TO COMPLETION (Cont) | |
| 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 retention of the apprentice or trainee. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 2 – MONITORING AND SUPPORTING APPRENTICES AND TRAINEES TO COMPLETION (Cont) | |
| 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. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 2 – MONITORING AND SUPPORTING APPRENTICES AND TRAINEES TO COMPLETION (Cont) | |
| 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 to the apprentice or trainee. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 2 – MONITORING AND SUPPORTING APPRENTICES AND TRAINEES TO COMPLETION (Cont) | |
| 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. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 3 – GTO 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. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 3 – GTO GOVERNANCE AND ADMINISTRATION (Cont) | |
| 3.2 | The GTO is incorporated in Australia, a government entity, or regulated by the Australian Charities and Not-for-profits Commission. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 3 – GTO GOVERNANCE AND ADMINISTRATION (Cont) | |
| 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 and other relevant information. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 3 – GTO GOVERNANCE AND ADMINISTRATION (Cont) | |
| 3.4 | The GTO can demonstrate that it is financially viable and inform the registering body where early signs indicate issues associated with viability. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 3 – GTO GOVERNANCE AND ADMINISTRATION (Cont) | |
| 3.5 | The GTO holds appropriate insurances to the size and scope of its operations. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 3 – GTO GOVERNANCE AND ADMINISTRATION (Cont) | |
| 3.6 | The GTO adheres to the principles of access and equity in all operations including marketing, recruitment, monitoring, support, governance and administration. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 3 – GTO GOVERNANCE AND ADMINISTRATION (Cont) | |
| 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. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

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| STANDARD 3 – GTO GOVERNANCE AND ADMINISTRATION (Cont) | |
| 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 completion of the Training Contract is at risk. |
| EVIDENCE OF COMPLIANCE (number attachments) | |
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| AUDITOR COMMENTS/ASSESSMENT | |
| Desk audit: | |
| Site/Remote audit: | |
| COMPLIANT? | Yes  No |

Group Training Organisation

*I certify that the information contained in this Compliance Assessment Report (and related documentation) is a true and accurate account of the operations of:*

Name of group training organisation:

Signature of CEO:

Print Name: Date:

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| AUDITOR SUMMARY |
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Auditor

*I certify that the compliance audit has been conducted in accordance with the GTR Code of Practice.*

Signature of auditor:

Print Name: Date: