



Resources Handbook

to accompany the
National Standards for
Group Training Organisations

a resource for Group Training Organisations & auditors

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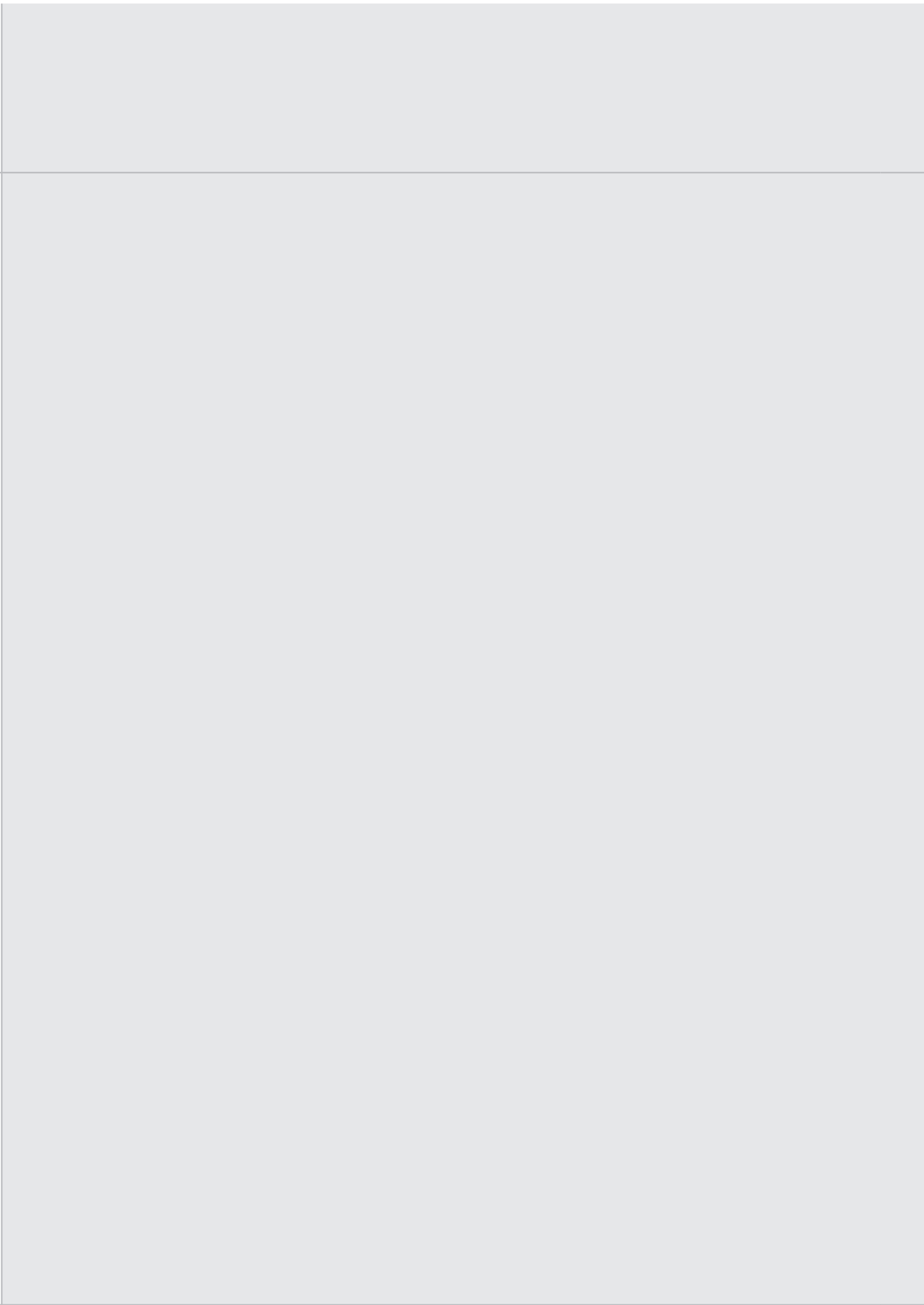
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section I

Introduction

The Resources Handbook accompanies the *National Standards for Group Training Organisations*.

The handbook has been developed to support and assist Group Training Organisations (GTOs) and independent auditors to:

- prepare for and participate in assessments to determine GTO's compliance with the Standards; and
- for internal reviews conducted at least annually by GTOs.

National Standards for Group Training Organisations

Ministers for Vocational Education and Training endorsed the *National Standards for Group Training Organisations* on 24 May 2002.

In 2005 a review of the Standards was undertaken and some minor changes were made. The National Training Quality Council (NTQC) endorsed these changes to the Standards on 29 August 2005. These changes are effective from 1 January 2006.

The *National Standards for Group Training Organisations*:

- provide the platform for a nationally consistent, robust group training service brand;
- assist GTOs to monitor and improve their organisation's strategic, operational and financial planning and performance; and
- provide Commonwealth, State and Territory Governments with a consistent basis for the recognition, support and monitoring of Government funded GTOs.

The key objective of the *National Standards for Group Training Organisations* is to strengthen the brand name of group training and the performance of GTOs in achieving the three goals of group training:

1. create additional apprentice and trainee employment opportunities;
2. provide for the continuity of that employment; and
3. improve the quality and breadth of training available to apprentices and trainees.

Compliance with the *National Standards for Group Training Organisations* is mandatory for GTOs seeking eligibility for Government funding.

GTOs are strongly encouraged to take advantage of the opportunities for service branding and continuous improvement that the Standards provide.

GTO's compliance with the Standards is determined through a process of independent auditing managed by State/Territory Training Authorities (STA).

Resources Handbook

This handbook has five sections:

1. Introduction

The introduction provides an overview and purpose of the Standards, handbook, key concepts of evidence, internal reviews and audits.

2. Evidence Requirements and Examples of Evidence of Compliance

This section presents the eight national Standards including evidence required for compliance and suggested examples of evidence.

3. Guidance and Template for Internal Review and Self-assessment

The template is a resource to assist GTOs to apply a continuous improvement approach to internal reviews. While completion of templates does not in itself indicate compliance, which is for the auditor to determine, the template provides a consistent format available nationally to GTOs undertaking internal reviews and self-assessments or participating in audits.

An example of the report template is provided on page 28 and an electronic version is available on the website at <http://grouptraining.dest.gov.au> and may be amended by each standard sub-clause by use by practitioners.

4. Useful Resources

This section provides a list of useful resources and contacts.

5. State and Territory Contacts

This section provides details for initial contact with State/Territory Training Authorities.

Evidence, Internal Review and Audit

Evidence, internal review and audit are the three key concepts underpinning the *National Standards for Group Training Organisations*.

There is no ideal number of examples of evidence for compliance. Section 2 of the handbook outlines required evidence for each standard and contains suggested examples of where and how the evidence might be provided. The examples are designed to assist GTOs and auditors to reflect on what might be appropriate evidence for a particular GTO to demonstrate compliance.

The internal review is usually a self-assessment process. It provides a valuable learning opportunity for GTOs in determining their capacity to demonstrate compliance and continual improvement in operating to the Standards. Internal review documentation provides a key resource for auditors in gaining a better understanding of a GTO's operating philosophy and service environment.

An audit against the Standards is an evidentiary process. A GTO needs to show, and an external auditor needs to sight where appropriate, sufficient evidence - oral, documentary and/or electronic - that is relevant and reasonable for a critical assessment to occur. The evidence presented will lead to a judgment about the extent of a GTO's compliance with the Standards.

While the Standards are the same for all GTOs, individual GTOs differ greatly in size, clientele, location, philosophy, structure and function. The evidence one GTO presents to show compliance may differ from that presented by another. Auditors therefore need to exercise flexibility in their judgment, while maintaining the rigour and diligence necessary to support the key objectives of the Standards.

Evidence should be valid - measuring what it claims to measure - and reliable - not significantly variable according to time or place. It should also be accurate and timely.

In general, auditors will be seeking examples of evidence that illustrate sound everyday business operations, strengthen good practice and minimise special effort undertaken solely for the internal review or audit.

Note:

Contracts, funding agreements and assessment of compliance of GTOs to national Standards may require access to records and documents. Permission must be sought from apprentices, trainees, host employers, staff and any other first party in order to provide full access. Consent to access the records and documents must be maintained on file, to the extent required by the Privacy Act 1988.

section 2

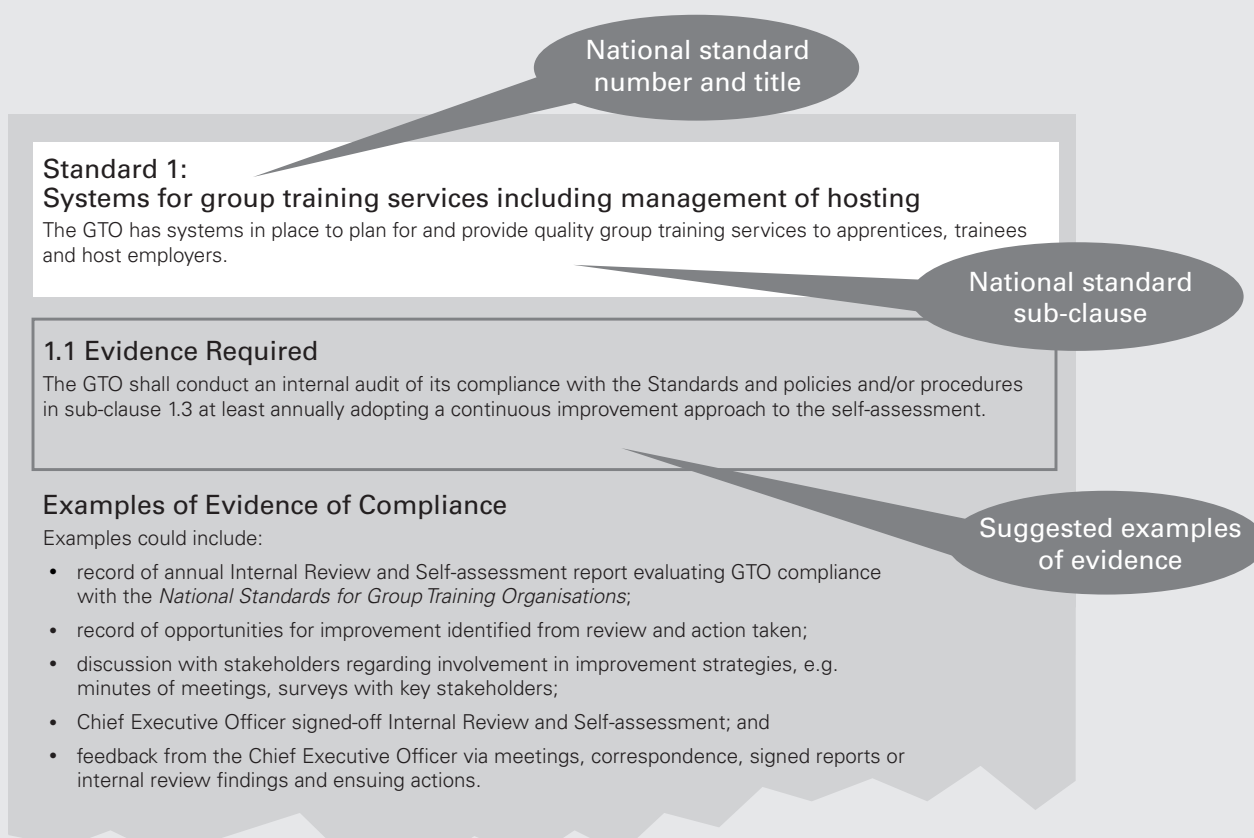
Evidence Requirements and Examples of Evidence of Compliance

The Evidence Required and the Examples of Evidence of Compliance have been written with the assistance of leaders of small and large GTOs, Government and industry representatives. They have been moderated by JAS-ANZ, an accreditation body for trans-Tasman certification of management systems.

The examples of evidence are not an exhaustive list and they are not prescriptive. The examples have been developed simply as a series of suggestions.

The handbook should be regarded as a resource to accompany the *National Standards for Group Training Organisations* and not as a substitute for it. The value of the handbook is in the guidance it provides to GTOs to demonstrate, and for auditors to determine, compliance with the national Standards, and in the identification of areas of possible improvement.

Diagram 1: Example of standard layout:



Standard 1:**Systems for group training services including management of hosting**

The GTO has systems in place to plan for and provide quality group training services to apprentices, trainees and host employers.

1.1 Evidence Required

The GTO shall conduct an internal audit of its compliance with the Standards and the policies and/or procedures in sub-clause 1.3 at least annually adopting a continuous improvement approach to the self-assessment.

Examples of Evidence of Compliance

Examples could include:

- record of annual Internal Review and Self-assessment report evaluating GTO compliance with the *National Standards for Group Training Organisations*;
- record of opportunities for improvement identified from review and action taken;
- discussion with stakeholders regarding involvement in improvement strategies, e.g. minutes of meetings, surveys with key stakeholders;
- Chief Executive Officer (CEO) signed off Internal Review and Self-assessment; and
- feedback from the CEO via meetings, correspondence, signed reports or internal review findings and ensuing actions.

1.2 Evidence Required

The GTO shall have effective systems to demonstrate the demand for its group training services, industry support and responsiveness to industry need, and to: manage and track hosting, including demonstrating how the host and the GTO 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 as appropriate; and monitor training.

Examples of Evidence of Compliance

Examples could include:

- 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 staff 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;
 - number and percentage of apprentices and trainees resigning and reasons for withdrawal - annually.
- flow chart for signing up host employers;
- host employer pack including agreement, checklist, OH&S assessment;
- host employer files including agreements;
- index, listing, and record of agreements; and
- blank and completed agreements showing identified responsibilities and duties with respect to relevant requirements of the Standards and with legislative and regulatory requirements.

1.3 Evidence Required

The GTO shall document, authorise, implement and review policies and/or procedures, as required by the Standards, for ensuring quality group training services consistent with the organisation's scale of operations.

Examples of Evidence of Compliance

Examples could include:

- 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 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 and correction where failure of compliance is identified;
- correspondence from CEO or delegate regarding annual review 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; and
- staff feedback mechanisms on the applicability and appropriateness of system requirements.

1.4 Evidence Required

The GTO shall document in a publicly available code of practice or similar document the service level requirements for staff providing group training 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.

Examples of Evidence of Compliance

Examples could include:

- 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 and 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 group training 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;
- intranet documents policies and/or procedures for dealing with complaints, grievances and appeals in a constructive and timely manner;
- work instructions includes 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 in the complaints registration system;
- records on staff, apprentice, trainee or 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.

1.5 Evidence Required

The GTO shall identify relevant group training operational data and shall be able to demonstrate how these data are used to plan and monitor performance of the GTO and in the improvement of services to employers, apprentices and trainees.

Examples of Evidence of Compliance

Examples could include:

- 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 staff 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; and
 - number and percentage of apprentices and trainees resigning and reasons for withdrawal - annually.

1.6 Evidence Required

The GTO shall collect and analyse stakeholder and client feedback and satisfaction data on the services it provides as the basis for continuous improvement to its policies and procedures.

Examples of Evidence of Compliance

Examples could include:

- 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 2:

Compliance with Commonwealth, State/ Territory legislation and regulatory requirements

The GTO ensures that compliance with Commonwealth, State and Territory legislation and regulatory requirements relevant to its operations is integrated into its policies and/or procedures and that compliance is maintained.

2.1 Evidence Required

The GTO shall have a documented process for:

- identifying relevant Commonwealth and State and Territory legislation and related regulations applicable to its operations;
- integrating these requirements, and changes to these requirements, into the GTO's policies and/or procedures; and
- ensuring that staff are made aware of their obligations, related to their duties, with other staff, hosts, apprentices and trainees, under such legislation and regulatory requirements, and for reviewing compliance.

Examples of Evidence of Compliance

Examples could include:

- list of relevant legislation;
- access to consolidated legislation webpage - Commonwealth, 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 GTO. 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; and
 - apprenticeships and traineeships.
- procedures that meet the requirements of identified legislation; and
- records which indicate that the staff member or external service provider assessing the systems has detailed knowledge of these requirements.

Standard 3:

Effective financial management procedures

The GTO has effective financial management procedures in place.

3.1 Evidence Required

The GTO has effective documented management procedures in place to:

- ensure that the GTO's financial management policy and/or procedures are maintained and reflect actual practice within the GTO;
- ensure staff and members of board or other governing body of the GTO receive any necessary professional development or updates to ensure skill levels needed for their roles in the development and implementation of financial management policy, procedures and reporting including income recognition procedures, debt management, methods of costing services and cost recovery and payroll;
- monitor and report on compliance with its financial management policy and/or procedures, for review as a basis for improvement; and
- ensure probity is maintained for all financial matters.

Examples of Evidence of Compliance

Examples could include:

- policy and/or procedures on operational day-to-day financial management;
- CEO's or delegate's comments on financial reports, budget(s), cash flow forecasts, financial ratios, adequacy of reserves or lines of credit;
- CEO's advice to the board, council or advisory committee on financial reports, budget(s), cash flow forecasts, financial ratios, adequacy of reserves or lines of credit;
- financial records electronic or paper based;
- payroll and invoicing systems;
- accountant's monthly reports;
- annual external audits;
- financial audit reports;
- accounting system documents;
- annual report;
- credit control system;
- aged debtor summary;
- CEO's notes reviewing that the procedures are currently implemented;
- board and staff training documentation;
- academic qualifications and work experience records of staff and board, council or advisory committee members;
- record of actions taken from information collected;
- record of mitigation actions undertaken; and
- record of review of qualifications and/or experience of those responsible for and carrying out financial management, and/or training given to these personnel.

3.2 Evidence Required

The GTO's accounts shall be certified, at least annually, by a qualified accountant with membership of Certified Practising Accountants Australia, the Institute of Chartered Accountants of Australia or the National Institute of Accountants or otherwise registered as an auditor with the Australian Securities and Investment Commission and, on request, the report shall be made available to the STA that has recognised the organisation.

Examples of Evidence of Compliance

Examples could include:

- documents to substantiate certified accounts produced.

3.3 Evidence Required

The GTO shall obtain, and make available if requested by the STA, a full audit report from a qualified independent accountant with membership of Certified Practising Accountants Australia, the Institute of Chartered Accountants of Australia or the National Institute of Accountants or otherwise registered as an auditor with the Australian Securities and Investment Commission within 60 days of request.

Examples of Evidence of Compliance

Examples could include:

- letter to substantiate full audit report has been sent and received by the STA.

3.4 Evidence Required

The GTO shall ensure that it has insurance cover appropriate to its activities, including insurance for workers compensation, public liability, professional indemnity, building and contents.

Examples of Evidence of Compliance

Examples could include:

- file copies of insurance policies;
- file evidence that insurance premiums are up to date; and
- 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.

Standard 4:**Effective administrative and records management procedures**

The GTO has effective administrative and records management procedures in place.

4.1 Evidence Required

The GTO shall document, implement and review policies and/or procedures to:

- assure the accuracy, integrity, confidentiality and security of records during their storage, archiving and disposal; and
- achieve document control by requirements to demonstrate authorisation, version control, amendments and back-up of electronic records.

Examples of Evidence of Compliance

Examples could include:

- document and data control and records management system demonstrating evidence of compliance with each of the eight Standards;
- effective system operating for the retention, archiving, retrieval and transfer of:
 - apprenticeship and traineeship records for the period specified by the State and Territory Government;
 - all other records consistent with contractual and legal requirements and the requirements of the STA;
- retention times should also be documented, and meet legislative and other requirements;
- a policy and/or procedures identifying access to confidential information obtained by the GTO, including provision for apprentices and trainees to access their personal records. This would include access by committees, individuals or organisations, and also include backup of electronic records. This could also include password control of electronic records;
- an operations system check to ensure that, except as required by law, information about a host employer, apprentice or trainee is not disclosed to a third party without the written consent of that person;
- shredding, secure disposal - through locked bins - or other means of disposal of confidential information to ensure maintenance of confidentiality;
- ISO9001:2000 Clause 4.2.4 - control of records - compliant record management system;

- internal review and audit outcomes that indicate compliance with the National Privacy Principles, to the extent required; and
- evidence of back-up electronic records.

Standard 5:

Effective corporate governance

The GTO has appropriate structures and processes for decision making, accountability, and control of that GTO.

5.1 Evidence Required

A GTO shall be an incorporated entity recognised by the appropriate Government agency.

Examples of Evidence of Compliance

Examples could include:

- legal documentation establishing organisation as:
 - a company - i.e. copy of the company certificate, including the registered name, Australian Business Number (ABN) and office address of company;
 - an incorporated association - i.e. copy of the certificate of incorporation, including the registered name; and
 - a statutory body - i.e. details of the Act of Parliament or Order establishing the body.

5.2 Evidence Required

The GTO shall document:

- the ownership, structure and control of the GTO;
- name and experience of members of the board or other governing body, name, role and responsibilities of CEO, chief finance officer (CFO) and other senior managers;
- key provisions for decision making and accountability including delegation of authority to the CEO and matters reserved to the board where it exists; and
- terms of reference of the board, council or advisory committee and members selection and induction procedures including clarification of obligations and responsibilities.

Examples of Evidence of Compliance

Examples could include:

- registration papers;
- licences;
- list of board members, including their experience and roles and responsibilities; and
- record of induction or information meetings where staff have been made aware of where this information is kept and the implications to their roles and responsibilities within the organisation e.g. Group Training Australia Directors Induction Kit, available at www.grouptraining.com.au under the members site.

5.3 Evidence Required

The CEO shall ensure that members of the board, or other governing body approve any amendments to 5.2 and staff are advised.

Examples of Evidence of Compliance

Examples could include:

- A document, booklet or manual containing the information detailed in 5.2 sufficient to allow staff to effectively carry out their roles and responsibilities.

5.4 Evidence Required

The GTO shall have a current plan for its business that:

- is based on the strategic directions of the GTO;
- includes projected profit and loss and cash flows;
- is consistent with its scale of operations;
- takes account of the risk management plan;
- considers key stakeholders needs; and
- is approved, reviewed and updated annually by the board or other governing body.

Examples of Evidence of Compliance

Examples could include:

- a documented business plan or strategic plan covering the full scope of activities and resources for records to clients;

- evidence of review of effectiveness and updating of business plan or strategic plan at least annually;
- business strategic planning flow chart or process; and
- flow chart or documented procedure showing how stakeholder input is sought, analysed and included in plans.

5.5 Evidence Required

The GTO shall document and implement a risk management plan approved by the board or other governing body covering the identification, assessment and monitoring of risk including safeguarding its assets, compliance with the *National Standards for Group Training Organisations*, and contractual arrangements with host employers, and hosted apprentices and trainees.

Examples of Evidence of Compliance

Examples could include:

- staff training records on risk management;
- records of risk assessment from external service provider;
- risk management plan;
- assets register;
- process documented for the management of assets and facilities;
- flow chart that shows process for the effective identification, assessment and monitoring of risk including the *National Standards for Group Training Organisations* and contractual arrangements with host employers; and
- process documented for the identification, assessment and monitoring of risk, effectively identifying all risks, their true significance, and allowing for the effective monitoring of risks.

5.6 Evidence Required

The CEO or the Chair of the board or other governing body shall inform the STA in writing or email of changes in circumstances where this may affect the ongoing employment status of all of the apprentices and trainees of the organisation, as soon as the GTO becomes aware of the situation and before any date that the GTO intends to cease operations. This requirement shall be noted in the role statement of the CEO and in the terms of reference of the board or other governing body.

Examples of Evidence of Compliance

Examples could include:

- file copy of correspondence, appropriately dated, informing the STA of changes in circumstances where this may affect the ongoing employment status of the apprentices and trainees of the organisation; and
- acknowledgment of receipt of letter from STA.

5.7 Evidence Required

The GTO shall have a plan for ensuring that training and tools are provided to support members with their corporate governance responsibilities and shall review and update this plan annually.

Examples of Evidence of Compliance

Examples could include:

- documented plan to support members with their corporate governance responsibilities.

Standard 6:

Access and equity

The GTO applies access and equity principles to its operations.

6.1 Evidence Required

The GTO's policies and/or procedures shall incorporate a statement on how access and equity principles or legislation were considered in the development of its access and equity policy and/or procedure.

Examples of Evidence of Compliance

Examples could include:

- 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.

6.2 Evidence Required

The GTO shall:

- develop and implement an access and equity policy that refers to the GTO's resources on equity and or any formal link with one or more organisations with relevant specialist equity skills; and articulates strategies and staff responsibilities to improve outcomes for individuals facing barriers to participation and achievement in training and employment;
- review the policy on a periodic basis to comply with new legislation and contemporary practice with respect to individuals facing barriers to participation and achievement in training and employment;
- include information on the access and equity policy in induction kits or equivalent for employers, apprentices and trainees; and
- ensure staff are trained in and comply with the GTO's access and equity policy.

Examples of Evidence of Compliance

Examples could include:

- Code of Practice, Code of Conduct, Customer Service Standards or similar are on display and are in induction and promotional units;
- Code of Practice, Code of Conduct, Customer Service Standards or similar contain statements to address the more pressing equity needs of local people;
- review dates on policy and procedure documents; and
- records that staff are trained to comply with GTO's access and equity policy.

Standard 7:

The skills of GTO staff

Each member of the GTO staff who is involved in the provision of group training services is skilled for the functions they perform.

7.1 Evidence Required

The GTO 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 group training service.

Examples of Evidence of Compliance

Examples could include:

- 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.

7.2 Evidence Required

The GTO 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.

Examples of Evidence of Compliance

Examples could include:

- 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.

7.3 Evidence Required

The GTO 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.

Examples of Evidence of Compliance

Examples could include:

- staff notices, emails, minutes, letters on professional development opportunities;
- evaluation reports from participants in professional development activities; and
- record of formal qualifications acquired through professional development.

7.4 Evidence Required

The GTO shall maintain up to date records of qualifications, skills and experience of staff in management, payroll and field officer functions.

Examples of Evidence of Compliance

Examples could include:

- personnel records on qualifications, skills and experience of management, payroll and field officer staff; and
- staff performance report.

7.5 Evidence Required

The GTO shall monitor and provide feedback to staff on their performance.

Examples of Evidence of Compliance

Examples could include:

- 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 analysis and/or skills matrix and training plans for staff.

7.6 Evidence Required

The GTO shall ensure that their staff are aware of or hold a qualification in Occupational Health and Safety (OH&S) principles.

Examples of Evidence of Compliance

Examples could include:

- Evidence that the worksite has been visited and assessed by an OH&S expert.

Standard 8:

Ethical practice

The board, council or advisory committee of the GTO and its management and staff behave ethically in the provision of group training services.

8.1 Evidence Required

The GTO shall disseminate clear and accurate information about its services and operations to each host employer, apprentice and trainee.

Examples of Evidence of Compliance

Examples could include:

- 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 a 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.

Note:

The material provided to each client category should be customised to suit anticipated needs.

8.2 Evidence Required

The GTO shall document in a Code of Practice or similar a statement on ethical practice within the GTO which has been approved by the board, council or advisory committee of the GTO for its own conduct and for the conduct of its management and staff, in the provision of group training services including in its relationships with other GTOs and shall monitor compliance with the code.

Examples of Evidence of Compliance

Examples could include:

- Code of Practice, Code of Conduct, or Customer Service Standards or similar brochure with the GTO'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 GTO's statement on ethical practice posted on the intranet or webpage for staff, host employers, apprentices and trainees;
- copies of advice minutes, contract document, induction checklist to staff from management on the need to adhere to the GTO's statement on ethical practice;
- records showing how breaches of ethical practice have been addressed; and
- training records on ethical practice for board, council, advisory committee, management and staff.

8.3 Evidence Required

The GTO shall ensure that clients and stakeholders have access to a document on how the GTO manages conflict of interest within its group training function and across other functions within the organisation or in related organisations.

Examples of Evidence of Compliance

Examples could include:

- Code of Practice, Code of Conduct, Customer Service Standards or similar brochure with the GTO'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 GTO'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 GTO's statement on management of conflict of interest;
- records showing complaints about, and breaches of, conflict of interest and how management has addressed these issues; and
- training records on conflict of interest for board, council, advisory committee, management and staff.

8.4 Evidence Required

The GTO'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.

Examples of Evidence of Compliance

Examples could include:

- 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 where effective management of stakeholder relationships is documented;
- documentation where approvals, permission and conditions to use materials or information have been granted; and
- flow chart showing how copyright requirements are checked.

section 3

Guidance and Template for Internal Review and Self-assessment

The Internal Review and Self-assessment template is a suggested resource. A GTO or an external assessor can use them to record evidence of compliance with the *National Standards for Group Training Organisations*. The format can also be changed to suit the needs of a GTO.

The Internal Review and Self-assessment templates can be used as evidence for external audits.

An example of a report template is provided overleaf. The template is available on the Department's group training webpage <http://grouptraining.dest.gov.au> and may be amended for each standard sub-clause for use by practitioners.

The template provides space to note:

- the evidence the GTO has identified for the Standard;
- areas where there is no evidence of compliance with the Standard, or where there are opportunities recommended for continuous improvement; and
- details of the GTO's response to the recommendation including giving a priority ranking and target date.

For advice on conducting internal audits, refer to Australian Standard (AS) 3911.1. AS 3911.1 which specifies the responsibilities of internal auditors, discusses the development of an audit team and provides advice on how to collect evidence. Evidence should be collected through a variety of methods, including interviews, for example, with members of staff, and through observation and examination of documentation.

It is important to assess whether policies and procedures are actually achieving the intended outcome. To do this it is essential to "dig deeper" by checking the implementation.

Think about evidence of compliance with each Standard in the following way:

- 1** What policies and procedures have been documented to show the GTO is complying with the standard?
- 2** How can the GTO show that the policies and procedures are actually working?
- 3** How can the GTO show that the effectiveness of policies and procedures is reviewed, and what is learnt in continuous improvement processes?

A template for each Standard sub-clause is provided overleaf and is available from <http://grouptraining.dest.gov.au>.

Template

Internal Review and Self-assessment Report National Standards for Group Training Organisations

Assessor _____ Date ____ / ____ / ____

Standard 1. Systems for group training services including management of hosting.

Compliant Yes No

The GTO has systems in place to plan for and provide quality group training services to apprentices, trainees and host employers.

Evidence required

1.1 The GTO shall conduct an internal audit of its compliance with the Standards and policies and/or procedures in sub-clause 1.3 at least annually adopting a continuous improvement approach to the self-assessment.

Evidence to indicate compliance:

-
.....
-
.....
-
.....
-
.....
-
.....
-
.....

Improvement actions recommended:

1.
2.

Response including priority rating and target date for completion:

1.
2.

Authorising Officer _____

Date ____ / ____ / ____

section 4: Useful Resources

References

Australian Quality Training Framework – AQTF Overview 2005

Australian Quality Training Framework – Standards for Registered Training Organisations 2005.

Australian Quality Training Framework Changes Booklet – A guide to the changes to the Standards for Registered Training Organisations 2005.

Australian Quality Training Framework Standards for State and Territory Registering/Course Accrediting Bodies 2005.

Australian Quality Training Framework Evidence Guide for Registered Training Organisations and Auditors 2005.

Bridging Pathways - Revised blueprint for the national plan of action for increasing opportunities for people with a disability in vocational education and training, 2004.

Bridging Pathways - Revised National Strategy for increasing opportunities for people with a disability in vocational education and training, 2004.

Directors' Induction and Due Diligence Kit including Corporate Governance Updates Nos. 1-8: Terry Kilmister, Broadworks International, Sydney 2005.

National Code of Good Practice for New Apprenticeships, Australian Government, DEST.

National Standards for Group Training Organisations 2006.

National Standards for Group Training Organisations - Resources Handbook, 2006.

Partners in a Learning Culture – The Way Forward - Australia's National Aboriginal and Torres Strait Islander Strategy for vocational education and training 2000-2005.

Partners in a Learning Culture – The Way Forward - A blueprint for implementing the National Strategy for Aboriginal and Torres Strait Islander People in vocational education and training. 2005.

Shaping our Future – Australia's National Strategy for vocational education and training 2004-2010.

Training and Assessment Training Package (TAA04), Innovation and Business Skills Australia Ltd, Melbourne, 2004.

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Department of Education and Training
GPO Box 266D
MELBOURNE VIC 3001
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www.otte.vic.gov.au

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Department of Employment and Training Queensland
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Locked Mail Bag 527
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South Australia

Department of Further Education, Employment, Science and Technology
GPO Box 320
ADELAIDE SA 5001
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www.dete.sa.gov.au

Australian Capital Territory

Department of Education and Training
Office of Training and Adult Education
PO Box 985
CIVIC SQUARE ACT 2608
Tel: (02) 6205 7033 Fax: (02) 6205 7045
www.decs.act.gov.au/services/training.htm

Northern Territory

Department of Employment, Education and Training
GPO Box 2925
DARWIN NT 0801
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www.nt.gov.au/deet

Tasmania

Department of Education
Office of Post Compulsory Education and Training
GPO Box 169B
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www.opcet.tas.gov.au

