



Tasmanian Operational Requirements and National Standards

for

Group Training Organisations

Self-assessment Evidence Report



<p>Organisation Name</p>

<p>Date</p>



Section 1

Tasmanian Operational Requirements for Group Training Organisations

Requirement 1: Tasmanian Operational Requirements

The GTO agrees to provide quality group training services in accordance with the Tasmanian Operational Requirements for group training organisations.

Compliant: Yes No

Evidence required:

1. The GTO will give an undertaking to operate in accordance with the *Tasmanian Operational Requirements for Group Training Organisations*.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Requirement 2: Tasmanian Operational Plan

To ensure its services meet the needs and expectations of all stakeholders, the group training organisation shall document its Operational Plan to enter / continue operating in Tasmania's group training market.

Compliant: Yes No

Evidence required:

- 2.1 The GTO shall document its Operational Plan to enter / continue operating in Tasmania's group training market. This plan shall include information on:
- a. initial market appraisal into industry sectors that the GTO is currently /intends operating within
 - b. economic / employment growth trends
 - c. competitors
 - d. new markets
 - e. client support for GTO's operations in Tasmania.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Requirement 2: Tasmanian Operational Plan

Continued

Evidence required:

2.2 The GTO shall ensure the geographical location of its operational and administrative infrastructure is appropriate for the provision of care and support throughout an apprenticeship or traineeship.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Requirement 3: Operational Data Reporting

The Group Training Organisation has effective reporting procedures in place to ensure reporting requirements are met on an annual and as-requested basis.

Compliant: Yes No

Evidence required:

3.1 The GTO will provide Skills Tasmania with identified operational data on an annual basis.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Requirement 3: Operational Data Reporting

Continued

Evidence required:

3.2 The GTO will provide Skills Tasmania with identified operational data on request.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Requirement 4: External Review Processes

The Group Training Organisation agrees to participate in external monitoring and audit processes as required by Skills Tasmania. These include:

- compliance audits
- strategic audits.

Compliant: Yes No

Evidence required:

4.1 The GTO will give an undertaking to operate in accordance with the National Standards for Group Training Organisations, a requisite of which is participation in triennial compliance audits.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Requirement 4: External Review Processes

Continued

Evidence required:

4.2 The GTO will give an undertaking to participate in strategic audits as required by Skills Tasmania.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Requirement 4: External Review Processes

Continued

Evidence required:

4.3 The GTO will give an undertaking to clear any identified corrective actions relating to non-compliances arising from compliance and/or strategic audits within an agreed timeframe (not exceeding 6 months), and will manage opportunities for improvement via a Continuous Improvement Plan.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Section 2

National Standards for Group Training Organisations

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.

Compliant: Yes No

Evidence required:

1.1 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 1: Systems for Group Training Services

Continued

Evidence required:

- 1.2 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 1: Systems for Group Training Services

Continued

Evidence required:

1.3 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 1: Systems for Group Training Services

Continued

Evidence required:

1.4 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 1: Systems for Group Training Services

Continued

Evidence required:

1.5 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 1: Systems for Group Training Services

Continued

Evidence required:

1.6 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 2: Compliance with Commonwealth, State / Territory Legislation and Regulatory Requirements

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

Compliant: Yes No

Evidence required:

- 2.1 The GTO shall have a documented process for:
- identifying relevant Commonwealth and State or Territory legislation and related regulations applicable to its operations;
 - integrating these requirements, and changes to these requirements, into the GTOs 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 3: Effective Financial Management Procedures

The GTO has effective financial management procedures in place.

Compliant: Yes No

Evidence required:

- 3.1 The GTO has effective documented management procedures in place to:
- ensure that the GTOs 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 3: Effective Financial Management Procedures

Continued

Evidence required:

3.2 The GTOs 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 3: Effective Financial Management Procedures

Continued

Evidence required:

3.3 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 Investments Commission with within 60 days of request.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 3: Effective Financial Management Procedures

Continued

Evidence required:

3.4 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 4: Effective Administrative and Records Management Procedures

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

Compliant: Yes No

Evidence required:

- 4.1 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, amendment and back-up of electronic records.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 5: Effective Corporate Governance

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

Compliant: Yes No

Evidence required:

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

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 5: Effective Corporate Governance

Continued

Evidence required:

5.2 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 and role and responsibilities of Chief Executive Officer (CEO), Chief Financial Officer (CFO) and other senior managers.
- key provisions for decision-making and accountability including delegation of authority to the CEO and matters reserved for 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 5: Effective Corporate Governance

Continued

Evidence required:

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

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 5: Effective Corporate Governance

Continued

Evidence required:

5.4 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 5: Effective Corporate Governance

Continued

Evidence required:

5.5 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* and contractual arrangements with host employers and hosted apprentices and trainees.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 5: Effective Corporate Governance

Continued

Evidence required:

5.6 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 their 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 other terms of reference of the board or other governing body.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 5: Effective Corporate Governance

Continued

Evidence required:

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

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 6: Access and Equity

The GTO applies access and equity principles to its operations.

Compliant: Yes No

Evidence required:

6.1 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 6: Access and Equity

Continued

Evidence required:

6.2 The GTO shall:

- develop and implement an access and equity policy that refers to the GTO's resources on equity and any formal link with one or more organisations with relevant specialists 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 GTOs access and equity policy.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

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.

Compliant: Yes No

Evidence required:

- 7.1 The GTO shall develop, document and implement a policy and/or procedures for the:
- Recruitment
 - Induction
 - Ongoing development.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 7: The Skills of GTO Staff

Continued

Evidence required:

7.2 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 7: The Skills of GTO Staff

Continued

Evidence required:

7.3 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 7: The Skills of GTO Staff

Continued

Evidence required:

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

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 7: The Skills of GTO Staff

Continued

Evidence required:

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

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 7: The Skills of GTO Staff

Continued

Evidence required:

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

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

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.

Compliant: Yes No

Evidence required:

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

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 8: Ethical Practice

Continued

Evidence required:

8.2 The GTO shall document, in a code of practice or similar, a policy 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 GTO's and shall monitor compliance with the code.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 8: Ethical Practice

Continued

Evidence required:

8.3 The GTO shall ensure that its 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]

Standard 8: Ethical Practice

Continued

Evidence required:

8.4 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.

Evidence to indicate compliance:

[text]

Improvement actions recommended:

1. [text]

Response including priority rating and target date for completion:

1. [text]



To be signed by the organisation's Chief Executive Officer or similar responsible officer.

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Name:
Position title:
Organisation:
Date: