



ACT
Government

ACT GROUP TRAINING REGISTRATION

COMPLIANCE ASSESSMENT REPORT

Organisation Legal Entity Name: [Click here to enter text.](#)

ACN: [Click here to enter text.](#)

Skills Canberra

**Chief Minister, Treasury and
Economic Development
Directorate**

Office Use only

Desk audit date: [Click here to enter text.](#)

Site audit date: [Click here to enter text.](#)

August 2022 | Version 1.2

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INTRODUCTION

The Compliance Assessment Report is designed to assist group training organisations (GTOs) in self-assessing and evaluating compliance with the [National Standards for Group Training Organisations](#) (the Standards). The document also establishes a consistent format to:

- > allow the GTO to record evidence of compliance against each of the Standards
- > allow the auditor to record desk and site audit evidence of the GTO's compliance against each Standard
- > allow the auditor to record their assessment of the GTO's compliance against each Standard.

HOW TO COMPLETE THE COMPLIANCE ASSESSMENT REPORT

Prior to commencing the Compliance Assessment Report the GTO must review the [Evidence Guide for GTOs to Support the National Standards](#).

(Evidence Guide). The Guide provides practical examples of evidence which GTOs might use to show compliance with the Standards.

GTOs must record the evidence of compliance against each of the Standards in the top section of each table. The completed Compliance Assessment Report should then be submitted electronically to Skills Canberra along with:

- > a copy of the **GTO's Employee Handbook, Host Employer Handbook and Apprenticeship/Trainee Handbook**
- > a completed [ACT Group Training Organisation Registration Application Form](#).

Please refer to the [ACT Group Training Organisation Registration Guide](#) for submission instructions.

Note: Approval of the Chief Executive Officer (or equivalent) is required for electronic lodgement, but not his/her signature.

ADVICE FOR COMPLETING THE COMPLIANCE ASSESSMENT REPORT

- > Add the GTO's legal name and ACN to the front cover of this report
- > Be objective in reviewing the GTO's operations against each of the Standards.
- > Ensure answers reflect the GTO's current practices and/or processes.
- > Ensure answers provide sufficient detail to accurately describe current practices.

NEXT STEPS

For further information on the Registration Application assessment process please refer to the [ACT Group Training Organisation Registration Guide](#).

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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 of the training and employment experiences, including arranging for workplace rotations if required;
 - requests that the RTO review the Training Plan when changes occur with the apprentice/trainee employment arrangements, including and workplace rotations, competency-based progressions or other changes.

Evidence of compliance (number attachments)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes **No**

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

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)

Auditor comments/Assessment

Desk audit

Site audit

Compliant?

Yes No

GROUP TRAINING ORGANISATION DECLARATION

[To be made by the most senior executive of the GTO applying for registration]

I, **[insert name]** of **[organisation name]** declare that:

I am the **[insert position/title of person making declaration - e.g. Chief Executive, Managing Director, Chairperson]** of **[name of legal entity submitting the Compliance Assessment Report]**. I certify that this is a true and accurate account of the operations of:

GTO Name: [Click here to enter text.](#)

I confirm:

- I have read and understand the National Standards for Group Training Organisations (the Standards);
- As part of the assessment of this application, I will provide any information requested, so that it may be considered with this application;
- As part of the assessment of this application, I authorise Skills Canberra to provide any information to, and seek information from, other parties;
- I understand that this is an application only and registration is not granted until the auditor is satisfied that the GTO is fully compliant with the Standards
- I understand that if registration for my GTO is approved and Skills Canberra subsequently discovers that any aspect of the application is false or misleading, then the registration may immediately be cancelled.

My GTO will make the following documents available to the audit team at any time:

- Organisational chart
- Risk Management Strategy
- Insurances required of it by law
- Evidence of financial viability

I confirm I am authorised to make this declaration on behalf of the GTO, and I make this solemn declaration conscientiously believing the same to be true.

Signature of Authorised Officer: [Click here to enter text.](#)

Date: [Click here to enter a date.](#)



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SKILLS CANBERRA

CHIEF MINISTER, TREASURY AND ECONOMIC
DEVELOPMENT DIRECTORATE