



TASMANIAN GROUP TRAINING ORGANISATION (GTO) EXTERNAL AUDIT CHECKLIST

Measuring compliance with the *National Standards for Group Training Organisations*, the *Training and Workforce Development Act 2013* and
Tasmanian Traineeships and Apprenticeships Committee (TTAC) Policy 8 Operational Requirements for Group Training Organisations

The Registration as a Group Training Organisation (GTO) in Tasmania Guide should be read before this audit is conducted and is available on the Skills Tasmania website [here](#).

This document is a template for auditors conducting audits of organisations/GTOs seeking registration as a GTO operating in Tasmania to measure the level of their compliance with the [National Standards for Group Training Organisations](#), the requirements of the [Training and Workforce Development Act 2013](#), specifically Part 2, Division 2 and Part 3, Divisions 1 and 3, and [Tasmanian Traineeships and Apprenticeships Committee \(TTAC\) Policies](#) – Policy 8 Operational Requirements for Group Training Organisations. The auditor should note that the checklist will be submitted to the Secretary of the relevant department or delegate as part of an application to be registered as a GTO.

To be compliant, documents and practices intended to meet the Standards are acceptable only if they are accompanied by evidence of consistent implementation AND they cover every element required by the Standards and are written in clear and appropriate language for the audience, i.e. the apprentice/trainee, employer, RTO, host etc. For example, items such as job applicant packages may be intended to cover compliance, but if they are unaccompanied by evidence of use/implementation, they do not constitute sufficient evidence of compliance with the standards.

All evidence used by the auditor to determine compliance/non-compliance MUST be recorded on the checklist. If a checklist received by the Secretary or delegate does not contain details of all evidence sighted by the auditor or there are gaps in the information on the checklist, the checklist will be considered to be insufficient evidence and a further audit will be required.

The [Evidence Guide to support the National Standards for Group Training Organisations](#) provides a guide for auditors to enable a clearer understanding of the National Standards and of the types of evidence that may be used to indicate compliance.

The GTO Registration Contact Officer within Skills Tasmania can provide information and assistance to organisations/GTOs seeking registration. The Officer can be contacted via email on skills.registration@skills.tas.gov.au.

The audit I have conducted shows that (GTO name) **is compliant with:**

1. *The National Standards for Group Training Organisations*
2. *Part 2, Division 2 and Part 3, Divisions 1 and 3 of the Training and Workforce Development Act 2013*
3. *TTAC Policy 8 Operational Requirements for Group Training Organisations*

Auditor name:

Auditor employer/business name:

Auditor business address:

Auditor phone contact:

Auditor email address:

Audit date:

Auditor signature:

ORGANISATION/GTO CEO acknowledgement and sign-off

The findings of this audit accurately reflect the compliance of (GTO NAME) with the *National Standards for Group Training Organisations*, Part 2, Division 2 and Part 3, Division 1 and 3 of the *Training and Workforce Development Act 2013* and *Tasmanian Traineeships and Apprenticeships Committee (TTAC) Policies – Policy 8 Operational Requirements for Group Training Organisations*..

CEO Name and signature:

Standard 1: Recruitment, Employment and Induction

This Standard requires GTOs to ensure that apprentices/trainees and host employers have a thorough understanding of the apprenticeship/traineeship system, their individual obligations, rights and roles and are aware that support is available.

Standard element	Specific evidence sighted DETAILS OF ALL EVIDENCE SIGHTED MUST BE RECORDED HERE	Summary of finding and outcome - compliant ('C') or non-compliant ('NC')
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.		C <input type="checkbox"/> NC <input type="checkbox"/>
1.2 The GTO inducts apprentices and trainees to the apprenticeship/traineeship system, including explaining: <ul style="list-style-type: none"> • 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. 		C <input type="checkbox"/> NC <input type="checkbox"/>
1.3 The GTO provides clear and accurate advice to host employers to: <ul style="list-style-type: none"> • 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 obligations to maintain a safe workplace and in working cooperatively with the GTO and RTO. 		C <input type="checkbox"/> NC <input type="checkbox"/>
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 the apprentice/trainee, in conjunction with the apprentice/trainee.		C <input type="checkbox"/> NC <input type="checkbox"/>

Standard 2: Monitoring and Supporting Apprentices and Trainees to Completion

This Standard requires GTOs to ensure that apprentices/trainees and host employers are provided with support services that meet their identified individual needs; that training and assessment is structured according to the needs of each apprentice/trainee and host employer workplace; that the resources necessary for the apprentice/trainee to complete their training are available and that rotation occurs where required to ensure that apprentices/trainees are able to gain sufficient exposure to a range of experiences, equipment and on-the-job instruction.

Standard element	Specific evidence sighted DETAILS OF ALL EVIDENCE SIGHTED MUST BE RECORDED HERE	Summary of finding and outcome - compliant ('C') or non-compliant ('NC')
<p>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 breadth of the training experience, including:</p> <ul style="list-style-type: none"> • 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. 		<p>C <input type="checkbox"/> NC <input type="checkbox"/></p>
<p>2.2 The GTO monitors each apprentice or trainee's progress against the Training Plan and:</p> <ul style="list-style-type: none"> • 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 any workplace rotations, competency-based progressions or other changes. 		<p>C <input type="checkbox"/> NC <input type="checkbox"/></p>
<p>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 the retention of the apprentice or trainee.</p>		<p>C <input type="checkbox"/> NC <input type="checkbox"/></p>
<p>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.</p>		<p>C <input type="checkbox"/> NC <input type="checkbox"/></p>
<p>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 provided to the apprentice or trainee.</p>		<p>C <input type="checkbox"/> NC <input type="checkbox"/></p>

Standard element	Specific evidence sighted DETAILS OF ALL EVIDENCE SIGHTED MUST BE RECORDED HERE	Summary of finding and outcome - compliant ('C') or non-compliant ('NC')
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.		C <input type="checkbox"/> NC <input type="checkbox"/>

Standard 3: GTO Governance and Administration

This Standard requires the GTO to ensure that it is aware of and complies with all legislative and regulatory requirements and policies of both the Australian and Tasmanian governments, and has appropriate structures and processes for decision-making, accountability and control, including effective administrative, marketing, insurances and continuous improvement processes.

Standard element	Specific evidence sighted DETAILS OF ALL EVIDENCE SIGHTED MUST BE RECORDED HERE	Summary of finding and outcome - compliant ('C') or non-compliant ('NC')
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.		C <input type="checkbox"/> NC <input type="checkbox"/>
3.2 The GTO is incorporated in Australia, a government entity, or regulated by the Australian Charities and Not-for-profits Commission.		C <input type="checkbox"/> NC <input type="checkbox"/>
3.3 The GTO develops, monitors and continually improves its performance and strategic directions using performance data, the results of audits, assessments as surveys plus any other relevant information.		C <input type="checkbox"/> NC <input type="checkbox"/>
3.4 The GTO can demonstrate that it is financially viable and inform the registering body where early signs indicate issues associated with viability.		C <input type="checkbox"/> NC <input type="checkbox"/>
3.5 The GTO holds appropriate insurances according to the size and scope of its operations.		C <input type="checkbox"/> NC <input type="checkbox"/>
3.6 The GTO adheres to the principles of access and equity in all operations including marketing, recruitment, monitoring, support, governance and administration.		C <input type="checkbox"/> NC <input type="checkbox"/>
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.		C <input type="checkbox"/> NC <input type="checkbox"/>
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 the completion of the Training Contract is at risk.		C <input type="checkbox"/> NC <input type="checkbox"/>

Tasmanian Traineeships and Apprenticeships Committee (TTAC) Policies – Policy 8 Operational Requirements for Group Training Organisations

The *Training and Workforce Development Act 2013* requires GTOs to comply with the *Tasmanian Operational Standards* determined by TTAC as well as other requirements that are applicable to all employers of apprentices and/or trainees.

Requirement	Appropriate evidence types may include (if there is evidence of consistent implementation) but are not limited to	Specific evidence sighted DETAILS OF ALL EVIDENCE SIGHTED MUST BE RECORDED HERE	Summary of finding and outcome - compliant ('C') or non-compliant ('NC')
<p>For an organisation to be registered, and continue to be registered, as a Group Training Organisation in Tasmania, it must:</p> <p>1. be able to demonstrate at any time that it meets the National Standards for Group Training Organisations (January 2017); AND</p>	<p><i>Completed Audit report showing compliance with Standards which includes evidence sighted to support compliance.</i></p> <p><i>Relevant organisation/GTO staff understand the requirements of the Standards and where they have responsibility for compliance, records showing compliance are available.</i></p>		<p>C <input type="checkbox"/> NC <input type="checkbox"/></p>
<p>2. comply with any request for information from the Secretary of the relevant department, through Skills Tasmania, for information on any element of their business that relates either to compliance with the National Standards for Group Training or the operations of the GTO, providing such requests and the response timeframes are reasonable.</p>	<p><i>Evidence showing the Organisation/GTO responded within a reasonable timeframe, to a request for information from the Secretary of the relevant department (if any), to the satisfaction of the Secretary.</i></p>		<p>C <input type="checkbox"/> NC <input type="checkbox"/></p>