



Procedure's Manual Group Training Organisation

Head Office
Gate 3, Building 7, Construction Training Centre
460 – 492 Beaudesert Road, Salisbury QLD 4107
(07) 3277 8646

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Table of Contents

Governance, Compliance Oversight	5
Governance, Compliance and Board Oversight Procedure	5
Legislative and Regulatory Alignment & Compliance Procedure	8
Organisational Registration and Reporting Procedure	12
Annual Performance Reporting Procedure	16
Reporting to the South Australian Skills Commission Procedure.....	20
Annual Performance Reporting Procedure	24
Financial Management and Audit Procedure.....	28
Strategic and Internal Oversight Procedure	31
Quality Assurance and Internal Audit Procedure	39
Internal Process Improvement Procedure	43
Environmental Sustainability Procedure	49
Records, Systems and Data Management	52
Records Management Procedure.....	52
Documentation and Record Keeping Procedure	56
IT and Cybersecurity Procedure	61
Marketing and Communications Procedure	65
Apprentice Lifecycle Management.....	69
Overview: Apprentice Lifecycle Procedures.....	69
New Apprentice Recruitment and Assessment Procedure	73
Child Safety and Suitability Screening Procedure	76
Access and Equity Procedure	79
Apprentice Induction Procedure	83
Apprentice Probation Procedure.....	87
Training Contract Management Procedure.....	91
Training and Development Procedure	99
Recognition of Prior Learning (RPL) and Experience Procedure	103
Apprentice Monitoring, Support, and Cultural Safety Procedure	107
Cultural Safety and First Nations Engagement Procedure	111
Apprentice Recommencement Procedure	116
Apprentice Transfer & Rotation Procedure.....	120
Host Employer Training Contract Transfer Procedure	124
Apprentice Completion Procedure.....	129
Hoste Employer Management	133

Host Employer Onboarding and Monitoring Procedure	133
Placement of Apprentices with Host Employers Procedure	136
Prohibited Employer Management Procedure	141
Managing Suspension and Economic Impact Procedure	144
Workplace Safety and Wellbeing	150
Work Health and Safety Procedure	150
Workplace Inspection & Visit Procedure.....	156
Workers' Compensation Procedure	161
Psychosocial Hazards Procedure	166
Behaviour, Conduct and Respectful Workplace	171
Respectful Workplace & Behaviour Management Procedure	171
Workplace Bullying Procedure	175
Sexual and Gender-Based Harassment Procedure.....	180
Addressing Issues and Grievances Procedure	185
Complaints, Disputes and Mediation Procedure.....	188
Declared Trades and Vocations Procedure	192
Continuous Improvement and Review	197
Continuous Improvement Procedure.....	197

Governance, Compliance Oversight

Governance, Compliance and Board Oversight Procedure

Purpose

This procedure ensures that WetTrade Apprenticeships (WTA) maintains strong governance, compliance, and accountability structures aligned with the South Australian GTO Standards, National GTO Standards, and DTET (Queensland) GTO Standards.

It defines how the Board of Directors and management maintain oversight of compliance obligations, performance, and risk, ensuring transparent reporting, regular review, and continuous improvement.

Scope

Applies to:

- The WTA Board of Directors and Management Team
- Compliance Officer and General Manager
- GTO Coordinators, Administration, and staff involved in governance reporting and data submission
- Governance activities relating to SA Skills Commission, DTET, and National GTO Standards compliance

Roles and Responsibilities

Role	Responsibilities
Board of Directors	Oversee compliance, governance, and performance outcomes; review quarterly reports and approve major policy/procedure updates.
Chairperson	Lead meetings; endorse Board papers and compliance attestations; escalate significant risks.
General Manager	Prepare governance reports; ensure compliance obligations and audits are completed; coordinate board agendas and reporting.
Compliance Officer	Maintain the Governance & Compliance Register; verify legislative compliance; prepare quarterly compliance dashboard and annual assurance statement.
GTO Coordinator / Administration	Provide field data and updates (apprentice metrics, host performance, safety results) for governance reports. Maintain meeting records, board minutes, and document control of policies and procedures.

Governance Framework Components

Governance oversight is achieved through structured documentation and reporting:

- **Governance & Compliance Register** – Records all legislative and regulatory obligations, audit outcomes, due dates, and responsible officers.
- **Board Reporting Template** – Standardised report format used for each meeting, including:
 - Apprentice and host employer metrics
 - Compliance and audit outcomes
 - Financial performance and risk status
 - Continuous improvement actions
 - Policy/procedure changes
 - Safety and wellbeing indicators
- **Risk Register** – Monitors organisational, financial, and operational risks.
- **Continuous Improvement Register** – Tracks recommendations, actions, and review outcomes.

Meeting Frequency and Schedule

Meeting Type	Frequency	Purpose	Chair
Board of Directors	Quarterly	Strategic oversight, compliance review, risk assessment, policy ratification	Chairperson
Governance & Compliance Committee	Bi-monthly	Review compliance data, audit outcomes, and risk register	General Manager
Management Team Meeting	Monthly	Monitor KPIs, continuous improvement progress, and emerging issues	General Manager
Extraordinary Board Meeting	As required	Respond to significant incidents, regulator requests, or urgent compliance matters	Chairperson

Annual Governance Calendar (Minimum Requirements)

- **Q1 (March):** Annual self-assessment review (SA GTO Standards)
- **Q2 (June):** Mid-year performance report to DTET and SA Skills Commission
- **Q3 (September):** Internal audit and board risk review
- **Q4 (December):** Annual compliance declaration and governance statement

Governance Meeting Procedure

Step	Action	Responsibility	Timeframe	Record
1	Prepare agenda and reports using Board Reporting Template	General Manager / Compliance Officer	10 business days prior	Agenda Pack
2	Circulate documents to Board and Committee members	Administration	7 business days prior	Distribution log
3	Conduct meeting and record decisions, actions, and responsibilities	Chairperson / Admin	Per schedule	Minutes, Action Register
4	Approve and sign minutes at next meeting	Chairperson	Within 30 days	Signed minutes
5	Update Governance & Compliance Register with completed actions	Compliance Officer	Within 5 business days	Updated Register
6	File signed documents in SharePoint under Governance → Board Meetings	Administration	Within 5 business days	Version-controlled file

Compliance Reporting and Sign-Off

1. **Quarterly Compliance Dashboard:** Prepared by the Compliance Officer summarising audit results, incident notifications, and continuous improvement status.
2. **Annual Assurance Statement:** Signed by the Chairperson and General Manager confirming:
 - Compliance with SA and National GTO Standards
 - Reporting to DTET and the SA Skills Commission completed
 - No unresolved audit findings or regulatory breaches
3. **Board Certification:** All compliance reports are reviewed and signed at the next scheduled Board meeting and filed in SharePoint under Governance Records.

Auditing and Continuous Improvement Integration

- The **Quality Assurance & Internal Audit Procedure** outlines how internal audits inform governance reporting.
- Audit findings and regulator feedback are reviewed at the next Governance & Compliance Committee meeting.

- Continuous Improvement actions are logged, monitored, and closed before inclusion in the next board report.

Records Management

All governance and compliance documents are securely maintained in line with the **Records**

Management and Privacy Policy:

- Storage: SharePoint → Governance / Compliance folders
- Retention: 7 years minimum from meeting date
- Access: Restricted to Board members, GM, and Compliance Officer

Required Records:

- Board and committee agendas, minutes, and reports
- Governance & Compliance Register
- Risk and Continuous Improvement Registers
- Signed compliance declarations and regulator correspondence

Key Performance Indicators (KPIs)

Indicator	Target
Board meeting completion	Minimum four per year
Board reports distributed	≥7 business days before meetings
Compliance action close-out	100% within 30 days
Audit findings resolved	100% within 60 days
Registers up to date	Monthly review

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 5: Governance, Compliance and Reporting
- Standard 7: Continuous Improvement and Reporting

National Standards for Group Training Organisations (NSGTO)

- Standard 5: Governance and Administration
- Standard 7: Continuous Improvement and Reporting

Queensland DTET GTO Standards (2025)

- GTO Performance Framework – Governance, Compliance, and Assurance Clauses

Legislative Frameworks

- South Australian Skills Act 2008 and Skills Regulations 2021
- Corporations Act 2001 (Cth)
- Fair Work Act 2009 (Cth)
- Work Health and Safety Act 2012 (SA) and 2011 (Qld)

Supporting Codes and Guidance

- AS ISO 31000: Risk Management Guidelines
- AS ISO 15489: Records Management
- South Australian Skills Commission Governance Framework

Legislative and Regulatory Alignment & Compliance Procedure

Purpose

Ensure WetTrade Apprenticeships (WTA) maintains full compliance with all applicable **Acts, Regulations, Codes of Practice, and GTO Standards** through a structured and auditable process.

This procedure establishes the framework for monitoring, reviewing, and communicating legal and regulatory changes relevant to WTA operations in South Australia and Queensland.

Scope

Applies to all WTA activities governed by the **South Australian Skills Act 2008, DTET GTO Standards, and National Standards for Group Training Organisations.**

Covers the identification, review, communication, and implementation of changes to relevant legislation, regulations, and compliance frameworks.

Objectives

- Maintain a **Legislation and Regulatory Register** listing all relevant Acts, Regulations, and Codes.
- Conduct six-monthly reviews to ensure legal and regulatory compliance.
- Communicate key changes promptly to all relevant staff.
- Provide annual compliance training for all WTA employees.
- Ensure leadership oversight and sign-off of compliance reviews by the General Manager.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Ensure organisation-wide compliance with all legal and regulatory obligations; approve major updates to compliance systems.
General Manager (GM)	Review and sign off six-monthly legislative compliance reports; ensure identified changes are implemented.
Compliance Officer	Maintain and update the Legislation and Regulatory Register; monitor government publications; communicate updates to relevant staff.
Administration Officer	File correspondence and compliance updates in SharePoint; ensure correct version control of registers.
All Staff	Apply relevant legislative and regulatory requirements in day-to-day duties and attend annual compliance training.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Maintain Register	Maintain current register of all relevant legislation and regulatory instruments.	Compliance Officer	Include Acts, Regulations, Codes of Practice, Standards, and contractual requirements relevant to WTA.	Legislative and Regulatory Register	Ongoing
2. Source Updates	Monitor updates from official regulatory bodies.	Compliance Officer	Review updates from SASC, DTET, SafeWork SA, Fair Work Ombudsman, and Australian Government Gazette.	Subscription Feeds; Regulator Alerts	Monthly
3. Conduct Compliance Reviews	Review register entries for accuracy and relevance.	Compliance Officer / GM	Evaluate compliance obligations, update versions, and assess any required procedural changes.	Compliance Review Checklist	Every 6 months
4. Management Review	Submit findings to management for oversight.	Compliance Officer / GM	GM reviews and signs off changes; identify required actions or training updates.	Legislative Review Report	Within 10 business days of review
5. Staff Communication	Notify staff of any legislative or regulatory changes.	Compliance Officer	Issue internal memo or email outlining change, implications, and actions required; store record of communication.	Staff Notification Log	Within 5 business days of change
6. Update Policies and Procedures	Integrate relevant changes into policies and operational procedures.	Compliance Officer / GM	Review affected policies and update version control; notify Board for approval if required.	Policy Register; Version Control Log	As required
7. Staff Training	Conduct annual compliance training session.	GM / Compliance Officer	Include updates on WHS, privacy, employment law, and GTO standards; attendance mandatory for all staff.	Training Attendance Register	Annually
8. Record Keeping	Store all documentation related to legislative reviews and communications.	Administration Officer	Save all records to SharePoint → Governance → Legislative Compliance folder.	Governance & Compliance Register	Ongoing
9. Continuous Improvement	Review effectiveness of compliance process.	GM / Compliance Officer	Document improvements and lessons learned in Continuous Improvement Register.	CI Register	Annually

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Legislation and Regulatory Register – Minimum Inclusions

1. Legislation / Regulation Title
2. Jurisdiction (SA, QLD, Cth)
3. Administering Authority / Regulator
4. Area of Impact (e.g., WHS, Employment, Privacy, GTO Standards)
5. Current Version / Year
6. Date Last Reviewed
7. Relevant Policies / Procedures Updated
8. Responsible Officer
9. Next Review Date
10. Notes / Actions Required

Training and Communication Requirements

- **Annual Compliance Training:** Mandatory for all staff. Covers key legislative obligations, updates, and WTA compliance responsibilities.
- **Targeted Briefings:** Issued when significant legal or regulatory changes occur (e.g., new WHS Code, revised DTET Standard).
- **Acknowledgement of Understanding:** All staff must confirm receipt and understanding of compliance updates.

Records Management

All compliance and register records must be retained for **7 years** and stored securely in SharePoint → *Governance / Legislative Compliance*.

Access restricted to CEO, GM, and Compliance Officer.

Archived annually following the compliance review cycle.

Review

This procedure must be reviewed annually or following a major legislative or regulatory change.

The review and any updates must be logged in the **Governance and Compliance Register**.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 2 – Legal and Ethical Requirements
- Standard 5 – Governance, Compliance and Reporting
- Standard 7 – Continuous Improvement and Reporting

National Standards for Group Training Organisations

- Standard 1.6 – Compliance with Legislative and Regulatory Requirements
- Standard 2 – Legal and Ethical Operation
- Standard 5 – Governance and Administration

DTET GTO Standards (2025)

- Clause 2.1 – Legal and Regulatory Compliance
- Clause 5.1 – Governance, Oversight and Reporting
- Clause 7.1 – Continuous Improvement and Self-Assessment

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Legislation and Regulations

- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Vocational Education, Training and Employment Act 2000 (QLD)*
- *Fair Work Act 2009 (Cth)*
- *Work Health and Safety Act 2012 (SA)*
- *Privacy Act 1988 (Cth)*
- *Archives Act 1983 (Cth)*
- *Corporations Act 2001 (Cth)*

Supporting Codes and Guidance

- SafeWork SA Codes of Practice (including Psychosocial Hazards and WHS Risk Management)
- Australian Privacy Principles (APPs)
- DTET GTO Compliance and Audit Framework (2025)
- SA Skills Commission – Compliance and Reporting Guidelines

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Organisational Registration and Reporting Procedure

Purpose

Ensure WetTrade Apprenticeships (WTA) maintains continuous, compliant registration as a Group Training Organisation (GTO) under the *South Australian Skills Act 2008*, *Skills Regulations 2021*, *National GTO Standards*, and *DTET GTO Standards (2025)*.

Scope

Applies to all governance, registration, and reporting functions undertaken by the CEO, General Manager (GM), Compliance Officer, and Administration staff to maintain compliance with **SASC**, **DTET**, and **National Standards for Group Training Organisations**.

Objectives

- Maintain active registration with SASC and DTET.
- Ensure annual declaration, renewal, and notification obligations are completed.
- Provide documented governance assurance that registration remains valid.
- Maintain transparency and accountability through the Governance Register.
- Fulfil all requirements under the **National GTO Standards** related to compliance, governance, and continuous improvement.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Signs annual declarations and renewals; confirms active registration status to the Board; ensures compliance with National GTO Standards 1.1–1.6.
General Manager (GM)	Oversees registration workflows, reviews compliance documentation, ensures processes meet SA, National, and DTET requirements.
Compliance Officer	Administers registration processes, maintains the Governance Register, submits notifications and reports, ensures compliance evidence meets all audit requirements.
Administration Officer	Records all registration-related documents in SharePoint; ensures version control and timely filing of correspondence.
Board of Directors	Reviews annual registration status, approves renewal submissions, and verifies compliance with legislative and GTO standard obligations.

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Maintain Active Registration	Track expiry dates and ensure registration remains current.	Compliance Officer	Update Governance Register quarterly; initiate renewal process 3 months before expiration.	Governance Register	Ongoing
2. Annual Declaration	Submit SASC and DTET compliance declarations.	Compliance Officer / GM / CEO	Complete declaration confirming compliance with SA GTO Standards, National GTO Standard 5, and DTET Standard 1; obtain CEO sign-off before submission.	Annual Declaration Form; Evidence File	Annually (by 31 March)
3. Notify Organisational Changes	Report changes to executive, ownership, or contact details.	Compliance Officer	Notify SASC and DTET within 14 calendar days as required by <i>Skills Regulations 2021</i> and <i>National Standard 1.2</i> ; retain written acknowledgment.	Notification Form; Change Log	Within 14 days
4. Documentation Management	Store all registration and reporting documents securely.	Administration Officer	Save digital copies to SharePoint → Governance → Registration and Compliance; maintain version control and restricted access.	Governance Register	Within 2 business days
5. Renewal Process	Complete and submit renewal application.	Compliance Officer / GM / CEO	Provide updated governance structure, financial statements, and evidence of compliance with SA and National GTO Standards; CEO approval required.	Renewal Application Template; Supporting Evidence File	Every 3 years or as required
6. Board Confirmation	Present registration status and compliance updates.	GM / Compliance Officer	Include registration summary in quarterly Board reports; Board minutes must document verification of current registration.	Board Report Template	Quarterly and Annually
7. Audit or Review Response	Respond to any compliance review or audit request.	Compliance Officer	Submit all requested materials within 10 business days ; log actions in the Governance Register.	Audit Response Template; Correspondence Log	Within 10 business days
8. Continuous Improvement	Review lessons learned and record corrective actions.	Compliance Officer	Add process improvements or audit findings to the Continuous Improvement Register; review quarterly.	CI Register	Ongoing

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Checklist – Registration and Reporting Compliance

- GTO registration verified as current.
- Annual declaration submitted to SASC and DTET.
- Changes reported within 14 days.
- Renewal applications submitted prior to expiry.
- Board confirmation recorded each quarter.
- Audit responses completed within 10 business days.
- Continuous improvement actions logged and reviewed.

Records Management

All records to be stored in SharePoint → **Governance / Registration and Compliance.**

Access restricted to the CEO, GM, and Compliance Officer.

Retention period: **7 years** from the date of submission, renewal, or closure.

Archived records reviewed annually.

Review

Procedure reviewed annually or after any regulatory, legislative, or structural change.

Updates must be recorded in the Governance and Compliance Register and approved by the Board.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 1.4 – Organisational Registration and Notification
- Standard 5.1 – Governance, Compliance and Reporting

National Standards for Group Training Organisations

- **Standard 1 – Governance:**
 - Maintain registration and meet all compliance requirements of relevant state and national regulators.
- **Standard 2 – Legal and Ethical Requirements:**
 - Operate within all relevant legislation, industrial relations, and training contract obligations.
- **Standard 5 – Governance and Administration:**
 - Maintain transparent reporting, documentation, and accountability across all operations.
- **Standard 7 – Continuous Improvement and Reporting:**
 - Implement monitoring systems and report annually on compliance and outcomes to relevant authorities.

DTET GTO Standards (2025)

- Clause 1.2 – Registration and Notification
- Clause 5.1 – Governance, Oversight and Compliance Management

Legislation and Regulations

- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Vocational Education, Training and Employment Act 2000 (QLD)*
- *Fair Work Act 2009 (Cth)*
- *Privacy Act 1988 (Cth)*
- *Corporations Act 2001 (Cth)*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Supporting Codes and Guidance

- South Australian Skills Commission – *GTO Compliance and Audit Framework*
- DTET – *GTO Performance and Reporting Guidelines 2025*
- National GTO Standards Implementation Guide (AITSL, 2024)

Annual Performance Reporting Procedure

Purpose

This procedure defines the process for preparing, reviewing, and submitting WetTrade Apprenticeships' (WTA) **Annual Performance Report (APR)**. It ensures that all data relating to apprentice performance, host employer engagement, financial viability, compliance, and continuous improvement is accurately collected, verified, and approved in accordance with the **South Australian GTO Standards (2025)**, **National Standards for Group Training Organisations (NSGTO)**, and **DTET GTO Standards (2025)**.

The purpose is to maintain transparency, demonstrate organisational performance, and meet audit and contractual obligations to the **South Australian Skills Commission (SASC)** and the **Queensland Department of Trade, Employment and Training (DTET)**.

Scope

This procedure applies to:

- All WTA operations across South Australia and Queensland.
- Data relating to apprentice recruitment, completion, and retention.
- Financial, welfare, WHS, and cultural safety performance metrics.
- Internal and external reporting to regulatory authorities and funding bodies.

Objectives

- Provide accurate and evidence-based performance reporting to regulatory agencies.
- Align reporting content with GTO performance standards and contractual indicators.
- Ensure all reports are reviewed, endorsed, and approved before submission.
- Identify organisational strengths, risks, and improvement opportunities.
- Maintain an auditable record of all reports, data sources, and approvals.

Reporting Framework

The **Annual Performance Report (APR)** consolidates the following categories:

1. **Apprentice Data:** commencements, completions, withdrawals, transfers, diversity data, retention rates.
2. **Host Employer Data:** satisfaction, compliance, supervision ratios, safety performance.
3. **Financial Data:** solvency, audit outcomes, expenditure on support services, and program viability.
4. **Welfare and Support:** counselling and mentoring outcomes, wellbeing metrics, and case management summaries.
5. **Cultural Safety and Inclusion:** number of First Nations apprentices, participation outcomes, and host cultural engagement.
6. **Compliance and Audit:** internal audit outcomes, WHS statistics, supervision verification records.
7. **Continuous Improvement:** summary of actions implemented, feedback loops, and measurable outcomes.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves the final Annual Performance Report and submits it to the Board and regulatory authorities.
General Manager (GM)	Oversees data collection and validation; ensures reporting timelines are met; reviews draft report for accuracy and alignment with standards.
Compliance Officer	Coordinates report preparation, consolidates data from all departments, and maintains supporting documentation for audits.
Finance Manager / Accountant	Prepares and verifies financial data, solvency declarations, and external audit confirmations.
GTO Coordinators / Mentors	Provide quarterly apprentice and host performance data, supervision verification outcomes, and welfare trends.
Administration	Maintains reporting templates, ensures version control, and stores all reports in the Governance and Compliance Register.

Procedure Steps

1. Annual Reporting Schedule

- **Reporting Period:** 1 July – 30 June each financial year.
 - **Data Collection Window:** 1 July – 31 August (following financial year).
 - **Draft Report Completion:** By **30 September**.
 - **Internal Review and Board Approval:** By **31 October**.
 - **Submission to Regulators:**
 - South Australian Skills Commission (SASC): **by 15 November**.
 - DTET (Queensland): **by 30 November**.
- Responsible:** Compliance Officer / GM

2. Data Collection and Validation

- Collect data from the following sources:
 - **MPA Online** – apprentice data, supervision verification logs, welfare records.
 - **NICS Training Database** – unit progress and completion records.
 - **WHS Register** – incident, inspection, and risk control data.
 - **Finance System** – budget statements, solvency and expenditure data.
 - **Continuous Improvement Register** – trends, actions, and outcomes.
 - **Host and Apprentice Surveys** – satisfaction metrics and engagement scores.
 - Validate data for completeness and consistency across systems.
- Responsible:** Compliance Officer / Finance Manager

3. Draft Report Preparation

- Compile performance data into the **Annual Performance Report Template** (see Governance Register).
 - Include:
 - Executive Summary
 - Key Performance Indicators (KPIs)
 - Compliance Summary
 - Risk Management Findings
 - Continuous Improvement Summary
 - Appendices: Audit Statement, Financial Declaration, and Data Tables
 - Circulate draft report to the GM and CEO for preliminary review.
- Responsible:** Compliance Officer

4. Internal Review and Verification

- The GM and CEO review the draft report for accuracy, completeness, and alignment with GTO standards.
- Finance Manager verifies all financial statements and audit evidence.
- Amendments or additional data must be finalised within five (5) business days.

Responsible: GM / CEO / Finance Manager

5. Board and Executive Approval

- The final report is tabled at the next scheduled Board meeting for formal endorsement.
- A signed **Annual Performance Declaration** is attached to the submission.
- Minutes of approval are recorded in the **Board Governance Register**.

Responsible: CEO / Board Chair

6. Submission to Regulatory Authorities

- Submit final APR electronically via approved portals:
 - **South Australian Skills Commission (SASC)**
 - **Department of Trade, Employment and Training (DTET)**
- Email confirmation and receipt are retained in the Governance Register.
- Notify WTA management and stakeholders of successful submission.

Responsible: CEO / Compliance Officer

7. Recordkeeping and Audit Trail

- Store final report and all supporting evidence for **seven (7) years** in the **Governance and Compliance Register** under:

Governance → Reporting → Annual Performance Reports

- Include:
 - Data tables and templates
 - Financial audit reports
 - Board minutes and approval forms
 - Submission confirmations

Responsible: Compliance Officer / Administration

8. Post-Submission Review

- Conduct an internal debrief within 30 days of submission.
- Document lessons learned, data gaps, and recommended process improvements.
- Record outcomes in the **Continuous Improvement Register**.

Responsible: GM / Compliance Officer

Templates and Tools

- Annual Performance Report Template
- Financial Declaration Form
- Board Approval Record
- Continuous Improvement Register
- Data Validation Checklist
- Regulatory Submission Confirmation Log

Monitoring and Continuous Improvement

- The Compliance Officer reviews all performance reporting outcomes annually.
- Feedback from regulators and auditors is logged and actioned within 60 days.
- Process improvements are presented to the Board and implemented into the next reporting cycle.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 1 – Governance and Financial Viability
- Standard 5 – Governance, Compliance and Reporting
- Standard 7 – Continuous Improvement and Annual Reporting

National Standards for Group Training Organisations (NSGTO)

- Standard 1 – Governance and Administration
- Standard 5 – Governance, Compliance and Performance Reporting
- Standard 7 – Continuous Improvement

DTET GTO Standards (Queensland, 2025)

- Clause 5.1 – Governance, Reporting and Performance Management
- Clause 7.1 – Continuous Improvement

Legislative and Regulatory Frameworks

- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Vocational Education, Training and Employment Act 2000 (QLD)*
- *Fair Work Act 2009 (Cth)*
- *Work Health and Safety Act 2012 (SA) / Work Health and Safety Act 2011 (QLD)*
- *Privacy Act 1988 (Cth)*
- *Public Governance, Performance and Accountability Act 2013 (Cth)*

Reporting to the South Australian Skills Commission Procedure

Purpose

This procedure establishes the processes and responsibilities for WetTrade Apprenticeships (WTA) to meet all statutory and contractual reporting obligations to the South Australian Skills Commission (SASC) and Department of Trade, Employment and Training (DTET).

It ensures timely submission, accuracy, and transparent communication with regulators in compliance with the South Australian Skills Act 2008, Skills Regulations 2021, and the SA GTO Standards 2025.

Scope

This procedure applies to:

- All WTA governance and compliance reporting activities to the SASC and DTET.
- All staff responsible for regulatory reporting, including the Compliance Officer, General Manager, and Chief Executive Officer (CEO).
- Annual self-assessments, quarterly reports, notification of changes, audit responses, and incident notifications under the Act.

Objectives

- Ensure regulatory transparency and compliance with statutory timeframes.
- Maintain accurate records of all submissions and correspondence.
- Enable audit readiness through consistent templates and version control.
- Strengthen Board oversight and accountability for reporting activities.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves all formal submissions to SASC and DTET; signs declarations; ensures organisational compliance with reporting obligations.
General Manager (GM)	Reviews reports prior to submission; oversees timely delivery of annual and quarterly reports; authorises notifications of management or ownership change.
Compliance Officer	Prepares and submits all SASC and DTET reports; maintains the Regulatory Reporting Register ; tracks reporting timelines; manages audit responses and regulatory correspondence.
Administration Officer	Assists with collation of supporting evidence and file storage in SharePoint; ensures version control of all documents.
Board of Directors	Reviews quarterly compliance summaries and annual self-assessment results; signs off on significant compliance declarations or change notifications.

Procedural Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Reporting Calendar	Establish an annual Regulatory Reporting Schedule including SASC and DTET deadlines.	Compliance Officer	Schedule must identify due dates for self-assessment, quarterly reports, and notifications. Circulate to GM and Board for approval.	Reporting Schedule (SharePoint)	January each year
2. Annual Self-Assessment	Complete and submit annual self-assessment using SASC templates.	Compliance Officer / GM	Review compliance with all SA GTO Standards and DTET requirements; gather evidence from audit records and performance data. CEO to approve before submission.	Annual Self-Assessment Template; Evidence File	By 31 March each year
3. Quarterly Reporting	Prepare quarterly activity and compliance summary for SASC and Board.	Compliance Officer	Include apprentice data, host employer activity, WHS incidents, and risk trends. Submit to SASC and record acknowledgment.	Quarterly Compliance Report Template	End of each quarter
4. Notification of Organisational Change	Report any management, ownership, or structural change.	GM / Compliance Officer	Notify SASC within 14 days of change as per Skills Regulations 2021. Include details of change, reason, and new contact details.	Notification of Change Form	Within 14 business days
5. Incident Notification	Notify SASC of any serious incident affecting apprentice safety, compliance, or continuity of training.	Compliance Officer / GM	Provide written report outlining incident, actions taken, and mitigation strategies.	Incident Notification Form; Corrective Action Log	Within 5 business days of incident
6. Audit Response Process	Coordinate response to SASC or DTET audit or investigation requests.	Compliance Officer	Gather all evidence, submit required documentation, and ensure Board notified.	Audit Response Template; Regulatory Reporting Register	Within 10 business days of request
7. Record Keeping	File and store all submissions, responses, and correspondence.	Administration Officer	Maintain copies in Regulatory Reporting Register under Governance → Compliance folder in SharePoint. Use version control.	Regulatory Reporting Register; SharePoint	Ongoing

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

8. Board Oversight and Review	Present quarterly compliance summary to the Board.	Compliance Officer / GM	Highlight key compliance trends, breaches, and corrective actions. Board to record review in minutes.	Board Compliance Report; Meeting Minutes	Quarterly
9. Continuous Improvement	Record all audit findings and reporting issues for future improvement.	Compliance Officer / GM	Add to Continuous Improvement Register and track implementation of corrective measures.	CI Register; Audit Action Plan	Post-submission or post-audit

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

Templates and Tools

- Annual Self-Assessment Template (SASC format)
- Quarterly Compliance Report Template
- Notification of Change Form
- Audit Response Template
- Regulatory Reporting Register (SharePoint)
- Continuous Improvement Register

Records Management

All records must be stored electronically in SharePoint → Governance → Compliance → Reporting with restricted access to the CEO, GM, and Compliance Officer.

Retention period: 7 years after submission date.

Archived records must be reviewed annually and securely deleted after expiry.

Audit and Review

This procedure will be:

- Reviewed annually or upon change in legislative or SASC requirements.
- Audited internally every six months as part of the Quality Assurance and Internal Audit Procedure.
- All findings and corrective actions logged in the Continuous Improvement Register.

Applicable Standards and Regulatory Frameworks

- SA GTO Standards (2025):
 - Standard 1.1 – Governance and Risk Oversight
 - Standard 5.1 – Governance, Compliance and Reporting
- National Standards for Group Training Organisations:
 - Standard 5 – Governance and Administration
 - Standard 7 – Continuous Improvement
- DTET GTO Standards (2025):
 - Clause 1.1 – Governance and Oversight
 - Clause 1.2 – Registration and Compliance
 - Clause 7.1 – Continuous Improvement
- Legislation and Regulations:
 - South Australian Skills Act 2008
 - Skills Regulations 2021 (SA)
 - Fair Work Act 2009 (Cth)
 - Privacy Act 1988 (Cth)
 - Work Health and Safety Act 2012 (SA)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Annual Performance Reporting Procedure

Purpose

This procedure defines the process for preparing, reviewing, and submitting WetTrade Apprenticeships' (WTA) Annual Performance Report (APR). It ensures that all data relating to apprentice performance, host employer engagement, financial viability, compliance, and continuous improvement is accurately collected, verified, and approved in accordance with the South Australian GTO Standards (2025), National Standards for Group Training Organisations (NSGTO), and DTET GTO Standards (2025).

The purpose is to maintain transparency, demonstrate organisational performance, and meet audit and contractual obligations to the South Australian Skills Commission (SASC) and the Queensland Department of Trade, Employment and Training (DTET).

Scope

This procedure applies to:

- All WTA operations across South Australia and Queensland.
- Data relating to apprentice recruitment, completion, and retention.
- Financial, welfare, WHS, and cultural safety performance metrics.
- Internal and external reporting to regulatory authorities and funding bodies.

Objectives

- Provide accurate and evidence-based performance reporting to regulatory agencies.
- Align reporting content with GTO performance standards and contractual indicators.
- Ensure all reports are reviewed, endorsed, and approved before submission.
- Identify organisational strengths, risks, and improvement opportunities.
- Maintain an auditable record of all reports, data sources, and approvals.

Reporting Framework

The **Annual Performance Report (APR)** consolidates the following categories:

1. **Apprentice Data:** commencements, completions, withdrawals, transfers, diversity data, retention rates.
2. **Host Employer Data:** satisfaction, compliance, supervision ratios, safety performance.
3. **Financial Data:** solvency, audit outcomes, expenditure on support services, and program viability.
4. **Welfare and Support:** counselling and mentoring outcomes, wellbeing metrics, and case management summaries.
5. **Cultural Safety and Inclusion:** number of First Nations apprentices, participation outcomes, and host cultural engagement.
6. **Compliance and Audit:** internal audit outcomes, WHS statistics, supervision verification records.
7. **Continuous Improvement:** summary of actions implemented, feedback loops, and measurable outcomes.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves the final Annual Performance Report and submits it to the Board and regulatory authorities.
General Manager (GM)	Oversees data collection and validation; ensures reporting timelines are met; reviews draft report for accuracy and alignment with standards.
Compliance Officer	Coordinates report preparation, consolidates data from all departments, and maintains supporting documentation for audits.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Finance Manager / Accountant	Prepares and verifies financial data, solvency declarations, and external audit confirmations.
GTO Coordinators / Mentors	Provide quarterly apprentice and host performance data, supervision verification outcomes, and welfare trends.
Administration	Maintains reporting templates, ensures version control, and stores all reports in the Governance and Compliance Register.

Procedure Steps

Annual Reporting Schedule

- **Reporting Period:** 1 July – 30 June each financial year.
 - **Data Collection Window:** 1 July – 31 August (following financial year).
 - **Draft Report Completion:** By **30 September**.
 - **Internal Review and Board Approval:** By **31 October**.
 - **Submission to Regulators:**
 - South Australian Skills Commission (SASC): **by 15 November**.
 - DTET (Queensland): **by 30 November**.
- Responsible:** Compliance Officer / GM

Data Collection and Validation

- Collect data from the following sources:
 - **MPA Online** – apprentice data, supervision verification logs, welfare records.
 - **NICS Training Database** – unit progress and completion records.
 - **WHS Register** – incident, inspection, and risk control data.
 - **Finance System** – budget statements, solvency and expenditure data.
 - **Continuous Improvement Register** – trends, actions, and outcomes.
 - **Host and Apprentice Surveys** – satisfaction metrics and engagement scores.
 - Validate data for completeness and consistency across systems.
- Responsible:** Compliance Officer / Finance Manager

Draft Report Preparation

- Compile performance data into the **Annual Performance Report Template** (see Governance Register).
 - Include:
 - Executive Summary
 - Key Performance Indicators (KPIs)
 - Compliance Summary
 - Risk Management Findings
 - Continuous Improvement Summary
 - Appendices: Audit Statement, Financial Declaration, and Data Tables
 - Circulate draft report to the GM and CEO for preliminary review.
- Responsible:** Compliance Officer

Internal Review and Verification

- The GM and CEO review the draft report for accuracy, completeness, and alignment with GTO standards.
 - Finance Manager verifies all financial statements and audit evidence.
 - Amendments or additional data must be finalised within five (5) business days.
- Responsible:** GM / CEO / Finance Manager

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Board and Executive Approval

- The final report is tabled at the next scheduled Board meeting for formal endorsement.
- A signed **Annual Performance Declaration** is attached to the submission.
- Minutes of approval are recorded in the **Board Governance Register**.

Responsible: CEO / Board Chair

Submission to Regulatory Authorities

- Submit final APR electronically via approved portals:
 - **South Australian Skills Commission (SASC)**
 - **Department of Trade, Employment and Training (DTET)**
- Email confirmation and receipt are retained in the Governance Register.
- Notify WTA management and stakeholders of successful submission.

Responsible: CEO / Compliance Officer

Recordkeeping and Audit Trail

- Store final report and all supporting evidence for **seven (7) years** in the **Governance and Compliance Register** under:

Governance → Reporting → Annual Performance Reports

- Include:
 - Data tables and templates
 - Financial audit reports
 - Board minutes and approval forms
 - Submission confirmations
- Responsible:** Compliance Officer / Administration

Post-Submission Review

- Conduct an internal debrief within 30 days of submission.
- Document lessons learned, data gaps, and recommended process improvements.
- Record outcomes in the **Continuous Improvement Register**.

Responsible: GM / Compliance Officer

Templates and Tools

- Annual Performance Report Template
- Financial Declaration Form
- Board Approval Record
- Continuous Improvement Register
- Data Validation Checklist
- Regulatory Submission Confirmation Log

Monitoring and Continuous Improvement

- The Compliance Officer reviews all performance reporting outcomes annually.
- Feedback from regulators and auditors is logged and actioned within 60 days.
- Process improvements are presented to the Board and implemented into the next reporting cycle.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 1 – Governance and Financial Viability
- Standard 5 – Governance, Compliance and Reporting
- Standard 7 – Continuous Improvement and Annual Reporting

National Standards for Group Training Organisations (NSGTO)

- Standard 1 – Governance and Administration

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Standard 5 – Governance, Compliance and Performance Reporting
- Standard 7 – Continuous Improvement

DTET GTO Standards (Queensland, 2025)

- Clause 5.1 – Governance, Reporting and Performance Management
- Clause 7.1 – Continuous Improvement

Legislative and Regulatory Frameworks

- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Vocational Education, Training and Employment Act 2000 (QLD)*
- *Fair Work Act 2009 (Cth)*
- *Work Health and Safety Act 2012 (SA) / Work Health and Safety Act 2011 (QLD)*
- *Privacy Act 1988 (Cth)*
- *Public Governance, Performance and Accountability Act 2013 (Cth)*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Financial Management and Audit Procedure

Purpose

This procedure establishes the framework for managing WetTrade Apprenticeships' (WTA) financial activities, including budgeting, reporting, solvency monitoring, and audit submissions.

It ensures transparency, accountability, and compliance with the **South Australian GTO Standards (2025)**, **National Standards for Group Training Organisations**, and **DTET GTO Standards (2025)** by maintaining sound financial governance and demonstrating ongoing financial viability.

Scope

Applies to all WTA staff involved in financial management, reporting, auditing, and recordkeeping processes, including the CEO, General Manager, Finance Officer, Compliance Officer, and the Board. This procedure covers:

- Financial reporting and Board oversight
- Budgeting and forecasting
- Solvency and liquidity monitoring
- Internal and external audits
- Financial record management and retention

Principles

- **Accountability:** All financial activities are transparent, traceable, and subject to oversight.
- **Integrity:** Financial decisions align with ethical and legal obligations.
- **Compliance:** WTA meets all statutory, GTO, and contractual financial reporting requirements.
- **Sustainability:** Budgets and financial planning support long-term organisational stability.
- **Accuracy:** Records and reports reflect the true financial position of the organisation.

Financial Planning and Budgeting

Responsible: General Manager / Finance Officer / CEO

- Develop annual organisational and program budgets aligned with strategic objectives.
- Ensure budgets incorporate cash flow forecasts, projected expenses, and revenue streams.
- Obtain Board approval for all annual and revised budgets.
- Conduct quarterly budget reviews to track performance and identify variances.
- Maintain evidence of approval, review notes, and any budget revisions.

Records: Approved Budget, Financial Forecast, Quarterly Review Notes

Financial Reporting

Responsible: Finance Officer / General Manager / Compliance Officer

- Prepare accurate financial reports in accordance with accounting standards and GTO requirements.
- Submit financial reports for Board review on a **quarterly basis**, including:
 - Profit and loss statements
 - Balance sheet and cash flow summaries
 - Variance and expenditure reports
 - Key financial performance indicators (liquidity ratio, working capital, debt ratio)
- Submit annual financial statements for independent audit and presentation to the Board.
- Ensure transparency through documented meeting minutes and Board resolutions.

Records: Quarterly Financial Reports, Board Meeting Minutes, Annual Financial Statements

Solvency and Viability Monitoring

Responsible: CEO / General Manager / Finance Officer

- Monitor financial viability on a monthly basis using liquidity and solvency metrics:
 - Current ratio (minimum 1:1 benchmark)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Cash reserves (minimum 3 months operating expenses)
- Debtor/creditor ageing reports
- Immediately report potential solvency risks to the CEO and Board.
- Document any corrective actions or funding adjustments taken to restore financial stability.
- Maintain evidence of solvency monitoring for audit and GTO compliance.

Records: Monthly Solvency Reports, Financial Viability Statement, Corrective Action Log

Audit and Compliance Oversight

Responsible: Finance Officer / Compliance Officer / CEO

- Engage a qualified external auditor annually to review WTA's financial performance.
- Provide auditors with full access to financial statements, ledgers, and supporting documentation.
- Submit audited financial statements to the Board for endorsement and to relevant regulators where required (e.g., SA Skills Commission, DTET).
- Record all auditor recommendations and document follow-up actions.
- Review internal financial controls annually to ensure ongoing compliance and efficiency.

Records: Audit Report, Management Letter, Audit Action Register, Board Endorsement Records

Financial Delegations and Controls

Responsible: CEO / General Manager / Finance Officer

- All financial delegations must be approved in writing by the CEO and documented in the **Delegations Register**.
- Payments above delegated thresholds require CEO or Board approval.
- Implement dual-signature approval for all payments above \$10,000.
- Ensure separation of duties between payment authorisation, processing, and reconciliation.
- Conduct monthly bank reconciliations and retain evidence for audit.

Records: Delegations Register, Payment Authorisations, Reconciliation Reports

Board Oversight and Review

Responsible: CEO / Board / General Manager

- The Board must review quarterly financial reports and annual audited statements.
- The Board Finance Sub-Committee will:
 - Review cash flow and expenditure trends.
 - Assess financial viability and compliance with funding conditions.
 - Approve major capital expenditures or financial adjustments.
- Document all Board decisions, approvals, and directives related to financial governance.

Records: Board Finance Sub-Committee Minutes, Board Resolutions, Financial Review Reports

Recordkeeping and Retention

Responsible: Finance Officer / Compliance Officer

- Maintain all financial records in accordance with the **Records Management Policy** and **Privacy Act 1988 (Cth)**.
- Retain financial and audit records for a minimum of **seven (7) years**.
- Store electronic copies in WTA's secure SharePoint → Finance Register with restricted access.
- Archive superseded or closed financial records annually.

Records: Financial Register, Audit Archive, Records Retention Log

Continuous Improvement

- The **Compliance Officer** and **Finance Officer** will review this procedure annually to ensure alignment with legislative and funding requirements.
- Outcomes from financial audits and Board reviews will be logged in the **Continuous Improvement Register**.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Identified risks or deficiencies will be escalated to the CEO and Governance & Compliance Committee for action.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Oversees financial governance, ensures solvency, and approves budgets and financial reports.
General Manager (GM)	Monitors financial performance, approves expenditure, and ensures reporting accuracy.
Finance Officer	Prepares budgets, reports, and audits; maintains financial systems and records.
Compliance Officer	Ensures compliance with financial reporting standards and manages document retention.
Board of Directors	Reviews financial reports, endorses audits, and ensures long-term financial viability.

Records Management

All documents related to financial reporting, budgets, audits, and Board decisions must be securely stored in the **Finance and Governance Register** for audit and regulatory review.

Retention period: **7 years** or longer if required by legislation or contractual obligations.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 2.2 – Financial Viability and Risk Management
- Standard 5 – Governance, Compliance and Reporting

National Standards for Group Training Organisations

- Standard 1 – Financial and Organisational Viability
- Standard 5 – Governance and Administration

DTET GTO Standards (Queensland, 2025)

- Clause 1.1 – Financial Management and Solvency
- Clause 5.1 – Governance, Compliance and Reporting

Legislation and Supporting Frameworks

- Corporations Act 2001 (Cth)*
- Australian Accounting Standards (AASB)*
- Fair Work Act 2009 (Cth)*
- Financial Accountability Act 2009 (Qld)*
- Work Health and Safety Act 2012 (SA)*
- Privacy Act 1988 (Cth)*
- South Australian Skills Act 2008 and Skills Regulations 2021*

Strategic and Internal Oversight Procedure

Purpose

Embed daily operational risk management and continuous review across WTA to ensure proactive identification, mitigation, and escalation of strategic, operational, financial, compliance, WHS, and apprentice welfare risks.

Scope

All WTA functions (governance, finance, operations, host management, RTO interfaces, WHS, HR/people, data/IT) and all locations (WTA offices, host sites, training venues, and digital systems).

Definitions

- **Risk Appetite:** The amount and type of risk WTA is willing to accept in pursuit of objectives.
- **KRI (Key Risk Indicator):** A measurable signal of increasing risk exposure.
- **Issue:** A realised risk requiring immediate action (not a 'potential').
- **Near Miss:** An event that could have resulted in harm or loss but did not.
- **Control Effectiveness:** Design and operating effectiveness rating (Effective / Partially Effective / Ineffective).

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Roles and Responsibilities (RACI – overview)

Role	Governance & Strategy	Daily Ops Risk	Weekly Review	Monthly Assurance	Escalation
Board	A	I	I	C	A
CEO	A	C	A	A	A
General Manager (GM)	C	A	A	A	A
Compliance Officer (CO)	C	R	R	A	R
GTO Coordinator / s (FOs)	I	R	R	C	R
Finance Officer	C	R	R	A (financial controls)	R
IT / Data Lead	C	R	R	C	R
RTO Liaison	C	R	R	C	R
All Staff	I	R (hazard/issue report)	C	C	I

R = Responsible, A = Accountable, C = Consulted, I = Informed

Daily Operational Risk Management Framework

Component	What happens daily	Owner	Inputs	Outputs / Records
Morning Risk Huddle (15 min)	Review new incidents, KRIs breaching thresholds, apprentice/host alerts, regulatory or media issues.	GM (chair), CO, FOs, Finance, IT	KRI dashboard, incident overnight log, Support/RTO updates	Huddle notes; same-day action list
KRI Dashboard Refresh	Update KRIs from systems (finance, WHS, apprentice support, host visits, training progress).	CO / Finance / IT	System extracts; site visit logs	Updated dashboard; flagged exceptions
Triage & Assignment	Classify items (incident/issue/risk); assign owners; set due dates.	CO	Huddle outputs	Triage board (Kanban); Risk Action tasks
Control Checks (Critical Controls)	Spot-check top controls (e.g., host supervision ratio, prohibited employer checks, ERA currency).	FOs / CO	Control library; sample list	Control effectiveness tick-sheet
Rapid Escalation	Trigger escalation if thresholds met (see matrix).	GM / CO	KRI breaches; severity	Escalation record; CEO alert if major
End-of-Day Reconciliation	Confirm actions closed or rolled; update Risk Register.	CO	Action list; updates	Risk Register entries; daily summary

Procedure Steps (Integrated Cadence)

Step	Action / Activity	Responsibility	Process Requirements	Records & Tools	Cadence/Target
1. Identify	Capture new risks/issues from huddles, site visits, audits, complaints, WHS, finance, IT.	All / CO	Use standard taxonomy (strategic, operational, financial, compliance, WHS, welfare).	Risk Intake Form	Daily
2. Assess	Score likelihood × impact; note velocity and detectability; assess control effectiveness.	CO / Owner	WTA 1–3 Matrix; velocity flag (Low/Med/High).	Risk Assessment Sheet	Within 1 business day
3. Treat	Define mitigations: avoid, reduce, transfer, accept; set due dates/owners.	Owner / CO	Prefer higher-order controls; document cost/benefit.	Risk Action Plan (Kanban)	Same day for High; 3 days for Med
4. Monitor	Track KRIs and control tests; verify progress; sample evidence.	CO / FOs / Finance	Use dashboard; 10% sampling for critical controls.	KRI Dashboard; Control Test Log	Daily/Weekly
5. Escalate	Trigger per matrix when thresholds hit or deadlines missed.	GM / CO	Notify CEO for Major or Regulatory; Board if reputational/strategic.	Escalation Matrix Log	Immediate (≤4 hrs major)
6. Review	Review open risks, overdue actions, and trend shifts.	GM (chair)	Include lessons learned and systemic fixes.	Weekly Risk Review Notes	Weekly
7. Assure	Independent checks: internal audit spot reviews; data integrity tests.	CO / Finance / IT	Rotate focus areas (finance, WHS, host, training).	Assurance Checklist; Audit Snippets	Monthly
8. Report	Summaries to CEO/Board; regulator reporting as required.	CO / GM / CEO	Align with SASC/DTET reporting obligations.	Monthly Risk Report; SASC/DTET returns	Monthly/As required
9. Improve	Feed outcomes to CI Register; update policies/procedures/training.	CO / GM	Validate closure effectiveness (30/60/90-day checks).	CI Register; Post-Implementation Review	Ongoing

KRI Library (Minimum Set & Thresholds)

Category	KRI	Threshold – Alert / Escalate	Source
Apprentice Welfare	Missed scheduled site visit	>1 missed/month per apprentice → Alert; >2 → Escalate	Contact Log
	Unresolved grievance >7 days	Alert; >14 days → Escalate	Grievance Register
Host Management	ERA out-of-date	>90 days → Alert; >120 days → Escalate	ERA Register
	Prohibited employer check pending	>48 hrs pending for active host → Escalate	Host Vetting Log
Training Progress	Units overdue vs plan	>2 units overdue → Alert; >4 → Escalate	RTO/NICS feed
WHS/Psychosocial	Notifiable incident	Immediate escalation	Incident Register
	Repeated bullying/SGBH case at same host (90 days)	≥2 cases → Escalate; consider host suspension	Case Register
Finance/Viability	Debtor days (host)	>45 days → Alert; >60 → Escalate	Finance System
Compliance	Overdue regulatory report	Any overdue → Escalate	Compliance Calendar
IT/Data	Backup failure	1 failure → Alert; 2 consecutive → Escalate	IT Logs

Escalation Matrix

Severity	Examples	Notify	Decision Window	Actions
Critical	Notifiable WHS incident; systemic SGBH/bullying; data breach; major media risk	CEO/Board Chair; Regulator (as required)	Immediate– 4 hrs	Incident command, external notifications, host suspension, legal counsel
High	Apprentice at risk; host non-compliance; repeated KRI breaches	CEO / GM	≤ 24 hrs	Rotate/withdraw apprentice; intensive audit; formal CAP
Medium	Single KRI breach; control gap; overdue action	GM / CO	≤ 3 days	Targeted remediation; extra monitoring
Low	Minor process deviation	CO	Weekly	Coaching; adjust SOP

CAP = Corrective Action Plan

Daily–Weekly–Monthly Controls (At-a-Glance)

Frequency	Control	Evidence
Daily	Morning huddle; KRI refresh; triage; critical control spot-checks	Huddle notes; dashboard snapshot; checklists
Weekly	Risk review meeting; overdue action chase; sample 10% files for evidence	Minutes; action tracker; sampling log
Monthly	Assurance theme review; trend analysis; Board-ready summary	Assurance report; trend charts; CEO pack
Quarterly	Policy/procedure tune-ups; training refresh; CI verification	Change log; training attendance; CI closeout
Annually	Enterprise risk assessment; appetite review; stress-test scenarios	ERA report; appetite statement; scenario deck

Integration Points (Link to Other Procedures)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- **WHS Procedure:** Notifiable incidents, inspections, and corrective actions flow into Risk Register and escalation.
- **Psychosocial Hazards Procedure:** KRI inputs (bullying/SGBH, workload, isolation) and control verification.
- **Host Onboarding/Monitoring & Prohibited Employer Management:** Vetting, ERA currency, supervision ratios as critical controls.
- **Training & Development:** Training plan slippage KRIs; rotation decisions as risk treatments.
- **Managing Suspension & Economic Impact:** Economic triggers feed risk huddles and redeployment pathways.
- **Records Management & Reporting to SASC/DTET:** Compliance calendar feeds reporting KRIs and assurance checks.

Records and Documentation

- **Risk Register** (master); **Risk Action Plan** (Kanban); **KRI Dashboard** (daily); **Assurance Checklists**; **Escalation Log**; **Management Minutes**; **CI Register**.
- Storage: **SharePoint → Governance & Risk**. Retention ≥ **7 years**. Access restricted to CEO/GM/CO and authorised staff.

Training and Awareness

- Induction plus **annual** refresher on risk process, KRIs, escalation, and evidence standards.
- Targeted micro-training after audit or incident findings (finance controls, host vetting, WHS notifiable criteria, psychosocial controls).

WTA Risk Assessment Matrix

Likelihood / Impact	Low (1)	Medium (2)	High (3)
Rare (1)	Low	Medium	High
Occasional (2)	Low	Medium	High
Likely (3)	Medium	High	High

WTA Risk Assessment Matrix:

Interpretation:

- **Low:** Risks with low likelihood and low impact may require minimal attention, but ongoing monitoring is recommended.
- **Medium:** Risks with moderate likelihood and/or impact should be addressed through mitigation measures, and continuous monitoring is important.
- **High:** Risks with high likelihood and/or impact require immediate attention, thorough mitigation strategies, and active monitoring.

This is a basic example of our organisation's risk tolerance and assessment methodology. The matrix helps in visually categorising risks and deciding which risks need more focused mitigation efforts.

Review and Continuous Improvement

- **Quarterly** trend analysis (KRI movement, control effectiveness, near-miss learning).
- **30/60/90-day** post-implementation reviews for major treatments.
- Annual **risk appetite** and **scenario stress-testing** (e.g., host collapse, funding change, media event, RTO disruption).
- All improvements logged in **CI Register** and presented to the Governance & Compliance Committee.

Applicable Standards and Regulatory Frameworks

- South Australian Skills Act 2008; Skills Regulations 2021
- National Standards for Group Training Organisations (2022)
- DTET Standards for Group Training Organisations (2025)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

-
- Fair Work Act 2009 (Cth)
 - Work Health and Safety Act 2011 (Qld); Work Health and Safety Act 2012 (SA)
 - Workers' Compensation and Rehabilitation Act 2003 (Qld)
 - Privacy Act 1988 (Cth)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedural Flow Table – Risk Management (Strategic)

Step	Action / Procedure	Responsible Role	Tools / Documents Used	Timeframe / Frequency	Outputs / Records
1. Risk Identification	Review WTA Business Plan, SWOT analysis, and operational reports to identify strategic, financial, and operational risks.	GTO Coordinator	Business Plan, SWOT Analysis Template, Risk Register	Quarterly or as needed	Updated Risk Register
2. Risk Categorisation	Classify risks under categories: Strategic, Operational, Financial, External, Compliance, and Safety.	GTO Coordinator / General Manager	Risk Categorisation Template	At identification stage	Categorised Risk Log
3. Risk Assessment	Assess likelihood and impact using the Risk Assessment Matrix. Assign a risk score and determine priority (Low, Medium, High).	GTO Coordinator / Management Team	Risk Matrix, Assessment Form	Upon identification	Risk Assessment Report
4. Develop Mitigation Strategies	Design mitigation measures for medium and high risks. Assign responsible staff and set target completion dates.	GTO Coordinator / Relevant Staff	Risk Action Plan	Within 5 working days of assessment	Risk Action Plan
5. Implementation of Controls	Apply approved mitigation strategies and monitor their initial impact.	Assigned Staff / Department Heads	Implementation Checklist	Ongoing	Mitigation Implementation Record
6. Monitoring and Review	Review all open risks at monthly management meetings. Update register with progress, outcomes, and any new risks.	GTO Coordinator / General Manager	Risk Register, Meeting Minutes	Monthly	Updated Risk Register and Review Summary
7. Communication and Reporting	Communicate key risks and mitigation outcomes to management, staff, and regulators as required.	General Manager / CEO	Communications Log, Board Reports	As required	Communication Records
8. Documentation and Record Keeping	Store all risk documentation in SharePoint under the Risk Management Account. Complete compliance checklist for each risk review.	GTO Coordinator	SharePoint, Compliance Checklist	Ongoing	Stored Records and Checklists

Document name	WTA Procedure Manual			
Version number	4	Review date	September 2026	

9. Contingency Planning	Develop and maintain contingency and emergency response plans for high-level risks.	General Manager / GTO Coordinator	Contingency Plan Template	Annual review or post-incident	Updated Contingency Plan
10. Training and Preparedness	Deliver annual staff training on risk management and incident response procedures.	HR / General Manager	Risk Training Program	Annual	Training Records
11. Review and Continuous Improvement	Conduct post-event reviews or annual evaluations of the Risk Management Plan. Integrate lessons learned into future risk processes.	General Manager / Management Team	Continuous Improvement Register	Annual or Post-Event	Updated Risk Management Plan

Storage and Record Control

All documents related to this procedure are to be:

- Created and maintained in SharePoint – Risk Management Account.
- Retained for a minimum of seven (7) years.
- Reviewed and updated annually or following a major incident, audit, or legislative change.

Document name	WTA Procedure Manual			
Version number	4	Review date	September 2026	

Quality Assurance and Internal Audit Procedure

Purpose

Ensure WetTrade Apprenticeships (WTA) maintains a structured, compliant, and auditable internal quality assurance (QA) and audit system to meet the *South Australian GTO Standards (2025)*, *National Standards for Group Training Organisations (NSGTO)*, and *DTET GTO Standards (2025)*.

This procedure ensures that all governance, training, welfare, and host management activities are systematically reviewed, verified, and improved.

Scope

Applies to all areas of WTA operations, including governance, apprentice and host employer management, training coordination, safety, welfare, and record keeping.

Covers internal audits, self-assessments, quality assurance checks, and reporting to management and regulatory authorities.

Objectives

- Maintain a biannual internal audit schedule aligned with the **DTET Self-Assessment Tool**.
- Assess compliance across **SA GTO Standards 1–7** and National GTO governance requirements.
- Identify and record findings, non-compliance, and improvement opportunities.
- Track corrective and preventive actions to completion.
- Provide transparent reporting to the **Board** through quarterly QA summaries.
- Promote a continuous improvement culture across all functions of the organisation.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves internal audit findings and ensures organisational compliance with all GTO standards.
General Manager (GM)	Reviews and approves corrective actions; ensures audit outcomes are addressed promptly.
Compliance Officer	Coordinates audits, manages the QA schedule, conducts audits, records findings, and reports outcomes to management and the Board.
Administration Officer	Files all QA reports, maintains records in SharePoint, and updates the Continuous Improvement Register.
Board of Directors	Receives quarterly QA reports, reviews audit trends, and oversees governance responses to compliance issues.

Document name	WTA Procedure Manual	
Version number	4	Review date

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Establish QA Schedule	Develop annual QA and audit calendar.	Compliance Officer	Align with DTET Self-Assessment Tool and SA GTO Standards (1–7); schedule biannual audits (June and December).	QA Schedule; Governance Calendar	Annually
2. Audit Planning	Define scope, criteria, and tools for each audit cycle.	Compliance Officer	Include governance, host management, apprentice welfare, and training compliance. Identify relevant evidence and documentation.	Audit Plan Template	Prior to each audit
3. Conduct Internal Audit	Review processes and collect evidence.	Compliance Officer	Assess each SA GTO Standard using checklists; interview staff; review records; verify compliance with DTET and National Standards.	Audit Checklist; Evidence File	Twice yearly
4. Identify Findings	Record non-conformances, risks, and improvement opportunities.	Compliance Officer	Classify findings as <i>Non-Compliance</i> , <i>Observation</i> , or <i>Improvement Opportunity</i> . Prioritise by risk level.	Internal Audit Report Template	Within 5 business days of audit
5. Approve Corrective Actions	Review audit outcomes and approve required actions.	GM / CEO	Approve all corrective and preventive actions; assign responsibility and timeframe.	Corrective Action Log; CI Register	Within 10 business days of audit
6. Implement Corrective Actions	Address and document each action item.	Responsible Officer	Implement remedial measures and provide evidence of completion.	Action Plan; Evidence Folder	Within 30 business days
7. Record and Track Progress	Maintain audit records and follow-up status.	Compliance Officer	Enter all findings, progress, and completion notes into Continuous Improvement Register.	CI Register; Audit Dashboard	Ongoing
8. Reporting to the Board	Summarise outcomes and present QA report.	Compliance Officer / GM	Provide quarterly QA summary to the Board; highlight major issues, corrective actions, and improvements.	QA Summary Report; Board Minutes	Quarterly
9. Review and Update	Evaluate QA procedure effectiveness.	Compliance Officer / GM	Review outcomes annually; refine tools, templates, and schedules based on lessons learned.	Governance & Compliance Register	Annually

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Audit Criteria

Audits must verify compliance across all SA and National GTO Standards:

1. **Governance and Registration** – management accountability, documentation, reporting.
2. **Legal and Ethical Compliance** – industrial relations, safety, and ethical practices.
3. **Apprentice Support** – welfare, mentoring, and training progress monitoring.
4. **Host Employer Management** – agreements, supervision, workplace safety.
5. **Governance and Administration** – documentation, data management, and privacy.
6. **Complaints and Appeals** – transparency, fairness, and record keeping.
7. **Continuous Improvement** – review cycles, audit responses, and corrective action evidence.

Evidence Storage

- All internal audit documentation, reports, and corrective action evidence must be stored in SharePoint → Governance → Quality Assurance.
- Maintain version control and access restrictions to authorised users (CEO, GM, Compliance Officer).
- Audit findings and responses must also be entered into the Continuous Improvement Register.
- Retain all records for 7 years in accordance with the *Privacy Act 1988 (Cth)* and *Archives Act 1983 (Cth)*.

Follow-Up and Verification

- Compliance Officer verifies completion of corrective actions within 30 business days.
- Escalate unresolved or overdue actions to the GM and Board.
- Effectiveness of each action is reassessed during the next audit cycle.
- Persistent or high-risk findings are logged for review under the Continuous Improvement Policy.

Review

This procedure will be reviewed annually or following:

- A compliance breach or audit finding,
- Legislative or regulatory changes, or
- Updates to SA, National, or DTET GTO Standards.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 5.1 – Governance, Compliance and Reporting
- Standard 7 – Continuous Improvement and Reporting

National Standards for Group Training Organisations

- Standard 1 – Governance
- Standard 3 – Apprentice and Host Employer Support
- Standard 5 – Governance and Administration
- Standard 7 – Continuous Improvement and Reporting

DTET GTO Standards (2025)

- Clause 4.1 – Monitoring and Support
- Clause 5.1 – Governance, Oversight and Quality Assurance
- Clause 7.1 – Continuous Improvement and Self-Assessment

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Legislation and Regulations

- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Vocational Education, Training and Employment Act 2000 (QLD)*
- *Fair Work Act 2009 (Cth)*
- *Privacy Act 1988 (Cth)*
- *Archives Act 1983 (Cth)*

Supporting Tools and Codes

- DTET Self-Assessment Tool (2025)
- SA Skills Commission GTO Compliance Framework
- National GTO Standards Implementation Guide (AITSL 2024)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Internal Process Improvement Procedure

Purpose

This procedure outlines the process WetTrade Apprenticeships (WTA) follows to systematically review, evaluate, and improve its internal operations, governance, and service delivery functions. It ensures that WTA maintains compliance with the South Australian GTO Standards, National Standards for Group Training Organisations, and the Department of Training, Employment and Skills (DTET) GTO Standards. The procedure provides a framework for identifying opportunities for improvement, managing non-compliance, and ensuring continuous organisational development.

Scope

This procedure applies to:

- All WTA staff, including management, coordinators, mentors, and administrative personnel.
- All internal systems, processes, and documentation related to GTO operations.
- Reviews undertaken as part of WTA's continuous improvement framework, compliance obligations, and quality assurance systems.

Procedural Overview

This procedure ensures:

- Scheduled internal reviews are conducted in accordance with regulatory and organisational requirements.
- Reviews are evidence-based and incorporate feedback from apprentices, host employers, and staff.
- Findings and recommendations lead to documented improvements.
- All outcomes are recorded, monitored, and reviewed for effectiveness.

1. Schedule and Planning of Internal Reviews

Objective: Establish a structured timeline for internal reviews to ensure ongoing compliance and continuous improvement.

Steps:

1.1 The GTO Coordinator develops an *Internal Review Schedule* at the start of each operational year.

1.2 Reviews occur:

- Every six (6) months during the organisation's first year of operation.
- Annually thereafter, or more frequently if required due to regulatory changes, identified risks, or audit outcomes.

1.3 The schedule must be approved by the General Manager and recorded in the *Continuous Improvement Register*.

Output: Approved Internal Review Schedule.

2. Preparation and Scope of Review

Objective: Define the focus, objectives, and methodology of the review.

Steps:

2.1 The GTO Coordinator identifies review areas based on:

- Strategic priorities.
- Compliance requirements.
- Feedback from apprentices, host employers, and staff.
- Findings from previous audits or reviews.

2.2 A *Review Plan* is prepared, including:

- Purpose and objectives.
- Scope and processes to be reviewed.
- Responsible personnel.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Timeframes and resources required.

2.3 The Review Plan is submitted to management for approval prior to commencement.

Output: Approved Review Plan stored in the *Improvement Reports Folder*.

3. Conducting the Review

Objective: Gather evidence and evaluate the effectiveness and compliance of organisational systems and processes.

Steps:

3.1 The GTO Coordinator forms a review team consisting of relevant staff and, where appropriate, input from NICS trainers.

3.2 Evidence is collected through:

- Staff and apprentice interviews.
- Host employer consultations.
- Surveys and feedback forms.
- Observation of process activities.
- Review of documentation and apprentice files.

3.3 The review evaluates:

- Effectiveness, efficiency, and compliance of systems and tools.
- Alignment of practices to policy and regulatory standards.
- Consistency of documentation and data management.

3.4 Findings are cross-referenced with relevant GTO Standards and regulatory requirements.

Output: Completed evidence log and review findings summary.

4. Documentation and Reporting

Objective: Produce a detailed report outlining findings, recommendations, and improvement priorities.

Steps:

4.1 The GTO Coordinator documents findings using the *DTET Self-Assessment Tool*.

4.2 The report must include:

- Summary of compliance and non-compliance areas.
- Identified strengths and opportunities for improvement.
- Actionable recommendations with assigned priorities.
- Supporting evidence and monitoring requirements.

4.3 The final report is submitted to management for review and approval.

Output: Approved Internal Review Report.

5. Approval and Implementation of Actions

Objective: Ensure identified improvement actions are endorsed and effectively implemented.

Steps:

5.1 The Management Team reviews the report at the next scheduled Management Meeting.

5.2 The team confirms findings, approves recommendations, and determines rectification actions.

5.3 The GTO Coordinator develops an *Action Plan* outlining:

- Tasks and responsibilities.
- Implementation timeframes.
- Performance measures and success indicators.
- Monitoring and reporting arrangements.

Output: Approved Action Plan.

6. Rectification and Continuous Improvement

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Objective: Address non-compliance and ensure all improvement actions are completed and effective.

Steps:

- 6.1 The GTO Coordinator collaborates with relevant stakeholders to implement corrective actions.
- 6.2 Administration staff monitor completion and update the *Continuous Improvement Register*.
- 6.3 Where improvements involve procedural or policy updates, the revised documents are approved and uploaded to SharePoint.
- 6.4 Staff are notified of updates within five (5) business days.

Output: Updated procedures and documented confirmation of rectification.

7. Follow-up Review and Verification

Objective: Confirm that all corrective actions have been completed and are achieving desired outcomes.

Steps:

- 7.1 The GTO Coordinator schedules a follow-up review.
- 7.2 The review team verifies that all improvements are fully implemented and effective.
- 7.3 Administration completes the *GTO Compliance Checklist* to confirm closure of outstanding actions.
- 7.4 Results are submitted to management for approval and logged in the Improvement Reports Folder.

Output: Completed Compliance Checklist and Follow-Up Review Report.

8. Documentation and Record Keeping

Objective: Maintain accurate, accessible, and secure records of all improvement activities.

Steps:

- 8.1 The GTO Coordinator submits all review and improvement documentation to Administration.
- 8.2 Administration files all documents in the *Improvement Reports Folder* under SharePoint.
- 8.3 All records must be retained for a minimum of seven (7) years and be available for audit or review.

Output: Securely stored and indexed improvement documentation.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Ensure continuous improvement aligns with strategic goals and GTO standards.
General Manager	Approve review schedules, reports, and action plans; oversee implementation and compliance.
GTO Coordinator	Lead the internal review process, document findings, develop improvement actions, and coordinate follow-up.
Administration Officer	Maintain records, track compliance status, and complete checklists.
Staff and Stakeholders	Participate in reviews, provide feedback, and support improvement initiatives.

Records and Documentation

- Internal Review Schedule
- Review Plan and Report
- DTET Self-Assessment Tool
- Action Plan
- GTO Compliance Checklist
- Continuous Improvement Register
- Improvement Reports Folder

All records are to be stored in SharePoint for a minimum of seven (7) years.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Applicable Standards and Regulatory Frameworks

- South Australian Skills Act 2008
- South Australian Skills Regulations 2021
- National Standards for Group Training Organisations (2022)
- DTET Standards for Group Training Organisations (2025)
- Fair Work Act 2009 (Cth)
- Privacy Act 1988 (Cth)
- Work Health and Safety Act 2011 (Qld)
- Work Health and Safety Act 2012 (SA)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedural Flow Table – Internal Process Improvement

Step	Action / Procedure	Responsible Role	Tools / Documents Used	Timeframe / Frequency	Outputs / Records
1. Establish Internal Review Schedule	Develop annual schedule of internal reviews in line with compliance requirements.	GTO Coordinator	Internal Review Schedule Template	Six-monthly in first year; annually thereafter	Approved Internal Review Schedule
2. Define Scope and Objectives	Identify key processes to review based on risk, relevance, and feedback from apprentices, host employers, and staff.	GTO Coordinator	Review Plan Template	Prior to each review	Approved Review Plan
3. Obtain Management Approval	Present review plan for approval before proceeding.	General Manager	Review Plan	Within 5 business days of preparation	Management Approval Record
4. Conduct Review and Data Collection	Gather and analyse evidence via interviews, surveys, observation, document analysis, and compliance review.	GTO Coordinator / Review Team	Evidence Log, Surveys, DTET Self-Assessment Tool	As per Review Plan	Completed Evidence Log
5. Evaluate Compliance and Effectiveness	Assess system performance against GTO Standards, legislation, and internal policies. Identify strengths, weaknesses, and areas for improvement.	GTO Coordinator	DTET Self-Assessment Tool	During review	Evaluation Summary
6. Document Findings and Prepare Report	Compile findings and develop clear recommendations with priority rankings and supporting evidence.	GTO Coordinator	Review Report Template	Within 10 business days of review completion	Internal Review Report
7. Management Review and Approval	Review and approve report, confirming actions required for rectification and improvement.	Management Team	Review Report	At next scheduled Management Meeting	Approved Action Plan
8. Implement Rectification and Improvement Actions	Collaborate with relevant staff and stakeholders to execute approved actions. Define responsibilities, timelines, and success measures.	GTO Coordinator / Department Heads	Action Plan Template	Within agreed timeframes	Updated Continuous Improvement Register
9. Monitor and Track Progress	Monitor implementation progress, update improvement register, and provide regular updates to management.	Administration / GTO Coordinator	Continuous Improvement Register	Ongoing	Updated Register and Monitoring Notes

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

10. Conduct Follow-Up Review	Verify completion and effectiveness of rectifications and improvements.	GTO Coordinator	Follow-Up Review Template	Within 3 months of initial report	Follow-Up Review Report
11. Complete Compliance Check	Confirm outcomes using GTO Compliance Checklist; identify any remaining issues or further actions required.	Administration Officer	GTO Compliance Checklist	Post-review	Completed Compliance Checklist
12. Management Review and Final Approval	Review follow-up findings and close out completed actions.	Management Team	Compliance Checklist, Follow-Up Report	At next Management Meeting	Approved Closure Report
13. Record Keeping	Save all review documentation, reports, and checklists in the Improvement Reports Folder (SharePoint).	Administration Officer	SharePoint – Improvement Reports Folder	Ongoing	Archived and Indexed Files

Storage and Record Control

- All documentation must be stored electronically in **SharePoint – Improvement Reports Folder**.
- Naming convention must include the **type of review (Initial/Follow-Up)** and **date** (e.g., *InternalReview_FollowUp_March2025*).
- Records must be retained for a **minimum of seven (7) years** and be made available for internal audits and external regulatory reviews.

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

Environmental Sustainability Procedure

Purpose

This procedure outlines the practices and responsibilities that ensure WetTrade Apprenticeships (WTA) operates in an environmentally sustainable manner.

It establishes requirements for responsible energy use, waste reduction, recycling, and compliance with site environmental controls in alignment with:

- **SA GTO Standard 4 – Workplace Health, Safety and Environmental Management**
- **National Standard 5 – Governance and Administration**
- **DTET GTO Standards (2025) –** Clauses on Environmental Sustainability and Site Compliance

The procedure supports WTA’s commitment to minimising environmental impact, meeting emerging sustainability obligations, and embedding environmental responsibility into daily operations.

Scope

This procedure applies to:

- All WTA offices, training sites, vehicles, and hosted worksites.
- All employees, contractors, apprentices, and host employers.
- Activities including training delivery, administrative operations, and construction or painting works.

Objectives

- Reduce energy consumption and promote renewable or low-impact alternatives.
- Manage waste through reduction, re-use, and recycling practices.
- Ensure compliance with all relevant environmental legislation and site controls.
- Foster environmental awareness among apprentices and host employers.
- Contribute to state and national sustainability targets set by DTET and other regulators.

Environmental Management Practices

Energy and Resource Efficiency

Responsible: General Manager / All Staff

- Turn off lights, air conditioning, and electrical equipment when not in use.
- Implement motion sensors or timers where feasible.
- Use energy-efficient lighting, tools, and equipment.
- Preference renewable energy suppliers for WTA sites where available.
- Minimise vehicle use by planning site visits efficiently and encouraging carpooling.
- Encourage paperless operations using digital forms and records.

Records: Utility Bills; Energy Efficiency Log; Site Maintenance Reports

Waste Management and Recycling

Responsible: GTO Coordinator / Compliance Officer / Host Employer

- Implement the waste hierarchy: **Avoid → Reduce → Reuse → Recycle → Dispose.**
- Provide separate bins for:
 - General waste
 - Recyclables (paper, cardboard, plastic, glass, metal)
 - Construction waste (timber, paint cans, plaster, offcuts)
- Prohibit the disposal of hazardous materials (e.g., paint thinners, solvents, oils) in general waste.
- Ensure paint and chemical waste is managed under **EPA and local council regulations.**
- Keep disposal receipts for regulated waste and maintain the **Waste Disposal Register.**

Records: Waste Disposal Register; Recycling Log; EPA Compliance Certificates

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Hazardous Substances and Environmental Controls

Responsible: Compliance Officer / Host Employer

- Follow all site-specific Environmental Management Plans (EMPs).
- Store hazardous materials in bunded areas with appropriate signage.
- Maintain **Safety Data Sheets (SDS)** for all chemicals and ensure apprentices are trained in safe handling.
- Report spills immediately and complete a **Spill Response Record**.
- Conduct quarterly environmental audits to verify compliance with EPA and WHS legislation.

Records: Chemical Register; Spill Reports; Environmental Audit Checklist

Sustainable Procurement

Responsible: Finance Officer / General Manager

- Source products and services from suppliers with sustainable practices (e.g., recycled or low-VOC materials).
- Avoid single-use plastics and encourage bulk purchasing to reduce packaging waste.
- Use locally sourced materials to minimise transport emissions.
- Evaluate suppliers annually for environmental performance where applicable.

Records: Supplier Evaluation Register; Purchase Orders; Sustainability Audit Notes

Environmental Training and Awareness

Responsible: GTO Coordinator / Mentor

- Include environmental sustainability awareness in apprentice inductions and toolbox talks.
- Provide training on:
 - Responsible waste management
 - Energy-saving techniques
 - Environmental hazard identification
 - Site environmental compliance
- Display sustainability guidelines at WTA sites and host workplaces.

Records: Training Attendance Sheet; Toolbox Talk Register

Monitoring and Reporting

Responsible: Compliance Officer / GM

- Review energy and water use data quarterly to identify trends and opportunities for improvement.
- Record sustainability KPIs such as:
 - Energy consumption reduction percentage
 - Waste diversion rate (from landfill)
 - Compliance rate with environmental controls
- Include results in the **Quarterly Compliance and Sustainability Report**.
- Report significant environmental incidents to relevant regulators (e.g., DTET, EPA).

Records: Sustainability Report; Audit Findings; Continuous Improvement Register

Non-Compliance and Corrective Action

Responsible: General Manager / Compliance Officer

- Record environmental non-compliance in the **Incident Register**.
- Investigate root causes and develop corrective actions (e.g., retraining, procedural updates).
- Monitor implementation of corrective actions through follow-up inspections.
- Escalate serious breaches to the CEO and relevant authority (DTET or EPA).

Records: Incident Report; Corrective Action Log; Notification Record

Continuous Improvement

- Environmental performance data will be reviewed quarterly and incorporated into the **Continuous Improvement Register**.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Lessons from incidents, audits, or feedback will inform policy and procedure updates.
- Sustainability targets will be revised annually to align with DTET and national frameworks.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Endorses sustainability commitments and ensures adequate resources for environmental management.
General Manager (GM)	Oversees environmental performance, approves sustainability reports, and reviews compliance outcomes.
Compliance Officer	Monitors environmental compliance, maintains waste and energy records, and conducts audits.
GTO Coordinator / Mentor	Promotes sustainable practices during site visits, ensures host compliance, and records observations.
Host Employers	Implement on-site environmental controls and ensure apprentices follow sustainable practices.
All Employees and Apprentices	Follow WTA's environmental guidelines, report hazards or waste issues, and participate in sustainability training.

Records Management

All records relating to energy use, waste management, and environmental compliance must be securely stored in the **Environmental Management Folder** within WTA's Governance and Compliance system.

Retention period: **seven (7) years**.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 4 – Workplace Health, Safety and Environmental Management
- Standard 5 – Governance, Compliance and Reporting

National Standards for Group Training Organisations

- Standard 3 – Apprentice and Host Employer Support
- Standard 5 – Governance and Administration

DTET GTO Standards (Queensland, 2025)

- Clause 4.1 – Workplace Safety and Environmental Management
- Clause 4.3 – Host Employer Compliance
- Clause 5.1 – Governance and Reporting

Legislation and Supporting Frameworks

- *Environment Protection Act 1994 (Qld)*
- *Environment Protection Act 1993 (SA)*
- *Waste Reduction and Recycling Act 2011 (Qld)*
- *National Greenhouse and Energy Reporting Act 2007 (Cth)*
- *Work Health and Safety Act 2011 (Qld)*
- *Work Health and Safety Act 2012 (SA)*
- *Australian Standard AS/NZS ISO 14001:2016 – Environmental Management Systems*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Records, Systems and Data Management

Records Management Procedure

Purpose

Ensure that WetTrade Apprenticeships (WTA) manages all organisational records—including apprentice, host employer, and governance documentation—in accordance with the South Australian GTO Standards (2025), National GTO Standards, DTET Data Management Requirements (2025), and AS ISO 15489: Records Management.

This procedure establishes consistent practices for record creation, retention, access, archiving, and disposal to maintain integrity, transparency, and compliance with the Privacy Act 1988 (Cth).

Scope

Applies to all digital and physical records created, received, or maintained by WTA in the conduct of business operations.

This includes:

- Apprentice and trainee records
- Host employer agreements and compliance reports
- WHS documentation and incident reports
- HR, payroll, and staff records
- Governance and audit documentation

Covers all employees, contractors, and authorised stakeholders who create, manage, or access records.

Objectives

- Maintain accurate, complete, and secure records for a minimum of **seven (7) years**.
- Ensure records are accessible only to authorised personnel based on defined **role-based permissions**.
- Digitise all physical records within **10 business days** of receipt.
- Archive inactive records systematically and destroy them securely post-retention.
- Manage and report data breaches promptly to protect confidentiality and meet statutory obligations.
- Maintain compliance with **AS ISO 15489: Records Management** and related legislation.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves recordkeeping framework and data breach reports; ensures adequate systems and resources.
General Manager (GM)	Reviews compliance reports; approves archiving and destruction of records; oversees system integrity.
Compliance Officer	Maintains the Records Management System, Records Access Register, Data Disposal Register, and Archive Register; ensures retention compliance and conducts reviews.
Administration Officer	Uploads, digitises, and files all records in SharePoint within required timeframes; manages file naming conventions and version control.
All Staff	Handle information in line with privacy, retention, and access control procedures; report any potential data breaches immediately.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Record Creation	Create and classify records accurately when received or generated.	All Staff	Identify correct category (Apprentice, Host, HR, Governance). Include date, author, and version.	Records Management System (SharePoint)	Ongoing
2. Digitisation of Hard Copy Records	Scan and upload physical records.	Administration Officer	Digitise within 10 business days ; confirm legibility; apply naming convention and metadata (date, type, author).	SharePoint Upload Log	Within 10 business days
3. Access Control	Restrict access based on user roles.	Compliance Officer	Apply role-based permissions; enable version control and audit trail for modifications.	Records Access Register	Ongoing
4. Retention Management	Maintain all records for minimum seven (7) years from creation or completion.	Compliance Officer	Refer to approved retention schedule for each record type (below).	Retention Schedule Register	Ongoing
5. Archiving	Archive inactive or closed files.	Administration Officer / GM	Review records annually; move to Archive Register with unique reference ID.	Archive Register	Annually
6. Secure Disposal	Dispose of records after retention period.	Compliance Officer / CEO	Approve disposal; ensure permanent deletion (digital) or accredited shredding (physical). Record all actions.	Data Disposal Register	Post 7-year retention
7. Data Breach Management	Report and respond to data breaches immediately.	All Staff / Compliance Officer	Contain breach, assess risk, notify CEO within 24 hours; report to OAIC if serious harm likely.	Data Breach Log; Incident Report	Within 24 hours
8. Review and Training	Conduct staff training and procedural review.	GM / Compliance Officer	Deliver annual training session on records and privacy compliance.	Training Register; Review Report	Annually

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Record Retention Schedule

Record Type	Minimum Retention Period	Reference
Apprentice and Host Employer Records	7 years post completion	SA GTO Standard 5; Skills Regulations 2021
Training Contracts and Plans	7 years	SA Skills Act 2008
WHS and Incident Reports	7 years	WHS Act 2012 (SA); WHS Act 2011 (Qld)
Payroll and HR Records	7 years	Fair Work Act 2009 (Cth)
Financial and Governance Records	7 years	Corporations Act 2001 (Cth)
Welfare and Pastoral Care Notes	7 years or until no longer required	Privacy Act 1988 (Cth)
Audit and Compliance Reports	7 years	SA GTO Standard 7

Registers Maintained

1. **Records Access Register** – Records all users with permission to view or modify data.
2. **Archive Register** – Lists archived files, date archived, and retrieval status.
3. **Data Disposal Register** – Records all records destroyed or deleted, including authorisation details.
4. **Data Breach Log** – Records incidents, corrective actions, and notifications sent to the OAIC.

Data Breach Process

- **Identify:** Staff must immediately report suspected breaches to the Compliance Officer.
- **Contain:** Restrict further access and secure affected systems.
- **Assess:** Evaluate risk level and determine if personal data was compromised.
- **Notify:** Inform CEO within **24 hours**; if serious harm is likely, report to the **Office of the Australian Information Commissioner (OAIC)** and affected individuals.
- **Review:** Conduct internal review; document findings in the Continuous Improvement Register.

Review

This procedure must be reviewed annually or upon:

- Legislative changes to privacy or records management requirements, or
- Updates to SA GTO, National GTO, or DTET Standards.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 5 – Governance, Compliance and Reporting
- Standard 7 – Continuous Improvement and Reporting

National Standards for Group Training Organisations

- Standard 1 – Governance
- Standard 5 – Governance and Administration
- Standard 7 – Continuous Improvement

DTET GTO Standards (2025)

- Clause 2.1 – Data and Records Management
- Clause 5.1 – Governance and Oversight
- Clause 7.1 – Continuous Improvement

Legislation and Codes

- *Privacy Act 1988 (Cth)* and Australian Privacy Principles (APPs)
- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Fair Work Act 2009 (Cth)*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

-
- *Work Health and Safety Act 2012 (SA)*
 - *Archives Act 1983 (Cth)*
 - *AS ISO 15489: Records Management*

Supporting Registers and Tools

- Records Access Register
- Archive Register
- Data Disposal Register
- Data Breach Log
- Continuous Improvement Register

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Documentation and Record Keeping Procedure

Record Keeping, Privacy, and Information Governance Procedure

1. Purpose

Operational procedure to create, capture, secure, retain, disclose, and dispose of WTA records in line with SA GTO Standards, National GTO Standards, and DTET requirements.

2. Scope

Applies to all WTA staff, apprentices, host employers, contractors, and third parties handling WTA information (digital and physical) across SA and QLD.

3. Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approve framework changes and high-risk disclosures; ensure resources and systems for compliance.
Compliance Officer	Own procedure, privacy lead; maintain mandatory registers; approve access/disclosure/destruction; run audits and training; lead breach response.
GTO Coordinator /	Create and lodge accurate records (visits, welfare, supervision, rotations, performance); use templates/metadata; submit within timeframes.
Administration	File integrity; digitise, archive, retrieve; update registers; manage secure transfers to regulators.
All Staff and Apprentices	Use approved systems; protect confidentiality; follow security controls; report incidents immediately.
Host Employers	Provide timely evidence; safeguard shared data; cooperate with audits, monitoring, and regulator requests.

4. Authoritative Systems and Controls

Area	Minimum control
System of record	SharePoint (master repository) with role-based access and MFA. Linked systems: LMS, HRIS, Finance (source data remains in those systems; documents and links stored in SharePoint).
Approved templates	Use only templates from SharePoint/Templates. No local off-system versions.
Mandatory metadata	Title; record type; apprentice ID (if applicable); host ID (if applicable); region (SA/QLD); owner; date; related register; confidentiality level; retention trigger date; retention category.
Naming convention	[RecordType][ApprenticeID/HostID/Project][YYYYMMDD]_[ShortDescriptor]_vX.Y
Version control	Save as new version with change note; approvals recorded in Governance & Compliance Register.
Filing timeframes	Create/file within 2 business days of the event; digitise physical records within 10 business days.
Retrieval timeframes	Internal retrieval within 2 business days; regulator requests within 10 business days (or prescribed).

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

5. Core Process (Create → File → Link → Approve → Retrieve)

Step	Action	Owner	Evidence
5.1 Create	Select approved template; draft record.	Staff	Document created.
5.2 Classify	Complete mandatory metadata; apply naming convention.	Staff	SharePoint properties and filename.
5.3 File	Save to correct SharePoint library/folder (by function and year).	Staff	File path.
5.4 Link	Insert document link into the relevant register row.	Staff/Admin	Register entry updated.
5.5 Approve (if required)	Route for approval; record decision and date.	Staff/Approver	Governance & Compliance Register note.
5.6 Store physical	If paper is received, scan and file; store originals locked until disposal/return.	Admin	Scan date; box index.

6. Process-Specific Filing Map

Process area	Examples	Required register(s)
Governance & compliance	Board minutes, internal audits, self-assessments, CI actions	Governance & Compliance; Continuous Improvement
Apprentice lifecycle	Induction, probation, RPL, training plans, monitoring, welfare notes, performance improvement, rotation/transfer, completion	Apprentice; Welfare & Pastoral Care; Performance Improvement; Rotation/Transfer & Substitution; Training Contract & Training Plan
Host employer	Due diligence, Prohibited Employer checks (SA), supervision verification, site visits/WHS inspections, agreements	Host Employer; Prohibited Employer Check (SA); Workplace Inspection & Visit; Supervision & Ratio Check
WHS and wellbeing	Hazards, incidents, investigations, corrective actions, workers' comp, RTW	WHS Incident & Hazard
HR & payroll	Employment/clearances, licences/tickets, leave	HR/Payroll
Finance & grants	Invoices, payroll proofs, subsidy/grant claims and evidence	Finance
Marketing & ethics	Approved artefacts, consents, complaints about marketing	Governance & Compliance
Disclosures & privacy	Regulator/third-party disclosures; APP access/correction requests	Record Access & Disclosure

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

7. Access, Retrieval, and Disclosure

Scenario	Action	Owner	Timeframe	Evidence
Internal access	Search by metadata; request elevated access if restricted.	Staff/Compliance	2 business days	Access log (system).
Regulator request (SA Skills/DTET/other)	Verify authority/scope; collate; redact non-required personal data; transfer securely; log.	Compliance/Admin	10 business days (or prescribed)	Record Access & Disclosure Register; transmission receipt.
Privacy access/correction (APP 12/13)	Acknowledge, verify identity, assess and action; record outcome.	Compliance	Acknowledge 5 business days; action ≤30 days	Record Access & Disclosure Register.

8. Mandatory Registers (minimum fields)

Register	Minimum fields
Apprentice Register	Apprentice ID, name, trade, region, start date, status, current host, training plan link.
Host Employer Register	Host ID, ABN, contact, scope, approval date, agreement link, WHS status.
Prohibited Employer Check (SA)	Host ID, check date, checker, outcome, evidence link, next due.
Workplace Inspection & Visit Register	Date, site, apprentice/host IDs, purpose, findings, actions, follow-up date, doc link.
WHS Incident & Hazard Register	Date/time, site, event type, persons, treatment, notifiable Y/N, regulator notified, corrective actions, closure, docs.
Supervision & Ratio Check Register	Date, host, ratio observed, verification evidence, non-conformance, actions, closure.
Welfare & Pastoral Care Register	Date, contact type, summary, risk level, referral, follow-up date, note link.
Complaints & Appeals Register	Lodged date, party, issue, risk, actions, outcome, closure, docs.
Performance Improvement Actions	Apprentice ID, issue, steps/warnings, support, dates, outcome, docs.
Rotation/Transfer & Substitution	Trigger date, action type, approvals (SA), new host, start date, outcome, docs.
Training Contract & Plan	Contract ID, RTO, qualification, plan dates, updates, completion evidence.
Record Access & Disclosure	Request date, requester, legal basis, scope, items, method, approver, date sent.
Governance & Compliance	Policy/procedure changes, approvals, audits, findings, actions, status.
Continuous Improvement	Source, action, owner, due date, status, verification, closure date.
Data Disposal	Record set, retention category, disposal method, date, authoriser, certificate/location.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

9. Retention, Archiving, and Disposal

Category	Minimum retention	Notes
Training contracts, host agreements	7 years	SA Skills Regs; NSGTO Std 5.
Supervision/monitoring, welfare notes	7 years	SA audit evidence.
Safety and incidents	7 years	WHS legislation.
Apprentice employment/HR	7 years	Fair Work.
Financial/payroll	7 years	Corporations Act.
Governance/compliance	7 years	NSGTO Std 5.
Privacy requests/disclosures	7 years	APP record of decisions.

Step	Action	Owner	Evidence
9.1 Archive	Move closed files to Archive library with restricted access; update retention trigger.	Admin	Archive log.
9.2 Review annually	Confirm items due for disposal (AS ISO 15489 principles).	Compliance/ Admin	Disposal list.
9.3 Authorise disposal	Confirm no legal hold/audit; sign-off.	Compliance	Data Disposal Register.
9.4 Destroy	Digital: certified erasure; Physical: accredited shredding; capture certificate.	Admin	Certificate filed.
9.5 Record	Update Data Disposal Register and file certificate.	Admin	Register updated.

10. Security and Data Protection

Control	Requirement
Access control	Role-based permissions; least privilege; MFA enforced.
Encryption	At rest and in transit for cloud systems.
Backups	Daily automated encrypted backups to secondary environment; quarterly restore test.
Physical security	Locked storage; visitor logs; clean desk; no unattended printouts.
Prohibited practices	No saving to local desktops/USB; no personal email/file-shares; no credential sharing.

11. Data Breach Response (APP Notifiable Data Breaches)

Step	Action	Owner	Timeframe
Detect/contain	Isolate systems, change credentials, preserve evidence.	Compliance/IT	Immediate.
Assess	Likelihood of serious harm; categories of data; affected individuals.	Compliance	Start ≤24 hours; conclude ≤72 hours where practicable.
Notify	If likely serious harm: notify affected individuals and OAIC; notify SA Skills/DTET if relevant.	CEO/Compliance	As soon as practicable.
Remediate	Reset controls; support affected individuals; CI actions.	Compliance/IT	Ongoing.
Record	Log in Incident Register and Record Access & Disclosure Register.	Compliance	Within 2 business days.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

12. Quality Assurance, Audits, and KPIs

Activity	Frequency	KPI/target
File timeliness check	Monthly sample	≥95% filed within 2 business days.
Metadata completeness	Monthly sample	≥98% mandatory fields complete.
Register integrity audit	Quarterly	100% linkable evidence for sampled entries.
Retrieval drill	Quarterly	100% retrieval in ≤2 business days.
Regulator request responsiveness	Per request	Within statutory timeframe.
Training completion (privacy/records)	Annually	100% relevant staff.

13. Training and Awareness

Induction for all staff; annual refresher on records, privacy, regulatory requirements; targeted sessions for Coordinators/Admin on registers, naming, metadata, and lawful disclosures.

14. Review

Annual review or sooner after regulatory changes, audit findings, significant incidents. Revisions recorded in Governance & Compliance Register and communicated to staff, hosts, and apprentices (where relevant).

Applicable Standards and Regulatory Frameworks

- South Australian GTO Standards (2025)
 - Standard 5: Governance, Compliance and Reporting
 - Standard 7: Continuous Improvement and Reporting
- Queensland DTET GTO Standards and Contract Requirements
 - GTO Performance Framework – Data and Record Management Requirements
 - Vocational Education, Training and Employment Act 2000 (Qld)
- National Standards for Group Training Organisations (NSGTO)
 - Standard 5: Governance and Administration
 - Standard 7: Continuous Improvement and Reporting
- Legislative and Regulatory Frameworks
 - South Australian Skills Act 2008; Skills Regulations 2021 (SA)
 - Privacy Act 1988 (Cth) and Australian Privacy Principles (APPs)
 - Fair Work Act 2009 (Cth)
 - Work Health and Safety Act 2012 (SA); Work Health and Safety Act 2011 (Qld)
 - Corporations Act 2001 (Cth)
- Supporting Codes and Guidelines
 - OAIC Notifiable Data Breaches Scheme
 - AS ISO 15489 Records Management Guidelines

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

IT and Cybersecurity Procedure

Purpose

This procedure outlines the operational processes WetTrade Apprenticeships (WTA) uses to implement secure, compliant, and ethical management of information technology systems, data, and communications.

It supports the **IT and Cybersecurity Policy** by defining how cybersecurity controls, breach response, password management, data encryption, and audit trail maintenance are conducted in line with the **OAIC Notifiable Data Breaches (NDB) Scheme, SA GTO Standards (2025), National Standards for Group Training Organisations, and DTET GTO Standards (2025).**

Scope

Applies to all WTA staff, apprentices, contractors, and host employers using or accessing WTA's ICT systems, networks, and digital platforms, including cloud storage, mobile devices, and external drives.

This procedure covers:

- IT access and authentication management
- Data storage and encryption
- Cybersecurity awareness and reporting
- Data breach and incident response
- Audit trails, recordkeeping, and monitoring

ICT Access and Authentication Controls

Responsible: IT Administrator / Compliance Officer**

Step	Action	Requirements / Records
1. Access Request	Employee or contractor requests system access using IT Access Form.	Form approved by GM or Compliance Officer.
2. Account Setup	IT Administrator creates unique user account.	Apply least-privilege principle (only essential permissions).
3. Password Configuration	User must create a strong password: minimum 12 characters, upper/lowercase letters, number, and symbol.	Passwords changed every 90 days.
4. Multi-Factor Authentication (MFA)	Enable MFA on all cloud-based or sensitive systems.	Record in Access Control Register.
5. Deactivation	Access revoked immediately upon termination, suspension, or role change.	Update Access Control Register and notify Compliance Officer.

Data Management and Encryption

Responsible: IT Administrator / HR / Compliance Officer**

Activity	Requirements	Records / Tools
Data Classification	Classify data as <i>Public, Internal, Confidential, or Sensitive</i> .	Data Classification Register
Storage	All sensitive data stored on secure, encrypted drives or approved cloud storage (SharePoint, OneDrive).	System Permissions Log
Transmission	Send confidential data only via encrypted channels (VPN, SFTP, or encrypted email).	Email Encryption Log
Portable Devices	All laptops, tablets, and mobile phones must have encryption and screen lock enabled.	Asset Register

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Backups	Conduct automated daily backups of critical systems. Test recovery quarterly.	Backup Verification Log
----------------	--	-------------------------

Cybersecurity Awareness and Training

Responsible: Compliance Officer / HR**

Action	Details / Requirements	Records
Induction	All new staff and contractors complete Cybersecurity and Data Privacy training before system access.	Training Attendance Sheet
Annual Refresher	Mandatory training on phishing, password security, and breach reporting.	Training Register
Awareness Campaigns	Quarterly internal updates on emerging cyber risks.	Staff Communications Log

Incident and Data Breach Reporting Process

Responsible: All Users / Compliance Officer / IT Administrator / CEO**

Stage	Action	Responsible	Timeframe	Records
Detection	Identify and immediately report any suspected data breach, unauthorised access, or system anomaly.	All Staff	Immediate	Incident Report Form
Containment	Isolate affected systems, disable accounts, and preserve evidence.	IT Administrator	Within 2 hours	Containment Record
Assessment	Determine scope, type of data affected, and risk to individuals.	Compliance Officer	Within 48 hours	Breach Assessment Report
Notification Decision	Determine if incident qualifies under OAIC NDB Scheme (risk of serious harm).	Compliance Officer / CEO	Within 30 days	Breach Impact Assessment
Notification	Notify affected individuals and OAIC if required.	CEO / Compliance Officer	As soon as practicable	OAIC Notification Form
Remediation	Implement corrective actions (password resets, patching, process updates).	IT Administrator	Within 5 business days	Corrective Action Log
Review	Record lessons learned and preventive measures in CI Register.	Compliance Officer / GM	Within 10 business days	Continuous Improvement Register

Audit Trail and Monitoring

Responsible: Compliance Officer / IT Administrator**

- Maintain detailed audit logs of:
 - User login and access attempts
 - File modifications, uploads, and deletions
 - System configuration and security changes
 - Breach investigations and resolutions
- Logs must be:
 - Retained for a **minimum of seven (7) years**.
 - Reviewed quarterly for anomalies or unauthorised activity.
 - Stored securely in the **IT Governance and Security Register**.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Device and Network Security

Responsible: IT Administrator / All Users**

- All devices connected to WTA networks must:
 - Have antivirus and anti-malware software installed and updated weekly.
 - Be regularly patched for security updates.
 - Use firewalls and intrusion detection systems for external connections.
- Personal devices (BYOD) must meet equivalent security standards before accessing WTA systems.
- Lost or stolen devices must be reported immediately for remote lock or data wipe.

Records: Device Security Log; Lost Device Report

Third-Party Access and Data Handling

Responsible: GM / Compliance Officer / IT Administrator**

- External providers (cloud storage, IT vendors, contractors) must comply with:
 - WTA's **Data Security Agreement**.
 - *Privacy Act 1988 (Cth)* and OAIC NDB Scheme.
- All third-party access is recorded in the **Third-Party Access Register**.
- Access is reviewed quarterly and terminated if no longer required.

Privacy Incident and OAIC Compliance

Responsible: Compliance Officer / CEO**

- Assess all privacy incidents using OAIC's **Data Breach Response Flowchart**.
- Report notifiable breaches to OAIC if there is a likelihood of serious harm to individuals.
- Provide written notice to affected parties detailing:
 - Nature of the breach
 - Information involved
 - Recommended protective actions
- Maintain full records of all incidents, notifications, and remediation actions in the **Data Breach Register**.

Continuous Improvement and Policy Review

Responsible: Compliance Officer / GM**

- Quarterly review of cybersecurity metrics, including:
 - Number of incidents, false positives, and breach types.
 - Timeframes for detection, containment, and closure.
- Audit findings and training outcomes inform procedural updates.
- All improvements recorded in the **Continuous Improvement Register** and reviewed by the **Governance and Compliance Committee** annually.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves cybersecurity strategy, breach notifications, and reports to OAIC or regulators.
General Manager (GM)	Oversees cybersecurity controls and authorises corrective actions following incidents.
Compliance Officer	Manages breach registers, maintains audit logs, coordinates incident assessments, and reports to external bodies.
IT Administrator	Implements and monitors encryption, MFA, system access, and backups. Conducts containment and remediation actions.
HR / Training Officer	Ensures staff complete required cybersecurity training and awareness activities.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

All Staff, Apprentices, and Contractors	Use IT systems securely, follow password and encryption protocols, and immediately report any suspected breach.
--	---

Records and Retention

All cybersecurity and data management records must be stored securely within the **IT Governance and Security Register** for a **minimum of seven (7) years**, including:

- Access Control Register
- Data Breach Register
- Audit Logs
- Incident Reports and Corrective Actions
- Training and Awareness Records

Access is restricted to the CEO, GM, Compliance Officer, and IT Administrator.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 1 – Governance and Accountability
- Standard 5 – Governance, Compliance and Reporting
- Standard 6 – Data and Information Management

National Standards for Group Training Organisations

- Standard 1 – Governance and Administration
- Standard 5 – Information Management and Compliance

DTET GTO Standards (Queensland, 2025)

- Clause 5.1 – Governance and Reporting
- Clause 6.1 – ICT Security, Data Management and Privacy

Legislation and Supporting Frameworks

- *Privacy Act 1988 (Cth)* – including the *Notifiable Data Breaches (NDB) Scheme*
- *Australian Privacy Principles (APPs)*
- *Criminal Code Act 1995 (Cth)* – Cybercrime Provisions
- *Spam Act 2003 (Cth)*
- *Copyright Act 1968 (Cth)*
- *Fair Work Act 2009 (Cth)*
- *Work Health and Safety Act 2011 (Qld) / Work Health and Safety Act 2012 (SA)*
- *ISO/IEC 27001:2022 – Information Security Management Systems (ISMS) Standard*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Marketing and Communications Procedure

Purpose

This procedure defines the process for developing, approving, and managing all marketing and communication materials produced by WetTrade Apprenticeships (WTA).

It ensures transparency, accuracy, and compliance with integrity, branding, and evidence-control requirements under the South Australian GTO Standards (2025), National Standards for Group Training Organisations, and the DTET GTO Standards (2025) — particularly Clause 1.5 (Integrity and Evidence Requirements).

Scope

Applies to all marketing and communication activities including:

- Promotional materials, advertising, websites, social media, publications, and events.
- Partnership or co-branded materials involving the WTA logo or brand.
- Public statements, media releases, and third-party collaborations referencing WTA, NICS, or MPA.

Objectives

- Ensure all marketing activities are accurate, ethical, and pre-approved before publication.
- Maintain evidence of all consent, approvals, and compliance reviews.
- Ensure materials reflect WTA's approved brand, language, and values.
- Maintain an auditable Marketing Register with version control and sign-off records.
- Comply with the **Australian Consumer Law, Privacy Act 1988 (Cth)**, and relevant advertising standards.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves all major marketing campaigns, government co-branded materials, and public-facing releases. Ensures compliance with integrity and evidence standards.
General Manager (GM)	Oversees planning and ensures alignment with WTA's strategic objectives. Approves moderate-level campaigns and supports compliance sign-off.
Compliance Officer	Verifies accuracy, maintains consent and approval records, ensures compliance with SA, National, and DTET standards, and audits all marketing files quarterly.
Marketing and Communications Officer	Develops content using approved templates. Ensures materials undergo pre-approval and consent review before publication. Maintains version control and archives all records.
All Staff	Promote WTA ethically and refer all marketing or external communication requests through the approved pre-approval process.

Procedure Steps

Step	Action / Description	Responsibility	Records & Tools	Timeframe / Frequency
1. Develop Annual Marketing Plan	Prepare an annual plan that outlines key messages, campaigns, and compliance objectives.	Marketing & Communications Officer	Annual Marketing Plan Template	Annually
2. Draft Marketing Materials	Develop materials using approved templates and branding. Ensure factual accuracy, inclusive language, and no misleading or unverifiable claims.	Marketing & Communications Officer	Marketing Material Template	As required
3. Pre-Approval and Consent	Before publishing or external sharing: • Submit all materials for pre-approval to the Compliance Officer. • Obtain written consent from featured individuals, partners, or stakeholders (e.g., image use, testimonials, logos). • Record consent and approvals in the Marketing Register.	Marketing & Communications Officer Compliance Officer	Consent Forms Approval Email Marketing Register	Prior to any release
4. Compliance Review and Sign-Off	Conduct integrity and evidence compliance review to meet DTET Clause 1.5 : • Verify accuracy and claims. • Check partner approvals and co-branding permissions. • Confirm documentation meets privacy and record-keeping standards. • Provide written compliance sign-off using the Marketing Approval Form.	Compliance Officer	Marketing Approval Form	Within 5 business days
5. CEO or GM Final Approval	• CEO: Approves high-visibility or government-aligned campaigns. • GM: Approves moderate-level or recurring campaigns. • All approvals must be documented and stored with the campaign record.	CEO / GM	Approval Email / Signature	Prior to publication
6. Publication and Distribution	Publish approved materials through authorised channels only (website, social media, print). Ensure version control is maintained.	Marketing & Communications Officer	SharePoint / Social Media Log	Ongoing

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

7. Record Lodgement and Evidence Control	• Store all final versions, consent records, and approval documents in SharePoint under <i>Marketing > Campaigns > Year Folder</i>. • Update the Marketing Register with: – Title, description, and approvers. – Consent reference and file path. – Expiry or review date. • Retain all evidence for seven (7) years.	Compliance Officer	Marketing Register Share Point Archive	Ongoing
8. Monitoring and Audit	Conduct quarterly compliance audits to verify: • Materials remain accurate, current, and approved. • All evidence and consent are correctly filed. • Withdraw outdated or non-compliant materials immediately.	Compliance Officer	Marketing Audit Report	Quarterly
9. Corrective Action	Withdraw or replace non-compliant or inaccurate content. Log action taken in the Continuous Improvement Register. Implement retraining if systemic issues are identified.	GM / Compliance Officer	Continuous Improvement Register	Within 2 business days of detection
10. Review of Procedure	Conduct annual review of this procedure to align with updated standards and legislation. Document any changes in the Governance and Compliance Register.	Compliance Officer CEO	Governance and Compliance Register	Annually

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Evidence and Record Control Requirements

- All marketing materials must have:
 - A completed **Marketing Approval Form** (pre-approval record).
 - Proof of **written consent** from all individuals or partners featured.
 - A **compliance sign-off** email or digital signature by the Compliance Officer.
- Records must be maintained for **seven (7) years** post-publication.
- Marketing Register must be auditable and accessible for regulatory inspection.

Approval Authority

Action	Approval Authority
High-visibility or government campaigns	Chief Executive Officer (CEO)
Moderate or internal campaigns	General Manager (GM)
Compliance and evidence verification	Compliance Officer
Procedure revisions and review	CEO and Board of Directors

Record Retention

Record Type	Storage Location	Retention Period
Final marketing materials	SharePoint → Marketing > Campaigns	7 years
Marketing Approval Forms	SharePoint → Marketing Register	7 years
Consent records	SharePoint → Marketing > Evidence	7 years
Compliance audit reports	Compliance Folder → MPA Online	7 years
Continuous Improvement actions	Continuous Improvement Register	7 years

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 5 – Governance, Compliance and Reporting
- Standard 7 – Continuous Improvement and Reporting

National Standards for Group Training Organisations (NSGTO)

- Standard 2 – Legal and Ethical Operation
- Standard 5 – Governance and Administration
- Standard 7 – Continuous Improvement

DTET GTO Standards (2025)

- Clause 1.5 – Integrity and Evidence Requirements
- Clause 5.1 – Marketing and Branding Compliance
- Clause 5.2 – Transparency and Accuracy in Promotion
- Clause 7.1 – Continuous Improvement

Legislative and Regulatory Frameworks

- Australian Consumer Law (Competition and Consumer Act 2010)
- South Australian Skills Act 2008
- Skills Regulations 2021 (SA)
- Privacy Act 1988 (Cth)
- AS ISO 15489 – Records Management
- Advertising Standards Code (AANA, 2023)

Supporting Registers and Tools

- Marketing Register
- Marketing Approval Form
- Continuous Improvement Register
- Annual Marketing Plan Template
- SharePoint Marketing Folder Structure

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Apprentice Lifecycle Management

Overview: Apprentice Lifecycle Procedures

Section	Procedure Name	Purpose / Description
Strategic and Internal Oversight	Strategic and Operational Risk Management Procedure	Establishes a daily operational risk management framework for identifying, assessing, and mitigating strategic, financial, compliance, WHS, and apprentice welfare risks. Integrates key risk indicators (KRIs), escalation thresholds, and assurance checks to meet SA and National GTO Standards.
	Internal Process Improvement Procedure	Provides a structured framework for continuous improvement across governance, compliance, and operational systems. Ensures regular internal reviews, documentation of non-compliance, and corrective action tracking through the Continuous Improvement Register.
	Annual Performance Reporting Procedure	Defines processes for collecting and verifying performance data (apprentice outcomes, host satisfaction, WHS, financial viability). Ensures accurate reporting to the SA Skills Commission (SASC) and DTET under GTO Standards.
	Financial Management and Audit Procedure	Outlines financial management, solvency monitoring, and audit procedures to ensure transparency, accountability, and compliance with GTO and legislative requirements.
Recruitment and Placement	New Apprentice Recruitment and Assessment Procedure	Defines the process for advertising, screening, interviewing, and selecting suitable apprentice candidates. Ensures equity, transparency, and compliance with Access and Equity and Fair Work obligations.
	Child Safety and Suitability Screening Procedure	Ensures all staff and host employers who interact with apprentices meet Working with Children, Blue Card, and Police Check requirements. Supports duty-of-care obligations under child safety legislation.
	Host Employer Onboarding and Monitoring Procedure	Outlines how host employers are recruited, vetted, and approved in accordance with legislative, WHS, and training requirements. Includes site visits, suitability assessments, ERA completion, and induction.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

	Prohibited Employer Management Procedure	Details the process for identifying, monitoring, and managing prohibited employers. Ensures apprentices are only hosted by compliant and safe employers.
	Placement of Apprentices with Host Employers Procedure	Details the structured process for matching apprentices with compliant host employers, confirming range of work, supervision, and WHS standards. Ensures documentation, communication, and alignment with RTO training plans.
	Apprentice Transfer and Rotation Procedure	Provides guidance for apprentice rotation, redeployment, and host substitution to maintain continuity of employment and training. Incorporates communication, regulatory notification, and compliance verification steps.
	Host Employer Training Contract Transfer Procedure	Defines the process for transferring or reassigning an apprentice's training contract to a new host or employer while ensuring compliance with SASC and DTET requirements.
Workplace Safety and Oversight	Workplace Inspection and Site Visit Procedure	Defines the frequency, purpose, and documentation standards for site visits. Ensures WHS, psychosocial, and behavioural compliance at host sites, with findings entered into the Risk and Continuous Improvement Registers.
	Work Health, Safety and Psychosocial Hazards Procedure	Integrates management of WHS and psychosocial risks, including fatigue, stress, bullying, and isolation. Aligns with WHS legislation and GTO wellbeing requirements.
	Respectful Workplace & Behaviour Management Procedure	Details behavioural expectations, conflict resolution, and disciplinary pathways to support a respectful, inclusive workplace.
	Sexual and Gender-Based Harassment Procedure	Outlines prevention, reporting, and investigation processes for SGBH incidents. Ensures compliance with WHS and anti-discrimination law.
	Workplace Bullying Procedure	Provides mechanisms for preventing and managing bullying complaints, including early intervention, investigation, and corrective actions.
	IT and Cybersecurity Procedure	Establishes cybersecurity controls and digital safety protocols for protecting confidential information, LMS systems, and apprentice data.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Monitoring and Support	Apprentice Monitoring, Support, and Cultural Safety Procedure	Details ongoing support and monitoring mechanisms for apprentices and host employers, including welfare checks, training progress reviews, and culturally safe support pathways.
	Apprentice Support and Counselling Procedure	Provides structured mental health, wellbeing, and pastoral care support for apprentices. Defines confidentiality, referral, and reporting requirements under privacy and duty-of-care legislation.
	Cultural Safety and First Nations Engagement Procedure	Promotes cultural safety and inclusion for First Nations apprentices and host employers. Embeds cultural protocols, liaison pathways, and reporting requirements.
	Addressing Issues and Grievances Procedure	Sets out informal and formal grievance pathways for apprentices, employers, and staff. Ensures timely resolution and compliance with Fair Work and anti-discrimination laws.
Variation and Completion	Managing Suspension and Economic Impact Procedure	Outlines how apprentice stand-downs, suspensions, and economic disruptions are managed, ensuring transparent documentation, welfare support, and compliance with Skills Act and Fair Work requirements.
	Apprentice Recommencement Procedure	Details the reinstatement process following stand-down, cancellation, or rotation. Ensures regulatory notifications, updated training plans, and host verification are completed.
	Apprentice Completion Procedure	Explains how apprenticeship completions are confirmed, documented, and reported to SASC, DTET, and the RTO. Includes validation of competencies, final WHS checks, and exit interviews.
Supporting Governance and Compliance	Governance, Compliance and Board Oversight Procedure	Ensures effective governance and oversight by the Board, including compliance reporting, performance review, and continuous improvement integration.
	Reporting to the South Australian Skills Commission Procedure	Details processes for completing annual self-assessments, quarterly reporting, and change notifications to meet SASC and DTET compliance standards.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

	Organisational Registration and Reporting Procedure	Defines obligations for maintaining active GTO registration, submitting statutory reports, and notifying regulatory authorities of organisational changes.
	Declared Trades and Vocations Procedure	Sets out the process for verifying, proposing, approving, and submitting declared trades and qualifications in line with SASC TAP and DTET requirements.
Record Management and Continuous Improvement	Records Management Procedure	Establishes consistent practices for record creation, storage, retention, and disposal in compliance with AS ISO 15489 and privacy legislation. Ensures audit readiness and seven-year retention.
	Quality Assurance and Internal Audit Procedure	Defines the audit methodology and reporting process to ensure GTO compliance and drive continuous improvement.
	Continuous Improvement Procedure	Integrates all feedback, audits, and review findings into the Continuous Improvement Register. Ensures systemic issues are identified, corrected, and reported to governance committees.
	Environmental Sustainability Procedure	Promotes sustainable operational practices and environmental responsibility across worksites and training programs.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

New Apprentice Recruitment and Assessment Procedure

Purpose

This procedure defines the process for advertising, screening, interviewing, and selecting suitable apprentice candidates for employment with WetTrade Apprenticeships (WTA).

It ensures recruitment practices are equitable, transparent, and compliant with the South Australian GTO Standards (2025), National Standards for Group Training Organisations, and DTET GTO Standards (2025).

The procedure also aligns with Access and Equity principles, Fair Work obligations, and anti-discrimination legislation.

Applies to all WTA employees involved in apprentice recruitment, selection, and placement activities across all trade areas and locations in South Australia and Queensland.

Principles

- **Equity:** All applicants are assessed on merit, without discrimination.
- **Transparency:** Recruitment processes are clear, consistent, and documented.
- **Compliance:** Adheres to all GTO, Fair Work, and privacy obligations.
- **Merit-Based Selection:** Decisions are based on skills, potential, and commitment to completing a trade qualification.
- **Confidentiality:** Applicant information is protected under privacy legislation.

Identify Recruitment Need

Responsible: General Manager / GTO Coordinator

- Confirm trade area, apprentice numbers, and target intake dates.
- Identify funding or program links (e.g., Skilling Queenslanders for Work, CSQ).
- Obtain approval from the CEO or General Manager to commence recruitment.

Records: Workforce Plan; Recruitment Approval Form

Advertising and Promotion

Responsible: HR / Administration Officer

- Develop job advertisements using approved templates.
- Include key details: trade area, qualification pathway, location, entry requirements, and how to apply.
- Publish through WTA and MPA websites, job boards, community partners, and schools.
- Promote inclusivity through targeted outreach to women, First Nations, CALD, and youth audiences.

Records: Job Advertisement Archive; Marketing and Communications Log

Application Screening

Responsible: HR / Administration Officer and GTO Coordinator

- Acknowledge all applications within five (5) business days.
- Review using the **Apprentice Screening Checklist**, considering:
 - Right to work in Australia
 - Interest in the trade and motivation to complete apprenticeship
 - Transport and availability
 - Work readiness and safety awareness
- Shortlist suitable candidates for interview.

Records: Application Register; Screening Checklist; Candidate File

Interview and Assessment

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Responsible: GTO Coordinator

- Schedule interviews (in-person, phone, or online) within ten (10) business days.
- Use the **Standard Interview Questionnaire** to ensure consistency.
- Assess candidates on:
 - Attitude, motivation, and work ethic
 - Communication and teamwork skills
 - Reliability and understanding of trade expectations
- Provide information about:
 - GTO-host employment model
 - Support and mentoring services
 - Training pathways through NICS
- Record all interview notes and ratings objectively.

Records: Interview Record Form; Candidate Assessment Sheet

Reference and Background Checks

Responsible: GTO Coordinator / HR Officer

- Contact referees to verify experience, reliability, and suitability.
- Confirm identification, White Card, or previous training (if applicable).
- Conduct Working with Children and/or Police Checks as required.

Records: Reference Check Form; Verification Log; Background Screening Results

Selection and Approval

Responsible: GTO Coordinator / General Manager

- Review all interview and reference outcomes.
- Select candidates based on suitability and alignment with host employer needs.
- Prioritise equity and inclusion objectives in decision-making.
- Approve final selections and notify successful and unsuccessful applicants.

Records: Selection Approval Form; Candidate Summary Sheet

Offer of Employment

Responsible: HR / GTO Coordinator

- Issue **Letter of Offer** outlining:
 - Host employer, start date, and conditions of employment
 - Wage level under the *Building and Construction General On-site Award*
 - Induction requirements and training arrangements
- Attach the **Apprentice Handbook** and ensure the candidate signs acceptance.

Records: Letter of Offer; Signed Acceptance; Apprentice File

Onboarding and Induction

Responsible: GTO Coordinator / Compliance Officer

- Schedule induction prior to commencement, covering:
 - WTA Code of Conduct and WHS responsibilities
 - Apprentice support services and complaint processes
 - Payroll, timesheets, and communication expectations
- Register the Training Contract with the AASN provider and confirm enrolment with NICS.

Records: Induction Checklist; Training Contract; AASN Confirmation

Equity and Access Monitoring

Responsible: Compliance Officer

- Track diversity data across applications and intakes.
- Identify barriers to participation and recommend improvements.
- Record adjustments provided for applicants requiring support.
- Report equity outcomes to the Governance and Compliance Committee quarterly.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Records: Access and Equity Report; Continuous Improvement Register

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves recruitment strategies and endorses final appointments.
General Manager (GM)	Oversees recruitment implementation and ensures compliance with GTO standards.
Compliance Officer	Monitors adherence to legislative and equity requirements; manages audit evidence.
GTO Coordinator	Conducts interviews, assessments, and manages onboarding.
HR / Administration Officer	Handles advertising, applications, and documentation.
Host Employers	Participate in selection and confirm ability to supervise apprentices.

Records and Documentation

All recruitment documentation is stored in the secure WTA SharePoint Governance and Compliance area for a minimum of **seven (7) years**.

Records include job advertisements, screening and interview documents, reference checks, and signed employment agreements.

Continuous Improvement

- Recruitment outcomes are reviewed annually.
- Feedback from applicants, staff, and host employers is used to refine recruitment practices.
- Lessons learned are recorded in the **Continuous Improvement Register** and discussed during governance reviews.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 1 – Apprentice Employment and Recruitment
- Standard 2 – Apprentice Welfare and Support
- Standard 5 – Governance, Compliance and Reporting

National Standards for Group Training Organisations

- Standard 1 – Apprentice Employment and Recruitment
- Standard 2 – Apprentice and Host Employer Support
- Standard 5 – Governance and Administration

DTET GTO Standards (Queensland, 2025)

- Clause 1.2 – Apprentice Recruitment and Selection
- Clause 2.1 – Equity and Access
- Clause 5.1 – Governance and Reporting

Legislation and Supporting Frameworks

- Fair Work Act 2009 (Cth)*
- Building and Construction General On-site Award 2020*
- Equal Opportunity Act 1984 (SA)*
- Anti-Discrimination Act 1991 (Qld)*
- Work Health and Safety Act 2011 (Qld)*
- Work Health and Safety Act 2012 (SA)*
- Privacy Act 1988 (Cth)*
- South Australian Skills Act 2008 and Skills Regulations 2021*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Child Safety and Suitability Screening Procedure

Purpose

This procedure outlines how WetTrade Apprenticeships (WTA) ensures all employees, contractors, mentors, and host employers who work with or supervise apprentices and young people meet mandatory child safety and suitability screening requirements.

It ensures WTA complies with the **South Australian GTO Standards (2025)**, **National Standards for Group Training Organisations**, and **DTET GTO Standards (2025)** by maintaining a robust framework for verifying, recording, and tracking **Working with Children Checks (WWCC)** and **Blue Cards**.

Scope

Applies to:

- All WTA employees, contractors, mentors, and counsellors.
- Host employers and supervisors who train or work with apprentices under 18 years of age.
- Any person representing WTA in programs involving minors or young people.

This procedure covers:

- Verification and validation of WWCC and Blue Cards.
- Record retention, security, and confidentiality.
- Renewal reminders and tracking of ongoing compliance.

Principles

- **Child Safety First:** The welfare of all young people is WTA's highest priority.
- **Mandatory Compliance:** No one may work with minors without a valid clearance.
- **Verification:** All checks are validated using authorised online portals.
- **Confidentiality:** Data is collected, stored, and used in line with privacy laws.
- **Accountability:** WTA tracks renewal dates and ensures timely re-verification.

Screening and Verification Process

Pre-Engagement Requirements

Responsible: HR / Compliance Officer / GTO Coordinator

- Require all new employees, contractors, mentors, and host employers supervising minors to provide:
 - **SA:** Working with Children Check (WWCC)
 - **QLD:** Blue Card
- Clearances must be verified **before** engagement or hosting commences.
- Individuals cannot participate in training, mentoring, or supervision until verification is complete.

Records: Applicant File; WWCC/Blue Card Verification Log

Verification Steps

Responsible: Compliance Officer / HR Officer

1. **Collect Clearance Details** — Obtain clearance number, issue date, expiry date, and date of birth.
2. **Verify Clearance Status** —
 - SA: Verify through the **Department of Human Services (DHS) Screening Unit** portal.
 - QLD: Verify using the **Blue Card Services Organisation Portal**.
3. **Record Verification** — Enter results into the **Child Safety Register** (status, expiry date, verification officer).
4. **Document Retention** — Store a digital copy securely in the employee or host employer file.
5. **Confirm Approval** — Notify the hiring manager or GTO Coordinator once verification is complete.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Records: Verification Confirmation Email; Child Safety Register

Renewal Tracking and Monitoring

Responsible: Compliance Officer / HR Officer

- Maintain a **Child Safety Register** listing all clearances, issue dates, and expiry dates.
- Review the register monthly to identify renewals due within 90 days.
- Send renewal reminders at **90, 60, and 30 days** prior to expiry.
- Verify new clearances upon receipt and update the register.
- Suspend individuals with expired or invalid clearances until reverified.

Records: Renewal Reminder Log; Updated Verification Record

Host Employer Compliance

Responsible: GTO Coordinator / Compliance Officer

- Confirm that all host employers supervising under-18 apprentices hold valid WWCC or Blue Card clearance.
- Verify at onboarding, renewal, and each audit cycle.
- Store evidence in the **Host Employer Compliance Register**.
- Suspend or prohibit hosts from engaging minors if clearance lapses.

Records: Host Employer Compliance Register; ERA and Audit Checklist

Record Retention and Security

Responsible: Compliance Officer / HR Officer

- Retain all screening and verification records in the secure **Governance and Compliance Register**.
- Access limited to the CEO, General Manager, HR, and Compliance staff.
- Retain all records for **seven (7) years** after cessation of employment or hosting.
- Dispose of expired records securely in accordance with the **Records Management Policy** and **Privacy Act 1988 (Cth)**.

Records: Verification Logs; Child Safety Register; Secure Archive Log

Non-Compliance and Escalation

Responsible: CEO / General Manager / Compliance Officer

- Immediately suspend any individual whose clearance has expired, been revoked, or refused.
- Report any suspected breach or attempt to work without clearance to:
 - **Blue Card Services (QLD)** or
 - **DHS Screening Unit (SA)**.
- Record all incidents and corrective actions in the **Non-Compliance Register**.

Records: Non-Compliance Report; Suspension Notice; Regulatory Notification

Continuous Improvement

- The **Compliance Officer** will conduct an annual audit of all screening records.
- Findings will be reported to the **Governance and Compliance Committee**.
- Identified gaps or delays will be recorded in the **Continuous Improvement Register** and corrective actions implemented.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Ensures compliance with all child safety legislation and oversees corrective actions.
General Manager (GM)	Monitors compliance with child safety procedures and approves corrective actions.
Compliance Officer	Verifies all clearances, maintains the Child Safety Register, and tracks renewals.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

HR Officer	Collects and files screening documentation, issues reminders, and supports verification.
GTO Coordinator / Mentor	Confirms host compliance and ensures all placements involving minors meet clearance requirements.
Host Employers	Maintain valid WWCC or Blue Card for all supervisors working with under-18 apprentices.
Employees / Contractors	Maintain valid clearance and notify WTA of any change in status immediately.

Records Management

All verification, renewal, and audit records must be stored in the **Child Safety and Suitability Screening Register** for a minimum of seven (7) years.
Access is restricted to authorised personnel only.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 2 – Apprentice Employment and Welfare
- Standard 5 – Governance, Compliance and Reporting

National Standards for Group Training Organisations

- Standard 3 – Apprentice and Trainee Employment and Support
- Standard 5 – Governance and Administration

DTET GTO Standards (Queensland, 2025)

- Clause 2.4 – Apprentice Welfare and Protection
- Clause 4.1 – Host Employer Monitoring and Compliance
- Clause 5.1 – Governance, Reporting and Accountability

Legislation and Supporting Frameworks

- *Working with Children (Risk Management and Screening) Act 2000 (Qld)*
- *Working with Children (Risk Management and Screening) Regulation 2020 (Qld)*
- *Child Safety (Prohibited Persons) Act 2016 (SA)*
- *Children and Young People (Safety) Act 2017 (SA)*
- *Fair Work Act 2009 (Cth)*
- *Privacy Act 1988 (Cth)*
- *South Australian Skills Act 2008 and Skills Regulations 2021*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Access and Equity Procedure

Purpose

This procedure establishes the operational framework through which **WetTrade Apprenticeships (WTA)** implements its **Access and Equity Policy**, ensuring fair, inclusive, and barrier-free participation for all apprentices, host employers, and staff.

It translates WTA's commitment to diversity and equal opportunity into practical steps that comply with the **South Australian GTO Standards (2025)**, **National GTO Standards**, and **DTET GTO Standards (2025)**.

Scope

This procedure applies to:

- All WTA operations, recruitment processes, and program delivery activities.
- Apprentices and trainees employed or supported by WTA.
- Host employers, trainers, and partner organisations engaged in WTA programs.
- All employees and Board members responsible for governance, recruitment, or training oversight.

Objectives

- Ensure equal opportunity in recruitment, training, and employment for all individuals.
- Identify and remove barriers that limit participation or learning.
- Provide reasonable adjustments to enable inclusion of individuals with disabilities or disadvantage.
- Promote a culture that values diversity, cultural safety, and respect.
- Ensure equity data is tracked and reported for continuous improvement.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Endorse and resource access and equity initiatives; approve annual Access & Equity Review Report.
General Manager (GM)	Oversee implementation of access and equity procedures and ensure compliance with relevant standards and legislation.
Compliance Officer	Monitor equity data; maintain Access & Equity Register; ensure training and reporting obligations are met.
GTO Coordinators / s	Identify barriers to participation; provide individualised support; document and report all adjustments or interventions.
Host Employers	Ensure equitable supervision, recruitment, and workplace practices; cooperate with WTA monitoring and training.
Apprentices and Trainees	Treat others respectfully; report any discriminatory or unfair treatment.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Identify Equity Needs	Assess potential participation barriers during recruitment or onboarding.	GTO Coordinator / Mentor	Use initial needs assessment to identify LLND (Language, Literacy, Numeracy & Digital) needs, disability, or cultural barriers.	Apprentice Intake Assessment	At enrolment
2. Implement Reasonable Adjustments	Provide tailored supports for equitable participation.	/ Mentor	May include flexible scheduling, assistive technology, or modified assessment environments.	Adjustment Plan	As required
3. Inclusive Recruitment Practices	Ensure all advertising and recruitment material is inclusive and non-discriminatory.	Marketing & Compliance	Review wording, imagery, and access information to ensure inclusivity.	Marketing Review Log	Prior to publication
4. Cultural and Disability Support Referrals	Refer apprentices to relevant support services.	GTO Coordinator / Mentor	Engage services such as LLND support, counselling, or cultural mentoring as needed.	Referral Record	As needed
5. Monitor Participation and Outcomes	Track participation and progress by equity group (e.g., gender, cultural background, disability).	Compliance Officer	Use Access & Equity Register; identify trends or systemic issues for management review.	Access & Equity Register	Quarterly
6. Handle Complaints or Concerns	Manage access and equity complaints through the formal complaints process.	GM / Compliance Officer	Follow the Complaints, Disputes and Mediation Procedure; ensure confidentiality and non-retaliation.	Complaints Register	As required
7. Awareness Training	Deliver training on equity, diversity, and inclusion to staff and host employers.	Compliance Officer	Include cultural safety, anti-discrimination, and reasonable adjustment obligations.	Training Register	Annually
8. Reporting and Review	Report access and equity outcomes to the Board and regulators.	Compliance Officer / GM	Include in quarterly compliance summary and annual Access & Equity Report.	Board Report	Quarterly / Annually

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Access and Equity Register (Minimum Fields)

- Apprentice Name and ID
- Host Employer
- Identified Barriers or Needs
- Adjustments Implemented
- Support Services Engaged
- Follow-Up Date
- Outcome / Review Notes

Complaints and Resolution Process

1. Apprentice or staff member lodges concern with GTO Coordinator or Compliance Officer.
2. WTA investigates within **10 business days**, applying confidentiality and procedural fairness.
3. Where discrimination or unfair treatment is substantiated, corrective action or disciplinary measures are applied.
4. Findings are recorded in the **Complaints Register** and reviewed for continuous improvement.

Monitoring and Continuous Improvement

- Quarterly review of participation and completion outcomes for underrepresented cohorts.
- Annual Access & Equity Report submitted to the CEO and Board.
- Corrective actions and improvements logged in the **Continuous Improvement Register**.

Record Keeping

All access and equity documentation (adjustment plans, complaints, reports) must be:

- Stored securely in **SharePoint → Compliance → Access & Equity**.
- Retained for **seven (7) years** from program completion.
- Accessible only to authorised staff (CEO, GM, Compliance Officer).

Review

This procedure will be reviewed **annually**, or earlier if legislative or regulatory changes occur, or if audit findings indicate improvement is required.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- **Standard 2** – Apprentice Employment and Welfare
- **Standard 4** – Host Employer Management
- **Standard 5** – Governance, Compliance and Reporting
- **Standard 6** – Reporting and Data Management

National Standards for Group Training Organisations (NSGTO)

- **Standard 2** – Apprentice Employment and Support
- **Standard 4** – Equal Opportunity and Fair Treatment
- **Standard 7** – Continuous Improvement

DTET GTO Standards (2025)

- **Clause 2.1** – Fair and Inclusive Employment Practices
- **Clause 4.2** – Support and Equity Monitoring
- **Clause 7.1** – Continuous Improvement

Legislation and Codes

- *Fair Work Act 2009 (Cth)*
- *Work Health and Safety Act 2012 (SA)*
- *Work Health and Safety Act 2011 (Qld)*
- *Anti-Discrimination Act 1991 (Qld)*
- *Equal Opportunity Act 1984 (SA)*
- *Disability Discrimination Act 1992 (Cth)*
- *Privacy Act 1988 (Cth)*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

-
- *South Australian Skills Act 2008 and Skills Regulations 2021*

Supporting Registers and Tools

- Access & Equity Register
- Adjustment Plan Template
- Training Attendance Register
- Complaints Register
- Continuous Improvement Register

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Apprentice Induction Procedure

Purpose

To ensure a consistent, compliant, and structured induction process for all new apprentices employed by **WetTrade Apprenticeships (WTA)**.

This procedure establishes a clear framework for orientation, documentation, workplace health and safety (WHS) briefing, and behavioural expectations in accordance with the **South Australian GTO Standards (2025)**, **National Standards for Group Training Organisations (NSGTO)**, and **DTET GTO Standards (2025)**.

Scope

Applies to:

- All new apprentices and trainees employed by WTA.
- GTO Coordinators, s, Mentors, and Administrative staff responsible for onboarding.
- Host employers participating in apprentice placements and workplace inductions.

Objectives

- Provide apprentices with clear information about their employment, training, and support framework.
- Ensure completion and retention of all mandatory documentation in compliance with regulatory requirements.
- Introduce apprentices to WTA's structure, values, and **Code of Conduct**.
- Deliver essential **Work Health and Safety (WHS)** and workplace behaviour training prior to work commencement.
- Promote a safe, inclusive, and professional start to the apprenticeship journey.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Ensures induction processes meet legislative and compliance obligations.
General Manager (GM)	Oversees induction content, ensures accuracy and alignment with current standards.
GTO Coordinator /	Conducts induction, collects and verifies documentation, facilitates WHS and policy briefings, coordinates training contract with AASN provider.
Compliance Officer	Audits induction compliance, monitors recordkeeping, and reports outcomes.
Host Employer	Provides site-specific induction and confirms supervision and safety arrangements.
Apprentice	Participates actively in the induction, signs all documents, and acknowledges understanding of workplace policies.

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Initiate Induction Preparation	Schedule induction and confirm commencement details.	GTO Coordinator / Administration	Confirm apprentice start date, host assignment, and training contract status. Prepare induction pack and required forms.	Induction Checklist; Training Contract	Prior to Day 1
2. Conduct Induction Session	Deliver structured induction and orientation.	GTO Coordinator /	Introduce apprentice to staff, complete site tour, and explain role of GTO, host relationship, and support structures.	Apprentice Induction Checklist	Day 1
3. Complete Employment Documentation	Finalise and verify all employment and tax forms.	Apprentice / Administration	Complete Employment Agreement, TFN Declaration, Superannuation Nomination (QLeave), and Banking details. Ensure apprentice registers online with QLeave (if not already a member).	Apprentice File / SharePoint Upload	Day 1
4. Confirm Training Contract	Execute or verify training contract details.	GTO Coordinator / AASN Provider	Collaborate with the Australian Apprenticeship Support Network (AASN) provider to complete the Training Contract (if not already finalised).	Training Contract / AASN Confirmation	Day 1
5. Provide Orientation Materials	Supply essential documents and explain key expectations.	GTO Coordinator	Provide and review: Apprentice Handbook, Code of Conduct, WHS Guide, and Host Employer Information Handbook.	Apprentice Handbook / Policy Summary	During Induction
6. WHS Induction and Training	Deliver WHS induction training.	NICS Trainer / GTO Coordinator /	Conduct or verify completion of: - CPCCWHS1001 <i>Prepare to Work Safely in the Construction Industry</i> (if required) - Duty of Care (WHS Act) - WHS Inspection Process - Hierarchy of Hazard Control - Safe use and maintenance of PPE, tools, and equipment - Hazard and Incident Reporting - Safety Documentation Requirements	WHS Induction Record; Apprentice Commencement Training Record	Day 1 – Prior to Workplace Entry
7. Apprentice Enrolment and Training Overview	Finalise enrolment and provide training overview.	GTO Coordinator / NICS Trainer	Outline training plan, qualification requirements, assessment methods, and NICS contact details.	Training Plan Summary / Induction Notes	During Induction

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

8. <i>Apprentice Support Introduction</i>	Introduce available support services.	GTO Coordinator / Apprentice Mentor	Explain counselling, mentoring, and wellbeing support services including contact points for assistance.	Support Services Brochure	During Induction
9. <i>File Management and Recordkeeping</i>	Ensure all documentation is filed correctly.	Administration / Compliance Officer	Create electronic apprentice file including all signed forms, identification, induction checklist, and qualification copies.	Induction File Checklist / SharePoint	Within 2 Business Days
10. <i>Match Apprentice with Host Employer</i>	Allocate suitable host employer.	GTO Coordinator	Match apprentice to host based on location, trade, and learning needs. Confirm placement details, start date, and any rotation requirements.	Site Visit Contact Log / Placement Record	Within 48 Hours
11. <i>Compliance Check and Validation</i>	Confirm compliance with all GTO requirements.	Administration	Complete Group Training Compliance Checklist and ensure all documentation is uploaded to apprentice's file.	Compliance Checklist	Within 2 Business Days
12. <i>Follow-Up Review</i>	Confirm understanding and adjustment post-induction.	GTO Coordinator	Conduct follow-up call or site visit to review apprentice experience and confirm understanding of safety and workplace expectations.	Induction Follow-Up Form	Within First 2 Weeks

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Induction Pack Contents

Each new apprentice must receive:

- Welcome Letter and Organisation Overview
- Employment Contract and Training Agreement
- Fair Work Information Statement
- Apprentice Handbook
- Code of Conduct and Policy Summary
- WHS Guide and Hazard Reporting Procedure
- Apprentice Support and Counselling Directory
- NICS Training Plan Summary
- Access & Equity and Anti-Discrimination Statement

Monitoring and Continuous Improvement

- The **Compliance Officer** will conduct quarterly audits of induction completion and record accuracy.
- Apprentice and host feedback will be collected after induction and reviewed during team meetings.
- Non-compliance or gaps identified during audits are recorded in the **Continuous Improvement Register** for corrective action.

Records and Retention

All induction materials and completed documentation must be:

- Stored securely in **SharePoint → Apprentice Induction Folder**.
- Retained for a minimum of **seven (7) years** after apprenticeship completion.
- Accessible only by authorised personnel: CEO, GM, Compliance Officer, and assigned Coordinators.

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
<i>South Australian GTO Standards (2025)</i>	Standard 2 – Apprentice Employment and Welfare; Standard 3 – Apprentice and Host Employer Support; Standard 5 – Governance and Reporting; Standard 7 – Continuous Improvement
<i>National Standards for Group Training Organisations (NSGTO)</i>	Standard 2 – Apprentice Employment and Induction; Standard 3 – Support and Monitoring; Standard 5 – Governance and Administration
<i>DTET GTO Standards (2025)</i>	Clause 2.1 – Apprentice Employment and Induction; Clause 4.2 – Monitoring and Support; Clause 7.1 – Continuous Improvement
<i>Legislation and Codes</i>	South Australian Skills Act 2008; Skills Regulations 2021 (SA); Vocational Education, Training and Employment Act 2000 (QLD); Fair Work Act 2009 (Cth); Work Health and Safety Acts (SA & QLD); Privacy Act 1988 (Cth); AASN Guidelines

Supporting Tools and Registers

- Apprentice Induction Checklist
- WHS Induction Form
- Policy Acknowledgment Form
- Training Plan Summary
- Continuous Improvement Register
- Induction Feedback Form

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Apprentice Probation Procedure

Purpose

This procedure ensures the structured, fair, and compliant management of the probationary period for apprentices employed by WetTrade Apprenticeships (WTA).

It defines the review process, documentation, communication, and decision-making steps to assess apprentice suitability, training progress, and workplace alignment in accordance with the Apprenticeship and Traineeship Act 2001, SA GTO Standards (2025), National GTO Standards, and DTET GTO Standards (2025).

Scope

This procedure applies to:

- All apprentices employed by WTA under a valid Training Contract.
- WTA staff involved in apprentice onboarding, monitoring, and review.
- Host employers providing supervision during the probationary period.

Objectives

- Ensure apprentices receive structured support during their first three (3) months.
- Confirm apprentice and host employer suitability prior to the continuation of employment.
- Identify early performance, conduct, or welfare concerns.
- Provide fair and transparent review, documentation, and communication of outcomes.
- Comply with regulatory and contractual obligations under relevant GTO standards.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves all probation outcomes and ensures compliance with regulatory standards.
General Manager (GM)	Oversees implementation of the probation process and reviews extensions or cancellations.
GTO Coordinator /	Conducts monitoring visits, collects feedback, facilitates review meetings, and completes documentation.
Compliance Officer	Maintains the Probation Register, ensures retention of records, and monitors compliance with reporting requirements.
Host Employer	Provides performance feedback and confirms workplace suitability for continuation.
Apprentice	Participates in reviews, accepts feedback, and demonstrates commitment to training and workplace standards.

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Commencement of Probation	Confirm probation period start and end dates.	Administration / GTO Coordinator	Record probation period as per Training Contract; notify apprentice and host employer of review schedule.	Probation Tracking Register	At employment start
2. Initial Induction Review	Conduct initial check-in to confirm understanding of expectations.		Verify understanding of Code of Conduct, WHS requirements, and workplace duties.	Induction Review Record	Within first 2 weeks
3. Ongoing Monitoring	Maintain regular contact and collect feedback.	/ Mentor	Conduct at least two monitoring visits ; assess attendance, behaviour, safety, and skill development.	Site Visit Record / Apprentice Support Log	Monthly during probation
4. Performance Feedback	Review apprentice performance with host.	/ Host Employer	Provide structured feedback using Probation Review Form; identify any issues and supports required.	Apprentice Probation Review Form	Ongoing
5. Early Intervention (if required)	Implement support plan for performance or welfare issues.	/ Mentor	Refer apprentice to counselling, mentoring, or training adjustments.	Apprentice Support Plan	Within 5 business days of issue identification
6. Pre-Review Preparation	Schedule final probation meeting and gather evidence.	GTO Coordinator	Collect performance data, host feedback, and attendance/training records.	Probation Review Checklist	1 week before end of probation
7. Final Probation Review Meeting	Conduct formal review with apprentice and host.	GTO Coordinator /	Discuss progress and outcomes. Apprentice signs acknowledgment of discussion.	Probation Outcome Record	Within last week of probation
8. Determine Outcome	Confirm one of the following outcomes: <i>Confirmation</i> , <i>Extension</i> , or <i>Termination</i> .	GM / CEO	Review documentation and approve outcome. Communicate decision in writing.	Probation Decision Form	Within 5 business days of meeting
9. Reporting and Documentation	Record all findings and approvals in central system.	Compliance Officer	Upload signed forms and decisions to SharePoint; update Probation Register.	Probation Register / Apprentice File	Within 2 business days
10. Continuous Improvement	Review trends in probation outcomes.	Compliance Officer / GM	Analyse data for systemic issues; log corrective actions in Continuous Improvement Register.	Continuous Improvement Register	Quarterly

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Probation Outcomes

Outcome	Description	Action Required
Confirmed	Apprentice meets performance and behavioural expectations.	Training Contract continues; update apprentice status in register.
Extended	Apprentice requires additional time or support to meet standards.	Extension period (max. 4 weeks); new review scheduled; support plan implemented.
Terminated	Apprentice unsuitable or failed to meet expectations despite support.	Cancellation under the Apprenticeship and Traineeship Act; notification to RTO and regulator.

Early Intervention and Welfare Support

If concerns arise:

1. **Identify the issue early** (attendance, skill, attitude, or welfare).
2. **Consult with host employer** and document support actions.
3. **Provide counselling or mentoring** to assist improvement.
4. **Reassess progress** before final probation meeting.

All interventions are recorded in the **Apprentice Support Register**.

Record Management

All probation records must be securely stored in:

SharePoint → Apprentice Files → Probation Folder, including:

- Probation Review Form
- Host Employer Feedback
- Apprentice Support Plan (if applicable)
- Final Outcome Letter

Retention Period: **7 years** from apprenticeship completion.

Access: Restricted to authorised WTA personnel (CEO, GM, Compliance Officer, GTO Coordinators).

Communication and Reporting

- **Apprentice and host** are notified in writing of the final decision.
- **Compliance Officer** reports all outcomes quarterly to the **Governance and Compliance Committee**.
- **DTET and SASC notifications** are made within **10 business days** of any termination or change.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- **Standard 2** – Apprentice Employment and Welfare
- **Standard 4** – Apprentice and Host Employer Management
- **Standard 5** – Governance, Compliance and Reporting

National Standards for Group Training Organisations

- **Standard 2** – Apprentice Employment and Induction
- **Standard 4** – Monitoring, Support and Welfare
- **Standard 5** – Governance and Administration

DTET GTO Standards (2025)

- **Clause 2.1** – Apprentice Employment and Onboarding
- **Clause 4.2** – Monitoring, Support and Welfare
- **Clause 7.1** – Continuous Improvement

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Legislative and Regulatory Frameworks

- *Apprenticeship and Traineeship Act 2001 (Cth)*
- *Further Education and Training Act 2014 (QLD)*
- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Fair Work Act 2009 (Cth)*
- *Work Health and Safety Act 2012 (SA)*
- *Privacy Act 1988 (Cth)*

Supporting Registers and Tools

- Probation Tracking Register
- Apprentice Probation Review Form
- Host Employer Feedback Form
- Apprentice Support Plan
- Continuous Improvement Register

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Training Contract Management Procedure

Purpose

This procedure defines the process for approving, lodging, monitoring, and retaining apprenticeship and traineeship Training Contracts managed by WetTrade Apprenticeships (WTA), ensuring compliance with all legislative and regulatory standards.

Scope

Applies to:

- All apprentices and trainees employed under a WTA Training Contract.
- All WTA staff responsible for contract management, registration, or reporting.
- Host employers engaged in providing workplace training.

Objectives

- Ensure Training Contracts are approved and lodged within statutory timeframes.
- Define approval authority and documentation requirements.
- Ensure records are securely retained and auditable.
- Maintain compliance with SA, National, and DTET GTO standards.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves contract registration, suspension, substitution, and termination decisions. Ensures compliance with national and state standards.
Compliance Officer	Manages contract documentation, oversees lodgement with the SA Skills Commission or DTET, maintains the Training Contract Register, and ensures records meet audit standards.
GTO Coordinator /	Supports apprentices and hosts during contract setup, probation, variation, and substitution processes. Ensures all documentation is completed and forwarded for approval.
Board of Directors	Provides oversight of compliance outcomes and ensures reports meet governance and GTO registration requirements.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedure Steps

Step	Action / Description	Responsibility
1. Training Contract Preparation and Approval	• Ensure all Training Contract details are complete and accurate before signing. • Confirm correct qualification, RTO details, and supervision arrangements. • Obtain signatures from all parties (apprentice, parent/guardian if required, host employer, WTA). • CEO reviews and approves contracts prior to submission.	GTO Coordinator / CEO
2. Lodgement and Registration	• Lodge all approved Training Contracts with the South Australian Skills Commission or DTET within 14 calendar days of commencement. • Retain copies of all submitted forms and correspondence. • Compliance Officer confirms registration reference numbers and updates the Training Contract Register.	Compliance Officer
3. Probationary Period Monitoring	• Monitor apprentices throughout the 60–90-day probation period. • Conduct at least one site visit and feedback session with the apprentice and host. • Record decisions regarding continuation, variation, or cancellation. • CEO approves any cancellation within the probation period prior to lodgement.	GTO Coordinator / CEO
4. Contract Variation	• Initiate variation forms when changes occur (qualification, RTO, hours, workplace). • Obtain required signatures and submit variation to the Commission or DTET for registration. • CEO approval is required prior to submission. • Compliance Officer updates the Training Contract Register upon confirmation.	GTO Coordinator / Compliance Officer CEO
5. Suspension of Contract	• Prepare a Suspension Request when work or training cannot continue (medical, operational, or personal reasons). • Notify the Commission or DTET within 14 days of suspension. • Maintain contact with the apprentice and plan for re-engagement. • CEO authorises all suspensions prior to lodgement.	Compliance Officer CEO
6. Substitution of Host Employer	• Initiate substitution when a host employer can no longer provide suitable training. • Verify new host supervision and work capacity. • Update the Training Plan and Host Agreement. • Submit substitution details to the Commission or DTET for approval. • Record substitution in the Training Contract Register. • CEO approval required prior to lodgement.	GTO Coordinator / Compliance Officer CEO
7. Cancellation or Termination	• Consult with apprentice, host, and RTO before cancelling a Training Contract.	Compliance Officer CEO

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

	• Complete official cancellation form and lodge with Commission or DTET within 14 days. • Provide written notice to all parties. • CEO approval required before submission. • Cancellation is effective only after Commission or DTET approval.	
8. Notification and Reporting	• Notify the Commission or DTET in writing within required timeframes for any variation, suspension, substitution, or cancellation. • Maintain a Training Contract Register recording registration, variations, substitutions, and terminations. • Provide quarterly reports to the CEO and Board summarising compliance outcomes.	Compliance Officer
9. Record Retention and Lodgement	• Store all Training Contract documentation electronically in MPA Online → Governance and Compliance Register. • Retain records for a minimum of seven (7) years from completion or termination. • Ensure files are auditable, secure, and protected under the Privacy and Data Protection Policy. • Archive inactive files in accordance with the Records Management Procedure.	Compliance Officer
10. Review and Quality Assurance	• Review this procedure annually or following legislative, standard, or audit changes. • Record updates in the Governance and Compliance Register. • Implement corrective actions as part of the Continuous Improvement Procedure. • Report all updates to the CEO and Board.	Compliance Officer CEO Board of Directors

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Approval Authority

Action	Approval Authority
Training Contract registration, variation, suspension, substitution, or termination	Chief Executive Officer (CEO)
Procedure amendments and review outcomes	Board of Directors

Record Retention

Record Type	Storage Location	Retention Period
Training Contracts and Variations	Governance and Compliance Register (MPA Online)	7 years
Suspension and Substitution Records	Apprentice File → MPA Online	7 years
Cancellation Documentation	Governance and Compliance Register	7 years
Training Contract Register	Compliance Folder → MPA Online	Permanent
Correspondence and Notifications	Apprentice File → MPA Online	7 years

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 3 – Apprentice and Trainee Support
- Standard 5 – Governance, Compliance and Reporting

National Standards for Group Training Organisations (NSGTO)

- Standard 1 – Recruitment, Employment and Induction
- Standard 3 – Support, Monitoring and Feedback
- Standard 5 – Governance and Administration

DTET GTO Standards (2025)

- Clause 3.1 – Employment and Training Continuity
- Clause 4.2 – Contract and Monitoring Obligations
- Clause 7.1 – Continuous Improvement

Legislative and Regulatory Frameworks

- South Australian Skills Act 2008
- Skills Regulations 2021 (SA)
- Vocational Education, Training and Employment Act 2000 (QLD)
- Fair Work Act 2009 (Cth)
- Privacy Act 1988 (Cth)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Training Plan Development and Amendment Procedure (V2.0)

Purpose

This procedure defines the process for developing, approving, amending, and maintaining apprentice and trainee **Training Plans** in collaboration with the **Registered Training Organisation (RTO)** and **Host Employer**.

It ensures each Training Plan meets the requirements of the qualification, reflects the workplace context, and supports compliance with the **South Australian GTO Standards (2025)**, **National Standards for Group Training Organisations**, and **DTET GTO Standards (2025)**.

Scope

Applies to all apprentices and trainees employed by **WetTrade Apprenticeships (WTA)**, the partner RTO (**National Institute of Construction Skills – NICS**), and host employers providing on-the-job training.

Objectives

- Ensure all Training Plans are jointly developed and endorsed by the apprentice, WTA, the RTO, and the host employer.
- Define the approval flow and version tracking process for amendments.
- Maintain transparent and auditable documentation of all Training Plan versions.
- Support training continuity, regulatory compliance, and quality assurance.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves final Training Plans and amendments before lodgement. Ensures compliance with RTO and GTO standards.
Compliance Officer	Maintains the central register of all Training Plans and version control records. Ensures updated plans are stored in MPA Online.
GTO Coordinator /	Collaborates with the RTO and host employer to develop and review Training Plans. Ensures all parties sign and understand their responsibilities.
RTO Representative (NICS)	Prepares qualification mapping, assessment schedule, and unit sequencing. Ensures alignment with competency standards and national training packages.
Host Employer	Confirms on-the-job training opportunities, supervision, and worksite activities align with the Training Plan.
Apprentice	Participates in discussions, understands training obligations, and signs the Training Plan to confirm agreement.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedure Steps

Step	Action / Description	Responsibility
1. Initiate Training Plan Development	• Start immediately following registration of the Training Contract. • GTO Coordinator schedules a joint meeting with the apprentice, RTO, and host employer. • RTO provides the qualification details, units of competency, and delivery schedule. • WTA and the host review worksite tasks to ensure sufficient range of work and supervision for each unit.	GTO Coordinator / RTO Representative Host Employer
2. Draft Training Plan	• RTO drafts the initial Training Plan using the approved template that includes: – Apprentice and employer details. – Qualification code and title. – Units of competency and delivery sequence. – Assessment methods and timeframes. – Responsibilities of each party. • WTA reviews draft for accuracy, suitability, and alignment with workplace capacity. • Any identified gaps in range of work or supervision are addressed before approval.	RTO Representative GTO Coordinator /
3. Review and Joint Endorsement	• Circulate the draft Training Plan to the apprentice, host employer, and RTO for review. • Conduct a joint review meeting to confirm roles, unit sequencing, and supervision arrangements. • All parties must agree that the plan accurately reflects training delivery and workplace experience. • CEO approves final version prior to signing.	GTO Coordinator / CEO
4. Signing and Lodgement	• Ensure all signatures are obtained from the apprentice, host employer, WTA, and RTO. • Provide a copy to all parties. • Compliance Officer lodges the finalised plan in the apprentice's electronic file (MPA Online) and records the approval date in the Training Plan Register. • The plan must be available for inspection by the Skills Commission, DTET, or auditors.	Compliance Officer

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

5. Monitoring and Progress Review	• Review Training Plan at least every six (6) months or as required by the RTO or state authority. • Discuss progress during site visits and monitoring meetings. • Update the plan if there are changes in the qualification, unit sequence, or training arrangements.	GTO Coordinator / RTO Representative
6. Amendments to Training Plan	• Initiate an amendment if there are: – Changes to qualification, RTO, or delivery mode; – Host substitution or range of work variation; – Extended duration due to suspension or part-time arrangements. • Prepare an updated version clearly labelled with a new version number and date. • CEO approves amendments prior to circulation. • All parties (apprentice, WTA, RTO, host) must re-sign the amended plan. • Previous versions are archived and retained for audit purposes.	GTO Coordinator / Compliance Officer CEO
7. Version Tracking and Record Management	• Maintain a Training Plan Register listing version numbers, dates, and approval authorities. • Store current and superseded versions electronically in MPA Online → Apprentice File. • Ensure audit trail includes signatures, dates, and reason for amendment. • Retain all records for seven (7) years from contract completion or termination.	Compliance Officer
8. Quality Assurance and Review	• Conduct annual review of Training Plan processes with the RTO. • Identify improvements based on audits, feedback, and performance outcomes. • Record findings in the Continuous Improvement Register. • Update procedure and templates where required and communicate changes to staff and partners.	Compliance Officer CEO RTO Representative

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Approval Authority

Action	Approval Authority
Final approval of Training Plans and amendments	Chief Executive Officer (CEO)
Periodic process and template review	CEO and RTO Representative
Procedure revisions or updates	Board of Directors

Record Retention

Record Type	Storage Location	Retention Period
Approved Training Plans	MPA Online → Apprentice File	7 years
Amended Training Plans (superseded versions)	MPA Online → Archive Folder	7 years
Training Plan Register (version control)	Governance and Compliance Register	Permanent
Correspondence with RTO and Host Employers	MPA Online → Apprentice File	7 years

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 2 – Training Delivery, Planning and Coordination
- Standard 3 – Apprentice and Trainee Support
- Standard 5 – Governance, Compliance and Reporting

National Standards for Group Training Organisations (NSGTO)

- Standard 2 – Training and Assessment
- Standard 3 – Support, Monitoring and Feedback
- Standard 5 – Governance and Administration

DTET GTO Standards (2025)

- Clause 2.1 – Training Plan Development and Coordination
- Clause 3.1 – Apprentice and Host Support
- Clause 7.1 – Continuous Improvement

Legislative and Regulatory Frameworks

- South Australian Skills Act 2008
- Skills Regulations 2021 (SA)
- Vocational Education, Training and Employment Act 2000 (QLD)
- Fair Work Act 2009 (Cth)
- Privacy Act 1988 (Cth)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Training and Development Procedure

Purpose

This procedure ensures that all apprentices employed by **WetTrade Apprenticeships (WTA)** have an individual **Training Plan** that is developed, monitored, reviewed, and endorsed by all relevant parties — including the **Registered Training Organisation (RTO)**, **host employer**, and **WTA**.

It establishes a clear framework for managing on-the-job and off-the-job training progress, maintaining regulatory compliance, and supporting the continuous development of each apprentice.

Scope

This procedure applies to:

- All apprentices employed by WTA.
- Host employers providing on-the-job training and supervision.
- WTA staff involved in training coordination, compliance, and mentoring.
- The partnered RTO (National Institute of Construction Skills – NICS).

Objectives

- Ensure that all apprentices have a compliant and current **Training Plan** endorsed by all stakeholders.
- Maintain alignment between on-the-job and off-the-job training activities.
- Monitor and document apprentice progress, ensuring competency and completion within the declared timeframe.
- Support apprentices and hosts in meeting training requirements and regulatory obligations.
- Comply with all applicable GTO standards and legislative frameworks.

Roles and Responsibilities

Role / Position	Responsibilities
Chief Executive Officer (CEO)	Ensures compliance with training and development requirements; reviews periodic performance and completion data.
Compliance Officer	Monitors adherence to SA GTO, DTET, and National Standards; ensures training plans are properly endorsed, reviewed, and archived.
GTO Coordinator /	Facilitates training plan creation, monitors progress, coordinates reviews with host and RTO, and records updates.
RTO (NICS) Trainer / Assessor	Develops and maintains the training plan, records assessments, and validates competency progress.
Host Employer	Provides on-the-job training and supervision, verifies workplace competency evidence, and participates in training reviews.
Apprentice	Actively engages in both on-the-job and off-the-job training, provides evidence of completed work, and participates in reviews.
Administration Officer	Maintains records, updates student management systems, and stores endorsed training plans securely.

Procedure Steps

Step	Action / Activity	Responsibility	Process Requirements	Records & Tools	Target Timeframe
1. Training Plan Development	Initiate creation of Training Plan for new apprentice.	GTO Coordinator / RTO Trainer	On confirmation of employment, the RTO develops a draft Training Plan in consultation with WTA and the host employer.	Training Plan Template; Apprentice File	Within 10 business days of employment
	Confirm declared qualification and units of competency.	RTO Trainer	Select qualification consistent with TAP Schedule / Declared Vocations List and apprentice's trade.	Qualification Verification Log	Before commencement
	Endorse training plan.	Apprentice / Host / RTO / WTA	All parties sign the Training Plan acknowledging understanding of obligations, delivery mode, and assessment requirements.	Signed Training Plan; Induction Checklist	Prior to or on day of commencement
2. Training Plan Distribution and Storage	Provide copies of endorsed Training Plan to all parties.	Administration	Upload signed plan to apprentice file and distribute digital copies to RTO, host employer, and apprentice.	SharePoint Upload; Email Confirmation	Within 2 business days of signing
3. Training Implementation	Commence on-the-job and off-the-job training.	Apprentice / Host / RTO	Training delivery follows the approved plan, ensuring balanced exposure to all required skills and competencies.	Apprentice Logbook; Training Record	Ongoing
	Integrate supervision and mentoring.	GTO Coordinator	Confirm supervision meets ratio requirements; conduct mentoring and performance discussions.	Site Visit Contact Log; ERA	Monthly
4. Progress Monitoring and Review	Monitor apprentice progress quarterly.	GTO Coordinator / RTO Trainer	Conduct joint training review meetings (RTO, WTA, and host). Evaluate unit completion, competency progress, and workplace evidence.	Training Progress Review Form; Contact Notes	Every 3 months
	Identify issues or delays in progress.	GTO Coordinator / RTO Trainer	Record identified barriers (attendance, LLND, employer	Corrective Action Record; Support Plan	Immediately upon identification

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

			support). Develop and record corrective actions.		
5. Training Plan Updates and Variations	Review Training Plan following changes in host employer, qualification, or delivery mode.	GTO Coordinator / RTO	Update plan when: - Apprentice rotates to new host. - RTO adjusts units of competency. - Work location or delivery mode changes.	Training Plan Variation Form	Within 5 business days of change
	Obtain re-endorsement from stakeholders.	RTO / WTA / Host / Apprentice	All parties must sign the updated Training Plan to confirm understanding of new arrangements.	Signed Variation; Email Record	Within 3 business days of update
6. Competency Verification	Validate workplace competency through assessment.	RTO Trainer / Host Employer	Host completes third-party verification of workplace skills; RTO reviews evidence and records results.	Third Party Verification Form; Competency Record	Ongoing during training
7. Completion Readiness Review	Conduct pre-completion review of all units and evidence.	RTO Trainer / GTO Coordinator	Confirm all competencies achieved, contact logs completed, and all assessments marked.	Completion Readiness Checklist	30 days before proposed completion
	Endorse completion recommendation.	RTO / Host / WTA	Obtain final sign-off from RTO, host, and WTA prior to submission to regulatory authority.	Completion Agreement Form	Prior to submission
8. Record Management	Maintain all training documentation.	Administration / Compliance Officer	Store signed Training Plans, variations, progress reviews, and completion documents in secure electronic file system.	SharePoint Folder – Training Plans	Continuous
	Conduct quarterly compliance audit.	Compliance Officer	Audit sample of training plans and reviews for compliance with standards and retention requirements.	Compliance Audit Log	Quarterly

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

Monitoring and Reporting

- All training plans are subject to internal audit by the **Compliance Officer**.
- **Quarterly progress summaries** are presented to the CEO and Board.
- **Annual training outcomes report** submitted to the South Australian Skills Commission (SASC) and DTET as part of compliance reporting.

Continuous Improvement

- Feedback from apprentices, hosts, and RTO staff is reviewed at quarterly **Governance and Compliance Meetings**.
- Recommendations for improvement are recorded in the **Continuous Improvement Register**.
- Procedure updates occur whenever there are legislative, qualification, or regulatory changes.

Records Retention

All records related to Training Plans, progress reviews, and endorsements must be stored for a minimum of **seven (7) years** in:

- **SharePoint → Apprentice Files → Training & Development Folder**, and
- The RTO's student management system.

Access is restricted to authorised WTA personnel, RTO representatives, and regulators.

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
South Australian GTO Standards (2025)	Standard 2 – Apprentice Employment and Welfare; Standard 3 – Training and Support; Standard 5 – Governance, Compliance, and Reporting
National Standards for Group Training Organisations (NSGTO)	Standard 2 – Apprentice Employment and Induction; Standard 3 – Training and Supervision; Standard 5 – Governance and Administration
DTET GTO Standards (2025)	Clause 2.3 – Training and Development; Clause 4.1 – Training Plan Monitoring and Support
South Australian Skills Act 2008 & Skills Regulations 2021 (SA)	Training Contract and Training Plan requirements
Apprenticeships and Traineeships Act 2001 (QLD)	Training Plan obligations and variation approvals
Fair Work Act 2009 (Cth)	Apprenticeship employment terms and conditions
Work Health and Safety Acts (SA & QLD)	Duty of care during training delivery
Privacy Act 1988 (Cth)	Management and confidentiality of apprentice information

Recognition of Prior Learning (RPL) and Experience Procedure

Purpose

This procedure establishes a structured, fair, and compliant process for assessing and recognising prior learning and experience of apprentices employed by **WetTrade Apprenticeships (WTA)**. It ensures that Recognition of Prior Learning (RPL) applications are coordinated with the **National Institute of Construction Skills (NICS)**—WTA’s partnering Registered Training Organisation (RTO)—and assessed in accordance with the **Australian Qualifications Framework (AQF)**, the **National Vocational Education and Training Regulator Act 2011**, and **ASQA** requirements.

Scope

Applies to:

- All WTA apprentices and trainees under active Training Contracts in **South Australia and Queensland**.
- **WTA staff** (Compliance Officer, GTO Coordinators, and General Manager).
- **NICS** as the delivering RTO assessing RPL applications.
- **Host employers** supporting the apprentice’s on-the-job competency evidence.

Objectives

- Recognise prior formal, non-formal, and informal learning relevant to the apprentice’s qualification.
- Ensure RPL processes comply with AQF, ASQA, and National VET Regulator Act 2011 requirements.
- Strengthen collaboration and record-sharing between **WTA** and **NICS**.
- Maintain accurate documentation and performance records for compliance, audit, and reporting.
- Support early performance review, accurate Training Plan adjustments, and transparent outcome reporting.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Ensures compliance with the National VET Regulator Act 2011 and SA/DTET GTO standards; approves process updates and oversees audit reporting.
General Manager (GM)	Monitors the implementation of RPL and ensures outcomes are incorporated in quarterly governance reports.
Compliance Officer	Maintains RPL and Evidence Registers; verifies documentation; ensures all records meet legislative retention and audit requirements.
GTO Coordinator /	Informs apprentices of RPL opportunities; facilitates evidence collection; liaises with NICS to ensure alignment with the Training Plan.
National Institute of Construction Skills (NICS)	Conducts RPL assessments under AQF and ASQA standards; issues written determinations; updates Training Plans accordingly.
Host Employer	Verifies workplace skills, provides third-party testimonials, and assists in the evidence-gathering process.
Apprentice	Completes RPL application, provides evidence, participates in assessment, and acknowledges final decisions.

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records / Tools	Timeframe
1. RPL Awareness and Information	Inform apprentices of RPL options during induction and review meetings.	GTO Coordinator	Explain RPL pathways, evidence requirements, and NICS assessment process.	RPL Information Sheet / Induction Pack	At induction / review
2. Application Initiation	Apprentice or WTA initiates RPL application.	Apprentice / GTO Coordinator	RPL Application Form completed and verified by WTA before submission to NICS.	RPL Application Form	Within 10 business days
3. Evidence Collection	Collect supporting documentation.	Apprentice / Host Employer / GTO Coordinator	Acceptable evidence includes: prior qualifications, work history, verified competency logs, job cards, supervisor references, and photos.	Evidence Portfolio Template	Ongoing
4. RTO Assessment (NICS)	Conduct RPL assessment under ASQA and National VET Regulator Act 2011.	NICS Assessor	Assess validity, authenticity, sufficiency, and currency of evidence; determine credit outcome.	RPL Assessment Report	Within 20 business days
5. Performance Review Integration	Discuss RPL outcome with apprentice and host employer.	GTO Coordinator	Incorporate results into probation or quarterly performance review; address any skill gaps.	Apprentice Review Form	Within 10 business days
6. Documentation and Update	Record RPL results and update Training Plan.	NICS / GTO Coordinator	Reflect credit, unit adjustments, and revised duration; both apprentice and host sign acknowledgment.	Updated Training Plan / Apprentice File	Within 5 business days
7. Reporting and Record-Keeping	Record and store documentation for compliance.	Compliance Officer	Upload to SharePoint → Apprentice RPL Folder; maintain in Governance Register and report quarterly.	RPL Register / Compliance Register	Ongoing
8. Outcome Reporting	Report RPL completions to regulators and management.	Compliance Officer / GM	Include in quarterly compliance reports to SASC and DTET .	Governance & Compliance Register	Quarterly
9. Appeals and Review	Manage disputed RPL decisions.	CEO / GM / NICS	Follow Complaints and Appeals Procedure; document final resolution.	Appeals Register	Within 10 business days of appeal

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Evidence Requirements

RPL applications must meet **ASQA and AQF** evidence principles:

- **Validity** – Evidence must relate directly to the current qualification and competency.
- **Authenticity** – Evidence must be verified as the apprentice's own work.
- **Currency** – Evidence must reflect current industry practice (within 5 years).
- **Sufficiency** – A complete set of documentation must be supplied for each unit.

Evidence may include:

- Verified work samples or logbooks
- Photos of completed tasks
- Employer references and signed skill attestations
- Statements of attainment or prior certificates
- On-site competency demonstrations observed by NICS assessors

Coordination with NICS (Registered Training Organisation)

- WTA will maintain **direct communication channels** with NICS to ensure RPL assessments align with NICS training delivery schedules and quality assurance processes.
- NICS will:
 - Confirm assessment outcomes in writing to WTA.
 - Provide updated **Training Plans** and **assessment mapping** within five (5) business days of RPL approval.
 - Notify WTA of any unsuccessful applications and identify further evidence required.
- WTA and NICS will jointly review RPL data during **quarterly governance meetings** and align outcomes with audit findings and continuous improvement objectives.

Documentation and Record Management

All RPL documents must be retained for a **minimum of seven (7) years** and include:

- Application and evidence portfolio
- Assessment reports and outcome letters
- Updated Training Plans
- Apprentice acknowledgements
- Any appeal documentation

All files are to be stored securely in **SharePoint → Apprentice RPL Folder** with restricted access to authorised staff.

Records will also be logged in:

- **RPL Register**
- **Governance & Compliance Register**
- **Continuous Improvement Register** (where applicable)

Quality Assurance and Reporting

- The **Compliance Officer** will review RPL documentation quarterly for accuracy and completeness.
- The **GM and CEO** will ensure outcomes are included in governance reports and audit evidence.
- Internal audits (biannual) will verify compliance with AQF, ASQA, and National VET Regulator Act 2011.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- **Standard 1** – Governance and Accountability
- **Standard 2** – Apprentice and Trainee Support

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- **Standard 4** – Employment, Supervision and Support
- **Standard 7** – Continuous Improvement and Reporting

National Standards for Group Training Organisations (NSGTO)

- **Standard 3** – Apprentice Employment and Support
- **Standard 5** – Governance and Administration
- **Standard 7** – Continuous Improvement and Reporting

DTET GTO Standards (2025)

- **Clause 2.1** – Apprentice Employment and Support
- **Clause 4.2** – Recognition and Credit Transfer Obligations
- **Clause 7.1** – Continuous Improvement

Legislative and Regulatory Frameworks

- *Apprenticeship and Traineeship Act 2001 (Cth)* – Recognition, documentation, and outcome reporting
- *National Vocational Education and Training Regulator Act 2011 (Cth)* – Compliance with RTO standards and evidence validation
- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Vocational Education, Training and Employment Act 2000 (QLD)*
- *Standards for Registered Training Organisations (RTOs) 2015 (Cth)* — Clauses 1.12–1.16
- *Australian Qualifications Framework (AQF)*
- *Fair Work Act 2009 (Cth)*
- *Privacy Act 1988 (Cth)*
- *Work Health and Safety Act 2012 (SA)* and *Work Health and Safety Act 2011 (QLD)*

Supporting Standards and Guidelines

- *ASQA Guidelines on RPL and Credit Transfer*
- *South Australian Skills Commission – RPL and Training Contract Amendment Guidelines*
- *Department of Trade, Employment and Training (DTET) – RPL Evidence and Approval Procedures*
- *NICS RPL Assessment Tools and Validation Procedures*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Apprentice Monitoring, Support, and Cultural Safety Procedure

Purpose

This procedure establishes a unified, transparent, and auditable framework for monitoring, mentoring, and culturally safe support for all apprentices under **WetTrade Apprenticeships (WTA)**. It ensures apprentices receive regular supervision, welfare assistance, and culturally respectful mentoring while host employers maintain compliant, inclusive, and safe workplaces.

This procedure integrates:

- **Apprentice Monitoring, Counselling and Support Procedure**
- **Cultural Safety and Engagement Procedure**

It ensures full compliance with:

- **South Australian GTO Standards (2025)**
- **National Standards for Group Training Organisations (NSGTO)**
- **Queensland DTET GTO Standards (2025)**

Scope

This procedure applies to:

- All apprentices and trainees employed by WTA.
- All host employers engaged through WTA Host Agreements.
- All WTA staff involved in apprentice supervision, mentoring, counselling, or welfare management.
- First Nations apprentices and communities participating in culturally safe engagement processes.

It encompasses:

- Apprenticeship monitoring and supervision verification
- Welfare and counselling support
- Cultural safety, mentoring, and engagement protocols
- Continuous improvement and compliance reporting

Objectives

- Ensure apprentices are progressing according to their Training Plan.
- Provide culturally safe, inclusive, and supportive mentoring environments.
- Maintain safe, compliant, and respectful workplaces for all apprentices.
- Identify performance, supervision, or wellbeing issues early and implement support.
- Engage respectfully with Aboriginal and Torres Strait Islander apprentices, mentors, and community representatives.
- Maintain full compliance with GTO contractual, training, and legislative obligations.

Principles of Cultural and Psychosocial Safety

- **Respect:** Value individual cultural identity, beliefs, and lived experiences.
- **Equity:** Provide consistent access to mentoring, counselling, and training opportunities.
- **Safety:** Ensure workplaces are physically and psychologically safe.
- **Inclusion:** Embed cultural awareness and respect into all WTA and host employer activities.
- **Confidentiality:** Handle all welfare and cultural information respectfully and lawfully.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Oversees governance, cultural engagement, and welfare compliance. Approves corrective actions and escalations.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

General Manager (GM)	Reviews monitoring outcomes, approves corrective actions, and oversees cultural partnerships.
Compliance Officer	Maintains welfare, supervision, and cultural engagement records; ensures compliance with SA, National, and DTET GTO Standards.
GTO Coordinator / Mentor	Conducts site visits, monitors performance, welfare, and cultural safety; liaises with hosts, NICS, and apprentices; documents findings.
Counsellor / Apprentice Mentor	Provides confidential mentoring and counselling; supports First Nations apprentices through culturally safe practice.
Host Employer	Provides supportive and inclusive workplaces; ensures adequate supervision, cultural respect, and safety compliance.
Apprentice	Engages with mentors, participates in reviews, respects workplace standards, and follows agreed action plans.

Procedure Steps

1. Schedule and Prepare Monitoring Visits

- Visits occur:
 - Every 4 weeks during probation (first 90 days).
 - Every 3 months thereafter.
- Pre-visit actions:
 - Send Host and Apprentice Surveys.
 - Review previous visit data, Training Plan, and Work Logs.
 - Record visit plans in the **Site Visit Contact Log** within MPA Online.
- Conduct visits in person or via Teams (if remote).
Responsible: GTO Coordinator / Mentor

2. Collect Performance and Supervision Data

- Review feedback, identify changes in work quality, engagement, and supervision.
- Analyse Training Plan progress and record results in MPA Online.
- Escalate emerging issues for welfare or cultural support intervention.
Responsible: GTO Coordinator / Compliance Officer

3. Supervision Verification Process

- Confirm supervision ratios and qualified supervisors.
- Verify supervisor trade qualifications and licences (e.g., QBCC).
- Observe supervision in practice to confirm compliance.
- Record in **Supervision Verification Log**.
- Escalate non-compliance to GM or CEO if unresolved.
Responsible: GTO Coordinator / Compliance Officer / GM

4. Culturally Safe Mentoring and Engagement

- Identify apprentices who identify as Aboriginal or Torres Strait Islander.
- Assign a culturally aware mentor or counsellor.
- Develop a **Cultural Support Plan** considering:
 - Cultural obligations (e.g., Sorry Business, community commitments).
 - Communication preferences.
 - Support from Indigenous networks or Elders.
- Educate host employers on cultural safety protocols.
Responsible: Mentor / GTO Coordinator / Compliance Officer

5. Welfare Identification and Response

- Identify welfare issues such as absenteeism, conflict, or psychosocial distress.
- Make private contact within 48 hours.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Conduct a welfare assessment using the **Welfare Checklist**.
 - Document findings in the **Support & Case Management Register**.
- Responsible:** Mentor / GTO Coordinator

6. Develop and Implement Support Plans

- Collaboratively establish a **Support Plan** or **Welfare Action Plan**.
 - Determine the type of support required (mentoring, counselling, LLND, referral).
 - Obtain apprentice consent for data sharing or referrals.
 - Review progress during follow-up visits.
- Responsible:** Counsellor / Mentor / Apprentice

7. External Referral and Specialist Support

- Refer to external services when needed (e.g., Lifeline, Headspace, MATES in Construction, 1800RESPECT).
 - Ensure written consent for information sharing.
 - Document referral in the **External Referral Log**.
- Responsible:** Mentor / Compliance Officer

8. Cultural Consultation and Host Engagement

- Engage Traditional Owners, Elders, or Indigenous organisations for local advice.
 - Include cultural safety expectations in host inductions.
 - Require hosts to participate in annual **Cultural Awareness Training**.
 - Conduct site inspections that assess cultural safety indicators.
- Responsible:** GM / Mentor / Compliance Officer

9. Critical Incident Management

- For high-risk events (violence, discrimination, self-harm, or cultural conflict):
 - Ensure immediate safety.
 - Notify GM and CEO within 24 hours.
 - Record incident in the **Incident Register**.
 - Conduct post-incident welfare follow-up within 48 hours.
- Responsible:** GTO Coordinator / GM / CEO

10. Continuous Monitoring and Reporting

- Compliance Officer reviews supervision and welfare data monthly.
 - Quarterly reports summarising outcomes and trends are presented to GM and CEO.
 - Data from surveys and case files feed into the **Continuous Improvement Register**.
 - Persistent supervision or cultural non-compliance triggers refresher training or host re-approval review.
- Responsible:** Compliance Officer / GM

Records and Documentation

All documentation must be securely stored in accordance with the **Records Management Procedure** and retained for **seven (7) years**.

Records include:

- Site Visit Logs and Supervision Verification Records
- Host and Apprentice Surveys
- Cultural Support Plans and Consultation Notes
- Welfare and Case Management Registers
- WHS and Incident Reports
- Updated Training Plans and Corrective Action Logs

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Access to sensitive records is restricted to authorised personnel (CEO, GM, Compliance Officer, Counsellor).

Monitoring and Continuous Improvement

- Quarterly review of data to identify welfare, cultural, and performance trends.
- Improvement actions logged in the **Continuous Improvement Register**.
- Findings reported to the **Governance and Compliance Committee**.
- Annual review ensures compliance with evolving GTO standards, cultural frameworks, and legislative updates.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 3 – Apprentice and Trainee Support
- Standard 4 – Host Employer Management
- Standard 5 – Governance, Compliance, and Reporting
- Standard 7 – Continuous Improvement

National Standards for Group Training Organisations

- Standard 3 – Apprentice and Trainee Employment and Support
- Standard 4 – Host Employer Arrangements
- Standard 5 – Governance and Administration
- Standard 7 – Continuous Improvement

DTET GTO Standards (2025)

- Clause 2.3 – Support for Diverse and Disadvantaged Apprentices
- Clause 3.1 – Apprentice and Host Support
- Clause 4.2 – Monitoring, Welfare, and Cultural Safety
- Clause 7.1 – Continuous Improvement

Legislative and Regulatory Frameworks

- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Vocational Education, Training and Employment Act 2000 (QLD)*
- *Aboriginal and Torres Strait Islander Heritage Protection Act 1984 (Cth)*
- *Racial Discrimination Act 1975 (Cth)*
- *Fair Work Act 2009 (Cth)*
- *Work Health and Safety Act 2012 (SA) / Work Health and Safety Act 2011 (QLD)*
- *Privacy Act 1988 (Cth)*
- *Closing the Gap Implementation Plan (2021)*
- *Reconciliation Australia Workplace RAP Framework*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Cultural Safety and First Nations Engagement Procedure

Purpose

To ensure WetTrade Apprenticeships (WTA) provides a culturally safe, respectful, and inclusive employment and training environment for Aboriginal and Torres Strait Islander apprentices. This procedure establishes clear steps for cultural identification, mentoring, host-employer engagement, community consultation, and ongoing performance monitoring.

It supports SA GTO Standard 2 (Apprentice Employment and Welfare), Standard 4 (Host Employer Management), and DTET Clauses 2.3 & 4.3.

Scope

Applies to:

- All First Nations apprentices and trainees employed by WTA.
- All WTA staff responsible for recruitment, mentoring, counselling, and supervision.
- All host employers and worksites hosting First Nations apprentices.
- Partner RTOs, cultural mentors, and Indigenous community organisations participating in WTA programs.

Objectives

1. Ensure culturally appropriate mentoring and wellbeing support.
2. Engage Elders and Traditional Owners in respectful consultation.
3. Promote cultural awareness and inclusion across host employers.
4. Monitor cultural safety indicators and outcomes through measurable KPIs.
5. Integrate findings into Continuous Improvement and Governance reviews.

Principles

- **Respect:** Honour cultural identity, language, and connection to Country.
- **Self-Determination:** Support apprentices' right to define their own cultural needs.
- **Safety:** Maintain environments free from racism, discrimination, or cultural conflict.
- **Partnership:** Collaborate with community organisations and Elders.
- **Accountability:** Track and report performance against defined KPIs.

Roles and Responsibilities

Role	Responsibilities
CEO	Approves cultural partnerships; reports outcomes to the Board; signs MOU with Indigenous organisations.
General Manager	Oversees implementation of cultural safety strategy; ensures host training and KPI reporting occur quarterly.
Compliance Officer	Maintains Cultural Engagement Register and KPI Dashboard; verifies completion of host cultural training; ensures privacy compliance.
GTO Coordinator / Mentor	Identifies First Nations apprentices; creates and reviews Cultural Support Plans; coordinates with Elders and hosts.
Counsellor / Apprentice Mentor	Provides culturally informed mentoring and counselling; monitors wellbeing and attendance.
Host Employer	Demonstrates cultural awareness, provides flexible arrangements (e.g. Sorry Business leave), attends cultural training.
Apprentice	Participates in cultural support planning; communicates needs respectfully; contributes to feedback surveys.

Cultural Safety & First Nations Engagement Procedure

Step	Description	Responsibility	Records / Evidence
1. Cultural Identification and Initial Planning	- At recruitment or induction, apprentices may self-identify as Aboriginal or Torres Strait Islander. - GTO Coordinator records identification confidentially in the <i>Apprentice Profile Register</i> - Initiate a <i>Cultural Support Plan (CSP)</i> within 10 business days of identification.	GTO Coordinator / Compliance Officer	Apprentice Profile Register Cultural Support Plan (CSP)
2. Assign Mentor and Develop Cultural Support Plan	- Assign a culturally aware mentor or external Indigenous mentor. - Develop CSP outlining cultural obligations (e.g., Sorry Business, community commitments), preferred communication, flexibility requirements, and supports. - Review CSP quarterly or after incidents.	Mentor / GTO Coordinator / Compliance Officer	Cultural Support Plan Case Management Register
3. Host Employer Cultural Engagement	- Verify host's completion of <i>Cultural Awareness Training</i> prior to placement. - Provide hosts with <i>Cultural Safety Briefing Sheet</i> and local contact list. - Include cultural expectations in <i>Host Induction Checklist</i>. - Hosts must complete training within 30 days or risk suspension.	Compliance Officer / GM / Host Employer	Host Induction Checklist Training Verification Log
4. Community Consultation and Partnerships	- Engage Traditional Owners, Elders, or Indigenous organisations for cultural advice. - Record consultations and outcomes in the <i>Cultural Engagement Register</i>. - Develop MOUs with Indigenous organisations for mentoring and cultural support.	GM / Mentor / Compliance Officer	Cultural Engagement Register MOUs with Indigenous Organisations
5. Monitoring and Review	- Conduct quarterly CSP reviews to track outcomes and participation. - Analyse data on retention, host participation, and incidents. - Table results in <i>Governance & Compliance Committee</i> and log actions in the <i>Continuous Improvement Register</i>.	GTO Coordinator / Compliance Officer / GM	CSP Reviews Quarterly Compliance Reports Continuous Improvement Register

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

6. Incident and Escalation Protocols	- Any cultural conflict or discrimination must be logged in the <i>Incident Register</i> and escalated to GM within 24 hours. - Conduct welfare follow-up within 48 hours; update CSP and record any actions. - External referrals to approved First Nations or wellbeing services require apprentice consent.	GTO Coordinator / Counsellor / GM	Incident Register CSP Updates Referral Log
7. KPI Monitoring and Reporting	- Track and analyse key metrics quarterly: % of First Nations apprentices with current CSP (Target: 100%) % of host employers trained in cultural awareness (Target: 95%) - Retention rate of First Nations apprentices (Target: ≥85%) - Number of Elder/community consultations (≥1 per quarter/region) % of cultural incidents resolved within 5 business days (Target: 100%) - Report findings in <i>Quarterly Governance Reports</i>.	Compliance Officer / GM / CEO	KPI Dashboard Governance Reports Continuous Improvement Register
8. Review and Continuous Improvement	- Procedure reviewed annually or when legislative or DTET changes occur. - Cultural KPI results incorporated into WTA's <i>Self-Assessment Report</i>. - Lessons learned logged in the <i>Risk Register</i> and <i>Continuous Improvement Register</i>.	GM / Compliance Officer / CEO	Annual Procedure Review Self-Assessment Report Risk Register
9. Recordkeeping	- All records retained for seven (7) years in accordance with the <i>Records Management Procedure</i>. - Access restricted to authorised personnel (CEO, GM, Compliance Officer, Counsellor).	Compliance Officer	Secure SharePoint Directory Records Management Procedure

1. Cultural Identification and Initial Planning

- On recruitment or induction, apprentices may self-identify as Aboriginal or Torres Strait Islander.
- GTO Coordinator records status confidentially in the **Apprentice Profile Register**.
- Where identified, initiate a **Cultural Support Plan (CSP)** within 10 business days.
- Responsible: GTO Coordinator / Compliance Officer.

2. Assign Mentor and Develop Cultural Support Plan (CSP)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Appoint a culturally aware mentor or external Indigenous mentor (if available).
 - CSP must document:
 - Cultural obligations (Sorry Business, community events).
 - Preferred communication and support strategies.
 - Required flexibility or leave arrangements.
 - Review CSP quarterly and after any major incident.
- 3. Host Employer Cultural Engagement**
- Before placement, verify host completion of **Cultural Awareness Training**.
 - Provide hosts with the **Cultural Safety Briefing Sheet** and local community contact list.
 - Include cultural expectations in the **Host Employer Induction Checklist**.
 - Non-compliant hosts must complete training within 30 days or risk suspension.
- 4. Community Consultation and Partnerships**
- Engage local Traditional Owners or Elders for guidance on culturally appropriate practices and local protocols.
 - Document consultations in the **Cultural Engagement Register** with dates and outcomes.
 - Where possible, establish MOUs with Indigenous organisations for mentoring or training support.
- 5. Monitoring and Review**
- GTO Coordinator conducts quarterly reviews of CSP implementation.
 - Compliance Officer analyses data on retention, host training, and incident reports.
 - Findings are reported to the Governance & Compliance Committee and fed into the **Continuous Improvement Register**.
- 6. Incident and Escalation Protocols**
- Any cultural conflict or discrimination must be logged in the **Incident Register** and escalated to the GM within 24 hours.
 - Conduct a welfare follow-up within 48 hours and update the CSP.
 - External referrals to specialist services (e.g. QATSICPP, Healing Foundation) require apprentice consent.

Key Performance Indicators (KPIs)

KPI	Target / Frequency	Data Source & Responsibility
% of First Nations apprentices with current Cultural Support Plan (CSP)	100% within 10 days of identification	Compliance Officer – Quarterly audit
% of host employers with completed Cultural Awareness Training	95% by end of each financial year	GM / Compliance Officer
First Nations apprentice retention rate	≥ 85% annual average	GTO Coordinator / HR Analytics
Number of Elder or community consultations recorded	Minimum 1 per quarter per region	Mentor / Compliance Officer
Cultural safety issues resolved within 5 business days of report	100% compliance	Compliance Officer / GM
Quarterly report tabled to Governance & Compliance Committee	4 per year	CEO / GM

Records and Registers

- Cultural Support Plans (CSP)
- Cultural Engagement Register
- Host Employer Training Verification Log
- Incident Register – Cultural Safety Cases

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Continuous Improvement Register (Cultural Actions)
All records are retained for seven (7) years under the **Records Management Procedure** and access is restricted to authorised staff (CEO, GM, Compliance Officer, Counsellor).

Review and Continuous Improvement

- Procedure reviewed annually or after legislative change.
- Outcomes reported through Quarterly Governance Meetings and DTET Self-Assessment Reports.
- Performance data feeds into the Continuous Improvement Register and Risk Register for Board oversight.

Applicable Standards and Legislation

- SA GTO Standards (2025): Standards 2, 3, 4 & 7
- National GTO Standards: Standards 2 & 4
- DTET GTO Standards (2025): Clauses 2.3, 2.4, 4.3, 7.1
- South Australian Skills Act 2008 & Skills Regulations 2021
- Work Health and Safety Act 2012 (SA)
- Fair Work Act 2009 (Cth)
- Privacy Act 1988 (Cth)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Apprentice Recommencement Procedure

Purpose

To outline the process for identifying, assessing, and recommencing existing apprentices into employment with **WetTrade Apprenticeships (WTA)** and matching them to appropriate host employers.

This procedure ensures that recommenced apprentices are suitable, properly assessed, and placed in compliance with the **South Australian GTO Standards (2025)**, **National GTO Standards**, and **DTET GTO Standards (2025)**.

Scope

Applies to all WTA staff involved in:

- The identification and assessment of existing apprentices seeking recommencement
- Matching apprentices with suitable host employers
- Facilitating training contract recommencement and onboarding processes

Procedure

Determine Recommencement Need

GTO Coordinator

- Review **Expressions of Interest** from existing apprentices seeking recommencement.
- Confirm recommencement needs based on feedback from host employers, industry networks, and Government workforce scans.
- Identify available apprentices whose training was suspended, cancelled, or paused but who remain eligible for recommencement.
- Confirm recommencement opportunities align with organisational capacity and current program objectives.

Confirm Potential Host Employers

GTO Coordinator

- Review the **Host Employer Register** and stakeholder engagement data to confirm employers currently seeking apprentices.
- Ensure apprentice-to-supervisor ratios are compliant with relevant training and WHS regulations.
- Confirm the type of apprentice required (new entrant, first year, second year, or third year).
- Verify there are adequate supervisors and negotiate arrangements for proper supervision on-site.
- Conduct an **initial Employer Resource Assessment (ERA)** to determine capacity for training and supervision (to be repeated once a match is made).
- Confirm the number of positions available for recommencement.

Confirm Arrangements with Selected Host Employers

GTO Coordinator

- Confirm:
 - Apprentice level required by each host
 - Worksite locations and travel requirements
 - Duration and amount of work available
 - Tools, PPE, and equipment required to be supplied by the apprentice
 - Any transport needs or logistical arrangements
 - Potential start dates and hosting periods
- Record details on the **Host Employer Engagement Log**.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Screen Apprentice Applications

GTO Coordinator

- Review Expressions of Interest and previous training records for recommencing apprentices.
- Assess suitability based on prior performance, career goals, and alignment with host employer requirements.
- Shortlist apprentices for interview.
- Contact shortlisted apprentices to schedule interviews and request identification (driver's licence, Medicare card, etc.).
- Ensure all applicant information is saved to the apprentice's account.

Conduct Interviews

Administration or HR Manager

- Schedule interviews with shortlisted apprentices and confirm availability.

GTO Coordinator

- Prepare standardised interview questions focusing on:
 - Apprentice's goals and commitment to completing their qualification
 - Prior trade experience, technical knowledge, and employment history
 - Understanding of apprenticeship structure and expectations
- Determine the most appropriate interview format (phone, online, or in-person).
- Obtain approval to take copies of identification for recordkeeping.
- Conduct interviews objectively and take clear, detailed notes of responses.
- Confirm the apprentice has reviewed the WTA website and understands GTO-hosted employment arrangements.
- Provide additional guidance or clarification as required.

Administration

- Ensure copies of identification are retained securely within the apprentice's electronic account.

Assess Apprentices and Check References

GTO Coordinator

- Evaluate candidates based on interview performance, experience, and suitability for the host environment.
- Conduct reference checks to verify employment history, work ethic, and reliability.
- Document all assessment findings in the **Apprentice Suitability Checklist**.
- Record recommendations for employment or non-selection.

Select Final Apprentice/s

GTO Coordinator

- Review interview notes, assessment outcomes, and references.
- Compare apprentice suitability against host employer requirements.
- Consider additional factors such as career goals, cultural fit, and potential for growth.
- Select the final apprentice/s who meet both WTA and host employer expectations.
- Notify unsuccessful candidates respectfully and maintain records for future opportunities.

Send Letter of Offer

GTO Coordinator

- Prepare and send the Letter of Offer outlining employment conditions, pay, start date, and placement arrangements.
- Attach the Apprentice Handbook to the Letter of Offer.
- Confirm:

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Work location and host employer
- Travel and transport arrangements
- Tools or PPE requirements
- Apprentice's understanding of host employer relationship and training obligations
- Ensure the apprentice provides written acceptance (email confirmation acceptable).
- Notify other shortlisted candidates respectfully of the outcome.

Onboarding – Prior to Commencement

GTO Coordinator

- Contact the Australian Apprenticeship Support Network (AASN) provider to initiate or update the Training Contract for recommencement.
- Schedule the recommencing apprentice's first day or induction session.
- Organise Work Health and Safety training and induction prior to commencement where possible.
- Confirm that all required forms (Tax File Declaration, Superannuation Nomination, Apprentice Information Form) have been completed.
- File all onboarding documentation to the apprentice's account.

Roles and Responsibilities

Role / Position	Responsibilities
<i>GTO Coordinator</i>	Oversees recommencement process, assesses apprentice suitability, matches with host employers, and manages documentation.
<i>HR Manager / Administration</i>	Schedules interviews, ensures document control and secure record storage, and updates apprentice files.
<i>Compliance Officer</i>	Ensures compliance with GTO and legislative requirements for recommencement and recordkeeping.
<i>General Manager</i>	Provides oversight of final approvals and ensures regulatory reporting compliance.

Continuous Improvement

- All recommencement activities and outcomes are reviewed quarterly through the Continuous Improvement Register.
- Feedback from apprentices and host employers is collected to evaluate effectiveness of the recommencement process.
- Identified process improvements are implemented and recorded for audit purposes.

Related Documents

- Apprentice Recruitment and Placement Procedure
- Host Employer Management Policy
- Host Employer Onboarding and Monitoring Procedure
- Apprentice Support Policy
- Continuous Improvement Register
- Group Training Compliance Checklist

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
<i>South Australian GTO Standards (2025)</i>	Standard 2 – Apprentice Employment and Welfare; Standard 4 – Host Employer Management
<i>National GTO Standards</i>	Standard 2 – Apprentice Support and Engagement
<i>DTET GTO Standards (2025)</i>	Clause 2.6 – Apprentice Recommencement; Clause 4.2 – Host Management
<i>South Australian Skills Act 2008 & Skills Regulations 2021</i>	GTO registration, apprentice recommencement and contract obligations
<i>Fair Work Act 2009 (Cth)</i>	Employment conditions and workplace relations
<i>Work Health and Safety Act 2012 (SA)</i>	Duties of care during recommencement placements
<i>Privacy Act 1988 (Cth)</i>	Secure management of apprentice personal data and application materials

Apprentice Transfer & Rotation Procedure

Purpose

This procedure ensures WetTrade Apprenticeships (WTA GTO) maintains continuous apprentice employment and training progression through structured rotations, transfers, and substitutions between compliant host employers.

It ensures compliance with the South Australian GTO Standards (2025), the National Standards for Group Training Organisations (NSGTO), and the Department of Trade, Employment and Training (DTET) GTO Standards (2025).

The process protects training continuity, ensures host compliance, and maintains full audit evidence and notification to the SA Skills Commission and DTET.

Scope

Applies to all WTA-employed apprentices and host employers in South Australia and Queensland. It covers rotations, redeployments, and host substitutions involving GTO Coordinators, Compliance and Administration teams, Mentors, RTO partners (NICS), and Executive Management.

Triggers

Rotations and transfers may occur due to:

- Gaps in range of work or units identified in RTO progress reports.
- Host capacity changes (e.g., downturn, completion of projects).
- Loss of host compliance or registration.
- Apprentice welfare or behavioural issues requiring a change of site.
- Regulatory direction from DTET or the SA Skills Commission.

Guiding Principles

- Ensure no disruption to training or employment continuity.
- Prioritise safety and supervision quality.
- Meet all SA and QLD notification and approval obligations.
- Communicate clearly and transparently with all parties.
- Record every decision, approval, and communication for audit.

Definitions

- **Rotation:** Planned move to a new host employer to expand experience or fulfil training plan requirements.
- **Transfer:** Permanent change of host following completion, host withdrawal, or apprentice request.
- **Substitution:** Commission-approved replacement of a host employer in SA where the original host becomes prohibited, non-compliant, or ceases trading.
- **Redeployment:** Temporary reassignment to maintain employment and pay continuity while awaiting placement.

Decision Path

- **Immediate WHS or supervision risk?**
 - If yes: remove apprentice immediately, provide alternate training or duties, and commence urgent redeployment.
 - If no: proceed with standard rotation or substitution process.
- **Is host compliant and eligible?**
 - If yes: proceed with standard rotation workflow.
 - If no: initiate substitution (SA) or DTET transfer notification (QLD).

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- **Can redeployment occur within 10 business days?**
 - If yes: continue and monitor.
 - If no: escalate to General Manager and assign simulated or RTO-based work.

Rotation Workflow

Pre-Rotation Checks

- Complete training plan gap analysis and verify host eligibility.
- Conduct apprentice welfare discussion and align with NICS on unit sequencing.

Approvals and Documentation

- Record the reason for rotation and expected outcomes.
- Update or issue a Host Agreement Addendum.
- Amend Training Plan, payroll, and apprentice records.
- Obtain Compliance Officer approval.

Communication

- Notify apprentice and hosts in writing with at least ten business days' notice (less for safety-related transfers).

Commencement and Monitoring

- Conduct WHS induction and supervisor introduction.
- Complete first-week welfare check and first-month site visit.
- Log findings in the Site Visit Contact Log and Rotation Register.

Substitution Workflow (SA Only)

Immediate Action

- Withdraw apprentice if host becomes prohibited, ceases trading, or is deemed unsafe.
- Notify the SA Skills Commission within three business days.

Submission Pack

- Include reason for substitution, supporting evidence (ASIC extract or notice), apprentice consent, and proposed new host details.
- Await written approval before the apprentice commences with the new host.

Placement and Induction

- Execute new Host Agreement, update Training Plan, and complete WHS induction.
- Conduct first-week welfare check.

Interim Measures

If no suitable host is available:

- Assign simulated or RTO-based training.
- Maintain wage continuity and contact schedule.

DTET Notification Workflow (QLD)

Step	Action	Responsible	Timeframe	Record
Confirm transfer decision	GTO Coordinator	Day 0	Decision Note	
Update apprentice and payroll records	Administration	Within 1 day	Payroll Log	
Submit DTET Host Change Notification via Apprenticeships Info	Compliance Officer	Within 3 business days	DTET Confirmation	

Document name	WTA Procedure Manual			
Version number	4	Review date	September 2026	

File all evidence	Administration	Same day	Regulatory Notifications Register	
-------------------	----------------	----------	-----------------------------------	--

SA Skills Commission Notification Workflow

Step	Action	Responsible	Timeframe	Record
Prepare Substitution Submission Pack	Compliance Officer	Within 3 business days	Substitution File	
Submit and await approval	Compliance Officer	Prior to new host start	Lodgement Receipt	
File approval and update Training Contract	Administration	Same day	Apprentice Folder / Governance Register	

Training Continuity

- Re-align training plans with NICS to accommodate new work exposure.
- Record amendments on the Training Plan Amendment Form.
- Maintain continuous employment and wage payment during transition.

Risk, WHS, and Supervision Controls

- Confirm WHS systems, insurance, and supervisor qualifications prior to rotation.
- Implement increased supervision for the first two to four weeks post-rotation.
- Record verification in the Host Compliance Register.

Performance Timeframes

Milestone	Target Timeframe	Escalation
Initial triage and decision	Within 2 business days	Compliance Officer
Rotation plan approval	Within 5 business days	General Manager
SA substitution submission	Within 3 business days	CEO approval required
Redeployment completion	Within 10 business days	Escalate to Board Delegate
First-week welfare check	Within 5 business days	Mentor
First-month monitoring visit	Within 30 days	Compliance Officer

Forms, Registers, and Records

- Apprentice Rotation or Transfer Request Form
- Host Employer Assessment Checklist
- DTET Host Change Form (QLD)
- SA Skills Commission Substitution Pack (SA)
- Training Plan Amendment Form
- Host Agreement Addendum
- Site Visit Contact Log
- Welfare and Case Notes Register
- Regulatory Notifications Register
- Continuous Improvement Register

All records are retained for a minimum of seven (7) years and stored securely within the Apprentice Folder and SharePoint governance system.

Continuous Improvement

The Compliance Officer conducts quarterly reviews of all rotations and substitutions to confirm notification compliance, redeployment timeliness, and systemic issues.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Findings are presented to the Governance and Compliance Committee and recorded in the Continuous Improvement Register.

Roles and Responsibilities

Role	Responsibilities
CEO / General Manager	Approves high-risk substitutions and ensures compliance with SA Skills Commission and DTET reporting.
Compliance Officer	Submits regulatory notifications, verifies host eligibility, maintains registers, and audits rotation compliance.
GTO Coordinator /	Initiates rotation, conducts checks, communicates with all parties, and completes welfare follow-ups.
RTO Liaison (NICS)	Updates and re-sequences training plans and evidence.
Administration Officer	Manages filing, recordkeeping, and data integrity.
Host Employer	Provides safe systems, qualified supervision, and access to relevant work.
Apprentice	Participates in induction, follows safety procedures, and communicates any concerns.

Applicable Standards and Regulatory Frameworks

- **South Australian GTO Standards (2025):**
Standard 2 – Host Employer Suitability and Management
Standard 3 – Apprentice Employment, Support, and Welfare
Standard 4 – Monitoring, Training Continuity, and Reporting
- **National Standards for Group Training Organisations:**
Standard 2 – Host Employer Management
Standard 3 – Apprentice Support and Monitoring
Standard 5 – Governance and Administration
- **DTET GTO Standards (2025):**
Clause 3.2 – Employment and Contract Management
Clause 4.1 – Workplace Safety
Clause 4.2 – Monitoring and Support
Clause 5.2 – Notification and Reporting
- **Legislative Frameworks:**
Skills Act 2008 (SA) and Skills Regulations 2021 (SA)
Vocational Education, Training and Employment Act 2000 (QLD)
Fair Work Act 2009 (Cth)
Work Health and Safety Acts 2011 (QLD) & 2012 (SA)
Privacy Act 1988 (Cth)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Host Employer Training Contract Transfer Procedure

Purpose

This procedure outlines the process for transferring an apprentice's training contract from WetTrade Apprenticeships (WTA) to a host employer who wishes to assume direct employment.

It ensures every transfer protects the apprentice's welfare, maintains training continuity, and complies with all GTO standards, legislative, and departmental requirements.

Scope

Applies to:

- Apprentices currently employed by WTA whose host employer requests to assume direct responsibility for their training contract.
- Host employers seeking to take over an apprentice directly.
- WTA Coordinators, Mentors, Compliance Officers, Payroll, and Management.
- The supervising Registered Training Organisation (RTO).

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedural Workflow

Step	Procedure	Responsibility	Records / Evidence
1. Host Employer Expression of Interest (EOI)	- Host employer submits a formal written request to WTA indicating their intention to take over the apprentice's training contract. - WTA acknowledges receipt within 48 hours and logs it in the Training Contract Transfer Register.	Host Employer / Administration Officer	Email / EOI Form Training Contract Transfer Register
2. Initial Eligibility and Risk Assessment	- WTA verifies that the apprentice has completed a minimum period (generally probation) and that the host has a satisfactory record of compliance. - Conduct a risk assessment to confirm WHS, insurance, and supervisory arrangements are adequate. - Escalate any identified risks to the GM for review.	Compliance Officer / GTO Coordinator / GM	Host Employer Risk Assessment Form Due Diligence Checklist
3. Apprentice Consultation and Consent	- Conduct a confidential meeting with the apprentice to explain the proposed transfer, rights, entitlements, and implications. - Apprentice provides written consent before proceeding. - Document the meeting summary and consent form.	GTO Coordinator / Mentor / Compliance Officer	Apprentice Consent Form Meeting Record
4. Host Employer Due Diligence Verification	- Verify host employer details (ABN, business registration, insurance, and WHS compliance). - Check supervisory ratios, qualifications, and wage capacity. - Ensure no active or previous prohibition notices exist. - Confirm site visit history and satisfactory performance.	Compliance Officer / GTO Coordinator	Due Diligence Verification Form Supervisor Register WHS Site Audit Report
5. RTO Confirmation of Training Continuity	- Liaise with the RTO to ensure the transfer will not interrupt training delivery or assessment arrangements. - Obtain written RTO confirmation that units of competency will continue seamlessly. - File confirmation in the apprentice's record.	Compliance Officer / RTO Liaison	RTO Continuity Confirmation Letter
6. DTET Notification and Approval	Complete and lodge the Permanent-transfer-of-a-registered-training-contract-atf-039-v17-may-2025 with the Department for Training, Employment and Skills (DTET).	Compliance Officer	DTET Transfer Form Email Lodgement Record

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

	• Include: apprentice consent, host due diligence documents, RTO confirmation, and risk assessment. • Await DTET written approval before finalising employment transition.		
7. Contract Variation and Sign-off	• Upon DTET approval, prepare the updated Training Contract Variation Notice reflecting the host as the new employer. • CEO or GM signs on behalf of WTA to confirm release.	GM / CEO / Compliance Officer	Signed Contract Variation Approval Letter
8. Financial and Administrative Finalisation	• Process final WTA payroll and entitlements for the apprentice in line with <i>Fair Work Act 2009 (Cth)</i>. • Provide the host employer with relevant wage, superannuation, and leave transition advice. • Archive WTA employment records per <i>Privacy Act 1988 (Cth)</i>.	Payroll Officer / Administration	Final Payroll Record Employee Separation Report
9. Handover to Host Employer	• Provide the host with copies of the training plan, supervision requirements, and relevant contact details. • Confirm insurance arrangements under the host's responsibility. • Conduct post-transfer induction with both parties.	GTO Coordinator / Compliance Officer	Training Plan Handover Form Induction Record
10. Post-Transfer Follow-Up	• Conduct follow-up contact with both apprentice and host within 30 days of transfer. • Confirm stability, training progress, and satisfaction. • Record outcomes and improvement opportunities in the Continuous Improvement Register.	GTO Coordinator / Mentor	Follow-Up Record Continuous Improvement Register

Key Timelines

Action	Expected Timeframe
Acknowledge host request	Within 48 hours
Complete assessment and obtain consent	Within 10 business days
Submit DTET transfer form	Within 5 business days after consent
Receive DTET approval and finalise transfer	Within 20 business days total
Complete post-transfer follow-up	Within 30 days of transfer

Roles and Responsibilities

Role	Responsibilities
CEO / General Manager	Approves all transfers, ensures compliance with standards, and oversees reporting to DTET and SASC.
Compliance Officer	Manages transfer documentation, verifies host compliance, liaises with RTOs, and submits DTET forms.
GTO Coordinator / Mentor	Provides apprentice consultation, facilitates communication, and conducts follow-up support.
Payroll Officer	Processes final payments and entitlements and ensures financial compliance.
Administration Officer	Logs requests, maintains the transfer register, and ensures document control.
RTO Representative	Confirms continuity of training and updates the training plan accordingly.

Records and Documentation

All records must be securely stored for **a minimum of seven (7) years** in accordance with the *Privacy Act 1988 (Cth)* and WTA's **Records Management Policy**.

Required documentation includes:

- Host Employer Request and Due Diligence Checklist
- Apprentice Consent Form
- RTO Endorsement Letter
- DTET Transfer Form and Approval
- Contract Variation and Handover Record
- 30-Day Follow-Up Report

Monitoring and Review

- The **Compliance Officer** reviews all transfer cases quarterly to verify adherence to process and timelines.
- The **Governance and Compliance Committee** reviews summary data annually for inclusion in the **Annual Self-Assessment Report**.
- Any improvement actions are logged in the **Continuous Improvement Register**.

Performance Indicators (KPIs)

Indicator	Target	Evidence Source
Host request acknowledged within 48 hours	100%	Transfer Register
Apprentice consent obtained before submission	100%	Signed Consent Forms
Transfer completed within 20 business days	≥90%	Transfer Register
Post-transfer follow-up completed	100%	Follow-Up Reports
Compliance breaches	0	Audit Reports

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Applicable Standards and Regulatory Frameworks

This procedure aligns with the following standards and legal requirements:

South Australian GTO Standards (2025)

- **Standard 2:** Recruitment, Employment and Training Arrangements
- **Standard 3:** Risk Management and Support
- **Standard 4:** Host Employer Management
- **Standard 5:** Governance and Recordkeeping
- **Standard 7:** Continuous Improvement and Reporting

National Standards for Group Training Organisations

- **Standard 2:** Apprentice Employment and Welfare
- **Standard 4:** Host Employer Management
- **Standard 5:** Compliance and Reporting

DTET GTO Standards (2025)

- **Clause 2.6:** Completion, Suspension, and Transfer of Training Contracts
- **Clause 3.1:** Risk and Governance Framework
- **Clause 4.3:** Host Employer Supervision and Engagement
- **Clause 5.1:** Recordkeeping and Reporting Obligations

Relevant Legislation and Regulations

- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Fair Work Act 2009 (Cth)*
- *Work Health and Safety Act 2012 (SA)*
- *Privacy Act 1988 (Cth)*

Review

This procedure will be reviewed annually or sooner if directed by the **CEO, SASC, or DTET**.

Revisions will be recorded in the **Governance and Compliance Register**.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Apprentice Completion Procedure

Purpose

To establish a consistent, compliant, and transparent process for the completion of apprentices employed by **WetTrade Apprenticeships (WTA)**.

This procedure ensures all requirements are met prior to confirming completion, including **RTO verification, employer sign-off, record retention, and timely reporting** to the **South Australian Skills Commission (SASC)** and **Department of Training, Employment and Trades (DTET)**.

Scope

Applies to:

- All apprentices completing training through WTA in partnership with the **National Institute of Construction Skills (NICS)**.
- GTO Coordinators, NICS Trainers, Administration Officers, and Compliance staff responsible for completion verification and reporting.
- Host employers responsible for validating on-the-job competency achievement.

Objectives

- Ensure all on-the-job and off-the-job competencies are fully completed and verified.
- Confirm employer and apprentice sign-off of competency and satisfaction with training outcomes.
- Maintain accurate, auditable completion documentation.
- Meet statutory reporting obligations to **SASC** and **DTET** within required timeframes.

Roles and Responsibilities

Role / Position	Responsibilities
<i>NICS Trainer</i>	Verifies completion of all training and assessment records, confirms competency for each unit, and signs off on completion.
<i>GTO Coordinator</i>	Confirms on-the-job competence, obtains employer and apprentice signatures, and submits completion agreement.
<i>Host Employer</i>	Verifies apprentice has met workplace competency standards and signs the completion agreement.
<i>Administration Officer</i>	Conducts document verification, compliance checks, and submits final completion package to NICS and relevant authorities.
<i>Compliance Officer</i>	Ensures retention of all completion documentation, monitors reporting timeframes, and verifies audit readiness.

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Trainer Verification of Competency	Verify all training documentation and unit completion.	NICS Trainer	Review apprentice file to confirm: • Third-party verifications completed for all units of competency. • Contact logs completed for all units. • Practical assessment checklists uploaded and signed. • Practical evidence, photos, and workplace entries finalised. • Theory assessments marked and signed. • All assessment documentation dated and signed. • Competency verified and recorded in student management system.	Trainer Verification Form; Apprentice Assessment File	Prior to completion request
2. Administration Verification	Verify completeness of apprentice training documentation.	Administration	Confirm: • Third-party verifications for all units. • Assessment evidence, contact logs, and workplace entries completed. • Photos uploaded into the Workplace Activity Recorder. • Contribution fees fully paid. • Any outstanding evidence rectified with host employer or trainer. • Photographic evidence supports assessment outcomes. • Learner Engagement Questionnaire (AQTF Learner Survey) sent to apprentice.	Completion Verification Checklist	Prior to completion submission
3. Rectification and Validation (if required)	Address gaps or incomplete evidence.	Administration / NICS Trainer / Host Employer	Where discrepancies exist: • Contact host employers for missing third-party verifications. • Contact trainers for missing evidence or incomplete assessments.	Rectification Record; Host Verification Form	As required prior to submission

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

			• Confirm all theory marking complete and competency achieved in 100% of units.		
4. <i>Confirm On-the-Job Competence</i>	Verify that apprentice is competent and ready for completion.	GTO Coordinator	Review on-the-job evidence and feedback from host employer. Ensure apprentice meets trade competency standards. Obtain confirmation from host employer that all workplace tasks have been achieved.	Employer Competency Verification Form; Site Visit Notes	Prior to signing completion agreement
5. <i>Completion Agreement Sign-Off</i>	Execute the formal completion agreement.	GTO Coordinator / Apprentice / Host Employer / NICS Trainer	• Confirm completion date with all parties. • Ensure signatures of the apprentice, GTO Coordinator, host employer, and NICS representative. • File signed Completion Agreement.	NICS Completion Agreement Form	Within 5 business days of verification
6. <i>Submit Completion for RTO Finalisation</i>	Submit signed completion documentation to NICS.	Administration	Email signed Completion Agreement and supporting evidence to training@nics.com.au for RTO verification and lodgement with the Department.	Email Record; Completion Package	Within 2 business days of sign-off
7. <i>Final Reporting to Authorities</i>	Report completion outcomes to SASC and DTET.	NICS Administration / WTA Administration	Ensure completion details are uploaded to: • AVETMISS database within required reporting period. • SASC and DTET notified of completion outcomes via prescribed reporting channels. • WTA retains proof of submission.	AVETMISS Export Log; Completion Report	Within 30 days of completion date
8. <i>File Retention and Compliance Check</i>	Ensure all completion records are retained and auditable.	Administration / Compliance Officer	File the following in the apprentice's electronic record: • Completion Agreement (signed) • Verification Checklists • Host Employer confirmation • AQTF Learner Survey • NICS confirmation email • Group Training Compliance Checklist	Apprentice File / SharePoint Upload	Within 5 business days of submission
9. <i>Record Continuous Improvement Data</i>	Record feedback and completion review data.	Compliance Officer	Collect completion feedback from apprentice and host for continuous improvement analysis. Log any procedural or documentation issues identified.	Continuous Improvement Register	Ongoing

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Documentation and Record Keeping

All completion-related documents must be stored electronically in SharePoint → Apprentice Files → Completion Folder and retained for a minimum of seven (7) years.

Hard copies (if applicable) must be scanned and uploaded to the digital record.

Records to include:

- Signed Completion Agreement
- Trainer Verification Form
- Employer Competency Verification Form
- Apprentice Suitability Checklist (final version)
- Completion Verification Checklist
- AQTF Learner Engagement Survey
- Group Training Compliance Checklist
- Email evidence of submission to NICS and DTET

Reporting Requirements

Reporting Requirement	Responsible Party	Destination / Format	Timeframe
RTO Completion Notification	NICS	Submission to DTET via RTO portal	Within 5 days of completion confirmation
GTO Completion Confirmation	WTA Administration	Notification to SASC via official template or electronic upload	Within 30 days of completion
AVETMISS Data Update	NICS	National VET Provider Collection	Next scheduled quarterly reporting period
Internal Record Update	WTA Compliance Officer	SharePoint Apprentice Record updated	Immediately upon completion

Continuous Improvement

- All completion activities are subject to quarterly internal audits.
- Any delays, errors, or incomplete documentation are recorded in the **Continuous Improvement Register** for follow-up.
- Feedback from apprentices, trainers, and employers is analysed annually to enhance the completion process.

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
South Australian GTO Standards (2025)	Standard 2 – Apprentice Employment and Welfare; Standard 5 – Governance, Compliance, and Reporting
National Standards for Group Training Organisations (NSGTO)	Standard 3 – Apprentice Support and Monitoring; Standard 5 – Governance and Administration
DTET GTO Standards (2025)	Clause 2.6 – Completion and Reporting; Clause 5.1 – Recordkeeping and Compliance
South Australian Skills Act 2008 & Skills Regulations 2021	GTO registration, completion verification, and record management
Fair Work Act 2009 (Cth)	Confirmation of employment termination or transition requirements
Privacy Act 1988 (Cth)	Management and protection of apprentice personal and training data
AVETMISS Reporting Framework	National reporting standards for VET completions
Continuous Improvement Framework (SA GTO Standard 7)	Review and improvement of completion processes

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Host Employer Management

Host Employer Onboarding and Monitoring Procedure

Purpose

To outline the process for recruiting, assessing, approving, and monitoring host employers to ensure they meet all regulatory, safety, and quality standards required by WetTrade Apprenticeships (WTA).

This procedure ensures host employers are capable, compliant, and provide safe and supportive environments for apprentices in accordance with the South Australian GTO Standards (2025), National GTO Standards, and DTET GTO Standards (2025).

Scope

Applies to all WTA staff involved in:

- Recruitment, vetting, and approval of host employers
- Site visits, onboarding, and induction of host employers
- Ongoing compliance monitoring and record keeping

Procedure

Identify Potential Host Employers

GTO Coordinator

- Research and identify host employers willing and capable of hosting apprentices across relevant trades.
- Review Host Employer Expression of Interest Forms for initial suitability.
- Build and maintain relationships with potential hosts through networking, referrals, and industry contacts.
- Direct interested employers to the WetTrade Apprenticeships website to complete the Host Employer Application Form.
- Ensure all completed applications are logged and saved for review.

Interview and Assess Host Employer Suitability

GTO Coordinator

- Review the Host Employer Application Form for completeness and initial suitability.
- Confirm:
 - Business registration (ABN, ACN, and ASIC registration)
 - Host's understanding of the apprenticeship system, supervision responsibilities, and on-the-job training obligations
 - Workplace Health and Safety systems and evidence of compliance (e.g., policies, training, safe work procedures)
 - Financial viability via a written declaration signed by the host's nominated accountant
- Evaluate the host's capacity to provide relevant range of work, appropriate supervision ratios, and safe working conditions.
- Confirm with SASC / DTET whether the employer appears on a prohibited employer list.
- Contact the potential host to discuss obligations under the GTO system and refer them to the Apprentice and Host Employer Handbook available on the WTA website.

Arrange Site Visit

GTO Coordinator

- Schedule a **site visit** to assess facilities, safety, and training suitability.
- Discuss expectations, range of work, training plan alignment, and roles of each party.
- Complete the **Range of Work and Equipment Check** to confirm training opportunities meet qualification requirements.
- Discuss:

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Length of hosting period and expected commitment
- Financial obligations (wages, supervision costs, PPE, etc.)
- Travel, transport, and tool requirements for apprentices
- Provide a copy of the Host Employer Handbook during the visit.
- Record findings in the Site Visit Contact Log and ensure it is signed by both parties.

Approve or Reject Host Employer

Management Committee

- Review documentation provided by the GTO Coordinator, including:
 - Host Employer Application Form
 - Range of Work and Equipment Check
 - Site Visit Contact Log
 - Notes from interviews and verification checks
- Determine approval status based on compliance, suitability, and training capacity.
- **If approved:**
 - Proceed with formal onboarding and agreement execution.
- **If not approved:**
 - Send the Host Employer Application Not Approved Email thanking the applicant and advising they may reapply in future.
 - Retain application records in accordance with retention policy.

Send Letter of Offer and Host Employer Agreement

GTO Coordinator

- Prepare and send:
 - **Letter of Offer** confirming host approval
 - **Host Employer Agreement** outlining obligations, insurance requirements, and supervision responsibilities
 - **Apprentice and Host Employer Handbook**
- Send all documents using the Email Host Employer Application Approved Template.
- Once the Host Employer Agreement is returned signed, countersign on behalf of WTA and send a copy to the host's nominated email address.
- For unapproved hosts, issue a formal decline notification and file the correspondence appropriately.

Complete Host Employer Induction

GTO Coordinator

- Contact the approved host to arrange induction.
- Conduct the induction session and complete the **Host Employer Induction Checklist**.
- Ensure discussion covers:
 - Roles and responsibilities under the GTO model
 - WHS obligations and supervision expectations
 - Communication, grievance, and reporting procedures
 - Apprentice monitoring and site visit processes
- Have the host employer **sign the Induction Checklist** and retain a copy on file.

Documentation and Record Keeping

GTO Coordinator

- Record all outcomes in the **Site Visit Contact Log** and ensure all forms are signed and dated.
- Submit all completed documentation (Application Form, Range of Work Check, Induction Checklist) to **Administration** for processing and archiving.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Complete Compliance Check

Administration

- Review submitted documentation for completeness and compliance.
- Complete the **Group Training Compliance Checklist**.
- Save all documentation to the host employer's electronic account in the WTA management system.
- Maintain records in accordance with audit and retention requirements (minimum 7 years).

Roles and Responsibilities

Role / Position	Responsibilities
GTO Coordinator	Manages the recruitment, verification, site visit, and induction of host employers; ensures all documentation is complete and compliant.
Management Committee	Reviews applications and supporting documentation; determines approval or rejection of host employers.
Administration Officer	Conducts compliance checks, ensures all documentation is saved to host employer files, and maintains accurate records.
Compliance Officer	Oversees adherence to legislative and regulatory standards and ensures host employer verification processes are followed.

Continuous Improvement

- Outcomes from host onboarding and monitoring activities are reviewed quarterly as part of the **Continuous Improvement Register**.
- Any compliance issues or non-conformances identified during audits are investigated and corrective actions recorded.
- Feedback from host employers and apprentices informs future improvements to onboarding and monitoring processes.

Related Documents

- Host Employer Management Policy
- Prohibited Employer Management Procedure
- Apprentice Placement and Rotation Procedure
- Governance, Compliance and Board Oversight Policy
- Group Training Compliance Checklist
- Host Employer Application and Induction Forms

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
South Australian GTO Standards (2025)	Standard 4 – Host Employer Management; Standard 2 – Apprentice Welfare
National GTO Standards	Standard 4 – Host Employer Management and Monitoring
DTET GTO Standards (2025)	Clause 4.2 – Host Vetting and Risk Management; Clause 5.1 – Reporting Obligations
South Australian Skills Act 2008 & Skills Regulations 2021	Sections 26–30 – GTO Registration and Prohibited Employer Provisions
Fair Work Act 2009 (Cth)	Compliance with national employment standards and workplace relations
Work Health and Safety Act 2012 (SA)	Host employer obligations for apprentice safety and supervision
Privacy Act 1988 (Cth)	Handling of host employer and apprentice personal data
Continuous Improvement and Reporting Framework (SA GTO Standard 7)	Monitoring and improvement of host management practices

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Placement of Apprentices with Host Employers Procedure

Purpose

This procedure establishes a structured and compliant process for the **placement of apprentices with host employers** under WetTrade Apprenticeships (WTA).

It ensures all placements meet legislative, regulatory, and contractual obligations, align with training requirements, and support the welfare, supervision, and competency development of apprentices.

Scope

This procedure applies to:

- All apprentices employed by WTA.
- All host employers participating in apprentice placements.
- WTA staff involved in coordination, compliance, and administration of placements.

Objectives

- Match apprentices with suitable host employers that provide quality training and safe workplaces.
- Ensure the placement process meets the **South Australian GTO Standards (2025)**, **DTET GTO Standards (2025)**, and **National Standards for Group Training Organisations (NSGTO)**.
- Maintain accurate documentation and evidence for audit and compliance purposes.

Roles and Responsibilities

Role / Position	Responsibilities
Chief Executive Officer (CEO)	Approves host employer arrangements and oversees compliance with regulatory frameworks.
Compliance Officer	Ensures placement procedures comply with GTO Standards, maintains audit readiness, and monitors ERA completion.
GTO Coordinator /	Matches apprentices with suitable hosts, conducts site visits, monitors placements, and maintains accurate records.
Host Employer	Provides on-the-job training, supervision, and a safe working environment consistent with the Training Plan.
NICS (RTO) Trainer	Aligns on-site learning outcomes with the Training Plan and supports verification of workplace competency.
Administration Officer	Completes compliance checklists and maintains apprentice and host employer records in the management system.

Procedure Steps

Step	Action / Activity	Responsibility	Process Requirements	Records & Tools	Target Timeframe
1. Matching Apprentices with Host Employers	Conduct assessment of apprentice suitability and preferences.	GTO Coordinator	Review applications, interview notes, and suitability checklists to confirm skills, interests, preferred location, and trade (refer to <i>New Apprentice Recruitment Procedure</i>).	Apprentice Assessment Form; Expression of Interest	Prior to placement
	Identify potential host employers.	GTO Coordinator	Evaluate host employers based on reputation, safety record, supervision capacity, and range of work. Confirm against the <i>Prohibited Employer Register (SA)</i> .	Host Employer Application; Employer Resource Assessment (ERA)	Ongoing
	Match apprentice with host employer.	GTO Coordinator	Align apprentice profile with host's work type, location, and trade opportunities to ensure compatibility.	Matching Summary; Apprentice–Host Matrix	Within 3 business days post-assessment
2. Placement Confirmation	Confirm placement offer to both parties.	GTO Coordinator	Issue Letter of Confirmation and Acceptance of Placement – Apprentice and Letter of Confirmation – Host Employer for review and acceptance.	Placement Confirmation Letters	Immediately upon match
	Allow time for review and acceptance.	GTO Coordinator	Provide at least 3 business days for both the apprentice and host employer to review and accept or request amendments.	Email Correspondence Record	Within 3 business days
	Record acceptance and notify stakeholders.	GTO Coordinator / Administration	Enter confirmed placement details into student management system and notify RTO (NICS) to align Training Plan.	Placement Record; Training Plan Update	Same day as acceptance
3. Verification of Range of Work, Tools and Equipment	Conduct initial site visit to confirm suitability.	GTO Coordinator	Inspect facilities, supervision arrangements, and access to range of work and tools/equipment.	Site Visit Contact Log; Range of Work & Equipment Checklist	Prior to commencement

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

	Complete Employer Resource Assessment (ERA).	GTO Coordinator	Complete and sign ERA with host employer; verify sufficient qualified tradespersons and supervision ratio.	ERA Form	During onboarding
	Confirm training coverage and WHS compliance.	GTO Coordinator / NICS Trainer	Ensure training opportunities align with qualification requirements and WHS obligations.	Training Plan; WHS Inspection Report	At initial site visit
4. Workplace Conditions and Support	Conduct induction for host employer and apprentice.	GTO Coordinator / Host Employer	Confirm induction covers WHS, policies, emergency procedures, supervision arrangements, and site expectations.	Host Induction Checklist	First day of placement
	Conduct workplace WHS inspection.	GTO Coordinator	Verify safety controls, PPE availability, and compliance with WHS legislation.	WHS Inspection Report	First day of placement
	Address and rectify safety issues identified.	GTO Coordinator / Host Employer	Document corrective actions and ensure risk controls implemented before work continues.	Risk Management Form	Within 24 hours of finding
5. Ongoing Monitoring and Site Visits	Schedule regular workplace visits.	GTO Coordinator	Plan and document visit schedule to occur at least every three (3) months during placement.	Site Visit Schedule; Contact Log	Ongoing
	Conduct site visits and review progress.	GTO Coordinator	Meet with both apprentice and host to review training, ERA progress, satisfaction, and compliance.	Site Visit Contact Log; Apprentice Review Form	Every 3 months
	Address performance or safety concerns.	GTO Coordinator / Compliance Officer	Record identified issues and develop corrective action plans with host.	Corrective Action Record	Within 5 business days
	Arrange rotation to new host (if required).	GTO Coordinator	Where host cannot meet range of work, initiate rotation process and update Training Plan accordingly.	Rotation Agreement; Training Plan Variation	As required
6. Documentation and Record Keeping	Record and maintain placement details.	GTO Coordinator	Maintain full placement documentation including matching, site visits, ERA, and correspondence.	Apprentice and Host Files	Ongoing
	Complete compliance check.	Administration	Finalise Group Training Compliance Checklist and upload	Compliance Checklist; SharePoint Upload	Within 2 business days

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

			all evidence to the apprentice and host accounts.		
	Review placement records and verify completeness.	Compliance Officer	Audit placement files for completeness and accuracy; record findings in Compliance Register.	Compliance Audit Log	Quarterly

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

Monitoring and Evaluation

- Each placement will be evaluated using the **Evaluate Apprentice and Host Employer Performance Procedure**.
- Feedback from apprentices and hosts will inform continuous improvement.
- Non-compliance or safety concerns are reported to the **CEO** and entered in the **Continuous Improvement Register**.

Continuous Improvement

- Quarterly reviews of placement data and outcomes will be conducted by the **Compliance Officer**.
- Lessons learned from rotations, site audits, or host feedback will inform updates to this procedure.
- Updates are tabled at the **Governance and Compliance Committee Meeting**.

Records Retention

All placement documentation must be stored in **SharePoint → Apprentice Files → Host Placement Folder** for a minimum of **seven (7) years** and must include:

- Apprentice assessment and matching documentation
- ERA and Range of Work & Equipment Check
- Site Visit Contact Logs and WHS records
- Placement letters and signed agreements
- Training Plan updates and compliance checklists

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
South Australian GTO Standards (2025)	Standard 3 – Apprentice Employment and Welfare; Standard 4 – Host Employer Management; Standard 5 – Governance, Compliance, and Reporting
DTET GTO Standards (2025)	Clause 2.1 – Apprentice Employment and Induction; Clause 4.2 – Monitoring and Support
National Standards for Group Training Organisations (NSGTO)	Standard 3 – Apprentice and Trainee Employment; Standard 4 – Host Employer Management; Standard 5 – Governance and Administration
South Australian Skills Act 2008 & Skills Regulations 2021 (SA)	Requirements for Training Contract management and supervision ratios
Apprenticeships and Traineeships Act 2001 (QLD)	Declared vocations, host obligations, and supervision standards
Fair Work Act 2009 (Cth)	Employment standards, pay, and lawful supervision provisions
Work Health and Safety Acts (SA & QLD)	Duty of care and workplace safety for apprentices
Privacy Act 1988 (Cth)	Data handling and confidentiality of apprentice and employer information

Prohibited Employer Management Procedure

Purpose

To establish a structured process for identifying, verifying, and managing **prohibited host employers** to ensure that apprentices employed by **WetTrade Apprenticeships (WTA)** are only placed with approved and compliant host employers.

This procedure ensures WTA meets its legal and regulatory obligations under the **South Australian Skills Act 2008, Skills Regulations 2021**, and all relevant GTO Standards.

Scope

Applies to all WTA staff responsible for:

- Host employer engagement and monitoring
- Apprentice placement, rotation, and supervision
- Compliance reporting to regulatory authorities

Procedure

Identify and Verify Potential Host Employers

GTO Coordinator

- Confirm the identity and trading details of all new or returning host employers (ABN, business name, contact details).
- Conduct a **pre-engagement verification** against the following sources:
 - South Australian Skills Commission (SASC) *Prohibited Employer Register*
 - DTET and DESBT compliance or prohibited lists (if interstate operations apply)
 - Fair Work Ombudsman register for enforceable undertakings
 - SafeWork SA or WHSQ for any current or historical WHS prosecutions
- Record verification results and supporting evidence (screenshots or letters) in the **Host Employer Register**.
- Ensure verification is dated and initialled before any placement discussions occur.

Confirm Host Employer Suitability

GTO Coordinator

- Complete the **Host Employer Evaluation Checklist** confirming:
 - Valid insurances (Public Liability, Workers Compensation, etc.)
 - Safe workplace and adequate facilities for training and supervision
 - Supervision ratios meet statutory requirements
 - Compliance with Fair Work and WHS obligations
- Obtain and file signed:
 - **Host Employer Agreement**
 - **WHS Declaration Form**
 - **Host Code of Conduct Acknowledgement**
- Forward verification documentation to the **Compliance Officer** for review.

Review and Approval

Compliance Officer

- Review Host Employer file for completeness and accuracy.
- Cross-check verification dates against the most current SASC and DTET registers.
- Approve the host only after all documentation is verified and compliance is confirmed.
- Update the **Host Employer Register** with approval details and date.
- Notify the **GTO Coordinator** that the employer is cleared for placements.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Ongoing Monitoring of Host Employers

GTO Coordinator

- Re-verify each host's compliance **annually** or when a compliance issue, complaint, or incident is reported.
- Maintain accurate verification records in the Host Employer Register.
- If a host is identified as **prohibited post-engagement**:
 - Immediately suspend the host from accepting or supervising apprentices.
 - Notify affected apprentices and arrange **temporary reassignment**.
 - Report the finding to **SASC** and **DTET Compliance** within 24 hours.
 - Document the incident in the **Incident and Compliance Register**.

Apprentice Mentor /

- Report any workplace issues or safety concerns observed during site visits that may suggest employer non-compliance.
- Escalate immediately to the Compliance Officer for investigation.

Corrective and Preventative Actions

Compliance Officer

- Initiate an **internal compliance review** to determine the cause of the non-compliance.
- Identify any potential impact on apprentices.
- Determine appropriate corrective measures, including suspension, retraining, or policy amendments.
- Record findings and actions in the **Continuous Improvement Register**.
- Submit an incident summary to the **General Manager** for Board reporting.

General Manager

- Ensure any systemic issues identified are addressed through updated policies or procedures.
- Authorise communication with external regulatory bodies where required.

Reporting and Documentation

Administration

- Maintain all prohibited employer verification documents and correspondence for a minimum of **seven (7) years**.
- Ensure the following records are filed and auditable:
 - Verification reports and screenshots
 - Host Employer Evaluation Checklists
 - SASC / DTET correspondence
 - Corrective action and incident reports
 - Updated Host Employer Register entries
- Confirm documentation is stored in the **Compliance and Governance Folder** under Host Management.

Roles and Responsibilities

Role / Position	Responsibilities
<i>GTO Coordinator</i>	Conducts pre-placement checks, maintains Host Employer Register, and ensures verification evidence is filed.
<i>Compliance Officer</i>	Reviews verification outcomes, oversees reporting to SASC and DTET, and ensures corrective action is implemented.
<i>General Manager</i>	Approves final host engagement, ensures reporting to regulators, and reviews compliance outcomes at Board level.
<i>Apprentice Mentor /</i>	Observes workplace conditions, identifies and reports potential compliance breaches.
<i>Administration Officer</i>	Manages document control, files audit evidence, and maintains compliance records.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Continuous Improvement

- All prohibited employer incidents must be recorded in the **Continuous Improvement Register**.
- Internal audits are conducted quarterly to verify adherence to this procedure.
- Audit outcomes are reviewed by the **Governance and Compliance Committee** and documented in meeting minutes.

Documentation and Record Keeping

Document	Responsible Officer	Retention Period
<i>Host Employer Evaluation Checklist</i>	GTO Coordinator	7 years
<i>Verification reports and correspondence</i>	Compliance Officer	7 years
<i>Host Employer Register</i>	GTO Coordinator	Ongoing
<i>Incident and Corrective Action Reports</i>	Compliance Officer	7 years
<i>SASC and DTET Reports</i>	Compliance Officer	7 years

Related Documents

- Host Employer Management Policy
- Apprentice Placement and Rotation Procedure
- Governance, Compliance and Board Oversight Policy
- Risk Management Procedure
- Continuous Improvement Register
- SASC Notification Template

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
<i>South Australian GTO Standards (2025)</i>	Standard 4 – Host Employer Management; Standard 2 – Apprentice Welfare
<i>National GTO Standards</i>	Standard 4 – Host Employer Management and Monitoring
<i>DTET GTO Standards (2025)</i>	Clause 4.2 – Host Vetting and Risk Management; Clause 5.1 – Reporting Obligations
<i>South Australian Skills Act 2008 & Skills Regulations 2021</i>	Sections 26–30 – GTO Registration and Prohibited Employer Provisions
<i>Fair Work Act 2009 (Cth)</i>	Compliance and workplace relations obligations
<i>Work Health and Safety Act 2012 (SA)</i>	Duties of care for host employers and apprentices
<i>Privacy Act 1988 (Cth)</i>	Management of personal and verification data
<i>Continuous Improvement and Reporting Framework (SA GTO Standard 7)</i>	Ongoing compliance monitoring and evidence tracking

Managing Suspension and Economic Impact Procedure

Purpose

This procedure outlines the process for managing apprenticeship **suspensions, stand-downs, redeployments, and cancellations** resulting from economic or project-related disruptions.

It ensures decisions are lawful, transparent, and compliant with the **South Australian GTO Standards (2025), DTET GTO Standards (2025), and the National Standards for Group Training Organisations (NSGTO)**.

The procedure also provides guidance on financial support mechanisms, communication protocols, and regulatory reporting obligations.

Scope

Applies to all apprentices employed by **WetTrade Apprenticeships (WTA)** and affected host employers in South Australia and Queensland.

Covers all events of reduced hours, temporary stand-downs, redeployment to alternative hosts, or cancellation/recommencement of Training Contracts.

Definitions

Term	Definition
Stand-down	Temporary cessation of work due to reasons beyond the control of the host employer (e.g. project delays, weather, supply shortages, economic downturn).
Redeployment	Transfer of an apprentice to a new or secondary host employer to maintain training continuity.
Cancellation/Recommencement	Termination of the existing Training Contract and, where possible, commencement of a new Training Contract with another host or employer.

Triggers

- Economic downturn or project cancellations leading to insufficient work.
- Host employer requests stand-down or reports inability to sustain employment.
- Industry early warnings from **DTET, SASC**, or industry networks.
- WTA internal risk monitoring identifies multiple stand-downs or sector instability.

Decision Tree

Step	Question / Action	Next Step
1	Is suitable, safe work available at the current host within 5 business days?	Yes: Retain placement (adjust duties/hours as needed, update Training Plan). No: Proceed to Step 2.
2	Can the apprentice be redeployed to another verified host within 10 business days?	Yes: Redeploy and update agreements, contracts, and Training Plan. No: Proceed to Step 3.
3	Is a temporary stand-down lawful and appropriate?	Yes: Initiate stand-down and increase theory/mentoring load; review at Day 5 and Day 10. No: Proceed to Step 4.
4	Consider cancellation and recommencement.	Consult apprentice, RTO, and regulator; proceed if no viable host or by apprentice request.

Fair Work and Host Liability Notes

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Stand-downs (paid/unpaid) must comply with the Fair Work Act 2009 and relevant Building & Construction General On-site Award.
- Stand-downs are only lawful where work cannot be performed due to circumstances outside employer control (e.g. stoppage of work, safety risks).
- Allowances and reimbursements: Ensure no apprentice incurs out-of-pocket expenses (e.g. travel, tools) during a stand-down period without WTA approval.
- Consultation: All changes to hours or duties must follow consultation provisions within the applicable industrial instrument.

Financial Support and Stabilisation Measures

- Assess eligibility for DTET wage subsidies, Australian Apprenticeships Incentive Program (AAIP), or other government supports.
- Consider shared-host arrangements or reduced-hour placements.
- Finance Officer to complete a Subsidy Assessment Checklist and record decisions.
- CEO approval required for any discretionary payments to apprentices during stand-downs.

Communication Protocols and Templates

Apprentice Communication

- **Initial Notice:** Stand-down or redeployment notice issued within one business day of decision.
- **Progress Updates:**
 - **Day 5:** Written update on redeployment or training progress.
 - **Day 10:** Final update confirming outcome (redeployment, stand-down continuation, or cancellation).
- **Templates:**
 - *Stand-Down Notice to Apprentice*
 - *Redeployment Confirmation Letter*
 - *Cancellation and Recommencement Notice*

Host Employer Communication

- Confirm host's status, supervision capacity, and willingness to participate in redeployment or shared-host arrangement.
- Use *Host Variation / Redeployment Agreement* template.

Regulator Communication

- Notify SASC or DTET of any:
 - Stand-downs exceeding 10 business days;
 - Training Contract cancellations or recommencements;
 - Significant workforce disruptions affecting multiple apprentices.
- Use *Regulator Notification Form (SA/QLD)* and retain submission confirmation.

RTO Communication

- Notify NICS immediately of disruptions to work-based training.
- Coordinate alternative learning arrangements (theory blocks, simulations, or RPL).
- Use *Training Plan Variation Request* to reflect updated arrangements.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedure Steps

Step	Action / Activity	Responsibility	Process Requirements	Records & Tools	Target Timeframe
1. Risk Monitoring & Notification	Monitor industry signals and identify host instability.	Compliance Officer / GTO Coordinator	Record trigger in Suspension & Economic Impact Register; assign case manager.	Register entry	Day 0
2. Safety and Continuity Check	Confirm host can provide safe, supervised work; verify apprentice wellbeing.	GTO Coordinator	Contact host and apprentice within 48 hours. Notify RTO if disruption expected.	Contact Log; WHS Confirmation	≤ 48 hours
3. Decision Tree Application	Determine appropriate pathway: retain, redeploy, stand-down, or cancel.	GTO Coordinator / Compliance Officer	Follow decision tree steps; record evidence and rationale.	Decision Record	≤ 1 business day
4. Redeployment Search (if required)	Locate alternate host or shared-host opportunity.	/ Engagement Team	Verify WHS, supervision, and prohibited employer status. Maintain outreach records.	Redeployment Log	Days 1–10
5. Temporary Stand-Down (if required)	Initiate lawful stand-down with clear communication.	GTO Coordinator / Compliance Officer	Issue stand-down letter; confirm legal basis; update Training Plan and welfare supports.	Stand-Down Notice; Welfare Log	Day 1
6. Training Continuity During Stand-Down	Increase theory and mentoring load.	NICS Trainer / Mentor	Schedule simulated or off-the-job learning; monitor engagement.	Training Plan Update	Ongoing during stand-down
7. Financial Support Assessment	Identify available subsidies or wage support.	Finance Officer	Complete Subsidy Assessment Checklist; apply or refer as appropriate.	Checklist; Financial Record	≤ 3 business days
8. Escalation Points	Day 5: escalate to Compliance Officer if unresolved. Day 10:	GTO Coordinator /	Review redeployment and financial status; determine next action	Escalation Notes	Day 5 / Day 10

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

	escalate to CEO for executive intervention.	Compliance Officer	(redeploy or cancel/recommence).		
9. Cancellation/Recommencement (if final outcome)	Finalise Training Contract changes.	GTO Coordinator / CEO / Compliance Officer	Consult apprentice, host, and RTO. Seek regulatory approval. Record in register.	Cancellation/Recommencement Form	As required
10. Reporting to Regulators	Notify relevant authority of outcome.	Compliance Officer	Submit notifications to SASC or DTET as applicable. File confirmation email or receipt.	Regulator Notification Form	Within 2 business days
11. Closure and Review	Close register entry and review outcomes.	Compliance Officer / CEO	Confirm redeployment, return-to-work, or recommencement complete. Record lessons learned in Continuous Improvement Register.	Register Update; CI Entry	Within 1-month post-resolution

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Records and Evidence

All documentation must be maintained in the Suspension & Economic Impact Register and the apprentice's file, including:

- Risk trigger evidence and contact logs
- Stand-Down Decision Record
- Redeployment correspondence
- Financial support assessments
- Regulator notifications
- Training Plan updates
- Apprentice and host letters

Retention Period: Minimum **7 years**.

Key Performance Indicators (KPIs)

Measure	Target
Time to Redeploy	≤ 10 business days from risk identification
Day 5 Escalation	100% of unresolved cases escalated to Compliance Officer
Day 10 Escalation	100% of unresolved cases escalated to CEO
Regulatory Notifications	Submitted within 2 business days
Apprentice Welfare Checks	Conducted weekly during stand-down

Templates and Tools

- Stand-Down Decision Record
- Stand-Down Notice to Apprentice
- Host Variation / Redeployment Agreement
- Training Plan Variation Request (RTO)
- Regulator Notification Form (SA/QLD)
- Subsidy Assessment Checklist (DTET/Commonwealth)
- Welfare Check Script
- Suspension & Economic Impact Register

Continuous Improvement

After each suspension or economic event:

- Conduct post-event review and document findings in the **Continuous Improvement Register**.
- Review KPIs and adjust escalation timelines as required.
- Present outcomes to the **Governance and Compliance Committee** for approval.

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
South Australian GTO Standards (2025)	Standard 3 – Employment, Supervision and Support; Standard 4 – Monitoring and Reporting; Standard 5 – Governance, Compliance and Reporting
National Standards for Group Training Organisations (NSGTO)	Standard 2 – Host Management; Standard 3 – Apprentice Support; Standard 5 – Governance and Administration
DTET GTO Standards and Contract Requirements (QLD)	Clauses on apprentice support, performance management, and reporting
South Australian Skills Act 2008 & Skills Regulations 2021 (SA)	Provisions for Training Contract management, suspension, and redeployment
Fair Work Act 2009 (Cth)	Provisions for lawful stand-down, consultation, and employment continuity
Work Health and Safety Acts (SA & QLD)	Duty of care during redeployment or stand-down
Privacy Act 1988 (Cth)	Management and protection of personal and financial data

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedural Flow (summary)

Step	Action	Owner	Target timeframe	Record
Trigger	Host notice, risk signal, or downturn trigger logged; case opened in register	FO/Finance	Day 0	Case opened in Suspension & Economic Impact Register
Triage & Decision Tree	Verify lawful basis; run decision tree (retain/adjust → redeploy → stand-down → cancel/recommence)	Compliance/FO	≤ 1 business day	Decision note + evidence
Notifications	Issue outcome letters (redeploy/stand-down/variation); regulator notice if required (SA/DTET)	FO/Compliance	Same day	Copies of letters; regulator acknowledgment
Training Continuity	Re-sequence Training Plan; schedule theory/simulated tasks; start welfare check	Training Coordinator/Mentor	≤ 48 hours	Training Plan update; welfare log
Financial Supports Check	Assess/apply wage subsidies/grants; confirm allowances/liabilities with host	Finance/FO	≤ 3 business days	Subsidy checklist; host confirmation
Redeploy Search	Source/confirm alternate or shared host; verify WHS/supervision/prohibited-employer status	FO/Engagement	≤ 5–10 business days	Placement record; verification proofs
KPI Escalation (Day 5)	If no pathway confirmed, escalate to Compliance Officer	FO → Compliance	Day 5	Escalation note
KPI Escalation (Day 10)	If no redeployment, escalate to CEO; consider cancel/recommence	Compliance → CEO	Day 10	Executive escalation note
Review Cadence	Weekly case review until resolution (apprentice, host, RTO)	FO/Host/Mentor	Weekly	Review notes
Close	Return to work or redeployed or cancel/recommence; update register	FO/Compliance	On resolution	Register update; final letter
Reflect & Improve	Post-event review; capture lessons and actions	Management	≤ 1-month post-recovery	Continuous Improvement Register; minutes

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Workplace Safety and Wellbeing

Work Health and Safety Procedure

Purpose

This procedure defines the practical steps required to implement **WetTrade Apprenticeships (WTA)**'s Work Health and Safety (WHS) Policy.

It outlines the processes for **incident response, hazard identification and reporting, site inspection schedules, and ongoing monitoring**, ensuring compliance with WHS legislation and all GTO standards.

Scope

This procedure applies to:

- All WTA employees, apprentices, trainees, host employers, and contractors.
- All WTA-controlled environments, host employer sites, and associated project locations.
- Workplaces, vehicles, machinery, and equipment used in the course of employment or training.
- Digital and administrative environments where WHS records are maintained.

Objectives

- Ensure hazards are identified, assessed, controlled, and reviewed effectively.
- Define clear responsibilities for incident response and communication.
- Establish a consistent system for hazard reporting and investigation.
- Set inspection and audit schedules to verify compliance across all worksites.
- Maintain a proactive safety culture that integrates physical and mental wellbeing.

Roles and Responsibilities

Role / Position	Responsibilities
Chief Executive Officer (CEO)	Oversees WHS management system, approves safety procedures, reviews quarterly WHS reports, and ensures adequate resourcing for safety programs.
Compliance Officer	Administers WHS systems, manages incident investigations, conducts audits, maintains registers, and ensures regulatory notifications.
GTO Coordinator /	Conducts monthly site visits, monitors WHS compliance at host sites, supports apprentices with safety concerns, and reports hazards and incidents immediately.
Host Employer	Provides safe work conditions, conducts site inductions, supplies PPE, reports incidents within 24 hours, and implements corrective actions.
Apprentices and Staff	Follow all safety instructions, use PPE correctly, report hazards and incidents promptly, and participate in safety training and reviews.
Administration Officer	Maintains WHS documentation, updates registers, files incident reports, and tracks completion of corrective actions.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedure Steps

Step	Action / Activity	Responsibility	Process Requirements	Records & Tools	Timeframe / Frequency
1. Hazard Identification and Reporting	Identify potential hazards in the workplace or training environment.	All Staff / Apprentices / Host Employers	Observe and record any unsafe condition, equipment defect, or unsafe behaviour.	Hazard Report Form	Immediately upon identification
	Report identified hazards to supervisor or .	Apprentices / Host Employers	Submit Hazard Report Form to WTA or Compliance Officer via email or digital platform.	Hazard Report Register	Within 24 hours
	Assess and control hazards using hierarchy of control.	GTO Coordinator / Compliance Officer	Apply elimination, substitution, isolation, engineering, administrative, or PPE control hierarchy.	Risk Register	Within 2 business days
	Verify completion of corrective action.	Compliance Officer	Confirm implementation of controls and update Risk Register.	Risk Register; Corrective Action Log	Within 5 business days
2. Incident Response and Management	Respond immediately to any injury, near miss, or notifiable incident.	Host Employer /	Ensure first aid or medical assistance is provided. Secure scene if serious injury or fatality.	Incident Report Form	Immediately
	Notify WTA of the incident.	Host Employer / Apprentice	Notify or Compliance Officer via phone and email; provide initial details.	Incident Notification Record	Within 24 hours
	Record incident and initiate investigation.	Compliance Officer / GTO Coordinator	Log incident in the Incident Register. Conduct root cause analysis and record findings.	Incident Register; Investigation Report	Within 48 hours
	Notify regulators if notifiable incident.	Compliance Officer	Submit formal report to SafeWork SA or Workplace Health and Safety QLD as required.	Regulator Notification Form	Within required legislative timeframe
	Implement corrective actions and communicate outcomes.	Compliance Officer / Host Employer	Review and implement safety improvements; circulate outcomes to relevant parties.	Corrective Action Register; Toolbox Talk Record	Within 10 business days

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

3. Site Inspections and Safety Audits	Conduct site inspections to verify safety compliance.	GTO Coordinator /	Use standard WHS Inspection Checklist; check PPE, supervision, equipment, and site conditions.	WHS Inspection Checklist	Monthly
	Conduct WHS compliance audits.	Compliance Officer	Review hazard reports, incident trends, and host safety systems.	WHS Audit Register	Quarterly
	Conduct annual WHS system review.	Compliance Officer / CEO	Review entire WHS management system for legislative and procedural compliance.	WHS Annual Review Report	Annually
	Track inspection outcomes and close corrective actions.	Administration / Compliance Officer	Record all inspection findings, assigned responsibilities, and completion dates.	WHS Audit Register; Corrective Action Log	Ongoing
4. Apprentice and Host Induction	Conduct initial WHS induction.	GTO Coordinator / Host Employer	Cover topics: hazard identification, PPE use, emergency response, bullying/harassment prevention, and mental health supports.	Apprentice Induction Checklist	At placement commencement
	Verify site-specific host induction.	GTO Coordinator	Ensure apprentice receives site-specific WHS induction before work commences.	Host Induction Checklist	Prior to starting work
5. WHS Consultation and Communication	Facilitate consultation with stakeholders.	Compliance Officer / GTO Coordinator	Discuss WHS issues during site visits, Toolbox Talks, and WHS Committee meetings.	WHS Meeting Minutes; Toolbox Talk Record	Ongoing
	Record feedback and improvement actions.	Compliance Officer	Document consultation outcomes in Continuous Improvement Register.	Continuous Improvement Register	Quarterly
6. Training and Competency Development	Deliver and record WHS training.	GTO Coordinator / RTO Trainer	Ensure apprentices complete CPCCWHS1001 (White Card), manual handling, and hazard awareness training.	Training Record; WHS Certificate	Before placement
	Provide refresher and hazard-specific training.	Compliance Officer /	Conduct refresher sessions on high-risk activities (e.g., working at heights, confined spaces).	Training Register	Annually

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

7. Monitoring and Review	Evaluate WHS performance and trends.	Compliance Officer	Review incident frequency, audit results, and feedback to identify trends.	WHS Performance Report	Quarterly
	Report outcomes to management and regulators.	CEO / Compliance Officer	Present summary report to CEO and Board; submit data to DTET/SASC if required.	WHS Summary Report	Quarterly and annually

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Emergency and Incident Response Flow

1. **Immediate Action:** Provide first aid and ensure scene safety.
2. **Notify:** Host Employer → WTA → Compliance Officer → CEO (if major).
3. **Record:** Complete Incident Report Form within 24 hours.
4. **Investigate:** Conduct root cause analysis and corrective action plan.
5. **Report:** Notify regulator if incident is notifiable (fatality, serious injury, dangerous occurrence).
6. **Review:** Update Risk Register, communicate outcomes, and brief staff/apprentices.

Inspection and Audit Schedule

Inspection Type	Conducted By	Frequency	Purpose / Focus Area	Records
Site Visit Inspection	GTO Coordinator /	Monthly	Apprentice safety, PPE, supervision, equipment, WHS compliance	Site Visit Contact Log
Host Employer WHS Audit	Compliance Officer	Quarterly	Review host safety systems, risk management, and ERA validity	WHS Audit Register
Internal WHS System Audit	Compliance Officer / CEO	Annually	Evaluate overall system effectiveness and compliance	Annual WHS Review Report
Toolbox Talks / Pre-Start Checks	Host Employer / Apprentice	Weekly	Promote awareness and discussion of hazards and safe practices	Toolbox Talk Record
Continuous Improvement Review	Compliance Officer / Management	Quarterly	Assess incident trends and WHS performance indicators	Continuous Improvement Register

Records and Documentation

All WHS-related documents must be securely stored in **SharePoint → WHS Management System → Registers and Reports** for a minimum of **seven (7) years**, including:

- Hazard and Risk Registers
- Incident Reports and Investigation Files
- Inspection Checklists and Audit Registers
- Corrective Action Logs
- Training and Induction Records
- Regulator Notifications

Access is limited to authorised WTA personnel, the RTO, and regulatory authorities.

Continuous Improvement

- The Compliance Officer will review all WHS procedures annually or after significant incidents.
- Lessons learned are entered into the **Continuous Improvement Register**.
- Corrective and preventive actions are tabled at quarterly **Governance and Compliance Committee Meetings**.
- Outcomes are communicated to all staff, host employers, and apprentices.

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
South Australian GTO Standards (2025)	Standard 1 – Governance and Accountability; Standard 3 – Work Health and Safety and Risk Management; Standard 5 – Governance, Compliance and Reporting; Standard 7 – Continuous Improvement

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Queensland DTET GTO Standards (2025)	WHS and Welfare Framework; Apprentice and Host Employer Safety Obligations
National Standards for Group Training Organisations (NSGTO)	Standard 2 – Apprentice Employment and Induction; Standard 3 – Apprentice Welfare; Standard 4 – Host Employer Management; Standard 5 – Governance and Risk Management
Legislation and Codes	Work Health and Safety Act 2011 (QLD); Work Health and Safety Act 2012 (SA); Work Health and Safety Regulations 2011; How to Manage Work Health and Safety Risks Code of Practice 2021; Managing the Work Environment and Facilities Code of Practice 2021; Fair Work Act 2009; Privacy Act 1988; Safe Work Australia Codes of Practice

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Workplace Inspection & Visit Procedure

Purpose

This procedure ensures that WetTrade Apprenticeships (WTA) maintains a consistent, compliant, and proactive approach to workplace inspections and site visits for apprentices and host employers.

It provides a structured framework to monitor health and safety, training progression, supervision quality, and workplace conditions—meeting the requirements of:

- SA GTO Standard 4 – Apprentice and Host Employer Monitoring
- National Standard 3 – Apprentice and Host Employer Support
- DTET GTO Standards 2025 – Clause 4.1 (Workplace Safety and Monitoring)

Scope

This procedure applies to:

- All apprentices and trainees employed by WTA and hosted at worksites.
- All WTA s, Mentors, GTO Coordinators, and WHS Representatives conducting site visits.
- All host employers providing on-the-job training and supervision.

It covers both **general workplace visits** and **formal WHS inspections**, including scheduled, unscheduled, and incident-triggered visits.

Objectives

- Ensure apprentices are working under safe and compliant conditions.
- Verify host employer adherence to WTA and legislative WHS requirements.
- Confirm training plans are being implemented effectively in the workplace.
- Identify early indicators of psychosocial or physical hazards and address them promptly.
- Strengthen collaboration and communication between WTA, NICS, and host employers.

Roles and Responsibilities

Role	Responsibilities
General Manager (GM)	Approves inspection frameworks, reviews critical incidents, and ensures alignment with WHS legislation and SA GTO Standards.
GTO Coordinator /	Conducts site visits and inspections, completes reports, identifies hazards, ensures compliance with training and safety requirements, and liaises with host employers.
Apprentice Mentor / Counsellor	Provides follow-up support for wellbeing concerns or identified psychosocial risks.
Host Employers	Maintain safe working conditions, cooperate with WTA during inspections, and implement corrective actions within agreed timeframes.
Apprentices and Trainees	Report hazards or concerns during visits and comply with WHS directions from WTA or the host employer.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Visit Frequency

Apprentice Stage	Minimum Visit Frequency	Visit Focus
Probation Period (first 3 months)	Monthly	Safety induction, workplace integration, supervision quality, early risk identification.
Post-Probation	Every 3 months	Ongoing safety checks, training progression, wellbeing review, compliance verification.
High-Risk Worksites or Psychosocial Concerns	Monthly or as required	Targeted inspections addressing identified risks, behavioural or wellbeing concerns.
Incident or Complaint Triggered	Immediate (within 48 hours)	Investigation, hazard verification, and follow-up action documentation.

Procedure Steps

1. Pre-Visit Preparation

- Review the apprentice file, prior visit reports, and training plan progress.
- Check for open WHS actions, incident reports, or complaints.
- Notify host employers and apprentices of scheduled visits (except surprise inspections).
- Ensure inspection checklists, PPE, and documentation templates are prepared.

2. On-Site Inspection and Engagement

- Introduce yourself to the site supervisor and explain the purpose of the visit.
- Conduct WHS inspection using the *Workplace Inspection Checklist*, covering:
 - Safe work environment, signage, amenities, PPE, equipment condition.
 - Safe systems of work, including manual handling, chemical safety, and isolation procedures.
 - Psychosocial environment (bullying, fatigue, workload, respect).
 - Apprentice supervision ratio and competency of supervisors.
- Interview the apprentice privately to discuss:
 - Job satisfaction, workload, safety concerns, and wellbeing.
 - Training progression and RTO interaction (NICS).
 - Any issues regarding workplace culture or discrimination.

3. Hazard Identification and Immediate Action

- Record all identified hazards using the *Hazard and Risk Register*.
- Apply risk rating (Low, Medium, High) using the WTA Risk Matrix.
- For high-risk hazards, request immediate rectification by the host employer.
- Where immediate correction is not possible, remove the apprentice from danger and escalate to the GM within 24 hours.

4. Documentation and Reporting

- Complete a *Workplace Inspection & Visit Report* within 24 hours of the visit.
- Upload completed forms to SharePoint → WHS → Site Visits Register.
- If issues were identified, log corrective actions on the *WHS Action Register* with assigned responsibility and target completion date.
- Provide a summary report to the GM and relevant Mentor.

5. Follow-Up and Corrective Actions

- to contact host employer within five (5) business days to verify progress.
- Close-out actions once evidence of rectification is received (e.g., photos, receipts, updated SOPs).
- Record follow-up in the *Corrective Action Log* and mark as “Resolved” or “Escalated.”

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

6. Escalation of Non-Compliance

- If the host employer fails to act within 10 working days, escalate to the GM.
- Consider suspension of placements with the host employer pending compliance.
- Notify relevant regulators (e.g., SafeWork SA or DTET) if breaches are serious or recurrent.

7. Post-Visit Communication

- Provide written feedback to host employer and apprentice summarising findings, actions, and recommendations.
- Discuss identified training or support needs and refer to Mentor or NICS as required.

8. Continuous Improvement

- Data from all inspections is reviewed quarterly by the GM and Compliance Officer.
- Trends and recurring issues are discussed at management meetings and logged in the *Continuous Improvement Register*.
- Results are used to enhance induction training, employer selection, and WHS policy development.

Records Management

All documents and records must be securely stored and retained in line with the **Records Management Policy** and Privacy Act (Cth).

Records to be retained include:

- Workplace Inspection & Visit Reports
- WHS Action Registers and Corrective Action Logs
- Hazard and Risk Registers
- Apprentice Interview Notes
- Follow-up Correspondence and Evidence

Retention period: **7 years** from the date of inspection.

Applicable Standards and Regulatory Frameworks

- SA GTO Standard 4 – Apprentice and Host Employer Monitoring
- National Standard 3 – Apprentice and Host Employer Support
- DTET GTO Standards 2025 – Clause 4.1 (Workplace Safety) and 4.2 (Monitoring and Support)
- Work Health and Safety Act 2012 (SA)
- Work Health and Safety Regulations 2012 (SA)
- How to Manage Work Health and Safety Risks Code of Practice 2021 (SA)
- Safe Work Australia Codes of Practice
- Privacy Act 1988 (Cth)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Workplace Inspection & Visit Procedure – Process Table

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Schedule Visits	Develop annual schedule for workplace inspections and apprentice visits.	GTO Coordinator /	Create schedule based on apprentice locations, risk rating, and industry workload. Prioritise new placements, high-risk sites, or apprentices in probation.	Visit Schedule Register	Reviewed quarterly; update as apprentices change host employers.
2. Pre-Visit Review	Prepare documentation and background information before each visit.		Review prior visit reports, incident records, performance notes, and training plan progress. Confirm required PPE and documentation templates.	Apprentice File, WHS Risk Register	24–48 hours prior to visit.
3. Notify Parties	Confirm visit timing with host employer and apprentice (except for surprise inspections).		Provide email or phone notice where applicable; record communication in the apprentice's file.	Email Log or Communication Record	1–3 business days before visit.
4. Conduct Site Introduction	Introduce WTA purpose and confirm site access and safety induction.		Meet site supervisor; confirm induction requirements have been completed by apprentice.	Site Induction Form	On arrival.
5. Workplace Inspection	Undertake WHS inspection using approved checklist.		Inspect physical environment (PPE, tools, signage, housekeeping, safe systems). Identify any psychosocial risks.	Workplace Inspection Checklist, WHS Inspection Report	At every visit.
6. Apprentice Interview	Conduct confidential discussion with apprentice.	/ Mentor	Discuss wellbeing, safety, workload, relationships, and training progress. Document all feedback and issues.	Apprentice Interview Form	At every visit (minimum quarterly).
7. Identify and Record Hazards	Record any physical or psychosocial hazards and assess risk level.		Apply risk matrix to classify Low / Medium / High risk. Take photos or notes where appropriate.	Hazard & Risk Register	Immediate.
8. Immediate Corrective Action	Address high-risk hazards and communicate corrective actions to host employer.	/ Host Employer	Stop unsafe work if required. Implement temporary controls and escalate to GM if unresolved.	WHS Action Register, Email Notification	Immediate for high risk; within 24 hrs.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

9. Document Visit Findings	Complete written Workplace Inspection & Visit Report.		Summarise findings, corrective actions, and recommendations.	Visit Report Template, SharePoint Upload	Within 24 hours of visit.
10. Submit and File Documentation	Upload all completed reports and logs to SharePoint.	/ Admin Officer	Store under WHS > Site Visits Register. Maintain document version control.	SharePoint, Records Management System	Within 2 business days.
11. Implement Corrective Actions	Ensure host employer implements corrective measures.	Host Employer /	Confirm completion via photo evidence, written confirmation, or follow-up inspection.	Corrective Action Log	Within 5 business days of visit.
12. Escalate Non-Compliance	Escalate unresolved safety issues.	GTO Coordinator / GM	Suspend placements if corrective action not taken. Notify regulators if risk persists.	Escalation Log, Notification Letter	Within 10 business days of visit.
13. Communicate Outcomes	Provide feedback to host employer and apprentice.		Send summary email outlining results, required improvements, and next steps.	Feedback Email	Within 5 business days of visit.
14. Monitor and Close Out	Confirm all hazards have been controlled and record final closure.	/ Compliance Officer	Review WHS Action Register and mark items as “Resolved” or “Escalated.”	WHS Action Register	Ongoing, monthly review.
15. Review and Report	Analyse inspection data and report trends.	Compliance Officer / GM	Review site visit data quarterly. Identify recurring issues, training gaps, or systemic risks.	Continuous Improvement Register, Quarterly Report	Quarterly.
16. Continuous Improvement	Integrate lessons learned into future planning and policy updates.	GM / Management Team	Use data to update policies, procedures, and training programs.	Management Meeting Minutes	Biannual or post-incident review.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Workers' Compensation Procedure

Purpose

This procedure defines the process for reporting, managing, and resolving work-related injuries, illnesses, and incidents for all employees, apprentices, and trainees of WetTrade Apprenticeships (WTA).

It ensures compliance with workers' compensation and workplace health and safety legislation in South Australia and Queensland and aligns with the South Australian GTO Standards (2025), National Standards for Group Training Organisations, and DTET GTO Standards (2025).

Scope

This procedure applies to:

- All WTA employees, apprentices, and trainees (including those hosted to third-party employers).
- All incidents, injuries, illnesses, and near misses that occur during the course of employment.
- WTA staff responsible for coordinating injury management, return-to-work (RTW) arrangements, and insurer liaison.

Objectives

- Ensure prompt reporting, recording, and management of all workplace incidents and injuries.
- Support affected workers in accessing appropriate medical treatment and compensation.
- Facilitate early intervention and structured return-to-work arrangements.
- Maintain compliance with WHS, workers' compensation, and GTO regulatory frameworks.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Ensures compliance with workers' compensation legislation and approves all return-to-work plans and serious injury notifications.
Compliance Officer	Reviews all incident and injury reports, liaises with insurers and regulatory authorities, and maintains confidential claim records.
GTO Coordinator	Supports injured workers, assists with report completion, lodges forms, and coordinates host employer communication.
Host Employer	Provides immediate first aid, ensures safe work practices, reports injuries promptly to WTA, and assists with modified or alternative duties.
All Employees and Apprentices	Report all incidents immediately, cooperate with investigations, and follow medical and rehabilitation instructions.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedure Steps

Step	Task / Action	Responsible Person	Records / Tools
1. Immediate Response and Medical Attention	• Ensure immediate medical care for the injured person. • Contact a first aider or emergency services (e.g. 000 for serious injuries). • Notify supervisor or GTO Coordinator as soon as possible.	Employee / Host Employer / GTO Coordinator	First Aid Log Emergency Contact Register
2. Incident Notification	• All injuries, illnesses, near misses, and incidents must be reported to the GTO Coordinator within 24 hours. • Injured worker completes the Incident Report Form. • GTO Coordinator records the notification date and time.	Employee / Apprentice / GTO Coordinator	Incident Report Form
3. Incident Recording	• GTO Coordinator enters all details in the Incident and Injury Register, including: – Worker's name and role. – Time, date, and location of incident. – Description of the event and nature of injury. – Witness names. – Actions taken and person completing report. • File securely within MPA Online → Governance and Compliance.	GTO Coordinator	Incident and Injury Register
4. Review and Acknowledgement	• Compliance Officer reviews the report within 48 hours. • Written acknowledgement is provided to the injured worker confirming receipt. • Determine if the incident requires mandatory notification to WorkSafe SA, WorkCover Queensland, or another authority.	Compliance Officer	Notification Email WHS Incident Assessment Form
5. Claim Lodgement	• Assist injured worker in completing the relevant claim forms: – Return to Work SA Claim Form (SA) – WorkCover Queensland Claim Form (QLD) • Submit all documentation promptly to the insurer. • Record claim number, date, and insurer contact in the Workers' Compensation Register.	GTO Coordinator / Compliance Officer	Workers' Compensation Register Claim Form Templates

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

6. Investigation (if applicable)	• Conduct an internal investigation for significant injuries or incidents. • Gather evidence (photos, statements, and witness reports). • Identify root causes and recommend corrective actions. • Record findings in the Incident Investigation Report and forward to management.	Compliance Officer / GTO Coordinator	Incident Investigation Report
7. Return-to-Work Coordination	• Develop a Return-to-Work (RTW) Plan in consultation with the treating doctor, insurer, and host employer. • Include suitable duties, hours, and review dates. • CEO approves all RTW Plans. • Review worker progress weekly until full duties are resumed.	Compliance Officer / CEO / Host Employer	Return-to-Work Plan Template
8. Communication and Follow-Up	• Maintain regular contact with the injured worker, host employer, and insurer. • Document all communications and progress notes. • Ensure modified or alternative duties are consistent with medical advice.	GTO Coordinator / Compliance Officer	Communication Log Progress Notes
9. Confidentiality and Record Management	• Store all injury, claim, and medical records securely in MPA Online → Governance and Compliance Register. • Restrict access to authorised personnel only. • Retain all records for seven (7) years from the date of claim closure.	Compliance Officer	Governance and Compliance Register
10. Reporting and Continuous Improvement	• Analyse injury and incident data quarterly to identify trends. • Review root causes and record findings in the Continuous Improvement Register. • Implement corrective actions and review policy updates annually.	Compliance Officer / GM / CEO	Continuous Improvement Register Quarterly WHS Report

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Return-to-Work (RTW) Flow and Approval

Stage	Action	Approval / Authority
RTW Plan development	Compliance Officer and host employer collaborate based on medical advice.	Compliance Officer
RTW Plan approval	CEO approves and authorises all RTW arrangements.	CEO
RTW monitoring and review	Weekly progress updates provided to Compliance Officer and host employer.	GTO Coordinator
Final clearance and closure	Medical clearance received and recorded; case closed and archived.	Compliance Officer / CEO

Record Retention

Record Type	Storage Location	Retention Period
Incident Reports	MPA Online → Governance and Compliance	7 years
Claim Forms and Correspondence	MPA Online → Workers' Compensation Folder	7 years
Return-to-Work Plans	MPA Online → Apprentice File	7 years
Investigation Reports	Governance and Compliance Register	7 years
Continuous Improvement Data	Continuous Improvement Register	Permanent

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 1 – Governance and Accountability
- Standard 3 – Work Health and Safety and Risk Management
- Standard 5 – Governance, Compliance and Reporting
- Standard 7 – Continuous Improvement and Reporting

DTET GTO Standards (2025)

- Clause 3.1 – Apprentice and Host Support
- Clause 4.2 – Monitoring and Reporting Obligations
- Clause 5.1 – Governance, Risk, and Welfare Management
- Clause 7.1 – Continuous Improvement

National Standards for Group Training Organisations (NSGTO)

- Standard 3 – Apprentice and Trainee Employment and Welfare
- Standard 5 – Governance and Administration
- Standard 7 – Continuous Improvement

Legislative and Regulatory Frameworks

- Work Health and Safety Act 2012 (SA)
- Work Health and Safety Act 2011 (QLD)
- ReturnToWorkSA Act 2014 (SA)
- Workers' Compensation and Rehabilitation Act 2003 (QLD)
- Fair Work Act 2009 (Cth)
- South Australian Skills Act 2008
- Skills Regulations 2021 (SA)

Supporting Registers and Tools

- Incident Report Form
- Workers' Compensation Register
- Return-to-Work Plan Template

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

-
- Incident Investigation Report
 - Continuous Improvement Register
 - Governance and Compliance Register

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Psychosocial Hazards Procedure

Purpose

To prevent, identify, assess, control, and review psychosocial hazards in accordance with the **WHS Acts (QLD/SA), Regulations**, and the **Code of Practice: Managing Psychosocial Hazards at Work (Safe Work Australia)**, and to integrate these controls within WTA's WHS and GTO compliance systems.

Scope

Applies to all WTA staff, apprentices/trainees, host employers/supervisors, contractors, and visitors at WTA offices, training venues, host sites, off-site activities, and digital environments.

Definitions

- **Psychosocial hazard:** Aspects of work (design, organisation, environment, interactions) that may cause psychological or physical harm.
- **Psychosocial risk:** Likelihood a hazard will cause harm and the severity of that harm.
- **Controls:** Measures to eliminate or minimise risks (work design, supervision, workload, role clarity, training, support, environment, behaviours).

Roles and Responsibilities

Role / Position	Responsibilities
CEO	Approves framework and resources; reviews quarterly performance; ensures integration with governance and GTO standards.
Compliance Officer (CO)	Maintains psychosocial risk system; leads assessments and investigations; ensures regulator/GTO compliance; keeps registers.
GTO Coordinator / (FO)	Monitors host sites; identifies early indicators; consults apprentices/hosts; implements and verifies controls; escalates issues.
Host Employer / Supervisor	Designs safe work; ensures supervision/support; implements agreed controls; cooperates with reviews/audits.
RTO Trainer / Assessor	Aligns training loads; flags risk from delivery patterns; participates in case conferences.
All Staff & Apprentices	Follow procedures; report hazards early; participate in consultations/training; uphold respectful conduct.
Administration	Manages confidential records, surveys, and register updates.

Procedure Steps (Assessment, Consultation, WHS Integration)

Step	Action / Activity	Owner	Process Requirements	Records & Tools	Timeframe / Frequency
1. Plan & Prepare	Establish annual psychosocial risk plan and schedule.	CO / CEO	Set priorities from last year's data; allocate resources; communicate plan.	Annual Psychosocial Risk Plan	Annually (Q1)
2. Identify Hazards (Multi-method)	a) Site observations during FO visits; b) Apprentice & staff pulse surveys ; c) Consultation (toolbox/WHS meetings); d) Data review (incidents, absenteeism, complaints, turnover); e) Task/roster review .	FO / CO	Cover key hazard domains: job demands/control, support, role clarity, relationships, bullying/harassment, remote/isolated work, exposure to trauma, fatigue, environment.	Observation Checklist; Pulse Survey; Hazard Report Form; Data Pack	Monthly (visits); Quarterly (surveys/data)
3. Screen & Triage	Rate newly identified hazards for urgency.	CO	Rapid screen (Low/Med/High/Critical) using likelihood × consequence.	Triage Sheet	Within 5 business days of detection
4. Assess Risk (Detailed)	Conduct structured risk assessments for Medium+ hazards.	CO / FO / Host	Consider duration, frequency, compounding hazards, vulnerable workers, supervision capacity; apply Code of Practice methodology.	Psychosocial Risk Assessment Template; Risk Register	Within 10 business days
5. Consult & Co-design Controls	Engage affected workers/apprentices and host to design controls.	FO / Host / CO	Use participative design; ensure controls are reasonably practicable, trauma-informed, culturally safe.	Consultation Record; Action Plan	Within 5 business days of assessment
6. Implement Controls (WHS Integration)	Embed chosen controls into WHS system.	Host / FO / CO	Update: ERA (Employer Resource Assessment), Training Plan, rosters, supervision ratios, task rotation, communication protocols, escalation paths.	Updated ERA; Training Plan Variation; SOPs	Immediately to 30 days (per action)
7. Verify & Monitor	Check control effectiveness on site and via pulses.	FO / CO	Spot-checks; review workload metrics; welfare calls; early-warning alerts.	Control Effectiveness Log; Contact Notes	2, 4, 8 weeks post-implementation, then quarterly

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

8. Escalate Where Needed	Trigger higher-order actions if risk persists.	CO / CEO	Options: rotate apprentice, change host, stand-down for safety, external referral (SafeWork SA/WHSQ, SASC/DTET, FWC for anti-bullying/harassment).	Escalation Record; Regulator Notification	As required
9. Review & Close	Reassess residual risk and close actions.	CO	Update Risk Register; document lessons; agree residual monitoring cadence.	Risk Register Update; Closure Note	Within 10 business days of verification
10. Report & Improve	Report performance and integrate improvements.	CO / CEO	Quarterly report to Governance & Compliance; update training, policies, and WHS plans; log in CI Register.	Quarterly Psychosocial Report; CI Register	Quarterly / Annually

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Assessment Methods (Evidence-based)

- **Structured tools:** Psychosocial Risk Assessment Template aligned to the Code of Practice (domains scoring and control library).
- **Surveys:** Short, anonymous pulse items (workload, support, respect, clarity, fatigue, inclusion).
- **Qualitative inputs:** Interviews/focus groups during site visits; apprentice welfare check scripts.
- **Data analytics:** Trends in incidents, near misses, bullying/harassment reports, grievances, absenteeism, turnover, schedule changes, overtime.
- **Sentinel events:** Critical incidents/trauma exposure trigger immediate assessment and debrief protocol.

Consultation Processes

- **Routine:** Toolbox talks, site visits, and WHS Committee meetings with apprentices and hosts.
- **Targeted:** Case conferences for at-risk apprentices (FO, RTO, host supervisor, mentor, CO).
- **Protected:** Confidential channels for sensitive issues; option for external facilitator; no victimisation.
- **Feedback loop:** “You said / We did” summaries shared (privacy-safe) after each quarterly review.

WHS Integration Points

- **Risk Register:** Psychosocial entries tracked alongside physical risks.
- **ERA (Employer Resource Assessment):** Includes domains for supervision capacity, job demands, role clarity, relationships, and isolated work.
- **Training Plan:** Variations reflect learning load adjustments, rotation to broaden range of work, and extra mentoring.
- **Incident System:** Bullying/SGBH/psychosocial events logged and linked to investigations under Bullying/SGBH Procedures.
- **WHS Inspections & Audits:** Checklists include psychosocial prompts; quarterly audits verify control effectiveness.
- **Managing Suspension & Economic Impact Procedure:** Used when economic triggers create psychosocial risk (uncertainty, underemployment).
- **Host Agreements & Onboarding:** Behavioural standards, consultation duties, and escalation pathways embedded.

Control Measures (Examples)

- **Work design:** Balanced workloads; realistic deadlines; task rotation; clear priorities.
- **Role clarity:** Updated position/learning expectations; pre-start briefings; daily check-ins.
- **Support:** Supervisor/mentor availability; structured debriefs after critical events; EAP referrals.
- **Capability:** Communication/resilience training; respectful workplace modules; supervisor coaching.
- **Environment:** Safe break areas; reliable tools/PPE; pathways to report without fear.
- **Separation:** No-contact directives; alternative supervision/host rotation for conflict scenarios.

Records and Documentation

- **Psychosocial Risk Register** (SharePoint – WHS → Psychosocial).
- **Assessments, action plans, and consultation records** (restricted access).
- **Survey datasets and anonymised summaries.**
- **Escalation/notification logs** (SafeWork SA/WHISQ, SASQ/DTET, FWC where applicable). Retention: **7 years** minimum.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Training and Awareness

- **Induction:** Psychosocial hazard awareness and reporting channels.
- **Annual refresher:** Supervisors/hosts on hazard recognition, early intervention, and respectful conduct.
- **Targeted modules:** Fatigue management; conflict resolution; trauma-informed support.
- **Campaigns:** Periodic “speak up” and mental health literacy communications.

Escalation Pathways

- **Imminent risk/violence:** Emergency services (000) → CO/CEO.
- **Serious, repeated, or systemic risk:** **SafeWork SA / WHSQ** notification; **SASC/DTET** where apprentice welfare/host compliance is impacted.
- **Bullying/SGBH:** Fair Work Commission anti-bullying/sexual harassment jurisdiction, per relevant procedures.

Monitoring, Reporting, and Continuous Improvement

- **KPIs:** Assessment completion rate; time to implement controls; effectiveness at 8-week check; survey trend movement; recurrence rate.
- **Quarterly Report:** To CEO/Board Governance & Compliance Committee.
- **CI Register:** Captures actions, owners, and due dates; verified at next audit cycle.
- **Annual Review:** Align with updated legislation and Code of Practice; refresh tools and training.

Applicable Standards and Regulatory Frameworks

- **South Australian GTO Standards (2025):** Standards 1, 2, 3, 5, 7
- **DTET GTO Standards (QLD):** Performance & Safety Framework; Apprentice Welfare & Psychosocial Hazard Management
- **NSGTO:** Standards 2, 3, 4, 5, 7
- **Legislation & Codes:** WHS Acts/Regs (QLD/SA); **Code of Practice: Managing Psychosocial Hazards at Work** (Safe Work Australia); Fair Work Act 2009 (Cth); Privacy Act 1988 (Cth); SA Skills Act 2008 & Skills Regulations 2021 (SA)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Behaviour, Conduct and Respectful Workplace

Respectful Workplace & Behaviour Management Procedure

1. Purpose

Set out a clear, compliant process to prevent, identify, respond to, and resolve workplace bullying, sexual harassment, and gender-based harassment affecting apprentices, staff, and host employer worksites. Embed psychosocial hazard control and ensure safe, respectful learning and work environments.

2. Scope

Applies to all WTA employees, apprentices/trainees, contractors, volunteers, visitors, and host employers at any WTA or host site, off-site activity, online environment, or travel linked to work/training.

3. Definitions (plain language)

- **bullying:** repeated, unreasonable behaviour that creates risk to health and safety (humiliating, intimidating, threatening, victimising).
- **sexual harassment:** unwelcome conduct of a sexual nature where a reasonable person would expect offence, humiliation, or intimidation (can be a single incident).
- **gender-based harassment:** unwelcome conduct based on sex, gender, gender identity, or sexuality.
- **psychosocial hazard:** any factor at work that may harm psychological health (e.g., aggression, high job demands, poor support).
- **reasonable management action:** lawful, reasonable actions carried out in a reasonable way (e.g., performance feedback, rosters, role clarification) — not bullying.

4. What to look for (early warning indicators)

- **behaviour:** insults, name-calling, slurs, sexualised comments, persistent criticism, spreading rumours, exclusion/isolation, intrusive questions about private life, leering, unnecessary touching.
- **digital conduct:** offensive messages, images, DMs, posts, repeated requests after refusal, cyberstalking.
- **situational flags:** power imbalance, isolated or remote work, poor supervision, unclear roles, high job demands, alcohol-present events, “banter” masking hostility.
- **impact cues:** distress, avoidance, absenteeism, drop in performance, requests to move sites, medical certificates for stress/anxiety.

5. Immediate response (if you see or receive a concern)

- **ensure safety:** separate parties if needed; stop the behaviour; consider moving the apprentice to a safe space/site.
- **support first:** ask if the person feels safe, needs a support person, or urgent assistance.
- **preserve evidence:** retain messages, screenshots, CCTV references, rosters, witness names.
- **do not promise absolute confidentiality:** explain you will limit disclosure to those who must know to address safety and due process.

6. Reporting channels

- **internal:** GTO Coordinator/, Compliance Officer, Manager/CEO, WTA reporting email/phone.
- **external options** (available at any time): SA Skills Commission (SA matters), Queensland Training Ombudsman, Fair Work Commission, police (criminal conduct), equal opportunity/anti-discrimination bodies.
- **anonymous reports:** accepted; investigate to the extent possible with available facts.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

7. Triage and risk assessment (within 1 business day)

- **classify:** bullying vs sexual/gender-based harassment vs other misconduct vs reasonable management action.
- **assess risk:** consider immediacy, seriousness, vulnerability, power dynamics, repeated conduct, psychosocial risk factors.
- **control risks:** implement interim controls (separate parties, alternative supervision/site, adjust rosters), document controls and review weekly until closed.

8. Pathways (choose one or more, based on risk and preference)

- supportive early resolution (low risk, single/low-level incident):
 - facilitated conversation, behavioural direction, coaching, management reminder of standards; record outcome.
- formal investigation (moderate/high risk, repeated or serious allegation):
 - appoint impartial investigator (internal or external).
 - notify respondent of allegations (natural justice); allow response; interview witnesses; assess evidence on balance of probabilities.
- parallel processes:
 - complaints/grievances under WTA procedure; host employer process; police/anti-discrimination bodies where applicable.

9. Investigation steps (time-bound)

- plan: issues list, witnesses, documents, timelines.
- gather: interviews (with support persons permitted), artefacts (screenshots, emails), site observations.
- decide: findings letter with reasons; confirm whether policy breaches occurred; classify risks.
- timeframes (targets): commence ≤3 business days; conclude ≤20 business days (notify if extension needed).

10. Outcomes and remedies (proportionate, trauma-informed)

- corrective actions: apology, behavioural undertakings, training, supervision changes, roster/site changes, no-contact directions.
- disciplinary actions (WTA employees/apprentices): warning(s), reassignment, suspension, termination (serious misconduct).
- host-related actions: require host corrective actions; remove apprentice from site; pause/cease hosting; notify SA Skills Commission if safety/compliance risk.
- system fixes: workload/role clarity changes, supervisor training, toolbox talks, policy refresh, hazard control updates.

11. Support and adjustments

- immediate supports: welfare checks, EAP/counselling referrals (e.g., 1800RESPECT, Lifeline, Beyond Blue), mentoring check-ins.
- training adjustments: re-sequence training; arrange alternative safe placements; additional supervision.
- anti-victimisation: zero tolerance for retaliation. Treat breaches as serious misconduct.

12. Confidentiality, records, and privacy

- need-to-know: limit information to those managing the matter.
- records: log in Respectful Workplace Register; store investigation notes, correspondence, risk controls, outcomes, and follow-up checks for 7 years.
- privacy: handle all personal information per Privacy Act and WTA privacy policy.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

13. Interface with host employers

- notify host promptly (if on their site) of safety risk and interim controls; request cooperation and site controls.
- require host to confirm supervision, hazard controls, and behavioural expectations.
- if host non-compliant or unsafe: withdraw apprentice; consider prohibited/suspended host status; notify SA Skills Commission where required.

14. Prevention and training

- induction: include respectful behaviour, reporting options, and psychosocial hazards.
- refresher: annual toolbox sessions for hosts and apprentices; manager training on reasonable management action vs bullying; bystander intervention skills.
- comms: visible standards on sites; contact points; anti-retaliation message.
- monitoring: add respectful behaviour checks to routine site visits and monitoring forms.

15. Timeframes and KPIs

Metric	Target
triage start	≤ 1 business day from report
interim controls	in place ≤ 24 hours for medium/high risk
investigation	commence ≤ 3 business days; conclude ≤ 20 business days (extensions documented)
welfare contact	within 24–48 hours of report, then weekly until closure
effectiveness check	verify outcomes at 30 and 90 days

16. Documentation and registers

- registers: Respectful Workplace Register; Investigation File; Interim Risk Controls Log; Outcome & Follow-Up Log; Training & Briefings Log.
- audit trail: link to Workplace Inspection & Visit Register where hazards/behaviours were observed; cross-reference Complaints & Appeals Register if applicable.

17. Roles and responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Ensure safe systems; approve escalations and major outcomes; resource investigations and controls.
Compliance Officer	Triage risk; oversee investigations; maintain registers and evidence; ensure timeframes and reporting; liaise with regulators.
GTO Coordinator /	Receive reports; secure safety; implement controls; liaise with hosts; conduct welfare checks; document actions.
Host Employers	Provide a safe workplace; cooperate with investigations; implement site controls; prevent retaliation; report outcomes to WTA.
All Employees and Apprentices	Follow the code of conduct; report concerns early; preserve evidence; cooperate; uphold confidentiality and no-retaliation.

18. Escalation and external reporting

- imminent risk/criminal conduct: contact police/emergency services.
- regulatory notification (as applicable): SA Skills Commission (serious host non-compliance/safety), SafeWork SA/WHSQ for notifiable incidents, anti-discrimination/EO bodies for unlawful harassment.
- DTET/contractual: provide information if required under Queensland arrangements.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

19. Review

- case review: 30/90-day effectiveness checks.
- quarterly analysis: trends, hotspots, repeat hosts/sites; report to management/board.
- annual review: update procedure to reflect SA GTO, National, and DTET changes.

Applicable Standards and Regulatory Frameworks

- SA GTO Standards (2025) – Standard 3 (Apprentice Support and Welfare); Standard 4 (Monitoring and Reporting); Standard 5 (Governance, Compliance and Reporting)
- National Standards for Group Training Organisations – Standard 3 (Apprentice and Host Support); Standard 5 (Governance and Administration)
- DTET GTO Standards (Queensland, 2025) – Clauses on Monitoring & Support, Welfare and Safety, Complaints Management
- Work Health and Safety Act 2012 (SA); Work Health and Safety Regulations 2012 (SA)
- Work Health and Safety Act 2011 (Qld); Work Health and Safety Regulation 2011 (Qld)
- Managing Psychosocial Hazards at Work – Codes of Practice (SA and Qld)
- Fair Work Act 2009 (Cth)
- Sex Discrimination Act 1984 (Cth); Equal Opportunity Act 1984 (SA)
- Privacy Act 1988 (Cth)

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Workplace Bullying Procedure

Purpose

This procedure outlines the steps required by **WetTrade Apprenticeships (WTA)** to prevent, identify, and respond to workplace bullying in accordance with the **Fair Work Act 2009 (Cth)**, **Work Health and Safety Acts (QLD & SA)**, and **GTO Standards**.

It ensures all reports of bullying are handled **promptly, confidentially, and fairly**, and that affected individuals are supported throughout the process.

Scope

This procedure applies to:

- All WTA employees, apprentices, and trainees.
- Host employers, supervisors, and co-workers engaged with WTA apprentices.
- Contractors, service providers, and visitors.
- All work-related environments, including offices, host sites, online communications, and off-site events.

Objectives

- Provide a clear process for reporting and resolving bullying complaints.
- Ensure investigations are impartial, confidential, and evidence based.
- Protect complainants and witnesses from victimisation or retaliation.
- Promote early resolution and psychological safety.
- Maintain compliance with legislative and GTO standard requirements.

Roles and Responsibilities

Role / Position	Responsibilities
Chief Executive Officer (CEO)	Ensures compliance with Fair Work and WHS legislation; reviews reports; approves corrective and disciplinary actions.
Compliance Officer	Manages complaint intake, records, investigations, and outcomes; ensures confidentiality; liaises with regulators as required.
GTO Coordinator /	Identifies early warning signs; provides support and mediation; escalates serious complaints to the Compliance Officer.
Host Employer / Supervisor	Ensures apprentices work in a safe, respectful environment; takes immediate action on reported bullying; notifies WTA.
Employees / Apprentices / Trainees	Report bullying promptly; cooperate in investigations; maintain confidentiality; act respectfully at all times.
Administration Officer	Maintains secure records of complaints, investigation findings, and resolutions.

Procedure Steps

Step	Action / Activity	Responsibility	Process Requirements	Records & Tools	Timeframe / Frequency
1. Reporting a Bullying Concern	Receive or identify a bullying complaint (verbal, written, or anonymous).	Any Worker / Apprentice / Host Employer	Report directly to , Compliance Officer, or WTA office.	Bullying Complaint Form	As soon as practicable
	Acknowledge receipt of complaint and explain process.	Compliance Officer	Confirm confidentiality, outline support options and investigation steps.	Complaint Acknowledgement Letter	Within 24 hours
2. Initial Assessment	Conduct a preliminary review to determine the nature and seriousness of the allegation.	Compliance Officer /	Determine if behaviour meets definition of bullying and assess immediate risk.	Initial Assessment Report	Within 2 business days
	If immediate risk is identified, implement interim measures (e.g. separation, changed supervision).	Compliance Officer / GTO Coordinator	Protect all parties pending investigation.	Risk Control Log	Immediately
3. Informal Resolution (where suitable)	Facilitate early resolution for minor or single incidents (e.g. misunderstanding, communication issue).	/ Compliance Officer	Arrange mediation, facilitated discussion, or coaching.	Mediation Record	Within 5 business days
	Monitor for recurrence or escalation.	GTO Coordinator	Schedule follow-up call/visit.	Contact Log	2–4 weeks post-resolution
4. Formal Investigation (serious or repeated behaviour)	Assign impartial investigator (internal or external).	Compliance Officer / CEO	Notify all parties of investigation scope, process, and confidentiality requirements.	Investigation Appointment Letter	Within 5 business days of complaint
	Collect statements, evidence, and witness accounts.	Investigator	Use natural justice principles – both complainant and respondent have right to respond.	Interview Notes; Evidence File	Within 10 business days
	Determine findings based on balance of probabilities.	Investigator / Compliance Officer	Prepare Investigation Report including findings,	Investigation Report	Within 15 business days

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

			conclusions, and recommended actions.		
5. Decision and Outcome	Review investigation findings and decide on outcome.	CEO / Compliance Officer	Determine appropriate actions (e.g. mediation, training, warnings, termination, host withdrawal).	Decision Record	Within 5 business days of report
	Communicate outcome to all parties in writing.	Compliance Officer	Provide summary of findings and actions, maintaining confidentiality.	Outcome Notification Letter	Within 2 business days of decision
	Offer ongoing support (mentoring, counselling, workplace adjustments).	GTO Coordinator	Refer to internal/external support services.	Support Record	Immediately
6. Post-Resolution Review	Monitor workplace and welfare of affected individuals.	/ Compliance Officer	Conduct follow-up welfare checks and confirm no further incidents.	Welfare Check Log	Within 30 days
	Record lessons learned and update procedures as needed.	Compliance Officer	Add to Continuous Improvement Register.	Continuous Improvement Register	Ongoing

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Investigation and Resolution Flow

1. Complaint Lodged →
2. Acknowledge & Assess Risk →
3. Determine Pathway:
 - *Informal Resolution* (e.g. mediation, apology) or
 - *Formal Investigation* (for repeated or severe conduct) →
4. Gather Evidence & Interview Parties →
5. Investigation Findings Determined →
6. Action & Outcome Communicated →
7. Follow-Up and Monitoring →
8. Record & Report (Continuous Improvement Register)

Escalation Pathways

Level	When Used	Escalation Contact	Regulatory Reference
Level 1 – Informal Discussion	Minor interpersonal issues or misunderstanding	/ Mentor	Internal resolution
Level 2 – Formal Investigation	Repeated, serious, or systemic bullying	Compliance Officer / CEO	WHS Acts; Fair Work Act
Level 3 – External Referral	If not resolved internally or involves unlawful conduct	Fair Work Commission / SafeWork SA / WHSQ	Anti-bullying provisions & WHS notification

Confidentiality and Record Keeping

- All reports, statements, and investigation materials will be treated as confidential.
- Records must be stored in **SharePoint → HR → Workplace Bullying Register** for **seven (7) years**.
- Only authorised staff (CEO, Compliance Officer, or appointed investigator) may access these records.
- Anonymous reports will be documented and monitored where action is possible.

Support Services

- **Internal:** Apprentice Mentor, GTO Coordinator, or Compliance Officer.
- **External:**
 - Lifeline – 13 11 14
 - Beyond Blue – 1300 22 4636
 - Fair Work Commission – www.fwc.gov.au/anti-bullying
 - Safe Work Australia – www.safeworkaustralia.gov.au/bullying

Continuous Improvement

- The Compliance Officer reviews all bullying complaints quarterly for trend analysis.
- Investigation outcomes and recommendations are presented to the Governance and Compliance Committee.
- Lessons learned are recorded in the **Continuous Improvement Register** and used to strengthen training and policy measures.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Relevant Clauses / Requirements
South Australian GTO Standards (2025)	Standard 1 – Governance and Accountability; Standard 3 – Apprentice and Trainee Welfare; Standard 5 – Work Health and Safety and Risk Management; Standard 7 – Continuous Improvement
Queensland DTET GTO Standards (2025)	Apprentice Welfare and Workplace Safety Framework; Host Employer Compliance Requirements
National Standards for Group Training Organisations (NSGTO)	Standard 2 – Apprentice and Trainee Employment; Standard 3 – Apprentice and Trainee Welfare; Standard 4 – Host Employer Management; Standard 5 – Governance and Risk Management
Legislation and Codes	Fair Work Act 2009 (Cth); Work Health and Safety Act 2011 (QLD); Work Health and Safety Act 2012 (SA); Work Health and Safety Regulations 2011; Anti-Discrimination Act 1991 (QLD); Equal Opportunity Act 1984 (SA); Privacy Act 1988 (Cth); Safe Work Australia Code of Practice – Managing Psychosocial Hazards at Work

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Sexual and Gender-Based Harassment Procedure

Purpose

To prevent, identify, and respond to sexual and gender-based harassment (SGBH) in line with the Sex Discrimination Act 1984 (Cth), Fair Work Act 2009 (Cth), WHS Acts (QLD/SA), GTO Standards, and WTA policy.

Scope

Applies to all WTA staff, apprentices/trainees, host employers/supervisors, contractors, and visitors across WTA offices, host sites, training venues, off-site events, and digital environments.

Definitions

- **Sexual harassment:** Unwelcome conduct of a sexual nature causing offence, humiliation, or intimidation.
- **Gender-based harassment:** Conduct targeting a person's gender, gender identity or sexual orientation (e.g., sexist remarks, stereotyping, exclusion).
- **Hostile work environment:** A culture tolerating sexualised or sexist conduct.
- **Trauma-informed:** A response that minimises re-traumatisation, preserves dignity, and prioritises safety and choice.

Roles and Responsibilities

Role / Position	Responsibilities
CEO	Ensures legal compliance; approves outcomes and sanctions; resources prevention and response.
Compliance Officer (CO)	Receives/triages reports; appoints investigator; oversees process; maintains confidential records; reports to CEO/Board; escalates to regulators where required.
GTO Coordinator / (FO)	Monitors welfare; provides first response and safety planning; facilitates interim measures; liaises with host and RTO; escalates to CO.
Investigator (internal/external)	Conducts impartial, procedurally fair investigations; gathers evidence; makes findings on balance of probabilities.
Host Employer / Supervisor	Provides safe workplace; cooperates with WTA; implements controls/corrective actions; prevents victimisation.
All Workers & Apprentices	Follow standards; report concerns; cooperate; maintain confidentiality; avoid retaliation.
Administration	Manages secure records; tracks timelines and actions.

Confidential Reporting Options

- Report to **/GTO Coordinator, Compliance Officer, or General Manager** (in person/phone/email).
- **Anonymous** reports accepted where actionable detail exists.
- **Emergency** (imminent risk/violence): call **000** then notify WTA.
- Reports involving criminal conduct (e.g., sexual assault, image-based abuse) will be supported for **police referral** with the complainant's consent (unless mandatory reporting applies).

Procedure Steps (with Timeframes)

Step	Action / Activity	Owner	Process Requirements	Records / Tools	Target
1. Intake & Acknowledgement	Receive report; provide immediate safety guidance; explain options and supports.	CO / FO	Trauma-informed approach; offer support person; provide 1800RESPECT & EAP contacts.	SGBH Complaint Form; Acknowledgement Template	Within 24 hrs
2. Triage & Risk Assessment	Assess seriousness, immediate risk, and need for interim controls.	CO	Consider separation/no-contact, supervision changes, rota adjustments, host move.	Risk & Safety Plan	Within 2 business days
3. Pathway Decision	Determine Informal Resolution (where appropriate) or Formal Investigation .	CO	Consider wishes of complainant, severity, repetition, power imbalance, evidence.	Pathway Decision Record	Day 2
4A. Informal Resolution	Mediation, facilitated conversation, coaching, written apology, training.	FO / CO	Only for lower-level, single-incident matters where safe/appropriate.	Mediation Record	Within 5 business days
4B. Formal Investigation	Appoint impartial investigator; notify parties of scope, rights, confidentiality, non-retaliation.	CO	Natural justice; support persons permitted; collect statements/evidence.	Investigation Plan; Party Notices	Appoint by Day 5
5. Evidence Gathering	Interviews, document/digital review, site context; offer written responses to allegations.	Investigator	Balance of probabilities standard; culturally safe and inclusive practice.	Interview Notes; Evidence File	10 business days (complex cases may extend with notice)
6. Findings & Recommendations	Investigator provides written report with findings and recommended actions.	Investigator → CO	Findings: substantiated / partially substantiated / not substantiated / unable to determine.	Investigation Report	Within 15 business days
7. Decision & Outcomes	CEO/CO determine actions: training, warnings, host withdrawal, rotation, termination, contractor	CEO / CO	Consider WHS risk, proportionality, prior conduct, host obligations.	Decision Record	Within 5 business days of report

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

	exclusion; workplace controls.				
8. Communication	Provide outcome letters to complainant and respondent (privacy-compliant summaries).	CO	Include support options, review pathways, no-victimisation reminder.	Outcome Letters	Within 2 business days
9. Escalation & Notification	Escalate externally as required (see Escalation Matrix).	CO	Notify SASC/DTET where material incidents affect safety/welfare or host compliance; refer to Fair Work Commission anti-bullying/sexual harassment jurisdiction if appropriate; notify police for criminal matters.	Regulator Notification Log	Within 2 business days of decision
10. Follow-Up & Monitoring	Welfare checks; review controls; confirm no retaliation; assess workplace culture.	FO / CO	Schedule follow-ups (2, 4, 8 weeks) and adjust supports/placement as needed.	Welfare Check Log	Ongoing (8 weeks)
11. Close & Improve	Close case; capture lessons learned; update training and controls.	CO	Enter actions into Continuous Improvement Register ; brief Governance & Compliance Committee.	CI Register; Case Closure Note	Within 10 business days of closure

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Investigation & Resolution Flow (Text Flowchart)

Report Received → Acknowledge (≤24h) → Risk Assessment & Interim Controls (≤2 days) →

Pathway Decision

- **Informal (mediation/coaching)** → Resolution actions → Follow-up & monitor
- **Formal Investigation** → Appoint Investigator → Evidence & Interviews → Findings → CEO Decision → Outcomes Communicated → Escalation (if required) → Follow-up → Close & Improve

Interim Safety and Workplace Controls

- No-contact directives; changed reporting lines/supervision; roster/location adjustments.
- Temporary host rotation or alternative duties (without disadvantage).
- Safe transport arrangements; buddy systems; private facilities access.
- These measures **are not** findings of fault and are reviewed regularly.

Escalation Matrix

Trigger	External Pathway	Who Escalates	Notes
Imminent risk, assault, stalking, image-based abuse	Police (000 / local station)	CO / CEO / Any staff (emergency)	Preserve evidence; prioritise safety.
Repeated or serious SGBH impacting safety/welfare; systemic host failure	SASC (and DTET in QLD)	CO	Notify regulator; consider host suspension/withdrawal.
Anti-bullying/sexual harassment orders or unresolved workplace conduct with ongoing risk	Fair Work Commission	CO (with complainant consent)	Seek FWC orders to stop harassment.
Significant WHS psychosocial risk	SafeWork SA / WHSQ	CO	WHS notification and cooperation with inspectors.

Confidentiality, Privacy, and Records

- Information is shared strictly on a need-to-know basis.
- Records kept in SharePoint → Governance/Compliance → SGBH Register (restricted access).
- Retention: 7 years minimum (longer if legally required).
- Anonymous data may be used for trend reporting.

Support and Adjustments

- **Internal:** FO/mentor support; placement adjustments; additional supervision; paid time to attend support services where appropriate.
- **External:** 1800RESPECT (1800 737 732), Lifeline 13 11 14, Beyond Blue 1300 22 4636, community legal centres.
- No victimisation or retaliation tolerated; breaches may result in disciplinary action or host contract measures.

Training and Prevention

- Induction and **annual refresher** for all staff/apprentices/hosts on SGBH standards, reporting, and bystander actions.
- Supervisor capability training (psychosocial hazards; trauma-informed responses).
- Visible reporting posters and digital resources at all sites.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Non-Compliance and Sanctions

- Outcomes may include training, written warnings, reassignment, removal from host site, termination, contractor exclusion, or regulator referral.

Continuous Improvement

- Quarterly trend analysis of SGBH reports; audit of timeliness and outcomes.
- Findings tabled at Governance & Compliance Committee; actions logged in **Continuous Improvement Register**.

Applicable Standards and Regulatory Frameworks

- **SA GTO Standards (2025):** Standards 1, 2, 3, 5, 7
- **DTET GTO Standards/Contract (QLD):** Apprentice welfare, safety, psychosocial risk management
- **NSGTO:** Standards 2, 3, 4, 5, 7
- **Legislation:** Sex Discrimination Act 1984 (Cth); Fair Work Act 2009 (Cth) (including sexual harassment jurisdiction); Anti-Discrimination Act 1991 (QLD); Equal Opportunity Act 1984 (SA); WHS Acts/Regs (QLD/SA); Privacy Act 1988 (Cth); Safe Work Australia **Managing Psychosocial Hazards at Work** Code.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Addressing Issues and Grievances Procedure

Purpose

This procedure provides a clear and structured approach for **WetTrade Apprenticeships (WTA)** to manage issues, grievances, and host employer terminations involving apprentices.

It ensures timely, fair, and documented resolution of concerns while safeguarding the wellbeing of apprentices and maintaining compliance with GTO and contractual standards.

This procedure aligns with:

- **SA GTO Standard 4.2** – Apprentice Welfare and Support
- **National GTO Standard 3** – Apprentice and Host Employer Support
- **DTET Clause 4.2** – Welfare and Support Obligations

Scope

This procedure applies to:

- All WTA apprentices and host employers.
- WTA staff responsible for apprentice management, counselling, and placement coordination.
- Situations involving interpersonal conflict, performance issues, or the potential termination of host placements.

Roles and Responsibilities

Role	Responsibilities
GTO Coordinator	Primary contact for issue resolution, mediation, and documentation. Initiates and manages the grievance resolution process.
General Manager (GM)	Provides oversight, approves termination outcomes, and ensures compliance with standards and reporting.
Compliance Officer	Maintains all grievance, termination, and performance records in the Compliance Register.
Administration	Completes compliance checks, uploads documentation, and updates apprentice and host employer records.
Apprentice / Host Employer	Engages in the grievance process and provides feedback to support fair resolution.

Procedure Steps

1. Encourage Reporting of Issues or Grievances

- Apprentices are encouraged to raise any issues or grievances with their **GTO Coordinator** as soon as possible.
- The Coordinator will listen impartially, document the concern, and assure confidentiality.
- If the grievance involves the host employer, the Coordinator will facilitate communication between the parties.

Records:

- Apprentice Feedback Form
- Site Visit Contact Log
- Case Note Entry in Support & Case Management Register

2. Facilitate Mediation and Resolution

- The **GTO Coordinator** will arrange a discussion between the apprentice and host employer to address concerns openly.
- Both parties are encouraged to express their perspectives respectfully.
- The Coordinator will aim to achieve a **mutually beneficial resolution**, focusing on restoring a productive relationship.
- If the issue cannot be resolved, the matter will be escalated to the **General Manager (GM)** for review.

Records:

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Mediation Record Form
- Case Notes in Support & Case Management Register

3. Implement Improvement Measures

- The Coordinator will identify improvement actions based on feedback from apprentices and hosts.
- Adjustments may include:
 - Modifying work duties or supervision arrangements.
 - Scheduling additional mentoring or welfare support.
 - Providing workplace communication guidance.
- Any actions agreed upon must be recorded in **MPA Online** and reviewed at the next monitoring visit.

Records:

- Improvement Action Plan
- Apprentice Monitoring Record

4. Confirm Decision to Terminate Placement

If the grievance cannot be resolved or the working relationship has broken down:

- The **GTO Coordinator** will:
 - Confirm both parties' dissatisfaction or intent to terminate the arrangement.
 - Negotiate where possible to retain the placement for the apprentice's benefit.
 - Identify and confirm the effective **termination date**.
 - Discuss with the apprentice the process for finding a **new host employer**.
 - Arrange for the apprentice to attend campus training or NICS sessions if no new host is available immediately.

Records:

- Termination Request Notes
- Site Visit Contact Log

5. Instigate Formal Termination

- The **GTO Coordinator** drafts formal correspondence to the host employer confirming:
 - The termination of the hosting arrangement.
 - The effective end date.
 - Any outstanding invoices or equipment returns.
- The Coordinator meets with the apprentice to outline next steps and confirm placement continuity arrangements.

Records:

- Termination Letter (to Host)
- Apprentice Transition Plan
- Communication Record in MPA Online

6. End the Host Employer Agreement

- The **GTO Coordinator** will confirm with the host employer whether they wish to host another apprentice.
- If so, the **Placement of Apprentices with Host Employers Procedure** is followed.
- The **Manager** sends formal notification of termination, including:
 - Effective end date.
 - Confirmation of any outstanding invoices.
 - Details of a new apprentice (if applicable).
- All correspondence and invoices are finalised promptly.

Records:

- Host Termination Confirmation Letter
- Invoice Documentation

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

- Apprentice File Update

7. Documentation and Record Keeping

- The **GTO Coordinator** will:
 - Collect survey feedback from both apprentice and host employer.
 - Record findings in the **Site Visit Contact Log**.
 - Submit documentation to **Administration** for record management.
- The **Administration Officer** will:
 - Upload all documents to both the apprentice and host employer accounts.
 - Complete the **Group Training Compliance Checklist**.
 - Save records in accordance with WTA's **Record Keeping and Privacy Policy**.

Records:

- Site Visit Contact Log
- Compliance Checklist
- Apprentice and Host Employer Files

Confidentiality

- All grievance, mediation, and termination records are handled in line with the **Privacy Act 1988 (Cth)**.
- Access to records is restricted to authorised staff (GTO Coordinator, GM, and Compliance Officer).
- Personal information must not be disclosed without written consent, except where required by law or audit.

Monitoring and Continuous Improvement

- The **Compliance Officer** reviews grievance and termination records quarterly.
- Trends and issues are reported to the **GM** and recorded in the **Continuous Improvement Register**.
- Data informs updates to host management, induction, and welfare procedures.

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- **Standard 4.2** – Apprentice Welfare and Support
- **Standard 5** – Governance, Compliance and Reporting
- **Standard 7** – Continuous Improvement

National Standards for Group Training Organisations

- **Standard 3** – Apprentice and Trainee Employment and Support
- **Standard 4** – Host Employer Management
- **Standard 5** – Governance and Administration

DTET GTO Standards (2025)

- **Clause 4.2** – Welfare and Support
- **Clause 4.3** – Host Employer Management
- **Clause 5.1** – Governance and Reporting

Legislative and Regulatory Frameworks

- *South Australian Skills Act 2008*
- *Skills Regulations 2021 (SA)*
- *Vocational Education, Training and Employment Act 2000 (QLD)*
- *Fair Work Act 2009 (Cth)*
- *Work Health and Safety Act 2012 (SA)* and *Work Health and Safety Act 2011 (QLD)*
- *Privacy Act 1988 (Cth)*

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Complaints, Disputes and Mediation Procedure

Purpose

This procedure provides a clear, fair, and accessible process for receiving, investigating, and resolving complaints, disputes, and mediation matters across WetTrade Apprenticeships (WTA) operations.

It ensures procedural fairness, confidentiality, and compliance with the South Australian GTO Standards (2025), National Standards for Group Training Organisations, and DTET GTO Standards (2025).

Scope

Applies to:

- All **apprentices, trainees, host employers, WTA staff, contractors, and RTO partners.**
- Complaints or disputes related to employment, training, safety, conduct, or decision-making.
- Internal WTA processes and external host employer arrangements in **South Australia** and **Queensland**.

Objectives

- Provide a transparent and auditable process for managing complaints and disputes.
- Ensure all issues are addressed promptly, confidentially, and without victimisation.
- Support early resolution and, where required, facilitate impartial mediation.
- Meet all reporting and record-keeping obligations under SA, National, and DTET GTO frameworks.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Provides oversight of all complaint handling; approves final resolutions and ensures compliance with external standards.
General Manager (GM)	Oversees investigations and internal reviews; ensures impartiality and timeliness.
Compliance Officer	Maintains Complaints & Appeals Register; manages investigations and reporting to regulators; ensures confidentiality.
GTO Coordinator /	Acts as first point of contact for apprentices and host employers; assists with informal resolution.
All Staff	Report and cooperate in complaints processes; maintain confidentiality.
Apprentices / Host Employers	Raise concerns promptly and participate in the resolution process in good faith.

Procedure Steps

Stage	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Informal Resolution (Stage 1)	Receive and address complaint or dispute informally.	GTO Coordinator /	Attempt to resolve issue within 5 business days; document all actions in notes.	Contact Log / Apprentice File	≤ 5 business days
2. Formal Complaint (Stage 2)	Register formal complaint if unresolved.	Compliance Officer	Acknowledge within 48 hours; log complaint in Register; begin investigation within 5 business days.	Complaints & Appeals Register / Complaint Form	48 hours (acknowledge), 5 days (initiate)
3. Investigation	Conduct impartial investigation.	Compliance Officer / GM	Interview relevant parties; gather documentation; maintain confidentiality.	Investigation Report	Complete within 14 business days
4. Communicate Outcome	Provide written decision and explanation.	Compliance Officer	Include findings, actions taken, and appeal rights.	Outcome Letter / Register Entry	Within 14 business days of receipt
5. Appeal (Stage 3)	Review decision if requested.	CEO / GM	Appeal lodged within 7 days; reviewed independently; final decision issued.	Appeal Form / Review Report	≤ 10 business days
6. External Referral / Mediation	Refer unresolved matters to regulator or mediation body.	CEO / Compliance Officer	Provide details of external pathways (SASC, SACAT, QTO, DTET).	External Referral Log	As required
7. Continuous Improvement	Analyse trends and corrective actions.	Compliance Officer	Review Register quarterly; report to Board; log systemic issues in CI Register.	CI Register / Board Report	Quarterly

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Mediation Process

If a dispute cannot be resolved internally:

1. **WTA arranges** an independent, qualified mediator.
2. **Mediation is voluntary** — both parties agree on participation.
3. **Costs shared equally** unless otherwise agreed.
4. **Mediator report** summarising agreed outcomes is filed in the Complaints Register.

Confidentiality and Record-Keeping

- All complaints are handled **confidentially**, with disclosure only to those directly involved.
- Documents are securely stored in **SharePoint → Governance → Complaints and Appeals**.
- Records retained for **seven (7) years**, including:
 - Complaint details
 - Investigation notes
 - Resolution outcomes and follow-ups
- Access restricted to CEO, GM, and Compliance Officer.

Protection from Victimisation

WTA prohibits retaliation against any individual for lodging or assisting with a complaint.

Breaches of this clause trigger disciplinary action under the **Code of Conduct** and may result in **termination or host suspension**.

Continuous Improvement and Reporting

- The **Compliance Officer** conducts quarterly reviews of the Complaints Register.
- Summaries are presented to the **Governance and Compliance Committee** and used to identify systemic issues.
- Findings feed into the **Continuous Improvement Register** and annual **Self-Assessment Report**.

Timeframes and KPIs

Key Metric	Target
Complaint acknowledged	≤ 48 hours
Investigation commenced	≤ 5 business days
Investigation concluded	≤ 14 business days
Appeal reviewed	≤ 10 business days
CI review and reporting	Quarterly

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- **Standard 3** – Apprentice and Trainee Support
- **Standard 5** – Governance, Compliance and Reporting
- **Standard 7** – Continuous Improvement and Reporting

National Standards for Group Training Organisations

- **Standard 3** – Apprentice and Trainee Employment and Support
- **Standard 5** – Governance and Administration
- **Standard 7** – Continuous Improvement and Reporting

DTET GTO Standards (2025)

- **Clause 4.2** – Support, Welfare and Complaint Handling
- **Clause 5.1** – Governance and Risk Management
- **Clause 7.1** – Continuous Improvement

Legislation and External Pathways

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

-
- *South Australian Skills Act 2008*
 - *Skills Regulations 2021 (SA)*
 - *Vocational Education, Training and Employment Act 2000 (QLD)*
 - *Fair Work Act 2009 (Cth)*
 - *Work Health and Safety Acts (SA & QLD)*
 - *Privacy Act 1988 (Cth)*

External Support Agencies

- **South Australian Skills Commission** – skillscommission.sa.gov.au | (08) 8429 2733
- **SACAT (SA)** – sacat.sa.gov.au | 1800 723 767
- **Queensland Training Ombudsman** – 1800 773 048
- **DTET Apprenticeships Info** – 1800 210 210
- **Fair Work Commission** – 1300 799 675

Supporting Registers and Tools

- Complaints & Appeals Register
- Complaint Investigation Record
- Appeal Form
- External Referral Log
- Continuous Improvement Register

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Declared Trades and Vocations Procedure

Purpose

This procedure defines the process for verifying, proposing, approving, and submitting declared trades and vocations managed by **WetTrade Apprenticeships (WTA)**.

It ensures that all new or existing apprenticeship qualifications are consistent with the **South Australian Skills Commission (SASC)** Traineeship and Apprenticeship Pathways (TAP) Schedule, the **Queensland Department of Trade, Employment and Training (DTET)** Declared Vocations and Qualifications List, and the **National Standards for Group Training Organisations (NSGTO)**.

Scope

This procedure applies to:

- All trades and vocations offered or proposed by WTA across South Australia and Queensland.
- All staff responsible for program development, compliance verification, and governance reporting.
- The WTA Board of Directors, Chief Executive Officer, and Compliance Officer overseeing declared trade management.

Objectives

- Ensure WTA delivers and manages apprenticeships only in trades declared under state or national legislation.
- Define the process for proposing new trades or qualifications.
- Establish governance and documentation requirements for Board and regulatory submission.
- Maintain compliance with SASC and DTET registration and scope requirements.

Roles and Responsibilities

Role / Position	Responsibilities
Chief Executive Officer (CEO)	Reviews and endorses new declared trade proposals prior to Board submission; ensures scope updates align with WTA's operational capability and compliance obligations.
Board of Directors	Approves or rejects proposed new declared trades; authorises formal submission to SASC and scope updates.
Compliance Officer	Verifies proposed qualifications against the TAP Schedule and DTET Declared Vocations List; prepares documentation for Board review and submission to SASC.
GTO Coordinator / Program Manager	Identifies emerging trade demand; prepares justification and industry evidence for proposed new trades.
Administration / Governance Officer	Records all approvals, submissions, and correspondence in the Governance and Compliance Register.

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Procedure Steps

Step	Action / Activity	Responsibility	Details / Process Requirements	Records & Tools	Timeframe / Frequency
1. Identify Need for New Trade or Vocation	Identify emerging trade demand or industry requirement.	GTO Coordinator / Program Manager	Gather data from industry bodies, employers, workforce planning reports, and skills forecasts to support the proposal for a new declared trade.	Industry Demand Report; Employer Consultation Records	As required
2. Verify Declared Trade Status	Check official sources to determine whether the trade is already declared.	Compliance Officer	Verify if the trade and qualification are listed on: • SASC TAP Schedule (SA). • DTET Declared Vocations and Qualifications List (QLD). Document qualification code, title, and declaration reference number.	Declared Trade Verification Form; TAP Schedule Extract	Prior to submission
3. Prepare Declared Trade Proposal	Develop proposal for internal consideration.	GTO Coordinator / Compliance Officer	Include the following in the proposal: • Trade/vocation name and qualification code. • Alignment with TAP Schedule or state equivalent. • Justification for inclusion based on workforce demand. • Proposed delivery model and partnership with RTO (NICS). • Resource and supervision requirements. • Employer support and job placement availability. • Risk and compliance impact statement.	Declared Trade Proposal Template	Within 10 business days of verification
4. CEO Review and Recommendation	Assess proposal for compliance and viability.	CEO	Review documentation to ensure alignment with WTA's operational capability, staffing, and supervision standards. Endorse or request	CEO Endorsement Form	Within 5 business days of receipt

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

			amendments prior to Board submission.		
5. Board Review and Approval	Present proposal to WTA Board for approval.	Board of Directors	Review CEO-endorsed proposal, supporting evidence, and compliance verification. Approve or decline the inclusion of the new declared trade. Decisions recorded in Board Meeting Minutes.	Board Approval Record; Meeting Minutes	Next scheduled Board meeting
6. Prepare Submission to SASC	Compile and submit evidence for scope update.	Compliance Officer	Prepare submission package to SASC including: • Approved Board resolution. • Industry justification report. • Updated organisation scope and delivery outline. • RTO (NICS) confirmation of delivery capability. • Training plan and qualification structure. • Governance statement confirming compliance with SA Skills Act 2008 and Skills Regulations 2021.	SASC Submission Pack; Scope Update Form	Within 10 business days of Board approval
7. Notify DTET (if applicable)	Confirm declared trade alignment with Queensland scope.	Compliance Officer	For qualifications to be delivered in Queensland, verify declaration on the DTET Declared Vocations and Qualifications List. Submit scope update request to DTET if applicable.	DTET Notification Form; Declared Vocations Extract	Within 10 business days of SASC submission
8. Record and Register Scope Updates	Record all approvals and updates in governance systems.	Administration / Compliance Officer	Update: • Governance and Compliance Register. • WTA Scope of Operations file. • Continuous Improvement Register (if procedural change). • Website and marketing materials (after approval confirmation).	Governance Register; Continuous Improvement Register	Immediately upon confirmation

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

9. Monitor and Review	Conduct biannual review of declared trades.	Compliance Officer	Review SASC and DTET declared lists to confirm WTA's qualifications remain current and compliant. Report findings to the Board.	Declared Trades Review Log; Governance and Compliance Report	Every 6 months
-----------------------	---	--------------------	---	--	----------------

Document name	WTA Procedure Manual				
Version number	4	Review date	September 2026		

Documentation and Record Keeping

All documentation related to declared trades must be retained electronically in **SharePoint →**

Governance and Compliance Folder → Declared Trades Register, including:

- Declared Trade Verification Forms
- Industry Justification Reports
- Board Approval Records and Meeting Minutes
- Submission Packages to SASC and DTET
- Updated Scope of Operations documentation

Records must be retained for a **minimum of seven (7) years** in accordance with legislative and regulatory requirements.

Continuous Improvement

- Any changes to the TAP Schedule or declared lists will trigger an immediate review of WTA's qualifications and operational scope.
- Compliance findings or audit outcomes will be entered into the **Continuous Improvement Register**.
- Corrective actions will be implemented and reported at the next **Governance and Compliance Meeting**.

Applicable Standards and Regulatory Frameworks

Framework / Instrument	Reference / Requirement
South Australian GTO Standards (2025)	Standard 1 – Governance and Accountability; Standard 4 – Employment, Supervision and Support of Apprentices and Trainees; Standard 7 – Quality Assurance and Continuous Improvement
Queensland DTET GTO Standards and Contract Requirements	Apprenticeships and Traineeships Act 2001 (Qld); Verification of Declared Vocations and Qualifications; Quality Assurance and Performance Framework
National Standards for Group Training Organisations (NSGTO)	Standard 3 – Apprentice and Trainee Employment; Standard 4 – Host Employer Management; Standard 7 – Continuous Improvement and Reporting
South Australian Skills Act 2008 and Skills Regulations 2021	Authority for declared trades and TAP Schedule management
Traineeship and Apprenticeship Pathways (TAP) Schedule – SASC	Reference list for declared trades, qualification codes, and training arrangements
Continuous Improvement Framework (SA GTO Standard 7)	Requirement for review, monitoring, and documented improvement actions

Continuous Improvement and Review

Continuous Improvement Procedure

Purpose

This procedure defines how **WetTrade Apprenticeships (WTA)** collects, analyses, and reports on stakeholder feedback, audit outcomes, and internal review findings to drive continuous improvement.

It ensures compliance with **South Australian GTO Standards (2025) – Standard 7 (Continuous Improvement)** and **DTET GTO Standards (2025) – Clause 7.1 (Continuous Improvement and Integrity Reporting)** by maintaining systematic evidence-based review and improvement processes.

Scope

Applies to:

- All internal systems, procedures, and operational activities of WTA.
- Feedback from apprentices, host employers, RTOs, and staff.
- Internal and external audits, self-assessments, and compliance reviews.

Objectives

- Establish structured review and improvement cycles.
- Collect and analyse stakeholder feedback using standardised forms.
- Track corrective actions and monitor improvement outcomes.
- Document all evidence and decisions in line with integrity and audit requirements.

Roles and Responsibilities

Role	Responsibilities
Chief Executive Officer (CEO)	Approves annual review schedule, improvement actions, and resource allocation.
General Manager (GM)	Oversees improvement outcomes and ensures recommendations are implemented.
GTO Coordinator	Manages the review cycle, facilitates feedback collection, prepares reports, and ensures documentation is maintained.
Compliance Officer / Administration	Maintains improvement records, logs audit results, and ensures reports are archived for audit evidence.
Stakeholders (Apprentices, Hosts, RTOs, Staff)	Provide feedback via surveys, consultation sessions, and improvement forms.

Procedure Steps

Step	Task	Responsible Person	Notes / Tools
1. Prepare Schedule of Internal Reviews	- Determine review frequency (six-monthly in first year, annually thereafter). - Schedule regular internal reviews in the WTA compliance calendar. - Communicate schedule to all relevant staff and stakeholders.	GTO Coordinator	Governance and Compliance Register
2. Prepare Scope of Improvement	- Identify processes or systems for review based on: • Risk level and operational importance. • Stakeholder feedback or recurring issues. • Previous audit or self-assessment findings. - Document selected processes in a Review Plan outlining objectives, timeline, and resources. - Obtain management approval before commencing.	GTO Coordinator	Review Plan Template
3. Collect Feedback and Evidence	- Distribute Stakeholder Feedback Forms to apprentices, hosts, and RTOs after training phases or key milestones. - Collect feedback through: • Surveys (digital or paper-based). • Interviews or consultation sessions. • Observation and file review. - Record feedback results in the Feedback Register. - Collate audit findings, complaints data, and quality reports as evidence inputs.	GTO Coordinator	Stakeholder Feedback Form Feedback Register
4. Analyse Data and Identify Improvements	- Consolidate feedback and audit data. - Use qualitative and quantitative analysis to identify trends, risks, and recurring issues. - Classify findings as compliance, non-compliance, or opportunity for improvement. - Prepare draft improvement recommendations.	GTO Coordinator	DTET Self-Assessment Tool
5. Document Findings and Prepare Report	- Document key findings including strengths, weaknesses, risks, and areas for improvement (SWOT).	GTO Coordinator	Internal Review Report Template

	- Include prioritised action recommendations, responsible officers, and completion timelines. - Prepare Internal Review Report and submit to management for approval.		
6. Approve Actions	- Review findings and recommendations in management meeting. - Confirm prioritised actions, resource allocation, and responsible staff. - Approve rectification or process improvement actions.	Management (CEO / GM)	Meeting Minutes
7. Maintain Records	- Save approved reports in the Improvement Reports Folder using approved naming conventions (e.g., "Process Review_Payroll_June2025"). - Ensure accessibility for audits and performance reporting.	Compliance Officer / Administration	SharePoint → Governance and Compliance Folder
8. Implement Rectifications and Improvements	- Develop and implement an Action Plan with measurable outcomes and clear timelines. - Assign responsibilities and monitor progress. - Maintain communication with stakeholders regarding implementation status.	GTO Coordinator / Responsible Staff	Action Plan Template
9. Complete Follow-Up Review	- Conduct follow-up reviews to verify implementation of approved actions. - Assess evidence of rectification and confirm compliance with updated procedures. - Document any remaining issues or improvements required.	GTO Coordinator	DTET Self-Assessment Tool
10. Complete Compliance Checks	- Prepare a Compliance Report summarising: • Completed rectification actions. • Outstanding issues. • Continuous improvement outcomes. - Submit to management for sign-off and record findings in the Continuous Improvement Register.	Administration / Compliance Officer	GTO Compliance Checklist
11. Approve and Record Final Actions	- Management reviews the Compliance Report. - Confirm rectification completion and approve any further improvement actions.	Management	Governance and Compliance Register

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

	- Record final approval in the Governance and Compliance Register.		
12. Feedback and Reporting Cycle	- Feedback collection to occur quarterly via Stakeholder Feedback Forms. - Analysis and reporting to management conducted bi-annually. - Comprehensive review report prepared annually. - Outcomes and actions logged in the Continuous Improvement Register and presented in quarterly compliance meetings.	GTO Coordinator / Compliance Officer	Feedback Register Continuous Improvement Register
13. Ongoing Process	- Repeat review and reporting cycle continuously to ensure ongoing alignment with DTET, SA, and National GTO Standards. - Integrate outcomes into policy and procedure updates.	GTO Coordinator / Management	DTET Self-Assessment Tool

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026

Feedback Collection, Analysis, and Reporting Cycle

Activity	Frequency	Tools / Evidence	Responsible Person
Feedback distribution and collection	Quarterly	Stakeholder Feedback Forms	GTO Coordinator
Data analysis and report preparation	Bi-annually	Feedback Register, Self-Assessment Tool	GTO Coordinator
Management reporting and review	Quarterly	Continuous Improvement Register, Review Reports	CEO / GM
Annual procedure review	Annually	Governance and Compliance Register	Compliance Officer

Approval Authority

Action	Approval Authority
Annual improvement schedule and scope	Chief Executive Officer (CEO)
Final review reports and action plans	General Manager / CEO
Procedure updates and review outcomes	Board of Directors

Record Retention

Record Type	Storage Location	Retention Period
Stakeholder Feedback Forms	SharePoint → Feedback Folder	7 years
Internal Review Reports	Improvement Reports Folder	7 years
Continuous Improvement Register	Governance and Compliance Folder	Permanent
Compliance Reports	GTO Compliance Folder	7 years
Action Plans and Meeting Minutes	Governance Register	7 years

Applicable Standards and Regulatory Frameworks

South Australian GTO Standards (2025)

- Standard 5 – Governance, Compliance and Reporting
- Standard 7 – Continuous Improvement

DTET GTO Standards (2025)

- Clause 1.5 – Integrity and Evidence Requirements
- Clause 7.1 – Continuous Improvement and Integrity Reporting

National Standards for Group Training Organisations (NSGTO)

- Standard 5 – Governance and Administration
- Standard 7 – Continuous Improvement

Legislative and Regulatory Frameworks

- South Australian Skills Act 2008
- Skills Regulations 2021 (SA)
- Vocational Education, Training and Employment Act 2000 (QLD)
- Fair Work Act 2009 (Cth)
- Privacy Act 1988 (Cth)

Supporting Registers and Tools

- Continuous Improvement Register
- Feedback Register
- Stakeholder Feedback Form
- Internal Review Report Template
- Action Plan Template
- DTET Self-Assessment Tool
- GTO Compliance Checklist

Document name	WTA Procedure Manual		
Version number	4	Review date	September 2026