

# Apprenticeships & Traineeships

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## Introduction

### Purpose

To describe how Federation Training manages Australian Apprentices and Trainees. Employers and apprentices/trainees sign a Training Contract with an Australian Apprenticeship Centre (AAC). If they choose Federation Training as their Registered Training Organisation (RTO), and Federation Training is not limited solely by its physical capacity to provide the cited training, Federation Training will be notified via a DELTA report and contact the employer within two working days to accept or not accept the student.

### Scope

This procedure covers all staff involved in the management of apprentices and trainees. It accords with the relevant clauses of the VET Funding Contract 2014-16, the 2015 Guidelines about Apprenticeship / Traineeship Training Delivery (Attachment A) and all legislative requirements under the Act.

## Procedure

### 1. Inquiry

#### General Inquiry

These enquiries will be directed to Student Administration, then forwarded to the appropriate Teaching Team

#### Team Inquiries

All team-based inquiries may be handled directly by the Team.

### 2. Notification, Eligibility and Fees

The DELTA database has an overnight interface with the Institutes Student Management system and is checked by Student Administration at least three days a week to identify any new individuals that have nominated Federation training as their preferred provider (108-109). When Federation Training receives notification from the AAC via the DELTA database Student Administration informs the appropriate Teaching Team by forwarding the Delta report and Training Plan form (where applicable).

Upon notification the Teaching Team will notify the employer (within 2 days) that they will accept or not accept the apprentice/trainee and, if accepting the apprentice/trainee, negotiate a workplace appointment, to be held within one month of notification, to enrol the student and negotiate the training plan.

**The apprentice/trainee must be enrolled within three (3) months of the date of commencement of the Training Contract.** This period has an impact on the payment of government incentives. Federation Training's enrolment timelines should not impede the employer's ability to comply with this requirement.

The Teaching Team must determine from the enrolment form if the criteria for government subsidised training under the *Victorian Training Guarantee* for trainees has been met or not. To be an Eligible Individual the Apprentice/Trainee must be:

- a) employed in Victoria in either a full time or part time capacity under an award or registered agreement;
- b) undertaking an Approved Training Scheme;
- c) a signatory to a Training Contract with their employer which is registered with the VRQA;
- d) a signatory, jointly with the employer and the RTO, to a Training Plan; and
- e) involved in paid work and Structured Training, either workplace based or off-the job.

At this stage the employer **must** be made aware of the difference between a Government funded and non-government funded trainee. Higher Education and Skills Group will not pay for training delivery to trainees who are not eligible under the Victorian Training Guarantee (this rule does not apply for **apprentices**). In this instance a Fee for Service arrangement must be negotiated as set out in the Student Eligibility Procedure TL 035.

If the employer decides **not to** proceed due to cost, further advice may be required or negotiations are terminated. All documents/records/correspondence of contact etc. are to be held by the teaching team for future reference. Student Administration will need to be informed if a traineeship is terminated

If the employer decides **to** proceed:

- An Employer Invoice Authorisation form must be raised and processed for the employer to pay Fee for Service where Higher Education and Skills Group is not funding training. or;
- the Education Manager will provide a copy of a signed partnership agreement with the employing body outlining agreed employer contribution and invoicing arrangements; or
- The Executive Director Education, Quality and Compliance will provide an Education Manager with approval to enrol where a Partnership Agreement is under negotiation and not yet signed off.

### 3. School Based Apprentice/Trainee (SBAT)

Providing the Australian Apprentice meets criteria, the AAC will forward a School Based Apprenticeship/Traineeship RTO Notification Form to Student Administration of the selected RTO, who will process the form and forward it to the Teaching Team.

The Teaching Team completes a Training Plan with the employer and the apprentice/trainee and the Training Plan is submitted to the school for endorsement. The Training Plan must be signed by an authorised representative of the SBAT's school within two (2) months of the signing of the Training Contract.

If the school **does** endorse the Training Plan, a copy of the endorsed Training Plan and the School Based Apprenticeship/Traineeship RTO Notification Form is forwarded to the AAC by the Teaching Team.

The AAC finalises the registration flagging the apprentice/trainee as ASBA.

In consultation with the SBAT's school, the Institute will report SBAT results in a timely manner for the school to enter results on the Victorian Assessment Software System (VASS). Results must be supplied to schools at least one (1) week prior to the cut-off date as schools require one (1) week to allow for data entry.

If the school **does not** endorse the Training Plan, the Teaching Team advises the AAC via the School Based Apprenticeship/Traineeship RTO Notification Form. The AAC needs to check with the apprentice/trainee and the employer as to whether the Training Contract is to be cancelled or to continue as a Part Time Australian Apprenticeship.

### 4. Pre-Training Review and Foundation Gap Analysis

A pre-training review of current competencies, including literacy and numeracy skills, should be conducted for each apprentice/trainee prior to enrolment. Refer to the Pre-Training Review and Foundation Gap Analysis Procedure TL 040.

### 5. Training Plan

#### General

A training plan must be developed in consultation with the apprentice/trainee, employer and for a SBAT, the school.

The training plan must be vocationally relevant and reflect industry requirements and the workplace setting. It can be customized as required consistent with the outcomes of the Pre-Training Review, the Foundation-skills needs of the apprentice/trainee and the qualification to be attained.

It must be signed within three (3) months of the date of commencement of the Training Contract and, within four (4) weeks of training commencement.

A copy of the signed training plan must be provided to all parties

The Training Plan will include at least the following:

- name and contact details of the RTO and employer
- name of apprentice/trainee
- title of qualification / course (or courses, if there is a co-enrolment in Foundation units)
- competencies/units to be obtained
- scheduled hours for competencies to be obtained
- time frame for achieving competencies

- delivery modes to be undertaken
- detail of training to be undertaken as part of workplace based training arrangements
- details on the time allocated (when, how & how much) outside routine work duties for structured training
- party/ies responsible for the delivery and/or assessment of each competency
- assessment details and arrangements
- record of RPL and credit transfer hours granted
- signatures (including date of signature) of the RTO representative, employer, apprentice/trainee and if school based, a signature of the schools representative is required; and
- any other specific requirements to be met in accordance with the Training Contract or the Approved Training Scheme

### **Making changes to a training plan**

The Teaching Team must update the Training Plan according to any changes mutually agreed with the parties to the Training Contract. The changes must be endorsed by the employer and the apprentice/trainee.

The Teaching Team must immediately notify the AAC and Student Administration if the qualification is not appropriate or relevant to the apprentice/trainee's work duties and request that the employer and apprentice/trainee vary the Training Contract (enrolment cannot take place until the requested changes have been processed on Delta).

Subject to any nominal duration that may be specified in an Approved Training Scheme, the employer and apprentice/trainee (but not the RTO) can specify a duration less than the maximum over which competencies will be attained. Completion will be available earlier than the specified duration in the Training Contract if all competencies have been attained, and an extension to the maximum duration can be mutually agreed if all required competencies have not been attained

## **6. Enrolment**

### **Funding Code**

Training delivered to apprentices/trainees is reported against Funding Codes L (Government-funded), LS (fee-for-service) or LSB.

### **Fees and Charges**

The employer must be made aware of the fees and charges which will be incurred for a trainee, depending on whether the trainee is government funded.

**Government funded** apprentices/trainees pay tuition fees and service fees according to the Enrolment and Fee Payment procedure TL002, plus materials fees if applicable.

The apprentice/trainee cannot be charged additional fees for any additional hours for the purpose of obtaining the qualification on the Training Plan within the term of the Training Contract. Any units of competencies not completed within the term of the Training Contract can be completed as a Fee for Service arrangement after the Training Contract has expired, if the employee/employer is willing to meet the additional costs.

Alternatively, the term of the Training Contract could be extended with the approval of the Apprenticeship Administration (AAU), to be requested by the employer or the Teaching team on behalf of the employer to VRQA via the AAU.

### **Fee for Service Trainees – LS**

Fees are to be negotiated at Team Level, as per Federation Training Fees for Service charges, to be invoiced by Teaching Teams at stages to be negotiated with the employer at commencement. Employer

Invoice Authorisation and enrolment forms are to be forwarded to Student Administration for further processing.

## 7. SMS Enrolment – Government Funded (L) Apprentices/Trainees

The Federation Training Enrolment form, Eligibility Form, Pre-Training Review and Training Plan of apprentice/trainee are to be completed – refer to Enrolment and Fee Payment Procedure TL 002. The following will be sent to Student Administration:

- Pre-Training Review Checklist
- Signed Enrolment form and Eligibility form
- Copy of signed Training Plan
- Copy of Health care card or Pension card (if applicable)
- Signed Employer Invoice Authorisation if the employer is prepared to pay for the apprentice/trainee
- Credit Transfer form with evidence attached (if applicable)

Student Administration is to process the enrolment and invoice the apprentice/trainee or employer.

A valid DELTA student number must be reported to VRQA for all enrolments with the Funding Code L, LS or LSB. VRQA will be unable to fund enrolments unless a valid DELTA number is reported in the monthly Student Statistical Collections.

Only the training identified in the relevant VRQA approved training scheme for each apprentice/trainee should be reported against Funding Codes L, LS, or LSB.

## 8. Claim Forms

Claim forms for Commonwealth Employer Incentives for Apprentices/Trainees are to be signed by Student Administration or Teaching Team only when a signed training plan is in place. These are to be completed when training commences and as appropriate for progression and completion claims.

## 9. Access to and Distribution of Documents

To employer and apprentice/trainee (by Teaching Team):

- Copy of Training Plan

To Student Administration:

- Pre-Training Review Checklist
- Original signed Enrolment and Eligibility forms
- Copy of signed Training Plan
- Copy of Health Care card or Pension card if applicable
- Signed EIA where the employer is prepared to pay for the apprentice/trainee
- Credit Transfer form if applicable

To Teaching Team working file:

- Original Contract Details form
- Original Training Plan
- Original progression check list
- Copy of enrolment form

## 10. Delivery and Assessment

The Teaching Team will not commence Structured Training before:

- a. the commencement date of the Training Contract;
- b. creation of the DELTA record; and
- c. the qualified trainer has contacted the workplace supervisor of the apprentice/trainee to:
  - i. outline the supervisor's responsibilities;
  - ii. outline the purpose of further contacts; and
  - iii. outline the key features of the Training Plan

### The Teaching Team must:

- a. provide training in the Approved Training Scheme nominated on the Training Contract to full time or part time apprentices/trainees;
- b. make all reasonable provisions for the apprentice/trainee to achieve all competencies required for the Structured Training identified in the Approved Training Scheme within the nominal duration of the Training Contract. End dates for modules/units of competence cannot exceed the Training Contract end date
- c. advise the apprentice/trainee and their employer, that an application for an extension to the term of the Training Contract must be made if they are unable to complete the Structured Training prior to the nominal completion date of the Training Contract (this application should be lodged by the employer via the relevant AAC); and
- d. for Apprentices, make a minimum of four contacts per year with the employer in person, in writing or electronically to discuss the Apprentice's progress against the Training Plan and obtain employer confirmation in writing (including e-mail) of the Apprentice's competence in the workplace.
- e. for apprentices employed under employment arrangements allowing for competency based wage progression, the teaching team must notify the employer immediately, in writing, when the Apprentice attains any point of progression linked to a competency based wage increase.

Delivery and assessment of training may be delivered within one or a combination of the following modes:

- a. Workplace Based Training and Assessment – this refers to training that is conducted by the RTO's training staff at the apprentice/trainee's workplace. The apprentice/trainee must be withdrawn from regular work duties in order to participate in the training.
- b. Off-the-job Training and Assessment – this refers to training that is conducted by the RTO's qualified training staff at the RTO's training facility. It is often referred to as trade school, block release or on-campus training

### a. Workplace Based Training and Assessment

Teaching Teams will have the following processes in place to assure the quality of outcomes, and they will be recorded on an assessment and contact record sheet.

- A schedule for a minimum of four face to face visits per training year in addition to the pre training meeting with the workplace supervisor (verified by the dated signature of the employer/workplace supervisor and apprentice/trainee).
- During the course of the visit meet with the apprentice/trainee external from their direct work environment to discuss progress in relation to the Training Plan.
- Deliver training and assessment consistent with the delivery strategy and in accordance with the Training Plan and document the training and assessment provided (assessment only activity does not constitute a face to face visit for the purpose of the Agreement).

- Interact with the apprentice/trainee in their direct work environment for the purpose of achieving the competencies of the approved training in accordance with the Training Plan.
- Make monthly contact by email, fax or phone with both the apprentice/trainee and the workplace supervisor to monitor the progress of training against the Training Plan, monitor and document the training/learning activities undertaken during the withdrawal time for the previous month and to record the dates and time logged as withdrawal time in the previous month.
- Ensure where the qualification is at AQF Levels 3 or above that the apprentice/trainee is withdrawn from routine work duties for a maximum of three hours per week, averaged over a four week cycle.
- Ensure where the qualification is at AQF Level 2 that the apprentice/trainee is withdrawn from routine work duties for a maximum of one and a half hours per week, averaged over a four week cycle. This is for the purpose of undertaking structured training/learning activities (pro rata for part time trainees and only for the duration of competencies delivered and assessed in the workplace if the training program combines on campus and workplace delivery)
- A maximum of 40 hours of the annual withdrawal time may be delivered as block training within the first 3 months of training for all certificates. This training should focus on compliance and regulatory units and generic skills

***Note: Where an employer/supervisor is not allowing the apprentice/trainee to be withdrawn from routine work duties for the applicable minimum specified time, the non-compliance must be reported to the Manager of the Apprenticeship Administration at the VRQA if initial consultation with the employer / supervisor does not resolve the issue.***

**b. Training delivered and assessed both within the workplace and off the job**

Where a proportion of the approved training is delivered and assessed in the workplace, the minimum visits should be apportioned as follows:

- 1 visit if 25% or less of the nominal SCH's are workplace based
- 2 visits if 25% - 50% of the SCH's are workplace based
- 3 visits if 50% - 75% of SCH's are workplace based
- 4 visits if more than 75% of the SCH's are workplace based

If the training program combines on campus and workplace delivery, the training plan will outline times where the trainee will be withdrawn from routine work duties. (For full time workplace delivery, the apprentice/trainee is allocated a maximum of one and half hours per week at AQF level 2 and three hours per week at AQF level 3, averaged over a four week cycle for the purpose of undertaking structured training/learning activities, pro rata for part time trainees and only for the duration of competencies delivered and assessed in the workplace)

***Note: Where an employer/supervisor is not allowing the apprentice/trainee to be withdrawn from routine work duties for the applicable minimum specified time, the non-compliance must be reported to the Manager of the Apprenticeship Administration at the VRQA if initial consultation with the employer/supervisor does not resolve the issue.***

**c. Off the job Training and Assessment**

Where structured training is delivered and assessed off-the-job, the team designated to manage the training will have processes in place to assure the quality of outcomes including:

- Maintain records relating to the off-the-job training and achievement of competence. Instructor to use the endorsed Training Package Competency List as a reference. Completed Daily Record Sheets are to be filed at Team level.
- Make a minimum of four (4) contacts per year (not including the pre-visit) with the employer in person, in writing or electronically to discuss the apprentice/trainee's progress against the training plan and obtain the employer confirmation in writing (including e-mail) of the apprentice/trainee's competence in the workplace. Timelines for employer confirmation should

be agreed with the employer. Assessments of competence should be grouped around completion of clusters of competencies rather than completion of any individual competency. If the employer is a Group Training Organisation (GTO), sign-off must be from the GTO, not the host employer.

- Provide information to the employer/coach concerning the progress of the trainee/apprentice.
- All reasonable provisions for the apprentice/trainee to achieve all competencies of the structured training for the qualification cited on the Training Contract during the term of the contract should be made.

## 11. Withdrawals, Transfers or Changes

Teams are to notify Student Administration within 2 working days of non-enrolment, withdrawals, transfers to other RTO's, changes of address or change of employer or employer's address. Student Administration will notify the AAC within 5 working days of withdrawals, transfers to other RTO's, changes of address or change of employer or employer's address. Changes of address will also be notified to the VRQA by updating DELTA. For Transfers to other RTO's and non-enrolment the Delta record should be set to "POL Unknown".

Teams are to notify Student Administration within 24 hours of notification of the death of an apprentice/trainee. Student Administration will notify the Manager of Apprenticeship Administration at the VRQA within 24 hours of being notified. Notification should be by email, or can be by phone on 0396373555.

## 12. Unemployment of Apprentices/Trainees

The Teaching Team has to contact Student Administration if an apprentice/trainee becomes unemployed before completing the qualification named on the Training Contract and the training continues. Training can continue under the relevant funding source code for the following periods of time:

- An apprentice may continue to receive training toward the qualification named on the Training Contract, subject to tuition fees being paid until completion of the qualification
- A trainee may continue to receive training towards the qualification named on the Training Contract for 3 months or to the end of the enrolment period for which the trainee's tuition fees have been paid, whichever is the greater.

If the apprentice/trainee successfully completes the Structured training while being unemployed the qualification has to be issued without the words " Achieved through Australian Apprenticeship arrangements" OR at the apprentice/trainee's request, withhold the certificate to allow for re-employment and completion of the Training Contract.

## 13. Certificates

When all competencies necessary for the completion of the approved training have been achieved an Application for Graduate Award for apprentices/trainees is to be forwarded to Student Administration within 2 working days. A qualification should only be issued if:

- All competencies of the Structured training have been achieved
- An employer has provided written confirmation of the apprentice's/trainee's competence in the workplace. This is required for all Competency Based Completions (CBC) apprentices and all trainees. This should be attached to the Request for Grad Award. The written confirmation from the employer will be retained for audit purposes. If the employer is a GTO, final confirmation must be from the GTO, not the host employer.

- The Teaching Team has given clear advice to the employer that final confirmation completes the Training Contract

Student Administration will:

For Traineeships and CBC Apprenticeships only –

- Where no Employer written confirmation is attached, forward the Employer sign-off letter to the employer, who identifies when the on-the-job component of the traineeship has been completed (host employer sign-off is not accepted)
- Issue the Certificate within 10 working days on receipt of Employer sign-off
- Update the database in DELTA to “Successful Completion/POL Complete” and change the status to “Complete” and enter the actual completion date to notify Apprenticeship Administration of the VRQA of course completion within 10 working days of completion and receipt of employer sign-off

#### For non-CBC apprenticeships

- Issue the Certificate within 10 working days
- Update DELTA to “Successful Completion/POL Complete” to notify AAB of course completion within 10 working days of course completion

When issuing an Australian Qualification Framework (AQF) qualification following the completion of an approved training plan insert on the certificate below the qualification title, the following words “Achieved through Australian Apprenticeship arrangements”.

**Note:** *If an apprentice or trainee successfully completes the structured training while continuing to be unemployed, the qualification can be issued but the “Achieved through Australian Apprenticeship arrangements” should be omitted from the certificate.*

## Reference and Supporting Information

### Definitions

Term	Definition
<b>AAC</b>	<b>Australian Apprenticeship Centre</b> The AAC provides apprenticeship and traineeship services to both employers and apprentices and trainees. Federation Training has no inclusive relationships with any of the AAC's.
<b>Claim Form</b>	Form to be lodged by the employer to determine the entitlement for the employer to Commonwealth Australian Apprenticeship Incentives for employing an apprentice or trainee. The form is required for claims such as Commencement, Recommencement, Completion, Rural and Regional and Special Incentives.
<b>DELTA</b>	VRQA- Apprenticeship Administration Unit (AAU) database of training agreements registered in Victoria.
<b>Pre-Training Review</b>	When an applicant indicates that they wish to enrol in a vocational qualification (or part thereof), Federation Training will conduct a Pre-Training Review of current competencies including Foundation skills prior to commencement in training. The aim of the Pre-Training Review is to:

- a) identify any competencies previously acquired (Recognition of Prior Learning (RPL), Recognition of Current Competency (RCC) or Credit Transfer);
- b) ascertain the most appropriate qualification for that student to enrol in, including consideration of the likely job outcomes from the development of new competencies and skills; and
- c) ascertain that the proposed learning strategies and materials are appropriate for that individual.

<b>Foundation Skills Gap Analysis</b>	A gap exists when a Foundation Skills Assessment shows the applicant's ACSF skill level is below that expected of graduates of the qualification (or part thereof). When present, it will be identified in the Foundation Skills Assessment following the Pre-Training Review.
<b>Training Plan</b>	A plan consistent with the qualification to be attained and customised (as required) for the needs of the trainee including literacy and numeracy support as identified in the Pre-Training Review and Foundation Skills Learner Assessment.
<b>Australian Apprentice</b>	<p>A person who is:</p> <ul style="list-style-type: none"> <li>a) A signatory to a training contract with their employer, which is registered with the relevant State and Territory Training Authority (STA) and employed in an Australian State or Territory in either a full time or part time capacity under an award or registered agreement.</li> <li>b) Involved in paid work and structured training (structured training may be delivered at the work site)</li> <li>c) Undertaking a training scheme approved by the STA, which involves obtaining a recognised qualification.</li> <li>d) A signatory, jointly with the employer and RTO, to a Training Plan.</li> </ul>
<b>Existing Apprentice/Trainee</b>	A person who has been in continuous employment for more than three (3) months or part time employment for more than twelve (12) months of no less than 15 hours per week and enters a training contract with the same employer.
<b>New Entrant Apprentice/Trainee</b>	A person who has been in continuous employment for less than three (3) months or part time employment for less than twelve (12) months of no less than 15 hours per week and enters a training contract with the same employer
<b>Apprentice/Trainee</b>	Generic term referred to in the procedure to apply to Australian Apprentices, which includes Existing Apprentice/Trainee, and New Entrant Apprentice/Trainee
<b>Qualified Trainer</b>	To be qualified a trainer must hold the required training and assessment competencies - in essence TAE. They must hold the relevant vocational competencies to the level being delivered or assessed and they must maintain the currency of their competencies.

## Supporting Documents

Attachment A - 2015 Guidelines about Apprenticeship / Traineeship Training Delivery

## Forms and Templates

Application for Graduate Award TL 018 Form 1

Apprenticeship Traineeship Contract Details

Training Plan Sheet A  
Assessment & Contract Details Sheet B  
Enrolment form  
Employer/Sole Trader Invoice Authorisation form  
Direct Debit Request form  
Application for Credit Transfer form  
Application for Recognition of Prior Learning  
Change of Personal Details form  
Withdrawal form

## Related Web Resources

From the Department of Education and Early Childhood Development (DEECD):

- [2014-2016 VET Funding Agreement \(TAFE\)](#)
- [2014 Guidelines about Determining Student Eligibility and Supporting Evidence](#)
- [2014 Guidelines about Fees](#)
- [2014 Guidelines about Apprenticeship/Traineeship Training Delivery](#)

## Responsibility

- Executive Director Education Programs, Quality and Compliance

Please Note: For further information or assistance regarding policies and procedures contact:

**The Policy Unit** | Email: [s.columbus@federationtraining.edu.au](mailto:s.columbus@federationtraining.edu.au) | Phone: 5152 0706 | URL:  
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