



Government of **Western Australia**
Department of Training
and Workforce Development

D19/0008610

VET (WA) MINISTERIAL CORPORATION

PURCHASE OF TRAINING SERVICES

BUSINESS RULES

JANUARY 2019 (Version 1.0)

Table of Contents

1	ALL PROGRAMS	5
1.1	Introduction	5
1.2	Business Systems	5
1.3	Contract Variations	5
1.3.1	Variations to Existing Panel Arrangements.....	6
1.3.2	Variation Processing	6
1.3.3	Requesting Appointment to a New Panel/Target Group	7
1.3.4	Student Eligibility (General)	8
1.3.5	Managing Notices of Arrangement/Exemptions.....	8
1.4	Qualifications	9
1.4.1	Payment Tables.....	9
1.4.2	Transitioning Students	9
1.4.3	Foundation Skills	10
1.5	Payments.....	11
1.5.1	Funding Schedules	11
1.5.2	Eligibility for Payment	12
1.5.3	Calculation of Payments	12
1.5.4	Adjustment to Payments	12
1.5.5	Processing of Payments	13
1.5.6	Table 2: Regional Loadings	15
1.6	Payment Rate for Online or Other Remote Mode of Delivery	15
1.7	Lodgements	15
1.8	Measuring Performance	16
1.8.1	Surveys.....	16
1.8.2	Performance Criteria.....	16
1.9	Insurances	17
1.9.1	Public Liability Insurance.....	17
1.9.2	Workers Compensation Insurance.....	17
1.9.3	Professional Indemnity Insurance.....	17
1.10	Evidence of Participation	18
1.11	Invalid Enrolment	18
1.12	Acquittal of CPS.....	19
1.13	Exiting the Market	19

2	SERVICE STANDARDS.....	19
2.1	Service Provider Staff	20
2.2	Student Recruitment and Selection	20
2.3	Student Privacy Notice and Declaration	21
2.4	Advertising and Marketing	21
2.5	Training Services	22
2.6	Contract Implementation.....	22
2.7	Fees and Charges	24
2.8	Reporting.....	25
2.9	Lodgements.....	25
2.10	Apprenticeships and Traineeships.....	26
2.11	Priority Industry Training.....	26
2.12	Participation - Equity.....	27
2.13	Foundation Skills	27
3	APPRENTICESHIPS.....	27
3.1	Eligible Students	27
3.2	Eligible Qualifications.....	27
3.3	Applying for Additional Places	27
3.4	How to Apply for a New Qualification.....	27
3.5	How to Apply for a New Region	28
4	PRE-APPRENTICESHIPS	28
4.1	Student Eligibility	28
4.2	Eligible Qualifications.....	28
4.3	managing allocated places	28
4.4	How to Apply for a New Qualification or Region	28
5	TRAINEESHIPS	28
5.1	Student Eligibility	28
5.2	Eligible Qualifications.....	29
5.3	Applying for Additional Places	29
5.4	How to Apply for a New Qualification.....	29
6	PRIORITY INDUSTRY TRAINING PROGRAM.....	29

6.1	Student Eligibility	29
6.2	Eligible Qualifications.....	29
6.3	Volume of Training.....	29
6.4	Applying for Additional Places	29
6.5	How to Apply for a New Qualification or Region	30
7	PARTICIPATION - EQUITY PROGRAM.....	30
7.1	Participation Referral Agents	30
7.2	Eligible Students	31
7.3	Aboriginal School Based Training (ASBT)	32
7.4	Number of Eligible Qualifications:	32
7.5	Record Keeping and Outcome Reporting	33
7.6	Other Requirements	33
7.7	How to Apply for Additional Places	33
7.8	Delivery and Support Services Points.....	34
	Appendix A – Audit Guidelines for Evidence of Participation	37
	Appendix B - Business process & requirements for compulsory school age students in programs funded by the Department of Training and Workforce Development (DTWD) under a Notice of Arrangement or Exemption	42

1 ALL PROGRAMS

1.1 INTRODUCTION

These Business Rules describe the operational requirements and processes for the purchase of Training Services under the Department of Training and Workforce Development (the Corporation).

The Business Rules are part of the Contract and must be read in conjunction with the remainder of the Contract, including the:

- a) Letter;
- b) Offer (the Service Provider's Response);
- c) Request, Process Terms and Conditions, July 2016 and any Addenda; and
- d) General Provisions (Conditions of Contract) December 2017 Version 1.0.

Other important documents relating to the Business Rules include:

- e) Contract Manager List;
- f) Text File Specifications;
- g) *Manual for Payments and Reporting for Publicly Funded Registered Training Organisations;*
- h) *Western Australian VET Enrolment Data Standard.*

These documents are available on the Jobs and Skills WA website:

<http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

The definitions and interpretations detailed in the General Provisions (Conditions of Contract - December 2017 Version 1.0) apply to these Business Rules.

The Business Rules may be amended, replaced and/or added to at the absolute discretion of the Corporation.

1.2 BUSINESS SYSTEMS

The Corporation's business systems operate within a Microsoft/Windows environment. Service Providers will need to be able to access Microsoft Internet Explorer and the Microsoft Office Suite for the purposes of the implementation of the Contract.

1.3 CONTRACT VARIATIONS

Service Providers have the opportunity to request a variation to their existing panel arrangements and/or to seek placement to be on a new panel.

Note:

The initial allocations for all Programs for existing Service Providers are listed in the Corporation's Letter of Offer.

The initial allocation for a new Service Providers is as per the Request.

The Delivery and Support Services (DASS) and Training Delivery and Resources (TDAR) are incorporated into the variation form.

1.3.1 Variations to Existing Panel Arrangements

Service Providers may make **one** request for variation per calendar month with an ability to make adjustments prior to the closing date.

The program specific requirements for variations are provided later in this document, in the section relating to each program.

Variation requests must be made on the Corporation's Variation Form. The form can be down loaded at:

<http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

Variations will not be considered where the Service Provider has:

- a) not submitted a valid lodgement against all Contracted Programs of Study (CPS) with active Students within the last 60 days; and/or
- b) not met all the Service Standards to the satisfaction of the Corporation; and/or
- c) not reported against at least 75% of existing training places; and/or
- d) been deemed non-compliant by the Regulator and such non-compliances have been deemed by the Corporation as placing the training at risk; and/or
- e) received formal notice from the Corporation as per Clause 28 of the General Provisions; and/or
- f) allowed insurances to lapse; and/or
- g) is under investigation by the Corporation.

Variations may be rejected or adjusted where:

- h) an oversupply in a qualification for a target group and/or region is identified (refer General Provisions December 2017 (V2) 9.3 (b);
- i) the Corporation deems the volume of Unit(s) of Competency (UoCs) currently reported as in-training (Outcome Code 5) is a risk; ¹ and/or
- j) the Service Provider is on an 'Action Plan' due to contractual performance issues.

Note: Variations that are incorrect, incomplete, invalid or submitted on the wrong Variation Form will not be considered and will be returned to the Service Provider. Variation approvals are at the Corporations' sole discretion.

1.3.2 Variation Processing

- a) Variation rounds close on the 21st of each month (or the next business day if the 21st is on a weekend or Western Australian public holiday).
- b) Variations will be responded to by the 8th of the following month (or the next business day if the 8th is a weekend or Western Australian public holiday).
- c) The first Variation round closes 31 January 2019.

¹ Commencement of large volumes of UoCs is a risk to the Corporation and the Student. Students can become overwhelmed by the workload and then disengage from training. This also places a financial risk to the Corporation, as 70% of the cost of training is paid up front. The Corporation will monitor RTOs engaging in this practice and training activity will be subject to audit.

- d) The final round of variations closes on 21 November 2019 unless otherwise notified by the Corporation.

Approved variations will be published on RAPT and can be accessed by the Service Provider under the RTONet 'Contracts' tab by clicking on 'My Contracts'. The Service Provider will be advised in writing of any variation requests not approved.

1.3.3 Requesting Appointment to a New Panel/Target Group

Service Providers currently under:

- a) an action plan; and/or
- b) sanction by the Regulator; and/or
- c) investigation by the Corporation

are not eligible to apply for appointment to a new panel or a new target group within the Participation-Equity program until the matter has been resolved to the Corporation's satisfaction.

Apprenticeship, Traineeships and PIT Program

Any Service Provider on an existing Panel can apply to be placed on an Apprenticeship, Traineeship or PIT Program Panel.

To make application for these Panels, Service Providers must complete the Request on RTONet/Contracts/Call for Applications and address the relevant program criteria.

Note: RTO Net can be accessed at <https://stars.dtwd.wa.gov.au/>. A login account is required. Service Providers can access the form to request a login account from the same website.

Participation - Equity Program

Only Service Providers on the Participation - Equity Panel will have the opportunity to apply to deliver to an additional target group.

To make an application for an additional target group panel, the Service Provider will be required to submit a new DASS that includes responses to the "Capacity to Deliver" tab in the form.

New Panel Applications

Applications can be made at any time up until 31 August of the contracted year unless otherwise notified by the Corporation.

All applications received within a given month will be assessed at the end of the month.

Service Providers can expect a decision by the end of the following month.

Applications will not be considered if the Service Provider has not submitted a valid lodgement (against all contracted programs of study (CPS) with active Students) within the last 60 days.

Successful applications will result in the Service Provider being placed on the panel. The contract commencement date listed for any approved CPS resulting from the application will be the approved date of the application. This will appear as the 'Student commencing start date' in the CPS.

1.3.4 Student Eligibility (General)

Training will **only** be funded where it meets the criteria in the Contract.

Unless otherwise specified, the following enrolment categories will **not** be funded:

- a) Persons whose primary place of residence is not in Western Australia, with the exception of Apprentices who have:
 - a training contract registered in Western Australia; and
 - a Western Australian workplace address; and
 - the training is undertaken in Western Australia, if available.
- b) Residents of Christmas Island or Cocos Island.
- c) Persons who are neither Australian citizens nor permanent residents of Australia unless they are holders of approved temporary visa subclasses, or spouses or dependents that accompany 457 visa holders.²
- d) Prisoners.
- e) Secondary school Students.
- f) Persons under 15 years of age.
- g) Persons under 18 years of age in the year of enrolment unless under a DoE Notice of Arrangement (NoA) (Full Time) or exempted from the School Education Act 1999. This does not include Students undertaking a school based program such as an Apprenticeship, Traineeship, Pre-apprenticeship or Aboriginal School Based Training (ASBT) Students.³
- h) Enrolments in training programs that are not accredited or which fall outside of the Service Provider's scope of registration.
- i) Enrolments in units of competence (UoCs) for which the payment for the reported outcome is shown in Table 1, Service Payment as 0%.
- j) Students who do not meet the eligibility criteria for the target group(s) specified in these Business Rules.
- k) Students that do not have a valid USI.
- l) Students who do not commence Training within the Student commencing start and end dates as defined in the CPS. and
- m) Individuals recruited by a third party on behalf of the Service Provider for a fee.

Note: Refer to the section relating to each Program for any additional Student eligibility requirements.

1.3.5 Managing Notices of Arrangement/Exemptions

Service Providers are required to follow the business process and requirements detailed in Appendix B for students under a Notice of Arrangement (NOA) or Exemptions undertaking publicly funded training.

² Information relating to Visa Subclasses can be found on the following website: <http://www.dtwd.wa.gov.au/iswa>

³ See Section 1.3.5 for further information regarding NOAs.

1.4 QUALIFICATIONS

Service Providers can only apply to deliver qualifications that are within their current scope and listed on the relevant Payment Table for the calendar year.

Unless otherwise stated in the Contract, where:

- a) a new or revised Training Package has been endorsed for public funding in Western Australia; and
- b) the Training Package covers one or more of the Qualifications listed in the Contract;

the Service Provider must enrol new Students in Qualifications from the new or revised Training Package within 12 months of the Training Package release date as noted on the training.gov.au (TGA) website.

Note: Addition and removal of Payment Table qualifications occurs monthly on advice from the Corporation's Policy area. Decisions are made based on consultation with the State Training Board. New qualifications will only become available to deliver once they are listed on the relevant Payment Table(s) Once a replacement qualification is added to the Payment Table, the old qualification is removed. CPSs will not be issued for qualifications that have been removed from the Payment Table.

1.4.1 Payment Tables

Payment Tables are generated based on the Funded Training List and detail the total hourly rate (Government subsidy and Student fee) that will be paid to the Service Provider for the qualification.

Payment Tables for the various programs are available at <http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

Where a new or revised training package qualification is established or an existing qualification is replaced the Corporation undertakes a review of these qualifications to determine whether they will be publicly funded. A determination is also made as to whether the qualification will be linked to an apprenticeship or traineeship. The time taken to complete this process varies and could be up to 6 months.

Note: Until the new or revised training package is approved for funding and is listed in the Payment Table, the Corporation can only contract the Service Provider for the old qualification.

1.4.2 Transitioning Students

Students who transition from a superseded qualification to the current qualification must be evaluated in order to determine the reporting requirements for the transition. There is a Transitioning Form, which assists Service Providers with this process. Service Providers should contact their Contract Manager in order to discuss transitioning requirements.

*A list of the Contract Managers contact details is available from the Jobs and Skills WA website:
<http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>
Where a Student(s) is continuing training in a superseded qualification past the transition date, the Corporation will not pay for that activity.*

1.4.3 Foundation Skills

Service Providers may request to deliver the Course in Applied Vocation Study Skills (CAVSS) or Course in Underpinning Skills for Industry Qualifications (USIQ) with an awarded training program.

Requests to deliver CAVSS or USIQ can be made once the training program has been approved for funding.

Note: CAVSS and USIQ do not attract a 40% equity loading as described in the Participation Equity program. CAVSS and USIQ courses do not attract student tuition fees.

The payment rates for CAVSS and USIQ are located on Jobs and Skills WA <http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>.

Course in Applied Vocation Study Skills (CAVSS)

The Course in Applied Vocational Study Skills (CAVSS) is an accredited course that provides:

- a) delivery modes and strategies to support groups of Students in vocational education and training (VET) programs; and
- b) a means for this kind of support to be funded.

The Service Provider must have RTO scope to deliver CAVSS.

CAVSS is non-assessable and does not appear on the academic record of Students.

Service Providers are required to produce a program outcomes report to provide evidence that the delivery of CAVSS improved Student outcomes for the vocational course. The report must be made available to the Corporation on request.

Once a CAVSS CPS is in place, additional training places for the CPS can be requested through the Variation Process, where the same delivery arrangements are in place.

Applying for CAVSS funding

The Service Provider must apply for CAVSS separately for each training program for which it is required.

Service Providers must address the specific literacy and numeracy requirements of the linked training program. The CAVSS course request form is located on Jobs and Skills WA:

<http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

A separate CAVSS schedule will be issued for each recommended training program.

Note: Private Training Providers interested in delivering CAVSS must first apply for scope in writing to the Corporation.

If approved, Service Providers must register this course as part of their scope with TAC, VRQA or ASQA.

More Information on CAVSS

Further Information about CAVSS as a training strategy is available in the CAVSS business rules found at: <http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-lln>

Underpinning Skills for Industry Qualifications (USIQ)

The Course in Underpinning Skills for Industry Qualifications (USIQ) was developed by the Corporation to assist learners with additional educational support needs. These needs can be related to linguistic or cultural factors that occur as a result of life events or choices; be connected to a disability, a mental illness or an acquired injury; or be a result of a person's lack of familiarity with learning and employment norms in a complex, technology based society. In many instances, these factors are inter-related.

The Service Provider must have the scope to deliver USIQ.

USIQ is non-assessable and does not appear on the academic record of Students.

Service Providers are required to produce a program outcomes report to provide evidence that the delivery of USIQ improved Student outcomes for the vocational course. The report must be made available to the Corporation on request.

Applying for USIQ Funding

The Service Provider must apply for USIQ separately for each training program for which it is required.

Responses must address the requirements of the linked training program. The USIQ course request form is located on Jobs and Skills WA:

<http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

A separate USIQ schedule will be issued for each recommended training program.

Note: Private training providers interested in delivering USIQ must first apply for scope in writing from the Corporation.

If approved, Service Providers must register this course as part of their scope with TAC, VRQA or ASQA.

Once a USIQ CPS is in place, additional training places for the CPS can be requested through the Variation Process, where the same delivery arrangements are in place.

More Information on USIQ

Further Information about USIQ as a training strategy is available in the USIQ business rules found at: <http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-lln>

1.5 PAYMENTS

1.5.1 Funding Schedules

The specific details of individual CPS and their payment rates are described in the Funding Schedules available on RTONet under the Contracts Tab, click on the menu item titled My Contracts.

- a) Where a CPS allows delivery of training in all regions (traineeships only), the Training Services Schedule shows the payment rate (\$/SCH) as the "Contracted Perth Price per Hour" and the maximum price per place as the "Max Perth Price per Place".

- b) Where a CPS is for delivery in one region, the Training Services Schedule shows the rate (\$/SCH) payable for delivery in that region as the “Contracted Price per Hour”.

1.5.2 Eligibility for Payment

- a) Service Providers must not commence training new Students unless there are places available on their existing CPS or within the traineeship trade category allocation under which the training will be conducted.
- b) Students must be reported against at least one unit of competency that commences during the CPS Student Commencing Start and End dates within a lodgement accepted by RAPT.
- c) Payment will not be made for any Student commencement and/or completion not reported by the next 31 January in the following year. Training activity that appears in error within the Service Providers lodgement will not be accepted.

1.5.3 Calculation of Payments

The percentage payments shown in the Payment Ratio (Table 1) apply to the delivery for each CPS listed in the Contract unless otherwise specified.

- a) Payment is calculated on the number of Student Curriculum Hours (SCH) reported against each Unit of Competency (UoC) up to, where applicable, the maximum amount payable.
- b) The payment will be based on the proportion of the \$/SCH rate payable for the Outcome Code achieved (specified in Table 1) for each UoC for each Student included in the lodgement less the required tuition fees as nominated in the Corporation's VET Fees and Charges Policy.
- c) The payment amount will be calculated by the Corporation's online Reporting system using the percentage payment for the Outcome Code achieved for each UoC as shown in Table 1, unless otherwise specified in the Request. The relevant tuition fee is deducted for each UoC before these calculations occur.

1.5.4 Adjustment to Payments

The Corporation may adjust the amount payable where:

- a) only part of the Service has been provided; or
- b) approval has been granted for the Service Provider to utilise additional sources of funding; or
- c) components of the training is occurring outside of the funded region; or
- d) more than 25% of all Students' UOCs within a CPS are reported as Withdrawn (Outcome Codes 10 and/or 11); or
- e) it is identified that the Service provided is only recognising training and assessment undertaken by a third party and/or conducting assessments only; or
- f) the reported Student is registered with a Commonwealth program that funds training and/or other training related support services; or

- g) the Service Provider has gone into external administration or liquidation or has voluntarily withdrawn from the Contract.

1.5.5 Processing of Payments

- a) Payment will be made within thirty (30) days of a valid lodgement being received.
- b) Payments will be made through Recipient Created Tax Invoices (RCTI) generated through the Corporation's online reporting system. The RCTI will identify the amount payable and any applicable GST component.
- c) The Service Provider agrees not to issue a tax invoice for services for which a RCTI has been issued.
- d) The Corporation will pay via electronic funds transfer to the account with a financial institution nominated by the Service Provider.

*Note: The Service Provider may change the nominated financial institution by completing the EFT form located on the website below:
<http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>*

Table 1: Payment Ratios

The payment ratio relating to each assessed outcome code is listed in the table below.

OUTCOME CODE	DESCRIPTION	% PAYMENT
1	Competent*	100%
2	Not competent*	100%
3	Non-assessable enrolment – withdrawn or not satisfactorily completed.	70%
4	Non-assessable enrolment - satisfactorily completed	100%
5	In training – with evidence	70%
55	In training – without evidence	0%
61	Superseded	0%
6	Recognition of Prior Learning (RPL) granted*	50%
7	Recognition of Prior Learning (RPL) not granted*	50%
9	Credit transfer	0%
10	Withdrawn formally after some participation	70%
11	Discontinued – no formal withdrawal after some participation **	70%
100	Never commenced - no participation	0%
105	Not yet commenced	0%

Note:

* *Formal assessment has been undertaken and the outcome is deemed final.*

** *The date of withdrawal reported in RAPT must reflect the date the RTO has determined that the student has withdrawn from training and not be backdated to the last day the student engaged in training.*

Course Fee Calculations

The Corporation's reporting system manages course fee calculations for units reported for publicly funded Students as follows:

- Course fees will be deducted in accordance with the applicable years Fees and Charges Policy at the UoC commencing date unless otherwise specified in additional funding conditions (e.g. fee maintenance arrangements).
- Where the reported fee type is concession the system will calculate the concession rate as 30% of the non-concession fee rate.
- Where the reported fee type for a unit is code F (fee exempt) the system will not deduct fees for the unit.
- Where the reported fee type for a unit is code V (fees waived due to severe financial hardship), the system will deduct the non-concession fee rate applicable to the enrolment category for that unit.
- Non-assessable enrolments 3 (non-assessable enrolment: withdrawn or not satisfactorily completed) or 4 (non-assessable enrolment: satisfactorily completed) can only be reported for modules under CAVSS and USIQ courses, and pre-apprenticeship work placement modules. These outcomes are fee exempt.
- Where the reported training outcome for the unit is 6 (RPL granted) or 7 (RPL not granted) the system will deduct the non-concession fee rate applicable to the enrolment category for that unit.
- The payment rate (\$/SCH) for delivery outside the Perth region for traineeships will be calculated automatically by the Corporation's online Reporting System using the Perth rate for the CPS as shown in the Contract multiplied by the relevant Regional Loading % from table 2 below.

1.5.6 Table 2: Regional Loadings

The table below outlines loadings applied to various regions with the effect of increasing the hourly payment rate by the listed percentage.

Region	% Loading against the Perth Price
Perth	0
Interstate ⁴	0
Peel	10
South West	10
Wheatbelt	30
Mid West	30
Great Southern	30
Goldfields-Esperance	50
Gascoyne	70
Pilbara	105
Kimberley	115

1.6 PAYMENT RATE FOR ONLINE OR OTHER REMOTE MODE OF DELIVERY

- a) Where the majority of a training program is delivered online or through other remote modes of delivery and the \$/SCH rate for the CPS takes into consideration a Regional Loading, delivery will be funded at the \$/SCH rate applicable to the location of the Service Provider and not the rate applicable to the region in which the Student is training.
- b) Delivery with an online component may be paid at the regional rate if it can be demonstrated that at least 50% of the nominal hours of the Unit is delivered face-to-face in that region.

1.7 LODGEMENTS

The Manual for Payments and Reporting for Publicly Funded Registered Training Organisations provides a guide on making Lodgements. The current version of the manual can be down loaded from the Corporation's website at:

<http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

⁴ For apprenticeships only.

1.8 MEASURING PERFORMANCE

1.8.1 Surveys

- a) The Corporation may conduct surveys (whether directly or indirectly) of Students, employers of Students and other stakeholders where applicable.
- b) The Corporation is not required to inform the Service Provider of any survey it conducts.
- c) At the Corporation's request, the Service Provider must:
 - i. provide the information necessary to effectively conduct the survey; and/or
 - ii. actively promote and inform relevant stakeholders of any surveys that may be undertaken.

The Corporation may publish the results of surveys, provided the information disclosed does not identify individual stakeholders.

1.8.2 Performance Criteria

As specified in the Request, the Corporation will assess the Service Provider's performance against a number of performance criteria. These criteria shall include and may not be limited to the following:

- a) **Quality of Training** will be determined through a range of measures including:
 - i. outcomes achieved, measured against relevant training delivery outcome benchmarks established by the Corporation and the Regulator;
 - ii. testing to ensure that all training services are delivered in accordance with the relevant Training Plan, DASS or TDAR;
 - iii. results of monitoring visits;
 - iv. results of audits undertaken by the Corporation, TAC, VRQA or ASQA;
 - v. feedback from Student surveys;
 - vi. compliance with the AQTF or NVR requirements;
 - vii. compliance with the relevant policies issued by the Corporation including and not limited to the current VET Fees and Charges Policy;
 - viii. complaints received from other parties including the Apprenticeship Office, employers, State and Federal organisations.
- b) **Achievement of Training Outcomes** against benchmarks including standards set by the Corporation and the Regulator. This may include the proportion of Students:
 - i. that successfully complete each Qualification or Course as specified in the Contract;
 - ii. that successfully complete each UoC of a Qualification or Course as specified in the Contract; and
 - iii. progressing to further studies or employment.

- c) **Timeliness, accuracy and integrity of data reporting**, this may include the proportion of:
- i. Student data that contains demographic responses (where applicable);
 - ii. Student eligibility issues identified;
 - iii. claims for payment with errors identified;
 - iv. Invalid Enrolments identified;
 - v. records reported without a valid Unique Student Identifier (USI); and
 - vi. instances where the Service Provider has failed to remove data at the Corporations request.
- d) **Compliance with this Contract.**

1.9 INSURANCES

Unless otherwise specified by the Corporation, the Service Provider must have and maintain the following insurances:

1.9.1 Public Liability Insurance

Public Liability Insurance covering the legal liability of the Service Provider and the Service Provider's personnel arising out of the services for an amount of not less than \$20 million for any one occurrence and unlimited in the aggregate.

1.9.2 Workers Compensation Insurance

Workers Compensation Insurance under the *Workers' Compensation and Injury Management Act 1981 (WA)*, including cover for common law liability for an amount of not less than \$50 million for any one occurrence in respect of workers of the Service Provider. The insurance policy must be extended to cover any claims and liability that may arise with an indemnity under section 175(2) of the *Workers' Compensation and Injury Management Act 1981*.

1.9.3 Professional Indemnity Insurance

Professional Indemnity Insurance covering the legal liability of the Service Provider and Associates arising out of any act, negligence, error or omission made or done by or on behalf of the Service Provider, or any subcontractor in connection with the Contract for a sum of \$5 million for any one claim and in the annual aggregate, with a provision of one automatic reinstatement of the full sum insured in any one period of insurance.

Professional indemnity insurance must be extended to include:

- a) fraud, dishonesty, defamation, breach of confidentiality, infringement of patent, copyright, design, trade mark or circuit layout rights;
- b) loss of or damage to documents and data; and
- c) breach of Chapters 2 and 3 of the Australian Consumer Law and the Australian Consumer Law (WA).

Note: Any policy of insurance taken out by the Service Provider must be with a reputable and solvent insurer acceptable to the Corporation who conducts insurance business in Australia and is authorised in Australia to operate as an insurance company.

1.10 EVIDENCE OF PARTICIPATION

- a) Upon the Corporation's request, the Service Provider must provide Evidence of Participation to prove Student participation in any Unit of Competency (UoC) for which funding has been claimed.
- b) The Service Provider must retain both evidence of commencement and evidence of final assessment in any unit of Competency (UoC) for which funding has been claimed, for a period of five (5) years after the End.
- c) The evidence of Student participation retained by the Service Provider must align to the Delivery Mode/s reported through the Corporation's online reporting system.
- d) Proof of Student participation must meet the standards contained in Appendix A of this document.

1.11 INVALID ENROLMENT

- a) The Service Provider must return any funds received for any UoC deemed by the Corporation to be an Invalid Enrolment.
- b) The Corporation may take action against the Service Provider where the Service Provider cannot provide acceptable evidence of Student participation. These actions may include:
 - i. non-consideration for future contract variations or tender processes;
 - ii. reduction to the amount paid on commencements of UoCs;
 - iii. claim back any payments that have been made where contractual obligations have not been met;
 - iv. suspension of payments; and/or
 - v. the Contract being terminated.
- c) Where Invalid Enrolments are identified the Corporation reserves the right to undertake a further assessment of more records to achieve a statistically valid record sample. Where this statistically valid sample results in an Invalid Enrolment rate greater than 5%, then the funding entitlement for all training reported for that Program will be reduced by that part of the percentage over and above 5% [i.e. the excess will be a debt owing from the Service Provider to the Corporation as per clause 12.2 of the General Provisions 2017 (2.0)].
- d) The Service Provider will be required to change the Outcome Codes for all those UoCs assessed as an Invalid Enrolment and report this change in the following month's RAPT Lodgement. The Service Provider may be required to prepare a transition report as directed by the Corporation. ⁵

⁵ Any overpayment will be dealt with in accordance with section 12.3 of the General Provisions.

1.12 ACQUITTAL OF CPS

- a) The Service Provider is required to provide the Corporation with a Notice of Acquittal for any CPS where:
 - i) the Service Provider received from the Corporation the full amount payable for the CPS or the outstanding amount payable is less than ten dollars; and
 - ii) both parties have otherwise met all of the terms of the Contract and have acted in good faith.
- b) The Service Provider must provide a Notice of Acquittal for a CPS within four weeks of the completion of training for all reported Students or within four weeks of the “Training Activity End Date” as shown for the CPS in the Funding Schedule in the Contract.
- c) Where a CPS is due for acquittal, the Corporation may identify the CPS in the CPS Acquittal Report within RAPT, against the Service Providers RAPT Lodgement. If within four weeks of that lodgement, the Service Provider does not advise the Corporation of any ongoing training activity on that CPS, the Corporation reserves the right to complete (close) the CPS.
- d) The Corporation reserves the right to complete (close) a CPS where no activity whatsoever has been reported against that CPS one month after the relevant “Student Commencing End Date” as shown for the CPS in the Contract.
- e) Where, instead of providing a written Notice of Acquittal, the Service Provider lodges a notice claiming that the terms of Contract have not been met; the two parties will seek to resolve the dispute using all reasonable efforts.

Note: Service Providers can request acquittals on the Corporation’s Variation Form, available at: <http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

1.13 EXITING THE MARKET

There are times when Service Providers decide to discontinue their service delivery under the contract. Service Providers that are exiting the market must:

- Formally notify the Corporation within 10 business days of this decision being taken;
- Finalise Students’ open UoCs and not commence any new UoCs unless these can be completed prior to the Service Provider’s closure;
- Assist the Corporation find an alternative Service Provider for any continuing Students
- Issue Students with statements of attainment; and
- Submit a final RAPT lodgement

2 SERVICE STANDARDS

The Contracted Services include:

- a) Recruitment, training, assessment and related educational/support services for eligible Students within the contracted regions;
- b) Collection of Student fees; and

- c) Implementation/administration of the contracted arrangements to the level expected to ensure compliance with the business rules.

Service Providers must not allow a third party to deliver any part of the Contracted Services on their behalf, except where the third party (Subcontracting) arrangement is approved in writing by the Corporation. Third Party arrangements do not include a contract of employment between a Service Provider and its employee, Student counselling, mediation or ICT services. Service Providers seeking approval for a third party arrangement must contact their Contract Manager to discuss the process for seeking approval.

The Service Provider must not source additional funding to support the Contracted Services, except where the arrangement is approved by the Corporation.

The intent of the Contract is for the Service Provider to engage eligible Students in training under the relevant Program. Where the Service Provider does not recruit and report an eligible Student against a Program, the Corporation may withdraw funding for that Student(s) and/or remove the Service Provider from the Panel/Program.

The standards required of Service Providers are outlined in the subclauses of clause 2 below.

2.1 SERVICE PROVIDER STAFF

The Service Provider must ensure that:

- a) The operational requirements of the contract and each of the relevant programs are understood and implemented.
- b) Contractual information is communicated to all relevant staff and integrated into operational policy where appropriate.
- c) Staff are skilled to the level required to carry out their role in relation to the contract.
- d) Written work instructions inform staff how to carry out any duties required to meet the obligations under the contract.
- e) Staff whose roles relate to the implementation of the funding contract have their own login account to access RTONet, which includes access to RAPT.

2.2 STUDENT RECRUITMENT AND SELECTION

- a) Student recruitment is the result of a genuine training need.
- b) Students are selected in a way that shows fair access to training to the level required within the:
 - i) WA Equal Opportunity Act 1984; and
 - ii) Disability Services Act 1993, including implementing to the extent possible, the Corporation's Disability Access and Inclusion Plan (DAIP).

Note: Further information regarding the DAIP can be obtained from the following website: <http://www.publicsector.wa.gov.au/publications-resources/psc-publications/disability-access-and-inclusion-plan-daip>

2.3 STUDENT PRIVACY NOTICE AND DECLARATION

- a) Service Provider must inform students that their data may be used or disclosed for statistical, regulatory and research purposes.
- b) Students must be provided with the Privacy Notice. Details about the privacy notice and student declaration can be found on the NCVET website at <https://www.ncver.edu.au>

2.4 ADVERTISING AND MARKETING

- c) Service Providers take responsibility for their own marketing and recruitment of Students unless otherwise specified.
- d) All Jobs and Skills WA marketing must be clear, accurate and must not be misleading.
- e) Service Providers publish information relating to Jobs and Skills WA funded courses on their website which includes: ⁶
 - i) the indicative fee/s for all courses and qualifications; and
 - ii) the caveat “The Student tuition fees are indicative only and are subject to change given individual circumstances at enrolment. Additional fees may apply such as Student service and resource fees”.
- f) Promotional material used by the Service Provider for government subsidised training offered under the Contract includes:
 - i) the Jobs and Skills WA word mark, in accordance with the most current issue of the Word Mark Guide located on RTONet; ⁷
 - ii) the indicative fee/s for all courses and qualifications; and
 - iii) the caveat “The Student tuition fees are indicative only and are subject to change given individual circumstances at enrolment. Additional fees may apply such as Student service and resource fees”.
- g) The Service Provider does not suggest, or allow there to be any misunderstanding, that subsidised training is 'free of charge', discounted or subsidised by the Service Provider or any other third party.
- h) The Service Provider does not market, publicise or otherwise communicate information about the training or engage in any other conduct that may have the effect of encouraging Students to choose a Provider based on price or other inducements (including any financial or other benefit).

Note: Where it is identified that the Service Provider has falsely advertised i.e. fee free course; the Service Provider will be required to issue a formal retraction in whatever medium(s) they posted the original advertisement. In addition, the Service Provider will inform the Students of the error and record Students' receipt of this notification.

⁶ This does not apply to Enterprise RTOs where students are employees of the Service Provider

⁷ Found at <https://stars.dtwd.wa.gov.au/rtonet/> under the Resources tab (RTONet login required)

2.5 TRAINING SERVICES

The Service Provider must ensure that:

- a) Clear and accurate information is provided to Students and stakeholders in relation to the program(s) being delivered and any related contractual obligations.
- b) Services are sufficiently tailored to meet the needs of WA's diverse community; including persons from Aboriginal and ethnic minority communities.
- c) The Service Provider initiates timely support to assist the Student to progress with the training.
- d) Facilities and equipment are maintained to a level that would reasonably be expected from a registered provider of training services.
- e) Evidence of a valid USI/or evidence of submission of an application for a USI is obtained before a Student commences training.
- f) The Service Provider expends a level of effort and resources on providing training that is proportionate to the funding provided.
- g) Where the Training Package or course curriculum requires that a Unit be assessed in the workplace, the Service Provider must visit the Student's workplace in person in order to carry out that assessment.⁸
- h) The Service Provider is responsible for organising mandatory work placements required within a qualification and must generate a training plan that details workplace training activities and responsibilities for supervision, training and assessment.⁹
- i) Units of competency reported as commenced are the result of an exchange of knowledge beyond an initial question and answer process.¹⁰
- J) Students not progressing satisfactorily are provided with a greater level of support until an outcome for the relevant Unit(s) is obtained.

2.6 CONTRACT IMPLEMENTATION

The Service Provider must:

- a) Retain evidence of the Students participation in training including evidence of the Students' eligibility under the Contract.
- b) Participate in mandatory workshops and meetings, as required by the Corporation.
- c) Manage the Student expectations by informing Students about the timeframes relating to requesting Student places and Panel membership.

⁸ The RTO must submit a business case to the Corporation where this requirement cannot be met outlining the reasons why and the alternative arrangements that will be put into place including how the assessment(s) will be conducted and managed.

⁹ Please note that this does not preclude a student from identifying a possible work placement. In such situations, the Service Provider must assess the work placement's suitability and capacity to meet the qualification requirements.

¹⁰ For example, it is not sufficient to provide documents such as 'catch all' sets of questions as the only evidence of participation for a subject. These sets of questions are typically completed on the first day of client attendance, often all subjects within the cluster and the nature of the questions are simple with limited educational value.

- d) Advise the Department of Education (DOE) if Students under an Exemption or a Notice of Arrangement (NoA) complete, withdraw or disengage from the funded training program prior to turning 18 years of age.¹¹
- e) Respond to structural and quality reform changes, such as changes to the funding arrangements, regulatory framework or implementation of training packages.
- f) Effectively manage the Student places for each upcoming reporting period, including:
 - i) matching Students that are scheduled to commence training in the coming months with existing CPS places;
 - ii) requesting variations in a timely manner; and
 - iii) reporting all training that commenced in the previous month within a valid RAPT lodgement.

Note: Student places are not considered to be effectively managed if a Student cannot commence training because the Service Provider delayed making a Request for Variation/Request for Panel Membership.

- g) Provide required insurances' certificates of currency to the Corporation at the commencement of the contract and on renewal of each policy.
- h) Report all units of competency for each qualification that a Student is undertaking (as determined within the training plan).
- i) Remove all reported units of competence and/or Students identified as ineligible for funding from future RAPT lodgements as directed by the Corporation.
- j) Transition existing Students enrolled in superseded qualifications to the new qualification in accordance with the requirements/timeframes specified by the Regulator.¹²
- k) Report Student details to the Corporation in the Student File. The details must include contact phone numbers and/or an email address. The email address for the student must be a personal email address, not an email address belonging to the Service Provider or the Service Providers Domain.
- l) Raise any funding complaints with the contract manager.
- m) Raise any complaints relating to other stakeholders with that stakeholder.
- n) Review the CPS Training Activity End Dates regularly and request any required extensions at least a month before the current CPS Training Activity End Date.
- o) Ensure training and assessment demonstrates a Student's reasonable progression for UoCs commenced. The training delivery period must be commensurate with the nominal hours assigned to the UoC.

¹¹ A NOA student would be considered disengaged where they have not engaged in training or had contact with the Service Provider after a period of 3 months

¹² Refer to the Transitioning Students Section within these business rules

2.7 FEES AND CHARGES

The Service Provider must:

- a) Collect the fees and charges for Students undertaking VET in accordance with the current¹³ provisions of the Corporation's VET Fees and Charges Policy; any law and other legal requirements relevant to these Services or this Contract; and/or where appropriate, as specified in the contractual arrangements with the Service Provider.
- b) Collect the fees and charges from Students set by the VET Fees and Charges Policy applicable at the time the relevant Unit, to which the fee or charge applies, commences.
- c) Retain evidence of payment of fees and charges for all funded Students for a period of five (5) years following the end.
- d) Retain the evidence of the Students proof of eligibility of concession or fee waiver.
- e) Promptly provide copies of invoices and receipts identifying the fees and charges for any funded Student when requested.
- f) Promptly remit such fees, charges or other monies which, by virtue of this Contract or any law or government policy, it is not entitled to collect or keep, to the Corporation or any payer, upon request by the Corporation, and in accordance with such request.
- g) Provide publicly funded Students with an itemised enrolment invoice or receipt for any Units they have enrolled in. Invoices must include:
 - i) Personal details - the first and last name of the Student;
 - ii) Course details – national or state identification and course name;
 - iii) Concession status (where appropriate);
 - iv) Jobs and Skills WA Category, for example:
 - Diploma and above qualifications.
 - Apprenticeships and Traineeships.
 - Priority Industry Qualifications.
 - General Industry Training.
 - Foundation Skills and Equity Courses.
 - v) Enrolment date
 - vi) A list of all enrolled Units, specifying for each Unit the:
 - withdrawal/census date;
 - nominal hours;
 - Unit fee;

¹³ Fees and Charges relate to the units of competence that the Student enrolls in and commences within the calendar year.

- resource fee; and ¹⁴
 - fee for Recognition of Prior Learning (where applicable).
- vii) Additional itemised fees; and
- viii) Total invoice amount.

Where the employer takes responsibility for the payment of the invoice, the Service Provider may provide a single enrolment invoice/receipt that provides aggregated information on their employees' enrolment details. Students **must** receive an individual copy of their enrolment invoice/receipt containing all of the relevant information for record keeping purposes where they leave their employment prior to completing the qualification.

2.8 REPORTING

- a) It is the Service Providers responsibility that all reports, documents, and information provided to the Corporation under this Agreement are complete, accurate, comprehensive, up-to-date and in no way misleading or deceptive.
- b) Service Providers are required to report any changes in their details and the details of relevant staff to their Regulator within 15 days of changes occurring.
- c) The Service Provider must provide to the Corporation an annual report of the extent to which the Corporation's Disability Access and Inclusion Plan (DAIP) has been implemented. This report must be submitted to the Corporation by the date requested by the Corporation.
- d) The Service Provider is required to provide any other reports, documents or information relating or pertinent to this Contract within the stipulated timeframes.

2.9 LODGEMENTS

- a) Service Providers submit lodgements on the Corporation's online reporting system once training commences in any CPS, and then on a monthly basis until the CPS is acquitted.
- b) Reported data is AVETMISS compliant.
- c) A lodgement will consist of electronic text files that are generated from the Service Provider's records system, and:
 - i) be compliant with the text file specifications
 - ii) include an enrolment file for all reported Students
 - iii) include a Student file for all reported Students (except apprentices/trainees)
 - iv) are transmitted to the Corporation electronically through the Corporation's online reporting system, RAPT in accordance with the Manual for Payments and Reporting.
 - v) includes data related to every active CPS.

¹⁴ If the resource is not Unit specific (i.e. learning material that relates to a cluster of Units) the fee should be apportioned across the relevant Units.

- d) Final outcome codes for completed or cancelled Students are reported in the following months report, for all UoCs for which the Student was enrolled.
- e) The Training Location Suburb and Postcode for each UoC enrolment is reported as the postcode area where training actually takes place for that UoC enrolment.
- f) Where 50% or more of a UoC is delivered online or through another remote mode of delivery, the Service Provider reports the training location as the address of the facility that is hosting the training. ¹⁵
- g) Evidence that supports the identification of the reported training location must be retained for audit purposes.
- h) All UoCs commenced in the calendar year, irrespective of outcome, must be reported by the last business day in January of the following year, unless otherwise notified by the Corporation.

2.10 APPRENTICESHIPS AND TRAINEESHIPS

In relation to apprenticeships and traineeships:

- a) Training for apprentices and trainees will be delivered in accordance with the requirements of the Apprenticeship Office.
- b) Apprentices and trainees are to receive visits in the workplace at least twice a year.
- c) Any issues related to Student's progress must be communicated to the Apprenticeship Office in a timely manner.
- d) The Department of Training and Workforce Development's Travel and Accommodation Allowance may not be claimed for the purposes of the Service Providers travel and accommodation costs, where a Regional Loading is also being claimed.
- e) Active trainees that are ineligible for funding on the Corporation's Training Records System (TRS) may not be transferred and claimed as a funded Student under the Priority Industry Training (PIT) Program*.

**Note: Service Providers identified as taking the above action will be in breach of the Contract.*

2.11 PRIORITY INDUSTRY TRAINING

- a) Where the delivery strategy for UoCs within a qualification are reported as 'local class' or 'workplace' the amount of training provided must be at least 50% of the contracted nominal hours for that UoC(s).
- b) The Service Provider must submit a business case in conjunction with the TDAR where Recognition of Prior Learning (RPL) for each Student represents more than 50% of the delivery strategy for the qualification.

¹⁵ For example, if the student is in the Pilbara but the online component is facilitated from a Perth site, the Service Provider will report the Training Provider Location as Perth.

- c) The Service Provider delivers the training contact hours and support detailed in their approved TDAR.

2.12 PARTICIPATION - EQUITY

- a) Training provided to Students equates to face-to-face training of at least 50% of the contracted nominal hours for Job Seekers and 70% for all other equity groups.
- b) The Service Provider delivers the training contact hours and support detailed in their tendered DASS.
- c) The Service Provider keeps records of the Student's eligibility.

2.13 FOUNDATION SKILLS

Service Provider staff delivering CAVSS:

- a) are qualified teachers with an appropriate literacy or numeracy specialisation and with suitable experience teaching literacy and numeracy to adults; and
- b) have attended the two-day workshop delivered by the Corporation.

3 APPRENTICESHIPS

If a specific apprenticeship is not delivered in this State it may be necessary for Western Australian apprentices to travel to another State to undertake the training.

Unless otherwise negotiated, providers that successfully apply to deliver an apprenticeship outside Western Australia will be funded at the Perth metropolitan \$/SCH rate shown in the Payments Table.

3.1 ELIGIBLE STUDENTS

The Service Provider can only report Apprentices that are listed on the Corporation's Western Australian Apprenticeship Management System (WAAMS).

3.2 ELIGIBLE QUALIFICATIONS

Service Providers can only apply for apprenticeship qualifications where a qualification is listed on the Apprenticeship Payment Table. This Payment Table can be accessed at: <http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

3.3 APPLYING FOR ADDITIONAL PLACES

Service Providers may request additional Apprenticeship training places through the variations to existing Panel arrangements process outlined in Section 1.3. Requests will only be considered once 75% of the existing allocated training places are filled and reported in RAPT.

3.4 HOW TO APPLY FOR A NEW QUALIFICATION

Service Providers can apply for a new qualification via the Request process (see Requesting Appointment to a New Panel in Section 1.3).

3.5 HOW TO APPLY FOR A NEW REGION

Service Providers can apply for a new region for a qualification that they are already funded to deliver through the request for variation form.

4 PRE-APPRENTICESHIPS

Only Service Providers invited to deliver pre-apprenticeships for 2019 are eligible to participate in the program for 2019.

4.1 STUDENT ELIGIBILITY

Student eligibility requirements are outlined in the Pre-Apprenticeship Program Business Rules.

Note: the Pre-Apprenticeship Program Business Rules are available at : <https://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa#pre-apprenticeships>

4.2 ELIGIBLE QUALIFICATIONS

Service Providers can only apply for Pre-Apprenticeship qualifications where the qualification is listed on the Pre-Apprenticeship Payment Table. The Payment Table is available at: <https://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

4.3 MANAGING ALLOCATED PLACES

Overall places for each provider are capped at the levels outlined in the Service Provider's initial allocation. Additional places cannot be requested unless otherwise advised by the Corporation.

School based pre-apprenticeship places can only be moved between school-based CPSs and general CPSs.

Non-school based (general) pre-apprenticeship places may be moved between general pre-apprenticeship CPSs. General pre-apprenticeship places cannot be moved to school based CPSs without the expressed permission of the Corporation.

Service Providers may request the movement of places by emailing training.markets@dtwd.wa.gov.au.

4.4 HOW TO APPLY FOR A NEW QUALIFICATION OR REGION

Service Providers may request an additional pre-apprenticeship or an existing pre-apprenticeship in a new region where they are contracted for the equivalent apprenticeship, by emailing: training.markets@dtwd.wa.gov.au for consideration.

5 TRAINEESHIPS

5.1 STUDENT ELIGIBILITY

The Service Provider can only report Trainees that are listed on the Corporation's Western Australian Apprenticeship Management System (WAAMS).

5.2 ELIGIBLE QUALIFICATIONS

Service Providers can only apply for Traineeship qualifications where the qualification is listed on the Traineeship Payment Table. The Payment Table can be accessed at:

<http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

5.3 APPLYING FOR ADDITIONAL PLACES

Service providers may request additional Traineeship training places. Requests will only be considered once 75% of the existing allocated training places against the relevant trade category are filled and reported in RAPT. Requests are made using the variations to existing Panel arrangements process outlined in Section 1.3.

5.4 HOW TO APPLY FOR A NEW QUALIFICATION

Service providers may request a new qualification. Requests are made using the variations to existing Panel arrangements process outlined in Section 1.3. Traineeship CPSs are not region specific.

6 PRIORITY INDUSTRY TRAINING PROGRAM

6.1 STUDENT ELIGIBILITY

Students must not have an active apprenticeship/traineeship training contract on the Corporation's Western Australian Apprenticeship Management System (WAAMS).

6.2 ELIGIBLE QUALIFICATIONS

Service Providers can only apply for Priority Industry Training qualifications where the qualification is listed on the Priority Industry Training Payment Table. This Payment Table can be accessed at:

<http://www.dtwd.wa.gov.au/training-providers-and-schools/vet-jswa>

6.3 VOLUME OF TRAINING

Where training is delivered as face-to-face training, this must result in the Student receiving 50% of the contracted nominal hours for the UoC as face-to-face training.¹⁶ For example if the UoC is 100 hours, the Student must receive 50 hours of training face-to-face.

6.4 APPLYING FOR ADDITIONAL PLACES

Service Providers may request additional Priority Industry Training, training places once 75% of the existing allocated training places are filled and reported in RAPT. Requests are made using the variations to existing Panel arrangements process outlined in Section 1.3.

¹⁶ Units of competency reported with a Delivery Strategy of classroom/workplace.

The Service Provider can request 40 places in total, across all qualifications each month. Places available each month may change at the Corporation's sole discretion and without prior notification.

6.5 HOW TO APPLY FOR A NEW QUALIFICATION OR REGION

Service providers may request a new qualification or region. Requests are made using the variations to existing Panel arrangements process outlined in Section 1.3. Requests must be accompanied by a TDAR.

7 PARTICIPATION - EQUITY PROGRAM

The Participation - Equity program aims to assist people to become job ready so they can participate fully in the workforce. The eligibility of the Students is pivotal and must be documented and provided if requested by the Corporation within two business days. Service Providers are reminded that failure to ensure Students are eligible under the business rules or failure to keep evidence may result in:

- a) The loss of funding for those Students; and/or
- b) The loss of 40% of the Student support loading across the whole CPS; and/or
- c) Suspension or termination of Preferred Provider Panel membership.

7.1 PARTICIPATION REFERRAL AGENTS

- a) The Participation - Equity Program has a targeted approach to recruiting Students from the eligible target groups by using input from selected organisations that have a case-based management role with one or more of the cohorts. "Approved Participation Referral Agents" are only those organisations listed on the Participation Referral Agent List published on the Jobs and Skills WA webpages at the time of recruitment.
 - i) Participation Referral Agents refer clients by sending an email to the Service Provider that indicates by its email address that it is from an Approved Participation Referral Agent, containing as a minimum; the Student's name and target group.
 - ii) Participation Referral Agents may only refer their own clients.
 - iii) Service Providers may not request referrals for Students they have recruited.
 - iv) Approaching Participation Referral Agents with Student names is grounds for removal from the Preferred Provider Panel.
- b) Service Providers allocated training places in the Participation - Equity Program will be required to report on the source of the Students quarterly for all commencements reported on RAPT:
 - i) approved Participation Referral Agent;
 - ii) other agency recommendation (must have documented evidence of eligibility outlined in Section 0)
 - iii) Recruited or self-referred (must have documented evidence of eligibility Section 0)

7.2 ELIGIBLE STUDENTS

To be eligible, all Students must be seeking to participate in the workforce. This program is not for existing workers and employers cannot use these funded places to up skill their existing workers. Service Providers found to have recruited Students via employers may be removed from the Preferred Provider Panel.

In addition to the requirements for eligibility for funded training in section 1.3.4 of these Business Rules.

- a) **Job Seekers** are able to access main stream training, and must be:
- i. unemployed or underemployed and have a written referral from an Approved Participation Referral Agent for Job Seekers; or
If self-referred, referred by another agency or recruited by the Service Provider Job Seekers must have a:
 - ii. “health care card” or “pension card”.

Note:

Individuals referred from a Commonwealth ‘Transition to work’ program provider to undertake training must be reported as a Job Seeker

- b) **Aboriginal People (AP)** target group must experience barriers to accessing main stream training, need greater support in training and must be:
- i. unemployed or underemployed and have a written referral from an Approved Participation Referral Agent for the Aboriginal target group; or
If self-referred, referred by another agency or recruited by the Service Provider, Aboriginal People must be:
 - ii. unemployed or underemployed and able to show they are of Aboriginal Descent and self-identify as Aboriginal and have community acceptance as an Aboriginal person. Evidence can include letters from an Aboriginal Corporation or from members of the Aboriginal Community.
- c) **Aboriginal School Based Training (ASBT)** participants are:
- i. Aboriginal School Students selected by their schools; for places approved by the School Sector Committee for Aboriginal School Based Training.
- d) **Culturally and Linguistically Diverse (CALD)** target group are Students who are:
- i. unemployed or under-employed and have a written referral from an Approved Participation Referral Agent for the CALD cohort; or
If self-referred, referred by another agency or recruited by the Service Provider, CALD individuals must be:
 - ii. unemployed and whose ancestry is not Anglo-Saxon¹⁷, Anglo-Celtic, Aboriginal or Torres Strait Islander and who have documentation that may include but is not limited to humanitarian visas, passports or travel

¹⁷ Anglo-Saxon and Anglo-Celtic includes people whose ancestry is from a main English speaking country including England, Scotland, Wales, Ireland, Canada, South Africa, and the United States of America

documents or birth certificates or other documentation showing they were born in countries defined as CALD.

- e) **People with Disabilities (PWD)** target group are:
 - i. unemployed or underemployed and have a written referral from an Approved Participation Referral Agent for the Disabilities cohort; or
If self-referred, referred by another agency or recruited by the Service Provider, People with Disabilities must be:
 - ii. unemployed or underemployed and have evidence of being in receipt of a disability support pension or sickness allowance from Centrelink.
- f) **Youth at Risk (YAR)** may only be referred by an Approved Participation Referral Agent for the Youth at Risk cohort and must be:
 - i. unemployed or underemployed and have a written referral from an Approved Participation Referral Agent for the Youth at Risk cohort; and
 - ii. Aged between 15 – 24 years old.

7.3 ABORIGINAL SCHOOL BASED TRAINING (ASBT)

Varies from other target groups in that:

- a) The ASBT training aims to get the participants ready to enter into traineeships or apprenticeships.
- b) The school sectors determine which schools and which Students can participate in the training. Qualifications are limited to those qualifications published in the ASBT Payment Table on the Jobs and Skills WA webpages.
- c) Service Providers successful in their application for ASBT as a target group may market their services to schools but may not enter into any Agreements.
- d) Service Providers on the Panel for ASBT may not enter into discussions with the School Sector Committee or the Corporation on the allocation of places.
- e) ASBT places where offered to a Service Provider are in addition to places requested under the Participation - Equity Program.

*Note: the Fact Sheet for the Aboriginal School Based Training Program (Institutional) can be accessed at:
<http://www.dtwd.wa.gov.au/employeesandStudents/school-Students/Pages/>*

7.4 NUMBER OF ELIGIBLE QUALIFICATIONS:

- a) There are no restrictions on the number of qualifications that an individual student can undertake. However, approval must be sought for students engaging in more than one qualification at the same time prior to training taking place. [Note: This provision does not apply to CAVSS and USIQ]
- b) Students from an equity cohort (AP, CALD, PWD, YAR) must have their barriers to training recorded at enrolment;
- c) Students from an equity cohort that have completed 2 or more qualifications in the past 3 years are not eligible for 40% loading unless requested and approved by the Corporation.

Note: the above rules do not apply to the Aboriginal School Based Training (ASBT) Program

7.5 RECORD KEEPING AND OUTCOME REPORTING

Participation - Equity Program providers are required to:

- a) Document on the Student file the barriers to training for any of the equity cohorts. .
- b) Report quarterly on RAPT the source (self-referral, Participation Referral Agent or other) of Student commencements.

7.6 OTHER REQUIREMENTS

In addition to the provisions in the Request and General Provisions:

- a) Eligible qualifications: are those qualifications that are published on the Participation - Equity Program Payments table. The table is reviewed and updated periodically. .
- b) Volume of training: the Corporation is committed to purchasing a volume of training and only face-to-face¹⁸, training which comprises greater than or equal to 50% of the total SCH will be purchased under this program for Job Seekers and 70% for all other equity groups. Service Providers may include a component of online and self-paced training but this must be in addition to the 50% or 70% of the SCH delivered face-to-face.
- c) Support Services: training providers are required to submit a DASS for each CPS requested. The notes on the DASS are to guide training providers as to what the Corporation requires in terms of evidence and amount of support services considered to be value for money. Training providers will be audited on the provision of support services and must keep evidence as specified.

Note: training must not commence until the Corporation has approved the DASS and issued a 2019 contracted program of study (CPS) for the qualification, region and target group.

7.7 HOW TO APPLY FOR ADDITIONAL PLACES

- a) Download and complete one variation form identifying each program of study, qualification, region and equity group requested.
- b) If you don't already have a DASS or wish to vary the DASS, download and complete the DASS for the program of study requested.
- c) Email the variation and DASS to training.markets@dtwd.wa.gov.au.

The Service Provider can request up to 30 places in total for this program each month. Places available each month may change at the Corporation's sole discretion and without prior notification.

¹⁸ Face to face training can include video conferencing where a trainer is providing instruction to the students

7.8 DELIVERY AND SUPPORT SERVICES POINTS

Support Service	Points	Expected Evidence
Remote Area delivery		
Weighting is given to applications to deliver training in designated Aboriginal Communities.	20	Evidenced by location in RAPT reporting. List of communities from www.daa.wa.gov.au . Note does not include major or minor towns, only remote communities.
Employment Services		
RTO is a labour hire company	5	Evidenced by Company activity statements
RTO provides supervised work experience	10	At least 5 days work experience; practicum or clinical placement. As evidenced by communication with employers and written evaluations per Student. It also includes work experience on projects in remote communities. This must be organised by the RTO and not left up to the Student
Provides Career guidance and/ or assistance with resumes	5	As evidenced by record of additional hours paid to staff for activity. Timesheets need to indicate name of Student assisted.
Meals		
Provision of lunch and other meals	15	At least 1 meal per Student every day of face to face training; evidenced by receipts for food or catering receipts for the appropriate date ranges & a Student meal log, where a Student signs when they receive a meal.
Translation or Language Assistance		
Bi-lingual staff in the language of the CALD or Aboriginal group trained	5	Evidenced by staff members' resumes and staff salary or wages records. Bi-lingual staff member(s) employed by the RTO that are available to provide assistance as required to students experiencing difficulties with learning due to language barriers.
Provides Translated learning materials to CALD group trained	20	Evidenced by copies of training materials in the language of the group being trained.
Childcare Assistance		
Provision of child care by registered individuals	20	As evidenced by staff or contractor's registration from Department of Human Services

Support Service	Points	Expected Evidence
Subsidy provided to cover registered childcare costs incurred by Student	10	As evidenced by receipts for costs of childcare with Student name referenced.
Transport Assistance		
Provision of wheelchair compliant transport. (RTO may only select this for disabilities category)	20	As evidenced by vehicle registration; hire agreements or agreement with a contractor to provide the services, which are for a wheelchair compliant vehicle.
Provision of transport by RTO to access the training	10	As evidenced by vehicle registration or hire agreements, or agreement with a contractor to provide the services and communication with Students on the availability of transport and as evidenced by Student, pick up and drop off schedule or log book.
Subsidy offered to the Student to access public transport	5	As evidenced by receipts for tickets or petty cash provided to Students and recorded in a log book
Provision of Personal Protective Equipment		
The Student is given not loaned, PPE with a value of more than \$100	10	As evidenced by receipts for the purchase of the equipment and Student declaration that they have received the PPE or logbook recording receipt, and no inclusion of this gear on resource fees.
Mentoring		
Provision of designated staff member, who works with Students to produce a mentoring plan for each Student	25	As evidenced by: communication with Students about the availability of the mentor; signed mentoring plans for participating Students; service and employment records for mentor. Note mentor cannot be the lecturer.
Personal Support		
Provision of psychological services or counselling	20	As evidenced by: communication of the support service to the Students; and staff or contractors' resumes indicating qualifications in psychology; or counselling; and payment of staff or consultant.
RTO employs designated Aboriginal Support Staff	15	Evidenced by staff members resumes. These staff cannot also be lecturers or have other roles
RTO employs designated Disability Support Staff	15	Evidenced by staff members resumes. These staff cannot also be lecturers or have other roles

Support Service	Points	Expected Evidence
Provision of Settlement Services	10	Provides counselling, advice and liaison for new migrants who need assistance to access other Government services or agencies. Evidenced by communication with Students about the availability of the service.
Staffing Levels		
Provision of two lecturers at all times	20	Provision of two lecturers* to each class at all times as evidenced by staffing records and double signed attendance sheets. *One of the lecturers may be a support person. For example, someone providing literacy support, language support or any other type of support relevant to the cohort.
<p>Notes:</p> <ul style="list-style-type: none"> • For services such as Translation and Language Assistance / Career Guidance / Settlement services / Mentoring etc., cannot be claimed as a support service if this service is provided by the Participation Referral Agent or outside organisation and does not form a part of the cost of training and delivery for the cohort/s. • Offering services like transport; career guidance; counselling; psychological services are based on the fact that they believe that the individuals that they will be attracting to the course will require these and that without them the Student's capacity to access, remain in and complete the course will be under threat if they are not provided. It is anticipated that a reasonable number of Students will access these services (more than 50% of the students on the relevant CPS). Where less than half of the students are expected to access the Service, the service should be listed under 'Other' on the DASS. • Redirecting Students to other services outside of the RTO is not acceptable for attracting additional funding if the RTO is not paying for that service. • Scores of 50 or more may be deemed sufficient, however each will be evaluated on the type of available service. • Some support services are irrelevant for some target groups. 		

END OF BUSINESS RULES

Appendix A – Audit Guidelines for Evidence of Participation

The Corporation conducts various contractual audits to ascertain contracted training providers level of compliance with identified clauses of the General Provisions (Conditions of Contract), Business Rules for Entitlement and Participation Programs and the related standards and policies.

Service Providers are required to promptly supply copies of documentation to substantiate Student commencement and where applicable completion of assessment activities in units of competence (UoC) where funding has been claimed. Evidence of Student participation will be required for non-assessable enrolments.

Commencement evidence (reported enrolment outcome codes 1, 2, 5, 10 and 11)

Commencement evidence must clearly demonstrate that the Student has received training in the learning components within the curriculum framework of the selected UoC. It must be clear that there has been a transfer of knowledge to the Student by the RTO.

An example of commencement evidence for classroom training is an attendance roll and accompanying session plan that outlines what training activities relevant to the UoC were delivered to the Student at the session. Commencement evidence for a workplace visit may consist of a Relevant Tuition-Related Contact (i.e. training contact sheet) which includes notes of what training was delivered at the visit relevant to the curriculum of the UoC. Please note that assessment documents cannot be used as commencement evidence.

Evidence of commencement must confirm an exchange of knowledge beyond an initial question and answer process. Documents such as 'catch all' sets of questions will not be accepted where this is the only evidence of participation for a UoC/module (i.e. questions completed on the first day of Student attendance, covering all UoC's within the cluster and the nature of the questions are simple with limited educational use).

Participation evidence (reported enrolment outcome codes 3 and 4)

Participation evidence for non-assessable enrolments in the Course in Applied Vocational Study Skills (CAVVS) and Underpinning Skills for Industry Qualification (USIQ) programs must consist of an attendance roll and accompanying teacher's diary.

Completion evidence including RPL (reported enrolment outcome codes 1, 2, 6 and 7)

Completion evidence must be the document used to award the final grade for the selected UoC. It must be clear that the final assessment has taken place.

An example of completion evidence is an Assessment Summary document that includes a final grade of Competent or Not Competent for the UoC.

Evidence Guide

A guide to the various types of documentation accepted as proof of participation is provided below. In addition to the evidence requirements, all evidence types must include the Student's name, date and Unit code for the relevant unit of competency.

1 - Attendance - single Unit roll and group roll/clustered delivery

For delivery modes such as classroom based training the evidence must clearly demonstrate that the Student attended training in the correct UoC. Attendance rolls must be accompanied by a linked session plan that outlines the training activities delivered at the session relevant to the curriculum of the relevant Unit.

Example:

- Classroom attendance roll and accompanying session plan which demonstrates the Student was present for training in which learning activities were delivered relevant to the UoC.

Note:

Attendance in 'orientation' or similar type programs is not regarded as participation in any specific UoC/module for the purpose of the audit.

2 - Relevant tuition-related contact

Evidence of relevant tuition related Student contact with academic staff, clearly demonstrating the Student's participation in learning components within the curriculum framework of the UoC/module under audit consideration.

Example:

- Record of Student - academic staff discussions on a provider endorsed form. Notes must clearly indicate that the discussion centred on delivery/learning of the UoC/module competencies.

Note:

Discussion of general administrative matters, such as that conducted at 'induction' or 'orientation' sessions, is not accepted as proof of participation.

Discussion in relation to other UoC/module is not accepted as evidence for the UoC/module under audit consideration.

Dispatch or provision of assessment/assignment material by the provider to the Student is not accepted as evidence that participation has occurred in the associated training.

3 - Submission of work

Clearly demonstrated submission of work by the Student in the correct module/unit of competency enrolment.

Example:

- Workbook demonstrating Student participation in learning activities (not assessment activities) related to the correct unit of competence.

Note:

Submission of work should be used in support of the evidence types outlined in points 1 and 2. Further evidence may be required in addition to Student work.

Dispatch or provision of assessment/assignment material by the provider to the Student is not accepted as evidence that participation has occurred in the associated training.

4 - Online learning

Verified records of online interaction through a secure login clearly demonstrating the Student's participation in learning components within the curriculum framework of the UoC/module under audit/consideration.

Example:

- Records of on-line interaction establishing date, time, reasonable duration and extent of learning material covered.

Note:

Record of a single interaction that does not indicate reasonable interaction, or only demonstrates download of course material will not be accepted as evidence of participation.

Online learning should be used in support of the evidence types outlined in points 1 and 2. Further evidence may be required in addition to online learning.

In many cases, on-line learners are under the control of a tutor and there may be considerable contact with the tutor. The tutor will record this contact to assist in managing the Student's learning in the event of the tutor's unexpected departure. Records such as those described in point 2 above would also suffice.

5 – On-the-Job Training

Evidence of Student participation in on-the-job training, clearly demonstrating the Student's participation in learning components within elements of the subject under audit consideration.

Example:

- Record of Student - academic staff discussions that clearly indicate the discussions centred on delivery/learning of the subject competencies.

Note:

Evidence merely confirming that the Student is attending the workplace is not accepted as evidence that learning has occurred in the On-the-job environment.

6 - Final grade

Final grades are to be submitted as evidence of completion. This evidence must be the document used to award the final grade to the Student in the selected UoC.

Example:

- Assessment Summary document including a final grade of Competent or Not Competent for the UoC.

Verifiable Enrolment

In the event that circumstances prevent the provision of any of the primary recording documentation as detailed above, staff directly associated with the delivery that are authorised by the provider may be prepared to attest participation in the UoC/module enrolment in question. In all such cases, the staff member is required to submit and sign a statement affirming their evidence.

To result in a verifiable enrolment the national auditors are required to record two elements, certified by an appropriate staff member:

- a. A full explanation of the reasons why primary recording documentation is not available.
- b. A signed and dated statement containing a full explanation of the evidence being provided and affirmed. The national auditors will determine if the evidence provided is sufficient to substantiate the claim that the Student participated and thereby verify the enrolment.

It should be noted that a signed document merely stating that participation within the enrolment has occurred would not meet verification requirements.

Example: Fire/flood/natural disaster has destroyed the records.

Processes and documentation put in place solely to satisfy audit requirements and documentation completed after the event are not accepted as evidence of training and/or assessment. Documentation completed at the time and of use to the training provider in managing the Student's learning is required.

Notwithstanding the specific examples given, each case will be considered on its merits. The auditors will always base decisions on the overall spirit and purpose of the audit. Additional evidence may be requested and if requested will have to be provided by the Service Provider if further clarity on what training was delivered to Students or who delivered the training is required (i.e. RTO, employer or third party).

Appendix B - Business process & requirements for compulsory school age students in programs funded by the Department of Training and Workforce Development (DTWD) under a Notice of Arrangement or Exemption

1. BUSINESS PROCESS AND REQUIREMENTS

Following consultation with the Department of Education (DOE) and contracted RTOs a new business process has been developed for reporting and funding school aged students reported against publicly funded courses.

Attachment 1 provides a flow chart describing the process and sections below highlight the key business processes and requirements.

2. STUDENT ENROLMENT AND SUBMITTING FORMS

2.1 ENROLLING ELIGIBLE SCHOOL AGED STUDENTS

Young people of compulsory school age¹⁹ **must have a Notice of Arrangement (NOA) or Exemption approved by an authorised representative from DOE** to be eligible for funded training under one of the Department of Training and Workforce Development's (DTWD) Participation-Equity, Priority Industry Training (PIT) and non-school based pre-apprenticeship programs.

The procedures below must be followed:

- All students of compulsory school age who are seeking enrolment in a Participation-Equity Program need a referral from an approved [Participation referral agent](#).
- The process in Section 2.2 for obtaining an approved NOA Exemption must be followed.

2.2 OBTAINING COMPLETED NOA AND EXEMPTION FORMS

NOAs are for students in the **final two years of the compulsory education period** (i.e. in the birth date range of the typical Year 11 and 12 student).

Exemptions are for **all other students** in the compulsory education period.

*For students that require an **Exemption**:*

- The Exemption **must** be obtained before the student can be enrolled by the RTO. The Exemption **forms** are available from the [DOEs website \(www.det.wa.edu.au/participation\)](#) **along with an information sheet explaining the Exemption process**. Exemption forms for non-government schools must be **lodged with the relevant school for their input** before being submitted to the Director General of DOE and should be forwarded by mail to:

¹⁹ The compulsory education period for a child is determined in the *School Education Act (1999)* as either (i) the end of the year in which the child reaches the age of 17 years and 6 months; (ii) the child reaches the age of 18; or (iii) the child has achieved the minimum requirements for graduation from secondary school as determined under the *School Curriculum and Standards Authority Act 1997* – whichever happens first.

Department of Education
PO Box 1766
OSBORNE PARK WA 6916.

- The RTO must obtain from the student's parent or legal guardian a copy of the Certificate of Approval letter signed by an authorised DOE representative indicating that the Exemption has been approved.
- The RTO can then proceed with enrolling the student and commencing training.
- The RTO must email a copy of the Certificate of Approval letter to the DTWD's Training Markets section via Training.Markets@dtwd.wa.gov.au.

*For students that require an **NOA**:*

- The RTO can enrol the student and commence training prior to securing the parent/guardian signature on the NOA form.
- The RTO should aim to secure the student's parent /legal guardian signature on the NOA form either before or at the time of enrolment. If this is not possible, the RTO must obtain the signature as soon as possible after course commencement.
- The NOA **form** is available from the DOE's website (det.wa.edu.au/participation)
- RTOs must ensure all fields on these forms are complete and correct, including the parent/guardian signature.
- RTOs must promptly send the completed NOA form to the DOE's Participation Unit via e-mail (participation.co@education.wa.edu.au) and then the original mailed to:
Department of Education
151 Royal Street
EAST PERTH WA 6004
- RTOs will receive an email from the DOE's Participation Unit confirming receipt of the NOA

Note:

1. The legal guardian is to sign as the parent if the student is in State care.
2. For students who are full-time home schooled, parents/legal guardians will need to contact the [DOE Engagement and Transition Manager](#) for their region.
3. Advice and assistance to obtain parent/guardian signatures is available from:
 - [DOE Engagement and Transition Manager](#)
 - [Schools](#)
 - DOE's Participation Unit: det.wa.edu.au/participation or 1800 245 485
4. If after numerous attempts, the RTO is unable to secure the required parent/guardian signature for the NOA, contact the Participation Unit by email at participation.co@education.wa.edu.au.
5. NOAs cannot be approved by the DOE's Participation Unit:
 - if the form is incomplete;
 - if the student has already finished the course;
 - if the student's participation in the course is not confirmed in data provided by Training Markets to the Participation Unit
 - if the student is too young (refer to Exemptions) or no longer of compulsory school age.
6. DOE will notify RTOs where it is identified that the signature on the NOA is not the parent or legal guardian.
7. Further information about the roles and responsibilities of RTOs is available on the DOE's [website](#).
8. Further information about NOAs and Exemptions is available on the DOE's [website](#).

7.9 NOTIFICATION OF ANY CHANGES TO STUDENTS' ENROLMENT STATUS OR COURSE DETAILS

RTOs **must** notify the DOE's Participation Unit if there are any changes to a student's enrolment status or course start or end dates or if the student withdraws.

3. REPORTING STUDENT ENROLMENT/COMMENCEMENT TO DTWD (RAPT LODGEMENT)

3.1 UPLOADING STUDENT DETAILS ON RTO-NET

RTOs **must** upload student details on RTO-Net. Please refer to the Corporation's [Guide to reporting VET funded in Western Australia](#) for uploading RAPT *Student text files*.

3.2 UPLOADING STUDENT ENROLMENT DETAILS ON RTO-NET

RTOs **must** upload student enrolment details on RTO-Net for all units of competence of the course nominated on the NOA form submitted to DOE or the Exemption submitted to DTWD once the student has enrolled and/or commenced training.

Please refer to the Corporation's [Guide to reporting VET funded in Western Australia](#) for uploading *Enrolment text files*.

Although the student's initial enrolment details once lodged will appear with lodgement error **STUDBE-5**, it is important that RTOs list all the students under an NoA or Exemption. This error listing will form the basis of the monthly report that will be sent to DoE for their processing.

4. STUDENT COMMENCEMENTS REPORTED TO DOE

DTWD will provide DOE with a report each month that will list all school-aged students that have commenced training and are reported with a lodgement error of **STUDBE-5**.

This report will capture all students in training for the nominated month that are yet to have their NOA or Exemption approved by DOE and DTWD respectively. This report will be sent to DOE within the first week of the next month.

5. NOA APPROVAL NOTIFICATION FROM DOE

Upon receipt of the DTWD monthly report, DOE will compare the completed and accepted NOAs they have received from RTOs, parents or guardians with those students listed in the report.

DOE will notify DTWD fortnightly which of those students on the list have an approved NOA.

6. ACCEPTING NOAs AND EXEMPTIONS

NOAs will only be accepted and approved for funding²⁰ by DTWD's Training Markets if data provided by DoE's Participation Unit indicates that the NOA has been approved.

Exemptions will only be accepted and the student approved for funding based on a completed Certificate of Approval letter submitted by RTOs.

The **STUDBE-5** error will no longer appear if the NOA or Exemption arrangement has been accepted by DTWD's Training Markets.

Student course enrolment information that appears with error **STUDBE-5** indicates the NOA or Exemption form has not been accepted due to:

- An NOA form being received after the course is completed or the student has withdrawn
- an NOA form not approved by the Participation Unit; or
- an Exemption form not received or accepted by Training Markets; or
- sufficient time was not given for the Participation Unit to process and update the NOA report submitted to DTWD; or
- sufficient time was not given for DTWD's Training Markets to review and process the current NOA report from DOE.

RTOs can check if an NOA or Exemption arrangement has been approved through a RAPT lodgement i.e. the student will no longer appear as an error STUDBE-5.

Where a student continues to appear with error STUDBE-5 in a RAPT lodgement the RTO should investigate to ensure that the required paperwork has been submitted to DOE or DTWD as required.

7. CLAIMING FUNDING FOR TRAINING

RTOs must submit their monthly lodgement as normal. A draft lodgement that shows the student reported without error STUDBE-5 indicates that a student's NOA/Exemption arrangement has been accepted and the student is eligible for funding.

8. STUDENTS' TRAINING ARRANGEMENT UPDATES

RTOs must immediately notify DOE's Participation Unit if any of the following occurs:

- Student withdraws from the course prior to completion; or
- Student completes the course prior to the nominated end date of the course; or
- Intended course start or end date has changed.

DTWD will provide DOE with a quarterly report that will indicate the status of all students on an NOA or Exemption. DOE will use this report to monitor the progress of students (i.e. still in training, withdrawn or completed).

²⁰ Approval for funding is subject to all other funding/contractual conditions being met.

ADDITIONAL INFORMATION

- **ALTERNATIVES TO PARENT/GUARDIAN SIGNATURE**

Students who do not have any parents (including those whose whereabouts are unknown) or a legal guardian will need to speak with their school principal or the Engagement and Transition Manager at their regional [education office contact](#) so the signatory can be confirmed as either an independent minor or a responsible adult as defined by the *School Education Act 1999*.

- **STUDENTS COMMENCING A QUALIFICATION**

RTOs must obtain a NOA or Exemption for students commencing in any qualification.

- **STUDENTS ARTICULATING TO ANOTHER QUALIFICATION**

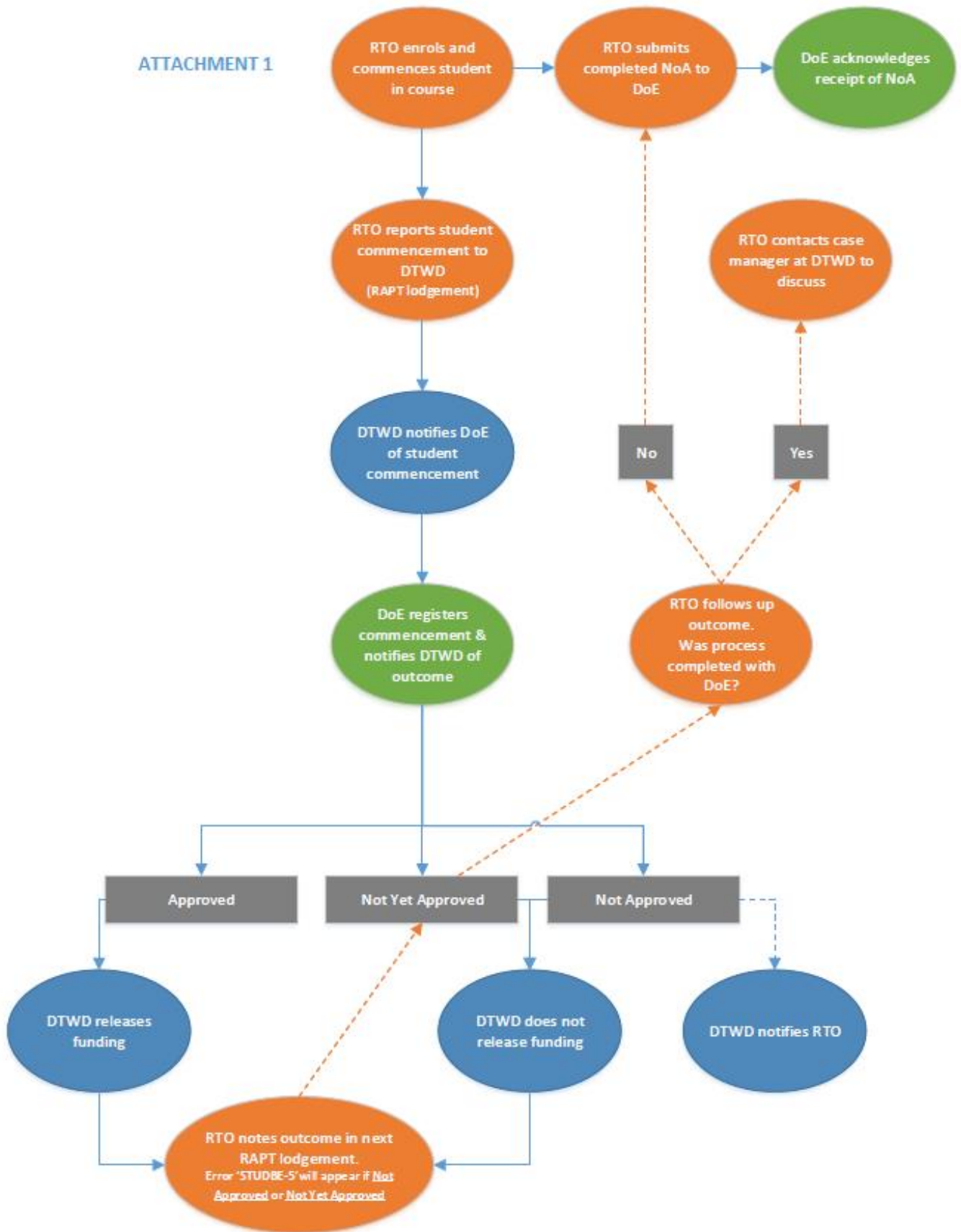
Students who progress from one qualification to another, with only term/semester breaks in between, and remain with the same RTO, do not need to complete a new NOA form. However, DOE is to be notified to ensure necessary amendments to course details listed on the original NOA can be recorded. Please note if DOE is not advised, the notice will be cancelled or rejected, requiring a new NOA to be lodged specifying the new course information.

Students that articulate to another qualification and the second qualification is undertaken with a different RTO will need to obtain a new NOA or Exemption form.

- **FEES AND CHARGES**

RTOs should refer to the current *Fees and Charges Policy* for concession requirements and fee conditions for secondary school-aged persons, not enrolled at school.

ATTACHMENT 1



Note: RAPT lodgements can be made with known errors relating to NoAs [STUDBE-5]. These will not be taken in to consideration when reviewing RTO performance.