



Australian Government

Department of Education, Employment and Workplace Relations

**Enterprise Based Productivity Places Program
(EBPPP)**

8 February 2010

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Branch Manager
Industry Engagement Branch
Department of Education, Employment and Workplace Relations
GPO Box 9880
CANBERRA ACT 2601

Guidelines Enterprise Based Productivity Places Program

8 February 2010

<p>1. Enterprise Based Productivity Places Program (EBPPP) – Overview</p>	<p>The Australian Government announced on 5 November 2009 that up to \$25 million will be provided during 2009-10 for an Enterprise Based Productivity Places Program (EBPPP) for existing workers. This program is expected to provide up to 11,000 new training places.</p> <p>The EBPPP forms part of the Productivity Places Program (PPP) under the Australian Government’s <i>Skilling Australia for the Future</i> policy.</p> <p>The EBPPP builds on the National Enterprise Trials held earlier in 2009. However, under EBPPP eligibility will be extended from large national enterprises to also include national professional associations and industry bodies, enterprises and businesses that operate across a number of states and, importantly, small and medium enterprises.</p> <p>The training will be at the Certificate III to Advanced Diploma level in a range of qualifications included in the Priority Occupations PPP List (POPPPL), consistent with the long term policy intent of PPP to up-skill the Australian workforce.</p> <p>The objective of the EBPPP is to assist individual enterprises increase their productivity as well as the skill levels and mobility of workers, by providing employees with opportunities to increase their qualification levels.</p> <p>The EBPPP was announced on 5 November 2009. To maximise the number of participating enterprises and the utilisation of available funding, proposals for funding may be submitted by Industry Skills Councils (ISCs) up until 28 May 2010 on a continuous basis, subject to the availability of funds. Applications deemed unsuccessful initially may be refined and resubmitted but they must reach the Department of Education, Employment and Workplace Relations (DEEWR) before 28 May 2010.</p> <p>All trainees participating in the EBPPP must commence training on or before 31 December 2010.</p> <p>The length of enterprise based training projects, and completion of training, will be dependent on the time required to gain the qualification sought.</p> <p>DEEWR reserves the right to make changes to these guidelines at its discretion at any time.</p>
<p>2. Definitions</p>	<p>Applicant means an organisation applying to be a PO.</p> <p>Participating Organisation (PO) means either an Enterprise or another eligible organisation. A PO may or may not be an RTO.</p> <p>Approved Project means an enterprise based training project approved by DEEWR.</p> <p>Eligible Qualification means a qualification which is included on the POPPPL and leads to an Australian Qualifications Framework vocational qualification.</p> <p>Enterprise means both profit and non-profit making organisations and government and non-government bodies, whether or not operating in more than one state/territory, and includes national professional associations and industry bodies.</p> <p>Existing Worker refers to someone who in the previous week worked for one hour or more for more than nominal financial remuneration, whether or not on a casual basis or as a self employed person.</p>

	<p>Funds means money provided by DEEWR to ISCs under the funding agreement between DEEWR and an ISC, including such money which is provided by ISCs to RTOs or Participating Organisations.</p> <p>RTO means a registered training organisation.</p> <p>POPPL means Priority Occupations for Productivity Places Program List.</p> <p>PPP means the Productivity Places Program.</p> <p>Program means the Enterprise Based Productivity Places Program.</p> <p>Trainee means a worker in a PO to whom training is provided under the Program.</p>
<p>3. Role of Industry Skills Councils (ISCs)</p>	<p>ISCs have a central coordination role in the EBPPP and will be required, if they wish to participate in the Program, to enter a funding agreement with DEEWR for the purpose of the Program.</p> <p>As part of this role ISCs will need to:</p> <ul style="list-style-type: none"> • develop a communication strategy designed to engage as broad a cross section of their constituents as possible in order to make them aware of EBPPP and the training opportunities it provides; <ul style="list-style-type: none"> ○ it is important that the ISC cast the net wide for proposals so that the applicants do not come from a small pool of known contacts; ○ the proposals should reflect the range of industries covered by the ISC as well as come from a cross section of the eligible enterprises/organisations; • call for proposals in their respective industry sectors; • assist organisations interested in participating to develop enterprise based training proposals, including costing and development of a project plan in line with these program guidelines¹; • consider the quality and a number of proposals to be submitted to DEEWR for inclusion in the program; • screen applications from potential POs prior to submission to DEEWR and work with organisations seeking to participate with the aim of developing proposals which meet program guidelines; • submit proposals to DEEWR for approval; • maintain regular communication with applicants regarding the outcome of their proposal; • cooperate with the successful applicants in accordance with their funding agreement with DEEWR; • assist in the selection of the Registered Training Organisations to deliver training required by a PO; • ensure that arrangements with POs and RTOs delivering training are underpinned by sufficient legal arrangements in accordance with their funding agreement with DEEWR; • disburse Funds to RTOs or POs in accordance with these guidelines and their funding agreement with DEEWR;

¹ Development of projects will involve identification of training needs which, in some instances, may require undertaking skills analyses or workforce development plans for enterprises seeking to participate. Before seeking funding in the EBPPP application for cost associated with such activities, ISCs should determine whether such work could be performed under their own workforce development programs and should endeavour to utilise any pre-existing material such as enterprise produced plans or skills analyses. The EBPPP aims to fund as many training places for existing workers as possible and any costs, if necessary, additional to the cost of actual training, will be carefully considered in the context of funding decisions.

	<ul style="list-style-type: none"> • ensure that agreements with RTOs and enterprises incorporate the need to gather relevant program data as required by DEEWR; • ensure that agreements with RTOs and enterprises provide for recovery of Funds not used in accordance with these Guidelines or their agreement with DEEWR; • report on the progress of Approved Projects in a manner and frequency agreed under the funding arrangements between ISCs and DEEWR; • provide feedback on issues and problems with the implementation of the Approved Projects and assist with managing risks; • undertake data collection as outlined in Section 14 below; • evaluate the Approved Projects including the number of participants, completions and withdrawals. The evaluation must also identify barriers to the take up and/or completion of EBPPP training and how these were addressed; • advise DEEWR immediately of any conflicts of interest which the ISC or a PO has, and of steps proposed to resolve these; • advise DEEWR immediately if a PO is unable to meet agreed training targets or to continue participation in the program; and • where this situation occurs, the ISC needs to immediately discuss the situation with DEEWR in relation to any unspent Funds and determine whether the amount remaining can be expended at an alternate enterprise in accordance with the EBPPP guidelines or via another course of action as preferred or agreed by DEEWR.
<p>4. Role of Registered Training Organisations (RTOs)</p>	<p>RTOs will deliver training required by enterprises participating in the EBPPP. All training under the EBPPP must be qualifications included in the POPPPL.</p> <p>RTOs delivering training under EBPPP may or may not be involved in delivering training as part of the PPP.</p> <p>Under EBPPP ISCs will be paying RTOs the Commonwealth contribution for the training in a three step process, following approval of each project by DEEWR (although in some circumstances, such as where an ISC and a PO have reached an appropriate agreement, Funding may also be paid by the ISC directly to a PO which will then pay the RTO).</p> <p>To receive Funds, RTOs must enter into a legally binding arrangement with the relevant ISC with regard to the Funds they are to receive for the training they would deliver under the EBPPP.</p> <p>The two progress payments (i.e. the payments at the half way and completion points of training described below in these guidelines) to RTOs will be subject to agreement from the PO whose employees are receiving the training that the training has been provided satisfactorily in accordance with the agreement with the ISC and the RTO.</p> <p>RTOs may explore, where necessary, a full range of flexible delivery options to ensure the needs of the enterprise and trainee are met. These options should include (but not be limited to):</p> <ul style="list-style-type: none"> • what training is delivered; • how the training is delivered; and • where the training is delivered. <p>RTOs will be required to maintain and manage records as outlined in Section 14 below and to provide data to ISCs on participants receiving training as set out in Attachment A.</p> <p>Data will be required to be provided to ISCs at commencement of training, biannually for the life of the training and again on completion of the training. ISCs will quality assure the data for all RTOs and provide it to DEEWR.</p>

<p>5.Payment arrangements</p>	<p>RTOs will be paid on the following basis:</p> <ul style="list-style-type: none"> • 40 percent of the Australian Government’s contribution of course costs for the total number of trainees who commence training; • 30 percent of the Australian Government’s contribution of course costs for the total number of continuing trainees to be paid half way through the expected duration of the training (trainees who have withdrawn before this point in time will not attract payment); and • 30 percent of the Australian Government’s contribution of course costs for the total number of completing trainees on completion of training by the last continuing trainee. <p>Where an ISC enters into an arrangement with a PO to directly provide it with the Australian Government’s contribution to the cost of the training delivery, the PO will be paid on the same basis as RTOs (whether the PO is an RTO or not), that is:</p> <ul style="list-style-type: none"> • 40 percent of the Australian Government’s contribution of course costs for the total number of trainees who commence training; • 30 percent of the Australian Government’s contribution of course costs for the total number of continuing trainees half way through the period of training; and • 30 percent of the Australian Government’s contribution of course costs for the total number of completing trainees on completion of training. <p>Payment arrangements in relation to the balance of the cost of the training between the Participating Organisation and the RTO delivering the training will be a matter for each Participating Organisation and their RTO.</p> <p>The amount of the Australian Government’s contribution will vary according to the number of employees at a PO as explained below in these guidelines.</p>
<p>6. Role of Participating Organisations</p>	<p>Organisations seeking to participate in EBPPP will need to work with the appropriate ISC to:</p> <ul style="list-style-type: none"> • develop an application which is compliant with these guidelines; • enter into a legally binding agreement with the ISC on the conduct of the EBPPP in their organisation; • demonstrate their capacity to participate in, and benefit from, the EBPPP; • engage a suitable RTO to implement Recognition of Prior Learning (RPL) processes, where appropriate, and to deliver the required training; • provide written advice to their ISC at the half way point of their Approved Project and on completion of the Approved Project about their satisfaction with the training delivered; and • report to the ISC on the impact of the training delivered under EBPPP on any changes to the productivity, performance, staff retention or any other relevant issues at the enterprise. <p>Participating Organisations which wish to have workers with pre-existing qualifications at the Certificate III to Advanced Diploma levels undertake training, will need to make a case to the relevant ISC for the inclusion of the individual trainee in the required course of training.</p>
<p>7. Funding Arrangements</p>	<p>The program is a partnership between POs, the ISC and the Australian Government. In that context, subject to the cost of the qualification not exceeding the amounts specified below in this section, the Government will fund up to:</p> <ul style="list-style-type: none"> • 50 per cent of the cost for training places for Existing Workers for POs with over 200 employees, with the POs contributing the remaining 50 per cent;

- 75 per cent of the cost for training places for Existing Workers for POs with between 100 and 199 employees, with the PO contributing the remaining 25 per cent; and
- 90 per cent of the cost for training places for existing workers for POs with less than 100 employees, with the PO contributing the remaining 10 per cent.

Overview of Funding Process

Funding will be provided by DEEWR to the ISC for Approved Projects as per approved enterprise based training proposals. Out of the funding received from DEEWR, ISCs or, in some instances a PO (i.e. where the ISC has an agreement to fund a PO directly), will pay RTOs for the cost of training to be delivered, as per approved proposals and agreement between the ISC, RTO and participating organisation.

The amount of funding that can be sought for individual enterprise based training proposals/projects, or for each ISC, has not been predetermined. However, projects are selected on merit, applying the criteria in *Application and selection process* below, with approval subject to the availability of Funds.

DEEWR will advise ISCs should Funds no longer be available.

In approving projects for funding DEEWR will aim to ensure that EBPPP training is spread equitably across all industry sectors.

The following steps will be involved in the funding process:

1. ISCs will submit to DEEWR their recommended enterprise based training proposals and projects, including the amount of funding required for each project.
2. DEEWR will consider the proposals according to these guidelines.
3. Selected proposals will be submitted to the Minister for Education for consideration of whether Funding will be provided.
4. DEEWR will advise ISC:
 - which enterprise based funding proposals/projects have been approved;
 - the amount of Funds for each Approved Project;
 - the total amount of funding to be paid by DEEWR to an ISC (which will be the total of funding for the approved proposals plus an administration fee calculated as per these guidelines).
5. DEEWR will enter into a funding agreement with the ISC. Details of payments and reporting requirements will be covered by the funding agreement.

The application for funding for each enterprise based training proposal will need to contain costing details for the project as outlined in the application form (Attachment B). The following information provides a guide to the funds that may be required for training delivery by RTOs.

Payments for training delivery must be consistent with the PPP as set out below:

Funding Ceiling

AQF level	Cost (average per qualification)
Certificate III	Up to \$5,000
Certificate IV	Up to \$5,000
Diploma / Ad Diploma	Up to \$10,000

Note that the Australian Government contribution will be the relevant percentage of the cost of the qualification (i.e. dependent on the size of the enterprise as set out at the beginning of this section).

ISC Administration Fee

ISCs will be paid an administration fee for their administration of the program. The fee will

	<p>be paid on a sliding scale as follows:</p> <ul style="list-style-type: none"> • Approved Projects where the PO has a total of fewer than 100 employees – 15 per cent of the government’s contribution to the project; • Approved Projects where the PO has a total of between 100 and 199 employees – 10 per cent of the government’s contribution to the project; and • Approved Projects where the PO has a total of over 200 employees – 5 per cent of the government’s contribution to the project. <p>A cap of \$150 000 will apply to the administration fee received by any single ISC over the course of the EBPPP.</p>
<p>8. Eligibility to apply and participate in the EBPPP</p>	<p>Eligibility of organisations to participate</p> <p>Organisations eligible to participate in the program include:</p> <ul style="list-style-type: none"> • Enterprises, provided they have the capacity to enter a contract; and • national professional associations and industry bodies provided they have the capacity to enter a contract. <p>National professional associations and industry bodies can access the EBPPP in the same manner as all other enterprises, whether or not as part of a consortium.</p> <p>Professional associations and industry bodies may submit an application to the relevant ISC to coordinate between smaller enterprises seeking to participate in the program. This approach is encouraged so that proposals meet localised training needs and once developed, should be taken forward to the relevant ISC.</p> <p>Professional associations and industry bodies may submit a proposal to an ISC on behalf of a consortium of enterprises, if their training needs are alike and if they consider it appropriate.</p> <p>The Department requires that each consortium appoint a lead member which is authorised to deal on behalf of all members of the consortium, and to enter into contracts which are binding on them. All consortium members, and the lead member, must be clearly identified in the application. The Department may subsequently require all consortia members to confirm in writing that the lead member has the authority to bind other members, in a form specified by the Department.</p> <p>Eligibility of individuals</p> <p>Through the EBPPP, training will be provided to existing workers (the Trainees). To be eligible for a training place, an individual worker must:</p> <ul style="list-style-type: none"> • be an Existing Worker at the participating organisation; • be willing to undertake training at the Certificate III to Advanced Diploma level; and • meet the criteria specified below. <p>If an individual does not meet the above criteria, he or she may be granted a waiver by DEEWR before enrolling at DEEWR’s absolute discretion.</p> <p>Organisations which wish to have workers with pre-existing qualifications at these levels or above undertake training, will need to make a case to the relevant ISC for the inclusion of the individual worker in the required course of training.</p> <p>Volunteers are not considered to be an existing worker and are not eligible to receive training under EBPPP.</p> <p>Criteria for Existing Workers to be eligible for a training place under the EBPPP – Existing Workers must meet each of the following criteria:</p>

	<p>1 – Residency, that is the trainee must be:</p> <ul style="list-style-type: none"> • an Australian citizen; • a permanent resident of Australia; or • a humanitarian refugee. <p>2 – Working Age A trainee must be aged 15 years or above.</p> <p>3 – Trainee Status A Trainee must be:</p> <ul style="list-style-type: none"> • an Existing Worker. <p>4 – Training Pre-requisites A PO must be satisfied an Existing Worker meets enrolment requirements including literacy and numeracy assessments to ensure the Existing Worker has the ability to effectively undertake the qualification.</p> <p>5 – Licensing Requirements To the degree possible, RTOs and ISCs must check that Existing Workers can meet licensing requirements (for relevant qualifications) prior to participating in training under the EBPPP. DEEWR recognises that some requirements e.g. applicants health; meeting fit and proper person tests (e.g. police checks), etc. - cannot be assessed by RTOs and ISCs, but intending participants should be made aware of all licensing requirements prior to enrolment and the consequences of a negative licence prerequisite assessment.</p>
<p>9. Application and selection process</p>	<p>Applying for funding Application for funding under the EBPPP is a two-stage process:</p> <p>Stage 1. eligible enterprises and organisations apply/submit enterprise based training proposals/projects to a relevant ISC;</p> <p>Stage 2. ISCs submit recommended enterprise based training proposals/projects for approval and funding to DEEWR.</p> <p>Applications from ISCs to DEEWR must be sent in hard copy to the following address:</p> <p>Branch Manager Industry Engagement Branch DEEWR (C16MT5) GPO Box 9880 CANBERRA ACT 2601</p> <p>Stage 1 All applications must be submitted to the relevant ISC. ISCs will assist interested organisations in developing projects/proposals. ISCs applying to participate must use the DEEWR developed application form (Attachment B) to ensure that all required information is provided. This will facilitate an easier application and assessment process at Stage 2. ISCs should add their contact details, address and logo to the form.</p> <p>Stage 2 Applications from ISCs to DEEWR must include:</p>

- a fully completed DEEWR application form (**Attachment B**). There should be one application form per PO or consortium;
- an application for each enterprise which provides a detailed costing of the proposal. This will include a clearly specified amount of funding requested from the Australian Government for each proposal, information on cost per trainee for delivery of the training, cost of training needs analysis (if necessary), amount of funds being contributed by the enterprise and the ISC administration fee; and
- a covering sheet listing all individual applications recommended for funding and the cost of each application, as well as the total amount of funding required by the ISC.

(NB: EBPPP funding is to be focussed on actual training delivery and any other costs, for example a training needs analysis, are to be kept to a minimum).

ISC should work with enterprises to ensure quality applications.

Project selection and approval

The following steps will be involved in the project selection and approval process:

1. ISCs receive applications and consider them having regard to these guidelines;
2. ISCs submit recommended projects (applications for funding) to DEEWR;
3. DEEWR convenes an internal Selection Panel to review applications and make recommendations to the Minister for Education;
4. Minister for Education approves or declines applications for funding.
5. DEEWR advises relevant ISC.
6. ISCs advise enterprises on the outcomes of their applications.

In considering individual enterprise based training proposals and projects lodged by ISCs, and in making recommendations to the Minister, the DEEWR Selection Panel will consider the following criteria:

- whether the qualification(s) to which the proposed project relates is included on the POPPPL;
- level of qualification proposed to be delivered is consistent with these Guidelines;
- the extent to which the application demonstrates that a proposed PO has undertaken a training needs analysis or has a workforce development plan in place;
- capacity of the PO(s) and its employees to benefit from the proposed project;
- whether any of the RTOs proposed to deliver the training have had significant deficiencies in performance of any substantive requirement or obligation under a prior contract with the Department;
- capacity of the ISC and proposed PO(s) to implement the proposed project;
- spread of applications across industry sectors at the time of assessment of the application;
- spread of applications across various enterprise sizes at the time of application;
- equitable distribution of available EBPPP funds at the time of application; and
- value for money including cost of delivery of training per qualification.

DEEWR plans to have two main rounds of approval decisions – the first one in February 2010 and, subject to availability of Funds, the second in late May/early June 2010. ISCs will be advised of the closing date for applications for the first round. Applications submitted after this date will not be considered in the first round. It is expected that the closing date for the second round will be 28 May 2010 and late applications will not be considered. In addition, DEEWR may invite applications to be submitted by other dates at its discretion.

If an application is not successful in the first round, it may be developed further and resubmitted by the closing date for the second round.

<p>10. Recognition of Prior Learning</p>	<p>Any Recognition of Prior Learning (RPL) process should identify the skill gaps of a trainee and enable training to be targeted to filling those gaps.</p> <p>Trainees may have gained prior skills through informal or formal training, experience in the workplace, voluntary work, or social or domestic activities. Whole or part qualifications can be awarded to students on the basis of these skills without further study.</p> <p>RTOs delivering training under the EBPPP must offer and, if appropriate or requested, undertake RPL assessment for each participant in the program.</p> <p>RTOs must maintain detailed records of this assessment as part of the Trainee's file. RPL can be a lengthy process and may not be completed at enrolment. RPL must be completed prior to the course commencement date, and the Trainee's records must be updated prior to this date.</p> <p>Where Trainees have undertaken an RPL assessment and their current competencies have been recognised for some or all components of their study, they will be considered to have enrolled in the full eligible qualification. DEEWR will provide the full cost of the eligible qualification as payment for the RPL assessment and the balance of the eligible qualification costs.</p>
<p>11. Credit Transfer</p>	<p>Credit Transfer occurs where a Trainee has previously completed some units of an eligible qualification but not the full qualification.</p> <p>If a Trainee is entitled to a credit transfer in an eligible qualification, DEEWR will provide an amount, in accordance with these Guidelines, to cover the approved costs of the remaining units required to complete the eligible qualification but not the full qualification. The percentage of the qualification already completed by Trainees should be notified to DEEWR by the ISC before the funding application is submitted to DEEWR so that the appropriate percentage of costs for required training can be established and funded appropriately. The funding to the ISC to support the training for this individual will be reduced accordingly.</p> <p>Payments for commencement, mid-point and completion milestones will be paid on a pro-rata basis for the remaining percentage of the qualification to be delivered. RTOs must maintain detailed records of the credit transfer assessment as part of the Trainee's file.</p> <p>The "Pro Rata Adjustment for Credit Transfer" will be calculated by multiplying the qualification cost by the percentage of the qualification already completed.</p> <p>Example: If the qualification cost was \$100 and the Eligible Participant was given credit transfer of units equalling 50 per cent of the Eligible Qualification (a decimal percentage of 0.50), then the reduced qualification cost payable by DEEWR to the approved organisation via the ISC would be:</p> $\$100 - (\$100 \times 0.50) = \$50.$ <p>NB: the level of qualification cost payable by DEEWR is dependent on the number of employees in the PO – see Section 7 of these Guidelines.</p>
<p>12. What are the eligible qualifications?</p>	<p>Qualifications eligible for funding under the EBPPP are those included on the POPPPL, which can be found on the PPP website at http://www.deewr.gov.au/Skills/ProductivityPlaces/Resources/Pages/DiscussionPaper.aspx</p> <p>Eligible qualifications have been identified by DEEWR to meet identified or expected skill shortages in the Australian workforce.</p> <p>DEEWR will approve eligible qualifications for the program that:</p>

	<ul style="list-style-type: none"> • appear on the National Training Information Service (NTIS) database (at www.ntis.gov.au) and lead to an Australian Qualifications Framework vocational qualification; and • lead to skills which are in industry demand and are listed on the POPPPL. <p>DEEWR reserves the right to determine which vocational qualifications will be eligible for the program and may revoke approval at its discretion if the eligible qualification no longer meets the criteria for approval.</p> <p>Training places will only be allocated for enrolments that result in an Australian Qualifications Framework vocational qualification in an area of industry demand.</p> <p>POPPPL and additions of qualifications under the EBPPP</p> <p>The POPPPL has been developed from labour market research including analysis of advertised job vacancies and employer surveys, and input from industry via ISC. In the current phase of the PPP, states and territories continue to utilise the POPPPL, making changes based on localised industries and their skill shortages.</p> <p>If a qualification is not included on the POPPPL, but should be according to the industry or ISC's, an application for inclusion should be made to DEEWR as per the process outlined below.</p> <p>Applying to add a qualification to the POPPPL</p> <ul style="list-style-type: none"> • the application to add a qualification to the POPPPL should be included with the application for funding, with responsibility for providing the evidence supporting inclusion of a qualification on the POPPPL resting with the ISC; • qualifications may be included on the POPPPL if there is both qualitative and quantitative evidence of a demonstrated need and a skills gap; and • ISCs must also provide evidence that the relevant state and territory government agrees that there is a need to provide training in that local area. <p>Decisions on the addition of qualifications to the POPPPL will be provided with the decision on the outcome of the application.</p>
<p>13. Exit from Eligible Qualification prior to completion</p>	<p>Where a participant exits a course prior to completion, they will not be able to enrol in another course as part of the EBPPP.</p> <p>Where exceptional circumstances exist, the participating enterprise may seek a waiver from DEEWR which would allow a participant to enrol in another course. Each decision will be dependant on the circumstances of the individual worker and at DEEWRs absolute discretion. Examples may include:</p> <ul style="list-style-type: none"> • the participant's personal circumstances change to the extent that they cannot continue training in the chosen qualification and/or at the participating enterprise; • the chosen qualification is cancelled or the participating enterprise is unable to continue delivery of the training; and • enrolment in another course after successful completion or concurrent/dual enrolments.
<p>14. Records Management</p>	<p>ISCs must ensure that RTOs maintain paper records of information collected from, and provided to, all participants, including a separate file for each participant who is issued with a Confirmation of Enrolment. Files must include, but need not be limited to:</p>

	<ul style="list-style-type: none"> • proof of the participant’s identity and eligibility; • a detailed record of any literacy/numeracy assessment; • a detailed record of any RPL assessment; • a detailed record of any Credit Transfer; • detailed records of any waiver requests/approvals; • evidence of why a participant has withdrawn, e.g. a letter/ email from participant confirming withdrawal; and • other documents set out in the Guidelines or as directed by DEEWR from time to time. <p>Where a commencement payment has been claimed, the ISC must ensure that the RTO is not paid unless RTO must be able to provide evidence of the client’s participation in training i.e. assessments and attendance records.</p> <p>Where a midpoint payment has been claimed, evidence of reaching the midpoint must be kept on the participant’s file.</p> <p>Where a completion payment has been claimed, evidence of completion must be kept on the participant’s file. This must be a copy of the participant’s certificate or diploma and the competency assessment summary for the full qualification.</p> <p>The RTO will need to retain these records for a minimum period of 7 years and make them available for inspection by DEEWR officers upon request.</p> <p>Data Collection</p> <p>As specified in these guidelines and as set out at Attachment A, ISCs must submit data to DEEWR on the training activity funded under the program. The data must be provided in the format set out in Attachment A.</p> <p>Data is to be supplied at commencement of training and then at six monthly intervals for the life of the training with a final report at completion. This final report should be submitted with the final claim for payment.</p>
<p>15. Performance Management Framework and Performance Reporting</p>	<p>DEEWR is responsible, on behalf of the Australian Government, for ensuring that funding provided under funding agreements has been spent in accordance with those agreements, and for taking action to manage underperformance when required. Details will be covered by a funding agreement between DEEWR and the ISC, however a key aspect of the reporting will include measuring the impact of the EBPPP in relation to:</p> <ul style="list-style-type: none"> • increasing industry skill levels; and • meeting the needs of individual enterprises. <p>It is expected that in the final report for each Approved Project ISCs will comment on the impact of the EBPPP in relation to reducing industry skill shortages, promoting the benefits of work force development planning and productivity gains for the enterprise or the industry sector more generally.</p> <p>Performance reporting will be required at key points during the life of each project in relation to progress of training and satisfaction of both enterprise and trainees.</p> <p>DEEWR will monitor RPL, completions and withdrawals.</p>

<p>16. Performance Monitoring</p>	<p>ISCs are responsible to DEEWR for meeting their contractual requirements under their EBPPP funding agreement with DEEWR.</p> <p>Monitoring provides the opportunity for the ISC to learn from the process and to improve performance using that information. The objectives of funding agreement monitoring are to:</p> <ul style="list-style-type: none"> • ensure that the ISC is meeting its contractual responsibilities; • identify policy and delivery issues early; • develop remedial management strategies to assist the ISC to achieve required program objectives; and • protect Australian Government funds to ensure these are used appropriately. <p>During the contract period, DEEWR will undertake performance monitoring in relation to EBPPP and this may include:</p> <ul style="list-style-type: none"> • on-site monitoring; • targeted monitoring; • system monitoring; and • desk-top monitoring.
<p>17. Program Evaluation</p>	<p>The program will be evaluated by DEEWR against the objectives of individual projects and the EBPPP more generally. Reporting requirements of the contract will include review of the results of the ISC evaluation outlined under Industry Skills Council Role above.</p>
<p>18. Legislative Requirements</p>	<p>Commonwealth agencies, including DEEWR, are subject to Acts which prohibit discriminatory practices:</p> <ul style="list-style-type: none"> • <i>Racial Discrimination Act 1975</i>; • <i>Sex Discrimination Act 1984</i>; • <i>Disability Discrimination Act 1992</i>; and • <i>Human Rights and Equal Opportunity Commission Act 1986</i>. <p>DEEWR has a legal responsibility to ensure its participants receive assistance in an environment free from discrimination and must ensure that approved organisations are aware of, and comply with, anti-discrimination legislation.</p> <p>Commonwealth agencies, including DEEWR, are also subject to the following Acts:</p> <ul style="list-style-type: none"> • <i>Freedom of Information Act 1982</i> • <i>Privacy Act 1988</i> • <i>Ombudsman Act 1976</i> <p>The effect of these Acts on the administration of the EBPPP is discussed further at clauses 18 to 20.</p> <p>Working with Children</p> <p>All personnel at POs who are working with children as part of the program are required to undergo an Australian Federal Police (AFP) National Police Check that provides full disclosure of any charges or convictions (an AFP check). Information on the National Police Check is at http://www.afp.gov.au/business/national_police_checks.</p> <p>In addition, POs must comply with any relevant state or territory legislation requiring screening for persons who work with children.</p>

<p>19. Contact details</p>	<p>Industry Skills Councils should use their DEEWR Industry Liaison Officer as a first point of contact.</p> <p>RTOs should address all enquiries to the relevant ISC. Contact details for ISCs are available at: http://www.isc.org.au/</p> <p>For more information about EBPPP see http://www.deewr.gov.au/Skills/ProductivityPlaces</p> <p>If Trainees wish to speak to DEEWR regarding the program, they should be referred to the <i>Skilling Australia for the Future</i> Hotline (13 38 73) or to the Enterprise Based Productivity Places Program Inbox at productivityplaces@deewr.gov.au.</p>
<p>20. Privacy Act</p>	<p>The Department is bound, in administering the Enterprise Based Productivity Places Program (EBPPP) by the provisions of the <i>Privacy Act 1988</i> (the Privacy Act). Section 14 of the Privacy Act contains the Information Privacy Principles (IPPs) (a copy is provided at Attachment C), which prescribe the rules for handling personal information.</p> <p>ISCs receiving funds from the Department under the EBPPP must abide by the IPPs and the Privacy Act when handling personal information collected for the purposes of that program. ISCs must also ensure that RTOs abide by the IPPs and the Privacy Act when handling personal information for the purpose of the EBPPP.</p> <p>ISCs must further ensure that IPP2 notices in the form specified by the Department are used by the RTOs when collecting the personal information so that the Department can have access to that information and use it for the purposes intended by the Department. The Department will notify the required form of the IPP2 notice to the ISCs.</p> <p>Complaints about breaches of privacy should be referred to:</p> <p>Privacy Contact Officer Administrative Law Branch, Legal, Investigations and Procurement Group DEEWR C148CW2 GPO Box 9880 CANBERRA ACT 2601</p> <p>Privacy complaints can be made directly to the Federal Privacy Commissioner however the Federal Privacy Commissioner will generally prefer that the Department be given an opportunity to deal with the complaint in the first instance.</p> <p>ISCs and RTOs should seek their own independent advice regarding queries about the application of the Privacy Act to their activities.</p>
<p>21. Complaints Handling Process</p>	<p>Any person may lodge a complaint or provide feedback directly to DEEWR in relation to the EBPPP. Any person wishing to lodge a complaint or provide feedback should contact DEEWR's free-call number: 13 38 73.</p> <p>DEEWR will aim to resolve a complaint within 30 days of its receipt. Where it is not possible to resolve a complaint within 30 days, concerned parties will be kept informed of progress. DEEWR may be required to contact EBPPP funding recipients, students, employers or other relevant parties in investigating a complaint.</p>

	<p>Where a complaint involves an allegation of fraud, criminal activity or the misappropriation of EBPPP funds, the matter must be reported directly to the Contract Manager.</p> <p>Branch Manager Industry Engagement Branch DEEWR (C16MT5) GPO Box 9880 CANBERRA ACT 2601</p> <p>If an EBPPP applicant or recipient, or any person, is dissatisfied with the administration of EBPPP they can raise their concerns with the Commonwealth Ombudsman. The Ombudsman will generally prefer that the Department be given an opportunity to deal with the complaint in the first instance.</p>
<p>22. Freedom of Information</p>	<p>All documents in the possession of the Department including those in relation to the EBPPP are subject to the <i>Freedom of Information Act 1982</i> (“FOI Act”). Decisions regarding requests for access under the FOI Act will be made by an authorised decision-maker in accordance with the requirements of the FOI Act.</p> <p>The FOI Act creates a general right of access to documents in the possession of the Department and this right of access is limited only by the exceptions and exemptions necessary for the protection of essential public interests and the private and business affairs of persons in respect of whom the information relates.</p> <p>To the extent required by the FOI Act, where documents captured by a request contain personal information or relate to the business, commercial or financial affairs of third parties, the decision-maker will consult with individuals affected prior to making any decision on access to such documents.</p> <p>All FOI requests are to be referred to the FOI Coordinator, Administrative Law Branch, Legal, Investigations and Procurement Group, in DEEWR’s National Office.</p> <p>By Post:</p> <p>FOI Coordinator Legal, Investigations and Procurement Group DEEWR C148CW2 GPO Box 9880 CANBERRA ACT 2601</p> <p>By Email:</p> <p>foi@deewr.gov.au</p> <p>For information on making a request for access to documents in the possession of the Department under the FOI Act please see:</p> <p>http://www.deewr.gov.au/Department/Pages/FreedomofInformation.aspx</p>

Attachment A**Data Fields Required by the Australian Government For Enterprise Based Productivity Places Program**

Column Number	Column Name	Column Name Description
1	Student Identifier	Unique student identifier number.
2	Participant Type	A code to represent the enrolment type of the participant (e.g. J = Jobseeker and W = Existing Worker) to be derived from existing AVETMISS 'Labour Force Identifier Status'.
3	Course Qualification	The NTIS Identifier of the course qualification being undertaken.
4	Training Organisation	The NTIS number of the RTO. Field will be used to identify the RTO, including address details.
5	Commencement	The commencement date of first course unit enrolment.
6	Status	The status code relates to status of the overall enrolment (e.g. COM - Completes Training).
7	Status Date	Date of effect of the status milestone identified in Column 6.
8	Referral Pathway	A code to represent the referral pathway for the enrolment particularly centred on ISCs, professional associations and industry bodies.
9	Student Locality	Student's residential suburb or town.
10	Student Postcode	Student's residential postcode.
11	Gender	Student's gender 'Male' or 'Female' represented by 'M' or 'F'.
12	Date of Birth	Student's Birth Date.
13	Indigenous	Indigenous Status as self-identified by the student.
14	Disabled	Disabled Identifier indicates if the student has a disability (e.g. 'Y' indicates a disability).

15	Non English Speaking	Non English Speaking Identifier to indicate if English is not the main language spoken at home (e.g. 'Y' non English Speaking Background).
16	Recognised Prior Learning	The percentage of recognised prior learning credit for this qualification commencement.
17	Credit Transfer	The percentage credit for this qualification which has been transferred at commencement.

Attachment B

DEEWR use only

Application No:

APPLICATION FORM TO BE USED BY ISCs WHEN APPLYING TO DEEWR**ENTERPRISE BASED PRODUCTIVITY PLACES PROGRAM**

ISC	
ISC contact officer	
Address of ISC	
Email & Telephone for ISC contact officer	
Participating Organisation	Details
Industry Sector	
List organisation(s) whose employees will receive training	
Please indicate if application is from a consortium	
If application is from a consortium, please give details of the lead organisation	
Address	
Company contact officer	
For each organisation whose employees will receive training under the program, indicate the total number of employees	
Workforce development	<input type="checkbox"/> Yes <input type="checkbox"/> No

plan/training or skills analysis completed?	
Location of training	
For each organisation whose employees will receive training under the program, indicate the total number of trainees	
Level of qualifications to be delivered	
Expected dates of commencement and completion of training	
Rationale for training proposal (i.e. description of needs & benefits of proposed training, and capacity of the organisation to benefit from and implement the proposed project(s))	
Registered Training Organisation(s) which it is proposed will deliver the training	
Address of RTO	
Contact person in RTO	
Statement of organisation's commitment to funding model (see example at next page)	<input type="checkbox"/> Attached <input type="checkbox"/> Not Attached

Cost of training per trainee	
Amount of funding for training sought including details of the amount sought from the Australian Government, the amount to be contributed by the enterprise and the administration amount sought by the ISC	
Total funding for training proposal	

EXAMPLE - Statement of organisation's commitment to funding model

I declare that:

This application has been endorsed by the CEO or equivalent of the organisation and /or consortium that forms part of this application. If my organisation is applying on behalf of a consortium, that all parties have agreed to the submitted application.

Information provided in this application is true and correct, and I understand the financial commitment that participation in the EBPPP places on the participating organisation and /or consortium. I understand that should any new information arise (which may affect the outcome of the application) it must be submitted as soon as possible, in writing to the ISC.

Signed

Name

Position

Organisation.....

Date

INFORMATION PRIVACY PRINCIPLES

PRIVACY ACT 1988 - SECT 14

Information Privacy Principles

The [Information Privacy Principles](#) are as follows:

Information Privacy Principles

Principle 1

Manner and purpose of collection of [personal information](#)

1. [Personal information](#) shall not be collected by a collector for inclusion in a [record](#) or in a [generally available publication](#) unless:

(a) the information is collected for a purpose that is a lawful purpose directly related to a function or activity of the collector; and

(b) the collection of the information is necessary for or directly related to that purpose.

2. [Personal information](#) shall not be collected by a collector by unlawful or unfair means.

Principle 2

Solicitation of [personal information](#) from [individual concerned](#)

Where:

(a) a collector collects [personal information](#) for inclusion in a [record](#) or in a [generally available publication](#); and

(b) the information is [solicited](#) by the collector from the [individual concerned](#);

the collector shall take such steps (if any) as are, in the circumstances, reasonable to ensure that, before the information is collected or, if that is not practicable, as soon as practicable after the information is collected, the [individual concerned](#) is generally aware of:

(c) the purpose for which the information is being collected;

(d) if the collection of the information is authorised or required by or under law--the fact that the collection of the information is so authorised or required; and

(e) any person to whom, or any body or [agency](#) to which, it is the collector's usual practice to disclose [personal information](#) of the kind so collected, and (if known by the collector) any person to whom, or any body or [agency](#) to which, it is the usual practice of that first-mentioned person, body or [agency](#) to pass on that information.

Principle 3

[Solicitation](#) of [personal information](#) generally

Where:

(a) a collector collects [personal information](#) for inclusion in a [record](#) or in a [generally available publication](#); and

(b) the information is [solicited](#) by the collector;

the collector shall take such steps (if any) as are, in the circumstances, reasonable to ensure that, having regard to the purpose for which the information is collected:

(c) the information collected is relevant to that purpose and is up to date and complete; and

(d) the collection of the information does not intrude to an unreasonable extent upon the personal affairs of the [individual concerned](#).

Principle 4

Storage and security of [personal information](#)

A [record](#)-keeper who has possession or control of a [record](#) that contains [personal information](#) shall ensure:

(a) that the [record](#) is protected, by such security safeguards as it is reasonable in the circumstances to take, against loss, against unauthorised access, use, modification or disclosure, and against other misuse; and

(b) that if it is necessary for the [record](#) to be given to a person in connection with the provision of a service to the [record](#)-keeper, everything reasonably within the power of the [record](#)-keeper is done to prevent unauthorised use or disclosure of information contained in the [record](#).

Principle 5

Information relating to [records](#) kept by [record](#)-keeper

1. A [record](#)-keeper who has possession or control of [records](#) that contain [personal information](#) shall, subject to clause 2 of this Principle, take such steps as are, in the circumstances, reasonable to enable any person to ascertain:

(a) whether the [record](#)-keeper has possession or control of any [records](#) that contain [personal information](#); and

(b) if the [record](#)-keeper has possession or control of a [record](#) that contains such information:

(i) the nature of that information;

(ii) the main purposes for which that information is used; and

(iii) the steps that the person should take if the person wishes to obtain access to the [record](#).

2. A [record](#)-keeper is not required under clause 1 of this Principle to give a person information if the [record](#)-keeper is required or authorised to refuse to give that information to the person under the applicable provisions of any law of the Commonwealth that provides for access by persons to documents.

3. A [record](#)-keeper shall maintain a [record](#) setting out:

(a) the nature of the [records](#) of [personal information](#) kept by or on behalf of the [record](#)-keeper;

(b) the purpose for which each type of [record](#) is kept;

(c) the classes of [individuals](#) about whom [records](#) are kept;

(d) the period for which each type of [record](#) is kept;

(e) the persons who are entitled to have access to [personal information](#) contained in the [records](#) and the conditions under which they are entitled to have that access; and

(f) the steps that should be taken by persons wishing to obtain access to that information.

4. A [record](#)-keeper shall:

(a) make the [record](#) maintained under clause 3 of this Principle available for inspection by [members](#) of the public; and

(b) give the Commissioner, in the month of June in each year, a copy of the [record](#) so maintained.

Principle 6

Access to records containing personal information

Where a record-keeper has possession or control of a record that contains personal information, the individual concerned shall be entitled to have access to that record, except to the extent that the record-keeper is required or authorised to refuse to provide the individual with access to that record under the applicable provisions of any law of the Commonwealth that provides for access by persons to documents.

Principle 7

Alteration of records containing personal information

1. A record-keeper who has possession or control of a record that contains personal information shall take such steps (if any), by way of making appropriate corrections, deletions and additions as are, in the circumstances, reasonable to ensure that the record:

(a) is accurate; and

(b) is, having regard to the purpose for which the information was collected or is to be used and to any purpose that is directly related to that purpose, relevant, up to date, complete and not misleading.

2. The obligation imposed on a record-keeper by clause 1 is subject to any applicable limitation in a law of the Commonwealth that provides a right to require the correction or amendment of documents.

3. Where:

(a) the record-keeper of a record containing personal information is not willing to amend that record, by making a correction, deletion or addition, in accordance with a request by the individual concerned; and

(b) no decision or recommendation to the effect that the record should be amended wholly or partly in accordance with that request has been made under the applicable provisions of a law of the Commonwealth;

the record-keeper shall, if so requested by the individual concerned, take such steps (if any) as are reasonable in the circumstances to attach to the record any statement provided by that individual of the correction, deletion or addition sought.

Principle 8

Record-keeper to check accuracy etc. of personal information before use

A record-keeper who has possession or control of a record that contains personal information shall not use that information without taking such steps (if any) as are, in the circumstances, reasonable to ensure that, having regard to the purpose for which the information is proposed to be used, the information is accurate, up to date and complete.

Principle 9

Personal information to be used only for relevant purposes

A record-keeper who has possession or control of a record that contains personal information shall not use the information except for a purpose to which the information is relevant.

Principle 10

Limits on use of personal information

1. A record-keeper who has possession or control of a record that contains personal information that was obtained for a particular purpose shall not use the information for any other purpose unless:
 - (a) the individual concerned has consented to use of the information for that other purpose;
 - (b) the record-keeper believes on reasonable grounds that use of the information for that other purpose is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or another person;
 - (c) use of the information for that other purpose is required or authorised by or under law;
 - (d) use of the information for that other purpose is reasonably necessary for enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue; or
 - (e) the purpose for which the information is used is directly related to the purpose for which the information was obtained.
2. Where personal information is used for enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue, the record-keeper shall include in the record containing that information a note of that use.

Principle 11

Limits on disclosure of personal information

1. A record-keeper who has possession or control of a record that contains personal information shall not disclose the information to a person, body or agency (other than the individual concerned) unless:
 - (a) the individual concerned is reasonably likely to have been aware, or made aware under Principle 2, that information of that kind is usually passed to that person, body or agency;
 - (b) the individual concerned has consented to the disclosure;
 - (c) the record-keeper believes on reasonable grounds that the disclosure is necessary to prevent or lessen a serious and imminent threat to the life or health of the individual concerned or of another person;
 - (d) the disclosure is required or authorised by or under law; or
 - (e) the disclosure is reasonably necessary for the enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the protection of the public revenue.
2. Where personal information is disclosed for the purposes of enforcement of the criminal law or of a law imposing a pecuniary penalty, or for the purpose of the protection of the public revenue, the record-keeper shall include in the record containing that information a note of the disclosure.
3. A person, body or agency to whom personal information is disclosed under clause 1 of this Principle shall not use or disclose the information for a purpose other than the purpose for which the information was given to the person, body or agency.