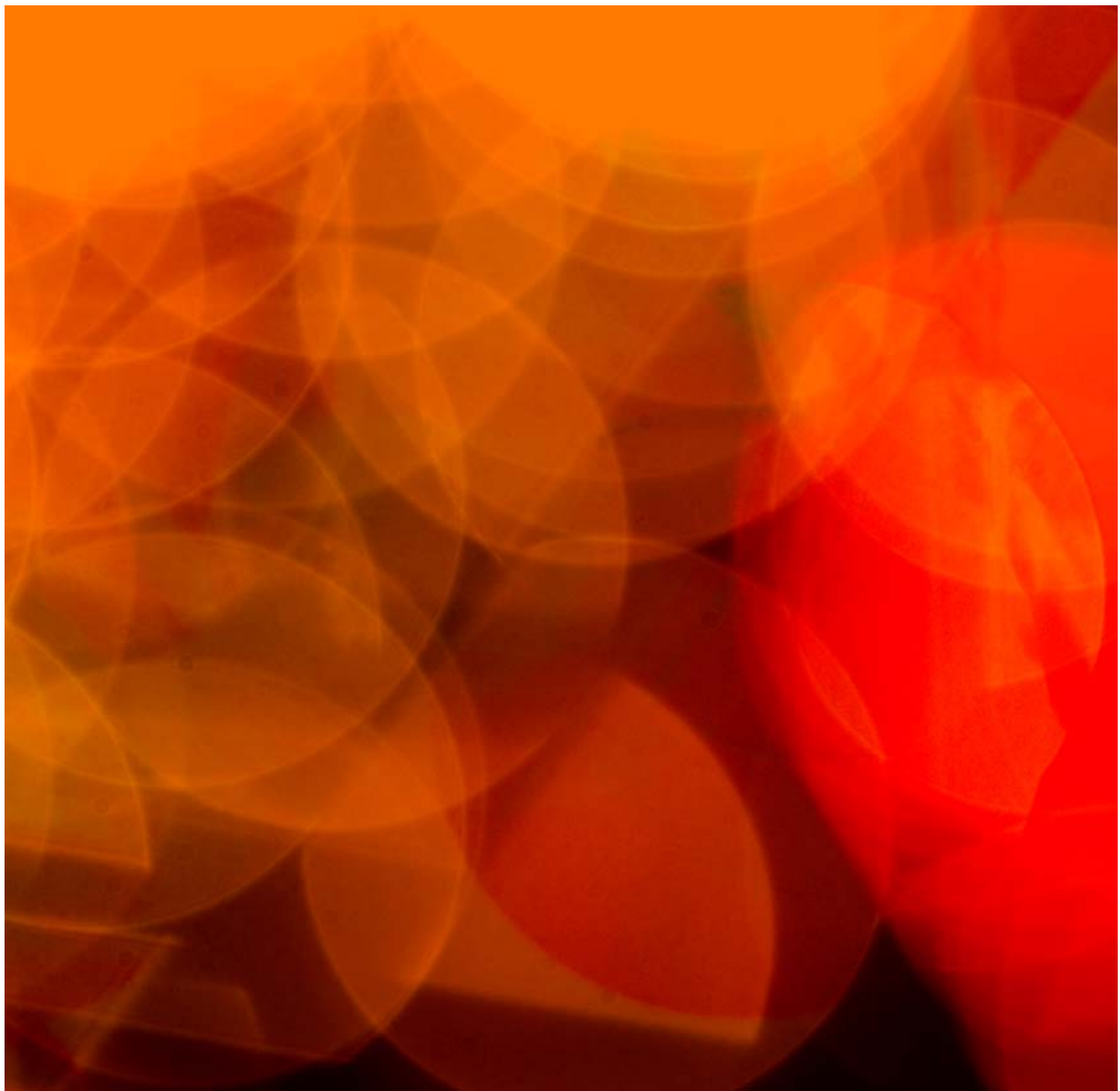


# Apprenticeship Training Agency and Group Training Agency – New model of working

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Managing your Partners and Providers

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## Purpose of the guide

This guide provides information and guidance on how you can successfully attract and manage delivery partners under the newly developed Apprenticeship Training Agency (ATA) model of delivery. All examples included in this guide have been developed in partnership with the newly appointed ATAs and Group Training Associations (GTAs) supported through the National Apprenticeship Service (NAS).

The guide is intended for organisations, including providers and other sector bodies, that are investigating this delivery model as this is a new way of working that may be unfamiliar to many of these organisations.

Throughout this guide, the symbols < > are used to indicate that your own details need to be inserted. Where figures are suggested, they are simply indicative and you should insert the appropriate numbers in relation to your own organisation.

Further guides are available to specifically address:

- supporting employed apprentices;
- working with host employers; and
- setting up an ATA model.

### Disclaimer

All information contained in this guide is for reference only and does not constitute definitive guidance. The contents have been developed from initial support work with ATA/GTAs engaged in the LSIS World Class Skills – developing responsive provision (WCS) programme. Each ATA/GTA retains full responsibility for the use, adaptation and adoption of any of the materials contained within this document. All ATA/GTAs should seek advice and guidance from their NAS national or regional links before using, adapting or adopting any of the materials contained in this guide.

### Glossary of terms

There are a wide variety of terms used by ATA/GTAs to describe staff roles and functions. You may use different titles in your organisation but are likely to employ staff to fulfil the roles described below. In this guidance the following terms are used.

**Apprentice Co-ordinator:** staff that recruit, select and match apprentice candidates to job vacancies. They manage the ongoing client relationship with the (host) employer and provide the mentoring support to apprentices.

**Business Development Manager:** staff that market to employers, secure terms and conditions of employer engagement and negotiate all fees related to hiring an apprentice.

**Training Provider:** is the organisation that will take responsibility for initial assessments, NVQs, technical certificates and key skills/functional skills training. They will manage the delivery of the Apprenticeship framework to completion. They are responsible for completing the Individual Learning Plan (ILP) and for working with the (host) employer to provide any assessment and verification of the apprentices' progress, obtaining employer sign off of the periodic reviews towards completion.

**Host Employer(s):** the term used to describe the employer offering the work placement to the apprentice.

**Apprentice:** The young person who is employed by you but is placed with a host employer(s) for the duration of their Apprenticeship programme.

## Background to the guide

NAS has been established to drive forward the Government's ambition to bring significant growth to Apprenticeships. Recognising that innovative approaches need to be adopted to increase employer engagement and up-skill the workforce during the economic downturn, in June 2009, NAS invited applications from interested organisations to either extend the number of GTAs or to establish ATAs in England. The successful pilots were announced in a Department of Business Innovation and Skills (BIS) press release on 21st October 2009. This press release is available at the following link:

<http://www.apprenticeships.org.uk/About-Us/Press-and-Media/~media/Documents/Press%20Releases/GTA-press-release-211009.ashx>

The guide has been developed following consultancy support with the successful NAS ATA/GTA pilots provided through the LSIS WCS programme. NAS have supported these pilots and have been involved throughout the period of the consultancy support.

There are compelling reasons to develop a flexible approach to Apprenticeship delivery and the ATA model offers the potential to develop strong links with employers to benefit apprentices. An explanation of the characteristics of ATAs and GTAs follows.

- **Apprenticeship Training Agencies:** ATAs are apprentice recruitment agencies. They seek out employers to 'hire out' apprentices to. The ATA assumes the responsibilities of an employer and ensures the apprentice gets paid and receives appropriate on-the-job training. The formal training and assessment is delivered by a training provider(s) with an existing Apprenticeship contract.
- **Group Training Associations:** The key characteristics of GTAs are that they are existing groupings of employers. They have strong and integral employer engagement, high quality flexible provision and deliver a wide range of integrated skills solutions in partnership with their member employers. There is an existing network of GTAs represented by GTA England covering a number of industry sectors. NAS will build on this footprint to extend the benefit to a wider range of sectors and geographical areas. Generally GTAs do not directly employ apprentices but provide the organization and support for Apprenticeship delivery.

Under the WCS programme newly appointed ATA/GTAs were offered tailored support to develop further their:

- strategy and planning arrangements;
- governance arrangements and structure;
- communication with learners, employers and delivery partners;
- delivery and monitoring of progress of learners and partners; and
- Quality Assurance arrangements.

There is no single model of delivery. Each ATA/GTA will need to consider various options depending on geographical location, sectors covered and whether they use partner organisations to deliver learning.

## Some examples of current models

This is not an exhaustive list and other models are emerging.

**Example A** – A large regional college has established a regional offer of selected Apprenticeship programmes. Identification, recruitment, employment and delivery of learning will be undertaken by the ATA. No partners are required in this model.

**Example B** – A national organisation is offering specific sector programmes across all LSC regions. Twelve delivery partners have been identified and have supported the ATA in developing pastoral processes for the apprentice. Employers and learners will be engaged through the ATA and details forwarded to the delivery partner, who will undertake recruitment and host employer selection on behalf of the ATA.

**Example C** – A large regional college has established a provider network with its partner delivery providers; collectively they establish, deliver and monitor learning. Providers are engaged when suitable learners and host employers are identified. The lead organisation has information on their provider network in terms of what can be delivered.

**Example D** – A national provider has joined up with a partner organisation and together they form the ATA. Initially, they will operate regionally as they establish their processes and build momentum – eventually making the offer and delivery national.

**Example E** – An existing GTA wishes to develop its range of services and has set up an ATA. Apprentices' training requirements will be met by training providers who are members of the GTA. The GTA will focus on employers who are members of the GTA. Later they will seek to expand the numbers of employers and training providers who are part of the GTA.

## Engaging and selecting delivery partners

### Identifying the roles and responsibilities of partners

There are a variety of models to consider when forming the management of your ATA. If your ATA forms as a separate legal entity (typically a charity or not-for-profit company limited by guarantee) you will form a Board of Directors with ultimate responsibility for the strategic direction and financial management of the company.

You will need to consider the roles and responsibilities of your delivery partners and how you intend to involve them in the development of the ATA. There are a range of options for developing a working relationship with your delivery partners, with some examples below:

1. Delivery partners are part of an advisory or steering group, contributing to the overall direction of the ATA but with no formal rights or responsibilities as non-Directors. This description could be applied to delivery providers, Sector Skills Councils (SSCs), awarding bodies, trade unions and/or employers;  
*Appendix A provides a sample terms of reference for an advisory/steering group.*
2. Delivery partners form part of a specific network of providers, brought together and established as the core delivery partners of the ATA; they have signed up to and promote the values of your ATA and (as a whole) represent the training delivery arm of the ATA; or
3. Delivery partners are retained on some form of 'call off' contract or agreement and will be engaged by you on a case by case basis, reporting on progress of learners but not contributing directly to the direction of the ATA.

## Engaging partners through an expression of interest (EOI) or invitation to tender (ITT)

For options two and three above, you may want to consider issuing an EOI to training providers.

An EOI is a call to potential providers of goods and/or services to register interest in supplying them. Your EOI should be a document describing your requirements or specifications and it should seek information from potential providers that demonstrates their ability to meet those requirements. EOIs would ordinarily be sifted to identify a core group of providers which you then issue with an ITT.

An ITT will enable you to collect essential information on each partner, allowing you to make an informed decision as to whether you want to enter into a formal working arrangement.

As a minimum, your ITT should clearly identify your expectations of the provider, (as covered in the EOI) including any quality specifications (for example minimum OfSTED Grade 2 in the specific area, Framework for Excellence minimum grade). You should give sufficient information on your delivery model in order that the provider can understand clearly what they will be expected to deliver on your behalf. It is important to make explicit any expectations that you have of the role of training providers in developing Apprenticeship vacancies with their own employers i.e. using the providers own employer engagement staff to generate ATA vacancies.

Most standard ITTs contain mandatory sections in the following areas:

- Equality and Diversity policy compliance;
- Health and Safety policy compliance;
- environmental policy compliance;
- evidence of sufficient liability insurances;
- latest audited accounts and statement of financial viability;
- evidence of quality assurance procedures;
- completion rates on current relevant contracts;
- information on other relevant contracts held; and
- management structure.

The key areas listed above will provide you with a reasonable starting point for the purposes of quality and financial audits that are likely take place on your main contract. If your ATA cannot show sufficient rigour and controls over the engagement of delivery partners it is ultimately the ATA that will suffer the penalties, claw-backs and potential reputational damage.

You should also consider how the ITT process will work with providers that operate through consortia, and make clear whether each provider needs to respond individually to the ITT or if the consortia can represent them at this stage. Most lead partners in consortia are used to monitoring and managing the quality standards and outputs of their members.

You may minimise the workload by agreeing that the lead consortium partner can represent a group of training providers, but both you and the consortia lead should decide whether this is a suitable option for your delivery model.



## Service Level Agreements

Once you have established your delivery partners (using an EOI/ITT process or other system) you should consider adopting either a Service Level Agreement (SLA) or a contract which clearly sets down the standards and working arrangements agreed between all parties. This could include reporting templates and dates, requirements to allow access to learner files for audit purposes and how poor performance or a change in provider status (e.g. a reinspection resulting in a lower grade) will be dealt with.

The purpose and benefit of an SLA is that it provides a convincing statement that describes the actions, level of effort, timing and expected outcome triggered by a support request. These may be expressed as targets, commitments or guarantees.

Your SLA may be very similar to the PQQ, in that it should also contain and re-iterate the role of the ATA and what services you will provide. It should also include your expectations of your partners, particularly where you expect the provider to take action within a given timeframe (for example, you might want to ensure that a provider contacts the learner within one week of confirming their Apprenticeship placement date).

SLAs can vary enormously by sector, geographical coverage and organisational design. Suggested SLA sections could include:

- introduction – specifically stating the partners to which the SLA applies (you and the named provider);
- pre-programme activities – clearly state how learners and employers will be engaged by you, what you will have undertaken and what you expect the provider to undertake;
- how the learner and employer details will be communicated to the provider, providing examples of any templates you intend to use (see the handover document further on within this guide);
- what reporting you expect from the provider and how often, particularly on progress updates for learners. Provide reporting dates e.g. monthly/quarterly and any templates you expect them to use;
- how the provider should report any issues to you, particularly in regard to the progress of the learner;
- how you expect induction to be undertaken, either by your organisation, jointly or as the sole responsibility of the provider;
- how providers should act if any further vacancies are identified within the host employer (this is an important area which you need to give due consideration, particularly as there is little enforcement you can use if a provider begins to ‘poach’ your host employers – other than ending the partnership); and
- an outline of how the SLA can be terminated by either party, together with an outline of the main reasons why the SLA may be terminated. For example:
  - if you receive more than <3/4/5> upheld complaints or concerns from host employers or learners;
  - if the provider falls below a minimum expectation in terms of contact with the learner; and
  - if the provider processed vacancies directly with a host employer without informing you.

*Appendix B provides a sample SLA between an ATA, employer and training provider.*

## Transferring learners and employers to delivery providers

Your selected training providers may be unfamiliar with your working ATA model and may wish to check how you will handover employers and apprentices to them (where this is applicable). Under these circumstances you should assist your delivery partner by providing assurances that the minimum requirements, for example health and safety, have been undertaken to the same or a higher standard as they would undertake themselves.

One obvious practical example is where the host employer will provide details of their employer liability insurance to the ATA, the details of which are also required by the provider to meet with funding audits – handing these details to the provider will reduce the need for the host employer to be approached twice for the same information.

In some cases, your delivery provider will have no option but to undertake these functions on your behalf (for example, if they are your representative organisation in a particular region), in which case, it would be prudent to establish a system that provides the ATA with assurances that the provider has completed all mandatory checks on your behalf (this should also be reflected in the SLA).

## Handover template

Depending on your delivery and partnership model, you may find that you need to communicate learner and employer information to delivery partners to inform them that an apprentice is ready for their support and involvement. Having a formal record of the information exchanged will help to ensure that information is communicated clearly between all parties. One of the pilot ATAs was supported to develop a handover form which can be found at appendix C.

In relation to the handover template, you and your delivery partners should agree in advance:

- the point of contact for the handover template;
- when templates will be forwarded (weekly, when completed etc);
- how receipt will be acknowledged by the provider; and
- how queries or missing information will be handled / dealt with.

## Responsibility Flow Chart

An example of a responsibility flow chart can be found at Appendix D. This flow chart has been found to be very useful to help ATAs identify which organisation takes responsibility at each stage of the learner and employer engagement and delivery journey. It is an example only and can be adapted to each ATA's purposes and delivery model, though the core stages remain fairly consistent.



## Provider Reporting

Depending on your delivery model, you may be fully reliant on a delivery partner to ensure that all pastoral needs of the learner are met by them. Alternatively, you may appoint an Apprenticeship co-ordinator to the learner, employed by the ATA, who will take full responsibility for pastoral care. Regardless of the arrangement, as the apprentice's employer you have a duty of care to your employee. It is vital that learner progress (in terms of qualifications and personal development) is reported back to you at regular intervals. The detail you require should, wherever possible, collect information which the delivery provider is contractually bound to evidence by its own funding contract. This will help to reduce duplication of work.

Reporting can include as a minimum:

- progress towards targets;
- ongoing H&S review; and
- how the learner is coping with their work / colleagues / employer.

A report could be developed in an Excel spreadsheet to enable you to collate all learner progress from all delivery partners and an example report is shown in figure 1. The report is deliberately simple, but it could be developed further to incorporate any other information you wish to monitor regularly, such as completion date, employer details, date of the next visit etc. You must be mindful that the more reporting you require, the more difficult it may be for the provider to produce the information in a timely manner. The report should be accompanied by a list of reporting dates for when the report should be returned to you.

**Figure 1: Example of a provider reporting return**

Provider Name _____		Date of return _____		
Learner Name	Date of last contact with learner	Has progress been made as expected?	If no, please provide information of any intervention plan developed	Are there any concerns you need to highlight with regard to the learners H&S and pastoral needs? If so, please list
John Smith	12/3/10	Yes	N/A	None
Terry Johnson	27/2/10	No – Terry was absent from work for 1 week due to flu	Work has been reset with new target date of 18/3/10	There appears to be some friction between Terry and one of his colleagues
Susan Brown	26/2/10	Yes	N/A	Susan missed her last review due to work pressure – we have rearranged this for 10/3/10

Provider Name _____		Date of return _____		
Learner Name	Date of last contact with learner	Has progress been made as expected?	If no, please provide information of any intervention plan developed	Are there any concerns you need to highlight with regard to the learners H&S and pastoral needs? If so, please list
Louise Murphy	13/2/10	Yes	N/A	N/A
Robert Evans	12/2/10	Yes	N/A	N/A

## Conflict resolution and ending the Partnership

Your SLA should include your minimum standards and targets as agreed and should be the basis of a strong and successful delivery partnership. The SLA should contain information on how you will resolve any difficulties between you and a delivery partner. Such difficulties might relate to:

- data requests or learner progress reporting difficulties by your delivery partner;
- complaints raised by either an employer or an apprentice; and
- other non compliance with your terms and conditions.

It is advisable that you develop a system which enables you to discuss any difficulties and reach resolution with delivery partners as this will most likely be in the best interest of both the learner and the employer.

Where you feel that there is a need to terminate your engagement with a partner, you should ensure that the learner and host employer are not disrupted nor left without supported training provision.

## Further information on ATAs

The following ATA guides can be accessed at <http://wcs.excellencegateway.org.uk/resources#ATA%20Guides>:

- supporting employed apprentices;
- working with host employers; and
- setting up an ATA model.

For further information on ATAs not covered by these guides and the NAS ATA/GTA pilot projects, please contact [martin.ward@apprenticeships.gov.uk](mailto:martin.ward@apprenticeships.gov.uk).

# Appendix A: Sample Terms of Reference for a Steering/Advisory Group

## These Terms of Reference exist to:

- clarify the composition and the overarching roles and responsibilities of the Management Board and its Advisory Committee;
- establish the consensus around shared principles and consistency of approach with regard to the delivery of Apprenticeships, especially the employer and learner experience; and
- establish, and identify the mechanisms for upholding, the criteria for:
  - management Board membership;
  - employer engagement;
  - employment of apprentices;
  - minimum levels of performance;
  - intervention; and
  - complaints and conflict resolution.

## 1 The Company

<Your ATA> is an independent trading entity with a single focussed mission: the creation of high quality Apprenticeships in the <region>. It is registered as <insert details e.g. a company limited by guarantee with 'not-for-profit' Memorandum and Articles>.

## 2 Management Board

The Management Board will be Chaired by the <Chief Executive Officer of your ATA> and comprise the Directors and Operations Manager of the same. The Management Board (excepting the Operations Manager) hold legal responsibilities for the company as designated by the Companies Act 2006, and therefore will hold all decision making responsibility for issues relating to:

- finance and funding;
- employment structure;
- contracting with third parties; and
- all aspects/issues relating to the day to day management and operation of the company, including marketing, recruitment, target setting, HR issues etc. For the sake of expediency and efficiency, these issues, other than the three above, will be delegated to the CEO of <your ATA>.

## 2.1 Advisory Committee

The Management Board will be supported by an Advisory Committee, comprising the Operations Manager and representatives from <insert relevant partner agencies: RDA, NAS, SSCs etc>.

This Advisory Committee is invited to contribute to:

- strategic planning, including employer engagement and marketing;
- policy development; and
- ensuring complementarity with, and additionality to, existing and planned provision.

All Members will be required to attend, as a minimum, <3 meetings per year> and make a positive contribution to <your ATA>. Any member failing to attend three consecutive meetings or failing to deliver against their responsibilities will be subject to a review of their membership by the Management Board.

Membership will be reviewed annually.

## 3 Management and reporting

The day to day operations of the company will be managed and administered by <your ATA>.

On behalf of <ATA>, the Management Board will hold overall responsibility for:

- financial control;
- quality Assurance;
- strategic planning;
- policy development;
- risk management;
- performance monitoring;
- reporting against targets; and
- sustainability and growth.

This Terms of Reference will be supported by specific Service Level Agreements (SLAs) and contracts (as required) with each provider and the Memorandum of Understanding with the National Apprenticeship Service (NAS).

These will detail Apprenticeship numbers, recruitment arrangements, data capture requirements, funding allocations and reporting expectations.

Delivery on SLAs will be monitored by the Management Board.

## 4 Conflict resolution

In the event of a conflict between any of the partners, the issue will be raised initially with the <ATA> Operations Manager and, if unresolved, be mediated through the Management Group.

The Operations Manager will refer any slippage in delivery against SLAs to the Management Board, and monitor and report on improvement. Continued slippage and/or under-performance <criteria to be determined> will be referred back to the Management Board for appropriate action <to be determined by you>.

## **5 “Good Partners” Agreement**

The parties will inform each other prior to any sensitive messages emerging which might impact adversely on <your ATA>. The parties will share information as appropriate about agreements with other parties.

## **6 Confidentiality**

Each organisation will observe confidentiality as required in relation to shared information which is not in the public domain, in particular, data protection act 1998, further information. Further information on the data protection act 1998 can be found on the Business Link website:

[http://www.businesslink.gov.uk/bdotg/action/detail?site=181&r.s=sc&r.l1=1073861169&r.lc=en&r.l3=1074002278&r.l2=1074400662&type=RESOURCES&itemId=1073792159&tc=039KWBLIL20013011001339&gclid=CMmK6r2\\_gaECFQc9IAodS3UvvQ](http://www.businesslink.gov.uk/bdotg/action/detail?site=181&r.s=sc&r.l1=1073861169&r.lc=en&r.l3=1074002278&r.l2=1074400662&type=RESOURCES&itemId=1073792159&tc=039KWBLIL20013011001339&gclid=CMmK6r2_gaECFQc9IAodS3UvvQ)

## **7 Signatories**

Signed by (Management Board member organisations)

## Appendix B: Sample SLA between ATA, Employer and Provider

This service level agreement (SLA) sets out the roles, responsibilities, and the monitoring and quality undertakings for Training Providers and Host Employers working with <ATA> for the 16-18 and 19+ age groups.

By signing this SLA, the Training Provider and host employer agrees to be monitored against these requirements and to be subject to a regular performance review with <ATA>, who reserves the right to take such actions as may be deemed necessary to achieve the desired outcomes for the apprentice and to protect the integrity of the public funding being used to support the apprentice.

This SLA is between <ATA> and ..... (the Provider/Host Employer).

### 1 Pre-placement

Please note, some of the functions listed may not be appropriate to your delivery model, for example, whether you expect providers to support the identification and recruitment of employers and learners – this list is also not exhaustive and should be used as a guide only.

<Your ATA> will ultimately be responsible for the selection and recruitment of host employers and for the identification and selection of apprentices, specifically, **<your ATA> will:**

- take responsibility for high level marketing and recruitment activities: media campaigns, market stimulation through profile raising etc;
- determine the criteria and assess eligibility for inclusion in the <ATA>Apprenticeships programme – from both a learner and employer/sector perspective;
- keep training providers updated on overall progress towards meeting the sector and learner-based targets, and therefore the types and number of places which are still available;
- identify suitable providers to work with host employers;
- provide sufficient information to providers to enable them to undertake their responsibilities;
- ensure that employers are fully appraised of the terms and conditions of taking an apprentice(s) under the programme, including the grievance and disciplinary procedures;
- ensure that employers are informed of the standard processes and protocols of working with <your ATA> host employers and apprentices where these exist;
- agree with the host employer a Job Description that the learner can work towards and which will become part of the learners training plan, this will be shared with the delivery provider prior to commencement of learning;
- undertake a risk assessment of the role that the learner will be fulfilling, which will be shared with the delivery provider prior to commencement of learning;
- identify health and safety issues to be addressed, which will be shared with the delivery provider prior to commencement of learning;
- retain the option to visit both employers and/or provider(s) on a pre- placement check; and
- make arrangements for the payment of the wage subsidy to the host employer.



## Training providers

As our delivery partner, you have agreed that you will:

- engage employers (if appropriate) by identifying and making contact with appropriate host employers;
- conduct Training Needs Analysis (TNA) and Organisational needs analysis (ONA) if required and record and share this and other relevant information (e.g. Health and Safety) if requested by <your ATA>;
- prepare a flexible delivery model which meets the employer and learner needs;
- nominate an assessor/point of contact for the learner;
- market and recruit learners (if appropriate) through the promotion of the ATA model; and
- undertake initial and diagnostic assessment and suitability profiling of learners (if appropriate to your delivery model).

## The Host Employer will:

- agree with the training provider a flexible delivery model which meets the host employer and learner needs;
- agree a job description that the learner can work towards and which will become part of their training plan; and
- nominate a mentor/point of contact for the learner.

## 2 Apprentice Induction

Please note, some of the functions listed may not be appropriate to your delivery model, for example, whether you expect providers to undertake a full induction of learners, which may be appropriate for a national organisation utilising delivery partners for regional coverage. This list is also not exhaustive and should be used as a guide only.

### <ATA> will:

- provide initial induction information to apprentices, which will include:
  - an explanation of the work and role of <ATA>; and

issuing a contract of employment including apprentices' rights and responsibilities, and the procedures for grievances which they can refer to in the future (e.g. a learner handbook) – please see supporting ATA employed apprentices guide for further information on learner handbooks – <http://wcs.excellencegateway.org.uk/resources#ATA%20Guides>).

### The Provider will:

- provide the learner with a formal induction specific to their learning programme;
- complete all relevant funding paperwork required;
- support the learner in the completion of any induction paperwork;
- explain how appropriate constituent qualifications are achieved;
- when requested, be able to provide <ATA> with a record that the induction has taken place, and that issues such as welfare, health and safety and safeguarding have been covered and understood; and
- ensure health and safety issues are identified and addressed and maintain this role throughout the learning programme.

### **The Host Employer will:**

- introduce learners to the people they will be working with and their supervisor;
- explain the importance of health and safety in the workplace;
- explain relevant policies including departmental code of conduct, standards of behaviour, timekeeping, flexi systems, use of e-mail, Internet and data protection (if appropriate);
- provide basic information about the role that they will be undertaking; and
- provide the learner with a mentor/point of contact.

## **3 Planning and Designing Individual Learning Plans (ILPs)**

### **<ATA> will:**

- supply delivery partners with sufficient job role information to enable them to develop an appropriate ILP relevant to the Apprenticeship framework;
- require a copy of the learners individual training plan ILP and progress being made towards targets from the provider if requested; and
- seek assurance from providers that all funding paperwork is complete to enable learners to be recorded as an apprentice.

### **The Provider will:**

- work with the employer to identify and agree learners immediate training and development needs;
- assess the learner's current skills, knowledge and qualifications via an initial diagnostic at the interview stage (if your model requires that this is a responsibility given to the delivery provider);
- monitor progress against the ILP and work to address any issues arising;
- identify and meet the learner's individual job specific training and development needs;
- produce a training plan (ILP) to reflect the above needs setting out learner and provider objectives;
- identify appropriate learning opportunities within the workplace, build these into the training plan, helping the learner develop and progress;
- understand the learner's training programme including NVQ and Key/Functional Skill requirements; and
- share information on request with <ATA> on the nature of and progress against the ILP.

### **The Host Employer will:**

- work with the training provider to identify and agree learner's immediate training and development needs; and
- ensure apprentices have the appropriate time off for college/off the job training /learning.

## 4 Delivering Training Programmes

To support a learner to successful Apprenticeship completion, **<your ATA> will:**

- inform delivery providers of learner and employer needs (if appropriate to your model);
- require probation reviews and recommendations from the training provider;
- set dates when progress reports from the training provider against the ILP are due;
- provide an outline report to be completed by training providers; and
- inform training providers of any issues raised which may affect the progress of the learner towards completing their Apprenticeship programme.

### The Provider will:

- with the employer, conduct a probation review and inform <ATA> of the outcome;
- provide guidance and support on planning workplace training and learning activities;
- be aware of and make best use of the learning activities that are taking place within the workplace;
- help learners develop their knowledge and skills by providing a wide range of learning and training;
- assist learners to put into practice what they have learnt during training sessions;
- provide appropriate training to support the skills that the learner is developing, in order to gain their qualification;
- keep host-employers informed of up-coming training sessions for the learners;
- undertake regular learner reviews which incorporate employer comments;
- maintain health and safety awareness of the workplace; and
- contact <ATA> with any concerns about any aspect of the training delivery, which might include barriers to learning.

### The Host Employer will:

- be responsible for on-going compliance with health and safety standards;
- be accountable for apprentices' work programmes and targets;
- manage apprentices according to their usual HR policies and practice; and
- issue timesheets and record sickness and manage any other performance issues.

## 5 Reviewing Learner Progress

### <ATA> will:

- organise a schedule of review meetings with training providers to review the progress of all <ATA> learners;
- ensure that the learner is contacted by an Apprenticeship co-ordinator (if appropriate);
- monitor providers and learners progress towards achievement and timely achievement;
- seek regular feedback from learners and host employers as to their experiences; and
- provide feedback to training providers and where necessary agree remedial actions.

### **The Provider will:**

- conduct learner performance review meetings, and involve the learner and the assessor in the meetings;
- as far as possible, involve the host employer in the reviews;
- record the progress made by the learner;
- agree and record actions and targets between reviews;
- ensure that the learner and host employer receive copies of the performance review;
- inform <ATA> as soon as possible of any concerns regarding the learner's progress and/or conduct;
- identify additional training and support needs and amend the training plan accordingly, informing the ATA of any significant changes; and
- complete all associated paperwork promptly and return to <ATA>.

### **The Host Employer will:**

- endeavour to participate in learner review meetings; and
- work with the training provider to address any concerns with regard to the learner's progress, conduct etc.

## **6 Supporting the learner in their work based training programme**

### **<ATA> will:**

- keep in regular touch with the provider (as per the agreed schedule);
- nominate a named contact for all dealings with training providers (if appropriate);
- through regular reviews and feedback, identify any problems or concerns that the learner or employer may have; and
- liaise with the provider, host employer and learner to agree suitable solutions to any problems or concerns that the learner may have.

### **The Provider will:**

- help learners understand how to collect evidence for their qualifications;
- be aware of any problems or difficulties which may be facing learners and address these through the review process; and
- share any concerns or worries regarding the welfare or pastoral care of the learner with <ATA>.

### **The Host Employer will:**

- be aware of any problems or difficulties which may be facing learners and report these concerns to the <Your ATA>;
- share any concerns or worries which might impact on the learners progress toward their Apprenticeship with the training provider; and
- support any action plans designed to address learner needs.

## 7 Equality and Diversity, Safeguarding and Every Child Matters (ECM)

Please note – you should set down the clear responsibilities and actions for equality and diversity, safeguarding and ECM for host employers and training providers. Most training providers will be familiar with these policies and may be able to support you to develop your policies. You are strongly advised to seek further information and ensure your ATA is kept up to date with regard to changes in legislation and how that might impact on the delivery model.

- Equality and Diversity – further information can be found at the DirectGov website: [www.direct.gov.uk/en/Governmentcitizensandrights/index.htm?cids=Google\\_PPC&cre=Government\\_Citizens\\_Rights](http://www.direct.gov.uk/en/Governmentcitizensandrights/index.htm?cids=Google_PPC&cre=Government_Citizens_Rights)
- Safeguarding – Further information can be found from the Independent Safeguarding Authority: [www.isa.gov.org.uk](http://www.isa.gov.org.uk)
- ECM – further information can be found from the Department for Education website: [www.dcsf.gov.uk/everychildmatters/strategy/deliveringservices1/contactpoint/legislation/legislation](http://www.dcsf.gov.uk/everychildmatters/strategy/deliveringservices1/contactpoint/legislation/legislation)

### <ATA> will:

- be assured by the training provider that all obligations under equal opportunities, safeguarding, health and safety, disability discrimination act (DDA) and ECM are being met;
- Explain to the learner what to do if they have a complaint about the way they are treated (if appropriate);
- reserve the right to check paperwork and/or make on site checks having given notice of their intention to do so to check on the above; and
- act on any complaints received from the learner, provider or host employer.

### The Provider will:

- make sure that the learner knows what to do if they feel they are being unfairly treated in the workplace;
- where necessary, assist in identifying needs of individual learners with disabilities and liaise with the host employer accordingly; and
- inform <ATA> immediately if there are any concerns with any aspect of the above.

### The Host Employer will:

- ensure that the learner is treated fairly and equally;
- make sure that the learner is not bullied, harassed or made to feel unwelcome in the workplace;
- make reasonable adjustments to meet the individual needs of learners with disabilities;
- ensure all staff are Criminal Records Bureau (CRB) checked and registered as required by the national Vetting and Barring Scheme; and
- inform the training provider immediately if there are any concerns with any aspect of the above.

## 8 Health and Safety

### <ATA> will:

- undertake an initial health and safety review of the employer premises (if appropriate) and share this information with the training provider;
- be assured by the training provider that all health and safety requirements continue to be met;
- support the training provider to address health and safety issues (if appropriate);
- reserve the right to check paperwork and/or make on site checks having given notice of their intention to do so to check on the above; and
- act on any complaints received from the learner, provider or host employer.

### The Provider will:

- using competent staff, verify that the host employer can provide a healthy, safe and supportive learning environment;
- assist the host employer in questions of health and safety requirements and their application to a learner;
- check learners' understanding of health and safety risk awareness;
- carry out an annual check to ensure that a safe and healthy working environment is being maintained by the host employer;
- monitor health and safety practices on an ongoing basis;
- investigate any accidents involving learners and agree preventative action with the provider and host employer (if appropriate); and
- provide health and safety and other trained personnel with feedback on the quality of service.

### The Host Employer will:

- provide initial and ongoing relevant health and safety information, instruction and training in the workplace for the learner (record instruction and training);
- inform the learners about who is responsible for health and safety matters;
- provide necessary protective clothing, instruction in its use and check used appropriately;
- assess the risks to which learners are exposed at work and apply the general principles of prevention;
- introduce and maintain appropriate measures to eliminate or control risks to the lowest reasonable practicable level and ensure a competent person always appropriately supervises learners;
- ensure the health, safety and welfare of learners and bring the training provider policy to the attention of the learner (if appropriate); and
- comply with health and safety legislation in relation to the Apprentice.



## 9 Performance and Standards

### <ATA> will:

- provide written protocols for and guidance on:
  - review and reporting requirements; and
  - action to be taken in the light of underperformance or malpractice.
- ensure understanding of, and agreement with, the above; and
- monitor provider performance against agreed <ATA> targets and national quality standards.

### The Provider will:

- adhere to <your ATA> protocols and quality standards;
- attend the review meetings as per the review schedule; and
- seek <ATA> advice and guidance should there be any difficulty in compliance with the above.

I hereby acknowledge receipt of the Service Agreement and accept our role in the training programme:

Signed \_\_\_\_\_

Organisation \_\_\_\_\_

Position \_\_\_\_\_

Date \_\_\_\_\_

On behalf of <ATA>

Signed \_\_\_\_\_

Position \_\_\_\_\_

Date \_\_\_\_\_

## Appendix C: Sample handover template

Below is an example of a handover template designed for an ATA to ensure that all relevant information on the learner, employer, vacancy and learning programme are clear. Responsibility for completing each area will vary according to the ATA/Training partner arrangements in place.

### Name/logo: <Your ATA organisation>

The information below has been produced by <your ATA organisation> with one of our host employers. We have forwarded these details to you in order that you can undertake training delivery on our behalf and under the terms of our agreed Service Level Agreement.

ATA/GTA contact details	
Referral date to provider	
Follow up deadline	
This referral has been prepared by	<Insert name and contact details>
Host Employer Details	
The employer name and address is (including telephone/email details)	
The named contact at the host employer is:	
The host employer's main business is <a brief description>	
The host employer has an apprentice in place and is ready to support the learning programme (See table 2)	Yes/No
The host employer has a vacancy which is not yet filled – where relevant, vacancy details can be found attached (See table 3)	Yes/No

**Table 2: Apprentice Details**

Name, address and contact details of apprentice	(details)
Age of learner at today	(age)
Learner NI number	(details)
Job start date (the date they took up post)	(date)
Job role (title and brief description)	(details)
Key Skills Assessment results Literacy Numeracy ICT Other	(results of assessment if completed)
Training is required to start on (date)	(date)
Learner Completion dates expected to be	(date or duration)
Description of Framework to be delivered	e.g. business administration level 2
Additional learning needs identified	(details)
Opportunities for Accreditation of Prior Learning	(details)
Confirmation that a skill scan has been undertaken and that the job role supports the Apprenticeship framework	Yes/No
Any specific requirements which you will need to support or investigate further on our behalf	(This would identify where a further diagnostic might be needed, IAG support etc.)

**Table 3: Host Employer Vacancy Details**

Job title	
Number of vacancies	
Brief job description	
Job location	
Standard number of working hours per week	
Weekly wage/annual salary	
Any other information regarding the vacancy	
<b>Recruitment and Selection</b>	
Person specification (max one paragraph) sought by employer:	
Previous qualification level required (specify):	
Any specific tests planned with the employer at interview stage? (psychometric, IT skills, presentation skills etc). Please specify.	
Any age restriction on the position – 16-18 only or 18+ only.	
Planned start date:	
Employer interview dates planned:	
No. of shortlisted applicants required for interview (max 6):	

# Appendix D:

Responsibility Flowchart – ATAs found this flow chart useful to understand and to assign responsibilities for each stage of the learner and employer journey. In this example, the ATA and the Training provider are sharing some responsibilities such as the completion of the ILP. You can use and adapt this model to suit your own needs.

