Australian Government

Department of Education and Training

Industry Specialist Mentoring for Australian Apprentices

Program Guidelines

For the Contract Period

01 January 2018 to 31 December 2019

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1 DEFINITION OF TERMS

Additional Support	Support for Australian Apprentices that is not provided by the ISMAA Provider and is outside of their skill set, for example, drug and/or alcohol counselling or mental health support services.
Alternative contact methods	Contact with an Australian Apprentice using a communication method other than Face-to-Face Contact, for example this could include phone calls, text messages, email or video calling. These alternatives are acceptable provided a two way communication takes place as would occur in a face-to-face contact. ISMAA Providers must take into consideration the privacy of Australian Apprentices when using all communication methods but especially forms of social media. Content of each communication must be recorded regardless of the contact method used.
Australian Apprentice	A person who, by operation of State or Territory law, is an apprentice or trainee.
Australian Apprenticeship Support Network (Apprenticeship Network)	The Australian Government established the Australian Apprenticeship Support Network (Apprenticeship Network) to provide a streamlined service for employers, Australian Apprentices and individuals to access quality Australian Apprenticeships.
Australian Apprenticeship Support Network Provider (Apprenticeship Network Provider)	Organisations Contracted by the Department of Education and Training to deliver support services through the Apprenticeship Network. Apprenticeship Network Providers deliver a coordinated arrangement for the provision of information, marketing and administration of Australian Apprenticeships.
Australian Apprenticeships Website	www.australianapprenticeships.gov.au
Benchmark servicing requirements	For a Client to be considered to be receiving (or received) a service under the ISMAA program, the following criteria must be met: • one hour of mentoring support must have been provided; and • a Commenced Individual Mentoring Plan (IMP) must be in place. The Department will use these criteria to determine how many Clients an ISMAA Provider has serviced in relation to their benchmark.
Client	An Australian Apprentice receiving Services under the ISMAA program.
Contact	Contact with an Australian Apprentice for the purpose of delivering support under the ISMAA program.
Contract	A Contract between the Department and an ISMAA Provider to provide Services in relation to the ISMAA program.
Commenced Individual Mentoring Plan	An Individual Mentoring Plan is considered Commenced when the key information regarding the Client and mentoring arrangements are completed (Sections 1, 2 & 3) and it is signed by both parties (Section 4). See Program Guidelines Attachments for template.

Contract Period	The term of the Contract, that is, from execution of the Contract to 31 December 2019.
Contract region	The geographic area as defined in Your Contract where You will deliver Services under the program.
Department	The Australian Government Department of Education and Training with responsibility for management of ISMAA program.
Department website	www.education.gov.au
Face-to-face contact	This is considered, for the purpose of this program, to be meeting in person with an individual. This excludes Contact undertaken via a visual electronic mechanism such as utilising Skype or FaceTime.
File Notes	Notes kept by ISMAA Providers of their interactions and Contacts with Australian Apprentices as part of the Individual Mentoring Plan (IMP).
Finalised Individual Mentoring Plan	An IMP is considered Finalised when all aspects of the mentoring Contacts have been Finalised and both parties have signed and an outcome is recorded (Sections 5 & 6 are completed).
First two years of training	For the purpose of the ISMAA program, the first two years of training is defined as: • the cumulative time spent in an apprenticeship that is less than or equal to 24 months or 730 days; or • where an apprenticeship is being undertaken part-time this is counted as 50% of the full-time equivalent. Therefore the cumulative time spent in an apprenticeship must be less than or equal to 48 months or 1460 days. **Example:** Jane started her apprenticeship full-time on 1 November 2015 and left on 1 March 2016, completing four months. She then recommences her training in December 2017 in the same apprenticeship with a different employer. She is eligible to receive ISMAA support as she is within her first two years of training (she completed four months with her first employer) despite starting her training more than two years ago. **Example:** John started his apprenticeship part-time on 1 January 2014 and left on 30 June 2014. He then recommences his training in January 2018 in the same apprenticeship with a different employer. He is eligible to receive ISMAA support as he is within his first two years of training (he completed three months full-time equivalent with his first employer) despite starting his training more than two years ago.
Fraud Risk Management Plan	A plan that is developed and implemented by Providers covering the role they have in delivering ISMAA Services to Australian Apprentices. Under the ISMAA Contract, a Fraud Risk Management Plan should include strategies for identifying, minimising and mitigating: fraud; legal risks; and other potential and actual risks relating to business operation.
Guidelines	This document which are the ISMAA program Guidelines.

Group Training Organisation (GTO)	GTOs employ apprentices and trainees under a Training Contract and place them with host employers. They undertake the employer responsibilities for the quality and continuity of the apprentices' and trainees' employment and training.
Individual Mentoring Plan (IMP)	The formal agreed plan that details the service being provided by a mentor to an Australian Apprentice under the ISMAA program.
In-training support	Support available from Apprenticeship Network Providers to eligible Australian Apprentices and their employers at any point of their training. This support may involve one-off assistance or be ongoing and is tailored to suit the needs of individuals.
Industry Specialist Mentoring for Australian Apprentices (ISMAA) program	The ISMAA program was announced in the 2017-2018 Federal Budget and will provide intensive support to apprentices and trainees in the first two years of their training in industries that are undergoing structural change.
Industry Specialist Mentoring for Australian Apprentices Provider (ISMAA Provider or Provider)	Providers Contracted by the Department to deliver Services under the Industry Specialist Mentoring for Australian Apprentices program.
Key Performance Indicator (KPI)	A measure of the ISMAA Providers' performance with regards to the delivery of the program.
Mentor	Person engaged by an ISMAA Provider to deliver mentoring support to Australian Apprentices under the program.
Mentoring Start Date	The date of the first mentoring contact.
Minimum servicing requirement	The minimum service delivery requirements required under this program.
Contract Manager	Staff from the Department that manages the ISMAA Contracts, including day-to-day liaison with Providers and investigation and resolution of issues the Department may receive in relation to the program.
Services	All Services that Providers are required to provide under a Contract.
State and Territory Training Authorities (STAs)	The body in each state or territory responsible for the operation of the Vocational Education and Training (VET) system, including Australian Apprenticeships, within that jurisdiction. Each STA participates in the formulation of national policy, planning and objectives, and promotes and implements the agreed policies and priorities within their jurisdiction.
You / Your	Contracted ISMAA Provider.

2   INTRODUCTION AND ROLES

Overview	The ISMAA program will provide intensive support to apprentices and trainees in the first two years of their training in industries that are undergoing structural change.
	The program complements other Australian Government support for apprentices, trainees and their employers through the Australian Apprenticeships Incentives program, Trade Support Loans and the Australian Apprenticeship Support Network.
	The ISMAA program Guidelines (the Guidelines) provide details of operating processes that Providers must adhere to over the life of their ISMAA 2017-2019 Contract.
	These Guidelines must be used in conjunction with your ISMAA 2017-2019 Contract.
Guidelines Operation Period	These Guidelines apply throughout the ISMAA 2017 – 2019 Contract period and may be varied as required by the Department.
	The final decision on the interpretation of these Guidelines rests with the Department.
Role of the Department	The Department is responsible for:
	• advising the Minister for Education and Training and Assistant Minister for Vocational Education and Skills; and • developing and implementing the Australian Government's Australian Apprenticeships policies and programs.
	The Department, on behalf of the Australian Government, has Contracted Providers to deliver the ISMAA program and is responsible for Contract management and administration of the program.
	Specifically, the Department's activities include but are not limited to:
	• developing and providing advice on policy for Australian Apprenticeships and the Australian Apprenticeships Incentives program; • tendering and Contracting organisations to provide the ISMAA program; • developing and providing advice on policy for Trade Support Loans; • tendering and Contracting organisations to provide Apprenticeship Network support Services; • monitoring, reviewing and evaluating Providers' performance and Contractual compliance; • collecting, analysing, reporting and publishing information on outcomes achieved.
	More information on the Department of Education and Training can be obtained at www.education.gov.au.
Role of ISMAA Providers	ISMAA Providers are Contracted by the Australian Government to deliver mentoring Services under the ISMAA 2017-2019 Contracts.
	The Australian Government established this program to provide Australian Apprentices with the opportunity to access an intensive and specialist level of assistance that requires a detailed knowledge of their industry. The support will

	help to address particular career and skills development concerns related to the industry. It will involve, regular one to one contact, highly skilled mentors with skill sets appropriate to service the targeted cohort.
	ISMAA Providers are required to deliver mentoring support which in turn is expected to increase the retention and completion rates of Australian Apprentices within their defined industries and regions.
	In providing these Services, in accordance with Your Contract, You must:
	- engage with Australian Apprentices, their employers, Registered Training Organisations (RTO) and other parties in a manner which respects their privacy and helps to build rapport and trust with the Client; - comply with these Guidelines; and - assist the Department to monitor and evaluate the delivery of the Services as set out in Your Contract.
Role of State and Territory Training Authorities (STA)	STAs are responsible for: - all aspects of their training systems, including policies, delivery of training, regulatory and administrative matters; - administration of the Training Contract; and - registration and approval of apprenticeships and traineeships in each jurisdiction.
ICT systems	The ISMAA program will be supported using common Microsoft Office applications, such as Word and Excel. The Department will provide templates for information production and reporting. ISMAA Providers are required to record data and provide information to the Department as specified in the instructions that accompany these templates.

3   SERVICES

Explanatory Note	In this document, **'must'** means that compliance is mandatory and **'should'** means that compliance represents best practice and that compliance is discretionary.
Program Aim	The ISMAA program aims to increase retention rates of Australian Apprentices in industries that are undergoing structural change by providing mentoring support during their first two years of training.
Overview	The ISMAA program provides an intensive and specialist level of assistance that requires a detailed knowledge of the industry. The support will help to address particular career and skills development concerns related to Your industry. It involves frequent and regular one to one contact with apprentices by highly skilled mentors with skill sets appropriate to service the targeted cohort.
	Australian Apprentices must be provided with support through a range of different mechanisms, including but not limited to:
	- support in the development of particular technical skills - supporting off-the-job learning requirements

	- providing career and pathway advice related to Your industry - providing motivation and confidence building to help achieve potential and build resilience - being a positive role model to help encourage independence, self-reliance and assistance with resolving issues that could pose a threat to the completion of the training - providing support and advice to apprentices during periods of personal difficulty. The program will be delivered to Australian Apprentices; however mentors delivering Services through this program should have a level of involvement with both employers and the Australian Apprentice's RTO to ensure that potential factors influencing success of the apprenticeship can be addressed. The program expectations are that mentors with industry specific knowledge would be able to provide deeper insights regarding the challenges and issues faced by apprentices in each particular sector. ISMAA Providers will use their experience to deliver Services under this program in a manner that: - suits the needs of the Client; and - meets the requirements outlined in these Guidelines; and - aligns with the service offering described in Your Contract.
Mentor qualifications	ISMAA Providers must deliver Services utilising mentors that have suitable experience within the industry and who are able to meet the service expectations as outlined above. ISMAA Providers are required to cover the cost of any professional development required to ensure mentors are at the standard outlined by the Provider in their tender response and agreed to by the Department as part of their Contracts.
Additional support Services	Australian Apprentices may require the intervention of additional support services such as drug, alcohol, mental health support or other services. Mentors should provide a level of support to Clients through these other interactions commensurate with their level of expertise. ISMAA Providers must have linkages with relevant support services to help transition their Clients to the appropriate service where this is required.
Level of expertise	Mentors must operate within their level of training and expertise and may provide support and advice to their Clients when additional support is required but they must not deliver Services that are outside the scope of their experience or qualification.
Eligibility for ISMAA	In order for an Australian Apprentice to be eligible to receive Services under the ISMAA program they must be: - undertaking an Australian Apprenticeship; and - in the first two years of their training; and - undertaking their training in an occupation that is in an industry undergoing structural change.

	Where an ISMAA Provider identifies an Australian Apprentice that does not meet the above eligibility criteria but would benefit from receiving Services under this program, the Provider should approach their Contract manager for consideration of special circumstances.
Individual Mentoring Plan (IMP)	Recognising that each Australian Apprentice receiving Services under this program will have different needs and require different levels of support, Providers are required to create an IMP for each Client. The IMP template is in the attachments to these Guidelines. The IMP must contain information regarding the specific needs of the Australian Apprentice as well as the type, schedule and engagement style of the Service. Information regarding the strategies that will be used to, if required, engage with the Australian Apprentice's employer and RTO must also be included in an IMP. The engagement style used for each Client must be outlined in the IMP. ISMAA Providers must deliver the majority of contact face-to-face, supported by alternate contact methods such as phone, email and SMS as required. Where face-to-face contact does not form the majority of time spent servicing the Client, the Provider must record the rationale in the IMP. IMPs must also outline any other mentoring support service that the Australian Apprentice may be receiving and identify how the support elements complement each other without duplication. As specified in further detail in the Performance Management Framework (see Section 7 below), Providers must be able to produce these Individual Mentoring Plans during IMP file monitoring or as requested by the Department. Each IMP must be signed by both the mentor and Australian Apprentice to be considered Commenced. Once the IMP has been Commenced the original must be kept on the ISMAA Provider's file in line with the requirements in these Guidelines and a copy provided to the Client. This can be a scanned copy which is emailed to the Client or as a photocopy. The IMPs are unique to each Client and must reflect their individual needs and expectations of the ISMAA program. IMPs that are completed using generic or standard comments are unacceptable.
Australian Apprentice Privacy	ISMAA Providers must include enough information in an IMP to enable the Department to make an assessment as to the type and content of the support being provided. This can include topics of discussion and action items but must reflect the individual Client's circumstances.
Benchmark servicing requirements	For a Client to be considered to be receiving (or received) a service under the ISMAA program, the following criteria must be met: • one hour of mentoring support must have been provided; and • a Commenced IMP must be in place. This is the criteria that the Department will use to determine how many Clients an ISMAA Provider has serviced in relation to their benchmark.

Minimum servicing requirement	While each Client's requirements will be different under the ISMAA program, Providers are expected, on average, to deliver a <u>minimum</u> of six hours of support to each Australian Apprentice they service under this program.
	Mentors must determine the most appropriate contact mechanism and schedule for their Clients noting that these must be recorded in the IMP. The Department's expectation is that the majority of servicing will be provided face-to-face and where this is not the case the IMP must contain comments reflecting why different contact methods were used.
	Where a Client withdraws from the ISMAA Service or leaves their Australian Apprenticeship, the benchmark servicing requirements must be achieved for this Service to be counted towards a Provider's benchmark.
	While six hours is the expected average minimum servicing level, each Client's requirements will be different and the file notes within the IMP must reflect the actual servicing provided and why this was an appropriate level.
Maximum servicing level	There are no maximum servicing levels. Mentors should determine the appropriate amount of support that is required for each Client. Mentors are best placed to determine the level of support required for each Client and will deliver Services accordingly, taking into consideration the benchmark and minimum servicing requirements, and the Provider's Contractual obligations.
Engagement with employers	The Client's employer is a key stakeholder in the successful completion of an Australian Apprenticeship. Mentors must use their skill and judgement to manage interactions with the employer of their Client. Mentors must respect employer requests, especially when this relates to times or location of access to participating Australian Apprentices.
Retained Clients	For a Client to be considered "Retained" for the purposes of a final outcome on the IMP and the program, an ISMAA Provider must deliver Services in line with the benchmark and minimum servicing requirements to Australian Apprentices during their time in this program.
	The IMP must identify the methods that were used for each mentoring consultation (i.e. face-to-face, phone, SMS, etc.) with the Department's expectation that the majority of this servicing will be undertaken face-to-face.
	Following the completion of the Service the IMP must be updated to reflect that the outcome of the mentoring Service for this Australian Apprentice is "Retained" and both parties must make all reasonable attempts to sign the Finalised IMP.
	Where Services are provided to a Client that meet the benchmark servicing requirement but do not meet the minimum servicing requirements, these Clients could still have an outcome of Retained recorded in their IMP. Providers must indicate in the IMP why the level of servicing was appropriate for the Client and how the mentoring Service contributed to a Retained outcome.
Not Retained Clients	Where a Client leaves their Australian Apprenticeship prior to the completion of their mentoring support a final outcome of "Not Retained" must be recorded on the IMP.

	Clients with a status of "Not Retained" can still count towards an ISMAA Provider's benchmark when they meet the *Benchmark Servicing Requirements* outlined above.
Post program support	Where an outcome of "Not Retained" is recorded, Providers must attempt to deliver up to at least one hour of support following the Client's departure from their Australian Apprenticeship. The purpose of this post program support is to ensure that the Client is not left unsupported following the departure from their Australian Apprenticeship. Drawing on the relationship that the mentor has established with their Client, this support could assist with further career advice, support the transition to another job or study pathway or support re-engagement with their training. The Department's expectation is that the post program support will be provided via phone but contact via any mechanism is acceptable. It is possible that Clients will not wish to engage in post program support. Where this is the case the ISMAA Provider must record this outcome in Section 6 of the IMP. Comments in this section must outline the contact. Where contact attempts are unsuccessful (e.g. a phone call is not returned), the ISMAA Provider must demonstrate a minimum of three attempts to deliver this support and record this information in Section 6 of the IMP. Once three attempts have been made to contact the Australian Apprentice the post program support will be considered complete.
Receiving ISMAA support on multiple occasions	An Australian Apprentice can receive support under the ISMAA program multiple times, per Provider, per period of their apprenticeship, subject to meeting eligibility requirements. For the purpose of this program, a period of their apprenticeship is defined as the period of time spent in an Australian Apprenticeship with a particular employer. Where a Client chooses to leave the ISMAA program the IMP must be updated to reflect this. If the Client chooses to re-engage in the program again during the same period of their apprenticeship then another IMP must be created for that Client. If the Services are to be delivered by the same Provider there must be at least a three month break between the finalisation of the previous servicing and the commencement of any subsequent servicing. In special circumstances ISMAA servicing may be provided to a Client again before the expiry of the three month re-entry timeframe, but this servicing must be approved by Your Contract manager PRIOR to delivering Services again to that Client. This Client will count towards a Provider's benchmark on multiple occasions provided they have met the benchmark servicing requirements. **Example***: Jane commences her Australian Apprenticeship with Employer 1 and completes six months. During this time she received mentoring support from Provider A. She then recommences with Employer 2 and is eligible to receive the mentoring support again.

	Example*:* Henry commences his Australian Apprenticeship with Employer 1. He receives ISMAA support for two months and then chooses not to receive the Service any more. Four months later Henry requests to receive ISMAA support again. This support is provided by the same Provider and he is still in the same period of his Australian Apprenticeship. In this example both periods of ISMAA support would count towards the benchmarks assuming they meet the other criteria.
	Example*:* Samantha commences her Australian Apprenticeship with Employer 1 and completes three months. During this time she received mentoring support from Provider A. She then recommences with Employer 2 and receives the mentoring support again from Provider A as this is with a new employer. In this example Samantha is counted twice towards the benchmark for Provider A.
Finalisation of mentoring	Mentoring Providers must complete Section 6 of the IMP which identifies an outcome and reason for finalising their involvement with the program. A "retained" or "not retained" outcome must be recorded in the IMP. Providers must also include comments regarding the outcome of their involvement with the Client.
Service regions	Services must be provided throughout the entire region(s) specified in Your Contract.
Australian Apprentices employed by Group Training Organisations (GTOs)	Australian Apprentices employed by GTOs are eligible to receive Services under the ISMAA program. A Client's IMP must describe how ISMAA Services will complement, and not duplicate, the pastoral care services provided by the GTO.
Duplication of Services	Mentors need to be mindful of other mentoring/support programs that operate in the market. Mentors must identify any other similar services that are being received by the Australian Apprentice in their IMP. The IMP must then detail how the ISMAA Services are complementary and do not duplicate other services being delivered to that Australian Apprentice.
Engaging with Australian Apprentices	ISMAA Providers are responsible for developing strategies to identify and engage with Australian Apprentices for the purpose of delivering services through this program.

4   SERVICING POST 30 JUNE 2019

Provision of Services post 30 June 2019	You are Contracted to deliver Services to Clients up to 31 December 2019. Clients may commence receiving ISMAA Services up to and including 30 June 2019. Following this date new Clients must not be taken into the ISMAA program, however those already in the program can continue to receive Services until 31 December 2019 in line with the Client's IMP.
Transition Out Plan	ISMAA Providers must provide the Department with a Transition Out Plan. This plan must describe Your approach to the finalisation of Services with Clients who require support post 31 December 2019.

	Where a Transition Out Plan provides for referrals for Service continuation by another organisation, You must include documentary evidence that this agreement is in place.
	This plan must be provided to the Department by 4 October 2019.
Monitoring of performance post 30 June 2019	The Department will continue to undertake IMP monitoring following 30 June 2019. The Department will target monitoring samples to focus on Clients who entered the program in the three months from April – June 2019 to ensure they have received Services in line with those outlined in their IMP, Your Contract and in Your Transition Out Plan.

5 PAYMENTS

Overview	ISMAA Providers are paid fees for providing mentoring Services under the ISMAA program. These Services must be delivered in line with the terms of Your Contract and these Services must be made available at no cost to the Australian Apprentice.
Eligibility for payment	You are paid in advance for the number of Clients You are Contracted to mentor during the payment period. This is based on a pro rata figure of Your Contract benchmark. In order to be eligible to receive payment for a Client You must have, for each Client: • Delivered a minimum of one hour of mentoring support to the Department's satisfaction; and • A Commenced IMP in place.
Pro rata milestone calculation	Funding for the ISMAA program is split across two financial years. Approximately 33% of funding is allocated in the 2017/18 financial year with the remainder in the 2018/19 financial year. Services will be delivered in the 2017/18 financial year across approximately eight months following the procurement process and establishment of Providers. This equates to approximately $2.42 million (or 4.15% of total expenditure) expended per month. Services will be Commenced in the 2018/19 financial year across 12 months. This equates to approximately $3.25 million (or 5.6% of total expenditure) expended per month. The Department will calculate pro rata milestones that ISMAA Providers must reach through the life of their Contract in line with these considerations. This is to ensure that the overall program goals are on target to be achieved. These milestones must be achieved in the same timeframes in which Your Service report must be provided to the Department. I.e. by the start of Month 4. In practice this calculation means: • Milestone 1 will represent 12.4% of Your total benchmark (3 months) • Milestone 2 will represent 29.1% of Your total benchmark (7 months) • Milestone 3 will represent 51.3% of Your total benchmark (11 months)

	• Milestone 4 will represent 73.5% of Your total benchmark (15 months) • Overall Contract milestone (100%) must be achieved by 1 July 2019. For example: • Provider A has a total Contract benchmark of 1000 Clients • Milestone 1 will represent 124 Clients • Milestone 2 will represent 291 Clients • Milestone 3 will represent 513 Clients • Milestone 4 will represent 735 Clients • Overall Contract milestone of 1000 Clients must be achieved by 1 July 2019. These milestones will form part of Your Contract.
Payment Period	There are five payment periods throughout Your Contract. Payments will be made in advance and will be for a specified period, subject to the achievement of milestones, as required above, to the Department's satisfaction. These periods are outlined below and are subject to change as required by the Department.

Payment Period	Milestone	Payment Date *(payment will be made within 30 days of this date)*	Provider Data Due	Payment Period End Date	Amount payable (% of total Contract value)
1	1	Contract commencement date	1 Feb 2018	28 Feb 2018	25%
2	2	1 Mar 2018	1 Jun 2018	30 Jun 2018	8.17%
3	3	1 Jul 2018	1 Oct 2018	31 Oct 2018	22.28%
4	4	1 Nov 2018	1 Feb 2019	28 Feb 2019	22.28%
5	Overall Contract milestone	1 Mar 2019	1 July 2019	30 Jun 2019	22.27%

Provider Reporting Data	Providers are required to submit reporting data to the Department one month before the start of the next payment period or in the case of the final Contract payment, following the end of the final payment period. This data must be in the format supplied by the Department and must include, but is not limited to: • Client personal details; • mentoring start date; and • Client outcome.

	An example of the data reporting template is included in the attachments to these Guidelines.

The data provided in these reports will be used by the Department to assess progress against benchmarks and determine the value of the next payment.

Providers must ensure that all Clients who meet the Eligibility for Payment criteria outlined above are recorded in this data. |
| **Final reconciliation period** | A final reconciliation will be undertaken at the end of the Contract period. At this point in time the Department will reconcile the activity You have undertaken compared to the benchmarks that were set for the Contract. Any discrepancies between these figures may result in debt recovery action being pursued by the Department against You. |
| **Calculation of payments** | You are Contracted to deliver ISMAA Services to a minimum number of Clients over the life of Your Contract. This Contracted figure is separated into pro rata milestones that must be achieved per payment period. As You progress through Your Contract the Department will assess Your progress against Your milestones via Your data reporting. |
| **Achievement of milestones** | When You provide data, the Department will undertake an assessment to determine if You are in line with Your pro rata milestones. The Department will advise You of the result of this assessment and You will send the Department an invoice for Your next payment.

If You are below Your pro rata milestones the Department will only pay You the corresponding amount for the next period for the work You have completed in the current period. For example, if You have achieved 98% of Your pro rata milestone, Your next payment will be 98% of the total amount.

Likewise, achieving the milestone figure will result in full payment of Your next funding allocation. If You are exceeding or surpassing Your milestones the Department will not pay any amount above the full payment expected. i.e. achieving 105% of Your milestone figure will result in 100% of the payment being made.

Where a reallocation of places has been made, the Department will make payments that exceed the initial 100%. |
| **Provision of invoices** | Payments will be made upon provision of an invoice from ISMAA Providers to the Department. The Department will provide advice regarding the due date for these invoices. |

6   REALLOCATION OF PLACES

Overview	In order to ensure the Department receives the greatest value for money from the ISMAA program, the Department may undertake a process to vary business allocations for Providers as part of the calculation for each payment point.

Providers must Service a minimum number of Clients within each payment period. Where Providers are unable to Service this number of Clients the Department may |

	reduce those Providers' allocations and move these places to a Provider that is meeting or exceeding their pro rata milestones.
Reallocation process	The Department will evaluate the need to reallocate places following the provision of data by ISMAA Providers, due one month before the end of every payment period, or in the event of the final payment, at the period end date.
	Reallocation will occur at the Department's discretion but not without consultation with the impacted ISMAA Providers.

7   PERFORMANCE MANAGEMENT FRAMEWORK

Introduction	The Department has developed a performance management framework consisting of two main elements:
	• building a productive and on-going business relationship with You that delivers quality Services to Clients, and
	• monitoring all aspects of the delivery of ISMAA Services with performance measured through a range of Key Performance Indicators and Your Contractual compliance.
Objectives	The Performance Management Framework aims to:
	• actively monitor Your performance and Service quality
	• identify and promptly address any underperformance
	• drive continuous improvement and identification of leading practice
	• examine and assess the relevance and effectiveness of Services provided
	• ensure value for money from Australian Government investment in the ISMAA program.
Key Performance Indicators	The Key Performance Indicators (KPIs) have been developed to measure the delivery of ISMAA Services against benchmarks and Service quality.
	KPIs will form the basis for measuring Your performance in conjunction with other terms and conditions in the Contract and the Guidelines. You will be expected to deliver Services in a manner which achieves optimum performance when measured against the KPIs.
	Your performance in delivering ISMAA Services will be measured through five KPIs. These will include both quantitative and qualitative measures.

Measurement Type	Key Performance Indicator	Key Performance Indicator requirement
Quantitative	1 ISMAA Benchmark	The number of Clients serviced meets or exceeds Your ISMAA Benchmark as specified in Your Contract.
	2 IMP Monitoring	Your administration and provision of Individual Mentoring Plans must be in accordance with the

				Guidelines and program expectations.
		3	Data Reporting	Your administration and provision of ISMAA Reporting Data must be in accordance with the Guidelines and program expectations.
		4	Retention Targets	Your performance against Retention Targets that are specified in Your Contract.
	Qualitative	5	ISMAA Service Reports	Submission of ISMAA Service Reports meets requirements of the Guidelines and meets the Departments expectations.

Alternative performance measures	As a measure of the success of the program the Department will undertake a range of reporting. These measures will not impact on a Provider's recorded performance but the Department may give feedback as part of ensuring quality program delivery.
	The areas of the program that are likely to be targeted by this reporting include:

Measure	Measure Description
Client cohort analysis	The number of Clients serviced by Your organisation identified by particular trait. Some of these measures include Australian Apprentices who: • were previously retrenched workers • have experienced long term unemployment • were previously not in employment, education or training • are mature aged Australian Apprentices • are from regional areas.
Contact method frequency	The number of Clients who received Services via a particular method, in particular alternative methods to face-to-face.

KPI 1 – ISMAA Benchmark	In order to achieve their benchmark, Providers must achieve their final Contracted benchmark as well as progress milestones identified in their Contract. This KPI will be recorded as a Met/Not Met measure.
	The Department will consider the evidence where Providers have not achieved milestones or benchmarks. If it is considered acceptable the Department will record a Met result for the particular milestone.
KPI 2 - IMP Monitoring	Monitoring of IMPs will be undertaken every six months, with an initial monitoring exercise occurring following the first three months of the Contract.
	Monitoring undertaken at the three month point of the Contract will aim to identify any issues that are present following the commencement of a new

	program. Six monthly monitoring undertaken following this initial monitoring will focus on continued program compliance and administrative quality.
	IMP Monitoring will require Providers to produce a sample of IMPs for the Department's assessment. The Department will assess each IMP for administrative quality to ensure all information is accurate, complete and appropriate.
	The Department will give Providers a list of records that must be produced for monitoring.
	This monitoring may be undertaken at other times throughout the life of the Contract as required by the Department. Providers must also be aware that the Department may wish to review a specific sample of IMPs as part of ongoing Contract management.
	The Department will liaise with ISMAA Providers regarding the production of the IMPs that are to be monitored.
KPI 3 – Data Reporting	Providers are required to submit reporting data to the Department one month before the start of the next payment period or in the case of the final Contract payment, following the end of the payment period.
	Data must be in the format supplied by the Department and must include, but not limited to:
	• Client personal details
	• Mentoring start date
	• Outcome
	The data must identify Clients who have received Services and will be used to assess performance against milestones. Providers should note that failure to provide suitable, accurate data reporting may result in upcoming payment amounts being reduced or places being reallocated.
	Providers may be required to submit data reporting at other times as required by the Department.
KPI 4 – Retention Targets	A measure of success under this program will be the retention of apprentices against the target that are identified in Your Contract for delivery of Services under the ISMAA program.
	These targets will be measured at least twice through the program, at 30 June 2018 and 30 June 2019.
KPI 5 – ISMAA Service Report	The Department requires the ISMAA Provider Reports to be submitted one month prior to Your next payment point for the duration of the Contract and must be completed in the template provided by the Department.
	ISMAA Provider reporting must contain both quantitative data and a qualitative component to reflect Your servicing methodology.
	Quantitative component
	The quantitative component of the ISMAA Provider Report will be based on Your data. You will input high level statistics regarding performance against Your benchmark and milestones as well as aggregated outcomes to date.
	Qualitative component
	The qualitative component of the ISMAA Provider Report must identify and analyse the operating environment and its impacts (both positive and negative) on Your ability to successfully deliver the program.
	Contract manager questions

	Part of the ISMAA Service report will be a requirement to respond to any specific questions Your Contract manager may have after their analysis of the data and ongoing discussions with You during the reporting period. These questions will not count towards the assessment of specific KPIs but will support continuous improvement.
Surveys	The Department may choose to undertake, or engage an external party to conduct, a program satisfaction survey either during or following the ISMAA program. Where this occurs during the life of the program, Providers will be advised.
Business Plan	A business plan will form a schedule to Your contract. This business plan will be developed from the information provided in Your tender response and will include the key aspects of Your service delivery.
Reporting templates	Reporting templates are available in the attachments to these Guidelines.
Minimum Performance Standard	The KPIs and benchmarks represent a minimum performance standard and every effort must be made to deliver above these standards.
Monitoring Timeline	The table below outlines the monitoring and reporting timeframes for Providers to adhere to under these Guidelines. Dates may vary based on Contract commencement date.

Date	KPI	Performance Requirement
Start of month 4	1, 2, 3, 5	• Provider report due • Data reporting due • Monitoring undertaken
Start of month 7	2	Monitoring undertaken
Start of month 8	1, 3, 5	• Provider report due • Data reporting due
30 June 2018	4	Retention rate measured
Start of month 12	1, 3, 5	• Provider report due • Data reporting due
Start of month 13	2	Monitoring undertaken
Start of month 16	1, 3, 5	• Provider report due • Data reporting due
Start of month 19	2	Monitoring undertaken
30 June 2019	4	Retention rate measured
Start of month 21	1, 3, 5	• Provider report due • Data reporting due
Start of month 25	2	Monitoring undertaken

Program Timeline	The table below outlines the key activities relating to the performance management framework and when they fall due across the lifespan of the program.

Month	Payment Period	Reporting Due	Data Reporting	Monitoring	Retention Measured
1	1 – 25%				
2	1 – 25%				
3	1 – 25%				
4	1 – 25%	√	√	√	
5	2 – 8.17%				
6	2 – 8.17%				
7	2 – 8.17%			√	
8	2 – 8.17%	√	√		√
9	3 – 22.28%				
10	3 – 22.28%				
11	3 – 22.28%				
12	3 – 22.28%	√	√		
13	4 – 22.27%			√	
14	4 – 22.27%				
15	4 – 22.27%				
16	4 – 22.27%	√	√		
17	5 – 22.27%				
18	5 – 22.27%				
19	5 – 22.27%			√	
20	5 – 22.27%				√
21	N/A	√	√		
22	N/A				
23	N/A				
24	N/A				
25	N/A			√	
26	N/A				

8   STAKEHOLDER ENGAGEMENT / COMMUNICATIONS STRATEGY

Aim	The Stakeholder Engagement Strategy aims to provide clarity in regards to:

	- the Department and ISMAA Providers' engagement activities anticipated for the Contract period; - the Department's expectations of Providers in relation to these activities; - the communication methods and protocols that the Department will use throughout the Contract Period; and - the Department's expectations of ISMAA Providers in relation to these communication methods and protocols.
Purpose	The aim of the Department and ISMAA Provider engagement activities detailed below is to: - share knowledge; - gather industry and market intelligence; - create partnerships and relationships; and - contribute to the overall effectiveness of the delivery of ISMAA Services.
Communication Channels	Your Contract Manager is responsible for day-to-day matters concerning the Contract and is Your first point of contact with the Department. Other activities they undertake include: - corresponding with ISMAA Providers, particularly correspondence relating to issues of non-compliance or requests for remedial action; - establishing and maintaining communication; - coordinating or undertaking performance and Contract compliance monitoring activities; - investigating any complaints, facilitating problem resolution and undertaking remedial action; - identifying and reporting trends from performance monitoring activities; - informing the Department's National Office of any emerging operational or policy issues that may affect the success of the ISMAA program; - helping to coordinate activities of other areas of the Department or the Government that involve contact with ISMAA Providers; and - debt recovery Your Contract Managers may delegate some of these tasks to other Departmental officers (their Delegates). Departmental officers may: - represent the Contract Manager at events; - provide responses to enquiries in relation to these operating Guidelines; - sign formal correspondence and issue emails to You; - sign correspondence or send emails to their equivalents on administrative matters; and - manage Contract and guideline interpretations and advice prior to referral to or from the Department's National Office.
Provision of electronic correspondence	The Department undertakes to provide electronic versions (via email) of all hard copied correspondence.
Communication Turnaround	The Department undertakes to respond to all correspondence received from You. It is expected that You will respond to all correspondence received from the Department within their specified timeframes.

Engagement with Australian Apprenticeship Support Network Providers	The Department encourages liaison with Apprenticeship Network Providers on issues relating to Australian Apprenticeships. In this context the Department will afford the same opportunity to all stakeholders to liaise with the Department on issues relating to Australian Apprenticeships.

9 MARKETING

Marketing and Promotion	ISMAA Providers are required to market and promote their Services. Promotion will include the comprehensive range of options available to key stakeholders.
	Marketing and promotional activity includes:
	• promoting the benefits and full range of ISMAA Services to all stakeholders, including employers, Australian Apprentices and industry
	• making available ISMAA promotional material provided electronically by the Department
	• promoting the career pathways of Australian Apprentices in Your industry
	• identifying themselves as ISMAA Providers who provide a comprehensive support Service in their Contracted industry / region
	• carrying out targeted local marketing of the ISMAA program consistent with the Contract.
Branding	You must market Yourself as an ISMAA Provider. The Department will provide You with an Australian Government logo for use in all publications, informational, promotional and advertising material, products, signage and inventions developed as a result of the ISMAA Services, including correspondence and business cards. This includes any graphical or digital, web-based, television or visual advertising. Marketing, and the use of Australian Government logos, must be consistent with the ISMAA program style guide.
Co-branded marketing materials	ISMAA Providers may undertake joint marketing activities and distribute co-branded marketing materials with approved sub-Contractors should they wish to do so.
Electronic materials	The Department will supply any marketing materials electronically.

10 COMPLAINTS HANDLING PROCESS

Overview	Australian Apprentices, employers and/or any other interested parties may lodge a complaint, query or provide feedback on any aspect of the ISMAA program. You must action complaints regardless of their source.
	Matters raised could include issues relating to the quality of Services provided by You.
	You must ensure that You advise employers, Australian Apprentices and other interested persons on the operation and procedures of the complaint process.

Complaints Escalation Process	1. In the first instance, You must use Your own free, easily accessible complaints resolution process to investigate and resolve complaints. This may involve liaison with Your Contract Manager for advice and assistance. The action taken to resolve the complaint must be documented on an electronic Complaints Register template provided to You by the Department. A copy of Your completed Complaints Register must be sent by email to the Department on request. The purpose of using the Department's template is to enable the Department to collate data nationally. The Complaints Register template can be found in the Attachments to these Guidelines. You must ensure that You follow up the complaint within 10 working days of the complaint being lodged with You.
	2. In the event that You cannot resolve the complaint, You must refer Australian Apprentices, employers and others to the Skilling Australia Information Line (13 38 73) to escalate their complaint. The Skilling Australia Information Line is managed by the Department. The Department will provide information, investigate the concerns of callers and take action to resolve them.
	3. For complaints referred to You by the Department, a written response (usually by email) will be required by Your Contract Manager once the complaint has been fully investigated and resolved.
	4. You must also assist employers and Australian Apprentices with other types of complaints by providing accurate referral to the most appropriate body. For example workplace relations complaints must be referred to the Fair Work Ombudsman.