



Tertiary Education Commission
Te Amorangi Mātauranga Matua

Foundation-Focused Training Opportunities Handbook

Read this document in conjunction with the information published in the [Foundation-Focused Training Opportunities](#) pages of the [TEC website](#)

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Tertiary Education Commission
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Introduction

This handbook will support education providers in the administration of Foundation-Focused Training Opportunities (FFTO) programmes. It also outlines the operational and administrative requirements for those programmes. Version 3.0 of this handbook replaces version 2.0.

Providers must read this document in conjunction with information published in the [FFTO](#) section of the [Tertiary Education Commission \(TEC\) website](#) and the terms and conditions of funding, as described in their 'Confirmation of Investment Plan funding' letter (or FFTO Funding Agreement) as appropriate.

Providers are also encouraged to contact our [Service Centre](#) for further information as required. Contact information for the Service Centre is available on the [TEC website](#) under the [Contact us](#) page.

Refocusing Training Opportunities

Training Opportunities (TO) programmes have always been targeted towards learners with low qualifications, and who are at risk of long-term unemployment, to receive training aimed at improving skills and preparing them for work.

During 2010, the Government decided to refocus the TO fund. Two new streams of funding were created, and are described below.

Sixty percent of TO funding is allocated to providers through TEC-administered FFTO programmes. Provision must be geared towards those at the highest risk of long-term benefit dependency. There is an explicit focus on improving literacy and numeracy levels and delivery linked to employment or progression to higher-level education and training. FFTO training is targeted towards learners who need to build foundation skills along with work skills in order to enter the workforce. The primary outcome sought is sustainable employment.

Forty percent of TO funding is being allocated to providers through the Ministry of Social Development (MSD)-administered Training for Work (TFW) programmes. Provision must be geared towards more work-ready clients. There is a focus on the delivery of shorter, industry-focused provision linked to local employment needs. Work and Income expect employment outcomes from programmes. Further information on TFW can be obtained from Work and Income¹.

¹ Work and Income is a business unit of the MSD.

Foundation-Focused Training Opportunities

Purpose

The purpose of FFTO is to focus on learners at highest risk of long-term benefit dependency gaining a valuable set of foundation skills that enables them to move effectively into sustainable employment and / or higher levels of tertiary education.

Programme requirements

To achieve the FFTO fund purpose FFTO programmes must:

- have a labour market focus and be relevant to local labour market needs and deliver skills valued by local employers;
- lead towards national qualifications and staircase into further training and / or education;
- have a maximum enrolment period of 26 weeks;
- have no cost for learners;
- be delivered full-time (30 hours per week) or half-time (15 hours per week, where agreed by the TEC). Learners must be on site² for the required number of hours, and a significant proportion of that time must be spent in contact with a tutor;
- include workplace learning (and may include workplace training);
- be mainly at Levels 1 and 2 on the New Zealand Qualifications Framework (NZQF);
- uphold the following underpinning principles for delivery:
 - flexibly respond to changing local labour market and employer, community, economic and societal needs;
 - ensure ready access to foundation-education and training that assists learners to access employment;
 - ensure diverse, high-quality education and training;
 - support a variety of accessible pathways to work and further learning;
 - centre on the learner and their achievement;
 - ensure sustained, integrated and cohesive support services for learners during and after the programme to support learner progression to employment or further education and higher-level training; and
 - align with Government's priorities for tertiary education as expressed in the [Tertiary Education Strategy 2010 - 2015](#) (TES).

² "On site" includes the provider's main training site, or an employer's premises if the learner is engaged in workplace learning or workplace training.

FFTO programmes are fully-funded. Providers must supply all tools and equipment, safety clothing, uniforms and tuition materials required for the training and pay for assessment and other New Zealand Qualifications Authority (NZQA) reporting costs.

Programme outcomes

The Government is seeking clear outcomes for learners from FFTO programmes as follows.

- course completion;
- educational achievement;
- progression to employment equivalent to the level of benefit receipt and aligned job-seeking obligations (as detailed in the Work and Income referral letter)³;
- progression to further education and higher-level training (except MSD's TFW programmes); and
- improved literacy and numeracy skills, as measured against the [Adult Literacy and Numeracy Progressions](#).

FFTO funding is to support high-quality provision that assists learners at the highest risk of long-term benefit to achieve the above outcomes.

Workplace learning

Workplace learning gives learners the opportunity to practice and develop skills in a real workplace. Each learner must have workplace learning integrated into their FFTO programme of study. A provider must ensure that:

- it arranges for workplace learning that reflects learner's needs;
- it allows a maximum of four weeks workplace learning for any learner over the duration of an FFTO programme. Exceptions to this maximum may be facilitated by the provider as long as a detailed and structured workplace learning / training plan is signed by the FFTO provider, learner and workplace learning provider (ie. the workplace owner(s)). This plan must set out learner needs, expected learning gains, and any unit standards that will be assessed by the FFTO provider in the workplace;
- before any placement commences, the FFTO provider, learner and workplace learning provider sign a high level written agreement recording:
 - i. objectives and duration of the placement;
 - ii. respective health and safety responsibilities;
 - iii. learner responsibilities;

³ This means that learners on an unemployment benefit will be required to enter full-time employment; whereas, some learners receiving a domestic purposes or other benefit may only be required to enter part-time employment.

- iv. respective services to be provided by the FFTO provider and the workplace learning provider (including, if workplace assessment is to take place, accreditation and responsibility to assess against the unit standards concerned); and
- provides evidence of suitable and sufficient links with local employers if requested.

TEC role

The role of the TEC is to:

- implement Government's priorities for tertiary education as expressed in the [TES](#);
- invest in training within available budget, to meet regional and target group training needs;
- monitor provision to ensure that providers meet contractual requirements; and
- monitor performance, and use this information to inform funding decisions.

Provider role

The role of the provider is to:

- design and deliver training that:
 - i. meets FFTO programme requirements;
 - ii. reflects the underpinning principles of FFTO delivery (including meeting local labour market needs); and
 - iii. delivers on FFTO outcomes;
- use quality management systems, and achieve and maintain NZQA registration and accreditation;
- report to the TEC as required in accordance with funding conditions [TOP033](#) and [TOP035](#), as published on the [TEC website](#); and
- meet the requirements set out in this handbook and on the [TEC website](#).

Providers must be NZQA-registered and accredited to receive FFTO funding from the TEC.

Contractual arrangements

Investment Plans

Providers in receipt of FFTO funding from the TEC are required to have a Plan approved for funding in place by 31 December of the year prior to the planned FFTO delivery. Providers must also agree to the Terms and Conditions of FFTO funding before funding is provided. This information forms part of the 2012 funding approval

documentation. The deadline for returning the accepted 2012 Terms and Conditions of FFTO funding is 23 December 2011.

Plans are submitted through a submission tool accessed through an online [Workspace](#). To access [Workspace](#) providers require an ESAA (Education Sector Authentication and Authorisation) login. Further information about getting an ESAA login and submitting a Plan is available on the TEC website [here](#).

There is also detailed information about what a Plan is on the TEC website [here](#). Questions can also be directed to our [Service Centre](#).

Funding approval for a Plan is given through a 'Confirmation of Investment Plan funding' letter or a 'Funding Agreement' for providers in receipt of FFTO funding only.

Conditions of funding

Providers offering FFTO-funded programmes must meet NZQA requirements and coordinate with Work and Income and the TEC as required. FFTO funding approval is subject to the following funding conditions: [TOP031](#), [TOP032](#), [TOP033](#), [TOP035](#), and [MOR003](#)⁴. Rule [ENR134](#) also applies.

The TEC will also consider previous performance as part of its future investment decisions.

Performance commitments and minimum achievement levels

The table below shows mandatory performance commitments for providers and the minimum achievement levels for 2011 and 2012 FFTO provision.

Year	FFTO performance commitments	Minimum achievement levels
2011	<ul style="list-style-type: none"> Adult Literacy and Numeracy Skills Progression outcomes 	<ul style="list-style-type: none"> All learners show improvement in literacy and numeracy skills from entry to exit of training.
2011 and 2012	<ul style="list-style-type: none"> Course completions 	<ul style="list-style-type: none"> 80% of learners complete their course of study⁵.
	<ul style="list-style-type: none"> Achievement of unit standards 	<ul style="list-style-type: none"> All learners completing their course of study achieve at least three unit standards on average.
	<ul style="list-style-type: none"> Employment outcomes (LMO) 	<ul style="list-style-type: none"> 38% of all learners achieve employment outcomes equivalent to their benefit type and aligned job-seeking obligations within 91 days of leaving the programme (except Training For Work provision).
	<ul style="list-style-type: none"> Further education and training at a higher level outcomes 	<ul style="list-style-type: none"> 26% of all learners move off benefit and progress to further training or education at NZQF Level 2 or above within 91 days of

⁴ Funding condition MOR003 applies to providers that are identified as non-Tertiary Education Institutions: ie. private training establishments (PTEs), rural education activities programmes (REAPs) and schools.

⁵ Completion means learners undertake 14 weeks of training from the date of enrolment.

Year	FFTO performance commitments	Minimum achievement levels
		leaving the programme.
2012	<ul style="list-style-type: none"> Adult Literacy and Numeracy Skills Progression outcomes 	<ul style="list-style-type: none"> 90% of all learners are assessed in literacy and numeracy skills using the Literacy and Numeracy for Adults Assessment Tool or Starting Points.

The 14 week course completion performance commitment is measured independently of labour market outcomes (LMOs). A learner does not have to 'complete' the course to have their employment and / or further education and training, and literacy and numeracy skills improvement outcomes counted. Completion rates may be impacted if a provider enrolls a student for the first time when there are less than 14 weeks left on a programme. TEC is not concerned about failure to meet completion targets in such cases, as long as the remaining FFTO performance commitments are met.

LMO data is reported by the provider to the TEC using the [Electronic Receipting System](#) (ERS). Course completion, unit standard achievement and literacy and numeracy skills improvement is monitored by the TEC without the provider needing to report it.

As providers are primarily reliant on Work and Income for FFTO referrals, a previous TO performance target - that providers reach an average of 75% occupancy over the duration of a programme, is not a measure the TEC is using to inform FFTO funding decisions for 2012.

This may be subject to change from 2012 as the new MSD referral system beds in.

NZQA requirements

Providers must be NZQA registered and have an EDUMIS number in order to receive funding for a programme. Each provider must also ensure it has the appropriate NZQA accreditation to deliver its programme(s), assess against the unit standards within the programme(s) and be able to provide evidence of this if requested (such as by giving the TEC a copy of its most recent accreditation approval letter to demonstrate that accreditation covers the unit standards being delivered).

If a provider is found to not be NZQA accredited to deliver a FFTO-funded programme or to assess against one or more of the unit standards within the programme, some or all FFTO funding for the programme will be at risk or will cease, and any debt will be recovered by the TEC.

To ensure that NZQA records learner credits, providers must:

- check whether learners have an existing record of achievement (ROA) with NZQA;
- register learners with NZQA as enrolment occurs, and pay the learner registration fee for each; and

- report all NZQF results to NZQA within four weeks of a learner leaving the programme.

If learners gain unit standards which are the final unit standards required for a national certificate, the provider must notify NZQA and forward any required fee to gain a copy of the qualification awarded for the learner.

National Student Number

All learners must be registered on the [National Student Index](#) and in receipt of a verified National Student Number (NSN) before being enrolled in an FFTO programme. Further information about the NSI is available on the TEC website [here](#).

Providers must ensure that each learner either has a verified NSN or must apply to the [Ministry of Education](#) (MOE) to obtain one on their behalf. Without a verified NSN, learners cannot be enrolled through the [ERS](#).

Change of ownership and control

Providers that change ownership or control during the contract period must contact the TEC at the earliest stages of planning in order to ensure eligibility for funding. Changes of ownership or control may necessitate changes to the existing Plan (or in some instances a new Plan). If there no agreed Plan is in place, then funding will cease and any debt will be recovered by the TEC.

Providers must:

- notify the TEC and NZQA at least 28 days before the planned change date. It is advisable to contact government agencies as early as possible, to facilitate a smooth transition during a change of ownership; and
- meet the requirements outlined on the [Change of ownership](#) page on the TEC website.

Eligibility

Please read this section in conjunction with the [Enrolment and reporting requirements](#) section of this handbook.

Providers must confirm that a learner is eligible to enrol in an FFTO programme before an enrolment is processed. This means the provider must be in receipt of the Work and Income FFTO referral letter for the learner.

The table below describes the information the provider must verify and / or retain.

Provider verifies and / or retains	Enrolment and supporting document requirements
National Student Number (NSN) Work and Income referral letter	Enrolment form Work and Income referral letter Bank-verified account number - if the learner is being paid travel reimbursements by the provider

Learner eligibility

Learner eligibility information for FFTO-funded provision is available on the [Learner eligibility](#) page of the [FFTO section](#) of the TEC website. The learner eligibility requirement is defined in funding rule [ENR134](#), as published on the TEC website.

To enrol in an FFTO programme, a learner must be referred by a Work and Income case manager. As part of the referral process, the case manager will use an assessment tool called the 'Likelihood of Long-Term Benefit Receipt Predictor Tool' (LLTBR) to establish a rating for each individual.

The LLTBR Tool will assist case managers to determine whether a client should be referred to an FFTO programme or a TFW programme, or whether another programme or form of support is more appropriate. There is further information on the LLTBR Tool in the [LLTBR Tool](#) section of this handbook.

Period of eligibility

A learner retains eligibility to participate in TO programmes for up to six months between programmes. Some learners move through a number of learning experiences while raising their skill levels. However, the six month 'assessed' period was disestablished when FFTO was implemented on 1 January 2011. Learners are not eligible to participate in a second FFTO programme, unless specifically referred by a Work and Income case manager.

As of 1 January 2011, each learner is entitled to a maximum total of **26 calendar weeks** (excluding any recesses) enrolment in FFTO programmes. It is the responsibility of the provider to alert case managers to the existence of any programme recesses in order that the case manager does not count a recess period as part of the 26 week entitlement.

The expectation is that once enrolled, a learner will remain in that programme with that provider for the entire 26 weeks permitted. However, in the event that a learner does withdraw early, the 26 week entitlement can be considered a total entitlement. This means that if, for example, a learner completes 12 weeks on one FFTO programme, that person may be enrolled on a second FFTO programme for a further 14 weeks (if referred to the second programme by their Work and Income case manager). The second programme may be delivered by the same or a different provider.

Referrals entitling a learner to a second block of 26 weeks in FFTO will only happen in exceptional circumstances. The exception for 2011 and 2012 will be English for

Speakers of Other Languages (ESOL) learners – they are entitled to a total of 52 weeks in FFTO programmes.

Referral process

Referrals are based on case manager assessment of each client's risk of long-term benefit dependency and any previous FFTO or TFW programme they may have participated in. The new referral process is ensuring that clients at low-risk of long-term benefit dependency are referred to appropriate job search activities, Work and Income vacancies or other services for job-ready clients contracted by MSD. Clients at medium-risk of long-term benefit receipt may be referred to an FFTO programme if there is no suitable alternative programme in their area or if they are assessed as requiring foundation-skills training.

The Work and Income referral letter must be in the possession of the provider before a learner can be formally enrolled.

The referral system may result in inappropriate referrals from time to time. An example would be a client being referred to a TFW programme when the client has underlying literacy and / or numeracy needs that mean they should be referred instead to an FFTO programme. An exception decision is available to case managers where there is contextual information such as that described, to indicate the referral is not appropriate, and thus allowing the risk rating to be exempted. Such occurrences are being dealt with on a case-by-case basis between providers and the appropriate Work and Income office.

Providers should assume however, that if a client has been referred to their FFTO programme by Work and Income, that client meets all requirements and is therefore eligible for the programme.

Potential learners who approach a provider seeking to enrol on an FFTO programme must be referred back to Work and Income for an LLTBR assessment to be completed, eligibility for FFTO determined, and a referral letter provided.

LLTBR Tool

Work and Income case managers will use the LLTBR Tool to provide an indication of how long each client is likely to remain on a main benefit for the next two year period.

Low risk - these are clients who are essentially work-ready and will not generally require training assistance to obtain work.

Medium risk - these clients may benefit from short-term employment-focused training specifically aimed at helping them gain work.

High risk - these clients require foundation-skills training in order to be ready to enter employment. These are the clients FFTO provision is targeted towards.

The Work and Income referral letter will show the risk rating as employment assistance: low, medium or high.

Characteristics currently considered as part of the LLTBR assessment rating are:

- benefit type and duration;
- time spent on benefit over the previous 10 year period;
- age and gender;
- details of any current and previous disabilities;
- education and employment history;
- age of youngest child;
- location;
- previous participation in employment assistance and training activities; and
- declared income.

It is likely that over time more characteristics will be added to those listed above.

Workbridge referrals

[Workbridge](#) is an employment service for people with all types of disability. It also administers support funds on behalf of MSD. More information about Workbridge is available on its [website](#). Workbridge must refer its clients to Work and Income in order to have eligibility for FFTO assessed.

Discretionary approvals no longer applicable

All referrals to FFTO will be made by Work and Income case managers. Discretionary approvals are therefore no longer applicable for this programme.

Referral letter

Work and Income will supply providers with a letter of referral for each learner. The TEC requires that the Work and Income referral letter specify the benefit type of the client being referred, and be no more than eight weeks old at the learner start date. Before a learner is formally enrolled in an FFTO programme, the provider must have the referral letter. Without this documentation it is not possible to confirm eligibility. This also means the provider is not eligible for payment for that learner.

Learner enrolment start dates must be on or after the date when the referral letter was received by the provider. Providers are not eligible for payment for enrolment periods which are not supported by the appropriate documentation.

Provider audit will be used to ascertain whether the required documentation has been properly obtained and that enrolment dates are appropriately aligned to that documentation.

Low qualifications

The assessment rating provided by the LLTBR Tool considers client qualifications. Providers are not required to gather or retain evidence of qualification achievement to determine eligibility for referred clients.

Education history is however still relevant when determining an appropriate programme of study for each learner. Authorised providers can still check credit achievement by obtaining a copy of the NZQA [ROA](#) for each learner. This information can be obtained directly from [NZQA](#).

It is recommended that providers still collect information on prior learner qualifications when it is readily available.

Learners in part-time employment

Learners in part-time employment (as defined by Work and Income) may be still be enrolled in an FFTO programme. Work and Income case managers will determine the appropriateness of referring such clients on a case-by-case basis, using the LLTBR Tool as part of the assessment process.

Learner selection

Providers may ask Work and Income clients referred to their FFTO programme to complete a 'provisional enrolment period' of up to 10 working days. Learners should be enrolled via the ERS on the day they commence the provisional enrolment period. This time can be used by the provider to determine in their view the suitability of the learner for the programme, and also identify any specific learning needs the person may have. This is discussed in further detail in the [Provisional enrolment](#) section of this handbook.

Providers may decline entry to learners they assess as unsuitable for the programme. Providers must advise Work and Income if a referral is declined and provide adequate reason(s) why they have been declined. Entry may be declined for one or more of the following reasons.

- The training is unsuitable for the learner (eg. the learner has very high literacy and numeracy needs and should be referred to a more intensive literacy and / or numeracy-focused programme).
- The learner has a criminal record which will prevent employment in the field of training.
- The learner has an ill child or childcare issues.
- The learner is medically unfit for the programme.

Literacy and numeracy

Learner assessment

One of the aims of FFTO is to improve the literacy and numeracy skills of each learner, as measured against the [Adult Literacy and Numeracy Learning Progressions](#).

The TEC requires all providers in receipt of FFTO funding to assess the literacy and numeracy skills of at least 90% of learners using the [Literacy and Numeracy for Adults Assessment Tool](#) (the [Assessment Tool](#)) or Starting Points.

The [Assessment Tool](#) is an online adaptive tool designed to provide robust and reliable information on the literacy and numeracy skills of adults. It should be used for learners that are at, or beyond, the first steps of the [Learning Progressions](#). The [Assessment Tool](#) informs the development of learning interventions that strengthen literacy and numeracy skills. It allows learners to track their progress over time, and enables providers to report on learner progress.

It is likely that some learners will be at 'Starting Points'. This means that their literacy skills are such that they are sitting below Step 1 of the [Learning Progressions](#) and are unable to use the Assessment Tool. The [Starting Points Assessment Guide](#) should be used in such instances. Providers should also refer to the vocabulary assessment as part of the [Assessment Tool](#).

There is additional information and a number of other helpful resources on the [Literacy and Numeracy for Adults](#) website. This includes:

- [Assessment Tool](#).
- [Snapshot Assessments](#) (a shorter version of the [Assessment Tool](#) that is particularly suitable for progress assessments).
- [Vocabulary Assessments](#) (most appropriate for learners with very low reading skills (ie. working at Starting Points or lower levels of the [Learning Progressions](#)). It is computer adaptive and lets learners hear questions as well as being able to read them themselves.

One of the mandatory performance commitments for FFTO in 2012 is that 90% of learners are assessed in literacy and numeracy skills using the [Assessment Tool](#) or Starting Points.

The TEC expects each provider to upload the details of all its FFTO learners following enrolment to determine whether or not they have previously been assessed using the [Assessment Tool](#). If a learner **has not been assessed previously**,⁶ the provider will

⁶ Look in the Assessment Tool under the learner details page under 'Assessment from Other Organisations'. If this page is selectable, a prior assessment has occurred and a provider can ascertain the achievement levels of the learner. If the page is not selectable, this means no prior assessment has occurred.

use the [Assessment Tool](#) to assess the learner at the start of their enrolment on the programme, and again towards the end of their enrolment to determine progress gains.

If a learner **has been assessed previously**, the provider will use the results to determine whether or not another assessment using the [Assessment Tool](#) is needed at the point of enrolment on the new programme. It is important to ensure learners are not over-assessed, and providers may use the assessments from other educators or providers if the learner has been assessed using the tool within the last 90 days.

Providers do not need to assess a learner for numeracy, reading or writing skills if the earlier assessment in the [Assessment Tool](#) reports that the learner is at:

- Step 6 in Numeracy; or
- Step 5 or Step 6 in Reading; or
- Step 5 or Step 6 in Writing.

If the results identified in the first assessment are lower than Steps 5 or 6, and / or if any assessment was done more than 90 days prior, providers must assess the learner using the [Assessment Tool](#) at the start of the enrolment on the programme, and again towards the end of their enrolment.

Learners should be assessed against at least two areas from reading, writing or numeracy. Follow-up assessments must be against the same strand(s) as the initial assessment. This will ensure consistency in use of the [Assessment Tool](#) and underpins reliable reporting on learner gain.

Literacy and numeracy performance data

Providers are not required to report literacy or numeracy skill improvements directly to the TEC. Learner NSNs entered into the ERS will be linked by the TEC with those in the [Assessment Tool](#) database to ascertain whether learners have been assessed appropriately and learning gain achieved.

This will show whether the programme has met the minimum achievement level for literacy and numeracy skills assessment.

Provider uptake of the literacy and numeracy assessment tools described in this Handbook will inform future policy and funding decisions. This includes the development and implementation of funding conditions relating to use of the tools, as well as consideration of how learner gain can be best identified, evaluated and reported. Comprehensive and accurate data from providers will ensure those processes are evidence-based and robust.

Electronic Receipting System

The [Electronic Receipting System \(ERS\)](#) enables FFTO providers to enter enrolment, withdrawal, LMO and programme management data electronically into the TEC's funding systems.

ERS offers two ways to capture enrolment and programme management information:

- a web based application accessed via standard web browser software; or
- providers with student management systems can upload enrolment and programme management data directly into the TEC funding systems.

ERS has been changed to enable enrolments and amendments to occur under FFTO rules and requirements. There is an [ERS overview](#) available on the TEC website and a detailed [ERS user-guide](#) also available on the [FFTO section](#) of the TEC website.

Previously JSR, Solo ID and / or SWN numbers have been collected. Collection and entry of the SWN number and benefit type is now compulsory, and is included in the Work and Income referral letter.

Provider responsibilities

Before a learner is enrolled in an FFTO programme through ERS, all documentation supporting learner eligibility must be held by the provider. Audits of providers by the TEC will ascertain whether enrolment dates and dates on supporting documentation are appropriately aligned.

Providers must retain all original enrolment and programme management forms and supporting documentation on individual learner files.

When submitting information, providers must ensure that the information is complete and exactly as it appears on each individual [enrolment form](#) and supporting documentation (except for correcting obvious errors that have been noted on the enrolment form).

Work and Income liaison

Providers should deal directly with the relevant Work and Income case manager for each learner. This includes referrals and reports on participation and progress. Providers should also supply programme information to their local Work and Income Office to help case managers make appropriate referrals.

The [Directory on the Web](#) portal, accessed through the TEC website, provides Work and Income case managers with information on programme vacancies. The training directory information form is available on the [Resources](#) page of the [FFTO](#) section of the TEC website and is to be used by providers to submit programme information to the TEC so it may be loaded into the [Directory on the Web](#).

Providers should work to develop a positive working relationship with their local Work and Income office and have a responsive service in place to meet client referral needs. This includes:

- information that accurately describes the training being offered;
- a reception service able to respond to contact from Work and Income case managers during normal office hours;
- clear expectations about attendance and participation, documented and communicated to learners at the point of enrolment (including the implications of not meeting those);
- staff who maintain a customer service orientation to Work and Income case managers in managing referrals, while focusing on meeting the needs of each learner; and
- systems to gather and respond to feedback from learners.

In the event of a learner being enrolled on a programme that differs from that stated on the Work and Income letter of referral, the provider must contact the referring Work and Income office and advise the relevant case manager of the amended programme details.

Enrolment and reporting requirements

Providers must ensure that all information provided to the TEC about a learner is accurate and complete to the best of their knowledge. Other information regarding learner enrolment requirements and relevant forms can be found in the [FFTO](#) section of the TEC website.

When enrolling learners, or amending an existing enrolment, providers must ensure and verify that the learner has signed the learner declaration section of the learner enrolment form, and the provider must sign the provider declaration section of the learner enrolment form. The learner enrolment form is available on the [Resources](#) page of the [FFTO](#) section of the TEC website.

Signing the provider declaration confirms the provider has:

- checked and found the details on the learner enrolment form are correct; and
- followed the required enrolment process steps .

When processing an enrolment using ERS, the provider must verify that:

- the learner declaration has been signed by the learner;
- the learner has authorised the provider to collect the information included on the enrolment form; and
- the information is submitted without alteration to intent and without erasure.

When processing an enrolment using ERS, the provider submitting the enrolment and programme management data must retain all original enrolment and programme management forms and required supporting documentation on individual learner files.

When enrolling a learner using a student management system (SMS) the enrolment forms generated by the SMS can be used, however, they must be approved for use by the TEC first. If changes are subsequently made to the approved SMS enrolment form, the new form will need to be approved by the TEC before it can be used.

Any learner accepted for training, but does not attend on the start date, must not be formally enrolled until they do attend. Any learner who has pre-enrolled but does not attend must be withdrawn from the start date.

NZQA will send a ROA to each learner each year, showing total credits achieved. Learners can obtain replacement copies from NZQA. Learners are also able to view their ROA online using a PIN obtained by emailing the help-desk at the NZQA. NZQA will also advise providers on the total credits a learner has achieved.

Authorised providers can also access this information from the [NZQA website](#).

Enrolment entitlement

The maximum total time a learner can be enrolled in FFTO programmes, is **26 calendar weeks**. Providers with recesses should note that Work and Income case managers may not be aware that a programme is in recess, and may incorrectly assume any recess weeks to be part of the 26 week entitlement unless clarified by the provider.

Neither recess weeks, nor the 10-day provisional enrolment period (see below) are included within the 26 week maximum.

Provisional enrolment

The first 10 working days of a learner's enrolment may be treated as 'provisional enrolment'. During this time, the provider will determine the learner's suitability for enrolment beyond the 10 day provisional period. Determining suitability may include:

- assessing the literacy and numeracy skills of the learner; and
- completing any other assessment the provider considers necessary to verify suitability for enrolment.

The provider will be paid for the provisional enrolment period even if the learner does not continue after the provisional enrolment period has ended. Provisional enrolment periods are counted as 'used' trainee weeks by the TEC when measuring programme throughput and occupancy.

For all non-provisional (and provisional) learners that leave a programme:

- providers must use ERS to report employment and higher-level education and training outcomes for learners. Learners who withdraw within 10 working days of the provisional enrolment ending will be considered a 'nil' result by the TEC for these outcomes; and
- course completion, unit standard achievement and literacy and numeracy skill improvement is not reported by the provider.

Attendance and withdrawal

Providers must:

- inform learners at enrolment of attendance expectations and the implications if expectations are not met. This may include the requirement to produce a medical certificate after a certain number of days absence due to sickness;
- withdraw a learner immediately if that person leaves the programme before the contracted end date, including learners who are absent:
 - without notification for five consecutive working days. These learners must be withdrawn using a withdrawal date no later than the fifth day. Providers may withdraw the learner earlier if they wish; or
 - for more than 10 consecutive working days for any reason. These learners must be withdrawn using a withdrawal date no later than the tenth day;
- record the reason(s) for non-attendance; and
- have a formal attendance policy which aligns with the above, and make a copy of that attendance policy available to TEC on request.

Placement in error

If it is established that an active learner has been enrolled in error, the provider must:

- withdraw the learner from the programme; and
- complete and submit a [Placement in error](#) form to the TEC [Service Centre](#).

Placements in error will be monitored by the TEC.

Reporting requirements

Providers delivering FFTO programmes must ensure that the information on the forms listed in the table below is submitted via ERS in accordance with the timing and other requirements set out in this handbook. Providers must ensure that the information captured on these forms is complete and accurate before submitting.

Form	Purpose	Notes	When required
Learner enrolment	Collection of statistical data and placement details to enable accurate and timely payments.	Learner and provider complete this form for each programme in which the learner enrolls. Provider retains the original form and copies of all supporting documentation. Learner signs the form to verify the information for audit and Privacy Act 1993 purposes. The provider also signs the form.	As soon as the learner is enrolled and attending.
NZQA Record of Achievement Number documentation	Collect NSN identification numbers and determine total unit standards achieved.	Provider enters the information on each learner record so credit achievement can be recorded. Provider needs the NSN to report unit standard achievement.	As enrolment occurs and when results are reported to NZQA.
Amend learner details	Update learner contact details.	Learner signs this form to verify the information for audit and Privacy Act 1993 purposes. Provider also signs the form. Provider retains all evidence of the changed details and, when submitting programme management data to the TEC, and retains a copy of verified evidence with their records.	As required.
Learner withdrawal	To withdraw learners who leave before the end of the programme.	As the TEC automatically withdraws learners in training at the end of a programme, bulk withdrawal forms are not required. In the case of an early withdrawal the provider specifies both the last date of attendance and the date of withdrawal.	As required in accordance with the TEC attendance policy.
NZQF results	To collect the unit standard results for all provisional and non-provisional learners leaving the programme.	Provider reports NZQF results to NZQA.	Within four weeks of a learner leaving the programme.
Training outcomes	To collect employment, and education and training at a higher level, outcomes for all provisional and non-provisional learners leaving the programme.	Provider completes the LMO form in ERS for all non-provisional learners 91 days after learner withdrawal from / completion of enrolment in the programme. Provider retains all documentation on outcomes and employer contact details for audit purposes.	91 days after each learner leaves the programme.
Attendance records	To record learner attendance.	Provider keeps verifiable evidence of learner attendance. The TEC may request this information for audit purposes. Provider records reasons for non-attendance. When there is a pattern of infrequent or sporadic attendance the TEC will recover the relevant funding.	When requested for audit purposes.

Form	Purpose	Notes	When required
Training provider details	To update provider records.	Provider submits this in written form to the TEC.	As required.
Programme changes	To update programme records.	Provider submits this in written form to the TEC.	As required.

Learner destination / labour market outcomes

To meet provider performance commitments, learner destinations (also known as LMOs) must be measured at three months (**91 days**). This is a contractual requirement of funding. Providers must:

- verify each learner LMO for employment or a programme of further study. Verifiable evidence of the LMO must be retained on the individual learner's file;
- submit an LMO for all learners within three months (91 days) after learner withdrawal from the programme; and
- give contact details for all employment and further training LMOs submitted to enable the TEC to verify the LMOs.

A learner does not have to 'complete' the course to have their employment and / or further education and training outcome counted. This means LMOs will count towards provider performance for all enrolled learners (except those who do not continue with the programme during the 10 working day provisional enrolment period).

Two categories apply to LMOs from 1 January 2011:

- Achieved, including:
 - i. employment outcomes considered to be aligned with a learner's job seeking obligations; and
 - ii. further education and training at Level 2 and above outcomes (with the exception of the MSD's TFW programmes).
- Nil, including:
 - i. learners withdrawn from a programme during the provisional enrolment period (ie. within 10 days of the learner's training placement start date) even if the destination is an 'achieved' outcome. The outcome is unlikely to be directly attributable to the programme in such a short period of time;
 - ii. learners moved from an FFTO programme to any MSD training programme; and
 - iii. all other learner destinations that are 'not achieved'.

LMO information is reported by the provider to the TEC using the [Electronic Receipting System](#) (ERS). Providers offering FFTO-funded programmes in 2011 must use the

codes identified in the table below when submitting LMOs through ERS. The codes will be used for statistical analysis and also to determine provider performance against the [FFTO performance commitments](#).

In the event that employment and further training outcomes remain outstanding 120 days after a learner withdraws from a programme of study, the TEC will automatically report a default outcome of not known (NOK).

LMO code	LMO name	LMO type code	LMO type name
EMP	Employment (full-time)	APP	Modern Apprenticeship or Industry Traineeship
		CDT	Cadetship
		EM3	Employed 20–29 hours per week
		EM4	Employed 30–39 hours per week
		EM5	Employed 40 or more hours per week
		SBE	Subsidised employment
PTE	Part-time employment	EM1	Employed 1–9 hours per week
		EM2	Employed 10-19 hours per week
		EM6	Employed 10 – 14 hours per week
		EM7	Employed 15 – 19 hours per week
FPT	Training outside targeted programmes at Level 2 or above	OFT	Other full-time training
		OPT	Other part-time training 1-19 hours per week
		PFT	Full-time polytechnic 20 or more hours per week
		UNI	Full-time university 20 or more hours per week
	Targeted programmes	TWT	MSD's Training for Work programme
		TOP	Foundation Focused Training Opportunities
		YOU	Youth Training
NOK	Not known	NOK	Not known
OTH	Other	OLF	Out of the labour force
		UNM	Unemployed
		CTF	Community Task Force
		DEC	Deceased
		POP	Pregnant or Prison

Several LMO codes have been added to the ERS. One of the codes - TWY, is selectable but is not applicable to FFTO. **Do not use this code for FFTO learners.**

The information in the table below identifies the outcomes that the TEC and the MSD consider to be 'achieved' results for the various beneficiary types that will be referred to FFTO programmes.

Benefit type	Job seeking obligations	LMO type codes
Unemployment Benefit (UB)	Full time employment (classed as 30 hours or more of employment per week)	EM4 EM5 APP CDT SBE OFT PFT UNI
Domestic Purpose Benefit (DPB)	Minimum of part-time employment (classed as 15 hours or more per week)	EM3 EM4 EM5 EM7 APP CDT SBE OFT OPT PFT UNI
Sickness Benefit (SB)	Minimum of part-time employment (classed as 15 hours or more per week)	EM3 EM4 EM5 EM7 APP CDT SBE OFT OPT PFT UNI
Invalids Benefit (IB)	Any part-time employment	APP CDT EM1 EM3 EM4 EM5 EM6 EM7 SBE OFT OPT PFT UNI

Achieved LMOs

The table below summarises LMOs in relation to beneficiary job seeking obligations that the TEC and MSD consider are 'achieved' LMOs for the various types of beneficiaries that Work and Income will refer to FFTO programmes.

Benefit type	Achieved result
Unemployment Benefit (UB)	<ul style="list-style-type: none"> Full time (≥ 30 hrs per wk) employment Full time (≥ 20 hrs per wk) further training outside targeted programme
Domestic Purpose Benefit (DPB) Sickness Benefit (SB) and Emergency Maintenance (EMA)	<ul style="list-style-type: none"> Part-time (≥ 15 hrs per wk) employment Part time (≥ 15 hrs per wk) further training outside targeted programme
Invalids Benefit (IB)	<ul style="list-style-type: none"> Any part-time employment Any part time training outside targeted programme

Achieved result examples

A UB beneficiary referred to an FFTO programme is expected to find full-time employment of at least 30 hours per week upon graduation. Codes APP, CDT, SBE, EM4 and EM5 are the only employment-related LMO codes which will be counted as an 'achieved' result for this type of learner, because these are the only codes which align to the MSD's 30 hours per week minimum job seeker expectation.

MSD has agreed that some full-time study options may be an appropriate outcome for a learner in receipt of the UB. Therefore, the full-time further training LMO codes (OFT, PFT and UNI) are also deemed to be 'achieved' results for an UB beneficiary.

The job seeking obligations of a learner in receipt of an IB means that when they graduate from an FFTO programme, any kind of part time employment or further training result is deemed to be an 'achieved' result.

Nil LMO result examples

The table on the next page provides examples of LMOs that TEC and MSD consider are a 'nil' LMO for the various types of beneficiaries that Work and Income will refer to FFTO programmes.

Benefit type	Nil result
Unemployment Benefit (UB)	<ul style="list-style-type: none"> Part time (≤ 29 hrs per wk) employment Part time (≤ 19 hrs per wk) further training outside targeted programme Learner in receipt of a benefit withdrawing from a programme within 10 working days of enrolment following completion of

Benefit type	Nil result
	the 10 working day provisional enrolment period (refer to the section on Provisional enrolment)
Domestic Purpose Benefit (DPB) Sickness Benefit (SB) and Emergency Maintenance (EMA)	<ul style="list-style-type: none"> • Part-time (≤ 14 hrs per wk) employment⁷ • Part time (≤ 14 hrs per wk) further training outside targeted programme • Learner in receipt of a benefit withdrawing from a programme within 10 working days of enrolment following completion of the 10 working day provisional enrolment period (refer to the section on Provisional enrolment)
Invalids Benefit (IB)	<ul style="list-style-type: none"> • No part-time employment or part time training outside targeted programme • Learner in receipt of a benefit withdrawing from a programme within 10 working days of enrolment following completion of the 10 working day provisional enrolment period (refer to the section on Provisional enrolment)

Discontinuing the use of EM2

EM2 must not be used when reporting an employment result of between 10 and 19 hours per week for FFTO. Providers must instead use EM6 or EM7 as applicable. The EM2 code is still applicable to Youth Training in ERS.

Default outcomes

Providers may submit a written request to the TEC [Service Centre](#) to amend default outcomes when an employment or further training outcome has been achieved but not reported by the three-month LMO reporting date.

If submitting a multiple employment outcome for a learner through ERS, total the number of hours worked across the various jobs the learner has gained and enter the total. In these cases, multiple employer contact details must be noted.

The TEC will accept employment and further education and training LMOs outside New Zealand if it can verify them.

Following verification of an LMO, there may be a difference between the record held by a provider and the TEC. If there is a difference, the TEC record will show what the TEC was able to verify.

⁷ In exceptional circumstances, Work and Income case managers may determine that part-time employment or further training of **less than** 15 hours per week is considered an achieved result for certain individual DPB or SB clients. Evidence of case manager agreement to have such results counted as positive for a specific client must be provided to the TEC Service Centre for consideration.

LMO for learners who re-enrol with the same provider within 60 days of withdrawal from a programme

The TEC will not count the LMO for a learner who leaves one FFTO programme (A) and enrolls on another (B) run by the same provider within 60 days of leaving programme A. This applies to learners 'rolling over' from TO provision in 2010 to FFTO programmes in 2011. This allows the LMO result for that learner to be counted once – the result for programme B.

The TEC is aware of the impact of this policy on ESOL programmes. As ESOL learners are entitled to undertake two FFTO programmes in 2011, the results for ESOL programme A are likely to be skewed. This will be taken into account when considering programme performance as part of future investment decisions.

Reporting FFTO and TFW learners in the SDR

Providers that receive Student Achievement Component (SAC) funding are required to report information about FFTO and TFW learners when submitting Single Data Returns (SDRs). FFTO and TFW learners must be reported in the SDR using a qualification code of PCTOP and a source of funding code of 6. FFTO and TFW-funded providers who do not receive SAC funding are not required to submit an SDR.

LMO for learners moving from FFTO into TFW

If a learner progresses from an FFTO programme to a TFW programme (even if delivered by the same provider) and then leaves the TFW programme (to move to a destination which is aligned with the relevant MSD job seeker expectations) within the FFTO three-month reporting period, the FFTO LMO will be 'achieved'. The result may also be reported by the TFW provider, assuming the learner is still in that destination when the TFW result is due. This approach recognises that the FFTO and the TFW provider have each had input into the outcome achieved.

Payments

Maximising occupancy

Occupancy has not been used to inform 2012 FFTO allocation decisions. It is used to determine how much to pay providers and will inform programme payment wash-ups (ie. determining of whether or not a provider has been under or over-paid).

The fixed and flexible model of operation has therefore been replaced by a model that looks to maximise occupancy. Providers may therefore enrol up to 50% more learners than the average number of learner places contracted. This means that a provider allocated 10 learner places may enrol up to 15 learners at any one time. The 50% maximum can be increased; please email our [Service Centre](#) with an explanation to request an increase if required.

2011 training funding

2011 was a transition year and required providers to significantly refocus their provision to align to the requirements of the new FFTO fund and ensure that delivery fits into a 26 week period. In recognition of the transition requirements, the TEC guaranteed each provider 100% of the FFTO **training funding** allocated to it for 2011. This was paid regardless of FFTO occupancy and outcomes achieved.

Providers must note that the guaranteed payment of 100% of FFTO training funding that was in place for 2011 **will not be in place for 2012 delivery**.

Payments in 2012 will be made monthly. Detailed information about the new payment structure and schedule of 2012 payments is available in the 2012 payments information section of this handbook.

Occupancy rates and performance against minimum achievement levels will be taken into account for 2013 investment decisions and beyond, and will impact on future training funding allocations.

2011 travel funding

Providers must support learners to attend training on the FFTO programme the learner is enrolled in. How this should be done is at the discretion of the provider. However, providers should continue to reimburse learners based on actual and reasonable travel costs, and only up to a maximum of \$75 per learner per week. Travel support funding must only be used to cover or reimburse costs associated with learner travel. Providers must maintain detailed records (including supporting documentation) on all amounts paid to individual learners, and make these available to the TEC on request.

Previously, the cost of a learner travelling from the training site to the site for workplace learning or workplace training, or travelling to an interview, was considered a programme cost to be covered by the weekly training fee each provider received. Providers may now use discretion when deciding to reimburse actual and reasonable learner travel costs using travel support funding.

In 2011, FFTO providers were paid travel support funding in four portions. This will change in 2012. Please refer to the 2012 payments information section of this handbook for further information. The allocation will continue to be based on a per-learner per-week calculation and payment will continue to be made as long as the programme is actually being delivered with any unused travel support funding being recovered by the TEC.

Travel support funding has been allocated on the MSD average of \$20.87 (excl. GST) per learner per week.

Providers may retain no more than 10% of the travel support funding for travel administration costs. The amount that may be retained is either 10% of the total amount paid for learner travel and provider-supplied travel or 10% of the total allocation from the TEC, whichever is the lesser.

In 2012, travel support funding wash-ups are taking place in May (based on actual expenditure to date) and November (based on a combination of actuals and estimates to programme end date). Providers are required to provide a simple income vs. expenditure spreadsheet. That spreadsheet lists travel amounts paid by the TEC, less total travel costs paid (to learners or to run provider-supplied travel) each month, less administration costs; thus indicating the balance of travel support funding available for recovery.

Learner travel and GST

Providers should be aware that there may be tax implications in the way that travel reimbursements are administered. Providers are advised to contact the [Inland Revenue Department](#) directly for further information.

When reimbursing trainees for travel, in general providers will not be able to claim GST input tax on this cost. This is because the payments are made to individuals who are not registered for GST.

GST input tax can only be claimed if providers have incurred the cost themselves and can produce a GST invoice in support of the claim.

Scenarios

Situation	Evidence	Result
Provider buys bus tickets directly for issuing to learners. NB – This excludes the provision of Snapper (or similar) cards.	The tax invoice for the tickets from the bus company.	GST claimable
Provider buys petrol vouchers to reimburse an individual learner who travels to the training site in their own vehicle.	A tax invoice from the voucher retailer would be sufficient to support a claim.	GST claimable
Providers supplying travel to learners (eg. via a van).	Valid tax invoices incurred for business purposes.	GST claimable
Provider gives a reimbursement to an individual learner direct to their bank account.	None can be supplied because the individual is not registered for GST.	GST not claimable
Provider gives a cash reimbursement to an individual learner who travels to the training site in their own vehicle.	None can be supplied because the individual is not registered for GST.	GST not claimable

Payments by direct credit

Prior to payments commencing for the first time, the TEC requires verification of the provider's:

- bank account number (for payments); and
- GST number.

If a public holiday occurs during a week when payments are ordinarily scheduled, payments to providers may be delayed by one day. Once the TEC makes a payment, a payment advice will be sent by email.

Deadlines

The TEC will advise providers of the deadlines for submitting enrolment or programme management information. If these deadlines are missed, payments may be affected.

The TEC will seek repayment or adjust future payments if it pays a provider more than it is entitled to due to late submission. Timely submission of enrolment or programme management information enables the TEC to ensure that data is accurate and payments are made on time.

The new FFTO payments model no longer follows the approach of making payments based on the number of learners enrolled on a Tuesday. However, the TEC expects weekly processing of student enrolment information in order to enable the TEC and providers to obtain a real time and accurate view of enrolment and occupancy patterns.

2012 payment information

From January 2012, FFTO funding will be paid in twelve instalments (ie. one payment per month as shown in the table below). Each instalment will include the following three components:

- Training component;
- Travel component; and
- Travel administration component.

This information is clearly laid out in section three of all providers' Plans and also in their 'Confirmation of Investment Plan funding' letter or FFTO Funding Agreement as appropriate.

2012 FFTO schedule of payments	
Month	Date of payment
January - deliverable-based	18 January
February	1 February
March	1 March
April	1 April
May	1 May
June - deliverable-based	6 June

July	1 July
August	1 August
September	1 September
October	1 October
November	1 November
December - deliverable-based	19 December

Three deliverable-based payments will be in place in 2012. The first is the January payment. This payment can only be released when the Terms and Conditions of FFTO funding have been agreed by the provider and returned to the TEC.

This information forms part of the 2012 funding approval documentation which all FFTO providers will receive ahead of the 2012 delivery year. The deadline for returning the accepted 2012 Terms and Conditions of FFTO funding is 23 December 2011. The June and December payments will also be deliverable-based, with payments released once May and November travel reporting requirements are met.

Funding wash-up processes will be applied to all three components of FFTO funding in 2012. Any under-spent funding identified during these processes will be recovered by the TEC. Detailed information about recovery and repayment requirements are included in the 2012 'Confirmation of Investment Plan funding' letter and 2012 Funding Agreement for FFTO-only providers.

Subcontracting

Subcontracting refers to a situation in which a TEC-funded provider arranges for another organisation to deliver training for the TEC-funded programme on its behalf. For the purposes of FFTO, subcontract arrangements exclude:

- training contracted to individuals;
- learning that occurs within vocational placements such as workplace learning ;
- articulation agreements; and
- franchise agreements where the TEC funds the provider delivering the training directly.

A provider that pays another provider to deliver training on its behalf is referred to as the 'principal'. A provider that is paid by another provider to deliver training on its behalf is referred to as the 'contractor'.

Subcontracting declarations

Providers must complete the appropriate declaration(s) for any new or changed subcontracting arrangements, describing the subcontracting arrangements in their Plan as appropriate.

Approving subcontract arrangements

Providers must obtain the TEC's approval before implementing new subcontract arrangements. This is because any new arrangements may require change to the Plan. Providers must contact the TEC's [Service Centre](#) about this.

The TEC will only approve arrangements that are quality assured and necessary for attaining specific educational outcomes or skills.

Evidence of the TEC's approval for a specific subcontracting arrangement may be by letter or funding approval (when the arrangement is satisfactorily described in the Plan).

Principal providers must ensure that:

- the contractor provider has appropriate NZQA accreditation or industry recognition (if applicable);
- the contractor provider maintains an appropriate training environment for learners;
- the contractor provider meets all contracted TEC requirements as described on the TEC website here
- a written agreement between the principal provider and the contractor provider is in place recording:
 - i. objectives and duration of the training;
 - ii. respective health and safety responsibilities;
 - iii. principal provider and contractor provider responsibilities; and
 - iv. services to be provided by the contractor provider.

The TEC requires the principal provider to supply the TEC with verification of the contractor's NZQA accreditation or industry recognition (on request) and all reports on learner credit achievement. The TEC recognises externally assessed credit achievements under the principal provider's performance records.

Note: If subcontract arrangements are found to be different to that approved by the TEC, or for training not to be carried out as agreed, some or all FFTO funding for the programme will be at risk or will cease, and any debt will be recovered by the TEC.

Directory on the Web

[Directory on the Web](#) (DOW) is a searchable directory for FFTO and Youth Training programmes accessed through the TEC's website.

Providers can submit marketing information to the TEC's Service Centre about their FFTO programmes for publication in the DOW. Users can search by subject area,

location, and programme to learn about available training and potential programme vacancies.

Providers must use the '2011 Training directory information form' to submit up-to-date information about their programmes to the TEC's Service Centre. The form is available on the [Resources](#) page of the [FFTO](#) section of the TEC's website.

Use of logos

Providers using TEC logos must abide by the following requirements.

- Providers must use the appropriate programme logo in all publicity for the programmes funded by the TEC.
- Providers must not use the TEC's corporate logo when advertising for staff or other provider business.

TEC programme logos may be used by providers in all publicity for the FFTO-funded programmes. The TEC logos for FFTO are available as either a black and white bromide or an electronic file from the TEC. For more information on the use of logos, please email media@tec.govt.nz.

Legislation

The [Human Rights Act 1993](#) applies to providers delivering FFTO-funded programmes that target specific groups of learners. The Human Rights Act 1993 prohibits the targeting of specific groups for particular purposes unless it complies with [section 73](#) of the legislation. Under [section 73](#) of the [Human Rights Act 1993](#), a programme is lawful if it is designed for a target group specifically to achieve a level of equality with other members of the community.

The TEC only invests in programmes that comply with the [Human Rights Act 1993](#).

Criteria for section 73 to apply

Programmes are required to meet the following three criteria before [section 73](#) applies.

- The provider must provide the programme in good faith.
- The group the provider intends the programme for must be one that the [Human Rights Act 1993](#) lists under [section 21 Prohibited Grounds for Discrimination](#).
- There must be evidence that the targeted group needs assistance to achieve equality with other members of the community.

To meet the third criterion, a provider must be able to provide evidence that an FFTO programme assists targeted learners to achieve equality with their peers in a particular field. For example, for a programme targeted at Māori learners, there may be evidence that only 2% of workers in a particular industry are Māori, although the 2006 census shows that Māori make up approximately 8.5% of the labour force. The provider can

then justify a programme that is designed to help Māori gain the qualifications to enter that industry.

Learners' rights

Information regarding learners' rights (with regards to workplace safety and privacy) is no longer in hard-copy form. It is now available [here](#) on the TEC's website. Providers should ensure that learners are familiar with this information.

Learners with disabilities

Providers must provide a learning environment that takes into account the needs of learners with disabilities.

If training sites do not already comply with NZ Standard 4121 'Design for access and mobility: buildings and associated facilities', providers must have a development plan to enable people with disabilities to access training. A copy of Standard 4121 can be purchased from [Standards NZ](#).

Privacy Act 1993

By signing the enrolment form, each learner consents to the provider sharing their information, including Assessment Tool information, for specific purposes with the TEC, other providers and brokers, Work and Income, the MOE, NZQA, Workbridge, Inland Revenue, NZ Immigration Service and employers. A copy of the Privacy Act can be viewed [here](#).

Document storage

When storing documents providers must retain all financial records that have a GST component for seven years. Providers must also retain the following records for six years after the funding approval period ends:

- all admission decisions;
- learner enrolment records, including enrolment offers and contracts;
- any records relating to fees / course costs;
- academic records and any records of the progress of learners; and
- any records confirming learners' eligibility to study.

All records kept in accordance with the above requirements must be available for inspection by us or by our authorised agent(s) upon request by us or our authorised agent(s).

Further information about enrolment records is available on the TEC's website [here](#).

Glossary of terms

	Term	Definition
A	Accreditation	The status awarded by NZQA when a provider has shown it is capable of delivering an approved course or assessing against standards on the NZQF.
	Additional sites	Teaching sites that are considered additional to the main campus. For PTEs, additional sites must be included in the NZQA.
	Apprenticeship	Training in the skills of an industry provided by a person who is employed in the industry leading to the completion of a national qualification. Training may be provided wholly or partly in the place where the person works.
	Approved qualification	A quality assured qualification that has been entered on the TEC Qualifications Register and recognised for access to SAC funding and / or learner access to the student allowances and loan schemes.
B		There are no definitions.
C	Contractor	The party that is subcontracted by a principal provider.
	Credit points	Indicates the amount of learning required (on average) to complete a qualification or part of a qualification. Credit points also give a transferable value to that learning once it is completed. In most cases the NZQF system equates 120 credits with one full-time year of study and 1.0 EFTS unit. Some SAC-funded qualifications use points instead of credits.
D	Destinational outcome	A destinational outcome is when a learner progresses into employment, further training or education within three months of leaving a training programme.
	Directory on the Web	A search engine on the TEC website that enables users to search for FFTO and YT programmes by subject area and location.
E	Education Act 1989	The Education Act 1989 and its subsequent amendments were passed to reform the administration of education.
	Eligibility criteria	Criteria used to determine eligibility for entry to a programme.
	Eligibility for funding	TEC approval of a provider and its qualifications and courses for funding.
	Eligibility evidence	Documentation providing evidence of eligibility for entry to a targeted training programme.
	Electronic Receipting System	ERS enables providers offering FFTO-funded programmes to submit enrolment and programme management data to the TEC electronically.

	Term	Definition
	Enrolment	The process of allocating an eligible learner a place on a course.
	English for Speakers of Other Languages	English for Speakers of Other Languages (also known as ESOL).
	Exemption certificate	A certificate issued by the principal of a secondary school exempting a secondary school learner from full or part-time compulsory attendance.
F	Foundation courses	Courses that are designed to enable learners to gain the necessary background knowledge and skills to undertake tertiary study.
	Foundation Focused Training Opportunities (FFTO)	A targeted training programme primarily targeted at clients of Work and Income.
	Foundation Focused Training Opportunities Service Agreement	The annual agreement between the MSD and the TEC which describes the arrangements under which the purchase and administration of FFTO-funded programmes will be carried out.
G		There are no definitions.
H	Human Rights Act 1993	The Human Rights Act 1993 applies to providers that provide FFTO-funded programmes that target specific groups of learners.
I	Investment Plan	An Investment Plan outlines how a provider will respond to priorities for tertiary education described the TES 2010-2015 and the needs of stakeholders.
J		There are no definitions.
K	Key skills	A set of skills identified as generic in a wide range of work places.
L	Labour market outcome (LMO)	The destinational outcome of a learner after withdrawal from or completion of their training programme.
	Learner information policy	A policy for declaring information to learners upon enrolment. It includes information on such learner matters as withdrawals, fee payments and refunds. Providers should also provide information on safeguards for learners in the event of provider liquidation or receivership and appropriate systems for credit transfer to other providers should such an event arise.
	Learner residence requirements	For the purposes of targeted training a learner must be one of the following: <ul style="list-style-type: none"> • A NZ citizen and includes Cook Island, Niue and Tokelau citizens. • A NZ permanent resident currently living in NZ. • An Australian citizen who is currently living in NZ. • An Australian permanent resident who has a returning resident visa currently living in New Zealand. • Refugees with refugee status who are directed to study as part of residence requirements.
	Learning Progressions for Adult Literacy and Numeracy	The Learning Progressions provide a common framework which outlines the core components of reading, writing, speaking, listening and numeracy. The Learning Progressions inform the curriculum development, and, courses and resources;

	Term	Definition
		whilst also providing a framework for reporting within the Literacy and Numeracy for Adults Assessment Tool.
	Literacy and Numeracy for Adults Assessment Tool (Assessment Tool)	<p>The Literacy and Numeracy for Adults Assessment Tool is an online adaptive tool primarily designed to provide robust and reliable information on the reading, writing and numeracy skills of adults. This information informs the development of learning interventions that match learners' needs and strengthen their literacy and numeracy skills. The Assessment Tool also allows learners to track their progress over time and enables educators and organisations to report on the progress made by groups or cohorts of learners.</p> <p>In summary, the Assessment Tool provides:</p> <ul style="list-style-type: none"> · reading, writing and numeracy assessments linked to the Learning Progressions; · hundreds of assessment questions, using New Zealand adult contexts; · adaptive (where the computer alters the difficulty of questions in response to the answer) and non-adaptive assessments; · reports for learners, educators, organisations and the TEC; and · a reliable infrastructure built and tested to IT industry standards.
M		There are no definitions.
N	National certificate in Educational Achievement (NCEA)	A qualification registered on the NZQF.
	New Zealand Qualification Framework (NZQF)	A qualification system designed to recognise the attainment of knowledge, understanding and skills by all people in NZ. It is administered by NZQA.
	National Student Index (NSI)	A database and set of processes used to assign all tertiary learners and NCEA learners with a unique identifier known as the NSN.
	National Student Number (NSN)	<p>A unique identifier - a lifetime identification number that learners keep even if they study at more than one education provider. A NSN can only be assigned by authorised people from education agencies.</p> <p>The NSN is the same as the NZQA learner identification number.</p>
	Non-Enrolled Truancy Services (NETS)	Non-Enrolled Truancy Services.
	New Zealand Qualifications Authority (NZQA)	<p>The Government agency charged with the responsibility for accrediting and approving qualifications and courses and registering providers to deliver those qualifications.</p> <p>NZQA quality-assures secondary and tertiary qualifications and accredits education providers.</p>
	NZQF level	There are ten levels within the NZQF. The level of each defines the learning outcome and is set nationally according to general guidelines. The 'Register Level' of a qualification is the same as its NZQF level.
O		There are no definitions.
P	Principal	The provider that is subcontracting any part of a qualification or course to a

	Term	Definition
		contractor.
	Private Training Establishment (PTE)	A privately owned education organisation that is NZQA-registered and provides education and / or training and / or assessment services.
Q	Qualification	The official award given in recognition of the successful completion of a programme of study such as a Certificate or Diploma.
	Qualification code	The code that appears on the TEC Qualifications Register listing qualifications that are approved for SAC funding or additionally, learner access to student allowances and the student loan scheme.
	Qualifications register	The TEC Qualifications Register lists qualifications that are recognised for funding.
R	Record of Achievement (ROA)	<p>Every learner gaining credits on the NZQF receives a ROA that lists all unit standard and achievement standard credits, national certificates and national diplomas achieved in the previous year.</p> <p>When a learner enrolls in a programme that leads to NZQF credits, their details and registration fee are forwarded to the NZQA. They will be registered for the NZQF and given a unique learner identification number.</p> <p>Learners can accumulate credits over a number of years and from many providers until they have completed a qualification.</p>
	Register level	See NZQF Level.
	Registration	The process by which NZQA ensures a provider is capable of providing high quality education and training in a sound and safe learning environment. This is a prerequisite for eligibility to TEC funds.
S	Student allowances and the student loan scheme	The schemes implemented by StudyLink that provides eligible learners with financial assistance. StudyLink is a division of MSD.
	StudyLink	<p>The division of MSD that is primarily responsible for the administration of student allowances and student loans.</p> <p>Studylink works in cooperation with providers and learners bodies to ensure that learners get the finance they are eligible for so they can complete tertiary study.</p>
	Subcontracting	<p>Refers to situations where a provider uses TEC funding to pay another organisation to deliver teaching and learning activity on its behalf.</p> <p>Subcontracting excludes:</p> <ul style="list-style-type: none"> • teaching and learning activities contracted to individuals; • learning that occurs within vocational placements; • articulation agreements; and • franchise agreements where TEC funds the provider delivering the teaching and learning activity directly.

	Term	Definition
	Subcontracting declaration	A principal provider's written declaration of all its subcontracting arrangements.
T	Targeted training funds	The two training funds administered by the TEC where there is a specific targeted group of learners. These are FFTO and YT.
	Te Amorangi Mātauranga Matua	Māori translation of the 'Tertiary Education Commission'.
	Tertiary Education Commission (TEC)	The TEC has the role of steering and funding the tertiary sector. First established by the Education (Tertiary Reform) Amendment Act 2002 and began operation 1 January 2003.
	Tertiary Education Organisation (TEO)	An organisation that is public, private or community-based offering tertiary education or tertiary-related services.
	Tertiary Education Strategy (TES) 2010-2015	A high-level set of Government strategic priorities and associated strategies for tertiary education.
U	Unit standard	<p>A nationally registered and coherent set of learning outcomes and associated performance criteria together with technical and management information that supports delivery and assessment.</p> <p>All unit standards are registered on the NZQF. They are assigned a NZQF level and a credit value and may contribute to the award of a national certificate or diploma.</p>
V		There are no definitions.
W	Withdrawal	The documented decision of an enrolled learner to formally withdraw from a course. This may be instigated by the learner or the provider.
	Workbridge	Workbridge provides a professional employment service for people with disabilities and injuries.
	Work and Income	A service arm of MSD.
	Workplace learning	Workplace learning offers learners a chance to informally practice and develop skills in a real workplace.
	Workplace training	A work placement where a learner is formally assessed in the workplace, and may be awarded credits
X		There are no definitions.
Y	Youth Training (YT)	A targeted training programme primarily targeted at youth clients.
Z		There are no definitions.