



**Apprenticeship/Modern Apprenticeship
in
Rail Transport Operations
(England & Wales)**

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Apprenticeship/ Modern Apprenticeship

in

Rail Transport Operations

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Summary of the Mandatory Outcomes

Framework Sector Code: 300

Foundation Modern Apprenticeship/Apprenticeship	<i>Unit</i>	<i>Level</i>
<i>NVQ in Rail Transport Operations</i>		2
<p>All routes include the following four core units:</p> <ul style="list-style-type: none"> Prepare to undertake duties Assist in the provision of a safe and secure work environment Obtain and provide information Develop and maintain productive working relationships <p>PLUS</p> <ul style="list-style-type: none"> Driving Shunting Signal Operations Control Room Operations Passenger Services 	<ul style="list-style-type: none"> 1 2 3 4 5-8 9-11 12-14 15-19 20-30 	
<p>Apprentices will as a minimum achieve Key Skills in the following:</p> <ul style="list-style-type: none"> • Communication • Application of number • Information technology <p>Employers are encouraged to consider additional Key Skills at Level 1 or above as appropriate</p> <ul style="list-style-type: none"> Working with others Improving own learning and performance Problem solving 		<ul style="list-style-type: none"> 2 1 1

1. Overview of the *Foundation Modern Apprenticeship/Apprenticeship in Rail Transport Operations*

This section explains the reasons why this industry has developed an Apprenticeship/Modern Apprenticeship(s). It will help employers and providers to:

- decide whether they wish to offer a Apprenticeship/Foundation Modern Apprenticeship or Advanced Apprenticeship/Advanced Modern Apprenticeship
- understand the implications of employed or non-employed status of apprentices
- understand the distinction between wages and allowances, including the implications of the National Minimum Wage
- identify the criteria for funding apprenticeship training from the local Learning and Skills Council

1.1 Coverage provided by the Apprenticeship/Foundation Modern Apprenticeship:

1.1.1 The occupations covered by the Apprenticeship/Foundation Modern Apprenticeship include that of:

- Shunter
- Signal Operator
- Control Room Operator in any one of the following areas of work: Train Movements; Traction Current; Fleet allocation; Maintenance provision
- Passenger Services including: Welcome Host; Station Services; Customer Services; Station Announcer; Train Dispatcher; Ticket Examiner; Guard; Conductor; On Board Services; Steward; Travel Consultant; Reservations & Enquiries; Travel Centre; Call Centre

1.1.2 Apprenticeship/Foundation Modern Apprenticeship will be abbreviated to A/FMA in this document. 'Apprenticeship' is the term used for the level 2 Apprenticeship in England, whereas 'Foundation Modern Apprenticeship' is the term used for the level 2 Apprenticeship in Wales. Advanced Apprenticeship/Advanced Modern Apprenticeship refers to the level 3 equivalent of the above in England and Wales respectively. Advanced Apprenticeships/Advanced Modern Apprenticeship will be abbreviated to AA/AMA in this document.

1.1.3 **Coverage of A/FMA**

The sections of the rail industry covered by this A/FMA framework are: Passenger rail services; Rail freight services; Controlling train movements; Fleet control and Maintenance Control of rail vehicles and railway infrastructure. The coverage includes national rail services, London Underground, European rail services, Light rail services (including Trams) and Heritage rail services.

1.1.4 Brief description of industry

The rail sector has undergone significant change since 1994, which have altered the number of companies involved in the sector. The changes have included a large number of new legislative demands, particularly those pertaining to safety and competence.

The rail sector aims to have a key role in developing the future of UK industry, ensuring that businesses have a swift and efficient mode of transport for both their workforce and goods. With the increasing environmental concerns, rail transport presents an ideal means of travel that avoids the congestion familiar to those on the road. At all points, the sector is determined to utilise the most up-to-date technology and knowledge to improve the service offered. If the industry is to succeed in this, then a strong workforce needs to be built up and maintained; a workforce that is fully trained through specific qualifications, that understands its role in the sector and can thereby contribute effectively to a motivated and developing industry.

The 130,000 strong workforce is engaged in a vast array of different activities. The occupational roles range from train drivers and travel attendants, to infrastructure engineers and those involved in the latest 'high tech' innovations. However, an increasing amount of multi-skilling and flexible working has changed the employee's role; and the use of specialist sub contractors is more prevalent than in the past. These changes have impacted considerably on the workforce and on the development of their role.

The average number of employees per company exceeds a thousand, but there are many small firms and, at the other end of the spectrum, some that employ more than 10,000 staff. The sub-sector industries comprising the sector are wide-ranging too: from the infrastructure owners such as Railtrack and the Light Rail/Metro company Serco Metrolink (in Manchester), to the freight operating companies like EWS (English Welsh and Scottish Railway), train operating companies such as GNER and infrastructure engineering companies such as Balfour Beatty. Significant reforms of the infrastructure engineering contracting companies have resulted in new working practices for the labour force involved.

1.1.5 Need for the A/FMA in Rail Transport Operations

The changes to the rail industry offer opportunities to employees, companies and customers but have fragmented some of the structured approach to training that typified the rail industry in the past. Lord Cullen in his report on the Ladbroke Grove Inquiry stated, "The way forward is clear. The industry needs to take all necessary steps to set high safety standards through clear leadership; good two-way communications; a relentless pursuit of excellence of operations through the identification and adoption of best practice, learning processes, training and the involvement of all employees; a new focus on the real concerns and interests of customers; and a new ethos of co-operation across the industry." He also recommended (Recommendations 25 and 26) that training providers to be accredited to **deliver training to common standards** and that systems should be in place to license and centrally record those who are qualified to drive trains and operate signals. The proposed A/FMA will provide a consistent approach to training. Recommendations 25 and 26 relate to occupations included in the A/FMA in Rail Transport Operations.

The Strategic Rail Authority instigated a Rail Industry Group that recognised the need to improve the quality of service provided to passengers and other customers. The training of people is seen as crucial to deliver that improvement and this framework covers many of the people who work directly with passengers.

The Target Group

- 1.2 A/FMA and the AA/AMA provides work-based training and development for young people aged between 16 and 24 (see note on funding in paragraph 1.11 – 1.12)
- 1.3 This framework can also be used by others aged 25+, as a model for their own work based training programme. In these instances these programmes will not be eligible for funding by the local LSC under the Modern Apprenticeship Programme. A nationally recognised Modern Apprenticeship Certificate can be awarded by *GoSkills*.
- 1.4 Entry to the A/FMA or AA/AMA depends upon:
 - the potential of the young person to achieve the requirements of the programme
 - the level and range of activities they will be undertaking in the workplace

Partners in the Programme

- 1.5 Employers play an active role by providing apprentices with opportunities to learn in their workplace and many are supported by local providers who provide training and assessment services. The Small Business Service supports small employers. The local LSC provides funding towards the apprentice's training programme, which is backed up by an Individual Apprenticeship Plan and underwritten by a Training Agreement (refer to Annex B for a sample).
- 1.6 Funding and contracting for national and multi-site employers are managed through the LSC's National Contracting Service. All references in this text to local LSC apply to the National Contracting Service.

Employed Status of Apprentices in Rail Transport Operations

- 1.7 Apprentices can be:
 - directly employed by an employer and on their payroll
 - based with an employer but not directly employed and paid an allowance by the employer
 - based with a provider and placed with an employer who will provide work based learning opportunities.
- 1.8 Employed status of the apprentice is the preferred option for the rail industry. If any other option is exercised the provider should demonstrate that they provide the level of training, development and assessment required by the apprentice during the expected duration of the A/FMA. If this is reliant on employers or other parties the provider should demonstrate that robust arrangements are in place to deliver

the learning programme. Where they are not employed there must be a clear link with an employer.

Wages and Allowances

- 1.9 The employer or provider pays the apprentice a wage if they are employing the apprentice, or an allowance if they have non-employed status. Non-employed apprentices are entitled to a minimum learning allowance per week set by the LSC.
- 1.10 An employer should be aware of the National Minimum Wage (NMW) regulations which apply to their employees. If unsure the employer should contact the NMW helpline on 0845 6000 678.

Funding

- 1.11 LSC funding for A/FMA is normally prioritised for 16, 17 and 18 year olds. For those aged 19 and over funding is available at the discretion of the local LSC and subject to the availability of resources. All LSC funded A/FMA should be completed by the apprentice's 25th birthday.
- 1.12 If a learner reaches their 25th birthday prior to achieving all the outcomes of their apprenticeship, an Individual Learner Record (ILR1) must be completed using the day before their 25th birthday as an actual leaving date. In this case, the apprentice may continue working towards any outcome not achieved in accordance with their Individual Apprenticeship Plan and any outcomes achieved will be profiled and recorded through the Training Provider Statement (TPSO1).
- 1.13 There are special funding opportunities outside of the A/FMA available in the Rail industry for those over 25.

2. Initial Considerations and Planning

This section provides information about key aspects of modern apprenticeships which employers and providers will need to consider before recruiting an apprentice. It gives full details of the components of the Apprenticeship, provides guidance on timescales for completion and outlines roles and responsibilities of partners, including quality assurance.

Mandatory Outcomes for the A/FMA in Rail Transport Operations

The A/FMA in Rail Transport Operations is made up of the following components:

NVQ(s)

- 2.1 The Rail Transport Operations A/FMA must lead to the achievement of a NVQ Level 2. The Apprentice must achieve the four core units plus the units required for one of the following routes; Shunting, Signal Operations, Control Room Operation, Passenger Services or Driving.

All routes include the following four core units:

- Prepare to undertake duties
- Assist in the provision of a safe and secure work environment
- Obtain and provide information
- Develop and maintain productive working relationships

In addition to the four core units, the apprentice must select and achieve the units required for one of the following routes (some units/titles will change when revised NVQ standards are introduced, but routes for Driving; Shunting; Signal Operations; Control Room Operations; and Passenger Services will be available)

Driving

- Bring trains into service
- Operate and control trains in service
- Respond to abnormal working situations
- Handover and dispose of trains

Shunting

- Assist in the preparation of rail vehicles and trains to meet operational requirements
- Couple and uncouple rail vehicles
- Assist in the local movement of rail vehicles to meet operational requirements

Signal Operations

- Assume and handover responsibility for area of control
- Monitor and maintain the service
- Respond to non-routine situations

Control Room Operations

- Monitor and ensure the provision of services to the railway
- Identify and respond to deviations from the planned service
- Implement plans to meet operational requirements
- Operate control room equipment to meet operational requirements
- Maintain and enhance effective relationships with customers and suppliers

Passenger Services

- Develop and maintain positive working relationships with customers
- *Plus two out of the eleven optional units below:*
- Couple and uncouple rail vehicles
- Promote services and products
- Assist in the provision of a clean and amenable environment for customers and other members of the public
- Provide products to customers
- Provide products to customers by telephone
- Assist in the protection of due revenue
- Arrange rail travel (Travel Services Lead Body unit)
- Display promotional materials
- Assist in the provision of a secure environment for customers' property
- Assist in the operation of trains in service
- Assist in the operation of trains within station premises

These qualifications cover the group of occupations within the scope to this A/FMA.

Key Skills

- 2.2 Key skills are essential skills which apprentices need in order to function effectively as members of a flexible, adaptable and competitive workforce. Employer and Apprentices may decide that it is appropriate to achieve key skills at higher levels than mandated in this document.
- 2.3 The Key Skills essential to completion of the A/FMA are
- Communication Level 2
 - Application of number Level 1
 - Information technology Level 1
- 2.4 A/FM candidates commencing on this framework who have achieved a good (A*-C) GCSE in English or Maths need not be asked to attempt levels 1 or 2 key skill qualifications in communication or application of number. Where GCSE A*-C English or Maths are being claimed as a 'concession' against the whole level 1 or 2 key skills qualification, a maximum period of five years will be allowed between the award (i.e. date of certification) of the GCSE and the registration date of the MA programme.
- 2.4 Employers are encouraged to consider additional Key Skills at Level 1 or above as appropriate:
- Working with others
 - Improving own learning and performance
 - Problem solving

Technical Certificates

- 2.6 Technical certificates focus on the knowledge and understanding which underpins the NVQ competencies and additional knowledge to facilitate progression to HE or higher levels of working. Technical certificates may also cover wider aspects of the occupation/sector as determined by *GoSkills*. They are a structured approach to teaching and assessment, including external assessment, and are capable of being delivered through a taught programme of off-the-job learning.
- 2.7 *GoSkills* are in the process of collating a range of related course outlines with a view to developing qualifications that can be recognised as technical certificates for the industry. Technical certificates will be introduced during 2003 as a mandatory requirement for A/FMA in Rail Transport Operations commencing on programme from a date which has yet to be determined, and which will be agreed through MANTRA. This date will be determined subject to the availability of suitable qualifications. They will be incorporated as mandatory outcomes in this framework and details included in the annex of this framework. The information will include the title of the qualification(s), the awarding bodies, the number of guided learning hours, qualification reference number where known, recognised start date for the qualification, qualification end date, certification end date, whether applicable to FMA or AMA and a map of the qualification(s) to the NVQ where there is more than one NVQ in the framework.

- 2.8 There may be instances where an apprentice will be exempt from achievement of a technical certificate as part of their Apprenticeship, for example, if they have already achieved an award that is one of the recognised qualifications that meet the requirements for a technical certificate and has been agreed by *GoSkills*, or if the apprentice has achieved an appropriate award that is a level higher than that required by the framework. To avoid any difficulties at the point of claiming the A/FMA completion certificate, providers must gain written agreement to any exemptions during the initial development of the apprentice's individual Apprenticeship plan from *GoSkills*. Where an apprentice is exempt from the technical certificate, they may be encouraged to achieve an alternative acceptable qualification or one at a higher level that meets the requirement for a technical certificate.

Employment Responsibilities and Rights

- 2.9 Employment Responsibilities and Rights (ERR) include material covering:
- the rights and responsibilities of workers (including equal opportunities legislation)
 - the organisation, disciplines and representative structures of the industries concerned
 - the impact on the sector of public law and policies
- 2.10 The employment rights and responsibilities component will be introduced with the technical certificates.

Timescales

- 2.11 A/FMA are based on achievement and not time serving. The apprentice's Individual Apprenticeship Plan (see Section 3.11) will specify a duration which allows the apprentice a reasonable prospect of successful completion of the Programme. Although the LSC has set national rates for funding for each framework based on standard length of stay and outcomes, this should not impose timeserving on apprenticeships. Refer to Section 3.20 - 3.21 minimum periods of training.

Working in Partnership - Roles and Responsibilities

- 2.13 The responsibilities of the apprentice, employer, provider and other partners must be communicated and clearly understood by all parties. The role of the apprentice, employer, provider and local Learning and Skills Council are included in this section. Roles of other organisations are included in Annex A.

The Apprentice

2.14 The apprentice agrees to:

- Apply themselves to their training and assessment, by attending courses and other on or off the job learning events, being prepared for assessment, and actively participating in the planning and reviewing of their programme
- Take responsibility for their own learning and development
- Behave in a considerate and responsible manner, with due regard to their own and others' equality of opportunity, and to the health and safety of others & themselves in their working and learning environment

The Employer

2.15 The employer should provide the apprentice with a working environment and job role/activities, within which it is possible for them to achieve the Apprenticeship.

2.16 Employers must be prepared to:

- Actively promote the value of the apprenticeship within the organisation, and ensure that other staff are fully aware of the needs of the apprentice
- Take an active part in the recruitment of the apprentice
- Employ, or sponsor, and pay the apprentice in accordance with agreed terms and conditions, ensuring that they are treated exactly equal with current employees
- Undertake legal and contractual responsibilities for the Health and Safety of the apprentice
- Ensure conformity with their equal opportunities policy
- Ensure that sufficient time and resources are made available for the apprentice to fulfil their training and assessment commitments
- Actively contribute to the regular review of the apprentice's progress
- Fulfil the role of provider where no external provider is used and all training is carried out in-house

Providers

2.17 Providers have a key role to play in the successful implementation of the apprenticeship. Their performance will be monitored by a number of organisations including the LSC and Adult Learning Inspectorate (ALI). They should:

- Ensure that all staff involved in the delivery of the Apprenticeship have access to copies of the full framework documents and any other supporting literature and understand the specific requirements of the apprenticeship
- Ensure that all aspects of the programme are delivered in compliance with the framework requirements, the quality standards laid down by the Adult Learning Inspectorate and all contractual quality and financial requirements of the local LSC. This includes the qualifications and experience of those delivering training
- Ensure that particular attention is paid to the integration of all aspects of the programme (NVQ, Key Skills, technical certificates and additional requirements) to ensure a developmental and coherent experience for apprentices

- Initiate requests for the A/FMA Completion Certificate ensuring that all evidence of completion is available for NTO/LSC audit purposes. The provider is also responsible for paying the A/FMA Completion Certificate fee.

The Rail Industry NTO (RITC Ltd)

2.18 The RITC is responsible for:

- Developing, maintaining, monitoring and reviewing the framework
- Ensuring that the framework meets employers' current and future needs through consultation with employers, providers and LSC, through its F/AMA Steering/Management Group(s)
- Maintaining quality through constant monitoring, in particular through the A/FMA Completion Certification process
- Providing support, information and advice to employers, providers and local LSCs to help assure the quality of the framework delivery
- Complying with the Key Operating Principles with regard to registration, certification, framework compliance and information flows
- Issuing a completion certificate once they are satisfied that the apprentice has achieved all the mandatory outcomes

Local Learning and Skills Councils

2.19 Local LSC work in partnership with local employers, providers and the Connexions/Careers Service to ensure that there are modern apprenticeship programmes available to meet local, regional and national needs. They have an important part to play in promoting this apprenticeship locally, and in monitoring and assuring the quality. Local LSCs intending to deliver this framework are required to:

- Register with the NTO, using the nationally agreed Key Operating Principles registration procedures
- Ensure the quality of implementation of the framework
- Contribute funding towards the costs and delivery of the framework as appropriate, in line with national rates
- Help employers identify suitable providers and assessment services
- Promote F/AMA in their locality
- Ensure that each apprentice has an Individual Apprenticeship Plan, underwritten by a Training Agreement, which is agreed and signed by the apprentice, the employer and the provider
- Countersign Certificate Request Forms raised by providers, where required by the NTO, for apprentices who have successfully completed the Apprenticeship using the nationally agreed certification procedures

2.20 The National Contracting Service has been set up as part of the LSC to provide a one-stop shop for national and multi site employers and their representatives in order to provide a single point of contact for LSC services (see Annex A).

3. Putting it into Action

This section explains the key processes which employers and providers need to follow to ensure that apprentices are recruited fairly. It outlines the learning and other support apprentices need to complete their apprenticeship, safely and within the timescales set down in the apprentice's individual Apprenticeship plan.

Entry Requirements

- 3.1 There are generally no nationally laid down minimum entry or previous experience requirements for the A/FMA in Rail Transport Operations. Applicants will during recruitment be assessed for their communication and other necessary skills. The ability of applicants to learn and willingness to apply themselves in their chosen profession will be a significant factor in selecting successful applicants.
- 3.2 The skills and attributes required to succeed in rail transport operations are listed below.
- Motivation to succeed within the Industry/Sector
 - Willingness to learn and apply that learning in the workplace
 - Ability to demonstrate that they have the potential to complete the qualifications which are part of the Apprenticeship
 - Willingness to communicate effectively with a range of people
 - Being numerate and literate as this will be tested at the assessment centre
 - Ability to act appropriately in an emergency
 - Ability to contribute ideas and effort, while complying with safe operating practices

Recruitment and Selection

- 3.3 Apprentices may be recruited to the Programme through a number of routes, for example:
- referred to employers by local providers
 - referred by Connexions/Careers Service or local Employment Service Agency
 - recruited directly by employers and providers through their normal recruitment and selection procedures
 - are already be employed by the company
- 3.4 Employers/providers are responsible for the recruitment and selection of apprentices, based on clear equal opportunities policies and procedures (refer to section 3.27 – 3.34). Where employers do not have formal equal opportunities policies and procedures, local providers will be able to advise.
- 3.5 Employers/providers will be expected to use a range of evidence to recruit apprentices, but typically this might include one or more of the following:

Examples

- *C.V*
- *Initial assessment*
- *practical observation*
- *literacy and numeracy tests*
- *psychometric or work taster tests*
- *the National Record of Achievement (Progress File), including exam results and personal achievements*
- *an interview*
- *references*
- *medical fitness, eyesight and hearing examination (including test for abuse of drugs where required)*

- 3.6 The recruitment process is also an opportunity for the young person to find out about the employing organisation and how he/she might fit in. Employers will want, therefore, to provide clear information about the organisation's business, culture and structure and about the training and development opportunities it provides.
- 3.7 Apprentices assessed as having additional learning and/or social needs but who, with the appropriate support, are capable of achieving an AA/AMA, will attract additional funding from the local LSC.

Training Agreement

- 3.8 The employer, provider and the apprentice must sign a training agreement, normally within four weeks of starting the apprenticeship. This agreement lays down the commitment and responsibility of each party to the Apprenticeship. An example of a Training Agreement is appended to this document (Annex B).

Initial Assessment

- 3.9 Young people will need to be assessed before or, where this is not possible, immediately on entry to A/FMA in order to ensure their suitability for the programme, the occupational sector and their potential to achieve the mandatory outcomes. The details of the assessment carried out must be in writing and must be kept. Initial assessment needs to be carried out by experienced personnel and the local LSC or local provider should be able to advise on this.
- 3.10 Young people who are assessed as suitable for an A/FMA and are shown to need additional support will receive relevant extra help to enable them to progress towards completion of their A/FMA.

Individual Apprenticeship Plan

- 3.11 All apprentices must have an Individual Apprenticeship Plan which is agreed and signed by the employer, apprentice and provider. It:
- clearly identifies the person and includes their signature
 - sets out the start date and the intended duration of their learning
 - contains a brief statement of the apprentice's employment or career objectives
 - sets out planned attendance both on and off the job learning as required

- includes the apprentice's prior learning and assessed needs and specifies a duration which allows the apprentice a reasonable prospect of successful completion of the framework
- specifies by name, level and reference number NVQ qualification(s) which the apprentice aims to achieve
- specifies all units which the NVQ and any other agreed qualifications, key skills, technical certificates and additional requirements which will be achieved during the apprenticeship, and the timescales in which these are likely to be achieved
- sets out any agreed support arrangements, including review of progress
- provides adequate information on how units of the whole NVQ and any other agreed elements of the training are learnt and assessed
- ensures that apprentices will have unrestricted access to information on the arrangements
- take into account best practice drawing on good practice guides, inspection, evidence and other relevant sources

Induction

- 3.12 A formal induction process is a mandatory requirement of modern apprenticeships. The company/organisation elements of induction are the responsibility of the employer. The employer or provider undertakes other elements.
- 3.13 Induction should be seen as a process, rather than a one-off event and employers and providers will need to select the most appropriate method and timescales for inclusion in the Individual Apprenticeship Plan.
- 3.14 The content of the induction programme will vary according to the employer's requirements. However, by the end of the induction programme, every apprentice must:
- Understand and be trained in the organisation's health and safety policies and procedures (including fire, accident and emergency)
 - Understand and be able to use Confidential Incident Reporting systems such as CIRAS.
 - Understand the policy on use of alcohol and drugs and their responsibilities under that policy
 - Understand and be trained in emergency first aid
 - Understand and be able to conduct risk assessments of relevant processes and work environments
 - Understand the purpose of and correctly use equipment and protective clothing
 - Have an awareness and understanding of equal opportunities and anti-discriminatory issues
 - Understand their own and the organisation's responsibilities, including the procedure for making a complaint
 - Have an overview of the organisation's business, the sector within which it operates, its structure, personnel and terms and conditions
 - Be familiar with the physical working environment
 - Be introduced to the key people who will be involved in their training, assessment and supervision
 - Have an awareness and understanding of the organisation's policies, procedures and values

- Understand the purpose and requirements of apprenticeship, including NVQ training and assessment and key skills
- Understand and have agreed their Individual Apprenticeship Plan which will be signed by the apprentice, employer and provider
- Understand and have agreed and signed their Training Agreement which will be signed by the apprentice, employer, provider and local LSC
- Understand and agreed their contract of employment which will be signed by the apprentice and their employer

- 3.16 Should the apprentice change employer during the Apprenticeship, the induction process should be repeated to ensure that all relevant information concerning the new organisation (or provider) has been provided. Where an apprentice moves around within a large organisation, is on a placement with another organisation, or is working with a provider as well as an employer, an induction to each setting will be required.

Mentoring

- 3.17 Young people often benefit from having someone to talk to during their training and this increases the chances of their successfully completing the apprenticeship. Organisations gain because they are not only able to retain the apprentice, but may also find this a useful way of offering personal development to experienced members of staff, who would like to develop their listening, coaching and feedback skills. A member of staff who fills this role is generally called a 'mentor'. Having a mentor is optional; however, it is good practice for all apprentices to have access to a mentor.

On and Off The Job Training

- 3.18 Young people are entitled to receive appropriate learning away from the direct working environment and providers and employers should work together to manage this process.
- 3.19 The minimum time for off the job training is 50 days (relevant prior off the job training should be taken into account). Off the job training is defined as learning which takes place:
- within the workplace, but away from the normal day to day work responsibilities, for example, using a computer or distance learning materials in a separate room or office
 - away from the workplace at the premises of a learning centre or local college.

This is likely to consist of assessments such as case study work, multiple-choice items, centrally set projects or assignments or written tests.

Minimum Duration of Training

- 3.20 There is no time serving element to the A/FMA framework. The intention is that the pace of progress will reflect the relevant experience of the apprentice, the progress they make and factors associated with the work place and external factors. To assist apprentices, employers and providers it is suggested that the average stay on the programme will be a minimum of 12 months unless individual circumstances (such as significant prior learning) make the relevant minimum length of stay inappropriate.

Health and Safety

- 3.21 The rail environment includes a number of hazards that the apprentice must be prepared to avoid or where this is not possible manage effectively. These hazards may include the track environment, high voltage power sources, moving vehicles, the risk posed to and from trespassers, access to work locations, travelling to and from work during unsociable hours, the risk of violence to rail employees and rail users and the risk associated with handling and carrying money.
- 3.22 All partners involved in the implementation of Apprenticeships must adhere to their statutory responsibilities for health and safety as follows:
- A safe working environment for apprentices must be provided whilst they are at work or in training
 - Appropriate training on health and safety in the workplace must be given to each apprentice
 - Awareness of, and compliance with, legislation relating to the Health & Safety at Work Act 1974, the Working Time Regulations 1998 and any other relevant legislation must be demonstrated
 - Understand and be trained in emergency first aid
 - Understand and be able to conduct risk assessments of relevant processes and work environments
 - Understand the purpose of and correctly use equipment and protective clothing
 - The apprentice must be aware of and comply with their statutory responsibility for health and safety at work. This relates to their own safety and to the safety of others in the work place. They must also be aware of, and comply with, any additional health and safety procedures laid down by their employer/provider
 - Local LSCs are responsible for monitoring the compliance of partners to their statutory health and safety obligations and will carry this out through their Quality Assurance procedures.

Risk Assessment

- 3.23 Employers, as part of their statutory responsibilities under the Management of the Health and Safety at Work Regulations 1999, are required to:
- Assess risk to young people before they start work
 - Take account of their inexperience and lack of awareness of existing or potential risks and immaturity
 - Address specific factors in the risk assessment

- Take account of the risk assessment in determining whether the young person should be prohibited from certain work activities, except where it is necessary for their training and where:
- Ensure risks are reduced as far as reasonably practicable
- Ensure proper supervision is provided by a competent person
- Ensure that no exclusions apply to employers liability insurance

3.24 Employers need to include in their risk assessment the characteristics of work groups, work places and access to work locations when placing young people. Monitoring of young people should include opportunities to identify inappropriate behaviour, risks to personal safety etc.

Equal Opportunities

3.25 Whilst equal opportunities has been identified under a separate heading, the principles relate to all those systems and procedures which have the potential to discriminate against apprentices at any point during the programme – from recruitment and selection and induction, through to successful completion.

3.26 There should be open recruitment of apprentices to the programme, which is available to all young people, regardless of gender, ethnic origin, religion/belief, sexual orientation or disability who meet the stated selection criteria.

3.27 All partners involved in the delivery of the A/FMA - local LSCs, providers, assessment centres and employers must be committed to a policy of equal opportunities and must have a stated equal opportunities policy and procedure.

3.28 Employers/providers must be able to demonstrate that there are no overt or covert discriminatory practices in selection and employment. All promotional, selection and training activities must comply with relevant legislation, such as:

- The Sex Discrimination Act, 1975 and Code of Practice
- The Race Relations Act, 1976 and Code of Practice
- The Disability Discrimination Act, 1995 and Code of Practice

Equal Opportunities Monitoring Procedures

3.29 Providers will monitor equality of opportunity practice and procedures within their own organisation and take positive action when necessary. It is also recommended that employers/providers conduct an exit interview if the apprentice leaves the programme before completion.

3.30 Local LSCs have overall responsibility to monitor practice to ensure that providers meet the criteria specified in their quality management systems. This includes monitoring the representation of apprentices in terms of gender, ethnicity and disability to ensure that it reflects, as far as possible, the levels of representation within the local community.

3.31 *GoSkills* will retain overall responsibility for the development of the modern apprenticeship and for monitoring equality of opportunity, primarily by the analysis of the LSC statistical returns. Where questions arise concerning policy and

practice, *GoSkills* will work closely with the local LSC(s) concerned to identify causes and to implement positive action where appropriate.

Monitoring and Reviews

- 3.32 The Individual Apprenticeship Plan and the progress of apprentices should be reviewed regularly and, at a minimum, of every 13 weeks. The reviews should take place more frequently where lack of progress or other factors are causing concern. Any changes to the Individual Apprenticeship Plan must be agreed with the apprentice. Where additional help has been identified, the review will include the extent to which extra support is successfully addressing those needs.

Complaints Procedure for Apprentices

- 3.33 Occasionally an apprentice may wish to make a formal complaint or grievance during their training. All apprentices:
- Have the right to complain
 - Have the right to investigation of genuine complaints
 - Must be informed of the complaints procedure by their provider
 - Must be informed of the outcome of their complaints.

The LSC has issued guidance for local LSCs and NCS on handling complaints against providers, local LSCs/NCS and the LSC National Office. Where an apprentice has a complaint against their employer regarding employment issues, this is a matter for the employer and employee where employment law provides appropriate remedies.

Providers must ensure that apprentices are fully informed of the complaints procedures and are given every support throughout the complaints process. The LSC/NCS will expect the apprentice to have exhausted the provider's complaints process before approaching them unless the provider is being unreasonable.'

Early Leaving and Termination of Apprenticeship

- 3.34 The processes outlined in this framework have been designed to ensure that the right person is matched to the right occupation and at the right level. The monitoring, review and support mechanisms will reduce the chances of the apprentice either leaving the programme, or leaving the employer/provider before completing the full programme.
- 3.35 In the case of employed apprentices, if the employer is not able to continue with the Apprenticeship, either through redundancy or where the relationship between the apprentice and the employer has broken down, the employer's terms and conditions of employment will apply. The provider will apply all reasonable endeavours to help the apprentice find an alternative Apprenticeship, including those apprentices who are not employed.

Transfer of Undertaking

- 3.36 The use of franchises and contracts in some parts of the rail industry can result in the occasional transfer of people between organisations. Apprentices may not receive

sufficient attention during such changes, as they may not be part of an established work group. Those responsible for apprentices in such situations are required to make every effort to ensure that:

- The effect of transfer of work on A/FMA is identified.
- The other organisation is aware of and accepts the training and development of the A/FMA(s) affected.
- The A/FMA(s) affected, LSC and any provider involved are kept informed.
- The A/FMA's individual Apprenticeship Plan and evidence of progress are up to date.
- Discussions with the other organisation, the A/FMA(s), and any provider take place prior to transfer to plan the transfer and enable the other organisation to plan the continuation of training and development.
- If the other organisation is unable or unwilling to accommodate, the A/FMA is based with a provider and must make every effort to continue the A/FMA or find another company willing to complete the programme.

4. Achievement and Progression

This section provides brief details about the certification process for claiming national certificates and information about career progression and further training and qualifications relevant to the rail industry.

Achievement

- 4.1 The Key Operating Principles outline the national requirements for the award of A/FMA Completion Certificates.
- 4.2 The successful apprentice will receive an A/FMA Completion Certificate from the SSC. This is separate from, and in addition to, those certificates awarded for the achievement of the individual components of the framework, e.g., NVQ, key skills and Technical Certificate when applicable.
- 4.3 Providers are responsible for claiming the National Completion Certificate from the *GoSkills* and for providing evidence of completion of the mandatory outcomes. They are also responsible for ensuring that the apprentice receives the Completion Certificate when awarded by the SSC.
- 4.4 The *GoSkills* requirements for claiming the certificate are:
 - To claim the A/FMA completion certificate the employer must obtain a copy of the Certification Request Form from *GoSkills* at the address given at the beginning of the document. The forms are available at www.goskills.org.
 - Completed request forms must be submitted with copies of key skills certificates and the NVQ certificate for the Apprentice. The copies of the certificates are to be endorsed and signed by the employer's representative that the certificates are an accurate copy of the original document. The copy certificates will be retained by *GoSkills*. Payment of the fee for the certificate must be enclosed

with the request. The current fee will be stated on the Certification Request Form.

Progression

- 4.5 *Achievement of the Foundation Modern Apprenticeship in Rail Transport Operations provides an excellent base for progression within the rail industry. Examples of progression routes are set out below:*

- The qualification will assist the apprentice gaining employment in the UK rail industry.
- The content of the qualification includes transferable skills of value in other sectors of the UK economy.
- Continuing learning and gaining qualifications will enable people to move into team leader/supervisory positions.
- Career pathways are set out on the *GoSkills* web site www.goskills.org.
- The Institute of Rail Operations and the Institute of Logistics and Transport offer methods of developing professional standing.

5. Framework Monitoring, Evaluation and Review

This section explains the role of *GoSkills* in monitoring the achievement of this framework through the use of statistics provided by the LSC.

- 5.1 Providers submit regular information (via the Individual Learner Record) to the LSC about the number of apprentices:
- recruited by age, gender, ethnic origin, disability, programme
 - leaving the programme, including reasons for leaving
 - who have achieved the mandatory outcomes of the programme, and the number who have left the programme with the NVQ, technical and/or part qualifications only
- 5.2 Monitoring information is provided on a regular basis via the LSC. Monitoring will inform the evaluation and review of frameworks.

Transfer Arrangements from Previous Framework

- 5.3 Where the mandatory outcomes of a framework are changed as a result of a review, *GoSkills* will specify the dates by which the new framework will start and the cut off date for registration under the old framework. *GoSkills* must clearly state the transfer arrangements for existing apprentices from the previous framework to the revised/new framework. *GoSkills* must advise whether it is appropriate for existing apprentices to transfer. Consideration must be given to what changes have been made to the framework such as introduction of technical certificates, introduction of revised NVQs, increasing or decreasing key skill requirements, length of time an apprentice has already spent on programme. You will need to stress that the decision to retain existing apprentices under the old framework, or transfer them onto the revised framework will be made in the best interests of the apprentice and

has been agreed by them and their employer and both will record the decision on a new/revised Individual Apprenticeship Plan.

- 5.4 The Sector Code for this framework is 300 which are also recorded on the Individual Learner record. It is crucial to the accuracy of the monitoring statistics that this code is correct.

6. Other Information

This section provides information about other learning and support materials relevant to the rail industry, together with useful contacts and reference numbers for the NVQs contained within this framework.

6.1 Useful Publications and Support Materials

- Workplace Development: Mentoring for Work-Based Training; DfES Ref No.GPS/WD2/1/99
- Modern Apprenticeships Equal Opportunities Checklist (CRE)
- Modern Apprenticeships: Guide for small businesses (free)
- Recruitment and Selection of Modern Apprentices (DfES)
- Information/best practice about Key Skills – Learning for Work

6.2 Useful Contacts

Commission for Racial Equality Elliott House 10 –12 Allington Street London SW1E 5EH Tel: 0207 828 7022 www.cre.gov.uk	Learning and Skills Council Tel 0247 670 3241 www.lsc.gov.uk
Connexions: www.connexions.gov.uk	National Contracting Service Tel: 0114 259 3097
DfES General: www.dfes.gov.uk Lifelong learning: www.lifelonglearning.co.uk Publications Prolog, Prolog House Milner Road, Sudbury, Suffolk CO10 Tel: Prolog at 0845 602 2260	The Institute of Railway Operators P.O. Box 128 Burgess Hill West Sussex RH15 ODZ Telephone 01332 263369
Equal Opportunities Commission Arndale House, Arndale Centre Manchester M4 3EQ Tel: 0161 833 9244 www.eoc.org.uk	QCA: Tel: 020 7509 5555 www.qca.org.uk
Health & Safety Books PO Box 1999, Sudbury , Suffolk, CO10 6FS	Small Business Service: www.smallbusinessadvice.org.uk
City & Guilds 1 Giltspur Street, London EC1A 9DD Telephone: 020 7294 2800 Facsimile: 020 7294 2400 E-mail: enquiry@city-and-guilds.co.uk Web site: www.city-and-guilds.co.uk City & Guilds centres: may wish to look on the web at the list of departmental contacts .	The Institute of Logistics and Transport 11/12 Buckingham Gate London SW1E 6LB Tel: +44 (0)1536 740100 Fax: +44 (0)20 7592 3111 Email: enquiry@iolt.org.uk Web site: www.iolt.org.uk

Partners Involved in A/FMA

Awarding Bodies

Awarding Bodies are responsible for quality assuring the individual qualifications that make up this apprenticeship. They do this by monitoring the assessment process and awarding the NVQs, Key Skills, Technical Certificates and unit certificates. Awarding Bodies are not responsible for the overall quality of the A/FMA programmes.

Adult Learning Inspectorate

The Adult Learning Inspectorate (ALI) is responsible for inspecting all government-funded work based training in England. It inspects those holding contracts for government funded training to ensure that national quality standards are being met, to interview trainees and to offer advice and support where standards are felt to be deficient. Reports are made public on the Internet.

Connexions/Careers Service

Connexions are a careers advice and youth support service which replaces local Careers Services. It integrates careers, health, youth and other services for 13 – 19 years olds and helps to prepare young people for the transition to work and adult life. Young people will have access to a Personal Adviser who will:

- provide advice and guidance on career options, including modern apprenticeships
- identify the potential of young people and refer them to employers and providers for vacancies and programmes
- encourage young people to stay in education or training so that they can reach their full potential
- provide a Connexions Card for each young person which will provide rewards for learning such as discounts on travel and learning materials and other services, including a dedicated website

LSC National Contracting Service

The National Contracting Service was set up to provide a one-stop shop for national and multi site employers and their representatives in order to provide a single point of contact for LSC services especially contracting to:

- national employers with over 500 employees, who have a centralised personnel and payment system, but whose workforce is spread over more than one local LSC area;
- providers who act on behalf of national employers;
- providers that have been established by employers and/or trades unions to provide a service to a specific industry sector;

- large multi-site public sector organisations (Armed Forces, NHS, Royal Mail, and Civil Service), where an umbrella organisation covers a number of independent units.

Small Business Service

The SBS provides a range of services to SMEs. The definition of a SME is “individuals starting a business, sole traders, partnerships and limited companies or other businesses with up to 250 employees based in England”.

Local LSCs contract with their SBS providers to ensure that small to medium sized enterprises (SMEs) can access the following range of services:

- information, advice and referral to a wide range of workforce development services and providers
- advice and support to help organisations progress to recognition against the Investors in People Standard
- advice and access to support on identifying training needs and skills development such as company training plans and key workers and management development

As part of their seamless service to SMEs, SBS providers should hold information and, where relevant, application packs, providing access to A/FMA and AA/AMA.

Sample Training Agreement

<p>This Agreement between:</p> <p>Employer _____</p> <p>of _____</p> <p>and Apprentice _____</p> <p>and Parent/Guardian _____ (if aged under 18)</p> <p>and Training Provider _____</p> <p>is made _____ on date _____</p>
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1. The Employer's Responsibilities

- 1.1 To employ, or sponsor, and pay the Apprentice in accordance with agreed terms and conditions.
- 1.2 To agree jointly with the Training Provider and Apprentice, an Apprenticeship Plan ensuring that satisfactory progress is maintained. Any changes to the plan to be agreed at review stages.
- 1.3 To provide, as far as is reasonably practical, the experience, facilities and training necessary to achieve the training objectives specified in the Apprenticeship Plan without loss of wages and to treat the Apprentice fairly and reasonably as an employee would be treated.
- 1.4 If the Apprenticeship is terminated due to redundancy, to attempt, with the assistance of relevant organisations, to arrange employment for the Apprentice, for the duration of the Apprenticeship, with another company.
- 1.5 To undertake legal and contractual responsibilities for the Health and Safety of the Apprentice.
- 1.6 To ensure conformity with the employer's equal opportunities policy

2. The Apprentice's Responsibilities

- 2.1 To work for the Employer to the best of her or his ability and in accordance with the Employer's policies and procedures.
- 2.2 To observe the Employer's terms and conditions of employment.
- 2.3 In both working and training, to be diligent and punctual and to attend courses, keep records, take part in an contribute to the review process, undertake assessments in order to achieve Apprenticeship Plan objectives and keep the employer informed of progress towards those objectives.
- 2.4 At all times to behave in a safe and responsible manner and in accordance with the requirements of Health and Safety legislation relating to the individual's responsibilities and to promote and act in the Employer's best interests.

3. The Training Provider's Responsibilities

- 3.1 To check that the contents of the Apprenticeship Plan fulfil the nationally and industry/sector agreed criteria for the Modern Apprenticeship.

- 3.2 To ensure that the training meets the requirements set out in the Contract between the Training Provider and the Learning and Skills Council in particular in relation to Quality Assurance process including Health and Safety obligations.
- 3.3 If the Employer is unable to complete the Apprenticeship, then the Training Provider shall use its best endeavours to ensure that the Apprentice is offered the opportunity to transfer to another organisation that will be able to provide an Apprenticeship Plan substantially similar to the existing Apprenticeship Plan.

I understand the responsibilities as defined above and agree to this undertaking.

Signed _____ for Employer

Date _____

Signed _____ Apprentice

Date _____

Signed _____ Parent/Guardian (if aged under 18)

Date _____

Signed _____ For Training Provider

Date _____

Copies to:

- Apprentice
- Employer
- Provider
- Local LSC
-

NVQ Qualification Reference Number(s) for the A/FMA in Rail Transport Operations

NVQ Title	Qualification Reference Number(s)	Awarding Body
Rail Transport Operations – Level 2	Q1050841	City & Guilds