



THIRD PARTY MONITORING PROCEDURE

Third Party Monitoring Procedure	
PURPOSE	This process serves as the guide and reference document for the monitoring of third-party activities/arrangements of Error! Reference source not found. Changes to this procedure must only be made upon approval of the CEO.
ROLE UNDERTAKING TASK	Management /RTO Manager
DOCUMENT UPDATE	28 January 2019

Review and Reporting of Third-Party Arrangements		
No.	Person/s Responsible	Steps to take
1	Stakeholders / Error! Reference source not found. CEO and Manager	<ul style="list-style-type: none">a. Review written Third Party Agreement and ensure that all VQF requirements, Standards for RTOs 2015 and relative state/territory legislations and regulations are addressed.b. Ensure that both parties are aware and that they understand their responsibilities.c. Once both parties arrive to an agreement and all documents have been finalised, report Third Party Arrangements to the VET Regulator via ASQAnet within thirty (30) calendar days of the contract start date.d. Upon termination of the contract, notify VET Regulator within thirty (30) calendar days of the agreement coming to an end via ASQAnet.



Monitoring and Annual Review of Third-Party Arrangements		
No.	Person/s Responsible	Steps to take
1	CEO / Manager / Admin Staff / Third Party	<ul style="list-style-type: none"> a. The Third-Party Agreement is reviewed at least annually or at any time where necessary upon the agreement of both parties. b. Review of the Agreement is documented in the form of Meeting minutes. Copies of the minutes will be distributed to both parties within seven (7) days of the meeting event. c. Notify the third party of any changes to the company. d. Third party to consolidate all client feedback collected and recorded in the third party's Continuous Improvement Register. e. Third party to generate report as requested by the CEO. f. Third party to send report to CEO for review.
2	Quality/Compliance Team	<p>Review all marketing platforms (including websites and social media) and pre-enrolment materials (including brochures, media advertisements, posters, course guides and handbooks) to ensure they;</p> <ul style="list-style-type: none"> a. Offer accurate representation of products and services to be provided; b. Provide clear information that Third Party is delivering the course under Energy Training Group's scope of registration as a third-party provider; c. Include Energy Training Group's National Registration Code: 00000; d. Include the full code and title of the course on all marketing and resources, as presented on training.gov.au; e. Refer to another person or organisation in its marketing material only if the consent of that person or organisation has been obtained; f. Use the NRT Logo only in accordance with the conditions of use specified in the Standards for RTOs 2015, Schedule 4; g. Distinguish between nationally recognised training and assessment leading to the issuance of AQF certification documentation from any other training or assessment delivered by the Third Party; h. Only advertise or market a non-current training product while it remains on the RTO's scope of registration; i. Only advertise or market that a training product it delivers will enable learners to obtain a licensed or regulated outcome where this has been



		<p>confirmed by the industry regulator in the jurisdiction in which it is being advertised;</p> <p>j. Do not guarantee that a student will successfully complete the course being advertised;</p> <p>k. Do not guarantee that a student will obtain a particular employment outcome where this is outside the control of the Third Party;</p> <p>l. Are compliant will all current consumer protection legislation applying to the jurisdiction in which the marketing activities are being delivered</p> <p>m. Do not advertise accepting more than \$1500 in total fees in advance of any training or assessment activities from its individual students at any time throughout the programs (unless there is prior written approval from Energy Training Group).</p>
3	Quality/Compliance Team, Training Manager	<p>Review Training and Assessment Strategies for each program offered by the Third Party against the training package requirements and against what is actually being delivered by the Third Party, with particular attention to:</p> <p>a. Ensuring training products listed in the Strategies are not superseded and, if so, there is an appropriate plan in place to transition/teach our students,</p> <p>b. Identification and description of learner cohorts</p> <p>c. How support needs of individual learners are determined, provided and monitored throughout their program,</p> <p>d. Training and assessment resources (including trainers and assessors),</p> <p>e. Amount of training, and</p> <p>f. Meeting the needs of industry</p>
4	Quality/Compliance Team	<p>Review evidence of validation activity performed by the Third Party in relation to assessment tool validation and post-assessment validation of judgement in relation to:</p> <p>a. Adherence to the RTO's Validation Plan/Strategy, and</p> <p>b. Adherence to the 5-year Validation Schedule/Calendar</p>



5	Quality/Compliance Team	<p>Review trainer and assessor files to ensure:</p> <ul style="list-style-type: none">a. Their industry qualifications/vocational matrices still match what they are delivering,b. Their training and assessment qualifications are still current against the requirements of the Standards for RTOs 2015,c. They are undertaking activities to remain current in their industry skills and knowledged. They are undertaking activities to remain current in their vocational training and assessment skills and knowledge, ande. Any licences, first aid competencies and/or security clearances are current.
6	Quality/Compliance Team	<p>Review student files (random sample of current, completed and withdrawn files) to ensure all required documentation is on file.</p>

Management Review of Opportunities for Improvement

No.	Person/s Responsible	Steps to take
1	CEO	<ul style="list-style-type: none">a. Conduct a preliminary review of identified opportunities for improvement in the third party's Continuous Improvement Register prior to the Continuous Improvement Meeting with the third party.b. Determine critical issues identified.c. Identify action items for critical issues and ask third party to assign relevant staff, as required.d. Include critical and urgent issues in the Management Meeting and/or Compliance and Continuous Improvement Meeting agenda with the third party.



2	CEO / Managers / Third Party	<p>e. During the Management Meeting and/or Compliance and Continuous Improvement Meeting with the third party, discuss opportunities for improvement and issues identified from the Continuous Improvement review.</p> <ol style="list-style-type: none"> 1) Review action items, amendments to policies, procedures, systems, tools etc. 2) Implications/effects on work processes, systems and practices. 3) Modify/approve proposed action items generated from discussion. <p>f. Ask third party to assign relevant stakeholders for the implementation of the identified action items specifying timeframes.</p> <p>g. Record all continuous improvement discussion in the minutes of the meeting.</p>
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Implementation		
No.	Person/s Responsible	Steps to take
1	Third Party Relevant Stakeholders	<ol style="list-style-type: none"> a. Make relevant changes, actions and updates, per the Management Meeting and Compliance Meeting action items. b. Update the Continuous Improvement Register to close out all action items implemented. c. Communicate details of the continuous improvement implementation through the third-party organisation and the Energy Training Group through: <ol style="list-style-type: none"> 1) staff meetings; 2) staff memos; 3) training/coaching sessions; 4) intranet; 5) email; 6) notice boards. d. Schedule a review of the continuous improvement implementation.



Evaluation and Review		
No.	Person/s Responsible	Steps to take
1	CEO / Managers / Third Party	<ul style="list-style-type: none">a. Conduct review of the continuous improvement implementation on the assigned date or during the next Management Meeting or Compliance and Continuous Improvement Meeting with the third party.b. Update the Continuous Improvement Register. Make sure to note the outcome of the evaluation.c. If further improvements are identified, return to Step 1.



VERSION CONTROL

Version Control Table					
Date	Summary of Modifications	Modified by	Version	Date of Implementation	Next Review Date
08/06/2020	Policy Creation	360RTO Solutions	v. 1.0	29/04/2021	29/04/2022