

# Third party arrangements

## VET policies and procedures

School RTO approval statement					
School RTO name	Redbank Plains State High School				
Policy start date	4/10/2024	QCAA school number	133	National provider number	46368
<p><b>The Principal as Chief Executive Officer (CEO) approves:</b></p> <ul style="list-style-type: none"><li>• the policy, procedure and implementation requirements</li><li>• all identified attachments to this policy and procedure</li><li>• all modifications to the policy and procedure prior to implementation</li><li>• the delegated Registered Training Organisation (RTO) officer/s to implement the policy and procedure</li><li>• the allocation of time to ensure delegated officers carry out all components within the prescribed timelines and dates of all activities outlined in the quality calendar detailed through this policy and procedure</li><li>• the RTO Manager monitoring, evaluating and reviewing the application of this policy and procedure to ensure compliance at all times</li><li>• QCAA analysing these documents when conducting audits</li><li>• that email addresses provide the same acknowledgment as a signature.</li></ul>					
RTO Manager			Principal		
Name	Amy Luxton		Name	Aimee Argiro	
Email	Aluxt2@eq.edu.au		Email	Abrow468@eq.edu.au	
Date	4/10/2024		Date	4/10/2024	
All additional delegated officers (add additional places to this table as required)					
Delegated officer	Diana Furlan		Delegated officer	Jake Currie	
Email	Dfurl4@eq.edu.au		Email	Jcurr227@eq.edu.au	
Date	4/10/2024		Date	4/10/2024	
Delegated officer	Mary Zaszlos				
Email	Mzasz4@eq.edu.au				
Date	4/10/2024				

# Determining the need for a TPA

Use the decision matrix in Table 1 to determine if conditions exist for a third party arrangement (TPA). Examine your existing situation to determine the TPA condition that is listed below.

If an agreement is needed, use Table 2 as a guide to providing notifications.

**Table 1**

Decision matrix				
Existing situation	1	2	3	4
	<p>An external RTO provides resources to meet some of the requirements necessary for completion of a qualification on the school RTO's scope of registration.</p> <ul style="list-style-type: none"><li>• The school RTO issues the certificate for a completed qualification or Statement of Attainment for partial completion.</li></ul>	<p>An external RTO provides educational and support services for a student enrolled in a qualification or unit of competency on the school RTO's scope of registration.</p> <ul style="list-style-type: none"><li>• The school RTO issues a certificate or awards a Statement of Attainment.</li></ul>	<p>An external RTO's services are engaged by the school RTO to assist a student in obtaining a unit of competency for a qualification offered by the school RTO and on its scope of registration.</p> <ul style="list-style-type: none"><li>• The school RTO issues a certificate for a completed qualification. The external RTO delivers specified services.</li></ul>	<p>An external RTO provides an opportunity for a student to undertake a qualification not currently being offered by the school RTO.</p> <ul style="list-style-type: none"><li>• The school RTO provides any or all of the following:<ul style="list-style-type: none"><li>– trainers/assessors</li><li>– delivery location</li><li>– resources.</li></ul></li><li>• The external RTO, issues a certificate or Statement of Attainment.</li></ul>
For the above situation, the decision is:	<p>The school RTO initiates a <i>written business agreement</i> and is responsible for compliance and monitoring.</p>	<p>The school RTO initiates a <i>third party agreement</i> and is responsible for compliance and monitoring.</p>	<p>The school RTO initiates a <i>third party arrangement</i> and has a responsibility to monitor student progress and services provided. Both RTOs must have the unit of competency on their scope of registration at all times.</p>	<p>The external RTO and the school RTO should have a <i>memorandum of understanding</i> or other written business understanding. The external RTO is responsible for enrolment, the outcomes of the training and assessment, and the issuing of the qualification to the student, and must have the qualification on its scope of registration at all times.</p>
	<p><b>Note:</b> The purchase and subsequent ownership of resources is a procurement, not a third party arrangement for providing services.</p>			
<p><b>Notes:</b></p> <p>Credit transfer may only be requested by students and accepted for units of competency on the school RTO's scope.</p> <p>The school RTO will have any business understandings with other organisations recorded in writing.</p>				

**Table 2**

Notification actions for new or changed agreements			
Type	Student and parent/carers	Trainer/assessor	QCAA
<b>Commencement of a new arrangement</b>	Advise students and parents/carers of new arrangement in electronic or printed format.	Advise trainers and assessors and include relevant TPA details in appropriate sections of the qualification/s TAS.	Submit a completed <i>Notification to change organisational details</i> form via the QCAA Portal within 30 days of the new arrangement.
<b>Substantial change to existing arrangement</b>	Advise students and parents/carers of change in electronic or printed format as soon as practical.	Advise trainers and assessors and update all relevant sections of the qualification/s TAS.	
<b>Cessation of an arrangement</b>	Advise students and parents/carers of change in electronic or printed format. If the end of the TPA is due to failure to deliver services or early termination, advise students of RTO's alternative arrangements.	Advise trainers and assessors and update all relevant sections of the qualification/s TAS to reflect any alternative arrangements.	

# Section 1 Policy and procedure

Section 1 of this policy and procedure provides advice on: (a) preparing written agreements; (b) providing information needed by trainers, assessors and students on third party service arrangements; (c) notifying QCAA about TPAs; and (d) monitoring procedures to ensure services meet the terms of the agreement and the requirements of the Standards.

**Relevant Standards:** 2.3, 2.4, 4.1(e), (f), 5.2(b), (d), 5.3, 5.4, 6.1(b), 6.2, 8.2, 8.3

## Third party arrangements (TPAs)

Third party arrangement policy and procedure			
Policy	Agreement	Notification	Monitoring
<p>The RTO ensures that when services are provided on its behalf by a third party:</p> <ul style="list-style-type: none"> <li>a written agreement is in place that defines the obligations of all parties under the arrangement</li> <li>each written agreement is systematically monitored.</li> </ul>	<p>A written agreement outlining the obligations of all parties must be in place when the RTO engages another party to provide one or more of the following services:</p> <ul style="list-style-type: none"> <li>marketing</li> <li>recruitment</li> <li>resources</li> <li>training</li> <li>assessment</li> <li>educational and support services.</li> </ul>	<ul style="list-style-type: none"> <li>The RTO will notify students and provide them with information on how the TPA affects them: <ul style="list-style-type: none"> <li>before enrolment</li> <li>when a change to agreed services occurs.</li> </ul> </li> <li>The RTO will notify the QCAA with advice of a TPA: <ul style="list-style-type: none"> <li>commencing</li> <li>substantially changing</li> <li>ceasing.</li> </ul> </li> <li>Trainers and assessors will be provided with an up-to-date TAS.</li> </ul>	<p>Over the life of the agreement, the RTO delegates officers to regularly monitor, evaluate and review TPA services using the Section 3 checklist.</p>

Requirements of TPAs		
Student advice	Information	QCAA advice
<p>The RTO will:</p> <ul style="list-style-type: none"> <li>provide current and accurate information on any TPA that affects the student in print or through referral to an electronic copy</li> <li>advise a student of any substantial change to the agreement as soon as practicable.</li> </ul>	<p>The minimum information an agreement must contain is:</p> <ul style="list-style-type: none"> <li>name and contact details of any third party service provider</li> <li>details of the training, assessment or related educational and support services to be provided to students on the RTO's behalf</li> <li>identification of the qualification/s and unit/s of competency involved by full code and title.</li> </ul>	<ul style="list-style-type: none"> <li>Within 30 days of a notifiable event, submit a completed <i>Notification to change organisation details</i> form using the QCAA Portal.</li> <li>The online form will include a detailed description of the arrangement and identification of the qualification/s and unit/s of competency involved by full code/s and title.</li> </ul>

## Section 2 Third party arrangement checklist

The RTO's minimum requirements for a written agreement depend on the nature of the services being delivered to students. The checklist below is used to guide the development of a TPA and to ensure all relevant parties are fully advised of the commencement, amendment or cessation of a TPA. The list should be used to manage the completion of monitoring reports. Checking a 'No' indicates a potential non-compliance and must be reported to the RTO Manager for remedial action.

Agreement	Yes	No
Minimum requirements to be included when developing a third party agreement:		
• Name, address, contact details and provider code of RTO and the third party service provider	<input type="checkbox"/>	<input type="checkbox"/>
• Start and end date of the agreement	<input type="checkbox"/>	<input type="checkbox"/>
• Delivery location/s	<input type="checkbox"/>	<input type="checkbox"/>
Minimum clauses to include in third party agreement:		
<ul style="list-style-type: none"> <li>The Principal confirms that the RTO's organisational structure adequately supports the: <ul style="list-style-type: none"> <li>quality assured operations of the RTO, including its policies and procedures</li> <li>RTO's assessment system</li> <li>RTO's systematic validation of assessment</li> <li>systematic monitoring of its TASs</li> <li>systematic monitoring of its practices and behaviours as outlined in the administration checklist that follows.</li> </ul> </li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>
• Description of educational and support services and other resources	<input type="checkbox"/>	<input type="checkbox"/>
• Timeframes, quantities, standards, milestones, etc. for delivery of agreed services	<input type="checkbox"/>	<input type="checkbox"/>
• Agreement on issuance of AQF certificates and awarding Statements of Attainment	<input type="checkbox"/>	<input type="checkbox"/>
• Process and consequences for termination of agreement due to failure to deliver services	<input type="checkbox"/>	<input type="checkbox"/>
• Conditions and consequences for early termination of services	<input type="checkbox"/>	<input type="checkbox"/>
• Obligation relating to fees and providing refunds	<input type="checkbox"/>	<input type="checkbox"/>
• Process used by the school RTO to monitor services provided by the third party	<input type="checkbox"/>	<input type="checkbox"/>
• Process used by both parties to review all aspects of the agreement	<input type="checkbox"/>	<input type="checkbox"/>
• Third party requirement to cooperate with the QCAA and provide accurate responses to requests about delivery of services	<input type="checkbox"/>	<input type="checkbox"/>
• Details regarding TPAs documented in a TAS document, with Sections 1–6 completed as required	<input type="checkbox"/>	<input type="checkbox"/>
• Student outcomes and progress accurately reported by the third party and within agreed timeframes	<input type="checkbox"/>	<input type="checkbox"/>

Notification	Yes	No
Students received required information:		
• Name and contact details of the third party service providers	<input type="checkbox"/>	<input type="checkbox"/>
• Description of services being provided by third party, including enrolment information identifying qualification/s and unit/s of competency by code and title	<input type="checkbox"/>	<input type="checkbox"/>
• Fees and charges, including refund policy and exemptions	<input type="checkbox"/>	<input type="checkbox"/>
• How to access third party complaints and appeals procedures	<input type="checkbox"/>	<input type="checkbox"/>
• Procedure to be followed if third party is unable to fulfil its obligations in providing training and assessment, services, etc.	<input type="checkbox"/>	<input type="checkbox"/>
• Recognition of Prior Learning (RPL) and credit transfer arrangements	<input type="checkbox"/>	<input type="checkbox"/>
• Issuance of AQF certificates and awarding Statements of Attainment or credit transfer	<input type="checkbox"/>	<input type="checkbox"/>
• Substantial changes to the agreement (when required)	<input type="checkbox"/>	<input type="checkbox"/>
The QCAA has been notified:		
• within 30 days of commencement, change or cessation of any third party arrangement using the QCAA Portal.	<input type="checkbox"/>	<input type="checkbox"/>
Trainers and assessors are notified of:		
• TPAs in place for the qualification and units of competency	<input type="checkbox"/>	<input type="checkbox"/>
• details regarding TPAs or changes that have been documented in qualification's TAS.	<input type="checkbox"/>	<input type="checkbox"/>

Monitoring		N/A	Yes	No
Review for each third party service.				
All third party agreements are regularly monitored.		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Information services	Pre-enrolment information provided to students.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Marketing and advertising	Permission in writing. RTO code used. Training products identified by full code and title.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trainer/assessor	Profile supports vocational competency and current industry skills. Hold: <ul style="list-style-type: none"><li>• TAE40110 plus the addition of either<ul style="list-style-type: none"><li>– TAE40110 or TAE40111 and one of</li><li>– TAE40112, TAE40113 or TAE40114</li></ul></li><li>OR</li><li>• TAE40116 Certificate IV in Training and Assessment</li><li>OR</li><li>• A diploma or higher level qualification in adult education.</li></ul>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Resources	Facilities and equipment are provided as agreed and are suitable to accommodate the number of students.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Support services	Language, literacy and numeracy support, delivery flexibility, learning materials, etc. provided as agreed.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Assessment services	Assessment activities, evidence gathering and mapping tools meet Principles of Assessment and Rules of Evidence.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Validation	Assessment tools have been validated and updated as recommended by validation outcomes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Monitoring		N/A	Yes	No
<b>Records management</b>	Outcomes recorded in the Registration and Banking System (RABS) accurately and within required timeframes.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>AQF certification</b>	Issuance of qualifications/statements of attainment within 30 days of attainment.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Student achievement</b>	Service provided meets the student needs. Student feedback on third party services is satisfactory.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Evaluation and review		Yes	No
The monitoring process has been used to determine if the TPA is fulfilling the agreed service/s.		<input type="checkbox"/>	<input type="checkbox"/>
Agreement review form completed and includes recommendations and actions (refer to Attachment 1).		<input type="checkbox"/>	<input type="checkbox"/>
Results of monitoring and evaluation have been acted upon.		<input type="checkbox"/>	<input type="checkbox"/>

## Section 3 Systematic monitoring

Completing Section 3 satisfies the requirement of the Standard for systematic monitoring.

The RTO Manager will record the dates when monitoring activities occur, the outcomes of the monitoring process and any rectifications required to ensure ongoing compliance.

A 'No' indicates a non-compliance and must be reported to the RTO Manager. Appropriate rectification must be recorded and actioned.

**Relevant Standards:** 2.1, 2.2

Systematic compliance monitoring checklist	
Date of successive monitoring activities	Name of person/s conducting successive monitoring activities
24/11/2025	Amy Luxton
[Date]	
[Date]	
[Date]	

Monitoring the application of this policy and procedure by the RTO		Record of last monitoring	
		Yes	No
<b>School RTO approval statement</b> (Page 1 of this document)	The following details are current and complete:		
	• school RTO name	<input type="checkbox"/>	<input type="checkbox"/>
	• the policy and procedure document is dated (start date)	<input type="checkbox"/>	<input type="checkbox"/>
	• QCAA school number	<input type="checkbox"/>	<input type="checkbox"/>
	• national provider number	<input type="checkbox"/>	<input type="checkbox"/>
	• Principal's name and contact details	<input type="checkbox"/>	<input type="checkbox"/>
	• RTO Manager's name and contact details	<input type="checkbox"/>	<input type="checkbox"/>
<b>Policy and procedure</b> (Section 1 of this document)	• all delegated officers' names and contact details.	<input type="checkbox"/>	<input type="checkbox"/>
	Students have been notified of the details of the TPA.	<input type="checkbox"/>	<input type="checkbox"/>
	The QCAA has been notified of current TPAs within 30 days.	<input type="checkbox"/>	<input type="checkbox"/>
	Training and assessment strategies have been updated.	<input type="checkbox"/>	<input type="checkbox"/>
	Trainers and assessors have been advised of TPAs.	<input type="checkbox"/>	<input type="checkbox"/>
<b>Third party arrangement checklist</b> (Section 2 of this document)	Monitoring procedure represents current practice.	<input type="checkbox"/>	<input type="checkbox"/>
	All third party agreements are documented and filed electronically or in printed form.	<input type="checkbox"/>	<input type="checkbox"/>
	TPAs are scheduled for monitoring.	<input type="checkbox"/>	<input type="checkbox"/>
	Monitoring reports, outcomes and recommendations are recorded and archived for audit.	<input type="checkbox"/>	<input type="checkbox"/>
	Register of third party agreements and duration periods is up to date (refer to Attachment 2).	<input type="checkbox"/>	<input type="checkbox"/>



RTO Manager notes	
Comment on the last monitoring activity	
List any non-compliances	
List any rectifications	

## Section 4 Explanation of terms

This policy and procedure contains words and expressions that have specific meaning.

Glossary	
Term	Meaning
<b>Educational, support services and resources</b>	<p>Examples of services a third party may be engaged to provide:</p> <ul style="list-style-type: none"> <li>• pre-enrolment materials</li> <li>• study support and study skills programs</li> <li>• language, literacy and numeracy (LLN) programs</li> <li>• equipment, resources and/or programs for students</li> <li>• learning materials in alternative formats, for example in large print</li> <li>• flexible scheduling and delivery of training and assessment</li> <li>• learning and assessment programs contextualised to the workplace</li> <li>• any other services that the RTO considers necessary to support students to achieve competency.</li> </ul> <p>A TPA is not required when services include student counselling, mediation or information and communications technology (ICT) support.</p>
<b>Evaluate</b>	Assess the findings of the monitoring to determine if the third party agreement is fulfilling its intended purpose.
<b>Monitoring agreements</b>	The ongoing process of regularly collecting and analysing relevant information to determine if the third party is fulfilling its obligations under the agreement.
<b>Notification</b>	The need to inform students, notify the QCAA, advise relevant trainers and assessors and update TAS documents.
<b>Obligations of the third party</b>	Written agreements must specify timeframes, services, responsibilities, consequences for failure to provide agreed services and the requirement to cooperate with the QCAA and ASQA.
<b>Obligations of the school RTO</b>	<p>When a third party is involved in the training and/or assessment, students have the right to be informed of the TPA. The school RTO will inform students about the provision of services including:</p> <ul style="list-style-type: none"> <li>• name of the third party</li> <li>• how to contact the third party at any time</li> <li>• the training and assessment provided</li> <li>• procedure for issuing any qualifications and/or Statements of Attainment</li> <li>• any changes to the arrangements</li> <li>• how to lodge a complaint or appeal against either the RTO or the third party</li> <li>• any fees collected by third parties.</li> </ul>
<b>Review</b>	Changes are made to practices or the agreement to ensure quality services are being delivered and meet the needs of the students.
<b>RTO officer</b>	Any person delegated by the Principal to ensure the RTO's TPA policy and procedure is followed.
<b>Substantial change</b>	Changes to any TPA that would significantly affect the RTO's or third party's ability to deliver agreed services to a student.
<b>Systematic monitoring of policy and procedure</b>	The process to ensure that the RTO's policy and procedure for managing third party agreements is being applied. This includes keeping monitoring, evaluation and reviews records for each agreement.
<b>Third party</b>	Any individual or organisation that provides services on behalf of the RTO. It does not include a contract of employment between an RTO and its employee.

## Glossary

Term	Meaning
<b>Written agreement</b>	<p>All third party agreements must be in writing. The details of the written agreement are dependent on the nature of the services being delivered to a student but will usually include:</p> <ul style="list-style-type: none"><li>• the name of the RTO and the third party</li><li>• the start and end date of the agreement</li><li>• details of arrangements for commission or fees to be retained or paid by the third party, a student or the RTO.</li></ul> <p>Clauses will usually include details of:</p> <ul style="list-style-type: none"><li>• the RTO's obligations under the agreement</li><li>• services to be provided by the third party</li><li>• delivery locations and timeframes for provision of services</li><li>• trainers and assessors meeting requirements of the Standards</li><li>• issuance of any qualifications and Statements of Attainment</li><li>• any marketing agreements</li><li>• provision of pre-enrolment information</li><li>• keeping and providing records of a student's results</li><li>• arrangements to terminate the TPA early</li><li>• arrangements if the third party fails to provide agreed services</li><li>• processes by which the RTO will systematically monitor the third party arrangement/s</li><li>• requirements of the third party to cooperate with the QCAA and ASQA and to provide accurate responses to requests about provision.</li></ul>

# Attachment 1

## Record of monitoring agreement reviews and outcomes

To be completed for each TPA.

Third party arrangement			
Name of third party		Agreement reference no.	1
Date of review	Name of delegated officer		
[Date]			
[Date]			
[Date]			
[Date]			
Review date	Outcomes		
[Date]	Recommendation/s		
	Action taken		
	Date actioned: [Date]		
[Date]	Recommendation/s		
	Action taken		
	Date actioned: [Date]		
[Date]	Recommendation/s		
	Action taken		
	Date actioned: [Date]		
[Date]	Recommendation/s		
	Action taken		
	Date actioned: [Date]		

# Attachment 2

## Register of third party agreement/s

This register is used to record the third party agreement/s in place.

Ref no.	Business name and ABN	Contact person/s, mobile and email	Start date	End date	Service/s provided	VET qualification/s or unit/s of competency involved	QCAA notified	TPA reviewed
1			[Date]	[Date]	Choose an item.		Choose an item.	Choose an item.
2			[Date]	[Date]	Choose an item.		Choose an item.	Choose an item.
3			[Date]	[Date]	Choose an item.		Choose an item.	Choose an item.
4			[Date]	[Date]	Choose an item.		Choose an item.	Choose an item.
5			[Date]	[Date]	Choose an item.		Choose an item.	Choose an item.
6			[Date]	[Date]	Choose an item.		Choose an item.	Choose an item.