

RTO STANDARDS COMPLIANCE CHECKLIST

This checklist is designed to assist you to evaluate your RTO's compliance with the revised RTO Standards, due for release in 2024 . It offers a comprehensive review tool to ensure that all necessary areas of training, assessment, learner support, workforce competency, and governance are addressed and that your RTO remains aligned with the latest regulatory requirements.

By thoroughly completing this checklist and ensuring you have the required evidence of your compliance, your RTO can confidently demonstrate its adherence to the revised RTO Standards, ensuring high-quality service delivery and continuous improvement across all operational areas. This proactive approach to compliance will help your RTO maintain excellence in training and assessment, supporting both learner outcomes and industry needs.

Standard 1 - Training and Assessment

Training

a) Is the training delivered engaging and well-structured?

Evidence required:

- Training and assessment strategies (TAS)
- Course delivery plans and schedules
- Learner feedback and evaluation forms
- Samples of learning resources and materials

b) Does the training enable learners to attain skills and knowledge consistent with the training product?

Evidence required:

- Mapping documents showing alignment of training content with unit of competency requirements
- Learner assessment records
- Post-training employment data or learner progression records

c) Does the RTO engage effectively with industry, employer, and community representatives to ensure relevant skills and knowledge are imparted?

Evidence required:

- Records of industry consultation meetings, including minutes and feedback
- Updated TAS reflecting industry input
- Employer and industry partner feedback forms

Assessment

a) Is the assessment system fit-for-purpose and aligned with the training product?

Evidence required:

- Assessment tools and validation records
- Assessment moderation meeting minutes
- Completed assessment records for a sample of learners

b) Are assessments conducted fairly and appropriately, ensuring accurate competency judgments?

Evidence required:

- Assessor guides and marking criteria
- Completed assessment feedback forms to learners
- Records of appeals and how they were resolved

c) Are assessment tools tested before use, and are necessary adjustments made based on outcomes?

Evidence required:

- Pre-validation records or testing reports of assessment tools
- Documentation of changes made to assessment tools based on pre-validation feedback
- Meeting minutes or reports from validation sessions

d) Are assessment practices and judgments regularly validated by appropriately skilled personnel?

Evidence required:

- Validation schedules and records
- Assessor qualifications and professional development records
- Validation reports including outcomes and action plans

Facilities, Resources, and Equipment

a) Are facilities, resources, and equipment for each training product fit-for-purpose, safe, accessible, and sufficient?

Evidence required:

- Facility and resource audit reports
- Equipment maintenance records
- Learner and trainer feedback regarding facilities and resources

b) How does the RTO ensure ongoing suitability and safety of these resources?

Evidence required:

- Regular risk assessments and hazard logs
- Safety inspection checklists
- Incident reports and corrective action records

c) Are risks associated with work-integrated learning environments effectively identified and managed?

Evidence required:

- Work placement agreements and safety checklists
- Risk management plans for work placements
- Feedback from learners and employers regarding work-integrated learning

Recognition of Prior Learning and Credit Transfer

a) Are learners informed and supported in seeking recognition of prior learning (RPL) or credit transfer?

Evidence required:

- RPL and credit transfer policies and procedures
- Information provided to learners (brochures, website content)
- RPL/credit transfer application records and assessment outcomes

b) Is RPL conducted in accordance with the assessment system and based on relevant evidence?

Evidence required:

- Completed RPL assessment records
- RPL assessment tools and evidence guides
- Documentation of RPL decision-making processes

Standard 2 - Learner Support

Information

a) Do learners have access to clear and accurate information to make informed decisions about their training?

Evidence required:

- Marketing materials and course brochures
- Pre-enrolment information packs
- Records of communication with prospective learners (emails, phone logs)
- Student Handbook

b) Are learners informed prior to enrolment about the suitability of the training product for their skills and competencies?

Evidence required:

- Skills and competency assessments (e.g., LLN assessments) conducted pre-enrolment
- Counselling session records
- Enrolment forms and checklists

Training Support

a) Are learners' training support needs identified, and are they provided with the necessary services to undertake the training and assessment?

Evidence required:

- Learner support plans or Individual Learning Plans (ILPs)
- Records of learner support services provided (e.g., tutoring, counselling)
- Feedback from learners on the effectiveness of support services

b) Do learners have reasonable access to trainers, assessors, and other staff?

Evidence required:

- Schedules showing availability of trainers and assessors
- Communication logs (emails, online forum interactions)
- Learner feedback on accessibility of staff

Wellbeing

a) Does the training environment promote and support the wellbeing and diversity of learners?

Evidence required:

- Policies on diversity and inclusion
- Records of harassment or discrimination complaints and resolutions
- Feedback from learners on the inclusivity and safety of the training environment

b) Are wellbeing needs identified, and are appropriate strategies in place to support these needs?

Evidence required:

- Wellbeing assessments and support plans
- Information on wellbeing services available to learners
- Records of referrals to external support services
- Student support courses - [EmpowerU](#)

Feedback, Complaints, and Appeals

a) Are processes in place to effectively manage complaints and appeals?

Evidence required:

- Complaints and appeals policies and procedures
- Complaints/appeals register
- Records of complaints/appeals and their resolutions

b) Is feedback used to inform continuous improvement?

Evidence required:

- Feedback forms and surveys completed by learners and staff
- Continuous improvement records and action plans
- Minutes of meetings discussing feedback and resulting changes

Standard 3 - VET Workforce

VET Workforce Planning

a) Does the RTO have effective workforce planning to support service delivery?

Evidence required:

- Workforce planning documents and staffing projections
- Staff recruitment and retention policies
- Training and development plans for staff

b) Are there sufficient qualified staff to deliver training and assessment and support learners?

Evidence required:

- Staff qualifications and resumes
- Staff-to-learner ratio analysis
- Professional development records

VET Workforce Competencies

a) Are training and assessment delivered by credentialed individuals with current skills and knowledge in training and assessment?

Evidence required:

- Trainer and assessor qualifications and currency records
- Completed and current Trainer Matrix
- Professional development logs and participation certificates
- Observations and peer review records

b) Does the RTO ensure ongoing professional development for trainers and assessors?

Evidence required:

- Professional development policies and schedules
- Records of attendance at workshops, courses, or industry events
- Self-assessment or reflective practice logs maintained by staff

Standard 4 - Governance

Leadership and Accountability

a) Is the RTO accountable for ensuring quality service delivery, including training and assessment?

Evidence required:

- Governance structure and roles documentation
- Records of governance meetings and decisions
- Policies on quality assurance and continuous improvement

b) Does leadership promote a positive organisational culture, inclusivity, and integrity in service delivery?

Evidence required:

- Organisational culture assessments or surveys
- Diversity and inclusion policies and records of implementation
- Codes of conduct and ethics

Roles and Responsibilities

- a) **Are roles and responsibilities clearly defined, understood, and aligned with effective decision-making processes?**

Evidence requirements:

- Organisational charts and job descriptions
- Communication plans for staff roles and responsibilities
- Records of role-specific training or inductions

Fit and Proper Persons

- a) **Are governing persons assessed as fit and proper before and during their roles in the RTO?**

Evidence requirements:

- Fit and proper person declarations or assessments
- Background checks and records of ongoing monitoring
- Documentation of any issues identified, and actions taken

Financial Viability

- b) **Does the RTO maintain financial viability to support service delivery, including refunding any pre-paid fees if necessary?**

Evidence requirements:

- Financial statements and reports
- Financial viability assessments or audits
- Policies on fee protection and refund mechanisms

Systematic Monitoring and Evaluation

a) Does the RTO have a system in place for monitoring and evaluating performance against the Standards?

Evidence requirements:

- Monitoring and evaluation plans and schedules
- Data collection reports (e.g., learner progress, outcomes)
- Action plans based on evaluation findings

b) Are risks to achieving the outcomes described in the Standards identified and managed?

Evidence requirements:

- Risk management plans and risk registers
- Records of risk assessments and mitigation strategies
- Incident reports and follow-up actions

If, during the completion of this checklist, you identify any missing or incomplete evidence required for compliance, it is essential to take immediate action to address these gaps.

To help your RTO stay ahead of the curve and work towards full compliance, Coast Wide Training Solutions are proud to announce the release of our comprehensive Quality Management System (QMS), specifically designed to align with the Draft Revised Standards as of August 2024.

We invite you to explore how our QMS can support your RTO in delivering exceptional training and achieving regulatory excellence.

[Download our QMS Guide](#)

This proactive approach will safeguard your RTO's compliance with the 2025 RTO Standards and maintain the quality and integrity of your training and assessment services.