

## COMPLIANCE CHECKLIST FOR CEO DECLARATION

The Standards for RTOs 2015 require the CEO of a registered training organisation to provide ASQA with an annual declaration by **31 March 2019**, of their compliance with the Standards. Prior to signing the declaration, the RTO needs to undertake the self-assessment required to complete the declaration.

RTO Advance has developed this checklist to assist RTO's to complete their self-assessment. The checklist provides a summary of some of the issues that need to be addressed as part of the self-assessment.

Documents Required	Yes/No	Follow up Action
<ul style="list-style-type: none"> <li>A Training and Assessment Strategy (TAS) for each type/cohort of student e.g. online, classroom, workplace based. Must include amount of training and rationale for this and describe activities undertaken during unsupervised learning.</li> </ul>		
<ul style="list-style-type: none"> <li>Industry Consultation records – for developing and annual review of TAS and assessments.</li> </ul>		
<ul style="list-style-type: none"> <li>Trainer/Assessor files with signed resumes, certified qualifications and skills matrices. The skills matrices should demonstrate vocational competency and currency against each unit. Must have <u>evidence</u> of PD</li> </ul>		
<ul style="list-style-type: none"> <li>Pre-enrolment information, which may include a student handbook plus detailed information about the course, needs to be sufficient to allow a person to make an informed decision about enrolment into the course. Ensure address all points listed in clause 5.2a-f</li> </ul>		
<ul style="list-style-type: none"> <li>A schedule of a validation of assessment tools and of performance judgements is required and evidence of activity undertaken that clearly shows when each unit was validated and by who.</li> </ul>		
<ul style="list-style-type: none"> <li>Training and assessment materials including session plans, learner guides, assessment tasks, records of assessment results, marking guides and competency mapping.</li> </ul>		

<ul style="list-style-type: none"> <li>• A process for identifying and supporting language, literacy &amp; numeracy requirements of students.</li> </ul>		
<ul style="list-style-type: none"> <li>• Procedure for transition arrangements where a training product on RTO's scope of registration is superseded. Either students' training and assessment is completed and the relevant AQF certification documentation is issued, or learners are transferred into its replacement, within a period of one year from the date the replacement training product was released on the National Register.</li> </ul>		
<ul style="list-style-type: none"> <li>• Detailed RTO policies and procedures that comply with the Standards, together with relevant forms and implemented systems. Also, records to demonstrate that the RTO operates in accordance with its policies and procedures.</li> </ul>		
<ul style="list-style-type: none"> <li>• An AVETMISS compliant student management system. Need to be able to demonstrate that students are entered correctly onto the database and that assessment results are validly recorded.</li> </ul>		
<ul style="list-style-type: none"> <li>• Compliant qualifications, statements of attainment and records of results.</li> </ul>		
<ul style="list-style-type: none"> <li>• A records management system that includes clear guidelines that are followed on maintaining hard copy student and staff files. Also, a documented procedure for electronic file and record management that is followed, together with version control requirements.</li> </ul>		
<ul style="list-style-type: none"> <li>• A documented approach to identifying the individual support and learning needs of your students. Evidence that this is implemented for each student</li> </ul>		
<ul style="list-style-type: none"> <li>• Evidence of collecting and reporting quality indicator data.</li> </ul>		