

independent internal review

Compliance and Quality Assurance Audit

An independent internal review of your RTO's operations against the Standards for RTOs 2025, with a clause-referenced findings report and a prioritised action plan.

ABOUT THIS GUIDE

A clear, independent view of how your RTO is operating

Your RTO's compliance is your organisation's responsibility, and your governing persons are accountable for it. A Compliance and Quality Assurance Audit gives your leadership team an independent, evidence-based picture of how your systems, processes and practices are operating against the Standards for RTOs 2025, and what to address first.

This guide explains what the audit covers, how it runs, what you receive at the end, the packages available and what we need from your team. It is designed to be read alongside a conversation with us about your RTO.

At a glance

Reviewed against	Standards for RTOs 2025: Outcome Standards, Compliance Requirements and Credential Policy
Approach	Follows the phases of the VET student journey, plus governance
Conducted by	A designated CWTS compliance consultant and support team
Timeframe	Approximately 1 to 8 weeks, depending on RTO size and scope
You receive	Clause-referenced findings report, prioritised corrective actions and a debrief meeting

CONTENTS

Why an internal audit 3

What we review 4

How the audit works 6

What you receive 7

Audit packages 8

Preparing for your audit 9

After the audit 9

Frequently asked questions 10

Request a quote 11



WHY AN INTERNAL AUDIT

Self-assurance you can evidence

The Standards for RTOs 2025 describe outcomes rather than prescribe methods. That flexibility places the responsibility on each RTO to monitor its own performance and to show how it knows its practices are working.

Outcome Standard 4.4 expects RTOs to undertake systematic monitoring and evaluation of the organisation to support quality delivery and continuous improvement. Governing persons also make an annual declaration on compliance with the Compliance Requirements. An independent internal audit gives your leadership team documented evidence to support both.

An audit also gives your team a shared view of what is working well. Findings are framed as clear, practical actions with clause references, so the work that follows is focused and easy to track through your continuous improvement register.

> **The audit identifies where your RTO stands and what to do next. Decisions and rectification remain with your RTO, with as much or as little CWTS support as you choose.**

When an audit is worth considering

- ✓ No formal internal review against the Standards for RTOs 2025 in the last twelve months
- ✓ An upcoming registration renewal, or a performance assessment expected from your regulator
- ✓ Previous complaints or audit findings, and you want to confirm rectification is complete
- ✓ Significant change, such as new leadership or staff, new training products, new delivery sites or modes, or new third-party arrangements
- ✓ A change of ownership, or a due diligence review before purchase
- ✓ Your governing persons want stronger evidence of oversight before signing the annual declaration on compliance



WHAT WE REVIEW

Following the VET student journey

The audit follows the five phases of a VET student's experience with your RTO, then reviews governance and regulatory compliance. Each area is tested against the relevant clauses and backed by evidence from your systems, records and staff.

1. Marketing and recruitment

- Website, social media, brochures and third-party marketing are clear, accurate and current
- Training product codes and titles match the National Register, and your RTO code is displayed
- Pre-enrolment information covers duration, delivery, fees, support services and student obligations
- No guarantees or inducements, correct use of the Nationally Recognised Training logo, and accurate references to licensed outcomes and financial support

Outcome Standard 2.1

Compliance Requirements 7, 8, 13

2. Enrolment

- Students are advised on the suitability of the training product before enrolment, including language, literacy, numeracy and digital skills
- Written information on training, fees, charges and obligations is provided before enrolment or payment
- Prepaid fee protection arrangements are in place and applied
- Recognition of prior learning and credit transfer are offered and processed correctly

Outcome Standards 1.6, 1.7, 2.2

Compliance Requirement 18

3. Support and progression

- Students can access training support, wellbeing support, trainers and assessors throughout their course
- Reasonable adjustments for students with disability are identified, documented and applied
- The learning environment supports diversity, and cohort wellbeing needs are identified with strategies in place
- Feedback, complaints and appeals are accessible, managed fairly and used for improvement

Outcome Standards 2.3 to 2.8

4. Training and assessment

- Training is engaging, well structured and consistent with the training product, informed by industry engagement
- The assessment system is fit for purpose, fair and supports accurate judgements
- Assessment tools are reviewed before use, and validation is planned, risk-based and conducted by credentialled people
- Facilities, resources and equipment are fit for purpose, safe and sufficient, and superseded training products are transitioned on time

Outcome Standards 1.1 to 1.5, 1.8

Compliance Requirement 14

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WHAT WE REVIEW, CONTINUED

4. Training and assessment: your workforce

- Staffing levels are planned and managed to deliver your services
- Trainers and assessors hold the required credentials under the Credential Policy, with current vocational competency
- Industry currency and professional development are maintained and recorded
- Industry experts are engaged and supervised appropriately, and work alongside credentialled assessors for assessment judgements

Outcome Standards 3.1 to 3.3

Credential Policy

5. Completion

- Qualifications and statements of attainment are issued correctly and within required timeframes
- Certification documents meet AQF (Australian Qualifications Framework) requirements and use the NRT logo correctly
- Records of certification and assessment are retained as required
- Unique Student Identifier (USI) requirements are met before certification is issued

Compliance Requirements 9 to 13

6. Governance and regulatory compliance

- The organisation operates with integrity, and governing persons maintain accountability for quality
- Roles and responsibilities of staff and third parties are clearly defined and understood, including written agreements and monitoring of third parties
- Risks to students, staff and the organisation are identified and managed
- Systematic monitoring, evaluation and continuous improvement are in place and used
- Fit and Proper Person Requirements are met and recorded for relevant people
- Annual declaration on compliance, and notification of material changes to your regulator
- Public liability insurance and compliance with Commonwealth, state and territory laws
- Data provision and reporting obligations, including your AVETMISS (Australian Vocational Education and Training Management Information Statistical Standard) or VET Information Standard reporting arrangements

Outcome Standards 4.1 to 4.4 **Compliance Requirements 15, 16, 19, 20** **Fit and Proper Person Requirements**



Clause references follow the Standards for RTOs 2025 instruments and are confirmed in your audit report. Where your RTO delivers under state funding contracts, ELICOS or CRICOS arrangements, let us know at scoping so we can agree whether those obligations are in scope.

HOW THE AUDIT WORKS

Five clear stages, one designated consultant

Your audit is led by a designated CWTS compliance consultant, supported by our team. You will know who is reviewing your RTO, what they need and when to expect each stage.

1

Scoping and agreement

We confirm the purpose of the audit, the training products, delivery sites and third parties in scope, and the timeframe. You receive a written quote, our engagement agreement and a confidentiality agreement.

2

Document and system review

We review your quality management system, training and assessment strategies, assessment tools, registers, marketing and key records, with access to your student management system.

3

Evidence sampling and interviews

We sample student, trainer and assessment files across your scope and speak with key staff, so findings reflect how your practices operate day to day.

4

Findings report

Each area is rated and referenced to the relevant clause, with the evidence observed, the issue identified and a recommended corrective action.

5

Debrief and action planning

We walk your leadership team through the findings, agree priorities and answer questions, so your team can move straight into rectification.



Working with your team

CWTS works remotely across Australia. Most audits run through secure access to your systems, shared document folders and online interviews. We schedule interviews around your operations and keep requests to what the audit needs.

WHAT YOU RECEIVE

A findings report you can act on

The report is written for two audiences: your governing persons, who need a clear summary of where the RTO stands, and your operational team, who need specific actions.

- ✓ **Executive summary** for governing persons, with overall results and the priority actions
- ✓ **Clause-by-clause results** rated Compliant, Not Compliant or Improvement Required
- ✓ **Evidence observed** for each finding, so your team can see exactly what was reviewed
- ✓ **Prioritised corrective actions** with recommended owners and timeframes, ready to transfer into your continuous improvement register
- ✓ **Debrief meeting** with your designated consultant to talk through the findings and next steps

Using your report

The report and your rectification records form part of your self-assurance evidence. Keep them with your continuous improvement register and management meeting records, and refer to them when governing persons sign the annual declaration on compliance.

SAMPLE RESULTS LAYOUT

Clause	Phase	Result	Corrective action
2.1	Marketing and recruitment	Improvement	Update course pages to show delivery locations and current commencement dates
1.5	Training and assessment	Not Compliant	Finalise a risk-based validation plan and schedule for all training products
2.7	Support and progression	Compliant	No action required
CR 9	Completion	Improvement	Add a 30-day issuance check to the completion workflow

Illustrative example only. Your report reflects your RTO's evidence.



AUDIT PACKAGES

Packages by RTO size and complexity

Choose the package that best matches your RTO. We confirm the fit at scoping, and your quote is confirmed in writing before work begins.

SMALL RTO

Up to 100 students

$4,000 + GST

Approximately 1 to 2 weeks

A single or online campus, a small scope or units of competency in a single industry, limited staff and standard compliance requirements to review.

MEDIUM RTO

101 to 500 students

$8,000 + GST

Approximately 2 to 4 weeks

An average-sized RTO with a single campus, a medium scope across selected industries, moderate staff numbers and a range of compliance requirements to review.

LARGE RTO

501+ students

$16,000 + GST

Approximately 4 to 8 weeks or more

A complex RTO with multiple campuses, a large scope across multiple or specialised industries and numerous staff. Includes online RTOs with 501 or more students.

Every package includes

- ✓ Scoping meeting and written audit plan
- ✓ Review across all six audit areas
- ✓ Sampling of student, trainer and assessment files
- ✓ Interviews with key staff
- ✓ Clause-referenced findings report
- ✓ Debrief meeting with your designated consultant

Combine with an Administration Process Audit

Running both audits together gives a complete view of compliance and administration, with one scoping meeting and coordinated requests to your team. Ask us about combining them when you request a quote.

Prices exclude GST, which is added to your invoice. Timeframes run from receipt of documents and system access, and may vary with your RTO's size, scope, delivery sites and the availability of your staff and records.

PREPARING FOR YOUR AUDIT

What we will need from you

- ✓ A key contact and an agreed audit window
- ✓ Read access to your student management system and learning management system
- ✓ Your quality management system: policies, procedures, forms and registers
- ✓ Training and assessment strategies, assessment tools and validation records
- ✓ Trainer and assessor files, including the credential and currency matrix
- ✓ Marketing materials, website links and third-party agreements
- ✓ Complaints, appeals and continuous improvement registers
- ✓ Governance records, such as management meeting minutes, risk registers and fit and proper person declarations
- ✓ Availability of key staff for short online interviews

We send a tailored document request at scoping, so your team only gathers what is relevant to your audit.

AFTER THE AUDIT

Support that matches what you find

Rectification sits with your RTO. You can complete it in house, or draw on CWTS for as much support as you need.

RTO Compliance Support Package

Monthly compliance advice, document review and rectification with your designated consultant.

Quality Management System products

Policy packs, forms, templates and registers aligned to the Standards for RTOs 2025, available individually or as the full QMS Suite, with optional branding to your RTO.

RTO Compliance Coaching

Online coaching for compliance staff and managers, covering regulatory requirements, governance, self-assurance, audits and quality management.



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FREQUENTLY ASKED QUESTIONS

Common questions

How is a CWTS audit different from a regulator audit?

A CWTS audit is an independent internal review commissioned by your RTO to identify and address gaps. A regulator audit, such as one conducted by the Australian Skills Quality Authority (ASQA), is part of the regulator's functions and can lead to regulatory decisions. Your CWTS report belongs to your RTO.

Will the audit tell us we are compliant?

The report rates each area against the evidence available at the time of the audit. It supports your self-assurance, and compliance remains an ongoing responsibility of your RTO and governing persons.

Do you audit every training product on our scope?

We agree the training products and sample sizes at scoping. For larger scopes we sample across industries, delivery modes and sites so findings are representative.

Can the audit focus on a specific concern?

Yes. Tell us what prompted the review, such as a complaint, new training products or a change of ownership, and we will weight the sampling to suit.

How long does it take?

Approximately one to two weeks for a small RTO, two to four weeks for a medium RTO and four to eight weeks or more for a large or complex RTO, from receipt of documents and system access.

Do you need to visit our premises?

Most audits are completed remotely. Where facilities or equipment need to be sighted, we can arrange this with you at scoping.

Who sees the report?

Only your RTO. We sign a confidentiality agreement before the audit begins, and your documents and findings are handled in confidence.

What happens if we find gaps?

Your report lists the corrective actions in priority order. Your team can complete them in house, or CWTS can support you through a Compliance Support Package or targeted QMS products.



let's talk

Request a quote for your RTO

Tell us about your RTO's size, scope and what prompted the review. We will confirm the right package, the timeframe and what we need from you before any work begins.

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Related services and guides: Administration Process Audit Guide, RTO Compliance Support Package, Quality Management System, RTO Compliance Coaching.

Disclaimer. This guide is correct at the time of publication. Changes to legislation, the Standards for RTOs and CWTS products and services may affect the currency of this information, and Coast Wide Training Solutions may update it without notice. Prices exclude GST, which is added to your invoice, and are confirmed in writing at quotation. Clients are asked to sign a confidentiality agreement before an audit begins, so your internal documentation stays protected.

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