



## Risk Management Policy

**Section(s) Revised:**

**Reviewed:** 26/11/02; 4/4/03;26/4/08 16/06/08

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**Authorised By:**

**Learning & Development Manager**

**Issued To:**

**Learning & Centre Staff**

### Overview

Risk management is an integral part of an outcomes focus quality management system. ACS Learning Centre recognises that provision of services within a diverse cultural and geographic range must be managed within a risk management framework.

This relates more closely to:

- Condition of registration 1. Governance
- Condition of registration 3. Compliance with legislation
- Condition of registration 4. Insurance
- Condition of registration 5. Financial Management

In addition, based on an outcome focused model three quality indicators have been identified nationally for continuous improvement of RTO performance and for the establishment of risk profiles by state and territory registering bodies.

The three quality indicators are:

- **Employer satisfaction** (competency development, and training and assessment quality). This indicator focuses on employers' evaluations of learners' competency development, its relevance to work and further training, and the overall quality of the training and assessment.
- **Learner satisfaction** (learner engagement and competency development). This indicator focuses on the extent to which learners are engaging in activities likely to promote high-quality skill outcomes, as well as learners' perceptions of the quality of their competency development and the support they receive from RTOs.
- **Competency completion rate**. This is calculated for qualifications and units of competency/modules delivered, based on data provided by RTOs on the previous calendar year's number of enrolments and qualifications completed and/or units of competency/modules awarded.  
(AQTF 2007)

### Policy

ACS Learning Centre will control its' learning and assessment functions within a risk management framework consistent with the principles of the Australian Quality Training Framework. The Learning & Development Manager will undertake to develop and implement an annual ongoing risk management monitoring program (Quality Activity Plan) in relation to the provision of ACS Learning Centre services. This will be monitored through the meeting process.

Refer also to LC21 LD Quality Policy



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### Protocol

#### Quality Activity Schedule (QAS)

The Quality Activity Schedule has been developed based on the framework of the Training Management System which covers all aspects of the learning centre operations.

This framework covers the following domains:

1. Governance
2. Marketing
3. Enrolment
4. Recognition of prior learning
5. Presentation
6. Assessment
7. Issuance of qualifications
8. Evaluation
9. Audit and review
10. Document control
11. Risk management
12. Regulatory compliance
13. Human Resources
14. Quality Indicators

Within each of these domains areas of specific risk have been identified and a process put in place to monitor ongoing compliance.

For example:

						JAN	FEB	MARCH	APRIL	MAY	JUNE	JULY	AUG	SEPT	OCT	NOV	DEC
<b>ACTIVITY</b>	<b>Person Responsible</b>	<b>Meeting reported to:</b>	<b>Proposed Frequency</b>	<b>Policy / Form No</b>	<b>RTO Element</b>												
<b>Issuance of qualifications: policies, processes and forms</b>	L&D Manager	LC Meeting	Annually	Refer to TMS	Refer to TMS			X→	→X	→X							
○ <i>Audit of certificates</i>	LC Admin	LCentre	Annual	FLC 20	3.1, 3.2, 3.3			X→	→X								
○ <i>Audit of the format of certificates</i>	LC Admin	LCentre	Annual	VETAB Exemplar	3.1, 3.2, 3.3				X→	→X							



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During the review period noted on the QAS the relevant policies are to be reviewed as designated in the Training Management Overview. This information is contained in the Training Management System Overview (TMS) in the front of the Learning Centre Manual.

In the above example the Policies (including forms and processed relating to the policy) listed in the TMS under **Issuance of qualifications** are to be reviewed during the period March – May.

Areas identified for improvement during the review period and any changes to policies, processes and forms are to be reported to the next Learning Centre Meeting.

The QAS also allocates responsibility to a role to ensure that the due activities are carried out within the allocated timeframe.

If the timeframe is not met, this needs to be reviewed at the next learning centre meeting and appropriate action taken. Actions may include: to extend the time for the activity; or to relocate the activity to another person who has more time to do it.

Adjustments should be taken into consideration during the review of the QAS to review timeframes and allocation of responsibility.

### 1. Governance

This domain includes:

- Development, review and monitoring of the business plan
- Review of the meeting structure for the Learning Centre. This includes:
  - review of the terms of reference
  - the accuracy of minutes
  - the tracking of actions
  - monitoring of evaluations of actions implemented
  - the overall effectiveness of the meetings

### 2. Marketing

This domain includes:

- The reviewing of learning and development information on the website for:
  - Accuracy
  - Currency
  - Comprehensiveness
  - Presentation
- Review of the use of logos (VETAB and NTIS):
  - On the website
  - On course materials



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- In the education calendar
- On certificates for qualifications and statements of attainment
- Reviewing information in the annual event planner
- Identification of industry needs

### 3. Enrolment

This domain includes:

- Review of the participant enrolment/registration process
- Review of the participant handbook

### 4. Recognition of prior learning

This domain includes:

- Review of the policies relating to Recognition of Prior Learning
- Review of the RPL process by reviewing a sample of records for sufficiency, currency, validity and authenticity.

### 5. Presentation

This domain includes:

- Review of the trainer and assessor records
- Review of the trainer and assessor handbook
- Review of the course content
- Review of the schedule for monitoring member agreements
- Review of induction of trainers and assessors
- Review of education resources against training package records

### 6. Assessment

This domain includes:

- Review of the Assessment Validation process for each course on scope
- Review of course assessments

### 7. Issuance of qualifications

This domain includes:

- Audit of a sample of certificates issued
- Review the format of the certificate against the VETAB and AQTF requirements

### 8. Evaluation

This domain includes:

- Review the follow through of course evaluations to ensure that evaluations are summarised, findings actioned and feedback provided to the trainer and participants when appropriate.

### 9. Audit and review

This domain includes:



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- Development, monitoring and review of the annual Quality Activity Schedule (QAS) to monitor quality activities including audits and reviews.

### 10. Document control

This domain includes:

- Reviewing the forms and policy document registers to ensure that they are maintained accurately
- Reviewing of the filing of course documents and participant files to ensure that they are complete.

### 11. Risk management

This domain includes:

- Annual audit of environmental safety and completion of training venue checklists
- Review of member agreements and contract trainer agreements
- Review of required insurances through Senior Management Team.

### 12. Regulatory compliance

This domain includes:

- Review of compliance register to identify if there are any outstanding legislative requirements which need to be addressed
- This includes legislative compliance for course content.
- Ensure that a full assessment of all areas is undertaken annually through the monitoring process against the Essential Standards for Registration and the 8 Conditions for Registration.

### 13. Human resources management

This domain includes:

- Review of job descriptions ensuring that there is sufficient coverage of key aspects of roles which may pose a risk e.g. coverage during annual leave
- A review of personnel files

### 14. Quality indicators

A set of quality indicators has been included in the quality activities as part of the risk management process. These include:

- The number of complaints/month
- The number of withdrawals/month
- The number of new enrolments in each course/quarter
- Number of certificates issued for each qualification or course quarterly.



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### Plan for Continuous Improvement (PCI)

Findings for the Quality Activity Schedule are to be reported to the Learning Centre meeting and identified actions monitored through the meeting process or if not able to be addressed promptly they should be added to the Plan for Continuous Improvement (PCI).

The PCI to identify the following:

- Item/issue and source
- Planned actions
- Priority level and timeframe for completion
- Allocation of responsibility
- Progress of actions and results/evaluation of outcomes.

DATE	ITEM/ISSUE (including source)	PLANNED ACTIONS	RTO Elements applicable	PRIORITY/ RESPONSIBILITY TIMEFRAME FOR COMPLETION	PROGRESS / DATE OF COMPLETION RESULTS /EVALUATION

### Risk Prioritisation

All items added to the PCI should be assessed for the level of risk and prioritised for action. The following matrix should be used to prioritise the level of risk to ACS.

### Learning Centre Meeting Framework

The QAS and PCI are to be monitored two monthly through the Learning Centre meeting structure as standing agenda items.

Meeting minutes to be circulated to the Learning Centre team and the tabled at Senior Management Meetings

The terms of reference to be reviewed annually through the QAS.