Risk Management Policy & Procedure

1. Policy

1.1 Gippsland Institute of Technology employs an effective risk management policy and procedure.

1.2 Gippsland Institute of Technology is committed to an effective management of risk that incorporates risk identification and assessment and the development and implementation of appropriate mitigation strategies.

1.3 This policy and procedure outlines the approaches and processes undertaken to manage risk within Gippsland Institute of Technology operations. It is intended to ensure the ongoing monitoring, assessment and management of factors which pose a risk to the quality and enhancement of operations.

1.3 Gippsland Institute of Technology assesses and identifies management strategies for actual and/ or potential risks encountered in the pursuit of its strategic and business plans.

1.4 Gippsland Institute of Technology develops a risk management plan and strategies to identify, assess and minimise risks. The plan and strategy is reviewed at least annually.

1.5 Gippsland Institute of Technology monitors all activities with a view to identifying, minimising and preventing risks.

1.6 Gippsland Institute of Technology undertakes training with all staff with a view to minimising and preventing risks.

1.7 Gippsland Institute of Technology performs all activities in compliance with relevant Commonwealth and State legislation.

1.8 Gippsland Institute of Technology reviews it's compliance with relevant Commonwealth and State legislation on a regular basis and undertakes remedial action where appropriate.

1.9 Gippsland Institute of Technology employs a policy and procedure manual to ensure compliance with relevant Commonwealth and State regulations and minimise risk.

1.10 Gippsland Institute of Technology maintains appropriate insurances.

1.11 This policy and procedure applies to all clients enrolled in courses, organisational partnerships, all areas of operations and all staff employed by Gippsland Institute of Technology .

1.12 The CEO is responsible for implementing this policy and reviewing its effectiveness.

1.14 This policy and procedure is implemented in compliance with the requirements of the Standards of Registered Training Organisations (RTOs) 2015.

1.15 This policy and procedure will also ensure compliance with the requirements of:

- ➢ VET Quality Framework:
  - • Standards of Registered Training Organisations (RTOs) 2015
  - • Data Provision Requirements 2012
  - • Fit & Proper Person Requirements 2011
  - • Financial Viability Risk Assessment Requirements 2011
  - • Australian Qualifications Framework
- ➢ ASQA regulatory/ compliance updates/ fact sheets
- ➢ Australian Industry and Skills Committee
- ➢ Amendments to the National Vocational Education and Training Regulator Act 2011
- ➢ Equal opportunities and anti-discrimination legislation
- ➢ Occupational Health & safety legislation
- ➢ Privacy Act 2000
- ➢ Public Records Act 1973
- ➢ Electronic transactions Act 2000

- ➢ Workplace harassment legislation
- ➢ Industry legislation relevant to the Scope of Registration
- ➢ Copyright Act
- ➢ ATO Taxation legislation
- ➢ Superannuation legislation

Definitions

Risk is the possibility of loss, injury, or other adverse or unwelcome circumstance; or a chance or situation involving such a possibility.

Risk Management is the identification, assessment and prioritisation of risks followed by implementation of actions to minimise, monitor and control the probability and/or impact of unfortunate events.

The risk management process

- Gippsland Institute of Technology systematically identifies and schedules all areas of operations to be reviewed
- Gippsland Institute of Technology identifies the potential and actual risks that may be/ are encountered in pursuit of its strategic and business plans.
- Risks are categorised.
- Management/ treatment plans are considered and implemented.
- All potential/ actual risks are monitored on an ongoing basis and appropriate action implemented.
- Areas of business/ practice that are identified as carrying too much risk are not entered or ceased.

This process is performed in conjunction with Continuous improvement activities.

Procedure

2. Management

2.1 The Strategic and business plan is reviewed every 6 months and appropriate action taken.

2.2 Gippsland Institute of Technology employs policies and procedures to guide activities and minimise the risk of not fulfilling its obligations to all stakeholders.

2.3 All policies and procedures are reviewed annually to ensure currency, appropriateness and continual improvement.

2.4 The Continuous improvement policy and procedure systematically review all areas of operations and identify areas that require action to remove and/ or minimise risks.

2.5 Management decisions are informed by appropriate internal and external stakeholders.

2.6 Gippsland Institute of Technology employs a formal management and departmental meeting framework.

2.7 Gippsland Institute of Technology ensures the development and distribution of the current structure.

2.8 Gippsland Institute of Technology performs internal audits twice per year on all functions to identify areas of risk and implement corrective actions. Audit reports and improvement actions are documented.

2.9 Regular mini audits by management, trainers, educators and administration officers are conducted on their respective areas. Improvements are authorised and actioned.

2.10 Gippsland Institute of Technology has established relationships with industry to facilitate the effective flow of information to aid decision making and ensure currency of practice.

2.11 Gippsland Institute of Technology organisational structure facilitates the compliant performance of duties at the same time as satisfying customer expectations. Organisational structure is formally

reviewed every 6 months and informally on an ongoing basis through our management meeting structure.

3. Staffing

3.1 Appropriately qualified and experienced staff are employed for all positions.

3.2 All staff undergo induction training.

3.3 All staff performance is monitored with feedback provided.

3.4 All staff undergo professional development training and performance review.

3.5 All staff has position descriptions and contracts.

3.6 The organisational structure ensures role accountability and responsibility are clearly identified and implemented.

3.7 Disciplinary actions are implemented where appropriate.

3.8 Staff resource audits are completed in relation to amendments to the scope of registration. Staff development or recruitment activities are subsequently planned and implemented.

3.9 All staff has responsibility for contributing to risk management activities relevant to their role.

3.10 All staff has a responsibility for performing their duties in compliance with policies and procedures relevant to their roles.

3.11 Staffing levels in relation to service provision are formally reviewed every 6 months and informally on an ongoing basis through our management meeting structure.

4. Training and assessment

4.1 Training and assessment activities are performed in accordance with the VET Quality Framework and Industry and Skills Advisory Committee guidelines.

4.2 Gippsland Institute of Technology employs a training and assessment policy to guide activities in compliance with legislation.

4.3 Gippsland Institute of Technology monitors the performance of training and assessment staff in compliance with this policy and procedure.

4.4 Gippsland Institute of Technology performs assessment validation and moderation activities in compliance with this and the Training and assessment policy and procedure. Risk considerations are a major factor in the RTO moderating and validating all units of competency on its scope of registration every two years.

4.5 Gippsland Institute of Technology reviews facilities, equipment, resources and materials requirements against those prescribed in AQF training packages and in relation to feedback from stakeholders.

4.6 Courses are adequately resourced and reviews undertaken once per year.

4.7 A risk assessment is performed prior to the commencement of course delivery for each new course. Risks are identified and management plans implemented.

4.8 All courses being delivered are reviewed internally and externally once per year. Appropriate improvement actions are implemented.

4.9 Resource requirements in relation to service provision are formally reviewed every 6 months and informally on an ongoing basis through our management meeting structure.

5. Legislation review

5.1 All Commonwealth and State legislation impacting Gippsland Institute of Technology activities is reviewed every 3 months in compliance with the Legislation and insurance policy and procedure.

5.2 Changes in requirements and non-compliances are identified. Development/ remedial/ improvement action is implemented where appropriate.

6. Client Support services

6.1 Gippsland Institute of Technology informs clients of their rights and responsibilities pre enrolment. All clients have a responsibility to approach their studies in accordance with Gippsland Institute of Technology Code of conduct and relevant policies and procedures.

6.2 Gippsland Institute of Technology provides information on client services to clients' pre enrolment and at orientation.

6.3 Gippsland Institute of Technology provides appropriate support services to clients to facilitate learning and assessment in accordance with regulatory guidelines.

6.4 Gippsland Institute of Technology ensure the awareness, availability of, and timely investigation and processing of complaints and appeals. Timely actions are implemented where appropriate.

6.5 All services are reviewed in accordance with the Continuous improvement policy and remedial/ improvement action implemented where appropriate.

6.6 Client support services are formally reviewed every 6 months and informally on an ongoing basis through our management meeting structure.

7. Non-teaching functions

7.1 Gippsland Institute of Technology administration, enrolment, finance and marketing functions perform activities in pursuit of the objectives.

7.2 All services are reviewed in accordance with the Continuous improvement policy and remedial/ improvement action implemented where appropriate.

8. Occupational Health & Safety

8.1 Gippsland Institute of Technology conducts regular reviews of its facilities, equipment, resources, materials and staff to ensure compliance with OHS legislation.

8.2 Areas of non-compliance/ risk are identified, and remedial action implemented where appropriate.

8.3 Gippsland Institute of Technology may cease some operations in response to this process.

9. Record keeping

9.1 Gippsland Institute of Technology completes risk assessment activities for all areas of operations and records all findings and management/ treatment plans.

9.2 Risk assessment templates are employed where appropriate and stored for auditing purposes.

9.3 Risk management/ treatment plans are implemented where appropriate.

9.4 The effectiveness of risk management/ treatment plans are reviewed and remedial action implemented where appropriate.

9.5 The Continuous improvement process and documentation is stored and employed as part of the risk management process.

Documents to be employed when implementing this policy and procedure:

- ➢ All policies and procedures
- ➢ Strategic and business plans
- ➢ Risk assessment template
- ➢ All RTO documentation

Revision history

Creation/ Revision Date	Comment	Created/ Revised by
21/8/20	Policy and procedure created	CEO