



Australian Alpine Training Institute

RISK MANAGEMENT PLAN POLICY AND PROCEDURE

Risk Management Plan

Policy and Procedure

Purpose

The purpose of this procedure is to ensure that The Australian Alpine Training Institute identifies and manages risks concerned with compliance with the AQTF 2010 Essential Standards for Continuing Registration.

Scope

This procedure applies to The Australian Alpine Training Institute and will be monitored by the CEO.

Responsible Parties

The CEO is responsible for the control and issue of this procedure

Risk Management

Risk Management is defined as the systematic application of management policies, practices, and procedures to the task of identifying, analysing, assessing, treating and monitoring risk.

Policy

The Australian Alpine Training Institute must document and implement procedures to:

1. Identify and manage risks concerned with compliance with the Standards for Registered Training Organisation and:
2. Correct and prevent any failure to comply with the AQTF Essential Standards for Continuing Registration and The Australian Alpine Training Institute's quality system, policies or procedures.

Risk

Risk is defined as the chance of something happening that will have an impact on objectives. It is measured in terms of consequence and likelihood.

Procedure

- Develop a Risk Management Plan
- Ensure the delivery of Training undertaken by The Australian Alpine Training Institute is AQTF compliant
- Implement and monitor policies and procedures for ensuring quality training and assessment consistent with scope of registration and scale of operations
- Ensure that The Australian Alpine Training Institute complies with the Essential Standards for Continuing Registration across all of its operations and in all of its

training/assessment activities, including those undertaken by other persons or bodies on its behalf

- The Australian Alpine Training Institute will conduct an internal audit of its compliance with the National Standards and the policies and procedures
- The Australian Alpine Training Institute will have a written plan for its business that is consistent with its scope of registration and scale of operations
- The Australian Alpine Training Institute will correct and prevent any failure to comply with the Essential Standards for Continuing Registration and the Australian Alpine Training Institute quality system, policies or procedures
- The Australian Alpine Training Institute will develop and implement written procedures relating to continuous improvement of its systems
- The Australian Alpine Training Institute will ensure that its policies and procedures ,meet the requirements of Commonwealth or State/Territory legislation which are relevant to the Australian Alpine Training Institute operations
- The Australian Alpine Training Institute will document and implement procedures to assure the integrity, accuracy and currency of records
- The Australian Alpine Training Institute's policies and procedures will include a requirement that it recognises the AQF qualification and Statements of Attainment issued by any other Australian Alpine Training Institute
- The Australian Alpine Training Institute policies and procedures will incorporate access and equity principles
- The Australian Alpine Training Institute has developed and implemented written procedures for the recruitment, induction and ongoing development of each member of its staff who is involved in training, assessment or client service, encourage and provide relevant opportunities for their professional development, and monitor their performance
- The Australian Alpine Training Institute will ensure Training and Assessment is delivered by trainers and assessors who have the necessary training and assessment competencies as determined by the National Quality Council or its successors, and
- Have the relevant vocational competencies at least to the level being delivered or assessed, and
- Can demonstrate current industry skills directly relevant to the training/assessment being undertaken and
- Continue to develop their VET knowledge and skills as well as their industry currency and trainer/assessor competence
- The Australian Alpine Training Institute has developed and implemented strategies for training delivery and assessment for each Training Package qualification and accredited training program within its scope of registration
- The Australian Alpine Training Institute will comply with the Assessment Guidelines included in the applicable nationally endorsed Training Packages or the assessment requirements specified in accredited training programs
- The Australian Alpine Training Institute accurately represents to prospective clients training products and services that lead to AQF qualifications or Statements of Attainment and ensure that advertised outcomes are consistent with these qualifications
- Progression promoted as Career Opportunities
- Administration and Trainer/Assessors are employed in line with AQTF requirements, Organisational Structure and Traineeship numbers

- Monitor financial position formally on a monthly basis holding business review meetings with Training Manager and Administrators
- Be proactive in identifying and implementing other training programs that may attract funding from either Government or on a Fee for Service System
- The Australian Alpine Training Institute establishes the needs of clients, delivers services to meet these needs, and continuously improves client services by collecting, analysing and acting on relevant data.
- The Australian Alpine Training Institute will ensure that Assessment including RPL is systematically validated
- The Australian Alpine Training Institute will develop a working relationship with the training funding authorities in each state and territory
- The Australian Alpine Training Institute provides appropriate mechanisms and services for learners to have concerns reviewed and addressed where appropriate. Complaints and appeals are addressed efficiently and effectively
- The Australian Alpine Training Institutes senior management team and directors all have current National Police Certificates
- Trainers and Assessors are invited to attend senior management meetings to have a voice in regards decisions on Training and Assessment and other decisions
- The Australian Alpine Training Institute's management of its operations ensures clients receive the services detailed in their agreement with the Australian Alpine Training Institute. The Australian Alpine Training Institute uses a systematic and continuous improvement approach to the management of operations
- On request from the registering body the Australian Alpine Training Institute will provide a statement of its financial viability, an annual report, and / or a business plan

- The Australian Alpine Training Institute monitors training and/or assessment services provided on its behalf to ensure that they comply with all aspects of the AQTF 2010 Essential Standards for Continuing Registration.

The Australian Alpine Training Institute Risk Management Plan

The Australian Alpine Training Institute has written policies and procedures for ensuring quality training and assessment consistent with its scope of registration and scale of operations.

The Australian Alpine Training Institute complies with the Essential Standards for Continuing Registration across all of its operations and in all of training/assessment activities, including those undertaken by other persons or bodies on its behalf.

The Australian Alpine Training Institute provides for examination of documentation and reasonable access to all areas, records and staff are required by The Australian Alpine Training Institute.

The Australian Alpine Training Institute has an organisational chart and duty statements or terms of reference that show the lines of authority in the organisation, the responsibility and allocation of functions.

The Australian Alpine Training Institute in conjunction with an Australian Alpine Training Institute representative, or an external consultant, conducts an internal audit of its compliance with these Essential Standards for Continuing Registration at least annually.

The Australian Alpine Training Institute documents and implements policies and procedures for dealing with client complaints, concerns and appeals in a constructive and timely manner. The policies and procedures must ensure that:

- 1) Each complaint, concern, appeal and its outcome is recorded in writing
- 2) Each appeal is heard by an independent person or panel, and
- 3) Each appellant:
 - a. Has an opportunity to formally present his/her case, and
 - b. Is given a written statement of the appeal outcomes, including reasons for the decision within 10 working days of the appeal.

A Corrective Action Record (Form CG) will be raised and filed in the Quality Compliance Folder for future reference.

The Australian Alpine Training Institute writes plans for its business that is consistent with its scope of registration and scale of operations. This plan is reviewed annually. The Australian Alpine Training Institute documents and implements procedures to:

- 1) Identify and manage risks concerned with compliance with the standards for Registered Training Organisations, and
- 2) Correct and prevent any failure to comply with the Standards for Registered Training Organisations and the Australian Alpine Training Institute's quality system, policies or procedures

The Australian Alpine Training Institute collects and analyses stakeholder and client feedback and satisfaction data on the services it provides and uses the information to review its policies and procedures.

The Australian Alpine Training Institute has developed and implemented written procedures relating to:

- Acting on opportunities for improvement identified by any means, and
- Continuous improvement of its systems

Compliance with Commonwealth, State / Territory legislation and regulatory requirements

The Australian Alpine Training Institute identifies and complies with State or Territory laws including Commonwealth or State / Territory legislation on:

1. Vocational education and training
2. Occupational Health and Safety
3. Traineeships

4. Workplace harassment, victimisation and bullying
5. Anti-discrimination, including equal opportunity, racial vilification, and disability discrimination

The Australian Alpine Training Institute ensures that its policies and procedures meet the requirements of Commonwealth or State / Territory legislation which are relevant to the Australian Alpine Training Institute's operations.

The Australian Alpine Training Institute ensures that it has all the insurance cover necessary to carry out its business, including insurance for workers compensation, public liability, professional indemnity, building and contents.

Risk Identification

The CEO will be responsible for the identification and management of risks concerned with compliance with AQTF Standards for Australian Alpine Training Institute's.

In assessing compliance risks we have defined 4 types of risk categories:

- i) People / Staff
- ii) Documents / Paperwork
- iii) Process / Procedure and
- iv) Facilities

We then evaluate each of the 3 AQTF Standards and 9 Conditions of Registration plus the 3 Quality Indicators for compliance risks within each of these categories.

After identifying a compliance risk we have applied an appropriate compliance control to manage the risk. This will be documented in the Risk Management Plan (Form CS). Data from the Risk Management Plan will then be transposed into the Risk Management Audit Report (Form CT) where the details of the corrective action will be documented and signed off by responsible authority.

All compliance controls will be documented within our AQTF Policy and Procedures Manual and will be referenced accordingly.

All details of our AQTF risk management are recorded in our AQTF Risk Management Plan. The Version Control Form (Form CV) must also be modified with a signoff from the Training Manager. The Australian Alpine Training Institutes Chief Executive must also review the Australian Alpine Training Institutes compliance with the AQTF Standards at least annually, and signoff where indicated on the Risk Management Audit Report Form CT.

The following standard is the format for version control; all documents relevant to the Australian Alpine Training Institute must follow this standard:

see example:

Version Number	Space	Date	Form Identifier
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V1.0	-	11/05	Form XYZ
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Refer to:

Risk Management Plan (Form_CS)

Risk Management Audit Report (Form_CT)

Version Control Form (Form CV)