



# Risk Management Procedure

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In order to maintain the RTO status, ASPA must have policies and systems in place to plan for and provide quality training and assessment across all of its operations. The policies and systems must be audited annually to ensure their effectiveness and appropriateness and provide evidence of compliance with the Standards for Registered Training Organisations.

## Risk Identification Procedure

In order to manage risks, they must first be identified. The ASPA Risk Management Chart lists each of the standards and the person responsible for compliance and audit. The ASPA Risk Management Chart also lists actions required to ensure compliance and the frequency required for review and audit purposes.

## Internal Audit

In order to maintain the RTO status, ASPA must conduct an annual Internal Audit of its compliance with the Standards for Registered Training Organisations, and review the organisation's Policies and Procedures.

The table below lists the Standards and Policies each position is required to audit.

<b>Position</b>	<b>Standards to Audit</b>	<b>Policies to Audit</b>
President	1.1, 1.2, 1.3, 1.4, 1.8, 2.1, 2.3, 10.2, 12.1, 12.4, 12.5	Continuous Improvement, Risk Management, Code of Conduct, Legislative changes, Risk Management and Internal Audit Position Descriptions
Vice President Education	1.2, 1.4a, 1.8, 1.9b, 1.10, 4.2, 4.3, 5.1, 5.2, 5.3, 6.2b, 6.3, 7, 8, 9, 10, 12.1, 12.4, 12.5	Changes in Workcover and ARC guidelines, Assessment, Issuing AQF Qualifications, Recognition of Qualifications, Recruitment, Validation, Version Control
Executive Officer	1.2, 1.4a, 1.6, 1.8, 4.1, 6.1, 6.2a, 11, 12.1, 12.2, 12.4, 12.5	Assist Executive members with information regarding Legislative changes
Senior Vice President	1.4a, 1.5, 1.7, 1.8, 6.2b, 9.1b, 12.1, 12.4, 12.5	Occupational Health and Safety, Access and Equity
Course Director	2.2, 4.2, 4.3, 5.1, 5.2, 5.3, 6.3, 8.1, 9.3, 12.3,	



<b>Position</b>	<b>Standards to Audit</b>	<b>Policies to Audit</b>
Treasurer	1.4a, 1.8, 2.3, 3.1, 3.2, 3.3, 3.4, 3.5, 12.1, 12.4, 12.5	Financial Management
State Vice President	1.3b, 1.4a, 1.8, 6.2b, 6.3, 9.1b, 9.3, 9.4, 12.1, 12.4, 12.5	Customer Complaints, Grievances and Appeals
Secretary	1.4, 1.8, 4, 6.1, 6.2a, 12.1	Privacy, Freedom of Information, Records Management

The responsible executive member must conduct the audit at least annually. Reports should then be forwarded to the Secretary who will collate all reports and forward to the President for review prior to the Annual General Meeting (AGM).

Each executive member is responsible to ensure compliance with Commonwealth and State legislation and regulatory requirements relevant to ASPA's operations. They must keep up to date with changes in legislation and regulations and recommend changes to policy and procedure documents as required.

## Self-Assessment Report

It is important to assess whether policies and procedures are achieving their intended outcome. To do this, it is essential to check not only the policy content, but also the policy implementation.

When reviewing evidence of compliance with each standard consider:

1. What policies and procedures have been documented to show the RTO is complying with the standard?
2. How can you show the policies and procedures are actually working?
3. How can you show you review the effectiveness of these policies and procedures? Include what you learn in the continuous improvement processes.

## Collection of evidence

Evidence should be collected through a variety of methods, including interviews with students, industry members and members of the organisation and through observation and examination of documentation.



## Summary of Recommendations

The summary of recommendations template can be used to sum up any recommendations that emerge from the self-assessment and internal audit activities.

Results of the review will be tabled at the AGM. The executive committee will determine (based on the recommendation of the executive member) improvement actions that may be required, assign responsibility for the actions and a timeframe.