

**Version History**

**Document: Risk Management & Continuous Improvement**

**First Version Number: 05/07**

**Code:**

<b>Version #</b>	<b>Summary of changes made</b>
01/08	Removed "NVR 2005 Standard 1: Systems for quality training and assessment, sub-sections - <ul style="list-style-type: none"> <li>• 1.4 Conduct of internal audits</li> <li>• 1.8 Risk management</li> <li>• 1.9 Client feedback</li> <li>• 1.10 Continuous improvement"</li> </ul>
05/12	Addition " Related NVR Standard SNR 15.1, SNR 16.1, SNR 16.2, SNR 17.1 & SNR 17.2" Removed "NVR 2007 Standard 1.1, 2.1 and 3.1"

## RISK MANAGEMENT & CONTINUOUS IMPROVEMENT POLICY AND PROCEDURE

### 1. Purpose

This procedure describes the process by which Nova Institute of Technology (NIT) can collect analyse and act on relevant data to improve its training and assessment systems and client services and management operations.

### 2. Related standards

NVR Standard SNR 15.1, SNR 16.1, SNR 16.2, SNR 17.1 & SNR 17.2

### 3. Scope

This procedure applies to all persons employed by or contracted to NIT.

### 4. Responsible parties

The Principal Executive Officer is responsible for the control and issue of this procedure.

### 5. Definitions

Risk is defined as 'actual' or 'likely' events or actions that may lead to the organisation's failure to meet NVR compliance requirements.

Auditing is one process used by NIT for the purpose of Continuous improvement of the organisation's operations.

Continuous improvement is the outcome from NIT identifying and acting on opportunities for service and operation improvement. Methods such as student and employer evaluation and feedback, self-assessment and review, validation, and strategic planning are used to gain information for continuous improvement

Corrective and preventative action reports are utilised to offset and inefficiencies in the quality system, or to rectify activities that risk the integrity of the services offered by NIT. Feedback is information provided by a, student, trainer or employer on any of the operations or activities of NIT.

Unsolicited feedback may come from a variety of sources and because of its unstructured nature may raise issues beyond the control of NIT.

## 6. Policy Statement

This policy approaches continuous improvement in relation to each of the Standards specified within the NVR Standards for RTOs

This approach requires NIT to implement processes to:

- identify risks (likely an actual) concerned with compliance with Standards for RTOs
- undertake audit and continuous improvement activities in all operational areas to identify and prevent any perceived areas of risk
- modify any policy or procedure that may lead to ongoing improvement
- modify actions by staff that may lead to ongoing improvement
- respond, with a view to resolve any complaint lodged in regard to RTO operations as an RTO

To achieve these requirements, the PEO shall arrange for:

- the conduct of an internal audit of NIT compliance with the NVR Standards.
- the collection and analysis of the feedback and satisfaction data from staff and students on the activities of NIT
- the review of all operational activities and their supporting policies and procedures against the NVR Standards, to discern opportunities for service or system improvement. Improvement may take the form of corrective or preventative action, as well as developmental activities designed to raise better standards of practice.
- the PEO shall document all actions arising from risk assessment processes and priorities for the coming year

## 7. Procedure

Four processes are to undertaken as part of the Continuous Improvement Procedure. These are:

### 7.1. Student and Employer Feedback

Student and Employer feedback is to be gathered during multiple stages of service delivery:

- Prior to new qualification/course implementation (industry consultation)
- At the end of the first month of study (student survey)
- On completion of units/courses as part of a progressive evaluation (student surveys)
- At the time of internal audit. (staff, student and employer feedback)
- During moderation/validation processes of training and assessment strategies

Evaluations/surveys are to be developed under the authority of the PEO or General Administration Manager and implemented by PEO. The results may remain anonymous and students/employers should be given an opportunity to submit their comment without prejudice. When implementing the evaluation/survey, the staff member must:

- Use the approved valuation/survey response sheet

- Explain the purpose of the evaluation/survey
- Provide students/employers with the opportunity to submit evaluations/survey responses with anonymity – if desired.
- Arrange / offer unbiased assistance with the completion of evaluations/surveys for students with literacy or language difficulties
- Deliver the responses, without tampering, dissemination, or alteration, immediately to the student administrator for processing.

The Student administrator is required to:

- Analyse and report to the General Administration Manager/General Manager (VET) on information gained through feedback processes, including making recommendations on corrective/preventative and continuous improvement actions
- If requested, advise a respondent of complaint and resolution opportunities
- Arrange for the appropriate storage of feedback responses. in the course files. to ensure inclusion in audit processes

The General Administration Manager is required to

- Table the analysis and report at the next executive management meeting
- Implement the decisions made by the executive management committee
- Report back to the executive management committee on implementation actions

## **7.2. Internal Audit**

The General Administration Manager shall conduct an internal audit of NIT, or shall arrange for audit, to ensure compliance with the NVR Standards. This will happen on an annual basis and address all operational areas including:

- Promotion and Marketing of RTO services
- Student Selection, Enrolment and Orientation
- Student Participation and Training Delivery and Assessment
- Training Completion and the issuance of awards
- The Quality System and its efficiencies in ensuring NVR compliance

An audit checklist must be compiled against:

- NVR Standards

NIT Policy and Procedural Guidelines

Complaints lodged and resolutions

- contractual arrangements
- Stakeholder Feedback

The General Administration Manager or his appointed officer will:

- Undertake the audit – commencing each area on a rotational basis

- Review the previous audit outcome and risks identified for the relevant cycle and draw up an audit schedule
- Notify the relevant staff of the audit date and documentation requirements
- Using the resources available, identify current compliance status in relation to NVR requirements and the organisation's own policies and procedures that reflect these.
- Detail the audit findings in a report, identifying and non-compliance and recommendations for corrective/preventative action.
- Table the audit report at the next executive management meeting.

Where policies and or procedures are incorrect or found no longer current to operational requirements, the General Administration Manager must make the necessary amendments and distribute the changes for confirmation to the relevant staff/management before updating the system. Changes of this nature must be approved by the executive management committee and recorded as part of the version control policy.

Preventative and Corrective actions will also be discussed, and signed off by the General Administration Manager and PEO and implemented to correct non-compliance issues.

### **7.3. Compliance Review**

The Campus Manager shall review all matters of compliance in relation to the Standards for RTOs and the organisation's own Quality System to assess the effectiveness of the quality system and assess elements of risk, risk management and risk avoidance processes. This should determine whether changes in the Quality System or resource allocations will be necessary to ensure NVR Standards are met consistently throughout NIT operations and in line with business planning.

### **7.4. Continuous Improvement and Risk Management**

A number of activities contribute to the identification of potential and actual areas for improvement of RTO operations: These ranges from corrective/preventative actions, audit reports, feedback to complaints logs.

The Campus Manager is responsible for raising awareness among staff of any operational areas that have received unfavorable feedback from students and/or staff.

The Campus Manager will, as part of the Continuous improvement process, manages Continues Improvement Register(CIR). Any continuous improvement identified in Staff meetings, Moderation Meetings and other feedbacks are entered in CIR.