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QUALITY ASSURANCE AND RISK MANAGEMENT POLICY & PROCEDURE

Introduction

The Kings Own International College (KOIC) is dedicated to ensuring the highest standards of quality and risk management in all aspects of its operations, including training and assessment, governance, student services and administrative processes. This policy outlines KOIC's approach to quality assurance and risk management, ensuring compliance with the National Vocational Education and Training Regulator Act 2011 (NVR Act), the Education Services for Overseas Students (ESOS) Act 2000, and associated standards, including the Standards for Registered Training Organisations (RTOs) 2025, the ESOS National Code 2018, and the ELICOS Standards 2018.

Purpose

The purpose of this Quality Assurance and Risk Management Policy is to establish a structured and integrated approach to quality assurance and risk management across all operations of the Kings Own International College (KOIC). This ensures the integrity, sustainability, and continuous improvement of the organisation in full compliance with the Standards for RTOs 2025 and relevant legislation.

Specifically, this policy aims to:

- Implement quality assurance and risk management systems to ensure compliance with legislative and regulatory frameworks.
- Monitor and evaluate the quality of KOIC's operations, including governance, training delivery, assessment, and student support services.
- Identify, assess, manage, and monitor risks to protect KOIC's operations, students, staff, and stakeholders.
- Promote a culture of continuous improvement through the systematic collection and use of feedback from students, staff, and external stakeholders.
- Ensure transparency and accountability in all aspects of KOIC's operations and decision-making processes.

Scope

This policy applies to all KOIC staff, contractors, students, and third-party providers. It covers all areas of the RTO's operation including training and assessment, student support, workforce planning, infrastructure, third-party arrangements, and compliance.

Policy Statement

Effective risk management is essential to good governance and to achieving KOIC's strategic and operational objectives. This policy ensures that KOIC implements proactive and structured risk management practices to support informed decision-making, protect resources, maintain the delivery of high-quality education and training, and meet all compliance obligations.

KOIC adopts a systematic and forward-thinking approach to risk management, aligned with Standard 4.3 of the Outcome Standards for RTOs 2025 and the principles outlined in ISO 31000:2018 Risk Management Guidelines. This approach is designed to safeguard students, staff, partners, and the organisation as a whole, while supporting the consistent delivery of quality vocational education and training.

KOIC is committed to embedding a strong culture of risk awareness across all levels of the organisation. Risk management processes will be applied consistently throughout KOIC's operations to ensure that:

- Strategic and operational risks are identified, assessed, and appropriately mitigated.

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- Risks affecting student welfare, training outcomes, and regulatory compliance are effectively managed.
- KOIC's business continuity and reputation are preserved.

Risk management will be fully integrated into strategic planning, quality assurance systems, daily operations, and all levels of decision-making. All staff share responsibility for identifying, reporting, and managing risks within their areas of work.

Risk Appetite

KOIC maintains a cautious approach to risk in areas that may impact:

- student welfare and wellbeing
- regulatory compliance
- training and assessment quality
- organisational reputation

A moderate level of risk may be accepted in areas involving innovation, strategic growth, or improvement of training delivery models where appropriate safeguards are in place.

1. Guiding Principles for Risk Management

KOIC's approach to risk management is guided by the following principles, which support the consistent delivery of high-quality education and strong governance:

1. Proactive Risk Evaluation – Regular evaluations are conducted to identify and assess potential risks across operations, including health and safety, financial controls, governance, and compliance.
2. Focused Compliance Risk Assessment – Compliance risks are assessed with reference to legislative obligations, contractual responsibilities, and the Standards for RTOs 2025.
3. Strategic Risk Mitigation – Following risk assessment, strategies and controls are implemented to mitigate risks. Their effectiveness is monitored as part of continuous improvement.
4. Communication and Consultation – Risk processes are shared with and informed by stakeholders, including staff, students, and regulatory bodies, to promote awareness and shared responsibility.
5. Compliance Management – Identified compliance risks are rectified promptly. Implementation is monitored by the Quality and Continuous Improvement Committee.
6. Training and Awareness – Staff and stakeholders receive education and support to understand risk responsibilities and contribute to a culture of risk awareness.
7. Ongoing Refinement – Risk management practices are regularly reviewed and adapted in response to changes in the internal or external environment, including shifts in regulation or strategic direction.

Definitions

Risk	The effect of uncertainty on the achievement of the RTO's objectives. This includes any event or condition, positive or negative' that may impact student outcomes, regulatory compliance, operational performance, or strategic goals. Risk is assessed in terms of its likelihood and potential consequences.
Risk Management	Coordinated activities to direct and control an organisation with regard to risk, including the systematic application of policies, procedures, and practices to the tasks of identifying, analysing, evaluating, treating, monitoring, and reviewing risk.
Reister	A central record of identified risks, their ratings, controls, and status. • the tasks of identifying, analysing, evaluating, treating, monitoring, and reviewing risk.
Risk Appetite	The level of risk the organisation is prepared to accept while pursuing its objectives.
Risk Owner	A person or position responsible for monitoring and responding to a specific risk.
Residual Risk	The level of risk remaining after controls have been applied.
Risk Treatment	Measures implemented to reduce, transfer, accept or eliminate identified risks.

Regulatory and Legislative Requirements

- Data Provision Requirements 2020
- ELICOS Standards 2018
- ESOS Act 2000
- ESOS National Code 2018
- NEAS Quality Assurance Framework
- NVR Act 2011
- Privacy Act 1988 (Cth)
- Standards for RTOs 2025; Quality Area 4: Governance, Outcome Standards 4.3 – 2a
- Work Health and Safety Act 2011 (Cth)

Quality Assurance and Risk Management Procedure

KOIC implements an integrated quality assurance and risk management approach that ensures compliance, supports student success, and fosters continuous improvement across all operations.

1. **Governance and Compliance**

- KOIC ensures full compliance with the Standards for RTOs 2025, ESOS National Code 2018, and ELICOS Standards 2018.
- Compliance obligations are monitored through a Legislation and Regulation Register and reviewed by the Quality Management Team (QMT).

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- The CEO and Compliance Officer ensure executive personnel meet Fit and Proper Person Requirements.
- Material changes affecting registration are reported to regulators within 14 calendar days.
- Records of all compliance monitoring activities are maintained in accordance with the Data Provision Requirements and audit protocols.

2. Teaching and Learning

- Courses are developed and delivered in alignment with the Australian Qualifications Framework (AQF) and ELICOS curriculum standards, and are regularly validated to ensure currency and industry alignment.
- Assessment practices undergo systematic validation and moderation to meet competency standards and ELICOS outcomes.
- Class sizes are maintained in accordance with regulatory standards (max 1:25 for VET, 1:18 for ELICOS).
- Teaching staff participate in regular professional development to stay current with industry practices and methodologies.

3. Student Support and Welfare

- KOIC delivers tailored academic, language, wellbeing, and mental health support.
- Orientation programs are designed specifically for both VET and ELICOS cohorts.
- Reasonable adjustments are implemented to ensure accessibility and equity in line with Disability Standards for Education 2005.

4. Resources and Facilities

- KOIC conducts regular inspections and hazard assessments to ensure facilities are safe, accessible, and conducive to learning.
- Facilities meet WHS and building compliance standards and are scaled appropriately to enrolment numbers.

5. Continuous Improvement

KOIC uses the ADRI Model to guide its continuous improvement cycle:

- Approach – Policies, systems and processes are designed to align with strategic goals and quality outcomes.
- Deployment – Strategies are executed using trained personnel, digital systems, and operational tools.
- Results – Outcomes are measured through data analysis and performance benchmarks.
- Improvement – Feedback is collected via surveys, audits, complaints, and consultations, with actions tracked in the Continuous Improvement Register.

All policies and procedures are reviewed at least annually or earlier if triggered by feedback, compliance requirements, or operational risks.

6. Data and Records Management

- KOIC collects and stores data in accordance with NCVER and AVETMISS requirements, and protects student and organisational data under the Privacy Act 1988.
- Confidentiality, access control, and secure storage practices are applied to all student, staff, and operational records.

7. Risk Management Framework

KOIC integrates risk management into its governance and operational systems. The following stages form the basis of its risk framework:

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7.1 Establishing Context

- Risk appetite and tolerance are defined for all key areas, including compliance (low risk tolerance) and delivery innovation (moderate risk tolerance).
- External and internal environments, including regulatory obligations and strategic objectives, are regularly reviewed.

7.2 Risk Identification

- Risks are identified through feedback, internal audits, data analysis, staff reports, complaints, and environmental scanning.
- Risks include those related to compliance, student outcomes, reputation, financial viability, WHS, cybersecurity, and operational delivery.

7.3 Risk Analysis and Evaluation

- Risks are analysed using a standard risk matrix to assess likelihood and consequence.
- Risks are prioritised and rated (e.g., Low, Medium, High, Extreme) with clear treatment strategies assigned.

7.4 Risk Treatment

- Risks are mitigated via controls such as staff development, policy changes, insurance, technology safeguards, and contingency plans.
- Residual risks are documented and tracked through the KOIC Risk Register.

7.5 Monitoring and Review

- All risks and controls are reviewed monthly in management meetings and annually in internal audits.
- Triggers for risk reassessment include legislative changes, delivery changes, student incidents, or compliance findings.

7.6 Communication and Consultation

- Risk information is communicated through internal reporting, briefings, board updates, and compliance dashboards.
- Stakeholder feedback is encouraged and informs ongoing risk visibility and ownership.

7.7 Recording and Continuous Improvement

- All risks include control measures, risk owners, review schedules, and action tracking.
- Lessons learned are logged in the Continuous Improvement Register and inform KOIC's Self-Assurance Framework and annual performance reporting.

Procedure Summary Table

Procedure Step	Action	Responsible	Timeframe
1	Define the external and internal environment and determine the level of risk the RTO is willing to accept.	CEO / Governing Body	Annually as part of strategic planning
2	Identify potential events or situations that may impact the achievement of objectives.	All Staff / Management Team	Ongoing; formally reviewed quarterly

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3	Assess the likelihood and consequences of each risk to prioritise response actions.	Management Team	Quarterly or upon identification of new risks
4	Determine and apply appropriate strategies to eliminate or mitigate identified risks.	Management Team / CEO	As soon as risk is confirmed; reviewed quarterly
5	Regularly review risk controls to ensure effectiveness and identify any remaining (residual) risk.	CEO / Compliance Officer	Monthly; more frequently for high-rated risks
6	Share risk information with relevant stakeholders and escalate high-level risks for decision-making.	CEO / Compliance Officer	As required; at least quarterly to the Governing Body
7	Document risk activities, monitor outcomes, and review the Risk Register to support continuous improvement.	CEO / Quality Assurance Team	Quarterly and during annual internal audits

Roles and Responsibilities

Role	Responsibility
CEO	Holds overall responsibility for quality assurance and risk governance. Ensures effective quality systems and risk management frameworks are implemented, monitored, and reviewed. Oversees the integration of compliance, risk, and continuous improvement into strategic decision-making.
Compliance Officer	Leads the implementation and monitoring of the risk management framework. Maintains the Risk Register, coordinates internal audits, monitors legislative and regulatory changes, and supports the Continuous Improvement process. Ensures alignment with the Standards for RTOs 2025, ISO 31000, and privacy and data requirements.
Directors of Studies (VET and ELICOS)	Monitor teaching, learning, and assessment quality. Identify academic risks and initiate mitigation or continuous improvement strategies. Support compliance with relevant frameworks (AQF, ELICOS Standards).
Student Services Officer (SSO)	Ensures student welfare risks (academic, wellbeing, inclusivity) are identified and addressed. Coordinates access to support services and contributes to feedback collection and quality review.
All staff	Identify, evaluate, and manage risks relevant to their role. Report observed or suspected risks to relevant managers and actively participate in quality assurance, compliance, and continuous improvement initiatives. Contribute to audits, feedback processes, and reviews.

Policy Implementation

This policy will be distributed to all staff and included in onboarding and professional development. It will be reviewed annually or sooner if significant operational or regulatory changes occur.

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Monitoring and Review

The CEO is responsible for ensuring this policy is implemented and that all staff are trained in the risk management framework. The policy will be reviewed biennially or following a significant incident or change to regulatory requirements. Internal audits and feedback from staff and stakeholders will be used to evaluate the effectiveness of the risk management process.

KOIC reviews the Quality Assurance and Risk Management Policy and Procedure annually to ensure compliance and alignment with regulatory changes and stakeholder feedback. Review outcomes are reported to senior management for approval and implementation.

Version Control

Version	Date	Description	Approved by	Approval date	Author	Review date
V2.0	Jan 2025	Policy re-developed from Quality Control Policy.	CEO	10 Feb 2025	Compliance Officer	Jan 2026
V3.0	Jun 2025	Updated in line with the new Standards for RTOs 2025	CEO	20 June 2025	Compliance Officer	Jun 2027
V3.1	Apr 2026	Re-brand of policy to KOIC and addition of Risk Appetite into Policy Statement	CEO	1 Apr 2026	Compliance Officer	Apr 2028

Policy and Document Information

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