

GOVERNANCE AND MANAGEMENT POLICY AND PROCEDURE

Applies to all directors, CEO, senior managers, executives and decision

SCOPE

Makers of the Registered Training Organization (RTO).

POLICY STATEMENT

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will ensure that it has adequate governance arrangements in place at all times and will comply with the VET Quality Framework and all other legislative requirements.

All directors or senior managers including CEO of LIBERTY INSTITUTE OF HEALTH AND EDUCATION are required to complete a Fit and Proper Persons Declaration and follow the RTO's process for ongoing verification of their status.

We will ensure that everyone involved in LIBERTY INSTITUTE OF HEALTH AND EDUCATION is aware of and works within the standards of the VET Quality Framework. LIBERTY INSTITUTE OF HEALTH AND EDUCATION will ensure that the scope of registration remains current and accurately reflects the courses that the RTO is authorised to deliver.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION uses a streamlined approach to the management of the Registered Training Organisation (RTO) with a strong focus on business outcomes and customer satisfaction. All staff will be required to comply with all policies, procedures, practices and instructions outlined in the policies and procedures of the RTO, and with any lawful and reasonable instructions issued from time to time in amplification or in support of the policies.

Acceptance of the organisation's policies and procedures will be a prerequisite of participating in an instructional capacity or as an employee.

A risk assessment strategy and implementation plan relating to all aspects of operations including financial risk will be audited/ evaluated at least annually. The audit/ evaluation process includes an internal audit reviewing the organisation's compliance status.

The corporate governance checklist, the internal audit process and audit instrument will be used specifically to conduct governance and compliance audits against the VET Quality Framework standards for training and assessment, recruitment of staff, internal policies and procedures, and all training and assessment tools and processes. A copy of the audit instrument will be provided to all staff involved in the audit prior to the audit commencement dates.

LIBERTY INSTITUTE OF HEALTH AND EDUCATION will submit an annual declaration on compliance with the Standards for Registered Training Organizations 2015 to declare that the RTO currently:

- meets the requirements of the Standards across all its scope of registration and
- has met the requirements of the Standards for all AQF certification documentation it has issued in the previous 12 months, and
- has training and assessment strategies and practices in place that ensure that all current and prospective learners will be trained and assessed in accordance with the requirements of the Standards.

PURPOSE

The purpose of this policy is to:

- Ensure the organisation complies with a system of corporate governance.
- Ensure the RTO complies with the Standards for Registered Training Organisations 2015: Standards: 1.26, 1.27, 2.1 - 2.4, 3.4, 7.1-7.5, 8.1-8.6

PRINCIPLES AND DEFINITIONS

Australian Standard AS8000-2003: Good Governance Principles defines corporate governance as 'a system by which entities are directed and controlled.'

A clear statement of corporate governance principles helps our organisation to identify key functions and roles. Our system of corporate governance will recognise the following principles:

- **Accountability:** this means senior managers are answerable for decisions and develop meaningful mechanisms to ensure adherence to all applicable standards.
- **Transparency/openness:** we will develop clear roles and responsibilities and clear procedures for decision-making and the exercise of power.
- **Integrity:** we will act impartially, ethically and in the interests of the organisation, and not misuse information acquired through a position of trust.
- **Stewardship:** using every opportunity to enhance the value and assets of the organisation and to maintain financial viability.
- **Leadership:** leadership from the top is critical to achieving organisation-wide commitment to good governance and therefore
- all senior managers will lead by example.

- Efficiency: we will ensure the best use of resources to further the aims of the organisation, with a commitment to strategic and business planning and to evidence-based strategies for improvement.

CONSEQUENCES OF NON-COMPLIANCE WITH POLICY

Any breach of this policy could impact on the RTO's registration and will be managed in accordance with Human Resources Policy.

PROCEDURES

	MONITORING GOVERNANCE
Chief Executive Officer/ Senior Management Team	<ul style="list-style-type: none"> • Check and minute the fit and proper person declaration status in every Management Meeting. • Use the Continuous Improvement policy and procedures to ensure that the RTO has a systematic approach to continuous improvement and management of operations in compliance with the VET Quality Framework. • Gather feedback from training and operational staff to improve training and assessment practices and inform strategy, policy and corporate direction. • Oversee the RTO's relations with its stakeholders and ensure that appropriate organizational and environmental risk management strategies are implemented. • Work in conjunction with the finance division and/or external accountant to provide operating budgets, allocate resources to the RTO, ensure fee protection mechanisms are in place and monitor financial viability. • Facilitate the implementation of and participate in compliance audits (internal and/or external) according to continuous improvement and risk management plans. • Review the RTO performance annually against the stated financial and business objectives and the corporate policy requirements and develop strategic and business plans

MANAGING COMPLIANCE

- Authorize staff to participate in committees that may advise or influence industry associations, authorities and other employers on improvements to increase the level of professionalism within the training industry.
- Ensure the RTO provides accurate and timely information to the regulator/s as requested, if significant changes occur within the RTO and as part of regular reporting processes, including the annual declaration on compliance.

Compliance/ Training

Manager

- Ensure staff and clients are informed of legislative and regulatory requirements in relation to the services delivered by the RTO.
- Facilitate the implementation of the Continuous Improvement Policy
- Actively manage compliance issues in accordance with Risk and Compliance Management and ensure that senior managers/ directors are made aware of any decisions taken that may impact on the RTO compliance status.
- Participate in compliance audits (internal and/or external) according to continuous improvement and risk management plans.
- Prepare the annual declaration on compliance
- Facilitate regular staff meetings and ensure that a set agenda is developed that includes: discussion, reporting and feedback on compliance issues such as the quality of training and assessment activities; WH&S; validation of assessment tools and processes and continual improvement opportunities.

MANAGING TRANSITION

Compliance/ Training Manager

- Actively manage transition of training products in accordance with Continuous Improvement policy to ensure that the RTO's scope of registration is up to date and all learner's complete training and assessment in accordance with the Standards of Registration.

RETENTION OF RECORDS

Compliance/ Training Manager

- Ensure that records of learner AQF certification documentations are maintained in accordance with the Standards and accessible to current and past learners.

MONITORING PERFORMANCE

Compliance/ Training Manager

- Undertake performance monitoring and evaluation of all aspects of the RTO operations including recruitment and placement of internal employees who may undertake traineeships or on the job training activities.
- Conduct annual performance appraisals of all staff as part of continuous improvement processes.

RELATED POLICIES & DOCUMENTS

- Continuous Improvement Policy
- Risk and Compliance Management
- Human Resources Policy
- Fit and Proper Person Requirements Declaration
- Management Meeting Agenda