

Risk, Compliance and Quality Management Policy

This Policy is the basis of the structured approach to risk management, compliance, and quality assurance that Aspect uses to operate effectively, ethically, and in alignment with its strategy, legal and regulatory obligations, and participant and other stakeholder expectations. It is intended to provide staff with an overview of the principles Aspect adopts for risk management, compliance and quality assurance, which underpin the frameworks and approaches that provide more detail on how each of these areas is to be managed.

This Policy applies to:

- Board Members
- All staff, volunteers and contractors
- All activities, programmes, locations and business units across Aspect.

Aspect is committed to:

- Proactively identifying, assessing and managing risks, maintaining full compliance with applicable laws, regulations, and standards, and delivering high-quality services and outcomes.
- Promoting a strong risk culture of accountability, continuous improvement and ethical practice.
- A risk, compliance and quality management approach that is in line with the organisational values and centres around delivering to the needs and expectations of Aspect students, participants and their families, and the broader community that Aspect operates in.

Risk management

Aspect is committed to a risk-based approach to decision-making that aligns with better practice, including the ISO 31000 Risk Management Principles. Aspect's approach to risk management is based on a well-defined Risk Appetite Statement that is owned by the Board and aligned with the organisational strategy, purpose and vision. Aspect maintains a Risk Management Framework that is embedded in the organisation and actively used by staff across all levels for decision making.

Aspect has a range of controls in place to support this commitment, including its:

- Environmental, Social and Governance Policy;
- Aspect Ways of Working Policy;
- Risk Appetite Statement;
- Risk Management Framework;
- Risk Reporting System;
- Hazard Reporting approach;
- reporting to the Board;

- Internal Audit Charter; and,
- Board Governance.

Compliance management

Aspect is committed to complying with all applicable legislation, regulations, funding agreements, contractual obligations, and industry standards and practices, including ISO standard 37301 Compliance Management Systems, as well as internal policies and processes as set out in the Policy Framework. Aspect approaches compliance from the perspective of driving better outcomes for end users and for the sustainability of the organisation.

Aspect has a range of controls in place to support this commitment, including its:

- Compliance Management Framework;
- Legislation and Compliance Register;
- Risk Reporting System; and,
- Incident and Complaints Management System.

Quality management

Aspect is committed to continuous improvement to achieve better outcomes for the people we support and their families and to help Aspect achieve its purpose, vision, and strategy. Aspect is committed to working in partnership with the Autistic community as part of its continuous improvement approach.

Aspect recognises that a commitment to its Quality Management Framework is essential for its long-term sustainability and to deliver to the expectations of stakeholders. The Aspect Board and all Aspect staff have a shared responsibility for quality management being embedded in, and integral to, the organisation.

Aspect has a range of controls in place to support this commitment, including its:

- Safeguarding Policy;
- Environmental, Social and Governance Policy;
- Aspect Ways of Working Policy;
- Quality Management Framework;
- Incident Management Framework;
- Risk Management Framework;
- Business Continuity and Disaster Recovery Framework;
- Innovation Framework;
- Risk Reporting System; and,
- Incident and Complaints Management System.

Breach and consequences

Non-compliance with this Policy could result in Aspect breaching legislation or regulations, and could result in financial penalties, reputational risk and/or other impacts on Aspect's operations which may impact delivery of Aspect services.

Deliberate non-compliance by staff may result in disciplinary action and will be managed in accordance Aspect's People Policy.



Definitions

Term	Definition
Risk Management	Risk Management involves anticipating what could go wrong, taking steps to manage it, and making informed decisions to protect and strengthen the organisation.
Compliance Management	Compliance Management refers to the process of ensuring that an organisation follows all relevant laws, regulations, standards, and internal policies that apply to its activities.
Quality Management	Quality Management refers to the systems and processes an organisation has in place to monitor, review, plan, control and ensure quality of services, supports or products.
Risk Appetite	Risk appetite is the amount and type of risk an organisation is willing to accept to achieve its objectives. At Aspect, the Risk Appetite is set and owned by the Board.
Risk Culture	Risk culture is the shared values, attitudes, and behaviours within an organisation that shape how people understand and manage risk.
Continuous Improvement	Continuous improvement refers to the ongoing effort of an organisation to improve services, systems, processes or products to improve outcomes, including for its clients. The process of continuous improvement relies on evidence-based information to support the organisation's success in achieving its goals and outcomes. This also means adapting to changing needs of the community or people using services.

