Strategy and Risk Management

Autism Spectrum Australia (Aspect) recognises that effective management of strategy and risk are integral to its ability to deliver Aspect's Purpose, Vision, Mission and Values.

Aspect takes a planned approach to setting and achieving strategy that is aligned with the Board's risk appetite. Aspect recognises that risk is an inherent part of the environment in which it operates which presents both challenges and opportunities, and that effective management of risk goes hand in hand with strategy.

The input of Autistic people is critical to Aspect's strategic planning process. Accordingly, one or more members of Aspect's Advisory Council participate in all the key stages of the strategic planning process.

Strategic Planning

Autism Spectrum Australia (Aspect) commits to a three-year strategic plan to set directions and identify the goals and actions to continuously develop, grow and improve the organisation.

Strategic Plan process

The Board approves the new Strategic Plan every three years and the annual business plan every year.

Aspect's strategic planning process identifies those particular Core Strategies that will drive the advancement of Aspect's Purpose, Vision, Mission and Values over the three-year period. The themes of the Core Strategies are deliberately described at a high level so that it is a unifying plan for all of Aspect, with individual business areas developing operational business plans that strongly align to the Strategic Plan.

As Aspect develops its strategy, it concurrently assesses the risks which must be mitigated in order to achieve the strategy or minimise any unintended consequences of the strategy itself. In doing so it remains alert to possible significant changes in the external environment which could impact on Aspect's delivery of the Strategic Plan.

Each Core Strategy in the Plan has a number of priorities and outcomes from which actions for the business plan are derived. The business plan actions form the basis for the annual budget each year.

The Plan also sets out priorities and outcomes for the key enablers required to support the plan and has a series of measures or Key Performance Indicators (KPI) which are endorsed and monitored by the Board.

Reporting and communication

Overall achievement against the business plan for the previous year is reported by the CEO at the first Board meeting in the new year. The progress against the current plan is reported by the Chief Executive Officer (CEO) at each Board meeting.

Aspect communicates its Core Strategies externally through information available on the Aspect website and social media, including Aspect's Purpose, Vision, Mission and Values. Aspect staff can access its Strategic and Business plan through the Aspect Intranet, as well as other internal communication channels such as email and virtual staff meetings.

The outcomes of each strategic plan including important KPIs are communicated annually through the Annual Report.

Risk Management

Leadership commitment to risk management

Aspect is committed to taking a proactive approach to understanding and managing risk as an essential way to protect the people it supports and its staff; to provide greater certainty and confidence for key stakeholders; and as an integral part of the continuous improvement of the organisation and its services.

The Board is responsible for risk overall; identifying and monitoring oversight of corporate risks; and setting the risk appetite within which it expects Management to operate. The Board delegates oversight of the Risk Management Framework to the Finance, Audit & Risk Committee and it is managed by the Executive and Management teams.

Risk management is a core responsibility of all Aspect managers.

Risk Management Framework

Aspect's Risk Management Framework identifies four categories of risk – corporate, project, local and individual. The Framework defines criteria to assess the impact of those risks and supports a consistent approach to planning, decision making and responses associated with all risks.

Corporate risk

Corporate risk includes strategic risk, identified (or known) risk and emerging risks due to unexpected changes in the external environment. Each corporate risk will have a risk owner who is a member of the Executive and is mitigated by controls. Initiatives to implement new or improved controls are included in the strategic and business plan.

The Executive and Management monitor the risk and its controls and initiatives and report to either the Finance, Audit and Risk Committee or Governance Committee. Those Committees decide which of the risks they oversight are brought to the Board's attention at its next meeting.

The Executive regularly reviews the corporate risks and reports on Key Risk Indicators (KRI) to the Board bi-annually, to provide assurance that the organisation is

operating within the risk appetite and tolerance. A scan of the external environment and any emerging risks are reported to the Board, as required, via the Chief Executive Officer's report.

Project risk

Project risk refers to risks inherent in those projects which are identified in the Strategic and Business Plans. These are reported to the relevant Board Committee. Oversight of a project's risk is the responsibility of the Project Sponsor, which is typically a member of the Executive, and the risks are managed by the staff responsible for the project.

Local and Individual risk

Managing local and individual risk is the responsibility of all managers and staff on a daily basis. Aspect maintains risk management processes that support managers and staff to manage these risks including, but not limited to:

- incident management;
- complaints management and resolution;
- financial management;
- governance and operational management;
- human resource management;
- information management;
- work health and safety;
- emergency and disaster management.

External Framework

The Strategy and Risk Management policy illustrates Aspect's adherence to the:

- NDIS Practice Standards (2018) and NDIS Code of Conduct, specifically within the NDIS Practice Standards & Quality Indicators:
  - Core Module: 1. Rights and Responsibilities, under the relevant Outcomes.
  - Core Module: 2. Provider Governance and Operational Management, under all Outcomes.
  - Core Module: 3. Provision of Supports, under all Outcomes.
  - Core Module: 4. Support Provision Environment, under all Outcomes.
  - Supplementary Module: 2. Specialist Behaviour Support Module, under the relevant Outcomes.
  - Supplementary Module: 2a. Implementing Behaviour Support Plans, under the relevant Outcomes.

- o Supplementary Module 3: Early Childhood Supports, under the relevant Outcomes.
- o Supplementary Module: 4. Specialist Support Co-ordination, under all Outcomes.
- Disability Standards for Education (2005), specifically:
  - o Part 3: Making reasonable adjustments.
  - o Part 7: Standards for student support services.
  - o Part 8. Standards for harassment and victimization.
- NESA Registered and Accredited Individual Non-government Schools (NSW Manual), specifically:
  - o 3. Requirements for Registered Non-government Schools, under requirements for Premises and Buildings; Facilities; Discipline; Safe and Supportive Environments; Management and Operation of the School; Financial Viability; Educational and Financial reporting.
- Standards for Registration and Review of Registration of Schools in South Australia, specifically the relevant quality related criteria for:
  - o Standard 1 School Governance.
  - o Standard 2 Student Learning and Assessment.
  - o Standard 3 Student Safety, Health and Welfare.
- Australian Human Rights Commission's National Principles for Child Safe Organisations specifically:
  - o 1. Child safety and wellbeing is embedded in organisational leadership, governance and culture;
  - o 2. Children and young people are informed about their rights, participate in decisions affecting them and are taken seriously.
  - o 3. Families and communities are informed and involved in promoting child safety and wellbeing.
  - o 4. Equity is upheld and diverse needs respected in policy and practice.
  - o 5. People working with children and young people are suitable and supported to reflect child safety and wellbeing values in practice.
  - o 6. Processes to respond to complaints and concerns are child focused.
  - o 7. Staff and volunteers are equipped with the knowledge, skills and awareness to keep children and young people safe through ongoing education and training.
  - o 8. Physical and online environments promote safety and wellbeing while minimising the opportunity for children and young people to be harmed.

- o 9. Implementation of the national child safe principles is regularly reviewed and improved.
- o 10. Policies and procedures document how the organisation is safe for children and young people.

Critical Definitions

Corporate risk – the chance of something happening that may have an adverse impact on the organisation or impede the achievement of the strategic plan.

Corporate risk management – the culture, processes and structures that are directed towards realising potential opportunities whilst managing adverse effects in the oversight of risk, strategy and change.

Key stakeholders - organisations and people with whom an organisation interacts and on whom it is dependent for success

Risk appetite – the amount of risk that the organisation is willing take in order to achieve its objectives.

Risk tolerance – the level of risk that the organisation is able to absorb

Legislation

National
Australian Charities and Not-for-profits Commission Act 2012 (Cth)
Australian Charities and Not-for-profits Commission Standards 2013 (Cth)
Australian Securities and Investments Commission Act 2001 (Cth)
Corporations Act 2001 (Cth)
Crimes Amendment (National Disability Insurance Scheme - Worker Screening) Bill 2018 (Cth)
Disability Standards for Education 2005 (Cth)
Fair Work Act 2009 (Cth)
National Disability Insurance Scheme Act 2013 (Cth)
National Disability Insurance Scheme Amendment (Quality and Safeguards Commission and other measures) Bill 2017 (Cth)
Privacy Amendment (Notifiable data breaches) Act 2017 (Cth)
Treasury Laws Amendment (Enhancing Whistleblower Protections) Act 2019 (Cth)
Work Health and Safety Act 2011 (Cth)

New South Wales
Child Protection (Working with Children) Act 2012 (NSW)
Children and Young Persons (Care and Protection) Act 1998 (NSW)
Children's Guardian Act 2019 (NSW)
Disability Inclusion Act 2014 (NSW)
Education Act 1990 (NSW)
Work Health and Safety Act 2011 (NSW)

Victoria
Children Youth and Families Act 2005 (VIC)
Crimes Amendment (Protection of Children) Act 2014 (Vic)
Disability Act 2006 (Vic)
Occupational Health and Safety Act 2004 (VIC)
Workplace Safety Legislation Amendment (Workplace Manslaughter and other matters) Act 2019 (Vic)

South Australia
Child Safety (Prohibited Persons) Act 2016
Children and Young People (Safety) Act 2017 (SA)
Education Act 1972 (SA)
Education and Early Childhood Services (Registration and Standards) Act 2011 (SA)
Family and Community Services Act 1972 (SA)
Work Health and Safety Act 2012 (SA)

Australian Capital Territory
Children and Young People Act 2008 (ACT)
Disability Services Act 1991 (ACT)
Work Health and Safety Act 2011 (ACT)
Working with Vulnerable People (Background Checking) Act 2011

Queensland
Disability Services Act 2006 (Qld)
Working with Children (Risk Management and Screening) Act 2000 (Qld)
Work Health and Safety Act 2011 (Qld)

Western Australia
Occupational Safety and Health Act 1984 (WA)

Northern Territory
Care and Protection of Children Act 2007 (NT)
Disability Services Act 1993 (NT)
Work Health and Safety (National Uniform Legislation) Act 2011 (NT)

Tasmania
Disability Services Act 2011 (Tas)
Registration to work with Vulnerable People Act 2013 (Tas)
Work Health and Safety Act 2011 (Tas)