



VET in Defence

Learner Guide

# CONTENTS

CHAPTER ONE: NATIONAL TRAINING FRAMEWORK.....	2
INTRODUCTION .....	2
THE CONTEXT OF TRAINING IN AUSTRALIA .....	2
WHAT IS COMPETENCY .....	3
THE FORMAT OF COMPETENCY STANDARDS .....	5
THE NATIONAL TRAINING FRAMEWORK – THE ROLE OF INDUSTRY, GOVERNMENT & TRAINING ORGANISATIONS .....	8
TRAINING PACKAGES .....	9
THE AUSTRALIAN QUALIFICATIONS FRAMEWORK (AQF).....	13
WHO’S WHO IN VET.....	14
CHAPTER TWO: THE DEFENCE TRAINING MODEL.....	16
INTRODUCTION .....	16
PURPOSE .....	16
APPLICATION .....	16
UNDERLYING PRINCIPLES.....	16
PHASES OF THE DEFENCE TRAINING MODEL.....	17
TRAINING MANAGEMENT PACKAGES.....	19
DTM AND RTO REQUIREMENTS.....	19
ADDITIONAL SOURCES OF INFORMATION.....	19
CHAPTER THREE: FOSTER AND PROMOTE AN INCLUSIVE LEARNING CULTURE.....	20
INTRODUCTION .....	20
CREATING INCLUSIVE LEARNING ENVIRONMENTS .....	21
GIVING FEEDBACK.....	24
POLICIES .....	25
INCLUSIVE LEARNING CULTURE AND RTO REQUIREMENTS.....	26
ADDITIONAL SOURCES OF INFORMATION.....	28
CHAPTER FOUR: SAFETY RISK MANAGEMENT .....	34
INTRODUCTION .....	34
TERMINOLOGY .....	34
RISK MANAGEMENT RESPONSIBILITIES .....	35
RISK MANAGEMENT PROCESS.....	35

# **CHAPTER ONE: NATIONAL TRAINING FRAMEWORK**

## **INTRODUCTION**

As an Instructor, you require an understanding of the context of training not only in the Army but also in the civilian environment. The application of Competency Based Training and Assessment (CBTA) has its foundation in a sound understanding of the concept of competency and competency standards.

## **THE CONTEXT OF TRAINING IN AUSTRALIA**

### **The World of Work is Changing**

Globalisation and the growth of information technology continues to impact on Australian business and its workforce by changing the way in which we work, and opening up new opportunities to compete in the world market place.

It is now unlikely that an employee will stay with one employer, or in one job, throughout their working life. More and more, the concept of job security is linked to a person's ability to be flexible and adaptable within a rapidly changing labour market.

Current estimates suggest that there will be a significant expansion in the number of people with qualifications over the next decade, as unskilled employees with no post-school qualifications continue to be replaced by skilled workers.

### **The Nature of Learning is Changing**

Linked to the notion that people are unlikely to stay in one job over the course of their working career is the concept of lifelong learning (it is widely believed that people can expect significant change 3-4 times in their working life).

Lifelong learning means that people may need to acquire new skills and knowledge, or upgrade their existing skills, at various points during their working life in order to keep up with the pace of change. It is increasingly unlikely that the skills and knowledge you need starting out in the workforce will carry you through the rest of your working career.

### **Vocational Education and Training is Changing**

TAFE colleges and other Registered Training Organisations (RTOs) are changing the way they do business to meet the challenges posed by the changing world of work and the need to make training more accessible to a greater number of people.

The acquisition of new skills, or upgrade of existing ones, is being made easier through a number of different approaches, including distance education and training (DET), technology-based training (TBT), on-the-job training and assessment and self-paced learning. Giving learners greater choice over how and when they learn is often referred to as flexible delivery. Through the flexible delivery of training, more people have access to the sort of learning opportunities that will help them maintain relevant skills within the changing world of work.

Other changes occurring in Vocational Education and Training (VET), eg introduction of New Apprenticeships (including New Apprenticeships in Schools) and changes to the national regulatory framework, are designed to make skill development for individuals and businesses a more attractive and accessible option.

### **Competency Based Training and Assessment**

A key feature of VET is its reliance on industry competency standards to specify the skills and knowledge an individual needs to work within that industry.

Individuals pursuing a nationally recognised VET qualification can do so confident that the skills and knowledge they are acquiring are the skills and knowledge that employers are looking for.

Competency standards, linked to nationally recognised qualifications, provide the foundation for future learning and career pathways.

CBTA focuses on what a person can actually do after training rather than on the time it takes to be trained. For example, if a trainee already has some relevant skills, the length of the training program may be substantially reduced.

### **Nationally Recognised Qualifications**

Given that individuals are likely to be changing jobs or careers during their working life, it is important that a person's qualifications mean something to prospective employers. A nationally recognised VET qualification tells employers that an individual possesses certain skills and knowledge, and these skills and knowledge are to an agreed industry standard.

It also means that any skills and knowledge a person may have can be easily transferred from one workplace to another. This is referred to as portability of skills, which means that individuals are better equipped to cope with the changing world of work.

The importance of VET qualifications is not just important for individuals but also for Australia and our future prosperity. A national research study undertaken for the Australian National Training Authority (ANTA) in 1995/96 showed that 71 percent of employers and businesses felt VET was going a long way to providing the skilled and flexible workforce Australia needs. Of the same group, 82 percent agreed that workers with VET qualifications are becoming increasingly valued by businesses.

### **WHAT IS COMPETENCY**

The broad concept of industry competency concerns the ability to perform particular tasks and duties to the standard of performance expected in the workplace. Competency requires the application of specified skills, knowledge and attributes relevant to effective participation in an industry, industry sector or enterprise.

Competency covers all aspects of workplace performance and involves performing individual tasks; managing a range of different tasks; responding to contingencies or breakdowns; and, dealing with the responsibilities of the workplace, including working with others. Workplace competency requires the ability to apply relevant skills, knowledge and attributes consistently over time and in the required workplace situations and environments. In line with this concept of competency, Training Packages focus on what is expected of a competent individual in the workplace as an outcome of learning, rather than focusing on the learning process itself.

The concept of competency applies to what is expected of an employee in the workplace rather than on the learning process; it embodies the ability to transfer and apply skills and knowledge to new situations and environments. This is a broad concept of competency in that all aspects of work performance, not only narrow task skills, are included.

The concept of competency encompasses four dimensions:

- a. The requirement to perform individual tasks (**task skills**);
- b. The requirement to manage a number of different tasks within the job (**task management skills**);
- c. The requirement to respond to irregularities, problems and breakdowns in routine (**contingency management skills**); and
- d. The requirement to deal with the responsibilities and expectations of the work environment (**job /role environment skills**).

### **What Are Competency Standards**

Competency standards define the competencies required for effective performance in employment. To achieve the broad competencies required in the workplace, a set of standards must address each of the four dimensions.

Moreover, the broad concept of competency should be:

- related to realistic workplace practices;
- expressed as an outcome; and
- understandable to trainers, supervisors and potential employees.

### ***Advantages and Uses of Competencies***

Competency based standards further enhance National objectives, particularly the maintenance of occupational standards, and labour market efficiency and equity.

### ***Maintenance of occupational standards***

Competency based standards provide explicit statements of what people need to be able to do to successfully work in an occupation. Having clear sets of standards helps to remove misunderstandings both inside and outside the occupation. Competency based standards offer a sound basis for judgements about entry to and progression within the occupation.

### ***Labour market efficiency***

Recent micro-economic reform processes, (industry restructuring, award restructuring, restructuring of education and training) all partly address the removal of unnecessary barriers to free movement of labour. Competency based standards are of great assistance here because they encompass all forms of achievement of competence rather than simply relying on formal indicators ie. paper qualifications. Likewise competency based standards are very suited to career structure development. A competency-based system has the potential to facilitate progression from trade to paraprofessional to professional status in a number of broad occupational areas.

## ***Equity***

By focussing on competence, regardless of how it may have been developed, competency based standards will help certain groups whose skills may not at present receive due recognition. Some overseas-qualified professionals believe that Australia's current entry procedures rely too much on testing for knowledge. A move to competency based testing would make for a more appropriate assessment procedure. It should be noted, that addressing equity issues in education, training and skills recognition is really just another part of promoting labour market efficiency.

In addition, there is a possibility that use of competency standards could limit the liability of professionals and other workers with regard to negligence claims. A number of recent legal cases involving engineers, for example, have found prima facie cases against engineers for improper supervision of staff. If the competencies were not included in the engineers' competency standards they could not be liable for negligence in this area. If such competencies were included, it would help practising engineers to identify areas to be covered by continuing professional education.

Competency standards are seen by government as the vehicle for achieving National consistency of industry and occupational qualifications. Acceptance of Nationally agreed competencies, covering all entry requirements with specified performance standards and appropriate assessment methodologies, has ensured:

There is consistent recognition across States and Territories.

Accreditation can be awarded by all States and Territories to applicants (both domestic overseas-trained) meeting those standards.

There is an open and equitable assessment of those people with overseas education and work experience against agreed performance standards.

Competency standards also offer a powerful basis for improving the courses that prepare people for entry to the occupation. The performance of graduates of a course against the competency standards should quickly provide data about the quality of the course. Specifically, the competency standards should provide detailed guidance on the course's content, delivery and assessment.

## **THE FORMAT OF COMPETENCY STANDARDS**

Competency standards are written to a common structure and format to support consistency and usability. This structure and format is determined by the National Quality Council and amended from time to time to support continuous improvement. Some parts of this format are mandatory for all units while other parts are included at the discretion of the Training Package developer. Detailed information on the structure and format applied to the Training and Assessment Training package (TAA04) units is contained within the Training Package introduction.

Generally, each unit of competency within a Training Package is linked to one or more AQF qualifications. Refer to the Qualifications section for information on the packaging of Training and Assessment Training Package (TAA04) units into AQF qualifications.

## Units of Competency Template

The following section describes the parts of a unit of competency and provides examples and explanations that will assist you in developing an understanding of what constitutes a unit of competency. The overview summarises the unit template and the role of each component part in the unit design.

### Overview of unit template

<b>Unit code:</b> the combined alpha/numeric code of the unit	<b>Unit Title:</b> the name of the unit	
Unit Descriptor:	Provides a brief descriptor of the unit	
Competency Field:	Identifies to which field the unit belongs	
Application of the Unit:	Provides an overview of the unit's focus and content, setting out the parameters of the unit, its potential audience and relationship to other units	
<b>Elements:</b> define the critical outcomes of a unit of competency	<b>Performance Criteria:</b> specify the level of performance required to demonstrate achievement of the Element. Italicised terms are elaborated in the Range Statement.	
Element 1: outcome	1.1	PC .....
	1.2	PC ....
Element 2: outcome	2.1	PC .....
	2.2	PC .....
<b>Range Statement:</b> adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.		
Italicised work/term may mean:	RS	
<b>Evidence Guide:</b> provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence		
<b>Overview of assessment requirements:</b> explains the overall evidence requirements		
<b>Evidence requirements:</b> includes a number of sub-components. These are:		

Required knowledge includes but is not limited to:	Specifies one by one the area/s of knowledge needed to meet Performance Criteria
	Lists specific content of that knowledge area
Required skills and attributes include but are not limited to:	Specifies one by one the technical or other skills and attributes need to meet Performance Criteria
	Lists specific aspects of the skill and how it is used in the performance
Products that could be used as evidence include:	Provides examples of tangible evidence or outputs, such as things made/performance observed
Processes that could be used as evidence include:	Provides examples of evidence of processes used to achieve outputs
Resource implications for assessment include:	Provides a list of resources that are required to support the assessment process
The collection of quality evidence requires that:	Provides clear generic requirements to be followed in collection of evidence and in making a judgement of competence
Specific evidence requirements must include:	Sets out specific evidence to be collected to reflect rules of evidence
Integrated assessment means that:	Suggests other units which could be co-assessed with this unit

### ***Employability skills***

All Training Packages have been reviewed to ensure that Employability Skills feature in their units of competency and all new Training Packages must now include Employability Skills.

Employability Skills are skills that apply across a variety of jobs and life contexts. They are sometimes referred to as key skills, core skills, life skills, essential skills, key competencies, necessary skills and transferable skills. Industry's preferred term is Employability Skills.

Employability Skills are defined as “skills required not only to gain employment, but also to progress within an enterprise so as to achieve one’s potential and contribute successfully to enterprise strategic directions”.

There are eight Employability Skills: communication, teamwork, problem solving, initiative and enterprise, planning and organising, self-management, learning and technology.

## **THE NATIONAL TRAINING FRAMEWORK – THE ROLE OF INDUSTRY, GOVERNMENT & TRAINING ORGANISATIONS**

### **The National Training Framework (NTF)**

The NTF:

- is an umbrella term for the policy directions, agreements and products that ensure the training system operates effectively;
- sets common requirements for training and assessment providers under the Australian Quality Training Framework (AQTF);
- establishes Training Packages as national benchmarks for recognition; and
- introduces New Apprenticeships, User Choice and other simplifications or flexibility in training.

The five goals of the NTF are:

- equipping Australians for the world of work;
- enhancing mobility in the labour market;
- achieving equitable outcomes;
- increasing industry investment in training; and
- maximising the value of public expenditure on VET.

The NTF objectives are to provide:

- a more coherent and integrated national approach to VET;
- improved quality of all VET products/services;
- national recognition and portability of skills;
- increased flexibility in delivery; and
- greater responsiveness to client needs.

### **Australian Quality Training Framework (AQTF) 2007**

The AQTF 2007 comprises:

- the essential standards for registration;
- standards for State and Territory registering bodies; and
- excellence criteria.

The essential standards for registration are the standards that training organisations must meet in order to deliver and assess nationally recognised training and issue nationally recognised qualifications. They include:

- three standards;
- a requirement for RTOs to gather information on their performance against three quality indicators; and
- nine conditions of registration.

The standards for RTOs are:

- Standard 1:* The RTO provides quality training and assessment across all of its operations.
- Standard 2:* The RTO adheres to principles of access and equity and maximises outcomes for its clients.
- Standard 3:* Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the RTO operates.

The quality indicators for continuous improvement of RTO performance are:

- *Employer satisfaction* (competency development, and training and assessment quality). This indicator focuses on employers' evaluations of learners' competency development, its relevance to work and further training, and the overall quality of the training and assessment.
- *Learner satisfaction* (learner engagement and competency development). This indicator focuses on the extent to which learners are engaging in activities likely to promote high-quality skill outcomes, as well as learners' perceptions of the quality of their competency development and the support they receive from RTOs.
- *Competency completion rate*. This is calculated for qualifications and units of competency/modules delivered, based on data provided by RTOs on the previous calendar year's number of enrolments and qualifications completed and/or units of competency/modules awarded.

The conditions of registration for an RTO cover:

- Governance
- Interactions with the registering body
- Compliance with legislation
- Insurance
- Financial management
- Certification and issuing of qualifications and statements of attainment
- Recognition of qualifications issued by other RTOs
- Accuracy and integrity of marketing
- Transition to Training Packages/expiry of accredited courses

## **TRAINING PACKAGES**

**Training Package/s.** Training Packages represent “the national industry benchmarks for nationally recognised vocational outcomes in the Vocational and Technical Education system. They are an integrated set of nationally endorsed competency standards, Assessment Guidelines and Australian Qualifications Framework qualifications for a specific industry, industry sector or enterprise.

Training Packages consist of:

endorsed components of: competency standards, assessment guidelines and qualifications;  
and

optional non-endorsed components of: support materials such as learning strategies, assessment resources and professional development materials.”

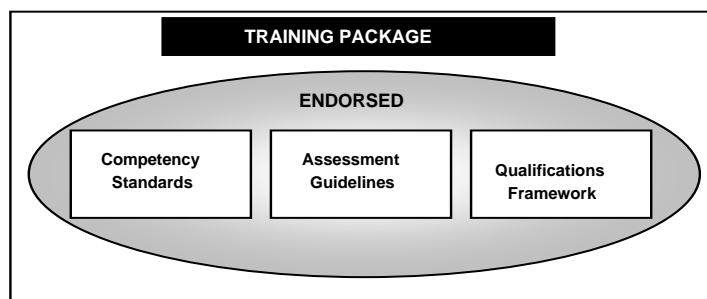
**Endorsed Components of the Training Package.** The nationally endorsed components are the primary focus of the Training Package and include all the elements required to determine national recognition and the issues of qualifications. These form the basis of training and assessment in the Training package and, as such, they must be used:

**Competency Standards.** Each unit of competency identifies a discrete workplace requirement and includes the knowledge and skills that underpin competency as well as language, literacy and numeracy; and occupational health and safety requirements. The units of competency must be adhered to in training and assessment to ensure consistency of outcomes.

**Assessment Guidelines.** The Assessment Guidelines provide an industry framework to ensure all assessments meet industry needs and nationally agreed standards as expressed in the Training Package and the *Standards for Registered Training Organisations*. The Assessment Guidelines must be followed to ensure the integrity of assessment leading to nationally recognised qualifications.

**Qualifications Framework.** Each Training Package provides details of those units of competency that must be achieved to award AQF qualifications. The rules around which units of competency can be combined to make up a valid AQF qualification in the Training Package are referred to as the ‘packaging rules’. The packaging rules must be followed to ensure the integrity of nationally recognised qualifications issued.

The following diagram illustrates the components of a Training Package.



### The Support Material Components

The endorsed components of Training Packages are complemented and supported by optional support materials that provide for choice in the design of training and assessment to meet the needs of industry and learners.

Training Package support materials can relate to single or multiple units of competency, an industry sector, a qualification or the whole Training Package. They tend to fall into one or more of the categories illustrated below.

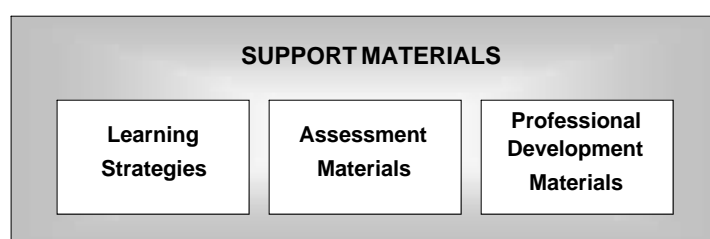
**Learning Strategy.** This provides information on how training programs may be organised in workplaces and training establishments. The learning strategy compliments the endorsed components of a Training Package by providing additional support to RTOs seeking to put together specific training programs to assist trainees attain the required competencies.

**Assessment Materials.** These are evidence gathering tools and other information provided to assist RTOs and workplaces to develop consistent and effective approaches to conducting assessments in a wide range of contexts, and in accordance with the ARF.

**Professional Development Materials.** Professional development materials may include:

- information for trainers on Training Package components,
- professional development resource materials, and
- reference to other related professional development materials.

The following diagram illustrates the components of the Training Package Support Materials.



The Department of Education Science and Training (DEST) defines a Training Package as:

“a set of national training resources consisting of national competency standards, assessment guidelines and national qualifications. These components will be endorsed by the National Training Framework Committee (NTFC). The package can also include support material components, namely, assessment materials, learning strategies and professional development materials.”

Curriculum still has a place even where a Training Package may be nationally endorsed and implemented. RTOs may utilise whatever resources they judge suitable for delivery of the Training Package competency outcomes.

Training Packages are endorsed for a set period of time and must be periodically reviewed against feedback during implementation (usually between three and five years).

Civilian training packages can be used by Army if they meet Army training requirements. Some training packages may require customisation and/or reworking to suit Army needs. The DEST training packages do not contain all the information required to be included in an Army Training Management Package (TMP).

### **Quality Assurance of Training and Assessment**

Governments have an important place in VET through setting quality criteria and regulating training and assessment delivery. The movement, however, is toward self-regulation by training organisations, which is then regularly audited by governments. Under User Choice arrangements, any suitably registered service provider can be chosen to provide training under a training agreement.

The Government role in quality assurance is to:

- establish guidelines for Training Packages and endorse them through the National Quality Council (NQC);
- establish Training Organisation registration principles; and
- review and audit.

### **Registered Training Organisations (RTOs)**

Registration of Training Organisations is undertaken by State and Territory Recognition Authorities. Registration arrangements operate in accordance with:

- agreed National Principles;
- agreed National Minimum Standards and Performance Measures; and
- agreed National Operational Protocols for audit and monitoring, fees, advertising/marketing.

The scope and range of registration of Training Organisations is determined by the courses they are delivering. Scope of registration relates to the industry area or areas for which Registered Training Organisations can deliver training or assessment services and the range is the level of qualification(s) it is allowed to issue.

The effectiveness of training and assessment rests upon RTOs delivering quality service. RTOs:

- are the primary recording systems for national workforce skills;
- are the source of innovation in delivering the competencies described in Training Packages;
- are one of the key links between individuals and the workplace; and
- play a vital role in providing advice to industry on ways training and assessment practices can be improved.

The Australian Army is a RTO and is required to comply with the *AQTF standards for RTOs* just the same as all civilian RTOs. To achieve this, the Australian Army undergoes both internal audits through the Army Training Standard Review (ATSR) and external audit through the ACT Accreditation and Recognition Council (ACT ARC).

### **The National Quality Council (NQC)**

The NQC is the primary national body dealing with the AQTF and Training Packages. The committee considers and endorses Training Packages based upon guidelines for development and quality criteria it produces and communicates to national industry skills councils/industry training advisory bodies (ITABs), enterprises, governments and other users.

### **New Approaches to Assessment**

A fundamental issue about recognition under the AQTF is that where endorsed standards exist, either within a Training Package or as a stand-alone set of Enterprise Competencies, they are the benchmarks for assessment and achievement of a qualification or statement of attainment.

## Competency-Based Training and Assessment

The core business of the formal VET sector is the provision of high quality, industry relevant, competency based training services and products for a range of clients. CBTA has been introduced into Army through the Defence Training Model (DTM). The application of CBTA ensures that Army training is relevant to the jobs undertaken by soldiers.

## THE AUSTRALIAN QUALIFICATIONS FRAMEWORK (AQF)

The AQF provides a comprehensive, nationally consistent yet flexible framework for all qualifications in post-compulsory education and training.

The sixteen qualifications are shown below, grouped according to the sector in which they are most commonly issued.

Schools Sector Accreditation	Vocational Education & Training Sector Accreditation	Higher Education Sector Accreditation
Senior Secondary Certificates in Education	Vocational Graduate Diploma Vocational Graduate Certificate  Advanced Diploma Diploma Certificate IV Certificate III Certificate II Certificate I	Doctoral Degree Masters Degree Graduate Diploma Graduate Certificate Bachelor Degree Associate Degree, Adv Diploma Diploma

The AQF provides a comparative basis in which to group and determine appropriate levels of vocational credentials.

When determining the appropriate level at which the competency should be aligned it is important to take into account:

- the range of contingencies in which the competency is to be exercised;
- the degree of responsibility and accountability;
- the complexity, depth and breadth of knowledge base required;
- the level of discretion, autonomy and freedom to act; and
- management and/or specialist functions.

It provides the link between work requirements and education and learning outcomes. This is achieved through the recognition of vocational credentials and other forms of competency recognition.

## **WHO'S WHO IN VET**

Vocational Education and Training (VET) in Australia comprises Commonwealth, State and Territory public systems and training provided by private providers and employers. The national system operates according to a set of shared principles and agreements.

### **The Department of Education, Employment and Workplace Relations (DEEWR)**

The Department of Education, Employment and Workplace relations (DEEWR) is a Commonwealth statutory authority which took over responsibilities from DEST and previously ANTA. It is the lead government agency providing national leadership in education and workplace training, transition to work and conditions and values in the workplace. The Department is accountable to the Australian Government, Parliament and to the public and has as its objectives:

- To educate and build socially inclusive communities where all Australians have the opportunity to reach their full potential and to actively participate in a rewarding economic and social life.
- To build and promote individual development through equitable and accessible education from early childhood services to skills training and higher education.
- To increase workforce participation and promote fair and productive work practices.
- To develop national economic potential and capability that builds future economic prosperity and international competitiveness through skills development and employment growth.
- To actively engage with clients and stakeholders to ensure services, advice and resources respond to the needs of these groups.
- To look for efficiencies and innovative, targeted and effective solutions in developing national economic potential.

### **State/Territory Training Authorities (STAs)**

Each state and territory government has a training authority to plan and be responsible for vocational education and training. They are accountable to their state and territory Minister and parliament for their operation and the Ministerial Council on national policy matters. The State and Territory Training Authorities are also responsible for their own TAFE systems. In Queensland, the State Training Authority is the Department of Training and Employment (DET) and further information is available at - [www.trainandemploy.qld.gov.au](http://www.trainandemploy.qld.gov.au)

### **Industry Skills Councils (Industry Training Advisory Bodies)**

Industry Skills Councils are an important source of advice at both the national and state and territory levels. National, state and territory ITABs exist in most industries to represent industry requirements in vocational education and training.

Further information on ISC/ITABs can be obtained from the DEST website at [www.dest.gov.au/](http://www.dest.gov.au/)

## **Registered Training Organisations**

Under the Australian Qualifications Training Framework (AQTF) only Registered Training Organisations (RTO) can issue nationally recognised qualifications and statements of attainment for training and assessment against nationally endorsed competency standards and qualifications.

A list of RTOs that offer training and assessment can be found on the Training Information Service website at [www.ntis.com.au](http://www.ntis.com.au).

## CHAPTER TWO: THE DEFENCE TRAINING MODEL

### INTRODUCTION

The Defence Training Model (DTM) is a systems approach for the analysis, design, development, conduct and evaluation of training. The model provides Defence with a common philosophy and consistent approach to quality Vocational and Technical Education (VTE) across all the Services. The DTM is based on an update of the tried and proven systems approach to training with additional enhancements, including a Rapid Development and Risk Management Process to better facilitate the timely availability of training resources when short notice training requirements arise.

### PURPOSE

The purpose of the DTM is to achieve training that meets work force capability requirements effectively and efficiently. It does this by providing a common approach to work force performance problems. This approach:

- a. directs training towards workplace performance needs;
- b. employs training strategies that reflect best practice, are feasible and make the best use of available resources;
- c. supports management of training implementations; and
- d. bases decisions to improve training effectiveness and efficiency on evaluation information.

### APPLICATION

The DTM is to be applied to all Defence training, whether developed or being developed, and whether sourced internally or from an external agency. The policy acknowledges that the wide range of circumstances of Defence training is such that the DTM cannot always be fully applied. Where deviation from the DTM is necessary, it states that commanders and managers should ensure that the principles underpinning it should be followed as closely as possible.

### UNDERLYING PRINCIPLES

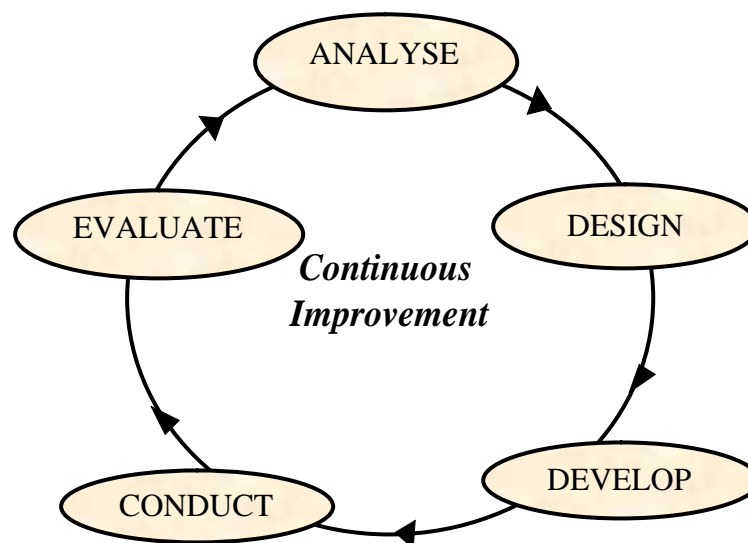
The delivery of quality training in Defence and the content of the DTM are based on six principles:

- a. **Principle 1.** All Defence personnel, particularly leaders and managers, are responsible for enhancing Defence capability by developing their people and themselves.
- b. **Principle 2.** Defence training, education and other development experiences develop Defence capability by preparing the work force for the roles, duties and tasks assigned and anticipated.
- c. **Principle 3.** Defence training uses common terminology, processes and methods wherever appropriate.

- d. **Principle 4.** Defence uses a systems approach that ensures training:
1. is directly related to improving the skills, knowledge and attitudes required for Defence capability;
  2. is the most cost-effective intervention;
  3. uses learner-centred approaches to delivery; and
  4. is subject to continuous improvement.
- e. **Principle 5.** Defence training and assessment applies competency-based training and assessment (CBTA) in accordance with the NTF where practicable and cost-effective to do so.
- f. **Principle 6.** Defence training and assessment is based on current, nationally endorsed training packages, where these are available and meet Defence requirements.

## PHASES OF THE DEFENCE TRAINING MODEL

The phases of the DTM are represented in figure 1-1. The figure shows a cyclic process structured to enable quality assurance and continuous improvement.



### Analyse Phase

The Analyse Phase of the DTM involves identifying and evaluating training and other options for enhancing human performance. The phase incorporates four main processes. Firstly, a job analysis is used to identify the competencies required to perform the work for a required task, job/position, occupation or career stream. The current competencies of the target population are then identified and a comparison of the two lists is used to identify the performance gap. A feasibility analysis is then undertaken to determine the best ways to close the performance gap. If training is required, the Design Phase of the model is instigated. If other solutions are recommended, appropriate action is taken.

## **Design Phase**

The Design Phase of the DTM is when the required outcomes of training, together with the assessment and learning strategies to achieve them, are determined. This is achieved by combining analyses of the training need, the characteristics of the likely learners, and the circumstances in which the assessment and learning are to occur. The products of the design phase may be likened to an architectural blueprint for the development, assessment and evaluation of training.

## **Develop Phase**

In the Develop Phase of the model, the materials needed to conduct training and evaluate trainee competence, in accordance with the agreed strategies, are prepared. These materials provide the detail of what training is to be done, when and where, by whom, with what resources, and how the results are to be measured. Important activities within this phase are the development of assessment materials (diagnostic, formative and summative), the compilation and development of learning materials (including technology-based aids), and the preparation of evaluation materials. The optimal sequence of learning activity is also mapped and learning facilitators/trainers and assessors are appropriately prepared. The outcome of the Develop Phase is a course of training, appropriately documented, complete and ready for implementation.

## **Conduct Phase**

The Conduct Phase of the DTM involves the full-scale implementation of training. Fully developed courses are programmed, administered, run, assessed and recorded using the assessment and training materials prepared in the Develop Phase. Training may be conducted in training units, the workplace or other locations. The Conduct Phase can incorporate Recognition of Current Competence (RCC); the assessment of individuals to determine whether they already have the required competencies. Every effort is to be made to use RCC as a way of avoiding unnecessary training.

## **Evaluate Phase**

Evaluation is the process that provides feedback on how well training has prepared learners for the workplace and whether the original capability requirement has been met. It identifies under- and over-training and the strengths and shortfalls of training, and it makes recommendations for improvement. These recommendations thereby become inputs to the Analyse and other phases for the next cycle of the model. Evaluation incorporates four processes: planning the work, collecting information from the job environment, analysing and synthesising that information to identify ways in which training can be improved, and reporting to the appropriate authorities.

## **TRAINING MANAGEMENT PACKAGES**

A Training Management Package (TMP) is a term used to specify the curriculum and other documentation needed to conduct training as determined by the Training Adviser.

A TMP presents the complete set of documentation necessary for managing the conduct of a training program or course. It is the output of training preparation and the central resource for the conduct of training.

A complete TMP contains the curriculum of a program/course, its TR&E strategies, and the materials developed for conducting and assessing training.

Under the DTM, a TMP is broadly structured around the following sections:

Preliminary information

Section 1: Training Management Information

Section 2: Curriculum

Section 3: Training Review and Evaluation

Section 4: Major Resource Requirements

Section 5: Module Packs (training support material)

## **DTM AND RTO REQUIREMENTS**

RTO requirements (including compliance with AQTF) standards are also compatible with the DTM. The DTM includes processes for internal audit, quality and assurance and continuous improvement. If any Army training organisation is deemed non-compliant during an external audit, the auditors may recommend that Army's registration be suspended, amended or cancelled. This will affect Army's scope of registration and could result in the cessation of Army personnel's entitlement to national qualifications.

## **ADDITIONAL SOURCES OF INFORMATION**

Additional sources of information that may be relevant are:

- a. Army Training Instruction 1/12-2006 The Army Registered Organisation
- b. DI(G) PERS 05-36 Implementation of the Defence Training model in Defence Vocational and Technical education  
[http://defweb.cbr.defence.gov.au/home/documents/data/ADFPUBS/DIG/gp05\\_36.pdf](http://defweb.cbr.defence.gov.au/home/documents/data/ADFPUBS/DIG/gp05_36.pdf)
- c. ADFP 7.02 The Defence Training model 14 Jul 2006
- d. Format a TMP TCSI 06-00-01 Oct 06 supported by TPCD 06-00-01 Mar 07

## **CHAPTER THREE: FOSTER AND PROMOTE AN INCLUSIVE LEARNING CULTURE**

### **INTRODUCTION**

Your aim as a trainer/assessor should be to create a learning environment that promotes tolerance, respect and collaboration.

This point relates to many different aspects of VET training, but is particularly important for:

- learners from non-English speaking backgrounds
- learners with non-Western cultural or religious beliefs
- learners with a disability
- learning groups of mixed age, gender and race

When delivering training, trainers/assessors are responsible for fostering an inclusive learning environment, ensuring that the following elements are dealt with correctly:

- **Access and equity**  
Make every endeavour that no-one is disadvantaged for any reason at all. Correct any situation that is assessed as being discriminatory.
- **Inappropriate language and/or behaviour from any participant**  
Handle the situation with diplomacy, try to redirect the participant's attitude without embarrassing anyone. If necessary, ask the participant to consider the feelings and sensibilities of the other participants in the room.
- **Group dynamics**  
All conflicts should be handled with care and consideration for all involved. Try to encourage consensus and minimize aggressive behaviour. It is sometimes necessary to remove the aggressive person from the room altogether.
- **Culture**  
Have a sound knowledge of cultural issues when dealing with mixed ethnic groups. Define what behaviour changes are required to suit the environment and ensure that no-one within the room is disadvantaged due to poor cultural awareness.
- **Inclusivity**  
Foster comprehensive acceptance of everyone's right to his or her personal opinion without prejudice.
- **Promotion**  
Promote opportunities to offer more training, to encourage further learning and adopt a healthy approach to the world of lifelong learning.

## CREATING INCLUSIVE LEARNING ENVIRONMENTS

The following strategies provide guidelines on how to create an inclusive learning environment within your training establishment:

### Strategy 1 – establish ground rules for participation and behaviour

Perhaps the most common way of creating a tolerant learning environment is to develop an agreed code of practice of rules. Obviously, in the spirit of collaboration, it's preferable not to impose these rules but to involve learners in the decision making process.

This reinforces adult learning principles by encouraging learners to take responsibility for the learning environment.

Items in the ground rules can be divided into rights and responsibilities.

I have a right	I have a responsibility
<ul style="list-style-type: none"><li>• To ask for help when I need help.</li><li>• To be treated with respect.</li><li>• To have my needs met as a learner.</li></ul>	<ul style="list-style-type: none"><li>• To treat others with respect.</li><li>• To focus on my own achievements and progress rather than comparing myself to others.</li><li>• To contribute to a productive and inclusive learning environment.</li></ul>

These ground rules may include:

- Guidelines for behaviour and acceptance.
- Common understandings between learners about group interaction, respect and acceptance.
- Expectations about working relationships.
- Safety and comfort considerations for learners and others.
- Agreed consequences for breaching ground rules.

### Strategy 2 – Encourage learners to express themselves

Encourage all learners to express their opinions, on the condition that ground rules such as 'the right to respect' are not broken. However, recognise also that some learners may take longer to express themselves than others and respect their right to be silent at first.

Encourage learners in the group to express their special needs in a safe environment, and facilitate a thorough understanding of the support networks available to them.

### Strategy 3 – Model a positive attitude towards difference

The best way to promote tolerance, sensitivity and cooperation with learners is by example. Model a positive attitude towards difference.

Discriminatory training practices can include:

- derogatory labeling of another group
- stereotyping people from a particular group
- invisibility of a minority group
- imposing labels
- emphasising differences unnecessarily

Avoid the use of inappropriate remarks about backgrounds, special physical or psychological needs, cultures and gender and do not accept such inappropriate remarks or behaviour from learners.

#### **Strategy 4 – use multi-sensory learning materials**

Foster an inclusive learning culture by creating a flexible, tolerant, active and multi-sensory learning environment.

Multi-sensory learning means catering for the needs of learners by using a range of activities, strategies and media to reinforce the skills and knowledge being learned. The better you know learners, the easier it will be to cater for their individual needs.

To create a multi-sensory learning environment:

- Incorporate practical tasks wherever possible.
- Use collaborative learning strategies such as group activities and pair work.
- Integrate learning activities using a range of different media, such as audio tapes, images photographs, video, television (eg, documentaries, sitcoms), the whiteboard, print-based resources (eg, textbooks), the Internet and multimedia (computer-based media).

#### **Strategy 5 – Use appropriate and relevant learning materials**

Find out learners' backgrounds at the beginning of the course (cultural, religious etc) and use appropriate learning materials. Avoid the use of material that may be offensive or harmful to learners (eg, media reports of violence or war).

Use materials that are relevant to the learners' existing knowledge and experience, and their goals and needs. Ensure that these materials are interesting and pitched at a level appropriate to the needs of your learners.

To create relevant learning materials:

- Draw on the existing knowledge and experience of learners. By engaging learners in this way, you will help them to see the relevance of learning activities and increase their motivation. Once you know the learners' backgrounds you can help them to draw parallels with the outside environment by asking questions such as "Did you do something similar when you worked at...?" or "Do you think this would be useful at work?"

- Use authentic materials, such as:
  - brochures
  - flyers
  - correspondence
  
- Use resources that learners are familiar with and enjoy using, such as:
  - newspapers
  - popular culture
  - the Internet

*Ensure that these materials are not disturbing or offensive to learners from different backgrounds.*
  
- Use topics, projects and examples that are realistic and relevant to learners, such as:
  - food
  - sports
  - music
  - entertainment
  - travel

### **Strategy 6 – Be interested in your learners and their backgrounds!**

Promote diversity by showing a genuine interest in people’s individual backgrounds. Be curious and encourage discussions that promote a better understanding of diversity. Find out about different cultures, religions and special needs, and stay up-to-date with current affairs.

Example 1: PTE Arin’s religion requires him to leave the room periodically for prayer and would need to be positioned close to an exit to allow him to exit the room drawing less attention to himself, and also resulting in minimal disruption to the group.

Example 2: PTE Smith has poor eyesight and would need to be positioned in the front row, in clear sight of the whiteboard, litepro or any other visual aides being used with the lesson.

## **GIVING FEEDBACK**

The following strategies provide guidelines for giving feedback which encourages interaction and participation:

### **Strategy 1 – Give constructive feedback**

Give constructive feedback. Adult learners often lack self-confidence and may have painful memories of their experiences at school. Therefore, it is important to use feedback that builds confidence and motivates learners by showing them that they are contributing and progressing.

Remember: try to focus on what learners can do, rather than what they can't do!

If you need to give constructive feedback, give reasons for your opinion and 'pad' the feedback with statements that focus on what the learner can do.

### **Strategy 2 – Seek feedback from your learners**

In each learning session, give learners opportunities to provide you with feedback on what they are doing and how they are feeling. You may need to explain to learners from some cultural backgrounds that this is an important part of the teaching/learning process.

Ongoing feedback from your learners is important because it demonstrates that you are open to their opinions. It also allows you to monitor the effectiveness of your sessions and learning activities, and modify your future sessions to suit the needs of learners. If you seek feedback at the end of the course, you won't have the opportunity to respond to learners' needs.

### **Strategy 3 – Provide immediate feedback wherever possible**

One of the key considerations with feedback is timing. The more immediate the feedback, the more effective it tends to be – because the event to which the feedback relates is still fresh in the learner's mind.

This doesn't mean that you should blurt it out straight away – always take the time to think about what you're going to say.

### **Strategy 4 – Pick the right place**

Some learners will be sensitive about receiving feedback, and may not appreciate you giving it in front of everyone else in the group.

There is no 'one rule' about this, so you'll need to consider each situation on its own merits and decide whether it's appropriate to give feedback in front of other people, or whether you should take the individual learner aside and give the feedback privately.

## **Strategy 5 – Provide guidelines**

Giving feedback is a skill that not everyone has mastered. To avoid hurt feelings and embarrassment, take the time to give your learners some simple guidelines regarding how to give feedback.

When done in a positive way, peer feedback is a fantastic learning tool. When done badly, it can be hurtful and damaging. Facilitate feedback sessions carefully – monitor discussions to ensure that they stay positive and focused on improvement rather than degenerating into abusive criticism.

## **Strategy 6 – Remember positive feedback!**

We tend to think of feedback as being only used for improvement purposes, but it's important to remember about positive feedback too!

When a learner accomplishes something, recognise it! Give positive feedback, and make sure he or she knows they did something really well. Just remember, many people feel embarrassed about getting complimented – so be sincere, be genuine and be honest. No need to go “over the top” – just a simple “well done” can work wonders.

Even better, accompany your positive feedback with an explanation as to why what they did was so good and what the benefits will be. For example, “Chris, that presentation was excellent. You spoke clearly and the diagrams were easy to understand. That will be a real help in explaining this to others” is more beneficial than “Chris, that presentation was excellent”.

## **POLICIES**

Defence acknowledges the fact that a multicultural workforce has diverse needs that must be met in order to promote job satisfaction in the workplace. Defence will facilitate the creation of structural acceptance through such means as employment agreements, provision of prayer rooms, access to appropriate social and cultural services, elimination of obstacles to the full participation in all pertinent activities and processes expected of and available to its workforce.

All Defence policies in relation to access, equity and diversity can be easily located through the Defence Personnel Executive website <http://intranet.defence.gov.au/dpe/>.

A list of Defence policies and resources that can be obtained from the website are described below:

### Defence guide to Managing Diversity in the Workplace

Designed for commanders, managers and supervisors, this Guide is a practical tool to assist in the management of a diverse team.

### Management and Reporting of Sexual Offences – DI(G) PERS 35-4

This instruction states Defence policy on, and provides direction for, the management and reporting of sexual offence allegations that involve Defence personnel and Defence contracted staff.

### Management and Reporting of Unacceptable Behaviour - DI(G) PERS 35-3

This instruction states Defence policy on, and provides direction for, preventing unacceptable behaviour and managing complaints of unacceptable behaviour in the workplace.

### Plain English Guide to Managing and Reporting Unacceptable Behaviour

This booklet will assist Defence personnel in managing and eliminating all forms of unacceptable behaviour in their workplace.

### Sexual Offence Management Guide

This guide provides Defence commanders, managers, complainants, respondents and their peers with information regarding sexual offences.

### Understanding Homosexuality

*Understanding homosexuality* is an online awareness session, with the aim of creating an inclusive environment for gay, lesbian and bi-sexual personnel. The session takes less than an hour to complete.

Information on managing complaints regarding harassment or unfair treatment in the training environment can be located within the policies and resources listed above.

**NOTE:** In addition to the above references, there are a variety of other Army, unit and sub-unit level policies that must be adhered to within your Training Establishment. For example, Codes of Conduct, Army Rules for a Fair Go and other TE related policies.

## **INCLUSIVE LEARNING CULTURE AND RTO REQUIREMENTS**

### **RTO requirements for access and equity**

The principles for providing access and equity through promoting an inclusive learning environment are written into the three AQTF Standards for RTOs:

- **Standard 1** The Registered Training Organisation provides quality training and assessment across all of its operations.
- **Standard 2** The Registered Training Organisation adheres to principles of access and equity and maximises outcomes for its clients.
- **Standard 3** Management systems are responsive to the needs of clients, staff and stakeholders, and the environment in which the Registered Training Organisation operates.

Standard 2 deals particularly with access and equity through each of its elements.

Element 2.1 The RTO continuously improves client services by collecting, analysing and acting on relevant data.

The RTO:

- establishes what clients' needs are
- collects data about whether these needs are being met
- improves services in response to this data.

Element 2.2 Before clients enrol or enter into a contract, the RTO informs them about the training, assessment and support services to be provided, and about their rights and obligations.

The RTO:

- provides information to clients that is clear and sufficient to assist them to make an informed choice.
- provides information to clients accurately describes the services to be provided.
- demonstrates improvements to client information services.

Element 2.3 Employers and other parties who contribute to each learner's training and assessment are engaged in the development, delivery and monitoring of training and assessment.

The RTO:

- involves workplace personnel in planning workplace programs, where they are relevant to the training and assessment program
- ensures that the training and assessment program makes full use of opportunities at the workplace
- monitors each learner's progress and the support provided to them by workplace personnel.

Element 2.4 Learners receive training, assessment and support services that meet their individual needs.

The RTO:

- systematically assesses learners' training and learning support needs.
- provides learners with access to relevant learning support services, including assistance with language, literacy and numeracy.
- provides training, assessment and learning support services to each client are consistent with the training and assessment strategies.
- monitors and improves learning, assessment and learning support services.

Element 2.5 Learners have timely access to current and accurate records of their participation and progress.

The RTO:

- informs learners about how to gain access to their records.
- systematically collects, records and stores data on learners' participation and progress through their training program
- monitors records management practices and demonstrates improvements.

Element 2.6 Complaints and appeals are addressed efficiently and effectively.

The RTO:

- develops and implements a process for handling complaints and appeals
- ensures that clients and staff know about and follow the system
- takes corrective action to deal with the identified causes of complaints
- monitors and improves the system.

## **ADDITIONAL SOURCES OF INFORMATION**

Additional sources of information that may be relevant are as follows:

- a. Some support services that are available for referrals, including:
  - i) The Defence Equity Advisor Network
  - ii) The Defence Equity Advice Lines
  - iii) DEO
  - iv) Freecall advice line (ie, Fair Go Hotline, Whistleblower scheme)
  - v) Chaplains
  - vi) Professional Counselling
- b. Internet websites, including:
  - i. Australian Human Rights and Equal Opportunity Commission  
<http://www.hreoc.gov.au>
  - ii. National Centre for Vocational Education Research  
<http://www.ncver.edu.au>
  - iii. Equity Research Centre  
<http://www.equityresearch.org.au>
  - iv. Department of Education, Employment and Workplace Relations  
<http://deewr.gov.au>

### **Key resources**

#### **A Style Guide: Training Package Support Materials**

This resource provides guidelines on the writing of support materials in a range of formats, and advice on editing and technical requirements for publication. It contains a series of checklists for use by designers, desktop publishers, writers and project managers.

[www.dest.gov.au/sectors/training\\_skills/publications\\_resources](http://www.dest.gov.au/sectors/training_skills/publications_resources) (search by publication title)

#### **Australian Apprenticeships Job Pathways**

This service provides detailed information on Australian Apprenticeships, including job pathway charts which give an industry-wide picture of the potential job progression people can achieve, starting with an Australian Apprenticeship.

[www.aajobpathways.com.au](http://www.aajobpathways.com.au)

## **Australian Apprenticeship Training Information Service**

This website provides information on Australian Apprenticeships and traineeships, as well as links to other government websites that specialise in training and apprenticeships.

[www.aatinfo.com.au](http://www.aatinfo.com.au)

## **Australian Skills Recognition Information**

This website helps people find out how to get an assessment of occupational qualifications, skills or experience that have been gained overseas. It also has information on state-specific licensing and registration requirements to practice different occupations in Australia.

[www.immi.gov.au/asri](http://www.immi.gov.au/asri)

## **Australian Qualifications Framework**

The national qualifications described by the Australian Qualifications Framework are a key element of the national training system. This site explains how vocational education and training fits into the big picture, and is useful for clients as well.

[www.aqf.edu.au](http://www.aqf.edu.au) (select 'Components of AQTF 2007')

## **Australian Qualifications Framework Implementation Handbook**

This handbook provides a detailed guide for the implementation of the Australian Qualifications Framework and should be read in conjunction with documents issued by accrediting bodies.

[www.aqf.edu.au/implem.htm](http://www.aqf.edu.au/implem.htm)

## **AQTF 2007 information website**

This website provides all information related to the Australian Quality Training Framework 2007 including the *AQTF 2007 Essential Standards for Registration* .

[www.training.com.au/aqtf2007](http://www.training.com.au/aqtf2007)

## **AQTF 2007 Essential Standards for Registration**

This is a set of nationally agreed standards to ensure the quality of vocational education and training services delivered by registered training organisations throughout Australia.

[www.training.com.au/aqtf2007](http://www.training.com.au/aqtf2007) (select 'Components of AQTF 2007')

## **AQTF 2007 Standards for Accredited Courses**

This is a set of nationally agreed standards which apply to the course design for vocational education and training accredited courses.

[www.training.com.au/aqtf2007](http://www.training.com.au/aqtf2007) (select 'Publications')

## **AQTF 2007 Standards for State and Territory Registering Bodies**

This is a set of nationally agreed standards to ensure the quality of vocational education and training services delivered by registering bodies throughout Australia.

[www.training.com.au/aqtf2007](http://www.training.com.au/aqtf2007) (select 'Components of AQTF 2007')

## **Contextualising Teaching and Learning: A Guide for VET Teachers**

This practical guide provides assistance to vocational education and training practitioners who work with training packages and are seeking to implement learner-centred, flexible and innovative approaches to teaching and learning.

[www.dest.gov.au/sectors/training\\_skills/publications\\_resources](http://www.dest.gov.au/sectors/training_skills/publications_resources) (search by publication title)

Department of Education, Employment and Workplace Relations. [www.deewr.gov.au](http://www.deewr.gov.au)

## **Disability Standards for Education 2005**

Disability Standards for Education were formulated under the Disability Discrimination Act 1992 and tabled in the Parliament on 17 March 2005. They came into effect in August 2005. The standards clarify the obligations of education and training providers to ensure that students with disabilities are able to access and participate in education without experiencing discrimination.

[www.dest.gov.au/sectors/school\\_educatio...](http://www.dest.gov.au/sectors/school_educatio...)

## **edna**

edna is an online information service supporting all education and training sectors in Australia. It provides free news, resources, networks and online tools for educators. It allows users to participate in online groups, join email discussion lists and receive newsletters. It also has shared resources from Australian and international collections and comprehensive listings of national and international events.

[www.edna.edu.au/vet](http://www.edna.edu.au/vet)

## **Employability Skills: An Introductory Guide for Trainers and Assessors**

This resource has been designed to assist trainers and assessors to unpack the employability skills requirements contained in units of competency into learning and assessment strategies that lead to the attainment of training package qualifications.

[www.dest.gov.au/sectors/training\\_skills/publications\\_resources](http://www.dest.gov.au/sectors/training_skills/publications_resources) (search by publication title)

## **Employability Skills for the Future**

This report comprises the findings of a project to analyse the current business requirements for employability skills.

[www.dest.gov.au/sectors/training\\_skills/publications\\_resources](http://www.dest.gov.au/sectors/training_skills/publications_resources) (search by publication title)

## **Employability Skills Summaries**

This website provides information on employability skills and training packages. It allows users to search for the employability skills summaries of all training package qualifications.  
<http://employabilityskills.training.com.au>

## **Flexible Learning Toolboxes**

A Flexible Learning Toolbox is a collection of resources, suggested learning strategies and supporting material to support online delivery of vocational education and training.  
[www.flexiblelearning.net.au/toolbox](http://www.flexiblelearning.net.au/toolbox)

## **Licensing Line News**

This is Australia's leading online resource for information on occupational licensing and regulation. It is free to subscribe for monthly news on national and local licensing and vocational education and training developments.  
[www.licensinglinenews.com](http://www.licensinglinenews.com)

## **Maximising Confidence in Assessment Decision Making—Resource Kit for Assessors**

This resource contains practical material, including an overview of how to develop a validation or moderation process, a range of checklists and a sample of a code of practice, to help assessors maintain the quality of their assessment systems.  
[www.ncver.edu.au/publications/780.html](http://www.ncver.edu.au/publications/780.html)

## **National Centre for Vocational Education Research**

The National Centre for Vocational Education Research (NCVER) is Australia's principal provider of vocational education and training research and statistics.  
[www.ncver.edu.au](http://www.ncver.edu.au)

## **National Office of Overseas Skills Recognition**

Australian Education International, through the National Office of Overseas Skills Recognition (AEI-NOOSR) provide official information and advice on the comparability of overseas qualifications to Australian qualifications, and the processes for getting qualifications assessed and recognised.  
[www.dest.gov.au/NOOSR](http://www.dest.gov.au/NOOSR)

## **National Training Information Service**

This is an online database about vocational education and training in Australia. It contains detailed information about courses, qualifications, training packages, competency standards and training organisations.  
[www.ntis.gov.au](http://www.ntis.gov.au)

## **National Quality Council Policy on Training and Assessment Competencies to be held by Trainers and Assessors**

This policy details the necessary training and assessment competencies which the National Quality Council have determined must be held by trainers and assessors.

[www.training.com.au/aqtf2007](http://www.training.com.au/aqtf2007) (select 'Components of AQTF 2007' > 'Essential Standards for Registration')

### **Overseas Qualifications Units**

All state and territory training authorities have Overseas Qualifications Units to assist migrants to obtain recognition of their overseas gained skills and qualifications.

[www.immi.gov.au/asri/os-qual-units.htm](http://www.immi.gov.au/asri/os-qual-units.htm)

### **Recognition of Prior Learning—Your First Step**

This multimedia resource provides information on recognition of prior learning, including case studies, examples and activities in recognition of prior learning practice. It also provides links to additional reading and resources and an individualised learning journal and action planner.

[www.resourcegenerator.gov.au/loadpage.asp?Page=RPL.htm](http://www.resourcegenerator.gov.au/loadpage.asp?Page=RPL.htm)

### **Resource Generator**

This is an online library of resources to assist trainers and assessors with the implementation of training packages. Resources are available free of charge and can be personalised by each individual user.

[www.resourcegenerator.gov.au](http://www.resourcegenerator.gov.au)

### **Trades Recognition Australia**

Trades Recognition Australia is a nominated assessment authority for a number of occupations in the Skilled Migration Program. It also issues Australian Recognised Trade Certificates to eligible Australian residents under the *Tradesmen's Rights Regulation Act 1946*.

[www.workplace.gov.au/workplace/Programmes/TRA](http://www.workplace.gov.au/workplace/Programmes/TRA)

### **training.com.au**

This is a one-stop web entry point for information on vocational education and training, designed for use by registered training organisations and Australian businesses.

[www.training.com.au](http://www.training.com.au)

## **Training Packages @ Work**

This nationally focused monthly e-newsletter is Australia's premier source of information about training packages. Subscribe to keep up to date with the development, implementation and review of training packages.

[www.tpatwork.com](http://www.tpatwork.com)

## **Training Package Assessment Materials Kit**

This set of 10 guides provides assessors with a range of tools and resources to improve assessment practices. Each guide covers a specific aspect of assessment and includes case studies and useful templates. This kit is commonly referred to as 'the green brick' because of its green case.

[www.dest.gov.au/sectors/training\\_skills/publications\\_resources](http://www.dest.gov.au/sectors/training_skills/publications_resources) (search by publication title)

## **Training Package Development Handbook**

This handbook provides National Quality Council policy and guidance for the developers of national training packages. This policy applies to all training packages developed and endorsed through the National Quality Council development and endorsement process.

[www.tpdh.deewr.gov.au](http://www.tpdh.deewr.gov.au)

## **Working with Diversity**

These booklets focus on how training providers can meet the needs of Indigenous learners and learners with a disability. They outline some of the key issues and concepts in working with diverse client groups, including cultural appropriateness and reasonable adjustment.

[www.dest.gov.au/sectors/training\\_skills/publications\\_resources](http://www.dest.gov.au/sectors/training_skills/publications_resources) (search by publication title)

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# CHAPTER FOUR: SAFETY RISK MANAGEMENT

## INTRODUCTION

The range and scope of activities undertaken in TC-A is complex and often carries inherent risk. The safe and successful achievement of TE directed tasks require that commanders strike an effective balance between achieving our military objectives and maintaining a safe working environment.

All activities include uncertainties that may affect their outcome; however, the proactive assessment and management of identified risk assists in minimising uncertainties and enables action to be taken to quantify, minimise, eliminate and/or manage the exposure. Ultimately, TE ability to safely manage risks as well as treat potential sources of physical harm, equipment loss, or threats to mission achievement is a critical element of TC-A business.

## TERMINOLOGY

**Hazard.** A hazard is defined as a **source** of potential harm or a situation with a potential to generate negative consequences (OHS context predominantly relates to a hazard causing injury, incapacity or death).<sup>1</sup>

**Risk.** A risk is defined as the **chance** of an event occurring that will have an impact on objectives. Risk may be calculated in terms of the consequences of the event occurring against the likelihood of the occurrence.<sup>2</sup>

**Risk assessment.** Risk assessment consists of the analysis and evaluation of identified risks. The aim of a risk assessment is to identify and assess what might happen and how it can happen. A risk assessment usually identifies and categorises the consequence, likelihood and existing controls for risks using past data, facts and experience. Risks are compared with acceptability criteria such as legal limits and ADO standards and may be prioritised or ranked.

**Risk management.** The management of risk includes establishing the policy, identifying and allocating the resources to implement the policy, planning the risk management program, establishing an appropriate risk culture, developing communication strategies, defining criteria for acceptable risk and implementing actions to treat risk. It also focuses on the monitoring and review of this whole process to ensure continual improvement and the effectiveness of the risk decision made. Risk management is the process by which decisions regarding risk are made so that the benefits and potential cost can be identified.

**Residual risk.** This is defined as the level of risk remaining after the selection and implementation of risk treatment options.

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<sup>1</sup> AS/NZS 4360:1995 Risk Management, © Standards Australia 1995

<sup>2</sup> *ibid*

## **RISK MANAGEMENT RESPONSIBILITIES**

The management of risk is an important function of command. If risks are not managed, or are managed inadequately, the likelihood that they will adversely impact on the achievement of TE objectives or result in serious injury or fatality increases.

All risk assessments are to be produced either by, or on behalf of, as a minimum, sub unit level TE commanders as the activity commander/officer authorising the activity.

### **Officer authorising the activity**

The responsibilities of the officer authorizing the activity include:

- deciding on recommended treatment strategies;
- striking a balance between level of risk and achievement of training outcomes;
- ensuring that risks are identified, recorded and regularly reviewed;
- ensuring that plans are modified where appropriate, to include agreed actions to avoid or reduce the impact of risks;
- appointing an 'owner' for each risk, which should be the person best situated to oversee it;
- ensuring that assessments are made accurately in the context of the work environment; and
- endorsement or referral of treatment strategies to the appropriate level.

### **Risk owner**

The risk owner is to be the member who is in the best position to monitor the risk. The responsibilities of the risk owner include:

- managing each risk assigned to him or her, on behalf of the officer authorising the activity;
- advising the officer authorising the activity whether the risk mitigation strategies are effective; and
- alerting the officer authorising the activity if the risk eventuates or there is a significant change in its status.

## **RISK MANAGEMENT PROCESS**

The aims of risk management are to:

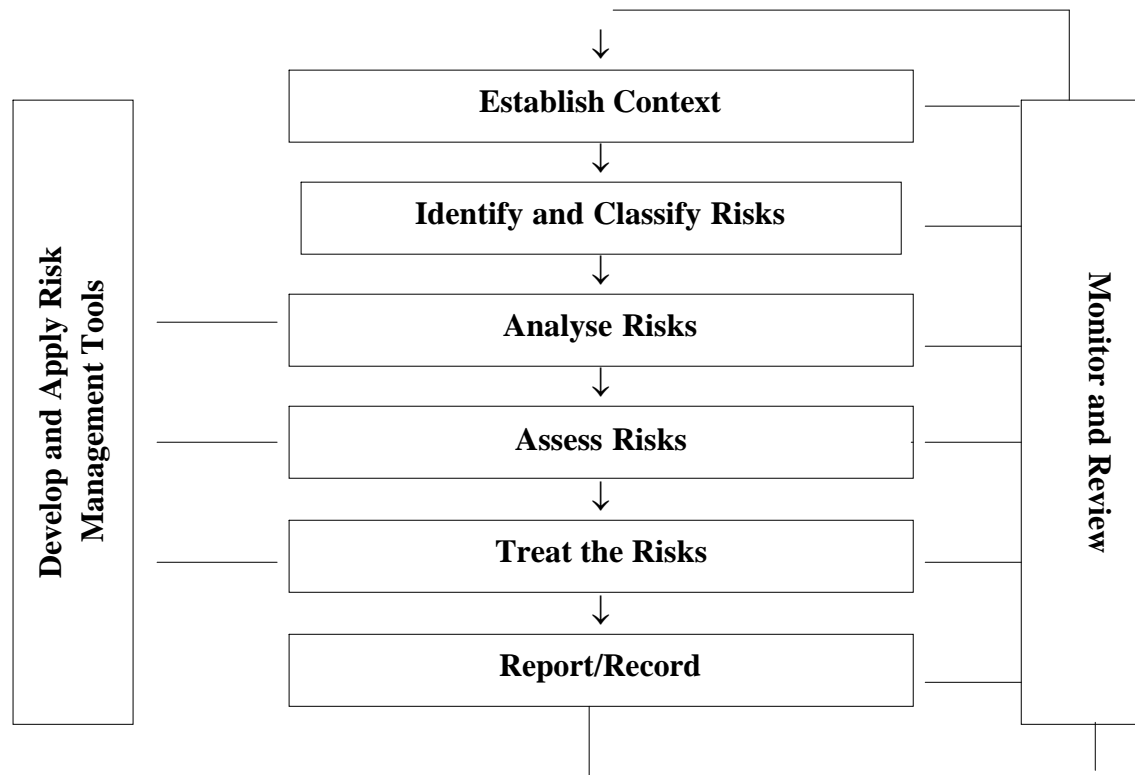
- cost effectively remove, control or minimise the uncertainties and constraints that give rise to risks; and/or
- control, minimise or avoid the consequences of risk so to increase the likelihood of successful completion of the activity in accordance with the specified objectives.

## **Principles of risk management**

As part of the underpinning philosophy of risk management, the application of the process is to be guided by the following principles:

- Clearly identify what is acceptable and what is not acceptable given the context and desired outcome of the activity.
- Accept no unnecessary risk. Unnecessary risks are risks that are not mandated by a TMP or risks not inherent in achieving mission essential tasks. Risks are to be treated wherever possible until the residual risks are judged to be as low as reasonably practicable. The basis of this judgment is that the risk is treated to the point where:
  - the cost of further treatment is excessive compared with the resulting reduction in risk;
  - no further treatment is possible; or
  - the risk is negligible.
- Make risk decisions at the appropriate level. Clearly identify who and what is the appropriate level to accept the risk associated with the activity and who should be aware of the risks involved. Those accountable for the success or failure of the task/activity must be included in the risk decision process.
- Accept risk only if the benefit outweighs the cost. Risk is judged to be tolerable if the importance and benefits of the task are of such magnitude that acceptance of the risks associated with the task is justified.
- Clearly identify and understand the potential costs of loss and the potential benefits of conducting the activity so that an evaluation can be made.

The fundamental elements of risk management that are applicable to all activities are risk identification, analysis, assessment, treatment, monitoring and review. Their relationship in the risk management process is illustrated below:



**Figure 1. The risk management process**

### **Step 1 – Establish the context**

This step involves identification of the key success factors for the activity against the environment in which the activity is being conducted. This part of the process requires that stakeholders have a clear understanding as to what is to be achieved and the constraints within which they must achieve them. TE directed tasks and priorities, as well as environmental, manpower and resource constraints must all be identified and understood to ensure that the results of the risk identification and analysis accurately reflect the work environment.

### **Step 2 – Risk identification and classification**

**Risk identification.** Risk identification is the process of determining uncertainties and constraints that give rise to risks. In this process it is necessary to identify **what** (uncertainties and constraints – incident identification), **how** and **why** (the causes of uncertainties and constraints – ‘causation’ analysis) things may go wrong.

**Classification.** In general risk management terms, risks should be categorised into one of several classifications. In addition to health and safety, classifications may include mission, personnel, resources, reputation and environment.

### Step 3 – Risk analysis

Once the risks have been identified it is necessary to ascertain whether the risks are of such a magnitude that they need to be specifically addressed as part of the planning process. When analysing risks, it is important to do so in the context of existing controls (eg, OH&S legislation/regulations, Unit Standing Orders/SOPs).

**Analysis.** Fundamental to the analysis process is the assessment of likelihood and consequence:

- **Likelihood.** Likelihood refers to the probability or chance that an event will occur.
- **Impact.** Impact refers to the potential outcome, or impact, if the event occurs.

Analysis of impact and likelihood may be achieved by any or all of the following methods:

- review of past records;
- assessment based upon the relevant experience of assessment team;
- review of wider Service and industry practice and experience;
- review of relevant published literature;
- conduct of experiments or trials;
- modeling or fault/decision/event tree analysis; and
- engaging external specialist and expert judgment.

Definitions for the levels of likelihood and impact for health and safety risks are at Annex A. Upon determination of the likelihood and impact, results are to be plotted against a risk matrix to determine the level of risk. An example risk evaluation matrix is at Annex B.

It is accepted that extant TE processes may provide an effective risk evaluation tool. In such cases, TEs may continue the use of extant systems as a means of assessing and documenting risks and their associated control measures. ArmySAFE provides guidance on the use of risk management tools. It is recommended that the Military Risk Management process is used, as it provides for the consolidation of relevant information in a concise format and captures the initial assessment and where applicable, reassessment and referral to higher commander.

Risks will either be graded as, Low, Moderate, High or Extreme, which are defined as:

- **Low risk.** Treatment is not mandatory, however, should be taken where cost effective to do so. The activity commander may accept a low risk, and would not normally advise higher commander.
- **Moderate risk.** Treatment is required to mitigate the risk. The activity commander may accept a moderate risk, but should consider whether the higher commander be advised.
- **High risk.** Treatment is required to mitigate the risk to at least a moderate level. If, after treatment, the risk score remains high, referral to higher commander at CO or equivalent level for approval is mandatory.

- **Extreme risk.** Treatment is required to mitigate the risk. If, after treatment, the risk score remains extreme, referral to formation level TE commander or COFS TC-A for approval is mandatory.

Further guidance on acceptance or referral of risk levels in specific circumstances is at Annex C.

#### Step 4 – Evaluate the risk

Once identified and assessed, there is a possibility that some risks will be at an unacceptable level and will thus require intervention in the planning process in order to reduce the risk. Once identified, mitigation strategies and countermeasures for each of these risks are to be determined. All extreme and high risks will require treatment strategies to be defined.

#### Step 5 – Treat the risk

Risk treatment involves the identification, application and evaluation of suitable controls selected to address identified risks. Throughout risk treatment, a wide range of controls should be identified to minimise risk through the elimination, reduction and/or transfer of each risk.

**Hierarchy of controls.** To reduce the likelihood and/or impact of an identified risk, the hierarchy of controls should be implemented where practicable. Activity commanders should endeavour to apply the most effective measures within the constraints of resources and the achievement of activity objectives. The Hierarchy of Controls is the preferred order of control measures for OHS risks. The Hierarchy of Controls is as follows:

1. **Elimination** - controlling the hazard at source.
2. **Substitution** - eg. replacing one substance or activity with a less hazardous one.
3. **Engineering** - eg. installing guards on machinery
4. **Administration** - policies and procedures for safe work practices
5. **Personal Protective Equipment** - eg respirators, ear plugs.

**Risk treatment alternatives.** The following are the alternatives to be considered by Commanders to achieve effective treatment of identified risks. More than one treatment strategy can be selected for each risk.

- **Accept.** Ultimately if a risk cannot be completely eliminated, it must be accepted if the activity is to proceed. However, this should not be prior to taking other treatment actions until it has been reduced to a level acceptable to the appropriate authority.
- **Reduce likelihood.** The likelihood of a risk occurring may be able to be reduced by taking some appropriate action. This is likely to be best achieved through a reduction in exposure or modification of processes.
- **Reduce Impact.** In some cases, changes may be able to be made to reduce the impact should the event occur. This might involve preparing a contingency plan to manage the adverse event.
- **Transfer in full or in part.** The adverse consequences of the risk may be transferred to another organisation. In this case the risk is not diminished, but if all the impacts are

completely transferred, command responsibility is also transferred. Consequently, the new commander must evaluate and accept the risk for the activity to proceed.

- **Avoid.** In some cases the risk may be able to be completely avoided, effectively by reducing either the likelihood or impact to zero.

**Reassess risk.** Once the risk treatment strategy has been determined, the risk is to be reassessed taking into account the treatment strategy to determine the new risk score. If after treatment, the residual risk remains high or extreme, the risk treatment strategies need to be reassessed to determine whether the risk score can be further reduced.

**Implementation.** Once decided, treatment strategies are to be implemented as soon as practicable. The officer authorising the activity/exercise has the responsibility for the approach or treatment of risks generated during the process as risk mitigation activity may require modification of processes or additional resources.

**Risk review and endorsement.** Once the treatment strategies have been decided and the risk has been reassessed on the basis of these strategies, the following should occur:

- endorsement of the risk by the officer authorising the activity/exercise; or
- non-endorsement of the risk (in which case the risk needs to be reviewed again); or
- referral of residual risks assessed as high or extreme are to be passed to the appropriate higher commander for consideration and acceptance.

In cases where high or extreme risks, passed to higher commander, are not endorsed, additional treatment may be required to further reduce the risk. Otherwise, acceptance of high or extreme risks will be required for the activity to proceed.

## **Step 6 – Risk reporting and recording**

The activity commander is to compile a Risk Assessment Summary for each identified risk. Risk Assessment Summaries are to be included, where applicable, with activity instructions and are also to be recorded in the unit Risk Assessment Register.

**Risk Assessment Register.** The Risk Assessment Register enables TEs to record risk mitigation strategies developed to negate identified hazards. This register can be used to complement TE standing risk profiles for use in the development of future assessments and should, where applicable, be cross referenced with the hazard log.

The Risk Assessment Register is required to achieve an acceptable level of compliance against some standards of the ASMS. A template for a Risk Assessment Register can be found in the Commanders Guide located on the ArmySAFE intranet homepage.

Risk management documentation is to be maintained for the following reasons:

- to demonstrate the process is conducted appropriately,
- to provide a record of identified risks,
- to provide commanders with relevant and up-to-date information upon which to base risk management decisions,
- to provide an accountability mechanism and tool,
- to facilitate monitoring and review processes,

- to provide a system audit trail; and
- to facilitate the exchange of information between TC-A units and external organisations.

**Safe work processes.** Risk Assessment Summaries and other appropriate records are to be maintained to demonstrate how decisions are made on the suitability of risk controls. Where effective hazard and risk control is achieved through specific work processes, such processes should be documented in the form of procedures and/or work instructions. This provides for the preferred treatment strategy to become part of normal processes when conducting the activity in the future.

## **Step 7 – Risk monitoring and review**

Monitoring of risk is to be conducted by the risk owner and consists of:

- checking that execution of the planned actions is having the desired effect on the risks identified;
- watching for the early warning signs that a risk is developing; and
- checking that the overall management of risk is being applied effectively.

**Review frequency.** The frequency of reviews into the applicability of the risk or the effectiveness of controls is to be determined by the activity commander. If the work environment remains constant, activities or actions that are constant or often repeated, the minimum review frequency is to be annual.

For isolated or infrequent activities or upon changes to the work environment, the risk is to be reviewed and where applicable reassessed as part of activity planning and conducted prior to each occurrence. Changes to the work environment may include, but are not limited to equipment, process, location, environment, the number of participants or the experience levels of those involved.

### **Unforeseen risks**

If an unforeseen risk eventuates, a temporary plan should be implemented to stop or minimise any adverse effect it may have on the activity. The cause of the risk should then be identified to enable long term corrective action to be developed and implemented if appropriate. Once the long-term action has been implemented, the risk management process should be repeated to enable the identification and treatment of any new risks or changes to any previously identified risks.

### **Audit requirements**

Further detail on risk management requirements inherent in ASMS compliance can be found in Defence Safety Manual, at the ArmySAFE intranet site and from the Safety Risk Manager within TE's or HQTC-A.

### **Further Information**

Army Technical Instruction 01/2007: Military Risk Management provides further guidance on the integration of Military Risk Management into the Military Appreciation Process.

**Annexes:**

- A. Likelihood and Impact descriptors
- B. Risk Level Matrix
- C. Risk Tolerance Thresholds (for Non-operational activities)

### Likelihood Descriptors

Likelihood	Description	Examples
<b>Highly Improbable</b>	Not likely to occur but it is not impossible	<ul style="list-style-type: none"> <li>• All key appointment holders struck by illness</li> <li>• Vehicle accident on formed road</li> <li>• Ricochet on range from small arms fire</li> <li>• Lightning striking personnel or equipment</li> </ul>
<b>Rare</b>	<p>Could occur at some time. Usually requires combination of circumstances for it to occur.</p> <p>Certain specific controls (normally mandated) and supervision must be in place.</p>	<ul style="list-style-type: none"> <li>• Withdrawal of critical support</li> <li>• Vehicle accident off formed road</li> <li>• Equipment failure</li> <li>• Ammunition contamination</li> <li>• Unauthorized weapon discharges</li> </ul>
<b>Occasional</b>	<p>Is sporadic but not uncommon. It might happen in training or operations.</p> <p>Specific controls are needed.</p>	<ul style="list-style-type: none"> <li>• Severe weather event</li> <li>• Personnel cutting corners in process</li> <li>• Contagious illness</li> <li>• Negligent weapon discharges during training</li> <li>• Slips, trips and falls during organised PT</li> <li>• Grass fire caused by tracer rounds</li> </ul>
<b>Likely</b>	<p>Has occurred several time before during sub unit or unit training.</p> <p>It will occur without adequate and specific controls and good supervision.</p>	<ul style="list-style-type: none"> <li>• Damage to vehicles through wear and tear</li> <li>• Stress caused by Ops or training</li> <li>• Heat injury during warmer months</li> <li>• Adverse PR from soldier drug arrest</li> <li>• Exposure to tropical illness through mosquito bite</li> <li>• 'Move now' issued as the brew boils</li> </ul>
<b>Almost Certain</b>	<p>Occurs regularly during sub unit or unit training</p> <p>Standard and specific controls are always applied.</p>	<ul style="list-style-type: none"> <li>• Noise exposure during live fire weapon training</li> <li>• Cumulative fatigue during field training</li> <li>• Dust exposure during off road vehicle movement</li> </ul>

## IMPACT DESCRIPTORS

IMPACT CATEGORY	IMPACT LEVEL				
	Minor	Disruptive	Serious	Critical	Catastrophic
<b>Mission</b>	Mission achievement not jeopardised.	Ability to achieve mission reliant on re-allocation of resources or adjustment of timings	Failure to achieve non-critical aspects of mission	Failure to achieve some decisive events	Failure to achieve mission
<b>Personnel</b>	First Aid treatment on site. Exposures below relevant standards	Temporary injury requiring non-emergency treatment at a medical facility	Temporary disability <30 days; Emergency treatment; Admission to hospital	Temporary disability > 30 days; Injury or illness is compensable	Death or permanent disability
<b>Resources</b>	Loss/damage of equipment/facilities that can be resolved through unit action. Loss of \$50K or 0.5% of operating budget	Loss/damage of equipment/facilities that disrupts unit level training. Loss of \$50K - \$250K or 1% of operating budget	Loss/damage of equipment/facilities requiring amendments to Fm or higher training regimes. Loss of \$250K - \$3M or 2% of operating budget	Loss/damage of equipment/facilities that prevents the attainment of CAPD. Loss of \$3M - \$10M or 2-5% of operating budget.	Loss of equipment/facilities that impacts on sustainability of operations. Loss of \$10M or >6% of operating budget
<b>Reputation</b>	Local/unit specific damage with isolated reports in local media only	Regional level damage with isolated reports in regional and local media requiring local COMD involvement	Short-term damage to Army reputation. Reports in national media requiring Army PR involvement.	Medium term damage to Army/Defence reputation Reports in a range of media over time requiring CA involvement	Long-term damage to Army/Defence reputation. Major and sustained media exposure requiring CDF/Minister involvement
<b>Environment</b>	Little or no property damage. Damage can be repaired naturally within 1 month	Some damage requiring 1-6 months to be repaired through natural action and remediation at a cost of \$50K-\$250K	Significant damage requiring 6-12 months to be repaired through natural action and remediation at a cost of \$250k - \$3M	Extensive damage requiring 12 months – 2 yrs to be repaired through natural action and remediation at a cost of \$3M - \$10M	Irreparable damage requiring more than 2yrs to be repaired through natural action and remediation at a cost of >\$10M

**Risk Level Matrix**

LIKELIHOOD	IMPACT				
	Catastrophic	Critical	Serious	Disruptive	Minor
Almost Certain	1 – Extreme	2 - Extreme	5 – High	9 – Substantial	16 - Medium
Likely	3 - High	4 - High	8 – Substantial	14 – Medium	21 – Low
Occasional	6 - Substantial	7 – Substantial	12 – Medium	15 - Medium	23 – Low
Rare	10 – Medium	11 – Medium	13 - Medium	20 - Low	24 – Low
Highly Improbable	17 – Low	18 – Low	19 – Low	22 – Low	25 - Low

**Risk Tolerance Thresholds (Non-operational Activities)**

<b>Risk Index</b>	<b>Level</b>	<b>Endorsing Authority</b>	<b>Tolerance</b>
<b>1-2</b>	<b>Extreme</b>	<b>CA/CDF</b>	<b>Intolerable</b> – Exposure to threats would normally be immediately discontinued except with extreme circumstances. The decision to tolerate residual risk at this level must be made by the CA or CDF after being subjected to as much risk management rigor as practicable.
<b>3-5</b>	<b>High</b>	<b>Formation/ Functional Commander</b>	<b>Intolerable without treatment</b> – Exposure to the threat should be discontinued as soon as reasonable practicable. The decision to tolerate residual risk at this level must be made by the Formation/Functional Commander. Risk controls must be applied as part of a documented risk management plan (eg: orders instructions/directives with MAP notes/Risk Appreciation Summary) that is continuously monitored and reviewed.
<b>6-9</b>	<b>Substantial</b>	<b>CO/ Independent OC</b>	<b>Tolerable with Continual Review</b> – Unnecessary exposure to the threat must be discontinued as soon as is reasonably practicable and continued exposure would only be considered in exceptional circumstances. The decision to tolerate the residual risk at this level must be made by the CO (or independent OC) after consideration of cost vs benefit. Risk controls must be applied as part of a documented risk management plan (eg: orders/instructions/directive with MAP notes/Risk Appreciation Summary) that is continuously monitored and reviewed.
<b>10-16</b>	<b>Medium</b>	<b>OC</b>	<b>Tolerable with Periodic Review</b> – Exposure to the threat may continue provided it has been appropriately assessed, has been mitigated to As Low As Reasonably Practicable (ALARP), and is subject to periodic review to ensure the risk does not increase. Long term measures to reduce the risk are appropriate (changes in SOP, doctrine, etc). The decision to tolerate residual risk at this level must be made by the OC and the rationale must be documented (written order will suffice).
<b>17-25</b>	<b>Low</b>	<b>Sect/PI Commander</b>	<b>Acceptable with Periodic Review</b> – Exposure to the threat is acceptable for Sect/PI Comds without additional risk controls but is subject to periodic review to ensure the risk does not increase. ALARP guidance defaults to <b>17-Low</b> for Sect/PI Comds unless otherwise stipulated by a higher commander and the rationale must be documented (written order will suffice).