



## **Northern Sydney and Beaches Hockey Association**

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# **Risk Management Plan**

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			By	Check	Approved
A	DRAFT	28/11/2016	DJ		
B	FINAL	23/5/2017	DJ	Committee	Committee



## 1 Risk Management

This document sets out the risk assessment, proposed mitigations and management strategy as undertaken for NSBHA by its Executive Committee.

The process and methodology applied to risk management by NSBHA is based upon the recommended practices of the ISO 31002 standard and as applied by parent body Hockey NSW.

Actions from the Risk Management process are incorporated into the NSBHA Business Plan priorities and NSBHA processes / policies.

## 2 Risk Status Overview

The table below highlights those risks assessed to be of HIGH or MEDIUM materiality.

In some risk areas mitigation actions are currently of limited effectiveness only in reducing the potential risks to the Association and its objectives. This reflects the limits of NSBHA's ability to control or influence some of the key risk determinants.

Risk Item	Assessed Potential Risk	Current Risk Status
Inadequate funding available to progress potential hockey projects	HIGH	HIGH
Insufficient or inappropriate quality of local facilities	HIGH	MED
Unable to secure the funding needed to renew or upgrade KHC	HIGH	MED
Unsatisfactory Workplace Health & Safety management and compliance	MED	MED
Emergency due to accident or disaster	MED	MED
Breach or alleged breach of child protection regulations	MED	MED
Unable to secure enough or appropriate volunteer resource	MED	MED
Unable to fill Executive Committee roles with sufficient candidates or expertise	MED	MED
High cost of participation in hockey	MED	MED
Reps: High cost of participation	MED	MED

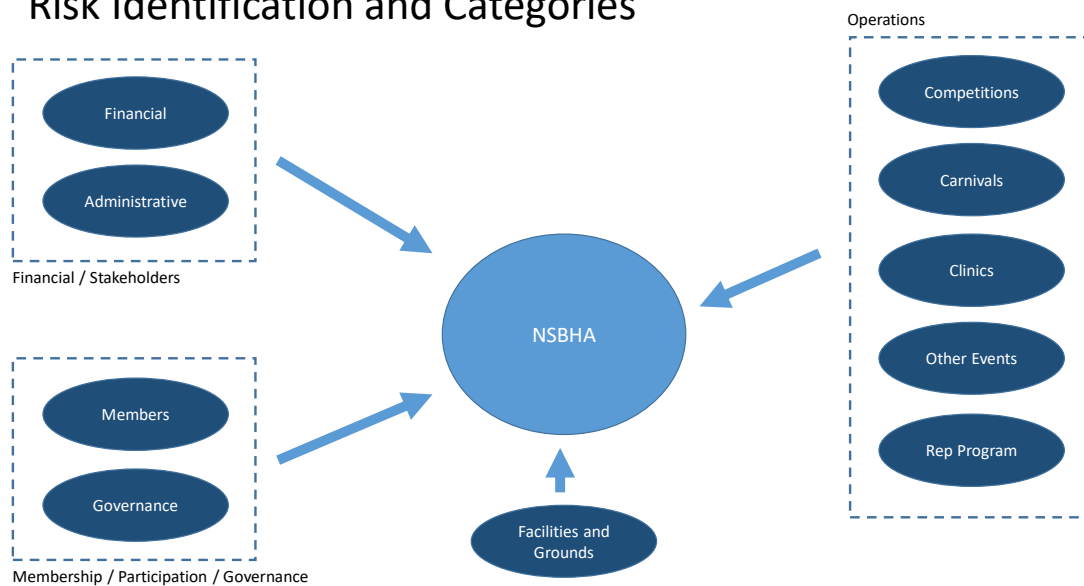


Reps: Unable to attract enough or adequate rep program staff (team coaches typically key)	<b>MED</b>	<b>MED</b>
Financial viability of NSBHA	<b>MED</b>	<b>LOW</b>
Poor investment of NSBHA member funds	<b>MED</b>	<b>LOW</b>
Improper use or controls of NSBHA member funds	<b>MED</b>	<b>LOW</b>
Adverse weather	<b>MED</b>	<b>LOW</b>
Abuse of drugs or alcohol	<b>MED</b>	<b>LOW</b>
Reps: Poor quality experience for players	<b>MED</b>	<b>LOW</b>

### 3 Risk Identification

Risks have been identified and categorized according to the following headings:

#### Risk Identification and Categories

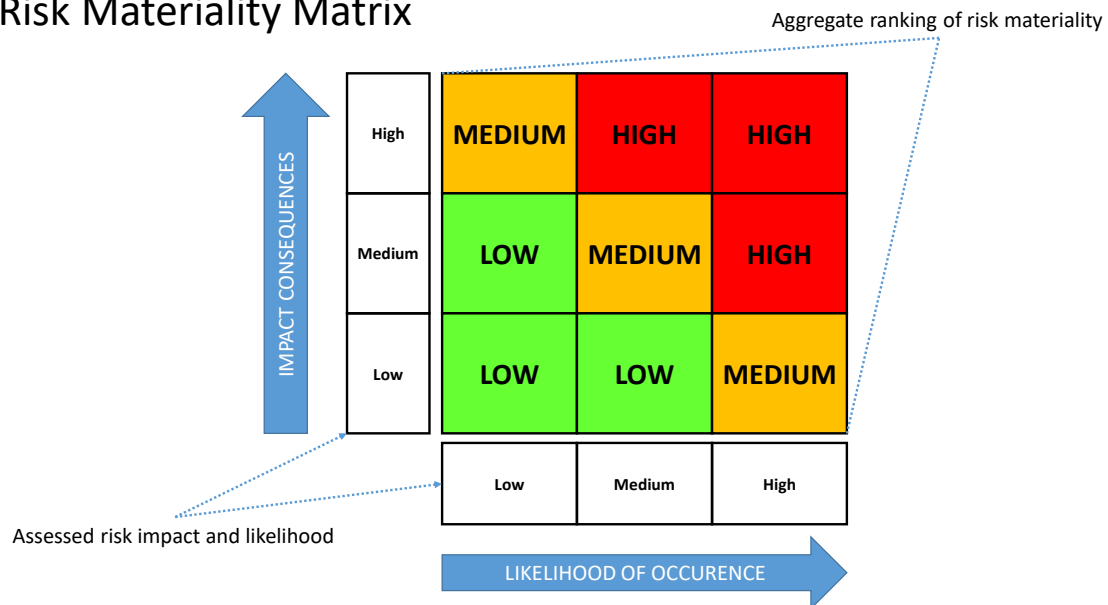


### 4 Risk Classifications

Risks have been assessed and classified according to their impact consequence and likelihood of occurrence.



## Risk Materiality Matrix



Likelihood and Consequence categories:

Likelihood of an Event	
<b>High</b>	The event will probably occur in most circumstances
<b>Medium</b>	The event may occur
<b>Low</b>	The event is unlikely to occur in most circumstances
Impact Consequences of an Event	
<b>High</b>	Threatens the organisation's viability or endangers participants
<b>Medium</b>	A significant impact on operations or places participant/s at undue risk
<b>Low</b>	Little or no impact on operations

Where the risks are assessed according the following risk impact quantifications:

Item	Low Impact	Medium Impact	High Impact
<b>Financial</b>	Loss: < \$100	Loss: \$100 - \$5,000	Loss: > \$5,000
<b>Membership</b>	Little or no impact (less than 5 individuals) on membership numbers or projected growth	Material loss (5-50 individuals) in membership numbers or impact on projected growth	Material loss (more than 50 individuals) in membership numbers or impact on projected growth



<b>Reputation</b>	Individual complaint	Concerns across significant sections of the NSBHA community	Widespread concerns extending beyond NSBHA
<b>Service Delivery</b>	Service quality impact rectified within 2 days	Service quality impact requiring up to a month of remediation effort	Lasting damage expected from compromise to service quality
<b>Environmental</b>	Minor impact and promptly addressed	Serious impact requiring concerted remediation, significant resources and/or risk of possible prosecution	Lasting damage to environment and extensive fines for breaches of duty
<b>Health &amp; Safety</b>	Minor injury/illness to individuals	Temporary disability to individuals and/or risk of possible prosecution	Serious injury, permanent disability or fatality and prosecutions for failures in duty of care



## 5 Risk Category: Finance and Stakeholders

NSBHA recognises that political and administrative requirements affect their operations or constituents, but acknowledged that much of what happens through the governing bodies is beyond Association control. NSBHA will maintain high standards of financial stewardship and will ensure that financial commitments do not exceed available resources.

Risk	Impact	Likelihood	Consequence	Overall Risk	Mitigation	Action	Status	Residual Risk After Mitigation
Policy decisions or mandates from Hockey NSW	Potential to: Increase administrative burden on volunteers. Increase costs of participation. Frustrate volunteer-base through ill-informed decisions.	LOW	MED	LOW	Stay close to Hockey NSW on key strategic considerations and matters of policy, in seeking to minimise risk of undue damage to our grass-roots constituents	Executive Committee active in ongoing dialogue with Hockey NSW to identify early matters of risk and seek to influence where possible.	Ongoing	LOW
Improper use or controls of NSBHA member funds	Potential for member funds to be misappropriated or committed improperly (beyond the scope of approved activities or priorities).	LOW	HIGH	MED	Plan and Budget as processes for authorised spend. Dual approvals on any payment transaction. Limits on number of approved signatories. Auditors introduced should NSBHA revenues/assets cross materiality thresholds	President ensures regular plan, budget and review cycles. Treasurer ensures ongoing plan, budget and transaction / contract oversight. Full transparency to members of plan, budget and actual performance via website & member meetings.	Established controls working well.	LOW



Poor investment of NSBHA member funds	Losses of cash assets	LOW	HIGH	MED	Conservative investment policy: Cash assets held in reputable banking institutions only. Maximum risk appetite in investing will be with higher interest yielding bank accounts.	Treasurer oversight to banking considerations and activity. Executive Committee authorisation required to commit investments.	Established controls and practices working well.	LOW
Financial viability of NSBHA	That commitments or liabilities exceed NSBHA member resources	LOW	HIGH	MED	NSBHA priorities continue to require an accumulation of cash reserves. Plan, budget and review processes.	Executive Committee oversight. Transparency on plan, budget and performance via website & member meetings.	Strong cash reserves. Ongoing budget surpluses.	LOW



## 6 RISK CATEGORY: MEMBERSHIP/PARTICIPATION/GOVERNANCE

NSBHA exists to serve its members in the interests of hockey. NSBHA will continue to foster an environment of exemplary behaviour and high standards of services delivery. NSBHA aims to promote the growth of hockey participation.

Risk	Impact	Likelihood	Consequence	Overall Risk	Mitigation	Action	Status	Residual Risk After Mitigation
<b>Individual Members</b>								
Falling membership	Reduced revenues leading to compromised capacity to accumulate funds for investing in hockey's growth.	MED	LOW	LOW	Actively engage on the question of "what to members most want" and focus NSBHA capacity to deliver with quality.	President and Executive Committee to ensure strong engagement and responsiveness.	Satisfactory progress so far	LOW
High cost of participation in hockey	Reduced interest in hockey.	MED	MED	MED	Lobby with Hockey NSW, competitions and clubs to minimise participation / membership costs.  Maintain modest NSBHA fees and in proportion to the agreed goal of accumulation cash reserves for hockey infrastructure.  Limited use of subsidies in rep hockey.	Executive Committee to remain vigilant in this key area.	Satisfactory progress within NSBHA.  Areas beyond NSBHA an ongoing challenge.	MED
Member dissatisfaction	Disquiet and potential damage to the reputation and integrity of NSBHA if left unresolved	LOW	LOW	LOW	Aim to deliver quality initiatives and services.  When complaints arise ensure early, full and genuine responsiveness.	President and Executive Committee to ensure strong engagement and responsiveness.	Satisfactory progress so far	LOW
<b>Clubs, Schools or Association (local competition operators) Members</b>								





Limited engagement with clubs, schools and associations	Opportunities to share resources and help each other, for the benefit of hockey and its participants, not fully utilised.	MED	LOW	LOW	Encourage diverse input and participation from clubs and schools in NSBHA governance, initiatives and development.	Executive Committee actively looking for opportunities to reach out in support of the wider hockey constituency.	Ongoing	LOW
Problems (hockey related) arising within clubs, schools or associations	Undermining the experience of individual hockey participants and at the risk they become turned-off hockey	LOW	LOW	LOW	Informal processes for monitoring the health and success of local clubs, school hockey programs and local competitions.  Skills and expertise of NSBHA are made available to members in the event of help needed.	Executive Committee to be available to assist or source appropriate resources in the event of a request for help.	Ongoing	LOW
<b>NSBHA Governance and Management</b>								
Too many initiatives or projects for available volunteer resources, or of a complexity unsuited to our volunteers' expertise	Potential risks to delivery of priority initiatives for membership	LOW	MED	LOW	Regular review of priorities and work program to balance loads and in fitting with organisation capacity.	Executive Committee to actively monitor and manage.	Ongoing	LOW
Unable to fill Executive Committee roles with sufficient candidates or expertise	Potential risks to effective governance and delivery of priority initiatives for membership	MED	MED	MED	Direct approaches to member organisations and individuals in search of suitable new volunteer resources.	Executive Committee to actively monitor and manage.	Ongoing	MED



## 7 RISK CATEGORY: OPERATIONS (REPS / CLINICS / COMPETITIONS / CARNIVALS)

NSBHA seeks to provide high quality activities and events for the enjoyment of members and the wider hockey community.

Risk	Impact	Likelihood	Consequence	Overall Risk	Mitigation	Action	Status	Residual Risk After Mitigation
<b>General</b>								
Unable to secure enough or appropriate volunteer resource	Ambition to host or provide initiatives must be trimmed, else workload falls to the same core few (risk of overload increased).	MED	MED	MED	Volunteer Plan for the recruitment, reward and retention of volunteers.  Includes direct approaches through clubs, schools and personal contacts to encourage suitable stakeholders to help.	Executive Committee accountable for resourcing.	An ongoing challenge	MED
Poor participation interest	Potential risks to financial viability.  Potential poor return on use of volunteer resources.	LOW	MED	LOW	Early and effective communications to secure minimum interest prior to committing.  Lock-in interest and continue to advertise for additional participation.	Activity owner to address, oversight from Executive Committee	Ongoing	LOW
Events not meeting financial targets	Potential drain on NSBHA member reserves	LOW	MED	LOW	Strong planning, preparations and governance.	Activity owner to address, oversight from Executive Committee	Ongoing	LOW
Member protection complaint or reported incident	Potential for legal action against individuals and the Association.	LOW	MED	LOW	Adopt and manage compliance with HNSW Member Protection Policy and Codes of Conduct (Player, Parent, Coaches, Other Staff).	Activity owner to ensure delivery to policy and standards.  Relevant Executive Committee member to	Ongoing	LOW



					<p>Activity owner to ensure pool of volunteers in any activity includes at least one designated leader trained in managing operational risks and child protection practices (eg. via coaching accreditation).</p> <p>Review potential use of insurances should activities or asset ownership (facilities) introduce exposures that breach a material risk threshold.</p>	<p>apply oversight and regular review.</p>		
Inconsistent quality and training of umpires / coaches	Mixed standard of delivery and services	LOW	MED	LOW	<p>Promote training and accreditation of volunteer staff.</p> <p>Maintain open and inclusive processes to mentor, train and accredit coaches / umpires.</p>	<p>Executive Committee members to work with clubs support local development initiatives and encourage open accesses.</p>	Ongoing	LOW
Unsatisfactory Workplace Health & Safety management and compliance	<p>Increased risk of illness or injury of member or volunteer staff in the course of activities with NSBHA.</p> <p>Potential legal exposures if negligent.</p>	LOW	HIGH	MED	<p>Activity owner to ensure pool of volunteers in any activity includes at least one designated leader trained in managing operational risks and member protection practices (eg. via coaching accreditation).</p> <p>Accident &amp; public liability insurance cover via Hockey NSW.</p>	<p>Activity owner to ensure delivery to policy and standards.</p> <p>Relevant Executive Committee member to apply oversight and regular review.</p>	Ongoing	MED



Emergency due to accident or disaster	Injuries to people and/or damage to assets.	LOW	HIGH	MED	Risk mitigation planning for any NSBHA event inclusive of emergency response provisions.  Trained and accountable leaders in place at all key events or activities.  Accident & public liability insurance cover via Hockey NSW.	Activity owner to ensure risk mitigation planning and management.  Executive Committee to ensure appropriate risk management planning and management standards are applied within NSBHA, and must approve plans for all key events or activities.	Standards and processes work in progress only	MED
Breach or alleged breach of child protection regulations	Material distress or harm to child.  Potential legal exposures for any perpetrator/s.  Potential legal exposures to NSBHA if negligent.  Damage to reputation and integrity of NSBHA.	LOW	HIGH	MED	Manage compliance with NSW Working With Children requirements.  Due diligence via informal checks on the reputation of volunteer staff.	Executive Committee to ensure compliance and prudent child protection practices are observed in NSBHA activities.  Promote training and accreditation to maximise the coverage of coaching staff (in particular).	Satisfactory progress so far	MED
Inappropriate communication via NSBHA auspices (email, website, social media)	Potential distress to individuals and/or damage to NSBHA reputation.  Potential legal exposures.	LOW	MED	LOW	Controlled accesses to NSBHA email accounts and website.  Social media monitored.	Executive Committee to monitor.	Ongoing	LOW
Breach of privacy in member personal information	Distress to member/s.  Potential legal exposures.	LOW	MED	LOW	Member personal information only retained within approved Hockey NSW system.  Accesses to database controlled through designated custodian/s only.	Executive Committee to monitor.	Ongoing	LOW



Adverse weather	Potential risk of injury or even death.	LOW	HIGH	MED	Adopt Hockey NSW policies in respect of lightning or other potentially dangerous weather events.	Activity owners to ensure compliance with policy. Executive Committee to provide compliance oversight.	Ongoing	LOW
Abuse of drugs or alcohol	Potential compliance breach with anti-doping standards in sport.  Potential harm to health.  Potential reputation risks to NSBHA.	LOW	HIGH	MED	Adopt Hockey NSW policies in respect of drugs and alcohol.  Seek expert medical advice in the event of a issue.	Key volunteer staff (particularly coaches) asked to remain vigilant and responsive to any undue symptoms or behaviours.	Ongoing	LOW
<b>NSBHA Representative Hockey</b>								
Unfair selection processes or policies	Dissatisfaction amongst the membership	MED	MED	MED	Open trial processes. At least one "independent" selector.  Established policies subject to regular review.	Rep Convenor to ensure trial processes meet requirements as per policy.  Rep Committee review of policies every 2 years.		LOW
High cost of participation	The opportunities of representative hockey move out of financial reach for some constituents.  Concerns arising whether programs offer value for money.	MED	MED	MED	Participation at cost. Forecasting of cost and expectations stated up-front. Manage probity at team and aggregate levels.  Options may exist to apply a subsidy, to reduce costs, where drawn from profits of NSBHA activities (eg. competitions, clinics, carnivals).  Regular review of Rep program for both value and cost efficiency.	Rep Convenor to ensure due process in costing and communications.  Executive Committee to consider requests for subsidy support.	Mature process, currently working well	MED



Poor quality experience for players		LOW	HIGH	MED	Processes to manage the quality of volunteer staff. Use of experienced and accredited coaches where at all possible. NSBHA provides standard guidelines of expectations and accountabilities to key volunteer staff. Processes to monitor activities and gather / review feedback.	Rep Convenor to ensure ongoing oversight.	Highly positive reports	LOW
Unable to attract enough or adequate rep program staff (team coaches typically key)	Forced to reduce scope of typical rep team activity or even withdraw teams from key events.	MED	MED	MED	Direct approached made to entice suitable resources. Standard \$250 offered as a cost offset to the primary contributors (coaching personnel).	Rep Convenor to work via the Rep Committee's network into clubs and schools in search of suitable staff.	An ongoing challenge	MED



## 8 RISK CATEGORY: FACILITIES AND GROUNDS

NSBHA will work with and on behalf of, both members and the wider hockey community, to improve the quality and availability of local facilities suitable to hosting grass-roots and higher level hockey competitions / development activity.

Risk	Impact	Likelihood	Consequence	Overall Risk	Mitigation	Action	Status	Residual Risk After Mitigation
Insufficient or inappropriate quality of local facilities	Inherent local growth potential placed out of reach.  Risks to retention if our local constituents must travel unduly for an involvement in hockey.	HIGH	MED	HIGH	Fight hard to maintain existing facilities or field accesses.  Extend laterally to encourage use of non-hockey venues eg. futsal courts  Work to create potential project options for new or upgraded infrastructure suitable for hockey.	Direct NSBHA involvement in KHC management committee seeking to save that facility.  Facilities Convenor (or default proxies) active working with local Councils and other stakeholders on the case for hockey infrastructure.  Facilities Convenor (or default proxies) active via Hockey NSW, local Councils and parliamentarians in pressing for funding to advance local hockey projects.	Ongoing	MED
Inadequate funding available to progress potential hockey projects		HIGH	HIGH	HIGH	Seek grant funding via all available pathways.  Accumulate NSBHA cash reserves in hoping to support initiatives for improved hockey infrastructure.	Grant applications.  Retain NSBHA membership fees to build cash reserves.	No success so far.  Ongoing	HIGH



					Develop pathways to other potential funding sources eg. reserves of legacy associations (NSWHA, WHA), local hockey benefactors and commercial partners.	Future of NSWHA reserves pending their deliberations. Other routes to be canvased once clear project opportunity confirmed.	Ongoing	
Unable to secure the funding needed to renew or upgrade KHC	Ongoing chronic decline of utilisation, with break-even shifting to operating losses. Only artificial surface field in NSBHA area in jeopardy.	MED	HIGH	HIGH	Direct NSBHA involvement in KHC management committee seeking to save that facility.  Partnership (Ed Dept, Council & hockey) emerging for a major upgrade at KHC. Some grant support for hockey will be critical to success.	Action plan with KHC management committee to address operations concerns (costs / utilisation).  Facilities Convenor (or proxies) seeking to assemble a package of necessary hockey funding contribution (\$1-2M).	Ongoing  Ongoing,  No confirmed grants yet.	MED
Loss of existing playing facilities and facilities (under the constant pressure of competing interests from other sports or recreational users)	Local hockey options are further reduced. Expect serious impacts to local hockey participation (and with it NSBHA membership numbers)	LOW	HIGH	MED	Maintain vigilance with Councils and other stakeholders to retain the foothold for hockey.	NSBHA available and active to support local discussions and engagements in making the case for local hockey.	Ongoing	LOW