

# RISK MANAGEMENT PLAN

An ENSW Affiliated Club

## Club Details

|  |  |
| --- | --- |
| Club Name: | (Henceforth known as ‘The/ Our Club’) |
| Date Completed: |  |
| Next Review Date: | 12 months after completion |
| Disciplines Offered: |  |
| Members (No.): |  |
| Event location: |  |

As an Equestrian NSW affiliated club, we comply with the Equestrian NSW Risk Management Policy which states that all risks shall be managed to be as low as reasonably practical. Specifically the Club Committee will:

* Collect relevant incident data and analyses, identify potential perils, factors and types of risks to which our club, its assets, activities and interests are exposed and detail these in a risk register showing a potential risk rating and what measures are in place, or planned, to address each identified risk.
* Allocate sufficient human and financial resources to ensure compliance with its risk management obligations.
* Clear assignment, understanding and acceptance of accountabilities for key personnel involved in risk management.
* Maintain insurance through renewal of Equestrian NSW affiliation annually.
* Where a harmful or damaging incident occurs, report the incident in accordance with the Equestrian Australia incident reporting requirements and investigate the incident to determine its root causes and identify opportunities for improvement to prevent a re-occurrence.

## RISK CATEGORIES

The broad categories of risk to our club can be summarised as:

|  |  |
| --- | --- |
| Risk Category | Description |
| Club Governance | The systems and structures by which a club is directed and controlled |
| Financial Management | Processes and practices for effective management of club funds. |
| Event Management | Risk assessment and risk management of events |
| People | Planning for and caring for the people within our club including members, officials, volunteers, and children |
| Horse Welfare | Ensuring the safety and welfare of our equestrian partners |

## PLAN CONTEXT

This plan was developed with reference to:

* ISO 31000:2018 – Risk Management Principles and Guidelines
* HB246:2010 – Guidelines for Managing Risk in Sport and Recreationl Organisations
* The Sport Australia Risk Management Process

Both standards contain the following process.



## RISK EVENT HISTORY

In the last 10 years the following adverse events have occurred within our club:

|  |  |
| --- | --- |
| **Risk Category** | **Risk Event History** |
| Club Governance |  |
| Financial Management |  |
| Event Management |  |
| People |  |
| Horse Welfare |  |

## RISK MATRIX

The following likelihood/impact and scale/definitions were adopted from the model recommended by Sport Australia.

### Table 1– Likelihood Scale

|  |  |
| --- | --- |
| **Rating** | **LIKELIHOOD:** The potential for problems to occur |
| **5** | **ALMOST CERTAIN:** will probably occur, could occur several times per year |
| **4** | **LIKELY**: high probability, likely to arise once per year |
| **3** | **POSSIBLE**: reasonable likelihood that it may arise over a five-year period |
| **2** | **UNLIKELY**: plausible, could occur over a five to ten year period |
| **1** | **RARE**: very unlikely but not impossible, unlikely over a ten year period |

### Table 2 – Risk Matrix

|  |  |
| --- | --- |
|  | **Likelihood** |
| **Impact** | Rare (1) | Unlikely (2) | Possible (3) | Likely (4) | Almost Certain (5) |
| Negligible (1) | L | L | L | M | M |
| Minor (2) | L | L | M | M | M |
| Moderate (3) | L | M | M | H | H |
| Major (4) | M | M | H | H | E |
| Catastrophic (5) | M | M | H | E | E |

### Table 3- Risk Management Requirements

|  |  |  |
| --- | --- | --- |
| **Ranking** | **Code** | **Comment** |
| Low |  | Observation |
| Medium |  | Must have measures in place |
| High |  | Must have an assurance program to ensure measures are in place and effective. |
| Extreme |  | Shall not be tolerated |

This Risk Management Plan does not detail Low Risks, so that efforts are prioritised to managing Medium, High and Extreme risks.

|  |
| --- |
| **CLUB RISK MANAGEMENT PLAN** **RISK CATEGORY – HORSE AND RIDER WELFARE** |
| Context – Our Club stage several competitions annually on our home ground, so has a duty of care to protect all stakeholders.  |
| **IMPACT/CONSEQUENCE**

|  |  |  |
| --- | --- | --- |
|  | **Rider & Spectator** | **Horse** |
| 5 | Death of rider or spectator | Increasing Multiple deaths |
| 4 | Permanent serious injury | Individual deaths |
| 3 | Serious injury requiring hospitalisation | Career ending injuries |
| 2 | Medical treatment injury on site | Serious injury requiring hospitalisation |
| 1 | Minor injury requiring first aid | Veterinary treatment on site |

 |
| **Risk Event** | **How it can occur** | **Mitigation & Risk Controls** | **Responsibility** | **Likelihood** | **Impact** |  **Risk Ranking** |
| Athlete, spectator, official or Horse injured | * Collision with an obstacle
* Collision with a vehicle
* Slip on the flat or rough terrain
* Horse misbehaving or gets a fright
* Horse and rider fall
* Horse gets loose
* Horse injured in stables
* Traffic accident
* Pedestrian/ horse collision
 | 1. Risk assessment conducted for events and an event risk management plan completed, implemented, and reviewed after each event.
2. Agreement in place and implemented with owner/ leasor of grounds regarding standard of maintenance of surfaces, roads and traffic controls
 | 1. Organising Committee
2. Organising Committee and facility owner
 | 5 | 3 | H |
| Significantly increased costs to comply with EA requirements | * EA increases requirements for medical coverage and/or official attendance
 | 1. Monitor cost increases and review in line with event budget and entry fees
 | 1. Organising Committee
 | 4 | 3 | M |

|  |
| --- |
| **CLUB RISK MANAGEMENT PLAN****RISK CATEGORY – PEOPLE** |
| **Context –**Australian sporting organisations have legal obligations under Australian law with regard to harassment, discrimination and child protection. We also have moral obligations in relation to establishing standards of appropriate member behaviour and to provide a safe, respectful and appropriate sporting environment for equestrian activities to occur. |
| **IMPACT/CONSEQUENCE**

|  |  |
| --- | --- |
| 5 | Club becomes unviable and winds up |
| 4 | Significant decrease in member numbers |
| 3 | Members leave |
| 2 | Members don’t renew |
| 1 | Member dis-satisfaction |

 |
| **Risk Event** | **How it can occur** | **Mitigation & Risk Controls** | **Responsibility** | **Likelihood** | **Impact** |  **Risk Ranking** |
| Child abuse | Unwelcome contact | 1. All members must comply with Equestrian Australia’s Member Protection Policy and Disciplinary ByLaws (available on the Equestrian Australia web site under About EA).
2. All stakeholders will be made aware of their obligations and the process to report child abuse to the CEO of Equestrian NSW who will refer the matter to the Police.
 | 1. Organising Committee
2. Organising Committee
 | 2 | 3 | M |
| Inappropriate Images of Children | Professional photographers on site. | 1. All professional photographers must have Working With Children accreditation.
 | 1. Organising Committee
 | 2 | 3 | M |
| Abuse of Officials, other Competitors and Spectators in person or on-line | * Pressure of competition
* Non-response for repeat offenders
* Unwelcome posts on Facebook,Twitter etc
 | 1. All members of Equestrian NSW must comply with Equestrian Australia’s Member Protection Policy and Disciplinary ByLaws.
2. All matters will be dealt with by the Discipline Councils or Equestrian NSW as appropriate.
3. Member code of conduct sign on and compliance a membership requirement.
 | 1. Judges, Technical Delegates and Stewards at competitions, otherwise the Organising Committee
2. Discipline Councils or CEO.
3. Organising Committee
 | 3 | 2 | M |
| Loss of Officials | * Aging Officials
* Riders not retiring and transitioning to Officials
* Overwork
* Poor recognition
 | 1. Targeted recruitment, training and retention plans
 | 1. Organising Committee & Discipline Councils
 | 3 | 3 | M |
| Loss of Volunteers | * Aging Volunteer base
* Overwork
* Poor recognition
 | 1. Targeted recruitment, training and retention plans
 | 1. Organising Committee
 | 3 | 3 | M |
| **CLUB RISK MANAGEMENT PLAN****RISK CATEGORY – BIOSECURITY** |
| **Context –** Management of Biosecurity Risks is important to ensure that the transfer of diseases (eg Equine Influenza, Equine Herpes, Hendra, Strangles) from horse to horse and horse-to-human is managed appropriately. All people who bring horses to competitions and clinics are expected to be aware of their biosecurity obligations, that they must take all reasonable steps to ensure their activities do not spread a pest, disease or contaminant. |
| **IMPACT/CONSEQUENCE**

|  |  |
| --- | --- |
| 5 | Major pandemic |
| 4 | Events cancelled |
| 3 | Widespread incidents |
| 2 | Multiple incidents |
| 1 | Isolated minor incident |

 |
| **Risk Event** | **How it can occur** | **Mitigation & Risk Controls** | **Responsibility** | **Likelihood** | **Impact** |  **Risk Ranking** |
| Horse/human contracts a serious illness | * Horse-to-horse contact
* Horse-to-human contact
 | 1. Biosecurity Plan developed for the club and communicated to competitors. Including:
* They have a biosecurity obligation to take all reasonable steps to ensure their activities do not spread a pest, disease or contaminant.
* The property identification code (PIC) of the horse’s origin and returning property must be included in entries.
* No horses or dogs with signs of illness are to be brought onto the grounds.
* Competitors are required to advise the event organisers immediately if a horse is sick, to stop all non-essential contact with the sick horse and not allow children to have close contact with the sick horse.
* Competitors are required to advise event organisers if horse becomes ill after an event.
* Competitors are responsible for cleaning up manure from yards and placing it in designated areas.
* Biosecurity management plan.
 | 1. Organising Committee
 | 2 | 4 | M |

|  |
| --- |
| **EQUESTRIAN NSW RISK MANAGEMENT PLAN – FY21****RISK CATEGORY – FINANCE, COMMERCIAL & GOVERNANCE** |
| **Context** – The Club is accountable to members and the relevant government agencies to comply with legislation and to continuously improve its finance, commercial and governance processes. |
| **IMPACT/CONSEQUENCE**

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Finance** | **Commercial** | **Governance** |
| 5 | Illegal activity leading to prosecution | Unable to attract sponsorship | Breakdown causing dis-association |
| 4 | Insolvency | Material reputational damage | Serial breaches |
| 3 | Member funds exhausted | Loss of partners | Processes not followed |
| 2 | Financial objectives not met | Breaching partner agreements | Processes not defined |
| 1 | Minor loss of control | Not meeting partner needs | Processes not clear |

 |
| **Risk Event** | **How it can occur** | **Mitigation & Risk Controls** | **Responsibility** | **Likelihood** | **Impact** |  **Risk Ranking** |
| Poor governance | * Out of date Constitution
* Non-compliance with the Constitution
 | 1. Member(s) of committee have completed the Sports Australia Director Training
2. Constitution, reviewed annually and communicated to all committee members.
3. Committee meetings held and decisions made in line with the constitution.
 | 1. Organising Committee
 | 2 | 3 | M |
| Fraud | * Collusion between staff
* Collusion with outside parties
 | 1. Documented finance procedures including dual approval of expenditure
2. Financial transactions documented and reported at committee meetings
3. Annual review of controls by the Club Committee
 | 1. Organising Committee
 | 2 | 4 | M |
| Un-budgeted Spending | * Loss of financial controls
* Committee overspends the budget
 | 1. Committee approved Budget
2. Monthly reporting to the Committee
3. Annual external, independent audit
 | 1. Organising Committee
 | 2 | 3 | M |