

## Risk Audit-Sport and Recreational Organisations

The following checklist may be used as a basis for identifying a broad range of risk sources within the organisation. This checklist must be adjusted to recognise the diversity of organisations, their playing environments, equipment and programs.

**Member Club:** ..... **Date:** ...../...../.....  
**Audited By:** ..... **Position:** .....

Place a tick or cross in the appropriate box to indicate compliance or non-compliance.

### Administration

	Yes	No	N/A
Is the organisation properly constituted?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the constitution appropriate and relevant to the organisation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are all members aware of the constitution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are members provided with a copy of the constitution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the constitution cover the following areas:			
▪ Objectives of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Powers of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Membership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Termination of membership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Affiliation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Management committee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Auditor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ General meetings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Voting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Finance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Common seal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Alterations to the constitution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Winding up of the organisation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation follow the requirements of the constitution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the organisation incorporated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation fulfil the requirements to maintain incorporation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are meeting procedures in accordance with the constitution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are suitable minutes recorded, approved and distributed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is inward correspondence recorded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is correspondence dealt with within prescribed time frames?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is outward correspondence monitored and approved as appropriate?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are club records maintained to an appropriate standard?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are club records stored in a secure place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is appropriate membership information collected and maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures in place to ensure security of membership information?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have effective channels of communication in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are liaison protocols established for important relationships?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the annual report circulated to all members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Finance

	Yes	No	N/A
Are all financial transactions accurately recorded?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Is an annual audit conducted of the organisations financial records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the audit conducted by an appropriate organisation/person?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is a financial report provided at each meeting?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is all expenditure authorised through an identified process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are suitable banking arrangements in place for the organisation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is all income banked within a prescribed time frame?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are multiple signatures required for withdrawals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are loan conditions met and repayments made on time?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the requirements stipulated for any grants being met?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have a financial plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation prepare budgets as required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is professional advice sought on financial matters?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Insurance

	Yes	No	N/A
Does the organisation have suitable insurance cover?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Was advice sought from an insurance broker?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the appropriate personnel aware of the organisations insurance with respect to:			
▪ Cover	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Limitations and exclusions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Responsibilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Claim procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is insurance reviewed on an annual basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Policy

	Yes	No	N/A
Does the club have any policies to guide its decision making?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are policies documented in an appropriate manner?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are policy documents easily accessible to all members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are policies clearly communicated to all members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are policies properly implemented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are policies supported by appropriate operating instructions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are policies periodically reviewed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are there clear policies in respect to:			
▪ Occupational Health and Safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Environment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Equal Employment Opportunity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Discrimination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Harassment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Drugs, Alcohol and Smoking	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Child Protection (Member Protection By-Law)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Planning

	Yes	No	N/A
Does the organisation have a clear documented strategic direction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are all members aware of and in agreement with the direction?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have a risk management plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are responsibilities clearly defined in all plans?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are adequate resources allocated to implement all plans?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Does the organisation have appropriate emergency response procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have appropriate critical incident management procedures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the plans periodically reviewed/audited?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Personnel Management**

	Yes	No	N/A
Are position descriptions available for all office bearers?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do position descriptions clearly detail responsibilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are suitable induction processes in place to ensure a smooth transition when office bearers change?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are suitable induction processes in place for all employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Has the organisation adopted appropriate Codes of Behaviour?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the following legislative requirements met for paid employees:			
▪ Workers Compensation Insurance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Superannuation requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Taxation requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Award requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Workplace Health and Safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Rehabilitation requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are reporting mechanisms and levels of authority clearly defined for employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a clear procedure to handle disputes/complaints within the organisation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a procedure for handling complaints from outside the organisation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Education, Training and Accreditation**

	Yes	No	N/A
Are all office bearers suitably skilled or qualified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do all coaches have accreditation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do all coaches maintain their accreditation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are opportunities for training and education sought?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are suitable records kept for personnel indicating training and qualifications?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do activity leaders have appropriate experience, training or accreditation?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation have an induction process for new members?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Contracts**

	Yes	No	N/A
Does the organisation have:			
▪ Leases	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Sponsorship	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Player agreements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Employment Contracts	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Tickets	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Anyone paid a fee for service	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation fulfil the terms of the above contracts?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are all contracts subject to an appropriate review before renewal?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Hazard Identification and Control**

	Yes	No	N/A
Are appropriate risk/safety inspections made of:			

▪ Buildings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Grounds/Facilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Equipment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are the inspections conducted on a regular or pre-determined basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a procedure documented for such inspections?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a checklist to assist with inspections?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are results of inspections recorded and filed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are inspections conducted by suitably qualified or experienced personnel?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are defects identified by inspections addressed promptly?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are suitable procedures in place to address known hazards?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are appropriate risk assessments conducted of all programmes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is risk assessment an integral part of programme management?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are risk assessments documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a clear procedure for reporting accidents/incidents?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is there a clear procedure for hazard reporting?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Legislation and Industry Standards

	Yes	No	N/A
Is the organisation involved in:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Fundraising through raffles, gaming machines, etc?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ The operation of a canteen or food stalls?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ The operation of a bar on a permanent or casual basis?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ The employment of anyone including coaches, umpires, scorers, administrators, etc?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ The operation and maintenance of a clubhouse or facilities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ The selling of products, services or merchandise?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ Sponsorship arrangements between businesses and your organisations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
▪ The organising of events in public places?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the organisations management/committee aware of the legislation or local government By-Laws that may apply to each of the above?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation comply with these requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is the organisation aware of industry standards which may apply to its operations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation comply with these requirements?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does the organisation ensure that the recommended rules of play and protocols are followed?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is professional legal advice sought when required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do committee members/managers and general members understand the extent of their "Duty of Care"?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Event Management

	Yes	No	N/A
Is risk management considered when planning an event?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are all significant risks/hazards identified?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are reasonable steps taken to reduce risks to acceptable levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are risk management strategies documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is an appropriate standard of care applied to participants?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are participants notified of the risks, and the level of preparation/skill required?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are procedures developed to respond to foreseeable emergencies?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are appropriate permits sought to hold the event?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are participants required to complete and sign a suitable disclaimer?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 
- |                                                                    |                          |                          |                          |
|--------------------------------------------------------------------|--------------------------|--------------------------|--------------------------|
| Are organisational responsibilities clearly defined and allocated? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Are clear time lines determined for each aspect of organisation?   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Is appropriate insurance cover purchased for major risks?          | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Are insurance covers reviewed to ensure they are adequate?         | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Is a plan prepared for media response/relations?                   | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Is a detailed budget prepared?                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

**If you answered “YES” to all the above, your organisation has the characteristics indicating good risk management practices. If you answered “NO” it may indicate a risk that requires assessment.**

**This checklist is only indicative and other sources of risk may need to be assessed in a facilitated risk management workshop.**

**All non-compliance issues should be registered on a Hazard Reporting and Corrective Actions form and processed in accordance with the relevant guidelines.**

**Audited By:** .....

**Signature:** .....

**Position:** .....