



Handball Australia RISK MANAGEMENT POLICY

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Handball Australia's CEO and Governance Committee are responsible for this document.	



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Handball Australia Risk Management Policy

Handball Australia's vision is to ensure an inclusive, safe and positive participation experience for all members.

Handball Australia acknowledges that risks are inherent in [all/most/some] aspects of [sport]. Handball Australia also acknowledges that it faces a variety of other risks related to the pursuit and delivery of its strategy and day-to-day operations. For these reasons, Handball Australia understands the importance of a structured and systematised approach to the identification and management of risks.

Handball Australia is committed to managing and minimising risk by identifying, analysing, evaluating and treating risks to ensure Handball Australia has the best prospects for achieving its strategic objectives and maintaining effective and efficient operations for the benefit of its [members, participants, fans and the broader community].

Handball Australia will regularly monitor, review and report on the effectiveness of its approach to risk management and aims to develop and maintain a risk aware culture. It will do this by adhering to the principles reflected in *ISO 31000:2018 Risk Management – Guidelines* as follows:

- Risk management activities are integral to Handball Australia and will be **integrated** across all Handball Australia areas and activities;
- Handball Australia will ensure a **structured and comprehensive** approach to risk management;
- Handball Australia's approach to risk management will be **customised** and appropriate for the nature and scale of our organisation and the risks it faces;
- Handball Australia will be **inclusive** of relevant stakeholders to improve risk awareness and better inform its risk management efforts;
- Handball Australia will be **dynamic** in anticipating, detecting, acknowledging and responding to changing circumstances, events and the risk landscape;
- Handball Australia's risk management efforts shall utilise the **best available information** and inputs, spanning historical, current and predictive information from all relevant and available stakeholders;
- Handball Australia acknowledges that **human and cultural factors** influence all aspects of risk management and will promote a risk aware culture; and
- Handball Australia will strive for **continuous improvement** in its risk management performance.

Handball Australia directors, officers and executives recognise and acknowledge their responsibilities for effective risk management. These include providing leadership and direction, allocating appropriate resources, monitoring and responding to information as it becomes available and encouraging a culture where speaking up and raising concerns is encouraged.



Bronwyn Thompson
Secretary-General/CEO
24 April 2024

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Purpose and Context

Overview

As the National Sports Organisation for Handball, the Australian Handball Federation Limited (Handball Australia-HA) and its member States, embrace risk management. It plays a key role in the organisation's ability to meet its objectives and deliver services to its members, stakeholders and the community.

Definitions

Risk is defined in the ISO 31000:2018 standard as *"the effect of uncertainty on objectives"* and risk management is the *"coordinated activities to direct and control an organization with regard to risk"*.

Policy Statement and Objectives

Handball Australia is committed to using risk management as a tool to manage and prioritise risks for further attention. The aim is to increase the likelihood and impact of positive events and to moderate the likelihood and impact of negative events.

Handball Australia adopts a structured and disciplined approach to risk management, applying best practice in risk management and implementing a national risk management program aligned to *"AS/NZS ISO 31000:2018 Risk Management Guidelines"* and *"Standards Australia HB 266:2010 Guide for managing risk in not-for-profit organisations"*.

Approach

The risk management publication *"Risk Management for Not-For-Profit Organisations"* published on the NSW Communities website (current as of 25 August 2023) is a resource for volunteering in NSW. This document should be read and used in tandem with this policy to guide the risk management process, including the identification, evaluation/analysis, prioritisation, treatment and monitoring of risks.

Benefits of Risk Management

Some benefits of effective risk management are that it:

1. improves the quality of decision-making (appropriate, fast, accurate, and effective)
2. enables effective execution of decisions (improved confidence, known quantity)
3. when embedded within an organisation’s day-to-day operations, is part of ‘business as usual’ rather than an additional task or burden
4. when integrated with business strategy, ensures that strategic decisions are informed and based on up-to-date information and sound judgment
5. improves planning processes by enabling the key focus to remain on core activities, and helps ensure continuity of service delivery
6. reduces the likelihood of potentially costly ‘surprises’
7. prepares for challenging events and improves overall resilience
8. prioritises budgeted resources
9. optimises performance through efficiencies in service delivery, major change and quality assurance initiatives
10. contributes to the development of a positive organisational culture of improved governance, as well as helps establish clear purpose, roles and accountabilities for all staff
11. improves stakeholder relationships and stakeholders’ confidence in the organisation through enhanced accountability and reporting processes.

Risk Management Responsibilities

<p>HA Board (as overarching NSO) – Governance</p>	<p>Coordination of the Risk Management Policy and for ensuring appropriate key personnel within the organisation are kept up to date with developments, and that each affiliate State body understands it is responsible for its own risk management processes.</p> <p>The Executive monitors and reviews the risk management program. The President is accountable to the Executive and nominated officer will facilitate the development of a common risk management approach across the organisation by sharing information with broad applicability across all areas; and reporting on the progress of the risk management program.</p> <p>All personnel within the are responsible for identifying and managing risks in their own areas of responsibility.</p>
<p>Member States compliance</p>	<p>Member States/Territories are responsible for ensuring they meet national and their state compliance requirements and are responsible for incorporating and applying the risk management policy and processes and communicating that with local clubs and members.</p> <p>As Chair of the Executive, the President or the State’s nominated officer is responsible for their State’s Risk Management and for communication of relevant risk information to the HA Board.</p>
<p>Members/ individuals</p>	<p>Sound risk identification, communication and management of risk throughout local competitions and activities. Use of correct and safe facilities and equipment. Escalation of identified risk where it cannot be managed by the individual.</p>
<p>Risk Treatment Plan Owner</p>	<p>Responsible for development, implementation, monitoring and review of the risk plan to treat a risk with adequate controls.</p>
<p>All persons involved in risk management within Handball Australia and its Member States must comply with this policy.</p>	

Communication and Consultation

Risk management is to be an integral component of development and operation and is to be discussed regularly. Risk is to be an agenda item for all meetings.

Significant stakeholders must be consulted and communicated with to better understand the risk context within the organisation and the impact of those risks and their treatments.

Regular Review

Risks, risk context, and register must be reviewed whenever significant changes occur, seasonally or prior to key events for our service provision arm for players and competitions.

The review must be undertaken at least annually and must consider:

- changes in the risk context (including new or changed compliance requirements)
- currency of the assessed risk level
- effectiveness of controls and treatments (including addition of any new controls/treatments).

This review is to be reflected in updates to the risk register, which is a summary of the risks, context, controls and treatments of identified risks. The risk register is a tool for improving the management of risk.

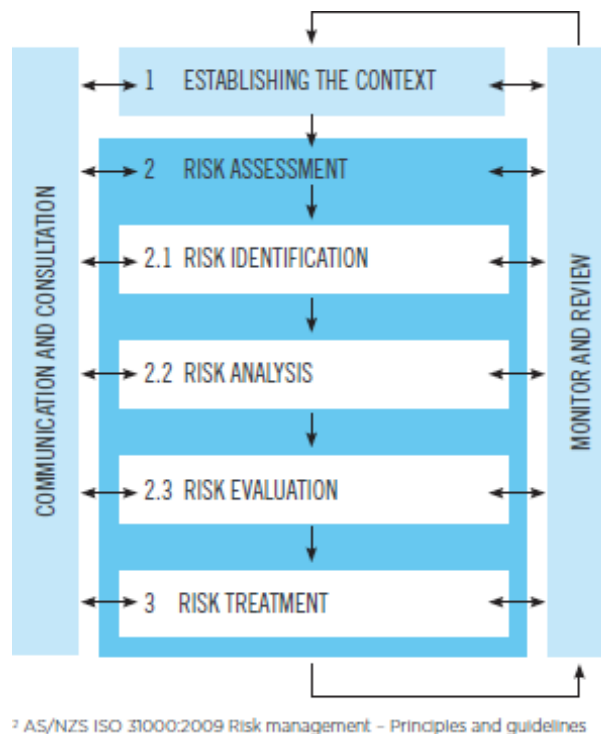
Reviewing risk is part of officiating, coaching training and updating for the Executive.

This policy must be reviewed annually and updated if required to maintain its currency.

The Executive must formally review the changes to the risk register at least annually.

Risk Management Process

Broadly, the Risk Management Process is the whole set of activities you carry out to identify, assess, manage and monitor any risks to which may be exposed. The diagram outlines the main steps.



Steps

- 1) **Risk identifier** commences the risk management process. If the risk cannot be managed at the level where it was identified, the risk must be escalated to the relevant supervisor or the President for continuation of the risk management process.
- 2) **Risk analysis** is performed with relevant stakeholders. This includes:
 - establish the current context of the risk (when the context changes, so does the risk level)
 - identifying the existing risk controls, and
 - assessing how effective the existing controls are currently (see appendix).
- 3) **Risk evaluation** is performed.
 - The consequence of the risk is considered and how likely that consequence is given the current controls (likelihood). This will give a risk rating which allows for prioritisation of relevant attention to treat the risk. This is done using the information found in the appendix.
 - All Extreme, High and Medium rated risks with inadequate controls must be reported to the Executive. The aim is to have well controlled risks, whether they are low, medium, high or extreme risk.
- 4) **Risk Treatment Plan** is developed. Where the controls are assessed as not being fully effective, a risk plan to improve these controls through new or improved treatments must be developed and allocated to an appropriate person for implementation (the “*risk treatment plan owner*”).
 - The risk treatment plan must include dates for tracking and review.
 - Where the risk is rated as high or extreme, the risk treatment plan must be copied to the Executive for review and endorsement.
- 5) **Monitor and Review.**
 - The risk treatment plan owner must monitor and review implementation of the risk plan and regularly report the status to the Executive (at least annually).
 - The risk treatment plan may require updating if the regular review of the risk identifies necessary changes.
 - The Executive will monitor and review the policy and its implementation through its annual policy review process. The Risk Register will be a standing item at Executive Meetings, particularly including a debrief after major events.
- 6) **Communication and Consultation.** Relevant stakeholders must be consulted and communicated with about the risk to improve and confirm assessment of the risk, the development and implementation of the risk treatment plan and review of the risk.

Associated Forms and References

- Risk Register
- Risk Treatment Plan
- Risk Identification Form
- Australia/New Zealand Risk Management Standard AS/NZS ISO 31000:2018.
- “Risk Management for Not-for-Profit Organisations”, NSW Volunteering, Office of Communities
<https://www.nsw.gov.au/community-services/volunteering/resources-for-volunteering-nsw/volunteer-risk-management>
- [HA NIF Member Protection Policy](#)

Further Information/Risk Contact

For further information on this policy and the risk management procedures, contact:

Bronwyn Thompson Secretary-General/CEO
sec-gen@handballaustralia.org.au

Appendices

Appendix 1: Risk Identification Form

Date		Reference	
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Risk Category		Person Responsible	
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Risk Name or Description			

Contributing Factors (Causes)	Outcomes (Consequences)

Controls	

Appendix 2: Risk Categories

RISK CATEGORY
Compliance/ statutory
Legal/ commercial
Political/ economic
Financial/ funding
Management
Operational
Service delivery
Work Health and Safety
Human resources
Stakeholders (clients/ suppliers)
IT/ information management
Security
Reputational

Appendix 3: Assess Control Effectiveness

How well is the risk currently controlled overall?

Control Effectiveness Rating	Description / Guide
Fully Effective	Overall controls are well designed, largely preventive and address the root causes. Controls are effective and reliable at all times. Reactive controls only support the preventative controls. No more required except ongoing monitoring and periodic review of the existing controls.
Substantially Effective	Most controls are well designed, documented, preventive and operating effectively. More can be done to improve control effectiveness, pro-activity and/or reliability.
Partially Effective	While the design of the controls may be good, they are not well communicated, adhered to, consistently applied or effective in practice. Alternatively, controls are effective but not well designed or do not address root causes. There may be an over-reliance on reactive controls.
Largely Ineffective	There are significant gaps in the controls present. The controls may not address root causes, may not be preventive in nature, may not be effective, or may not be well documented and understood
Not Ineffective	The risk is not controlled. What control, if any, that does exist is ineffective in preventing risk events from occurring or in mitigating their effects.

Appendix 4: Assess Consequence

The reasonable worst case consequence considering the existing controls and their overall effectiveness (as rated). Where there are multiple impacts, rate using the highest.

Rating	Legal/Regulatory/ Compliance Impact	Reputation/ Community Impact	Financial Impact	Health & Safety Impact*	Business Capability
5 Critical	IHF scrutiny/major gov. intervention, shutdown for non-compliance, significant prosecution, fines or class action, major consequence to responsible officers.	IHF/government intervention, broad public concern, significant and sustained media event	Financial loss, unrecompensed expense or fraud of >\$25k	Multiple fatalities and/or injuries with widespread medical attention required.	Unable to deliver key services, major program outcomes or essential infrastructure without extensive external assistance and significant delays.
4 Major	IHF enquiry/ government intervention requires external legal assistance, prosecution by regulator, litigation and major fines, shutdown for non-compliance, responsible officers charged with offence.	Sustained statewide adverse publicity, mainstream media reports, new oversight required, community dissatisfaction	Financial loss, unrecompensed expense or fraud of >\$8k to \$25	Single fatality, serious injuries or occupational illnesses with potential acute or chronic disabilities.	Unable to deliver key services, major program outcomes or essential infrastructure without external assistance and long delays.
3 Moderate	Regulatory breaches with investigation or report to authority with prosecution powers, requires intervention by senior management, litigation or fines, major non-compliances with Code of Conduct or other policies.	Statewide adverse publicity, short term damage, public embarrassment of , restricted negative publicity from local media.	Financial loss, unrecompensed expense or fraud of >\$3k to \$8k	Medical treatment with potential for short term absence <1 week (no fatalities or serious long-term disabilities).	Unable to deliver a key service causing disruption of up to 1 week, program outcomes compromised for identified groups, requires significant review/changes.
2 Minor	Minor policy non-compliances or regulatory breaches, managed at local level.	Local adverse publicity, visible dissatisfaction from public	Financial loss, unrecompensed expense or fraud of >\$1k to \$3k	Minor injuries only, medical treatment required. Sick leave not required.	Minor disruption to a key service or program, minor impact on efficiency/ effectiveness - managed internally.
1 Insignificant	Technical non-compliance issues where there is otherwise substantive compliance.	Little or no publicity, attention from minor stakeholder, routine internal reporting	Financial loss, unrecompensed expense or fraud of >\$1k	On-site first aid may be required.	Inconsequential loss of service delivery, program outcome compromised, resolved by routine operations.

Note: While this describes negative consequence levels, risks with positive consequence should also be considered and assessed. * includes impacts on staff, volunteers, contractors and the public

Appendix 5: Assess Likelihood of Consequence

The likelihood of the **reasonable worst case consequence** (as rated at consequence step), e.g. the likelihood of tripping and sustaining a serious injury (not the likelihood of tripping). When assessing, find the rating that best describes the likelihood - it is not necessary to meet every point listed.

Likelihood Table	
5 Almost Certain	<ul style="list-style-type: none"> Strong likelihood of re-occurring, with much opportunity and means to occur. The consequence is expected to occur in most circumstances (monthly) High level of known incidents (records/experience)
4 Likely	<ul style="list-style-type: none"> Considerable opportunity and means to occur. The event will probably occur in most circumstances (annually) Regular incidents known (records/experience)
3 Possible	<ul style="list-style-type: none"> Some opportunity and means to occur. The event should occur at some time over (2 to 5 years) Few infrequent, random occurrences recorded/experienced
2 Unlikely	<ul style="list-style-type: none"> Little opportunity or means to occur. The event could occur at some time (5 to 15 years) No known incidents recorded or experienced
1 Rare	<ul style="list-style-type: none"> Almost no opportunity to occur. The event may occur only in exceptional circumstances (15+ years) Not known to have ever occurred

Appendix 6: Rate the Risk - Risk Matrix

			Insignificant	Minor	Moderate	Major	Critical
			1	2	3	4	5
Likelihood	Almost Certain	5	Med-M9	Med-M6	High-H5	Extreme-E3	Extreme-E1
	Likely	4	Low-L4	Med-M7	High-H6	High-H3	Extreme-E2
	Possible	3	Low-L5	Med-M8	Med-M4	High-H4	High-H1
	Unlikely	2	Low-L6	Low-L2	Med-M5	Med-M2	High-H2
	Rare	1	Low-L7	Low-L3	Low-L1	Med-M3	Med-M1

Appendix 7: Risk Treatment Plan

RISK TREATMENT PLAN

RISK #:		PLAN REF #:	
RISK NAME:		DATE LOGGED:	
COMPILED BY:		REVIEW DATE:	
TREATMENT PLAN OWNER:		TARGET DATE:	
REVIEWER:		PRIORITY H/M/L	

TREATMENT PLAN:	
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Treatment Plan Objective(s):	
1 Proposed actions:	
2 Resources required:	
3 Responsibilities:	
4 Timing for implementation:	
5 Monitoring requirements (i.e. weekly/monthly):	

See the “Risk Management for Not-For-Profit Organisations” document for an example.