

SOFTBALL QUEENSLAND INC



RISK MANAGEMENT

A Practical Resource for District Associations and Clubs

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1. RISK MANAGEMENT POLICY AND PROCESS

1.1. Risk Management Philosophy

Risk is a companion of life and is present in all that we do. As individuals and as a society we manage risk on a daily basis - sometimes consciously, often without realising it and most often it is done in a non-systematic manner. The physical and competitive nature of sport means that risk is ever present. Injury to participants, spectators, loss of equipment or damage to property can arise from unexpected circumstances. Therefore risk should be considered as integral to softball and appropriate measures taken to minimise it. In recent years the public perception and expectation in regards to risk management in sport has changed significantly. There is increased expectation that sporting bodies and clubs administering sport are aware of and apply appropriate programs and strategies to minimise the risk to participants and spectators.

Softball Queensland Inc (SQI) is mindful of the risks associated with the conduct of softball and other activities undertaken by associations and clubs. The SQI Board has adopted the philosophy that risk management be integrated into management of softball at all levels.

To assist associations and clubs in achieving this and to minimise the potential impact of risk, SQI has developed this risk management resource for implementation by associations and clubs. Its purpose is to provide the safest possible and administrative risk free sporting and recreational environment for the enjoyment of players, officials and spectators.

1.2. Risk Management Objectives

The objectives of the Softball Queensland Inc risk management program are:

- To ensure minimum standards of governance practice and compliance with relevant regulatory requirements.
- To ensure financial and administrative viability of associations and clubs.
- To reduce the potential for injury to participants and other persons, or loss or damage to assets and property arising from the conduct of softball competition and recreational activities conducted by associations and clubs.
- To set minimum standards for the identification and control of risk by associations and clubs.
- To enhance the reputation of Softball Queensland and to maintain the acceptance of softball as a sport of choice by Queenslanders.

1.3. Obligations

Various legislature and Softball Queensland Rules bestow on Association and Club officials obligations in the performance of their responsibilities and functions. The Corporations Act requires proper financial management and due diligence to be exercised by administrators in the administration of club affairs.

Under common law and the Queensland Workplace Health and Safety Act 1999 Softball Queensland owes a duty of care to players, administrators and spectators involved in softball activities. This obligation extends beyond competition to include all activities undertaken by clubs. The fundamental tenet of the legislature is that risk is identified and controlled in order to protect people and assets. Measures are required to be implemented to facilitate the identification and control of those risks than can be considered as reasonably foreseeable and likely to cause harm, injury or loss to participants or organisations. In exercising this duty of care, the law requires officials take all reasonably practicable steps to identify hazards and to reduce the likelihood of loss arising from those identified risks.

Example: Duty of care not exercised.

A player running to second base trips in a hole near the base and suffers an injury. Prior to commencement of play coaches or grounds administrators did not undertake inspection of the diamond. Coaches and grounds administrators have failed to properly exercise *duty of care* by failing to check the diamond prior to play.

That wear and tear of the area around bases is a known occurrence means it would be deemed reasonable for coaches and administrators to foresee the risk and to take measures to control it – eg; inspect the diamond.

To meet its obligation Softball Queensland Inc has developed a risk management program that encourages collaboration by clubs and individuals to create an environment where softball takes place with minimal risk. The program is detailed in this resource and is based on the application of standard risk management strategy and methodology, the use of checklists and audits to guide clubs in achieving compliance with agreed standards, as well as tools for clubs to use when undertaking risk assessments. A number of mandatory checks are prescribed, with appropriate monitoring and reporting guidelines to ensure compliance.



"My theory is the fans found out which car was yours and showed you how they feel about a 122 batting average."

2. GLOSSARY

Terminology used throughout this document is as defined follows:

Objectives	Outcomes expected or planned form activity and plans
Organisation	Softball Queensland, district associations and clubs associated with the administration of softball in Queensland
Likelihood	The probability or chance of an event happening
Consequence	The outcome of an event expressed as a loss, injury, disadvantage or gain.
Hazard	A source of potential harm or loss
Event	An occurrence or particular set of circumstances
Duty of Care	The obligation or responsibility of individuals and organisations to prevent injury occurring to persons
Residual Risk	The remaining level of risk after risk treatment measures have been implemented
Risk	The chance of something happening that will have an impact on people or activity
Risk Identification	The process of determining what can happen, why and how
Risk Assessment	The process of estimating risk by determining the likelihood and consequence of events occurring and their impact
Risk Management	A systematic approach, through the application of management policies, procedures and practices, to the identification, evaluation and treatment of risk
Risk Evaluation	Comparing the level of risk determined against standards imposed on or by the organisation to determine whether the risk is acceptable or not
Risk Treatment	The selection and application of appropriate measures to deal with risk
Risk Audit	A method of evaluating performance in risk management through the use of appropriate tools, surveys and questionnaire
Volunteer	A community representative who freely gives their time, skills and experience to support softball and Club activities
Loss	Any negative consequence, financial, administrative, physical or otherwise

3. UNDERSTANDING RISK

3.1. What is Risk?

Risk is present in all aspect of our lives. Crossing the road, driving a car, doing the shopping, participating in sport – all are everyday activities that involve an inherent degree of risk. Risk accompanies us on our journey through life, yet despite this we go about our daily lives, at times even deliberately increasing risk levels in order to increase the pleasure we derive from activities, parachuting for example.

Equally, risk is inherent in sport. When we think of sport and risk there is a tendency to think of it in terms of injury only. Whilst injury prevention is important, the principles of risk management extend far wider. Sports risk management encompasses not only the physical aspects of participation, but also equally applies to all aspects of administration. Club governance, financial and facility management, health and safety, environment, equipment and the capacity of individuals to undertake assigned responsibilities are areas that require risk management in order to minimise the potential for negative outcomes, injury and poor club functioning.

The challenge however is determining what a risk is. The Australian Standard AS/NZS 4360 defines risk as:

'the chance of something happening which will impact on achievement of objectives.' It is generally measured in terms of "likelihood and consequence'

In other words:

- What untoward things can happen?
- What is the chance (likelihood) of them happening?
- What will be the consequences if they happen?
- How do we tell everyone involved?

However, what one person perceives as risk another may not. There is no hard and fast rule and risk perception will be influenced by factors such as the experience, knowledge and expertise or the assessor. The fact softball is predominantly administered by volunteers adds a further dimension to the challenge. Those undertaking risk assessments will most likely lack experience in the quantification and evaluation of risk. It is therefore advisable that organisations adopt a collaborative or group approach to implementing risk management programs to ensure the broadest possible consideration of issues. Team assessments or at the least review of individually conducted assessments by club management committee's prior to implementation of control measures is recommended. This will ensure a broad commonsense perspective is applied in identifying, assessing and treating risk.

3.2. What is Risk Management?

Risk management is the process of systematically eliminating or minimising the adverse impact of all activities that may give rise to injurious or dangerous situations. This requires the development of a framework within which risk exposure can be monitored and controlled. Risk management is a tool by which organisations and individuals involved in softball administration can seek to meet their duties and thus avoid liability.

Risks which can be addressed through application of a risk management program include:

- **Legal risks** – losses and costs arising from legal actions for breach of a common law or statutory duty of care.
- **Physical risks** – injuries to participants and the public as well as loss or damage to facilities.
- **Financial risks** – increased insurance premiums, costs associated with injuries for business reasons, loss of financial stability and asset value, replacement costs and earning capacity and increased external administrative costs.
- **Moral and ethical risks** – loss of quality of participant experience and confidence, adverse publicity and damage to image or reputation.

It is not be possible to have a risk free softball environment, but it is possible to minimise risk by adopting strategies to eliminate or control it. Many people become fearful of the prospect of undertaking risk management in a formal sense. Yet few people do not practice it as they go about their daily routine. We may not consciously apply a system or process to our risk assessments – but we do identify problems, consider them, identify and consider solutions and decide on which options to adopt to resolve problems. In other words we undertake risk management in an informal sense. This is fine as individuals but the legal obligations placed on softball clubs and administrators require a more structured and method based approach. Hence the need for clubs to adopt the Softball Queensland endorsed the risk management process.

In simple terms risk management involves:

- | | |
|------------------------------|--|
| Forward thinking: | Anticipating problems and preparing for them. |
| Lateral thinking: | Searching for answers and solutions to problems. |
| Responsible thinking: | Managing risk rather than 'risky' management. |
| Balanced thinking: | Managing risk realistically – within financial, human and other resources constraints. |

3.3. Why Manage Risk?

Good risk management will have many significant direct benefits to Softball Queensland Inc, District Associations and clubs including:

- providing a safer sport for all involved
- improved administration of softball
- retention of players, officials and the continued support of parents
- compliance with duty of care obligations
- more confident administrators and officials
- reduced injury, litigation and economic loss
- protection of assets and facilities
- greater enjoyment of softball by all involved

Poor risk management can give rise to:

- decline in participant numbers
- loss of parent and spectator support.
- injury to players or other persons
- loss or damage of facilities, equipment or other assets
- financial loss
- negative publicity
-

3.4. When Should Risk be Managed?

ALLTHE TIME!

Risk management is an ongoing process to be applied to all aspects of club administration, match play as well as social activities. Any project, event, initiative or activity should have a risk assessment completed. Management committees should have in place risk management programs covering the following areas:

- governance
- financial management
- player, official and club member behaviors
- qualifications and skills of officials.
- facility maintenance and management
- equipment
- compliance with regulatory and Softball Queensland policy requirements.

It is not a requirement that Softball Queensland Inc provide a risk free environment. By participating, competitors and others are taken to have consented to those risks that form an inherent aspect of the activity. Softball Queensland will however adopt all practical and sustainable precautions to mitigate risks that are reasonably foreseeable.

3.5. What Areas Need to be Risk Managed?

All areas of club functioning need to be risk managed in order to endure the sustainability of softball as a sport acceptable to the public. Management committees should determine the issues that need to be risk managed, the priorities for action as well as the allocation of tasks and resources required. The nature of risks to be addressed will vary between clubs however in general risk management strategies will need to be structured to meet risks that arise in the following areas:

- **STRATEGIC** Those risks associated with the functions of the association or club performed regularly. Includes finance, promotion, decision-making, training and participation in competition
- **OPERATIONAL** Those risks associated with the high level management of association or club functioning, goals, objectives and activities including programs for proper governance, player recruitment, training and development.
- **STRATEGIC** Those risks associated with the high level management of association or club functioning, goals, objectives and activities including programs for proper governance, player recruitment, training and development.

• **3.6. Understanding the Concept of Risk**

Before effectively controlling risk an understanding of its concept, the human factors involved and the perceptions that underpin risk within the sporting context is needed.

Risk is ubiquitous – perfect safety is not achievable. All activity involves risk and softball is no different. By its very nature softball involves risk and in many cases our perception of it is minimal until some trigger alerts us to an increased level of threat. The example below demonstrates our perception of risk often differs to that which is real.

Example: Risk associated with batting

Think of the concept of batting. It involves standing in front of a person who throws a ball toward you as fast as possible; add in ball movement to make things more difficult and the risk level increases. There is obviously potential for the batter to be hit, yet batters readily accept the risk for the love of the game, and because rules governing pitching standards exist which reduce the batters perception of the risk. Yet in reality, on a pitch by pitch basis, the risk is equally real and the probability of being hit remains relatively constant.

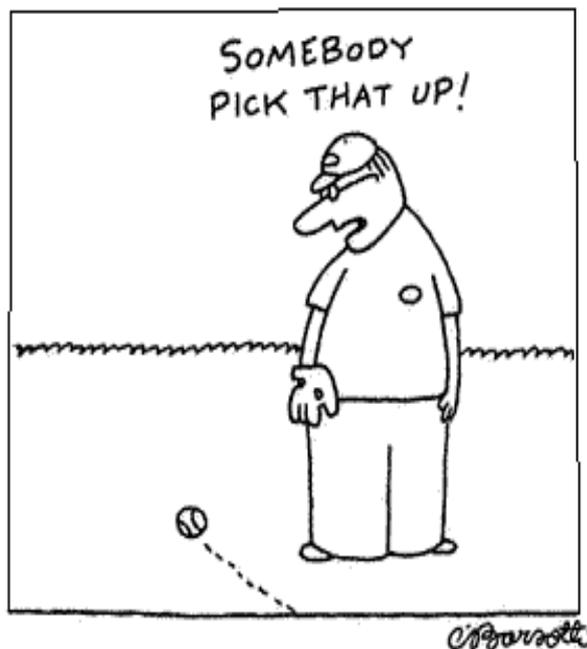
We manage risks continuously, sometimes consciously and sometimes without realizing it. Often it is intuitive in our actions as in the example above. The problem with intuitive risk management is we often overlook the less obvious factors. What if the pitcher in the example above had a head cold and experienced poor concentration? How does the batter factor that in? – assuming she is aware of it, and what action can the batter take to alter the level of risk? We tend only to consider the less obvious when we have something to gain. We buy a lottery ticket out of the expectation of a chance of winning, Yet, we ignore the fact that statistically, it is more probable we will be injured in an accident.

A further complication to how we perceive risk is that human nature will often make allowances or find excuses for not implementing appropriate risk controls in any given circumstance. Convenience and expediency often influence higher levels of risk being accepted than is justified or see risk control exercised in an inconsistent manner – in effect we take short cuts.

Example: Short cuts increase risk

A catcher warms up a pitcher prior to a match in close proximity to spectators and other players rather than moving to a safe location. The risk is compounded by coaches and other players who allow the situation to continue. Eventually a stray ball is missed by the catcher and strikes a child sitting nearby. For reasons unexplained increased risk is accepted, either through a lack of risk appreciation, complacency or failure of those around to enforce required standards.

As in other aspects of life perhaps the most significant threat to safety in softball is the tendency of humans to believe that because nothing has happened all must be OK. As in the example above – no one has been hit before so therefore it must be safe – accidents or losses have not occurred so therefore existing risk management measures must be working. This approach disregards the diversity of risk. Some are frequent, some foreseeable, some are common and others remain latent to eventuate when least expected. Regardless, the challenge for administrators is to identify and control them. Vigilance is the best defence and this is best achieved through adoption of a systematic approach involving policies, processes and procedures aimed at ensuring the timely identification and treatment of risk.



4. THE RISK MANAGEMENT PROCESS

This section outlines the risk management process as advocated in AS/NZS 4360. It provides guidance to clubs wishing to undertake risk assessments and is relevant to all aspects of club operations.

It will not be necessary for clubs to apply the full process outlined to the management of all risks. Many risks are common to all clubs and softball in general and as such have been adequately addressed in the past, leading to development of standard procedures and protocols. To reduce the burden on club administrators where applicable Softball Queensland has developed checklists to aide clubs in addressing these generic risks. The checklists are contained in the Risk Management Implementation section of this resource and their use should be integrated into club management systems and risk control programs.

Other identified risks, complex issues or problems not addressed by the checklists should be subject to assessment using the process detailed below.

4.1. Risk Management within the Softball Context

Before embarking on a risk management program the first requirement is to clearly define the context within which risk management is to occur. It is pointless embarking on overambitious or excessively sophisticated risk assessments, which generate requirements beyond the resource and administrative capacity of clubs to meet.

Those embarking on risk assessments need to know and understand local factors that impact on how identified risk is to be assessed. Financial limitations, availability and capacity of administrators to take on tasks, facility and equipment limitations will impact on strategies adopted to remedy risk. Strategies adopted must be realistic and sustainable if they are to be effective.

Softball administration at association and club level is predominantly a community activity conducted on a voluntary basis. Those involved in risk management will most often undertake assessments from a commonsense or layperson perspective. They will lack experience and knowledge in the assessment and quantification of risk. This is not a cause for concern, it is a reality and will influence the manner and approach adopted by club officials in the implementation of risk management programs. In most instances the risks assessed will not be complex and lend themselves to commonsense-based assessment or compliance with the Softball Queensland Inc policy and procedures. Appropriate experts should be commissioned to assess risks of a more complex or technical nature.

The volunteer supported context of softball lends itself to adoption of a group approach to risk management with referral for review by relevant committees or working groups of findings of risk assessments, whether done individually or in groups. This will add rigor to assessments and ensure application of commonsense from the broadest possible 'collective' experience base.

4.2. Who is Responsible for Risk Management?

Those responsible for decision making at all levels of softball have an obligation to manage risk. Association and club governing bodies need to have in place a strategy that assures they are kept informed of risk and understand the implications and risk associated with their decisions. The section on implementing a risk management program outlines the responsibilities of committees and official for risk management. The strata of risk management responsibility at association and club level can be categorised as follows:

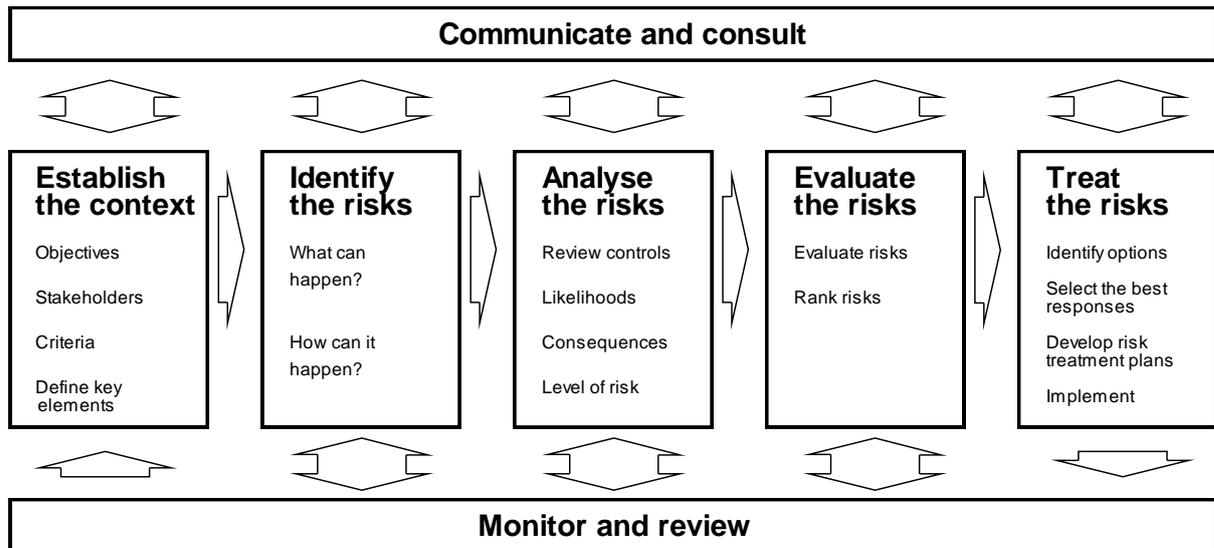
- Governance. Boards, management committees, work groups are responsible for stabling and implementing risk management policy and frameworks.
- Portfolio. Office bearers are responsible for risk associated with their portfolio.
- Event coordinators. Event administrators, in conjunction with
- governing bodies, are responsible for risk management of the event at the operational level eg, championships coordinators.
- Officials. Team officials are responsible to ensure all team activity is conducted free from risk.
- Participants. Players and spectators are responsible to comply with risk management policy and procedure.

4.3. The Risk Management Process

The risk management process involves the steps described below.

- Step 1 - Establishing the risk context.
 - To determine the external factors (such as regulatory requirements, SQI rules and protocols) and internal factors (such as objectives, financial constraints, and capabilities) that will affect how the risk being assessed might be managed.
 -
- Step 2 - Identifying risks.
 - To determine what risks the association or clubs might be exposed to.
 -
- Step 3 - Assessing and evaluating risks.
 - Determining the probability of events occurring and consequences of such events to establish the level of risk that exists and whether it is acceptable or unacceptable.
 -
- Step 4 - Treating risks.
 - Determining whether a risk is acceptable or unacceptable and if unacceptable developing and implementing appropriate controls to eliminate or reduce the risk to acceptable levels.
 -
- Step 5 - Communication, monitoring and review.
 - Continuous communication, monitoring and review of risk control plans and strategies to ensure their appropriateness and effectiveness.

The relationship between each step and sequence for undertaking risk management, as shown in The Australian/New Zealand Risk Management Standard is explained below.



The AS/NZS 4360:1999 Risk Management Process

4.3.1. Step 1 - Establish the Risk Context

The risk context does not involve identification or assessment of specific risks, Rather it seeks to gather background information about the issue being assessed, its importance to the club and factors that will influence on how the risk might be controlled. A realistic example is the identification of risk controls that require extensive financial investment eg construction of a batting cage. If finances are not available to fund construction then it is not a realistic immediate risk control option and alternative controls are required. Similarly if funds are anticipated to be available in the future then the risk control plan would likely involve a number of stages eg, interim risk controls such as isolating batting training, or temporary netting to be implemented pending construction of the cage at a later date.

4.3.2. Step 2 - Identify the risk

Step 2 involves the identification of things that present as a risk, why and how they may impact on or interfere with organisational objectives.

Adoption of a systematic approach is essential to ensure all aspects of club operation is assessed periodically to ensure systems and policy effectiveness is maintained and that all risks are identified. Identification requires a mix of knowledge, experience, and lateral thinking and commonsense. It is necessary to look beyond the obvious, to separate that which seems normal or regular from that which can occur. Risks that are not identified cannot be controlled so it is important the risk identification process is comprehensive. Inclusion of those other than committee appointment holders in the risk identification process is strongly recommended to encourage ownership of issues, to draw on their expertise and experience and to encourage participation in development of risk solutions.

Techniques and resources available to clubs for risk identification include:

- Softball Queensland policy, procedure and other information resources
- brainstorming
- other club experiences
- skills and expertise of persons within the organisation (including parents of players)
- checklists and audits
- group analysis
- surveys and questionnaires
- external risk assessment providers

Example: Happy Valley Softball Club intends to runs a mini softball tournament in the near future. The organizers are not sure what risks may present. To identify them they obtain information from:

- SQI – previous tournament records
- Other clubs
- Records within the club
- Conduct think tanks involving the committee and some coaches
- SQI procedure

4.3.3. Step 3 - Assess and Evaluate the Risk

Step 3 involves assessing the identified risks to determine the level or risk, and an assessment to decide whether it is acceptable (to be left untreated) or unacceptable (requires treatment). The analysis is based on quantification of the likelihood (probability) and consequence (impact) of an event. For each identified risk a determination has to be made as to:

- How frequently it may occur?
- What the consequences (impact) will be?

These questions must be answered within the context of the organisational factors considered in 'establishing the context' at the beginning of the risk management process. The importance and precedence accorded to a risk will be directly impacted by factors specific to the organisation undertaking the assessment. For example a club with low player numbers may place greater risk importance to establishing a recruitment program than to purchasing new or additional equipment, while the reverse may be the case for a club with high membership.



"Ouch! I thought this was supposed to be 'softball'?"

Two approaches are used to analyse risk – qualitative and quantitative. The most simple and easy to use approach is qualitative analysis. Quantitative analysis tends to be more scientific, is reliant on data analysis and is more suited to use by experienced risk assessors. Qualitative analysis utilises knowledge, experience, information and anecdotal evidence to produce intuitive decisions about risk levels. It is ideally suited to the softball context as it lends itself to assessments undertaken in groups, is suited to non-technical problems and does not require high levels of subject expertise.

4.3.4. Qualitative Rating Tools

Risk is evaluated by determining the relationship between the factors of likelihood (probability) and consequence (severity) relevant to an event.

4.3.4.1. Likelihood.

Factors determining likelihood include how often the situation occurs or task is performed, how many people are involved, skill levels of people involved, environmental influences, length of exposure to a hazard and effectiveness of those risk controls in place.

The table below shows likelihood ratings and descriptors to be used in the SQI Risk Management program.

Rating	Likelihood	(Potential for an event to occur in a year)
Rare	Very unlikely but not impossible	(Very unlikely, occur once in ten years)
Unlikely	Might occur at some time	(Plausible, occur once over five to ten years)
Possible	Could occur at least once	(Foreseeable events, once over five years)
Likely	Is expected to occur occasionally	(Once per year)
Almost Certain	Is expected to occur frequently	(Several times a year)

Likelihood Matrix

4.3.4.2. Consequence.

The consequence of a risk refers to the degree of loss or damage that may result an event. Consequence is measured in terms of the event's effect on the operation and activities of a club. To determine consequences a judgment is made on the potential outcome of an incident. Examples of common consequences are:

- death injury or illness
- property damage
- equipment loss of damage
- loss of reputation
- financial loss
- workers compensation costs
- falling participation rates

The following table describes the consequence ratings and descriptors to be used in the SQI Risk Management program.

Rating	Consequence
Negligible	Very small impact, nil injury or loss likely. Risk rectified by routine action.
Minor	Simple remedies available, application of routine systems will achieve required control, monitoring required to ensure no impact on activity, nil injury likely.
Moderate	Failure to control may delay or diminish activity or initiative, injury or financial/resource loss possible, coordinated effort required to rectify risk.
Major	Achievement of outcomes impeded, serious or extensive injury and/or resource loss likely, negative public reaction, requires priority action to remedy.
Catastrophic	Future of organisation/activity threatened, serious injury/death and/or substantial economic loss likely, major impact on public opinion, requires urgent action to remedy.

Consequence Matrix

4.3.5. Rating the Risk

The level of risk or 'risk score' is determined using the Risk Rating Matrix. The matrix identifies the relationship between likelihood and consequence and assigns a score that indicates the priority accorded to each risk for control purposes.

Likelihood	Negligible	Minor	Moderate	Major	Catastrophic
Rare	Low	Low	Low	Medium	High
Unlikely	Low	Low	Medium	Medium	High
Possible	Low	Medium	Medium	High	High
Likely	Low	Medium	Medium	High	Extreme
Almost Certain	Medium	Medium	High	Extreme	Extreme

Risk Rating Matrix

Risks rated low to medium can generally be viewed as routine matters suitable to be addressed through application of Softball Queensland policy and procedure. Risks rated high to extreme usually reflect those that may impact severely on Softball Queensland in the short term. High to extreme risks require immediate attention by Association and/or Club management.

Example:

Building on the tournament example. Risks identified might include:

- Injury to spectators from foul balls.
- Absence of dugouts for competitors
- Fencing around some diamonds missing
- Car park entry on a busy intersection
- Distance to some diamonds prohibits communication by PA system.

The tournament committee might rate the risks in order of importance as:

- need for dugouts
- need for fencing of diamonds
- foul ball protection
- need communication at diamonds
- carp park entry control
- need for water access at isolated diamonds

This then informs step 4 in terms of resources and action priority.

Step 3 does not result in risks being controlled; it results in a prioritised list of risks that require further action. The list facilitates the allocation of tasks and resources to combat risks based on analysis of the importance and prioritisation of each risk of in terms of impact on the organisation.

4.3.6. Step 4 - Treat the Risk

Risk treatment is the term used to describe the activities involved in dealing with identified risk that has been evaluated to be unacceptable.

This stage is all about identifying and testing strategies to manage risks that have been identified and subsequently evaluated as posing a real risk to those involved in softball. Ideally, officials will work together to brainstorm a variety of treatment strategies and then consider each strategy in terms of its effectiveness and implementation. This will necessarily involve some “reality testing” of risk treatment strategies as officials determine what reasonable steps they may take to reduce the impact of the identified risk.

Where a club assesses a risk and rates it high to extreme the club will need to carefully consider necessary policies, procedures and strategies to treat the risk. These will include what is needed to treat the risk, who has the responsibility and what is the timeframe for risk management. These elements will comprise your action plan. If a control strategy already exists eg: a SQI procedure, to address or manage an identified risk than that strategy should be implemented. If not, then a full risk assessment is required.

The options for treatment must be considered within the context of the risk assessment with selected treatments appropriate to the significance of the risk under consideration. Any controls and plans in place before the assessment should be considered eg; existing procedures, to determine their effectiveness and the requirement to modify or add to them. Trade offs will be required when selecting treatment options: for example sustainability versus cost and potential benefit.

Essentially, there are five risk treatment options:

4.3.6.1. *Avoid the risk.*

Risk may be avoided by measures such as not conducting an activity, not pursuing an initiative or perhaps avoiding purchasing items and equipment. For example purchasing a pitching machine may be avoided due to concerns over possible injury. Obviously this may not be a satisfactory solution for a softball club as the absence of a pitching machine would inhibit potential development of player batting skills.

Clubs should be careful not to adopt an attitude of 'risk aversion' through over statement of the level of risk associated with a given activity or initiative. Inappropriate risk avoidance or risk aversion can lead to the undermining of the desire within an organisation to achieve and ultimately result in increased negative impact on clubs. Risk aversion also fails to acknowledge the benefits to be gained from potential controls

4.3.6.2. *Reduce the risk.*

Risk reduction is the option most likely to be adopted by associations and clubs. Risk reduction is the application of a control or range of controls that reduce risk to an acceptable level, enabling the activity or initiative to proceed, by minimizing the likelihood of unwanted events. The controls applied will depend on the significance of the risk and the priority accorded to its control by the organization. When identifying controls to be implemented the fundamental approach should be to apply a hierarchy:

- **Eliminate the Risk.**
Removal of the risk by engineering out problems or ceasing unsafe practices.
- **Redesign.**
Looking for alternate ways of doing business and tasks. Modification of physical, environmental and procedures and practices to minimize the potential for errors, loss of control or omissions by users. Learning from incidents and making appropriate changes to practices is a good example.
- **Isolation.**
Use of physical and procedure barriers to limit the potential exposure of people to risk.
- **Administration.**
The application of procedures and training to reduce the potential for risk to cause loss. It also includes the use of equipment to protect people from injury eg; wearing catching gear during pitcher warm up.

In most circumstances risk control will require the application of a number of the hierarchy controls. Continuing with the pitching machine example, a club may apply various control hierarchy to reduce risk associated with operating a machine by:

- implementing procedures for its use
- enforcing compliance with use procedures
- requiring batting machine operation to be supervised by coaches
- isolating batting away from other training activity or even contracting a batting cage
- wearing of helmets by batters
- ensuring first aid is readily available to respond to any incidents.

It is important to remember risk controls may not totally prevent events occurring but they can reduce the likelihood of unwanted events or for the impact of such events to escalate. It is therefore essential club risk management programs include the capacity for quick recovery from unwanted events. Vigilance will be necessary to ensure effective implementation of controls that are reliant on behavioural modification and compliance.

4.3.6.3. *Transfer the Risk.*

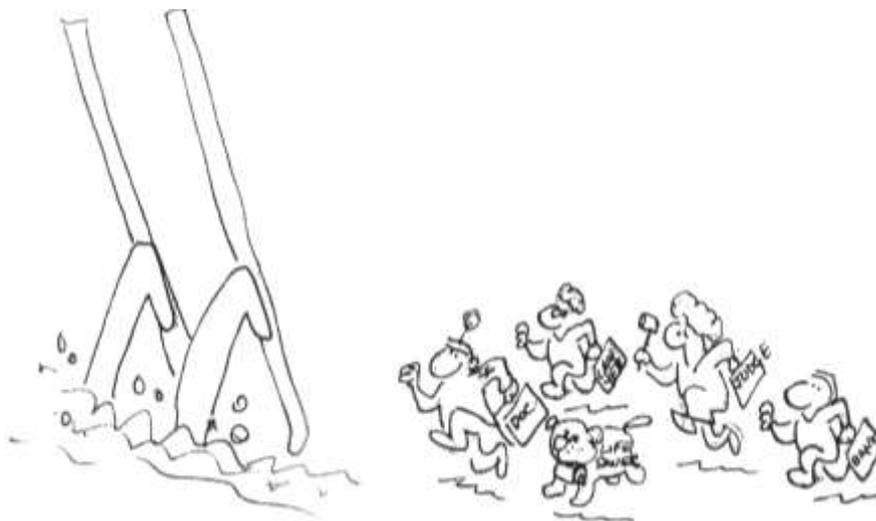
Risk transfer usually is usually achieved through the establishment of some form of legal agreement. Common examples include contracts, insurance policies, disclaimers and warning signs. Clubs should be cautious and seek appropriate expert advice before entering such agreements.

Particular caution should be exercised in relation to disclaimers, waivers or other forms of risk notification and acceptance. The intent of such forms is to waive liability for negligence by appointment holders such as committee members, coaches etc. In effect however, such forms serve only as recognition of risk involved in an activity on the part of participants and should not be relied upon as the principal form of risk management defence.

An area where risk transfer may be applicable to clubs is in the management of facilities and surrounds not under direct control of the club or organisation. Facility access and egress, pathways, stairs etc used consequent to tenancy arrangements offer opportunity for the transfer of risk to the landlord. Where risk is identified involving such facilities Councils, landlords etc should be made aware of the problems and participation sought to remedy them. Clubs should maintain a record of risk referred to external authorities/agencies.

4.3.6.4. *Finance the risk.*

Risk financing is based on self-insurance and is not an option for Softball Queensland organisations.



4.3.6.5. Retain the risk.

On occasion it may be desirable to retain risk because to reduce it may detract from the objectives of the activity, or perhaps the probability of an event occurring is so remote investment in controls is not warranted. Once the risk treatment options have been selected planning should be done to effect implementation. Risk control plans should be developed detailing actions, responsibilities, time frames and resources required to remedy the risk being treated.

The purpose of the plan should not be misunderstood. In itself it is not the solution to controlling the risk. As a plan it requires commitment, collaboration, cooperation and on-going monitoring to ensure successful implementation. Those responsible for implementation need to be aware of the content and purpose of the plan and of their tasks in its implementation.

Appendices 1 and 2 provide simple guides for use in completing risk assessments.

The Risk Assessment template at Appendix 1 can be used to complete an assessment and incorporates a risk treatment plan suitable for less complex assessments.

The Risk Treatment Plan at Appendix 2 is more suited to complex scenarios – those requiring extensive control options and plan implementation.

4.3.7. Step 5 – Communication, Monitor and Review

Effective implementation of risk controls plans required that communication occur throughout the process to ensure stakeholder support. All stakeholders need to be aware of the risk management program and are consulted in its development, implementation and evaluation as appropriate. Failure to effectively communicate objectives and methods for controlling risks will result in lack of commitment to and support of club risk control strategies. Implementing risk controls involves:

- Communicating the plan. Those who may be affected by the risk need to know what controls are in place or are to be implemented.
- Awareness. Club members, players and affected parties need to be made aware of measures to be applied to control identified risk so that their commitment to and compliance with required measures is enhanced.
- Vigilance. Club officials, players and supporters should be encouraged to enforce application of risk control measures at every opportunity.
- Monitoring: Constant monitoring and review of the risk control program should occur to ensure implementation is complete as well as evaluating the effectiveness of the program to identify further changes that may be required. Risks often do not remain static with changes in risk levels evolving as environmental and administrative circumstances and conditions change. This reinforces the need for ongoing monitoring and review and for risk review to become an integral part of club administration. Importantly the review process should seeks answers to the following questions:
 - have chosen risk control measures been implemented?
 - are they being used?
 - are control measures working?
 - do controls achieve the desired result?
 - if controls are not working - why?

4.3.8. Risk Register

Clubs should maintain a register of identified risks that cannot be controlled immediately. The purpose of the risk register is to ensure significant risks are documented as existing so that they are not forgotten and importantly to ensure they are addressed as resources permit. The risk register should list identified risks as well as indicating the rating (significance) applied to each. The risk register will guide clubs as to the priority for addressing each identified risk.

An example of a simple risk register is provided at Appendix 3.

4.3.9. Documentation

Risk assessment activity should be documented to ensure those involved in implementation understand the basis for recommended controls, tasks required, priorities and timelines for achievement.

The following appendices provide clubs with simple documentation to assist in conducting risk assessments as well as recording risk management activity.

Appendices:

Appendix 1: Risk Assessment Template.

Appendix 2: Risk Treatment Plan

Appendix 3: Risk Register

Risk Assessment Template

Appendix 1

For use by clubs to identify and control risk.
 Answer the guidance questions.
 Add other issues identified.

Form completed by:		Date:/...../.....
Risk Assessment		
Activity description. What is to happen, who and how many people are involved, what equipment is to be used?		
Risks: What risks exist? What can happen? How can it happen? Have there been problems in the past with this activity? What risk controls were used previously? Did they work?		
Likelihood: What is likelihood of the above events happening? <ul style="list-style-type: none"> ▪ rare ▪ unlikely ▪ moderate ▪ likely ▪ certain 		
Consequences: What are consequences of the event happening? What injury may occur? What losses may arise? What will the impact be? <ul style="list-style-type: none"> ▪ Insignificant ▪ Minor ▪ Moderate ▪ Major ▪ Catastrophic 		
Controls: What controls are to be used to reduce risk? Eg: <ul style="list-style-type: none"> ▪ Physical - barriers, isolation etc ▪ Procedures ▪ Training ▪ Supervision ▪ Protective equipment 		

<ul style="list-style-type: none"> ▪ Pre activity checks 		
<p>Risk Control Plan Specify what actions need to occur to minimise the risk, including by whom, when tasks are to be completed and who is to check completion.</p>		
<p>Controls:</p> <p>Risk to be controlled:</p> <p>1. What action is to be taken? Who is responsible?</p> <p>2. What action is to be taken? Who is responsible?</p> <p>3. What action is to be taken? Who is responsible?</p>		<p>To be done by:</p>
<p>Comments:</p>		

Likelihood	Negligible	Minor	Moderate	Major	Catastrophic
Rare	Low	Low	Low	Medium	High
Unlikely	Low	Low	Medium	Medium	High
Possible	Low	Medium	Medium	High	High
Likely	Low	Medium	Medium	High	Extreme
Almost Certain	Medium	Medium	High	Extreme	Extreme

Time Frames		By Who?	
Task 1:			
Task 2:			
Task 3:			
Task 4:			
Measures of Success: What will indicate achievement of required risk control?			
4.4.			
Compiled By:		Date:	
Reviewed By:		Date:	

Likelihood	Negligible	Minor	Moderate	Major	Catastrophic
Rare	Low	Low	Low	Medium	High
Unlikely	Low	Low	Medium	Medium	High
Possible	Low	Medium	Medium	High	High
Likely	Low	Medium	Medium	High	Extreme
Almost Certain	Medium	Medium	High	Extreme	Extreme

District or Club Risk Register

Appendix 3

Use to record risk of significance that requires monitoring of control development and implementation.

Risk	Risk Rating	Controls Required	Planned Completion Date	Status	
				Done	Not done

Due Review Date:/...../.....

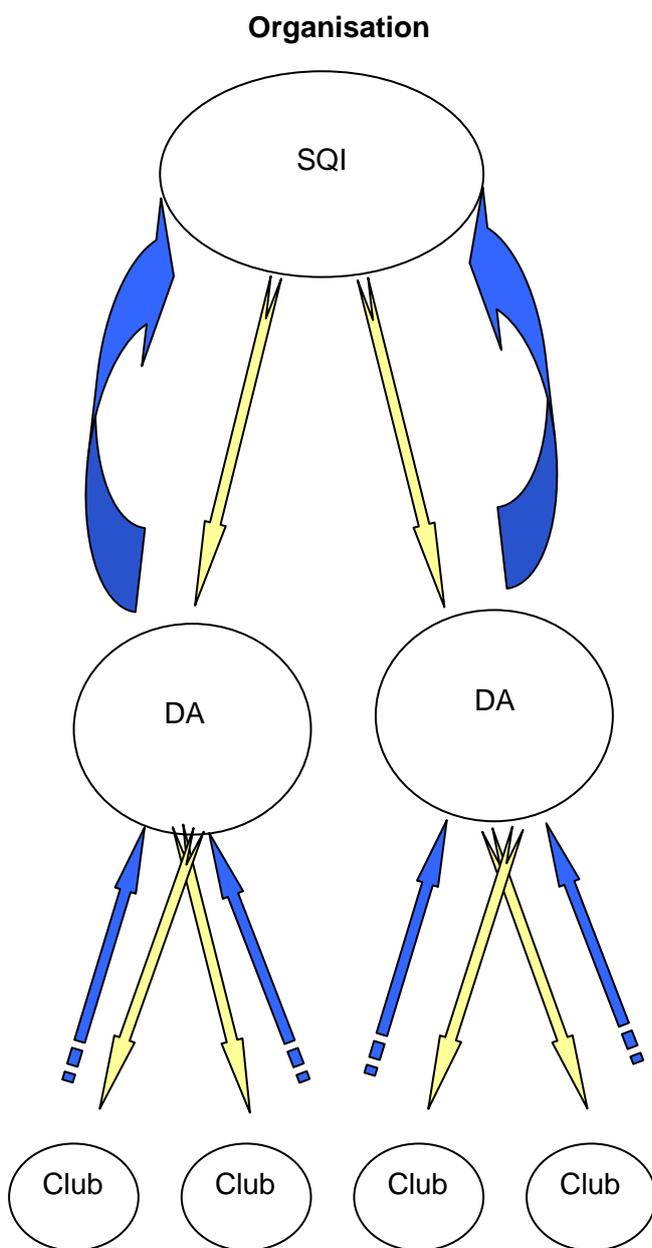
Date Reviewed;/...../.....

5. SOFTBALL QUEENSLAND RISK MANAGEMENT PROGRAM

5.1. Conceptual Outline

This section details the SQI endorsed framework and program for the management of risk by associations and clubs. Risk management responsibilities, procedures, reporting and compliance requirements are outlined. SQI endorsed tools and checklists are also provided to assist associations and clubs in the management of risk.

The SQI organisational and procedural framework for the management of risk is shown in the diagram below.



Responsibilities

SQI

- Statewide risk management policy and coordination
- Development of standard risk management policy and procedures
- Monitor compliance by member bodies.
- Management of significant incidents/losses.
- Oversee association risk management training program

District Associations

- Coordinate implementation if regional risk management programs
- Develop regional risk management procedures as necessary
- Establish risk management portfolio within management body
- Monitor member club compliance and reporting against required standards
- Risk manage major events eg championships
- Coordinate regional risk management training

Clubs

- Appoint risk management coordinator
- Complete checks as required by District Association
- Implement internal risk management program
- Refer risks a significance to District Association
- Undertake risk management training as required

The model represents the relationship and responsibilities between Softball Queensland, District Associations and clubs in the management of risk.

Management of risk is achieved through application of a layered approach. The model depicts the downward responsibility (yellow arrows) of SQI and District Associations for the development of risk policy and procedure, and implementation of risk programs by member clubs. Conversely, District Associations and Clubs have an upward responsibility for implementation of risk management programs, controlling risk associated with softball and club activity, and for reporting compliance against required standards (blue arrows).

The Softball Queensland Inc risk management framework is characterised by:

- Strategic (state-wide) and regional coordination of risk management by Softball Queensland Inc and District Associations. SQI will develop relevant policy, procedure, systems and tools for use by all member organisations in the control of common risks eg: sun safety, pregnancy and zero tolerance. Member associations and clubs will be required to report against risk management standards annually as part of membership/affiliation approval.
- Regional coordination by District Associations to facilitate implementation of risk management programs and practices as well as to reporting on compliance by clubs as part of association membership/affiliation. District Associations are also required to develop procedure for the control of risk specific to their region eg: matters referred by clubs and to risk manage major activities such as championships on behalf of SQI.
- At club level administering bodies are responsible to implement risk management programs consistent with SQI guidelines. Clubs should use endorsed tools and templates in the control of risk specific to club activities.
-

5.2. Facilitating Risk Management

Irrespective of the level at which a softball body operates successful implementation of a risk management program requires fundamental elements to be implemented or achieved. Often the approach of sporting and volunteer organisations is for risk management to be reactive, with little done to anticipate and deal with problems before they escalate to injury or loss. Rather than wait for events to occur SQI recommends associations and clubs adopt the measures below as part of a strategy of promoting a culture of risk prevention and continuous improvement.

- Development of risk management policies and programs consistent with SQI guidance and reporting requirements.
- Ensuring organisation rules and constitutions define responsibility for risk management.
- Appointment of a risk management coordinator within organisations.
- Ensuring risk identification audits and checks are scheduled and completed using the tools provided in this manual.
- Ensuring incident/event reporting and response procedures are in place, and
- Ensuring administrators and appointment holders receive appropriate risk management training to enable them to meet their portfolio responsibilities.

5.3. Scheduling Risk Management Activity

Implementing a risk management program may seem daunting to many, particularly given the lack of experience of those undertaking risk assessments. Over complicating the process should be avoided and it should be remembered risk management is not intended to be an expert process. For complex or technical issues eg, lighting for training grounds, appropriate experts should be commissioned to undertake required risk assessments. However, in the majority of instances the collective experience and commonsense of administrators, combined with use of the endorsed audit sheets will achieve appropriate and effective risk control outcomes.

Pro-activity is the key to effective risk management. Scheduling risk management tasks as routine activity as well as involving club members as much as possible best achieves this. It is far preferable and efficient of resources to prevent loss than to have to make good losses such as equipment or reputation. With this pro-active posture in mind clubs and associations are required to certify compliance with minimum risk control requirements annually as follows:

Annually

- Review of club governance protocols and procedure.
- Review of facilities, insurances, licensing, trading contracts etc
- Administrator skills
- Administrator and officials development needs.
-
- In addition it is recommended clubs incorporate the following risk audits/checks in their risk management programs:

Pre-Season

- Audit of sporting facilities
- Audit of training grounds
- Audit of public areas and facilities eg, car parks, paths, amenities, lighting
- Equipment audit
- Club administrator and team official skill checks, eg, blue card, coaching qualifications, skill development needs.
- Review of procedure/rules and their dissemination to members
- Incident and injury reporting and management.

Periodic – during the season

- Equipment audits - looking for wear and tear, damage, loss
- Grounds and facility audits – looking for wear and tear, damage
- Public areas – looking for risk to public arising from wear and tear.
- Monitor application of club procedures and standards eg; safe training, equipment use, coaching standards etc.
-

Major Events

- Event coordination audit
- Generic audits as appropriate eg; facility, grounds, equipment.

5.4. Risk Audit Checklists

The following series of audit checklists is provided to assist associations, clubs and individuals to meet their obligations for controlling risk.

The checklists are intended for use by clubs and should be incorporated into club hazard identification and risk management programs. They may be used by Individuals to assess activities under their control as well as used in club operational and strategic risk management programs.

Effort has been made to ensure the checklists are as comprehensive as possible. However, users should remember they are generic and intended for broad use in a wide range of scenarios. Users therefore should feel free to amend checklists as necessary to ensure they meet local requirements.

The basis for each is a series of questions prompting consideration of planning, physical and administrative hazards, as well as potential consequences of hazards across all areas of softball administration. Once a hazard is identified as requiring assessment the Risk Management Template should be used to undertake the assessment.

The following checklists are provided:

1. District Association Membership /Affiliation Checklist
2. Club Membership / Affiliation Annual Audit Checklist
3. Fire Safety Checklist
4. Game Training Day Checklist
5. Injury Prevention Checklist
6. Pregnancy Checklist
7. Club Governance checklist
8. Major Event checklist
9. Periodic Facility Checklist
10. Food Preparation/Sale Area Checklist

District Association Membership /Affiliation Checklist

Purpose:

The purpose of this checklist is to:

1. Assist DA and club compliance with SQI membership requirements.
2. To improve risk management standards of SQI member organisations.

The completed checklist should be completed and forwarded to the SQI annually.

Governance (member clubs)	Response /Remarks
Percentage of member clubs that are properly constituted? Calculation method: $\frac{\text{No. clubs constituted}}{\text{No. of member clubs}}$	
Percentage of clubs that are incorporated? Calculation method: $\frac{\text{No incorporated}}{\text{No member clubs}}$	
Is DA properly constituted?	
Is DA management committee established?	
Is the Secretary position filled?	
Are records of management meetings maintained?	
Date of last DA AGM	
Date of last Annual Report presented at AGM?	
District Association (internal checks)	
Finance	
Is a finance officer/treasurer in place?	
Are the organisation's finances managed in accordance with the SQI Constitution and rules of the organisation?	
Is an annual financial statement prepared?	
Does an independent auditor certify the financial statement?	
Insurance	
Does the DA have appropriate insurance cover?	
Personnel	
Are position descriptions available for office bearers?	
Have office bearers received induction into appointments?	
Policy	
Does the DA have a policy manual?	
Are policies readily available to members and clubs	
Is a policy review program in place?	
Risk Management	
Has a risk management coordinator been appointed?	
Has assessment of the following risk areas been undertaken in the past 12 months?	
Playing fields and grounds?	
DA managed public areas/facilities (car parks, paths etc)?	
DA managed/owned equipment?	
Legislative compliance eg, fire regulations, registrations, council by laws etc.	

Secretary Name:

Signature:.....

Club Membership /Affiliation Annual Audit Checklist

Club:For Membership Period:

Purpose: The purpose of this checklist is to:

1. Improve and maintain risk management standards of SQI member organisations.
2. Ensure systems are in place in member organisations that address significant risk factors.

Completed checklist is to be forwarded to DA with membership renewal application.

Governance	Yes	No	Remarks
Is the organisation properly constituted?			
Is the organisation incorporated?			
Is a current constitution in place for the organisation?			
Is a management committee established?			
Is the Secretary position filled?			
Are records of management meetings maintained?			
Was an annual general meeting held in the last FY?			
Was an Annual Report distributed to members last FY?			
Finance			
Is a finance officer/treasurer appointed?			
Is the organisation's finances managed in accordance with the SQI Constitution and rules of the organisation?			
Was an annual financial statement prepared last FY?			
Has an independent auditor certified the financial statement?			
Insurance			
Does the Club have appropriate insurance cover?			
Personnel			
Are position descriptions available for office bearers?			
Have office bearers received induction into appointments?			
Policy			
Does the organisation have a policy manual?			
Are policies readily available to members?			
Is a policy review program in place?			
Risk Management			
Has a risk management coordinator been appointed?			
Have assessments of the following risk areas been undertaken in the last 12 months?			
Playing fields and grounds			
Public areas (car parks, paths etc)			
Equipment condition			
Team official's skills			

Fire Safety Checklist

Association/Club:

Task	Yes	No	Remarks/Action Required
Have required fire periodic inspections been carried out by Fire Services?			
Are fire fighting appliances installed as required?			
Are staff and volunteers trained in the use of appliances?			
Is there an emergency evacuation plan in place?			
Is an emergency evacuation plan displayed?			
Are staff and volunteers trained in the evacuation plan?			
Are evacuation routes kept clear eg: aisles, corridors?			
Are emergency exits kept clear – inside and outside?			
Is easy access to phones in an emergency provided for eg: not locked in offices?			
Are staff and volunteers aware of emergency procedures?			
Are smoke detectors fitted where required?			
Are fitted smoke detectors checked annually eg: battery changed?			
Are electrical appliances/ leads and equipment tagged and tested?			
Are heating units maintained and ducts checked regularly?			
Are chemicals stored safely eg: isolated from general access, in a secure area?			
Is general housekeeping maintained to reduce the risk of fire; eg: <ul style="list-style-type: none"> ▪ Material not stored under stairs. ▪ General cleaning and tidiness maintained. ▪ Outdoor areas kept clear. ▪ Combustible material not stored against building exteriors. ▪ Grass, trees and leaves cleared from building proximities?. 			
Is insurance in place to cover loss by fire?			

Completed by: Date:

Game/Training Day Checklist

Club: Activity:

Playing /Training Area and Equipment	Yes	No	Remarks
Is the diamond area in good condition, free of obstructions, holes etc?			
Have skinned areas been dragged before use?			
Is grass cut to a safe level?			
Are sprinkler covers correctly in place?			
Is fencing in good condition eg; no protruding wire etc.			
Has the area been checked before commencement of the activity?			
Are base areas safe, no ridges on skinned areas, no holes nears bases, are bases properly secured or of an approved portable design?			
Is lighting adequate for throwing and batting activity?			
Have spectator areas been positioned so as to reduce risk of being struck by balls?			
Is training equipment in good condition?			
Where used era extension leads elevated from the ground/moisture areas etc?			
Is player personal equipment in good condition eg: bats, gloves and clothing?			
Has 'battery' training been located in a safe area?			
Is protective equipment in good condition eg: catcher, umpire?			
Is spectator seating in good condition and positioned safely?			
Are change/shower facilities clean and safe for use?			
Are toilet facilities available?			
Planning			
Are those conducting the session qualified to do so or working under direction of a qualified controller?			
Is drinking water available close to the activity?			
Is a stocked first aid kit available?			
Is the person administering first aid suitably qualified?			
Is a list of emergency contact numbers available to the activity coordinator?			
Are arrangements in place for the safe drop off and pick up of junior participants?			
Are arrangements in place for protection of junior players whose parents/guardians are late to collect them after training /games?			
Has a check for adverse weather conditions been undertaken before commencing the activity?			

Are facilities available for proper disposal of rubbish?			
Is required documentation available for the reporting/recording of injury?			
Activity Conduct			
Is a proper warm up/down session conducted on commencement and conclusion of training?			
Is a check of participant injury/restrictions undertaken before training?			
Are sufficient supervisors used?			
Is appropriate access to cool water catered for?			

Completed by Name: Signature:

Injury Prevention Checklist

Association/Club:

Pre- Participation Screening	Yes	No	Remarks
Are participant restrictions identified and appropriately managed as part of club administration?			
Coaches made aware of participant restrictions.			
Appropriate warm up/ cool down stretching and exercises for softball is included in training programs.			
Is training provided to participants in injury prevention?			
Is training planned and conducted according to required safety guidelines?			
Is equipment checked prior to training/ playing?			
Is participation consent obtained before children play softball?			
Is a process in place that gains parental advice on child physical/medical restrictions before they participate in softball?			
Are participants made aware of policies on: <ul style="list-style-type: none"> • Sun safety • Alcohol • Pregnancy 			
Injury Surveillance			
Does the club maintain records of injury?			
Is injury information use to inform injury risk management and prevention activity?			
Are administrators/coaches etc made aware of the injury profile of the club?			
Does the club have a procedure on player return to sport after injury?			
Is a list of emergency contact numbers maintained at training areas?			
Is ready access to water provided for?			
Skills			
Is coaching accreditation/training maintained?			
Does the club use a standard safety brief and provide it to participants before activities?			
Is modified softball properly conducted and supervised by persons aware of rule/condition changes?			
Are appropriate numbers of first aid trained persons maintained?			
Does club policy on training require a qualified first aid person to be present?			
Equipment			
Is equipment required to be checked before use?			

Is equipment properly, and safely stored? Can it be accessed safely?			
Is adequate protective equipment provided?			
Is protective equipment in good condition and safe for use? Is there a process to ensure checks are undertaken?			
Is protective equipment eg; catching gear cleaned to ensure hygiene risk is minimised?			
Playing Surface			
Are playing areas required to be checked for hazards before use?			
Is there a process for reporting of deficiencies/hazards identified during checks?			
Is there adequate lighting for safe play/training?			
Is spectator safety properly provided for?			

Completed by Name: Signature:

Pregnancy Risk Control Checklist

This checklist has been developed to assist Associations and Clubs in dealing with the issue prior to and post notification of a players/officials pregnancy.

Prior to Notification	Yes	No	
Is the obligation of the player/official to notify the Association or Club that the player/official is pregnant as part of registration/membership?			
Are players/officials advised that continued participation in softball during pregnancy poses theoretical risks to them and to their unborn child?			
Are pregnant players/officials advised to seek advice from an appropriately qualified medical practitioner as to: <ul style="list-style-type: none"> ▪ the risks involved in participating in softball while pregnant; ▪ whether it is safe for them to continue participating in softball while pregnant and, if so, for how long they should continue to participate. 			
Prior to Notification (cont)	Yes	No	
Is confirmation sought that medical advice has been obtained by player/officials from their treating doctor as to the above.			
Are the requirements for players/officials to declare pregnancies communicated to club members?			
Are appropriate indemnities and/or releases been included in the team agreement, registration forms or similar documents?			
Is appropriate insurance in place which extends to claims which are made by a pregnant player/official or her child?			
Post Notification	Yes	No	Date Steps Taken
Has the pregnant player/officials sought advice from an appropriately qualified medical practitioner, independent to the Association or Club, as to: <ul style="list-style-type: none"> ▪ The risks involved in participating in softball while pregnant; ▪ Whether it is safe for her to continue participating in softball while pregnant and, if so, for how long she should continue to participate? 			
If upon receiving the advice above has the player/official decided to continue to participate? if so, for how long?			
If the Association or Club is aware that a pregnant player/official either has not obtained appropriate medical advice or is ignoring such medical advice has: <ul style="list-style-type: none"> ▪ counselling the mother to cease competing of her own accord, or out of regard to the unborn child? 			

Club Governance Audit Checklist

Club:

For Period:

Purpose: Administrators should use this checklist to review risk management programs to identify areas of risk where improvement can be achieved. Complete audit checklist annually and retain as club record. Results should guide administrators in development of risk management plans and activity.

Administration	Yes	No	Remarks
Is the organisation incorporated?			
Is the organisation properly constituted?			
Are the constitution/rules current and relevant?			
Does the constitution cover all the area required by the Incorporations Act?			
Have office bearers been provided a copy of the constitution/rules?			
Is a management committee established?			
Is the Secretary position filled?			
Are position descriptions available for office bearers?			
Do office bearers receive inducted to appointments?			
Are records of management meetings maintained?			
Are club records secured to prevent loss by fire, theft etc?			
Was an annual general meeting held in the last FY?			
Are appropriate membership records maintained?			
Is an Annual Report distributed to members each year?			
Finance			
Is a finance officer/treasurer appointed?			
Is the organisation's finances managed in accordance with the SQI Constitution and rules of the organisation?			
Are financial transactions accurately recorded?			
Is income banked promptly?			
Do appointed persons duly authorize all expenditure?			
Is an annual audit conducted of financial records?			
Does an independent auditor undertake the audit?			

Was an annual financial statement prepared last FY?			
Was the financial statement distributed to members?			
Does the club have a financial plan?			
Insurance			
Does the club have appropriate insurance cover?			
Are club owned facilities covered by insurance?			
A facilities appropriately licensed where necessary eg: liquor			
Is appropriate indemnity cover in place for retail/financial activity loss?			
Policy			
Are policies properly documented?			
Are measures taken to ensure members are aware of policies?			
Are policies properly implemented?			
Are policies in place covering: <ul style="list-style-type: none"> ▪ General rules of club ▪ Harassment ▪ Discrimination ▪ Equal opportunity ▪ Drugs –including smoking and alcohol ▪ Child protection ▪ Zero tolerance 			
Is there a program for reviewing policy?			
Planning			
Does the club have a strategic plan?			
Are officials committed to plan implementation?			
Are responsibilities for all aspects of plan allocated?			
Are accident/emergency response procedures in place?			
Is the plan reviewed periodically?			
Personnel			
General			
Are position descriptions available for office bearers?			
Are office bearers inducted to their portfolio responsibilities?			

Are legislative requirements met for salaried employees? eg: <ul style="list-style-type: none"> ▪ Workers compensation ▪ Taxation ▪ Superannuation ▪ Workplace health and safety 			
Is there a dispute/complaint resolution procedure in place?			
Is there a procedure for handling external complaints?			
Are office bearers appropriately skilled?			
Team Officials			
Are there position descriptions for team official positions?			
Do team officials receive induction to positions?			
Do coaches have appropriate accreditation?			
Do all team officials hold appropriate child protection accreditation?			
Are team official skills and performance monitored?			
Is there a team official skills development program?			
Is a register maintained of team official accreditation and qualifications?			
Hazard identification and Control			
Has a risk management coordinator been appointed?			
Are scheduled inspections made of: <ul style="list-style-type: none"> ▪ Facilities ▪ Public areas ▪ Equipment ▪ Training/playing grounds 			
Are checklist used for inspections?			
Are records of inspection maintained?			
Are reports of inspections provided to Club administrators?			
Is a process in place to ensure identified defects are addressed?			
Are risk assessments conducted to address identified hazards?			
Are procedures/policy in place to control known hazards that cannot be removed?			
Is there a procedure in place for reporting accidents/injuries?			

Major Event Risk Audit Checklist

Club:.....

Event Assessed:.....

Purpose: To assist softball organisations to evaluate risk management of major events such as hosting championships, recruitment days etc. Use guide to define scope and management framework, then to identify and list risk that require control. From there management strategies should be developed.

Use this section to describe the significant event planning issues and factors that need to be managed in general terms as well as in relation to risk.

Event Definition (scope)	Considerations
What is the event?	
Where is event to be held?	
When is event to be held?	
What comprises the event?	
Who will participate <ul style="list-style-type: none"> ▪ Competitors ▪ Public interaction ▪ Support staff eg: ambulance, selectors, crowd management, entry control, marketing and sales. 	
Guidelines for running event if any eg; by SQI?	
Who has management responsibility for the event?	
Who is to organize the event?	
What other organisations that will need to interact during the event?	
What are the sponsor opportunities and requirements?	
What is the cancellation policy and authority framework?	

Identify the risks using the following audit checklist as a guide.
 Systems, procedure or action may not be necessary for all items listed. If so then notate nil action required against the item.

Organisation	Yes	No	Action Required / Remarks
Is the event run under the auspices of an Incorporated body?			
Is an organising body needed?			
Has the structure of the organising body been determined?			
Has the organising body been appointed?			
Has the organising body been duly authorized to run the event?			
Are the responsibilities of the organising body appointments defined and clear?			
Have organising body appointees been inducted to their portfolios?			
Are communication and reporting links defined: <ul style="list-style-type: none"> ▪ Within the organising body ▪ Between the organising body and SQI/DA as appropriate 			
Have required permits been obtained where necessary eg; <ul style="list-style-type: none"> ▪ From local council ▪ From Regulatory authorities ▪ For sale of alcohol. ▪ Traffic control/road closures if required? 			
Has a communication plan between all areas of the venue been developed?			
Finance			
Has an event financial controller been appointed?			
Has an event financial plan been developed?			
Are procedures for finance control, transactions and banking specified?			
Have financial transaction record requirements been specified?			
Are event finances segregated from the hosting body accounts?			
Are appropriate safe guards in place to protect event financial assets?			

Insurance			
Is cover required and has it been arranged for: Personal injury Legal expenses Public liability Property/equipment Employee indemnity Cancellation provisions			
Event Staff and Volunteers			
Are responsibilities and functions of event workers defined?			
Is there an induction program for event workers?			
Are event workers appropriately skilled to perform required functions?			
Do any event workers have a role in emergency response?			
If yes above, are they trained in the procedures and use of equipment such as portable fire fighting appliances?			
Do officials and event workers have appropriate qualifications for the tasks allocated?			
Participants			
Is there a need to screen participants in any way eg; to ensure accreditation, registration, skills, child protection etc. Consider: <ul style="list-style-type: none"> ▪ Players ▪ Officials ▪ Umpires ▪ Selectors ▪ Other organisers 			
If yes to the above are appropriate standards established and relevant procedures in place?			
Are procedures in place to ensure non-compliance notification to the organising body?			

Promotion			
Has responsibility for promoting the event been allocated?			
Has an event promotion plan been developed?			
Sponsorship			
Has sponsorship coordination responsibility been allocated?			
Has an event sponsorship plan been developed?			
Do organisers know agreed sponsorship arrangements?			
Are arrangements in place to ensure participants are aware of sponsorships?			
Have checks been made to ensure conflicts between sponsors do not occur?			
Has sponsorship acknowledgment been planned for?			
Emergencies			
Have possible emergency scenarios been identified? Eg; <ul style="list-style-type: none"> ▪ Injury to players or the public ▪ Fire ▪ Gas leak/explosion ▪ Electrocution ▪ Public nuisance 			
Are plans in place to cover such emergencies?			
Is a means of communication between the central control area and outlying venue/playing fields available in case of emergency?			
Have appropriate response / containment plans been developed?			
Is a program to induct participants to emergency plans in place?			
Is a process in place to advise the public how to react in case of emergency?			
Is emergency vehicle access to playing fields adequately catered for?			

Patron Control and Wayfinding Signage			
Has a signage and way finding plan been developed?			
Is appropriate and adequate signage available?			
Is emergency/evacuation signage displayed in buildings and is it compliant with Fire and Emergency Regulations.			
Are entry and exits points to the venue clearly sign posted?			
Is access to the venue from roads safe?			
Is a traffic control plan required and if so is it in place?			
Has a parking plan been developed?			
Is pedestrian access to the venue adequate and safe?			
Accident and Injury Response			
Are procedures in place for responding to accidents?			
Is a first aid facility to be established?			
Are appropriately trained first aid staff or volunteers available to man the post continuously?			
Are participants aware of injury notification protocols?			
Are emergency services response protocols in place and advised to organisers?			
Has access and availability to local medical practitioners been confirmed for the period of the event?			
Have contact details of available medical practitioners been recorded and made available to relevant organisers/team officials?			
Amenities and Facilities			
Is there a pre event facility inspection plan?			
Has responsibility for addressing facility deficiencies been allocated?			
Are adequate shower and toilet amenities available for players and officials?			
Are sufficient toilets available for the public?			

Are toilets readily accessible, are portable toilets/amenity provided at outlying areas?			
Is toilet/amenity maintenance/cleaning arranged and capable of meeting peak demands?			
Is disabled persons access to amenities provided for?			
Is ready access to water provided for participants and patrons, including at outlying playing fields?			
Is adequate shade provided for participants at dugouts?			
Is sunscreen to be provided at the event?			
Is spectator protection from the elements provided for?			
Is there a need to establish alcohol free areas?			
Are amenities clearly placarded?			
Are smoking areas clearly defined and advised to patrons?			
If alcohol is to be consumed are appropriate consumption areas clearly defined and advised to patrons?			
Are provisions in place to prevent under age access to alcohol?			
Waste Management			
Is there a waste collection and disposal plan?			
Are sufficient waste bins located at venue, including outlying playing fields?			
Is emptying of bins scheduled to cater for peak demand periods?			
Equipment			
Has an event equipment inventory been prepared?			
Has equipment been inspected to ensure it meets required standards?			
Has equipment been checked for condition and serviceability?			
Are equipment operators trained to use equipment eg; mowers, pitching machines.			
Are competitors advised of general equipment safety and specific personal protection requirements as appropriate?			
Is a process in place to ensure competitor equipment is			

checked?			
Spectators/Public			
Do spectator/public facilities meet prescribed requirements?			
Are controls in place to prevent spectators entering hazardous areas eg: <ul style="list-style-type: none"> ▪ Bull pens and warm up grounds ▪ Plant and equipment areas ▪ Fowl ball protection 			
Are controls in place for managing: <ul style="list-style-type: none"> ▪ Alcohol sales and consumption ▪ Smoking 			
Playing Grounds			
Is an plan in place to ensure playing fields, warm up areas, pitching cages etc are checked: <ul style="list-style-type: none"> ▪ Pre event ▪ During the event? ▪ On completion of the event? 			

Periodic Facility Maintenance Checklist

Association/Club:

Completed by:

Tick when evaluated and deemed to be in GOOD condition

	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Are all buildings lockable?												
Are buildings safe, secure and in good condition?												
Do facilities meet fire safety standards eg; extinguishers, hoses, signage?												
Have facilities been inspected by fire services in last 12/12?												
Is an evacuation plan displayed?												
Are stairs safe, in good condition, and lit where used at night?												
Are handrails provided for stairs wider than 1 metre?												
Are public areas and general surrounds in safe and good condition?												
Are internal floor surfaces safe and in good condition? eg; carpets do not present trip hazards.												
Is adequate lockable storage available for club assets?												
Are appropriate gender specific amenities provided?												
Is amenity security appropriate – eg; toilet and shower door locks functional?												
Are change room floors safe eg: suitable for cleats?												
Is perimeter fencing in good condition? Does it provide required safety and security?												
Is access to car parks controlled eg: fenced off?												
Is adequate protection from foul balls provided for parked vehicles?												
Is car park access safe? eg; trees do not block street vision on exit.												
Are windows and glass protected from ball impact?												
Is the playing area generally safe? Has it been risk assessed in detail in the last six months?												
Is spectator seating safe and in good condition?												
Are first aid requirements adequately catered for? Eg: is a kit available and maintained?												
Is general tidiness and cleanliness maintained?												

Food Preparation/Kitchen Checklist

Club:

General	Yes	No	Remarks
Are food preparation/sales areas kept clean?			
Is housekeeping maintained to reduce risk of injury from trips/falls etc?			
Are cleaning goods and materials segregated from food preparation areas?			
Is a portable extinguisher located near stoves/grillers?			
Is appropriate fire fighting equipment available?			
Are measures in place to control vermin/pests?			
Is security lighting round the facility adequate?			
Is waste remove promptly and not left in bins for extended periods?			
Equipment			
Are electrical appliances tested and tagged as required by safety regulation?			
Are electrical cords checked regularly to ensure they are in good condition?			
Are electrical items protected by safety switches?			
Is broken equipment repaired promptly?			
Are staff volunteers trained in the use of appliances found in the food preparation area?			
Access			
Is access to food preparation areas restricted?			
Is access behind counters restricted including? <ul style="list-style-type: none"> ▪ Are doors locked during operation? ▪ Is access by jumping counter denied? 			
Do cash handling practices place workers at risk from robbery? <ul style="list-style-type: none"> ▪ registers located at/on front counters ▪ bulk cash (floats/takings) is not removed and kept secured out of view? 			
Is safety during banking provided for by: <ul style="list-style-type: none"> ▪ varying routines ▪ reconciliation/banking is not done alone ▪ banking at night is a voided ▪ inconspicuous carry bags are used 			

<ul style="list-style-type: none"> ▪ escorting workers to car parks when carrying cash 			
Health Protection			
Is there a stock rotation program in place to ensure food is not sold/consumed 'out of date'?			
Are food handling procedures in place? Including: <ul style="list-style-type: none"> ▪ hand washing ▪ wearing gloves ▪ temperature monitoring in display cabinets 			
Are staff (including volunteers) made aware of them?			
Is compliance to food handling protocols enforced?			
Are freezers/cold rooms etc cleaned on a scheduled basis?			
Are BBQs cleaned after use?			

Completed by Name:

Signature:

6. RISK MANAGEMENT POLICIES

Part 6 contains Softball Queensland Inc endorsed policies that address specific areas of risk applicable to softball administration, planning and participation. The policies cover key areas of risk common to all clubs and for which the standard control strategies contained within each policy are required to be adopted by clubs.

In most instances the policies are directly applicable to Districts and Clubs and do not require amendment. Associations and clubs may however amend policies to meet local requirements provided the intent and purpose of the amendment does not deviate from that of the Softball Queensland Inc version.

Policies provided on the SQI website are:

1. Softball Queensland Risk Management Policy Statement
2. Zero Tolerance Policy
3. Codes of Ethics:
 - General Code
 - Administrators
 - Coaches
 - Parent / Guardian
 - Players
 - Spectators
 - Umpires
 - Officials
4. Member Protection
5. Sunsafe
6. Pregnancy
7. Hot Weather