

SWIMMING WELLINGTON RISK REGISTER													
This register is used to record and monitor risks identified by Swimming Wellington.													
Risk ID No.	Risk	Risk Description	Event (to trigger result/impact)	Result (if event took place)	Impact (on Swimming Wellington)	Risk Area (S=Strategic O=Operational)	Mitigating Action/Contingency Plan	Action Progress	Likelihood Score	Impact Score	Current Risk Rating	Risk Owner	Comments
FINANCIAL													
F1	Loss of Revenue	Decline of entries for Swimming Wellington events	10%-15% decrease in entries	Swimming Wellington does not secure the income it was hoping to from swim meets	Income is below that expected, we are unable to properly resource and sustain organisation	S	Review of the meets in terms of marketing, fee structures.		3	3	12	Board	Contingency fund would provide salary for 1 year.
F2	Loss of Funding	Grant funding not received or expected grant funding amounts not obtained	Regular decline in grant, change in funding model/policy by funders	Decrease in operating income, unable to operate sufficiently	Inability to provide full services and operate	S	Relationship management, communication, being aware of funding model changes		4	4	20	Resource Committee	Stakeholder Management Plan
F3	Significant Cost Increase	Significant increase in pool and facility hire	Council change in funding model for facilities	Unable to hold swim meets due to cost	Swimming Wellington affected financially, unable to sustain organisation	S	Building on stakeholder relationship with councils Working with Sport Wellington re Regional Development Strategy		5	5	25	Resource Committee	
F4	Misuse / Misappropriation	Staff misuse of Swimming Wellington systems and money	Discrepancies in purchases and invoices and unidentified movement of money Unapproved purchases	Unavailability of funds, loss of revenue, litigation, reputational damage.	Reduction of available funds HR implications	S	Policies in place, nothing signed off without Treasures approval Accounts reviewed annually	Enforce two week annual leave for staff	1	1	2	Board	Review at change of personnel to ensure mitigations are still appropriate Make sure signatories are not from same family
F5	Poor Financial Control	Lack of expertise and management of Swimming Wellington by the Board	Approvals made without considering financial implications	Exposure to financial risk	Funds not available as spent elsewhere, safe operation of the organisation, viability of organisation	S	Ensuring due process is followed Ensuring Board skills matrix ensures Board has some finance expertise External advice sought when required		2	2	6	Board	
F6	Interest Rate Changes	Poor management of Swimming Wellington investments				S						Ops Mgr./Treasurer	
F7	Investment Spread	Investments not adequately spread over different accounts to manage risk	Making a poor investment decision	Loss of funds, reputational damage	Swimming Wellington affected financially, brand not favourable in community	S	Robust Board decision making External advice where necessary A balanced Board		2	2	4	Ops Mgr./Treasurer	If above \$50k, seek external advice If money available to invest, a business case to be made to spend the money
MEMBERSHIP/PARTICIPATION													
M1	Loss of trust	Loss of trust amongst members of Swimming Wellington community (e.g. members, councils, Sport Wellington, Sport NZ, key stakeholders)	Feedback from members via survey after swim meet Feedback from a disgruntled stakeholder Lack of good practice and process Media	Loss of competency in the leadership structure Reputational Damage Financial implications Membership loss	Not seen as a reputable organisation Resignation of volunteers Loss of funding Removal of the organisation	S	Clear guidelines and practices for dealing with issues Responding quickly to any concerns raised Mindful of timeframes when providing messages to the swimming community	Board to consider testing important decisions with members	3	3	9	Board	
M2	Privacy / Information	Illegal access to database or private information	Private information exposed Gossip	Loss of trust Dealing with complaints Reputational damage	Face legal proceedings Contravened Privacy Act	O	Access to database limited and managed by Ops Mgr. and Swimming Wellington Compliance with Privacy Act Swimming NZ Code of Conduct Adhering to core values		3	3	9	Ops Mgr.	Depending on seriousness would escalate to Board
STAFF/VOLUNTEERS													
S1	Loss of experience / knowledge	Key staff leave Swimming Wellington resulting in key knowledge and skills no longer available	Resignation Death Termination of contract	Loss of key skills and knowledge, organisation unable to continue with day to day procedures Unable to access important information	Unable to efficiently operate as an organisation Inability to deliver on core functions of the organisation	O	Processes in place to ensure that institutional knowledge is captured and maintained Central filing system HR processes robust and in place		3	3	9	Chair	
S2	Loss of experience/knowledge	Key volunteers leave Swimming Wellington resulting in key knowledge and skills no longer available	Swim meets - lack of usual number of volunteers to fill meet positions Club AGMs not willing to step up in governing roles	Unable to run swim meets	Unable to efficiently operate as an organisation Inability to deliver on core functions of the organisation	O/S	Processes in place to ensure volunteer feedback is obtained regarding their experience with the organisation, continue to look to look after our volunteers		3	3	9	Board	
S3	Balance of skills required	Balance of skills not maintained amongst staff and volunteers resulting in gaps of knowledge and skills	Impact of loss, combine above			O	Sound hire process, skills required for current climate		2	2	4		
S4	Ability to replace	Unable to obtain staff/volunteers with necessary skills and knowledge to fill positions within organisation				O							
S5	Increase in workload / responsibility	Wellbeing of operational staff and Board Members	Resignation Health Lack of prioritisation Unexpected work	Operational staff	Unable to efficiently operate as an organisation Inability to deliver on core functions of the organisation	S/O	Prioritising workload at operational and strategic Level Quick response when an issue is raised	Process for adding work to Operational Managers to do list Board understanding of operational processes	4	4	16	Chair/Ops Mgr.	Boundaries between operational and governance not recognised
POOLS/FACILITIES													
P1	Pool closures	Unplanned closure of regional pools affecting swimming events	Natural disaster Health and safety issue Unplanned repairs	Disruption to training and swim meets Potential loss of membership Loss of club if no longer able to use pool facilities	Revenue and membership decrease	O	Reschedule event if temporary closure Long term look to hold meets in other regions	Discuss with other regions around use of their facilities should ours be unavailable for long periods of time.	3	4	12	Ops Manager	If financial risk, risk would sit with the Board.
P2	Pool certification / standards	Standards of regional pools not met				O	Survey of pools, make sure they are appropriate for swim meets. Ensure council are meeting their obligations.						
P3	Health & Safety	Health and Safety standards at regional pools used for Swimming Wellington events not met	Due diligence checks finds health and safety standards not met	Have to find an alternative venue or reshcedule/delay event	Financial and reputational impact	O	Due diligence of all facilities used by Swimming Wellington for all swim meets	Continue to make sure facilities meet all of our H&S requirements prior to swim meets and ensure adequate processes in place to undertake due diligence	2	3	6	Ops Manager	
P4	Event booking constraints	Pools not available for regional events due to calendar clashes / facilities not adequate for events	Change of pool management. Change of operating policy by the pools	Loss of income Swim meets not held Reputational damage	Financial and reputational impact	O	Bookings made as early as possible to ensure facilities are available for regional swim meets		2	3	6	Ops Manager	Whilst inconvenient we would likely find another pool
P5	Pelorus Trust Sportshouse	Tenancy not available at end of fixed term agreement	Pelorus inform us tenancy no longer available at Seaview sportshouse.	Required to find alternative tenancy elsewhere	Financial, pay more in rent and pay to move.	O	Continue to communicate with Pelorus on a regular basis to ensure so surprises regarding tenancy.	Look to potentially have an alternative premises not just for loss of tenancy but during an emergency if Pelorus Sportshouse not available.	1	1	1	Ops Manager	
P5	Information Technocology	Systems failure or Swimming Wellington system hacked	Virus/malware alert System unable to be used	Loss of data files for a certain period of time Loss of time to recover Financial to rebuild system	Financial, loss of historic information	O	Daily back up Hardcopies of information Backup saved offsite	Put a policy into place around the use of email, internet and computer systems	4	5	20	Ops Manager	
P6	Technology at Pools	IT equipment at pools fails during swim meets	IT systems fail during an event	Unable to run a swim meet efficiently	Reputational damage, financial damage, loss of time if having to run manual swim meets	O	Have a process in plan to following should IT equipment ever fail at a Swim meet	Ensure processes are in place to run a manual meet if technology fails Training administrators on how to hold manual meets.	3	3	9	Ops Manager	
IMAGE/REPUTATION													

R1	Leadership	Lack of appropriate leadership of Swimming Wellington Board and organisation	Unschedule departure of a Board Member Perception of Swimming Wellington Leadership is negative Lack of or gaps in Swimming Wellington skillset Conflicts of interest of Board Members Due process and constitution not followed	Decisions made have a negative impact on swimming community Negative effect on employees and other Board Members Direction lost and strategic plan unobtainable	Reputational, loss of staff, sponsorship, ability to run events, community loses confidence in swimming	S	Succession plan Right Culture Having an effective recruitment plan Dealing with ineffective members of Swimming Wellington	Board to evaluate themselves annually. Sport NZ may be able to help with this. Implement a success plan.	3	5	15	Board	
R2	Sustainability	Swimming Wellington not a sustainable organisation in terms of processes and having an effective Board	Unexpected costs, poor practice or procedures, legal event.	Ability to main a viable and operational organisation	Reputational, financial, loss of staff and trustees	S	Finance, direction, personnel, best practice and review	Look to ensure organisation is sustainable financially, strategically and operationally	3	3	9	Board	
R3	Quality	The quality of the organisation and service provided by Swimming Wellington is questionable											
GOVERNANCE/PLANNING													
G1	Decision making	Poor decisions made by Swimming Wellington staff and Board, no robust decision making process, decisions not in line with Strategic Plan	Ad hoc decisions due to time pressures Complaint made of Swimming Wellington Poorly researched or discussed decisions Lack of information to make a decision Personal agendas	Poor decisions made which have a negative impact on the organisation	Reputational, financial, loss of staff and trustees	S	Decision Register implemented for Board to refer back to Skills Matrix for Board Implemented	Thorough discussions held around important decisions, test decisions within swimming community, keep decisions in line with Strategic Plan Training and Development plan and budget for Board Members, signed annual letter of expectation letters for Board Sound Board selection and exit process	2	3	6	Board	
G2	Succession	No current succession plan in place	Retirement/resignation of a board member, chair and staff member, end of Board Term	Skill shortage, no one to lead the organisation, ineffective leadership, poor decision making	Reputational	S	Implement a succession plan and process	Board Members to have open discussions around succession	4	5	20	Board	
G3	SW Constitution / Policies	Constitution and policies not kept updated and relevant	Something happening and we don't have a policy to refer to	Legal implications, financial implications, adhoc decision making, poor practice	Reputational damage, financial damage, loss of staff or Board Members	S/O	Annual policy reviews - see policy review register Policy Audit	Look at where the gaps are and draft policies for Board to review	3	3	9	Ops Manager/Board	
G4	Legislative Acts / Bills / FINA / SNZ Rules	Swimming Wellington not compliant with all legal aspects and relative Acts, Bills and governing body rules and regulations	New policy/legislation rolled out that affects Swimming Wellington	Legal implications, financial implications, adhoc decision making, poor practice	Reputational damage, financial damage, loss of staff or Board Members	S/O	To keep up to date with any changes to legislation or governing body		2	3	6	Ops Manager/Board	
EVENTS													
E1	Injury	Inadequate Health and Safety systems in place during events	Clubs or Region have not ensured the necessary notices and advanced notification have been met, and meet guidelines have not been adhered too	Potential injury to Swimmers, Officials or Staff	By not following the correct guidelines, SW could be prosecuted	S/O	Health and safety process and procedures implemented in line with new Health and Safety Act						
E2	Not meeting need	Swimming Wellington not meeting the needs of swimming community	Turn down in numbers attending meets	Loss in revenue and unable to meet the costs of hosting	Unsustainable costs covered could result in job loss	S							Is our sport relevant, are we meeting the needs of the swimming
E5	Disruption / Cancellation	Closures for unscheduled maintenance, natural disaster or Health and Safety issues	Mechanical malfunctions or code brown	Re-schedule or cancellation to meet	Financial and reputational impact	O							
E6	Event costs, Cost of participation / competition	Cost to hold events too great	Continued increase in costs may make the sport too expensive to run	Drop off in events for NZ qualifying times or regional events	Drop in numbers	S/O	Forming relationship with councils to ensure costs are within reason						
E8	Decline in competitive numbers	Numbers of competitive swimmers for the region declines significantly	Clubs or Region to ensure that sport continues to develop pathways for young swimmers.			S							Communication cost of events, quality of facilities, competing with other aquatic sports, demands on pool for public requirement,
E9	Decline in admin and/or volunteers	Volunteer numbers required to assist with swimming events in the region decline	Move up to S section			S/O							

RISK REGISTER KEY		
LIKELIHOOD		
5	Almost Certain	The risk is almost certain to occur (greater than 80% chance)
4	Likely	The risk is more likely to occur than not (between 50% and 80% chance)
3	Possible	The risk is fairly likely to occur (between 21% and 50% chance)
2	Unlikely	The risk is unlikely but not impossible to occur (between 6% and 20% chance)
1	Rare	The risk is unlikely to occur (<5% chance)
IMPACT		
5	Extreme	Significant resources required to recover from impact. Legal consequences resulting in prosecution. Financial loss >\$500,000+ Staff, contractor or visitor involved in a fatal event. Adverse media coverage for an extended period. Complete loss of service delivery affecting all Swimming Wellington critical functions. Swimming NZ intervention required.
4	Major	Service lost for period exceeding 1 week. Financial loss \$100,000 – \$500,000 Adverse media coverage for 1 week. Internal investigation or by an external source/regulator. Staff contractor or visitor suffers serious injury. Impact to multiple and diverse areas of the business. Significant Board intervention required including external assistance.
3	Moderate	Service lost for period 1 – 5 days. Financial loss \$10,000 - \$100,000. Internal event review required. Moderate injury equivalent to staff requiring time < 5 days away from work. Adverse media coverage for 1 day.
2	Minor	Losses may disrupt services for a short period. Financial losses may be in the region of \$10,000 Disruption to a single area of the business.
1	Insignificant	Consequences are very low, minor disruption.
RISK SCORE		
14 or more		Risk Score is <b>High</b>
8 to 13		Risk Score is <b>Significant</b>
4 to 7		Risk Score is <b>Moderate</b>
3 or less		Risk Score is <b>Low</b>