

# SCWC swimming clubs annual Internal audit questionnaire

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Club name:

Date:

An internal audit questionnaire helps to evaluate the internal controls in place for the clubs processes. It helps SCWC to identify areas of risk and assess the strength of the clubs internal control structure.

An audit questionnaire is not a “we must say yes to every question”. It should take 5 minutes to complete and is there to help committees see where they sit now and what they need to do in the following year.

## Governance

	Yes	No	Comment / Evidence
1. The club is incorporated?	<input type="checkbox"/>	<input type="checkbox"/>	
2. The club has a constitution?	<input type="checkbox"/>	<input type="checkbox"/>	
3. The constitution is compliant with Swimming NZ?	<input type="checkbox"/>	<input type="checkbox"/>	
4. The club has a disputes and disciplinary policy?	<input type="checkbox"/>	<input type="checkbox"/>	
5. The club has implemented the SCWC member protection policy?	<input type="checkbox"/>	<input type="checkbox"/>	
6. The club has a health and safety policy?	<input type="checkbox"/>	<input type="checkbox"/>	
7. The policies have been reviewed within the last two years?	<input type="checkbox"/>	<input type="checkbox"/>	
8. Health and safety is included on every committee meeting agenda?	<input type="checkbox"/>	<input type="checkbox"/>	

## Planning

9. The club has a long term strategic plan?	<input type="checkbox"/>	<input type="checkbox"/>	
10. The strategic plan is regularly reviewed at committee meetings?	<input type="checkbox"/>	<input type="checkbox"/>	
11. All positions on the club committee are filled?	<input type="checkbox"/>	<input type="checkbox"/>	
12. Each committee meeting achieves a quorum?	<input type="checkbox"/>	<input type="checkbox"/>	
13. Coaching positions are filled before the first event of the year?	<input type="checkbox"/>	<input type="checkbox"/>	

## Workers

14. The club employs someone?	<input type="checkbox"/>	<input type="checkbox"/>	
15. The club has a written employment agreement for every employee?	<input type="checkbox"/>	<input type="checkbox"/>	
16. The club hires a contractor?	<input type="checkbox"/>	<input type="checkbox"/>	
17. The club has a written contractor agreement in place?	<input type="checkbox"/>	<input type="checkbox"/>	

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<b>Financial</b>	Yes	No	Comment / Evidence
18. The club prepares an annual financial statement?	<input type="checkbox"/>	<input type="checkbox"/>	
19. The club has an external annual financial audit?	<input type="checkbox"/>	<input type="checkbox"/>	
20. The club has filed financial documents with the companies' office?	<input type="checkbox"/>	<input type="checkbox"/>	
21. The club prepares an annual budget?	<input type="checkbox"/>	<input type="checkbox"/>	
22. The club has two signatories to approve every payment transaction?	<input type="checkbox"/>	<input type="checkbox"/>	

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**Risks**

23. The club has a code of conduct?	<input type="checkbox"/>	<input type="checkbox"/>	
24. The code of conduct includes the banning of drugs and alcohol?	<input type="checkbox"/>	<input type="checkbox"/>	
25. The code of conduct has been signed by all club members?	<input type="checkbox"/>	<input type="checkbox"/>	
26. The club has a health and safety plan in place for their employee?	<input type="checkbox"/>	<input type="checkbox"/>	
27. The club has a health and safety plan in place for their members?	<input type="checkbox"/>	<input type="checkbox"/>	
28. The club has a health and safety plan in place for their contractors?	<input type="checkbox"/>	<input type="checkbox"/>	
29. The club has a RAMS form for away meets?	<input type="checkbox"/>	<input type="checkbox"/>	
30. The RAMS form is signed by team managers for away meets?	<input type="checkbox"/>	<input type="checkbox"/>	
31. The club has an information form to collect details for away trips?	<input type="checkbox"/>	<input type="checkbox"/>	
32. The information form is filled in by all travelling team members?	<input type="checkbox"/>	<input type="checkbox"/>	
33. All team managers are police vetted?	<input type="checkbox"/>	<input type="checkbox"/>	
34. All coaches are NZSCTA registered or are police vetted?	<input type="checkbox"/>	<input type="checkbox"/>	

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**Communication**

35. The club annually seeks feedback from their members?	<input type="checkbox"/>	<input type="checkbox"/>	
36. Club committee member details are available to club members?	<input type="checkbox"/>	<input type="checkbox"/>	
37. The club regularly informs parents or guardians of the 12 year and under SCWC swim wear policy?	<input type="checkbox"/>	<input type="checkbox"/>	
38. The club regularly informs swimmers of the strapping rule and swim wear rule for those travelling to another region or to SNZ events?	<input type="checkbox"/>	<input type="checkbox"/>	
39. The club informs national swimmers before each national meet of drug testing and banned substances?	<input type="checkbox"/>	<input type="checkbox"/>	
40. The club regularly informs parents or guardians of the supervision requirements for young children at swimming competitions?	<input type="checkbox"/>	<input type="checkbox"/>	

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### Training

41. Local team managers have been trained for local meets?
42. Away team managers have been trained for away meets?
43. The club assists coaches to undertake development training?
44. The club currently has technical officials undertaking training?
45. The club has induction training for new employees or contractors?

### Incidents

- |  | Yes                      | No                       | Comment / Evidence |
|--|--------------------------|--------------------------|--------------------|
| 46. The club has an incident register?                               | <input type="checkbox"/> | <input type="checkbox"/> |                    |
| 47. The committee and officials understand what an incident is?      | <input type="checkbox"/> | <input type="checkbox"/> |                    |
| 48. The club has an incident investigation form?                     | <input type="checkbox"/> | <input type="checkbox"/> |                    |
| 49. The committee knows what incidents need to be investigated?      | <input type="checkbox"/> | <input type="checkbox"/> |                    |
| 50. The committee knows what incidents must be notified to WorkSafe? | <input type="checkbox"/> | <input type="checkbox"/> |                    |

### Participation

51. The club has at least 15 members?
52. The club has an up to date list of technical officials?
53. The club has an up to date list of support officials?
54. The club has an up to date membership list?
55. The club has volunteers at every event they attend?

### Emergencies

56. All away teams include a current certified first aider?
57. Team managers know what to do when a swimmer is missing?
58. The club has an emergency plan for their members?

**This internal audit questionnaire  
was completed by:**

NAME

SIGNATURE

### Notes:

1. Please send your completed questionnaire to SCWC administrator before the annual SCWC AGM
2. Each year four clubs will be asked to provide a list of police vetted team managers and coaches.