

ANNEX 2 – RISK MANAGEMENT MATRIX

The following Risk Matrix discusses New Risks (N) - those not previously identified in the PDD and also provides additional information on existing risks discussed in the PDD Annex 10.

L = Likelihood (5 = almost certain, 4 = likely, 3 = possible, 2 = unlikely, 1 = rare); C = Consequences (5 = severe, 4 = major, 3 = moderate, 2 = minor, 1 = negligible); R = Risk Level (5 = extreme, 4 = very high, 3 = high, 2 = medium, 1 = low)

Identified Risk	Impact on Project	L	C	R	Risk Management Plan	Responsible
GoV leadership does not support sectoral approach throughout 2012 or no longer supports Australian assistance to the sector	<ul style="list-style-type: none"> Partnership objectives cannot be achieved Partnership would not proceed to Stage Two Change of counterparts within the MJCS 	2	5	3	<ul style="list-style-type: none"> GRM to closely monitor GoV priorities and adapt design for Stage Two to reflect reality particularly following the elections in Nov 2012. 	GoV, GoA and GRM
TA personnel unable to find balance between in-line and capacity development work	<ul style="list-style-type: none"> Dependence on external personnel for in-line duties International personnel may be drawn into potentially sensitive cases, placing strain on the relationship between GoA and GoV Capacity of national staff not increased and sustainability not achieved 	3	4	3	<ul style="list-style-type: none"> GRM to work with GoV stakeholders and GoA to undertake targeted recruitment for all TA positions, focussing on engaging technically competent personnel who possess high level experience in capacity development and cross-cultural understanding. GRM, host agencies and MoJCS to reach clear understanding on roles of TA before recruitment. GRM, host agency and MoJCS to agree clear co-management arrangements and lines of reporting before recruitment and monitor these during implementation. GRM to ensure regular monitoring reports are completed by TA in relation to capacity development activities and outcomes. GRM to employ a range of cross-sector capacity 	GRM, GoV

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					<p>development activities to complement and add to the work undertaken by TA personnel.</p> <ul style="list-style-type: none"> Joint management arrangements will specify that in-line work must be approved on a case by case basis by AusAID 	
Sustainability of program outcomes	<ul style="list-style-type: none"> Partnership outcomes are not sustained after the life of the program. 	3	4	3	<ul style="list-style-type: none"> Participatory approach to develop strong stakeholder involvement. Effective monitoring and evaluation throughout the life of the program will ensure opportunities for reflective engagement to assess and if necessary, adjust implementation to improve performance. 	GoV, GoA, GRM
MoJCS unable to coordinate planning across the sector	<ul style="list-style-type: none"> Agencies unable to plan and implement the Sector Strategy and Action Plan 2009 – 2014 	3	3	4	<ul style="list-style-type: none"> GRM to provide MoJCS and HoAGs with opportunities to reflect on and build key leadership skills to enable them to manage coordination efforts. Partnership Coordinator to work closely with MoJCS to develop a system to closely monitor implementation of the sectoral strategy. Partnership Coordinator & MoJCS supported by TA to consult with HoAGs and individual agency heads to determine priorities within the sector plan and realistic strategies to achieve them. Partnership to support practical cross sectoral collaboration on concrete issues to encourage ownership of the strategy and to help make it more concrete. 	GRM and GoV
Partnership personnel and TA unable to develop trust and work collaboratively with ni-Vanuatu counterparts	<ul style="list-style-type: none"> Partnership activities are delivered without real ownership by GoV agencies and ni-Vanuatu personnel Effectiveness of Partnership is lessened Sustainability of outcomes weakened 	3	4	4	<ul style="list-style-type: none"> Partnership Coordinator and other nominated personnel have proven ability to establish relationships of trust and to work collaboratively in other Pacific Island Countries. Performance of all contracted staff will be monitored and supported by Partnership Coordinator. As required, Contractor Representative will meet independently with GoV partnership personnel and AusAID to monitor quality of work of all personnel. 	GRM, GoV and GoA
TA personnel do	<ul style="list-style-type: none"> TA is ineffective and personnel are 	3	3	3	<ul style="list-style-type: none"> Partnership Coordinator and host agency managers will 	GRM and

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not receive consistent instructions or supervision from the Partnership Coordinator and their GoV host agency managers	<p>potentially professionally compromised</p> <ul style="list-style-type: none"> Breakdown of communication between participants in the partnership Partnership is ineffective and unsustainable for second stage 				<p>jointly develop terms of reference for all TA personnel</p> <ul style="list-style-type: none"> Partnership Coordinator and host agency managers will agree clear lines of reporting and methods of management for all TA personnel, including procedures for resolving differences in opinion. 	GoV host agencies
Insufficient numbers of skilled ni-Vanuatu lawyers and middle management, leadership within public sector	<ul style="list-style-type: none"> High reliance on external/foreign lawyers Lack of sustainability 	3	3	4	<ul style="list-style-type: none"> GRM to ensure that all TA personnel provide extensive support to ni-Vanuatu lawyers through mentoring and other capacity development activities. Partnership to undertake research into the reasons for low recruitment and retention rates for ni-Vanuatu lawyers. All partners to prioritise efforts to promote increased numbers of ni-Vanuatu lawyers through USP and other institutions which may require differentiated approaches for different organisations / institutions. Partnership will consult with agencies to develop a sustainable internship program. <p>Partnership to work with agencies on succession planning and capacity development of middle management to retain qualified staff.</p>	GoV, GoA and GRM
Lack of overarching public communications or relations strategy	<ul style="list-style-type: none"> Agencies suffer from a lack of community understanding of their role Agencies are unable to communicate effectively with each other 	4	3	3	<ul style="list-style-type: none"> GRM to build on the work done by the Australian Youth Ambassador who worked as a Communications Officer and initiated improvements in communications with agencies. GRM to work closely with MoJCS and agencies to develop a communications/public relations strategy. 	GoV, AusAID, GRM
Gender and disability not effectively mainstreamed	<ul style="list-style-type: none"> Activities may compound current inequalities, contribute to further problems and work at cross-purposes with other activities 	4	3	2	<ul style="list-style-type: none"> All activities delivered with GoV agencies and other stakeholders will consider gender and disability as cross cutting issues. All staff and sub-contractors engaged on Partnership supported activities will be briefed on key gender equity 	GRM, AusAID and sub-contractors

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					<p>issues they are likely to encounter and will be required to both address and report on gender and disability equity in their work.</p> <ul style="list-style-type: none"> Partnership Coordinator will explore with MoJCS how its responsibility for UN Conventions on rights of women, children and people with disability can be used to encourage mainstreaming of these issues in line with GoV policy. 	
GoV unable to complete a costed implementation plan	<ul style="list-style-type: none"> Years 2 to 4 of Partnership are not clarified 	4	3	4	<ul style="list-style-type: none"> During Stage One, the Partnership Coordinator will assess individual agencies' plans and costings to assess feasibility of a unified plan. Partnership Coordinator to work closely with GoV and GoA to clarify the respective roles and responsibilities of all partners in relation to the development and completion of a costed implementation plan. 	GoV, GoA and GRM
2012 election results in change of GoV	<ul style="list-style-type: none"> Relationship with GoA may change GoV priorities may change 	3	3	3	<ul style="list-style-type: none"> Approach to program implementation will be flexible and responsive to meet GoV and GoA priorities and objectives. Partnership Coordinator to closely monitor GoV priorities. 	GoV, GoA and GRM
Corruption within GoV, GRM or recruited advisers	<ul style="list-style-type: none"> Partnership effectiveness diminished through decrease in funding available for the sector Reputation of GoA and/or GoV damaged 	4	3	3	<ul style="list-style-type: none"> Partnership Coordinator and Contract Manager will work with MoJCS to establish and monitor transparent disbursement and acquittal procedures. All recruited personnel will be subject to police checks. GRM will conduct further risk and mitigation analysis prior to any large scale expenditure such as infrastructure or refurbishment. 	GoV, GoA and GRM
Benefits of program do not reach beyond Port Vila	<ul style="list-style-type: none"> Access to the formal legal system remains limited outside of Port Vila Majority of population unaware of partnership and do not benefit from it 	4	3	3	<ul style="list-style-type: none"> Partnership Coordinator to work closely with GoV and relevant NGOs, community and church based groups within the sector to develop sustainable strategies and activities that will improve access to justice outside Port Vila during Stage One, including support for GoV policies to enhance both the formal and the informal justice systems which the Partnership will seek to progress consistently throughout 	GoV and GRM

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					<p>the program.</p> <ul style="list-style-type: none"> As required, the Partnership will support initiatives aimed at piloting or establishing community and island based service delivery mechanisms, e.g. for child protection 	
Weak GoV leadership and capacity in sector and/or individual agencies	<ul style="list-style-type: none"> Senior officials within the sector rely heavily on TA personnel to achieve goals and objectives 	3	3	3	<ul style="list-style-type: none"> Leadership by GoV and supported by Partnership Coordinator. Partnership to focus on capacity development activities to build the quality and skills required for good leadership of sector agencies and to promote a holistic view of institutional development needs. Support the development of sustainable recruitment and HRD strategies 	GoV and GRM
Inconsistency in approach by the Vanuatu Australia Police Project (VAPP) and the Partnership	<ul style="list-style-type: none"> Possible duplication of activities Possibility of inconsistent messages delivered by both programs to GoV 	3	3	3	<ul style="list-style-type: none"> GoA agencies to communicate regularly in relation to program activities and outcomes. GoA agencies to focus on providing GoV with a coordinated and cooperative approach across the sector. VAPP Team Leader to meet regularly with Partnership Coordinator. 	GoA agencies
Logistical challenges associated with geographical isolation and access to L&J services	<ul style="list-style-type: none"> Difficult for rural ni-Vanuatu population to have any form of access to central agency services, particularly formal legal services 	3	3	4	<ul style="list-style-type: none"> Partnership Coordinator to work with M&E Specialist, GoV, NGOs, community and church groups within the sector to effectively monitor service delivery outside of Port Vila. Research to be undertaken into the interface between formal and kastom law and how they can both be strengthened to support rural communities in Stage Two. All recruited TA must be willing to spend time outside of Port Vila. Partnership to consult with key sector agencies on the possibilities for streamlined, innovative models of rural service delivery 	GoV and GRM
New Partnership program too broad in size and focus	<ul style="list-style-type: none"> Too many focal points, leading to ineffective activities and wastage of program funds. 	3	2	3	<ul style="list-style-type: none"> M&E Specialist to undertake an ongoing assessment of all program activities and how they are contributing to the higher level outcomes. 	GoV, GoA and GRM

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					<ul style="list-style-type: none"> GoA and GoV to conduct their own monitoring to ensure program activities are well-targeted and meaningful. Partnership Coordinator and MoJCS, in collaboration with HoAGs, will develop focused criteria for capacity building support activities Develop a small grants scheme with clearly delineated strategic criteria but that will also be capable of responding rapidly to emerging issues and unexpected requests 	
Natural disasters	<ul style="list-style-type: none"> Program implementation delayed 	2	2	3	<ul style="list-style-type: none"> Emergency Response Plan developed by GRM. 	GRM
GoV budget not sufficient to support leadership for sector priorities	<ul style="list-style-type: none"> GoV unable to provide financial support to sector coordination 	2	2	1	<ul style="list-style-type: none"> As outlined in PDD, GoV has demonstrated ability to coordinate without a great deal of budget resources. 	GoV and GRM