

**S**TRIVE Stage 2  
ANNUAL PLAN 2010/11

**ANNEX J**  
*Risk Management Plan*

The Risk Management Plan contains an assessment of risk based on the following criteria:

L = Likelihood of occurrence (1=Rare; 2=Unlikely; 3=Possible; 4=Likely; 5=Almost certain)

C = Consequence of occurrence (1=Negligible; 2=Minor; 3=Moderate; 4=Major; 5=Severe)

R = Risk level Combination of the two assessments (E=Extreme; H=High; M=Medium)

SOURCE OF RISK	RISK EVENT	Ranking			RISK TREATMENT	RESPONSE
		L	C	R		
<b>FINANCIAL &amp; ECONOMIC RISK</b>						
1. Inadequate Budget Allocations made by National/ Regional/ Provincial/ District and School bodies to support Program.	Insufficient resources supplied by counterparts in support of the Program.	2	4	M	<ul style="list-style-type: none"> <li>RO reports problems to the EDPITAF and DBM immediately upon identification;</li> <li>Resolve problems at the Program level, if possible. If not resolved, MC to advise AusAID.</li> </ul>	DepED AusAID MC
2. Schedule of fund releases.	<ul style="list-style-type: none"> <li>Inability or delays in achieving desired Program outputs.</li> <li>Program team members may not pursue Program activities.</li> </ul>	4	3	H	<ul style="list-style-type: none"> <li>Consider GOA advancing funds for GOP.</li> <li>DepED (RO and EDPITAF) to comply, as scheduled, with the documentary requirements for the processing of budget releases.</li> </ul>	DepED MC
3. Incentives (e.g. service credits, travel allowances, overtime pay and backfilling) required under employment conditions are not provided by DepED	<p>DepED participants are not motivated to participate in Program activities in addition to their regular workload due to:</p> <ul style="list-style-type: none"> <li>Non-approval/delayed of OT request</li> <li>Delayed payment of claims</li> </ul> <p>Participants pay their own travel and other disbursements to participate and later seek reimbursement from</p>	3	3	M	<ul style="list-style-type: none"> <li>DepED participants need to plan workloads to accomplish tasks within regular work hours assigned.</li> <li>DepED to ensure timely transfer and disbursements of funds to implementing Divisions. Monitor application of incentives.</li> <li>Continuous monitoring of the application and implementation of "backfilling" scheme.</li> <li>Advance scheduling of activities will allow participants to draw cash advances for travelling expenses (per EO 248)</li> </ul>	DepED MC

SOURCE OF RISK	RISK EVENT	Ranking			RISK TREATMENT	RESPONSE
		L	C	R		
	Program.					
4. Continued delays in accessing funds for furniture and equipment for LRCs from other sources (SPHERE)	Inability to fully test operate an LRC at the Region and Division levels – could affect timeliness and relevance of LRCs rollout to other Regions	4	4	H	Encourage alternative sources of resource mobilization to complete LRCs.  Maintain close coordination and follow up with the concerned DepED units (i.e. PFSED and technical services division of EDPITAF.)	MC
5. Limited funds for maintenance and operations of equipment and facilities introduced in the project.	Life span of equipment and facilities will be reduced.	4	4	H	RO to ensure appropriate use of existing MOOE for maintenance of equipment and facilities  Use RMM to acquire community partners for supporting MOOE costs  Advocate for a policy on appropriate level of funds for maintenance linked to capital expenditures	
6. Currency Rate Changes	A drastic negative fluctuation in foreign exchange rate between AUD\$ and PhP may result in the reduction of available project funds	4	3	M	If event occurs, adopt alternative strategies to minimize project costs in attaining project outputs.	DepED MC

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SOURCE OF RISK	RISK EVENT	Ranking			RISK TREATMENT	RESPONSE
		L	C	R		
<b>INSTITUTIONAL RISK</b>						
1. Change of political leadership results in change of reform priorities	DepED and government resources are channeled away from STRIVE systems implementation to meet new priorities	3	4	M	ROs to orient the incoming leaders about BESRA and STRIVE immediately  Strengthen advocacy among top, middle managers, and external stakeholders  Ensure that in the induction of incoming DepED officials the role of STRIVE in supporting BESRA is emphasized.	DepED (EDPITAF) MC
2. System implementers are transferred/ promoted / retired after training and capacity-building activities	Disruptive to system implementation and inefficient due to the need to build capacity of replacements	4	3	M	Agreements negotiated to ensure transfers/promotion/retirement of counterparts are minimal and qualified individuals are appointed as soon as possible after transfer.  Training will include a broad range of staff at different levels to ensure back-up and continuity. Encourage early succession planning and scheduling of formal transfer of responsibilities	DepED MC
3. Change of DepED management in CO , regions, and divisions during the implementation (critical) phase of the project	This may mean loss of management “sponsors” and advocates at the central office, region, and division which may affect the quality of the piloting, roll out, and sustainability of the systems.	4	3	M	Provide for orientation of new managers about BESRA and the role of STRIVE in supporting BESRA implementation  Strengthen advocacy among top, middle managers, and external stakeholders	DepED (EDPITAF) MC

SOURCE OF RISK	RISK EVENT	Ranking			RISK TREATMENT	RESPONSE
		L	C	R		
<b>INSTITUTIONAL RISK</b>						
					Include second line managers in systems implementation to strengthen transfer of knowledge and skills in systems operations	
4. BESRA implementation is not incorporated into regular organic functions within DepED	Insufficient attention to BESRA implementation results in failure of reform efforts and ownership of reform initiatives	2	3	M	Advocate and support the use of the BIAP for Regional Planning	DepED MC
5. Current behavior patterns showing resistance to change of some DepED personnel and stakeholders not conducive to meeting the implementation requirements of BESRA	Central Office officials and personnel fail to engage in change management and are not supportive, not attending to required reform/ Program tasks to effectively implement reform efforts  Region/Division personnel resist the restructuring efforts which may result in lack of commitment to perform their roles in the piloting of the systems	2	3	M	Continue introducing change management and organization development concepts to relevant Central office personnel.  Introduce appropriate OD/HRM strategies.  Continue engagement of relevant central office units in the restructuring efforts. Identify and support “early adopters”  Link up TWG-OD to share ideas and exchange strategies.  Continue with the change management efforts and advocacy to ensure high level acceptance and support from the region/division	DepED MC
6. Restructuring of the RO is not fully recognized or supported by CO units	CO is threatened by the implications of a new structure for the region CO do not see the merits of the new structure and thus ignore the piloting of a new structure in the region and does not support Restructuring of RO fails to provide intended improvements in effectiveness and efficiency	2	4	M	Support the regional office in resolving issues encountered in the transition phase  Assist the RO in planning and implementing advocacy initiatives with CO.	

SOURCE OF RISK	RISK EVENT	Ranking			RISK TREATMENT	RESPONSE
<p>7. Inability of agencies/ institutions to continue initiatives after Program. Program activities not sustained or “mainstreamed”.</p>	<p>Sustainability of Program benefits not achieved</p>	3	4	H	<p>All activities planned within budgetary and human resource constraints of school communities, LGUs and government</p> <p>Program Sustainability Strategy updated to guide design and implementation of extension activities. Regional Sustainability Strategies developed.</p> <p>Transition Plans developed and implemented</p> <p>ME and Adjustment quarterly meetings.</p> <p>Include all relevant program activities are included in the REDP/AIP</p> <p>STRIVE programs/operations be coursed through the field managers in RO/DO</p>	<p>DepED MC</p>
<p>8. RO management and staff do not have the capacity (required staffing level and KSA) to plan and implement the activities identified for the extension</p>	<p>The change in management approach in the extension requires ROs to adopt responsibility for planning and implementing STRIVE activities (integrating these with BESRA and REDP). Insufficient staffing and an inability or unwillingness to adopt this approach will result in failure in implementation.</p>	3	3	H	<p>Explain to the RO management and staff the change in project management approach in the extension and the advantages this presents in terms of helping the RO transition from project mode to institutionalization of the systems.</p> <p>Assist the regional managers plan and implement the activities identified for the extension. Help them assess and source the resources as well as gain the capabilities for systems institutionalization.</p>	

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SOURCE OF RISK	RISK EVENT	Ranking			RISK TREATMENT	RESPONSE
		L	C	R		
<b>TECHNICAL RISK</b>						
1. Policy guidance on BESRA implementation is absent, weak or confusing	Actions and activities of Program are uncertain and may not be aligned to development and reform requirements	2	3	M	Close liaison between Program management/technical advisors and efforts of BESRA, NPSBE, SPHERE AusAID support to basic education and other reform initiatives. Enlist RO to work closely with DepED CO senior management.	DepED AusAID MC
2. Management, technical, project support and operations personnel selected for reasons other than ability/ need	Management, technical, project support and operations personnel not sufficiently qualified to undertake requirements of Program tasks	3	2	M	Use of criteria-based selection of participants. Transparency in decision making Assist the RO in building the capability of such individuals.	DepED MC
3. Insufficient time to fully support the restructuring initiatives	The limited time available to provide technical assistance to the regions in the restructuring initiative may impact on the efforts of BESRA.	3	3	M	Proper documentation of all programs, processes and outputs to support effective uptake of systems. <b>Support</b> DepED in designing transition plans. Closer collaboration with BESRA TCT to ensure continuity of initiatives.	DepED MC
4. Problems in acquisition and inclusion of learning materials and modules from other Programs (past / present) in to the	Negotiations may be difficult to conclude resulting in limited availability and access to learning resource materials and modules. .	3	4	H	Program personnel will be explicitly tasked to find, collate and digitize materials. EDPITAF will undertake negotiations with relevant stakeholders and developers/caretakers of learning materials. DepED through BESRA TCT to establish "ownership" of Program technologies (e.g. LRMD).	DepED MC

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LR Portal.						

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5. Education Delivery Partners (government and non-government) do not perform to expectations.	Program does not achieve expected outputs and benefits	3	3	M	Selection of service providers based on rigorous selection criteria, including previous performance and previous client reference check/ recommendation as well as assessment of technical capability. Contracts with service providers monitored closely.	DepED PPDO LSB MC
6. Key personnel may find the entire change process threatening and are reluctant to participate Same with institutionalization	Resistance to change would seriously hamper the achievement of Program objectives. Resistance in some locations is anticipated and could result in disparate development timings across Program activities	2	4	M	Demonstrate value of the new information and processes through pilots, identification and use of "champions". Organise periodic Program briefings/communication; proactively identify generic or individual barriers to change and address; establish professional development groups to discuss and address problems; provide advice and support. Provide change management/systems thinking opportunities to stakeholders.	DepED MC



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7. Unable to replicate STRIVE in other regions and other divisions within the STRIVE Regions due to an inappropriate or complex model..	Program fails to produce viable replication <u>model</u> for application, replication, and adaptation for other provinces/regions.	3	3	M	<p>Activities will continue to be strategic, targeted and well planned and demonstrate replication potential and scalability.</p> <p>Ensure on-going consultations throughout the extension with DepED at school, division, region and national level on appropriate model for replication.</p> <p>Encourage other donors to support replication or roll out plans.</p> <p>Organise “bright ideas” conferences to showcase promising practices.</p> <p>Optimise use of existing channels to disseminate Program gains, lessons learned and promising practices and obtain guidance on sustainability and replication.</p> <p>Incorporation of requirements for system implementation of education development plans at all levels.</p>	DepED AusAID MC

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8. NEAP unable to devote adequate human resources to the development of INSET programs and contribute to the identification of trainers	Delays and inadequate resources/guidance in the design, coordination and implementation of INSET programs	2	3	M	T&D units to work effectively with NEAP's network of fellows and professional resources. Provide NEAP with a list of STRIVE trained trainers for NEAP to qualify and include in their professional resource.	DepED NEAP MC
9. NEAP lacks coordinated effort in the delivery of training and development	Organization of R-NEAP is delayed	3	3	M	Continue to engage and prepare NEAP for institutionalizing STRIVE T&D systems and R-NEAP for Regions 6, 7 and 8	

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in DepED						
10. Program stakeholders and implementers' inadequate level of technical skills to guide systems management and implementation	<p>Systems designed will not be implemented and sustained.</p> <p>(e.g. Digitisation of materials for the LR Portal proceeds with difficulty due to level of skills of personnel)</p>	2	3	M	<p>Assist DepED to assess level of competence and confidence of (designated) systems managers, implementers, and users to manage, maintain, and sustain the systems.</p> <p>Continue with capability building programs and engage DepED in systems management. Incorporate "learning by doing" approaches in the management and implementation of the systems.</p>	DepED MC

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<b>POLITICAL RISK</b>						
1. Political intervention in Program activities	Dilution of Program impact due to less effective targeting of resources and inputs	2	3	M	<p>Maintain working relationships with key leaders at national and regional levels as well as within the provinces. Establish clear and objective selection criteria/ strategies/ processes as required in STRIVE activities, as necessary.</p> <p>Establish clear and objective selection criteria and strategies (has not been issue in Stage 1).</p> <p>Design alternative strategies to deliver quality project outputs that will achieve the desired objectives with minimal political influence.</p>	DepED AusAID MC
2. Peace and Order problems	Participants in remote areas are pressured to provide cash and school facilities for insurgent activities. Children/youth leave school to join insurgent groups. Communities are distracted by peace and order situation, hence, there is difficulty in providing assistance from external sources.	2	2	M	Identify security-risk areas and develop an individual Security Plan. Partner with local trusted service providers for delivering project assistance to the said areas.	DepED LGU (PPDO) AusAID MC

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3. Existing areas of responsibility are threatened by project directions and reforms	Stakeholders participate in project activities but do not transfer activity outputs or agreements in related activities/fora.	3	4	H	Secure commitment and expression of how activity outputs can be incorporated or considered in organic functions and/or plans.  Include in sustainability plans strategies that would ensure active involvement in RDC and School Board plans and activities.	DepED RDCs LGUs MC
4. Disruption of schedule of project activities at the school/ field level due to the upcoming barangay elections	Schools are used as venues and teachers, school heads, and education officials are engaged in election-related activities which may result to a temporary stoppage of project activities.	2	3	M	Adjust project schedule such that activities planned for the period are those that will not involve school heads and other officials who are engaged in the election.	DepED LGUs MC

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<b>ENVIRONMENTAL / INFRASTRUCTURE RISK</b>						
1. Natural disasters (e.g. typhoon / flooding)	Location and timing of program activities may be affected. Vulnerable communities unable or unwilling to continue Program activities	3	2	M	Security and safety plan address protocols/procedures in case of natural disaster. Adjust Program activities affected by natural disasters	DepED AusAID MC

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<b>SOCIAL RISK</b>						
1. Inability to sustain level of commitment of community participation in education support options	Withdrawal of participants in Program activities. Reduction in implementation of support options needed to keep children in school	2	3	M	Community plans to support basic education specify levels of commitment/ support required to achieve program objectives.	DepED LGUs Community MC