



education

Department of
Education
FREE STATE PROVINCE

2009/10 RISK REGISTER

SUMMARY

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SECTION A: RISK ASSESSMENT PROCESS

A.1. INTRODUCTION

It is the responsibility of the accounting officer to establish and maintain an effective, efficient and economic system of financial and risk management and internal audit. The accounting authority must facilitate a risk assessment to determine the material risks to which the entity may be exposed and to evaluate the strategy for managing those risks.

Learning how to effectively manage risks to the achievement of the departmental objectives provides managers with a systematic way to make responsible, informed decisions and enables them to achieve improved outcomes. A structured approach to the management of risk also enhances and encourages the identification of greater opportunities for continuous improvement through innovation.

A.2. OBJECTIVES

The objectives of the risk assessment workshops held were:

- ✚ To conduct follow-up on 2007/08 risk assessments to establish progress made to mitigate risks identified in 2007/08 financial year.
- ✚ To identify new risks and prioritise them within each focus area that has the highest potential to impact (positively or negatively) on the achievement of the departmental strategic objectives and objectives set out in School Development Plans and strategic plans of FET Colleges.

A.3. TERMINOLOGY

Framework:	Includes a policy and a set of procedures to support application of the policy.
Policy:	A statement of overall objectives, intent and responsibility for an activity, function or process. The statement should reflect the expectations of senior management.
Procedure:	Procedures support the essential steps in managing an activity, function or process or activity by providing guidance and instruction to staff on how to achieve the objectives of the relevant policy.
Risk:	The chance of something happening (an event) that will have an impact upon objectives. It is measured in terms of consequences and the likelihood of a particular risk.
Risk identification:	Determining what risk events can happen, why and how.
Risk exposure:	A risk exposure is a rating assigned to a risk based on the likelihood and consequences of a risk, which is compared against pre-established criteria for risk classification in the risk management framework. For example risk level ratings might include:
Risk management:	The culture, frameworks and structures that are directed towards the effective management of potential opportunities and adverse effects. Risk management involves the systematic application of management policies, procedures and practices to the steps of establishing the context, identifying, analysing, evaluating, treating, monitoring and communicating risk.
Risk register:	A risk register is a comprehensive record of risks across an organisation, business unit or project depending on the purpose/context of the register.

Senior Management: The layer of management in an organisation that makes decisions about direction, focus, policy and corporate governance.

A.4. APPROACH

We used the Public Sector Risk Management Framework to identify risks for the Department within the following categories against strategic and measurable objectives as stated in the Strategic Plan and Annual Performance Plan of the Department:

- External environment
- Customer (internal & external) needs
- Culture
- Operations
- Communications
- Security
- Human Resources
- Information availability / processing / technology
- Financial
- Legal / Compliance
- Measurement and monitoring of operation

A.4.1. Identification of risks

During the workshop, participants were required to provide input based on their actual knowledge and experience of strategic planning, the operations and environment. The group was asked to identify new risks, rephrase risks and consider the relevancy and correctness of the risks that may inhibit the department in achieving its objectives. Participants were guided, supported and led through the process through questions, sharing ideas and proposal of risks and controls. Risks were defined as: “any internal or external event/factors that may negatively or positively impact the achievement of the department’s objectives.” Organisation risks arises as much from the likelihood that something good will not happen as it does from the threat that something bad will happen. Internal factors are those that affect the department and resulting in department operational risks, and their potential effect. External factors are those outside forces that affect the department thus resulting in department operational risks and their potential effect.

A.4.2. Risk Assessment and Rating

The risk assessment process is designed to review each operational process and reach consensus between all participants at the workshop regarding:

- The risks that may impact on achieving the departmental objectives.
- The relative size/quantum of those risks.
- The controls which management relies upon to manage those risks.
- The perceived effectiveness of those controls.

The results of the risk assessment process represent the participant’s interpretation and the quality of the results therefore depends on the knowledge, experience and quantity of input of the participants.

When rating the risks the participants were requested to consider the risks in absolute terms rather than how it impacts the department after management efforts to manage the risks. The participants voted on the consequence and likelihood of each risk before controls was implemented and after controls was implemented taking the effectiveness of controls into consideration.

With the aid of computer-assisted risk assessment software, BarnOwl, the sum of consequence and likelihood was translated into risk rating exposure. It is primarily this rating exposure that forms the basis of proposed internal audit coverage and the management effort, which will be developed when compiling the three-year strategic and annual internal audit plans.

The combined risk exposure rating is determined by the consequence and likelihood rating of each individual risk. A specific risk could therefore possess a high-risk exposure rating despite the consequence or likelihood rating being low.

If the risk exposure rating (combined rating) is high or medium as the result of a high likelihood rating, management need to consider taking immediate action to rectify the breakdown in controls. If the consequence rating and the likelihood of that risk materialising low, management need to ensure that the level of control is maintained to prevent the risk materialising.

The following tables indicate the consequence and likelihood used in the risk assessment as described above:

Score	Likelihood Rating	Description of rating what is the likelihood of the risk occurring
5	Common	The risk is certain to occur within the next 6 months
4	Likely	The risk is certain to occur within the next 7 -12 months
3	Moderate	The risk is certain to occur within the next 13 to 48 months
2	Unlikely	The risk is certain to occur within the next 49 to 60 months
1	Rare	The risk is certain to occur within the next 60 months plus

Table 1: Likelihood Rating

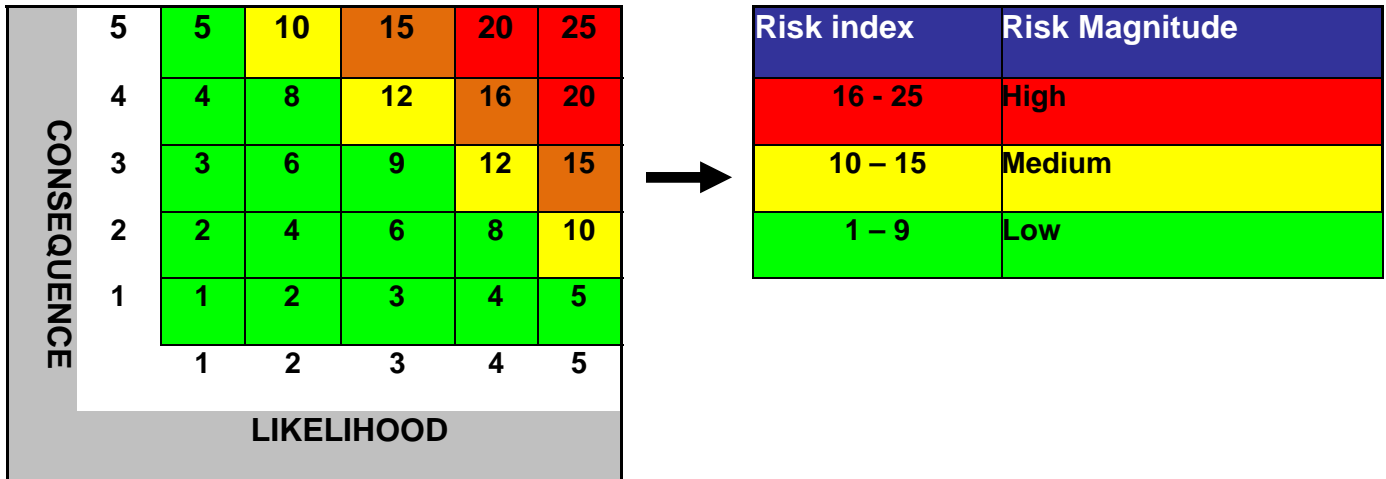
Score	Level of Risk	Consequence description (impact on the department) should the risk occur
5	Critical	Loss of ability to sustain operations. A situation that would cause severe political and social repercussions to the Accounting Officer. Excessive media attention, stakeholder complaints (Ministry / SCOPA) and sanctions/legal actions. A situation that would entail severe Batho Pele implications. Value greater than 80% of system efficiency will be affected.
4	Major	Significant impact on the achievement of strategic objectives and targets relating to corporate plan. Major media attention, stakeholder complaints (Contained in the Annual Audit Report as Qualification /PROPAC) and sanctions/legal actions. Value greater than 50% but less than 80% of system efficiency will be affected.
3	Moderate	Disruption to normal operations with limited effect on achievement of strategic objectives or targets relating to business plan. Formal management (Executive Management) / stakeholder complaints. Value greater than 20% but less than 50% of system efficiency will be affected.
2	Minor	No material impact on the achievement of business objectives or strategy. Will result in repetitive queries (Senior Management / Broad Management). Value greater than 5% but less than 20% of system efficiency will be affected.
1	Insignificant	Negligible impact on the achievement of business objectives or strategy. Occasional queries (Supervisory Level). Value less than 5% of system efficiency will be affected

Table 2: Consequence Rating

Parameters of the Risk Matrix were applied to indicate what areas of the risk matrix would be regarded as Extreme, High, Moderate and Low.

Parameters of the Risk Matrix were applied to indicate what areas of the risk matrix would be regarded as Extreme, High, Moderate and Low.

$$\text{Risk index} = \text{impact} \times \text{likelihood}$$



A.4.3 RISK TOLERANCE

The following principals are applicable in finalising risk tolerance levels:

- Tolerance levels will be expressed in the same indicators as related objectives and performance targets in line with the materiality framework of the Department
- The relative importance of related objectives will be considered
- High level involvement from Strategic Leadership to support rigorous analysis and expert management judgement as a collective senior management responsibility
- Risk tolerance levels will be revised as more reliable information becomes available

A.4.4 RISK MANAGEMENT IMPLEMENTATION

From a risk management perspective the following approach is considered:

Risk Index	Risk magnitude	Risk acceptability	Proposed actions
16 – 25	High	Unacceptable	Take action to reduce risk with highest priority, accounting officer and executive authority attention.
10 – 15	Medium	Unacceptable / Cautionary	Take action to reduce risk, inform senior management.
1 - 9	Low	Acceptable	No risk reduction - control, Monitor, inform management.

Table 3: Consequence Rating

Risk Treatment Plans are implemented to mitigate and monitor progress for all unacceptable and cautionary risks.

A.4.5. LIMITATION OF ASSURANCE CONTAINED IN THIS REVIEW

The review has not been designed to assess the effectiveness of existing controls implemented by management to mitigate these risks.

While every effort has been made to ensure the comprehensiveness and integrity of the risk assessment process, it has not been designed to provide specific assurances regarding the completeness of risks and the adequacy and effectiveness of current control procedures.

A.4.6. GENERAL

Containment is the most important phase of risk management. It requires all officials within the department to respond to, and control, damaging incidents while they are happening, prevent the effects from spreading, and provide for continuity of the damaged service or function. All staff of the various Branches, Directorates, Districts, FET Colleges and Schools who assisted the process of identifying the risks is thanked for their assistance.

A.5. PARTICIPANTS

The following directorates and districts within the department participated held risk assessment workshops:

DIRECTORATES

1. DALM
2. Labour Relations
3. Legal Services
4. Security Management
5. Financial Accounting
6. Management Accounting
7. Organisational Human Resource
8. Human Resource Management
9. Learner Support
10. Curriculum FET
11. FET Colleges
12. Curriculum GET
13. ABET
14. Asset & Fleet
15. E-Education
16. Physical Resource Planning
17. SYRAC
18. Quality Assurance
19. Examinations and Assessment
20. Institutional Development and Support

EDUCATION DISTRICTS

1. Xhariep District
2. Motheo District
3. Lejweleputswa District
4. Fezile Dabi District
5. Thabo Mofutsanyana District

FET COLLEGES

1. Motheo FET College
2. Goldfields FET College
3. Flavius Mareka FET College
4. Maluti FET College

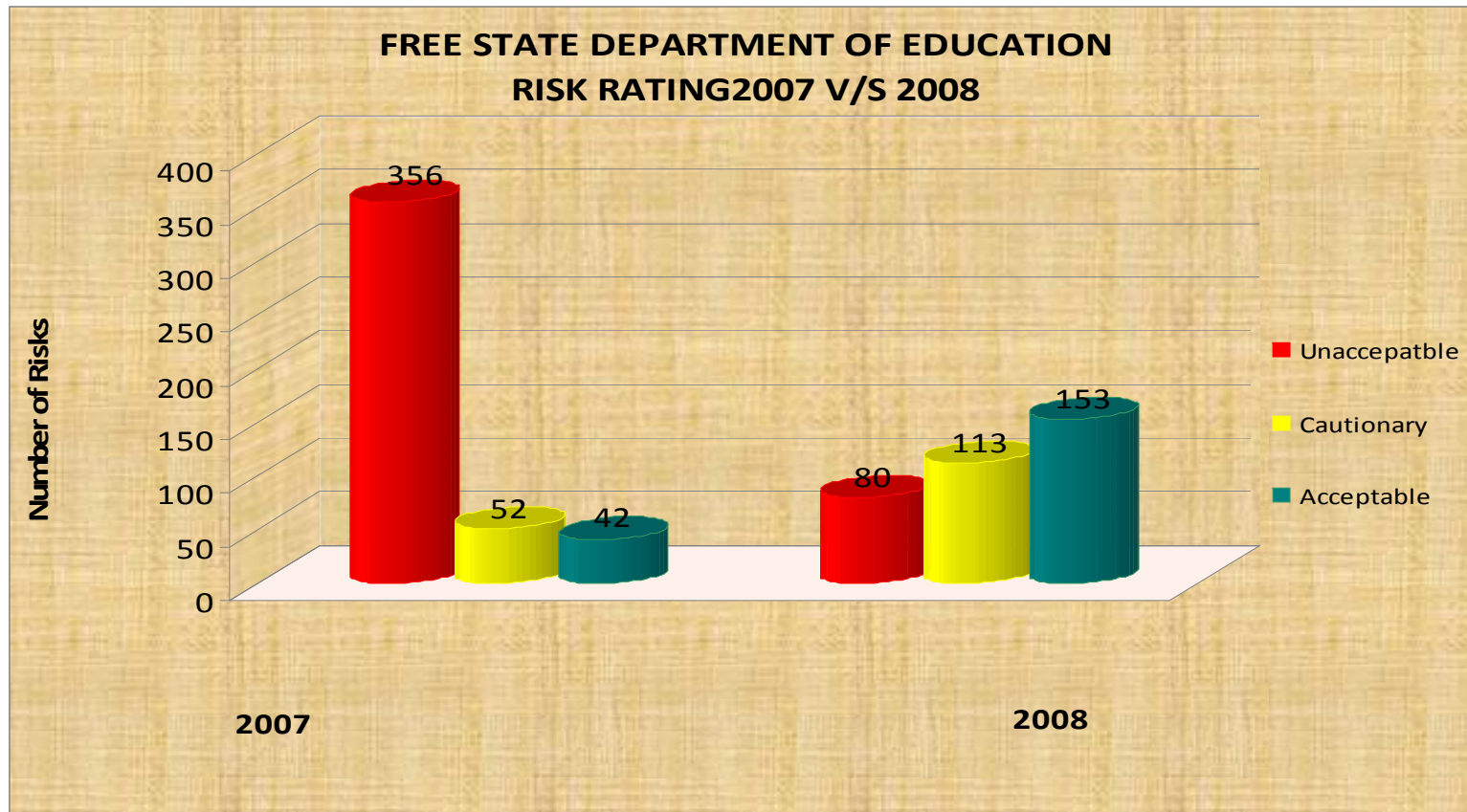
SCHOOLS

1. Kaelang Secondary School
2. Bolokehlang Intermediate Schools
3. Lerole Intermediate School
4. Nteboheng Primary School
5. Bolata Intermediate School
6. Thapelong Secondary School
7. Fateng Sa Thuto Primary School
8. Mamello Primary School
9. Molapo Secondary School
10. Mmakwane I/S
11. Sarel Cilliers C/S

SECTION B: STATISTICS AND REGISTERS

B.1. Comparison of 2007 and 2008 Risk Ratings

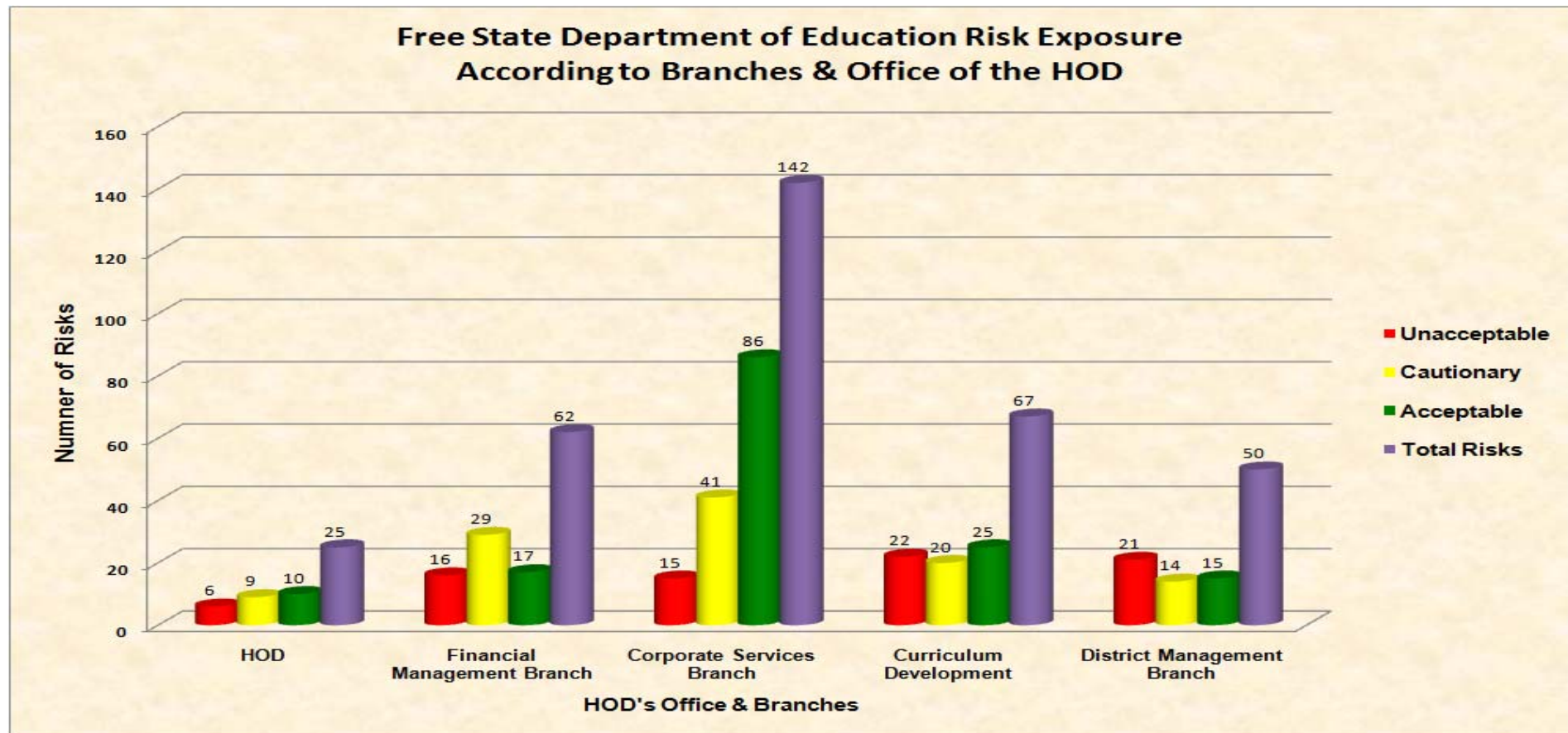
Free State Department of Education	Risk Exposure			
	Total	Unacceptable	Cautionary	Acceptable
FSDoE 2007	451	356	52	43
FSDoE 2008	346	80	113	153



Graph 1: FSDOE Risk Rating Comparison 2007v/s 2008

Comparison of Risk Exposure according to Branches & Office of the HOD

Branches / Sections	Unacceptable	Cautionary	Acceptable	Total Risks
HOD	6	9	10	25
Financial Management Branch	16	29	17	62
Corporate Services Branch	15	41	86	142
Curriculum Development	22	20	25	67
District Management Branch	21	14	15	50
	80	113	153	346



B.2. FSDoE STRATEGIC RISK REGISTER 2009/10

Taking the socio-economic, national / provincial and organizational challenges into consideration against the back drop of the departmental values, it is imperative that the Free State Department of Education (FSDoE) Strategic Goals, Strategic Objectives and Strategic Priorities being considered and strategic risks identified in order to ensure that the Department delivers against the mandate.

19 Strategic Risks have been identified and verified through a consultative process.

The following are the 19 Strategic Risks of the FSDoE which will be monitored and reported against during the 2009/10 Financial Year:

NO	OBJECTIVE	RISK DESCRIPTION	INHERENT RISK RATING	CONTROL MEASURE	RESIDUAL RATING	RESPONSIBILITY
1	Provide Efficient, Effective and Economic Management of Performance Information	Annual Performance Plan is not aligned to the Strategic Plan and Budget.	Unacceptable	No control	Unacceptable	Branch Heads
2		Annual Performance Plan not operationalized in business plans	Unacceptable	No control	Unacceptable	Branch Heads
3		Activities implemented but not reflected in the Annual Performance Plan	Unacceptable	Unplanned activities not reported	Unacceptable	Branch Heads
4		Unreliable quarterly and annual reports published due to non-submission or - availability of source documentation	Unacceptable	No control	Unacceptable	Branch Heads
5	Poverty eradication ,Job creation and economic development	Insufficient poverty alleviation projects	Unacceptable	<ul style="list-style-type: none"> Targeted Planning and Budget Procurement Procedures (Bid) Monitoring 	Unacceptable	Branch Heads
6	To have an Employee Wellness Programme	Lack of resources to effectively implement the employee wellness strategy	Unacceptable	<ul style="list-style-type: none"> Monitor of Employee Wellness Strategy Re-evaluation of the programme 	Unacceptable	Branch Heads
7	To ensure sound financial management practices in terms of relevant legislation.	Failure to comply with the PFMA Section 38(1) i.e. payment of creditors within 30 days	Unacceptable	<ul style="list-style-type: none"> Monthly Compliance Certificate Monitoring and reporting 	Unacceptable	Branch Heads

NO	OBJECTIVE	RISK DESCRIPTION	INHERENT RISK RATING	CONTROL MEASURE	RESIDUAL RATING	RESPONSIBILITY
8	To determine the Public Service Delivery Improvement Plan in order to enhance good and cooperative governance with sustainable use of resources and environment To promote communication with Stakeholders including the business sector	Ineffective Service delivery Root Cause: <ul style="list-style-type: none"> Budget constraints Non filling of Posts Procurement procedures not adhered too Late payments 	Unacceptable	<ul style="list-style-type: none"> Public Service Delivery Improvement Plan Departmental Strategic Plan, Annual Performance Plan and Directorates Operational Plan Service Charter Management Plans Delegations PFMA Generally accepted Accounting Practices 	Cautionary	Branch Heads
9	To monitor good governance practices To ensure sound financial management practices in terms of relevant legislation.	Failure to comply with legislation	Unacceptable	<ul style="list-style-type: none"> Policies Training Internal Audits (preventative) External Audit (detective) Monitoring 	Cautionary	Branch Heads
10	To ensure sound legal practices and compliance with legislation at all levels	Ineffective awareness of legal obligations under a variety of Acts and Regulations	Unacceptable	<ul style="list-style-type: none"> Effective and transparent awareness sessions Monitoring, reporting and evaluation 	Cautionary	Branch Heads
11	To improve Human Resource Management Practices at all levels	Inadequate human resource practices and policies	Unacceptable	<ul style="list-style-type: none"> Compliance to Human Resources Practices Delegations 	Cautionary	Branch Heads
12	To improve efficient and effective management of assets, including Supply Chain Management	Asset Register incomplete	Unacceptable	<ul style="list-style-type: none"> Quarterly Monitoring and reporting 	Cautionary	Branch Heads
13	To provide Learners and Educators with basic Learning, Teaching and Support Material (LTSM) in accordance with curriculum needs	Access to all Schools to provide effective teaching and learning	Unacceptable	<ul style="list-style-type: none"> Implementation of the Admission Policy for LTSM Funding 	Cautionary	Branch Heads

NO	OBJECTIVE	RISK DESCRIPTION	INHERENT RISK RATING	CONTROL MEASURE	RESIDUAL RATING	RESPONSIBILITY
14	To implement the National School Curriculum Statement (NCS) across the schooling system (grade R – 12)	Ineffective curriculum delivery	Unacceptable	<ul style="list-style-type: none"> Annual planning to compile the implementation plan. Site /school visits Surveys Learner attainment strategy Analyse assessment results Research reports Monthly reports from districts. Investigation reports investigated (e.g. Umalusi) 	Cautionary	Branch Heads
15	To ensure sound financial management practices in terms of relevant legislation.	Over or understatement of the Departmental Financial Statements Root cause: <ul style="list-style-type: none"> Decentralized offices fail in implementation all LOGIS processes. Failure to do monthly reconciliations of BAS/LOGIS on assets and commitments Leave / housing guarantees etc 	Unacceptable	<ul style="list-style-type: none"> Monthly Compliance Certificate Monthly manual reconciliations BAS interface exception(system) PERSAL and BAS Controllers. Correct allocations 	Cautionary	Branch Heads
16	To ensure sound financial management practices in terms of relevant legislation.	Loss of revenue	Cautionary	<ul style="list-style-type: none"> BAS Reports and provide information to Treasury.(Asset & Liability Account) Monthly Compliance Certificate 	Cautionary	Branch Heads
17	To ensure that projects / initiatives contribute to economic development and job creation (EPWP)	EPWP projects / initiatives not contributing to economic Development and job creation Root Cause: Lack of value for money, delivery on time as well as poor Quality service / product	Cautionary	<ul style="list-style-type: none"> Compliance with relevant legislation Capacity building and Monitoring systems – will improve value for money and quality. 	Acceptable	Branch Heads

NO	OBJECTIVE	RISK DESCRIPTION	INHERENT RISK RATING	CONTROL MEASURE	RESIDUAL RATING	RESPONSIBILITY
18	To develop and foster partnerships and collaboration with provincial, national and international stake holders, donors and departments	Lack of control and monitoring of partnerships	Acceptable	<ul style="list-style-type: none"> Compliance with relevant legislation Regular and structured meetings with existing and potential partners to maintain relationships and generate reports. Will assist in ensuring healthy partnerships – not a guarantee for successful partnerships. 	Acceptable	Branch Heads
19	To provide for departmentally managed examinations services`	<p>Non Compliance to National Education policies on Conduct, Administration and Management of Assessment for the National Senior Certificate.</p> <p>Resulting in:</p> <ul style="list-style-type: none"> Appointment process of invigilators does not comply with Departmental rules, e.g. Chief invigilators / invigilators do not comply with examination rules Examination sitting be declared inappropriate Invigilators are not informed or not aware of examination rules Examinations centres do not meet the minimum requirements (e.g. inadequate sanitation, adequate space) set by the Department Ineffective administration process Continuous assessment / school based assessment marks incorrectly processed / captured Results of ABET Level 4 and the Senior Certificate distributed to incorrect centres 	Unacceptable	<ul style="list-style-type: none"> Compliance with relevant Policies PAM Annual training 	Acceptable	Branch Heads

NO	OBJECTIVE	RISK DESCRIPTION	INHERENT RISK RATING	CONTROL MEASURE	RESIDUAL RATING	RESPONSIBILITY
		<ul style="list-style-type: none"> • FETC and ABET Level 4 results incomplete at the time release • Lack of reliable moderation process, • The Department issues incorrect senior certificates, e.g.: incomplete information; incorrect information 				

B.3. FSDoE CRITICAL RISK REGISTER 2009/10

Critical risks have been identified by Strategic Leadership of the Department through a consultative process. The top risks (all unacceptable risks) have been used as the basis to identify the critical risks that may have an impact on the goals and objectives of the Department. The 24 Critical Risks will be monitored and reported against during the 2009/10 Financial Year on strategic level.

No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
1	Non –compliance / Service Delivery	To enhance the implementation of recommendations by discussing reports with the responsible managers.	Non-implementation of recommendations made by Internal Audit	Unacceptable	<ul style="list-style-type: none"> Perform follow-ups on recommendations made Communication and explanation of findings made with Responsibility managers and relevant officials that needs implement recommendations. Obtain management Comments /Action Plans with due dates Final reports submitted to the level of Senior manager and Chief Directors, DDG, HOD and the Audit Committee The responsibility managers account to the Audit Committee on progress 	Effective	Unacceptable	Chief Directors
2	SHE / Service Delivery	To monitor good governance practice	Lack of total security functions within the Department	Unacceptable	<ul style="list-style-type: none"> Compliance to standard minimum security requirement: <ul style="list-style-type: none"> Installation of access control measures (e.g. CCTV and alarm systems, security locks) Vetting of key personnel (e.g. SMLC and Bid Committee members) Security awareness 	Partially Effective	Unacceptable	Accounting Officer (Director: Security Management, Anti Fraud and Corruption)
3	Non-compliance	To monitor good governance practice	Poor compliance of Anti Fraud Corruption Measures and promotion of	Unacceptable	<ul style="list-style-type: none"> Fraud Prevention Plan (Not approved on route) Fraud Prevention Policy. Hotline for the reporting of fraudulent cases 	Partially Effective	Unacceptable	Accounting Officer (Director: Security Management, Anti Fraud and

No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
			professional ethics.					Corruption)
4	Information Systems	To improve access to e-education. To improve access to information communication technology for office based staff	Delays and non-availability of data from School Principals results in operations being undermined due to the non-availability of data and it may hamper decision-making processes.	Unacceptable	<ul style="list-style-type: none"> Compliance with relevant legislation <ul style="list-style-type: none"> EMIS Policy SASA FET Colleges Act ABET Act ECD Act 	Partially effective	Unacceptable	Chief Director: Educational Development and Support
5	Asset Management	To eliminate infrastructure backlogs in education. Through a formal Treasury regulated PPP	Inaccurate / unreliable Departmental Asset Register in respect of immovable properties.	Unacceptable	Compliance with the GIAMA Act	Partially Effective	Unacceptable	Chief Director: Infrastructure and PRP
6	Finance	To ensure sound financial management practices in terms of relevant legislation.	Over or/ and under spending of budget. Caused by: <ul style="list-style-type: none"> Items ordered are not delivered within the financial year that the expenditure was budgeted for. Incorrect allocation against the budget Insufficient budget 	Unacceptable	Management Plans Procurement Policy PPPFA Act Treasury Regulations PFMA Practice Notes (Procedures) DALM Delegations Finance Delegations. LOGIS Reports	Partially Effective	Unacceptable	Chief Directors

No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
			all7ocation for cer8tain items.		Quotation Committees Effective and functional Finance Committee Commitment Register			
7	Service Delivery	Provide Transport to farm school learners who walk 21 km to school	Learners not being transported resulting in poor attendance. Root cause:: Service Providers not paid within 30 days Roadworthiness of vehicles Withdrawals of operators. Accidents Weather conditions No bids are received for shorter routes/routes with poor road conditions with regard to Learner Transport.	Unacceptable	National guidelines Learner Transport monitoring tool Specifications of tenders Minutes of quarterly meetings with services providers in order to discuss current status, challenges and the way forward.	Partially Effective	Unacceptable	Chief Director: District Management and Institutional Governance

No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
8	Service Delivery	Provide basic nutrition to learners through National School Project (NSNP)	Learners not fed. Root Cause: Delay in transfer Payments No delivery of food items Faulty equipment e.g. stoves.	Unacceptable	Minutes of quarterly meetings with services providers' staff in order to discuss current status, challenges and the way forward. NSNP monitoring tool National guidelines Specifications of tenders	Partially Effective	Unacceptable	Chief Director: District Management and Institutional Governance
9	Non-compliance	To bring about effective management and governance of ABET at provincial, district and centre levels	The district based ABET officials do not verify educator and learner attendance numbers at centres	Unacceptable	ABET monitoring tool: <ul style="list-style-type: none"> Verify the fortnightly visits to centres by ABET District officials Verify the recording of educator and learner attendance in the logbooks of the centres. Ensure that all district based ABET officials have job descriptions. 	Partially Effective	Unacceptable	Chief Director: FET Colleges and ABET
10	SHE	To promote Values in Education	Injury / death (to Learners/Educators involved / participating in Free State SYRAC programmes.	Unacceptable	National School Safety Policy	Partially effective	Unacceptable	Chief Director :Curriculum and Professional Support
11	HR	To Provide relevant and responsible Quality FET Learning Opportunities. To enhance Learners'	Insufficient Staff within the FET Sector	Unacceptable	<ul style="list-style-type: none"> Compliance to Human Resources Practices 	Partially effective	Unacceptable	Chief Director: FET Colleges and ABET (Directors: FET Colleges)

No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
		<p>Skills & Reliance.</p> <p>To Promote the Participation of out-of-school youth in Learnerships and skills Programmes.</p> <p>To Promote and enhance the competence and skills of staff at the College.</p> <p>To ensure Transformation of the College.</p> <p>To improve Quality of and Participation in sport, Youth Programmes, Recreation Arts and Cultural activities</p>						
12	Departmental Financial / Service Delivery	<p>To Provide relevant and responsible Quality FET Learning.</p> <p>To Improve Access to Quality Education and Training Opportunities.</p> <p>To Promote Participation of Historically marginalized groups in Public FET Institutions.</p> <p>To enhance Learners'</p>	<p>Insufficient Funding</p> <p>Root Cause:</p> <p>No approved funding norms</p>	Unacceptable	<ul style="list-style-type: none"> • Provincial budget • College budget • Quarterly financial statements • Transfer Payments • Fund raising (6%) • Project Business Unit generates 20 % of income. • Finance Policy • Class fees • Debtors Management • Acting Officials • Officials appointed from limited operational budget • Bursary Scheme • Audited Statements 	Partially effective	Unacceptable	<p>Chief Director: FET Colleges and ABET</p> <p>(Directors: FET Colleges)</p>

No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
		<p>Skills & Reliance.</p> <p>To Promote the Participation of out-of-school youth in Learnerships and skills Programmes.</p> <p>To ensure Transformation of the College.</p> <p>To improve Quality of and Participation in sport, Youth Programmes, Recreation Arts and Cultural activities.</p> <p>To provide effective and efficient support services</p>						
13	Non-compliance	To establish effective Governance and management Structures	Delay/inability of the DoE to fully implement the FET Act as required, resulting in insecurity and confusion amongst staff	Unacceptable	<ul style="list-style-type: none"> No control due to fact that the implementation of the FET Act is a Government / NDoE responsibility. Established Sub-committees and Council E= N/A	Partially effective	Unacceptable	Chief Director: FET Colleges and ABET
14	Communication	To provide effective and efficient support services	Insufficient communication and coordination between the FET College and DoE	Unacceptable	<ul style="list-style-type: none"> Monthly Reporting Follow-up communication. College based planning 	Partially effective	Unacceptable	Chief Director: FET Colleges and ABET
15	Service Delivery -	To provide specific public ordinary	Lack of sufficient LTSM (e.g.	Unacceptable	<p>Compliance to relevant legislation</p> <p>Submission to SMLC and Finance</p>	Partially Effective	Unacceptable	Chief Director Curriculum and

No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
	Performance	schools with resources required for the Grades 1 to 7	computers, textbooks, technological/laboratory equipment & tools) for effective implementation of the NCS Grades 10-12		Committee regarding the need of Schools to meet the requirements of the NCS Grades 10-12. Monitoring of LTSM in Schools. LTSM Committee/Forum.			Professional Support
16	Compliance	To provide specific public ordinary schools with resources required for the Grades 1 to 7	Lack of capacity for effective monitoring of curriculum implementation in Schools Grade 10-12.	Unacceptable	Random sampling of schools during the first quarter of each year. Ongoing submissions about lack of capacity for curriculum provisioning & support	Partially Effective	Unacceptable	Chief Director Curriculum and Professional Support
17	Departmental : Human Resource	Conduct annual External Whole-School Evaluation Facilitate annual registration of Research projects QIDS-UP To conduct annual surveys in identified public schools Curriculum Statements (NC(GET)) for	Lack of sufficient / skilled staff Root cause: <ul style="list-style-type: none">Ineffective support to ECD implementation and to perform supportive administrative duties.Problems with whole school evaluation	Unacceptable	Extra Workload shared among officials Unpaid overtime Segregation of duties among existing staff Working overtime without remuneration In service training and CPTD. Utilization of skills development training opportunities.	Partially Effective	Unacceptable	Chief Director Curriculum and Professional Support

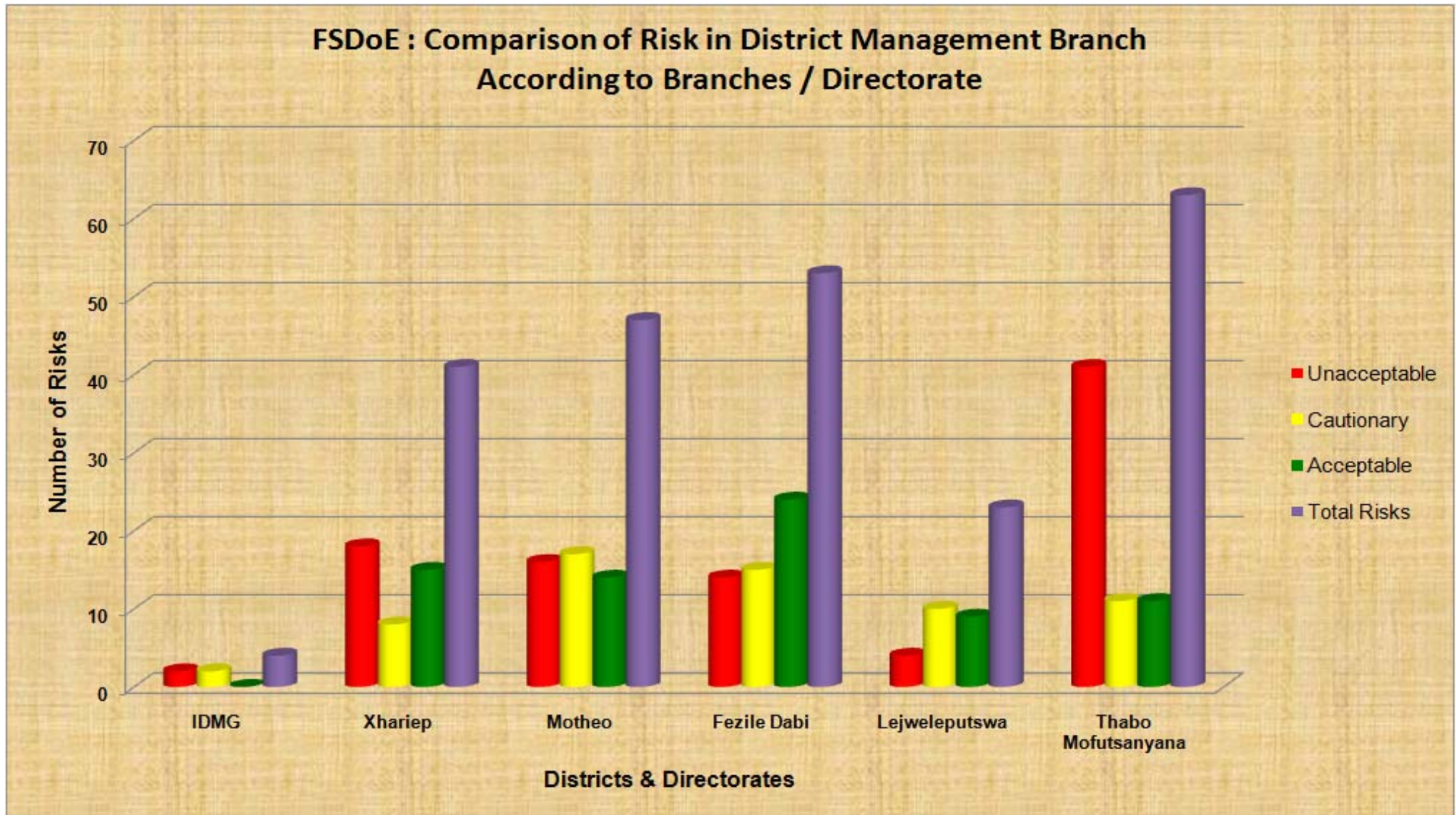
No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
		<p>Grades 7 to 9 in the immediate future</p> <p>To provide ECD Services to learners from birth to Pre-Grade R in accordance to the White Paper 5</p> <p>To provide ECD at the Grade R and earlier levels in accordance with the White Paper 5</p> <p>To provide Grade R educators and learners at ECD sites with Departmental management support services</p> <p>To provide specific community based sites with resources required for Grade R</p> <p>To provide specific primary ordinary schools with resource required for the Grades 1 to 7</p>	implementation					
18	Service	To provide specific	Lack of Grade R	Unacceptable	The Early Childhood Development	Partially	Unacceptable	Chief Director

No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
	Delivery	community based sites with resources required for Grade R To provide specific primary ordinary schools with resource required for the Grades 1 to 7	classes at sites\schools as well as relevant teachers and practitioners which results in: *Inaccurate statistics received from the EMIS system *Inability to interpret National policies and implement them. *Lack of infrastructure. *Poverty levels of community *Lack of Budget. *Lack of sufficient number of learners at farm schools to warrant the establishment of Grade R class		(ECD) implementation plan National policies	Effective		Curriculum and Professional Support
19	Information systems – Integrity	To improve efficient and effective management of assets including Supply Management	Incorrect capturing of data will result in Inaccurate and unreliable Asset Register when physically verified.	Unacceptable	Information on the LOGIS system <ul style="list-style-type: none"> • Compliance to Policies • Procedure manual • Circulars • Asset Management Roadshows 	Partially Effective	Unacceptable	Chief Financial Officer
20	Asset Management – Misuse	To improve efficient and effective management of assets including	Misuse of GG-Vehicles & Subsidised Vehicles	Unacceptable	Toll free number on all of the GG vehicles to report misuse. Departmental LOGOS on GG Vehicles Quarterly Inspections	Partially Effective	Unacceptable	Chief Financial Officer

No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
		Supply Management			Inspections by Traffic Officers - roadblocks. E-Fuel electronic print indicates relevant information. First Auto/ Wesbank Reports indicate relevant information.			
21	Asset Management – Misuse	To improve efficient and effective management of assets including Supply Management	Misuse of telephones	Unacceptable	Telephone Policy directing processes and procedures Telephone accounts are submitted to the responsibility manager for payment of accounts Access Code to every official that utilise a telephone. PERSAL numbers are linked to Access Code numbers for tracking purposes. Cell phone policy and Telephone Policy to be reviewed.	Partially Effective	Unacceptable	Chief Financial Officer
22	Cultural – Communication	To improve Risk Management and the internal control environment	Lack of buy-in/communication of risk management by senior management	Unacceptable	Compliance to the National Risk Management Framework	Partially effective	Unacceptable	Chief Financial Officer

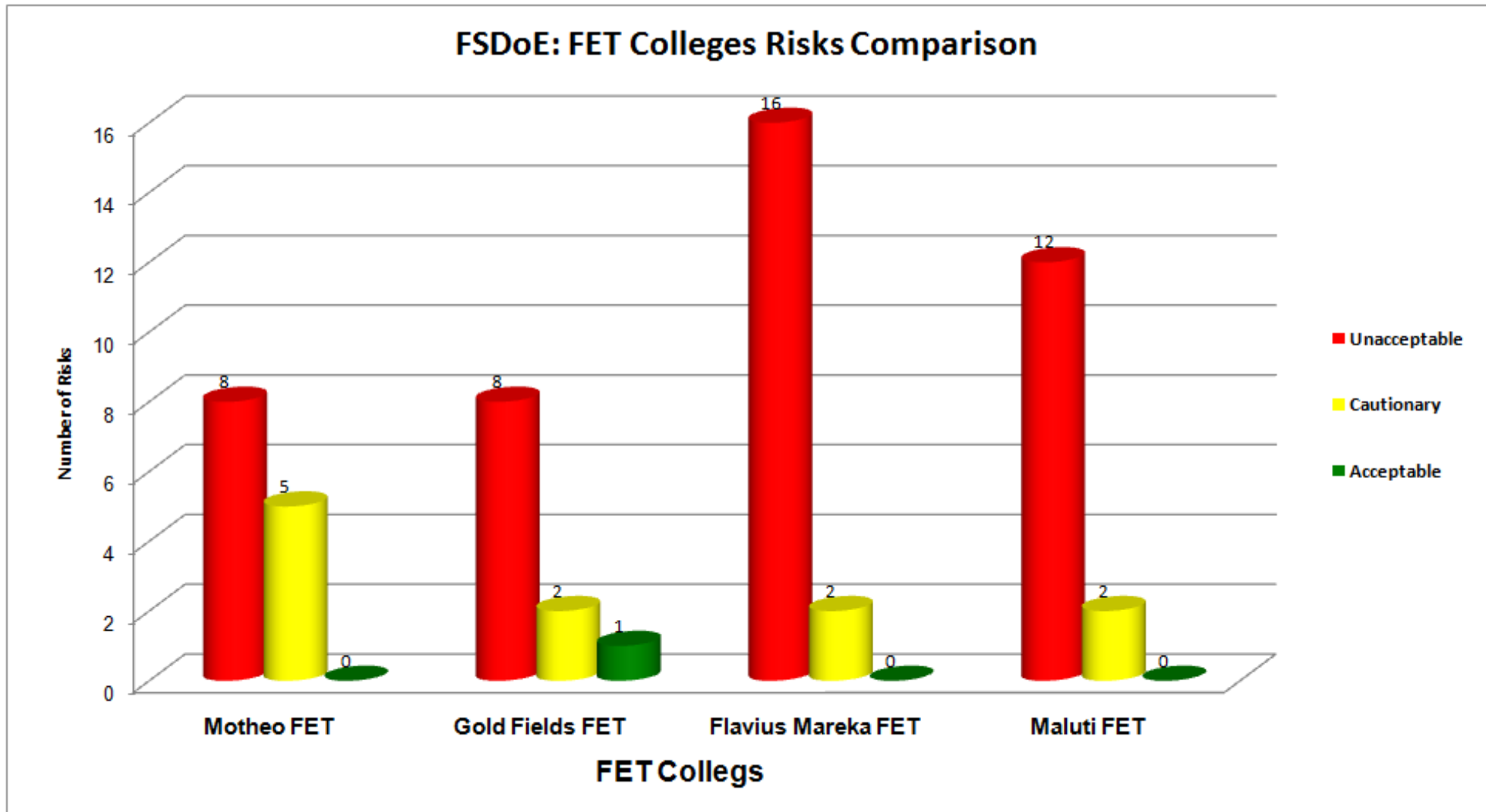
No	Risk Type	Objective	Risk description	Inherent Risk	Controls	Control Effectiveness	Residual Risk	Responsibility
23	Departmental Human Resource	<p>To improve Risk Management & the internal control Managing of the Departmental budget in compliance with prescripts</p> <p>To provide resources to Public ordinary schools</p> <p>Provide Efficient, Effective & Economic Management of Performance Information.</p>	<p>Lack of sufficient and / or skilled staff is negatively influencing the Department's / Directorates ability to meet objectives. This is caused by non filling of vacant funded/non-funded posts.</p>	Unacceptable	No Control. The Control rests with Executive Management	Partially effective	Unacceptable	Chief Financial Officer
24	Finance	To ensure sound financial management practices in terms of relevant legislation.	<p>ABET educators are overpaid / under paid / no payment</p> <p>Contributing Factor:</p> <ul style="list-style-type: none"> • Fraudulent qualifications • Attendance not controlled at centre level • Termination of educators without informing District Office. 	Unacceptable	<p>Submission of Attendance registers and control thereof.</p> <p>Physical monitoring at ABET Centre level by District Officials.</p> <p>Control of time registers and leave register.</p> <p>Verification of staff establishment</p>	Effective	Acceptable	Chief Director: District Management and Institutional Governance

B.5. DISTRICTS MANAGEMENT & SUPPORT BRANCH 2009/10 RISK REGISTERS



Graph: District Management District/ Directorate Comparison

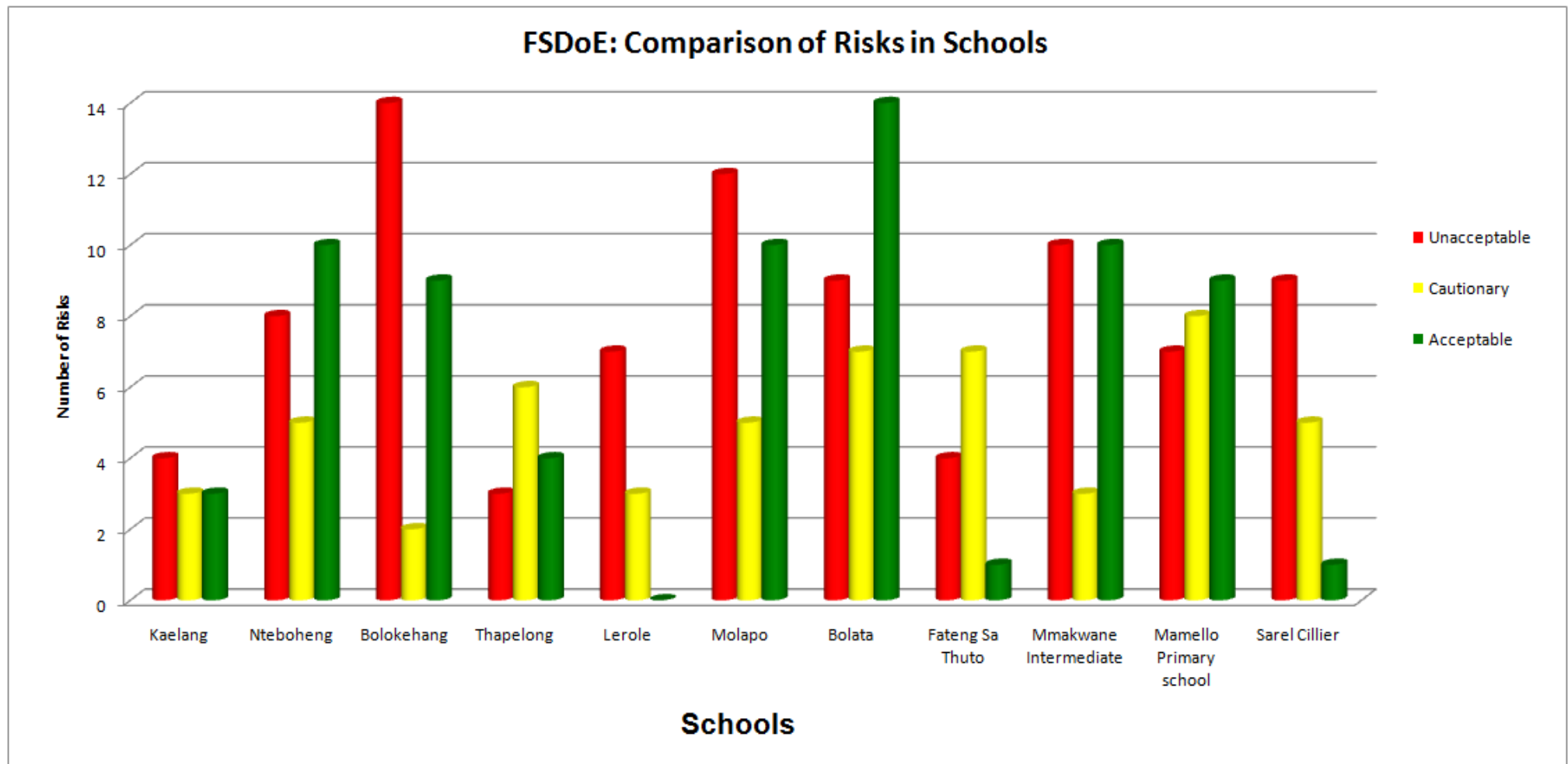
B.6. FET Colleges



B.7. SCHOOLS

In 2008 risk management has been out rolled as a pilot to school level in the Department. Schools with a disclaimer audit report in the Financial Year 2006/07 were identified.

Risk awareness workshops were conducted with the identified schools. A presentation was made which informed School Management Teams, Members of SGB's and SMGDs of what risk management is, how it can improve the achievement of goals and objectives of the school and how it can be implemented and embedded in school processes.



ACKNOWLEDGEMENT FROM THE CRO

A special word of thanks to Senior Management and staff for their co-operation during the risk identification, assessment and monitoring processes.

As a milestone, Schools and FET Colleges were assessed individually as a pilot project and the Principals and their staff are thanked for their co-operation and dedication.

The Staff of the Risk Management Unit is thanked for their contributions and dedication in ensuring that processes are followed, value added to departmental processes and the development of the Risk Register 2009/10.

APPROVED


ACTING ACCOUNTING OFFICER

DATE: 26/03/2009