

Risk Assessment and Management Guidelines

Document History

Version	Date	Changed by	Description
0.10	01/11/2020	Swetha Prakash	Updated as per ACFID requirements
			Next review before annual board meeting

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1. Purpose

Plus Education operates in environments where social, cultural, gender and physical ability related issues of marginalisation exist, but are often overlooked. As a responsible organisation, it is our constant endeavour to ensure that our work considers such vulnerabilities and, to the extent possible, minimises the risk of such marginalisation or discrimination.

The purpose of this document is to put down clear guidelines that define Plus Education's approach to identifying risks, assessing level of risk and adopting processes to mitigate or minimise these risks. This is a 'living' document and will require developing and updating as experience grows.

2. Definitions

Risk

Risk can be defined as: "The probability or threat of damage, injury, liability, loss, or any other negative occurrence that may have an impact on objectives".

Discrimination

The unjust or prejudicial treatment of different categories of people, especially on the grounds of race, age, sex, or disability.



Vulnerable person

A person whose ability to protect themselves from violence, abuse or neglect is significantly impaired through physical or mental disability or illness; age; societal and cultural attitudes and beliefs.

Potentially impacted parties

There are many groups of people who may, at one time or another, be within Plus Education's sphere of influence. These include:

Customer or Program beneficiary: Children or adults who directly benefit from or pay for any of Plus Education's programs or products. In the context of Plus Education's work in education, this could include students, teachers, parents, school directors and/or community representatives

Stakeholder: Group or person invested in ensuring that Plus Education's programs are successful. This may include Board members, funding partners, donors, government officials or well-wishers.

Partner: Organization or individual representing an organisation assisting us in delivering the Plus Education program in given project locations over a specified time.

Staff: Person who holds a contract with Plus Education, whether this be a permanent contract, fixed term contract, part-time or consultancy contract.

Volunteer: Person or group contributing to Plus Education's work for a defined period of time, usually without any monetary benefit.

Visitor: Person or group visiting one of Plus Education's project locations along with Plus Education staff for a short period of time.

3. Risk assessment guidelines

3.1 Responsibilities

The staff, partners and volunteers of Plus Education are accountable to the CEO of Plus Education and the Board of Directors for the implementation of the risk assessment and management process.

3.2 Monitoring & Governance

All identified risks, along with their mitigating actions, are listed in Plus Education's Risk Register. Risk ratings are subject to change whenever it is deemed appropriate, however, as a policy, this is reviewed by the Board of Directors of Plus Education at the quarterly Board meetings and by the CEO on a monthly basis.

All staff, partners and volunteers are briefed on this process and provided with a copy of the guidelines during their induction.

3.3 Risk Tolerance

This document recognises that in order to undertake our work in Cambodia, Plus Education must accept both the accompanying risks and also that while all reasonable steps are taken to mitigate those risks, there remains a very real possibility that a risk event will occur simply because of the environment and circumstances in which we work. Every effort goes into reducing risks but there are also contingency arrangements in case an event arises despite the precautions taken.



4. Risk assessment framework

There are four main elements to Plus Education's risk assessment approach. All identified risk contexts are duly recorded in a risk register, which is then reviewed periodically by the leadership team, CEO and Board of Directors of Plus Education.

4.1 Understanding/updating the risk context

The guiding questions we use to identify risk context are: For whom, by whom/what, what/why.

a. For whom:

- Who is at risk?
- What do we know about them?
 - Are they children, young adults or adults or a specific age group?
 - Do they belong to a specific gender (if their non-conformance to gender norms is the reason for risk, please say be more specific)
 - What is their social and financial status?
 - What is their profession?
 - Do they have any form of disability?
 - Do they belong to any particular caste or religious group?

b. Who/what is the source of risk?

This could include (but is not limited to)

- Plus Education staff
- Political outfit(s) and/or government bodies
- Community and cultural beliefs
- Environmental factors
- Plus Education's extended network (for eg., subscribers to Plus Education's facebook page)
- Physical factors (Infrastructure, resources, etc.)
- Illness

c. What/why?

This requires an articulation of what the risk is and why the risk has been/is being created.

- What is the risk to the vulnerable party(ies)?
- Is the risk time bound or specifically connected to a particular context?
- Why is this a risk (from both the impacted party and Plus Education's perspective)?

4.2 Identifying the risk level

A simple matrix is used to track the impact and likelihood of every risk event. This assessment will be done by the project manager at the beginning of every project and collaboration opportunity.

Likelihood refers to the potential likelihood of the event occurring

Impact refers to the potential impact on both the vulnerable party and Plus Education



		Impact to Vulnerable party and/or Plus Education		
		L	M	H
Likelihood	H-3	L	H	H
	M-2	L	M	H
	L-1	L	L	M

Assessing Impact to vulnerable party(ies)

Low	Highly unlikely that the vulnerable party will be impacted OR Only relevant in a specific context/situation that is unlikely to occur
Medium	Will have some impact on the person or people but not to the extent that it violates their rights.
High	Very likely that the risk event will have a considerable impact on the vulnerable person or people. Could potentially violate their rights.

Assessing Impact to Plus Education

Low	Highly unlikely that Plus Education will be impacted OR Only relevant in a specific context/situation that is unlikely to occur
Medium	Will have some impact on Plus Education and might require some effort to redefine processes or plans. If unattended to, it could escalate into a high impact situation in the future.
High	Very likely that the risk event will have a considerable impact on Plus Education. Could potentially lead to legal or police involvement. In extreme situations, it could lead to Plus Education going out of business or being asked to leave the country.

4.3 Creating and implementing a risk mitigation plan

The following 4-step process is to be used to create and implement a mitigation plan

- Identify options and weigh them by
 - Amount of effort required
 - Resources required (and its impact on the business model)
 - Capacity to deliver
- Select the best approach

Note: In extreme cases, where the risk to either the vulnerable party or Plus Education is high, Plus Education might choose to pause the project indefinitely until it can find an alternate, more favourable approach.

- Develop mitigation plans that identify
 - The tasks/actions to be undertaken
 - The owner of each task/action in the plan
 - The beneficiary of plan
 - The timeframe in which it will be implemented



- Related communication both within and outside Plus Education
- Data/feedback to be collected to evaluate that the plan is working as intended
- Implement