THE EASTERN CAPE

DEPARTMENT OF EDUCATION

CHIEF DIRECTORATE: EXECUTIVE SUPPORT & GOVERNANCE

RISK MANAGEMENT & FRAUD PREVENTION IMPLEMENTATION PLAN

Effective: 2025/ 2026

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1. PURPOSE OF THIS DOCUMENT

This document sets out the annual Risk Management & Fraud Prevention Implementation Plan.

2. OBJECTIVE

The primary objective of Risk Management and Fraud Prevention implementation plan is to facilitate the execution of risk management, fraud, and anti-corruption activities. The plan for the Institution was prepared to give effect to the implementation of the Risk Management Policy, Enterprise Risk Management Framework, Fraud Prevention and Anti-Corruption Policy. It outlines all planned risk management and fraud prevention activities for the 2025/2026 financial year.

3. APPROACH`

The development of the Risk Management & Fraud Prevention implementation plan has taken into consideration:

- The Risk management policy;
- The Enterprise Risk Management Framework;
- The Fraud Prevention & Anti-Corruption Policy; and
- available resources.

4. DETAILED RISK MANAGEMENT AND FRAUD PREVENTION IMPLEMENTATION PLAN

The detailed Risk Management & Fraud Prevention implementation plan is included below.

Number	Objective/s	Activity	Outcome	KPI	Responsibility	Q 1	Q 2	Q 3	Q 4	Total
CREATION OF AN ENABLING ENVIRONMENT										
1	Formalize the Risk Management stance of the department and the implementation of Risk Management in the Department	Compilation and review and approval of an Enterprise Risk Management Policy	Approved Enterprise Risk Management Policy and reviewed annually	Policy reviewed and approved	Department of Education (Herein thereafter referred to as **DOE**)'s Chief Risk Officer	1				1
2		Compilation and review and approval of the Enterprise Risk Management Framework	Approved Enterprise Risk Management Framework and reviewed annually	Framework reviewed and approved		1				1
3		Compilation and review and approval of the Risk Appetite & Tolerance Framework	Risk Appetite & Tolerance Framework	Framework reviewed and approved			1			1
4	Formalize the fraud prevention stance of the department and the implementation of Fraud Management in the Department	Review and approval of the Fraud Prevention and Anti-Corruption Policy	Approved Fraud Prevention and Anti-Corruption Policy and reviewed annually	Policy reviewed and approved	DoE's Chief Risk Officer		1			1
5	Provide guidance, direction and oversight on Risk Management including fraud prevention.	Establish a Risk Management Committee, consisting of people with the expertise and motivation to assist with the promotion and driving of risk and fraud management.	Functioning Risk Management Committee meeting quarterly	Appointment Letters	DoE's Chief Risk Officer	19				19
6			Functioning Risk Management Committee meeting quarterly with an approved Annual Workplan	Approved Annual Workplan	DoE's Chief Risk Officer	1				1
7			Approved RMC Terms of Reference reviewed annually.	RMC Charter updated and approved	DoE's Chief Risk Officer	1				1

Number	Objective/s	Activity	Outcome	KPI	Responsibility	Q 1	Q 2	Q 3	Q 4	Total
8	Ensure that Management is held accountable and assessed on their risk duties	Inclusion of following specific Key Results Areas for risk management in the performance agreements of the Department's senior Management in executing their responsibilities as set out in the Risk Management framework i.e. • Implement and maintain an effective risk management strategy i.e. aligning Departmental process with the functional risk management methodologies, and overseeing the management of key risks in their areas of responsibilities. • Undertake a risk assessment i.e. update risk registers before financial year end. • Present monitoring of Risk Registers quarterly at management meetings.	Risk Management KRA included in the performance agreements of the Department's Senior Management	Specific KPI included management in the performance agreements for Risk Management	DOE's Superintendent-General DOE's Chief Director: HRM & D Senior Management Members DoE's Chief Risk Officer	1				1

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RISK MANAGEMENT & FRAUD PREVENTION IMPLEMENTATION PLAN

Number	Objective/s	Activity	Outcome	KPI	Responsibility	Q 1	Q 2	Q 3	Q 4	Total
		• Strategically engage with auditors and provide appropriate and timely responses to audit queries.								
9	Create and sustain a risk awareness culture	Improve risk management capability	Management & Risk Coordinators capacitated with the appropriate know-how • Risk Training	Awareness sessions held	DoE's Chief Risk Officer		1			1
10			• Risk identification	18 risk registers	DoE's Chief Risk Officer		18		18	36
11			• RMC & Status meetings (presentation & discussion of quarterly report)	Minutes of meetings & RMC Packs	DoE's Chief Risk Officer	1	1	1	1	4
			Employees capacitated with the relevant know-how - Risk awareness campaigns - Fraud awareness - Ethics awareness	No. of head office and districts staff trained	DoE's Chief Risk Officer		1		1	2
12	Improve institutional performance through prudent and proactive Risk Management	Improve institutional Risk Management maturity	Risk Maturity Level 4 and above achieved with verified POEs in terms National Treasury Financial Management Capability Maturity Model (FMCMM) and monitoring of improvement areas as identified in FMCMM.	level of maturity achieved	DoE's Chief Risk Officer				1	1

Number	Objective/s	Activity	Outcome	KPI	Responsibility	Q 1	Q 2	Q 3	Q 4	Total
RISK ASSESSMENT										
13	Identify risks linked to chosen objectives, assessed and action plans adopted	Current year risk health assessment including action plans.	2025/2026 risk registers, inclusive of mitigation & action plans i.e. Strategic Risk Register Operational Risk registers: - Corporate Strategic Management - Accounting Services - General & Transfer Payments - Management Accounting - Salaries & Payroll - Infrastructure - Information Technology - Employee Relations - Collective Bargaining - Wellness Services - Early Childhood Development - Inclusive Education - Independent Schools	No risk registers produced	DoE's Chief Risk Officer		18		18	38

Number	Objective/s	Activity	Outcome	KPI	Responsibility	Q 1	Q 2	Q 3	Q 4	Total
			- Supply Chain Management - Human Resource Development - Human Resource Planning - Human Resource Administration							
			FRAUD PREVENTION PLAN							
14	Existence of proactive measures to mitigate/lessen the risk of fraud, corruption, theft, etc.	Fraud prevention plan, inclusive of the implementation plan	Fraud prevention plan implementation quarterly reports to OTP covering: - Conflict interest - Potentially conflicted employees - RWOPS - Gifts - Disclosure of financial interest	Quarterly report	DoE's Chief Risk Officer	1	1	1	1	4
15	Ensure implementation of proactive fraud prevention measures	Monitoring of the fraud prevention plan i.r.o. Implementation, effectiveness and adequacy	Implemented proactive fraud prevention measures	Updated Fraud Risk Register	DoE's Chief Risk Officer		1		1	1
16	Monitoring of the fraud awareness plan/s i.r.o. implementation, effectiveness and adequacy	Ensure implementation of measures to create and sustain a fraud awareness culture	Implemented fraud awareness plan/s (Will be performed in conjunction with Risk awareness)	Awareness session at head office and districts	DoE's Chief Risk Officer		1		1	2

Number	Objective/s	Activity	Outcome	KPI	Responsibility	Q 1	Q 2	Q 3	Q 4	Total
MONITORING ACTIVITES										
17	Monitoring of risk action plans in respect of implementation, effectiveness and adequacy	Draft letters delegating Risk Coordinators for Programme Managers approval	Draft letters delegating risk functions to Risk Coordinators from Programme Managers	Appointment letters	DoE's Chief Risk Officer		18			18
18		Compile monitoring tools for Risk Coordinators	Quarterly Risk reporting templates utilised for reporting	No. of Quarterly Risk reporting templates	DoE's Chief Risk Officer	1	1	1	1	4
19		Monitor action plans i.r.o implementation of risk mitigation and challenges, etc.	Implementation of Risk action plans monitored and monitoring of corrective action for overdue plans	No of risk reports from Directorates	Risk Coordinators	1	1	1	1	4
20		Feedback to Programme Managers & HOD	Quarterly Risk Management report signed by HOD & presented at Risk Committee	Signed Quarterly risk report	DoE's Chief Risk Officer	1	1	1	1	4
OVERSIGHT ACTIVITES										
	Review of Risk Management, and fraud prevention processes	Risk Management meetings	Active Risk Management Committee meeting, at-least quarterly, to review risk management and fraud prevention processes	Quarterly minutes of meetings & RMC Packs	DoE's Chief Risk Officer	1	1	1	1	4
21			Active Risk Management Committee providing the Accounting Officer/Authority and Audit Committee with the relevant oversight reports (inclusive of Committee resolutions and recommendations)	Quarterly Committee reports from Risk Committee Chairperson	Chairperson: Risk Management Committee	1	1	1	1	4

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Reviewed by:

24 June 2025
Date

Mr S.Govind
Director: Enterprise Risk and Integrity Management

Recommended by:

24 June 2025
Date

Ms FN Kobo
Chairperson Risk Committee

Approved by:

09 July 2025
Date

Ms SA Maasdorp
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