

PAROLE AND PROBATION ADMINISTRATION QUALITY MANUAL - RISK REGISTRY

PROCESS/ ACTIVITY	RISK/OPPORTUNITY	IMPACT/CONSEQUENCE/R ESULT	MITIGATION	CONTINGENCY	RESPONSIBILITY	IMPACT ON OBJECTIVES
FINANCIAL & MANAGEMENT DIVISION						
Budget execution	inability to utilize allotted budget	low budget utilization rate	review plans and programs	prioritization of expenses	budget officer/accountant	high
Preparation of consolidated BFARs	inaccuracy of submitted financial reports from the region	late submission of reports to oversight Office/Agencies & In-accurate reports	inform immediately the responsible staff to submit adjusted/revised report	rectify errors but infor the concern region to re-submit the report as corrected	Regional /CO financial staff	high
Pre-audit of financial claims	invalid documentary attachments	complaint from claimants due to delayed payment	refer to existing COA rules & regulations or refer to the immediated supervisor	return incomplete financial claims, contact claimant re required missing attachment	Pre-audit & Management Section Staff	high
Granting of Cash Advance	Non-liquidation of cash advances within the prescribed period	accumulation of unliquidated cash advances is a ground for non grant of PBB	require immediate liquidation of cash advances	minimize granting of cash advances	Accounting Staff/Accountable Officer	medium
Individual/ Office Performance Rating	Poor Financial Staff Performance	Inability to meet the prescribed deadlines/Inaccurate report	Recognize the weakness of staff and inform him/her regarding the responsibility of missing the deadlines	Impose penalty on the habitual delay in submission of reports	Chief FMD	High
Financial Staff Recruitment	Hiring personnel who do not have background in any business related course	Work assignment may not be familiar to staff that will lead inaccuracy of reports	Active participation in various trainings and seminars	Strictly implement the educational requirement in hiring financial staff	Chief FMD PMT and Chief Admin, Chief Personnel	High
Online submission of reports	Poor Internet Connection	Delay on the online submission of reports	Online Submission of reports must be given priority	Provide Broadband to staff who are assigned to online submission of reports	Accountant/Budget Officer	High

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Submission of reports (hardcopies) to oversight offices	Unavailability of Motor Vehicle	Delay of the submission of reports (Hard Copy)	Submit the reports and suffer the possible consequences. Give priority to FMD on the use of the motor vehicle	Use of Public Utility Vehicle as means of transportation	Chief Administrative Division and Administrator	High
LEGAL DIVISION						
Request for legal opinion	Non-submission of supporting document/s	delay in the preparation of draft legal opinion	communicate with the requester	request the necessary document/s	Attorney IV, III, II	High
Request for legal opinion	The issue falls on a gray area	Difficulty in formulating an opinion				
COMMUNITY SERVICES DIVISION						
Update of Database Volunteer Information System	The absense of Database Program System (Nationwide)	Difficulty in monitoring the status of VPA Program	Update the database of Volunteer Information System thru (EXCEL)	Include in CSD Work Financial Plan the request budget for Database Program	CSD in coordination with FMD	High
Partnering / Networking / Linkaging for rehabilitation program of PPA clients	R * Stigma of conviction to PPA clients by resource agencies / other priority concern but willing to help. O *Services of resource agencies available for PPA clients	Negative response by resource agencies	*Information drive / dissemination	*Device a plan to get in touch with potential partners ex. forum / dialogue / marketing of PPA programs and services *Establish links with people who have contacts with potential partnerswith right connections	*CSD officers *Field Officer *Top Management	medium

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TECHNICAL SERVICES DIVISION						
Reports from Field Offices	Field Office Comm. w/o Signature	Delayed Output/Timeliness in transmitting reports	Inform the concerned Field Office	Resubmit corrected report	Supervision Section	High
1. Request: Indorsement for FO	RISK:	- delay in the process of investigation			Investigation Section	
a. Usage of electronic mail	- slow or no internet connection - incorrect email address		- strong internet connection - updated email address	- exclusive internet connection for TSD		Medium
b. Ordinary mail system	- incorrect address		- updated directory	- call each region for updates as to their address		Low
c. Prison record	- not updated prison record		- maintain an index card to compares the info.	- call the documents section for verification		Low
2. Result coming from the FO	- no due date of submission of reports - incomplete documents - typographical error/different name or circumstances - non-compliance to the requested documents	- prolong submission of reports	- setting of deadlines for submission of report	- sending of tracer		High

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ADMINISTRATIVE DIVISION						
GENERAL SERVICES SECTION						
Repair of leaking faucet/flush tank	Flooding, damaged to flooring	Water wastage/ Increase water consumption	Periodic Maintenance/ Trouble shooting	Replacement	GSS /Maint. Repair Team	medium
Repair of ACU, printer & CPU	No resident technician	No replacement of unit	Periodic Maintenance/ Trouble shooting	Immediately call technician for ACU. Refer to CPU & printer	GSS/Maint. Repair Team/ Canvasser	medium
Payment of basic services	Delay in the delivery of service	Might hamper services esp. light, water & communications	Request billing thru phone or email	Prepare DV/OBRS/ supporting documents based on previous bill	GSS Chief	medium
RECORDS SECTION						
1. Records Management	Depleted Cash Advance	Mailing Schedule is not followed	Prioritize according to need of document	Reservation of Cash Advance prior to date of mailing	Records Officer, Records Staff	low
	Absence of Liaison Officer	Non dissemination of documents	Have an Alternate Liaison Officer	Resort to other means of dissemination like email/ fax	Records Officer, Liaison Officer,	low
2. Non submission of records for disposal	No records for Disposal	No disposal of records	Reiteration of memo on disposition of records	Discuss the RDS with designated RMIC members together with the chief of the unit/ division	RMIC Chair and members, Records Officer	low

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CASH SECTION						
1. Disbursements Salaries & allowances	Delayed preparation of Payroll	Delayed salaries of employees	Advance preparation of Payroll	Advance preparation of Payroll	Payroll Officer Cashier	high
CHECKs, LDDAPs Advices	Lack of check No internet connection	Delayed Payments to various Creditors	advance request of Checks from Treasury	Manual encoding	Cashier	high
2. Collections	Not deposited on time	Collections & Deposits are not balance	Cash received should be deposited before 3 pm	Cash received should be deposited before 3 pm	Collecting Officer	high
PROPERTY SECTION						
Purchase Of Supplies And materials	No stock On the procurement service	Shopping or thru canvassing	Follow up with the procurement service	Shopping	Chief of Property	
Canvassing of Supplies and materials	No response; Late of response	Delay of purchase because of no canvas	Follow up thru phone or personal appearance	Look for another supplier	Chief of Property	
Replacement of cash advance	Run out of cash	Hamper the purchase of supplies materials; and mailing of doc. To field other offices	70% liquidated Before replenishment	Follow up with signatories	Chief of Property	

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PLANNING DIVISION						
Preparation and submission of accomplishment reports	Late submission of report by regions to Planning Division	Late submission to oversight agency	Use historical data and come up with estimated data for the report	Request for an extension of due date from oversight agency	Chief Planning Division	High
Preparation of accomplishment reports	Inaccurate data	Erroneous report	Verify with regional office	Re-submit a more accurate report./ Amendment of submitted report	Chief Planning Division	High
CASE MANAGEMENT AND RECORDS DIVISION						
	Occurrence of delayed caseload reports submitted to CMRD	Delayed analysis of report causing delayed release of statistical data needed by the Oversight Committee	Use historical data to project the data	Request for the extension of due date from the Oversight Committee through the Planning Division	Chief, Case Management Division	High
NATIONAL CAPITAL REGION						
release of requested fund for rehabilitation activity	delayed submission of advice to bank	delayed in the conduct of the rehabilitation activity/ stoppage of the activity	seek the assistance of LGU or NGO	implement Plan B of the rehabilitation program	Financial Officers, Field Officers, RD	Medium
distribution of supplies and materials with inconsistent grade of quality	materials/supplies were not used	report was not done;report submission was delayed	submit to the RD letter regarding the problem and request for material/supplies acquisition	tap LGUs for assistance	Field Officers, Property Officers, RD	Medium

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assignment of personnel	attitudinal problems of personnel	create strained work relationship; produce mediocre work performance	conduct office dialogue with concerned personnel; issuance of office memo	file administrative action	CPPO, RD, Admin. Officer	High

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low	6	poor planning	action plan be prepared in advance	work and financial plan	realignment of objects of expenditures within the allotment class	SAOB, BFARs
medium	6	relax, reluctance and dependency in the preparation of financial reports	strict supervision by the regional head on the staff concerned	BFAR and, Financial statements	sanction to concerned regional head and staff	Memo order from the Administrator
low	3	lack of familiarity with the required documentary attachments	provide checklist of documentary requirements,	Disbursement vouchers	provide copy of COA Rules and Regulations, information drive, & financial audit	COA Circulars, returned DV
low	Actionable	Cash advance may not be utilized or documentary	inform the Accountable regarding the	Notice from the Accountant	Remind the AP thru Notice informing him/her of the	Notice of Unliquidated Cash Advance
Low	Actionable	Habitual absences, lack of focus. Relaxed and reluctant employee	Inform the staff regarding his/her performance. Accomplishment report must be strictly monitored	Work Accomplishment Report	Imposed penalty on successive late submission or	Memo/SO
Medium	Actionable	Hiring of unqualified personnel may result to various problems in the division most especially if the educational background of personnel is not related to his/her work assignment	Be strict in hiring personnel to be assigned in the Financial Unit/division. It must be business related course	Job vacancy posts	Encourage staff to take courses related to job assignment (e.i vocational courses, master's degree and etc.), Capability building	Memo/ SO
Medium	Actionable	Poor internet service provider	Secure internet connection that has high mbps, reliable internet provider	Contract	Provide at least one working station where there is strong internet connection or secure internet dedicated line	SO

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High	Actionable	Driver is not around or motor vehicles is under maintenance or it is used by employees for an official business travel	Ensure that driver and motor vehicle must be available during the specified time of submission of reports to oversight agencies	trip tickets	Assignment of 1 unit motor vehicle for the FMD must be implemented	SO
Medium	6	oversight	Instruction from the management	Memo	Instruction from the RO	RO Memo
			Research on other jurisdictions	Laws, Court Decisions	Commentaries of authors	Books
Medium	6	No budget allocated for Database	Proposal / Request DBM budget allocation with approval c/o FMD	Budget Proposal	FMD to justify in the budget hearing	*Section 28 of Probation Law (As Amended) *Date on the implementation of VPA Program.
high	6	In sensitive to PPA clients rehabilitation and reformation	*Developing proposal for clients rehabilitation program *Enter into partnership through MOA	Project Proposal	CSD / Field Office	Directory of Resource Agencies Gos, NGOs and Individuals

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Medium	6	overlooked report	Call the attention of the Field Office concerned.	report submitted	inform the RD concerned	Submitted Document
Medium	4	- poor service of internet provider	secure a more reliable internet provider	-	- fax	- logbook/phone registry
Low	1					
Low	1					
High	9	- setting of parameter in the submission of reports	- issuance of guidelines on the submission of report	- logbook	- maintain an inventory list of reports submitted per region	- columnar record book

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medium	4	Antiquated/ dilapidated/ wear and tear	Repair	Pre-repair Inspection Report/ Purchase Request	Temporary repair	
medium	4	Wear and tear	Follow up thru phone	Pre-Repair Inspection Report/Job Request (JR) and request for quotation	Provide vehicle for canvasser	
medium	4	Delay in the delivery of billing statements	Follow up thru phone or email	Logbook/ email/RA		
low	2	slow processing/ phasing of liquidation/ replenishment of CA No signatories	Follow up Cash Advance w/ SDO or signatories	logbook	Assign a separate CA for mailing purposes	logbook
low	2	sickness, personal issues traffic	Inform the recipient about the emailed/faxed document	logbook		
low	2	heavy workload inefficiency	Work out/ sit-in with the concerned unit to facilitate the disposition	Records Series, logbook		

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low	1	not prepared before the due date	Advance preparation of payroll	logbook FINDES INDEX	Advance preparation of Payroll	logbook FINDES INDEX
low	1	delayed release of request to purchase checks from Treasury & LBP	Follow up request of check from LBP	logbook INDEX	advance request of Checks from Treasury	logbook INDEX
low	1	non remittance of collections received	Cash received should be deposited on	Cash Book	Cash received should be deposited before 3 pm	Cash Book
		No stocks on the procurement service	Shopping	Purchase Request	Shopping	
		Delay of purchase cause the supplier did not submit their request for quotation.	Follow up thru phone or by personal appearance of canvasser	Purchase request (PR) and request for quotation (RFQ)	Provide vehicle for canvasser	
		Delay in submitting the receipt of those make of petty cash	Follow up	Purchase request; Petty cash voucher	Assign any person to process even without the chief	

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Medium	6	Overlapping due dates of various reports to be submitted	Fax/electronic reporting, signed copy to follow	E-mails/fax messages; logbook	assign a focal person to monitor a particular report	phone registry
Medium	6	Assigned personnel not knowledgeable to consolidate statistics in the particular program	Electronic submission of amended report	email	Assign a focal person to monitor a particular report	email; inbox print screen
Medium	6	overlapping due dates of various reports to be submitted	Fax/electronic reporting, signed copy to follow	E-mails/fax messages; logbook	assign a focal person to monitor a particular report	phone registry
			Adjust the cut off date of data to be reported to amend the due dates	logbook	assign a focal person to monitor a particular report	phone registry
low	2					
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Medium	6	family/personal problems; skills & talents not commensurate to job/position	counseling/mentoring/ ccoaching; training	Office Memo		

PRO

IMPACT

	Low	Medium	High
Low	1	2	3
Medium	2	4	6
High	3 ?	6	9



Actionable