



Bureau of Corrections

Form Reference Code

BUC-QM-001

Revision No.

0

Effectivity Date

01/05/2018

RISK REGISTRY AND ACTION PLAN

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Related internal/ external issue	Description of Risk/Opportunity	Source/Cause	R / O	Consequence to QMS outputs or non- compliance to requirements	Current Control/ Current Situation	Consequence Rating	Likelihood Rating	Risk/Opportunity Rating	Action Priority	Action plan (with Responsible Office)	Timelines
Security Operations											
Committed and highly trained custodial officers and personnel	Retained competent custodial officers and personnel to perform functions	Good rewards and recognition	O	Sustained effectiveness and efficiency in operations	Only government-approved incentives are implemented	4	2	8	M	HR to look for possible additional incentives for high performing custodial personnel and review the promotions process	Last Quarter 2018
	Competent custodial officers and personnel are pirated by other GA and private companies	Better compensation packages	R	Higher cost for training of new custodial personnel	SG is based on government laws	4	3	12	H		
Faster change of technology	Not being able to cope up with the trend	Budget constraint/ red tape	R	Failure to meet target	Annual Budget/ Procurement plan not included	3	2	6	M	ITO to analyze trends in cost of technology as input for annual budget increment and propose new technologies that may be adopted	2019-2021
	Faster delivery of services	Adaptation of new and effective technology	O	Target to be exceeded	Annual Budget	4	3	12	H		



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Congestion Rate	Inadequate number of Buildings	No budget appropriated	R	Failure to meet UN standard	Not included in General Appropriation Act	5	2	10	H	GSS to conduct inspection in cost of construction as input to annual budget	2 nd Semester 2018
	Construction of sufficient buildings	Modern corrections facilities	O	Humane corrections environment	General Appropriation Act	5	5	25	H		
Illegal Drugs	Entry inside corrections facilities	Erring personnel, visitors/civilians	R	Failure to meet drug-free corrections environment	Low compensation/poverty	5	5	25	H	Superintendent Office to revisit security policies re: entry of personnel and visitors inside prison compound	2 nd Semester 2018
	Installation of adequate modern equipment	Detection of illegal drugs	O	Drug-free corrections environment	No sufficient modern equipment	5	3	15	H		
Escape	Security threat to community	Commit another crime	R	Failure to deliver the quality objectives	Increase the number of escort guards or decrease the number of PDL in institutional project	5	5	25	H	Superintendent Office to revisit security policies re: camp Defense Plan	2 nd Semester 2018
	Partnership with community for the early recovery of escapee	Quick recovery of escapee	O	Quick delivery of quality objectives	Non-cooperation of the community	5	5	25	H		



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External Relations Section											
No separate facility to house all qualified due for release PDL	Repetition of work	No Budget to build new facility	R	Unable to deliver orientation and trainings to all qualified PDL in one place	Satellite office establish at RDC, Medium	4	5	20	H	1. Submitted to NBP Supt. Office the Project Procurement Management Plan (PPMP) for 2019 on the proposed construction of ERD building 2. Continue existing livelihood program 3. Reiterate next year request for ERD Building in the (PPMP)	2022
	Additional personnel	Better delivery of service	O	Deliver services on the target time or to exceed target	Annual Budget	4	2	8	M		



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Reformation											
Committed PDLs to participate in Reformation Program	Maintain interest of PDL to continue with the enrolled Reformation Program	Additional GCTA	O	Completion of the enrolled Reformation program	Reformation Programs allowed to enroll	3	2	6	M	Conduct of impact assessment reformation programs and continuous monitoring of PDLs participation	4 th Quarter 2018
	Non- Participation of PDLs	Weak monitoring of reformation programs	R	Failure to meet the participation target	Lack of coordination of programs	3	2	6	M		
Diseased Outbreaks Recuperation Rate	Diseased Outbreaks	Inadequate number of workforce, medicine, and equipment	R	Failure to deliver appropriate health services	Workforce do not commensurate with workload	3	3	9	M	Contingency Plan	2 nd Semester 2018)
	Medical Assistance from GO's and NGO's	Linkages	O	Modernize diagnostic equipment and medicine	Adequate supplies and medicines for 3 months	2	3	6	M		



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Support Operations											
ARTA Implementation	Non-compliance with ARTA and/or RA 6713 on response time.	No reliever for critical tasks	R	Pending, delayed communications	OPCR	1	2	2	L	Assign alternate personnel for critical tasks	1 st Semester 2018
Workforce / Facilities	Number of workforce	Budget Constraint	R	Failure to deliver accurate and reliable Reformation programs	Items are not proportionate to number of PDLs	4	4	16	H	Implementation of RA 10575	Last Quarter of 2018
	Assignment of Personnel	Inadequate number of workforce	O	Acquired new skills based on assigned task	Anyone can be assigned to the program	1	2	2	L	Recruitment/Training	
Receipt Documents	Spurious documents/communications	Persons with intent to defraud and deceit	R	Possible legal ramifications (contempt, charges & penalty)	Poor verification of received documents/communications	1	2	2	L	Stringent monitoring, validation and verification	1 st Semester 2018
Evaluation Process	Applicants with existing medical conditions	Non-Accredited medical/psychological clearance submitted	R	Poor performance of personnel	CSC rules & regulation	3	1	3	L	Test conducted only by Accredited Govt. Hospitals & Testing Centers (1 st Semester 2018
Inspection and Acceptance	Items delivered are not consistent/appropriate against specifications	Lack of technical personnel assigned as Inspection Team member	R	Low quality goods and equipment; additional cost of new orders	Technical Specifications, Terms of References and Contracts	1	1	1	L	Provide training for Inspection and Acceptance Committee & TWGs	1 st Semester 2018



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Lack of Preventive Maintenance on Records/Documents	Workplace Hazards (Fire, termites infested, loss or damaged)	Lack of request for pest control service	R	Possible damage on files and facilities	Initiate Digitization/Scanning of old records	2	1	2	L	Request of outsource for Pests (termites, rats, mice, cockroaches) Control service; Request equipment e.g. fire extinguishers, aircon for storage area; To include in the budget PPMP & APP 2019	1 st Semester 2018
Keeping and Filing of Records	Misfiled, missing and or hard to retrieved/ Accumulated files/documents	Lack of suitable storage area Poor filing system, lack of personnel	R	Poor implementation re: disposal of records, delay in providing information/documents for reference	Initial conduct of inventory of records; Utilization of custodial personnel and personnel with Job Order Status; Digitization/Scanning of records	2	1	2	L	Personnel to attend continuously seminar on records management; enhance filing system by digitalizing/ scanning of old records; Coordinate with the National Archive of the Philippines (NAP) re: disposal of records	1 st Semester 2018



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Dispatched of documents	Delayed or late dispatch	Inadequate methods in dispatching of documents	R	Poor dispatching system	Logbook, OPCR	2	1	2	L	Request for a purchase of service vehicle to be utilized in the transporting of correspondence within Metro Manila; coordinate with the courier service provider or make arrangement for a possible MOA e.g. LBC, Post Office; establish official website	1 st Semester 2018
Legal	Late disposition of Contracts	No legal research done, poor internet connections, lack of law library	R	Delayed or late dispatch	Inadequate methods in dispatching of documents	2	1	2	L	Formulated or innovated tools for easy dispatch of the documents, like first out	1 st Semester 2018
Filing of Records	Misplaced case folder	Poor case filing & storage	R	Delay in case disposition		2	1	2	L	Filing & Storage renovation	1 st Semester 2018
Financial management	Suspension, Disallowance and Illegal Payments	Questionable transactions	R	Fund disbursement no in line with BuCor priorities	COA guidelines & document checklist	3	2	6	M	Institutionalized Pre-Audit of transactions	End of 2018



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ICT management	Obsolescence of ICT equipment	Non-inclusion of projects in ISSP	R	Poor office performance, delayed service delivery	Regular updating & repairs of existing ICT equipment	1	2	2	L	Upgrade ICT Equipment and Infrastructure	2019-2021
Identification	Double Reference Number	No reference to old PDL records, change or altered of name	R	Inadequate filing system	Digitization of fingerprints	1	2	2	L	Proper coordination with the IDPS, File Number	End of 2018
Encoding of PDL Files	Human error (computations)	Work overload and annual computation	R	Inaccurate computation of PDLs expiration of sentence	Updating of IMIS re: application of RA 10592	1	2	2	L	Attend workshops/seminar re: RA 10592; Full implementation of IMIS -(Developed by the DOJ)	End of 2018- 2019