

	<b>Bureau of Plant Industry</b> <b>Quality Management System</b> <b>RISK AND OPPORTUNITY REGISTRY AND ACTION PLAN</b>	Doc Ref No.:	<b>BPI-QMS-DMT-QM1-Annex 1</b>
		Effective Date:	<b>APRIL 28, 2022</b>
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The Bureau of Plant Industry (BPI) has identified risks and opportunities for the development of its Quality Management System (QMS). These include internal and external issues which serve as basis in the identification of the current controls and opportunities in the system. Risk and opportunity ratings are also measured through its likelihood and impact to create action plans with specific time frames. As for the risks, treatments pertain to the mitigation and contingency procedures. Whereas, the opportunity pursuit plan aides in the adoption and improvement of practices and viable possibilities to meet the needs of the organization and its customers.

#### A. Risk Registry (All Operating Units)

All Operating Units																			
Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-AOU-001	S09. Ensure efficient financial management	Accounting Section	Timely processing and submission of ITR	Late return of signed ITRs from the concerned employees	Delay in the submission of ITR to BIR	BIR issues a penalty to the Bureau	Internal	Operational Risk	3	2	6	Medium	Issuance of memorandum for the submission of ITR	Request for extension of deadline to BIR	Reiteration of memorandum to fast-track the submission of ITR	10 working days upon the RORAP approval	Top Management/Accounting Section	Not applicable	Close

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R-In-AOU-002	S09. Ensure efficient financial management	Bids and Awards Committee	Purchase Request (PR) with complete specification	Typographical error or incompatible item from the approved WFP, and incomplete attachment	Unacceptable or incomplete specification	There are no bidder/supplier who will supply the requirement	Internal	Operational Risk	4	2	8	Medium	Review and counter check prepared PR	Revise Purchase Request	Proofreading and checking of the PR by the end user; Provide checklist	10 working days upon the RORAP approval	Bids and Awards Committee/Procurement Management Section	Not applicable	Open
R-In-AOU-003	S09. Ensure efficient financial management	Budget Section, Accounting Section	Audited Financial Report/Liquidation report, Request for Fund Transfer, Collection Report	Financial Plan in the current period were not executed on time	Delay in liquidation report	Delay in the transfer of fund for succeeding quarter/release	Internal	Operational Risk	4	2	8	Medium	Preparation of documents and record keeping after every activity	Facilitate liquidation of the existing fund	Early preparation of documents necessary for execution of plans such as PR, RFQ, etc.; Issue memo on deadline	10 working days upon the RORAP approval	Top Management/Budget Section/Accounting Section	Not applicable	Close
R-In-AOU-004	S09. Ensure efficient financial management	Budget Section	WFP (Financial Targets)	Changes in requirements from the time of budget proposal to the time of WFP preparation	Approved budget is not compatible with the requirements	Incompatible Financial Targets (BED 1) with the current situation	Internal	Operational Risk	3	2	6	Medium	Work within the existing or approved budget	Revision and consideration of changes for the current requirements	Preparation of documents as reference for planning	10 working days upon the RORAP approval	Top Management/Budget Section	Not applicable	Open
R-In-AOU-005	S09. Ensure efficient financial	Budget, Accounting, and Cashier Sections	Travel Expense Voucher (TEV) Claims	Missed out attachments	Incomplete attachments for TEV	Delay in issuance of claims	Internal	Operational Risk	4	2	8	Medium	Review of the attachments prior to submission	Submission of missed out attachment	Provide checklist of documents	10 working days upon the RORAP approval	Top Management/Budget, Accounti	Not applicable	Close

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	managem nt		required attachm ents													ng and Cashier Sections			
R- In- AOU -006	S08. Integrate informatio n managem ent	Information and Computer Section	Informat ion, educatio n, and commun ication (IEC) material s	Typogra phical error or outdated informat ion	Consiste ncy of informat ion provided for IEC material s	Misconc eption and misinfor med stakehol ders	Internal	Reputatio nal Risk	2	1	2	Low	Review and proofreading of information for IEC	Replacement / recall if necessary	Preparation of informatio nal material with OU's; Establish mechanism on review prior to the release of materials S	5 working days upon the RORAP approval	Informa tion and Compute r Section	Not applicable	Close
R- In- AOU -007	S07. Enhance human resource capability	Personnel Section	Monthly Training and Scholar ship Report	Unavaila bility of personnel assigned in the report submissi on	Delay in submissi on of Training Monitori ng Report	Outdated record of Personnel Section	Internal	Operatio nal Risk	4	2	8	Mediu m	Preparation of reports prior to submission	Submission of reports immediately	Assign alternate personnel to prepare and submit the report	10 working days upon the RORAP approval	Personnel Section	Not applicable	Close
R- In- AOU -008	S07. Enhance human resource capability	Personnel Section	Individual Perform ance Commit ment and Review (IPCR)	Personnel are unaware of the deadline for the submissi on of IPCR	Delays in the submissi on of IPCR from every personnel	Incompl ete file at the personnel section	Internal	Operatio nal Risk	2	1	2	Low	Check status of submission and remind personnel to comply	Immediate submission of IPCR	Posting of memorandu m on the bulletin board regarding the deadline of submission	5 working days upon the RORAP approval	Personnel Section	Not applicable	Close
R- In- AOU -009	S07. Enhance human resource capability	Personnel Section	Duly accompli shed DTR, Travel Orders (TO) and Travel Authorit	Unavaila bility of signatori es for TA and TO	Late processi ng of TO and TA	Late approval of TA and TO; Cancellat ion of Travel	Internal	Operatio nal Risk	4	2	8	Mediu m	Processing of TO and TA immediately prior to travel	Processing of TO and TA immediately prior to travel and rescheduli ng of travel	Preparation of documents several months prior to scheduled activity	10 working days upon the RORAP approval	Concern ed OU Personnel; Liaison Officer; Personnel Section	Not applicable	Close

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			Requirements																
R-In-AOU-010	S07. Enhance human resource capability	Personnel Section	Annual submission of Statement of Assets, Liabilities and Net worth (SALN) and Personal Data Sheet (PDS)	Typographical errors and incorrect filling out of forms	Delays in submission and incorrect filling out of SALN and PDS	Replacement, re-submission of corrected SALN and PDS	Internal	Operational Risk	2	1	2	Low	Checking prior to submission by a focal person	Immediate correction of erroneous information	Posting of memorandum on the bulletin board regarding the deadline of submission	5 working days upon the RORAP approval	Top Management/Personnel Section	Not applicable	Open
R-In-AOU-011	S07. Enhance human resource capability	Personnel Section	Curriculum Vitae (CV)/PDS/credentials of Center's staff/recommendations for promotion and qualified applicants for vacant regular position	Missed out attachments	Incomplete submission of documents of qualified applicants	Delay in processing of the appointment of qualified applicants	Internal	Operational Risk	2	1	2	Low	Checking of documents by the personnel involved in Personnel Selection Board (PSB) prior to submission	Immediate submission of lacking documents	Provision of checklist to qualified applicants	5 working days upon the RORAP approval	Personnel Section	Not applicable	Close

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R-In-AOU-012	S07. Enhance human resource capability	Personnel Section	Application letters/CV/PDS/Credentials of Center's applicants, Contracts of service	Missed out attachments	Incomplete submission of Contract of Service's documents	Delay in processing of contracts	Internal	Operational Risk	2	1	2	Low	Checking of appointed personnel prior to submission	Immediate submission of lacking documents	Provision of checklist to COS to prepare needed documents	5 working days upon the RORAP approval	Personnel Section	Not applicable	Open
R-In-AOU-013	S07. Enhance human resource capability	Personnel Section	Leave Credits and Applications	Missed filing of leave application	Late or non-submission or of leave applications	Outdated leave credits	Internal	Organizational Well-being	4	2	8	Medium	Informing immediate supervisor regarding the absence of personnel	Immediate filing of leave upon reporting to office	Filing of leave ahead of time; Issue memo on leave	10 working days upon the RORAP approval	Top Management; Personnel Section	Not applicable	Close
R-In-AOU-014	S07. Enhance human resource capability	Personnel Section	Clearances (retirements, travel, trainings, scholarships)	Failure to comply with the requirements for clearance	Delay in submission of clearance	Intended activity will not proceed	Internal	Organizational Well-being	1	2	2	Low	Reminding concern personnel to seek clearance	Follow up on the release of clearance	Preparation of documents necessary for clearance ahead of time; Issue memo on clearances	5 working days upon the RORAP approval	Personnel Section	Not applicable	Close
R-In-AOU-015	S07. Enhance human resource capability	Planning and Management Office	Section Performance Commitment Review (SPCR), Division Performance Commitment Review (DPCR), and	Offices were not aware of the deadline of submission	Late submission of SPCR, DPCR, and OPCR	Outdated performance evaluation of concerned office at PMO	Internal	Operational Risk	2	1	2	Low	Reminding the personnel in charge about the submission	Immediate submission of SPCR, DPCR and OPCR	Posting of memorandum on the bulletin board regarding the deadline of submission	5 working days upon the RORAP approval	Planning and Management Office	Not applicable	Close

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			Office Performance Commitment Review (OPCR)																
R-In-AOU-016	SO6. Upgrade infrastructure and support facilities services	Property and Supply Section	Inventory of Property and Equipment	Insufficient tracking mechanism	Outdated property and equipment inventory	Unaccounted/lost equipment/property	Internal	Operational Risk	2	1	2	Low	Reminding the concerned personnel about the submission	Immediate submission of inventory	Update inventory on a regular basis	5 working days upon the RORAP approval	Property and Supply Section	Not applicable	Open
R-In-AOU-017	SO6. Upgrade infrastructure and support facilities services	Property and Supply Section	Waste Material Report	Unable to document waste disposal activity	Late and non-submission of Waste Material Report	Failure to update the property and supply section and possible audit violation	Internal	Operational Risk	2	1	2	Low	Reminding the concerned personnel about the submission of waste disposal report whenever necessary	Immediate submission of the report	Ensure proper documentation	5 working days upon the RORAP approval	Property and Supply Section/Concerned OU Personnel	Not applicable	Open
R-In-AOU-018	SO9. Ensure efficient financial management	Planning and Management Office, Budget Section, Assistant Director's Office, and Director's Office	Work and financial plan	Insufficient means to effectively consolidate, conceptualize and discuss work program	Late submission of feasible WFP	Unable to carry out Plans and Programs	Internal	Operational Risk	3	2	6	Medium	Immediate submission of WFP	Review and facilitate approval of prepared WFP	Scheduling of in-house workshop activity per OU for the preparation of WFP; Issue memo	10 working days upon the RORAP approval	Top Management/Planning and Management Office	Not applicable	Close

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R-In-AOU-019	S09. Ensure efficient financial management	Planning and Management Office	Monthly Physical Accomplishment Report and Narrative Physical Accomplishment Report	Regional/Satellite Office fails to submit reports on time	Late submission of reports	Unaccounted accomplishment report to DA MED	Internal	Operational Risk	3	2	6	Medium	Sets deadline of submission earlier to consolidate reports	Review and follow up on the submission of reports	Sending a reminder and the set deadline prior to report submission	10 working days upon the RORAP approval	Planning and Management Office; OUs with regional/satellite offices	Not applicable	Close
R-In-AOU-019	S03. Strengthen administrative support services	Applicants	Curriculum Vitae (CV)/PDS/credentials of staff/recommendations for promotion and qualified applicants for vacant regular position	Submitted documents does not conform to the set requirements for the hiring & placement of personnel	Void application	Delay in the application processes	External/Internal	Operational	5	2 (Operational)	10	Medium	a.) Require applicant to re-submit required documents. B.) Provide applicants with the application documents checklist	request submission of advance copies (electronic copies) of the lacking requirements	a.) Posting of vacant positions with documents checklist to common areas and BPI website (thru memo) b.) Check document validity upon receipt, then return to applicant once submission is invalid	10 working days upon approval	Personnel Section HRMP SB Secretariat Applicants	Not applicable	Close

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**B. Risk Registry (External Relevant Interested Party)**

Accounting Section																			
Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-IE-ACS-001	SO9. Ensure efficient financial management	Claimants (Meralco, Maynilad, PLDT, Suppliers, Employees, etc.)	ORS/BU RS,DV, Billing Statements, Approved Purchase order and Purchase Request, Company Profile, DTR,TEV claims required	Incomplete information (ex. attachments, etc.)	Delayed Payments	Complaints	External and Internal	Financial Risk	4	2	8	Medium	Pre-Processing of Claims to be able to identify what document is lacking	Require every section, offices to check and accomplished every documents needed before submitting to accounting office	Doctrack/Checklist for Submission	10 working days upon the RORAP approval	Accounting Section	Not Applicable	Close

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			attachm ents																
R-IE-ACS-002	SO9. Ensure efficient financial management	Department of Agriculture, Commission on Audit, DBM (Financial Reports)	Financial Accountability Reports, Financial Statements, Collection and Liquidation Reports, Reports of Checks Issued, Inventory Reports	Incomplete Reports Attachments/Delayed Submission	Delayed Consolidation and submission of Reports	Non Compliance to Submission Set	Internal	Operational Risk	4	2	8	Medium	Allowing them to submit advance copy of their reports and setting allowable deadlines to comply with the submission	Consolidating reports in advance before deadline	Provision of Scheduled reminder to all Operating Units on Submission of attachments and deadlines	10 working days upon the RORAP approval	Accounting Section	Not Applicable	Open
R-IE-ACS-003	SO9. Ensure efficient financial management	All Operating Units	Liquidation Reports/Bond	Incomplete Liquidation Reports/Delayed Submission	Delayed Release of Funds	Late Implementation of Programs	Internal	Operational Risk	4	3	12	High	No reports no Release	Consolidating reports in advance before deadline	Provision of Scheduled reminder to all Operating Units on Submission of attachments and deadlines	20 working days upon the RORAP approval	Accounting Section	Not Applicable	Open
<b>Assistant Director's Office for Operations and Technical and Production Services</b>																			
<b>Risk Identification</b>							<b>Risk Assessment</b>						<b>Risk Treatment (Action Plan)</b>			<b>Risk Monitoring and Evaluation</b>			
				<b>Risk Scenario</b>															

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ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Cause	Issue	Effect	Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person/ Unit/ Office	Remarks	Status (Open/ Close)
R-E-ADO-OTPS-001	DSO3. Enhance promotion of opportunities in agriculture	Department of Agriculture, Other Agencies, LGUs, Universities, Researchers, and Students	Official data	Disorganized data management	Lost files	Untimely delivery of demanded data	Internal	Operational Risk	High (4)	Major (4)	16	High	Verification/revitalization of data obtained from respective divisions	Contact the divisions responsible for the data of interest	Establish an effective data management	20 working days upon the RORAP approval	All OUs	Not applicable	Close
R-E-ADO-OTPS-002	SO5. Generate new and relevant agricultural technologies	Farmers, students, researchers, agricultural extension workers, Local Government Units, Politicians, DA and other government agencies, Indigenous People	Technologies generated, Reliable pest advisory, Provision of technical assistance through conduct of training, phone inquiries, interviews, and e-mails	Incomplete data received	Unable to provide client specific documents	Untimely delivery of demanded data	Internal	Operational Risk	High (4)	Major (4)	16	High	Follow up submissions from respective divisions	Contact the divisions responsible for the data of interest	Conduct weekly follow up to each division under the office and establish an effective data management	December 29, 2022	All OUs	Not applicable	Open

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R-E-ADO-TPS-003	DSO3. Enhance promotion of opportunities in agriculture	Funding Agencies	Submission of proposals on research, Institutional Development Grant	Lack of technical writing trainings	Low quality proposals	Low turnout of approved/duly-funded research proposal	Internal	Organizational Well-Being	High (4)	Significant (3)	12	Significant	Seek technical assistance from experts	Discussion among experts and proponents to polish the research proposal	Conduct series of training that will develop technical capabilities of staff to develop good quality research proposal	20 working days upon the RORAP approval	All OUs	Not applicable	Close
<b>Agricultural Engineering Division</b>																			
<b>Risk Identification</b>							<b>Risk Assessment</b>						<b>Risk Treatment (Action Plan)</b>		<b>Risk Monitoring and Evaluation</b>				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-EX-AED-001	S07: Develop Agricultural Engineering Database	Farmers, students, researchers, and agricultural extension workers	Technical Assistance	Too many physical documents. Human Error.	Unable to find client specific documents.	Delay in catering technical assistance.	External	Macro Environment	4	2	8	medium	Manually sorting and looking through files. Email the client once the files have been retrieved	Referral of the client to similar organizations or agencies that can cater to their requirements.	Make files more accessible by improvement of manual sorting through proper tagging / labelling. Providing local digital database on information on the common inquiries of the clients'	March 30, 2022	Agricultural Engineering Division,	Subject to availability of funds	Close

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R-EX-AED-002	S010. Increase external fund resources	Funding Agency (BAR, PCAARD, etc.)	Capsule proposal, detailed proposal, logical framework, work plan schedule, budget summary	Incomplete documentary requirements	Denial of proposed research project	Non-approval / Non-release of fund resulting in delay or non-implementation of the project	External	Macro Environment	3	2	6	medium	Regular follow-up on the status of the processing of the proposal	Submission of a Request Letter for Extension of compliance to documentary requirements	Conduct meeting to plan ahead of time inputs on the proposal revisions and timeline.	March 30, 2022	Agricultural Engineering Division, other Division s/ Centers	Subject to availability of funds	Close
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**Biotechnology Office**

Risk Identification			Risk Assessment										Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)	
			Cause	Issue	Effect														
R-EX-BIO-001	DSO2. Ensure compliance to food safety requirements of agricultural crops	Technology developers (Private Sector and Public Research Institutions), DENR-Biosafety Committee, DOH-Biosafety Committee, DA-BAI	Biosafety Permit for Direct Use, Field Trial, and Commercial Propagation	Non-existence of sanctions for delayed submissions in the JDC No. 1 s2016 resulting to delays in the submission	Delay in the approval of biosafety permit	Delay in the delivery of service	External	Macro Environment	3	5 (Service Delivery)	15	High	Weekly follow-up to concerned experts	Adjust the remaining time allotted for the other processes	Source out pool of experts in universities with the needed field of specialization; Review of Joint Department Circular No.1 Series of 2016 to extend the	20 working days from the RORAP approval	Biotechnology Office; PPSSD; Department of Health; Bureau of Animal Industry; Fertilizer and Pesticide	Not applicable	Close

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		Biotech Team, DA-Fertilizer and Pesticide Authority	on of ERA/EHIA/RAR/CPR forms and evaluation documents.											timelines for risk assessment;		Authority			
R-Ex-BIO-002	DSO1. Ensure access of farmers to quality seeds	Technology developers (Private Sector and Public Research Institutions), DA-Regional Offices Regulatory Division (formerly RCPC)	Biosafety Permit for Direct Use, Field Trial, and Commercial Propagation, IRM updates and information on IRM monitoring	Complacency of assigned external staff leading to missing forms	Delay in the submission of IRM (post-approval) monitoring forms	Delay in the delivery of service	External	Macro Environment	4	1 (Service Delivery)	4	Low	Continuous follow-up to RFO/PAMG monitors	Continuous follow-up to RFO/PAMG monitors	Conduct meeting with the concerned external personnel; Remind RFO and technology developer every season before the monitoring schedule	5 working days from the RORAP approval	Biotechnology Office	Not applicable	Close
R-Ex-BIO-003	DSO1. Ensure access of farmers to quality seeds	Technology developers (Private Sector and Public Research Institutions), DA-Regional Offices Regulatory Division	Biosafety Permit for Direct Use, Field Trial, and Commercial Propagation, IRM updates and	Occurrence of accidents outside workplace (ex. during monitoring activities)	Delay in the post-approval monitoring and Field Trial monitoring	Delay in the delivery of service	Internal	Macro Environment	1	1 (Health and Safety)	1	Low	Educate monitors to practice safety guidelines during monitoring.	Prepare for any accident from happening by having an emergency kit and transportation.	Ensure safety protocols and rules during monitoring	5 working days from the RORAP approval	Biotechnology Office	Not applicable	Close

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		(formerly RCPC)	information on IRM monitoring																
R-Ex-BIO-004	DSO9, DSO10	Funding Agencies (oversight agencies)	Project Proposal and Its Attachments	Needs an ample time to consult with the Biotech Office group.	Delay in the submission of project-proposal revisions.	Delay in the approval of project as a source of financial support to Biotech Office.	External	Financial Risk	1	4 (Financial Risk)	4	Medium	Conduct of emergency meetings to discuss project-proposal related concerns.	Constant communication with the funding agencies to discuss further improvements on the proposals.	Planning ahead of time inputs on the proposal revisions.	10 working days from the RORAP approval	Biotechnology Office	Not applicable	Close
R-Ex-BIO-005	DSO9, DSO10	DA-Biotechnology Program Office and DA-Bureau of Agricultural Research (oversight agencies)	Accomplishment reports	Delay in the consolidation of inputs for the accomplishment reports.	Delay in the submission of accomplishment reports.	Halt in the funding of project proposals or realignments.	External	Financial Risk	1	4 (Financial Risk)	4	Medium	Preparation of accomplishment reports before the scheduled deadline.	Constant communication with the oversight agencies to update progress on the drafting of accomplishment reports.	Planning ahead of time inputs on the accomplishment reports.	10 working days from the RORAP approval	Biotechnology Office	Accomplishment reports to be submitted as needed and required.	Close
R-Ex-BIO-006	DSO7, DSO8	DOST-Biosafety Committee	Representation of DA-BPI in the DOST-BC	Other commitments of the BPI representative/s are in place during the DOST-BC meeting dates.	Non-attendance of the BPI representative/s to the DOST-BC meetings	Urgent issues and concerns cannot be resolved immediately. Difficulty in cascading information	External	Operational Risk	3	3	9	Medium	Designation of alternate representatives for the DOST-BC meetings.	Communication with the DOST-BC Secretariat to discuss meeting's agenda.	Planning calendar of activities and scheduled commitments of the BPI representative to the DOST-BC meetings.	10 working days from the RORAP approval	Biotechnology Office	DOST-BC meetings are on Saturdays, every month.	Close

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R-Ex-BIO-007	DSO4, DSO8	International Organizations, Government and Non-Government organizations, Local Government Units, and other stakeholders	Requested data on GM crop adoption and other relevant information for public disclosure	Delay in the submission of GM crop adoption data from technology developers/RCPCs and other relevant information for public disclosure.	Delay in the preparation and website posting of GM crop adoption data.	Untimely cascading of information to the concerned RIPs. Delay in providing requested information.	External	Operational Risk	2	2	4	Low	Continuous monitoring and follow-up of GM crop adoption data from technology developers and RCPCs.	Coordination with the specific RIPs requesting the information to expedite the processing of the request.	Close coordination with the technology developers and RCPCs.	5 working days from the RORAP approval	Biotechnology Office	GM crop adoption data submitted to BPI on every season.	Close
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**Budget Section**

Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
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				Cause	Issue	Effect													

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R-EX-BUS-001	SO no. 7. Ensure efficient financial management	Department of Agriculture/Department of Budget Management	Submission of proposal	Unmet Criteria set by the concerned agency	Disapproved budget proposal	Delay or cancellation of activities	Internal	Financial Risk	3	3	9	Medium	Inform/coordinate with the concerned operating unit/s	Not applicable	Propose in the following fiscal year	Dec 29 of every year	Budget Section	Recurring every year	Open
<b>Cashier Section</b>																			
<b>Risk Identification</b>							<b>Risk Assessment</b>						<b>Risk Treatment (Action Plan)</b>			<b>Risk Monitoring and Evaluation</b>			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
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R-IE-CAS-001	Processes and releases payments, claims & remittance of employees & creditors	Stakeholders - External & Internal	Payments	Incomplete information (ex. signature, account number, etc.)	Delayed payment to supplier and other stakeholders.	Receipt of complaints from supplier; Delay in service delivery	External/Internal	Macro environment/Operational	3	5(Operational)	15	High	Consistent follow-up	Follow up with the concerned stakeholder regarding the missing information	Issuance of memorandum regarding the completeness of voucher information.	20 working days upon the RORAP approval	Accounting Section / Cashier Section	Not Applicable	Open
R-IE-CAS-002	Processes and releases payments, claims & remittance of employees & creditors	Stakeholders - External & Internal	Payments	Suppliers do not have official bank account leading to requesting of Modified Disburse	Issuance of MDS Check from national government servicing bank takes longer time	Delayed payment to external stakeholders	External	Macro environment	3	3(Operational)	9	Medium	Prepare List of Due and Demandable Accounts Payable for national government servicing bank / Follow-up national government servicing bank for the check	Follow-up national government servicing bank for the check payment and request made	Facilitate an online request to hasten the process of releasing check	October 2021	Cashier Section	Schedule of request for MDS check starts on the last quarter of the year.	Close

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Crop Pest Management Division																			
Risk Identification						Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation					
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				Cause	Issue	Effect													
R-Ex-CPM D-001	DSO1. Minimize and control pest outbreak	RFO-RCPCs; and LGUs, Technicians, NGOs, Farmers, Research Cooperators, SUCs, other stakeholders	Crop pest management technologies, Resources for public advocacy activity; and Techno-hub center or farmer's information training centers, Harnessing of tri-media	Occurrence of pest outbreak	Reduction in crop yield	Insufficient food supply and low income of farmers	External	Macro environment	2	5 (Operational)	10	Medium	Issuance of pests advisories; dissemination of IEC materials; conduct of pest monitoring; technical assistance; and distribution of Biocontrol Agents	Conduct farmers awareness to do regular monitoring; and apply insecticides approved by Fertilizer and Pesticide Authority	Continuous pest monitoring, technical briefing and training of farmers in coordination with the regions & LGUs; Conduct of adaptive research and trainings for new technologies	10 working days upon the RORAP approval	CPMD	Not applicable	Open

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			modalities																
R-EX-CPM D-002	DSO1. Minimize and control pest outbreak	RFOs (ILD, RCPC); Researchers, scientists, policy makers; Farmers, LGUs, Technicians, NGOs, private partners and stakeholders	Accurate pest identification, Specific pest management recommendation ; Basic information regarding the pests, For regulatory policy formulation; and Pest management recommendation	Natural hazards and disasters ; rebels	Peace and order issues in some areas; accident prone in remote areas	Delayed delivery of products and services; Endanger life of staff; Injury	External	Macro environment	3	5 (Health and Safety)	15	High	Proper coordination with the concerned LGUs and regions; Developed survey protocol on cassava, corn and rice	Immediately extract affected staff	Include only accessible and safe areas in the conduct of activities outside the bureau	20 working days upon the RORAP approval	CPMD	Not applicable	Open
R-EX-CPM D-003	DSO3. Strengthen laboratory and pest management services	RFO-RCPCs; and LGUs; NGOs; farmers and other stakeholders	Effective BCA for specific crops; Standard protocol; Proper maintenance of genetic purity; and	Mites infestation	Low production of <i>Trichogramma</i> and health risk of staff	Reduction in the distribution to farmers	External	Macro environment	2	2 (Operational/Health and Safety)	4	Low	Sanitation and follow proper laboratory practices	Provision of hazard pay for staff working in the laboratory; Fumigation done by laboratory personnel	Contract licensed fumigator	December 29, 2022	Biocontrol Section	Not yet included in the FY2021 budget; Subject to the approval of budget proposal for FY2022	Open

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			Sufficient distribution; Virulent biological control agents																
R-Ex-CPM D-004	DS07. Integrate pest management information system	RFOs (Regulatory, ILD, RCPC)	Pest advisories; Pest awareness materials (brochures, posters, leaflets); Surveillance protocol; PRIME collect; PRIME web; Rapid crop health assessment; Prime-stat; E-learning; BPI collect	Incomplete data received	Delay in the data processing	Delay in the update of national pest data	External	Macro environment	4	3 (Operational)	12	High	Follow up the submission of pest data for validation	Division Chief to request emergency meeting to all the regions	Conduct weekly follow up to the regions; Establish an effective and efficient pest database (Google sheets)	20 working days upon the RORAP approval	CPMD	Not applicable	Close

**Crop Research and Production Support Division**

**Risk Identification**

**Risk Assessment**

**Risk Treatment (Action Plan)**

**Risk Monitoring and Evaluation**

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R-EX-CRP-SD-001	DSO3. Enhance promotion of opportunities in agriculture	RFOs-Operations	POT, List of RSBSA Member, List of accredited nurseries	Conduct of onsite activities such as training, site establishment and monitoring in locations with large crowds	Covid-19 infected personnel	Disruption of work schedule and delay in delivery of services	External	Macro Environment	4	5 (Operational Risk)	20	Extreme	Enforce strict health safety rules before, during and after the activity; 14 day quarantine for all persons encountered by the infected employee and disinfection of the office	Refer to the latest COVID-19 IATF guidelines particularly on work arrangement	Conduct of online training; Use of Information, Education and Communication materials such as videos; Adhere to COVID-19 Inter-Agency Task Force for the Management of Emerging Infectious Diseases (IATF) latest guidelines in the conduct of onsite activities	30 working days upon the RORAP approval	CRPSD; Health and Safety Officer	Not applicable	Close
R-EX-CRP-SD-002	DSO3. Enhance promotion of opportunities in agriculture	RFOs-Operations	POT, List of RSBSA Member, List of accredited	Conduct of onsite activities such as training, site establish	Injured personnel due to travel accident	Disruption of work schedule and delay in delivery	External	Macro Environment	1	1 (Operational)	1	Low	First aid treatment	Re-assignment of work load/ Designate alternate staff	Practice health and safety protocols / Follow precautionary measure	5 working days upon the RORAP approval	CRPSD; GSS; Health and Safety Officer	Not applicable	Open

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			nurseries	ment and monitoring outside of office premises		of services									before and during conduct of activity				
R-EX-CRP SD-003	DSO1. Ensure access of farmers to quality seeds	Government Research Institute, BPI Centers, RFOs, farmers, Accredited seed growers, Accredited plant nurseries, Private nursery operators, Seed growers	Certified planting materials, Higher class of seeds	Occurrence of pest infestation and disease outbreak	Low quality of distributed planting materials	Distrust and, low satisfaction rating from beneficiaries	External	Macro Environment	5	2 (Reputational Risk)	10	Medium	Perform pest and disease management practices and identification of problem and replacement of product	Identification of the cause and replacement of product as well as provision of technical advice regarding the concerned commodity	Practice proper nursery and seed storage management	10 working days upon the RORAP approval	CRPSD; Quality Control Officer	Not applicable	Close
R-EX-CRP SD-004	DSO1. Ensure access of farmers to quality seeds	Government Research Institute, BPI Centers, RFOs, farmers, Accredited seed growers, Accredited plant nurseries, Private nursery operators,	Certified planting materials, Higher class of seeds	Uncontrolled circumstances leading to unsuitable storage environment	Low germination of seeds and low quality planting materials	Distrust and, low satisfaction rating from beneficiaries	Internal	Operational Risk	5	5 (Operational Risk)	25	Extreme	Augment amount of seed distribution based on seed germination rate, inform beneficiaries about the current condition of the seeds.	Augment amount of seed distribution based on seed germination rate, inform beneficiaries about the current condition of the seeds.	Capacity building on seed storage management. Regular monitoring and maintenance of storage equipment.	30 working days upon the RORAP approval	CRPSD; Warehouse man; Plant nursery staff	Not applicable	Open

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		Seed growers																	
R-EX-CRP-SD-005	DSO1. Ensure access of farmers to quality seeds	Government Research Institute, BPI Centers, RFOs, farmers, Accredited seed growers, Accredited plant nurseries, Private nursery operators, Seed growers	Certified planting materials, Higher class of seeds	Adverse conditions such as heavy rain and strong winds	Destroyed planting materials in nursery	Less planting materials for distribution	External	Macro Environment	5	2 (Operational Risk)	10	Medium	Pruning of surrounding trees to reduce debris and use of protective covering for nursery	Source out planting materials from BPI Centers if needed	Pruning of surrounding trees to reduce debris and use of protective covering for nursery	10 working days upon the RORAP approval	CRPSD; BPI Centers	Not applicable	Close
R-EX-CRP-SD-006	DSO3. Enhance promotion of opportunities in agriculture	RFOs-Operations	Provision of technical assistance thru conduct of training, crop production technologies and planting materials	Misrepresentation during trainings /client consultation	Unsatisfied beneficiaries	Distrust and low satisfaction rating from beneficiaries. Receipt of complaints	Internal	Organizational well-being	1	2 (Reputational)	2	Low	Tap existing technical personnel within the division	Communicate with the concerned client and provide further technical assistance	Designate technical personnel per subject matter; Assign alternate focal person	5 working days upon the RORAP approval	CRPSD; Admin Aide	Not applicable	Open

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R-EX-CRP-SD-007	DSO3. Enhance promotion of opportunities in agriculture	RFOs-Operations	POT, IEC Material s/ modules /video	Continuing resources for extension services to disseminate developed technologies	Insufficient dissemination of developed technologies	Low adoption rate	Internal	Operational Risk	1	1 (Operational Risk)	1	Low	Provision of hardcopies of developed technologies to walk-in customers and Promotion thru caravans	Intensive use of social media for nationwide dissemination of free information	Intensify promotion of developed technologies thru IEC, quad media	5 working days upon the RORAP approval	CRPSD	Not applicable	Close
R-EX-CRP-SD-008	DSO1. Ensure access of farmers to quality seeds	Government Research Institute, BPI Centers, RFOs, farmers, Accredited seed growers, Accredited plant nurseries, Private nursery operators, Seed growers	Certified planting materials, Higher class of seeds	Delayed production due to late delivery of input	Late distribution of planting materials to target beneficiaries	Delay in delivery of service	External	Macro Environment	3	2 (Operational Risk)	6	Medium	Fast tracking of procurement documents.	Source out propagating materials from BPI Centers for immediate production	Conduct early procurement and fast tracking of documents through online tracking system	10 working days upon the RORAP approval	CRPSD; BPI Centers	Not applicable	Open

**Director's Office**

Risk Identification				Risk Assessment								Risk Treatment (Action Plan)		Risk Monitoring and Evaluation					
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	Strategic Plan 2017-2022)													Risk Scenario)					
R-IE-DO-001	S09. Ensure efficient financial management	BPI Management; National Government Agencies	Clearance, Liquidation Report and documents to ensure efficient and effective transition	Political/government leadership changes	Transition/Change in leadership or management in the Bureau	Shift in priorities and thrusts	External	Macro Environment	1	5	5	Medium	Adherence to Special Orders/ Presidential Appointments	Conduct briefing to the new management ; Adapt to the new priorities and thrusts	Craft succeeding strategic plan of the bureau	December 2022	All concerned Units	This is subject to the political election and appointments.	Close
R-E-DO-002	S01-S06	Other government agencies, Concerned Citizens and Individuals	Notify Internal Audit Unit for the Receipt of Complaint, Approval of Corrective/Immediate/Appropriate Action between complainant and concerned OUs	Unsatisfactory implementation of activities	Filed cases or complaints against BPI employees/ and office	Dissatisfaction of stakeholders on BPI products and services	Internal	Reputational/Operational	3	3	9	Medium	Follow standard operating procedure in Handling Complaints	Grievance Committee to conduct thorough investigation regarding the complaint	Conduct of Internal Quality Audit	10 working days upon the RORAP approval	Top Management/All concerned Operating Units/Grievance Committee	Not applicable	Close
<b>General Services Section</b>																			
<b>Risk Identification</b>							<b>Risk Assessment</b>						<b>Risk Treatment (Action Plan)</b>			<b>Risk Monitoring and Evaluation</b>			

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R-EX-GSS-001	DSO3. Strengthen administrative support services	Service providers	Fast and stable internet and telecom connection	Slow and unstable internet and telecom connection	Unserviceable internet and telecom connection	Delay in delivery of services	External	Macro Environment/Operational risk	4	5	20	Extreme	Constant follow up on Service Providers	Migration and rehabilitation of DP to MDF box by service provider	Constant monitoring of phone lines and internet connection	December 2021	General Services Section	Timeline is indefinite depending on the response of the service provider.	Close
R-EX-GSS-002	DSO3. Strengthen administrative support services	Pilipinas Shell Petroleum Corp.	Monthly consolidated report of Fuel & Lubricant consumption	Late processing of voucher due to late submission of receipts & Invoice by Drivers	Suspension of Fuel & Lubricant consumption	Delay in delivery of services	External	Macro Environment/Operational risk	1	1	1	Low	Strict observation on the monthly submission of documents (follow-ups)	Cash payment subject for reimbursement	Strict observation on the monthly submission of documents (follow-ups)	5 working days upon the RORAP approval	General Services Section & Concerned Units	Ongoing activities	Open
R-EX-GSS-003	DSO3. Strengthen administrative support services	Government Services Insurance System	Voucher & Official Receipt	Late processing of voucher due to late submission of requirements	Uninsured RP vehicle	Delay in delivery of services	External	Macro Environment/Operational risk	1	1	1	Low	Strict observation on the submission of documents; Constant follow-up/tracking of voucher	Cash payment subject for reimbursement	Early preparation of requirement for GSIS renewal	5 working days upon the RORAP approval	General Services Section & Concerned Units	Ongoing activities	Close

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R-EX-GSS-004	DS03. Strengthen administrative support services	Land Transportation Office	Voucher; LTO Official Receipt	Late processing of voucher due to late submission of requirements	Unregistered RP vehicle	Delay in delivery of services	External	Macro Environment/ Operational risk	1	1	1	Low	Strict observation on the submission of documents; Constant follow-up/tracking of voucher	Cash payment subject for reimbursement	Early preparation of requirement for LTO registration	5 working days upon the RORAP approval	General Services Section & Concerned Units	Ongoing activities	Close
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**National Plant Quarantine Services Division**

Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-EX-NPQSD-001	DS01. Ensure compliance to phytosanitary requirements of agricultural crops	Importers, (Proprietors, Corporations, and Hobbyists) Exporters (Packing facilities, and farms) Fumigators/Treatment Providers	Issuance of License to Operate (LTO), SPSIC, PQC and / or PQSC Issuance of LTO Issuance of LTO	Occupational health hazard	Exposure to hazardous chemicals during the supervision of commodity treatments, inspection and sampling	Potential harm or injury and illness (asthma, eye and skin diseases, respiratory tract infection, cancer, leukemia) due to direct contact on pesticide	External	Macro environment	2	5 = Health and Safety	10	Medium	Continuous retooling of PQ Personnel to be acquainted to the Safety Protocol and Standard Operating procedures; Use of Personal Protective Equipment (PPE) e.g. hard hat, safety vest, masks, gloves (laboratory)	Clinical treatment based on injury assessment Assurance of the availability of able personnel to perform the task	Training of PQ Personnel/ Inspector on Occupational safety, Quarantine treatment; health and safety guidelines; Regular monitoring of PQ personnel for the implementation	December 30, 2021	NPQSD, Competent Training Facilitator, PQ Personnel, Top management	NPQSD will propose other options specifically those that will accommodate PQ health hazard category; for budget approval	Close

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						s, fumigants and other harmful chemicals							Strict compliance with safety and health requirements/ protocols		ion of protocol and safety procedures;  Providing Personal Protective Equipment (PPE) e.g hard hat, masks, safety vest, gloves(laboratory)						
						Delays in the PQ operation and other related activities															
						Complaints that may arise due to delays of quarantine operations.															
						Failure to perform activities															
R-Ex-NPQ SD-002	<b>DSO1.</b> Ensure compliance to phytosanitary requirements of agricultural crops	Importers, (Proprietors, Corporations, and Hobbyists)  Exporters (Packing facilities, and farms)	Issuance of License to Operate (LTO), SPSIC, PQC and / or PQSC  Issuance	Safety during the travel from the office to inspection site/ area .	Cases of untoward incidents that may occur during or in the process of the PQ operation	Hamper the inspection, supervision, sampling operation and other related activities	External	Macro environment	3	5 = Health and Safety	15	High	Coordination with focal personnel of the operating unit for the availability of vehicle  Close coordination between the	Clinical treatment based on injury assessment  Assurance of the availability	Provide vehicle for the inspection of the PQ inspector/ personnel .	December 30, 2021	NPQSD, Competent Training Facilitator, PQ Personnel, Top management	NPQSD will propose other options specifically those that will accommodate PQ health hazard	Close		

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		Fumigators/Treatment Providers	of LTO Issuance of LTO			of the PQ Personnel						client and inspector regarding the transportation arrangement	of able personnel to perform the task				category; for budget approval		
R-Ex-NPQ SD-003	<b>DSO1.</b> Ensure compliance to phytosanitary requirements of agricultural crops	Importers, (Proprietors, Corporations, and Hobbyists)  Exporters (Packing facilities, and farms)  Fumigators/Treatment Providers	Issuance of License to Operate (LTO), SPSIC, PQC and / or PQSC  Issuance of LTO  Issuance of LTO	Safety during the supervision of inspection and treatment of commodities	Physical injury(s) may occur during site inspection and boarding of vessels (Slip, trip and fall injuries including bone fracture and breaks, cuts, lesions and punctures, falling objects from the container)	Delay on the inspection activity of the PQ Officer/inspector	External	Macro environment	2	5 = Health and Safety	10	Medium	Trained and experienced personnel /inspector shall supervise the inspection	Clinical treatment based on injury assessment  Assurance of the availability of able personnel to perform the task	Assessment of the inspection site/area before inspection  Retooling of PQ Personnel to be acquainted to the Safety Protocol and Standard Operating procedures;	December 30, 2021	NPQSD, Competent Training Facilitator, PQ Personnel, Top management	NPQSD will propose other options specifically those that will accommodate PQ health hazard category; for budget approval	Open
R-Ex-NPQ SD-004	<b>DSO1.</b> Ensure compliance to phytosanitary requirements of	Importers, (Proprietors, Corporations, and Hobbyists)	Issuance of License to Operate (LTO), SPSIC, PQC and	Insufficient Dissemination of Information regarding	Non-compliance to rules and regulations of Plant	Spread of insect pest and diseases that may be present from the	Internal	Operational Risk	4	3	12	High	Confiscation of prohibited commodities; Posting of IEC materials of the prohibited commodities and regulated	Partnering with concerned agencies for an extensive information dissemination;	Create Plant Health Awareness Focal Group; Organizing Awareness	20 working days from the RORAP approval	NPQSD, Other technical divisions of BPI, ICS	Not applicable	Close

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	agricultural crops	Passengers (seaport, airport) carrying plants, plant products, and planting materials	/ or PQSC  Issuance of Clearance for Domestic Transport	prohibited commodities;	Quarantine	infected commodities that would be transported to the ports of the country								quarantine pests and Special Quarantine Order/AO's at different ports; Training for Plant Quarantine Officers nationwide was already conducted; Plant Health Summit for Awareness campaign; Dissemination of IEC materials to stakeholders		campaign to schools regarding Plant Health				
R-Ex-NPQ SD-005	<b>DSO1.</b> Ensure compliance to phytosanitary requirements of agricultural crops	Exporters (Packing facilities, and farms)	Issuance of LTO	Unavailability of designated PQ Personnel in the PQS-Central office to conduct treatment of commodities	Delay in the issuance of Phytosanitary Certificate	Delay in the treatment process resulting to longer waiting time for customers	Internal	Operational Risk	4	3 = Service Delivery	12	High	Assistance from available PQ personnel from other PQS-manila stations	Additional manpower to conduct the activity	Designation of permanent PQ personnel to conduct proper treatment activities	20 working days from the RORAP approval	NPQSD	Not applicable	Close	
R-Ex-NPQ SD-006	<b>DSO1.</b> Ensure compliance to phytosanitary requirements of agricultural crops	Department of Agriculture, Other Agencies, LGUs, Universities, Researchers, and Students	Reliable official data relevant to the enforcement of plant quarantine rules and	Insufficient dissemination of information and collaborations between agencies for	Non-compliance to plant quarantine regulations.	Reduce effectiveness of plant quarantine enforcement.	External	Macro environment	2	5	10	Medium	Close coordination with Department of Agriculture, Other Agencies, LGUs, Universities, Researchers, and Students.	Strengthen collaboration with other relevant agencies and institutions.	Improve communications and information sharing using ICT and strengthen collaboration with other agencies.	December 30, 2021	NPQSD, Top Management	Not applicable	Close	

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		(CVR applicants)	es / Policies; Database of NSIC Registered Varieties ; Seed Catalogues and other Publication	guidelines	NSIC; Some applications are filed at NSIC and others are filed at TWG	documents;							required documents		issuance of DA Circular				
R-Ex-NSI-PVP 0-002	DS01. Ensure access of farmers to quality seeds	Individual Breeder and Breeding Institutions (CVR applicants)	Certificate of Variety Registration; Guidelines / Policies; Database of NSIC Registered Varieties ; Seed Catalogues and other Publication	No written crop variety registration guidelines	Deferment in the approval of application for Crop Variety Registration	Delay in the delivery of service / issuance of Registration Certificate	Internal/External	Operational risk	3	1 (Operational)	3	Low	Applicant's resubmission of documents previously filed at TWG	Proper notification to the applicant with corresponding action plan	Drafting and Endorsement of guidelines to DA for approval and issuance of DA Circular	5 Working Days from the Approval of RORAP	Council Secretariat, TWG, TechSec, Council	Not Applicable	Close
R-Ex-NSI-PVP 0-003	DS01. Ensure access of farmers to quality seeds	Individual Breeder and Breeding Institutions (CVR applicants)	Certificate of Variety Registration; Guidelines / Policies; Database of NSIC Register	Noncompliance of the applicant to the requirements	Pending applications	Delay in the delivery of service	External	Macro environment	5	3 (Operational)	15	High	List of requirements as per ARTA	Proper notification to the applicant with corresponding recommendations	Posting of procedures and requirements in the NSIC website	20 Working Days from the Approval of RORAP	Council Secretariat	Not Applicable	Close

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			ed Varieties ; Seed Catalogues and other Publication																
R-Ex-NSI-PVP O-004	DSO2. Intensify protection of plant varieties	Individual Breeder and Breeding Institutions (PVP applicants)	Crop-specific DUS Test Guidelines; Certificate of Plant Variety Protection; Database of Protected Varieties ; PVP Gazettes and other publications	Security breach of testing sites	Theft of planting materials for protection	Breach of trust from the client	External	Reputational Risk	4	2 (Reputational)	8	Medium	DUS tests are conducted at the applicant's experimental area	Draft approved MOA between PVPO and the identified testing site; Legal assistance to client	Proposal for DUS testing site (NSTP)	10 Working Days from the Approval of RORAP	PVPO, PVP Board, Top Management	Not Applicable	Close
R-Ex-NSI-PVP O-005	DSO2. Intensify protection of plant varieties	Individual Breeder and Breeding Institutions (PVP applicants)	Crop-specific DUS Test Guidelines; Certificate of Plant Variety Protection; Database	Bad weather condition	Incomplete data on the growing trial	Deferment in the approval of application for Plant Variety Protection	External	Macro Environment	3	5 (Operational)	15	High	Re-trial of the applied variety	Use of any available data to satisfy DUS criteria for the grant of protection (e.g. result of disease resistance trial) subject for	Incorporate in the DUS guidelines the establishment of Reserve trial (not the same location as the Primary trial)	20 Working Days from the Approval of RORAP	PVP Board; PVPO Secretariat, PVP Examiners and Applicant	Not Applicable	Close

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			of Protected Varieties ; PVP Gazettes and other publications											deliberation of the Board					
R-Ex-NSI-PVP O-006	DSO4. Strengthen plant registration and protection services	Individual Breeder and Breeding Institutions (CVR applicants)	Certificate of Variety Registration; Guidelines / Policies; Database of NSIC Registered Varieties ; Seed Catalogues and other Publications	No written CVR guidelines	Unpaid fees from unclaimed Registrations Certificates	Growing collectibles	External	Macro Environment	5	1 (Operational)	5	Medium	There is an existing DA Administrative Circular on the collection of fees for varietal registration	Regular notification to the applicant on fees to be settled	Drafting and Endorsement of guidelines to DA for approval and issuance of DA Circular	10 Working Days from the Approval of RORAP	Council Secretariat	Not Applicable	Close
R-Ex-NSI-PVP O-007	DSO8. Intensify Crop Variety and Plant Protection information management	SUCs, relevant government agencies and other concerned entities	Seed Catalogues, PVP Gazettes; Passport Data and other Publications	Lack of control mechanism to check the database	Data discrepancy between the website and internal data controller	Confusion to stakeholders	Internal	Operational Risk	4	2 (Reputational)	8	Medium	Designate personnel to directly upload the data in the website	Issuance of erratum in the website and updating of database	Incorporate in the procedures manual the counter checking step for data uploading	10 Working Days from the Approval of RORAP	Council Secretariat	Not Applicable	Close

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R-EX-NSI-PVP-0-008	DSO8. Intensify Crop Variety and Plant Protection information management	Council and Technical Secretariat ; TWGs; PVP Board and PVP Examiners	Technical and admin support	Unavailability of attendees due to equally important matters	No quorum during a meeting	Delay in the delivery of service e.g. issuance of regulatory documents	Internal	Operational risk	2	4 (Operational)	8	Medium	Designate personnel in the coordination process	Constant coordination with the meeting attendees regarding their confirmation	Crafting of written procedures in the conduct of a meeting	10 Working Days from the Approval of RORAP	Council Secretariat	Not Applicable	Open
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**National Seed Quality Control Services**

Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-EX-NSQ-CS-001	DSO1. Ensure access of farmers to quality seeds	Seed Growers/ Producers Nursery Operators	Certificate of Accreditation	Noncompliance of farmers / seed growers in regulatory services	Incomplete submission of documentary requirements	Delay in processing of Accreditation	External	Macro Environment	4	2	8	Medium	Deferment of application with lacking documents; Remind Regional/ Satellite Office regarding the lacking document	Remind Regional/ Satellite Office regarding the lacking document	Use of checklist for screening of documents	10 working days upon the RORAP approval	NSQCS Management	Not applicable	Close
R-EX-NSQ-CS-002	DSO1. Ensure access of farmers to quality seeds	Seed Growers/ Producers	Result of Laboratory Analysis for Seed Certification	Demand for seeds to be tested by NSQCS increases	Sudden increase of submitted seed samples	Lack of manpower to conduct additional	Internal	Operational Risk	4	1	4	Low	Seed Analysts render overtime services	Back staffing of authorized personnel from other unit	Hiring of additional personnel	December 29, 2022	NSQCS Management	Have requested additional budget for COS	Close

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						workload													
R-EX-NSQ-CS-003	DS01. Ensure access of farmers to quality seeds	Private Seed Company/ Private individual	Result of Laboratory Analysis	Testing of chemical treated seeds	Exposure to chemicals	Health hazard	Internal	Health and Safety	2	2	4	Low	Observance of Good Laboratory Practices (GLP); provision of Hazard pay; Wearing of PPEs	Clinical treatment based on injury assessment	Ensure proper filling out of forms specifically in the remarks section declaring that samples were chemically treated	5 working days upon the RORAP approval	Seed Testing Section	Not applicable	Close
R-EX-NSQ-CS-004	DS01. Ensure access of farmers to quality seeds	Private Seed Company/ Private individual	Result of Laboratory Analysis	Pressure from Head Agency or other stakeholders who submit samples who have relatives / relationship with the employees	Requesting to expedite release of Result of Laboratory Analysis	Unfair treatment or bias in conduct of test and processing of Result of Laboratory Analysis	External	Macro Environment	1	4	4	Medium	Adherence to Republic Act No. 6713 – Code of Conduct and Ethical Standards for Public Officials and Employees	Customers are required to sign Impartiality and Confidentiality Agreement Form	Keep the source of submitted samples anonymous by assigning Laboratory Number instead of company name	10 working days upon the RORAP approval	NSQCS Management	Not applicable	Close
R-EX-NSQ-CS-005	DS01. Ensure access of farmers to quality seeds	Private Seed Company/ Private individual	Result of Laboratory Analysis	Expired calibration of equipment	Delayed conduct of seed testing	Delayed issuance of Result of Laboratory analysis (occurrence)	Internal	Operational Risk	3	3	9	Medium	Use of alternative available calibrated equipment	Use of alternative available calibrated equipment	Early preparation of calibration plan and Purchase request	10 working days upon the RORAP approval	NSQCS Management	Not applicable	Close

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R-Ex-NSQ-CS-006	DSO1. Ensure access of farmers to quality seeds	Seed Growers/ Producers, Nursery Operators	Certification Tags	Human threat such as pandemic restricting movement (e.g Covid 19)	Imposition of community quarantine and other health safety protocols	Unavailability of Personnel who will conduct or act on the Seed Testing, Seed and Plant Material Certification Activities	External	Macro Environment	3	5	15	High	Adherence to health and safety protocols	Continuous observation of precautionary measures and application of AWA when the need arises	Practice of Alternative Work Arrangements (AWA)	20 working days upon the RORAP approval	NSQCS Management	Not applicable	Close
R-Ex-NSQ-CS-007	DSO1. Ensure access of farmers to quality seeds	Seed Growers/ Producers, Nursery Operators	Certification Tags	Peace and order conflict in production areas	Unable to conduct necessary activity (e.g. Field Inspection)	Seeds/ Planting Materials will not be certified	External	Macro Environment	2	4	8	Medium	Proper coordination with authorities to secure personnel who will conduct field inspection	Proper coordination with authorities to secure personnel who will conduct field inspection	Secure a copy of protocol regarding procedure for entering conflicted areas and ensure availability of approved Travel Order	10 working days upon the RORAP approval	NSQCS Management	Not applicable	Close
R-Ex-NSQ-CS-008	DSO1. Ensure access of farmers to quality seeds	Tissue Culture Laboratory	Certificate of Accreditation	Unavailable Tissue Culture Laboratory Evaluators	Unable to conduct necessary activity (e.g. Laboratory Inspection)	Delay in processing of Accreditation	External	Macro Environment	2	4	8	Medium	Proper coordination with the personnel who will conduct the laboratory evaluation	Coordinate with other evaluators in case the initial evaluator is not available	Include more Tissue Culture evaluators in the Special Order	December 29, 2022	NSQCS Management	Subject to availability of funds	Open

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R-Ex-NSQ CS-009	DSO1. Ensure access of farmers to quality seeds	Other Government Agencies	List of Accredited Seed Growers	Absence of confidentiality statement	Release of personal information of the seed growers without formal notification	Seed Growers might be unaware that his/her information were disclosed	External	Reputational Risk	2	2	4	Medium	Provided information were only limited to the name and location of Seed Grower	Provided information were only limited to the name and location of Seed Grower	Proposed inclusion of confidentiality statement in the application form for accreditation	December 29, 2022	NSQCS and TWG Member	Subject to availability of funds	Open
R-Ex-NSQ CS-010	DSO1. Ensure access of farmers to quality seeds	Other technical personnel devolved under other government agencies	Certificate of Completion for the training attended	Limited number of technical personnel from other government agencies	Same personnel were sent to attend the training	Limited number of trained technical personnel engaged in Seed Certification Activities	External	Macro Environment	4	2	8	Medium	Review the attendance of technical personnel to the trainings provided by our agency	Review the attendance of technical personnel to the trainings provided by our agency	Coordinate with other government agencies for inclusion of additional Technical Personnel in the Special Order to perform Seed Certification Activities	December 29, 2022	NSQCS Management	External government agencies involved in the process	Close

**Personnel Section**

Risk Identification				Risk Assessment								Risk Treatment (Action Plan)		Risk Monitoring and Evaluation					
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													

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R-EX-PSS-001	DSO3. Strengthen administrative support services	Department of Agriculture, Civil Service Commission	Personnel Complement, request of authority and renewal of COS, appointment documents	Late submission of the required documents	incomplete required documents	Delay on the delivery of services	external	Operational	1	1	1	low	A. Provide the personnel a documents checklist B. Inform earlier the Division, units for the requirements needed to submit	requesting for extension for the late documents	Issuance of early memorandum	10 working days upon approval	Personnel Section, BPI employees	Not applicable	open
R-EX-PSS-002	DSO3. Strengthen administrative support services	Department of Budget and Management	Plantilla of Personnel	Lack of necessary documents	incomplete required documents	Under budget for personnel services from DBM	external	Operational	1	1	1	low	Inform earlier the Division, units for the requirements needed to submit	requesting for extension for the late documents	Issuance of early memorandum	10 working days upon approval	Personnel Section, BPI employees	Not applicable	open
R-EX-PSS-003	DSO3. Strengthen administrative support services	Ombudsman	SALN	Incomplete submission of SALN of BPI employees	Lack of information of deadline of submission	Delay of submission	external	Operational	1	1	1	low	Issuance of Memorandum for compliance	Inform the personnel regarding the submission of SALN	Issuance of early memorandum	10 working days upon approval	Personnel Section, BPI employees	Not applicable	open

**Planning Management Office**

Risk Identification				Risk Assessment								Risk Treatment (Action Plan)		Risk Monitoring and Evaluation					
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													

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R-Ex-PMO-001	S09. Ensure Efficient Financial Management	DA-Monitoring and Evaluation Division	Program Monitoring and Evaluation System (PMES) Report (Monthly)	The report submissions lack the required justification input	Unavailability of information relative to under and over accomplishments	Delay in the submission of justifications to management and other external stakeholders	Internal	Operational	5	2 (Operational)	10	Medium	Check template effectiveness; Modification of Locked Report which prohibit the OUs from submitting incomplete reports.	Constant follow-up to report officers	Propose the Online System for BPI-Monitoring and Evaluation System (BPI-MES). Through this, the Top Management and external stakeholders will see the real time accomplishments and will encourage the OUs to fully scrutinize their reports before submission.	10 working days from the RORAP approval	PMO	Not Applicable	Close
R-Ex-PMO-002	S09. Ensure Efficient Financial Management	DA-Monitoring and Evaluation Division	Program Monitoring and Evaluation System (PMES) Report (Monthly)	Reports with incomplete data inputs or variances with the submitted accomplishment matrices	Inaccurate data of accomplishments are stored and submitted	The performance card provided by DA-MED will not reflect the actual accomplishments of the Bureau.	Internal	Operational	4	2 (Service Delivery)	8	Medium	Review of submitted PMES report. If there were errors/inconsistencies found, PMO calls the attention of the concerned OUs and recommends to fix/edit the report.	Review of submitted PMES report. If there were errors/inconsistencies found, PMO calls the attention of the concerned OUs and recommends to fix/edit the report.	Conduct of retooling of report officers in the operating units	10 working days from the RORAP approval	PMO	Not Applicable	Open

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R-EX-PMO-003	S09. Ensure Efficient Financial Management	DA-Monitoring and Evaluation Division	Program Monitoring and Evaluation System (PMES) Report (Monthly)	No regular actual on-site monitoring to validate the accomplishments	Uncertainty on the validity of the accomplishment due to absence of a monitoring framework	Physical Accomplishments lack verification and a standardized quality	Internal	Operational	5	2 (Service Delivery)	10	Medium	Accomplishment Reports submitted are verified vis-à-vis approved WFPs and conduct monitoring as the need arises	Conduct monitoring as the need arises	Establish a monitoring framework	10 working days from the RORAP approval	PMO, Budget Office, Accounting Office, and OU Chiefs/OICs	The plan to establish the monitoring framework is by 3rd quarter to give way to the crafting and testing of the BPI-MES.	Open
R-EX-PMO-004	S09. Ensure Efficient Financial Management	DA-Planning and Programming Division	Work Program (Annual)	Errors in the contents of the Work and Financial Plan (e.g. targets and budgetary requirements)	Projects/Activities/Programs proposed by Operating Units may be over targeted or under targeted by the discretion of the operating unit	OUs may not be able to conduct efficiently their mandates as WFPs serve as the main basis for the PPAs and budgetary needs	Internal	Operational	4	3 (Service Delivery)	12	High	Repetitive assessment of proposed WFPs through panel and small-group/one-on-one reviews	Contact the planning officer responsible for rectification of targets	Conduct of planning and budgeting workshop for planning officers	31-Jan-22	PMO, Budget Office, Accounting Office, and OU Chiefs/OICs	Schedule in the conduct of the planning workshop is dependent in the succeeding year's budget cycle	Close
R-EX-PMO-005	DS09. Ensure Efficient Financial Management	DA-Investment Programming Division	Investment Program Proposal (Semi-Annual)	Incomplete repository of non BPI funded projects	PMO will not be able to provide semi-annual updates	The Bureau programs and projects accomplishments	Internal	Operational	3	2 (Service Delivery)	6	Medium	Require the OUs to submit their respective list of R&D Projects by fund source	Not applicable	Issuance of memo regarding the involvement of PMO in the proposal	10 working days from the RORAP approval	PMO	Not Applicable	Open

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				for Public Investment Program	on the status of PIPs due to lack of information (Public Investment Program)	relative to PIP will not be updated due to lack of information									stage of all non-BPI funded projects				
R-Ex-PMO-006	DS09. Ensure Efficient Financial Management	COA	Accomplishment Reports (Quarterly and as need arises)	Variance with reports submitted to COA and reports submitted by operating units	Difference between data submitted by operating units to PMO, which is sent to COA	AOM issued to PMO Chief	Internal	Operational	3	2 (Service Delivery)	6	Medium	Require report officer to vet submission relative to the GPPA	Discuss and clarify with OU the accomplishment	Conduct of retooling for report officers	10 working days from the RORAP approval	PMO	Not Applicable	Open
R-Ex-PMO-007	S09. Ensure Efficient Financial Management	Department of Budget and Management	NEP (Annual)	Recurring and last minute changes in the proposal of the National Expenditure Program due to directives by the DA and DBM	Inefficient use of resources and possible mistakes in setting targets and budgetary requirements due to delayed provisions	Waste of resources and late submission of NEP to DA	External	Macro Environment	5	3 (Service Delivery)	15	High	Early preparation of required documents for proposals as per the previous directives given	Inform Planning Officer of each Operating Unit to submit necessary documents	Early preparation of required documents for proposals as per the previous directives, based on the given deadline	20 working days from the RORAP Approval	PMO	Not Applicable	Open

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**Plant Product Safety Services Division**

Risk Identification			Risk Assessment										Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) – External	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)	
			Cause	Issue	Effect														
R-Ex-PPSS D-001	DSO2. Strengthen plant regulatory and laboratory services	Food Business Operators, Government Agencies, Private Companies, and individuals	Laboratory Analyses (Pesticide Residue / Microbiological Analysis / Biotoxins / Heavy Metal Analysis / Pesticide Formulation)	Unexpected power failure	Delay in the conduct of analysis	Delay in the release of Certificate of Analysis	Internal	Operational Risk	3	1	3	Low	Use of Uninterrupted Power Supply System (UPS) and Regular Back up of Data	Use of existing UPS	Purchase of back up UPS	5 working days upon approval of RORAP	PPSSD Management	proposed in tier 2-2022	Open
R-Ex-PPSS D-002	DSO2. Strengthen plant regulatory and laboratory services	Food Business Operators, Government Agencies, Private Companies	Laboratory Analyses (Pesticide Residue / Microbiological)	Equipment breakdown	Delay in the conduct of analysis	Delay in the release of Certificate of Analysis	Internal	Operational Risk	5	3	15	High	Regular equipment calibration and maintenance	Regular equipment calibration and maintenance	Regular equipment calibration and maintenance	20 working days upon approval of RORAP	PALS, CLS, PPSSD Management	annual activity	Open

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		, and individuals	Analysis / Biotoxins / Heavy Metal Analysis / Pesticide Formulation)																
R-Ex-PPSS D-003	DSO2. Strengthen plant regulatory and laboratory services	Food Business Operators, Government Agencies, Private Companies, and individuals	Laboratory Analyses (Pesticide Residue / Microbiological Analysis / Biotoxins / Heavy Metal Analysis / Pesticide Formulation)	Occurrence of biases	Request to expedite release of Certificate of Analysis	Unfair treatment or bias in conduct of test and processing of Result of Laboratory Analysis	External	Macro Environment	1	1	1	Low	Adherence to Republic Act No. 6713 – Code of Conduct and Ethical Standards for Public Officials and Employees	Issuance of SOP on Confidentiality (see QM4 Impartiality and Confidentiality)	Issuance of SOP on Confidentiality (see QM4 Impartiality and Confidentiality)	5 working days upon approval of RORAP	PPSSD Management	continuing activity	Open
R-Ex-PPSS D-004	DSO1. Ensure compliance to food safety requirements of agricultural crops	Farmers	PhilGAP Certificate	Human threat such as pandemic restricting movement (e.g. Covid 19)	Imposition of community quarantine and other health safety protocols	Delay in the delivery of service	External	Macro Environment	2	4	8	Medium	Adherence to health and safety protocols	Adherence to health and safety protocols when conducting inspection	Continuous observation of precautionary measures and application of AWA when the need arises	10 working days upon approval of RORAP	PPSSD Management, BPI Top Management	Not applicable	Open

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R-Ex-PPSS D-005	DSO1. Ensure compliance to food safety requirements of agricultural crops	Farmers, Food Business Operators	PhilGAP Certificate, Inspection for Food Safety compliance, Licensing of Cold Storage Warehouse	Delay in the conduct of inspection	Lack of available trained personnel to conduct inspection	Delay in the delivery of service	Internal	Operational Risk	4	3	12	High	Continuous training of inspectors	Continuous training/retooling and updating of SO for inspectors	Continuous training/retooling and updating of SO for inspectors	20 working days upon approval of RORAP	AIS, PPSSD Management	Not applicable	Open
R-Ex-PPSS D-006	DSO1. Ensure compliance to food safety requirements of agricultural crops	Farmers, Food Business Operators	PhilGAP Certificate, Inspection for Food Safety compliance, Licensing of Cold Storage Warehouse	Incllement weather conditions	Unable to conduct necessary activity (e.g. Field Inspection)	Delay in the delivery of service; release of certificate	External	Macro Environment	4	2	8	Medium	Reschedule the conduct of inspection	Reschedule the conduct of inspection	Reschedule the conduct of inspection	10 working days upon approval of RORAP	AIS	Not applicable	Open
R-Ex-PPSS D-007	DSO1. Ensure compliance to food safety requirements of agricultural crops	Farmers, Food Business Operators, Food Testing Laboratories	PhilGAP Certificate, Inspection for Food Safety compliance, Laboratory Accreditation, Licensing of Cold	Peace and order conflict in production areas	Unable to conduct necessary activity (e.g. Field Inspection)	Delay in the delivery of service; release of certificate	External	Macro Environment	3	3	9	Medium	Proper coordination with authorities to secure personnel who will conduct field inspection	Proper coordination with authorities to secure personnel who will conduct field inspection	Secure a copy of protocol regarding procedure for entering conflicted areas and ensure availability of approved Travel Order	10 working days upon approval of RORAP	PPSSD Management	As the need arises	Open

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			Storage Warehouse																
R-Ex-PPSS D-008	DSO1. Ensure compliance to food safety requirements of agricultural crops	Other technical personnel under other government agencies	Certificate of Completion for the training attended	Limited number of technical personnel from other government agencies	Same personnel were sent to attend the training	Limited number of trained technical personnel engaged in inspection	External	Macro Environment	4	2	8	Medium	Review the attendance of technical personnel to the trainings provided by our agency	Review the attendance of technical personnel to the trainings provided by our agency	Coordinate with other government agencies for inclusion of additional Technical Personnel in the Special Order to perform inspection	10 working days upon approval of RORAP	PPSSD Management	Not applicable	Open

**Procurement Management Section**

Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-Ex-PMS-001	S09. Ensure Efficient Financial Management	Suppliers/Bidders	Obtain canvass forms/request for quotation, bidding documents	System error in PhilGEPS making the document unavailable for download	Failure to view the documents and the requirements	Delay in the delivery of services	External	Macro Environment	4	3	12	High	Sending e-mail or hard copy to suppliers/bidders who are requesting the document	Sending e-mail or hard copy to suppliers/bidders who are requesting the document	Coordinate and report to PhilGEPS in case of system error	20 working days upon the approval of the RORAP	Procurement Management Section	Not applicable	Close

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R-Ex-PMS-002	S09. Ensure Efficient Financial Management	Commission on Audit	Complete bidding documents and procurement monitoring reports	Late submission of suppliers of complete bidding documents	Non-compliance to COA requirements for submission	Delay of compliance to COA audit transactions.	External	Operational Risk	3	3	9	Medium	Upon acknowledgment of NTP, the documents are filed in preparation for transmittal to COA	Comply with the requirement regardless of deadline.	Assignment of staff to facilitate the filing of the bidding documents to be transmitted to COA	10 working days upon the approval of the RORAP	Procurement Management Section	Not applicable	Close
R-Ex-PMS-003	S09. Ensure Efficient Financial Management	Government Procurement Policy Board and Department of Agriculture	Submission of Annual Procurement Plan	Late submission of approved PPMPs	Delay in consolidation of PPMPs into APP which will also cause delay in submission of APP	Delay in the delivery of services	Internal	Operational Risk	3	3	9	Medium	Issuance of Memo for submission of approved PPMPs on within the given deadline	Issuance of Memo for submission of approved PPMPs on within the given deadline	Coordination with Procurement Focal Persons for compliance with the Memo	10 working days upon the approval of the RORAP	Procurement Management Section	Not applicable	Open

**Property and Supply Section**

Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-Ex-PSS-001	To strengthen administrative support services	External - Suppliers/contractors	All required documents attached to the Purchase	Lack of documents attached to the Purchase Order/c	Late delivery of goods and services from supplier	Delay in the operation and activities of the	Internal	Operational Risk	1	5	5	Medium	Close Coordination with suppliers in compliance to the specific requirements on	Implement Office Policies regarding delivery of goods and services.	The procuring entity will impose penalty for the delay of delivery of	10 working days upon the approval of the RORAP.	Property & Supply Section	Not Applicable	Close

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Records Section																			
Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-EXRES-001	DSO3. Strengthen administrative support services	Department of Agriculture and other Government Agency	Receiving/releasing of official document, letters, communication	Unavailability of Service vehicle to cater Records staff	Failure to deliver papers/documents in due time	Delay of Document/s Processing	Internal	Operational Risk	2	2	4	Low	Documents are dispatched/forwarded to the concerned agency thru public transit.	Documents are dispatched/forwarded to the concerned agency thru public transit.	Provision of Dispatch scheduling plan in accordance to the available service vehicle needed to cater records staff in due dispatch date.	5 working days upon the approval of RORAP	Records Section/General Services Section	Not applicable	Close

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R-EX-RES-002	DS03. Strengthen administrative support services	Post Office	Mailing of documents	Incomplete details of the receiver of the documents given by the sender	Failure to deliver documents	Delay of Document/s Processing	Internal	Operational Risk	2	2	4	Low	Contact the document sender for the receiver's complete and up-to-date information.	Contact the document's sender for the receiver's complete and up-to-date information.	Provision of the Transmittal-Information slip for document to be sent	5 working days upon the approval of RORAP	Records Section	Not applicable	Close
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**Baguio National Crop Research Development and Production Support Center**

Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-EX-BNC RDP SC-001	DS01. Ensure access of farmers to quality semi-temperate vegetable seeds and fruit crops	Farmers/s takeholders	Request planting materials	Adverse weather condition due to climate change	Low production yield	Low number of quality planting materials distributed	External	Macro environment	5	3 (Operational)	15	High	Continuous maintenance of crop production area	Use of harvested produce from greenhouses	Upgrading and expansion of greenhouses	20 working days upon the approval of RORAP	Production Section	Subject to the FY2022 budget approval	Open
R-EX-BNC RDP SC-002	DS01. Ensure access of farmers to quality semi-temperate vegetable	Farmers/s takeholders	Request planting material/s/Technical Assistance	Presence of trespassers/intruders	Reduced area for production	Insufficient seed pieces to be distributed	External	Macro environment	5	4 (Operational)	20	High	Contract growing of semi-temperate vegetable crops	Use of harvested produce from contract growers	Intensify farm security and legally settle with trespassers/illegal settlers	20 working days from the RORAP approval	Production Section	Not applicable	Open

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	seeds and fruit crops																		
R-Ex-BNC RDP SC-003	DSO1. Ensure access of farmers to quality semi-temperate vegetable seeds and fruit crops	Farmers/s takeholders	Request planting materials	Prolonged power interruption	Storage facility becomes conducive for pest and diseases; Reduced germination rate of seeds	Low quality of seeds	External	Macro environment	3	3 (Operational)	9	Medium	Establishment of seed storage; Use of backup generator	Use of backup generator	Improve cooling system of seed storage; Propose additional backup generator	October 29, 2021	Production	Activity to be conducted on the 4th Quarter of FY2021 based on approved work and financial plan	Open
R-Ex-BNC RDP SC-004	SO1. Ensure access of farmers to quality seeds	Funding Agencies	Project Proposal	Urgent call for proposal submission	Rushed proposal preparation	Errors in budget alignment, requirement and physical targets	External	Macro Environment	1	1 (Operational Risk)	1	Low	Project proposal being submitted to and reviewed by the Research Coordinator and Acting Accountant	Revision of work and financial plan	Early preparation of project proposal based on the Research and Development and Extension Agenda and Program (RDEAP) of the funding agency	5 working days upon the approval of RORAP	Top Management, Research Section	Not applicable	Open
R-Ex-BNC RDP SC-005	SO1. Ensure access of farmers to quality seeds	Funding Agencies	Project Proposal (Work and Financial Plan)	Document being coursed through various processes and agencies	Late release of budget for approved proposal	Delayed implementation of activities	External	Macro Environment	3	2 (Operational Risk)	6	Medium	Continuous follow-up	Revision of work and financial plan	Early preparation of project proposal based on the Research and Development and Extension Agenda and	10 working days upon the RORAP approval	Top Management, Research Section	No budget released yet for international funds	Open

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R-Ex-BNC RDP SC-006	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Data/IEC Materials Resource Speakers/Technical Assistance/Exhibits/Developed Technologies On the Job Training Research and Project Collaboration Seeds, Seedlings and Other Planting Materials	Transfer of facilities to Local Government units (LGUs)	Devolution of functions to Local Government units (LGUs)	Unable to produce/provide quality services like data/IEC materials, speakers, technical assistance, developed technologies, on-the-job training, research & project collaborations and planting materials	External	Macro Environment	5	5 (Operational Risk)	25	Extreme	Justify retention of production and experimental areas	On-farm/Farmer's field seed production and conduct of participatory research	Lobby to DBM and House of Representatives to exempt the Center from transfer of land and facilities to LGU	December 29, 2022	BPI Executive Management, BPI Center Technical Working Group on DA Devolution/Transition Plan	Mandanas ruling will be implemented starting 2022	Open
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R-Ex-BNC RDP SC-007	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Data/IEC Materials Resource Speakers/Technical Assistance/Exhibits/Developed Technologies On the Job Training Research and Project Collaboration Seeds, Seedlings and Other Planting Materials	Streamlining in the national government	Reduction of staff	Unable to produce/provide quality services like data/IEC materials, speakers, technical assistance, developed technologies, on-the-job training, research & project collaborations and planting materials	External	Macro Environment	5	5 (Operational Risk)	25	Extreme	Justify retention of production and experimental areas	On-farm/Farmer's field seed production and conduct of participatory research	Lobby to DBM to retain existing organizational structure	December 29, 2022	BPI Executive Management, BPI Center Technical Working Group on DA Devolution/Transition Plan	Mandanas ruling will be implemented starting 2022	Open
R-Ex-BNC RDP SC-008	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units,	Seeds, Seedlings and Other Planting Materials	Uncontrolled access to the Center's premises by outsiders (pilferage)	Stealing of produce and damage to standing crops	Unable to attain target	External	Organizational well-being	3	3 (Operational Risk)	9	Medium	a.) Securing the area by perimeter fence b.) Regular roving of assigned security guards	a.) Increase in production area to compensate losses b.) Plant crops in different	a.) Improvement of perimeter fence b.) Tighten the security in entry points	June 30, 2022	Top Management, General Support Services and Security Personnel	Happens mainly during harvesting season of crops	Open

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R-Ex-BNC RDP SC-009	SO1. Ensure access of farmers to quality seeds	Contractors	Inspection (Accomplished work)	Restriction due to Corona Virus Disease 2019 (COVID-19) pandemic	Delayed implementation of infrastructure projects	Delayed attainment of physical targets and fund utilization	External	Macro Environment	4	4 (Health and Safety)	16	High	Implement rules on the imposition on penalties and late delivery of goods and services	Preparation of catch-up plan	Compliance to Inter-Agency Taskforce for Emerging Infectious Diseases (IATF) Resolution	December 2022	Top Management, Engineering Unit	On-going pandemic	Open
R-Ex-BNC RDP SC-010	DSO1. Ensure access of farmers to quality semi-temperate vegetable seeds and fruit crops	National, Regional, Local Government Unit/Farmers/stakeholders	Technical Assistance/Research and Project Collaboration	Occurrence of accidents, calamities, etc.	Possible mishap during the conduct of onsite activities outside the center	Affected personnel	External	Macro environment	3	3 (Health and safety)	9	Medium	Implement safety and health protocols	Postpone/reschedule the conduct of activities	Strictly implement safety and health protocols	10 working days from the RORAP approval	BNC RDP SC/LBN CRDPSC	Not applicable	Open

**Los Baños National Crop Research Development and Production Support Center**

Risk Identification				Risk Assessment								Risk Treatment (Action Plan)		Risk Monitoring and Evaluation					
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													

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R-Ex-LBN CRD PSC-001	SO1. Ensure access of farmers to quality seeds	Funding Agencies	Project Proposal	Urgent call for proposal submission	Rushed proposal preparation	Errors in budget alignment, requirement and physical targets	External	Macro Environment	1	1 (Operational Risk)	1	Very Low	Project proposal being submitted to and reviewed by the Research Coordinator and Acting Accountant	Revision of work and financial plan	Early preparation of project proposal based on the Research and Development and Extension Agenda and Program (RDEAP) of the funding agency	5 working days upon the RORAP approval	Top Management, Research Section		Close
R-Ex-LBN CRD PSC-002	SO1. Ensure access of farmers to quality seeds	Funding Agencies	Project Proposal (Work and Financial Plan)	Document being coursed through various processes and agencies	Late release of budget for approved proposal	Delayed implementation of activities	External	Macro Environment	3	2 (Operational Risk)	6	Medium	Continuous follow-up	Revision of work and financial plan	Early preparation of project proposal based on the Research and Development and Extension Agenda and Program (RDEAP) of the funding agency	December 29, 2021	Top Management, Research Section	No budget released yet for international funds	Close
R-Ex-LBN CRD PSC-003	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other	Data/IEC Materials Resource Speakers /Technical Assistance/Exhibits/Developed Technol	Current BPI-LBNCRD PSC land is being claimed by a private individual	Displacement of BPI-LBNCRD PSC office and experimental area	Unable to produce /provide quality services like data/IEC materials, speakers, technical	External	Macro Environment	4	5 (Operational Risk)	20	Extreme	Secured Legal assistance	On-farm/Farmer's field seed production and conduct of participatory research	Continuous consultation for legal advice and assistance to secure land title named to BPI-LB	December 29, 2022	BPI Administration and Property and Supply Unit	Still under litigation	Open

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		stakeholders (public and private)	ogies On the Job Training Research and Project Collaboration Seeds, Seedlings and Other Planting Materials			assistance, developed technologies, on-the-job training, research & project collaborations and planting materials													
R-Ex-LBN CRD PSC-004	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Data/IEC Materials Resource Speakers /Technical Assistance/Exhibits/Developed Technologies On the Job Training Research and Project Collaboration	Transfer of facilities to Local Government units (LGUs)	Devolution of functions to Local Government units (LGUs)	Unable to produce /provide quality services like data/IEC materials, speakers, technical assistance, developed technologies, on-the-job training, research & project collabor	External	Macro Environment	5	5 (Operational Risk)	25	Extreme	Justify retention of production and experimental areas	On-farm/Farmer's field seed production and conduct of participatory research	Lobby to DBM and House of Representatives to exempt the Center from transfer of land and facilities to LGU	December 29, 2022	BPI Executive Management, BPI Center Technical Working Group on DA Devolution/Transition Plan	Mandanas ruling will be implemented starting 2022	Open

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			Seeds, Seedlings and Other Planting Materials			ations and planting materials													
R-Ex-LBN CRD PSC-005	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Data/IEC Materials Resource Speakers /Technical Assistance/Exhibits/Developed Technologies On the Job Training Research and Project Collaboration Seeds, Seedlings and Other Planting Materials	Streamlining in the national government	Reduction of staff	Unable to produce /provide quality services like data/IEC materials, speakers, technical assistance, developed technologies, on-the-job training, research & project collaborations and planting materials	External	Macro Environment	5	5 (Operational Risk)	25	Extreme	Justify retention of production and experimental areas	On-farm/Farmer's field seed production and conduct of participatory research	Lobby to DBM to retain existing organizational structure	December 29, 2022	BPI Executive Management, BPI Center Technical Working Group on DA Devolution/Transition Plan	Mandanas ruling will be implemented starting 2022	Open

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R-Ex-LBN CRD PSC-006	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/S students and other stakeholders (public and private)	Seeds, Seedlings and Other Planting Materials	No established work protocols on occupational safety	Occurrence of accidents and illnesses resulting to poor performance of employees	Field staff unable to produce the target amount of quality seeds	Internal	Health and safety	5	2 (Health and safety)	10	Medium	<ul style="list-style-type: none"> <li>a.) Provision of personal protective equipment (PPE) and safety precaution signages in designated areas.</li> <li>b.) Provision of first aid kits for emergency cases</li> <li>c.) Conduct of basic occupational health hazard and safety seminar</li> <li>d.) Constant monitoring from superiors</li> </ul>	<ul style="list-style-type: none"> <li>a.) Use of labor pool</li> <li>b.) Hiring of emergency laborer to do the job</li> <li>c.) Training of alternate workers for highly specialized activities</li> </ul>	<ul style="list-style-type: none"> <li>a.) Establish work safety protocol</li> <li>b.) Conduct of annual physical exam.</li> <li>c.) Management decided to lessen the use of harmful agricultural chemical inputs</li> <li>d.) Formation of trained first aid unit</li> <li>e.) Partnership (MOA) with medical institution (LBDH)</li> </ul>	December 2021	Top Management, Personnel Unit and General Support Services Unit	For budget approval	Open
R-Ex-LBN CRD PSC-007	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/S students and other	Seeds, Seedlings and Other Planting Materials	Flooding	Damaged to standing crops and/or land unsuitable for planting	Unable to produce quality seeds and conduct research trials	Internal	Operational Risk	5	2 (Operational Risk)	10	Medium	<ul style="list-style-type: none"> <li>a.) Use of protective structures in farming</li> <li>b.) Maintenance of drainage system</li> </ul>	<ul style="list-style-type: none"> <li>a.) Off-season planting or planting under protective structures</li> <li>b.) Execution of catch up plan (e.g. increase in planting area)</li> </ul>	Physical area (improvement)- agricultural engineering	November 30, 2022	Top Management Unit, General Support Services Unit and Engineering Unit	Proposal submitted	Open

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		stakeholders (public and private)											for the next cropping season)						
R-Ex-LBN CRD PSC-008	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Seeds, Seedlings and Other Planting Materials	Uncontrolled access to the Center's premises by outsiders (pilferage/trespassing)	Stealing of produce and damage to standing crops	Unable to attain target	External	Organizational well-being	3	3 (Operational Risk)	9	Medium	a.) Securing the area by perimeter fence b.) Regular roving of assigned security guards	a.) Increase in production area to compensate losses b.) Plant crops in different locations to serve as buffer	a.) Improvement of perimeter fence b.) Tighten the security in entry points	June 30, 2022	Top Management, General Support Services and Security Personnel	Happens mainly during harvesting season of crops	Open
R-Ex-LBN CRD PSC-009	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Seeds, Seedlings and Other Planting Materials	Old and sub-standard seed storage facilities and lack of drying facilities	Incidence of seed contaminants (biotic and abiotic) and postharvest pests	Poor seed quality	Internal	Operational Risk	5	2 (Operational Risk)	10	Medium	a.) Conduct of seed and seed storage facility fumigation b.) Regular monitoring of seed storage facilities c.) Use of pest baits and traps d.) Manual removal of damaged seeds e.) Implementation of First in First out (FIFO) policy	a.) Formulation of seed handling and storage protocols b.) Damaged seed disposal protocol c.) Application of seed storage technologies d.) Outsource pest control services for	Renovation and upgrading of seed storage and establishment of drying facilities	July 29, 2022	Top Management, Production Section, Crop Protection Unit, Organic Seed Production Group, Engineering Unit, Plant Genetic Resources (PGR) Unit	Budget and design for approval	Open

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													saved seeds and seed storage facilities (such as fumigation)						
R-Ex-LBN CRD PSC-010	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Seeds, Seedlings and Other Planting Materials (OPV Vegetable Seeds)	Poor maintenance and malfunctioning of equipment in the storage facilities	Degradation of seeds	Low volume of quality seeds available for distribution	Internal	Operational Risk	2	3 (Operational Risk)	6	Medium	Replacement of worn-out aircondition unit	Regular monitoring of storage condition and seed health	a.) Improve maintenance and upgrade of equipment b.) Implementation of regular calibration of equipment c.) Repair of malfunctioning seed storage equipment d.) Acquisition of new equipment	July 29, 2022	Top Management, Production Section, Crop Protection Unit, Organic Seed Production Group, Engineering Unit, PGR Unit	Budget and design for approval	Open
R-Ex-LBN CRD PSC-011	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public	Seeds, Seedlings and Other Planting Materials	Lack of relevant information on processed seeds and planting materials for distribution and incomplete seed packet	Complaints on seed/planting materials quality from unsatisfied customer/s	Decrease in patronage of BPI products	Internal	Reputational Risk	3	3 (Reputational Risk)	9	Medium	a.) Address complaints immediately b.) Offer replacement of seeds c.) Formulation of guidelines in addressing complaints d.) Implementation	a.) Promotion of BPI products through IEC materials b.) Develop and distribute seed kits for different vegetable groups c.) Intentional distribution	a.) Establishment of seed quality database of processed seeds for distribution (e.g. seed germination rate, viability, seed health, etc.)	January 2023	Top Management, Production Section, Procurement Management Unit, Seed Distribution Team,	For inclusion in 2022 budget	Open

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		and private)		label and record keeping									of First in First out (FIFO) policy	d.) Establishment of technology demos on different sites e.) Organize activities in Technology Commercialization Center (e.g. harvest festivals)	b.) Enhancement of seed packaging and label		Knowledge and Technology Management Unit		
R-Ex-LBN CRD PSC-012	SO1. Ensure access of farmers to quality seeds	Contractors	Inspection (Accomplished work)	Restriction due to Corona Virus Disease 2019 (COVID-19) pandemic	Delayed implementation of infrastructure projects	Delayed attainment of physical targets and fund utilization	External	Macro Environment	4	4 (Health and Safety)	16	High	Implement rules on the imposition on penalties and late delivery of goods and services	Preparation of catch-up plan	Compliance to Inter-Agency Taskforce for Emerging Infectious Diseases (IATF) Resolution	December 2022	Top Management, Engineering Unit	On-going pandemic	Open
R-Ex-CEN TER-013	SO1. Ensure access of farmers to quality seeds	Funding Agencies	Project Proposal	Urgent call for proposal submission	Rushed proposal preparation	Errors in budget alignment, requirement and physical targets	External	Macro Environment	1	1 (Operational Risk)	1	Low	Project proposal being submitted to and reviewed by the Research Coordinator and Acting Accountant	Revision of work and financial plan	Early preparation of project proposal based on the Research and Development and Extension Agenda and Program (RDEAP) of the funding agency	5 working days upon the approval of RORAP	Top Management, Research Section	Not applicable	Open

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R-EX-CEN-TER-014	SO1. Ensure access of farmers to quality seeds	Funding Agencies	Project Proposal (Work and Financial Plan)	Document being coursed through various processes and agencies	Late release of budget for approved proposal	Delayed implementation of activities	External	Macro Environment	3	2 (Operational Risk)	6	Medium	Continuous follow-up	Revision of work and financial plan	Early preparation of project proposal based on the Research and Development and Extension Agenda and Program (RDEAP) of the funding agency	10 working days upon the RORAP approval	Top Management, Research Section	No budget released yet for international funds	Open
R-EX-CEN-TER-015	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Data/IEC Materials Resource Speakers/Technical Assistance/Exhibits/Developed Technologies On the Job Training Research and Project Collaboration Seeds, Seedling	Transfer of facilities to Local Government units (LGUs)	Devolution of functions to Local Government units (LGUs)	Unable to produce/provide quality services like data/IEC materials, speakers, technical assistance, developed technologies, on-the-job training, research & project collaborations and planting	External	Macro Environment	5	5 (Operational Risk)	25	Extreme	Justify retention of production and experimental areas	On-farm/Farmer's field seed production and conduct of participatory research	Lobby to DBM and House of Representatives to exempt the Center from transfer of land and facilities to LGU	December 29, 2022	BPI Executive Management, BPI Center Technical Working Group on DA Devolution/Transition Plan	Mandanas ruling will be implemented starting 2022	Open

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			s and Other Planting Materials			materials													
R-EX-CEN-TER-016	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Data/IEC Materials Resource Speakers/Technical Assistance/Exhibits/Developed Technologies On the Job Training Research and Project Collaboration Seeds, Seedlings and Other Planting Materials	Streamlining in the national government	Reduction of staff	Unable to produce/provide quality services like data/IEC materials, speakers, technical assistance, developed technologies, on-the-job training, research & project collaborations and planting materials	External	Macro Environment	5	5 (Operational Risk)	25	Extreme	Justify retention of production and experimental areas	On-farm/Farmer's field seed production and conduct of participatory research	Lobby to DBM to retain existing organizational structure	December 29, 2022	BPI Executive Management, BPI Center Technical Working Group on DA Devolution/Transition Plan	Mandanas ruling will be implemented starting 2022	Open

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R-EX-CEN-TER-017	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/S students and other stakeholders (public and private)	Seeds, Seedlings and Other Planting Materials	Uncontrolled access to the Center's premises by outsiders (pilferage/trespassing)	Stealing of produce and damage to standing crops	Unable to attain target	External	Organizational well-being	3	3 (Operational Risk)	9	Medium	a.) Securing the area by perimeter fence b.) Regular roving of assigned security guards	a.) Increase in production area to compensate losses b.) Plant crops in different locations to serve as buffer	a.) Improvement of perimeter fence b.) Tighten the security in entry points	June 30, 2022	Top Management, General Support Services and Security Personnel	Happens mainly during harvesting season of crops	Open
R-EX-CEN-TER-018	SO1. Ensure access of farmers to quality seeds	Contractors	Inspection (Accomplished work)	Restriction due to Corona Virus Disease 2019 (COVID-19) pandemic	Delayed implementation of infrastructure projects	Delayed attainment of physical targets and fund utilization	External	Macro Environment	4	4 (Health and Safety)	16	High	Implement rules on the imposition on penalties and late delivery of goods and services	Preparation of catch-up plan	Compliance to Inter-Agency Taskforce for Emerging Infectious Diseases (IATF) Resolution	December 2022	Top Management, Engineering Unit	On-going pandemic	Open
R-EX-CEN-TER-019	DSO1. Ensure access of farmers to quality semi-temperate vegetable seeds and fruit crops	National, Regional, Local Government Unit/Farmers/stakeholders	Technical Assistance/Research and Project Collaboration	Occurrence of accidents, calamities, etc.	Possible mishap during the conduct of onsite activities outside the center	Affected personnel	External	Macro environment	3	3 (Health and safety)	9	Medium	Implement safety and health protocols	Postpone/re schedule the conduct of activities	Strictly implement safety and health protocols	10 working days from the RORAP approval	BNCRDP SC/LBN CRDPSC	Not applicable	Open

**C. Risk Registry (Internal Relevant Interested Party)**

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**Accounting Section**

Risk Identification			Risk Assessment										Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-ACS-001	SO no. 7. Ensure efficient financial management	All Operating Units	Obligation Request and Status/Budget Utilization Request and Status, Disbursement Voucher, Approved WFP, PPMP, and Request Letter for Funds	Late submission of documents	Late release of funds	Delayed implementation of programs and activities	Internal	Operational	3	3	9	Medium	Inform/coordinate with the concerned operating unit/s	Not applicable	Provide checklist to ensure completeness of documents	Dec 29 of every year	Budget Section/Accounting Section	recurring every year	Close
R-In-ACS-002	SO no. 7. Ensure efficient financial management	Contract of Service/Job Orders	ORS/BU RS, DV, Daily time record, and timely	Late submission of documents or incomplete	Late release of funds	Delayed salary of COS/JO workers	Internal	Operational	3	5	15	Medium	Inform/coordinate with the concerned employees	Inform/coordinate with the concerned employees	Provide checklist to ensure completeness of documents	Dec 29 of every year	Budget/Accounting Section	recurring every year	Close

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			release of salaries	requirements															
	SO no. 7. Ensure efficient financial management	Permanent Employees	ORS, DV, DTR, and Payroll	Late submission of documents or incomplete requirements	Late release of funds	Delayed salary of permanent employees	Internal	Operational	3	5	15	Medium	Inform/coordinate with the concerned employees	Inform/coordinate with the concerned employees	Provide checklist to ensure completeness of documents	Dec 29 of every year	Budget/Accounting Section	recurring every year	Open

**Agricultural Engineering Division**

Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-AED-001	SO6. Upgrade infrastructure and support facilities	Agricultural Engineering Division	Training Opportunity, Filling up of vacant positions, Hiring of COS/Job Order	The tasks of AED are demanding beyond the current Manpower and the staff's specializations.	Not all staffs can cater as fast to technical assistance	Delay in issuance in detailed plans / output. Less focus on the AED Mandate.	Internal	Operational Risk	5	3	15	High	Prioritization of request design and estimates based on the client's target time. / Screening of request within AED capacity / capability	More than one staff will work on same project / technical assistance. Screening the requests for technical assistance if it should be catered by AED Exclusively	Provision of trainings/seminars/ short courses for current and incoming AED staffs. Tracking of status on hiring for plantilla positions.	March 30, 2022	AED, Personnel Section	Subject to availability of funds, Subject to the action of PSB and appointing authority	Close

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Assistant Director's Office for Regulatory																			
Risk Identification				Risk Assessment				Risk Treatment				Risk Monitoring and Evaluation							
R-In-AED-002	SO6. Upgrade infrastructure and support facilities	All Operating Units	Design plans, technical specifications, scope of work, quantity and budget estimates	Insufficient coordination with clients (other divisions/centers)	Short notice from clients for construction/repair and improvements of infrastructure projects with limited time to prepare the documents.	Delay in work plan schedule	Internal	Operational Risk	5	2 (service delivery)	10	medium	Prioritization of request design and estimates based on the client's target time / Screening of request within AED capacity / capability	Notify the client of the delay of the preparation of design and cost estimates.	Involvement of Agricultural Engineering Division in the infrastructure project planning of other divisions/centers; Benchmarking; (thru Memorandum)	March 30, 2022	Agricultural Engineering Division, Other Divisions/Centers	Subject to availability of funds, subject to timely coordination	Close
R-In-AED-003	SO6. Upgrade infrastructure and support facilities	All Operating Units	Design plans, technical specifications, scope of work, quantity and budget estimates	Limited budget of some of the infrastructure projects	Agricultural engineering is not involved in infrastructure project planning of other divisions	Project will not fully serve its targeted purpose.	Internal	Financial Risk	5	2 (financial)	10	medium	Prepare design and estimate based on the client's given budget ceiling. Or limit scope of work to align with the available budget.	Prepare design and estimate based on the client's given budget ceiling; propose for additional budget for the completion of the project	Involvement of Agricultural Engineering Division in the infrastructure project planning of other divisions/centers; (thru Memorandum)	March 30, 2022	Agricultural Engineering Division, Other Divisions/Centers	Subject to availability of funds, subject to defined priority works.	Close

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				Cause	Issue	Effect								Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)				
R-In-ADO R-001	S07.Enhance human resource capability  DSO4. Enhance human resource capability	All Operating Units	Timely processing of incoming and outgoing documents, approval of memoranda, technical documents, administrative documents, policies, Purchase requests, travel orders and handling of complaints.	Lack of manpower and technical knowledge on transaction processes of newly hired staff.	Difficulty in the supervision of the mandated regulatory services	Possible delay in the implementation of activities	Internal	Operational Risk	3	3-Operational Risk	9	Medium	Conduct of training to familiarize process flow for the newly hired staff.	Prepare memorandum to tap other technical staff from regulatory division to perform duties and responsibilities of the office	Propose increase in manpower for FY2022	10 working days after RORAP Approval	ADO for Regulatory Services	Budget for FY2021 has been already appropriated; Pending approval of the budget proposal for overhead agencies	Close

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R-In-ADO R-002	S07.Enhance human resource capability  DSO4. Enhance human resource capability	All Operating Units	Timely processing of incoming and outgoing documents, approval of memoranda, technical document, administrative documents, policies, Purchase requests, travel orders and handling of complaints.	Lack of equipment (desktop , laptop, printers, scanners etc.)	Difficulty in the performance of the day-to-day activities in the office	It hampers the operation and transactions of the office.	Internal	Operational Risk	3	3-Operational risk	9	Medium	Using of personal equipment and equipment from other offices	ADO already requested to procure the needed equipment.	Source out equipment from NPQSD	10 working days after approval of RORAP	ADO for Regulatory Services	Budget for FY2022 has been already appropriated; Pending approval of the budget proposal for overhead agencies	Close
R-In-ADO R-003	S09. Ensure efficient financial management	Property and Supply Section	Waste Material Report	Disposed items were not declared in the Waste Management Report	Improper procedure in the disposal of properties and equipment kept in the office.	Delayed submission during the inventory of property and equipment.	Internal	Organizational well being	1	4	4	Low	Assigned personnel to process disposal process and Waste Material Report	Immediate coordination with Property Section	Informed and discussed with all personnel of ADO for regulatory the proper disposal process for properties and equipment	5 working days from the approval of RORAP	ADO for Regulatory	Not applicable	Close

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R-In-ADO R-004	S09. Ensure efficient financial management	Bids and Awards Committee	On time preparation and submission of Purchase Request based on Procurement plan	Incomplete listing of needed supplies/equipment in the Project Procurement Management Plan	Needing to purchase supplies/equipment not included in the PPMP (Project Procurement Management Plan)	Possible delay and challenges in the conduct of daily office workflow	Internal	Operational Risk	2	3	6	Low	Listed supplies/equipment in the PPMP are based on the previous PPMPs and expected needs for the following year.	Source out from other division. Purchase of need supply/equipment through reimbursement.	Thorough planning and inclusion of needed supplies/equipment in the PPMP. Discussion on supplies/equipment to be included on the last week of November.	5 working days from the approval of RORAP	ADO for Regulatory	PPMPs are submitted towards the end of the year.	Close
<b>Assistant Director's Office for Operations, Technical and Production Services</b>																			
<b>Risk Identification</b>							<b>Risk Assessment</b>						<b>Risk Treatment (Action Plan)</b>		<b>Risk Monitoring and Evaluation</b>				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-ADO OTP S-001	S05. Generate new and relevant agricultural technologies	All Operating Units	Good quality proposals	Limited researches conducted	Limited researches conducted	Lower quality outputs	Internal	Operational Risk	Medium (3)	Significant (3)	9	Medium	Ongoing revision of budget proposal for FY2022	Source out funds within the bureau	Propose budgets for future R&D activities	March 29, 2021	Top Management/Concerned Operating Units		Close

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R-In-ADO OTP S-002	DSO3. Strengthen administrative support services	All Operating Units	Stable internet connection	Poor service provided by third party; Inclement weather conditions	Unstable internet connectivity	Delay in the delivery of services	External	Macro Environment	5	4 (Operational Risk)	20	Extreme	Immediate reporting of internet connectivity issues to the service provider; Use of personal mobile data	Provide portable pocket wifi with prepaid load per office	Streamline the Internet Service Provider (ISP) of the Bureau with a higher bandwidth	June 29, 2022	Information and Computer Section, Budget Section	Budget constraint since Budget for 2021 has already been appropriated.	Open
R-In-ADO OTP S-003	DSO3. Strengthen administrative support services	All Operating Units	Ensure all equipment (e.g. vehicles, telephone lines, etc) are functioning well.	Limited available and trained manpower	Insufficient in-house monitoring and maintenance of equipment	Malfunctioning/Unserviceable equipment which will cause delay in the delivery of service	Internal	Operational Risk	5	2 (Operational Risk)	10	Medium	Immediate reporting of defective equipment necessary for service delivery	Report and repair defective equipment despite limited manpower	Hire and/or train personnel; Outsource service providers	June 29, 2022	General Services Section, Information and Computer Section, Property Section, Personnel Section	Budget constraint since Budget for 2021 has already been appropriated.	Close
R-In-ADO OTP S-004	DSO4. Enhance human resource capability	Newly hired personnel	Institutional knowledge	Insufficient transfer of knowledge	Unawareness of new personnel on the work system	Delay on the delivery of service	Internal	Operational Risk/Organizational Well-being	4	3 (Operational Risk)	12	High	Regular meeting with staff to improve the system/Work under observation of immediate supervisor	Facilitate skill transfer from immediate supervisor to concerned personnel	Formulation and implementation HR Development Plan (ex. PRIME-HRM)	20 working days upon the RORAP approval	Personnel Section/ All Operating Units	as per Personnel, implementation of PRIME-HRM has no schedule yet, still coordinating with CSC, but target is within this year	Open

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R-In-ADO OTP S-005	DSO4. Enhance human resource capability	Administrative Division	More plantilla positions	Bureau was not given authority to add more plantilla positions	Limited administrative plantilla positions	Increase in workload to existing employees	External	Macro environment	4	4 (Operational Risk)	16	High	none	Proper duty allocation to personnel	Provide better justification for adding new plantilla positions	20 working days upon the RORAP approval	Personnel Section	For overhead agencies' approval	Open
R-In-ADO OTP S-006	DSO3. Strengthen administrative support services	All Operating Units	Efficient document tracking system	Limited awareness of the features of the document tracking system	Under-utilization of salient features of online document tracking system	Delay in acting upon the matters concerning the bureau	Internal	Organizational Well-being	4	3 (Operational Risk)	12	High	Use of logbook/manual documentation; Receiving office does not accept noncompliant operating unit	Reiteration of the memorandum issued	Retooling of staff in the use of DocTrack	June 2021	All Operating Units	Not Applicable	Close

**Biotechnology Office**

Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
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				Cause	Issue	Effect													
R-In-BIO-001	DSO1, DSO2, DSO4	Chair of Biotech Core Team	Updates on biotechnology matters	Incomplete or untimely briefing of biotech issues and concerns to the Chair of	Delay in the resolution of biotech regulations-related matters	Delay in the delivery of service and operations	Internal	Operational Risk	3	1	3	Low	Constant update of biotech regulations-related concerns to the Chair of Biotech Core Team	Conduct of meetings within the Biotech Core Team and consultation with Biotech consultants.	Preparation of briefers and way forward plans for the resolution of issues related to regulations of GM crops	5 working days from the RORAP approval	Biotechnology Office	Not applicable	Close

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				Biotech Core Team															
R-In-BIO-002	DSO1, DSO2, DSO4	Director's Office	Draft biosafety permit with briefer for approval of genetically-modified (GM) crop applications	Delay in the preparation of biosafety permits for signing of the Director.	Delay in the signing and approval of the biosafety permits.	Delay in the delivery of service and operations	Internal	Operational Risk	2	1	3	Low	Constant follow-up to the Director's Office for the signing of BPI Director.	Adjustment in the timeline of other sub-processes in the process of issuance of biosafety permits.	Timely preparation of biosafety permits and technical reports.	5 working days from the RORAP approval	Biotechnology Office	Not applicable	Close
R-In-BIO-003	DSO1, DSO2, DSO4	National Plant Quarantine Services Division (NPQSD)	Review of SPSIC for GM commodities	Untimely review of SPSIC for GM commodities.	Delay in the importation of GM crops in the Philippines.	Delay in the delivery of service and operations	Internal	Operational Risk	2	1	2	Low	Coordination with the NPQSD for updates and concerns related to SPSIC review.	Expediting the review procedure of SPSIC applications.	NPQSD informs Biotech Office once there is a GM commodity for importation of Philippines.	5 working days from the RORAP approval	Biotechnology Office	Not applicable	Close
R-In-BIO-004	DSO1, DSO4	National Seed Industry Council (NSIC)	Information on GM events with biosafety permit for commercial propagation	Non-compliance of registrants to biosafety regulations/biosafety permit procedures.	Seed registration of GM crops with no valid biosafety permits.	Delay in the delivery of service and operations	Internal	Operational Risk	2	1	2	Low	Involvement of NSIC-Executive Secretary designate to the Biotech Core Team.	Mandatory application for biosafety permit for commercial propagation, referral to Biotech Office.	Advising the seed registrants ahead of time that a biosafety permit for commercial propagation is required.	5 working days from the RORAP approval	Biotechnology Office	Not applicable	Close
R-In-	DSO1, DSO2, DSO4	Plant Product Safety	Endorsed GM applications	Delay in the submission	Delay in the issuance	Delay in the delivery	Internal	Operational Risk	4	3	12	High	Constant follow-up on the RAR	Stringent coordination with PPSDD-	Conduct of trainings and capacity	20 working days from	Biotechnology Office	Not applicable	Close

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BIO-005		Services Division (PPSSD)	on review of PPSSD-Food Safety Risk Assessment Team (FSRAT)	on of risk-assessment reports.	of biosafety permit for Direct Use as Food and Feed, or for Processing	of service and operations								submissions of PPSSD-FSRAT.	FSRAT on the progress of their review of GM applications.	building activities for assessors, including PPSSD-FSRAT.	the RORAP approval			
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**Crop Pest Management Division**

Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
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				Cause	Issue	Effect													
R-In-CPM D-001	DSO1. Minimize and control pest outbreak	Planning and Management Office, Budget Section, Assistant Director's Office, and Director's Office; and Bids and Awards Committee	Approved Work and Financial Plan (WFP); and Purchase Request (PR) with complete specification	Dilapidated vehicle	Cannot be used/breaks down most of the time	Endanger life of staff; prone to accidents; delayed delivery of products and services	Internal	Operational Risk	4	5 (Operational)	20	Extreme	Repair and maintenance after travel/borrow other office vehicle	Find/call mechanic near the area; and use personal money for repair to be reimbursed upon return to office	Procure new all-terrain vehicle (4X4) for field monitoring and other work-related activities	CPMD	December 31, 2021	International funding agency approved to use remaining balance to procure vehicle, on bidding process	Close

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R-In-CPM D-002	DS03. Strengthen laboratory and pest management services	Planning and Management Office, Budget Section, Assistant Director's Office, and Director's Office; and Bids and Awards Committee	Approved Work and Financial Plan (WFP); and Purchase Request (PR) with complete specification	Absence of high quality PPE such as respirator mask and fume hood	Exposure to insect and airborne microorganisms; and chemicals used in pest preservation	Respiratory problem and skin irritation (Health risk)	Internal	Health and Safety	5	2 (Health and Safety)	10	Medium	Use of disposable mask, laboratory gown/scrub suit, and gloves	Provision of free regular medical check-up; and provision of hazard pay for staff working in the laboratory	Procure appropriate personal protective equipment (PPE) such as goggles, fume hood, etc.	Biocontrol Section	2021	Some of the staff working in the laboratory are not qualified under RA No. 8439 (hazard pay)	Close
R-In-CPM D-003	DS05. Upgrade biocontrol laboratory and support facilities	Planning and Management Office, Budget Section, Assistant Director's Office, and Director's Office; and Bids and Awards Committee	Approved Work and Financial Plan (WFP); and Purchase Request (PR) with complete specification	Obsolete Biocontrol laboratory equipment	Reduced production of BCA	Delay in the delivery of services	Internal	Operational Risk	3	3 (Operational)	9	Medium	Regular repair and maintenance	Provide catch up plan to the physical accomplishment	Procure laboratory equipment; Training on proper handling of laboratory equipment and machineries	Biocontrol Section	10 working days from the RORAP approval		Close
R-In-CPM D-004	DS06. Enhance human resource capability	Personnel Section	Curriculum vitae (CV)/PDS/Credentials of staff/recommendations for promotion and qualified applicant	Lack of skilled pathologist and entomologist	Unavailable staff to cater technical/specialized services	Inaccurate pest management recommendations	Internal	Organizational well-Being	4	2 (Organizational well-being)	8	Medium	Search references in the internet regarding pest problem and other related literature; external resource	Consult with the senior technical staff	Hire technical staff with crop protection related field of specialization; Allot budget for the specialized training	CPMD	10 working days from the RORAP approval	Ongoing application for plantilla positions	Close

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			ts for vacant regular position																
R-In-CPM D-005	DSO6. Enhance human resource capability	Planning and Management Office, Budget Section, Assistant Director's Office, and Director's Office	Approved Work and Financial Plan (WFP)	Limited training on preservation and proper handling of pest specimens	Low quality of preserved pest specimen	Inaccurate result as reference for research and identification of pest specimen	Internal	Operational Risk	3	1 (Operational)	3	Low	Follow available manual; request mentoring	Consult with the senior technical staff	Attend trainings on proper preservation of pest specimen; Attend regular training/retooling for the procedure and technique in preservation of pest specimen; participate in proficiency testing	PFS and PHPS Section	2022	Training funds were not included in the FY2021	Close
R-In-CPM D-006	DSO9. Increase external fund resources	Banner Programs	Capsule proposal ; Detailed proposal ; Work and Financial Plan; Gender and Development Assessment Plan; and Line item budget /	Limited funds for R&D	Necessary R&D not conducted	No new technologies developed	Internal	Operational risk	2	3 (Operational)	6	Medium	Submit research proposals to funding agencies	Consult experts outside the bureau	Train technical staff to submit quality proposal on pest management ; Collaborate with stakeholders in conducting Research & Development	CPMD	10 working days from the RORAP approval	Not applicable	Close

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**Crop Research and Production Support Division**

**Risk Identification**

**Risk Assessment**

**Risk Treatment (Action Plan)**

**Risk Monitoring and Evaluation**

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				Cause	Issue	Effect													
R-In-CRP-SD-001	DSO6. Upgrade infrastructure and support facilities	Permanent Employees	Training Opportunity	Improper use of equipment/hazardous chemicals	Injured/exposed personnel	Workplace accident	Internal	Health and Safety	1	4 (Health and Safety)	4	Medium	Safety precaution during handling of equipment and hazardous chemicals	First aid treatment and subsequent hospitalization	Strictly observe protocols on handling equipment and hazardous chemicals	10 working days upon the RORAP approval	CRPSD; AED; GSS; NPAL	Not applicable	Close
R-In-CRP-SD-002	DSO6. Upgrade infrastructure and support facilities	Property and Supply Section	Inventory of Property and Equipment	Power interruption	Damaged equipment	Disruption of work schedule and delay in delivery of services	External	Macro Environment	4	3 (Operational Risk)	12	Medium	Use of back-up power supply and equipment	Request GSS for immediate repair of equipment and inspection of power line	Use of back-up power supply and regular maintenance of equipment. Request for additional equipment.	10 working days upon the RORAP approval	CRPSD; GSS	Subject to budget approval for FY2022	Close
R-In-CRP-SD-003	DSO7. Enhance human resource capability	Permanent Employees	Training Opportunity	Greener pasture on career development outside	Loss of functional and capable personnel	Work overload on remaining personnel	Internal	Organizational well-being	3	3 (Organizational well-being)	9	High	Filling-up of vacant position	Immediate turnover of duties and responsibilities and proper division of labor	Career advancement opportunity (Trainings, Scholarships)	20 working days upon the RORAP approval	CRPSD; Personnel	Opening of vacant position based on CSC rules and regulation /	Close

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Director's Office																				
Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation					
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)	
				Cause	Issue	Effect														
R-In-CRP-SD-004	DSO1. Ensure access of farmers to quality seeds	All Operating Units	Accomplished PR and TO's from respective units	the Division	Delayed production of planting materials due to untracked procurement documents	Late distribution of planting materials to target beneficiaries and insufficient supplies for operational use	Delay in delivery of service and underutilized budget	Internal	Operational Risk	4	3 (Financial Risk)	12	High	Replacement of procurement documents and re-alignment of budget	Fund sourcing	Memo concerned staff regarding the preparation of necessary documents and strict monitoring of procurement documents	20 working days upon the RORAP approval	CRPSD	Not applicable	Close
R-In-DO-001	SO9. Ensure efficient financial management	BPI Management; National Government Agencies	Clearance, Liquidation Report and documents to ensure efficient and	Political/government leadership changes	Transition/Change in leadership or management in the Bureau	Shift in priorities and thrusts	External	Macro Environment	1	5	5	Medium	Adherence to Special Orders/ Presidential Appointments	Craft succeeding strategic plan of the bureau	Conduct briefing to the new management ; Adapt to the new priorities and thrusts	December 2022	All concerned Units	This is subject to the political election and appointments.	Close	

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R-In-DO-002	S01-S06; S09	BPI Management and Employees	Approval of Memoranda for Work Suspension	Climate change	Occurrence of natural phenomenon such as calamities, disease outbreaks	Delay of products and services to be rendered	External	Health and Safety; Operational; Financial	5	5	25	Extreme	Issuance of work suspension and implementation of health and safety protocol	Revisit/update and strengthen Disaster Risk Reduction and Management, and health and safety protocols	Strictly implement the Disaster Risk Reduction and Management Plan, and health and safety protocols	30 working days upon the RORAP approval	Top Management/Disaster Risk Reduction and Management Team/Health and Safety Officer/General Services Section	Not Applicable	Close
R-In-DO-003	S07. Enhance human resource capability	BPI Management and Employees	Approval of Internal/External trainings, workshops, seminars, and Skill Enhancement activities	Better career opportunities outside the bureau	Brain drain (high demand of agri experts from other countries)	Loss of well-performing employees	External	Organizational Well Being	5	1	5	Medium	Encourage employees to apply for plantilla positions	Provide more trainings and promote scholarship programs to the employees	Hire new personnel	10 working days upon the RORAP approval	Top Management/Personnel Section/All Concerned Operating Units	Not Applicable	Close
R-In-DO-004	S01 - S010	BPI Management, Employees and Involving Parties or Agencies	Approval of Memoranda for Work Suspension	Peace and order in conflict areas	Inflict damage to properties and safety of personnel	Delay in the provision of products and services	External	Macro environment	5	3	15	High	Cancellation/postponement of activities	Establish protocol regarding the conduct of activities in conflict areas	Implement protocol regarding the conduct of activities in conflict area	20 working days upon the RORAP approval	Top Management/Concerned Operating Units	Not Applicable	Open

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R-In-DO-005	SO7/DSO4. Enhance human resource capability	Interested individuals, BPI Management and Personnel section	Approval of Memorandum for Open Positions	Unfilled plantilla positions	Increase in workload to existing employees; Numerous contractual and job order employees	Exhaustion to employees leading to underperformance	Internal	Organizational Well Being	4	4	16	High	Lobbying with oversight agencies regarding the unfilled plantilla positions	Immediate processing of applications	Conduct of recreational activities such as sportfest, team building, and other related matters	20 working days upon the RORAP approval	Personnel Section/ Concerned units	Not Applicable	Close
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**General Services Section**

Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-GSS-001	DSO3. Strengthen administrative support services	BPI Division's and other Operating Units	Preventive Maintenance System on Buildings/ Facilities	Irregular conduct of preventive maintenance due to limited manpower	Buildings are prone to fire and other hazards.	Delay in delivery of services/ Injury to personnel & damage to property	Internal	Operational risk/Health and Safety risk	1	5	5	Medium	Immediate action for maintenance upon request	Follow Disaster Risk Reduction and Management Plan	Strict implementation of Preventive Maintenance Schedule (PMS); Hiring of additional manpower subject to availability of funds; Distribution	April 31, 2021	General Services Section	Project Procurement Management Plan was recently approved; Purchase request for processing	Close

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				providing security services															
R-In-GSS-006	DSO3. Strengthen administrative support services	Budget, Accounting & Cashier	Voucher & Official Receipt	Late processing of voucher due to late submission of requirements	Uninsured RP Vehicle	Delay in delivery of services	Internal	Operational	1	1	1	Very Low	Early processing of document requirements	Cash payment subject for reimbursement	Early preparation of document requirements	5 working days upon the RORAP approval	General Services Section	Ongoing activities	Open
R-In-GSS-007	DSO3. Strengthen administrative support services	Budget, Accounting & Cashier	Voucher; LTO Official Receipt	Late processing of voucher due to late submission of requirements	Unregistered RP Vehicle	Delay in delivery of services	Internal	Operational	1	1	1	Very Low	Early processing of document requirements	Cash payment subject for reimbursement	Early preparation of document requirements	5 working days upon the RORAP approval	General Services Section	Ongoing activities	Open

**Internal Audit Unit**

Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-IAU-001	DSO3. Strengthen administrative	All Operating Units	Accomplished Purchase Request and	Massive number of documents to be	Recording and forwarding of documents	Delay in service delivery	Internal	Operational Risk	4	3 (Operational)	12	High	Classify Documents in accordance to the intended recipient;	Classify Documents according to the intended recipient;	Hiring of additional Personnel	20 working days upon the RORAP approval	Internal Audit Unit/ Personnel/	For request of Budget Allocation	Open

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	support services		Accomplished Travel Order from respective units	verified and processed; Return of Documents	ts to the respective section according to its document's classification (Purchase request, Voucher and IAR) is done by only one staff; Incorrect / incomplete details/ attachments on Travel Order								Disapproval of Travel Order with incorrect details for correction and verification of the End User	Disapproval of Travel Order with incorrect details for correction and verification of the End User			Budget Section		
R- In- IAU- 002	DSO3. Strengthen administrative support services	Accounting Section	Vouchers funded and signed by the Budget Chief	Massive number of documents to be verified and processed; Return of Documents	Recording and forwarding of documents to the respective section according to its document classification (Purchase request,	Delay in service delivery	Internal	Operational Risk	4	3 (Operational)	12	High	Classify Documents according to the intended recipient	Classify Documents according to the intended recipient	Hiring of additional Personnel	20 working days upon the RORAP approval	Internal Audit Unit/ Personnel/ Budget Section	For request of Budget Allocation	Open

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					Voucher and IAR) is done by only one staff/employee														
R-In-IAU-003	DSO3. Strengthen administrative support services	Bids and Awards Committee	Complete Attachments and reviewed and verified/approved PR from IAU	Massive number of documents to be verified and processed; Return of Documents	Recording and forwarding of documents to the respective section accordingly to its document classification (Purchase request, Voucher and IAR) is done by only one staff/employee	Delay in service delivery	Internal	Operational Risk	4	3 (Operational)	12	High	Classify Documents according to the intended recipient	Classify Documents according to the intended recipient	Hiring of additional Personnel	20 working days upon the RORAP approval	Internal Audit Unit/ Personnel/ Budget Section	For request of Budget Allocation	Open
R-In-IAU-004	DSO3. Strengthen administrative support services	Director's Office/ Assistant Director's Office	Duly prepared Travel Order with necessary attachment	Disapproved Travel Order	Incorrect / incomplete details and attachments that has been inputted on the Online Travel	Delay in Document Processing	Internal	Operational Risk	2	2 (Operational)	4	Low	Disapproval of Travel Order with note to inform end user regarding incomplete or incorrect details identified	Disapproval of Travel Order with note to inform end user regarding incomplete or incorrect details identified	Rechecking of attached documents needed beforehand to avoid mistake before taking in to the Online Travel Order System	5 working days upon the approval of RORAP	Internal Audit Unit/ All Operating Unit	Not Applicable	Open

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R-In-IAU-005	DSO3. Strengthen administrative support services	Property Section	Complete Delivery of Items and Accomplished Inspection Acceptance Report (IAR) before inspection	Insufficient communication between concerned OUs regarding delivery of supplies	Order System Late inspection of the delivered supplies and material s/ Equipment; Unfound / incomplete delivered items	Delay of Documents Processing within the day	Internal	Operational Risk	3	3 (Operational)	9	Medium	Immediate inspection is done upon notification of the end-user	Immediate inspection is done upon notification of the end-user	Formulation of guidelines on Delivery-Inspection terms of supplies and equipment	20 working days upon the RORAP approval	Property Section/ Internal Audit Unit/ Top Management	Not Applicable	Open
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**Information and Computer Section**

Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
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				Cause	Issue	Effect													
R-In-ICS-001	Integrated Information Management	All operating units (except BPI centers)	ICT Management, networking, cabling and repair	Data Loss	Loss of organizational data/ important files caused by virus	Delay in the delivery of service	External/Internal	Macro environment	4	3 (Operational)	12	High	Anti-virus and firewall installed	Provide service support as the need arises	a) Provide endpoint security and backup storage b) use of secure e-mails .gov.ph	20 working days upon the approval of RORAP	Information and Computer Section and ICT TWG member	The use of secure e-mails.gov.ph is on process of procurement	Close

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				all documented	programs	programs							information, prepares write ups and publish in the FB page and website.	respective FB page  b.) OU staff/ submits write ups and photos to ICS for uploading in the BPI FB or website.	documentation and Submission of articles for posting in the BPI website or FB page b.) Collect the schedule of activities of different OUs thru issuance of memorandum		and Centers		
R-In-ICS-005	Enhance promotion of opportunities in agriculture	Farmers, students, researchers	IEC Materials of developed technologies/ Production Guides	Newly developed technologies/guidelines and their e-files are not all available in the library for access or dissemination.	Farmers or walk-in stakeholders/clients are unaware of available services and developed technologies.	Farmers or stakeholders do not have access to updated production guides/ IEC that can help them to increase their knowledge in planting, BPI regulations and services	Internal	Operational Risk	3	4 (Service Delivery)	12	High	a.) Issue available IEC to requesting client b.) Refer to agriculturist or technical staff on duty in the concerned division	1) Photocopy, scan and re-print available IEC materials 2) Refer to other DA agencies' sites	a.) Request from Operating Units and centers their updated IEC materials and provide copies to the Library and e-file for electronic dissemination b.) Use social media in disseminating technologies and programs of the Bureau	20 working days upon the approval of RORAP	Information and Computer Section,	Not applicable	Close
R-In-ICS-006	Enhance promotion of opportunities	Farmers, Importers, traders, and other	Memoranda, regulations, program	Stakeholders have limited knowledge	Stakeholders are not able to join or benefit	Stakeholders are not aware of the	Internal	Operational Risk	3	2 = (Service Delivery)	6	Medium	Upload Memoranda and announcements and activities to BPI website and	Request copy from concerned OU's and e-	1. Regularly monitor e-mails and upload announcements	10 working days upon the approval of RORAP	Information and Computer Section,		Close

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	ies in agriculture	government agencies	s and activities	ge on BPI regulations and programs	from BPI programs and technologies	relevant BPI regulations, programs, and services								FB page upon request	mail to clientele	nts/ memoranda on website 2. Request OU's to provide ICS approved Memoranda and schedule of activities for timely posting in the website/ FB page 3. Implement the use of IEC Request slip/ CSF to monitor the timeliness of uploading information 2.					
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**National Seed Industry Council - Plant Variety Protection Office**

Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-NSIC - PVP O-001	DSO8. Intensify Crop Variety and Plant Protection informatio	NSQCS, CRPSD and BPI Centers	List of registered varieties, passport data, guideline	Lack of control mechanism to check the database	Data discrepancy between the website and	Confusion to stakeholders	Internal	Operational Risk	4	2 (Reputational)	8	Medium	Designate personnel to directly upload the data in the website	Issuance of erratum in the website and updating of database	Incorporate in the procedures manual the counter checking	10 Working Days from the Approval of RORAP	Council Secretariat	Not Applicable	Open

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National Seed Quality Control Services																			
Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-NSQ-CS-001	DSO1. Ensure access of farmers to quality seeds	Crop Research and Production Support Division and BPI Centers	Result of Laboratory Analysis	Result of Laboratory Analysis for Seed Certification	Demand for seeds to be tested by NSQCS increases	Sudden increase of submitted seed samples	Lack of manpower to conduct additional workload	Operational Risk	4	1	4	Low	Seed Analysts render overtime services	Back staffing of authorized personnel from other unit	Hiring of additional personnel	December 29, 2022	NSQCS Management	Have requested additional budget for COS	Close
R-In-NSQ-CS-002	DSO1. Ensure access of farmers to quality seeds	Crop Research and Production Support Division and BPI Centers	Plant Material Certificates and Certification Tags	Noncompliance of applicants with the requirements	Incomplete submission of documentary requirements	Delay in processing of Certification	External	Macro Environment	4	2	8	Medium	Deferment of application with lacking documents;	Remind Regional/Satellite Office regarding the lacking document	Use of checklist for screening of documents	10 working days upon the approval of RORAP	NSQCS Management	Not applicable	Close
Personnel Section																			
Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic	Relevant Interested Parties	Requirements (Needs and	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it	Treatment (Prevent the Cause in Risk	Timeline	Responsible Person	Remarks	Status (Open/Close)
				Cause	Issue	Effect													

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	Objective (DSO) in BPI Strategic Plan 2017-2022)	(RIPs) - External	Expectations)										will lessen the impact of effect in Risk Scenario)	Scenario from happening)		/ Unit / Office		
R- In- PS- 001	SO no. 7. Ensure efficient financial management	All Operating Units	Obligation Request and Status/Budget Utilization Request and Status, Disbursement Voucher, Approved WFP, PPMP, and Request Letter for Funds	Late submission of documents	Late release of funds	Delayed implementation of programs and activities	Internal	Operational	3	3	9	Medium	Inform/coordinate with the concerned operating unit/s	Not applicable	Dec 29 of every year	Budget Section/Accounting Section	recurring every year	Close
R- In- PS- 002	SO no. 7. Ensure efficient financial management	Contract of Service/Job Orders	ORS/BU RS, DV, Daily time record, and timely release of salaries	Late submission of documents or incomplete requirements	Late release of funds	Delayed salary of COS/JO workers	Internal	Operational	3	5	15	Medium	Inform/coordinate with the concerned employees	Inform/coordinate with the concerned employees	Dec 29 of every year	Budget/Accounting Section	recurring every year	Open
R- IN- PS- 003	SO no. 7. Ensure efficient financial	Permanent Employees	ORS, DV, DTR, and Payroll	Late submission of documents	Late release of funds	Delayed salary of permanent	Internal	Operational	3	5	15	Medium	Inform/coordinate with the concerned employees	Inform/coordinate with the	Dec 29 of every year	Budget/Accounting Section	recurring every year	Close

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Planning and Management Office																			
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R-In-PMO-001	S09. Ensure Efficient Financial Management	All operating units	S/D/OPCR (Semi-annual)	Late submission of targets and accomplishments based on said Performance Rating of Section/Division/Office	Unavailability of information relative to unit accomplishments	Irreconcilable data comparison between physical accomplishment reports and Section/Division/Office reports	Internal	Operational	4	2 (Operational)	8	Medium	Follow up to the operating unit concerned relative to the submission of S/D/OPCR	Follow up to the operating unit concerned relative to the submission of S/D/OPCR	Convening of BPI-Performance Management Team to discuss and diagnose issues relative to the crafting and submission of S/D/OPCR	10 working days from the RORAP approval	PMO	Not Applicable	Open
R-In-PMO-002	S09. Ensure Efficient Financial Management	All operating units (except administrative sections)	Final review of WFP	Variance in the physical targets between the submitted WFP by the	Amendment of the WFP based on the committed target to DA	Delayed funding and implementation of programs	Internal	Operational	4	2 (Operational)	8	Medium	Review of submitted WFP by PMO Staff	If there are any inconsistent physical targets, the WFP shall be returned to the operating	Conduct of planning and budgeting workshop for planning officers	January 31, 2022	PMO	Schedule in the conduct of the planning workshop is dependent in the	Close

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				operating unit vis-a-vis the committed targets to DA										unit for revision.				succeeding year's budget cycle	
R-In-PMO-003	S09. Ensure Efficient Financial Management	All operating units (except administrative sections)	Reviewed GAA Quarterly Accomplishment Report (for PIR)	Variance between the data presented in the review vis-a-vis the data submitted to the report officer	Irreconcilable data between accomplishment data submitted to DA and data by the operating unit	Data integrity relative to physical accomplishments committed and submitted to DA.	Internal	Operational	5	2 (Operational)	10	Medium	Review of PIR presentations prior to the event	Data reconciliation between the concerned operating unit and responsible report officer.	Conduct of retooling for report officers	10 working days upon the RORAP approval	PMO	Schedule in the conduct of the retooling is dependent in the succeeding year's budget cycle	Open

**Plant Product Safety Services Division**

Risk Identification				Risk Assessment									Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-PPSSD-001	DSO2. Strengthen plant regulatory and laboratory services	PhilGAP Unit	Result of Pesticide Residue Analysis, and Microbiological and	Unexpected power failure	Delay in the conduct of analysis	Delay in the release of Certificate of Analysis	Internal	Operational Risk	3	1	3	Low	Use of Uninterrupted Power Supply System (UPS) and Regular Backup of Data	Use of existing UPS	Purchase of back up UPS	5 working days upon approval of RORAP	PPSSD Management	proposed in tier 2-2022	Close

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			Chemical Contaminants Analyses																
R-In-PPSS D-002	DSO2. Strengthen plant regulatory and laboratory services	PhilGAP Unit	Result of Pesticide Residue Analysis, and Microbiological and Chemical Contaminants Analyses	Equipment breakdown	Delay in the conduct of analysis	Delay in the release of Certificate of Analysis	Internal	Operational Risk	5	3	15	High	Regular equipment calibration and maintenance	Regular equipment calibration and maintenance	Regular equipment calibration and maintenance	20 working days upon approval of RORAP	PALS, CLS, PPSSD Management	annual activity	Close
R-In-PPSS D-003	DSO1. Ensure compliance to food safety requirements of agricultural crops	Biotech Technical Advisory Group	Risk Assessment Report of DOST-DA-DENR-DOH-DILG Joint Department Circular (JDC) 1, s. 2016 Applications for Direct Use and Propagation	Limited number of trained technical personnel engaged in the conduct of risk assessment	Same personnel were sent to attend the training	Delay in the submission of Risk Assessment Report (RAR)	Internal	Operational Risk	4	2	8	Medium	Continuous training of assessors	Continuous training/retooling and updating of official list of assessors	Continuous training/retooling and updating of official list of assessors	10 working days upon approval of RORAP	Risk Assessment Unit, PPSSD Management	Not applicable	Open
R-In-PPSS D-004	DSO1. Ensure compliance to food safety requirements	National Plant Quarantine Services Division	Endorsement of Exporters for Food Safety	Limited number of trained technical personnel	Same personnel were sent to attend	Delay in the submission of Risk Assessment	Internal	Operational Risk	4	2	8	Medium	Continuous training of additional assessors	Continuous training/retooling and updating of official list of assessors	Continuous training/retooling and updating of official list of assessors	10 working days upon approval of RORAP	Risk Assessment Unit, PPSSD Management	Not applicable	Open

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nts of agricultural crops	Compliance	el engaged in the conduct of risk assessment	the training	ent Report (RAR)														
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**Property and Supply Section**

Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Risk Level	Existing Control	Contingency (Once the risk happens, it will lessen the impact of effect in Risk Scenario)	Treatment (Prevent the Cause in Risk Scenario from happening)	Timeline	Responsible Person / Unit / Office	Remarks	Status (Open/Close)
				Cause	Issue	Effect													
R-In-PSS-001	To strengthen administrative support services	Accounting and COA Office	Property acknowledgment receipt, Inventory Reports of Properties & Equipment to be submitted to Accounting & COA Office.	Unprepared and outdated Inventory Reports of properties and equipment.	Non submission and incomplete Report of Inventory of Properties & Equipment from operating units and regional offices.	Delay of submission of Inventory Reports to Accounting & COA Office	Internal	Operational Risk	2	1	2	Minor	Office Memorandum issued to all concerned operating units and regional offices reminding for the submission of updated Inventory Reports.	Immediate submission of updated Inventory Reports	Update Inventory Reports and submit on time to Accounting & COA Office.	December 31, 2021	Property & Supply Section	Not Applicable	Close

**Records Section**

Risk Identification							Risk Assessment						Risk Treatment (Action Plan)		Risk Monitoring and Evaluation			
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				Cause	Issue	Effect													
R-In-RES-001	DSO3. Strengthen administrative support services	All Operating Units	Copies of issuances such as directives, memoranda, circulars, and other relevant documents for dissemination	Insufficient coordination among concerned OUs	Uncontrolled incoming and outgoing documents	Lack of awareness; No copies to file	Internal	Operational Risk	2	2 (Operational risk)	4	Low	Manual Tracking through Follow-up of documents that are not controlled	Manual Tracking and constant communication to Follow-up documents that are not controlled	Issuance of Memo/ Guidelines regarding the process of incoming and outgoing of official documents from DA and other agencies thru Records Section.	5 working days from the RORAP approval	Records Section	Not applicable	Open
R-In-RES-002	DSO3. Strengthen administrative support services	All Operating Units	Copies of issuances such as directives, memoranda, circulars, and other relevant documents for dissemination	Improper handling of documents with sensitive cases or failure of system	Releasing of confidential and sensitive information	Loss of Documents / Data/ Data leakage	Internal	Operational Risk	2	3 (Operational risk)	8	Medium	Classify documents based on its type only; input of sensitive/confidential clause prior on dissemination of documents thru email.	Classify documents based on its type only; input of sensitive/confidential clause prior on dissemination of documents thru email.	Training and Workshops on Document/ Records Management among Records Staff	February 31, 2022	Records Section/ Personnel Section, Budget Section, Top Management	Limited on-the-spot training and actual workshops, Limited staff who holds plantilla item	Close

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R- In- RES- 003	DSO3. Strengthen administrative support services	Internal - All Operating Units	Copies of issuances such as directives, memoranda, circulars, and other relevant documents for dissemination	Lack of space for storage of record files, e.g. 201 of Personnel and other government documents, Fire Hazard materials	Printed documents are prone to hazardous incidents such as fire, flood, etc. and pest control problem	Loss of organizational data	Internal	Operational Risk	4	4 (Operational risk)	16	High	Safekeeping of documents in other location/ proper storage; Disposition of records based on National Archives of the Philippines General Records/ Provision of Fire Extinguisher	Back-up storage of files (Database)/ Storage for Record Files	Building Renovation; Request for regular pest control	February 31, 2022	Records Section, Top management, Budget section	for budgetary approval	Close
R- In- RES- 004	DSO3. Strengthen administrative support services	All Operating Units	Copies of issuances such as directives, memoranda, circulars, and other relevant documents for dissemination	Exposure to dust of records Section staff within the area	Lack of space for storage of record files, e.g. 201 of Personnel and other government documents resulting to manifestation of dust onto the file documents	Records staff that are exposed to dust particles can cause asthma, triggers allergic rhinitis etc.	Internal	Health and Safety	4	2 (Health and Safety)	8	Medium	Wearing of face masks	a.) Maintain proper humidity and clean storage area with complete facilities b.) Transfer access of 201 files to Personnel as per CSC rule (turnover 201 documents)	Allocate Storage Room for 201 files and other agency-related documents	10 working days from the RORAP approval	General Services Section/ Records Section/ Personnel Section	Accomplished	Close
<b>Baguio National Crop Research Development and Production Support Center</b>																			
<b>Risk Identification</b>							<b>Risk Assessment</b>						<b>Risk Treatment (Action Plan)</b>		<b>Risk Monitoring and Evaluation</b>				
				<b>Risk Scenario</b>									<b>Existing Control</b>			<b>Timeline</b>		<b>Remarks</b>	

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R-In-BNC RDP SC-001	DSO1. Ensure access of farmers to quality semi-temperate vegetable seeds and fruit crops	Production Section	Manpower, technical support	Improper usage/old equipment; Insufficient monitoring of equipment	Occurrence of accidents	Delay in the delivery of services	Internal	Health and Safety	3	3 (Health and safety)	9	Medium	Conduct of preventive maintenance; Existing first aid kit and fire extinguisher	Implement safety and health protocols	Upgrade/Procure new equipment; Submit Institutional Development Grant proposals; Conduct training on safety and health protocols	July 30, 2021	Production Section	Targeted on the 2nd semester of FY2021 based on the approved Work and Financial Plan	Open
R-In-BNC RDP SC-002	DSO 3. Enhance promotion of opportunities in agriculture	Research Section	Research Project/ Research report/output, Technical support	New generated technologies have no Intellectual Property Office registration (IPO) or International Standard Serial Number (ISSN)	Generated technologies are being plagiarized.	Lacks ownership with the generated technologies; Generated technologies are being privatized.	Internal	Operational Risk	4	3 (Operational)	12	High	Provision of hard copies to beneficiaries	Will not provide copy of generated technology, unless with IPO/ISSN registration	Submit generated technologies for ISSN; For IPO, propose budget in FY2022	20 working days from the RORAP approval	Research Section	Not applicable	Open

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R-In-BNC RDP SC-003	DSO 7. Enhance Human Resource Capability	Office of the Center Chief	Human Resource Plan, WFP, SPMS, R&D proposals and reports	Limited plantilla positions for administrative functions	Multi-tasking of technical staff	Delay in the delivery of services	Internal	Operational Risk	3	3 (Operational)	9	Medium	Hiring of job order positions	Tap other technical staff to perform administrative functions	Proposed additional plantilla positions for administrative functions	December 23, 2022	Administrative Section	Subject to the approval of the Rationalization Plan	Open
R-In-BNC RDP SC-004	DSO9. Ensure efficient financial management	Procurement Management Team	Complete Procurement Requirements	Incomplete submission of mandatory documents from the dealers	Lengthy processing time for the payments	Delayed delivery of supplies, and obligation/disbursement	External	Macro environment	3	3 (Financial)	9	Medium	Follow-up requirements from the dealers	Follow-up requirements from the dealers	Updated checklist of suppliers who are compliant to the requirements	10 working days from the RORAP approval	BAC	Not applicable	Open
R-In-BNC RDP SC-005	SO1. Ensure access of farmers to quality seeds	Office of the Center Chief	Approved WFP, Strategic Performance Management System (SPMS), Human Resource (HR) Plan, Center's Research, Development and Extension Agenda	Limited budget allotted on utility expenses based on the downloaded National Expenditure Program (NEP) despite the submitted proposal for specific codes	Low budget allotment for utilities (electricity, water, telephone, internet)	Service disconnection	Internal	Financial Risk	4	4 (Operational Risk)	16	High	Budget for utility payment is being sourced out from other projects or fund source	Work from home setup for office staff;	Higher allotment for utility expenses for the succeeding years	20 working days upon the RORAP approval	Top Management, Planning Unit and Accounting, Budget and Cashier Unit	Subject to budget approval	Open

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R-In-BNC RDP SC-006	SO6. Upgrade infrastructure and support facilities	Engineering Unit	Approved PPMP	Delay in the conduct of post-qualification activities	Delayed implementation of engineering activities	Delayed completion of engineering projects	External	Financial Risk	4	3 (Financial Risk)	12	High	Constant follow-up of procurement document in the Central Office	Preparation of catch-up plan	Not Applicable	20 working days upon the RORAP approval	Engineering Unit	Delay due to travel restrictions implemented due to COVID-19 pandemic	Open
R-In-BNC RDP SC-007	SO1. Ensure access of farmers to quality seeds	Planning Unit	MAR, Approved WFP, OPCR, SPCR, PMES PIR Presentations, Narrative Reports, Approved Research Proposals, Internal Performance, Monitoring Report	Wrong estimation of potential accomplishment (Beneficiaries and Quantity of Seeds/Planting materials/other materials)	Under targeting of accomplishment	Attaining too high percent accomplishment	Internal	Operational Risk	3	5 (Operational Risk)	15	High	Continuous coordination with Project leaders for proper targeting	Provide justification	Conduct of strategic planning workshop ahead of WFP preparation for the following year	20 working days upon the approval of RORAP	Planning Unit, Accounting, Budget and Cashier Unit, Production Section, Research Section	Consider the last five year actual accomplishment	Open
R-In-BNC RDP SC-008	SO9. Ensure efficient financial management	Accounting, Budget and Cashier Unit	Approved WFP (Financial Targets) Accomplishment reports for salaries,	Limited manpower in canvassing goods and services	Incomplete submission of necessary documents	Delayed delivery of goods and services	Internal	Financial Risk	3	3 (Financial Risk)	9	Medium	Constant follow up	Provide justification and catch up plan	a.) Hire additional canvasser b.) Tap other staff to assist the canvasser	10 working days upon the RORAP approval	All Project Leaders, Procurement Management Unit	Budget constraint ; Not included in the FY2021 budget;	Open

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			wages, and infrastructures  Complete procurement documents and its attachments for supplies and other services  Approved research proposals, signed memorandum of agreement and notice to proceed of newly approved projects																
R-In-BNC RDP SC-009	SO9. Ensure efficient financial management	Accounting, Budget and Cashier Unit	Accomplishment reports for salaries, wages, and infrastructures	Delayed submission of liquidation report resulting to delayed	Complaints from contractual employees	Frequent delays in pay-off of salaries and wages	Internal	Financial/Operational Risk	2	4 (Reputational Risk)	8	Medium	a.) Dialogues and regular meetings with all concerned staff per section/ per banner program  b.) Formation of grievance committee to	Conduct regular meetings/dialogues with the concerned personnel	a) Efficient implementation of process owners on the existing procedures manual to address delayed	10 working days upon the RORAP approval	Top Management, Personnel Unit, Accounting Budget and	Subject to budget approval	Open

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			DTRs with attachments  Complete procurement documents and its attachments for supplies and other services	budget release								handle such cases		submission  b.) Frequent follow-up of budget releases from funding sources and channels  c.) Strict adherence to process flow concerning to salary releases		Cashier Unit			
R-In-BNC RDP SC-010	SO9. Ensure efficient financial management	Procurement Management Unit	PPMP  Complete Mandatory Procurement Requirements/Supporting Documents	Absence of signatories onsite due to official travel/work from home schedule	Delayed processing of procurement documents	Delayed procurement of goods and services	Internal	Operational Risk	5	3 (Operational Risk)	15	High	Delivery of documents to and from the respective homes of signatories	Preparation of justification for the utilization of unexpended balance	Early preparation and processing of procurement documents	20 working days upon the approval of RORAP	Procurement Management Unit	Not Applicable	Open
R-In-BNC RDP SC-011	SO7. Enhance human resource capability	Personnel unit	Statement of Assets, liabilities and Net Worth (SALN)  Daily Time Records with	Information verification and incomplete attachments	Late submission and re-submission of accomplished forms	Not meeting the deadline set by the Central Office	Internal	Operational Risk	5	2 (Operational Risk)	10	Medium	Constant reminder of set deadlines and completeness of submissions	Preparation of communication for delayed submission	Provide assistance to personnel with attachment preparation	10 working days upon the approval of RORAP	Personnel Unit	Not Applicable	Open

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			attachm ents(DT R)  Personal Data Sheet (PDS)/Cr edentials of Center's staff  IPCR  Training Monitori ng Report  Leave Applicati on  Magna carta require ments																
R- In- BNC RDP SC- 012	SO6. Upgrade infrastruct ure and support facilities	General Support Services Unit	Travel Order and Trip Ticket  Fuel/Gas oline  Job Order Request Slip  Manpow er	Limited number of transpor t vehicle	Cannot serve all request for service vehicles	Cannot meet the target for outside activities and project	Internal	Operationa l Risk	5	3 (Operati onal Risk)	15	High	a.) Renting of service vehicle;  b.) Repair of serviceable vehicle;  c.) Carpooling	Rescheduling of trip	Renting of service vehicle and continuous proposal for acquisition of new vehicle	20 working days upon the approval of RORAP	Top Manage ment, General Support Services Unit	Not Applicabl e	Open

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			Maintenance plan of facilities, service vehicle, equipment and machines																
R-In-BNC RDP SC-013	SO6. Upgrade infrastructure and support facilities	General Support Services Unit	Manpower	Limited manpower solely for maintenance activities	Unkept landscape and cleanliness of the surroundings	a.) Concern on worker safety i.e. snake and other pest occurrence in the field b.) Poor representation of the Center to visitors and clientele;	Internal	Health and safety risk	2	1 (Health and safety risk)	2	Low	Conduct of group labors to clean the areas	Availability of first aid kit	Job orders for the regular maintenance of the surroundings	5 working days upon the RORAP approval	General Support Services Unit	Subject to availability of funds	Open
R-In-BNC RDP SC-014	SO1. Ensure access of farmers to quality seeds	Internal Audit Unit	Centers' Procedures Manual; Legal Documents, Guidelines and	Change in schedule due to last minute issuance and announcement	Unavailability of process owner despite set schedule	Delay in audit schedule and targets	Internal	Operational Risk	3	1 (Operational Risk)	3	Low	Early notice of the audit schedule	Rescheduling of audit with the process owner	Assignment of representative to attend equally important engagement	5 working days upon the approval of RORAP	Internal Audit Unit	For the Internal Quality Audit of processes	Open

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Los Baños National Crop Research Development and Production Support Center																			
Risk Identification						Risk Assessment							Risk Treatment (Action Plan)		Risk Monitoring and Evaluation				
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				Cause	Issue	Effect													
	S01. Ensure access of farmers to quality seeds	Office of the Center Chief	Approved WFP, Strategic Performance Management System (SPMS), Human Resource (HR) Plan, Center's Research, Development and Extension	Limited budget allotted on utility expenses based on the downloaded National Expenditure Program (NEP) despite the submitted proposal for	Low budget allotment for utilities (electricity, water, telephone, internet)	Service disconnection	Internal	Financial Risk	4	4 (Operational Risk)	16	High	Budget for utility payment is being sourced out from other projects or fund source	Work from home setup for office staff;	Higher allotment for utility expenses for the succeeding years	20 working days upon the RORAP approval	Top Management, Planning Unit and Accounting, Budget and Cashier Unit		Open

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			Agenda	specific codes															
R-In-LBN CRD PSC-002	S05. Generate new and relevant agricultural technologies	Research Section	Research Projects Research Reports/ Outputs Experimental Area Utilities Manpower	Experimental areas converted into facilities for research activities	Decreasing experimental area	Reduction in the treatments and replicates of the experiment	Internal	Operational Risk	5	3 (Operational Risk)	15	High	Reduction in plot size to accommodate all treatments and replicates	Conduct of experiment outside the Center	Open new area for experiment	December 2021	Research Section		Close
R-In-LBN CRD PSC-003	S05. Generate new and relevant agricultural technologies	Research Section (PGR Unit)	Supplies and Equipment Utilities	24/7 usage	Malfunction of air conditioning unit (2 units)	Decrease seed quality in storage	Internal	Operational Risk	3	3	9	Medium	Repair of the unit	Barrowing from other offices or laboratories	Schedule regular cleaning and monitoring of the unit	10 working days upon the RORAP approval	General Services Section PGR Unit		Open
R-In-LBN CRD PSC-004	S05. Generate new and relevant agricultural technologies	Research Section (PGR Unit)	Manpower	Retireable Farm Worker by April 2022	No identified personnel for training and turnover of responsibilities in field works	Lag in transfer of responsibilities	Internal	Operational Risk	3	4	12	High	Labor pool or request of labor for the performance of specific tasks	Temporarily assign a farm worker from other projects or units	Assign new farm worker	January 2022	Personnel Unit Research Section		Close
R-In-LBN CRD PSC-005	S05. Generate new and relevant agricultural technologies	Research Section (PGR Unit)	Research Projects Land Area	Pre-treatment of the greenhouse for insect incidences before planting	Pest infestation in the field and greenhouse use a. Greenhouse use	Reduced yield and quality of harvested seeds for conservation	Internal	Operational Risk	3	4	12	High	Crop rotation	Use of other area	Soil rehabilitation in the experimental field and treatment of greenhouse against whiteflies	December 2021	Crop protection Unit PGR Unit		Close

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				Continuous use of area for planting	(whiteflies) b. Field (bacterial wilt)														
R-In-LBN CRD PSC-006	SO1. Ensure access of farmers to quality seeds	Production Section	Production Area/Production Facilities	Production areas converted into facilities for non-seed production activities	Decreasing production on area	Unable to attain target	Internal	Operational Risk	5	3 (Operational Risk)	15	High	Planting in small spaces between experimental areas	Preparation of catch-up plan	Open new area for experiment	20 working days upon the RORAP approval	Production Section		Open
R-In-LBN CRD PSC-007	SO1. Ensure access of farmers to quality seeds	Production Section	Manpower	Limited budget	Limited manpower	Unattainability of target	Internal	Operational Risk	4	3 (Operational Risk)	12	High	Conduct of group labor or borrow laborers from other projects	Preparation of catch-up plan	Sourced out funds from other funding agencies	January 2022	Top Management, Production Section, Planning Unit		Close
R-In-LBN CRD PSC-008	SO6. Upgrade infrastructure and support facilities	Engineering Unit	Approved PPMP	Delay in the conduct of post-qualification activities	Delayed implementation of engineering activities	Delayed completion of engineering projects	External	Financial Risk	4	3 (Financial Risk)	12	High	Constant follow-up of procurement document in the Central Office	Preparation of catch-up plan	Not Applicable	20 working days upon the RORAP approval	Engineering Unit	Delay due to travel restrictions implemented due to COVID-19 pandemic	Open
R-In-LBN CRD PSC-009	SO1. Ensure access of farmers to quality seeds	Planning Unit	MAR, Approved WFP, OPCR, SPCR, PMES PIR Presentations, Narratives	Wrong estimation of potential accomplishment (Beneficiaries and Quantity of	Undertaking of accomplishment	Attaining too high percent accomplishment	Internal	Operational Risk	3	5 (Operational Risk)	15	High	Continuous coordination with Project leaders for proper targeting	Provide justification	Conduct of strategic planning workshop ahead of WFP preparation for the following year		Planning Unit, Accounting, Budget and Cashier Unit, Production	Consider the last five year actual accomplishment	Close

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			e Reports, Approved Research Proposals, Internal Performance, Monitoring Report	Seeds/Planting materials/other materials)														Section, Research Section	
R-In-LBN CRD PSC-010	SO9. Ensure efficient financial management	Accounting, Budget and Cashier Unit	Approved WFP (Financial Targets) Accomplishment reports for salaries, wages, and infrastructure Complete procure documents and its attachments for supplies and other services Approved research proposal	Limited manpower in canvassing goods and services	Incomplete submission of necessary documents	Delayed delivery of goods and services	Internal	Financial Risk	3	3 (Financial Risk)	9	Medium	Constant follow up	Provide justification and catch up plan	a.) Hire additional canvasser b.) Tap other staff to assist the canvasser	10 working days upon the RORAP approval	All Project Leaders, Procurement Management Unit	Budget constraint ; Not included in the FY2021 budget;	Open

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			s, signed memorandum of agreement and notice to proceed of newly approved projects																
In-LBN CRD PSC-011	S09. Ensure efficient financial management	Accounting, Budget and Cashier Unit	Accomplishment reports for salaries, wages, and infrastructures DTRs with attachmentsComplete procurements documents and its attachments for supplies and other services	Delayed submission of liquidation report resulting to delayed budget release	Complaints from contractual employees	Frequent delays in pay-off of salaries and wages	Internal	Financial/Operational Risk	2	4(Reputational Risk)	8	Medium	a.) Dialogues and regular meetings with all concerned staff per section/ per banner program b.) Formation of grievance committee to handle such cases	Conduct regular meetings/dialogues with the concerned personnel	a) Efficient implementation of process owners on the existing procedures manual to address delayed submission b.) Frequent follow-up of budget releases from funding sources and channelsc.) Strict adherence to process flow concerning to salary releases	10 working days upon the RORAP approval	Top Management, Personnel Unit, Accounting Budget and Cashier Unit	Not Applicable	Open
In-LBN CRD PSC-012	S09. Ensure efficient financial management	Procurement Management Unit	PPMP Complete Mandatory Procurement	Absence of signatories onsite due to official travel/work from	Delayed processing of procurement documents	Delayed procurement of goods and services	Internal	Operational Risk	5	3 (Operational Risk)	15	High	Delivery of documents to and from the respective homes of signatories	Preparation of justification for the utilization of unexpended balance	Early preparation and processing of procurement documents	20 working days upon the RORAP approval	Procurement Management Unit		Open

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In-LBN CRD PSC-013	SO7. Enhance human resource capability	Personnel unit	Requirements/Supporting Documents Statement of Assets, liabilities and Net Worth (SALN) Daily Time Records with attachments (DTR) Personal Data Sheet (PDS)/Credentials of Center's staff PCR Training Monitoring Report Leave Application Magna carta requirements	home schedule Information verification and incomplete attachments	Late submission and re-submission of accomplished forms	Not meeting the deadline set by the Central Office	Internal	Operational Risk	5	2 (Operational Risk)	10	Medium	Constant reminder of set deadlines and completeness of submissions	Preparation of communication for delayed submission	Provide assistance to personnel with attachment preparation	March 2022	Personnel Unit	Close
In-LBN CRD PSC-014	SO6. Upgrade infrastructure and support facilities	Property and Supply Unit	Property Acknowledge Receipt (PAR) Inventory Custodia	No system of tracing users of machines,	Misplaced tools and equipment and unmonitored	Unavailable and unserviceable machines, tools and	Internal	Operational Risk	3	2 (Operational Risk)	6	Low	Tracing of previous user/borrower	Repair of machineries, tools and equipment	Creation of tracing system by the use of logbook, borrower's	July 2021	Property and Supply Unit	Close

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			n Slip (ICS) Requisitioning Issue Slip (RIS) Waste Material Report Gate Pass for Equipment/Machineries Borrower's request Form for Equipment and Machines	tools and equipment	trained users	equipment for the next user									form and gate pass				
In-LBN CRD PSC-015	SO6. Upgrade infrastructure and support facilities	General Support Services Unit	Travel Order and Trip Ticket Fuel/Gasoline Job Order Request Slip Manpower Maintenance plan of facilities, service vehicle,	Limited number of transport vehicle	Cannot serve all request for service vehicles	Cannot meet the target for outside activities and project	Internal	Operational Risk	5	3 (Operational Risk)	15	High	a.) Renting of service vehicle; b.) Repair of serviceable vehicle; c.) Carpooling	Rescheduling of trip	Renting of service vehicle and continuous proposal for acquisition of new vehicle	20 working days upon the RORAP approval	Top Management, General Support Services Unit		Close

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			equipment and machines																
In-LBN CRD PSC-016	SO6. Upgrade infrastructure and support facilities	General Support Services Unit	Manpower	Limited manpower solely for maintenance activities	Unkept landscape and cleanliness of the surroundings	a.) Concern on worker safety i.e. snake and other pest occurrence in the field. b.) Poor representation of the Center to visitors and clientele;	Internal	Health and safety risk	2	1 (Health and safety risk)	2	Low	Conduct of group labors to clean the areas	Availability of first aid kit	Job orders for the regular maintenance of the surroundings	December 2021	General Support Services Unit		Close
In-LBN CRD PSC-017	SO1. Ensure access of farmers to quality seeds	Internal Audit Unit	Centers' Procedure's Manual; Legal Documents, Guidelines and Memoranda  PPMP, Procurement Documents	Change in schedule due to last minute issuance and announcement of memorandum/meeting/deadlines	Unavailability of process owner despite set schedule	Delay in audit schedule and targets	Internal	Operational Risk	3	1 (Operational Risk)	3	Low	Early notice of the audit schedule	Rescheduling of audit with the process owner	Assignment of representative to attend equally important engagements		Internal Audit Unit	For the Internal Quality Audit of processes	Close

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	S01. Ensure access of farmers to quality seeds	Office of the Center Chief	Approved WFP, Strategic Performance Management System (SPMS), Human Resource (HR) Plan, Center's Research, Development and Extension Agenda	Limited budget allotted on utility expenses based on the downloaded National Expenditure Program (NEP) despite the submitted proposal for specific codes	Low budget allotment for utilities (electricity, water, telephone, internet)	Service disconnection	Internal	Financial Risk	4	4 (Operational Risk)	16	High	Budget for utility payment is being sourced out from other projects or fund source	Work from home setup for office staff;	Higher allotment for utility expenses for the succeeding years	20 working days upon the RORAP approval	Top Management, Planning Unit and Accounting, Budget and Cashier Unit	Open	
In-LBN CRD PSC-018	S01. Ensure access of farmers to quality seeds	Office of the Center Chief	Approved WFP, Strategic Performance Management System (SPMS), Human Resource (HR) Plan, Center's Research, Development and Extension	Limited budget allotted on utility expenses based on the downloaded National Expenditure Program (NEP) despite the submitted proposal for	Low budget allotment for utilities (electricity, water, telephone, internet)	Service disconnection	Internal	Financial Risk	4	4 (Operational Risk)	16	High	Budget for utility payment is being sourced out from other projects or fund source	Work from home setup for office staff;	Higher allotment for utility expenses for the succeeding years	20 working days upon the RORAP approval	Top Management, Planning Unit and Accounting, Budget and Cashier Unit	Subject to budget approval	Open

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			n Agenda	specific codes															
In-LBN CRD PSC-019	SO6. Upgrade infrastructure and support facilities	Engineering Unit	Approved PPMP	Delay in the conduct of post- qualifica- tion activities	Delayed impleme- ntation of engineer- ing activities	Delayed completi- on of engineer- ing projects	External	Financial Risk	4	3 (Financi- al Risk)	12	High	Constant follow- up of procurement document in the Central Office	Preparation of catch-up plan	Not Applicable	20 working days upon the RORAP approval	Engineer- ing Unit	Delay due to travel restrictio- ns implemen- ted due to COVID- 19 pandemic	Open
In-LBN CRD PSC-020	SO1. Ensure access of farmers to quality seeds	Planning Unit	MAR, Approve d WFP, OPCR, SPCR, PMES PIR Presenta- tions, Narrative Reports, Approve d Research Proposals, Internal Perform- ance, Monitori- ng Report	Wrong estimati- on of potential accompli- shment (Benefici- aries and Quantity of Seeds/Pl- anting material s/other material s)	Under targeting of accompli- shment	Attaining too high percent accompli- shment	Internal	Operational Risk	3	5 (Operati- onal Risk)	15	High	Continuous coordination with Project leaders for proper targeting	Provide justification	Conduct of strategic planning workshop ahead of WFP preparation for the following year	20 working days upon the approval of RORAP	Planning Unit, Account- ing, Budget and Cashier Unit, Producti- on Section, Resear- ch Section	Consider the last five year actual accompli- shment	Open
In-LBN CRD PSC-021	SO9. Ensure efficient financial managem- ent	Accounting , Budget and Cashier Unit	Approve d WFP (Financi- al Targets) Accompli- shment reports	Limited manpow- er in canvassi- ng goods and services	Incompl- ete submissi- on of necessar- y documen- ts	Delayed delivery of goods and services	Internal	Financial Risk	3	3 (Financi- al Risk)	9	Mediu- m	Constant follow up	Provide justification and catch up plan	a.) Hire additional canvasser  b.) Tap other staff to assist the canvasser	10 working days upon the RORAP approval	All Project Leaders, Procure- ment Managem- ent Unit	Budget constraint ; Not included in the FY2021 budget;	Open

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			for salaries, wages, and infrastructures  Complete procurement documents and its attachments for supplies and other services  Approved research proposals, signed memorandum of agreement and notice to proceed of newly approved projects																
In-LBN CRD PSC-021	SO9. Ensure efficient financial management	Accounting, Budget and Cashier Unit	Accomplishment reports for salaries, wages, and infrastructures	Delayed submission of liquidation report resulting to	Complaints from contractual employees	Frequent delays in pay-off of salaries and wages	Internal	Financial/Operational Risk	2	4 (Reputational Risk)	8	Medium	a.) Dialogues and regular meetings with all concerned staff per section/ per banner program  b.) Formation of	Conduct regular meetings/dialogues with the concerned personnel	a) Efficient implementation of process owners on the existing procedures manual to	10 working days upon the RORAP approval	Top Management, Personnel Unit, Accounting Budget	Subject to budget approval	Open

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			ctures DTRs with attachments Complete procurement documents and its attachments for supplies and other services	delayed budget release										grievance committee to handle such cases		address delayed submission b.) Frequent follow-up of budget releases from funding sources and channels c.) Strict adherence to process flow concerning to salary releases		and Cashier Unit		
In-LBN CRD PSC-022	SO9. Ensure efficient financial management	Procurement Management Unit	PPMP Complete Mandatory Procurement Requirements/Supporting Documents	Absence of signatories onsite due to official travel/work from home schedule	Delayed processing of procurement documents	Delayed procurement of goods and services	Internal	Operational Risk	5	3 (Operational Risk)	15	High	Delivery of documents to and from the respective homes of signatories	Preparation of justification for the utilization of unexpended balance	Early preparation and processing of procurement documents	20 working days upon the RORAP approval	Procurement Management Unit	Not Applicable	Open	
In-LBN CRD PSC-023	SO7. Enhance human resource capability	Personnel unit	Statement of Assets, liabilities and Net Worth (SALN) Daily Time	Information verification and incomplete attachments	Late submission and re-submission of accomplished forms	Not meeting the deadline set by the Central Office	Internal	Operational Risk	5	2 (Operational Risk)	10	Medium	Constant reminder of set deadlines and completeness of submissions	Preparation of communication for delayed submission	Provide assistance to personnel with attachment preparation	10 working days upon the approval of RORAP	Personnel Unit	Not Applicable	Open	

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			Records with attachments(DTR) Personal Data Sheet (PDS)/Credentials of Center's staff IPCR Training Monitoring Report Leave Application Magna carta requirements																
In-LBN CRD PSC-024	SO6. Upgrade infrastructure and support facilities	General Support Services Unit	Travel Order and Trip Ticket Fuel/Gasoline Job Order Request Slip	Limited number of transport vehicle	Cannot serve all request for service vehicles	Cannot meet the target for outside activities and project	Internal	Operational Risk	5	3 (Operational Risk)	15	High	a.) Renting of service vehicle; b.) Repair of serviceable vehicle; c.) Carpooling	Rescheduling of trip	Renting of service vehicle and continuous proposal for acquisition of new vehicle	20 working days upon the approval of RORAP	Top Management, General Support Services Unit	Not Applicable	Open

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			Manpower Maintenance plan of facilities, service vehicle, equipment and machines																
In-LBN CRD PSC-025	SO6. Upgrade infrastructure and support facilities	General Support Services Unit	Manpower	Limited manpower solely for maintenance activities	Unkept landscape and cleanliness of the surroundings	a.) Concern on worker safety i.e. snake and other pest occurrence in the field b.) Poor representation of the Center to visitors and clientele s;	Internal	Health and safety risk	2	1 (Health and safety risk)	2	Low	Conduct of group labors to clean the areas	Availability of first aid kit	Job orders for the regular maintenance of the surroundings	5 working days upon the RORAP approval	General Support Services Unit	Subject to availability of funds	Open
In-LBN CRD PSC-026	SO1. Ensure access of farmers to quality seeds	Internal Audit Unit	Centers' Procedure's Manual; Legal Documents,	Change in schedule due to last minute issuance	Unavailability of process owner despite set schedule	Delay in audit schedule and targets	Internal	Operational Risk	3	1 (Operational Risk)	3	Low	Early notice of the audit schedule	Rescheduling of audit with the process owner	Assignment of representative to attend equally important engagement	5 working days upon the approval of RORAP	Internal Audit Unit	For the Internal Quality Audit of processes	Open

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			Guidelines and Memoranda PPMP, Procurement Documents	and announcement of memorandum/meeting/deadlines															
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**D. Opportunity Registry (External Relevant Interested Party)**

Agricultural Engineering Division																				
Risk Identification and Assessment										Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														
O-Ex-AED-001	S07: Develop Agricultural Engineering Database	Farmers, students, researchers, and agricultural extension workers	Technical Assistance	Too many physical documents. Human Error.	Unable to find client specific documents.	Delay in catering technical assistance.	External	Macro Environment	4	2(Operational risk)	Proposed provision of computerized local database system for engineering projects for organized sorting	4	4	16	High	1. Conduct of meetings within AED to discuss frequently asked inquiries of the clients. 2. Initial Development of a local digital database in	Agricultural Engineering Division	March 30, 2022	N/A	Close

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O-Ex-AED-002	S010. Increase external fund resources	Funding Agency (BAR, PCAARD, etc.)	Capsule proposal, detailed proposal, logical framework, work plan schedule, budget summary	Incomplete documentary requirements	Denial of proposed research project	Non-approval / Non-release of fund resulting in delay or non-implementation of the project	External	Macro Environment	medium	Regular follow-up on the status of the processing of the proposal	Strengthened support on the AED's Mandate on Research and Development.	3	5	15	High	relation to the frequently asked inquiries of the clients. 1. Conduct of regular meetings within AED to discuss project-proposal related concerns. 2. Coordination with the CRPSD and other concerned individuals for the preparation of documentary requirements	Agricultural Engineering Division	March 30, 2023	Subject to availability of funds	Close
<b>Biotechnology Office</b>																				
<b>Risk Identification and Assessment</b>											<b>Opportunity Assessment</b>					<b>Opportunity Treatment</b>	<b>Opportunity Monitoring and Evaluation</b>			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														

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O-Ex-BIO-001	DSO2. Ensure compliance to food safety requirements of agricultural crops	Technology developers (Private Sector and Public Research Institutions), DENR-Biosafety Committee, DOH-Biosafety Committee, DA-BAI Biotech Team, DA-Fertilizer and Pesticide Authority	Biosafety Permit for Direct Use, Field Trial, and Commercial Propagation	Non-existence of sanctions for delayed submissions in the JDC No. 1 s2016.	Delay in the approval of biosafety permit	Delay in the delivery of service	External	Macro Environment	High	Weekly follow-up to concerned experts	Creation of an online risk assessment portal	4	3	12	High	1. Find assessors that are qualified and fast in terms of doing risk assessment with needed expertise 2. Review JDC timelines if extension is possible 3. Assign personnel to monitor risk assessment portal submissions and updates 4. Consultation with the DA-Legal Service regarding provisions on the ARTA and EODB Law.	Biotechnology Office	5 working days from the RORAP approval	Sourcing of assessors may be done for the whole year, review of JDC may be until June 2021	Close
O-Ex-BIO-002	DSO1. Ensure access of farmers to quality seeds	Technology developers (Private Sector and Public Research Institutions), DA-Regional Offices Regulatory Division	Biosafety Permit for Direct Use, Field Trial, and Commercial Propagation, Provide IRM	Complacency of assigned external staff leading to missing forms	Delay in the submission of IRM (post-approval) monitoring forms	Delay in the delivery of service	External	Macro Environment	Low	Continuous follow-up to RFO/NP QSD personnel	Virtual post-approval monitoring of GM crops (c/o PAMG and/or RCPC) on the sentinel sites resulting to a more accurate and timely	4	5	20	High	1. Conduct of virtual post-approval monitoring of GM crops using online platforms created by technology developers. 2. Consolidation of post-approval	Biotechnology Office	5 working days from the RORAP approval	Virtual monitoring will commence at certain timelines every season per application and per technology	Close

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		(formerly RCPC)	updates and information on IRM monitoring							consolidation of monitoring data.							monitoring forms/data analysis submitted by technology developers on a timely manner.			developer	
O-Ex-BIO-003	DSO1. Ensure access of farmers to quality seeds	Technology developers (Private Sector and Public Research Institutions), DA-Regional Offices Regulatory Division (formerly RCPC)	Biosafety Permit for Direct Use, Field Trial, and Commercial Propagation, Provide IRM updates and information on IRM monitoring	Occurrence of accidents outside workplace (ex. during monitoring activities)	Delay in the post-approval monitoring and Field Trial monitoring	Delay in the delivery of service	Internal	Macro Environment	Low	Educate monitors to practice safety guidelines during monitoring.	Virtual post-approval monitoring of GM crops (c/o PAMG and/or RCPC) on the sentinel sites to minimize health and safety concerns.	4	5	20	High	1. Conduct of virtual post-approval monitoring of GM crops using online platforms created by technology developers. 2. Consolidation of post-approval monitoring forms/data analysis submitted by technology developers on a timely manner.	Biotechnology Office	5 working days from the RORAP approval	Virtual monitoring will commence at certain timelines every season per application and per technology developer	Close	
O-Ex-BIO-004	DSO9, DSO10	Funding Agencies (oversight agencies)	Project Proposal and Its Attachments	Needs ample time to consult with the Biotech Office group.	Delay in the submission of project-proposal revisions	Delay in the approval of project as a source of financial support to Biotech Office.	External	Financial Risk	Medium	Conduct of emergency meetings to discuss project-proposal related concerns.	More accurate review of project-proposals resulting to high-quality proposals.	2	3	6	Medium	Conduct of regular meetings within the Biotech Office to discuss project-proposal related concerns.	Biotechnology Office	15 working days from the RORAP approval	Not applicable	Close	

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O-Ex-BIO-005	DS09, DS010	DA-Biotechnology Program Office and DA-Bureau of Agricultural Research (oversight agencies)	Accomplishment reports	Delay in the consolidation of inputs for the accomplishment reports.	Delay in the submission of accomplishment reports.	Halt in the funding of project proposals or realignments.	External	Financial Risk	Medium	Preparation of accomplishment reports before the scheduled deadline.	Regular noting and updating of inputs for accomplishment reports.	3	5	15	High	Coordination with the Biotech Secretariat and other concerned individuals for the preparation of accomplishment reports. This will result to a more timely and accurate output.	Biotechnology Office	5 working days from the RORAP approval	Accomplishment reports are required as needed by the oversight agencies.	Close
O-Ex-BIO-006	DS07, DS08	DOST-Biosafety Committee	Representation of DA-BPI in the DOST-BC	Other commitments of the BPI representative/s are in place during the DOST-BC meeting dates.	Non-attendance of the BPI representative/s to the DOST-BC meetings	Urgent issues and concerns cannot be resolved immediately. Difficulty in cascading information discussed on the meetings.	External	Operational Risk	Medium	Designation of alternate representative for the DOST-BC meetings.	Close coordination of DOST-BC secretariat and BPI-representatives to the Biotech Office staff for updating of recent developments.	5	2	10	Medium	Conduct of regular meetings within the Biotech Core Team and Biotech Secretariat to discuss recent developments.	Biotechnology Office	15 working days from the RORAP approval	Some of the DOST-BC meetings are postponed/canceled	Close
O-Ex-BIO-007	DS04, DS08	International Organizations, Government and Non-	Requested data on GM crop adoption and other relevant	Delay in the submission of GM crop adoption data	Delay in the preparation and website posting of GM	Untimely cascading of information to the concerned	External	Operational Risk	Low	Continuous monitoring and follow-up of GM crop	Close coordination with international organizations,	2	2	4	Low	Conduct of regular Biotech Office meetings to discuss requests or	Biotechnology Office	25 working days from RORAP approval	Information materials, including GM crop adoption data is	Close

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		Government organizations, Local Government Units, and other stakeholders	Information for public disclosure	from technology developers/RCPCs and other relevant information for public disclosure.	crop adoption data and other public information.	d RIPs. Delay in providing requested information.				adoption data from technology developers and RCPCs.	government and non-government organizations, LGUs, and other stakeholders to facilitate their requests.					information particularly GM crop adoption data.			regularly posted on the website.
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**Cashier Section**

Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														
O-IE-CAS-001	Processes and releases payments, claims & remittance of employees & creditors	Stakeholders - Internal and External	Release of checks / payments	Incomplete information (ex. signature, account number, etc.)	Delayed payment to supplier and other stakeholders.	Receipt of complaints from supplier; Delay in service delivery	External/Internal	Macro environment/Operational	Medium	Consistent follow-up	Hasten the disbursement process	3	5 (Operational)	15	High	1. Hiring of additional personnel to develop the system, facilitate, encode, and conduct data validation. 2. Procurement of additional ICT equipment's related to the development	Cashier Section	20 working days upon approval of RORAP	Not applicable	Close

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**Crop Research and Production Support Division**

**Risk Identification and Assessment**

**Opportunity Assessment**

**Opportunity Treatment**

**Opportunity Monitoring and Evaluation**

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				Cause	Issue	Effect														
O-EX-CRP-SD-001	DSO3. Enhance promotion of opportunities in agriculture	Department of Agriculture and other government agencies	Provision of technical assistance thru conduct of training, crop production technologies and planting materials	Misinformation during trainings /client consultation	Unsatisfied beneficiaries	Distrust and low satisfaction rating from beneficiaries. Receipt of complaints	Internal	Organizational well-being	Low	Tap existing technical personnel within the division	Increase employee work efficiency through the conduct of capacity building	3	3 (Reputational)	9	Medium	Conduct of capacity building on training management	CRPSD	10 working days upon RORAP approval	Not applicable	Open
O-EX-CRP-SD-002	DSO1. Ensure access of farmers to quality seeds	Farmers, Students, Researchers, Agricultural extension workers, household, Local	Provision of quality planting materials	Uncontrolled circumstances leading to unsuitable storage	Low germination of seeds and low quality planting materials	Distrust and, low satisfaction rating from beneficiaries	External	Macro Environment	Medium	Perform pest management practices and identification of problem and	Purchase barcoding equipment and program for accurate inventory and traceability of seed	3	3 (Reputational)	9	Medium	Propose budget for purchase of barcoding equipment. Capacity building on quality control management	CRPSD	10 working days upon RORAP approval	Purchase of barcoding equipment for proposal to any possible fund sources	Open

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		Government Units, politicians, DA and other government agencies, Indigenous People		environment						replacement of product	stocks. Assign quality control officer						for planting materials distribution			
O-Ex-CRP-SD-003	DSO3. Enhance promotion of opportunities in agriculture	Farmers, Students, Researchers. Agricultural extension workers, household, Local Government Units, politicians, DA and other government agencies, Indigenous People	Provision of technical assistance thru conduct of training, crop production technologies and planting materials	Continuing resources for extension services to disseminate developed technologies	Insufficient dissemination of developed technologies	Low adoption rate	Internal	Operational Risk	Low	Provision of hardcopies of developed technologies to walk-in customers and Promotion thru caravans	Hiring of additional staff specifically for promotional activities and infographic materials	1	1 (Operational Risk)	1	Low	Budget proposal for hiring graphic artist and devcom.	CRPSD	5 working days upon the RORAP approval	Hiring of graphic artist and devcom staff for proposal to any possible fund sources (Labor and wages basis)	Open
O-Ex-CRP-SD-004	DSO1. Ensure access of farmers to quality seeds	Farmers, Students, Researchers. Agricultural extension workers, household, Local Government Units, politicians,	Provision of quality planting materials	Heavy rain and strong winds due to typhoon	Destroyed planting materials in nursery	Less planting materials for distribution	External	Macro Environment	Medium	Pruning of surrounding trees to reduce debris and use of protective covering	Upgrading and maintenance of nursery facilities e.g Greenhouse and Net house.	2	4 (Operational)	8	Medium	Budget proposal/re-alignment/fund sourcing for the upgrading and maintenance of nursery facilities e.g. Greenhouse and Net house.	CRPSD	10 working days upon the RORAP approval	Upgrading and maintenance of nursery facilities for proposal to any possible fund sources	Close

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		DA and other government agencies, Indigenous People								g for nursery											
O-Ex-CRP-SD-005	DSO3. Enhance promotion of opportunities in agriculture	Farmers, Students, Researchers. Agricultural extension workers, household, Local Government Units, politicians, DA and other government agencies, Indigenous People	Provision of technical assistance thru conduct of training, crop production technologies and quality materials	Conduct of onsite activities such as training, site establishment and monitoring outside of office premises	Injured personnel due to travel accident	Disruption of work schedule and delay in delivery of services	External	Macro Environment	low	First aid treatment	Knowledgeable/skilled Alternate personnel for the activity	1	1	1	low	Training of employees on first aid, fire and occupational safety	CRPSD	5 working days upon RORAP approval		Open	

**National Plant Quarantine Services Division**

Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														

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O-Ex-NPQSD-001	DSO1. Ensure compliance to phytosanitary requirements of agricultural crops	Exporters	Issuance of Phytosanitary Certificate	Manual issuance of Phytosanitary Certificate	Delayed issuance of Phytosanitary Certificate	Complaints that may arise due to delay in the delivery of service	External	Macro Environment	High	Reference documents and other necessary documents such as Phytosanitary requirements of importing countries, list of NPPO of different countries, list of scientific names of commodity are readily available to all technical staff handling Phytosanitary Certificate (PC) issuance.	Paperless transactions for fast and efficient clientele service	3	5	15	High	Additional PQ personnel to accommodate on cue clients for the preparation of PC's  Avail a 3rd party service provider (Intercommerce);  Development of DA- wide system for e-phyto  Consult with BPI IT's to develop a more efficient and harmonized system for the processing, issuance and reporting of PC.	NPQSD	20 working days upon the RORAP approval	Not applicable	Open
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National Seed Industry Council - Plant Variety Protection Office																				
Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
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				Cause	Issue	Effect														
O-Ex-NSIC - PVP O-001	DSO1. Ensure access of farmers to quality seeds	Individual Breeder and Breeding Institutions (CVR applicants)	Certificate of Variety Registration; Guidelines/Polices; Database of NSIC	Noncompliance of the applicant to the requirements	Pending applications	Delay in the delivery of service	External	Macro environment	Low	List of requirements as per ARTA	Online transactions for ease of doing business	5	3 (operational)	15	High	Develop online scheme for the ff: - payment of fees - submission of the required documents	Council - PVPO Secretariat	20 working days upon the RORAP approval	Online payment of fees and other related charges will be implemented once the	Open

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Planning and Management Office																				
Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
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				Cause	Issue	Effect														
O-Ex-PMO-001	S09. Ensure Efficient Financial Management	DA-Monitoring and Evaluation Division	Program Monitoring and Evaluation System (PMES) Report (Monthly)	Submission with no justification and error in the reported accomplishment and Reports with incomplete data and variances in the accomplishments reported on the monthly	Unavailability of information relative to under accomplishments	Delay in the submission of justifications to management and other external stakeholders	Internal	Operational	Medium	Improvement in the locked report matrix and constant follow-up to report officers and review of submitted PMES report. If there were errors/inconsist	Create the Online System for BPI-Monitoring and Evaluation System (BPI-MES). Through this, the Top Management and external stakeholders will see the real time accomplishments and will encourage	5	2 (Service Delivery)	10	Medium	Propose budget and personnel complement for the creation of online BPI-MES	PMO	10 working days from the RORAP approval	Not Applicable	Close

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				report matrix						encies found, PMO calls the attention of the concerned OUs and recommends to fix/edit the report.	the OUs to fully scrutinize their reports before submission.											
O-EX-PMO-002	S09. Ensure Efficient Financial Management	DA-Monitoring and Evaluation Division	Program Monitoring and Evaluation System (PMES) Report (Monthly)	No regular actual on-site monitoring to validate the accomplishments	Uncertainty on the validity of the accomplishment due to absence of a monitoring framework	Physical Accomplishments lack verification and a standardized quality	Internal	Operational	Medium	Accomplishment Reports submitted are verified vis-à-vis approved WFPs and conduct monitoring as the need arises	Capacity building of PMO staff	5	2 (Service Delivery)	10	Medium	Establish a monitoring framework	PMO	10 working days upon the RORAP approval	The plan to establish the monitoring framework is by 3RD quarter to give way to the crafting and testing of the BPI-MES.	Open		

**Plant Product Safety Services Division**

Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan)	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
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O-Ex-PPSS D-001	DSO1. Ensure access of farmers to quality seeds	Food Business Operators, Government Agencies, Private Companies, and individuals; PhilGAP Unit	Laboratory Analyses (Pesticide Residue / Microbiological Analysis / Biotoxins / Heavy Metal Analysis / Pesticide Formulation)	Delay in conduct of analysis	Unexpected power failure	Unable to conduct analysis; Loss of data	Internal	Operational Risk	Low	Use of Uninterrupted Power Supply System (UPS) and Regular Back up of Data	Request for Additional UPS	3	1	3	Low	Request for budget allocation	PPSSD Management/PALS/CLS/Budget Section	-	Request of Budget Allocation	Open
O-Ex-PPSS D-002	DSO1. Ensure compliance to food safety requirements of agricultural crops	Farmers, Food Business Operators	PhilGAP Certificate, Inspection for Food Safety compliance	Delay in the conduct of inspection	Lack of available trained personnel to conduct inspection	Delay in the delivery of service	Internal	Operational Risk	High	Continuous training of inspectors	Training plan preparation	4	3	12	High	Training plan preparation	PPSSD Management/PALS/CLS/AIS	-	continuing activity	Close

**Procurement Management Section**

Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
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O-Ex-PMS-001	DSO3. Strengthen administrative support services	Suppliers/Bidders	Obtain canvass forms/request for quotation, bidding documents	System error in PhilGEPS making the document unavailable for download	Failure to view the documents and the requirements	Delay in the delivery of services	External	Operational Risk	High	Sending e-mail or hard copy to suppliers/bidders who are requesting the document	Posting of bid documents in the official website of BPI for further advertisement to prospective suppliers/bidders	5	3	12	High	Posting of all bid documents in the official BPI website and on conspicuous places in the office	Procurement Management Section	30 working days upon the RORAP approval	Not applicable	Open
O-Ex-PMS-002	DSO3. Strengthen administrative support services	Government Procurement Policy Board and Department of Agriculture	Submission of Annual Procurement Plan	Late submission of approved PPMPs	Delay in consolidation of PPMPs into APP which will also cause delay in submission of APP	Delay in the delivery of services	Internal	Operational Risk	Medium	Issuance of Memo for submission of approved PPMPs on within the given deadline	Coordination with Procurement Focal Persons for compliance with the Memo	2	4	8	Medium	Continuous coordination with Procurement Focal Persons for compliance	Procurement Management Section	June 30, 2021	Not applicable	Open

**Baguio National Crop Research Development and Production Support Center / Los Baños National Crop Research Development and Production Support Center**

Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan	Relevant Interested Parties (RIPs) - External	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														

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	2017-2022)																			
O-EX-CENTER-001	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Seeds, Seedlings and Other Planting Materials (OPV Seeds)	Outdated seed storage practices	Low quality seeds	Decrease in patronage of BPI products	Internal	Operational	Medium	Individual approach in seed quality maintenance	Formation of Internal Quality Assurance Team resulting to better management of seeds in the storage	1	5 (Operational Risk)	5	Medium	Training of personnel in the Internal Quality Assurance post-storage assessment of seeds; Scheduling of Internal Audit in the Center's Activity for Internal Quality Assurance of seed produce	Technical Staff	10 working days upon the RORAP approval	Subject to availability of fund	Open
O-EX-CENTER-002	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional and Local Government Units, Farmers/Students and other stakeholders (public and private)	Seeds, Seedlings and Other Planting Materials (OPV Seeds)	No existing Molecular and Biotechnology Laboratory for disease indexing	Planting materials are virus infected	Spread of plant diseases	Internal	Operational	Medium	Harvesting from healthy plants and seed selection	a) Revision of Master Development Plan resulting to establishment of additional facilities b) Package research proposals related to molecular studies (biotechnology)	5	3 (Operational Risk)	15	High	Institutional Development Grant Proposal	Top Management, Research Section	December 2022	Not applicable	Open
O-EX-CENTER-003	SO1. Ensure access of farmers to quality seeds	State Universities and Colleges (SUCs), National, Regional	Seeds, Seedlings and Other Planting Material	Sub-standard packaging material and incomplete	Seeds easily deteriorates and difficulty in tracing	Decrease in patronage of BPI products	Internal	Operational	Medium	Use of readily available packaging material	Use of standard seed packaging and labeling materials	5	3 (Operational Risk)	15	High	Proposal and acquisition of new seed packaging materials other than the existing	Production Section	January 2023	Not applicable	Open

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		and Local Government Units, Farmers/Students and other stakeholders (public and private)	s (OPV Seeds)	te seed packaging label	bad seeds					s (sealed plastics) and minor labeling						polypropylene plastic packets; Layout of new seed-packaging label design with complete production information				
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**E. Opportunity Registry (Internal Relevant Interested Party)**

Agricultural Engineering Division																				
Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														
O-In-AED-001	SO6. Upgrade infrastructure and support facilities	Permanent Employees & Contract of Service / Job Orders	Training Opportunity, Filing up of vacant positions, Hiring of COS / Job Order	The tasks of AED are demanding beyond the current staff's specializations.	Not all staffs can cater as fast to technical assistance.	Delay in issuance in detailed plans / output. Less focus on the AED Mandate. Mostly directed	Internal	Operational Risk	High	Prioritization of request design and estimates based on the client's target time. / Screening	Strengthening of AED as a division, therefore, technical assistance will be delivered within the timeframe and there is	4	4	16	High	1. Request provision of available trainings, short courses, or seminars for Agricultural Engineering staff. 3. Hiring of COS on	Agricultural Engineering Division, Personnel Section, Promotion and selection board, appointment	March 30, 2021	Subject to availability of funds and training opportunity schedule	Close

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						to technical assistance.				ng of request within AED capacity / capability	more time for focus on AED's mandate in R&D					special projects for augmentation. 4. Expedite the hiring process of vacant plantilla positions.	g authority			
O-In-AED-002	SO6. Upgrade infrastructure and support facilities	All Operating Units	Design plans, technical specifications, scope of work, quantity and budget estimates	Insufficient coordination with clients (other divisions / centers)	Short notice from clients for construction/repair and improvements of infrastructure projects with limited time to prepare the documents.	Delay in work plan schedule	Internal	Operational Risk	medium	Prioritization of request design and estimates based on the client's target time / Screening of request within AED capacity / capability	Strengthened coordination between AED and its clients / other operating units	4	4	16	High	Establishment of new guidelines regarding project planning wherein the clients and regional offices need AED's technical assistance.	Agricultural Engineering Division	March 30, 2022	Developing protocols to define priorities	Close
O-In-AED-003	SO6. Upgrade infrastructure and support facilities	All Operating Units	Design plans, technical specifications, scope of work, quantity and budget estimates	Limited budget of some of the infrastructure projects	Agricultural engineering is not involved in infrastructure project planning of other divisions	Project will not fully serve its targeted purpose.	Internal	Financial Risk	medium	Prepare design and estimate based on the client's given budget ceiling. / limit scope of work	Project will fully serve its target purpose since financial constraints will be addressed.	4	4	16	High	Establishment of new guidelines regarding project planning wherein the clients and regional offices need AED's technical assistance.	Agricultural Engineering Division	March 30, 2022	Developing protocols to define priorities	Close

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Assistant Director's Office for Regulatory																				
Risk Identification and Assessment											Opportunity Assessment				Opportunity Treatment	Opportunity Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														
O-In-ADO R-001	S07.Enhance human resource capability  DSO4. Enhance human resource capability	All Operating Units	Timely processing of incoming and outgoing documents, approval of memoranda, technical document, administrative documents, policies, Purchase requests, travel orders	Lack of manpower and technical knowledge on transaction processes of newly hired staff.	Difficulty in the supervision of the mandated regulatory services	Possible delay in the implementation of activities	Internal	Operational Risk	Medium	Conduct of training to familiarize in process flow for the newly hired staff.	Increased manpower and capacity to conduct office functions. Trainings conducted related to office functions and process.	5	4	20	Very High	Wait for the hired personnel and participation in trainings.	ADO for Regulatory	20 working days from the RORAP approval	Budget for FY2021 has been already appropriated; Pending approval of the budget proposal for overhead agencies	Close

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O-In-ADO R-002	SO9. Ensure efficient financial management	Property and Supply Section	Inventor y of Property and Equipme nt	and handling of complain ts.	Unfuncti onal window locks in the Office of Assistant Director for Regulator y.	Possible theft and loss of property and equipme nt kept by ADO for regulator y.	Delay in the office work flow and incurrin g additional cost for replace ment of stolen property or equipme nt, or both.	Internal	Organizati onal well being	Low	Importa nt properti es and equipm ent are locked in cabinets when leaving the office. Doors are locked when leaving the premise s.	Training and assigning of a dedicated personnel to conduct and handle inventory of properties and equipment.	5	4	Very High	Coordinate with Property Section for guidance in official forms and process.	ADO for Regulator y & Property Section	20 working days from the RORAP approval	Not applicable	Close
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**Biotechnology Office**

Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Require ments (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existin g Control	Identified Opportuni ty	Likeli hood Rating (L)	Conse quenc e Rating (C)	Rating Matrix (LxC)	Opportu nity Level	Action Plan	Responsi ble Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														
O-In-	DS01, DS02, DS04	Director's Office	Draft biosafety permit	Delay in the preparat	Delay in the signing	Delay in the delivery	Internal	Operationa l Risk	Low	Constan t follow-up to	Strong coordinatio n with the	5	3	15	High	Preparation of briefer and	Biotechno logy Office	10 working days after	Not applicable	Close

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BIO-001			with brief for approval of genetically modified (GM) crop applications	ion of biosafety permits for signing of the Director.	and approval of the biosafety permits.	of service and operations				the Director's Office for the signing of BPI Director .	BPI Director to support Biotech Office functions and operations.					information materials for the BPI Director to improve Biotech Office functions and procedures.		RORAP approval.		
O-In-BIO-002	DSO1, DSO2, DSO4	National Plant Quarantine Services Division (NPQSD)	Review of SPSIC for GM commodities	Untimely review of SPSIC for GM commodities.	Delay in the importation of GM crops in the Philippines.	Delay in the delivery of service and operations	Internal	Operational Risk	Low	Coordination with the NPQSD for updates and concerns related to SPSIC review.	Expediting the process of GM crop SPSIC applications by involvement of Biotech staff as reviewers.	3	3	12	Medium	Formation of a technical-working groups on the review of SPSIC applications for GM commodities	Biotechnology Office	15 working days after RORAP approval.	Not applicable	Close
O-In-BIO-003	DSO1, DSO4	National Seed Industry Council (NSIC)	Information on GM events with biosafety permit for commercial propagation	Non-compliance of registrants to biosafety regulations/biosafety permit procedures.	Seed registration of GM crops with no valid biosafety permits, in compliance with NSIC guidelines.	Delay in the delivery of service and operations	External	Operational Risk	Low	Involvement of NSIC-Executive Secretary designate to the Biotech Core Team.	Improvement of seed registration and regulatory policies of GM crops.	4	3	12	Medium	Cascading recent developments on the Seed Industry Development Act of 1992 or RA 7308 which involves GM.	Biotechnology Office	15 working days after RORAP approval.	Not applicable	Close
O-In-BIO-004	DSO1, DSO2, DSO4	Plant Product Safety Services	Endorsed GM application for review	Delay in the submission of risk-	Delay in the issuance of biosafety	Delay in the delivery of service	Internal	Operational Risk	High	Constant follow-up on the RAR submission	Capacity building and strengthening existing	2	3	6	Medium	Attendance to local or international trainings and seminars, or	Biotechnology Office	15 working days after RORAP approval.	Not applicable	Close

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		Division (PPSSD)	of PPSSD-Food Safety Risk Assessment Team (FSRAT)	assessment reports.	permit for Direct Use as Food and Feed, or for Processing	and operations				ions of PPSSD-FSRAT.	knowledge of assessors of PPSSD-FSRAT.						conduct of meetings with the Biotech Secretariat.				
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**Budget Section**

Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														
O-In-BUS-001	SO no. 7. Ensure efficient financial management	Internal	Submission of required documents for realignment and for Approval	Unprogrammed activities	No funds availability	Delayed Execution of activities	Internal	Financial Risk	Medium	Coordinate with concerned operating units	Perform activities that will benefit our stakeholders	3	5	15	Medium	Re-align current work and financial plan	Operations units	before June 30 of every year	allows realignment at the middle of the year	Open

**Crop Pest Management Division**

Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														

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O-In-CPM D-001	DSO9. Increase external fund resources	Banner Programs	Capsule proposal ; Detailed proposal ; Work and Financial Plan; Gender and Development Assessment Plan; and Line item budget / summary of budget	Limited funds for R&D	Necessary R&D not conducted	No new technologies developed	Internal	Operational risk	Medium	Submit research proposals to funding agencies	Capacity building of existing technical staff	2	3 (Operational)	6	Medium	Training on utilization of procured equipment; and expansion of technical skills	CPMD	10 working days from the RORAP approval	Not applicable	Close
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**Crop Research and Production Support Division**

Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														

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O-In-CRP-SD-001	DSO6. Upgrade infrastructure and support facilities	Permanent Employees	Training Opportunity	Improper use of equipment/hazardous chemicals	Injured/exposed personnel	Workplace accident	Internal	Health and Safety	Medium	Safety precaution during handling of equipment and hazardous chemicals	Capacitate employees on safety measures (equipment, chemicals and 5S) and strengthen awareness on ISO safe workplace standards.	3	5 (Health and Safety)	15	High	Capacity building on safety measures (equipment, chemicals and 5S). Strengthen and strict enforcement of ISO safe workplace standards through refresh course. Establish workplace orientation for the newly hired	CRPSD; Personnel	20 working days based upon hiring of the support personnel		Open
O-In-CRP-SD-002	DSO6. Upgrade infrastructure and support facilities	Property and Supply Section	Inventory of Property and Equipment	Power interruption	Damaged equipment	Disruption of work schedule and delay in delivery of services	External	Macro Environment	High	Use of back-up power supply and equipment	Acquire back-up power supply generator and equipment (Office, Laboratory, Storage equipment)	3	4 (Operational)	12	High	Budget proposal/Fund Sourcing for procurement of back-up power supply generator and equipment (Office, Laboratory, Storage equipment)	CRPSD; GSS; Personnel	20 working days based upon hiring of the support personnel	Purchase of back-up power supply generator and equipment (Office, Laboratory, Storage equipment) for proposal to any possible fund sources	Close
O-In-CRP-SD-003	DSO3. Enhance promotion of opportunities	Funding Agencies	Submission of proposals on research,	Continuing resources for extension	Insufficient dissemination of development	Low adoption rate	Internal	Operational Risk	Low	Provision of hardcopies of development	Established enterprises on developed technologies	1	1 (Operational Risk)	1	Low	Budget proposal for the Establishment of	CRPSD	CY 2022	Establishment of enterprises on	Open

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ies in agriculture		Institutional and Development Grant	Services to disseminate developed technologies	Technologies					Technologies to walk-in customers and Promotion through caravans	Interested parties such as LGUs, NGOs, GOs, SUCs.					enterprises on developed technologies through interested parties such as LGUs, NGOs, GOs, SUCs			developed technologies through interested parties such as LGUs, NGOs, GOs, SUCs for proposal to any possible fund sources
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**Director's Office**

Risk Identification and Assessment										Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														
O-In-DO-001	S07. Enhance human resource capability	BPI Management	Timely processing of incoming and outgoing documents, approval of memoranda,	Slow processing of services in the Bureau (Internal Or external activities)	Development of Online system in processing	Easy access and processing through online system	External	Operational	Medium	Existing online systems (travel order, DocTrack System, online SPSIC application)	Advances in ICT	2	3	6	Medium	Continuous development and improvement of online systems used in Bureau	Information Section/ OUs	10 working days upon approval of RORAP	Not applicable	Open

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			technical documents, administrative documents, policies, Purchase requests, travel orders and handling of complaints.																	
O-In-DO-002	SO7. Enhance human resource capability	BPI Employees and Personnel Section	Approval of Internal/ External trainings, workshops, seminars, and Skill Enhancement activities	Better career opportunities outside the bureau	Brain drain (high demand of agri experts from other countries)	Loss of well-performing employees	External	Organizational Well Being/ Operational	High	Employees enrolled in Graduates studies on their own and/or through scholarships	Access to International and local trainings/ scholarship offers to Employees	4	3	12	High	Encouragement to pursue graduate studies for continuous knowledge and capability competence	Personnel Section/OUs	20 working days upon approval of RORAP	Not applicable	open
O-In-DO-003	SO3. Enhance promotion of opportunities in agriculture	BPI Management and Information Section	Approval of MOs and other Communication Letters relevant to the Bureau	Insufficient coordination across the organization	Limited information dissemination	Reduced public's awareness to the bureau's programs and services	Internal	Operational	Major	Use of Social Media platforms/ MOUs in relation to projects of the Bureau	Linkages in public Private Partnership LGU SUC and other government agencies	5	4	20	Extreme	Continuous communication with stakeholders in relation to programs of the Bureau	Top Management/OU	30 working days upon approval of RORAP	Not applicable	open

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O-In-DO-004	S07. Enhance human resource capability	BPI Employees	Approval of Internal/ External trainings, workshops, seminars, and Skill Enhancement activities	Better career opportunities outside the bureau	Brain drain (high demand of agri experts from other countries)	Loss of well-performing employees	External	Organizational Well Being	High	Encourage employees to apply for plantilla positions	Existence of more favorable professional opportunities local and international	4	3	12	High	Initiate work-life balance for all employees (Contractual or regular)	Top Management/Personnel Section/OU	20 working days upon approval of RORAP	Not applicable	open
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**General Services Section**

**Risk Identification and Assessment**

**Opportunity Assessment**

**Opportunity Treatment**

**Opportunity Monitoring and Evaluation**

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				Cause	Issue	Effect														
O-In-GSS-001	DSO3. Strengthen administrative support services	BPI Division's and other Operating Units	Preventive Maintenance System on Buildings/Facilities	Irregular conduct of preventive maintenance due to limited manpower	Buildings are prone to fire and other hazards.	Delay in delivery of services/ Injury to personnel & damage to property	Internal	Operational risk/Health and Safety risk	Medium	Immediate action for maintenance upon request	Additional Manpower	3	4	12	Medium	Request for Budget allotment	General Services Section, Budget Section & Personnel Section	April 31, 2021	Project Procurement Management Plan was recently approved; Purchase request for processing	Open

**Internal Audit Unit**

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				Cause	Issue	Effect														
O-In-IAU-001	DSO3. Strengthen administrative support services	All Operating Units	Applicable documents	Voluminous number of documents to be processed.	Recording and forwarding of documents to the respective section according to its document classification (Purchase request, Voucher and IAR) is done by only one staff	Delay of Document processing within the day	Internal	Operational Risk	High	One at a time basis for recording and processing of documents based from the document's classification before forwarding to the concerned section/unit done by only one staff	Electronic verification of submitted documents; Additional hiring of staff	4	3 (Operational)	12	High	Request for budget allotment/ allocation for additional hiring of staff with consent of the personnel section .	Internal Audit Unit/ Personnel Section/ Budget Section	2022	Request of Budget Allocation	Open
<b>Information and Computer Section</b>																				
Risk Identification and Assessment											Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation			

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**Bureau of Plant Industry**  
**Quality Management System**  
**RISK AND OPPORTUNITY REGISTRY AND ACTION PLAN**

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ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														
O-In-ICS-001	ICT development	All Operating Units	Applicable ICT supply/equipment	Outdated and insufficient number of ICT equipment	Slow PC Performance / Unstable network Connectivity	Delay in the delivery of service	Internal	Operational Risk	Medium	Perform System remediation and troubleshooting	Procurement and deployment of ICT equipment and infrastructure	3	3 (Service Delivery)	9	Medium	Procure and deploy ICT equipment and infrastructure	Information and Computer Section	December 2021	Subject to availability of funds	Close
O-In-ICS-002	Systems Development	All Operating Units	Applicable ICT supply/equipment	Most of the processes are still done manually	Most of the processes are still done manually	Delay in the delivery of service	Internal	Operational Risk	Medium	Forms are downloadable and accept submissions through e-mails	Hiring of IT Personnel to develop systems/automate BPI's key processes	3	3 (Service Delivery)	9	Medium	Hire IT Personnel for ICS and other Offices or Divisions	Information and Computer Section/ OUs or Divisions	December 2021	Subject to availability of funds	Open
O-In-ICS-003	ICT development	All Operating Units	Applicable ICT supply/equipment	Poor internet connectivity	Downtime to online service applications	Delay in the delivery of services	Internal and External	Operational Risk	Medium	Connect to available internet connection from other offices, or use mobile data or pocket wifi	Dedicated internet connection to minimize downtime	3	3 (Service Delivery)	9	Medium	Subscribe to fiber-optic internet with fixed and higher bandwidth	Information and Computer Section	December 2021	Subject to availability of funds	Open

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**National Seed Quality Control Services**

Risk Identification and Assessment										Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														
O-In-NSQ-CS-001	DSO1. Ensure access of farmers to quality seeds	Budget Section	WFP (Financial Targets)	Changes in requirements from the time of budget proposal to the time of WFP preparation	Approved budget is not compatible with the requirements	Incompatible Financial Targets (BED 1) with the current situation	Internal	Operational Risk	Medium	Work within the existing or approved budget	Propose additional budget on top of the approved (Tier 1) budget	3	2	6	Medium	Submit Tier 2 proposal to different fund sources for additional budget	NSQCS Management	Every Corporate planning workshop	Not applicable	Open

**Records Section**

Risk Identification and Assessment										Opportunity Assessment					Opportunity Treatment	Opportunity Monitoring and Evaluation				
ID No.	Quality Objective (Division Strategic Objective (DSO) in BPI Strategic Plan 2017-2022)	Relevant Interested Parties (RIPs) - Internal	Requirements (Needs and Expectations)	Risk Scenario			Risk Source (External/Internal)	Risk Category	Risk Level	Existing Control	Identified Opportunity	Likelihood Rating (L)	Consequence Rating (C)	Rating Matrix (LxC)	Opportunity Level	Action Plan	Responsible Person / Unit / Office	Timeline	Remarks	Status (Open/Close)
				Cause	Issue	Effect														

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O-In-RES-001	DSO3. Strengthen administrative support services	All Operating Units	Copies of issuances such as directives, memoranda, circulars, and other relevant documents for dissemination	Improper handling of sensitive cases or failure of system	Releasing of confidential and sensitive information	Loss of Documents / Data/ Data leakage	Internal	Operational Risk	High	Classify documents based on its type only; input of sensitive/ confidential clause prior on dissemination of documents thru email.	Capacity building of records personnel for effective delivery of services	2	5	10	High	Provide training to staff for capability enhancement	Record Section/Personnel Section/Budget Section	2022	No available training and on the spot actual workshops due to pandemic	Close
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