



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>a.4. Fingerprinting and picture-taking</b>	Fingerprinting Officer (Admin Staff coming to the RDC)	To keep record of the inmate's identifying features;	None (activity is ministerial)	N/A	N/A	Operating Manual;	Observation: Fingerprinting and picture-taking are done days after the commitment of inmate
<b>a.5. Physical examination for marks, tattoos and contrabands, haircutting</b>	RDC - Receiving Officer and Medical Specialist (an inmate worker/orderly may assist the RO in identifying the inmate's tattoo)	To keep record of the inmate's identifying features for purposes of segregation / assignment of dormitory; To prevent entry of contraband;	Fellow inmates, who are not accountable officers, are made to do the searching instead; This may provide the opportunity for connivance between the orderly and the inmate which may result to entry of contraband;	High	High (may cause damage to life, in case of lethal weapons, of other inmates and undermine the rehabilitation of erring inmate); May also pose serious security risks in case of cellphones;	Operating Manual; Frequent random searching (or raid) of dormitories;	Strict enforcement of provisions in the Operating Manual;
<b>a.6. Issuance of uniform and other provisions (blankets, mats, soaps, t-shirts, mosquito nets if available)</b>	RDC - Supply Officer	To provide for inmate's basic needs in accordance to prison standards;	None (activity is ministerial)	N/A	N/A	Store keeper is required to submit Memorandum of Receipt/Issuance to Supply Officer; Issuance Card should be signed by inmate; the inmates can air their grievances about non-issuance to the Prison Superintendents; Resident auditor conducts regular audit of BuCor's storage system/facility; Issuance of provisions is based on monthly averages;	Observation: Issuance of provisions is determined by the availability of supplies
<b>a.7. Turnover to quarantine</b>	RDC - Receiving Officer	To turnover inmate to quarantine;	None (activity is ministerial)	N/A	N/A		



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<b>b. Quarantine of inmate</b>							
<b>b.1. Medical examination and dental referral (including laboratory tests)</b>	Medical Officer	To determine any physical illness or handicap and to segregate those suspected of having an infectious or contagious diseases; To determine any need for medical intervention; To ensure the health of other inmates / to prevent outbreaks of epidemics and other infectious / contagious diseases within the prison.	Inmates feigning illness for special accommodations;	Low	Low	Chief of RDC reviews results of examination; Objective medical procedures to verify illness;	Although there are objective medical procedures, BuCor hospitals are not equipped with sufficient facilities / equipment;
<b>b.2. Psychological examination, which includes IQ, personality and aptitude tests both written and oral</b>	Psychologist	To determine any psychological / psychiatric disorder; To determine the need for psychological/psychiatric intervention; To ensure the safety of other inmates; To determine the mental capability of inmate and use it as input to the individualized rehabilitation program. (Some inmates are recommended to undergo elementary, secondary and collegiate studies).	Inmates administering the test questions undermining integrity of responses; Lack of trained psychologists in the RDCs, specially in the colonies;	Medium	Medium	Chief of RDC validates result of examination	Tie up with other government agencies such as NMHC, NBI, PNP, etc. to tap the services of additional psychologists;
<b>b.3. Sociological profiling</b>	Sociologist	To determine the social situation of inmate (age, medical history, socio-economic and civil status, plans after release) for use as input in determining the inmate's individualized treatment program and in classifying the inmate according to security risk (minimum, medium, maximum).	Inmates doing the interview and profiling undermining integrity of responses;	Medium	Medium	Proforma guide questions for profiling interview	BuCor should discontinue delegating this function to inmates



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b.4. Orientation on prison rules	Head Teacher	To orient the new inmates with prison rules and regulations, what to expect during their confinement, and the services that they can avail of.	Inmates doing the orientation on prison rules and regulations, giving them undue ascendancy over other inmates; Acquaintance between the inmate and the responsible officer is fostered; Foments ineptitude; The performance of responsible officer is not reflected in the PES;	High	Low	Operating Manual	BuCor should discontinue delegating this function to inmates



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<b>c. Classification and segregation of inmate</b>							
<b>c.1. Preparation of inmate's summary of records</b>	Case Coordinator (RDC Staff)	To provide the Classification Board with information regarding the inmate;	Inmate orderlies are delegated to perform this function, which may result to incomplete records and Inaccurate entries; Acquaintance between the inmate and the responsible officer is fostered; Foments ineptitude; The performance of responsible officer is not reflected in the PES;	Medium	Low	Case Coordinator checks the inmates' output;	BuCor should discontinue delegating this function to inmates
<b>c.2. Observation and documentation of behavior and demeanor</b>	Custodial Force; Behavioral Staff;	To determine the inmate's individualized treatment program					The assessment team failed to validate this activity through research of documents or process observation, although the key informant claims that they report critical incidents only.
<b>c.3. Deliberation on assignment / classification / segregation of inmate by Classification Board (For every PPF, there is a Classification Board consisting of the Superintendent as Chairman, Chief of RDC as Vice-Chairman, Chief Overseer as Secretary and Medical Officer, Chief of Education Section and Chief of Agro-industries Section for its members).</b>	Classification Board	To determine the prison facility where the inmate shall be assigned to based on the reports of the RDC's different evaluating units (NP, medical, sociological); To determine the inmate's individualized treatment program.	Political accommodations; Discretion of RDC Chief to recommend continued stay in the RDC;	Medium	Medium	Result of deliberation for validation of Director; There is a specific criteria for classifying inmates according to the duration of sentence found in the Operating Manual, what is being deliberated is the decision departing from the guideline;	Observation: Inmates interviewed failed to relate their own individualized treatment program. Either there is no individualized program or the inmates were not oriented of their rehabilitation plan; thus, there is a need to inform inmates of their individualized treatment program.



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<b>c.4. Turnover to assigned compound / camp</b>	Duty Officer	To transfer custodianship of inmate to his / her assigned prison compound / camp.	Too much acquaintance between members of the custodial staff and inmates, which may result to some privileges being extended to the latter; Assignment of inmate to a place of convenience in exchange for a benefit.	High	Low	Juveniles can stay in RDC for a maximum of six months; Others can be given a week of extension for humanitarian reasons as approved by the RDC Officer; Those accepted as orderly in RDC can stay until the duration of their whole sentence; BuCor Director may conduct spot inspections; RDC inmate workers/ orderlies could be removed from RDC immediately in case of sudden/dramatic change in behavior as observed by behavioral staff;	There should be periodic reporting by RDC Chief on overstaying inmates with justification; Rotation of custodial personnel;
<b>c.5. Assignment to dormitory</b>	Overseer	To admit inmate in his / her appropriate prison dormitory;	Assignment of inmate to a place of convenience in exchange for a benefit;	Medium	Medium	Regional affiliation as basis for assignment to dorms;	There should be regular monitoring by the Prison Superintendent;



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<b>2. Transfer of Inmates</b>							
<b>a. Receipt of inmate's request for transfer to another prison facility (if applicable)</b>	Overseer	To receive, acknowledge and document inmate's request for transfer to another prison facility;	Overseer may turn-down request, but with justification; Influence-peddling/bribery; Wide discretion in the part of the Overseer.	Medium	Medium	Inmate may air grievance to higher prison officials; Guidelines in classifying inmates could be found in the Operating Manual	Periodic dialogue between Superintendent and inmates wherein the latter can also forward formal requests;
<b>b. Classification Board evaluates request and submits recommendation to Director</b>	Classification Board	To determine the merit of request; To determine if inmate can be transferred to other colonies; To decongest prison facility.	Recommendation of Classification Board could be influenced by other parties;	Low	Medium	Director validates the recommendation of CB; Guidelines in classifying inmates could be found in the Operating Manual; other issuances from BuCor Director;	Strict enforcement of provisions in the Operating Manual including the requirement that an inmate shall be given mental and physical exam prior to his transfer;
<b>c. Notification of inmate that he is candidate for transfer to another PPF (through bulletin board announcement)</b>	Overseer	To notify the inmate that he is candidate for transfer.	Inmates identified for transfer and their relations may seek patronage from influence peddlers and politicians.	Medium	Medium	Classification Board prepares list of inmates candidate for transfer to other colonies from which the Director may choose whom to transfer;	Classification Board should identify inmates for transfer; Strict enforcement of provisions of Operating Manual;
<b>d. Approval by Director</b>	Director	To approve/deny the recommendation of Classification Board;	Inmate transfer may be approved despite non-compliance with some requirements due to influence-peddling / political accommodation.	Low	Medium	Guidelines in classifying inmates could be found in the Operating Manual; other issuances from BuCor Director;	The complainant/ victim and/or his relatives must be informed of the inmate's transfer;
<b>e. Chief of Escort Service assigns escort guards to inmate</b>	Chief of Escort Service	To notify the Escort of his / her assignment; To secure duty detail for escort guard;	Undue familiarity and acquaintance among Escort Guards and inmates (Escort Guards are assigned to Escort Service for a long duration, e.g. 15 years) may lead to lack of due diligence and/or lack of foresight on the possibility of escape.	Low	High	Escort Guards are not assigned as teams so that there would be no familiarization within the group; New Prison Guards are not assigned to Escort Unit; Operating Manual; Instructions for the EGs are provided at the back of the pass; EGs are required to submit "after-mission report" with attached Certificate of Appearance; Coding of escorts as to location;	Rotation of Prison Guards in serving as Escort Guards, with a specified maximum tour of duty (e.g. 3 months); BuCor could produce a customized Code of Conduct for ES personnel and conduct periodic re-orientations regarding this;



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<b>f. Travel arrangement / preparation of voucher</b>	Freight Supervisor	To facilitate the transfer of inmate to receiving prison facility;	None (activity is ministerial)	N/A	N/A		
<b>g. Escorting of inmate during actual transfer</b>	Escort Guard	To see to it that inmates do not escape, converse with unauthorized persons, obtain forbidden articles, especially intoxicants or weapons, annoy passersby and suffer harm or humiliation;	Undue familiarity and acquaintance among Escort Guards and inmates (Escort Guards are assigned to Escort Service for a long duration, e.g. 15 years) may lead to lack of due diligence and/or lack of foresight on the possibility of escape.	Low	High	Administrative and criminal cases could be charged to erring Escort Guards; Those proven guilty may be dismissed from service.	Rotation of Prison Guards in serving as Escort Guards, with a specified maximum tour of duty (e.g. 3 months); BuCor could produce a customized Code of Conduct for ES personnel; A fixed route, Expected Time of Departure and Expected Time of Arrival could be specified for each movement;
<b>h. Admission and confinement</b>	RDC of Receiving Prison	To transfer custodianship of inmate to his / her assigned prison compound / camp;	Same with the circumstances under admission for the first time;	N/A	N/A		



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<b>3. Movement of Inmate Upon Request</b>							
<b>a. Receipt of inmate's request for movement (e.g. to view deceased relative, hospitalization)</b>	Overseer	To receive, acknowledge, and document inmate's request for movement;	Inmate or his relatives bribing / influencing a prison official to approve request lacking certain requirements; Responsible official Intentionally delaying action on request; Influencing / bribing a prison official to facilitate approval of request in case of delay.	Low	Medium to High	Superintendent validates and recommends request; Provision on movement of inmate could be found in the BuCor Operating Manual; Inmate and relatives could follow-up in case of delay; Request is denied for maximum security prisoners as a matter of policy.	Requests coming from the colonies do not need approval from DOJ Secretary, which is more efficient;
<b>b. Indorsement of request to Director</b>	Prison Superintendent	To forward and second inmate's request to the Director;	Inmate or his relatives bribing / influencing a prison official to approve request lacking certain requirements; Responsible official Intentionally delaying action on request; Influencing / bribing a prison official to facilitate approval of request in case of delay.	Low	Medium to High	Relatives may personally follow-up request;	There should be written policy that processing of request should be done in the most expedient manner (e.g. should take only one day); BuCor may include pertinent provisions of RA 9485 in their Code of Conduct as well as the Operating Manual;
<b>c. Recommendation to Secretary of Justice</b>	Director	To forward and second inmate's request to the Secretary of Justice;	Inmate or his relatives bribing / influencing a prison official to approve request lacking certain requirements; Responsible official Intentionally delaying action on request; Influencing / bribing a prison official to facilitate approval of request in case of delay.	Low	Medium to High	Secretary of Justice validates and approves request; Relatives may personally follow-up request;	There should be written policy that processing of request should be done in the most expedient manner (e.g. should take only one day);
<b>d. Approval of Secretary of Justice</b>	Office of DOJ Secretary	To determine the merit of inmate's request; To grant / deny inmate's request;	Delay in processing approval; Influencing / bribing a DOJ official to facilitate approval of request in case of delay.	Low	Medium to High	Relatives may personally follow-up request as is presently being practiced;	There should be written policy that processing of request should be done in the most expedient manner (e.g. should take only one day);





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e. Transmittal of approval / denial to Director	Office of DOJ Secretary	To forward decision of DOJ Secretary approving or denying inmate's request;	Delay in processing approval; Influencing / bribing a DOJ official to facilitate approval of request in case of delay.	Low	Medium to High	Relatives may personally follow-up request as is presently being practiced;	There should be written policy that processing of request should be done in the most expedient manner (e.g. should take only one day);



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<b>f. Notification of Superintendent</b>	BuCor Director	To notify Superintendent of DOJ Secretary's decision;	Inmate or his relatives bribing / influencing a prison official to approve request lacking certain requirements; Responsible official Intentionally delaying action on request; Influencing / bribing a prison official to facilitate approval of request in case of delay.	Low	Medium to High	Relatives may personally follow-up request as is presently being practiced;	There should be written policy that processing of request should be done in the most expedient manner (e.g. should take only one day);
<b>g. Indorsement to Escort Unit</b>	Prison Superintendent	To notify the Escort Unit of the need for escorting services;	Inmate or his relatives bribing / influencing a prison official to approve request lacking certain requirements; Responsible official Intentionally delaying action on request; Influencing / bribing a prison official to facilitate approval of request in case of delay.	Low	Medium to High	Relatives may personally follow-up request as is presently being practiced;	There should be written policy that processing of request should be done in the most expedient manner (e.g. should take only one day);
<b>h. Preparation of pass</b>	Prison Superintendent	To provide pass allowing inmate's movement;	Inmate or his relatives bribing / influencing a prison official to approve request lacking certain requirements; Responsible official Intentionally delaying action on request; Influencing / bribing a prison official to facilitate approval of request in case of delay.	Low	Medium to High	Relatives may personally follow-up request as is presently being practiced;	There should be written policy that processing of request should be done in the most expedient manner (e.g. should take only one day);



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<b>i. Assigning Escort Guards to inmate</b>	Chief, Escort Unit	To notify Escort Guards of their assignment;	Undue familiarity and acquaintance among Escort Guards and inmates (Escort Guards are assigned to Escort Service for a long duration, e.g. 15 years) may lead to lack of due diligence and/or lack of foresight on the possibility of escape.	Medium	High	Escort Guards are not assigned as teams so that there would be no familiarization within the group; New Prison Guards are not assigned to Escort Unit; Operating Manual; Instructions for the EGs are provided at the back of the pass; EGs are required to submit "after-mission report" with attached Certificate of Appearance; Coding of escorts as to location of assignment.	Rotation of Prison Guards in serving as Escort Guards, with a specified maximum tour of duty (e.g. 3 months); BuCor may also produce a customized Code of Conduct for Escort Guards.
<b>j. Escorting of inmate during actual movement</b>	Escort Guards	To see to it that inmates do not escape, converse with unauthorized persons, obtain forbidden articles, especially intoxicants or weapons, annoy passersby and suffer harm or humiliation;	Undue familiarity and acquaintance among Escort Guards and inmates (Escort Guards are assigned to Escort Service for a long duration, e.g. 15 years) may lead to lack of due diligence and/or lack of foresight on the possibility of escape.	Medium	High	Dismissal from service, administrative and criminal charges could be made against an erring Escort Guard;	Rotation of Prison Guards in serving as Escort Guards, with a specified maximum tour of duty (e.g. 3 months); BuCor could produce a customized Code of Conduct for Escort Guards; A fixed route, Expected Time of Departure and Expected Time of Arrival could be specified for each movement; Reading of the odometer (if functional) and fuel gauge should be reflected in the pass.
<b>k. Turnover to camp with check-in procedures</b>	Escort Guards	To return the inmate to his / her prison compound / camp;	Gate Officers may allow entry of prohibited articles in connivance with inmates returning from movement;	Medium	High (may cause damage to life, in case of lethal weapons, of other inmates and undermine the rehabilitation of erring inmate); May also pose serious security risks in case of cellphones;	Administrative Case under RA 6713 and the Operating Manual can be charged against erring officers; Random searching of dormitories;	A system of incentives may be established by the BuCor to motivate prison guards to search inmates more thoroughly; the BuCor may also want to invest on high-technology searching equipment; Strict adherence to the Operating Manual with regard to searching of inmates;



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<b>4. Movement of Inmate to Attend Hearing</b>							
<b>a. Receipt of subpoena / summons</b>	Prison Superintendent	To notify the Prison Superintendent of inmate's hearing schedule;	None, activity is ministerial	N/A	N/A	Prison could be cited for contempt of court if the inmate is not notified;	
<b>b. Preparation of pass</b>	Prison Superintendent	To provide pass allowing inmate's movement;	None, activity is ministerial	N/A	N/A	Prison could be cited for contempt of court if the inmate is not notified;	
<b>c. Notification of inmate of his / her hearing schedule;</b>	Overseer	To notify inmate of his / her hearing schedule;	None, activity is ministerial	N/A	N/A	Prison could be cited for contempt of court if the inmate is not notified;	
<b>d. Notification of Escort Unit</b>	Prison Superintendent	To notify Escort Unit of the need for escorting services;	None, activity is ministerial	N/A	N/A		
<b>e. Assigning Escort Guards to inmate</b>	Chief, Escort Unit	To notify Escort Guard of his / her assignment;	Undue familiarity and acquaintance among Escort Guards and inmates (Escort Guards are assigned to Escort Service for a long duration, e.g. 15 years) may lead to lack of due diligence and/or lack of foresight on the possibility of escape.	Medium	High	Escort Guards are not assigned as teams so that there would be no familiarization within the group; New Prison Guards are not assigned to Escort Unit; Operating Manual; Instructions for the EGs are provided at the back of the pass; EGs are required to submit "after-mission report" with attached Certificate of Appearance; Coding of escorts as to location;	Rotation of Prison Guards in serving as Escort Guards, with a specified maximum tour of duty (e.g. 3 months); BuCor may also produce a customized Code of Conduct for Escort Guards.



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<b>f. Escorting of inmate during actual movement</b>	Escort Guard	To see to it that inmates do not escape, converse with unauthorized persons, obtain forbidden articles, especially intoxicants or weapons, annoy passersby and suffer harm or humiliation;	Undue familiarity and acquaintance among Escort Guards and inmates (Escort Guards are assigned to Escort Service for a long duration, e.g. 15 years) may lead to lack of due diligence and/or lack of foresight on the possibility of escape.	Low	High	Dismissal from service, administrative and criminal charges could be made against an erring Escort Guard;	Rotation of Prison Guards in serving as Escort Guards, with a specified maximum tour of duty (e.g. 3 months); BuCor may also produce a customized Code of Conduct for Escort Guards.
<b>g. Return / Turnover to Camp</b>	Escort Guard	To return the inmate to his / her prison compound / camp;	Gate Officers may allow entry of prohibited articles in connivance with inmates returning from movement;	Medium	High (may cause damage to life, in case of lethal weapons, of other inmates and undermine the rehabilitation of erring inmate); May also pose serious security risks in case of cellphones;	Administrative Case under RA 6713 and the Operating Manual can be charged against erring officers; Random searching of dormitories;	A system of incentives may be established by the BuCor to motivate prison guards to search inmates more thoroughly; the BuCor may also want to invest on high-technology searching equipment; Strict adherence to the Operating Manual with regard to searching of inmates;



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<b>5. Inmate Visitations</b>							
<b>a. Visitors are segregated according to whether or not they are holders of visitor's ID; Visitors are issued calling slip;</b>	Prison Guard on Duty	To determine whether or not they are regular visitors listed in the inmate's roster of expected visitors;	Non-holders of visitor's ID can also get inside the prison compound; Persons with questionable characters are allowed entry to prison compound including women of ill-repute; IDs issued to visitors lacking certain requirements.	Medium	High	Overseer compiles and maintains a list of persons named by the inmate who may visit the latter; Prison Guard on duty maintains logbook of entering visitors (including address, etc.); Computerization of identification system in NBP.	BuCor may consider computerization of identification system in other PPFs, as done in the NBP.
<b>b. Visitors are subjected to a thorough body search and their belongings/packages screened for contraband;</b>	Prison Guard on Duty at Listing Shed	To prevent illegal entry of contrabands;	In the colonies, inmates are designated to do the searching; Familiarity and acquaintance of frequent visitors to PGs on duty; Gift-giving, especially visitors with bulk items for sale / redistribution inside the prison compound; Preferential treatment to visitors of certain inmates;	High	High	Superintendent compiles and maintains a list of persons named by the inmate who may visit the latter; Visitors are subjected to secondary searching by Compound Gate Officers;	Rotation of PGs; Inmates shall not be designated to do the searching; BuCor may want to invest on highly-technological searching equipment. <i>Observation:</i> In the colonies, search is only conducted at the compound gate;
<b>c. Visitors are subjected to secondary searching by Gate Officers in every prison compound;</b>	Gate Officer on Duty at the Compound	To ensure that no contrabands will enter the compound;	In the colonies, inmates are designated to do the searching; Familiarity and acquaintance of frequent visitors to PGs on duty; Gift-giving, especially visitors with bulk items for sale/redistribution inside the prison compound;	High	High	Surprise random inspection of dormitories are frequently conducted by Inspection Unit together with the PGs on duty; (this is more remedial/curative rather than preventive)	Rotation of PGs; Inmates shall not be designated to do the searching; BuCor may want to invest on highly-technological searching equipment; In the colonies, search is only conducted at the compound gate;
<b>d. Outgoing visitors are searched for government-issued articles taken out of prison facility;</b>	Prison Guard on Duty	To ensure that uniforms and other government-issued articles are not taken out from prison facility;	Search may not be thorough due to laxity among PGs; Familiarity and acquaintance among PGs and visitors;	Low	Low	None	Assessors failed to observe this activity in the colonies; This activity should be included in the Operating Manual;



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<b>6. Inmate Communication (Outgoing and Incoming Mail)</b>							
<b>a. Receipt of letter or package for mailing (outgoing) or forwarding to inmate (incoming);</b>	PG designated as Mailing Officer	To receive inmate mail or package for distribution to inmate or for mailing to addressee;	Mailing Officer may deny having received a particular mail;	Low	Medium	Delivery slip of the postman signed by the Mailing Officer;	Mailing officer required to photocopy the delivery slip for file/reference;
<b>b. Mail / package examined and censored in the presence of inmate;</b>	PG designated as Mailing Officer	To ensure that no sensitive information/ security risks are contained in the letter/package; to prevent the entry of contrabands (e.g. drugs, SIM card, yeast, etc.) into prison facilities;	Mail/package may contain contraband but not reported/confiscated by the mailing officer because of acquaintance or in exchange for a benefit; Monies and other valuable items contained in the mail / package may be taken by the Mailing Officer;	Low	Medium	The mail matter/package is examined in the presence of the inmate addressee and other onlookers;	Examination of mail/package should be done as soon as possible after its receipt;
<b>c. Inmate mail marked as "censored" / screened and resealed;</b>	PG designated as Mailing Officer	To identify that the mail has already been screened;	Inmate mail may not be screened accordingly due to acquaintance.	Low	Medium	Administrative charges for dereliction of duty; Operating Manual;	Strict enforcement of Operating Manual
<b>d. Actual forwarding to inmate (incoming) / mailing (outgoing);</b>	PG designated as Mailing Officer	To distribute incoming mails to inmates or to mail outgoing mails;	Letter / package may not be mailed / forwarded to inmate without due cause.	Low	Medium	Mailing Officer keeps transmittal slip;	Posting of transmittal slip inside the prison compound;



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<b>CVA Area 2: Human Resource Management: Recruitment, Promotion and Selection of Awardees</b>							
<b>1. Recruitment</b>							
<b>a. Publication of vacant positions</b>	Clerk III, Personnel Office	To notify public / prospective applicants of position vacancies within the BuCor;	In the colonies, notice of vacancies are not always posted in the bulletin board; Information may only reach relations of prison officials privy to the vacancies;	High	Medium	Personnel Division sends notices to schools of criminology (in Metro Manila only) and other related courses; BuCor also posts notice of vacancies in the CSC website; Vacancies are also published in national newspapers; Civil Service rules on posting of vacancies.	Publication in local newspapers; posting of notices in conspicuous places in the municipality (e.g. municipal hall, schools); Informing municipal job placement offices of vacancies;
<b>b. Receipt of applications (Colony's Admin Officer)</b>	Clerks II and III	To receive applications from interested parties;	None (activity is ministerial)	N/A	N/A		
<b>c. Indorsement to Central Office</b>	Superintendent	To forward applications to BuCor Central Office;	Not all applications may be forwarded to the Central Office; Misplaced / set aside application documents to give way to preferred/favored applicant;	Medium	Medium	Applicants may follow-up on their applications;	Colony to post notices that applications are received by Central Office;
<b>d. Receipt of applications (Central Office)</b>	Clerks II and III	To receive applications from interested parties;	Not all applicants may be included in the abstract submitted to the Selection Board; Misplaced/set aside application documents to give way to preferred/favored applicant;	Low	Medium	Applicants may follow-up on their applications; If the applicant has receiving copy, it is stamped "received";	Posting of Abstract in BuCor's bulletin board;
<b>e. Initial screening of applicants / referral for Neuropsychological (NP) and Medical Examination</b>	Clerk II, III, HRMO III	To determine qualification and fitness of applicants to assume vacant positions in BuCor; (Documents review)	Not all applicants may be included in the abstract submitted to the Selection Board; Unqualified applicants may be considered for the position through political accommodation;	Medium	Medium	An abstract, which should contain all the names of applicants, is prepared and submitted to the Selection Board; a memorandum was issued regarding minimum qualifications for applicants for custodial positions;	Strict compliance to CSC Qualification Standards and BuCor Memorandum;





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<b>f. Conduct of Neuropsychological Exam</b>	RDC composed of Chief RDC who is incidentally a psychiatrist (though not required by position) and staff psychologists	To determine the mental, emotional, and social capability of applicant through written standardized tests and interviews. (how they interact with peers, associates and superiors, check authority problems, violence control, personality / behavioral problems, IQ)	Psychologist may provide favorable recommendation to preferred applicants who otherwise do not meet the position's requirements.	Low	High	Results are reviewed by Chief RDC/psychologist; Applicants are recommended with reservations whenever applicable; In very rare cases, an applicant is not recommended (examination is based on emotional stability); Confidentiality of results is a matter of practice; RDC transfers sealed recommendation directly to Admin Office; A battery of psychologists interpret the results independently from Medical Officers who administered the exam; Only the chief psychologists could report the results;	There could be cross-validation / audit of results through private entities / other government institutions; recording of interviews with consent of applicant; Outsourcing / referral of neuropsychological exam may also be explored;
<b>g. Conduct of Medical / Dental Exam</b>	NBP Hospital (Medical Officers)	To determine health condition of applicant;	Medical Officer may provide favorable recommendation to preferred applicants who are otherwise medically unfit for the position;	Low	High	Transparency of results/ Responsible medical officer submits comprehensive medical report to Personnel Office;	BuCor may consider outsourcing / referring medical exam to accredited government / private institutions;
<b>h. Receipt of additional requirements (e.g. NP and medical exam results), notification of qualified applicants &amp; referral for agility test for PG I applicants</b>	Clerk II, III, HRMO III	To notify applicants who are qualified for the position.	HR personnel may take advantage (in the form of gifts / benefits) in delaying the release of information whether an applicant is qualified or not;	Medium	Low	Applicants are formally informed on the result of their application;	In cases of denied applications, the applicants should be informed formally as soon as possible;
<b>i. Conduct of Physical Exam/ Agility Test</b>	NBP Superintendent (Agility Committee assigned by the Chief Superintendent - composed of custodial personnel)	To determine the physical capability of the applicant (for PG I applicant only)	Agility Committee may provide favorable recommendation to applicants who are otherwise unfit for the position;	Low	High	Transparency of results/ Agility Committee submits comprehensive report to Personnel Office; Newly-recruited PGs undergo a rigid Basic Custodial Training; there is a pre-designed battery of exams for the agility test;	Current practice of providing Basic Custodial Training to newly-recruited PGs may be institutionalized;



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>j. Preparation of abstract for deliberation of the Selection Board</b>	Clerk II, III, HRMO III	To provide the Selection Board with concise but useful information regarding each applicant;	Not all applicants may be included in the abstract submitted to the Selection Board; Unqualified applicants may be considered for the position through political accommodation; Window-dressing of preferred applicants;	Medium	Medium	Abstract should contain all the names and important credentials of applicants; Applicants may follow-up on their applications;	Posting of Abstract in BuCor's bulletin board;
<b>k. Panel interview</b>	Panel of interviewers is composed of Director, Asst. Directors for Admin and Security, Chief Admin Officer, Chief Superintendent of NBP, Chief Personnel Office, Chief RDC, representative/s of rank and file union (BuCorEA)	To determine competence, values and personality of applicant;	Some applicants may benefit from patronage; Interview is not sufficiently documented;	Low	Medium	Result of interview is validated in the deliberation of the Selection Board;	There should be set criteria for grading the interviewee; A scoresheet may be used by the panelists to facilitate interview and ensure objectivity;
<b>l. Deliberation / meeting of Selection Board</b>	Selection Board composed of representative of management (usually the Asst. Dir. for Admin and Rehab), Chief Admin Officer, Chief Personnel Office, Chief of Division where the vacancy occurs, representative from rank and file union (BuCorEA)	To select a few (usually 3) of the most qualified applicants and recommend them to the appointing authority i.e. Director.	Some applicants may benefit from patronage; Interview is not sufficiently documented;	Low	Medium	Deliberation is documented though not sufficiently; CSC conducts post-audit of the minutes of deliberation; Abstract is used as basis of deliberation; CSC Qualification Standards serve as criteria for deliberation.	There should be set criteria for deliberation based on point system/RUBRIC; A scoresheet may be used by the members of Selection Board to ensure objectivity; The results of the deliberation may also be posted;
<b>m. Selection of successful applicant</b>	Director	To appoint the best applicant for the position.	There is a risk that the successful applicant benefitted from the Director's patronage.	Low	Medium	CSC conducts post-audit of the minutes of deliberation.	All appointment decisions should be made on pure merit. Independent Selection Board should ensure that the successful applicant will be chosen from among the most qualified candidates.



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>2. Promotion</b>							
<b>a. Publication of vacant positions</b>	Clerk III	To notify public / prospective applicants of position vacancies within the BuCor;	In the colonies, notice of vacancies are not always posted in the bulletin board; Information may only reach relations of prison officials privy to the vacancies;	High	Medium	Personnel Division sends notices to schools of criminology (in Metro Manila only) and other related courses; BuCor also posts notice of vacancies in the CSC website; Vacancies are also published in national newspapers; Civil Service rules on posting of vacancies.	Publication in local newspapers; posting of notices in conspicuous places in the municipality (e.g. municipal hall, schools); Informing municipal job placement offices of vacancies.
<b>b. Initial screening of qualified next-in-rank applicant</b>	Clerk II, III, HRMO III	To determine the qualifications of next-in-rank applicant to assume vacant BuCor positions;	Some next-in-rank applicants may not be considered/ dressed-down to the advantage of preferred applicants;	Medium	Medium	Personnel Office prepares an abstract containing all the names and credentials applicants for use of Selection Board in their deliberation. Applicants may follow-up on their applications.	Abstract should contain all the names and important credentials of applicants.
<b>c. Acceptance of indorsements / applications from colonies for non-next-in-rank applicants</b>	Clerk II, III, HRMO III	To determine the qualifications of next-in-rank applicants coming from the colonies (e.g. Iwahig PPF) to assume vacant BuCor positions;	Not all applications may be forwarded to the Central Office; Misplaced/set aside application documents to give way to preferred/favored applicant;	Low	High	Applicants may follow-up on their applications;	Colonies should post notices that applications are duly received by Central Office.
<b>d. Personnel Office selects a shortlist of applicants</b>	Clerk II, III, HRMO III	To shortlist qualified applicants.	Qualified applicants may not be considered/ dressed-down to the advantage of preferred applicants;	Medium	Medium	Applicants may follow-up on their applications.	Abstract should contain all the names and important credentials of applicants.



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>e. Shortlisted applicants undergo neuropsychological exam (there is an additional supervisory test for promotion)</b>	RDC Staff Psychologists	To determine the mental, emotional, social and supervisory / management capability of applicant through written standardized tests and interviews. (how they interact with peers, associates and superiors, check authority problems, violence control, personality / behavioral problems, IQ)	Psychologist may provide favorable recommendation to preferred applicants who otherwise do not meet the position's qualifications;	Low	High	Results are reviewed by Chief RDC / psychologist; Applicants are recommended with reservations whenever applicable; In very rare cases, an applicant is not recommended (examination is based on emotional stability); Confidentiality of results is a matter of practice; RDC transfers sealed recommendation directly to Admin Office; A battery of psychologists interpret the results independently from Medical Officers who administered the exam; Only the chief psychologists could report the results;	There could be cross-validation/audit of results through private entities/other government institutions; recording of interviews with consent of applicant; Outsourcing / referral of neuropsychological exam is also a possibility.
<b>f. Conduct of Medical Exam</b>	NBP Hospital (Medical Officers)		Medical Officer may provide favorable recommendation to preferred applicants who are otherwise medically unfit for the position;	Low	High	Transparency of results/ RDC submits comprehensive medical report to Personnel Office;	BuCor may consider outsourcing / referral of medical exam to accredited government/private institutions;
<b>g. Receipt of additional requirements (e.g. NP and medical exam results) and notification of qualified applicants</b>	Clerk II, III, HRMO III	To determine qualification and fitness of applicants to assume vacant positions in BuCor;	HR personnel may take advantage (in the form of gifts / benefits) in delaying the release of information whether an applicant is qualified or not;	Medium	Medium	Applicants are formally informed on the result of their application;	In cases of denied applications, the applicants should be informed formally as soon as possible;



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>h. Preparation of abstract for deliberation of the Selection Board</b>	Clerk II, III, HRMO III	To provide the Selection Board with concise but useful information regarding each applicant;	Not all applicants may be included in the abstract submitted to the Selection Board; Unqualified applicants may be considered for the position through political accommodation; Window-dressing of preferred applicants;	Medium	Medium	Abstract should contain all the names and important credentials of applicants; Applicants may follow-up on their applications;	Posting of Abstract in BuCor's bulletin board;
<b>i. Panel interview</b>	Panel of interviewers is composed of Director, Asst. Directors for Admin and Security, Chief Admin Officer, Chief Superintendent of NBP, Chief Personnel Office, Chief RDC, representative/s of rank and file union (BuCorEA)	To determine competence, values and personality of applicant;	Some applicants may benefit from patronage; Interview is not sufficiently documented;	Low	Medium	Result of interview is validated in the deliberation of the Selection Board;	There should be set criteria for grading the interviewee; A scoresheet may be used by the panelists to facilitate interview and ensure objectivity;
<b>j. Written examination (regarding anything about BuCor and Criminal Justice System; Essay type; Graded by the Director)</b>	Director	To determine extent of applicant's knowledge on BuCor's operations and pertinent laws, policies, rules and regulations and his level of preparedness to handle a higher position.	Leakage of exam questionnaire; Lack of objectivity in giving scores;	Low	Medium	The exam questions are prepared by the Director himself and the answers are also checked by the Director himself; The exam is administered under the supervision of the Director's designated staff; Exam results are posted in the bulletin board;	The BuCor may consider giving more objective items;
<b>k. Deliberation / meeting of Selection Board</b>	Selection Board composed of representative of management (usually the Asst. Dir. for Admin and Rehab), Chief Admin Officer, Chief Personnel Office, Chief of Division where the vacancy occurs, representative from rank and file union (BuCorEA)	To select a few (usually 3) of the most qualified applicants and recommend them to the appointing authority i.e. Director.	Some applicants may benefit from patronage; Interview is not sufficiently documented;	Low	Medium	Deliberation is documented; CSC conducts post-audit of the minutes of deliberation; Abstract is used as basis of deliberation; CSC Qualification Standards serves as criteria for deliberation;	There should be set criteria for deliberation based on point system/RUBRIC; A scoresheet may be used by the members of Selection Board to ensure objectivity; The results of the deliberation may also be posted;



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>I. Selection of successful applicant</b>	Director	To appoint the best applicant for the position.	There is a risk that the successful applicant benefitted from the Director's patronage.	Low	Medium	CSC conducts post-audit of the minutes of deliberation.	All appointment decisions should be made on pure merit. Independent Selection Board should ensure that the successful applicant will be chosen from among the most qualified candidates.



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>3. Selection of Awardees for Dangal ng Bayan, Lingkod Bayan, Pag-asa Award (CSC), Most Outstanding Public Employee (BuCor)</b>							
<b>a. Issuance of Memorandum for Search of Awardees (includes the deadline for submission, criteria)</b>	PRAISE Secretary, Chief Admin Officer, Assistant Director for Admin and Rehab	To inform Superintendents, Division Chiefs, Head of Agency of the availability of awards	Delay in the issuance of memorandum; Prospective applicants are not given enough time to secure the required documents;	Medium	Medium	The fact that these awards are given at regular intervals, prospective awardees may prepare the documents ahead of the issuance of memo;	Issuance should not only be addressed to the heads and supervisors but to all concerned;
<b>b. Submission of nominations with justification</b>	Division Chiefs or Prison Superintendents	To forward the names of nominees to the PRAISE Committee with the appropriate justification for his/her nomination;	Nominations may not be based on merit; Deserving employees may be left out in the nominations because of bias, prejudice, grudge, etc.; Nominations may only be rotated among the members of a unit to accommodate all;	Medium	Medium	Some Superintendents/ Division Chiefs create local/division-level committees for the selection of recommendees; Any other personnel could submit nominations aside from the Superintendents / Division Chiefs; Nominations are evaluated by the PRAISE Committee; External award-giving bodies have specific criteria which may be used as basis for nominations;	Allow employee to apply for award even without nomination of his head;
<b>c. Collation of data on nominees into an abstract</b>	PRAISE Secretary	To provide the PRAISE Committee with concise but useful information regarding each nominee;	Window-dressing of preferred or favored applicants; Dressing-down of discriminated applicants;	Medium	Medium	Abstract is reviewed during the deliberation;	Posting of the abstract in the bulletin board;
<b>d. Deliberation of PRAISE Committee</b>	PRAISE Committee (Asst Director for Admin and Rehab, Chief Admin Officer, Chief Personnel Office, Chief Budget Office, representative of rank and file union (BuCorEA))	To select and recommend to the Director three nominees deemed as most deserving of the award;	Some applicants may benefit from patronage and acquaintance with the members of the PRAISE Committee;	Medium	Medium	There is a selection criteria provided by CSC; BuCorEA is represented in the PRAISE Committee; Deliberations are documented;	Members of the PRAISE Committee should declare the level or depth acquaintance and patronage for the record; Members of the PRAISE Committee may consider inhibiting themselves from the deliberation;
<b>e. (if local) Approval of Director for Awarding</b>	Director	To select the nominee most deserving of the award from the shortlist provided by the PRAISE Committee;	Some applicants may benefit from patronage and acquaintance with the Director;	Medium	Medium	None (There is no post-audit even from other government agencies);	The Director should justify in writing any departure from the recommendation of the PRAISE committee;



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>f. (if CSC/DOJ) Endorsement of recommendee to CSC/DOJ (Awards Committee)</b>	Director	To nominate BuCor employee for CSC / DOJ awards;	None (activity is ministerial)	Medium	Medium	CSC / DOJ validates recommendation/ decides who will be the award's recipient;	The Director should justify in writing any departure from the recommendation of the PRAISE committee;
<b>g. Receipt of CSC/DOJ decision</b>	Chief Admin Officer	To receive CSC / DOJ choice of awardee;	None (activity is ministerial)	N/A	N/A		
<b>h. Notification of recommended awardee of the results / decision of BuCor / CSC / DOJ</b>	PRAISE Secretary	To notify personnel of his / her award;	Delay in notifying the awardee to reduce the time for protests by agrieved parties (for BuCor awards);	Medium	Medium	None identified	Announcement of awardee must be made as soon as possible to give agrieved parties at least a week to lodge protest and for the committee to resolve the protest;
<b>i. PRAISE comes up with resolution for attachment to voucher</b>	PRAISE Secretary	To initiate processing of awardee's monetary reward;	None (activity is ministerial)	N/A	N/A		
<b>j. Forward to Finance for funding</b>	Budget and Accounting Division - Cashier for preparation of Checks	To assign funds for the awardee's monetary reward;	None (activity is ministerial)	N/A	N/A		
<b>k. Approval of Director</b>	Director	To approve the release of monetary reward to the employee;	None (activity is ministerial)	N/A	N/A		
<b>l. Awarding Ceremony</b>	Director	To honor the awardee through a formal ceremony;	None (activity is purely ceremonial)	N/A	N/A		





Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>4. Awards for Commendation (usually for custodial personnel only)</b>							
<b>a. Submission of incident report with recommendation to award commendation to BuCor Director</b>	Prison Superintendent	To report to the Director any significant incident where employee/s showed exemplary performance meriting commendation:	Basis for commendation is highly subjective and may not be uniformly applied; Window-dressing of the incident report;	Medium	Medium	Sometimes cases are forwarded to Legal Office for evaluation; Director validates incident report for accuracy;	Incident report must be accompanied by eye-witness accounts; Witnesses must certify under oath their eye-witness accounts;
<b>b. Approval / denial of recommendation to award commendation</b>	Director	To determine whether the candidate/s' accomplishment merits commendation.	Basis for commendation is highly subjective and may not be uniformly applied; Window-dressing of the incident report;	Medium	Medium	Sometimes cases are forwarded to Legal Office for evaluation; Director validates incident report for accuracy;	Decisions should be based on pure merit.
<b>c. Preparation of Plaque of Recognition</b>	Chief Admin Officer, Director	To prepare the Plaque of Recognition to be awarded to the employee being commended;	None (activity is ministerial)	N/A	N/A		
<b>d. Preparation of voucher for monetary award;</b>	Chief Admin Officer, Budget and Accounting Div (Cashier depending on availability of funds)	To process monetary reward of employee being commended;	None (activity is ministerial)	N/A	N/A		
<b>e. Awarding Ceremony</b>	Chief Admin, Director	To honor the awardee through a formal ceremony;	None (activity is purely ceremonial)	N/A	N/A		



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>5. Awarding of Spot Promotion (usually for custodial personnel only)</b>							
<b>a. Submission of incident report with recommendation to award commendation to BuCor Director</b>	Superintendent (usually for custodial personnel only)	To report to the Director any significant incident where employee/s showed exemplary performance meriting spot promotion;	Basis for recommendation is highly subjective and may not be uniformly applied; Window-dressing of the incident report;	Medium	Medium	BuCor Director evaluates the incident report;	Incident report must be accompanied by eye-witness accounts; Witnesses must certify under oath their eye-witness accounts;
<b>b. Evaluation of BuCor Director if the incident report warrants spot promotion (if yes forwarded to Selection Board, if no follow the process for commendation)</b>	Director	To evaluate Superintendent's recommendation for employee's spot promotion;	Basis for spot promotion is highly subjective and may not be uniformly applied.	Medium	Medium	Evaluation of Selection Board	Decisions should be based on pure merit; Spot promotions must be done sparingly and under extreme and extraordinary circumstances only; There should be clear guidelines on when to award spot promotions.
<b>c. Deliberation of Selection Board (if awardee meets the minimum req'ts, for promotion)</b>	Selection Board composed of representative of management (usually the Asst. Dir. for Admin and Rehab), Chief Admin Officer, Chief Personnel Office, Chief of Division where the vacancy occurs, representative from rank and file union (BuCorEA)	To determine if the candidate for spot promotion meets the minimum qualifications of the position to be assumed;	Some applicants may benefit from patronage and acquaintance with the members of the Selection Board; Selection Board may be influenced by higher officials/ politicians;	Medium	Medium	Candidate should meet CSC's Qualification Standards; CSC conducts post-audit of promotions;	Observation: Key informants do not agree whether this activity is really part of the process.
<b>d. Preparation of Appointment Papers</b>	Clerks II and III, HRMO III	To formalize and document employee's assumption of new position;	None (activity is ministerial)	N/A	N/A		
<b>e. Director signs appointment papers</b>	Director	To finalize employee's appointment to new position;	None (activity is ministerial)	N/A	N/A		



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<b>CVA Area 3: Management of Agro-industries</b>							
<b>1. Entering into Joint Ventures</b>							
<b>a. Receipt of proposal for joint venture from prospective partners</b>	Office of the Director	To acknowledge receipt of proposal for joint venture from private party;	None (activity is ministerial)	N/A	N/A		
<b>b. Management Division makes initial evaluation and forwards proposal to Superintendent of prison where the project will be implemented</b>	Management Division	To evaluate the reasonableness of BuCor's share on the proceeds, the duration of the contract, and to ensure that venture is advantageous to government and inmates who will be used as laborers;	Sometimes, proposals are indorsed directly to the Legal Office without being evaluated by the Management Division; Influence-peddling, political patronage, gift-giving and/or bribery may lead to endorsement of an otherwise disadvantageous agreement.	Medium	High	Legal Office reviews the legality of the proposal; Recommendations are for approval by the Director;	The review process should be followed strictly; This activity should not be bypassed;
<b>c. Superintendent submits comments and recommendation for consolidation of Management Division</b>	Prison Superintendent	To determine the viability of implementing the project in the prison facility;	Sometimes, proposals are indorsed directly to the Legal Office without being evaluated by the Management Division; Influence-peddling, political patronage, gift-giving and/or bribery may lead to endorsement of an otherwise disadvantageous agreement.	Medium	High	Legal Office reviews the legality of the proposal; Recommendations are for approval by the Director;	The review process should be followed strictly; This activity should not be bypassed;
<b>d. Management Division consolidates Superintendent's comments and submits its final recommendation to Director</b>	Management Division	To finalize recommendation to the Director regarding the proposal;	Management Division may ignore the comments and recommendations of the Superintendent, especially if the proposal came from a person of influence; Influence-peddling, political patronage, gift-giving and/or bribery may lead to endorsement of an otherwise disadvantageous agreement.	Medium	High	Legal Office reviews the legality of the proposal; Recommendations are for approval by the Director;	The review process should be followed strictly; This activity should not be bypassed;



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>e. Legal Office evaluates proposal and submits recommendation and proposed MOA to BuCor Director</b>	Legal Office	To advise the Director on the legality, advantages and disadvantages of the proposed joint venture;	Influence-peddling, political patronage, gift-giving and/or bribery may lead to endorsement of an otherwise disadvantageous agreement.	Medium	High	Recommendation of Legal Office is subject to review by the BuCor Director;	A multi-aspect review, which maybe outsourced (at the cost of the proponent), should be conducted to look into the economic, legal, and social aspects (inmate welfare) of the proposal as well as the consistency with the primary mandate of the BuCor.
<b>f. BuCor Director approves or denies entry into proposed joint venture (if contract price is not more than P500,000) / BuCor Director submits endorsement to DOJ if contract price is more than P500,000.</b>	Director	To get DOJ approval to enter to the proposed joint venture;	BuCor may be placed into a disadvantageous position in the joint agreement because of lack of parameters to assess the advantage of the joint venture to the bureau; Inmates may be placed into a disadvantageous position for similar reasons; Disadvantage may also impact on the primary mandate of BuCor; Influence-peddling, political patronage, gift-giving and/or bribery may lead to endorsement of an otherwise disadvantageous agreement.	Medium	High	Recommendation of Director is subject to review by a DOJ Undersecretary when contract price is more than P500,000 but not more than P 2 million; If contract price is more than P 2 million, DOJ Secretary evaluates and approves the proposed agreement.	A multi-aspect review, which maybe outsourced (at the cost of the proponent), should be conducted to look into the economic, legal, and social aspects (inmate welfare) of the proposal as well as the consistency with the primary mandate of the BuCor.



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<b>2. Sale of Prison Agro-industries Products</b>							
<b>a. Reporting of production volume</b>	Production Officer, COA Auditor, Acceptance Committee determined by BuCor Director (inc. Accounting Division Staff, Supply Division Staff, Veterinarian/tech staff knowledgeable of the product concerned, etc.)	To determine the volume of agro-industrial produce;	Pilferage; Underreporting of production volume; Fraudulent reporting;	Medium	Medium	BuCor uses pro-forma Production Invoice signed by Invoicing Officer, Receiving Officer and Penal Supervisor in reporting production volume; Those who achieve production targets are given pecuniary reward; BuCor has a set expected yield per hectare; In Iwahig, a Pre-Harvest Committee was assigned by the Supt. to find out the average production of the area scheduled for harvest; Milling of palay grain is not allowed without the approval of the Superintendent.	Production targets should be expressed in production yield units (e.g. cavans of palay, tons of calabasa, etc.); Consider institutionalizing system of incentives for Production Coordinators and Projects In-charge; Rotation of Project Coordinators.
<b>b. Determination of fair market value</b>	Sales Committee (even for sales amounting over P50,000)	To determine the prevailing market price of the farm produce; To set the minimum bid price for the auction of the farm produce.	Prevailing market price may not be properly estimated;	Medium	Medium	BuCor maintains a Price List for each colony product; A Sales Committee was organized to undertake the sale of colony products;	Consider abolishing system of price list and establish a Product-Price Approval Committee in its place.
<b>c. Posting of notices / Issuance of quotation forms</b>	Sales Committee (for sales below P50,000) / Bids and Awards Committee/BAC (for sales above P50,000)	To inform public / prospective buyers that Bureau product is available for sale and to solicit bids / quotations for the purpose.	Prison officials may withhold information to favor certain parties; Collusion with bidders;	High	Medium	Quotation forms are issued to a minimum of 3 prospective buyers;	Post Invitations to Bid in conspicuous places outside the colony; Publish the invitation in local newspapers; Explore alternative venues for advertising products such as the internet, radio ads, etc.
<b>d. Receipt of bids / accomplished quotation forms (Sales Committee submits recommendation to Prison Superintendent)</b>	Sales Committee/ BAC	To receive the bids of prospective buyers of the farm produce;	Collusion with bidders;	High	Medium	Recommendation of Sales Committee to award sale to a particular buyer is evaluated and approved by the Prison Superintendent	Ensure that all accomplished quotation forms are duly signed by prospective buyers, otherwise do not endorse the winning bidder; Canvassing may also be rotated to different personnel.



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<b>e. Opening of bids / BAC Evaluation</b>	Bids and Awards Committee (BAC)	To evaluate the bids of the prospective buyers;	Collusion with bidders; Sometimes, invited CSO observers are not able to attend the opening of bids.	High	Medium	Competing bidders, as well as neutral observers are present during the opening of bids;	Increased number of bidders may enhance competitiveness of bidding process and prevent familiarization with BAC; Invite more CSOs and maintain good relationship with them to motivate them to observe the bidding process.
<b>f. Awarding</b>	Sales Committee/ BAC	To award the right to purchase the farm produce to the most qualified bidder;	Collusion with bidders;	High	Medium	The Sales Committee does not receive payment for the product, instead a Collecting Officer is assigned for the purpose;	Also consider selling Bureau products to other government agencies / GOCCs, which set standard prices for this products.
<b>g. Receipt of payment</b>	Collecting Officer	To receive the payment for the purchase of the farm produce;	None (activity is ministerial)	N/A	N/A	Collecting Officer issues standard government Official Receipt for every transaction;	
<b>h. Release of goods to winning bidder</b>	Chief, Granary	To transfer the farm produce to the winning bidder;	None (activity is ministerial)	N/A	N/A		



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<b>3. Payment of Inmate Compensation and Depositing of Trust Fund Component (Davao Prison and Penal Farm)</b>							
<b>a. Preparation of Work Accomplishment Report</b>	BuCor Coordinator (Farm Foreman) to TADECO submits the names of inmate workers to the TADECO official concerned	To determine the work output of the inmate, which will be the basis for his / her compensation;	Work Accomplishment Report may not reflect actual work rendered by the inmate.	Low	Medium	TADECO has a counterpart checker; Inmates may air their grievances to Prison Officials with regard to their salary.	A mechanism should be established wherein the inmate may validate his Work Accomplishment Report / attendance (like the use of Daily Time Cards, Bundy Clocks, etc.)
<b>b. Preparation of payroll</b>	TADECO prepares the payroll based on the list provided by the BuCor Coordinator and submits the same to the Trust Fund Officer; Amount covering inmate compensation is forwarded to DPPF.	To determine the compensation due to each inmate;	None (activity not performed by a BuCor personnel)	N/A	N/A	Operating Manual; Minimum Wage Law; Joint Venture Agreement with TADECO.	
<b>c. Trust Fund Officer requests Accounting Section to release 75% of inmates' payment, remaining 25% goes to IPX, in exchange for gift certificate.</b>	Trust Fund Officer	To request the release of the portion of inmate earnings that will be distributed in cash, and the portion that will be deposited in the trust account as forced savings.	None (activity is ministerial)	N/A	N/A		
<b>d. Bookkeeper processes release of payment / transfer of funds to the Trust Fund Officer</b>	Bookkeeper	To process the release of the portion of inmate earnings that will be distributed in cash, and the portion that will be deposited in the trust account as forced saving.	None (activity is ministerial)	N/A	N/A		



Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<p><b>e. Release of cash payment (50% of total compensation) to the inmate and depositing of forced savings (25%) in trust account.</b></p>	<p>Trust Fund Officer</p>	<p>To release cash payment to inmates, and deposit trust fund component to the Trust Account maintained for the purpose.</p>	<p>DPPF's Trust Fund Officer (TFO) is not bonded; No one checks if the TFO is exercising proper keeping of funds; TFO is under the direct supervision of the Superintendent and is not sufficiently monitored; Liquidation does not serve as good internal control; Delayed payment of inmates; An Inmate Post Exchange (IPX) personnel keeps the book of accounts of Inmates' Trust Fund instead of the TFO; Inmates may not know how much money is contained in their trust account.</p>	<p>High</p>	<p>High</p>	<p>Payments are released to the inmates by batch and not individually; Inmates may air their grievances to Prison Officials with regard to their salary.</p>	<p>Trust Fund Officer should keep the book of accounts of inmate's Trust Fund; Accounting Section and COA auditor should be provided financial reports regarding the Trust Fund periodically; Each inmate should maintain his own bank accounts as a form of control or, if this is not possible, inmates should be notified of their accounts periodically; Trust fund officer should be bonded accordingly.</p>





Activity	Responsible Unit/Person	Objective	Risk Factors	Likelihood of Occurrence	Significance of Risk	Control Activities/ Standards	Assessment/ Areas for Improvement
<b>3. Withdrawal of Forced Savings from Trust Account</b>							
<b>a. Receipt of inmate's request to withdraw forced savings</b>	Prison Superintendent	To acknowledge and document inmate's request to withdraw forced savings.	Denial of receipt of request;	Low	Medium	Operating Manual	Strict compliance with the Operating Manual.
<b>b. Evaluation of request as to amount and indorsement to Trust Fund Officer</b>	Prison Superintendent	To determine whether inmate's request could be accommodated; To endorse request to the Trust Fund Officer who shall process the same.	No action taken on the request (request was ignored); Action is delayed; Faulty record on balance of inmate's trust account may lead to denial of request.	Medium	Medium	Operating Manual	Prison Superintendent should explain in writing why request is denied; Prison accounting records should be audited by independent body; Improve record-keeping (back-up inmate records of earnings, filing of vouchers should be sequential according to number, etc.); Trust Fund Officer may also request / conduct monthly bank reconciliation on Trust Account.
<b>c. Processing of request and release of money to inmate</b>	Trust Fund Officer	To release requested amount to the inmate.	No action taken on the request (request was ignored); Action is delayed.	Medium	Medium	Inmate may follow-up request with the Superintendent / other prison officials.	Prison Superintendent should have a monitoring scheme on the status of requests; Standard processing time may also be established, subject to crashing / fast-tracking during emergency situations; Accountant, Special Disbursing Officer / Trust Fund Officer should be bonded and audited; Physical security of personnel withdrawing check (Trust Fund Officer) should be ensured.