



Risk Assessment Guide - Subsequent Registration

Activity	Responsible Unit/ Person	Objective	Risks	Likelihood of Occurrence	Significance of Risk	Control Activities	Assessment/ Areas for Improvement
1. Receives and enters documents presented for registration in the Primary Entry Book and indicates entry number, date, hour, and minute, etc	Entry Clerk	To acquire jurisdiction	Multiple use of an Entry Number (resulting in the non – entry in the Primary Entry Book) Withholding entry	High Low	High High	Policy requiring entry number in each document Requirement for the routing slip Policy (Section 56 of PD 1529) on entry in order of reception of documents	Monitoring Control in use of entry numbers in Primary Entry Book Institutionalize the use of a standard routing slip. Ensure complete entries in Primary Entry Book
2. Assigns document to Land Registration examiners	RD/DRD	To monitor volume of transactions and assignment of work	Partiality in the assignment of documents	High	High	No policy in place.	Institutionalize scheme in assigning documents to examiners
3. Verifies from Records Officer if subject title is intact.	LRA Examiner	To check whether the original copy of the title is on file with the RD	Risk of facilitation (misfiling of titles)	Low	High	Records management of titles	Computerization (microfilming)
4. Examines document in detail	LRA Examiner	To check the completeness of requirements and authenticity of the owners duplicate copy of title	Document integrity	High	High	Policy on the Checklist of requirements	Establish linkages with other stakeholders (LGUs, BIR)
5. Computes/Itemizes registration fees. (using the routing slip)	LRA Examiner	To determine fees to be paid	Under assessment of fees	High	High	Schedule of Fees Review by ROD	Computerized assessment of fees Conduct Internal Operations Audit
6. Collect fees	Cashier	To collect the required registration fees	Undercollection/non-collection of fees Issuance of fake/tampered receipt	High High	High High	Copy of OR attached to the documents processed Review of ROD Monitoring of cash	Establish policy on Electronic billing and collection system (info system to be used in office and OR uses continuous form –



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			Non-issuance of receipt			collections Report of collection and deposit	for high demand RDs) Ensure to reflect the OR number and amount of collection in the Primary Entry Book
7. Conduct Final Examination of documents	LRA Examiner	To determine the registrability of the instrument	Abuse of discretion (incomplete documents; additional unnecessary documents) Delay	High High	High High	Checklist of requirements Policy on standard Processing Time Review by ROD/DRD	Strict adherence and uniform application of rules/policies Evaluate adherence to set standards
8. Reviews documents for Approval	Deputy ROD/ROD	To review formal and substantial compliance	Abuse of Discretion (override examiner findings & recommendations) Collusion between the ROD and examiner Political influence	High	High	Subject to review by the Administrator en consulta	Capacity Building for RDs and DRDs Conduct Internal Operations Audit
9. Assigns documents to typist	LRA Examiner	To distribute approved applications to typists	Partiality in the assignment of typists	High	High		Institutionalize distribution scheme
10. Issues Blank Judicial Title	Records Officer/ Property Custodian	To requisition blank judicial title	Document Security Risk (Loss of blank title forms) Preferential treatment in the issuance of blank judicial forms	High High	High High	Maintenance of Enumeration Book Storage of Blank Judicial Forms Policy stating that RD is held accountable for the blank judicial forms Scheme in monitoring the consumption of blank judicial forms	Reinforce submission of consumption of blank judicial title forms Conduct Internal Operations Audit Consistent enforcement of Monitoring scheme in the consumption of blank judicial forms



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11. Prepares TCT	Clerk Typist	To type information on TCTs and preparation of index cards for the newly issued titles	Errors in typing (i.e. technical description, names, annotations, etc) Facilitation	High High	High High	Proofreading done by examiner, DRD and RD Clerk initials work	Computerization Strict implementation of PES (rewards and sanctions) Conduct Internal Operations Audit
12. Conducts final review of documents	Examiner	To ensure correctness of entries in the title	Facilitation Delay	Medium	High	Examiner initials in the title Routing slip	Strict monitoring of examiner outputs
13. Approves the Title	ROD	To effect transfer of title	Abuse of Discretion	Medium	High	Subject to review by the Administrator en consulta RD affixes signature on title	Conduct Capacity Building for appreciation of documents Conduct management training for RDs
14. Releases TCT /Documents	Releasing Clerk	To release the TCT to presenter of documents	Delay of releasing of TCT	Medium	Medium	Routing Slip Releasing Book Monthly Report	Analysis of Agency reports Strict implementation of guidelines
15. Segregates Documents	Records Officer	To segregate documents and titles for file	Delay in segregating	Medium	Medium	Inventory Report/ Releasing Book	Strict implementation of the period to file back documents and titles in the vault
16. Files back titles and documents to the Vault	Vault Keeper	To file the documents and titles	Delay in filing/ misfiling	High	High	Logbook Inventory Report	Strict monitoring by RODs; management capacity-building