

**PHILIPPINE RETIREMENT AUTHORITY
RISK MITIGATION PLAN**

NO.	PROCESS	PROCESS OWNER	INTERESTED PARTIES NEEDS AND EXPECTATIONS	INTERNAL AND EXTERNAL ISSUES	PLANNED RESULTS EXPECTED OUTPUTS, MFO, OBJECTIVE	RISKS THAT CAN ADVERSELY AFFECT THE PLANNED RESULT	OPPORTUNITIES THAT CAN BENEFICIALLY AFFECT THE PLANNED RESULT	ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES	
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1	Conceptualization and development of printed promotional collaterals and translations to different languages	Advertising and Promotions Division	Potential retiree applicants, existing retiree members, foreign attaches, employees, industry partners, suppliers, publishers, third-party providers, and other government agencies. <i>(Needs accurate and timely information presented in a succinct and attractive manner)</i>	(-) Possibility of errors on printed promotional materials due to the lack of available staff to check and proofread.	Well-designed promotional materials presented to interested and involved parties that increases knowledge and awareness about the PRA and the SRRV	Errors in print may affect brand perception and may cause misconception among parties involved.	Professional proofreading and checking of content, A/B testing of design	Conceptualization and development of new designs with thorough proofreading. Hiring services of professional translators.	Deliver to professional partners/marketers and other retiree members for proof reading and reviewing.
2	Conduct of Market Study in order to collect proposals from various media entities	Advertising and Promotions Division	Third-party providers (media partners, publishers, etc.) and respective signatories. <i>(Needs swift action and routing of endorsements and other necessary paperwork in order to ensure timely implementation)</i>	(-) Delays in submission of requirements from third party providers, missed communication / interrupted routing channels absence of signatories	Projects, programs, and activities are implemented within a timely manner.	Constant delays in project implementation may cause a loss of trust between the PRA and the third-party provider. Project delays may also cause a loss of audience / right timing in launching advertising projects.	Full digitalization and streamlining of necessary processes. Digital marketing experiences a large surge, leading to more budget friendly opportunities.	Utilization of free platforms (i.e. Facebook, PRA Website) for makeshift advertising while the budget is pending. Constant coordination with media partners for free publication of press releases. Meticulous management of documented information to ensure efficiency in routing documents. Regular conduct of market research in order to ascertain new marketing trends.	Streamline existing processes & earlier planning & collection of proposals to ensure timely project implementation.
3	Up-to-date endorsement and implementation of Ad Placements	Advertising and Promotions Division	Third-party providers (media partners, publishers, etc.), proponents from the BAC, and the Authority per se. <i>(Ensure that the utilization of budget and placement of advertisements are on the most advantageous media available and applicable.)</i>	(-) Changes in administration & management can cause change/s in marketing strategies thereby resulting to delays or non-implementation of planned projects.	Placements of advertisements are effective and can reach more potential clients.	Delays or non-implementation of planned projects due to change in marketing strategies.	The advertising industry's direction is going digital, which is less expensive compared to other advertising media. Digital media can target and track its audience.	Keeping up with the fast changing trends in advertising and promotions, in digital media. Use a flexible marketing strategies to adjust to contingencies.	Constant research on advertising trends and consultation with various ad companies/ media practitioners.
4	Inspection of various ad placements (both internationally and locally) through physical and digital means	Advertising and Promotions Division	Third-party providers (media partners, publishers, etc.), and proponents from the BAC <i>(assurance of quality advertising in specified locations)</i>	(-) Inability to conduct in-person inspection due to audit observations & recommendations re cost of inspection	All advertising placements are duly inspected before payment is processed.	Remote inspection may show cause for imagery manipulation and inaccurate assessment of advertising effectiveness.	Aligning inspection dates with CRPDD travels may see to a lower cost of airfare and accommodation.	Monitor CRPDD scheduled events upon setting the duration of ad placements as well as required ocular inspections. Conduct ocular inspections through live-video calls.	Coordinate with foreign sister agencies / industry partners to conduct inspection and assessment on our behalf. Inspection through photos and/or videocalls or any virtual connections. Enable request to access data analytics of ads

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5	Review of advertising contracts done by OGCC	Advertising and Promotions Division	OGCC, proponent (<i>ensure that contracts are at a win-win situation for the PRA and is duly compliant with the procurement law, RA 9184</i>)	(-) Delays in submission of contracts, usually from the provider's end	New advertising contracts get reviewed by the OGCC and duly revised afterwards.	Delays in response from the OGCC may cause delays in the implementation of the project itself.	Better contracts mean better deals for the Authority, minimizing the risk of disadvantage on black and white.	Use ad contract template approved by OGCC. Apply changes and revisions as soon as full review is received. Include last statement of provision in the preliminary contract : "The original Contract shall be subject to the review and approval of the Office of the Government Corporate Counsel. Any of its ensuing comments, recommendations, or directives shall form part of this contract". Any changes may be included	Continue coordinating with OGCC re-updates in contract review requirements.
6	Collaboration with other government agencies and private organizations	Advertising and Promotions Division	Industry partners, mother agency, (DOT) sister agencies (i.e. TPB, TIEZA, DOT attaches and offices) (<i>certify alignment between industry partners, secure advertising opportunities</i>) and media partners	(-) Delays in or non-response of contacted agencies (+) Industry partners and sister agencies volunteering partnership opportunities.	Branding is aligned with DOT & sister agencies, advertising partnerships between agencies are secured at no cost. Execute press release with media partners	Delays in response from other agencies may cause delays in finalizing branding details for the Authority. Limited exposure for press release	Strong alignment with its mother agency & other sister agencies will make a stronger marketing impact globally. Other agencies may offer spaces in their offices to place PRA advertising materials (brochures, flyers, standees, etc.). Hold meetings with media agencies.	Correspond with other agencies through phone and email.	Conduct regular alignment meetings with DOT & relevant sister agencies to strengthen partnership with the Authority.
7	SRRV Operations	PRA Operations Group	Retiree-members, retiree-applicants, PRA Employees, industry partners, relevant stakeholders (<i>an efficient and hassle free application process, from the inquiry level to the oath-taking level</i>)	(-) Operations are currently suspended with no definite timeframe.	Applications are re-opened and proceed in an efficient and hassle-free manner.	Suspension of operations for an indefinite period of time leaves retiree members and potential retiree applicants in an uncertain position. This uncertainty also equates to a halt in promotional efforts.	N/A	Closely collaborate with the mother agency, DOT, and comply with directives in order to ensure the resumption of operations at the soonest possible time.	N/A
8	SRRV Policy Restructuring	PRA Policy Technical Working Group	Retiree-members, retiree-applicants, PRA Employees, industry partners, relevant stakeholders (<i>a retirement scheme that hits the sweet spot between economic prosperity through retirement tourism and maintaining territorial integrity</i>)	(-) Changes that will be made to the current SRRV program are still uncertain.	The SRRV program is not restructured or is restructured in a way that it will be beneficial to the Authority.	Restructuring the SRRV program means revising promotional materials as well as realigning market studies to newer, and more applicable demographics.	N/A	Closely collaborate with the TWG for updates on the restructuring of the program.	Ready materials for revision, if necessary. Conduct timely market studies for new demographics.
9	Re-entry of SRRV members	PRA Servicing Division	Retiree-members, employees, potential retiree-applicants (<i>for retiree-members outside the country to be able to use their SRRV to enter the country in the height of COVID-19</i>)	(-) The IATF has yet to issue a directive that includes the SRRV as one of the allowed entry visas during quarantine.	SRRV members are allowed entry via their visa.	Non-allowance of entry of retiree members lessens the SRRV's value and produces irate customers that populate official social media sites.	N/A	Closely collaborate with the DOT and the DFA to expedite re-entry requests. Continuously appeal to the IATF to allow SRRV members to enter with their visa.	N/A

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10	Acceptance of SRRV Applications	Client Relations and Program Development Division (CRPDD)	SRRV APPLICANTS <i>Easy and convenient process of documentary requirements for the submission of SRRV Application</i>	(+)Evaluation on the authenticity of documents submitted by clients/marketers	Endorsement of SRRV Application for processing	Fraudulent documents	Properly screened quality applicants	Seminars and trainings for fraud detection.	Regular seminars and training on fraud detection conducted by agencies with expertise on such matter.
						Incomplete SRRV requirements			
11	Local and International Promotion	Client Relations and Program Development Division (CRPDD)	Local and International Organizations <i>Participation/Sponsorship in local and international events</i>	(+)Identify linkages with private local/international organizations, Philippine embassies/consular offices abroad, and OFW organizations abroad to promote retirement in the Philippines.	- Increase the number of SRRV applications through International and Local promotions; - Achieve the target of Budget utilization	- Global Pandemic, Economic Status, Health risk - Budget allocation - Internet and network resources - Change in Management	To participate in different local and international events. To be more aggressive on online promotions and webinars conducted by different retirement and business organizations.	Regular communications with various local and international organizations.	Improve Information Technology system that can provide fast digital connection.
12	Briefings, Sales Calls, Coordination Meetings	Client Relations and Program Development Division (CRPDD)	Potential SRRV applicants and Stakeholders	(+) Identification of internal assignment particularly SRRV briefings; (+) Monitoring of potential applicants' status of intent	Increase of leads generated and increase on number of SRRV application	- Management changes; - Unmonitored potential applicants' status of intent; - Reputational risk	- More focus in providing clear direction to potential SRRV applicants and stakeholders	Regular briefings for various PRA stakeholders and participation in activities conducted by local stakeholders	Regular monitoring and communication with potential SRRV applicants and stakeholders
13	Program Development	Client Relations and Program Development Division (CRPDD)	PRA	(+) Improve retirement packages at par with other ASEAN countries with retirement as an industry.	Globally competitive retirement program	-Risk of failure in new market -Increase competition - International transactions	- Utilization of different online platforms such as digital marketing; - Improvement of booth and product presentation during marketing activities; - More competitive and comprehensive market research and studies.	Outsourcing of Marketing plans and programs	Budget allocation for the regular market studies
14	Processing of SRRV Application	Processing Division	Philippine Government (Legislators, DOT, GCG) Filipino Citizens That the SRRV program will not be exploited and used for the entry of undesirable aliens in their various illegal operations like espionage, scamming, drug trafficking and other similar activities.	(-) National Security Threat	Implementation of stringent application process of recruiting and accepting applicants to ensure good character and identity of all SRRV members.	Failure to identify the undesirable aliens and infiltrate applicants that could perform illegal activities in the country	Enhancement of application process and stronger link with other Government Agencies like NICA, BI, Interpol, etc.	Strict Implementation on the requirements of Original, Authenticated/Apostilled Police Clearance, Know Your Customer (KYC) interview with Security Risk Officer, Interpol Checking, Derogatory Check by the BI and Post Verification of Submitted documents with Philippine Embassy/Consulates, Foreign Embassy in the Philippines or Issuing Authorities.	Strict Implementation of the mentioned existing controls and continuous monitoring by the Servicing Division.

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15	SRRV ID Renewal	Servicing Division	SRRV Members	Limited number of transaction allowed per day walk-in (Appointment System due to Pandemic)	Increase number of allowed walk-in transaction	Less number of SRRV members can renew their IDs	Control on the number of clients personally visiting the PRA office	ID renewal can be made online / via email	Institutionalize On-line Payment
		Servicing Division	SRRV Members	Clients Personally Visiting the PRA Office for Availment of Services	Maintaining safe office premises to protect health & safety of employees and clientele	Viral infection of PRA Employees	Clients can directly request and received the service sought	ID renewal can be made online/via email	
		Servicing Division	SRRV Members	(+) Two (2) printers were already procured (+)Automation of the ID renewal processing through the establishment of SRRV Servicing Information System	Provide excellent service to retirees and other stakeholders	More retirees will be served	Expeditious ID renewal processing which can handle an estimate of 130 to 150 IDs printed per day	Regular machine (ID Printers) maintenance (schedule of maintenance) through the assistance of the ICTD	Additional / Back-up Printers
		Servicing Division	SRRV Members	(-) Most information of the SRRV members specified in the records / files of the Authority are outdated (-) Longer validity of SRRV ID (-) No specific process or person to monitor the current situation / condition of the SRRV members	Vital information of SRRV members (e.g. contact, number, address etc.) are kept updated	It may hinder the attainment of the latest information of SRRV members which may result to difficulty in profiling / monitoring their current condition in the country	-	The updated information of SRRV members are obtained during ID renewal annually or every three (3) years, as currently being implemented, depending on the SRRV members, preference	-
		Servicing Division / Financial Management Division (Via Courier Request)	SRRV Members	Batching of service is contributory to slow delivery of service	Prompt delivery of service to clients	Delay in issuance of official receipt for payments thru banks. Possible duplication issuance of official receipt. Delay in the processing of SRRV ID Renewal.	Accurate confirmation of the Retiree's	Focal person to process the validation and immediate issuance of official receipt	Establish on-line payment system Streamline Validation \$ issuance of official receipt
16	One (1) Year Validity of PRA ID	Servicing Division	SRRV Members	Monitoring of PRA Retirees	Verification of retiree members status/ location etc.	Inconvenience to retiree members to renew annually	Updated status of members retirees annually	Provision of three (3)-year ID validity	
17	Delay in SRRV Cancellation	Servicing Division / Financial Management Division	Retiree Members	B.I. Procedures/Process Released of Deposit Withdrawal Clearance	Meeting with BI officials Review procedure/process to release withdrawal/clearance	Unavailability of concern officers Streamline the process of cancellation	Facilitate the immediate cancellation of SRRV	Request are forwarded to BI Requires multiple steps to complete the process	
18	Control of Records	Servicing Division / Admin	Servicing Division	Control of Records	Assigned Personnel (Regular) as record custodian	Unavailability of Personnel	Direct control of record that will be permitted to be borrowed	Job order employees handles all records	

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19	Conversion of Deposit to Investment	Servicing Division/Investment Group	SRRV Members	Purchase of condominium	Require member-retirees to submit DOAS/CTS, photocopies of pictures of the property, and other relevant documents	Actual assessment of status and physical condition of the property.	Causes retirees' satisfaction. Strengthen retentions program.	Ocular inspection is required to verify if the unit is ready for occupancy.	Required Certification of Membership from the Building Manager/Administrator
				Substitution of investment				Annotation of PRA restriction of the CCT.3. Submission of certified true copy of CCT with PRA restriction.	
				Long Term Contract of Lease				The value of the unit must be at least US\$50,000.00.	
								Ocular inspection is required to verify if the unit is ready for occupancy.	
								The value of the unit must be at least US\$50,000.00 or the value of the property to be substituted is greater than the existing one.	
								Annotation of PRA restriction.	
								Cancellation of PRA restriction on the old CCT.	
								Submission of certified true copy of new CCT with PRA restriction.	
								Ocular inspection is required.to verify if the unit and/or property is ready for occupancy.	
								That the value of the Contract must be at least US\$50,000.00.	
								Annotation of PRA restriction.	
								Cancellation of PRA restriction on the first CCT.	
								Submission of a certified true copy of CCT with PRA restriction.	
								Sworn Undertaking by the Lessor to comply with PRA's requirements.	

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20	Payroll for Regular and Job Order Employee	Administrative Support Division (ASD)	COA PRA OFFICERS AND EMPLOYEES <i>Accurate and on-time payment of salary.</i> <i>Correct and complete documentary requirements on file.</i>	Unjustifiable requests for immediate release of salaries/payroll of Job Order (JO), and non-compliance to schedule and procedure. Delays in submission of Daily Time Record (DTR) and other documentary requirements by employees.	Error-free payment of salary to PRA employees and without delay as scheduled	Errors; incomplete signatories and attachments were observed due to untimely and expeditious release of salaries of JO employees.	Thorough review and timely processing with complete documentary requirements of payroll. Complete/correct and updated 201 and financial records of employees. On-time remittance of mandatory contributions..	Regular reminder to employees to follow/comply with the proper procedures. Thorough review of documents (DTRs, accomplishment reports, etc.) Monitoring the compliance of policies, proper recording and filing. Monitoring and coaching of staff.	Re-assignment or return to Administrative Support Division of HRMO I and HRMO III to start the orientation and hands-on performance of their duties and responsibilities.
21	General Services	Administrative Support Division (ASD)	EMPLOYEES <i>Safe and hazard-free working environment.</i>	Improper installation and exposed electrical lines and LAN cables. No coordination with Admin/Property Custodian in the repairs done to office space and properties by ICTD. An aluminum cladding was temporarily placed to expose electrical lines and LAN cables.		May result to fire, tripping, electrocution of personnel, and damage to property. Unpresentable and dirty exposure of tubes and wirings.	Hazard-free environment/workplace. Clean and comfortable work environment.	Requested replacement of lines/cables covering with neat and proper materials.	Installation of cable and other wirings should be done by skilled professionals who can provide an approved plan with proper coordination with the Administrative Support Division, and avoid using PRA employees to perform the job (considering cost-cutting measures)).

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22	Records and Documented Information	Administrative Support Division (ASD)		<p>Lack of storage/separate locations of records storage.</p> <p>Non-observance on proper recording of documents, records, files which are borrowed/endorsed to other divisions/departments.</p> <p>RRSD-retirees folders are scattered everywhere, and everybody can freely access/remove files from it.</p> <p>201 file records are safely kept in the records room but ICTD directly required all employees to submit their Personal Data Sheet (PDS) to ICTD without the knowledge of Admin/HR division. Some records were issued to external party contractors.</p> <p>Biometrics Record/Attendance are being controlled/accessed by ICTD.</p> <p>Disclosure of 201 files and attendance records are beyond control of Admin/HR Division.</p>		<p>Difficulty in documented information retrieval.</p> <p>Missing documents/files.</p> <p>Unauthorized employees, or even outsiders, can easily access to records, properties, and 201 files of PRA, and may take advantage and misuse the personal information of PRA employees.</p>	<p>Accessible and safe records keeping.</p> <p>ISO certification will be completely successful and well-implemented,</p>	<p>Regular notice to implement 5S and Records Management.</p>	<p>To introduce new system and procedure for proper records/documented information management.</p> <p>Institutionalize 5S to employees.</p> <p>To acquire Records Management System from service provider to have an easy records keeping, tracking and access that can be need as reference for records updating, and inventory for active and inactive files.</p>

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23	Training and Development of Employees	Administrative Support Division (ASD)	CLIENTS/EMPLOYEES <i>Accurate and complete information about PRA requirements, processes and other vital informations</i>	Some employees not regularly monitored, and coaching not applied. Some employees are not updated to new government rules and regulations. Lack of knowledge of PRA program, and mostly fall short of competencies required for their positions. Training needs analysis (TNA) not properly identified.	Satisfied and happy clients. Knowledgeable, competent and efficient employees who can deliver expected output.	Delays in delivery/completion of task. Misinformation of policies which results to abuses and violations of office rules. Misbehavior of employees; assigned tasks are taken from granted.		Continuous revalida sessions is being conducted in order to assess the knowledge and understanding on the SRRV Program and its processes by the employees. New rules and regulations of PRA and the government are being communicated to the employees through Office Orders, Memorandum and cascading sessions.	To continue the competency development program, and to strictly implement the Strategic Performance Management System (SPMS) and performance monitoring by the Performance Management Team (PMT). To ensure the timely and quality output of the PRA Plans and Programs through implementation and compliance of Citizen's Charter (internal and external clients).
24	Recruitment, Selection and Placement	Administrative Support Division (ASD)	CLIENTS/STAKEHOLDERS	Hiring of JO more than the number of regular employees. Giving tasks to JO which are critical, confidential, and also regular duties of permanent employees. Unequal opportunity for promotions of deserving employees.	Full implementation of the Plans and Programs of PRA without delay and in accordance with approved budget.	May result to COA Audit Observation Memorandum (AOM). Quality of work output and attainment of Plans and Programs not fully completed as shown in the scorecard.	Accomplishment of scorecard Entitlement to Performance-Based Bonus (PBB) Employees are motivated to improve performance.	Issues are beyond the control of Admin/HR Division.	PRA may consider reviewing policies, circulars and other issuances regarding hiring of JOs. Review duties and responsibilities of JOs in accordance with DBM, CSC, and COA guidelines. Entering into contract with manpower agency for JO employees.
25	Inventory of Properties and Equipments	Administrative Support Division (ASD)	EMPLOYEES	Any employee, upon request, are allowed to use or duplicate the keys to PRA offices for their easy access and comfort to enter the office anytime.	Proper use, safekeeping, and security of government properties.	Security of the office and PRA properties are compromised. Uncontrolled use/access of materials and properties which can be brought out of the office anytime by anybody.	Secured office and government properties.	Issues are beyond the control of Administrative Support Division and Property Custodian.	Only officer/staff from the Administrative Support Division or Property Custodian shall be the sole holder of keys of the office. Keys from other staff shall be surrendered to the ASD. Access/entering the PRA office during holidays shall require approval from Agency Head through an Office Order.
26	Inventory of Furniture and Fixture, and Regular Office Supplies	Administrative Support Division (ASD)	EMPLOYEES <i>Items are in good condition.</i>	All items are issued to users and properly documented.	Provision of equipment and materials needed by the employees.	Mishandling and misplacements of materials and other properties which resulted to delay in updating and re-issuance of Acknowledgement Receipt of Equipment (ARE) and physical inventory.	Requests of employees are provided, and convenience to their work and work area. Inventory reports are submitted on-time to COA.	Monitoring of physical presence of the item and updating of inventory report.	Quarterly submission of inventory of furniture and fixture, and monthly inventory of regular office supply.

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27	Purchase Request	Administrative Support Division (ASD)	SUPPLIER Complete details and specifications of the item requested.	Urgency of the item and prioritization of what matter most for the end-user.	Provision of good and quality items for the end-user.	Specification not completely met by the supplier. Delay in the complete delivery of goods and services.	Achieving quality items that would satisfy and provide the needs of the end-user.	Quotations from supplier must completely meet the specifications requested including delivery time.	Request of materials and equipment should be based on the submitted Annual Procurement Plan - Common- Use Supplies and Equipment (APP-CSE) as tool and guide.S
28	Disbursement	Financial Management Division (FMD)	Goods and service providers	Manual process	On time and accurate payment	Double payment, penalties on late payment, dissatisfied providers	Automation	Review and approval, monitoring of utilities and other recurring expenses	Analysis of subsidiary ledger prior to processing of payment
		Financial Management Division (FMD)	Accredited Marketers	Payment to BI not passing Budget Office for tagging of applications with marketers or walk-in	Properly tagged applications with marketers and walk-in	Walk-in applications maybe claimed with marketers on a later date	Automation	New Client Registration Form	Enhanced application form by controlled serial number and QR Code
		Financial Management Division (FMD)	Regulatory agencies, Employees	Manual process, high staff turnover	On time and accurate withholding and remittances	Penalties for late remittance	Automation	Review and approval	Link payroll to disbursement
		Financial Management Division (FMD)	Bureau of Internal Revenue, Service Providers	Decentralized procurement and procurement through petty cash funds and Cash Advance to Special Disbursing Officer	Be able to properly withheld taxes in all purchases of goods and services	Penalties and disallowed expenses due to non- withholding by the BIR	Centralize procurement with the PMD and discontinue advances to SDOs and Petty Cash Funds of Divisions	Discourage advances to SDOs for procurement and limit payment through Petty Cash Fund	Discontinue the PCF of Divisions, other than PMD. Create special funds for the Express Lane Fee of BI for the processing of SRRV
		Financial Management Division (FMD)	COA	Granting of advances to someone with unliquidated existing cash advance	No cash advance shall be granted while an existing cash advance remains unaccounted and fully liquidated	Manual process	Automation	Registry of advances in excel	Automate ledgers
		Financial Management Division (FMD)	Service Providers, Satellite Offices	Late payments due to late submission billing/documents	On time settlement of utilities and rent for satellite offices	Disconnection and penalties	Process modification	Satellite officers coordinating with providers and submitting to Head Office	Direct submission of documents from providers to Head Office
29	Accounting	Financial Management Division (FMD)	COA	Submission of accounting documents and reports to COA	Prompt submission of accounting documents and reports to COA	Non-compliance, suspensions and disallowance	Automation	Transmittal documents to COA	
		Financial Management Division (FMD)	COA	Audit Observation Memorandum	Minimal audit observation raised by COA resident auditors	Suspension and disallowance	Automation	Transmittal documents to COA	
		Financial Management Division (FMD)	GCG, DOT, DOF, GAO, DBM, BIR	Late preparation and release of financial statements	On time submission and release of financial statement on or before the 15th of the following month	Manual process	Automation	Review and approval	Procurement of accounting software by CY 2022

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30	Revenues & Fees	Financial Management Division (FMD)	Accredited Banks, Retirees	Late collection of fees	On time collection	Overdue accounts	Automation	Regular billing, Review and approval	Procurement or development of a billing system
		Financial Management Division (FMD)	Accredited banks	Understated collection of management fee due to inaccurate masterfile on visa deposit	Accurate and on time collection of management fee from accredited banks	Understated income	Automation	Excel file on visa deposits per banks and manual billing	Procurement or development of a billing system
31	Banking	Financial Management Division (FMD)	Accredited Banks, Retirees, DBP	High exposure to DBP on retirees' visa deposits	Managed exposure to financial losses due to uninsured balance in case of bank run	Losses in management fee and exposure	Transfer visa deposits to private banks	Promote private banks for visa deposit	Use DBP to facilitate remittance of visa deposit from retirees and require transfer to private banks upon oath taking or issuance of the SRRV
		Financial Management Division (FMD)	Accredited Banks, Retirees, DBP	Withdrawal of visa deposit from private banks without PRA Clearance	Visa withdrawal must have PRA Clearance	Retiree with valid SRRV but without the requisite visa deposit, loss in management fee income	Automation	Monthly management fee report from private accredited banks	Automated management fee and visa deposit monitoring wherein soft file of the reports from banks can be uploaded
		Financial Management Division (FMD)	Accredited Banks, Retirees, DBP	Transfer of visa deposit not properly tagged by the receiving bank as restricted to PRA Clearance	Visa withdrawal must have PRA Clearance	Retiree with valid SRRV but without the requisite visa deposit, loss in management fee income	Automation	Monthly management fee report from private accredited banks	Automated management fee and visa deposit monitoring wherein soft file of the reports from banks can be uploaded
32	Collection	Financial Management Division (FMD)	Retirees, Applicants, Marketing, Marketers, Satellite Officers, Servicing	Savings account with Landbank for US Dollar do not have enough details to validate direct deposits from clients	On time and only validated receipts for collections directly to Landbank account	Delay of validation and Double issuance of Official Receipt for direct deposits	Payment gateway	Verification and register in excel to monitor collection and issuance of Official Receipt for direct deposits	Opening of US Dollar current with HSBC or MOA with a payment gateway accepting US Dollar settlement
		Financial Management Division (FMD)	PRA	Undeposited collection due to limited cash pick up schedule of Landbank	Collection for the day must be deposited the following day	Exposure to losses due to theft or bulgary	Request Landbank for daily cash pick up	Daily cash count and secured vault	Daily deposit of cash collection and security camera at the Cashiers' office
		Financial Management Division (FMD)	Servicing, Marketing	Errors in OPS/RRF	Accurate OPS/RRF	Errors in issuance of Official Receipt, cancellation of Official Receipts, and alterations	Link the OPS/RRF system to the POS system	Review and validation	Link the OPS/RRF system to the POS system

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								EXISTING CONTROLS OF THE PROCESS	RECOMMENDED ADDITIONAL CONTROLS, IF ANY BY AND WHEN
33	Procurement Process	Procurement Management Division (PMD) Bids and Awards Committee (BAC)	PRA END-USER/PROPONENT <i>Prompt execution of planned project/activity and effective utilization of the allotted budget</i>	(-) Winning bidder/supplier did not accept terms and conditions/contract	Timely implementation of the planned and necessary programs, activities, and projects (PAPs) in the achievement of the corporate targets and goals of the Authority. All procurement projects and activities of the Authority are implemented in accordance with R.A. No. 9184, Procurement Reform Act and its IRR.	Disruption/delay in project implementation, possible downtime, and may entail additional costs for re- processing. Impractical timeframe in the accomplishment of the project/activity.	n.a.	Terms and conditions are clearly stated during invitation to bid.	Consult prospective bidders during procurement planning.
				(-) Inadequate/ no response/offer/bid received				Adequate time for bidders to respond is provided.	The Division to seek legal redress if non-acceptance causes loss to the Authority.
				(-) Insufficient funding and/or late approval of the Authority's Corporate Operating Budget (COB)				Negotiation with the bidder is done without jeopardizing the integrity of the contract/agreement.	
							n.a.	Documentation and specifications are improved.	The Division to seek feedback from prospective bidders on their non-response.
								Specifications needed for a product/service requested are clearly specified during the invitation to bid.	To encourage all departments/divisions concerned to earnestly review the specifications/terms and conditions required of a product or service, including market knowledge/study.
								Documentation of the bidding process is improved.	
								The Division allowed sufficient time for bidders to inquire and respond.	Improve forecasting, planning, and consultation with proponent/requesting party.
								n.a.	Re-design conduct of pre- procurement conference - <i>Divisional Procurement Planning Technical Guidance Session</i> , to improve the procurement planning process.
								The Division encourages all concerned end-users to ensure appropriate approvals of funding before undertaking process.	
								Early conduct of budget planning and preparation.	
								Constant promotion of prompt submission of divisional PAPs with approved Project Procurement Management Plan (PPMP) and Budget Breakdown.	

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33	Procurement Process	Procurement Management Division (PMD) Bids and Awards Committee (BAC)	PRA END-USER/PROPONENT Prompt execution of planned project/activity and effective utilization of the allotted budget	(-) Narrow/Biased specifications (-) Branding	Timely implementation of the planned and necessary programs, activities, and projects (PAPs) in the achievement of the corporate targets and goals of the Authority. All procurement projects and activities of the Authority are implemented in accordance with R.A. No. 9184, Procurement Reform Act and its IRR.	There may only be fewer alternatives/bidders to provide the necessary product/service. Thus, most suitable goods/services may not be obtained resulting to needs not satisfied, that may cause additional/increased costs to the Authority. There may be legal cases needed to be addressed due to non-compliance of the law. Poor competition.	n.a.	The Division asks for the end- users to define specifications in terms of required outputs, and to use functional and performance specifications. The Division also implements control mechanism to review specifications before release.	
				(-) Decision made on subjective grounds		This may result on selecting an inappropriate supplier/ service provider. Thus, complaints from bidders may arise and may accuse the concerned decision-makers of having an unethical conduct and unfair decision that may be subjected to legal charges as violation of the law.	n.a.	The Division strictly follows the evaluation procedure and criteria provided by the law, and ensures transparency during the conduct of evaluation. Unacceptable bid/offer is reasonably excluded in the list during the evaluation and selection process.	To introduce additional evaluation criteria that is appropriate and measurable in selecting the proper and suitable supplier/service provider.
				(-) Integrity issues		It may result to misuse of resources since the most suitable goods/services are not obtained. The unethical conduct of the concerned personnel may cause the disallowance of disbursed funds and may lead to legal charges as violation of the law. Reduced competition	n.a.	Implementation of best practice policies, guidelines, and practices is being performed in order to maintain the ethical environment within the Authority.	To improve training of personnel, professionalize the BAC members and TWGs. To improve controls and reviews in place.

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33	Procurement Process	Procurement Management Division (PMD) Bids and Awards Committee (BAC)	PRA END-USER/PROPONENT Prompt execution of planned project/activity and effective utilization of the allotted budget	(-) Selecting inappropriate/low quality product/service	All goods and services complied with the requirements/specifications set by the requesting party and delivered on time.	The selected product/service may fail to satisfy the needs of the organization/clients. Hence, may cause disruption/delay in the implementation of the project/activity, and even the normal operation of the Authority, which may entail additional costs for re- processing.	n.a.	The Division involves the user/requesting party/technical working group (TWG) in the evaluation and selection procedures during the bidding process. Constant communication with the concerned departments/divisions concerning improved preparation of technical specifications/terms of reference.	
				(-) Purchase of unsuitable/totally unacceptable product or service Specifications/deliverables/ scope of works not clearly and completely specified/provided by the project proponent		It may cause possible downtime of normal operation of the Authority due to understatement or overstatement of the need, or misinterpretation of end-user needs. Purchase of unsuitable/totally unacceptable product/service; thus, needs not satisfied. It will result to money and time being wasted, therefore, increased costs. Poor competition		n.a.	The Division asks the end-users to analyze the need accurately in order to define functional and performance specifications. Use of functional and performance requirements during the preparation of detailed specifications/Terms of Reference (TOR)/Scope of Work (SOW). Detailed review of the submitted specs/TOR/SOW by the PMD and BAC before publishing the invitation to bid/request for quotation.

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33	Procurement Process	Procurement Management Division (PMD) Bids and Awards Committee (BAC)	PRA END-USER/PROPONENT Prompt execution of planned project/activity and effective utilization of the allotted budget	(-) Supplier/service provider failed to fulfill the conditions/continue the contract	Average rating in Suppliers Performance Evaluation should be at least 4.0.	The selected product/ service may fail to satisfy the needs of the organization/clients. Hence, may cause disruption/delay in the delivery of the project/activity, even possible downtime, which may entail additional costs for re- processing. Also, may cause contract disputes that will lead to legal actions.	n.a.	A regular performance evaluation of the suppliers/service providers is being conducted by the Division, through the assessment of the concerned end-user. The Division requires the suppliers/service providers to submit a progress report on the completion of delivery of product/provision of service. Hold regular meetings/maintain communication. The Division consider blacklisting/excluding supplier/service provider with this kind of issue.	
				(+) Availability of modern technology/innovations (+) Additional IT programmers hired (+) Electronic systems used by the oversight government agencies like Government Procurement Policy Board (GPPB)	Automate procurement process by 2022.		The automation of the procurement procedures may cut down processing time and costs, improve records keeping, and ensure transparency.	Utilization of e-bidding system provided by GPPB. Development of the Procurement Information Management System (PIMS) is continuing, including the pre- procurement process.	The Bids and Awards Committee (BAC) members and Technical Working Group (TWG) to attend e-bidding system training of GPPB.
				Winning bidder/supplier did not accept the terms and conditions of the contract.	Timely issuance and implementation of contracts.	Disruption/delay in project implementation, possible downtime, and may entail additional costs for re- processing.	n.a.	Consult prospective bidders during planning. Terms and conditions should be clearly stated during the invitation to bid. Allow adequate time for bidders to respond. Seek legal redress if non- acceptance causes loss. Negotiate but retain the integrity of the contract.	

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34	Corporate Performance and Compliance Management	Corporate Planning Division (CorPlan)	PRA <i>Continuous existence as a GOCC</i> <i>Corporate image and reputation as a GOCC</i> PRA OFFICERS AND EMPLOYEES <i>Attain high morale and motivation to perform their job/functions satisfactorily</i>	(-) Non-achievement of a weighted average score of at least 90% in the Authority's Performance Scorecard, and failure to satisfy 100% of the good governance conditions (GGCs) for the past years.	Strong image and reputation of the Authority as a GOCC in terms of governance and management.	Failure to achieve Scorecard targets thus Performance-Based Incentives (PBI) for Appointive Directors, and Performance-Based Bonus (PBB) to qualified officers and employees of the Authority are not granted. Non-renewal of appointment of Appointive Directors of the Authority, including the General Manager/CEO.	Increased SRRV enrollment Improvement of processes as a result of government stakeholder interventions such as the BI and the DFA Introduction of new DOT policies that supports/benefits the SRRV program (directly or indirectly)	Action planning for the strategies in achieving the Performance Scorecard targets and fulfilment of GGCs is included in the annual Strategic Planning Activity of the Authority. Identify focal person per division for monitoring and reporting of respective targets per division and capacitate them on how to better monitor the compliances through regular meeting and updating.	Automate the monitoring system
35	Maintenance of the QMS Standards (ISO 9001:2015) Certification	Corporate Planning Division (CorPlan)	PRA <i>Maintain QMS Standard (ISO 9001:2015 certification)</i> Customer: Enhance customer satisfaction PRA OFFICERS AND EMPLOYEES <i>Emphasize process-based approach to QMS; Introduce Risk-based thinking; Encourage continual improvement through regular monitoring and promote evidence-based decision-making</i>	(-) Failure to maintain ISO Certification	Certification in ISO 9001:2015	1) Inadequate top management commitment; 2) Employees' resistance to change; 3) Insufficient training of employees and resources; 4) Failure to integrate QMS into daily operations 5) Misalignment with organizational culture Inadequate documentations and control	Maturity of the QMS	Conduct of Internal Quality Audit Regular ManCom Meeting	Automation of Processes and Creation/Updating/ recalibration of of Operations Manual and other existing procedures
36	Scheduling of Management Committee (ManCom) Meetings	Office of the General Manager (OGM) ManCom Secretariat	MANAGEMENT COMMITTEE (PRA OFFICERS) PRA EMPLOYEES, CLIENTS, AND STAKEHOLDERS	Availability of the ManCom. Agenda items/topics for discussion.	Regular schedule of ManCom meetings	Different schedules/availability of the ManCom members. No items/topics for agenda or discussion.	Consciousness of the departments/divisions as to their respective plans and programs..	Schedule meeting when the need arises.	Set a regular (monthly) ManCom meeting
37	Accreditation of Marketer	Office of the General Manager (OGM) Accreditation Unit	SIGNATORIES TO THE DOCUMENTS COMPANIES INTERESTED TO BECOME ACCREDITED MARKETERS ACCREDITED MARKETERS (RENEWAL PURPOSES)	Lacking documents. Availability of signatories.	Processing of accreditation completed within the period provided in the Citizen's Charter.	Unavailability of signatories.	Forms are readily available at PRA website so they can accomplish it in advance and complete the documents needed.	Accessibility of the system to all staff under the Accreditation Unit. Retain own records/monitoring (Excel).	System-based checklist of documents to control issuance of OPS.

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38	Scheduling of Board Meetings	Office of the Board Secretary PRA Board Secretariat	PRA BOARD SECRETARIAT CHAIRPERSON AND MEMBERS OF THE BOARD PROPOSERS (PRA DEPARTMENTS/DIVISIONS)	Availability of the Chairperson and Members of the Board. Agenda items/topics for discussion.	Regular schedule of Board meetings.	Different schedules/availability of the Chair and Members of the Board. No items/topics for agenda or discussion.	Continuity of plans and programs.	Schedule meeting when the need arises.	Set/fix date for regular board meetings.
39	Routing of Board Materials	Office of the Board Secretary PRA Board Secretariat	PRA BOARD SECRETARIAT CHAIRPERSON AND MEMBERS OF THE BOARD	Delay in the submission of the proponents of their Board Materials	Routing of Board Materials to the Chairperson and Board of Trustees (BOT) members one (1) week before the scheduled BOT meeting.	Delay in the submission of materials by the proponents.	Setting stricter guidelines in the submission of materials.	Sending materials prior to meeting.	Stricter guidelines in the submission of materials.
40	Drafting of Minutes of the BOT Meeting and Resolutions	Office of the Board Secretary PRA Board Secretariat	PRA BOARD SECRETARIAT CHAIRPERSON AND MEMBERS OF THE BOARD	Availability of audio recording and transcript of meetings.	Inclusion of the minutes in the next Board Meeting for approval of the Board. Routing of draft Board Resolutions one (1) week after Board Meeting, for signature of BOT.	Schedule of BOT meetings if made in short intervals.		Delegation as to transcribing of audio recording and drafting of the Minutes and Board Resolutions.	
41	Data Gathering and Audit Report Writing	Internal Audit Division (IAD)	AUDIT CLIENTS	Delay in the provision of requested documents	Analysis of data gathered.	Delay in the submission of reports to the Board of Trustees (BOT).	More time to be given to audit clients to submit their management comments.	Constant follow-up and monitoring of work accomplishments.	
				Unavailability of clients for interview/validation.	Final Audit Report submitted to BOT.	incomplete audit findings and conclusions.	More time to improve/polish the report.	Constant coordination with Senior (Top) Management.	
				Incomplete data provided.		Extension of audit exercise.			
				Audit client files cannot be easily retrieved/located.		The BOT are not informed of the results of the audit due to non/delay in conduct of Board Audit Committee conference.			
				The need to see physical evidences/source documents aside from soft copies/databases for validation/verification purposes.		Non/Delay in issuance of Board Resolutions/Secretary's Certificate. Audit recommendations not implemented.			

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42	Implementation of programs, activities, and projects	HO, SOU, MSO, FMD	Clients (foreign retirees and PRA partners) 1. On time processing and delivery of requested services PRA/Government 1. Efficient and effective management of allocated budget to achieve targets and objectives	(-)Late approval of budget (-)Delay in availability of petty cash	1. On time approval of budget 2. High budget utilization 3. Prompt implementation of PAPs	1. Late implementation of planned activities 2. Low budget utilization at the end of the year 3. Inability to purchase needed supplies without available petty cash		1. Continue submitting project/activity proposals on time 2. Budget Monitoring Registry maintained by the FMD (budget utilization) 3. Timely submission of petty cash replenishment requirements	
43	Verification of retiree information	HO, SOU, MSO, ICTD	Clients (foreign retirees and PRA partners) 1. Quick and efficient service PRA MSO 1. Easy and ready access to retiree information for verification	(-)Unavailability of retiree information that may result in longer wait time for clients (-)Retiree information are centralized in the HO and not readily available to MSO due to distance	1. Easy and ready access to retiree files and information 2. Fast processing time and lesser wait time for clients	1. MSO personnel unable to immediately verify information needed for transactions 2. Delay in processing of transactions	Digitalization	1. RIMS access 2. Access to Processing and Servicing database	Cloud/remote access to retiree files
44	Dissemination of updates, information, policies, and procedure	HO, SOU, MSO, ICTD	Clients (foreign retirees and PRA partners) 1. Timely and accurate information PRA MSO 1. Updated/accurate information about current policies and procedures	(-)Updates/Information are not cascaded in a timely manner (-)Absence of a system where personnel can easily access updates/announcements (-)Distance from HO	1. SOs to receive updates in a timely manner 2. Fast processing time	1. Delay in completion of transactions due to incomplete/incorrect requirements 2. Client dissatisfaction due to incorrect/incomplete information provided	Improved system of communication and information dissemination	1. Ensure all updates/changes are communicated to SOU for dissemination to SOs 2. Announcements page on the PRA website	1. Establish repository of policy updates, circulars, memos, office orders, etc. and provide cloud/remote access to SOs 2. All circulars and policy updates that affect retirees should be posted on the PRA website and official social media page(s) 3. Make sure that PRA website is always updated with the latest announcements and old policies/announcements/forms are removed
45	Status of transactions/requests	HO, SOU, MSO	Clients (foreign retirees and PRA partners) 1. Updates on status of transactions/requests PRA MSO 1. Updates on status of transactions/requests to be relayed to clients	(-)Information on the status of transactions/requests endorsed to the HO are not easily available	1. Positive client experience by being able to immediately provide status on transactions when they follow-up 2. Better monitoring of pending transactions	1. Client dissatisfaction due to inability of personnel to immediately provide updates on the status of transactions/requests 2. Personnel need to contact HO/SOU via e-mail, SMS, messenger, or phone call to follow-up or check on the status of transactions	Digitalization	1. Daily and weekly follow-ups 2. SOU to provide updates to MSO 3. Access to database for ID Renewal, Cancellation, Conversion, and Bank Certificates	Database for all transactions including client-related and internal

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46	Delivery of documents from HO to MSO and vice-versa	SOU, MSO	Clients (foreign retirees and PRA partners) 1. Timely delivery/completion of transactions/documents PRA MSO 1. Timely delivery/completion of transactions/documents	(-)Loss or misroute of important documents transmitted via courier (-)Delayed delivery of transmitted documents	1. Eliminate or minimize instances of lost or misrouted documents 2. On time delivery of transmitted documents from HO to MSO and vice-versa	1. Loss of important documents 2. Delay or non-completion of transaction 3. Client complaints 4. Cost in replacement of lost/misrouted documents	1. Digitalization 2. Delegation and decentralization of transactions	1. Keep track of parcels/packages using the tracking number provided by the courier 2. Keep scanned copies of all documents transmitted to HO 3. Database for transmittal records 4. Ensure availability of communication channels 5. Advanced scanned copies are sent via email for transactions that do not require original documents	Inform the recipient whenever documents/packages are transmitted
47	Distribution of PRA materials such as marketing materials and request forms	HO, SOU, MSO	Clients (foreign retirees and PRA partners) 1. Access to correct and updated PRA materials PRA MSO 1. Availability of PRA materials for distribution to its clients and partners	(-)Materials not readily/easily available (-)Distance to HO	Easy and ready access to updated PRA materials	1. Supplies run out and may take time to replenish 2. PRA website inaccessible due to maintenance or no internet connection		1. Ensure availability of communication channels 2. PRA brochures, marketing materials, and other supplies are requested from the HO and sent via courier or hand-carried by personnel with official travel to Davao City 3. Request forms and checklists are uploaded on the PRA website and also saved on local computers	
48	Communication Channels	HO, SOU, MSO, ICTD	Clients (foreign retirees and PRA partners) 1. On time processing and delivery of requested services/information 2. Fast and efficient service 3. Timely response to inquiries PRA MSO 1. Easy and ready access to information/updates from HO 2. Seamless communication between HO and MSO	(-) Distance to HO (-)Limited communication channels (-)Defective/Ineffective communication channels	1. Easy and ready access to information/updates needed to complete transactions or answer inquiries 2. Client inquiries/concerns are addressed in a timely manner	1. No internet connection 2. Breakdown of communication channels 3. Information needed to address inquiries/concerns not readily available		1. Ensure availability of communication channels such as landline, mobile, email, messenger, and other messaging apps	

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49	Safety and Security	HO, SOU, MSO, ICTD, Building Admin	Clients (foreign retirees and PRA partners) 1. Safety and security of person and property PRA MSO 1. Safe and secure work environment	(-)No office security personnel for MSO (-)CCTV not working	1. Zero burglary incident 2. Safe and secure place for clients 3. Safe and secure environment for employees to work	1. National/local security threats (especially for Mindanao SO) 2. Burglary 3. Agitated clients can compromise safety of PRA personnel		1. Ensure all entry points to the office are locked and secured during off-hours 2. Ensure only authorized personnel have keys to the office 3. Important documents are placed inside the vault that only the MSO Head has access to 4. Building security personnel 5. Availability of emergency phone numbers 6. Attendance of personnel to Security Awareness Seminar organized by HO	1. Hire security personnel for MSO 2. Fix CCTV
50	Emergency Preparedness	MSO, Building Admin	Clients (foreign retirees and PRA partners) 1. Safety and security PRA MSO 1. Safe and secure work environment	(+) Medical Emergency (+)Fire/Earthquake/Calamity	1. Personnel are prepared and equipped in case of emergencies 2. PRA properties and files are protected/recoverable in case of emergencies	1. Injury 2. Loss of life 3. Damage to properties		1. Availability of communication channels and emergency phone numbers (911) 2. Medical kit 3. Evacuation plan 4. Fire extinguisher 5. Passports are kept inside the vault 6. MSO keeps scanned copies of documents	1. First aid training for personnel
51	Payment of fees	HO, SOU, MSO, FMD, ICTD	Clients (foreign retirees and PRA partners) 1. Safety and security of person and property 2. Quick, convenient, and efficient service	(-)Payments for transactions with SOs are deposited to Landbank only (-)Payment verification may take time (-)SOs are not authorized to issue receipts/invoices	Payment/settlement of fees are more convenient for clients	1. Clients/retirees are exposed to possible robbery when large amounts of cash for deposit to Landbank 2. Non-completion or delay in completion of transaction due to issues in payment verification 3. Client dissatisfaction due to inconvenience	Digitalization	1. Landbank deposit slip with payment details is provided to clients/retirees 2. Payment verification is conducted by FMD before issuance of receipt 3. Assistance is provided to elderly clients or those who have limited mobility	1. Online/electronic payments be made available 2. Partner with additional banks and payment centers to accept payments for PRA fees 3. Hire cashier to enable MSO to receive payments and issue receipts/invoices
52	Location of Mindanao Satellite Office	MSO, Building Admin	Clients (foreign retirees and PRA partners) 1. Accessibility and convenience	(-)Office is located at the third floor (-)There is only one elevator in the building	Safe, convenient, pleasant, and accessible office	1. Elderly and PWD clients are unable to go up to the office when the sole elevator is out of order. 2. Client dissatisfaction due to inconvenience		Preparations to transfer to the ground floor are ongoing	Wheelchair for clients with mobility issues

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								EXISTING CONTROLS OF THE PROCESS	RECOMMENDED ADDITIONAL CONTROLS, IF ANY BY AND WHEN
53	Office Utilities, Supplies, Equipment	HO, SOU, MSO, FMD, PMD, Building Admin	<p>Clients (foreign retirees and PRA partners)</p> <ol style="list-style-type: none"> On time processing and delivery of requested services Quick, convenient, and efficient service <p>PRA MSO</p> <ol style="list-style-type: none"> Timely delivery/completion of transactions/documents Office functionality 	<p>(-)MSO personnel are unable to complete tasks or accept transactions that require the use of the computer/printer in the event of a power outage</p> <p>(-)Laptops are defective and need to be plugged while in use</p> <p>(-)Official vehicle is no longer functional</p> <p>(-)Delay in availability of petty cash</p>	<ol style="list-style-type: none"> Positive client experience Safe, convenient, pleasant, and accessible office Complete and functional equipment without issues for MSO personnel 	<ol style="list-style-type: none"> Power outage Internet outage/issues No back-up generator Defective equipment Inability to purchase needed supplies without available petty cash 		<ol style="list-style-type: none"> Open line of communication to HO in order to report instances of power and internet outage/issues Pre-printed request forms and checklists Personal mobile data of personnel are utilized in case of issues with the ISP Purchase of replacement vehicle on process Timely submission of petty cash replenishment requirements 	<ol style="list-style-type: none"> Back-up generator Replace defective laptops/computers
54	Identification, Design, Development, Enhancement and Deployment of IT-Based Solutions	Information and Communication Technology Division	<p>-PRA Departments and Divisions: Need solutions tailored to their operational needs.</p> <p>-PRA Management: Requires alignment with the organization's strategic objectives.</p> <p>-ICTD: Responsible for the technical design, development, and deployment of solutions.</p> <p>-End-users: Employees and staff using the systems for daily operations.</p> <p>-DICT: Oversight of ICT solutions' compliance with government standards</p>	<p>(-)Lack of collaboration from other Divisions may lead to underutilized systems.</p> <p>(-)Resignation of developers causing delays for the development</p>	<p>-IT solutions fully aligned with the Authority's operational and strategic goals.</p> <p>-Effective collaboration with departments for better decision-making on IT solutions.</p>	<p>-Delays in deployment due to complex requirements or developers shortages.</p>	<p>-Streamlined processes through better IT solutions, increasing productivity.</p> <p>-Enhanced collaboration and communication between departments through integrated systems.</p>	<p>-Conduct regular consultation and workshops with departments to assess their specific needs and operational challenges.</p> <p>-Utilize a pilot-testing approach to identify any gaps in the proposed solutions before full deployment.</p> <p>-Engage key stakeholders early in the design phase to ensure buy-in and alignment.</p>	<p>-Implement a project management framework to streamline IT solution design and ensure alignment with departmental goals.</p> <p>-Develop a clear project timeline and resource allocation plan involving stakeholders to prevent delays and ensure smooth deployment of IT systems.</p>
55	Development and Definition of the Information Systems Strategic Plan (ISSP)	Information and Communication Technology Division	<p>-PRA Leadership: Needs clear direction for ICT investment and development.</p> <p>-ICTD: Responsible for creating, defining, and implementing the ISSP.</p> <p>-PRA Financial Management Division: Involved in budget allocation and ensuring financial resources align with the ISSP.</p> <p>-DICT: Reviews and endorses the ISSP.</p> <p>-End-users: Indirectly impacted by the strategic choices made in the ISSP.</p> <p>-PRA Departments: Provide input to align ISSP with their functional requirements.</p>	<p>(-)Difficulties in gathering accurate input from all departments.</p> <p>(-)Potential misalignment with rapidly changing IT requirements.</p> <p>(-)Late requests may lead to revisions of the ISSP.</p>	<p>-A clear three-year roadmap for ICT development, ensuring strategic alignment.</p> <p>-Well-defined timelines and budgeting for ICT projects.</p>	<p>-Inaccurate forecasting of IT needs by other Divisions could result in resource shortfalls.</p> <p>-Delays in DICT endorsement may halt the execution of critical projects.</p>	<p>-Clear direction and prioritization of ICT projects over the next three years.</p> <p>-Better budgeting and resource allocation through precise planning.</p>	<p>-Schedule regular departmental meetings during the planning process to gather accurate and up-to-date information on IT needs.</p> <p>-Use surveys and direct feedback methods to ensure all concerns are captured.</p>	<p>-Integrate flexibility in the ISSP to accommodate rapidly changing IT landscapes by including optional projects or contingencies.</p> <p>-Regularly update the ISSP based on technological advancements and adjust priorities as needed.</p>

NO.	PROCESS	PROCESS OWNER	INTERESTED PARTIES NEEDS AND EXPECTATIONS	INTERNAL AND EXTERNAL ISSUES	PLANNED RESULTS EXPECTED OUTPUTS, MFO, OBJECTIVE	RISKS THAT CAN ADVERSELY AFFECT THE PLANNED RESULT	OPPORTUNITIES THAT CAN BENEFICIALLY AFFECT THE PLANNED RESULT	ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES	
								EXISTING CONTROLS OF THE PROCESS	RECOMMENDED ADDITIONAL CONTROLS, IF ANY BY AND WHEN
56	Continuous Monitoring and Risk Mitigation	Information and Communication Technology Division	<p>-ICTD: Manages the monitoring tools and risk mitigation.</p> <p>>PRA Employees: Affected by any security breaches or system downtimes.</p> <p>-PRA Heads: Concerned with minimizing risks to operations and ensuring business continuity.</p> <p>-DICT: Ensures compliance with cybersecurity policies and frameworks.</p> <p>-External Auditors: Review system performance and risk management practices.</p>	<p>(-)Limited real-time monitoring tools may delay response to security threats.</p> <p>(-)High volume of logs and data could overwhelm existing analysis tools.</p>	<p>-Early detection of system anomalies and potential breaches.</p> <p>-Immediate corrective actions taken to address security and operational risks.</p>	<p>-Undetected vulnerabilities leading to security breaches or data loss.</p> <p>-Over-reliance on manual monitoring could cause missed threats.</p>	<p>-The implementation of automated monitoring tools can enhance security posture.</p> <p>-Proactive threat identification can significantly reduce downtime and security incidents.</p>	<p>-Schedule regular audits and reviews of system logs to ensure nothing is missed.</p> <p>-Train users in the use of real-time threat detection tools to minimize reliance on manual monitoring.</p>	<p>-Implement advanced real-time monitoring tools with automated alerts to detect anomalies faster. Leverage machine learning (ML) and AI-driven tools to manage large data logs efficiently.</p>
57	Research and Evaluation of IT Projects	Information and Communication Technology Division	<p>-ICTD: Responsible for researching, evaluating, and recommending IT solutions.</p> <p>-PRA Departments: Input is crucial for evaluating solutions based on departmental needs.</p> <p>-Third-Party Vendors: Compete to provide the best IT solutions.</p> <p>-DICT: Ensures the solutions adhere to regulatory standards such as the Data Privacy Act.</p> <p>-End-users: Will eventually use and be impacted by the implemented solutions.</p>	<p>(-)Difficulty in evaluating the long-term scalability of new IT solutions.</p> <p>(-)Lack of clear technical criteria for assessing IT proposals.</p>	<p>-Adoption of secure, scalable, and compliant IT solutions.</p> <p>-Recommendations backed by thorough technical assessments and reports.</p>	<p>-Poorly evaluated solutions may result in procurement of inadequate or insecure systems.</p> <p>-Vendors providing biased information during evaluations.</p>	<p>-Acquisition of cutting-edge, future-proof technologies that improve PRA's capabilities.</p> <p>-Improved ICT system efficiency by adopting solutions that scale with growing demands.</p>	<p>-Perform thorough technical proof-of-concept (POC) testing to ensure new solutions meet the Authority's long-term needs.</p> <p>-Use vendor-independent benchmarks to avoid biases during evaluations.</p>	<p>-Establish a standardized evaluation framework that includes criteria such as scalability, compliance, security, and vendor neutrality.</p> <p>-Keep a long-term IT roadmap that considers future scalability and regulatory requirements, ensuring that any solution procured can evolve with the organization.</p>

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58	Cybersecurity Policy Implementation	Information and Communication Technology Division	<p>-ICTD: Oversees the implementation and enforcement of cybersecurity policies.</p> <p>-All PRA Employees: Must adhere to the policies, including password rules and access controls.</p> <p>-PRA Management: Responsible for ensuring organization-wide compliance.</p> <p>-DICT: Monitors compliance with national data privacy and cybersecurity regulations.</p> <p>-Third-Party Vendors: May provide recommendation of cybersecurity tools or services.</p> <p>-End-users: Directly impacted by password policies, VPN usage, and access controls.</p>	<p>(-)Resistance to strict security policies (e.g., password policies, encryption standards).</p> <p>(-)Lack of user awareness or adherence to cybersecurity practices.</p>	<p>-Strengthened cybersecurity defenses across all PRA's IT systems.</p> <p>-Compliance with government ICT standards, including data privacy laws.</p>	<p>-Cybersecurity breaches due to non-adherence to policies.</p> <p>-Unauthorized access if policies are not fully enforced.</p>	<p>-Building a strong cybersecurity culture through awareness and training.</p> <p>-Implementing advanced security measures like multi-factor authentication (MFA) to enhance data protection.</p>	<p>-Initiate cybersecurity awareness campaigns, training sessions, and workshops to educate users on the importance of adhering to security policies. Implement mandatory cybersecurity training.</p>	<p>-Implement multi-factor authentication (MFA) across all systems to strengthen access control. Roll out encryption protocols for all sensitive data both at rest and in transit.</p> <p>-Set up an automated compliance check system to monitor adherence to cybersecurity policies and ensure timely action is taken in case of policy violations.</p>
59	Routine Maintenance, Troubleshooting, and Repairs	Information and Communication Technology Division	<p>-ICTD: Responsible for conducting maintenance and repairs.</p> <p>-PRA Employees: Rely on properly functioning IT systems for daily operations.</p> <p>-PRA Officers: Ensures that IT resources are reliable and available to prevent operational disruptions.</p> <p>-Third-Party Service Providers: May assist with repairs or provide support for specific hardware/software.</p> <p>-End-users: Impacted by the uptime and reliability of IT systems.</p>	<p>(-)Lack of sufficient manpower or resources to conduct timely maintenance and repairs.</p> <p>(-)Over-reliance on outdated or end-of-life hardware may cause frequent breakdowns.</p>	<p>-Increased uptime and reliability of IT resources through proactive maintenance.</p> <p>-Regular performance reports ensure that systems operate efficiently.</p>	<p>-System failures due to delayed repairs or lack of timely preventive maintenance.</p> <p>-Data loss or system downtime due to ineffective backup strategies.</p>	<p>-Implementation of automated maintenance scheduling systems can improve resource utilization.</p> <p>-Optimized IT asset management through regular inventory and maintenance.</p>	<p>-Develop and implement a proactive maintenance schedule for all IT systems, incorporating preventive maintenance routines.</p> <p>-Identify and phase out outdated equipment, replacing them with newer, more reliable alternatives. Consider automating the maintenance process where applicable</p>	<p>-Use a centralized maintenance management system to track repairs and inventory of hardware.</p> <p>-Ensure there is sufficient manpower for system maintenance by hiring additional staff when necessary.</p>

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								EXISTING CONTROLS OF THE PROCESS	RECOMMENDED ADDITIONAL CONTROLS, IF ANY BY AND WHEN
60	Weekly Backups of Information Systems and Internal Files	Information and Communication Technology Division	<p>-ICTD: Responsible for executing backups and ensuring data integrity.</p> <p>-PRA Employees: Whose files and systems are being backed up.</p> <p>-PRA Officers: Ensures business continuity and data protection.</p> <p>-DICT: Oversees compliance with data security and backup standards.</p> <p>-External Auditors: May review backup processes as part of security assessments.</p> <p>-End-users: Indirectly benefit from data recovery and protection strategies.</p>	<p>(-)Incomplete or failed backups may compromise data integrity.</p> <p>(-)High storage demands due to frequent backups, leading to increased costs.</p>	<p>-Ensured data integrity through consistent weekly backups.</p> <p>-Reduced risk of data loss due to backup redundancy and regularity.</p>	<p>-Backups failing due to system errors or insufficient storage capacity.</p> <p>-Slow restoration processes in case of a data recovery scenario.</p>	<p>-Migration to cloud-based or hybrid backup solutions can enhance data security and accessibility.</p> <p>-Reduced data recovery times through advanced backup and restoration technologies.</p>	<p>-Explore cloud-based or hybrid storage solutions to reduce on-premise storage demand and increase backup efficiency</p> <p>-Regularly audit backup systems and logs to ensure no backups have failed, and address any issues related to system errors or insufficient storage proactively.</p>	<p>-Perform regular tests to verify the integrity of backups and conduct restoration drills.</p> <p>-Set up automated and redundant backup systems to ensure that weekly backups are complete and reliable.</p>

Updated on 14 October 2024