



Risk Register

Department: Office of the General Manager
Date of Update: December 29, 2016

Process/Step	Description of Risk	Existing Control	Source	Classification	Probability of Occurrence	Impact	Risk Level	Risk Treatment Strategy	Strategy Plan / Mitigation Plan / Controls to Implement	Adjusted Probability of Occurrence	Adjusted Impact	Residual Risk	Contingency Plan
Admin/HR	Timely review of compensation and training needs of employees in accordance with CSC and COA regulations	SMWD policy/CSC & COA policy	Internal/External	Negative	3	2	6	Mitigate	Include review of employee compensation package and training in planning session	2	2	4	Review and monitoring of employee performance and training plans
Admin/HR	Timely update on latest CSC & COA policies and Internal feedback	SMWD policy/CSC & COA policy	Internal/External	Negative	3	3	9	Mitigate	Proper filing and information dissemination of external documents/correspondences	2	2	4	Attendance to CSC and COA sponsored trainings/seminars
Admin/HR	Timely review of compensation and training needs of BODs in accordance with LWVUA and COA regulations	NORWD policy/LWVUA & COA policy	Internal/External	Negative	3	2	6	Mitigate	Include review of BOD compensation package and training in planning session	2	2	4	Keep up to date of latest policy issuances from LWVUA
Admin/HR	Timely update on latest LWVUA & COA policies and Internal feedback	SMWD policy/LWVUA & COA policy	Internal/External	Negative	3	3	9	Mitigate	Proper filing and information dissemination of external documents/correspondences	2	2	4	Attendance to CSC and COA sponsored trainings/seminars
Admin/HR	Delays in report submission due to time constraint and unclear interpretation of CSC mandates	SMWD policy/CSC policy	Internal/External	Negative	3	2	6	Mitigate	Seek clarifications from CSC regarding unclear issues. Benchmark interpretation/practice with other water districts	2	2	4	Attendance to CSC sponsored trainings/seminars
Admin/HR	Conflicts in rules and mandates being set by the CSC and the Department of Budget and Management (DBM)	CSC Policy, DBM Policy	External	Negative	3	3	9	Mitigate	Seek legal counsel	3	2	6	Seek legal counsel
Admin/HR	Politics-related issues in the locality affect the image of the company and/or the trust being given by the existing and potential concessionaires which includes political conflicts in BOD appointment.	Transparency in reports including financial records and water quality test results/LWVUA policy	External	Negative	3	3	9	Mitigate	Proper presentation of information to the public, use of information campaign materials if necessary	3	2	6	Utilization of customer service team if needed
Admin/HR	Unusable software for GIS, Philhealth and Pag-Ibig	GIS, Philhealth & Pag-Ibig policy	External	Negative	3	3	9	Mitigate	Seek assistance from IT support	2	2	4	Keep up to date with latest version of the program
Admin/Procurement	Delays in delivery, defects and insufficiencies, non-response to supplier complaints	Government Procurement Policy Board (GPPB) Policy/SMWD policy	Internal/External	Negative	3	3	9	Avoid	Thorough screening of suppliers involved in procurement	3	2	6	Banning/backlisting of suppliers that cause difficulties to the procuring entity
Finance	Delays in reporting due to manual preparation of reports	Water District's policy	Internal	Negative	3	3	9	Avoid	Create timeline/schedule of bookclosing activities	1	3	3	
Finance	COA findings due to human error, time constraint, and outdated/limited knowledge on latest COA issuances	COA memorandum circulars/SMWD policy	Internal/External	Negative	3	3	9	Mitigate	Perform monthly variance analysis	3	3	9	Implementation of computerized accounting system
Finance	Possibility of delay in payment due to time constraint and BIR EFPs online traffic/system slow down	BIR regulations/SMWD policy	Internal/External	Negative	3	2	6	Avoid	Schedule online remittance at least one day ahead of BIR deadline	2	2	4	In case of delays due to system slow down, request BIR to allow manual over the counter payment
Finance	Delays in release of BIR documents, clarifications and approvals	BIR regulations and policy	External	Negative	3	2	6	Mitigate	Consistent written follow ups with receiving copy and phone calls	3	1	3	Elevate issue to next level of authority
Finance	Incomplete asset tagging	COA memorandum circulars/SMWD policy	Internal	Negative	3	3	9	Mitigate	Yearly inventory & review by the Property Custodian	3	2	6	Implementation of computerized accounting system

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Finance	System errors encountered in the existing Billing and Collection system	SMWD policy	Internal	Negative	3	3	9	Mitigate	Review and validation of Daily Cashier's Collection Summary report by Accounting staffs.	3	2	6	Implementation of the new Billing and Collection Program
Finance	Delays in check releasing due to time constraint and insufficient documents	SMWD policy	Internal	Negative	3	3	9	Mitigate	Follow up missing documents	2	2	4	Set deadline for submission of sales invoices from suppliers
Finance	Possibility of errors and delays in payment of loans	SMWD policy	Internal	Negative	2	2	4	Avoid	Monitoring of loan amortization schedule	1	1	1	Proper planning and budgeting for interest on loans
Finance	High interest rate in loan payments to the Local Water Utilities Administration (LWUA)	LWUA policy	External	Negative	3	3	9	Mitigate	Propose to avail refinancing of loan from banks that offer lower interest rates such as Landbank of the Philippines (LBP)	2	2	4	
Finance	Inability to identify counterfeit money and insufficient details on checks and deposit slips	SMWD policy	Internal	Negative	3	3	9	Mitigate	Cashier to attend seminar on identifying counterfeit money and cash related risk management	2	2	4	Use of fake money detector.
Finance	Safe keeping of cash and blank checks	COA memorandum circulars/SMWD policy	Internal	Negative	3	3	9	Mitigate	Use of safety vault & locked drawers	2	2	4	Enclosed area for cashier
Operations Department	Typhoon/Heavy Rains Contribute To High Turbidity Of Surface Water Which May Affect The Quality Of Supply Water	None	External	Negative	2	3	6	Mitigate	Tree Planting to reduce the soil erosion near the vicinity of ANCAT RIVER	2	3	6	Frequent tree planting in the vicinity of the river will reduce the occurrence of soil erosion.
Operations Department	During La Niña Period Angat River Will Most Likely Suffered High Turbidity Water Because Of Frequent Raining	None	External	Negative	1	3	3	Mitigate	Tree Planting to reduce the soil erosion near the vicinity of ANCAT RIVER	1	3	3	Frequent tree planting in the vicinity of the river will reduce the occurrence of soil erosion.
Operations Department	Possible Leakage Of Oil In Boat Of Few Fishermen In The Vicinity Of Angat River	None	External	Negative	1	4	4	Mitigate	Erecting of signages that inform about the danger of oil spills near the Angat River. It will serve as warning to the fishermen.	1	3	3	Erecting of signages that inform about the danger of oil spills near the Angat River. It will serve as warning to the fishermen.
Operations Department	Unclean Environment In The Pump Station May Cause Intrusion Of Solid Particles Through Well Casing	Well maintained cleanliness of pump stations	Internal	Negative	1	2	2	Mitigate	Well maintained cleanliness of pump stations	1	2	2	Making sure that pump stations are well maintained & clean in the vicinity of pump stations
Operations Department	Malfunction/Breakdown Of Chlorinator	Periodic inspection & maintenance of status of chlorinator	Internal	Negative	2	4	8	Mitigate	Periodic inspection & maintenance of status of chlorinator & having a spare of chlorinator in case of long breakdown.	2	3	6	Periodic inspection & maintenance of status of chlorinator & having a spare of chlorinator in case of long breakdown.
Operations Department	Facilities Damage Due To Natural Calamity Such As Super Typhoon/ Earthquake	Continuous reassessment of the age of distribution line	External	Negative	1	5	5	Mitigate	Continuous reassessment of the age of distribution lines.	1	5	5	Continuous reassessment of the age of distribution line.
Operations Department	Intrusion Of Contaminants Through Leaking/Deteriorated Pipelines During Low Water Pressure	Rehabilitation of deteriorated pipelines to avoid contaminants in case of low water pressure.	Internal	Negative	1	4	4	Mitigate	Rehabilitation of deteriorated pipelines to avoid contaminants in case of low water pressure.	1	4	4	Rehabilitation of deteriorated pipelines to avoid contaminants in case of low water pressure.
Operations Department	Contamination Due To Backflow Of Unauthorized/Illegal Connection.	Increasing of campaign against illegal connections.	Internal	Negative	1	4	4	Mitigate	Increase campaign against illegal connections.	1	4	4	Increase campaign against illegal connections & regular checking for suspected illegal connection.
Operations Department	Contamination Of Water Supply Due To Mixing Of Surface Water And Private Groundwater Source.	Using of swing valve connections to prevent backflow from private ground water source.	External	Negative	1	3	3	Mitigate	Using of swing valve connections to prevent backflow from private ground water source.	1	4	4	Using of swing valve connections to prevent backflow from private ground water source and interaction with concern concessionaires.
Operations Department	Wastage Of Water During Leakage	NORWD Internal Policy/Process.	Internal	Negative	4	4	16	Mitigate	Valve Isolation.	2	2	4	Conduct preventive maintenance by replacing old and defective pipelines prone to knowledge
Operations Department	Inaccurate Reading Of Newly Purchased Water Meter.	NORWD Internal Policy/Process.	Internal	Negative	2	2	4	Mitigate	Check for factory defect. Calibration of newly purchased water meter before installation.	1	1	1	Install additional safety measure to prevent alteration of water meter.
Operations Department	Inaccurate Reading Due To Old Water Meter	NORWD Internal Policy/Process.	Internal	Negative	3	4	12	Mitigate	Checking the number of years of water meter installed. Replace and install newly calibrated water meter.	1	1	1	Scheduled replacement of water meter every 5 years.
Operations Department	Lack Of Distribution/Service Line	NORWD Internal Policy/Process.	Internal	Negative	3	2	6	Mitigate	Include in APP budget for approval of GM & Board Augmentation of pipelines	2	1	2	Make a survey/study on the areas without adequate supply of water.

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Operations Department	Inadequate Size Of Pipelines Which Affects Water Distribution.	NORWD Internal Policy / Process.	Internal	Negative	Minor (1) Possible (2) Insignificant (3)	Minor (2) Insignificant (3)	4	Mitigate	Include in APP budget for approval of GM & Board Augmentation of Pipelines	Minor (1) Possible (2) Insignificant (3)	Minor (2) Insignificant (3)	Low	What could be done to minimize the impact if the risk is realized
Operations Department	Intrusion Of Foreign Object During Pipeline Breakage.	NORWD Internal Policy / Process.	Internal	Negative	Minor (1) Possible (2) Insignificant (3)	Minor (2) Insignificant (3)	9	Mitigate	Repair pipelines and conduct flushing.	Minor (1) Possible (2) Insignificant (3)	Minor (2) Insignificant (3)	1	Make a survey/study on the areas without adequate supply of water. Observe a number of occurrence of breakage in the area. If proven to be defective, include in budget and replace the pipelines.
Operations Department	Unable To Submit Bacteriological Test & Physchem Test	Every quarterly submission of Bacteriological Test & Once a year submission of Physchem Test.	External	Negative	1	4	4	Mitigate	Quarterly submission of Bacteriological Test & Once a year submission of Physchem Test.	1	4	4	Quarterly submission of Bacteriological Test & Once a year submission of Physchem Test.
Operations Department	Water Pollution due to improper installation of seepage tank in households. Awaiting final ordinance from LGU regarding Seepage Tank Management.	RA 9275 Clean Water Act	External	Negative	4	4	16	Mitigate	Close coordination with LGU for proper implementation of seepage management program. Conduct public hearing for the concessionaire's awareness. Coordination with other water districts with waste treatment plant for disposal of extracted human waste. Schedule extraction in areas covered by SMWD.	3	3	9	Continuous monitoring and implementation as seepage management program. Include construction of SMWD's own waste treatment plant budget in future budget plans, if feasible.

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