

**Administrative Order**

No. 17

**Series of 2018**

**SUBJECT : Adopting the Department of Social Welfare and Development (DSWD) Risk Treatment Plan 2018-2022**

**I. RATIONALE**

The operation of the Department has grown in huge proportion as its budget has exponentially increased from PhP3.5 Billion in 2007 to PhP128.3 Billion in 2017, and its total manpower complement has swelled from 4,532 in 2007 to around 30,000 in 2017. In the context of an expanding mandate, unprecedented high levels of operational targets and of heightened public expectations from the sheer magnitude of resources entrusted to its disposition, the Department is now recognizing the emerging complexity of the risks and vulnerabilities it will experience and encounter.

In view of the adoption and implementation of the successor DSWD Strategic Plan 2018-2022, the Department's decision-making, corporate strategy, operations and processes should now take into account significant organizational vulnerabilities and potential risks as well as the steps and costs necessary to minimize, if not eliminate, such risks. With this, DSWD Risk Treatment Plan 2018-2022 was developed to complement the DSWD Strategic Plan 2018-2022. For the first time, the DSWD has developed a Risk Treatment Plan that will identify and address risks to the objectives set forth in its Strategic Plan. With its stewardship responsibility and commitment to deliver optimum value to its stakeholders, the Department is expected to ensure strategically that it has the proper control systems in place, and to the extent possible, adopted global best practices in identifying, analyzing, and mitigating operational, financial, regulatory, reputational, and other organizational risks.

The development of the first department wide Risk Treatment Plan is one of the major activities committed in institutionalizing MC 27 series of 2014 or the *Enhanced DSWD Risk Management (RM) Framework* and the EO 176 series of 2014 or the *Institutionalization of the Integrity Management Program (IMP)*. This Plan is the official start of RM technology incorporation to a Department's strategic plan which will now be subject for monitoring and evaluation. The initiative is also aligned with the Program Expenditure Classification (PREXC) being required by the Department of Budget and Management (DBM) which is the restructuring of agency's budget by grouping all

recurring activities as well as projects under the different programs or key strategies being pursued by the agency to meet its objectives and mandates. The PREXC approach requires all agencies to list down the existing and potential causes, sources, incidents and consequences which could affect the attainment of objectives, and the measure to be taken to address them.

The DSWD Composite Monitoring and Evaluation Team (CMET), in collaboration with other offices, bureaus, services and units (OBSUs) and Field Offices (FOs), conducted a series of Risk Treatment Planning sessions, consultation workshops and technical assistance sessions to generate specific treatment strategies and other inputs in order to formulate the Risk Treatment Plan. The draft Risk Treatment Plan was then presented to the Executive Committee meeting held on 02 August 2017 and was eventually approved during the National Management Development Conference (NMDC) on 31 November 2017.

## **II. OBJECTIVE**

This Administrative Order aims to officially adopt the DSWD Risk Treatment Plan 2018-2022 as the Department's medium-term articulation of strategic risk inventory and treatment measures until 2022. Specifically, it aims to provide guidance to all OBSUs and FOs in implementing, monitoring and evaluating the Risk Treatment Plan.

## **III. SCOPE AND COVERAGE**

All DSWD Offices, Bureaus, Services and Units including the Field Offices are covered by the provisions of this Administrative Order.

## **IV. THE DSWD RISK TREATMENT PLAN 2017-2022**

The DSWD Risk Treatment Plan 2017-2022 is an instrument in identifying, assessing and treating significant risks affecting the DSWD organizational outcomes and strategic initiatives as articulated in the DSWD Strategic Plan. The Risk Treatment Plan was created to guarantee the alignment and sufficiency of DSWD's organizational and societal contributions towards international and national development anchoring on the Sustainable Development Goals 2030, Ambisyon Natin 2040, the 10-point socio-economic agenda and the priorities of the Duterte Administration. These include, but are not limited to, strategic, reputation, political, governance, and environment risks.

Top 10 Strategic Risks	Risk Owner
<p><b>1. Business Interruption Risk</b>  <i>Anticipated 7.2 magnitude earthquake known as The Big One may cause damage to DSWD's physical infrastructure, loss of life or injuries to DSWD officials and personnel. DSWD operations for disaster response and regular programs may be disrupted.</i></p>	Undersecretary for GASSG
<p><b>2. Compliance Risks</b>  <i>Operational &amp; fiduciary risks, especially in relation to policies of oversight agencies (COA, DBM, DOF, OMB, CSC). Possible noncompliance of DSWD personnel because of unfamiliarity with laws, rules and regulations, outdated policies of regulatory agencies or compromise of quality given the increasing demand and volume of work which could lead to criminal, civil and/or administrative liability and loss of DSWD funds and/or property.</i></p>	Undersecretary for GASSG
<p><b>3. Governance Risks</b>  <i>Possibility of compromising the quality of service delivery due to lack of assessment of DSWD's readiness /capability in terms of human resource, infrastructure, systems among others to comply with new directives.</i></p>	Secretary
<p><b>4. Safety and Security Risk</b>  <i>DSWD personnel are deployed to geographically isolated and disadvantaged areas to conduct pay-out, home visits, spot checks etc. exposing them to various health and security risks.</i></p>	Undersecretary for GASSG
<p><b>5. Program Development Risk</b>  <i>Absence of responsive programs that will address unemployment and other issues brought about by rapid urbanization, and migration.</i></p>	Office of the Secretary Group
<p><b>6. Social Risk</b>  <i>Armed conflict perpetuated by various armed groups may cause harm to DSWD beneficiaries and the communities that DSWD serves.</i></p>	Office of the Secretary Group
<p><b>7. Default Risk</b>  <i>Budget restrictions on hiring imposed by DBM. The lack of plantilla positions has resulted to heavy workload of DSWD</i></p>	Undersecretary for GASSG

Top 10 Strategic Risks	Risk Owner
<i>staff especially those in front line services. This may affect the quality of services and health of personnel.</i>	
<p><b>8. Capacity Risk</b>  <i>Limited supply of qualified and skilled social workers and other disciplines needed by DSWD. The increasing complexity of challenges being faced by poor, marginalized and vulnerable individuals, families and communities require specialized skills and expertise on social welfare and other disciplines such as business, engineering, statistics, economics, and others.</i></p>	Undersecretary for GASSG
<p><b>9. Technological Innovation Risk</b>  <i>The fast pace advancements in information technology is an opportunity for DSWD to take advantage of. However, if DSWD would not proactively leverage on these advancements, the organization will fall behind in terms of improving efficiency of processes through IT.</i></p>	Office of the Secretary Group
<p><b>10. Partnering Risk</b>  <i>There is inadequate support from LCEs for DSWD-initiated reforms, policies, programs or services. This may be due to limited budget at the LGU level or different priorities of the LCE. LSWDOs may have inadequate capacity to generate support from LCEs resulting in non-implementation of LSWDO-planned programs, projects, and activities.</i></p>	Office of the Secretary Group

## V. PLAN IMPLEMENTATION

The DSWD Risk Treatment Plan 2018-2022 serves as a check and balance document to align the programs, projects and activities of all DSWD OBSUs and FOs committed in the Strategic Plan 2018-2022. All personnel from every level within the organization should be able to check the sufficiency and alignment of implementation to the identified outcomes, outputs and strategic initiatives as laid out in the Strategic Plan. With these, OBSUs and FOs shall ensure that financial and human resource requirements, efficient and effective business processes and policies, and processes for tracking and assessing performance will be in place to successfully implement the Risk Treatment Plan.

The **Results Matrix** of the Strategic Plan shall now reflect commitments articulated in the Risk Treatment Plan. The Central Office shall provide leadership in setting directions for their respective Field Office counterparts.

To ensure that the Risk Treatment Plan will be operationalized, the following shall be observed:

- (1) The Execom, with the Secretary as the Integrity Management Committee (IMC) Chairperson, will provide an oversight role to risk management while the CMET Chairperson will provide the direction on the RTP design and implementation of appropriate systems, tools and methodologies to support RM processes and activities. The CMET from all OBSUs, together with the IMC focals, will facilitate, support and integrate RTP commitments across DSWD in coordination with the Head of Office and the CMET Chairperson.
- (2) The PDPB shall lead the conduct of **cascading activities** with the OBSUs and the Field Offices while the IMC Secretariat will provide an oversight role in institutionalizing office risk treatment plan as part of the Integrity Management Program (IMP) cascading activities. The CMET with Social Marketing Service (SMS) shall spearhead the integration of risk management technology to the **Strategic Communication Plan** and **M&E Communications Plan** to support the Plan implementation.
- (3) The Department, through the PDPB, shall use the Risk Treatment Plan as one of the bases in the **Annual DSWD Thrusts and Priorities (T&P)**.
- (4) The Financial Management Service (FMS) and PDPB shall coordinate with all OBSUs and FOs to ensure that the commitments are incorporated in the **Annual Budget Proposals and Work and Financial Plans**.
- (5) The Performance Management – Technical Working Group (PM-TWG) shall ensure that the commitments articulated in the Risk Treatment Plan will be reflected in the **OBSUs and FOs' Performance Contracts**.
- (6) All OBSUs and FOs are directed to harmonize with the Risk Treatment Plan their respective **Office Results Framework and Matrices** that specify the theory of change and their specific contributions to the organization.

The Risk Owners, together with the responsible offices (OBSUs and FOs), shall take the lead in formulating the **Strategic Risk Profiles** and implementing the critical activities under each of the identified strategic risks.

Further, the Office Results Framework and Matrices and the Strategic Risk Profiles will also serve as basis for formulating and assessing OBSU's and FO's performance contracts.

- (7) All OBSUs and FOs shall designate **focal persons** to ensure collaborative and coordinated implementation, monitoring and evaluation of the Plan.

## VI. PLAN MONITORING AND EVALUATION

The DSWD Risk Treatment Plan 2018-2022 will be monitored through the **Harmonized Planning, Monitoring and Evaluation System (HPMES)** of the Department. A separate guideline on HPMES will be issued for this purpose. This guideline shall include necessary treatment planning and reporting forms that will be used by the OBSUs and the FOs.

The HPMES is a system for regular monitoring and evaluation of the performance of various OBSUs, Field Offices, programs and projects contributing to the attainment of the DSWD Organizational and Foundational Outcomes, as set in the Strategic Plan. The principles of HPMES are aligned with the principles of *Results-Based Management* as reflected in DSWD Memorandum Circular No. 04, series of 2014, "*Guidelines in the Operationalization of the URBMES*".

The Strategic Plan Results Matrix shall be the management tool that will be used to monitor and evaluate organizational performance throughout the six-year plan implementation. OBSU and FO performance will also be monitored and evaluated based on their Office Results Framework and Matrices.

Crucial to effective monitoring and evaluation of the Plan are the following undertakings:


- (1) The PDPB shall lead in the monitoring and evaluation of the overall Risk Treatment Plan. **Regular monitoring reports** shall be submitted to PDPB every quarter and details should be included in the **Office Assessment Report** to be submitted every semester. These reports shall include updates on the performance along the targets specified in the Results Matrix as well as the implementation of the strategic Initiatives.
- (2) **Overall Assessment Reports** prepared by PDPB shall include updates on the organization-wide performance relative to the Department's risk inventory and treatment measures. The findings from the report shall be used by DSWD Clusters and OBSUs to improve policy, program or service implementation by addressing identified bottlenecks, issues and challenges that hinder target achievement. It is expected that performance along the implementation of the Risk Treatment Plan will be discussed in the **Regional and National Management and Development Conferences (R/NMDCs)**

- (3) Office performance relative to the implementation of the Risk Treatment Plan, shall be the subject for discussion of **Office Performance/Program Review and Evaluation Workshops (PREW)**.
- (4) To evaluate the plan implementation, **Midterm and End-term Reviews** will be conducted in 2020 and 2022, respectively. The findings shall be used as basis for adjusting treatment strategies and performance targets at the midterm and for the next planning period.

## VII. Effectivity

This Administrative Order shall take effect immediately.

Issued in Quezon City this 30<sup>th</sup> day of August, 2018.

  
**VIRGINIA N. OROGO**  
*Acting Secretary*

Certify True Copy:  
  
**MYRNA H. REYES**  
OIC-Division Chief  
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**Department of Social Welfare and Development**  
**RISK TREATMENT PLAN**  
**2018-2022**

Risk Name& Description	Inherent Rate (w/o controls)	Residual Rate (w/ controls)	Overall Rate	Risk Owner	Treatment Measures
<p><b>1. Business Interruption Risk</b></p> <p>Anticipated 7.2 magnitude earthquake known as The Big One may cause damage to DSWD's physical infrastructure, loss of life or injuries to DSWD officials and personnel. DSWD operations for disaster response and regular programs may be disrupted.</p> <p>DSWD offices near West Valley Fault:</p> <ul style="list-style-type: none"> <li>• DSWD Field Office IVA - 1.2km</li> <li>• DSWD Central Office - 1.2km</li> <li>• DSWD Field Office NCR - 8.68km</li> <li>• DSWD NROC - 5.4km</li> </ul> <p><i>Existing controls: Contingency Plan, Prepositioning of goods and funds</i></p>	<b>4.44</b>	<b>4.13</b>	High	Usec for DMG and Usec for GASSG	<p>a. Develop a Comprehensive Business Continuity and Recovery Plan to:</p> <ul style="list-style-type: none"> <li>• Promote vulnerability reduction measures</li> <li>• Develop and institutionalize Standard Operating Procedures (SOPs) for key response functions (ad hoc CO and skeletal workforce)</li> <li>• Strengthen Incident Command System (ICS) and response decision-making systems</li> <li>• Enhance potential emergency management capacities</li> <li>• Strengthen emergency operation ability</li> </ul> <p>(2018-2019) (EXECOM, OUSDMG)</p> <ul style="list-style-type: none"> <li>• Review existing BCRP</li> <li>• Revisit Crisis Communication Plan</li> <li>• Consultation Workshop – BCRP</li> <li>• Hire BCR Expert</li> <li>• Testing and cascade of BCRP</li> </ul> <p>b. Undertake seismic retrofitting of existing structures/facilities (2018-2019)</p> <ul style="list-style-type: none"> <li>• Conduct of building inspection</li> <li>• Engage service provider for retrofitting</li> </ul> <p>c. Interventions for victim-employees (2018) (ASGASSG)</p> <ul style="list-style-type: none"> <li>• Include in EMPOWER</li> <li>• Ensure funding</li> </ul>



					<ul style="list-style-type: none"> <li>Disaster Safety, Security and Welfare Handbook for Staff</li> </ul>
<p><b>2. Compliance Risks</b>  <b>Operational &amp; fiduciary risks, especially in relation to policies of oversight agencies (COA, DBM, DOF, OMB, CSC)</b></p> <p>Noncompliance of DSWD personnel because of incompetence of and/or unfamiliarity with laws, rules and regulations, outdated policies of regulatory agencies or compromise of quality given the increasing demand and volume of work which could lead to criminal, civil and/or administrative liability and loss of DSWD funds and/or property.</p> <p>Fiduciary risks:</p> <ul style="list-style-type: none"> <li>As an effort to improve government spending, the DBM, COA and DOF has proposed a budget reform where agencies will only be able to utilize allotted funds within the fiscal year. The reform will be doing away with continuing appropriations. This may impact DSWD operations where a lot of activities are delayed and implemented the next year.</li> </ul> <p>Operational risks:</p> <ul style="list-style-type: none"> <li>Since 2010, the budget of DSWD has ballooned to 800%, but its manpower grew by 10 percent only. All middle managers &amp; supervisors function as special disbursing officers (SDO) or "cashiers" during pay-outs due to the rapid expansion of DSWD programs. This causes overload of tasks and responsibilities that compromise productivity, work (main functions) quality and health of employees.</li> </ul>	<b>4.50</b>	<b>4.00</b>	<b>High</b>	Use for GASSG	<ul style="list-style-type: none"> <li>a. Intensify information dissemination campaign on COA, DBM, CSC and Procurement rules within DSWD</li> <li>b. Institutionalize inter-agency technical working group with COA, DBM and OMB to proactively discuss and find ways to prevent non-compliance to policies</li> <li>c. Submit Rationalization to DBM (2018) to address HR concerns (included as a Strategic Initiative in the Strategic Plan) <ul style="list-style-type: none"> <li>Creation of TWG</li> <li>conduct Rationalization Workshop</li> <li>consultation meetings</li> <li>outsource HR needs to third party</li> </ul> </li> <li>d. Enhance policy on Civil Society Organizations (CSOs) consultation with PDPB and SB as responsible offices <ul style="list-style-type: none"> <li>empower CSOs as DSWD's partner for negotiating and bargaining with oversight agencies</li> <li>capacitate CSOs as accountability partner</li> <li>reset calendar of consultation complementary to budget calendar to accommodate CSO proposals</li> <li>strengthen Regional CSO consultation workshops</li> <li>extend duration of CO and FO consultations to strengthen CSO ownership</li> <li>increase proportion of Peoples Organizations(POs) in the official composition of CSO representatives</li> </ul> </li> <li>e. Institutionalize Integrity Management Program(IMP) implementation with OSG as coach monitor <ul style="list-style-type: none"> <li>enhance risk management policy on expanding IMP scope to operational/process risks</li> <li>install proactive monitoring and evaluation of Integrity Management Plans</li> </ul> </li> </ul>

Contractual and MOA staff are not allowed under COA rules to be SDOs, however, due to the exigency of service some are forced to perform such functions.

Compliance risks

- Existing laws and policies are not complied with resulting in COA audit findings (disallowance, etc.) and legal charges against DSWD officials.

- implement aggressive process reengineering across offices and clusters to discourage opportunities for red tape
  - incentivize (non-monetary) good practices accomplishments, revive IMPanalo character of the month
  - Revisit Character Building Program as per MC 34 s. 2004 as amended by AO 4 s. 2008 to be tied up with Rewards and Recognition.
  - benchmark ARTA good practices of SEC, DTI, DOH, Supreme Court, COA, SSS
  - automate IMP planning, monitoring and evaluation
  - strengthen IMP Communication Plan implementation
- f. Popularize and require visibility of 8888 IEC materials on DSWD frontline service centers to institutionalize feedbacking and client centric culture in coordination with OSEC Action Center.
- g. Support initiatives to advance anti-dynasty bill, enhance Whistle Blower Act, enhance Ombudsman Law, enhance procurement process
- h. Institutionalize regular engagements of FOs and CO with anti-corruption groups for orientation and discussion on corruption implications such as: Philippine Public Transparency Reporting Project (PPTRP), Social Watch Philippines, The Anti-Trapo Movement of the Philippines (ATM), Action for Consumerism and Transparency for Nation Building (ACTION), ABA Rule of Law Initiative (ABA ROLI), Transparency International Philippines (TI Philippines), Philippine Center for Investigative Journalism (PCIJ), Transparency and Accountability Network (TAN), Public Service Labor Independent Confederation

					<p>(PSLINK), Makati Business Club (MBC)'s initiative which is the Coalition on Corruption (CAC), USAID through the Integrity for Investments Initiative (i3), and National Competitiveness Council (NCC)</p> <p>i. Periodic orientation on RA 6713 and the Anti-corrupt practices and laws governing public service including values formation program</p> <p>j. Strengthen DSWD Internal Auditors capacity such as the Certified Internal Audit and Certified Fraud Examiner certifications</p> <p>k. Popularize service culture handbook that promotes DSWD staff stories of Integrity</p>
<p><b>3. Governance Risks</b></p> <p>The quality of service delivery is sacrificed/compromised due to lack of assessment of DSWD's readiness /capability in terms of HR, infrastructure, systems of targets to comply with new directives.</p> <ul style="list-style-type: none"> <li>Lack of clear communication on direction for 4Ps, SLP, KC, transition to convergence strategy, transitioning poor</li> <li>DSWD Executives accepting directives (rapid expansion of programs and services) and making new directives without assessing DSWD's readiness (in terms of human resources, infrastructure, systems and processes) to deliver targets and program rules, sacrificing quality and timeliness of service/program delivery to clients and welfare of staff</li> <li>Realistic planning and target setting are not yet mature within the organization. Issues at the operations level are not addressed in a timely manner.</li> </ul>	4.17	3.93	High	Secretary	<p>On direction for 4Ps, SLP and KC:</p> <p>a. Develop Strategic Plan for Organizational Outcome 1 detailing the theory of change and plans to achieve OO1 given policy directions of new management (2017)</p> <p>b. Engage Social Technology Bureau in designing new models of interventions for the transitioning poor (those exiting Pantawid Pamilya) (2018)</p> <p>c. For Social Marketing Service(SMS) and Information Officers of 4Ps, SLP and Kalahi to design and implement immediately a customized communication plan or crisis management plan addressing the concerns on directions for 4Ps, SLP and KC (2018)</p> <p>On new directives, unclear directives and new structures:</p> <p>a. Institutionalization of HPMES</p> <p>b. Develop Strategic Initiatives results frameworks</p> <p>c. Improve communication lines and feedbacking between and among Executive Offices and OBSUs</p>

- New DSWD structures in CO and FOs, which results in confusion as to the roles and functions of various offices or proper delineation of responsibilities
- Ambiguous understanding of the roles and functions of each unit resulting to duplications/overlaps in functions of various units
- Vague accountability for objectives and results among the units and officials of the Department and apparent inefficiency in operations and in the utilization of resources
- Absence of program and office results frameworks
- Unclear directives resulting in confusion, duplication of efforts, waste of resources
- Lack of proactive strategic commitment which can be due to various reasons such as low appreciation for or understanding of current DSWD context, frequent/fast turnover of top management and low leadership dedication to results-based management.

*Existing controls: Information from M&E reports and studies, Loan Agreement with WB and ADB, series of consultations, Strategic Plan 2017-2022 as basis for future directions, Program Operations Manuals and guidelines, regular conduct of PIR and PREW*

- d. Strengthen interphasing among Executive Assistants (EAs) by harmonizing calendars, conducting intercluster convergence initiatives
- e. Invest on strategic internal communications plan
- f. Adapt results-based variance focused EXECOM/MANCOM meeting designs
- g. Enhance PREW/PIR guidelines anchored on results-based management
- h. Adapt ISO Quality Management for the enhancement of Risk Management Framework
- i. Institutionalize inter-office feedback mechanism to provide commendation - those who rendered prompt, efficient and honest service; request for assistance, transactions or requests pending action or not being duly acted upon; complaint - for personnel who have shown discourtesy or inefficiency in the performance of duty; and suggestions/recommendations - aimed at improving policies, programs and services of OBSUs that intensifies fiefdom culture and undermines accountability.

On leadership and organizational development:

- a. Develop functional groups of specialists
- b. Revive Human Resource and Organizational Development Program (HROD) as a strategic intervention not for individuals but for teams, groups, offices and the whole organization by establishing leadership culture to champion interoperability of strategy management, results-based management, change management, portfolio management, risk management, program management, quality management, knowledge management, process

					<p>management, performance management, among others.</p> <p>c. StratPlan Strategic Initiative #15 (quality management) to require theories, frameworks, models and approaches in scientific diagnoses, critical analyses and strategic direction setting. (ie benchmarking, lean system, six sigma, kaizen, logframe, value stream mapping, value proposition, iteration, PDCA, DMAIC, Scrum among others)</p>
<p><b>4. Safety/Security Risks</b></p> <ul style="list-style-type: none"> <li>• DSWD personnel are deployed to disaster-affected areas for emergency response exposing them to various health and security risks</li> <li>• DSWD personnel (case workers, disbursement officers, internal auditors, among others) are deployed to geographically isolated and disadvantaged areas to conduct pay-out, home visits, spot checks etc. exposing them to various health and security risks</li> <li>• Lack of consolidated information on security / health risks present in the area of deployment</li> <li>• No office in DSWD in charge of security of all DSWD staff going on field work</li> <li>• No security officer, no standards for travel clearances in terms of security, no hazard pay for workers, especially for workers whose nature of work involve disaster response, payout, distribution of relief goods, etc.</li> <li>• Lack of security protocols for when travelling or when distributing assistance (cash, goods, etc)</li> <li>• Vulnerability of workers to various illness due to work-related stress</li> </ul>	<b>4.11</b>	<b>3.92</b>	<b>High</b>	Usec for GASSG	<p>a. Strategic HR Management and Development</p> <ul style="list-style-type: none"> <li>• Implement the Enhanced Mechanism on Providing Occupational Well-being and Employee Reinvigoration (EMPOWER)</li> <li>• Implement DSWD Reorganization Plan</li> <li>• Strengthen comprehensive capability building for personnel</li> </ul> <p>b. Enhancement of AO 13 series 2014 or the Safety and Security Protocols for DSWD Field Workers</p> <ul style="list-style-type: none"> <li>• create a Security Office/hire a Security Officer</li> <li>• establish proactive security protocol in the field during pay-out</li> <li>• institutionalize Security/Safety Action Plan</li> <li>• adapt use of safety technology</li> <li>• review of Magna Carta for Public Social Workers</li> </ul> <p>c. Telling function of SDOs to be bidded out to government and commercial banks</p>

<p><i>Existing controls: Full-flexi work schedule, wellness program, reclassification of MOA staff's tax, hazard pay (for social workers only), Organizational Restructuring, Hiring of additional MOA staff, Magna Carta for Public Social Workers, task force MOA</i></p>					
<p><b>5. Program Development Risk</b>  <b>Absence of responsive programs that will address unemployment and other issues brought about by rapid urbanization, and migration.</b></p> <ul style="list-style-type: none"> <li>• DSWD beneficiaries are not able to escape poverty due to lack of employment / livelihood opportunities that match their existing skills.</li> <li>• As more people move from rural to urban areas, there is an increase in the urban population without employment or source of income. Women and children in particular become more vulnerable to exploitation.</li> <li>• Some poor individuals and families seek employment in other countries, where they are also vulnerable to exploitation.</li> <li>• While employment is not the sole responsibility of DSWD, when more Filipinos are poor and vulnerable, the work load of DSWD becomes heavier as it has to tend to more poor families.</li> </ul> <p><i>Existing controls: Promotive Programs, Transportation Assistance (Balik-Probinsya), Sustainable Livelihood Program, Coordination with NGAs, LGUs and private sector for livelihood programs, Processing Centers for Deportees, Recovery and Reintegration Program for Trafficked Persons, Information dissemination campaigns</i></p>	4.23	3.67	High	OSG	<p>a. Revisit and revival of Social Laboratory Project</p> <p>b. Management to provide clear goal/directives in responding to the issue of unemployment brought about by migration and rapid urbanization.</p> <p>c. Strengthen coordination and partnership with inter-agency bodies (HDPRC, SDC-SCSP) for labor and economic development (DOLE, TESDA, DTI, NEDA, etc.) and develop a comprehensive strategy prioritizing the poor (Listahanan poor)</p> <p>d. Revive Regional Directors Convergence Workshop</p> <p>e. Institutionalize design development and innovation methodologies focusing on user experience design (UX, UXD, UED or XD). Intensive cap building for technical staff on ideation and analysis methods such as SCAMPER, morphological analysis, agile vs waterfall approaches, axiomatic design, TRIZ, memory banks of ideas, analogous methods, project management, and community organizing leading to enterprise development and management.</p> <p><b>Proposed Program Components</b></p> <ul style="list-style-type: none"> <li>• Sound referral mechanism to existing employment/livelihood opportunities by NGAs.</li> <li>• Family activity programs to strengthen family unity and morale.</li> <li>• Social Tech Bureau to expand / strengthen Balik Probinsya and Job Network Service for CIU clients</li> </ul>

					<ul style="list-style-type: none"> <li>• Social Tech Bureau with SLP for dev of new unemployment intervention models &amp; enhance livelihood programs</li> <li>• Social Tech Bureau with CBB – marketing programs with economic sustainability</li> <li>• Technical Assistance Unit – prioritize / encourage proposals for economic empowerment.</li> <li>• Technical assistance to LGUs/communities on creating an economic/business friendly community. (attracts investors/businessman to conduct their business in the community that will in the long run employ local residents and creates economic activity)</li> <li>• CBB to prioritize technical assistance to LSWDOs for economic empowerment programs</li> <li>• Family Dev Session Curriculum of 4Ps to focus on the values of employment/livelihood sustainability as prerequisite to family stability.</li> </ul>
<p><b>6. Social Risk</b> <b>Increasing frequency of armed conflicts</b></p> <ul style="list-style-type: none"> <li>• Armed conflict perpetuated by various armed groups such as New People’s Army, Maute Group, etc. may cause harm to DSWD beneficiaries and the communities that DSWD serves. Some conflict incidents include the Battle of Marawi, various incidents with NPA (such as in Lumad communities), Zamboanga Siege and others.</li> <li>• Women and children are often the most vulnerable in conflict situations. DSWD has to provide services to displaced families and individuals.</li> <li>• This is despite the peace process efforts and the programs being provided by various NGAs to conflict areas.</li> </ul>	<b>4.08</b>	<b>3.50</b>	<b>High</b>	Usec for DMG	<p>a. Strengthen involvement of DSWD in the peace process and the overall national government strategy for peace building in conflict affected areas</p> <p>b. Assess DSWD contribution to on-going peace process being implemented (existing programs are the PAMANA projects)</p> <p>c. Develop specific interventions for conflict-affected areas.</p> <ul style="list-style-type: none"> <li>• Hire Consultant for the study</li> <li>• Develop social technology for conflict affected areas: desk review, consultation workshop with FOs in conflict affected areas, CSO partners engaged in peace building, LGU representatives in conflict affected areas</li> <li>• Development of participatory monitoring tools</li> </ul>

<p>Existing controls: <i>Peace Talks, PAMANA projects</i></p>					<ul style="list-style-type: none"> <li>Finalization and approval of program design</li> <li>Pilot testing</li> </ul>
<p><b>7. Default Risk</b>  <b>Budget restrictions on hiring imposed by DBM</b></p> <ul style="list-style-type: none"> <li>Difficulty requesting DBM for additional plantilla positions. The rapid expansion of DSWD programs and services has led to the need for additional plantilla positions. The lack of plantilla positions has resulted to heavy workload of DSWD staff especially those in front line services. This may affect quality of services and health of personnel.</li> </ul> <p>Existing controls: <i>Technical Budget Hearings with DBM, consultation with DBM, submission of Rationalization Plan, Budget briefings with House Representatives and Senate</i></p>	4.00	3.33	Medium	Usec for PPG	<ul style="list-style-type: none"> <li>a. Development of Rationalization Plan (included as a Strategic Initiative in the Strategic Plan)</li> <li>b. Development of Medium-Term Expenditure Plan (included as a Strategic Initiative in the Strategic Plan)</li> </ul>
<p><b>8. Capacity Risk</b>  <b>Limited supply of qualified and skilled social workers and other disciplines needed by DSWD</b></p> <ul style="list-style-type: none"> <li>The increasing complexity of challenges being faced by poor, marginalized and vulnerable individuals, families and communities require specialized skills and expertise on social welfare and other disciplines such as business, statistics, economics, and others. The lack of these skills and expertise within the organization will cause for DSWD policies, programs and services to be outdated, inefficient and ineffective.</li> </ul>	3.89	3.19	Medium	Usec for GASSG	<ul style="list-style-type: none"> <li>a. Develop bridging program to help non-SW pass licensure exam (2018)</li> <li>b. Inform CHED of the evolving skills needed by social workers for them to improve curriculum of Social Work Course and to encourage more Universities /SUCs to offer Social Work course on areas with high demand for Social Workers. (2018)</li> <li>c. Join Career Orientation Program in High Schools, and college job fairs.</li> <li>d. Workload analysis of social workers <ul style="list-style-type: none"> <li>Review existing work load of social workers and consider allowing social workers to concentrate on case management, while other types of work be given to other degree holders</li> </ul> </li> </ul>



<ul style="list-style-type: none"> <li>Experienced DSWD officials are already retiring without clear successors in place from within the organization.</li> </ul> <p><i>Existing controls: Scholarship grants to DSWD employees, capacity building related to Social Worker functions for non-social workers, capacity building on other competencies provided to RSWs and other personnel</i></p>					<ul style="list-style-type: none"> <li>Consider other fields, psychology, trained professionals in NGOs, retirees for training, etc</li> </ul>
<p><b>9. Technological Innovation Risk</b> <b>DSWD is not leveraging on IT</b></p> <ul style="list-style-type: none"> <li>The fast pace advancements in information technology is an opportunity for DSWD to take advantage of. However, if DSWD does not leverage on these advancements, the organization will fall behind in terms of improving efficiency of processes through IT.</li> </ul> <p><i>Existing controls: Short courses on IT provided to DSWD staff, ISSP, coordination with DICT</i></p>	3.90	3.17	Medium	OSG	<ol style="list-style-type: none"> <li>Designate a Chief Information Officer (2018)</li> <li>Immediate hiring of IMB Director (2018)</li> <li>Review current systems, capacities, hardware and policies on ICT (2018-2019)</li> <li>Revisit DSWD IT Architecture</li> <li>Upgrade ICT equipment and capacities of staff (2019)</li> <li>Facilitate Data Warehouse establishment</li> <li>Guarantee proactive intervention and assistance of Business Solutions and Services Development Division(BSSDD) to OBSUs (2018)</li> <li>Develop R&amp;D culture among ICT staff</li> <li>Harmonize IT tools and designs to organizational development frameworks</li> </ol>
<p><b>10. Partnering Risk</b> <b>Political interference and LGU's lack of buy-in to DSWD policies, programs and services</b></p> <p>Political interference:</p> <ul style="list-style-type: none"> <li>Pressure placed on the Secretary to conform to politician's personal agenda which run counter to DSWD's mandate and policies</li> <li>LGUs may provide inaccurate and untimely data that is used as basis for selecting beneficiaries</li> </ul> <p>Lack of buy-in:</p>	3.72	3.14	Medium	OSG	<ol style="list-style-type: none"> <li>Develop a comprehensive TARA program for LSWDOs that will address resource and capacity needs of LGUs (included as a Strategic Initiative in the Strategic Plan)</li> <li>Establishment of an incentive mechanism particularly for functional LSWDOs</li> <li>Develop strong partnerships with local decision-makers (governors, mayors and councilors) aside from LSWDOs <ul style="list-style-type: none"> <li>Train DSWD personnel on executive negotiation, persuasion and influence skills, etc</li> </ul> </li> </ol>

<ul style="list-style-type: none"> <li>• There is inadequate support from LCEs for DSWD-initiated reforms, policies, programs or services. This may be due to limited budget at the LGU level or different priorities of the LCE. LSWDOs may have inadequate capacity to generate support from LCEs resulting in non-implementation of LSWDO-planned programs, projects, and activities.</li> <li>• SWD Laws are not translated into local ordinances; local laws not aligned with the national and international laws which results into non-standardized/incorrect implementation by LGUs</li> <li>• Lack of LGU commitment may result to non-sustainability of gains from SLP, KC NCDDP and Pantawid.</li> </ul> <p><i>Existing controls: MC No. 9 S. 2016, NHTS-PR database of poor families as basis for targeting, Integrity Management Program, URRACS, #WalangPuwangSaKatiwalian campaign, DSWD Code of conduct, Grievance Redress System for beneficiaries, Employee GRS, Memorandum of Agreement</i></p>					<ul style="list-style-type: none"> <li>• Establish a Marketing and Institutionalization Division under STB</li> <li>• Ensure integration of SWD programs in LGU Executive Legislative Agenda(ELA), Annual Investment Plan(AIP), Comprehensive Development Plan(CDP) and Local Development Investment Program(LDIP)</li> <li>• Establish partnerships with various Leagues: customized engagements/partnerships with Lady Municipal Mayor's League of the Philippines, Congressional Spouses Foundation Inc, Senate Spouses Foundation, Inc. and finally to ULAP and its members: League of Provinces of the Philippines (LPP), League of Cities of the Philippines (LCP), League of Municipalities of the Philippines (LMP), Liga ng mga Barangay (LnB), League of Vic Governors of the Philippines (LVGP), Vice Mayors League of the Philippines (VMLP), Provincial Board Members League of the Philippines (PBMLP), Philippine Councilors League (PCL), Lady Local Legislators' League, National Movement of Young Legislators</li> <li>d. Establish a feedback mechanism with DILG where DSWD will communicate to other government authorities the concerns regarding LGUs</li> <li>e. Revisit Anti-Epal Campaign and develop new advocacy campaign that will prevent political interference but also encourage LGUs to support DSWD advocacies, programs and services</li> <li>f. Revive Tulay, Bantay, Gabay, Kaagapay or develop new CSO partnership strategy that will tap CSOs to become partner implementers and/or watchdogs</li> <li>g. Improve CSO participation in planning and budgeting processes of DSWD so that they will have a stake in</li> </ul>
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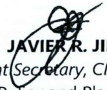
					<p>monitoring LGU performance on social welfare and development</p> <ul style="list-style-type: none"> <li>• enhancement of DSWD Civil Society Organizations (CSOs) Consultation Guidelines - redesign the planning calendar to accommodate CSO inputs</li> <li>• accommodating more Peoples Organizations (POs) for a longer duration of consultation dialogues to strengthen the integrity of the process</li> </ul> <p>h. Revive Multi-Sectoral Governance Council. The reestablishment of the MSGC will highlight the Department's thrust in pursuing genuine reforms in the institution, particularly in promoting good governance, while actively involving and engaging other government agencies and the civil sector. The council which will serve as an advisory board of DSWD could also perform as brand ambassadors of the Department.</p> <p>i. Harmonize existing partnership mechanisms with CSOs and NGAs of the core programs at the local level to serve as advocates for DSWD initiated reforms, policies, programs or services</p>
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