



RISK AND OPPORTUNITIES ASSESSMENT MATRIX CY 2022

Unit/Office: PHILIPPINE ROOT CROP RESEARCH AND TRAINING CENTER (PhilRootcrops)

A. RESEARCH PROGRAM

Key Areas	ACTIVITIES/ PROCESS	ISSUES		RISKS	IMPACT (for all Weaknesses & Threats)	EXISTING CONTROL (for all Weaknesses & Threats)	RISK ASSESSMENT SCORE			RISK PRIORITY NUMBER	ACTION PLAN (Risks)	CURRENT STATUS (Action Plan)	CONTINGENCY PLAN	OPPORTUNITIES	ACTION PLAN (Opportunities)
		Internal (Weaknesses)	External (Threats)				SEV	OCC	DET						
Ensuring Research Relevance (G2, KRA1) Communication of Research Results (G2, KRA5)	A1. Publication of research outputs	OVPREI-21-W4 Weak financial accounting process for RDEI funds		OVPREI-21-W4-R4 Blacklisting from funding agencies	Loss of subsequent funding for research	Constant follow-up with Accounting Office	3	3	2	18 (Medium Risk)	OVPREI-21-APR-05 Require Accounting Office to set-up a working MIS for tracking of project funds	Meeting with the accounting and Finance Officers to address the issues	OVPREI-21-CP-07 Projects are encouraged to monitor finances		
		OVPREI-21-W5 No research seed funds for returning scholars and newly-hired faculty		OVPREI-21-W5-R5 Loss of competitive advantage in doing research and extension	Underutilized expertise for research		3	3	2	18 (Medium Risk)	OVPREI-21-APR-06 Proposal for funding support for returning scholars and newly hired faculty	Funds are available but limited	OVPREI-21-CP-08 Explore alternative source of funds		
		PRCRTC-22-W1 Majority of senior faculty researchers		PRCRTC-22-W1-R1 Loss of intellectual resources	Declining quality and quantity of the	Recruitment of new faculty researcher	3	3	3	27 (Medium Risk)	PRCRTC-22-APR-01 Request to open additional	Implemented (follow-up)	PRCRTC-22-CP-01 Require junior faculty to submit		

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		are due for retirement		capable of doing research	center's research, extension, and innovation outputs						positions for faculty researchers		proposals and conduct research		
		PRCRTC-22-W2 Lack of cutting-edge laboratory facilities for research and innovation	PRCRTC-22-T1 High competition for funding among research institutions with similar research agenda	PRCRTC-22-W2-R2 Limited scope of research and inaccurate data gathered	Unpublishable research outputs	Partnership /collaboration with other research institutes	2	3	3	18 (Medium Risk)	PRCRTC-22-APR-02 Coordinate with Grants Development Office and OVPRGEA	To be implemented	PRCRTC-22-CP-02 Write more proposals for funding for laboratory upgrading	PRCRTC-22-O1 Collaboration between research institutions and funding agencies	PRCRTC-22-APO-01 Propose collaborative research and grants both for research and upgrading of laboratories
Ensuring Research Relevance (G2, KRA1) Partnership (G2, KRA2) Knowledge Protection, Transfer and Commercialization (G2, KRA3)	A2. Utilization of research outputs by the industry or other beneficiaries	OVPRE-19-W8 Weak university-industry partnership / technologies generated not totally aligned to industry needs	OVPREI-21-T3 Reluctance of industry players to engage in new businesses brought about by Covid-19 pandemic affecting utilization of research	OVPREI-21-W8/T3-R8/R3 Overtaken by competition with other SUCS	Low adoption and commercialization of knowledge products and technologies	Establishment of shared facilities and Technology Business Incubator (TBI)	2	3	3	18 (Medium Risk)	OVPREI-21-APR-07 Build network of industry partners and prospective beneficiaries	Implemented (strengthen)	OVPREI-21-CP-09 Conduct Industry needs assessment	OVPRE-21-O9 High percentage of Filipino population engaged in social media and other digital platforms	OVPRE-21-APO-07 Consistent social media presence
														PRCRTC-22-O2 Development of rootcrop industry through Industry	PRCRTC-22-APO-02 Propose projects under ISP-rootcrops

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Communication of Research Results (G2,KRA5) Commercializing VSUs IP Asset (G4, KRA2)														Strategic Plans (ISP) of the Department of Science and technology	
														PRCRTC-22-O3 Growing market for rootcrop based products and technologies	PRCRTC-22-APO-03 Build industry partners and prospective beneficiaries
														PRCRTC-22-O4 Sustained and stable partnerships between public and private organizations/industries	PRCRTC-22-APO-04 Strengthen partnership through collaborative projects and activities
		OVPREI-21-W7 TBI operation is project-based	OVPREI-21-T4 Institutionalization of technology and business incubation program by other SUCs			TBI activities are still project-based	3	3	2	18 (Medium Risk)	OVPRE-21-APR-08 Propose for institutionalization of TBI	To be proposed	OVPRE-21-CP-10 Continued technology promotion through digital platforms	OVPREI-21-O8 Philippine Technology Transfer Act, Innovation Act and Innovative Startup Act	OVPRE-21-APO-05 Institutionalization of Technology Business Incubator (TBI)
		OVPREI-21-W8 No funds appropriated and plantilla position to hire	OVPREI-21-T5 Potential intellectual piracy of other		Downgrading of University ranking	Continued ITSO operation	3	3	2	18 (Medium Risk)	OVPRE-21-APR-09 Submit revised proposal for	Hired 2 JO staff	OVPRE-21-CP-11 Access in DOST-Technology Assessment		

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		new IP Technical Experts	SUCs with similar mandate								hiring personnel OVPRE-21-APR-10 Proposal to implement the BOR-approved IPR incentive program	To be proposed	Promotion Institute (TAPI) IPR assistance program		
		PRCRTC-22-W3 Employment turnover and contractual status of Science Research Assistants		PRCRTC-22-W3-R3 Possible non-continuity of research and innovation projects	No security of tenure for research assistants	Filling out vacant positions of research assistants under personnel services (PS)	3	3	3	27 (Medium Risk)	PRCRTC-22-APR-03 Submit request for hiring personnel	To be proposed	PRCRTC-22-CP-03 Hiring of research assistants (JO)		
		PRCRTC-22-W4 No/less participation to trade fairs/exhibits to promote and market technologies due to travel restrictions/community quarantine		PRCRTC-22-W4-R4 Overtaken by competition with other research institutes	Low adoption and commercialization of knowledge products and technologies	Conducting on-air and digital broadcast program "Magmala mbuon sa Lagutmon" for technology promotion	2	3	3	18 (Medium Risk)	PRCRTC-22-APR-04 Participate in trade fairs once travel bans are lifted	To be proposed	PRCRTC-22-CP-04 Conduct technology promotions via online platforms and radio broadcasting		

B. TECHNICAL ADVISORY EXTENSION PROGRAM

Key Areas	ACTIVITIES/ PROCESS	ISSUES		RISKS	IMPACT (for all Weaknesses & Threats)	EXISTING CONTROL (for all Weaknesses & Threats)	RISK ASSESSMENT SCORE			RISK PRIORITY NUMBER	ACTION PLAN (Risks)	CURRENT STATUS (Action Plan)	CONTINGENCY PLAN	OPPORTUNITIES	ACTION PLAN (Opportunities)
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Partnership (G2, KRA2) Knowledge Protection, Transfer and Commercialization (G2, KRA3) Community Empowerment (G3, KRA2)	B1. Partnerships with Local Government Units (LGUs), industries, Non-Government Organizations, National Government Agencies, MSMEs, and other stakeholders as a result of extension	OVPREI-21-W12 Absence of MIS of rehabilitated land, water and forest areas for protection purposes	OVPREI-21-T6 Restricted working environment due to community quarantine (recast)	OVPREI-21-W12-R12 Loss of opportunity for sustained RDE partnership and output dissemination	Difficulty in attributing University's role in environment protection	GIS mapping piloted in some LGUs	2	3	3	18 (Medium Risk)	OVPREI-21-APR-14 Set-up a GIS-assisted mapping and characterization of areas for protection in coordination with LGUs	On going	OVPREI-21-CP-14 Mandate RCCRDC to fund and coordinate with Geographic Information System Unit (GISU) and DENR related projects	OVPREI-21-O10 Emerging development needs and interests of LGUs, industries, NGOs, NGAs, MSMEs and other stakeholders in this period of pandemic and climate change OVPREI-21-O11 Existing DENR Forest Land Use Planning (FLUP) program	OVPREI-21-APO-08 Needs assessment of LGU's, NGOs, NGAs, MSMEs and other stakeholders
		PRCRTC-22-W5 Absence of established mechanism for extension capability building for faculty and staff	PRCRTC-21-T2 Reduced engagements to potential partners outside of the region due to COVID restrictions	PRCRTC-22-W5-R5 Loss opportunity for partnership with stakeholders	Difficulty in attaining the center's goal towards inclusive partnership with stakeholders	Mentoring of senior faculty to junior faculty and staff	2	3	3	18 (Medium Risk)	PRCRTC-22-APR-05 Expand exposure and communication through online platforms (T2)	On-going	PRCRTC-22-CP-05 Propose updated MOA/MOU between existing partners	PRCRTC-22-O5 Emerging partnerships with LGUs, NGOs, NGAs, MSMEs and other stakeholders in the period of pandemic and climate change	PRCRTC-22-APO-05 Needs assessment of potential partners/ stakeholders

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Capability Development (G2, KRA4) Enhanced capacities of faculty, staff and students to engage in extension (G3, KRA1) Community Empowerment (G3, KRA2)	B2. Conduct of trainings and provisions of advisory service	PRCRTC-22-W6 Absence of faculty researcher focused on extension and communication PRCRTC-22-W7 Unstable internet connectivity for online trainings and webinars	PRCRTC-22-T3 Limited face-to-face trainings and advisory services due to IATF travel restrictions	PRCRTC-22-W6/W7/T3-R6/R7/R3 Hampered effectiveness of extension service delivery	Reduced budget in extension	Information dissemination by experts through online platforms	3	3	3	27 (Medium Risk)	PRCRTC-22-APR-06 Continue existing face to face delivery with innovative observance of safety health protocols and online trainings	On-going	PRCRTC-22-CP-06 Reframe modality of extension service delivery conforming the new normal and establish strong internet connectivity	PRCRTC-22-O6 Increase clientele awareness and flexibility in availing training and advisory services through online platforms	PRCRTC-22-APO-06 Consistent online presence
Communication of Research Results (G2, KRA5) Enhanced capacities of faculty,	Delivery of extension programs consistent with the SUC's mandate and priority programs	OVPREI-21-W15 Non-compliance of Non-Formal Education (NFE) facilities to accreditation standards	OVPREI-21-T10 Proliferation of private and public institutions offering NFE certification courses	OVPREI-21-W15/T10-R15/R10 Loss of opportunity to generate income from NFE courses	Closure of some NFE courses	Establish a facility compliant to NFE certification	2	3	3	18 (Medium Risk)	OVPREI-21-APR-17 Recommended to the President to create technical working group (TWG) to spearhead	Continue securing of requirements	OVPREI-21-CP-17 OVPREI to allocate funds for proposal development, and initial NFE facility enhancement		

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staff and students to engage in extension (G3, KRA1) Community Empowerment (G3, KRA2)											the development of NFE programs (e.g organic agriculture, animal production, SMAW, etc.) (17a) Establishment of facility for organic agriculture as assessment center				
		OVPREI-21-W17 Highly static website content and low presence in digital media	OVPREI-21-T11 Other SUCs with similar mandate have better website presence	OVPREI-21-W17/T11-R17/R11 Poor image of the university	Loss of interest of target clientele to engage with the university	Frontpage website posting are done by the VSU Media Team	2	3	3	18 (Medium Risk)	OVPREI-21-APR-18 Conduct workshop among RDEI group on Digital Media Marketing (Updating OVPREI website)	Implemented	OVPREI-21-CP-18 Appoint in-charge of digital marketing per research center/institute	OVPREI-21-O14 Internet infrastructure of the country is a priority program of DICT	OVPREI-21-APO-10 Forged collaborations with DICT for VSU campuses to be included in their priority
		PRCRTC-22-W8 Insufficient institutional	PRCRTC-22-T4 Competition between	PRCRTC-22-W8/T4-R8-T4	Loss of quality	Outsourcing funds from other	2	3	3	18 (Medium Risk)	PRCRTC-22-APR-07 Conduct	To be implemented	PRCRTC-22-CP-07 Write extension	PRCRTC-22-O7 Funding support to	PRCRTC-22-APO-07 Propose and

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		budget allocation for extension	institutions with similar extension agenda	Hampered efficient delivery of extension services	extension service	funding agencies					writershop for extension proposal		program proposals for external funding	rootcrop extension programs for pandemic and climate change response	implement extension programs (disaster response)

C. NEEDS AND EXPECTATIONS OF INTERESTED PARTIES

Key Areas	ACTIVITIES/ PROCESS	ISSUES		RISKS	IMPACT (for all Weaknesses & Threats)	EXISTING CONTROL (for all Weaknesses & Threats)	RISK ASSESSMENT SCORE			RISK PRIORITY NUMBER	ACTION PLAN (Risks)	CURRENT STATUS (Action Plan)	CONTINGENCY PLAN	OPPORTUNITIES	ACTION PLAN (Opportunities)
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	Interested Party: Students														
	Research mentoring	PRCRTC-22-W9 Inadequate S&T background/foundation of students PRCRTC-22-W10 Unstable internet connectivity for online consultation	PRCRTC-22-T5 Limited interaction with students due to COVID-19 restrictions	PRCRTC-22-W9/W10/T5-R9/R10/R15 Reduced interest of students to indulge in S&T	Few students pursue S&T courses	Advisorship mentoring	2	3	3	18 (Medium Risk)	PRCRTC-22-APR-08 Offer research, development and extension activities that will encourage student interest	To be Implemented	PRCRTC-22-CP-08 Conduct more training on S&T	PRCRTC-22-O8 Interdepartmental collaboration for research mentoring through OJT and immersion programs	PRCRTC-22-APO-08 Forge MOA with departments for OJT programs

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														PRCRTC-22-09 Available technologies for alternative approaches of research mentoring	PRCRTC-22-APO-09 Implement digital marketing to improve online visibility
Interested Party: Employees (Faculty, Staff, and Administrative and Support Staff)															
	Good and safe working environment in research laboratories/experimental areas	OVPREI-21-W20 Deteriorating and/or inadequate research and processing laboratories (e.g. non compliant to GMP) OVPREI-21-W21 Unstable power supply and inadequate electrical connections	OVPREI-21-T12 Non-compliance to safety standards (BFP, GAP, GMP, etc) (W21)	OVPREI-21-W20/W21/T12-R20/R21/R12 Threat to life and property	Closure of the lab and experimental areas	Regular repair and maintenance by PPO	2	3	3	18 (Medium Risk)	OVPREI-21-APR-20 Repair, re-wiring and provision of additional research laboratories and processing facilities (20.a) Completion, refurbishing and equipping of the NARC VSU Instructional and Research Laboratory building (20.b) Rootcrops Genomics:	To be proposed	OVPREI-21-CP-20 Outsourcing of services	PRCRTC-22-O10 Available funds from funding agencies for S&T facility improvement	PRCRTC-22-APO-10 Submit proposals to funding agencies

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											Securing Rootcrops Genetic Diversity and Enhancing Crop Improvement for a Climate Smart Agriculture (20.c) Sustaining National and Regional Agricultural Innovation initiatives at VSU (OVPREI) (20.d) Renovation of the PhilRootcrops Laboratories (20.e) Construction of PhilRootcrops Science Laboratory and Office for Field-based Researchers (20.f) Innovation and advance technology program for agriculture and health				

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	Job security /tenure	OVPREI-21-W-22 No regular staff (administrative and technical positions) assigned to some research centers (eg. RCCRDC, ARIC, ViCARP, Extension, Research and Innovation)		OVPREI-21-W22-R22 Loss of facilitative and support staff	Reduced operational efficiency		2	3	3	18 (Medium Risk)	OVPREI-21-APR-21 Request for plantilla positions	To be implemented	OVPREI-21-CP-21 Hire support staff on job order status		
		PRCRTC-22-W11 Limited regular positions and job order status of researchers and administrative officers		PRCRTC-22-W11-R11 Loss of research and support staff	Reduced operational efficiency		2	3	3	18 (Medium Risk)	PRCRTC-22-APR-09 Request to retain and hire SRA/Aide, Admin. Officer for available plantilla positions in the center	On-going implementation	PRCRTC-22-CP-09 Hire staff on job order status		
	Training and personnel development		PRCRTC-22-T5 Limited opportunity for hands-on training due to COVID-19 restrictions	PRCRTC-22-T5-R5 Reduced research and training capability of core and support staff	Inefficient conduct of research and extension services	In-house training	2	3	3	18 (Medium Risk)	PRCRTC-22-APR-10 Organize in-house and online trainings for faculty and staff	On-going implementation	PRCRTC-22-CP-10 Invite resource persons to conduct training following strict health protocols	PRCRTC-22-O11 Available on-line training/webinars	PRCRTC-22-APO-11 Organize online webinars with hands-on in-house trainings

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		PRCRTC-22-W12 No proper turnover of documents from outgoing to incoming researchers (faculty and research assistants)		PRCRTC-22-W12-R12 Loss of continuity of research and extension documents	Impaired research and extension services	Strict submission of documents before issuing clearance	2	3	3	18 (Medium Risk)	PRCRTC-22-APR-12 Establish strict rules and regulations for outgoing or retiring faculty and staff	On-going	PRCRTC-22-CP-12 Request ODQA to establish process manual for proper turnover of documents		
	Adequate facilities and resources		PRCRTC-22-T6 Utilization of disease-infected planting materials clientele (farmers and researchers)	PRCRTC-22-T6-R6 Spread of diseases	Low yield and loss of income	Regulatory policies of exchange in materials	3	3	2	18 (Medium Risk)	PRCRTC-22-APR-13 Establish nurseries for production of quality planting materials	On-going	PRCRTC-22-CP-13 Training for proper treatment of planting materials	PRCRTC-22-O12 Regulatory policies of exchange in materials	PRCRTC-22-APO Strict compliance on the regulatory policies of exchange in materials
		PRCRTC-22-W13 Non-compliance of periodic equipment calibration in research laboratories		PRCRTC-22-W13-R13 Unreliable data results and analysis	Unacceptable knowledge products	Arrangement between supplier and end-user for regular monitoring	2	3	3	18 (Medium Risk)	PRCRTC-22-APR-14 Actual implementation of ISO registered calibration procedure and maintenance; and conduct inventory of equipment	To be implemented	PRCRTC-22-CP-14 Preventive maintenance of laboratory facilities by respective units		

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											in all laboratories				
		PRCRTC-22-W14 Germplasm collections are exposed to biotic and abiotic stresses		PRCRTC-22-W14-R14 Loss of germplasm collections	Few parent materials for breeding	<i>In vitro</i> conservation of core collection	3	3	2	18 (Medium Risk)	PRCRTC-22-APR-15 Expand tissue culture facilities	To be implemented	PRCRTC-22-CP-15 Maintain existing tissue culture laboratories		
		PRCRTC-22-W15 Slow procurement of resources and facilities for research and innovation		PRCRTC-22-W15-R15 Untimely procurement of supplies and equipment for research	Inefficient conduct of experiments	Utilizing available resources	3	3	2	18 (Medium Risk)	PRCRTC-APR-16 File APP and PPMP for early procurement	On-going	PRCRTC-22-CP-16 Request for NPSVP procurement		
Interested Party: Community															
	Communities' request problems are addressed based on needs	PRCRTC-22-W16 Weak stakeholders engagement and participation in development programs and projects	PRCRTC-22-T7 Losing stakeholders and target client's interest in the extension project	PRCRTC-22-W16/T7-R16/R7 Compromised sustainability of extension projects	Implementing Irrelevant extension projects	Virtual and on-air engagement of stakeholders	2	3	3	18 (Medium Risk)	PRCRTC-22-APR-17 Develop creative modalities on on-air and virtual participation of relevant stakeholders	To be implemented	PRCRTC-22-CP-17 Distribute printed and electronic copies of communication materials (CM)	PRCRTC-22-O13 Available social media and communication routes for promotion and awareness	PRCRTC-22-APO-13 Establish regular radio and online program for promotion
Interested Party: Government agencies and regulatory bodies															

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	Environmental protection and ethical behavior	PRCRTC-22-W17 Non-compliance of DENR regulatory requirements		PRCRTC-22-W17-R17 Threat of closure of laboratories and degrading of university stature and image	Increased environmental and health hazards	Existing policy on solid waste management	3	4	4	24 (High Risk)	PRCRTC-22-APR-18 Coordinate with VSU's Environmental Management Office for proper solid waste disposal	To be implemented	PRCRTC-22-CP-18 Solid waste segregation management plan		
Interested Party: Accrediting Agencies															
	Compliance with standards and requirements	OVPRE-19-W36 Extensive paper works		OVPRE-19-W36-R36 Diminished University's competitiveness	No certification or accreditation	Issuance of Memo	2	3	3	18 (Medium Risk)	OVPRE-21-APR-28 Streamline operational system of respective units	To be implemented	OVPRE-21-CP-31 Re-orientation on resource utilization in key functional areas		
Interested Party: Government, Non-government Agencies and Accrediting Agencies															
		OVPRE-19-W35 Slow procurement process	OVPRE-19-T18 Stringent rules and regulations on procurement law	OVPRE-19-W31/W33/W35/T18/T19-R31/R33/R35 / R18/R19 Blacklisting and loss of	Loss of opportunity for subsequent funding	Sustain implementation Supply Property Procurement	2	3	3	18 (Medium Risk)	OVPRE-21-APR-29 Proposal to increase the procurement signing	To be implemented	OVPRE-21-CP-32 Re-training of responsible personnel	PRCRTC-22-O14 Effective and efficient annual auditing of fund utilization	PRCRTC-22-APO-14 Establish an internal tracking of fund utilization

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				opportunity for subsequent funding		Management Information System (SPPMIS)					authority of the University President				
	Timely submission of reports	OVPRE-19-W31 Delayed submission of reports from other concerned units (e.g financial, terminal reports) OVPRE-19-W33 Work overload	OVPRE-19-T19 Very short notice from concerned agencies on deadlines			Monitoring and evaluation on report submission	3	3	4	36 (High Risk)	OVPREI-21-APR-30 Strict implementation for the submission of reports base on existing guidelines	To be implemented	OVPREI-21-CP-33 Periodic monitoring and consultation of submission of reports	PRCRTC-22-O15 Scheduled reporting of project updates to concerned agencies	PRCRTC-22-APO-15 Establish online portals for report submission

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<u>EDGARDO E. TULIN</u> Director, PhilRootcrops Date: January 7, 2021	<u>DANIEL LESLIE S. TAN</u> Risk Manager Date:	<u>MARIA JULIET C. CENIZA</u> Vice President for REI Date: