



Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XIII (CARAGA)
1559 Matimco Bldg, Km 4., Libertad, Butuan City
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Name of Division/FOU:


MASTER LIST OF MAINTAINED DOCUMENTED INFORMATION (INTERNAL)

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
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RISK IDENTIFICATION, EVALUATION AND CONTROL							
R13-SP-07	System Procedure	10.16.17					
FM-R13-SP-07-01	Risk Register (Objective Risk Assessment)	10.16.17					
FM-R13-SP-07-02	Risk Register (Process Risk Assessment)	10.16.17					
FM-R13-SP-07-03	Risk Matrix	10.16.17					
FM-R13-SP-07-04	Opportunity Management Plan	10.16.17					
FM-R13-SP-07-05	Risk and Opportunity Controls Monitoring	10.16.17					

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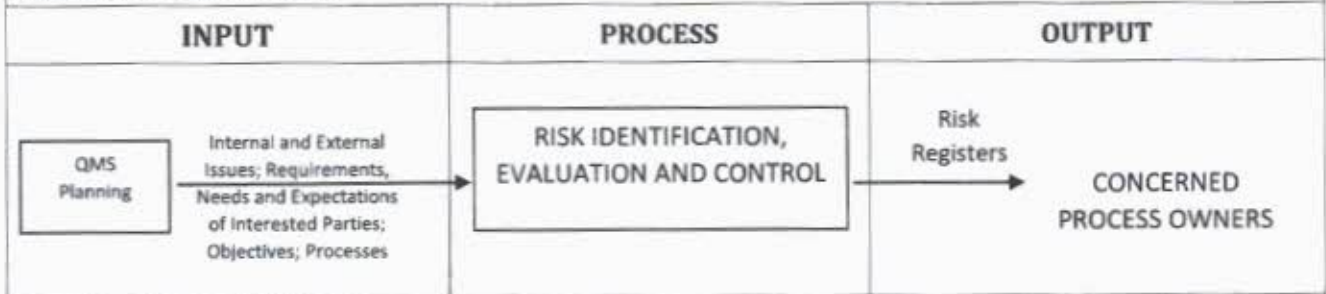
DILG REGION XIII (CARAGA)
**SYSTEM
 PROCEDURE (SP)**

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PROCEDURE TITLE	RISK IDENTIFICATION, EVALUATION AND CONTROL
SCOPE	This process starts from the identification up to controlling of risks as well as opportunities relative to the DILG Region's organizational context, needs and expectations of its interested parties and its QMS scope.
PURPOSE	To define the process of proper, accurate and effective determination, evaluation and control of risks.

PROCESS DESCRIPTION:



DESCRIPTIVE STATEMENT:

This procedure starts from determining risks and opportunities considering the organization's internal and external issues, requirements of interested parties, scope of QMS and products and services. Then, a defined risk assessment criteria provides a basis for determining significant risks which require further control actions. An oversight review process ensures the reasonable accuracy and reliability of the risk assessment outputs, called Risk Registers. Further, control and opportunity plans are assessed for effectiveness prior to inclusion in existing QMS process and documents.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Process Owner	Determine risks and opportunities	<ul style="list-style-type: none"> Determine internal and external issues, both positive and negative, interested parties, objectives, processes and corresponding risks and opportunities as follows: <ul style="list-style-type: none"> Objectives Process 	<ul style="list-style-type: none"> Context Registry Interested Parties Matrix Quality Objectives QMS Scope Risk Register (FM-R13-SP-12-01 and 02) Opportunity Management Plan (FM-R13-SP-12-04)
2	Process Owner	Determine risk trigger, consequence, and existing control measures	<ul style="list-style-type: none"> Determine: <ul style="list-style-type: none"> Risk trigger Potential effects/consequences of risk as well as opportunities, where applicable existing control measures, if any, to prevent the risk from happening, or treat and mitigate its effect/consequence. 	<ul style="list-style-type: none"> documented operating procedures Risk Register (FM-R13-SP-12-01)





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
3	Process Owner	Rate the risk	<ul style="list-style-type: none"> • Calculate the risk level or risk rating by estimating the severity of consequence and the likelihood of its occurrence based on the following Risk Criteria: <ul style="list-style-type: none"> • Severity • Likelihood • Detection • Determine significant (high) risk. • Note: If the consequence is 5 and likelihood is high (5), this should be considered as significant risk regardless of the detection rating. 	<ul style="list-style-type: none"> • Risk Criteria Matrix (FM-R13-SP-12-03) • Risk Register (FM-R13-SP-12-01 and 2)
4	Process Owner	Prepare risk control plan and opportunity management plan	<ul style="list-style-type: none"> • Establish a risk control plan for significant risks and opportunity management plan for opportunities that require an action plan or project in order to pursue. <p>Notes:</p> <ol style="list-style-type: none"> 1. Some opportunities do not require a specific set of activities in order to realize its benefits; others do require a specific project or action plan before realizing the benefits. In case of risks detected as part of an opportunity pursuit, conduct also a risk assessment before proceeding. 2. Possible management actions to address risks: <ol style="list-style-type: none"> a) Avoiding risk b) Taking risk to pursue an opportunity c) Eliminating the risk source d) Reducing the risk by changing either or both likelihood and/or consequence e) Sharing the risk (e.g. through insurance) 	<ul style="list-style-type: none"> • Risk Register (FM-R13-SP-12-01 and 2)





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			f) Retaining the risk by informed decision 3. Possible management actions to pursue an opportunity a) Adoption of new products b) Launching new products c) Opening new markets d) Addressing new customers e) Building partnerships or joint ventures f) Using new technology g) Other desirable and viable possibilities to address the organization's or customer's needs	
5	Division Chief/ Head of Office	Review the risk assessment results	<ul style="list-style-type: none"> Review the risk assessment results and the corresponding action plans to ensure appropriateness and accuracy of ratings used and adequacy of planned actions. For any comments/changes, return to process owner for appropriate action. Forward to the Regional Risk Review Committee. <p>Note: All Risk Registers must be submitted to the Regional Risk Review Committee one month before the Regional Planning activity.</p>	<ul style="list-style-type: none"> Risk Register (FM-R13-SP-12-01 and 2)
6	Regional Risk Review Team	Conduct oversight review to confirm the risk assessment results	<ul style="list-style-type: none"> Conduct a risk review meeting to: Confirm the risk ratings determined by the concerned process owners. Ensure the adequacy of the risk control plan and opportunity management plans. Return to concerned office for appropriate action. 	<ul style="list-style-type: none"> Risk Registers (FM-R13-SP-12-01 and 2) Opportunity Management Plan (FM-R13-SP-12-04)





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
7	Process Owner/Division Chief	Finalize the Risk Register	<ul style="list-style-type: none"> Finalize the risk register and the Opportunity Management Plan (OMP) considering inputs from the Risk Review Team. Secure signature of the Risk Review Team Leader and the recommendation for approval by the Regional Quality Management Representative. 	<ul style="list-style-type: none"> Risk Register (FM-R13-SP-12-01 and 2) Opportunity Management Plan (FM-R13-SP-12-04)
8	Regional Director	Approve the Risk Register	<ul style="list-style-type: none"> Approve the Risk Register and/or the Opportunity Management Plan 	<ul style="list-style-type: none"> Risk Register (FM-R13-SP-12-01 and 2) Opportunity Management Plan (FM-R13-SP-12-04)
9	Concerned Personnel	Take action	<ul style="list-style-type: none"> Implement the risk control plan and the opportunity management plan. Monitor results of implementation, every end of the quarter and address any issue or problem encountered. 	<ul style="list-style-type: none"> Risk Registers Opportunity Management Plan (FM-R13-SP-12-04) Risk Control Plan/Opportunity Management Plan Status Monitoring (FM-R13-SP-12-05)
10	Process Owner	Re-assess the risk	<ul style="list-style-type: none"> One month after full implementation of the risk control plan, re-assess the risk to confirm effectiveness of the actions taken and verify whether or not risk controls are effective. If risk remain significant provide additional risk control action plan. Revise the Risk Registers as necessary. 	<ul style="list-style-type: none"> Risk Register (FM-R13-SP-12-01 and 02)
11	Concerned personnel	Integrate effective risk controls to the respective process and documents	<ul style="list-style-type: none"> Integrate effective risk controls into the respective QMS processes and documents, such as planning, policies and procedures, forms, and other QMS processes and documents. Revise/update the affected QMS document, as necessary, in accordance with the Control of Maintained Documented Information Procedure 	<ul style="list-style-type: none"> Affected QMS Document Control of Maintained Documented Information Procedure





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
12	Designated Custodian	Maintain Records	<ul style="list-style-type: none"> Maintain records in accordance with the Control of Retained Documented Information Procedure and Master List of Records (R13-SP-02). 	<ul style="list-style-type: none"> Control of Retained Documented Information Procedure Master List of Records (FM-R13-SP-02-01)

Definition of Terms:

Risk - effect of uncertainty

Effect - deviation from the expected, whether positive or negative

Consequence - outcome of an event affecting objectives or controls

Uncertainty - the state of deficiency of information related to, understanding of, or knowledge of an event, its consequence, or likelihood

Risk Register - a documented information summarizing the results of the risk assessment

Risk trigger - a condition which causes the risk to occur

Risk assessment - process of estimating the magnitude of the effect of risk using a defined risk criteria to determine whether or not the risk is significant

Risk criteria - terms of reference against which risk is assessed by estimating its impact (severity or benefit) and likelihood of occurrence.

Risk rating - the magnitude of risk considering the impact of the effect and its likelihood

Impact - the severity (negative effect) or benefit (positive effect) of risk

Severity - the seriousness of the harm, impact or consequence of the risk

Likelihood - the probability of occurrence of the effect of risk

Detection - the probability that occurrence of risk can be detected early enough to enable proper responses to be initiated

Existing Risk Control Measures - modify the severity of consequence, likelihood or detection of risk

Risk Treatment - any action intended to modify or lower down the risk magnitude

Significant risk - a risk whose rating exceeds the threshold

Opportunity - a positive effect of uncertainty which may or may not require specific actions in order to pursue or realize; also refers to **benefits** or gains realized from the positive effect of risk

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QMS Secretariat Head	Regional QMR	Top Management





RISK CRITERIA MATRIX

Risk Rating		Impact	Probability			
SCALE	RATING	SEVERITY (Negative Effect)	SCALE	LIKELIHOOD of occurrence - the chance that the harm will occur; also referred to as probability	SCALE	Likelihood of DETECTION - the chance that the occurrence of harm will be detected to enable prompt action or response
5	Extreme	Can result to discontinuity/stoppage of operations; Legal noncompliance, loss of customer, financial loss which can result to closure; or severe damage to organization's reputation	5	Almost certain - Very high probability of occurrence is expected; happened more than once in a year	5	Very remote - absolutely no chance of detection of occurrence
4	Major	Can result in nonconforming product, delayed delivery, customer complaint, disruption of operations	4	Likely - Probability of occurrence is expected; happened once in the previous year	4	Remote - probability of detection is not expected
3	Moderate	Can result to the inconsistent implementation of QMS processes in a certain degree, resulting to inconsistent quality	3	Moderate - Probability of occurrence is reasonably expected; happened once in the last 3 years	3	Low - there's a low chance or probability of detection of failure
2	Minor	Minimal negative impact to the organization; can be possibly accepted as it is	2	Unlikely - Probability of occurrence is low; happened once in the last 5 years	2	Likely - probability of detection is expected
1	Insignificant	No negative impact at all	1	Rare - Almost not possible to occur at all	1	Almost certain - very high probability of detection is expected

RISK ASSESSMENT MATRIX			
RATING	RISK LEVEL	COLOR	ACTION
>40	HIGH	Red	CONTROL PLAN / ACTION IS REQUIRED
26-40	MODERATE	Yellow	ALERT LEVEL BUT NO ACTION REQUIRED
1 - 25	LOW RISK	Green	NO ACTION IS REQUIRED

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OPPORTUNITY MANAGEMENT PLAN								
OFFICE								
OBJECTIVE:								
OPPORTUNITY DESCRIPTION:								
POTENTIAL BENEFIT:(S)								
NO.	ACTIVITIES	RESPONSIBLE	TIMELINES		RESOURCE NEEDED	MONITORING		
			Start	End		FREQUENCY	WHO	RECORD

Prepared by: _____
 Name / Position

Date Prepared: _____

Approved by: _____
 Deputy QMR

Date Approved: _____

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RISK CONTROL PLAN / OPPORTUNITY PLAN
STATUS MONITORING

PERIOD COVERED: _____
OFFICE: _____
PROCEDURE / AREA: _____

ACTIVITY	Responsible	Date Started	Date Completed	REMARKS - Status, Constraints, Other Actions Taken, if any	Date Monitored	By

Prepared by: _____ Name / Position
Noted by: _____ Deputy QMR

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