

Republic of the Philippines DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT REGION XIII (CARAGA)

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Name of Division/FOU:

MASTER LIST OF MAINTAINED DOCUMENTED INFORMATION (INTERNAL)

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
DOCOMENT CODE		00	01	02	03	04	05
RISK IDENTIFICATION, EVA	LUATION 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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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 DECSRIPTION:

INPUT		PROCESS	OUTPUT	
QMS Planning	Internal and External Issues; Requirements, Needs and Expectations	RISK IDENTIFICATION, EVALUATION AND CONTROL	Risk Registers CONCERNED	
	of Interested Parties; Objectives; Processes		PROCESS OWNERS	

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	Determine internal and external issues, both positive and negative, interested parties, objectives, processes and corresponding risks and opportunities as follows: Objectives Process	 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	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.	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	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: 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.	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	Establish a risk control plan for significant risks and opportunity management management plan for opportunities that require an action plan or project in order to pursue. Notes:	Risk Register (FM-R13-SP-12-01 and 2)
			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: 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)	



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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	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 Commitee. Note: All Risk Registers must be submitted to the Regional Risk Review Committee one month before the Regional Planning activity.	• Risk Register (FM-R13-SP-12-01 and 2)		
6	Regional Risk Review Team	Conduct oversight review to confirm the risk assessment results	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.	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	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.	Risk Register (FM-R13-SP-12-01 and 2) Opportunity Management Plan (FM-R13-SP-12-04)
8	Regional Director	Approve the Risk Register	Approve the Risk Register and/or the Opportunity Management Plan	 Risk Register (FM-R13-SP-12- 01 and 2) Opportunity Management Plan (FM-R13-SP-12- 04)
9	Concerned Personnel	Take action	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.	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	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.	Risk Register (FM-R13-SP-12-01 and 02)
11	Concerned personnel	Integrate effective risk controls to the respective process and documents	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	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	Maintain records in accordance with the Control of Retained Documented Information Procedure and Master List of Records (R13-SP-02).	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 ris

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Republic of the Philippines DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT REGIONAL OFFICE

OFFICE/UNIT PROCEDURE:								(B)		SK REG ESS RIS		R SSMENT	Č							
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PROCESS STEP			an instance upon	A COMMISSION OF THE PARTY.			-				-	1	Carrier Co.		TIM	ELINE			HONITORING	
(Based on the procedure's key process steps)	POTENTIAL RESK	TRIGGER	(Positive or Megative)	EXISTING RISK CONTROL MEASURE	IMPACT	LIKELIHO GO	ON	RATING	RISK LEVEL (L. H. H)	S, NS	RPM (Plak Priority No.)	ERSK CONTROL ACTION	ACTION PLAN (if risk rating is significant)	RESPONSE BLE	START	END	RESOURCE NEEDED	START	END	RESOURCE NEEDED
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Decree of the										a										
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RISK CRITERIA MATRIX

Ri	sk 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	Мајог	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 iorganization; 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		CONTROL PLAN / ACTION IS REQUIRED							
26-40	MODERATE		ALERT LEVEL BUT NO ACTION REQUIRED							
1 - 25	LOW RISK		NO ACTION IS REQUIRED							

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Regional QMR

ULIBETHA. FAMACIÓN, CESO III
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OFFICE									
OBJECTI	VE:								
OPPORT	UNITY DESCRIPTION:								
POTENT	IAL BENEFIT:(S)								
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NO.	ACTIVITIES	RESPONSIBLE	TIME	LINES	RESOURCE				
NO.	ACTIVITIES	RESPONSIBLE	Start	End	NEEDED	FREQUENCY	WHO	RECORD	
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	(MOO V)	Chief Adm/n O	fficer/Olt-Ass	t. Regional		Regional		O ill	
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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	Ву
Prepared by: Name /	Position		Noted by:	Dep	outy QMR	
DON MANUELO O PATRIMONIO LGOOV QMS Secretariat Head	Chief Admin Office	IALO A SERO Cer/OIC Asst. egional QMI	Regional Direct	or Reg	. FOMAGION, CES gional Urector Management	O III