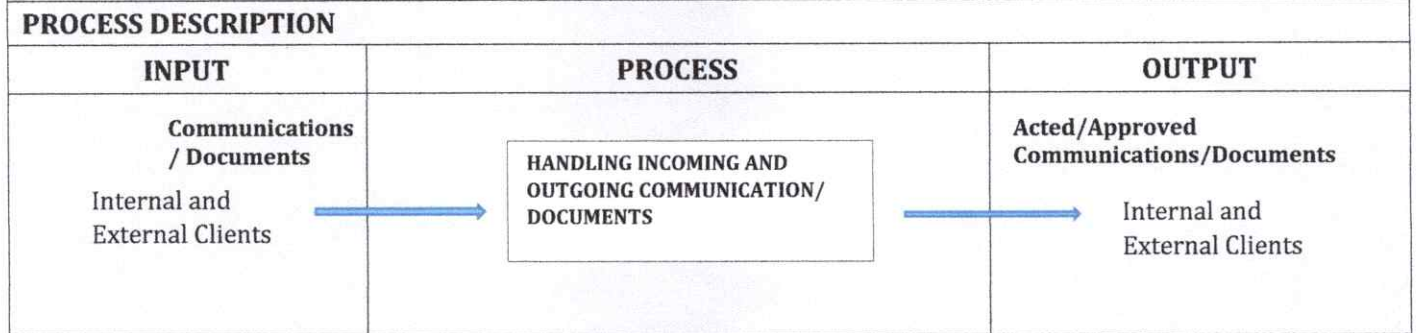




DILG - XII
**QUALITY
 PROCEDURE (QP)**

| Document Code | | |
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| QP-R12-FAD-01 | | |
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| | |
|------------------------|---|
| PROCEDURE TITLE | HANDLING INCOMING AND OUTGOING COMMUNICATIONS /DOCUMENTS |
| SCOPE | The process starts from the receipt of documents up to the releasing to concerned Division/Section/Unit/Clients. |
| PURPOSE | To ensure the systematic control and management of records and facilitate traceability and enable easy retrieval based on the National Archive of the Philippine (NAP) regulations. |



DESCRIPTIVE STATEMENT :
 The Records Officers receive the documents from External and Internal client, these will be controlled/stamped and encoded to the Records Database for routing to concerned divisions/sections/units. Once acted, it will be released to concerned clients (The Implementation of Document Management System (DMS) is up to Regional Office only.

| Step No. | Responsible Personnel | PROCESS/ACTIVITY | Details | References |
|---|--|---|---|---|
| A. INCOMING COMMUNICATIONS/DOCUMENTS | | | | |
| 1 | Receiving Clerk (RO, PO, CD, CLGOO of Cotabato City) | Receive, Check, Log (hand carry, fax, courier documents) and Route document | Received documents/ records <ul style="list-style-type: none"> • Hand carry, fax, courier documents, Check the completeness of attachment/ enclosure, if any. • Inform originating office of documents / records which are unsigned or with incomplete enclosure for appropriate action. • On the spot return of the following: <ul style="list-style-type: none"> - Unsigned documents - Those with incomplete pages | Record Database - ecopy Original documents with routing slip |

DILG XII QMS



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DILG - XII
**QUALITY
 PROCEDURE (QP)**

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| Step No. | Responsible Personnel | PROCESS/ACTIVITY | Details | References |
|----------|-----------------------|------------------|--|------------|
| | | | <p>attachments and enclosures</p> <ul style="list-style-type: none"> - Those which are not addressed or inadvertently send to DILG - Mysterious parcels - Damaged or tampered mails <ul style="list-style-type: none"> • Stamp "received", record sort and scan documents (with Document Registration No.), except personal documents/records • Documents from email will be downloaded as soft copy and uploaded to Document Management System (DMS) as attachment for the documents to be routed to the concerned Division/Section/Unit, except field offices <p>All documents except for URGENT received beyond cut-off time (4:30 PM) will be routed/released on the following day</p> <p>All field reports shall be directly forwarded to Concerned Divisions/Section/Unit while confidential reports to ORD/PD/CD/CLGOO of Cotabato City.</p> | |

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DILG - XII
**QUALITY
 PROCEDURE (QP)**

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| Step No. | Responsible Personnel | PROCESS/ACTIVITY | Details | References |
|-----------|--|---|---|---|
| 2 | RD/PD/CD/ CLGOO of Cotabato City | Assignment to concerned Division/Section/Unit | Provide Instructions Forward the sorted documents to ORD/PD/CD/ CLGOO of Cotabato City with attached routing slip for instructions. Documents from hand carry, fax and courier will be converted to soft copy though scanning and it will be forwarded to concerned division/section/unit with attached routing slip generated from DMS | |
| 3 | Receiving Clerk (RO, PO, CD, CLGOO of Cotabato City) | Route to concerned Division/Section/Unit | Cause receipt of concerned Division/Section/Unit | |
| 4 | Process Owner | Retain records | <ul style="list-style-type: none"> Update the Process Summary Log Sheet Retain records in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Retained Documented Information | <ul style="list-style-type: none"> Process Summary Log Sheet Control of Documented Information Procedure Masterlist of Retained Documented Information |
| B. | OUTGOING COMMUNICATIONS/DOCUMENTS | | | |
| 1 | Releasing Clerk (RO, PO, CD, CLGOO of Cotabato City) | Receive outgoing communications/documents | Receive, Log and release communications/documents | Original documents Waybill or tracking number, sent emails |

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DILG - XII
**QUALITY
 PROCEDURE (QP)**

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| Step No. | Responsible Personnel | PROCESS/ACTIVITY | Details | References |
|----------|-----------------------|------------------|---|------------|
| | | | <ul style="list-style-type: none"> • Hard copy document <ul style="list-style-type: none"> - Check the documents if signed by the Regional Director and with complete attachment. - Communication for email will be scanned and released. - For courier and hand carry must be sealed by the concerned Division/Section/Unit before hand in to the Releasing Clerk for released. • Documents Management System (DMS) <ul style="list-style-type: none"> - Check the documents from Division/Section/Unit if signed by the Regional Director with complete attachment. - Accept and Register the documents with new Document Registration No, for release. <p>Documents for courier received beyond cut-off time (10:00AM) will be released on the following day except urgent matters. While documents for email received beyond cut-off time (4:30PM) will be</p> | |

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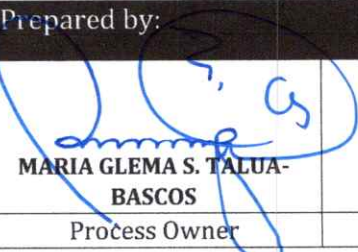
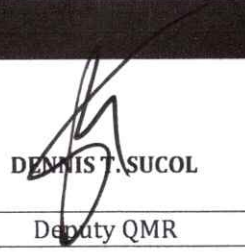
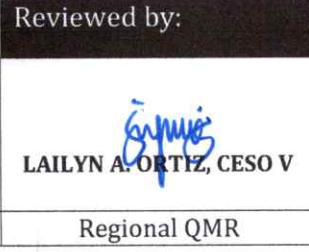
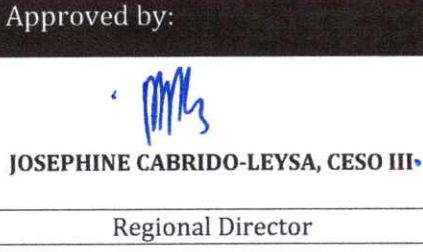
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DILG - XII
**QUALITY
 PROCEDURE (QP)**

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| Step No. | Responsible Personnel | PROCESS/ACTIVITY | Details | References |
|----------|-----------------------|------------------|--|---|
| | | | released on the following day | |
| 2 | Process Owner | Retain records | <ul style="list-style-type: none"> Update the Process Summary Log Sheet Retain records in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Retained Documented Information | <ul style="list-style-type: none"> Process Summary Log Sheet Control of Documented Information Procedure Masterlist of Retained Documented Information |

| Prepared by: | Reviewed by: | Approved by: |
|---|--|---|
|  MARIA GLEMA S. TALUA-BASCOS Process Owner |  DENNIS T. SUCOL Deputy QMR |  LAILYN A. ORTIZ, CESO V Regional QMR |
| | |  JOSEPHINE CABRIDO-LEYSA, CESO III Regional Director |

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QUALITY OBJECTIVE (QO)

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| | |
|--------------------------------|--|
| OFFICE | FINANCE & ADMINISTRATIVE DIVISION – RECORDS SECTION |
| QUALITY PROCEDURE TITLE | HANDLING INCOMING AND OUTGOING COMMUNICATION/DOCUMENTS |

| Function | Key Performance Indicators (KPIs) | | | Frequency of Monitoring Results | Responsible for Monitoring | Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Report, Memo, etc.) |
|---|---|--------|--|---|---|--|
| | Objective | Target | Indicator/Formula (if applicable) | | | |
| <ul style="list-style-type: none"> Handle incoming and outgoing communications/documents | <ul style="list-style-type: none"> Incoming Communications/ documents processed within the day | 90% | Timeliness: Total No. of communications timely processed for the within the day -----X100 Total No. of incoming communications received | <ul style="list-style-type: none"> Monthly | <ul style="list-style-type: none"> Records Officer | <ul style="list-style-type: none"> Records Database System Handling og incoming and outgoing communciations/ documents processe summary logsheet |
| | <ul style="list-style-type: none"> Outgoing communications/ documents released within the day | 90% | Total No. of communications released within the day -----X100 Total No. Of communications for release within the day | <ul style="list-style-type: none"> Monthly | | |

| Prepared by: | Reviewed by: | Approved by: |
|---|--|---|
| MARIA GLEMA S. TALUA-BASCOS Process Owner | DENNIS T. SUCOL Deputy QMR | LAILYN A. ORTIZ, CESE Regional QMR |
| | | REYNALDO M. BUNGUBUNG, CESO IV Top Management |





Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

PROCESS QUALITY MONITORING AND EVALUATION (QME)

| Document Code | | |
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| QME-QP-R12-FAD-01 | | |
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| | |
|----------------------------|---|
| OFFICE | FINANCE & ADMINISTRATIVE DIVISION – RECORDS SECTION |
| PROCEDURE TITLE | HANDLING OF INCOMING AND OUTGOING COMMUNICATION/DOCUMENTS |
| OBJECTIVE STATEMENT | 1. 90% of incoming communications/documents processed within the day 2. 90% of outgoing communications/documents released within the day |
| CURRENT PERIOD | |

| INDICATORS | | JAN | FEB | MAR | APR | MAY | JUN | JUL | AUG | SEP | OCT | NOV | DEC | TOTAL |
|---|---|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-------|
| Objective 1: 90% of incoming communications/documents processed within the day | | | | | | | | | | | | | | |
| A | Total No. of communications processed within the day | | | | | | | | | | | | | |
| B | Total No. of incoming communications received | | | | | | | | | | | | | |
| C | Formula: $\frac{A}{B} \times 100$ Target Result : 90% | | | | | | | | | | | | | |
| D | Gap Analysis: (In case the objective is not met, put your analysis why it is not met) | | | | | | | | | | | | | |
| Objective 2: 90% of outgoing communications/documents released within the day | | | | | | | | | | | | | | |
| A | Total No. Of communication released within the day | | | | | | | | | | | | | |
| B | Total No. of communications released within the day | | | | | | | | | | | | | |
| C | Formula: $\frac{A}{B} \times 100$ Target Result : 90% | | | | | | | | | | | | | |
| D | Gap Analysis: (In case the objective is not met, put your analysis why it is not met) | | | | | | | | | | | | | |

Note: For unmet targets, concerned QMS Secretariat shall initiate correction and corrective action using the Corrective Action Report (CAR) and attach it to this form.

DILG XII QMS

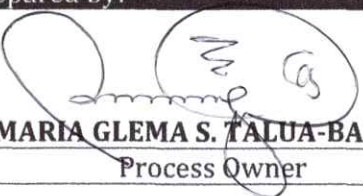
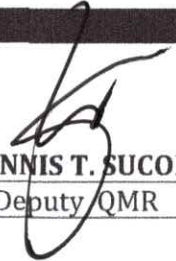





Republic of the Philippines
 DILG - REGION 12 (SOCCSKSARGEN)
**PROCESS QUALITY MONITORING AND
 EVALUATION (QME)**

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|--------------------------|-----------|--------|
| QME-QP-R12-FAD-01 | | |
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| Prepared by: | Noted by: |
|---------------|------------------------------|
| | |
| Process Owner | Division Chief / Deputy Q,MR |

| Prepared by: | Reviewed by: | Approved by: |
|--|--|---|
|  MARIA GLEMA S. TALUA-BASCOS Process Owner |  DENNIS T. SUCOL Deputy QMR |  LAILYN A. ORTIZ, CESE Regional QMR |
| | | REYNALDO M. BUNGUBUNG, CESO IV Regional Director |

DILG XII QMS





Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

HANDLING INCOMING & OUTGOING COMMUNICATIONS/DOCUMENTS Process Summary Logsheet (PSL)

| Document Code | | |
|----------------------------|-----------|--------|
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QUALITY OBJECTIVE: 1. 90% of Incoming communications/documents processed within the day
2. 90% of outgoing communication/documents released within the day

FREQUENCY OF MONITORING: **Monthly**

COVERED PERIOD:

Due Date of Submission:

A

| No. | Control No. | Subject | Origin/Sender | OBJECTIVE NO. 1 RESULTS | | | | | |
|-------|-------------|---------|---------------|-------------------------|------------------------------|-------------------------------|-----|-------|-------------------|
| | | | | Date Received | Date Routed to Div/Sec./Unit | No. of Minutes (Target=1 Day) | Met | Unmet | REMARKS, IF UNMET |
| 1 | | | | | | | | | |
| 2 | | | | | | | | | |
| 3 | | | | | | | | | |
| 4 | | | | | | | | | |
| 5 | | | | | | | | | |
| TOTAL | | | | | | | | | |

B

| Addressee | Subject | Origin/Sender | OBJECTIVE NO. 2 RESULTS | | | | | |
|-----------|---------|---------------|----------------------------------|---------------|-------------------------------|-----|-------|-------------------|
| | | | Date Received from Div/Sec/Units | Date Released | No. of Minutes (Target=1 Day) | Met | Unmet | REMARKS, IF UNMET |
| | | | | | | | | |
| | | | | | | | | |
| | | | | | | | | |
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| | |
|---------------|-------------|
| Prepared by: | Noted by: |
| | |
| Process Owner | Deputy Q,MR |

DILG XII QMS


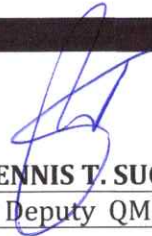





Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

HANDLING INCOMING & OUTGOING COMMUNICATIONS/DOCUMENTS Process Summary Logsheets (PSL)

| Document Code | | |
|----------------------------|-----------|--------|
| FM-QP-R12-FAD-01-01 | | |
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| 00 | 10.01.17 | 2 of 2 |

| Prepared by: | Reviewed by: | Approved by: |
|--|---|---|
|  MARIA GLEMA S. TALUA-BASCOS Process Owner |  DENNIS T. SUCOL Deputy QMR |  LAILYN A. ORTIZ, CESE Regional QMR |

[Faint, illegible text or stamp]

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REFERENCE/CONTROL NO.

ROUTING AND TRANSMITTAL SLIP

SUBJECT:

| NO. | FOR/TO | FROM | DATE | SENDER | REMARKS | ACTION BEING REQUESTED |
|----------------------|--------|------|------|--------|---------|---|
| | | | | | | [1] APPROVAL/SIGNATURE |
| | | | | | | [2] APPROPRIATE STAFF ACTION |
| | | | | | | [3] COMMENT/RECOMMENDATION |
| | | | | | | [4] STUDY/INVESTIGATION |
| | | | | | | [5] REPLY DIRECT TO WRITER |
| | | | | | | [6] REPLY FOR SIGNATURE OF SILG/USEC/ASEC |
| | | | | | | [7] REPORT DUE FOR APRE OF SILG/USEC/ASEC |
| | | | | | | [8] REWRITE/ REDRAFT/ RETYPE |
| | | | | | | [9] RETURN |
| | | | | | | [10] NOTATION AND FORWARD TO |
| | | | | | | [11] INFORMATION/REFERENCE |
| | | | | | | [12] SEE SILG/USEC/ASEC |
| | | | | | | [13] PREPARE SPEECH/MSG/REMARKS |
| ADDITIONAL REMARKS : | | | | | | [14] REQUEST FEEDBACK TO SILG/USEC/ASEC |
| | | | | | | [15] ATTN TO HWN OF SILG/USEC/ASEC |
| | | | | | | [16] DISPATCH TO ADDRESSEE |
| | | | | | | [17] FILE/COPY FURNISH |
| | | | | | | [18] RE-ROUTE |
| | | | | | | [19] ADDITIONAL REMARKS |
| | | | | | | [20] OTHERS |

THIS FORM SHALL NOT BE DETACHED FROM THE DOCUMENT WHERE THIS IS ATTACHED

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Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XII

Prime Regional Government Center, Carpenter Hill, Koronadal City, 9506
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 ADMIN (083) 228-7960 • FINANCE (083) 228-7959 • LGMED (083) 877-2969 • LGCDD (083)877 2971

| Document Code | | |
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| FM-SP-R12-03A-01 | | |
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Division: **FINANCE AND ADMINISTRATIVE DIVISION (RECORDS SECTION)**

MASTER LIST OF INTERNAL DOCUMENTS

| DOCUMENT CODE | DOCUMENT TITLE | REVISION | | | | | |
|---|---|----------|---------|----|----|----|----|
| | | 00 | 01 | 02 | 03 | 04 | 05 |
| HANDLING INCOMING AND OUTGOING COMMUNICATION/DOCUMENTS | | | | | | | |
| QP-RO12-FAD-01 | Quality Procedure: Handling Incoming & Outgoing Communication/Documents | 10.01.17 | 0012020 | | | | |
| QO-QP-R12-FAD-01 | Quality Objective: Handling Incoming & Outgoing Communication/Documents | 10.01.17 | 0012020 | | | | |
| QME-QP-R12-FAD-01 | Quality Monitoring and Evaluation: Handling Incoming & Outgoing Communication/Documents | 10.01.17 | 0012020 | | | | |
| FM-QP-R12-FAD-01-01 | Process Summary Logsheet: Handling Incoming & Outgoing Communication/Documents | 10.01.17 | 0012020 | | | | |
| FM-SP-R12-03A-01 | Master List of Internal Documents: Handling Incoming & Outgoing Communication/Documents | 10.01.17 | | | | | |
| FM-SP-R12-03B-01 | Master List of External Documents: Handling Incoming & Outgoing Communication/Documents | 10.01.17 | | | | | |
| FM-SP-R12-03C-01 | Master List of Retained Documented Information: Processing and Payment of Claims | 10.01.17 | | | | | |
| FM-SP-R12-02-01A | Risk Registry (Objective): Handling Incoming & Outgoing Communication/Documents | 10.01.17 | | | | | |
| FM-SP-R12-02-01B | Risk Registry (Process): Handling Incoming & Outgoing Communication/Documents | 10.01.17 | | | | | |
| FM-QP-R12-FAD-01-02 | Routing and Transmittal Slip | 10.01.17 | | | | | |

DILG XII QMS




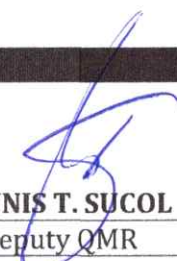
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|-------------------------|-----------|--------|
| FM-SP-R12-03A-01 | | |
| Rev. No. | Eff. Date | Page |
| 00 | 10.01.17 | 2 of 2 |

| Prepared by: | Noted by: |
|---|---|
|  CATHERINE A. MACION Regional Document Controller |  DENNIS T. SUCOL Deputy QMR |

DILG XII QMS





Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XII

Prime Regional Government Center, Carpenter Hill, Koronadal City, 9506
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 ADMIN (083) 228-7960 • FINANCE (083) 228-7959 • LGMED (083) 877-2969 • LGCDD (083)877 2971

| Document Code | | |
|-------------------------|-----------|--------|
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Division: **FINANCE AND ADMINISTRATIVE DIVISION (RECORDS SECTION)**

MASTER LIST OF EXTERNAL DOCUMENTS

| DOCUMENT CODE | DOCUMENT TITLE | REVISION | | | | | |
|---|----------------|----------|----|----|----|----|----|
| | | 00 | 01 | 02 | 03 | 04 | 05 |
| HANDLING INCOMING AND OUTGOING COMMUNICATION/DOCUMENTS | | | | | | | |
| | | | | | | | |
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| | | | | | | | |

| | |
|--|--|
| Prepared by: | Noted by: |
| <i>Catherina</i> CATHERINE A. MACION Regional Document Controller | <i>Dennis T. Socol</i> DENNIS T. SUCOL Deputy QMR |

DILG XII QMS





Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XII

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| Document Code | | |
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Division: **FINANCE AND ADMINISTRATIVE DIVISION (ACCOUNTING SECTION)**

MASTER LIST OF RETAINED DOCUMENTED INFORMATION

| DOCUMENT CODE | DOCUMENT TITLE | CUSTODIAN | LOCATION | FILING SYSTEM | | RETENTION PERIOD | | | DISPOSAL |
|---|--|---|--|---------------|--------|------------------|---------|---------|------------------|
| | | | | FOLDER | SCHEME | ACTIVE | STORAGE | TOTAL | |
| HANDLING INCOMING & OUTGOING COMMUNICATION/DOCUMENTS | | | | | | | | | |
| QME-QP-R12-FAD-01 | Handling of Incoming and Outgoing Communications / Documents Process Quality | JAY R. NABAJO-Principal and CARLO L. FANO-Alternate of Incoming | Records/Desktop/Google/localhost/records/app_Login | By Date | daily | 3 years | 3 years | 6 years | shredding/re-use |
| | | CARLO L. FANO-Principal and JAY R. NABAJO-Alternate of Outgoing | Cabinet | By Date | daily | 3 years | 3 years | 6 years | shredding/re-use |
| FM-QP-R12-FAD-01-01 | Handling of Incoming and Outgoing Communications / Documents (PSL) Process | JAY R. NABAJO-Principal and CARLO L. FANO-Alternate of Incoming | Records/Desktop/Google/localhost/records/app_Login | By Date | daily | 3 years | 3 years | 6 years | shredding/re-use |
| | | CARLO L. FANO-Principal and JAY R. NABAJO-Alternate of Outgoing | Cabinet | By Date | daily | 3 years | 3 years | 6 years | shredding/re-use |
| FM-QP-R12-FAD-01-02 | Routing and Transmittal Slip | Concerned Division/Operating Units/Focal Person | Division/Operating Units | By Date | daily | 3 years | 3 years | 6 years | shredding/re-use |

DILG XII QMS





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DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XII

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| Document Code | | |
|-------------------------|-----------|--------|
| FM-SP-R12-03C-01 | | |
| Rev. No. | Eff. Date | Page |
| 00 | 10.01.17 | 2 of 2 |

| Prepared by: | Noted by: |
|--|---|
|  MARIA GLEMA S. TALUA-BASCOS Process Owner |  DENNIS T. SUCOL Deputy QMR |



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DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XII

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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION - RECORDS SECTION**
 PROCEDURE: **HANDLING INCOMING & OUTGOING COMMUNICATION/DOCUMENTS**

| OBJECTIVE | RELEVANT ISSUE(S) | RELEVANT INTERESTED PARTIES (refer to IP Matrix for Requirements) | POTENTIAL RISK | RISK TRIGGER | CONSEQUENCE (Positive or Negative) | EXISTING RISK CONTROL MEASURE | RISK ASSESSMENT | | | | | | RISK CONTROL PLAN | | | | | |
|---|--|---|--|--|---|--|-----------------|------------|-----------|--------|----------------------|-------|---------------------|-------------------------|---|-------------|----------|----------|
| | | | | | | | IMPACT | LIKELIHOOD | DETECTION | RATING | RISK LEVEL (L, M, H) | S, NS | RISK CONTROL ACTION | RPN (Risk Priority No.) | ACTION PLAN (if risk rating is significant) | RESPONSIBLE | TIMELINE | RESOURCE |
| 90% of Incoming and Outgoing Communications/ Documents | Poor Signal | RLAs, CSOs, CO, FO, LRIs, NGOs | Delayed receipt of Communications | Limited access of Internet | Delayed routing of communications to concern Division | Back up Internet Service Provider | 3 | 3 | 3 | 27 | NS | NS | 3 | NA | NA | NA | NA | |
| | Voluminous communications/documents for processing and relessing | | Delayed delivery of Outgoing Communication | Brown Out | | Established cut off time for emails and courier) | | | | | | | | | | | | |
| | Delayed receipt from Div/Sec/Unit | | Incidence of error/return of released documents/communications | Absence of Official signaturies | RO, automatic next in rank will sign the documents / communications | | | | | | | | | | | | | |
| | | | Delayed receipt/ release of communications/ documents | No alternate Incoming/ Outgoing clerk Div/Sec/Unit | | Designate alternate | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | |
| RISK ASSESSMENT: | | | RISK RATING | RISK LEVEL | RISK DESCRIPTION | ACTION REQUIRED | | | | | | | | | | | | |
| IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme | | | 1 - 25 | LOW | Not Significant | No further action required (Retain risk by in | | | | | | | | | | | | 3 |
| LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain | | | 26-40 | MODERATE | Not Significant | Alert level but no further action required for n | | | | | | | | | | | | 2 |
| DETECTION 1 - Very likely, 2 - Likely; 3 - Low, 4 - Re | | | >40 | HIGH | Significant | Control (e.g. Treat/Mitigate Transfer, Termina | | | | | | | | | | | | 1 |
| Risk Rating = Impact X Likelihood X Detection | | | | | | | | | | | | | | | | | | |

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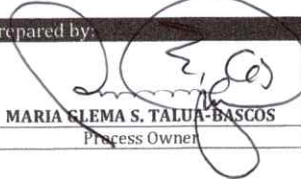
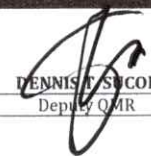


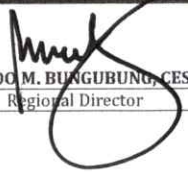




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| Prepared by: | Reviewed by: | Recommending Approval: | Approved by: |
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RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION - RECORDS SECTION**
 PROCEDURE: **HANDLING INCOMING & OUTGOING COMMUNICATION/DOCUMENTS**

| PROCESS STEP (Based on the procedure's key process steps) | POTENTIAL RISK | RISK TRIGGER | CONSEQUENCE (Positive or Negative) | EXISTING RISK CONTROL MEASURE | RISK ASSESSMENT | | | | | | | RISK CONTROL PLAN | | | | | |
|---|---|---|---|--|--|------------|-----------|--------|----------------------|-------|-------------------------|---------------------|---|-------------|----------|----------|----|
| | | | | | IMPACT | LIKELIHOOD | DETECTION | RATING | RISK LEVEL (L, M, H) | S, NS | RPN (Risk Priority No.) | RISK CONTROL ACTION | ACTION PLAN (If risk rating is significant) | RESPONSIBLE | TIMELINE | RESOURCE | |
| INCOMING COMMUNICATIONS | | | | | | | | | | | | | | | | | |
| Received, Checks, Logs and Route Documents | Lacking attachments/ deficient transmittal | No Signature | Cannot be processed, return to sender or Div/Sec/Unit take appropriate action | RMC No. 2017-28 DILG XII Implementation of Quality Management System Under the International Organization Standard (ISO) | 3 | 4 | 2 | 24 | L | NS | 2 | NA | NA | NA | NA | NA | |
| | | Incomplete Attachments | | | 3 | 3 | 3 | 27 | L | NS | 2 | NA | NA | NA | NA | NA | |
| | Receiving clerk is Sick | | | Designation of Alternate | 3 | 3 | 3 | 27 | L | NS | 2 | NA | NA | NA | NA | NA | |
| | Delayed routing | Voluminous docs | Delayed action of concerned Div/Sec/Unit | Provides advance e-copy to Division | 3 | 2 | 3 | 18 | L | NS | 2 | NA | NA | NA | NA | NA | |
| | Misrouting of communications/documents from Field | Wrong addressee from the origin of communications | | Return immediately to Records Section | 3 | 3 | 3 | 27 | L | NS | 2 | NA | NA | NA | NA | NA | |
| OUTGOING COMMUNICATIONS | | | | | | | | | | | | | | | | | |
| Received, Checks, Logs and Route Documents | Incidents of return of communications/documents | Incomplete Attachments, Wrong Addressee/Recipient | Integrity of DILG services is at stake | Check and Review the documents by the releasing clerk/sender | 3 | 3 | 3 | 27 | L | NS | 2 | NA | NA | NA | NA | NA | |
| | | Voluminous documents | Brown Out | | Use back up ISP and Policy on releasing of communications/documents | 3 | 3 | 3 | 27 | L | NS | 2 | NA | NA | NA | NA | |
| | | Poor Signal | | | 3 | 3 | 3 | 27 | L | NS | 2 | NA | NA | NA | NA | NA | |
| | Mishandling of communications/documents from Div/Sec/Unit | Due to personnel hand carried | | result in delayed action of concerned Division | Check and Review the addressee. | 3 | 2 | 3 | 18 | L | NS | 2 | NA | NA | NA | NA | NA |
| | | | | | Follow up driver/ personnel who hand carried the | 3 | 3 | 3 | 27 | L | NS | 2 | NA | NA | NA | NA | NA |
| RISK ASSESSMENT: | RISK RATING | RISK LEVEL | RISK DESCRIPTION | ACTION REQUIRED | | | | | | | RPN | | | | | | |
| IMPACT: | 1-Insignificant; 2-Minor; 3- | 1 - 25 | LOW | Not Significant | No further action required (Retain risk by informed decision) | | | | | | | 3 | | | | | |
| LIKELIHOOD: | 1-Rare; 2-Unlikely; 3- | 26-40 | MODERATE | Not Significant | Alert level but no further action required for now | | | | | | | 2 | | | | | |
| DETECTION | 1 - Very likely, 2 - Likely; 3 | >40 | HIGH | Significant | Control (e.g., Treat/Mitigate Transfer, Terminate) | | | | | | | 1 | | | | | |
| Risk Rating = Impact X Likelihood X Detection | | | | | | | | | | | | | | | | | |

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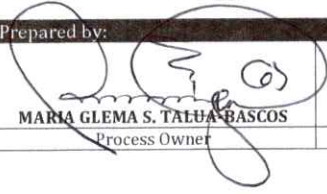
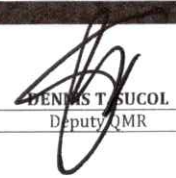

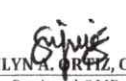
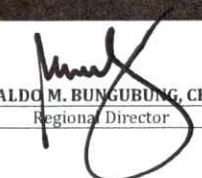




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| | | |  REYNALDO M. BUNGUBUNG, CESO IV Regional Director |

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