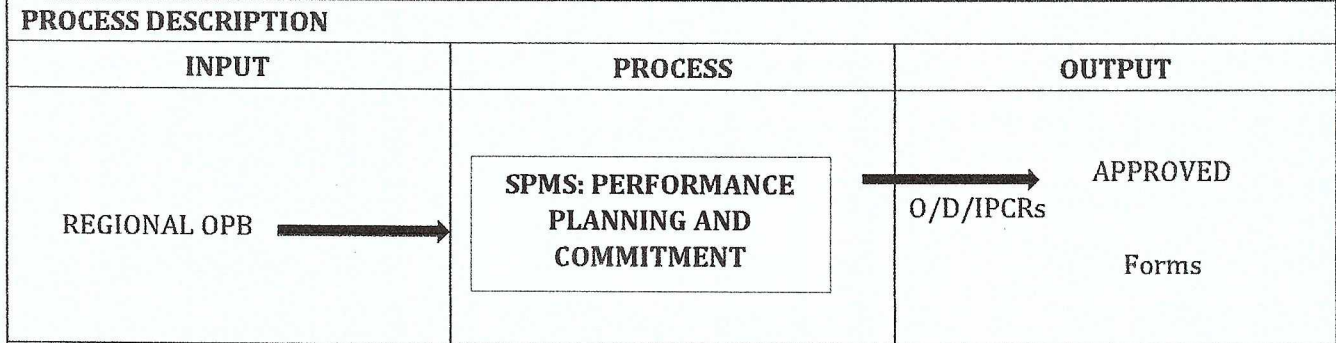




**QUALITY
PROCEDURE (QP)**

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PROCEDURE TITLE	SPMS: PERFORMANCE PLANNING AND COMMITMENT
SCOPE	The process starts immediately after the Regional OPB is approved and ends when OPCR / DPCR / IPCR Commitment Forms (success indicators/ targets) are submitted
PURPOSE	To set guidelines in performance planning and commitment setting. Specifically, the process outlines the process in planning performance and cascading of commitments of regional office to divisions/field offices and individuals after the approval of the OPB of the Region.



DESCRIPTIVE STATEMENT:

Upon receipt of the Regional OPB, the Planning Officer shall cause the preparation of the OPCR, upon consultation with the Division Chiefs/PDs/CDs, who shall also prepare DPCRs. Thereafter, upon conferment with individual personnel, the latter shall prepare their IPCRs. These will be consolidated by the Personnel officer and submitted to DILG Central Office.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
PREPARATION OF THE OPCR OF THE RD/ARD				
1	Regional Planning Officer/Understudy	Preparation of the OPCR	<ul style="list-style-type: none"> • Receive, log the approved/signed AOPB; • Upon receipt of the approved AOPB, prepares the OPCR of the RD • Start the preparation of the OPCR of the RD by: <ol style="list-style-type: none"> 1. Formulating success indicator for OPB targets using the SPMS Form 1: OPCR; 2. Identifying accountable division/ personnel for every given deliverable • Submit the draft/accomplished 	





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>OPCR to Regional Director thru the ARD for their comments/signature/approval.</p> <ul style="list-style-type: none"> If approved, proceed to Step 2. 	
2.	Regional Planning Officer/Understudy	Submission of the signed OPCR to the OUSLG	<ul style="list-style-type: none"> Prepare transmittal letter to CO thru Planning Service cc the HRMD of the CO; If the OPCR is approved by the appropriate signatories at the Central Office, proceed to Step 3. If not, revise the OPCR based on the comments and recommendations of the Central Office 	
3.	ARD	Review and Recommend Approval of the OPCR	<ul style="list-style-type: none"> Upon receipt of the approved OPCR of the RD, prepare the OPCR based on the targets set. Submit to the RD for approval 	
4	REGIONAL DIRECTOR	Approve OPCR	<ul style="list-style-type: none"> If found in order, approve the OPCRs Forward to Planning for cascading 	
5.	REGIONAL PLANNING OFFICER	Cascade the approved OPCR to the Divisions/Sub-Regional Offices	<ul style="list-style-type: none"> Prepare Memorandum re: Communicating the Regional OPCR to accountable Division and/or preparation and submission of DPCR 	<ul style="list-style-type: none"> OPB Approved OPCR of the RD
PREPARATION OF DPCR by Divisions				
1	Division Chiefs	Prepare DPCR of the division	<ul style="list-style-type: none"> Upon receipt of the Memorandum containing the Approved OPCR of the RD, conduct Performance Planning/Consultation with staff on the targets (timelines, budget and activities) to be conducted 	





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> Assign accountable /individual for every given deliverable After consultation with staff, prepares and submit the DPCR for approval of the RD/AR thru the Planning Officer If approved, direct the staff in the preparation of their respective SPMS forms (IPCR/IDP) based on the DPCR targets (follow step of the Preparation of the IPCR/IDP) If not, revise the OPCR based on the comments and recommendations. 	
2	Planning Officer	Cascade the approved DPCRs to sub-regional offices	<ul style="list-style-type: none"> Upon receipt of the approved DPCR of the Division, prepares Memorandum to the PDs /CDs re: preparation of their respective O/DPCRs and conduct of the consultation or planning activity with their subordinates 	
PREPARATION OF THE OPCR/DPCR BY THE PROVINCIAL/CITY OFFICES				
1	Records Officer	Receives the Approved O/DPCRs of the RD/Divisions	<ul style="list-style-type: none"> Receives, logs and routes the documents for Provincial/City Director's instructions 	OPCR
2	Provincial Director/City Director	Conduct of planning/consultation activity	<ul style="list-style-type: none"> Provides instruction to the PM/Planning Link; Planning Link/PM gives recommendations and observations to the PD/CD Conducts planning consultation activity/meeting with staff/C/MLGOs 	





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> Provincial/City Team will agree on the timelines and targets to be set in the OPCR/DPCR; 	
3	Planning Link/PM	Prepares the draft OPCR/DPCR based on the agreed targets	After the consultation and agreements were set, prepares the draft OPCR/DPCR for approval of the PD/CD	
4	Provincial/City Director	Submits the signed OPCR/DPCR	<ul style="list-style-type: none"> Signs the Memorandum addressed to the RD thru the Planning Officer re: OPCR/DPCR 	
5	Regional Planning Officer	Review of the draft OPCRs/DPCRs	<ul style="list-style-type: none"> Upon receipt of the draft OPCR/DPCR, conduct document review as to the completeness and correctness of the targets set; If found correct/complete, forwards the documents to the RD thru the ARD for their signature/approval. Once approved by the RD, prepares Memorandum addressed to the Personnel Officer/HRMO thru the Records Officer. Retain a copy of the DPCRs. If found incomplete/incorrect, return the document to the provincial/city office 	
6	Records Officer	Receipt and route document	<ul style="list-style-type: none"> Refer to the Procedure Handling of Incoming and Outgoing Communications 	<ul style="list-style-type: none"> QP-R12-FAD-01
7	Personnel/HRMO	Consolidate the approved OPCR/DPCRs	<ul style="list-style-type: none"> Receives, logs the documents from the Records Officer; 	
8	Individual employees	IPCR Commitment Preparation	<ul style="list-style-type: none"> Prepares Memorandum to the employees re: Preparation and 	





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			submission of the IPCRs and IDP; <ul style="list-style-type: none"> Forwards the signed Memorandum to the Records Officer for dissemination to sub-regional offices. 	
PREPARATION OF THE IPCRs BY THE INDIVIDUAL EMPLOYEES except the ARD/PD/CD/DIVISION CHIEF				
1	Records Officer	Receive and route document	<ul style="list-style-type: none"> Refer to the Procedure Handling of Incoming and Outgoing Communications 	<ul style="list-style-type: none"> QP-R12-FAD-01
2	DCs/PDs/CDs	Direct preparation of IPCRs	<ul style="list-style-type: none"> Give instruction or issue separate memorandum to the individual employees re: preparation and submission of IPCR 	
3	Individual employees	Prepare the IPCR and IDP and other required SPMS forms	<ul style="list-style-type: none"> Using SPMS Form 3: IPCR, formulate/write success indicators/targets for every assigned task as reflected in the approved DPCR of the division/field office 	Approved OPCR/ DPCR
4	Division Chief/ PDs/CD/CLGOO	Review of IPCRs	<ul style="list-style-type: none"> Confer with individual subordinates their targets/proposed training needs for the given period If targets/proposed training needs have been agreed upon, shall affix signature on the IPCR/IDPs 	DPCRs
5	Assistant Regional Director	Review of IPCRs	<ul style="list-style-type: none"> Shall check targets/training proposed of individual employees. If found in order, shall affix initials, lest returns the same to the supervisor In the absence of the ARD, the designated Chief-of-Staff shall undertake review thereof 	





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
6	Regional Director	Approve IPCRs of the employees	<ul style="list-style-type: none"> Upon receipt of the IPCRs, review and sign the document if found in accordance with the set targets and forwards the documents to the Personnel Officer/HRMO; If not, return to the concerned employee; 	
7	Personnel Section	Submission of the SPMS documents to the Central Office	<ul style="list-style-type: none"> PO/HRMO shall consolidate/gather and scan all signed SPMS Forms Prepare transmittal letter to the CO re submission of the OPCR/DPCR/IPCR Commitment Forms; Once letter is signed by the RD, forward all documents to the Records Officer for transmission to CO; 	Approved IPCRs
8	Records Officer	Receive and release document	<ul style="list-style-type: none"> Refer to the Procedure Handling of Incoming and Outgoing Communications 	<ul style="list-style-type: none"> QP-R12-FAD-01
9	Process owner	Retain all records	Retain all records generated in accordance with Control or Retained Documented Information Procedure and Masterlist of Retained Documented Information	Control or Retained Documented Information Procedure Masterlist of Retained Documented Information

Definition of Terms:

- Division Chief –shall also include the Chief-of-Staff in case of the Office of the Regional Director
- CLGOO – shall refer to the City Government Operations Officer of Cotabato City
- Supervisor – for purposes of this QP, shall refer to the Division Chiefs, Provincial and City Directors, Unit Heads who exercises direct supervision over the individual employees in the division/province/HUC/ICC





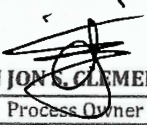
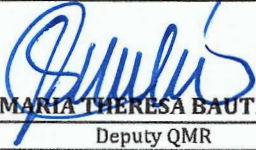


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DILG - REGION 12 (SOCCSKSARGEN)

QUALITY PROCEDURE (QP)

Document Code

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**QUALITY
OBJECTIVE (QO)**

Document Code		
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OFFICE	ORD – PLANNING UNIT
QUALITY PROCEDURE TITLE	SPMS: Performance Planning and Commitment

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"> Facilitates the preparation and submission of the OPCR OF THE RD/ARD 	Timely submission of the OPCR of the RD to Central Office	Submission not later than 15 th day of the second month of each semester	<ul style="list-style-type: none"> Date/s submitted to the Central Office Realigned of Targets – submitted on or before the set deadline 	Semestral In the case of realignment, Semestral (if applicable)	Planning Officer	<ul style="list-style-type: none"> Summary Log Sheet Memorandum of Transmittal of the OPCR of the RD/ARD Monitoring Log Sheet;
<ul style="list-style-type: none"> Submits the DPCRs of the Divisions and OPCR of the Provinces for approval of the RD 	Timely submission of DPCRs by the Division Chiefs (Not later than 30 th day of January and July of every semester)	100%	Three (3) Division Chiefs have submitted their DPCRs by the 30 th of January and July (FAD, LGMED, LGCDD)	Semestral	DCs	<ul style="list-style-type: none"> Summary Log Sheet; Monitoring Log Sheet;

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		 REYNALDO M. BUNGUBUNG, CESO IV Top Management



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

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QME-QP-R12-ORD-22		
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OFFICE	ORD – PLANNING UNIT
PROCEDURE TITLE	SPMS: Performance Planning and Commitment
OBJECTIVE STATEMENT	1. Timely submission of the OPCR to the Central Office; 2. Timely submission of DPCRs by the Division Chiefs
CURRENT PERIOD	

INDICATORS		1 st Semester	Second Semester	Total
Objective 1: Timely submission of the OPCR to the Central Office				
A	OPCR submitted not later than the 15 th day of the second month of the semester			
B	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)			
Objective 2: Timely submission of DPCRs by the Division Chiefs				
A	No. of OPCRs submitted by the 30 th day of January or July of each semester			
B	3			
C	Formula: $\frac{A}{B} \times 100$	Target Result : 100%		
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)			
Note: For unmet Secretariat initiate correction and corrective action using the Corrective Action Report (CAR) and attach it to this form.				









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 DILG - REGION 12 (SOCCSKSARGEN)
**PROCESS QUALITY MONITORING AND
 EVALUATION (QME)**

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Prepared by:	Noted by:
Process Owner	Division Chief / Deputy Q,MR

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		 REYNALDO M. BUNGUBUNG, CESO IV Regional Director





SPMS: Performance Planning and Commitment
Process Summary Logsheet (PSL)

Document Code		
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QUALITY OBJECTIVE: 1. OPCR of the RD/ARD submitted not later than 15th day of the second month of each semester;
2. 100% of DPCRs submitted within 30 days from the end of the semester

FREQUENCY OF MONITORING: **Semestral**

COVERED PERIOD:

Due Date of Submission:

No.	Control No.	Particulars	OBJECTIVE NO. 1:											OBJECTIVE NO. 2								
			RO				PO							RO/PO								
			Date Received	Date submitted to Central Office	Target: February 15 (1st Semester); August 15 (2nd Semester)	Met	Unmet	Date Submitted	Target: January 30 (1st Semester); July 30 (2nd Semester)	Met	Unmet	Remarks, If unmet	Remarks, If unmet	Total No. of days elapsed	Date received the submitted OPCR/ DPCR	Date OPCR/DPC Rs submitted reviewed	No. of days (Target= within 15 WD)	Met	Unmet	Date Received	Remarks, If unmet	Total No. of days elapsed
1																						
2																						
3																						
4																						
5																						
TOTAL																						


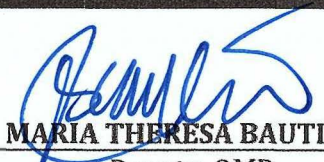

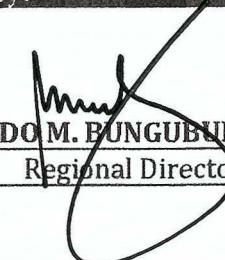


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DILG - REGION 12 (SOCCSKSARGEN)

SPMS: Performance Planning and Commitment
Process Summary Logsheet (PSL)

Document Code		
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Process Owner	Deputy Q,MR

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REGION XII

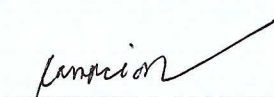
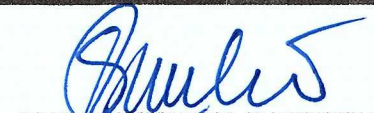
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Document Code		
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Division: **OFFICE OF THE REGIONAL DIRECTOR-PLANNING UNIT**

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
SPMS: Performance Planning and Commitment							
QP-RO12-ORD-22	Quality Procedure: SPMS: Performance Planning and Commitment	10.01.17					
QO-QP-R12-ORD-22	Quality Objective: SPMS: Performance Planning and Commitment	10.01.17					
QME-QP-R12-ORD-22	Quality Monitoring and Evaluation (QME): SPMS: Performance Planning and Commitment	10.01.17					
FM-QP-R12-ORD-22-01	spms: Performance Planning and Commitment (PSL) Process Summary Logsheet	10.01.17					
FM-SP-R12-03A-01	Master List of Internal Documents	10.01.17					
FM-SP-R12-03B-01	Master List of External Documents	10.01.17					
FM-SP-R12-03C-01	Master List of Retained Documented Information	10.01.17					
FM-SP-R12-02-01A	Risk Register - Objective	10.01.17					
FM-SP-R12-02-01B	Risk register - Process/Steps	10.01.17					

Prepared by:	Noted by:
 CATHERINE A. MACION Regional Document Controller	 MARIA THERESA BAUTISTA Deputy QMR





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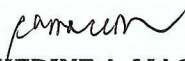

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Division: **OFFICE OF THE REGIONAL DIRECTOR – PLANNING UNIT**

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
SPMS: Performance Planning and Commitment							

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Division: **OFFICE OF THE REGIONAL DIRECTOR – PLANNING UNIT**

MASTER LIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
SPMS: Performance Planning and Commitment									
QME-QP-R12-ORD-01	Quality Monitoring and Evaluation (QME): SPMS: Performance Planning and Commitment	Planning Officer	QMS Cabinet	QMS Foder	Sequential	2 yrs		2 years after audit	Shredding
FM-QP-R12-ORD-01-01	SPMS: Performance Planning and Commitment(PSL) Process Summary Logsheet	Planning Officer	QMS Cabinet	QMS Foder	Sequential	2 yrs		2 years after audit	Shredding
	OPCR	Planning Officer	Records Cabinet	Planning Folder	Sequential	Permanent		Permanent	
	DPCR	Division Chiefs	Records Cabinet	Planning Folder	Sequential	Permanent		Permanent	
	IPCR	Individual Employees	Records Cabinet		Sequential	Permanent		Permanent	

Prepared by: <div style="text-align: center;">  IAN JON S. CLEMENTE Process Owner </div>	Noted by: <div style="text-align: center;">  MARIA THERESA BAUTISTA Deputy QMR </div>
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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR - PLANNING SERVICES**
 PROCEDURE: **SPMS: PERFORMANCE PLANNING AND COMMITMENT**

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
1. Timely preparation and submission of the OPCR of the RD/ARD	1. Overlapping of regional and central activities for the implementation Department's Program 2. Numerous PPAs being implemented by a single employee	1. DILG Central Office (OUSLG, Planning Service, FMS, LGA, other Bureaus and Services) 2. Regional Management (RD, ARD, Division Chiefs, RFPs, Unti Heads)	Delayed submission of the OPCR of the RD/PDs	Planning Officer/Planning Link is conducting /attending different activities or is on official travel/business	RD and PDs will not be able to submit their OPCR on a prescribed deadline/timeline	1. Regional Memorandum issued prescribing the deadline of submission 2. Continuous reminder to the operating units/regional focal persons of the deadline of submission of the program/project targets during the convocation activities	4	4	2	32	M	NS	ALERT	2	NA	NA	NA
2. 90% of DPCRs/OPCRs reviewed within 15 days after receipt of the documents	Delayed submission of the OPCR and DPCRs	1. Regional Management (RD, ARD, Division Chiefs, RFPs, Unti Heads)	OPCRs/DPCRs not in conformity with the OPCR of the RD and not submitted on time	1) Delay in the issuance of guidelines from CO which affects compliance of RO to the timelines of the SPMS	O/D/IPCRs not submitted on time or on the prescribed deadline and no consultations made prior to the formulation of the said documents		4	4	2	32	M	NS	ALERT	2	NA	NA	NA





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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
3.90 % of DPCRs/OPCRs submitted within 15 days after receipt of the documents	1. Overlapping of regional and central activities for the implementation Department's Program; 2. Numerous PPAs being implemented by a single employee	1. Regional Management (RD, ARD,) Regional and Provincial Office personnel	Delayed submission of the O/D/IPCRs	1) Signatories are conducting /attending different activities or is on official travel/business; 2) Planning Officer/Plannin g Link is on OB or leave of absence and 3) Delay in the conduct of review	non compliance of the staff and personnel to the timelines and deliverables of the Region		4	4	2	32	M	NS	ALERT	2	NA	NA	NA	NA
RISK ASSESSMENT:			RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED			RPN									
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme			1-25	LOW	Not Significant	No further action required (Retain risk by informed decision)			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 now			2									
DETECTION: 1 - Very likely; 2 - Likely; 3 - Low; 4 - Remote; 5 - Very remote			>40	HIGH	Significant	Control (e.g., Treat/Mitigate Transfer, Terminate)			1									
Risk Rating = Impact X Likelihood X Detection																		

Prepared by:	Reviewed by:	Recommending Approval:	Approved by:
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Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XII

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RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: OFFICE OF THE REGIONAL DIRECTOR – PLANNING SERVICES
PROCEDURE: SPMS: PERFORMANCE PLANNING AND COMMITMENT

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
1. Receives the signed and duly approved OPB of the Region/Sub Regional Offices (Pos)	Communication not acted on time.	Planning officer is performing different tasks and designations	Delay in the preparation of the Draft OPCR	Designation of understudy	3	2	3	18	L	NS	NA	3	NA	NA	NA	NA
2. Prepares and submits the draft/accomplished OPCR to Regional Director thru the ARD, in the case of the region and to PDs, in the case of the province, for comments/signature/approval.	Delayed preparation of the administrative requirements	Planning Officer/Planning Link is conducting /attending different activities or is on official travel/business	Delay in the conduct of the Planning workshop or consultation for OPB preparation	NONE	3	3	2	18	L	NS	NA	4	NA	NA	NA	NA
3. Cascades the approved OPCR of the RD to the Divisions / PDs to the Sub-Regional Offices (cities and municipalities), in the case of the province	Operating units not aware of the targets and delay in the preparation of their O/D/IPCRs	Planning Officer/Planning Link is attending various activities due multi-functions being performed by the staff	Delay in the discussion and formulation of targets	NONE	4	3	3	36	M	NS	ALERT	2	NA	NA	NA	NA





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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
4. Prepares O/D/IPCR of the Divisions/Sub Regional Office and Personnel	Operating units in the region/provinces not well informed of the targets	Personnel/DCs are on leave, in official business or conducting various activities	No consultations conducted to discuss the targets among employees and division	ISSUANCE OF MEMO RE CONDUCT OF CONSULTATION PRIOR TO THE FORMULATION OF O/D/IPCRs	4	3	3	36	M	NS	ALERT	2	NA	NA	NA	NA
5. Consolidates the approved O/D/IPCRs of the region and provincial offices and personnel	Delay in the submission of SPMS documents to appropriate offices at the Central Office	Personnel are attending meetings (inter-agency or CO directive) and other activities or on official business (field visits, project monitoring, etc) during the period of submission	Delayed submission of SPMS documents	Memorandum re: Submission of SPMS documents	4	4	2	32	M	NS	ALERT	2	NA	NA	NA	NA
6) Receives, logs and submits the O/D/IPCRs to concerned offices at the Central Office	Delay in the transmission of required SPMS documents	Records officer attending intra offices meetings and other activities conducted by the region or Records officer is on leave/absent.	Regional office unable to beat the deadline of submission	Designation of an alternate records officer	4	1	5	20	L	NS	NA	3	NA	NA	NA	NA
7) Retain all records	Document not easily retrievable. No secured place for important documents in case of disaster (fire, floodings, etc)	No system of records, lack of storage facilities, storage facility not fire proof, no database of records	documents not retrievable in case of disaster/no maintained records	NONE	4	3	3	36	M	NS	ALERT	2	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						3					
LIKELIHOOD:		1-Rare; 2-Unlikely; 3-	26-40	MODERATE	Not Significant						2					
DETECTION		1 - Very likely, 2 - Likely; 3 -	>40	HIGH	Significant						1					
Risk Rating = Impact X Likelihood X Detection																

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