



# QUALITY PROCEDURE (QP)

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<b>PROCEDURE TITLE</b>	<b>OPERATIONAL PLANNING AND BUDGETING</b>
<b>SCOPE</b>	This process starts upon receipt of the Guidelines in the preparation and submission of the Department's Operations Plan and Budget (OPB), conduct of Planning Conferences/Consultations by the Regional and Sub-Regional Offices and ends with the submission of the approved Operations Plan and Budget of the Regional Offices and Sub-Regional Offices.
<b>PURPOSE</b>	To define the standard procedures and processes in the Preparation and Submission of the Operations, Plans and Budget (OPB) and required SPMS forms such as but not limited to O/D/IPCRs of the Regional Offices and Sub-Regional Offices for the calendar year which will result in achieving the MFOs of the Department.

PROCESS DESCRIPTION		
INPUT	PROCESS	OUTPUT
<p>Central Office Bureaus and Services</p> <p>Signed Memorandum Circular re: Guidelines in the preparation and submission of the OPB</p> <p>Signed Memorandum re: Guidelines in the submission of the realigned OPB</p>	<p>Process in the Operational Planning and Budgeting</p>	<p>Approved Annual Regional OPB</p> <p>Approved Realigned OPB</p> <p><b>CENTRAL OFFICE (CO)</b> - Office of the Undersecretary (USLG)/Planning Service (PS)<b>REGIONAL/PROVINCIAL OFFICE (RO/PO)</b>- Regional/Provincial/City Director (RD/PD/CD), Finance and Admin. Division &amp; Planning Officer- Designate/Planning Link, Program Manager (PM)</p>

**DESCRIPTIVE STATEMENT:**

Upon receipt of the Guidelines in the preparation and submission of the annual/realigned OPB from the Central Office (CO), the Regional Office (RO) prepares and submits the Regional Annual /Realigned OPB based on the program deliverables and key priorities set by the CO operating units. Once approved by concerned officials at the CO, the RO through the Planning Officer shall provide the sub-regional offices thru their Program Manager, in the case of the Province and Planning Link, in the case of HUC/ICC, the copy of the approved OPB. The Provinces and Cities (HUC/ICC) shall prepare and submit their approved OPB for reference and guidance of the RD in monitoring their performances in a calendar year.

**In the preparation of the OPB, conduct of the planning conference/consultation with stakeholders is necessary.**

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
<b>PREPARATION OF THE REGIONAL OFFICE OPB</b>				
1	Records Officer	Receive and route communication	<ul style="list-style-type: none"> <li>Refer to the procedure <i>Handling of Incoming and Outgoing Communications</i></li> </ul>	QP-R12-FAD-01
2	Regional Director (RD)/Assistant Regional Director (ARD)	Provide Instruction	<ul style="list-style-type: none"> <li>Forward to the Planning Officer</li> </ul>	<ul style="list-style-type: none"> <li>Memorandum re: OPB Guidelines (Annual/Realignment)</li> </ul>
3	Regional Planning Officer	Prepare technical and administrative requirements	<ul style="list-style-type: none"> <li>Take action per instructions from the RD/ARD</li> </ul>	<ul style="list-style-type: none"> <li>Routing Slip with instructions</li> </ul>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> <li>Prepare and submit the Activity Design for the conduct of Regional Planning Conference Workshop/Consultation with stakeholders for approval of the RD/ARD.</li> <li><b>Once activity design is approved</b>, prepare and submit to the BAC Secretariat, the required documents for the procurement of goods and services for the conduct of the activity (Refer to the procedure Procurement of Goods and Services)</li> <li>Prepare Memorandum addressed to the Provincial and City Directors re: conduct of the Planning Conference for approval of the RD</li> </ul>	<ul style="list-style-type: none"> <li>Logbook</li> <li>OPB Guidelines (Annual/Realignment)</li> <li>Routing Slip with instructions</li> <li>Logbook</li> <li>OPB Guidelines (Annual/Realignment)</li> <li>OPB Templates in excel and powerpoint form for Regional Offices</li> <li>Draft Activity Design</li> </ul>
4	Regional Director	Issuance of the Memorandum	<ul style="list-style-type: none"> <li>Review and approve the Memorandum and endorse back to Planning Officer</li> </ul>	<ul style="list-style-type: none"> <li>Approved Activity Design</li> <li>OPB Guidelines (Annual/Realignment)</li> </ul>
5	Regional Planning Officer	<p>Cascade the Memorandum</p> <p>Facilitate the conduct of the Regional Planning Conference Workshop</p>	<ul style="list-style-type: none"> <li>Forward to Records for routing to the concerned units/offices (<i>see Handling Incoming And Outgoing Communication/Documents Procedure</i>)</li> <li>Coordinate with the provinces and divisions on the dates and venue of the activity</li> <li>Present targets by the CO vis-à-vis proposed target by the region on major PPAs to the participants;</li> </ul>	<ul style="list-style-type: none"> <li>Routing Slip with instructions</li> <li>Logbook</li> <li>OPB Guidelines (Annual/Realignment)</li> <li>Approved Activity Design</li> <li>Signed Memorandum</li> </ul>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> <li>• Within 1 week after the workshop, prepare Post-Activity Report for information/guidance by the RD/ARD</li> <li>• Thereafter, prepare and forwards the draft OPB with attachments to the Budget Officer for review as to financial requirements</li> </ul>	
6	Regional Budget Officer	Review of the financial requirements in the OPB/Statement of Commitment	<ul style="list-style-type: none"> <li>• Review the draft AOPB if financial requirements are in accordance with the budget set under the GAA and other related laws and issuances.</li> <li>• If found in accordance with the GAA approved budget, sign and return the OPB/Statement of Commitment with attachments in excel form to the Planning Officer</li> </ul>	<ul style="list-style-type: none"> <li>• GAA</li> </ul>
7	Regional Planning Officer	Submit the draft/revised OPB with attachments to the RD/ARD	<ul style="list-style-type: none"> <li>• Draft OPB with signature of the Budget Officer and its attachments:               <ul style="list-style-type: none"> <li>○ Draft Memorandum for USLG thru the Planning Service</li> <li>Draft Memorandum to addressed to PDs/CDs</li> </ul> </li> </ul>	
8	ARD	Review and Recommend Approval of the OPB	<ul style="list-style-type: none"> <li>• Check Statement of Commitment and its attachments</li> <li>• If found in accordance with the set targets, affix initial in the OPB and Memorandum for the USLG thru the Planning Service(PS) and Memorandum addressed to the PDs/CDs</li> </ul>	<ul style="list-style-type: none"> <li>• OPB Guidelines (Annual/Realignment)</li> <li>• Routing Slip with instructions</li> <li>• Logbook</li> </ul>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
9	Regional Director	Review and Approval of the OPB	<ul style="list-style-type: none"> <li>Review and/or sign the Regional OPB if found complete and in accordance with set guidelines and forwards to the Regional Planning Officer</li> <li>If there are corrections, returns the draft OPB to the Planning Officer</li> </ul>	<ul style="list-style-type: none"> <li>Signed OPB with attachments</li> <li>Signed Statement of Commitment</li> </ul>
10	Regional Planning Officer	Transmit the Approved OPB to the Central Office	<ul style="list-style-type: none"> <li>Forward to Records for release of the OPB</li> </ul>	<ul style="list-style-type: none"> <li>Signed AOPB/Statement of Commitment;</li> <li>Signed Memorandum for USLG thru PS</li> <li>Routing Slip</li> <li>Logbook</li> </ul>
11	Records Officer	Receive and release communication	<ul style="list-style-type: none"> <li>Refer to the procedure <i>Handling of Incoming and Outgoing Communications</i></li> </ul>	QP-R12-FAD-01
12	Process owner	Retain all records	<ul style="list-style-type: none"> <li>Retain all records generated in accordance with Control or Retained Documented Information Procedure and Masterlist of Retained Documented Information</li> </ul>	Control or Retained Documented Information Procedure Masterlist of Retained Documented Information
<b>PREPARATION OF THE PROVINCIAL/CITY OFFICE-OPB</b>				
1	Records Officer	Receive and route communication	<ul style="list-style-type: none"> <li>Refer to the procedure <i>Handling of Incoming and Outgoing Communications</i></li> </ul>	QP-R12-FAD-01
2	Provincial Director(PD)/City Director (CD)	Provides instruction/s to the Program Manager (PM)/Planning Link		<ul style="list-style-type: none"> <li>Routing Slip</li> <li>Approved ROPB</li> </ul>
3	PM/ Planning Link	Prepare the Provincial/ City OPB	<ul style="list-style-type: none"> <li>Review and evaluate the documents;</li> <li>Prepare administrative and technical requirements based on</li> </ul>	<ul style="list-style-type: none"> <li>Approved ROPB</li> <li>Routing slip with instructions</li> </ul>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			the instructions of the PD/CD <ul style="list-style-type: none"> <li>Provide copies to the Sections Chiefs and C/MLGOOs (if necessary) for their reference and guidance</li> </ul>	
4	PD/ CD	Approve the City/Provincial OPB	<ul style="list-style-type: none"> <li>Review the submitted OPB.</li> <li>If found complete and in accordance with the set targets by the Regional Office, approves and sign the Provincial/City OPB and the transmittal letter</li> <li>If found incomplete and inconsistent with the set targets, gives instruction to the PM/Planning Link for the revision and finalization of the OPB</li> </ul>	<ul style="list-style-type: none"> <li>Final draft P/C OPB</li> </ul>
5	Records Officer	Receive and release communication	<ul style="list-style-type: none"> <li>Refer to the procedure <i>Handling of Incoming and Outgoing Communications</i></li> </ul>	QP-R12-FAD-01
6	Process owner	Retain all records	<ul style="list-style-type: none"> <li>Retain all records generated in accordance with Control or Retained Documented Information Procedure and Masterlist of Retained Documented Information</li> </ul>	Control or Retained Documented Information Procedure Masterlist of Retained Documented Information

**Definition of Terms:**

- The Annual Operations Plan and Budget (AOPB) is a document, in excel form, which contains the activities that are planned to be carried out within a year. Activities indicated have corresponding quarterly physical targets and fund requirements. Said plan is used as bases by the offices in implementing their various activities and used as reference in gauging their performance.

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# QUALITY OBJECTIVE (QO)

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<b>OFFICE</b>	ORD – PLANNING UNIT
<b>QUALITY PROCEDURE TITLE</b>	<b>OPERATIONAL PLANNING AND BUDGETING</b>

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"> <li>Facilitate the preparation and submission of the OPB</li> </ul>	Timely submission of the OPB to the Central Office	OPB submitted on or before the deadline by the Planning Service (PS)  90%	Date/s submitted to the Central Office thru the Planning Service.  _____ X100  No. of OPB/realignment submitted to the Central Office	Annual  In the case of realignment, semestral (if applicable)	Planning Officer	<ul style="list-style-type: none"> <li>Summary Log Sheet</li> <li>Memorandum of Transmittal of the OPB of the RD/ARD</li> <li>Monitoring Log Sheet;</li> </ul>
<ul style="list-style-type: none"> <li>Facilitate the conduct of Planning Workshop prior to submission of the OPB</li> </ul>	Planning Workshops/ Consultations conducted prior to submission of OPB/Realignment	Conducted Planning Workshop Prior to submission of OPB/Realignment	No. of Planning Workshops/Consultations conducted prior to submission of OPB/Realignment	Annual	Planning Officer	<ul style="list-style-type: none"> <li>Summary Log Sheet;</li> <li>Quality Monitoring and Evaluation</li> </ul>

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**PROCESS QUALITY MONITORING AND  
 EVALUATION (QME)**

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<b>OFFICE</b>	ORD – PLANNING UNIT
<b>PROCEDURE TITLE</b>	<b>OPERATIONAL PLANNING AND BUDGETING</b>
<b>OBJECTIVE STATEMENT</b>	1. Timely submission of the Annual and/or Realigned OPB to the Central Office (and/or Realigned OPB) 2. Planning Workshops/Consultations conducted prior to submission of the OPB/Realignment
<b>CURRENT PERIOD</b>	

INDICATORS		Date of Submission
<b>Objective 1: Timely preparation and submission of the Annual and/or Realigned OPB by the Regional Office and Provincial/City Offices</b>		
A	OPB/Realignment submitted to the Central Office on or before the set deadline	
B	No. of OPBs/Realignment submitted	
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)	
<b>Objective 2: Planning Workshops/Consultations conducted prior to submission of the OPB/Realignment</b>		
A	No. of Planning Workshops/Consultations conducted prior to submission of the OPB/Realignment	
B	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)	
Note: For unmet targets of two (2) consecutive periods, concerned Deputy QMR initiate correction and corrective action using the Corrective Action Report (CAR) and attach it to this form.		

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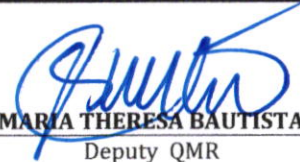

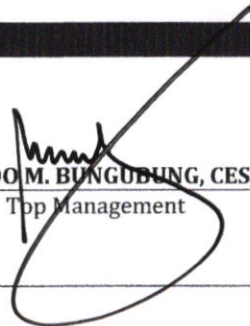




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**PROCESS QUALITY MONITORING AND  
 EVALUATION (QME)**

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**OPERATIONAL PLANNING AND BUDGETING**  
**Process Summary Logsheets (PSL)**

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QUALITY OBJECTIVE:      1. Timely submission of the OPB to the Central Office  
                                     2. Planning Workshop Conducted prior to submission of OPB/Realignment

FREQUENCY OF MONITORING: **Annually**

COVERED PERIOD: \_\_\_\_\_

Due Date of Submission: \_\_\_\_\_

No.	Control No.	Particulars	OBJECTIVE NO. 1:						OBJECTIVE NO. 2		
			Date Received (Guidelines)	Date submitted to Central Office	Deadline	Met	Unmet	Remarks, If unmet	Date of Workshop	Met (Planning Workshop Conducted)	Unmet (Planning Workshop not Conducted)
1											
2											
3											
4											
5											
TOTAL											

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 DILG - REGION 12 (SOCCSKSARGEN)  
**OPERATIONAL PLANNING AND BUDGETING**  
**Process Summary Logsheet (PSL)**

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

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<b>OPERATIONAL PLANNING AND BUDGETING</b>							
QP-R12-ORD-23	Quality Procedure: OPERATIONAL PLANNING AND BUDGETING	10.01.17					
QO-QP-R12-ORD-23	Quality Objective: OPERATIONAL PLANNING AND BUDGETING	10.01.17					
QME-QP-R12-ORD-23	Quality Monitoring and Evaluation (QME): OPERATIONAL PLANNING AND BUDGETING	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					

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<b>OPERATIONAL PLANNING AND BUDGETING</b>							
	Local Government Code of 1991						
	Republic Act 6975 as amended by RA 8551						

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**MASTERLIST OF RETAINED DOCUMENTED INFORMATION**

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				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
<b>OPERATIONAL PLANNING AND BUDGETING</b>									
QME-QP-R12-ORD-23	Quality Monitoring and Evaluation (QME): OPERATIONAL PLANNING AND BUDGETING	Planning Unit	QMS Cabinet	QMS folder by procedure	Sequential	2 yrs		2	Shredding
FM-QP-R12-ORD-23-01	OPERATIONAL PLANNING AND BUDGETING(PSL) Process Summary Logsheet	Planning Unit	QMS Cabinet	QMS folder by procedure	Sequential	2 yrs		2	Shredding
	OPB	Planning Unit	Filing Cabinet	Palnning Folder	Sequential	PERMANENT			

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<b>OPERATIONAL PLANNING AND BUDGETING</b>									
QME-QP-R12-ORD-23	Quality Monitoring and Evaluation (QME): OPERATIONAL PLANNING AND BUDGETING	Planning Unit	QMS Cabinet	QMS folder by procedure	Sequential	2 yrs		2	Shredding
FM-QP-R12-ORD-23-01	OPERATIONAL PLANNING AND BUDGETING(PSL) Process Summary Logsheet	Planning Unit	QMS Cabinet	QMS folder by procedure	Sequential	2 yrs		2	Shredding
	OPB	Planning Unit	Filing Cabinet	Palnning Folder	Sequential	PERMANENT			

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**RISK REGISTRY**  
**(A) OBJECTIVE RISK ASSESSMENT**

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR – PLANNING UNIT**  
 PROCEDURE: **OPERATIONAL PLANNING AND BUDGETING**

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
1. Timely preparation and submission of the Annual and/or Realigned OPB by the Regional Office and Provincial/ City Offices	1. Overlapping of regional and central activities for the implementation of 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 AOPB of the Region/Provinces/Cities	Planning Officer/Planning Link is conducting /attending different activities or is on official travel/business	RO/Provincial Offices will not be able to submit the AOPB on a prescribed deadline/timeline	1. Regional Memorandum Issued prescribing the deadline of submission at least 3 days ahead of the Central Office deadline. 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	NA
2. 90% of Planning Workshops/ Consultations conducted based on the approved Activity Design	Delay in the compliance to BAC requirements/Procurement documents	1. Regional Management (RD, ARD, Division Chiefs, RFPs, Unti Heads)/  2. Sub-Regional Offices (PDs, OMs/PMs, planning links, CDs, C/MLGOOs)	Planning Workshop not conducted on the prescribed date	Delay in the issuance of guidelines and system in the planning and programming not established	AOPB not submitted on time or on the prescribed deadline	Issuance of Regional Memorandum, Regional Order and/or notice on the participation in or conduct of the Planning Workshop	4	3	3	36	M	NS	ALERT	2	NA	NA	NA	NA
			Planning Workshop not conducted on the prescribed date	Appropriate signatories in on official business/BAC meetings not conducted due to absence of quorum/BAC Chairperson on leave or in official business	AOPB not submitted on time or on the prescribed deadline	Issuance of Regional Memorandum, Regional Order and/or notice on the participation in or conduct of the Planning Workshop												

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**RISK REGISTRY**  
**(A) OBJECTIVE RISK ASSESSMENT**

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR – PLANNING UNIT**  
 PROCEDURE: **OPERATIONAL PLANNING AND BUDGETING**

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 Post Activity Report prepared and submitted within 15 days after the activity	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,)	Delayed submission of the Post-Activity Report	Planning Officer/Planning Link is conducting /attending different activities or is on official travel/business	Management not informed of the agreements and targets set during the workshop	Assign additional personnel to document the workshop and preparation of report  Request for additional staff to assists the PO	2	2	4	16	L	NS	NA	3	NA	NA	NA	NA
<b>RISK ASSESSMENT:</b>			<b>RISK RATING</b>	<b>RISK LEVEL</b>	<b>RISK DESCRIPTION</b>	<b>ACTION REQUIRED</b>			<b>RPN</b>									
<b>IMPACT:</b> 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									
<b>LIKELIHOOD:</b> 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									
<b>DETECTION:</b> 1 - Very likely; 2 - Likely; 3 - Low; 4 - Remote; 5 - Very remote			>40	HIGH	Significant	Control (e.g.- Treat/Mitigate Transfer, Terminate)			1									
<b>Risk Rating = Impact X Likelihood X Detection</b>																		

Prepared by:	Reviewed by:	Recommending Approval:	Approved by:
 <b>IAN JON S. CLEMENTE</b> Process Owner	 <b>MARIA THERESA BAUTISTA</b> Division Chief/Next Higher Supervisor	 <b>IAN JON S. CLEMENTE</b> Risk Review Committee Head	 <b>LAILYN A. ORTIZ, CESE</b> Regional QMR
			 <b>REYNALDO M. BUNGUBUNG, CESO IV</b> Regional Director

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**RISK REGISTRY**  
**(B) PROCESS RISK ASSESSMENT**

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR – PLANNING UNIT**  
 PROCEDURE: **OPERATIONAL PLANNING AND BUDGETING**

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
<b>PREPARATION OF REGIONAL OFFICE OPB</b>																
1. Receives the OPB Guidelines (Annual/Realignment)	Planning Officer not provided with AOPB guidelines on time.	Records officer attending intra offices meetings and other activities conducted by the region or Records officer is on leave/absent.	Delay in the preparation of administrative requirements in the conduct of consultation or planning workshop (DEEPER)	Designation of an alternate records officer in case of absence by the receiving clerk	2	1	4	8	L	NS	NA	3	NA	NA	NA	NA
2. Prepares technical and administrative requirements	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	BAC Resolution on the submission of activity design prior to the conduct any activity. Planning Service provided advance copy of the draft AOPB guidelines for guidance and reference	3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
3. Facilitates the conduct of Regional Planning Conference Workshop	Operating units in the region/provinces not well informed of the targets	Participants is on leave or in official business	No consensus or Over or under targets in the AOPB.	Issuance of Regional Memorandum, Regional Order and/or notice on the participation in or conduct of the Planning Workshop	4	3	3	36	M	NS	ALERT	2	NA	NA	NA	NA
4. Prepares and forwards the draft OPB with attachments to the Budget Officer for review as to financial requirements	Delayed preparation of the administrative requirements	Budget Officer is on leave or in official business or performing other tasks	Delayed endorsement of draft OPB to appropriate signatories (RD/ARD)	NONE	4	3	3	36	M	NS	ALERT	2	NA	NA	NA	NA

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**RISK REGISTRY**  
**(B) PROCESS RISK ASSESSMENT**

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR - PLANNING UNIT**

PROCEDURE: **OPERATIONAL PLANNING AND BUDGETING**

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
5. Submits the draft/revised OPB with attachment to the RD/ARD	Delay in the review and finalization of the OPB	RD/ARD is attending meetings (inter-agency or CO directive) or on official business (field visits, project monitoring, etc)	Delayed endorsement of draft OPB to appropriate signatories (RD/ARD)	NONE	4	3	3	36	M	NS	ALERT	2	NA	NA	NA	NA
6) Reviews and approves the Regional OPB with attachment and Statement of Commitment	Delay in the endorsement of the OPB	RD/ARD is attending meetings (inter-agency or CO directive) or on official business (field visits, project monitoring, etc)	Delayed endorsement of OPB to Planning Service	NONE	4	3	3	36	M	NS	ALERT	3	NA	NA	NA	NA
7) Receives, logs and submits the signed Memorandum and OPB to the Central Office	OPB not endorsed on time	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 in case	4	1	5	20	L	NS	NA	3	NA	NA	NA	NA
<b>PREPARATION OF PROVINCIAL OFFICE OPB</b>																
1. Receives approved OPB along with Regional Memorandum	PD not provided with Approved OPB	Slow Internet connection/Problems in Server maintenance.	Delay in the printing and dissemination of Approved OPB	NONE	2	1	4	8	L	NS	NA	3	NA	NA	NA	NA
2.Prepare the Provincial/City OPB	Delayed preparation of the administrative requirements and consultation activity	Program Manager/Planning Link is conducting /attending different activities or is on official travel/business	Delay in the conduct of the workshop or consultation for OPB preparation of the Province/City	NONE	2	3	3	18	L	NS	NA	3	NA	NA	NA	NA

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**RISK REGISTRY**  
**(B) PROCESS RISK ASSESSMENT**

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR – PLANNING UNIT**  
 PROCEDURE: **OPERATIONAL PLANNING AND BUDGETING**

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
3. Approves and signs the provincial/city OPB	Provincial/City OPB not signed	PD/CD is on leave or on official business	Delayed submission/endorsement of Provincial/City OPB	NONE	3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
4) Receives, logs and submits the signed OPB with its transmittal and attachments to the Regional Office	Provincial/City OPB not endorsed on time	Records officer attending intra offices meetings and other activities conducted by the region or Records officer is on leave/absent.	late submission of Provincial/City Office OPB	Designation of an alternate records officer in case	2	1	2	4	L	NS	NA	3	NA	NA	NA	NA
5) Retain all records	Document not easily retrievable. No secured place for important documents in case of disaster (fire,	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
<b>RISK ASSESSMENT:</b>		<b>RISK RATING</b>	<b>RISK LEVEL</b>	<b>RISK DESCRIPTION</b>	<b>ACTION REQUIRED</b>						<b>RPN</b>					
IMPACT:		1-Insignificant; 2-Minor; 3-1-Rare; 2-Unlikely; 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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