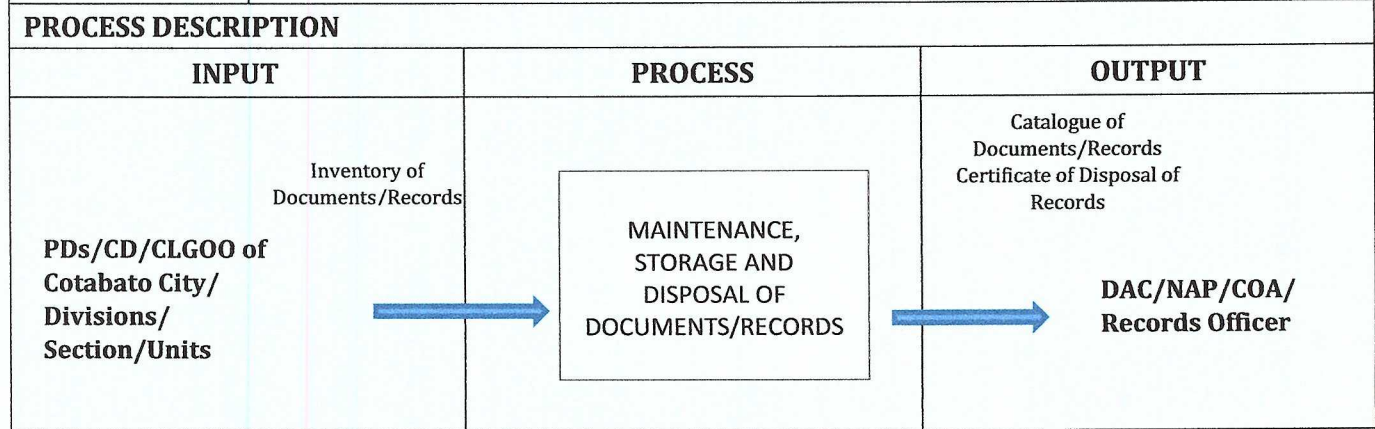




QUALITY PROCEDURE (QP)

Document Code		
QP-R12-FAD-11		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 5

PROCEDURE TITLE	MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/RECORDS
SCOPE	This process starts from the receipt of documents, maintenance, storage, and disposal of Documents/Records in compliance with National Archive of the Philippine (NAP) regulations.
PURPOSE	To ensure the systematic control and management of documents/records and facilitate traceability and enable easy retrieval based on the NAP regulations.



DESCRIPTIVE STATEMENT: The Records Officers receive, analyze and classify and records/logs documents/records and provide each Division/Section/Units with copy of General Records Disposition Schedule as basis in the conduct of the respective inventory of documents/records for maintenance/storage/disposal. Records Officer facilitates the disposal of documents/records upon receipt of turned-over non-current records and approval of request for disposal from the National Archives of the Philippines (NAP).

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
A	Maintenance and Storage of Documents/Records			
1	Records Officer (RO/PO/CD/CLGOO of Cotabato City)	Classification and Storage of Records	<p>Sort, set in order, shine standardize and sustain all document information</p> <p>Analyze, arrange/classify document information by Category in a Chronological/alphabetical/sequence (scanned and hard copies) (Department Order, Memoranda, Memorandum, Circulars, Advisories, Circulars, Regional Orders, Memorandum Circulars, Letters, Endorsements)</p> <ul style="list-style-type: none"> Scan the issuances and save to designated electronic folders. 	<ul style="list-style-type: none"> Database for Issuances





QUALITY PROCEDURE (QP)

Document Code		
QP-R12-FAD-11		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 5

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> File original issuances to designated filing folder and shelves. Encode the (Subject, Title, Date) of the Issuance in the database system File the documents/records methodically in designated filing cabinets, shelves or boxes properly labeled and identified. Maintain records thru conduct of regular inspection to ensure adequate protection and preservation of it. 	
2		Monitor Records	<ul style="list-style-type: none"> Appraise records by conducting inventory of documents/records annually by file station or cabinets in accordance with the NAP General Records Disposition Schedule Common to All Government Agencies (GRDS) and DILG Records Disposition Schedule (RDS). Accomplish the NAP Form No.1 (Records Inventory and Appraisal) and NAP Form No. 3 (Request for Authority to Dispose of Records) and establish /update retention and disposition period of records. 	<ul style="list-style-type: none"> NAP Form 1- (Records Inventory and Appraisal) NAP GRDS DILG RDS
3		Conduct File Break	<ul style="list-style-type: none"> At the end of the calendar year, conduct file break in accordance with the GRDS and the RDS. 	<ul style="list-style-type: none"> NAP GRDS Agency RDS





QUALITY PROCEDURE (QP)

Document Code		
QP-R12-FAD-11		
Rev. No.	Eff. Date	Page
00	10.01.17	3 of 5

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> Segregate files that meets the minimum period of retention and bundle for disposal. Conduct disposal of records at least every two years. 	
B Disposal of Records				
REQUEST FOR DISPOSAL				
1	Records Officers (RO/PO/CD/CLGOO of Cotabato City)	Receipt of Records and Preparation of request for authority to Dispose of Records	<ul style="list-style-type: none"> Record the receipt of turned-over non-current records and classify whether valueless or permanent records. For permanent records, include in the List on non-current Records and store accordingly. For valueless records, confirm that the indicated retention period is already exceeded as per GRDS of NAP and agency RDS. Once confirmed, list, bundle and measure in cubic meter ready for disposal. 	<ul style="list-style-type: none"> List of non-current Records NAP Circular No. 1&2 NAP GRDS Agency Records Disposition Schedule List of Disposable Records
2	RD/ ARD /PM/ CLGOO of Cotabato City	Review and Request Approval	<ul style="list-style-type: none"> If sufficient volume or weight of records for disposal is met, prepare request for NAP authorization to dispose records with Letter-Request. For PDs/CD/CLGOO of Cotabato City, Submit the list to RO for inclusion of the request Submit request to Regional Director or authorized 	<ul style="list-style-type: none"> Letter-request NAP Form No. 3 "Request for Authority to Dispose of Records"





QUALITY PROCEDURE (QP)

Document Code		
QP-R12-FAD-11		
Rev. No.	Eff. Date	Page
00	10.01.17	4 of 5

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			representative for signature.	
3	RD	Review and Approval	<ul style="list-style-type: none"> Sign Request for Authority to Dispose Records, if in order. Return request to Records Section, if found deficient. 	<ul style="list-style-type: none"> Letter-request NAP Form "Request for Authority to Dispose of Records"
4	Records Officers (RO/PO/CD/CLGOO of Cotabato City)	Record and Release the Request	<ul style="list-style-type: none"> Log the approved request. Forward the Letter-request and NAP Form to NAP. 	<ul style="list-style-type: none"> Signed NAP Form "Request for Authority to Dispose of Records" and Letter-request
PROCESSING OF DISPOSAL				
5	Records Officers (RO/PO/CD/CLGOO of Cotabato City)	Receipt of Authority	<ul style="list-style-type: none"> Receive and log Authority to Dispose. Prepare Request for Public Bidding and Supporting Documents and submit to Disposal and Appraisal Committee (DAC). 	<ul style="list-style-type: none"> NAP Form No. 3 - Authority to Dispose of Records
6	Disposal and Appraisal Committee (DAC).	Conduct Public Bidding	<ul style="list-style-type: none"> Refer to procedure on Procurement of Goods and Services and NAP Guidelines 	<ul style="list-style-type: none"> QP-R12-FAD-04
7	Chief, FAD/PDs/CDs; Records Officer; COA and NAP representatives; Cashier	Conduct actual Disposal	<ul style="list-style-type: none"> Conduct actual disposal to be witnessed by NAP, COA representative and DILG-CO representatives. Sign the records of disposal Records Officer: Remit sale to Cash Section who will then issue Official Receipt. 	<ul style="list-style-type: none"> Records of Disposal Official Receipt
8	Records Officers	Prepare Certificate of Disposal	<ul style="list-style-type: none"> Fill-up NAP Form "Certificate of Disposal" indicating the records series, manner, date and place of disposal, volume 	<ul style="list-style-type: none"> "Certificate of Disposal of Records"





Republic of the Philippines
 DILG - REGION 12 (SOCCSKSARGEN)
**QUALITY
 PROCEDURE (QP)**

Document Code		
QP-R12-FAD-11		
Rev. No.	Eff. Date	Page
00	10.01.17	5 of 5

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			of record disposed and the amount of sale and official receipt number. <ul style="list-style-type: none"> Retain the original copy and provide 1 copy to NAP and another copy to COA 	
9	Process Owner	Maintain record	<ul style="list-style-type: none"> Maintain Records in accordance with the Control of Records Procedure and the Masterlist of Retained Documented Information 	<ul style="list-style-type: none"> Masterlist of Records

Definition of Terms:

- Issuance-communications/issuances prepared/issued by DILG Central office and other agencies
- File Break or cut-off period- termination of a filing activity for a particular file and the beginning of a new filing period.

Legal References:

- **DILG Circular No. 2016-03** dated January 27, 2016 re Guidelines and Procedures on Disposal or Records and Use of Records Disposition Schedule (RDS)
- **NAP General Circular No. 1 & 2 and GRDS 2009** (Rules and Regulations Governing the Management of Public Records and Archives Administration, Guidelines on the Disposal of Valueless Records in Government Agencies and General Records Disposition Schedule)
- **NAP General Circular No. 4** (Guidelines on National Inventory of Records and Archives)
- **NAP Form 1** - Records Inventory And Appraisal
- **NAP Form 2** - Records Disposition Schedule
- **NAP Form 3** - Request for Authority to Dispose of Records (Revised 2012)

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QUALITY OBJECTIVE (QO)

Document Code		
QO-QP-R12-FAD-11		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

OFFICE	FINANCE & ADMINISTRATIVE DIVISION – RECORDS SECTION
QUALITY PROCEDURE TITLE	MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/RECORDS

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"> • Maintenance, Storage and Disposal of Documents/Records 	<ul style="list-style-type: none"> • Request for Authority to dispose records to NAP submitted by April 30 of every Calendar Year 	1	<ul style="list-style-type: none"> • Submission of request by April 30 to NAP 	<ul style="list-style-type: none"> • Annual 	<ul style="list-style-type: none"> • Records Officer 	<ul style="list-style-type: none"> • Monitoring Log Sheet, Memorandum or Letter
	<ul style="list-style-type: none"> • Disposal of records made within thirty (30) days from receipt of Authority from NAP 	90%	<ul style="list-style-type: none"> • Disposal of records made within thirty (30) days from receipt of Authority from NAP • No. of Disposals activities within 30 days from receipt of authority -----X100 7 (PO/CO/RO) – No of Office with no disposal 	<ul style="list-style-type: none"> • Annual 	<ul style="list-style-type: none"> • Records Officer 	

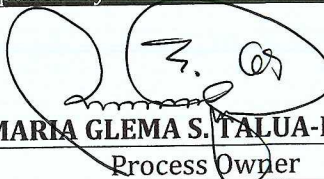
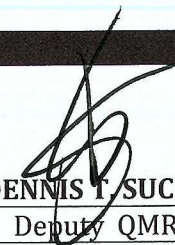
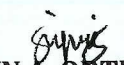
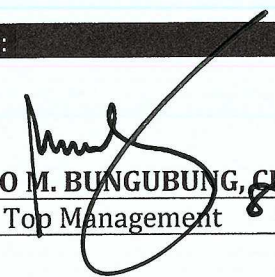




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DILG - REGION 12 (SOCCSKSARGEN)

QUALITY OBJECTIVE (QO)

Document Code		
QO-QP-R12-FAD-11		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 2

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Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

PROCESS QUALITY MONITORING AND EVALUATION (QME)

Document Code		
QME-QP-R12-FAD-11		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

OFFICE	FINANCE & ADMINISTRATIVE DIVISION – RECORDS SECTION
PROCEDURE TITLE	MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/RECORDS
OBJECTIVE STATEMENT	<ol style="list-style-type: none"> Timely request for Authority to dispose records to NAP submitted by April of every Calendar Year Timely disposal of records made within thirty (30) days from receipt of Authority from NAP
CURRENT PERIOD	

INDICATORS		CY XXXX	CY XXXX	CY XXXX	TOTAL
Objective 1: Timely request for Authority to dispose records to NAP submitted by April of every Calendar Year					
A	Request to NAP submitted by April 30 of each CY				
B	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)				
Objective 2: Timely disposal of records made within thirty (30) days from receipt of Authority from NAP					
A	No. of Disposals activities within 30 days from receipt of authority				
B	7 (PO/CO/RO)				
C	No. of Office with no disposal				
D	Formula: $\frac{A}{B-C} \times 100$	Target Result : 90%			
E	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.

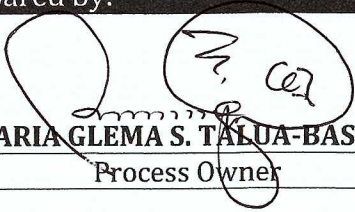


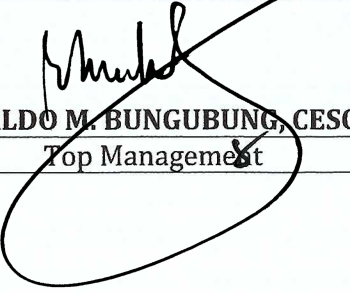




Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)
**PROCESS QUALITY MONITORING AND
EVALUATION (QME)**

Document Code		
QME-QP-R12-FAD-11		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 2

Prepared by:	Noted by:
Process Owner	Deputy QMR

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DILG - REGION 12 (SOCCSKSARGEN)

**MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/
RECORDS Process Summary Logsheet (PSL)**

Document Code		
FM-QP-R12-FAD-11-01		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

QUALITY OBJECTIVE: Timely disposal of records made within thirty (30) days from receipt of Authority from NAP

FREQUENCY OF MONITORING: **SEMESTRAL**

COVERED PERIOD :

Due Date of Submission :

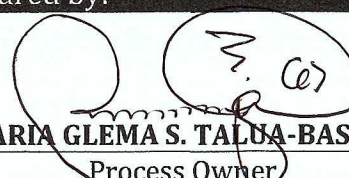

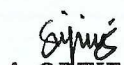
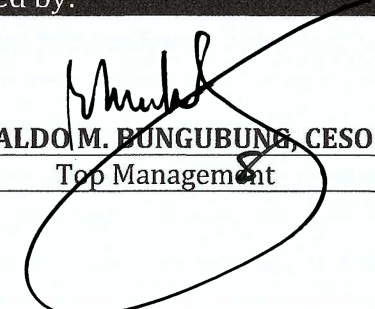
No.	Control No.	RO/PO/CO	OBJECTIVE NO. 2 RESULTS					
			Date Received Authority	Date of Disposal Activity	Target= Once in every Three (3) years	Met	Unmet	REMARKS, IF UNMET
1								
2								
3								
4								
5								
6								
TOTAL								



**MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/
RECORDS Process Summary Logsheet (PSL)**

Document Code		
FM-QP-R12-FAD-11-01		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 2

Prepared by:	Noted by:
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Document Code		
FM-SP-R12-03A-01		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

Division: **FINANCE AND ADMINISTRATIVE DIVISION (RECORDS SECTION)**

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/RECORDS							
QP-RO12-FAD-11	Quality Procedure: Maintenance, Storage and Disposal of Documents/Records	10.01.17					
QO-QP-R12-FAD-11	Quality Objective: Maintenance, Storage and Disposal of Documents/Records	10.01.17					
QME-QP-R12-FAD-11	Quality Monitoring and Evaluation: Maintenance, Storage and Disposal of Documents/Records	10.01.17					
FM-QP-R12-FAD-11-01	Process Summary Logsheet: Maintenance, Storage and Disposal of Documents/Records	10.01.17					
FM-SP-R12-03A-01	Master List of Internal Documents: Maintenance, Storage and Disposal of Documents/Records	10.01.17					
FM-SP-R12-03B-01	Master List of External Documents: Maintenance, Storage and Disposal of Documents/Records	10.01.17					
FM-SP-R12-03C-01	Master List of Retained Documented Information: Maintenance, Storage and Disposal of Documents/Records	10.01.17					
FM-SP-R12-02-01A	Risk Registry (Objective): Maintenance, Storage and Disposal of Documents/Records	10.01.17					
FM-SP-R12-02-01B	Risk Registry (Process): Maintenance, Storage and Disposal of Documents/Records	10.01.17					


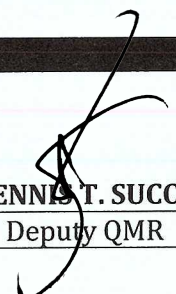




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Document Code		
FM-SP-R12-03A-01		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 2

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Document Code		
FM-SP-R12-03B-01		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

Division: **FINANCE AND ADMINISTRATIVE DIVISION (RECORDS SECTION)**

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/RECORDS							
	DILG Circular No. 2016-03 dated January 27, 2016 re Guidelines and Procedures on Disposal or Records and Use of Records Disposition Schedule (RDS)	10.01.17					
	NAP General Circular No. 1 & 2 and GRDS 2009 (Rules and Regulations Governing the Management of Public Records and Archives Administration, Guidelines on the Disposal of Valueless Records in Government Agencies and General Records Disposition Schedule)	10.01.17					
	NAP General Circular No. 4 (Guidelines on National Inventory of Records and Archives)	10.01.17					
	NAP Form 1 - Records Inventory And Appraisal	10.01.17					
	NAP Form 2 - Records Disposition Schedule	10.01.17					
	NAP Form 3 - Request for Authority to Dispose of Records (Revised 2012)	10.01.17					







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

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Document Code		
FM-SP-R12-03C-01		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

Division/Unit: **FINANCE & ADMINISTRATIVE DIVISION – RECORDS SECTION**

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/RECORDS									
QME-QP-R12-FAD-11	Process Quality Monitoring & Evaluation: Maintenance, Storage and Disposal of Documents / Records	Records Officers	Filing Cabinet	Disposal of Records	Sequential	2 years		2 years	shredding/re-use
FM-QP-R12-FAD-11-01	Process Summary Logsheet: Maintenance, Storage and Disposal of Documents / Records					2 years		2 years	
	Inventory Records					2 years after audit		2 years after audit	
	Request Authority to Dispose					2 years	3 years	5 years	

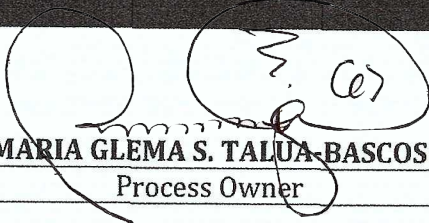





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Document Code		
FM-SP-R12-03C-01		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 2

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Document Code		
FM-SP-R12-02-01A		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION - RECORDS SECTION**
 PROCEDURE: **MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/RECORDS**

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
<ul style="list-style-type: none"> Timely request for Authority to dispose records to NAP submitted by April of every Calendar Year Timely disposal of records made within thirty (30) days from receipt of 	<ul style="list-style-type: none"> Delayed submission of inventory reports Low awareness of NAP Guidelines No enough space designated for Records/ 	Divisions/Sections/Units/Field Offices/NAP/DILG-CO	Delayed disposal of documents/records	Overlapping of tasks	delayed processing for the issuance of authority to dispose by NAP	Designate alternate												
			unconducive workplace		Disposal of documents which might not be done for disposal	Provision of temporary Storage	3	3	3	27		NS	NA	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 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 ne	2
DETECTION	1 - Very likely, 2 - Likely; 3 - Low, 4 - R	>40	HIGH	Significant	Control (e.g. Treat/Mitigate Transfer, Termina	1

Risk Rating = Impact X Likelihood X Detection

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

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Rev. No.	Eff. Date	Page
00	10.01.17	1 of 1

RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION - RECORDS SECTION**
 PROCEDURE: **MAINTENANCE, STORAGE AND DISPOSAL OF DOCUMENTS/RECORDS**

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
<ul style="list-style-type: none"> Timely request for Authority to dispose records to NAP submitted by April of every Calendar Year Timely disposal of records made within thirty (30) days from receipt of 	<ul style="list-style-type: none"> Delayed submission of inventory reports Low awareness of NAP Guidelines No enough space designated for Records/ 	Divisions/Sections/Units/Field Offices/NAP/DILG-CO	Delayed disposal of documents/records	Overlapping of tasks	delayed processing for the issuance of authority to dispose by NAP	Designate alternate												
			unconducive workplace		Disposal of documents which might not be done for disposal	Provision of temporary Storage	3	3	3	27		NS	NA	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 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 ne	2
DETECTION 1 - Very likely, 2 - Likely; 3 - Low, 4 - R	>40	HIGH	Significant	Control (e.g. Treat/Mitigate Transfer, Termina	1

Risk Rating = Impact X Likelihood X Detection

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