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PROCEDURE TITLE	HANDLING INCOMING AND OUTGOING COMMUNICATIONS /DOCUMENTS			
SCOPE	The process starts rom 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.			
PROCESS DESCRIPTION				
INPUT		PROCESS		OUTPUT
Communications / Documents  Internal and External Clients		HANDLING INCOMING AND OUTGOING COMMUNICATION/ DOCUMENTS		Acted/Approved Communications/Documents  Internal and External Clients
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				
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 and Route document	Check the completeness of attachment/ enclosure if any, Stamp "received", record sort and scan documents(with assigned control number).  All documents except for URGENT received beyond cut-off time (4:30 PM) will be routed/released on the following day  All field reports shall be directly forwarded to Concerned Divisions/ Section/Unit while confidential reports to ORD/PD/CD/CLGOO of Cotabato Citiy.  Provide Instructions	Record Database - ecopy  Original documents with routing slip





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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	Forward the sorted documents to ORD/PD/CD/ CLGOO of Cotabato City with attached routing slip for instructions.  Cause receipt of concerned Division/ Section/Unit	
3	Receiving Clerk (RO, PO, CD, CLGOO of Cotabato City)	Route to concerned Division/Section/Unit		
4	Process Owner	Retain records	<ul style="list-style-type: none"><li>• Update the Process Summary Log Sheet</li><li>• Retain records in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Retained Documented Information</li></ul>	<ul style="list-style-type: none"><li>• Process Summary Log Sheet</li><li>• Control of Documented Information Procedure</li><li>• Masterlist of Retained Documented Information</li></ul>
B.	- OUTGOING COMMUNICATIONS/DOCUMENTS			
1	Releasing Clerk (RO, PO, CD, CLGOO of Cotabato City)	Receive outgoing communications/docu ments	Receive, Log and release communications/ documents  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 released on the following day	Original documents  Waybill or tracking number, sent emails
2	Process Owner	Retain records	<ul style="list-style-type: none"><li>• Update the Process Summary Log Sheet</li><li>• Retain records in accordance with the Control of Retained</li></ul>	<ul style="list-style-type: none"><li>• Process Summary Log Sheet</li><li>• Control of Documented</li></ul>

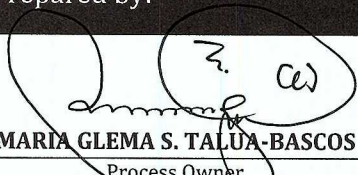

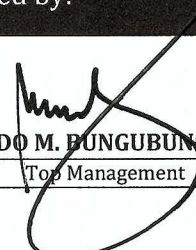





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Documented Information Procedure and the Masterlist of Retained Documented Information	Information Procedure  • Masterlist of Retained Documented Information

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

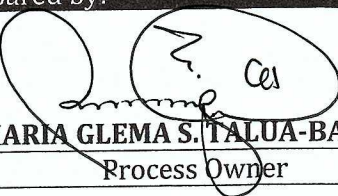


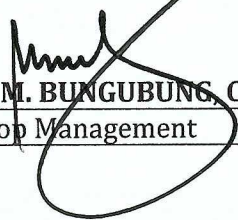


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**QUALITY  
OBJECTIVE (QO)**

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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)			
• Handle incoming and outgoing communications/documents	• 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	• Monthly	• Records Officer	• Records Database System  • Handling og incoming and outgoing commnunications/ documents processe summary logsheet
	• 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	• 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	





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

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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: $\frac{A}{B} \times 100$ B	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: $\frac{A}{B} \times 100$ B	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.														

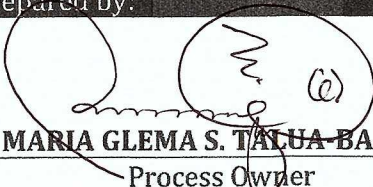


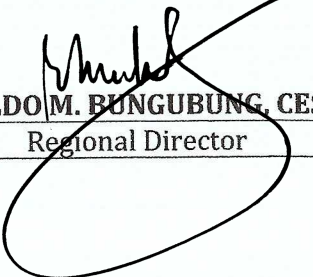


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**PROCESS QUALITY MONITORING AND  
EVALUATION (QME)**

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Prepared by:	Noted by:
Process Owner	Division Chief / Deputy QMR

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







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

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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					REMARK S, IF UNMET
					Date Received	Date Routed to Div/Sec. / Unit	No. of Minutes (Target=1 Day)	Met	Unme t	
	1									
	2									
	3									
	4									
	5									
	TOTAL									

B	Addressee	Subject	Origin/ Sender	OBJECTIVE NO. 2 RESULTS					REMARK S, IF UNMET
				Date Received from Div/ Sec/Units	Date Release d	No. of Minutes (Target=1 Day)	Met	Unmet	

Prepared by:	Noted by:
Process Owner	Deputy Q,MR


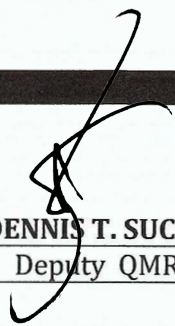





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## HANDLING INCOMING & OUTGOING COMMUNICATIONS/DOCUMENTS Process Summary Logsheets (PSL)

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Prepared by:	Reviewed by:	Approved by:
 <b>MARIA GLEMA S. TANUA-BASCOS</b> Process Owner	 <b>DENNIS T. SUCOL</b> Deputy QMR	 <b>LAILYN A. ORTIZ, CESE</b> Regional QMR







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**REGION XII**

Prime Regional Government Center, Carpenter Hill, Koronadal City, 9506  
Tel/Fax Nos.: (083)228-6660 • (083)228-1421 • Email: dilg\_ro12@yahoo.com • Website: region12.dilg.gov.ph  
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 INTERNAL DOCUMENTS**


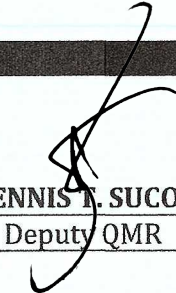
DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
HANDLING INCOMING AND OUTGOING COMMUNICATION/DOCUMENTS							
QP-RO12-FAD-01	Quality Procedure: Handling Incoming & Outgoing Communication/Documents	10.01.17					
QO-QP-R12-FAD-01	Quality Objective: Handling Incoming & Outgoing Communication/Documents	10.01.17					
QME-QP-R12-FAD-01	Quality Monitoring and Evaluation: Handling Incoming & Outgoing Communication/Documents	10.01.17					
FM-QP-R12-FAD-01-01	Process Summary Logsheets: Handling Incoming & Outgoing Communication/Documents	10.01.17					
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					



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Prepared by:	Noted by:
 <b>CATHERINE A. MACION</b> Regional Document Controller	 <b>DENNIS T. SUCOL</b> Deputy QMR





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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							

Prepared by:	Noted by:
 <b>CATHERINE A. MACION</b> Regional Document Controller	 <b>DENNIS S. SUCOL</b> Deputy QMR





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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



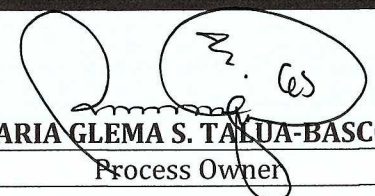
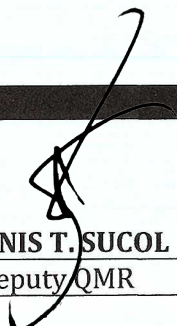




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Prepared by:	Noted by:
 <b>MARIA GLEMA S. TALUA-BASCOS</b> Process Owner	 <b>DENNIS T. SUCOL</b> Deputy QMR





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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 communication s/documents for processing and releassing		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 signatures	Delayed delivery due to delayed receipt	RO, automatic next in rank will sign the documents / communica tions												
			Delayed receipt/ release of communications/ documents	No alternate Incoming/ Outgoing clerk Div/Sec/Unit Absent of outgoing/incomi ng Clerk		Designate alternate												
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 info)			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 - Re			>40	HIGH	Significant	Control (e.g., Treat/Mitigate Transfer, Terminate)			1									
Risk Rating = Impact X Likelihood X Detection																		



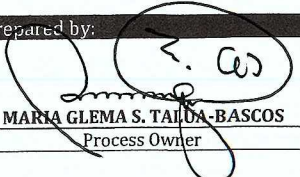
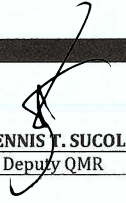


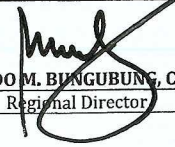




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Prepared by:	Reviewed by:	Recommending Approval:	Approved by:
 MARIA GLEMA S. TALUA-BASCOS Process Owner	 DENNIS T. SUCOL Deputy QMR	 IAN JON S. CLEMENTE Risk Review Committee Head	 LAILYN A. ORTIZ, CESE Regional QMR
			 REYNALDO M. BUNGUBUNG, CESO IV Regional Director





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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	NA
	Receiving clerk is	Sick	Delayed action of concerned Div/Sec/Unit	Designation of Alternate	3	3	3	27	L	NS	2	NA	NA	NA	NA	NA	
	Delayed routing	Voluminous docs		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	result in delayed action of concerned Division	Use back up ISP and Policy on releasing of communications/documents	3	3	3	27	L	NS	2	NA	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		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																	



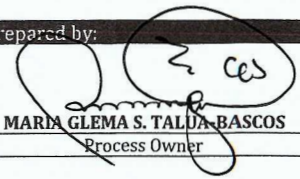
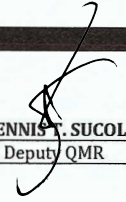
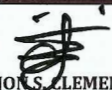
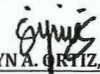
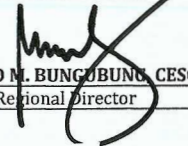




Republic of the Philippines  
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT  
REGION XII

Prime Regional Government Center, Carpenter Hill, Koronadal City, 9506  
Tel/Fax Nos.: (083) 228-6660 • (083) 228-1421 • Email: dilg\_ro12@yahoo.com • Website: region12.dilg.gov.ph  
ADMIN (083) 228-7960 • FINANCE (083) 228-7959 • LGMED (083) 877-2969 • LGCDD (083) 877 2971

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Prepared by:	Reviewed by:	Recommending Approval:	Approved by:
 MARIA GLEMA S. TALDA-BASCOS Process Owner	 DENNIS T. SUCOL Deputy QMR	 IAN JON S. CLEMENTE Risk Review Committee Head	 LAILYN A. ORTIZ, CESE Regional QMR
			 REYNALDO M. BUNGBUNG, CESO IV Regional Director

