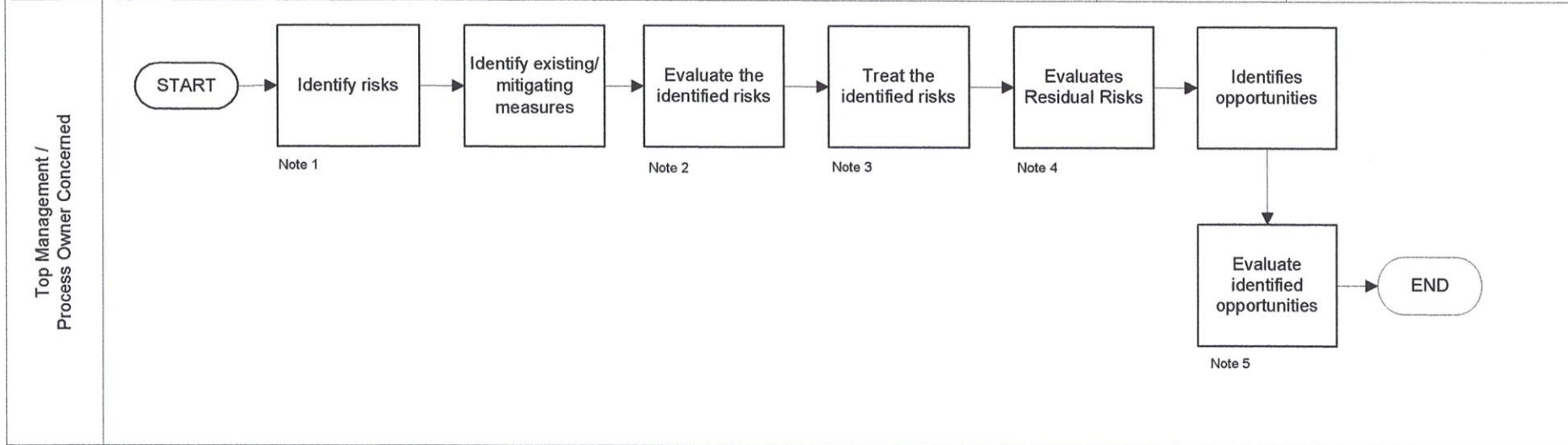




|                   |  |                 |                  |             |
|-------------------|--|-----------------|------------------|-------------|
| Process Title     | <b>Risk and Opportunity Assessment (ROA)</b>   | Document Number | DOJ-QM-PMS04-005 | Page 1 of 1 |
| Sub-Process Title | To define the process of risk and opportunities assessment and to mitigate identified risks, determine risk action plan to increase the likelihood of achieving objectives | Revision        | 2                |             |
| Objective         |  | Effective Date  | 02 SEP 2019      |             |



Forms

DOJ-QM-PMS04-005.F01 – Risk and Opportunity Assessment Form

DOJ-QM-PMS04-005.F02 – Risk Action Plan

**WORK INSTRUCTIONS**

**Note 1:**  
 1. Top Management and core process - shall identify risks by considering the internal and external issues, including the needs and expectations of the interested parties and nonconformity arising from the IQA.  
 2. Support Processes – shall identify risks by considering risks from quality and operational procedures and nonconformity arising from the IQA.

**Note 2:**  
 1. Identified risks shall be evaluated based on its impact/consequence and/or likelihood, as described in the Risk Rating Scale.  
 The Risk Rating Scale is composed of set of criteria ranging from daily, weekly, monthly, quarterly, semi-annual and annual type of work.  
 2. The impact/consequence and/or likelihood ratings are identified after considering the effectivity of existing controls/mitigating measures.  
 3. After evaluating the identified risks, it is necessary to present the evaluated risk from highest to lowest.  
 4. This process allows determination whether further Risk Action Plan is required to bring the identified risks to an acceptable level.

**Note 3:**  
 1. Should the existing controls/mitigating measures be found ineffective, the Risk Action Plan shall be identified as means to improve existing control.  
 Such action plan shall be applicable when risks reach a moderate or high level or when they reach a beyond tolerance level.  
 2. Low risk is considered as acceptable and tolerable, thus, Risk Action Plan is not necessary.

**Note 4:**  
 1. Identified residual risks shall be evaluated after 6 months upon implementation of the Risk Action Plan based on the efficiency and effectivity of the identified Plan.

**Note 5:**  
 1. Opportunity May be considered as the possible positive side if the identified risks happen/occur.  
 If an opportunity is identified, the same shall be evaluated after six (6) months of implementation to determine whether it still remains as an opportunity.

References

1. Risk Rating Scale

Prepared by:

**GRACE MAY A. VERGARA**  
 Chief, Management Division

Verified by/Reviewed by:

**MARIA LUISA DV. OLITOQUIT**  
 Director, Planning and Management Service

Approved by:

**ADONIS P. SULIT**  
 Assistant Secretary