



DILG REGION V
**QUALITY
PROCEDURE (QP)**

Document Code

QP-R05-ORD-01

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PROCEDURE TITLE	IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS
SCOPE	This process starts from receipt of the Memorandum for Implementation by the Regional Office up to the submission of the duly accomplished Compliance Report to the disciplining body or relevant authority.
PURPOSE	To clearly define the process of effective implementation of decisions/orders/resolutions in accordance with the directives of the disciplining body or relevant authority.

PROCESS DESCRIPTION

INPUT	PROCESS	OUTPUT
Central Office Memorandum for Implementation	IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS	Compliance Report Ombudsman/ Sandiganbayan, Central Office, Resident Ombudsman

DESCRIPTIVE STATEMENT:

A memorandum is received from Central Office directing the implementation of a decision/order/resolution of the Office of the Ombudsman, Sandiganbayan, Office of the President, COMELEC and other Judicial or Quasi Judicial Bodies. The Regional Director, with the assistance of the Regional Legal Officer (RLO), shall implement all the decisions/orders/resolutions regardless of the position of the respondent(s). The RLO shall coordinate with the Provincial Director concerned for proper action on the implementation of said memorandum. (RD/ARD/LO implements, depending on the urgency and as directed by the Central Office)

A compliance report shall be submitted by the Regional Office directly to the Office of the Ombudsman/Sandiganbayan or other concerned quasi judicial body, copy furnished Central Office.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Regional Records Officer (RRO)	Receive, record and route	Receive, record and route the Memorandum in accordance with the Records Management Procedure (RMP)	C.O. Memorandum with attachments
2	RD/ARD	Receive the Memorandum and provide instructions	Provide instructions and forward the same to the Legal Unit	C.O. Memorandum
3	Legal Assistant	Receive the C.O. memorandum with instructions	Receive and Record in accordance with the RMP Forward to the Regional Legal Officer for action.	C.O. Memorandum Legal Incoming Logbook Implementation of DOR PSL

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
4	Regional Legal Officer (RLO)	Prepare Memoranda for Implementation	Prepare a draft Memorandum to the Provincial Director to cause the Implementation or assist in the Implementation of the Decision/ Resolution/ Order. Forward draft memo to ARD/RD for appropriate action.	C.O. Memorandum with attachments R.O. Memorandum
5	RD/ARD	Review and Approve the memorandum	Review the draft Memo. If acceptable, approves by affixing his signature. Otherwise, returns the draft to the Legal Unit for revision.	C.O. Memorandum with attachments R.O. Memorandum
6	Legal Assistant	Record and reproduce the documents	Record the signed Memoranda in the Logsheet and Legal Outgoing Logbook Photocopy documents for releasing and filing Forward to RRO for releasing in accordance with the RMP	C.O. and R.O. Memoranda with attachments Legal Outgoing Logbook Implementation of DOR PSL
7	Regional Records Officer (RRO)	Record and release	Release the approved Regional Memorandum with attachments in accordance with the RMP	Approved Memorandum for Implementation
8	Provincial Records Officer	Receive the R.O. Memorandum with attachments	Receive and record the documents in accordance with the RMP	R.O. Memorandum with attachments
9	Provincial Director (PD)	Implementation of the Decision/ Order/ Resolution	Prepare the necessary documents Coordinate with the concerned public officials for the implementation of the decision/order Prepare Compliance Report and/or Certification using the prescribed form, assisted by the Program Manager/ Cluster Head and	C.O. and R.O. Memoranda with attachments Acknowledgment receipts Certifications from the concerned LGU officers Compliance

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			submit the documents to the Regional Office	Report
10	Provincial Records Officer	Log and release the documents for submission to R.O.	Log the compliance report with attachments and transmit to R.O.	Compliance Report and its attachments Logbook for Outgoing Communications
11	Regional Records Officer (RRO)	Receive, record and route	Receive, record and route Compliance Report in accordance with RMP to RD/ARD	Compliance Report and its attachments
12	RD/ARD	Receive Compliance Report and provide instructions	Provide instructions and forward the documents to the Legal Unit	Compliance Report and its attachments
13	Legal Assistant	Receive and record the Compliance Report with attachments	Receive and record in accordance with the RMP Forward to the Regional Legal Officer for action.	Compliance Report and its attachments Legal Incoming Logbook Implementation of DOR PSL
14	Regional Legal Officer (RLO)	Evaluate and prepare endorsement to the concerned disciplining body or relevant authority	Evaluate the completeness and correctness of the Compliance Report, and its attachments Prepare cover letter addressed to the concerned disciplining body or relevant authority, copy furnished C.O. Forward to office of RD/ARD for review and approval	Compliance Report and its attachments Cover Letter
15	RD/ARD	Review and Approve the memorandum	Review the draft Cover Letter. If acceptable, approves by affixing his signature. Otherwise, returns the draft to the Legal Unit for revision.	Compliance Report and its attachments Cover Letter
16	Legal Assistant	Record and reproduce the documents	Record the signed Cover Letter in the Logsheet and Outgoing Logbook Photocopy documents for releasing and filing	Compliance Report and its attachments Cover Letter

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**QUALITY
PROCEDURE (QP)**

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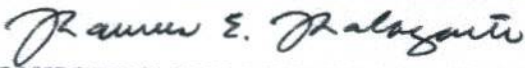
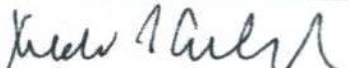
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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Forward to RRO for releasing in accordance with the RMP	Legal Outgoing Logbook Implementation of DOR PSL
17	Regional Records Officer (RRO)	Record and release	Record and release the approved Cover Letter, with attachments, in accordance with the RMP	Compliance Report and its attachments Cover Letter Regional Records Management Procedure
18	Regional Records Officer (RRO)	Retain documented information	Retain records in accordance with the Control of Retained Documented Information procedure and the Master List of Retained Documented Information	Implementation of DOR PSL Control of Retained Documented Information Master List of Retained Documented Information

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Process Owner	Regional QMR

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DILG REGION V
QUALITY
OBJECTIVE (QO)

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OFFICE	OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT
QUALITY PROCEDURE TITLE	IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
Implement Decisions, Orders or Resolutions (DOR) issued by disciplining body or relevant authority	1) Decisions, Orders or Resolutions implemented within the period prescribed by disciplining body or relevant authority	90%	No. of DOR implemented within the prescribed period /No. Of DOR received for implementation x 100	Quarterly	Regional Director Legal Officer QMS Secretariat	Summary Log Sheet (FM-QP-R05-ORD-01-01);





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Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
	2) Compliance Reports transmitted to disciplining body or relevant authority within 3 working days upon receipt	90%	No. of Compliance Report transmitted within 3 working days upon receipt/Total No. of Compliance Reports received x 100	Quarterly	Regional Director Legal Officer QMS Secretariat	Summary Log Sheet (FM-QP-R05-ORD-01-01); Compliance Report

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Process Owner	Regional QMR





DILG REGION V

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

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OFFICE	OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT																																																																																																																																																																					
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OBJECTIVE STATEMENT	1. 90% of the Decisions, Orders or Resolutions (DOR) are implemented within the period prescribed by competent authority 2. 90% of the Compliance Reports transmitted to disciplining body or relevant authority within 3 working days upon receipt																																																																																																																																																																					
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<table border="1"> <thead> <tr> <th>INDICATORS</th><th>Jan</th><th>Feb</th><th>Mar</th><th>Apr</th><th>May</th><th>June</th><th>July</th><th>Aug</th><th>Sep</th><th>Oct</th><th>Nov</th><th>Dec</th><th>Total</th></tr> </thead> <tbody> <tr> <td colspan="14">Objective 1: 90% of the Decisions, Orders or Resolutions (DOR) are implemented within the period prescribed by competent authority</td></tr> <tr> <td>A No. of DOR implemented within the prescribed period</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>B No. of DOR received for Implementation</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>C Formula: $A/B \times 100$ Target Result : 90%</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>D Gap Analysis: (In case the objective is not met, put your analysis why it is not met)</td><td colspan="13" rowspan="2"></td></tr> <tr> <td colspan="14">Objective 2: 90% of the Compliance Reports are transmitted to disciplining body or relevant authority within 3 working days upon receipt</td></tr> <tr> <td>A No. of Compliance Reports transmitted within 3 WD</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>B No. of Compliance Reports received</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>C Formula: $A/B \times 100$ Target Result : 90%</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr> <tr> <td>D Gap Analysis: (In case the objective is not met, put your analysis why it is not met)</td><td colspan="13" rowspan="2"></td></tr> </tbody> </table>													INDICATORS	Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	Oct	Nov	Dec	Total	Objective 1: 90% of the Decisions, Orders or Resolutions (DOR) are implemented within the period prescribed by competent authority														A No. of DOR implemented within the prescribed period														B No. of DOR received for Implementation														C Formula: $A/B \times 100$ Target Result : 90%														D Gap Analysis: (In case the objective is not met, put your analysis why it is not met)														Objective 2: 90% of the Compliance Reports are transmitted to disciplining body or relevant authority within 3 working days upon receipt														A No. of Compliance Reports transmitted within 3 WD														B No. of Compliance Reports received														C Formula: $A/B \times 100$ Target Result : 90%														D Gap Analysis: (In case the objective is not met, put your analysis why it is not met)													
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Note: For unmet targets, QMS Secretariat will initiate correction and corrective action using the Corrective Action Report (CAR) duly signed by the Regional Quality Management Representative.																																																																																																																																																																						

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 MAUREEN E. MALAZARTE, CPA, MBA, LLB Accountant II	 ATTY. ARNALDO E. ESCOBAR JR., CESO V Assistant Regional Director
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Total
Result = Met/ TQP - NPY
No. of QP for the quarter

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Name of Division: OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT

MASTER LIST OF MAINTAINED INTERNAL DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS							
QP-RO5-ORD-01	Implementation of Judicial or Quasi-Judicial Decisions, Orders and Resolutions Quality Procedure	07.01.19					
QO-QP-RO5-ORD-01	Implementation of Judicial or Quasi-Judicial Decisions, Orders and Resolutions Quality Objective	07.01.19					
QME-QP-RO5-ORD-01	Implementation of Judicial or Quasi-Judicial Decisions, Orders and Resolutions Process Quality Monitoring and Evaluation	07.01.19					
RRO-QP-RO5-ORD-01	Implementation of Judicial or Quasi-Judicial Decisions, Orders and Resolutions Risk Register Objective	07.01.19					
RRP-QP-RO5-ORD-01	Implementation of Judicial or Quasi-Judicial Decisions, Orders and Resolutions Risk Register Process	07.01.19					
RCP-QP-RO5-ORD-01	Implementation of Judicial or Quasi-Judicial Decisions, Orders and Resolutions Risk Control Plan and Monitoring Report	07.01.19					
FM-QP-RO5-ORD-01-01	Implementation of Decisions, Orders and Resolutions Summary Logsheet	07.01.19					

Prepared By:

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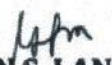
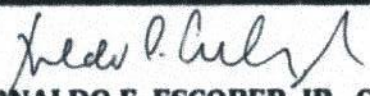
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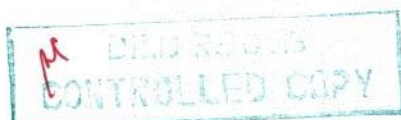
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MASTER LIST OF MAINTAINED EXTERNAL DOCUMENTED INFORMATION

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IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS							
DILG Memorandum Circular	Implementation of Decisions or Preventive Suspension Orders of Local Sanggunians in the Exercise of their Quasi-Judicial Functions	03.14.12					
DILG Memorandum Circular 2012-009	Guidelines on the Mode of Service of Decisions, Resolutions or Orders Received by the Department for Implementation	01.12.12					
Ombudsman Memorandum Circular No. 01 Series of 2006	Executory Nature of Ombudsman Decisions	04.11.06					

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MASTER LIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS									
FM-QP-R05-ORD-01-01	Implementation of Decisions, Orders and Resolutions Summary Logsheet	Process Owner	QMS Shelf 6	Implementation of DOR - SL	Chronological	Permanent			
	Case Title	Process Owner	QMS Shelf 1	Case Folder	By Province/ Per Case/ Chronological	3 years	3 years	6 years	Shedding
QME-QP-R05-ORD-01	Implementation of Judicial or Quasi-Judicial Decisions, Orders and Resolutions Process Quality Monitoring and Evaluation	Process Owner	QMS Shelf 6	Implementation of DOR - QME	Chronological	Permanent			
RRO-QP-R05-ORD-01	Implementation of Judicial or Quasi-Judicial Decisions, Orders and Resolutions Risk Register Objective	Process Owner	QMS Shelf 6	Implementation of DOR - RRO	Chronological	Permanent			
RRP-QP-R05-ORD-01	Implementation of Judicial or Quasi-Judicial Decisions, Orders and Resolutions Risk Register Process	Process Owner	QMS Shelf 6	Implementation of DOR - RRP	Chronological	Permanent			

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DILG REGION V
RISK REGISTER (PROCESS RISK ASSESSMENT)

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OFFICE **OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT**
PROCEDURE TITLE **IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS**

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Receive, record and route the Memoranda from Central Office for Implementation	Delay in routing the Memoranda	Regional Records Officer (RRO) is on Official Travel or on Leave; Simultaneous office activities/ programs	Delay in receiving the Memoranda	Scheduling of Activities and Leaves	3	3	9	NS	Alert	
Receive the Memorandum and provide instructions	Delayed referral to Legal Unit	Non availability of the RD/ARD due to multiple functions: no designated officer in charge	Delayed implementation of the Decision, Order or Resolution (DOR);	Designate Officer-In-charge, in case of absence of RD/ARD.	4	5	20	S	Control (Avoid)	RCP
Receive C.O. Memo with instructions	Delay in receiving the Memoranda	Simultaneous office activities/ programs	Delay in receiving the Memoranda	Scheduling of Activities	3	3	9	NS	Alert	
Prepare Memoranda for Implementation	Delay in the preparation of memorandum	Non availability of the Reg'l Legal Officer (RLO) due to multiple functions	Delayed issuance and implementation of DOR	Scheduling of Activities	4	2	8	NS	Alert	
Review and Approve the memorandum	Delay in the approval of appropriate memorandum	Non availability of the RD/ARD due to multiple functions: no designated officer in charge	Delayed issuance and implementation of DOR	Delegate preparation of draft memo to Legal Unit Staff	4	5	20	S	Control (Avoid)	RCP
Record and reproduce the documents	Delay in the reproduction of the documents	Simultaneous office activities/ programs	Delayed issuance and implementation of DOR	Scheduling of Activities	3	3	9	NS	Alert	

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RISK REGISTER (PROCESS RISK ASSESSMENT)

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ROCEDURE TITLE **IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS**

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Record and release the Memoranda for Implementation	Delay in the release of the documents	Simultaneous office activities/ programs	Delayed implementation of DOR	Scheduling of Activities	3	3	9	NS	Alert	
Receive the R.O. Memorandum with attachments	Delay in receiving the Memorandum	Provincial Records Officer is on Official Travel or on Leave; Simultaneous office activities/ programs	Delayed implementation of DOR	Scheduling of Activities and Leaves	3	3	9	NS	Alert	
Implementation of the DOR	Delay or non-implementation of DOR	Lack of personnel to implement / assist in the implementation of the decision; weather disturbances, geographical location of the respondent, political climate in the area which may jeopardize the life of the personnel	Delay or Non-implementation of the DOR; Voluntary service of the DOR by concerned respondents	Delegate implementation to PD/PM/CH; Pre-implementation research and ground work; existing protocols prior and	4	2	8	NS	Alert	



DILG REGION V

RISK REGISTER (PROCESS RISK ASSESSMENT)

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OFFICE

OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT

PROCEDURE TITLE

IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Log and release the documents for submission to R.O.	Delay in the submission of Compliance Report to RO	Unfavorable weather condition; Lack of couriers	Delayed preparation and release of Compliance reports	Use of internet in sending authentic electronic copies of the compliance reports and other supporting documents	4	2	8	NS	Alert	
Receive, record and route	Delay in receiving the Compliance Report	Regional Records Officer (RRO) is on Official Travel or on Leave Simultaneous office activities/ programs	Delay in receiving the Compliance Report	Scheduling of Activities and Leaves	3	3	9	NS	Alert	
Receive Compliance Report and provide instructions	Delayed referral to Legal Unit	Non availability of the RD/ARD due to multiple functions: no designated officer in charge	Delayed submission of Compliance Report	Designate Officer-In-charge, in case of absence of RD/ARD.	4	5	20	S	Control (Avoid)	RCP
Receive and record the Compliance Report with attachments	Delay in receiving the Compliance Report with instructions	Simultaneous office activities/ programs	Delay in receiving the Memoranda	Scheduling of Activities	3	3	9	NS	Alert	

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RISK REGISTER (PROCESS RISK ASSESSMENT)

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OFFICE **OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT**
PROCEDURE TITLE **IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS**

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Evaluate and prepare endorsement to the concerned disciplining body or relevant authority	Delayed submission of Compliance Report	Incomplete data or attachment/required format Non availability of the Regional Legal Officer (RLO) due to multiple functions	Delayed submission of Compliance Report; Incomplete documents submitted	Immediately confer with PD/PM/CH on the discrepancies	4	2	8	NS	Alert	
Record and release	Delayed submission of Compliance Report	Regional Records Officer (RRO) is on Official Travel or on Leave Simultaneous office activities/ programs	Delayed submission of Compliance Report	Scheduling of Activities and Leaves	3	3	9	NS	Alert	
Retain documented information	Unable to retain documented information	Weather disturbances	Lost documented information	On-line back up of files	3	2	6	NS	No action required	

RISK ASSESSMENT:	RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1 - 7	LOW	Not Significant	No further action required (Maintain and sustain the existing control)
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain	8 - 9	MODERATE	Not Significant	Alert level (Maintain and sustain the existing control)
Risk Rating = Impact x Likelihood	10 - 25	HIGH	Significant	Control (e.g. Avoid or Treat/Mitigate, Transfer, Terminate)

Prepared by:	Reviewed and Noted by:
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DILG REGION V
RISK REGISTER (OBJECTIVE RISK ASSESSMENT)

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OFFICE
PROCEDURE TITLE

OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT
IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES (refer to IP Matrix for Requirements)	POTENTIAL RISK or OPPORTUNITY	RISK TRIGGER (N/A FOR OPPORTUNITY)	CONSEQUENCE (RISK) / BENEFIT (OPPORTUNITY)	EXISTING RISK CONTROL MEASURE (N/A FOR OPPORTUNITY)	RISK ASSESSMENT					
							IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN / OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
90% of all Decisions, Orders or Resolutions (DOR) have been implemented within the period prescribed by disciplining body or relevant authority	Bulk of decisions to be implemented may be too many for one period such that the implementing agency may have difficulty implementing them within the period prescribed	Client/ Disciplining body or authority	Delayed or failure to implement DOR	Non-availability of implementing officer	Possible Administrative Case for non-compliance of implementing office	Delegation of authority to PD/PM/CH; coordinate with C/MLGOOs in cases involving barangay officials	4	2	8	NS	Alert	
	Lack of personnel to implement			Voluminous decisions for implementation								
				Political situation								
90% of all Compliance Reports were transmitted to disciplining body or relevant authority within 3 working days upon receipt	Logistical reasons (snail mail or physical transfer of the files consume a lot of time considering that there are island provinces)	Client/ Disciplining body or authority	Delayed preparation and submission of Compliance Report	Non-availability of couriers	Possible Administrative Case for non-compliance of implementing office	Submission of authentic Compliance Report and supporting documents	4	2	8	NS	Alert	
				Weather condition (gail/storm warning)								
				No internet in some areas								

RISK ASSESSMENT:	RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1 - 7	LOW	Not Significant (NS)	No further action required (Maintain and sustain the existing control)
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain	8 - 9	MODERATE	Not Significant (NS)	Alert level (Maintain and sustain the existing control)
Risk/Opportunity Rating = Impact X Likelihood	10 - 25	HIGH	Significant (S)	Control (e.g. Avoid or Treat/ Mitigate, Transfer, Terminate)

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DILG REGION V
RISK CONTROL PLAN AND MONITORING REPORT

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OFFICE : **OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT**
 PROCEDURE TITLE : **IMPLEMENTATION OF JUDICIAL OR QUASI-JUDICIAL DECISIONS, ORDERS AND RESOLUTIONS**
 DATE PREPARED : **JULY 1, 2019**

RCP NO. **RCP-QP-R05-ORD-01-01**

POTENTIAL RISK	RISK CONTROL PLAN						MONITORING		
	TYPE OF ACTION (Avoid, Treat/ Mitigate Transfer, Terminate)	ACTIVITY/ ACTION	RESPONSIBLE PERSONNEL	TIMELINE		RESOURCES NEEDED	DATE MONITORED	REMARKS (Status, Constraints, Other Actions Taken, if any)	BY
				START DATE	COMPLETION DATE				
Delayed referral to Legal Unit	Avoid	Issuance of Regional Order designating Officer-in-Charge in case of absence of RD/ARD	ORD/HR	4th quarter of 2019	4th quarter of 2019	Manpower			
Delay in the approval of appropriate memorandum	Avoid	Issuance of Regional Order designating Officer-in-Charge in case of absence of RD/ARD	ORD/HR	4th quarter of 2019	4th quarter of 2019	Manpower			

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