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| F2 LOGISTICS LET'S MOVE. NOW. | **Quality Assurance - PRAM**<br>Process Risk Assessment Matrix | | **Document Number:**<br>PR-SS-11.01 |
| | **Department:**<br>Quality Assurance | **Effective Date:**<br>January 17, 2022 | **Revision No**<br>5 |

**Legend:**

| **Probability of Occurrence** | | **Average No. of Transactions/Cases per month** |
|---|---|---|
| High | Almost certain will occur | 7 & above |
| Medium | Occur at some time | 4 – 6 |
| Low | Remote Possibility | 0 – 3 |

| **Severity of Risk** | |
|---|---|
| Critical | Will greatly affect stakeholders satisfaction |
| Non- critical | Less effect on stakeholder satisfaction |

| PROCESS RISK ASSESSMENT MATRIX | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| **Key Process/ 2Ps or Guidelines title** | **Risk (Potential Problem that may occur)** | **Most Likely Cause** | **Probability of Occurrence** | **Severity of Risk** | **Action Plan to Prevent Occurrence/ Operational Control** | **Support Documentation/ Record Used** | **Action Plan to Prevent Reccurence/ Contingent Action** | **Support Documentation/ Record Used** |
| **Documentation Procedure** | Amendment in effectivity date in the documents | Delay approval of authorized signatories | Low | Non-critical | Change effective date as uploading date | Document Control Log | Re- cascade of 2Ps (Documentation Procedure) to concerned employees<br><br>Remind authorized signatories that they have documents for approval | Emails/Viber/SMS |
| | | Changes in content (new and revised) | Low | Critical | Revise the document as soon as possible to ensure that the given leadtime will follows | Document Control Log<br><br>Control Form | Prior routing and approval, QA In-charge shall ensure that the documents is pre- approved by authorized signatories to ensure that the given leadtime will follows | Emails/Viber/SMS and/or Pre- approved documents |
| | Uncontrolled Forms and Templates and other quality documents | QAD was not informed by Process Owner on the use of uncontrolled Forms and Templates and other quality documents | Low | Critical | Records Coordinator/ Document Owner per department to advise QAD of the new or revision of quality documents | Email<br>Control Form for Revision | Consider in the Internal Quality Audit | IQA Result |

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| Internal Quality Audit | Unconducted Audits | Unavailability of Auditee and IQA Members due to conflict in schedule | Low | Critical | Advise IQA members and Auditee on the re-schedule of Audit | Email/Viber | Prepare Audit Plan for the year and inform auditees and auditors for their confirmation | Email/Viber |
| | | Unavailability of Auditee and IQA Members due to pandemic/work rotation schedule | Low | Critical | Conduct virtual audit based on work rotation schedule | Email/Viber/Calendar of Activities | Adapt in the new normal and conduct virtual audits and include in the Calendar of Activities<br><br>Update the 2Ps to include virtual audit | Email/Viber/Calendar of Activities/ 2Ps |
| | | No Personnel (Auditor or Auditee) due to involvement in special projects | Low | Critical | Advise auditee of unavailability of assigned auditor and look for replacement of assigned auditor | Email/Viber | Ensure availability of back up personnel (Auditor or Auditee) | List of IQA auditor and back up list |
| | Delay in the conduct of Audit | Unavailability of Auditee and IQA Members | Low | Critical | Advise IQA members and Auditee on the re-schedule of Audit | Email/Viber | Constant reminder through SMS or emails to the Auditee/Auditor for the schedule of Audit | Emails/Viber/SMS |
| | | Unavailability of IQA Members due to pandemic/work rotation | Medium | Critical | Conduct virtual audit/actual and or based on work rotation schedule | Email | Adapt in the new normal and conduct virtual/remote audits and include in the Calendar of Activities<br><br>Update the 2Ps to include virtual audit | Email/Viber/Calendar of Activities/ 2Ps |
| | Delay in the closure of Audit Findings | Moving commitment dates of Auditee to close Audit findings | Medium | Critical | Seek approval of the CFO or President on the new timeline (beyond 30 days) | NCAR Form | Re-enforce IQA 2Ps through constant reminders on commitment dates and through follow ups | Emails/Viber/SMS |

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| **Records Management** | Misfiled/ Loss/ Retrieval Difficulty | No Record Retention Schedule Implemented | Low | Critical | Organize files and labels | Records Retention Schedule (RRS) | Create RRS and Follow the schedule for records and update the RRS if needed<br><br>Implement Central Back up of Files | Records Retention Schedule (RRS)<br><br>Back up Files |
| | Premature Destruction | | Low | Critical | Organize files and labels | Records Retention Schedule (RRS) | Create RRS and Follow the schedule for records and update the RRS if needed | Records Retention Schedule (RRS) |
| | Threat to Information Security | | Low | Critical | Organize files and labels/ Create password for laptop and computers<br><br>Lock filing cabinets | Records Retention Schedule (RRS) | Create RRS and Follow the schedule for records and update the RRS if needed | Records Retention Schedule (RRS) |
| | Access to confidential Records | | Low | Critical | Organize files and labels/ Create password for laptop and computers<br><br>Lock filing cabinets | Records Retention Schedule (RRS) | Create RRS and Follow the schedule for records and update the RRS if needed | Records Retention Schedule (RRS) |
| | Premature Destruction due to pests (termites, rats, etc.) | No proper storage of documents | Low | Critical | Secure documents in safe storage (e.g. Steel Cabinet) | Records Retention Schedule (RRS) | Monthly pest control through MMD<br><br>Scanning of approved documents | Service Report on pest control<br><br>Scanned documents |

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| Management Review | Delayed in the conduct of Management Review | Availability of the attendees | Low | Critical | Advise involve personnel on the management review schedule | Email/ Calendar of Activities | Prepare calendar of activities for the year and inform involve personnel for their confirmation | Email/Viber/Calendar of Activities |
| | | Unavailability of attendees due to pandemic/work rotation | Low | Critical | Conduct virtual Management Review based on work rotation schedule | Email /QM (Quality Manual) | Adapt in the new normal and conduct virtual Management Review and include in the Calendar of Activies | Email/Viber/Calendar of Activities/Quality Manual (QM) |
| | | Incomplete data/information to be discussed in the Management Review | Low | Critical | Prepare calendar of activities for the year and inform involve personnel for their confirmation | Email/ Calendar of Activities | Advise involve personnel on the management review schedule and advise ahead of time what will be the data/information to be discussed in the Management Review | Email/Viber/Calendar of Activities |
| | | Late submission of reports for management review | Low | Critical | Prepare calendar of activities for the year and inform involve personnel for their confirmation | Email/ Calendar of Activities | Advise involve personnel on the management review schedule and advise ahead of time what will be the data/information to be discussed in the Management Review | Email/ /Viber/Calendar of Activities |
| | No Minutes of Meeting (MOM) | No assigned person to take minutes | Low | Critical | Assign QA in charge to take the minutes | Email | Send the MOM immediately to the concerned personnel | Email |
| | No updates on the deliverables in the Minutes of Meeting (MOM) | Not able to cascade the MOM through emai | Low | Critical | Schedule follow up of minutes and conduct minutes review through email | Email | Send follow up through email to the involve personnel | Email |
| Usage of Certification Marks | Mis- used of Certification Marks | Employee not aware in the documented Process | Low | Critical | To include in the Job Induction of Employees regarding on the Policy and Procedure of Usage of Accreditation Mark | 2Ps | Pull out the materials that bears accreditation marks without approval<br><br>QAD Issuance of NCAR | NCAR |

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