	<b>Quality Assurance - PRAM</b> <b>Process Risk Assessment Matrix</b>		<b>Document Number:</b>  PR-SS-11.01
	<b>Department:</b> Quality Assurance	<b>Effective Date:</b> August 13, 2025	<b>Revision No</b> 6

**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 Recurrence/ 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  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  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 Control Form for Revision	Consider in the Internal Quality Audit	IQA Result

**DDC: This Document is already Approved and Posted on Intranet.**

*Please refer to printed files for signatures of approvers.*

**Any printed and saved copy of this document is considered uncontrolled**


	<h1>Quality Assurance - PRAM</h1> <h2>Process Risk Assessment Matrix</h2>		Document Number:  PR-SS-11.01
	Department: Quality Assurance	Effective Date: August 13, 2025	Revision No 6

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 Recurrence/ Contingent Action	Support Documentation/ Record Used
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 <b>Unwanted events</b>	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  Update the 2Ps to include virtual audit	Email/Viber/Calendar of Activities/ 2Ps
		No Personnel (Auditor or Auditee) due to involvement in special projects <b>or due to lacking of personnel</b>	Medium	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)  <b>Regular training for Certified IQA</b>	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 <b>Unwanted events</b>	Low	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  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
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  Implement Central Back up of Files	Records Retention Schedule (RRS)  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  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)

**DDC: This Document is already Approved and Posted on Intranet.**

*Please refer to printed files for signatures of approvers.*

**Any printed and saved copy of this document is considered uncontrolled**

	<b>Quality Assurance - PRAM</b> <b>Process Risk Assessment Matrix</b>		<b>Document Number:</b>  PR-SS-11.01
	<b>Department:</b> Quality Assurance	<b>Effective Date:</b> August 13, 2025	<b>Revision No</b> 6

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 Recurrence/ Contingent Action	Support Documentation/ Record Used
<b>Records Management</b>	Access to confidential Records	No Record Retention Schedule Implemented	Low	Critical	Organize files and labels/ Create password for laptop and computers  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  Scanning of approved documents	Service Report on pest control  Scanned documents
<b>Management Review</b>	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 Activities	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 email	Low	Critical	Schedule follow up of minutes and conduct minutes review through email	Email	Send follow up through email to the involve personnel	Email
<b>Usage of Certification Marks</b>	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  QAD Issuance of NCAR	NCAR

**DDC: This Document is already Approved and Posted on Intranet.**

*Please refer to printed files for signatures of approvers.*

**Any printed and saved copy of this document is considered uncontrolled**