



**MEMORANDUM**

**TO :** ALL QUALITY MANAGEMENT REPRESENTATIVES  
ALL DEPUTY QMR/QMS FOCAL PERSONS  
Regional and Field Offices (PENROs and CENROs)

**FROM :** THE REGIONAL EXECUTIVE DIRECTOR

**SUBJECT :** PLANNING TO ADDRESS RISK AND OPPORTUNITIES IN  
RELATION TO THE IMPLEMENTATION OF THE DENR  
QUALITY MANAGEMENT SYSTEM

**DATE :** JUN 29 2022

This is to furnish you a copy of the undated memorandum of the Undersecretary and Overall Quality Management Representative on the above-captioned subject.


In the said memorandum, Undersecretary Ernesto D. Adobo, Jr. called on all offices to:

- 1) Take special attention to Clauses No. 6.1.1 and 6.1.2 and ensure compliance to their requirements as these are the Clauses the DENR had non-conformity during the last external audit done on 1-12 April 2022;
- 2) Use the ROAAP as the main tool in the analysis of processes;
- 3) Prepare and/or update respective ROAAPs using Form No. CO-QMS.FO.002; and
- 4) Evaluate all ROAAPs by the Internal Quality Auditors (IQA) as part of the internal audit and will be included as documented information to support Clauses No. 6.1.1 and 6.1.2.

Anent the above, you are hereby instructed to immediately implement/carryout the instructions of Undersecretary Adobo, and submit a report of your compliance. Deadline for the submission of the subject report will be cascaded after the conduct of the QMS Strategic Workshop, which will be held on 22-25 June 2022.

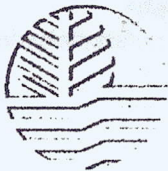
For strict compliance.

  
**LORMELYN E. CLAUDIO, CESO IV**

 Department of Environment  
and Natural Resources  
MIMAROPA Region



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**MEMORANDUM**

JUN 10 2022

**FOR/TO :** All Offices of the Undersecretaries and Assistant Secretaries  
All Service Directors  
All Division Chiefs  
DENR Central Office  
  
The Executive Directors  
Manila Bay Coordinating Office  
River Basin Coordinating Office  
  
All Staff Bureau Directors  
All Regional Executive Directors

**FROM :** The Undersecretary  
and Overall Quality Management Representative

**SUBJECT :** **PLANNING TO ADDRESS RISK AND OPPORTUNITIES  
IN RELATION TO THE IMPLEMENTATION OF THE  
DENR QUALITY MANAGEMENT SYSTEM**

This is with reference to ISO 9001:2015, particularly Clause No. 6.1.1 and 6.1.2 in which the DENR had a non-conformity during the last external audit performed by the SOCOTEC Certification Philippines last April 1-12, 2022.

In this regard, all Offices covered by the DENR QMS should refer to the requirement of the above clauses in relation to your planning and implementation of the different processes of your respective offices. The Risk/Opportunities Analysis and Action Planning (ROAAP) (Form No. CO-QMS.FO.002) will be used as the main tool to be used in the analysis of the processes. All offices are required to prepare and/or update their ROAAPs. The respective Internal Quality Auditors (IQA) shall evaluate all ROAAPs as part of the internal audit and will be included as documented information to support Clauses 6.1.1 and 6.1.2.

The sampled offices where the non-conformity were found are likewise required to evaluate and update their respective ROAAPs as part of their corrective actions to be furnished the QMR through the Secretariat.

For information and compliance.

ATTY. ERNESTO D. ADOBO, JR., CESO I

encls.: ROAAP Form CO-QMS.FO.002  
ROAAP Procedure





Department of Environment and Natural Resources  
**Risk/Opportunities Analysis and Actions Plan**

Document ID	
Revision No.	
Date Issued	
Page No.	1

Originator:	Reviewed by:	Approved by:
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Risks/Opportunities Analysis and Actions Planning									
Assessment Team:			Last Analysis Date:		Last Evaluation Date:				
Process:			Process Owner:						
Interested Parties – Needs and Expectations:			(±) Internal and External Issues:						
•			• (-) • (-) • (+) • (+)						
Planned Results (Expected Output, MFO)	Analysis			Actions Planning				Evaluation of Effectiveness	
	Risk	Existing Controls	Opportunity	Recommended Additional Control	Responsible and Target Date	Action Taken and Date Completed	Planned Result Achieved ? Y/N	Planned Activity Realized? Y/N	

Prepared by:

Reviewed by:

Approved by:

### DOCUMENT REVIEW AND APPROVAL REQUEST

From:

**QMS CORE TEAM**

Date:

**JUN 10 2022**

Reason for the request:

☒

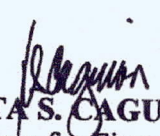
Creation



Revision

Original documentation of the procedure on the Preparation of Risks/Opportunity Analysis and Actions Planning

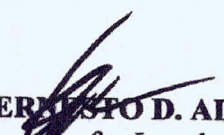
Reviewed By:

  
**ENGR. NONITA S. CAGUIWA**  
Assistant Secretary for Finance, Information  
Systems and Mining Concerns and Deputy  
Quality Management Representative

Date Reviewed:

**JUN 10 2022**

Approved By:

  
**ATTY. ERNESTO D. ADOBO, JR.**  
Undersecretary for Legal, Administration,  
Human Resource, Legislative Affairs, and  
Overall Quality Management Representative


Date Approved:

**JUN 10 2022**

Check the Master Document Register.  
Verify that this is the current version before use.

Documents that do not bear the DENR's official document  
stamps are considered "Uncontrolled"



	Department of Environment and Natural Resources <b>Procedure on the Preparation of Risks/Opportunity Analysis and Actions Planning</b>	Document ID	CO-QMS.PR.005
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		Date Issued	<b>MUN 10 2022</b>
		Page No.	
Originator: <b>QMS Core Team</b>		Reviewed by: <b>Deputy QMR</b>	Approved by: <b>Overall QMR</b>

### **I. Purpose**

This procedure intends to define requirements needed to analyze a process, its planned result and identify risks that can result to uncertainty of objectives and ensure that documents needed for effective operation of DENR's processes are available and suitable for use, where and when it is needed.

### **II. Expected Outputs**

By implementing the requirements defined in this procedure, the following specific outputs are expected:

- 2.1 Analysis of the processes and its context, its planned result and the risks that can result to uncertainty of objectives;
- 2.2 Identify the existing controls intended to regulate or prevent the risks, and opportunities to enhance the achievement of the planned result and the evaluate their effectiveness
- 2.3 By addressing the risks, prevent the occurrence of non-conformity and non-conforming outputs, and achieve quality objectives represented by the Planned results of the process
- 2.4 Prepare the Risk, Opportunity Analysis and Action Planning (ROAAP) for the different processes of the DENR

### **III. Scope**


The requirement and controls specified in this procedure apply to the analysis of processes and preparation of the ROAAP as a tool for the assessment and evaluation of risks, opportunities and action planning to enhance achievement of objectives.

### **IV. Definition of Terms**

The following terms are defined as used in this process:

#### **Action Planning**

- Action Planning sets the requirements to effectively implement the actions to be undertaken to further improve existing controls and address risks related to implementation of opportunities.

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#### **Additional Control**

- Additional controls are enhancement of existing controls and/or to establish controls required to implement an opportunity. Additional controls should be concrete and verifiable.

#### **Assessment/Analysis**

- Refers to the identification, assessment and analysis of risks, their causes and effects on achieving the planned results of the process and determining whether the existing controls are acceptable for the level of the risks. Assessment should also determine the opportunities.

#### **Controls**

- A control is any measure or action that modifies or regulates risk. Controls include any policy, procedure, practice, process, technology, technique, method, or device that modifies or regulates risk. Risk treatments become controls, or modify existing controls, once they are implemented.

#### **Existing Controls**

- Actions or "controls" being implemented to prevent, mitigate, correct, contain and detect the risk and/or its effect and ensure achievement of planned result (conforming output) and planned activities (conformity).

#### **Internal Issues and external Issues**

- Issues that are relevant to the purpose and strategic direction of the DENR and that affect its ability to achieve the intended result/s of its QMS.

#### **Interested Parties**

- These are either internal or external stakeholders that are relevant to and has requirements that are relevant to the QMS. These requirements are referred to as needs and expectation and are usually stated, generally implied or obligatory.


#### **Non-conforming output**

- A process that has not undergone the prescribed risk assessment

#### **Non-conformity**

- A process that deviated from the application of this procedure on the analysis of risk and opportunity, action planning to consider additional controls that will enhance the existing controls and evaluation of effectiveness of the actions.



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#### **Planned Activity**

- In the evaluation of the ROAAP, planned activity refers to operationalization of the planned additional controls in relation to the realization of the opportunity. If an opportunity calls for the development of an online checklist, the planned activity will describe the operationalization of the online checklist.

#### **Planned Result**

- Refers to the objective of the process, the expected output and or the Major Final Output that will be produced characterized by required quality outcome which can be measurable through quality, quantity and timeliness.

#### **Opportunity**

- Circumstances that makes it possible to do something that can enhance achievement of "Planned Results" and/or desirable effects of implementation of existing controls.

#### **Process**

- A process is any activity or set of activities that use resources to transform inputs into outputs. A process has defined objective/s, input/s, output/s, activities and resources.
- As used in the ROAAP, a process or sub-process for management, core and support activities or the project or program or their component/s implemented by the DENR.

#### **Risks**


- According to ISO 31000, *risk* is the "effect of uncertainty on objectives" and an *effect* is a positive or negative deviation from what is expected.
- A risk is 'effect of uncertainty on the expected result'. It indicates the possibility that the results will not go according to plans.

#### **Risk/Opportunity Analysis and Action Planning (ROAAP)**

- The strategy to analyze the process and identification of risks and opportunities to identify existing controls that will mitigate the risks and integration of these actions to the process as required in clause 4.4.

#### **V. Responsibilities:**

The following are responsible for the implementation of this procedure and preparation of the ROAAP

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- 5.1 Process owner - The office, division or unit which implements the identified process represented by a personnel responsible for operation of the process and preparation of the ROAAP;
- 5.2 The implementing unit represented by the Division chief or head of the unit and tasked to review the ROAAP;
- 5.3 The Service Director, Asst. Regional Executive Director or official supervising the division, office or service and who shall approve the ROAAP.
- 5.4 Internal Quality Auditor – responsible for evaluating the ROAAP during a scheduled internal audit.

## **VI. Process Inputs**

The inputs required for this process are:

- 6.1 Functional description of the office and relevant documents
- 6.2 Latest issue of the Citizens' Charter for external and internal processes/procedures that are enrolled to ARTA;
- 6.3 Process/procedure for core, management and support services that are not ARTA enrolled
- 6.4 Relevant DENR Guidelines, Department Administrative Orders, Manuals, Technical Bulletins, other documents
- 6.5 Relevant laws, regulations and statutory issuances containing requirements for implementation of the process
- 6.6 Relevant needs and expectations of interested parties
- 6.7 Relevant internal and external issues
- 6.8 Planned results of the process
- 6.9 Risk/Opportunity Analysis and Action Planning (ROAAP) Form




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## **VII. Process Steps:**

- 7.1 Using the functional statement or description of the Office, identify the different processes of the division, unit or office.
  - 7.1.1 If the Office process involves implementation of programs and projects and their components, identify the processes in the implementation of these projects and programs.
  - 7.1.2 If the Office implements processes consisting of management, support and core processes not enrolled in the ARTA, identify these processes in conjunction with the basis for their implementation, e.g. legal basis, DAO, Manuals, etc.
  - 7.1.3 If the process or procedure is ARTA enrolled, either as a process for external or internal clients, identify the processes using the latest issue of the Citizens' Charter
- 7.2 Indicate the name of the "Process" and the "Process Owner" in the appropriate space in the ROAAP
- 7.3 Determine the planned result or major final output of the process (e.g. Chainsaw Registration Certificate) and the quality objective indicated by the turn-around time in the Citizens' Charter, or other related documents such as Implementation Plan, Work and Financial Plan, Manuals, enabling laws or other documents that define the quality objective and the "Planned Result or Major Final Output" of the process.
- 7.4 Determine the Context of the Process and underlying risks
 

The context of the process includes the internal and external environment and parameters to operate the process. Define the process environment by indicating in the ROAAP:

  - 7.4.1 The relevant interested parties (Clause 4.2) (e.g. external and internal clients, DENR management, personnel) and their needs and expectations that are relevant to the process;

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7.4.2 The external and internal issues (Clause 4.1) that are relevant to the purpose of the process and that affect the achievement of the intended result(s) or the “planned output” of the process. Issues can be positive or negative issues.

a. Identify external issues may arise from legal, regulatory, statutory, technology, cultural, social and economic environments, whether international, national, regional or local.

b. Identify internal issues can also be related to values, culture, knowledge, performance of the organization, resources, management, strength and weaknesses, etc.

7.4.3 Identify the associated risks on the non-fulfillment of needs and expectations (non-fulfillment of requirement) and risks when negative issues are not addressed or opportunities that can result from pursuing positive issues.

7.5 Indicate the “Planned Result” or “Major Final Output (MFO)” and the corresponding measure of quality, quantity and timeliness in the proper column of the ROAAP. Example of a planned result is the prescribed turn-around time of the process required in the Citizens’ Charter and prescribed by RA 11032 - EODB.


7.6 Analysis. Considering identified planned result/MFO, perform analysis of the process by identifying:

7.6.1 Risks - identify possible results that can contribute to a non-conformity when a “planned activity” is not achieved or when the “planned result” is not realized or a non-conforming output is produced.


7.6.2 Consider the needs and expectations of interested parties and negative and positive issues when identifying risks and opportunity.

7.6.3 Existing controls - identify actions or “controls” being implemented to prevent, mitigate, correct, contain and detect the risk and/or its effect and ensure achievement of planned result (conforming output) and planned activities (conformity).



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- 7.6.4 Identify the existing controls through the approved procedures, manuals, guidelines, implementing laws and regulations, etc. where the procedure and its requirements is being described.
- 7.6.5 Conduct assessment of the existing controls:
- When the ROAAP is prepared for the first time
  - When a non-conformity is detected or when a non-conforming output resulted in the process;
  - When there are changes in the process environment
  - When there is a change in the planned result
  - To re-assess the existing controls and the result of a failed opportunity to identify other opportunities and additional controls
  - To evaluate the existing controls and update the ROAAP when necessary such as before a scheduled audit
- 7.6.6 Opportunity – with the result of analysis of the existing controls, determine if these can be enhanced or if additional controls will be necessary to achieve the planned result/MFO;
- 7.6.7 Indicate in the ROAAP, the opportunity that will be pursued corresponding to the existing control that will be improved.
- 7.6.8 If the existing controls are sufficient and no opportunity have been identified for enhancement of controls, further action will not be required.
- 7.6.9 Indicate in the ROAAP the name/s of the Assessment Team and the date when the assessment was conducted.
- 7.6.10 If the ROAAP will be updated as a result of the analysis, prepare a new ROAAP with the updated information e.g. to indicate the opportunity and action plan, corresponding to the control to be enhanced.
- 7.7 Action Planning – When an opportunity is identified, determine the action plan to realize the identified opportunity.
- 7.7.1 Identify the additional controls that will be developed with the implementation of the opportunity:

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- a. Describe the additional control to enhance an existing control
- b. Describe the new control to strengthen the existing controls

7.7.2 Indicate the responsible personnel and the target date of completion of the identified opportunity.

7.7.3 Indicate in the ROAAP the action taken and implementation of the result of the opportunity, such as the implementation of new rules or new checklist, etc.

7.8 Evaluation – Evaluate if the planned result of the process have been achieved and if the planned activities related to the implementation of additional controls have been realized. Evaluation is to be done by:

- a. Process owner to evaluate the implementation of the action plan and the outcome of the implementation of the additional control
- b. Internal auditor to evaluate the ROAAP during internal audit

7.8.1 Planned Result – referring to the identified planned result of the process, determine if the implementation of the opportunity achieved its objective, i.e.


- a. If the opportunity improved/enhanced existing control/s and achieved planned result/MFO;
- b. If the opportunity and new additional control/s achieved planned result/MFO, or
- c. If opportunity and additional control/s failed to enhance existing control/s and planned result/MFO is not achieved.

7.8.2 Planned Activity – determine if the Planned Activity in connection with the identified opportunity have or have not been realized and implemented to improve the achievement of the planned result/MFO

7.8.3 If the Planned Result is achieved and the Planned Activity have been realized, update the ROAAP and add the new or additional controls to the existing controls

7.8.4 If the planned result and planned activities have not been realized, re-asses the existing controls and determine new opportunities and additional controls.



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## 7.9 Preparation, review and approval and documented information

### 7.9.1 Preparation - Process owner, program implementor

### 7.9.2 Review – Division Chief, Project Head, appropriate Unit Head if not under a regular division or project

### 7.9.3 Approval – Service Director, Assistant Regional Executive Director, Supervising Directors of projects or programs, Executive Director, Head of Offices of the Undersecretary or Asst. Secretary, as appropriate


### 7.9.4 The preparation of the ROAAP and succeeding updating will not be covered by the Document Review and Approval Request (DRAR). However, the approved form shall be used.

### 7.9.5 The Divisions, Units and Offices concerned shall maintain the copy of the ROAAP which will be updated as necessary.

## VIII. Control of Nonconforming Output

When the expected outputs of this process are not achieved, the following measures are to be implemented:

Nonconforming Output	Reactive Measures
A risk assessment and ROAAP was not prepared for a process	Prepare the ROAAP and perform risk analysis of the process
Existing controls have not been sufficiently analyze which resulted in a non-conforming output of the process	Analyze the ROAAP to identify ineffective existing controls and identify possible opportunities and additional controls
The ROAAP has not been updated to take into account risks due to changes in the process environment. E.g. CoVid outbreak	Update the ROAAP to include the changes in the process environment; update the existing control by implementing opportunities and additional controls
The ROAAP has not been updated to incorporate results of assessment and evaluation	Update the ROAAP
The ROAAP was not approved	Update the ROAAP and get proper approval

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## IX. Interfaces/Related Forms

9.1 Risk/Opportunity Analysis and Action Planning (Form No. CO-QMS.FO.002)

## X. Revision and Approval

Revision No.	Date	Nature of Change	Approved by
0		Original issue	Undersecretary Ernesto D. Adobo, Jr. CESO I



## ROAAP GUIDE

Guide No.	Item	Description and Relevant Clauses
1	Assessment Team	The ROAAP team of the division, unit or office implementing the process
2	Last Analysis Date:	<p>Date of the last or most recent analysis of risks, existing controls and opportunities made by the assessment team.</p> <p>The ROAAP shall be updated after the analysis if there are changes such as an identified opportunity or when an additional control is incorporated to the existing controls.</p>
3	Last Evaluation Date	<p>Date of the last evaluation made on the action taken verified during the internal audit of the process.</p> <p>Evaluation maybe initiated by the process owner to determine effectiveness of the additional controls or the result of the implementation of the opportunity.</p>
4	Process	The QMS process or sub-process (management, core, support) or the project or program or their component implemented by the division or unit
5	Process Owner	The office, division or unit responsible for the process
6	Interested Parties – Needs and Expectations	<p><i>Clause No. 4.2 Understanding the needs and expectations of interested parties.</i></p> <ul style="list-style-type: none"> <li>a. <i>the interested parties that are relevant to the quality management system;</i></li> <li>b. <i>the requirements of these interested parties that are relevant to the quality management system</i></li> </ul> <p>Needs and expectations are usually stated, generally implied or obligatory</p> <p>➤ Example of interested parties and their requirements:</p> <ul style="list-style-type: none"> <li>• Clients/customers – the end users and receivers of the output of the product or service. Include suppliers and external or third party providers. Requirement may be represented by the quality objective of the process;</li> <li>• DENR management – represented by the Secretary, ExeCom, REDs and ManCom. Requirement can include efficient implementation of the process and fulfillment of regulatory and statutory requirement</li> <li>• DENR employees – requirement can include appropriate facilities necessary for process implementation</li> </ul>
7	Internal and External Issues – (+/-)	<p><i>Clause No. 4.1 Understanding the organization and its context.</i></p> <p>External and internal issues that are relevant to the purpose and strategic direction of the DENR and that affect its ability to achieve the intended result(s) of its quality management system.</p> <p>These can be positive and negative factors for consideration.</p> <ul style="list-style-type: none"> <li>c. External issues arising from legal, regulatory, statutory, technology, cultural, social and economic environments, whether international, national,</li> </ul>

		<p>regional or local.</p> <p>d. Internal issues related to values, culture, knowledge, performance of the organization, resources, management, strength and weaknesses, etc.</p> <p>➤ Positive issues can result to opportunities, while negative issues can result to risks that can point to threats that will affect achievement of "planned results".</p>
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8	Planned Results (Expected Output, MFO)	<p><i>Clause 6.2.1 The organization shall establish quality objectives at relevant functions, levels and processes needed for the quality management system</i></p> <p>➤ Identify the "Planned Result" of the process consistent with the expected output of the process and its major final output (MFO), characterized by required quality outcome (quantity, quality, timeliness).</p> <ul style="list-style-type: none"> <li>• Aligned with the "needs and expectations" of interested parties</li> <li>• Identified thru the Citizens' Charter per RA 11032 or EODB turn-around time;</li> <li>• Legal or regulatory requirements for the specific output of the process</li> <li>• Requirements of the process defined in guidelines and procedures (DAO, etc.)</li> </ul>
9	Analysis	<p><i>Clause 6.1.1 When planning for the quality management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed</i></p> <ul style="list-style-type: none"> <li>a. give assurance that the quality management system can achieve its intended result(s);</li> <li>b. enhance desirable effects;</li> <li>c. prevent, or reduce, undesired effects;</li> <li>d. achieve improvement.</li> </ul> <p>➤ Analysis of the process aims to identify underlying risks, existing controls, and/or opportunities.</p>
9.a	Risk	<p><i>Clause 6.1.1 ... determine the risks and opportunities that need to be addressed</i></p> <p>➤ The effect of uncertainty on objectives</p> <p>➤ Risks is a negative or positive deviation from expected. Risks can hinder the achievement of the process and its quality objective/planned result.</p> <p>➤ Conduct risk analysis to identify possible results that will contribute to the opposite of planned result.</p> <ul style="list-style-type: none"> <li>• Planned activity is not realized resulting to non-conformity</li> <li>• "Planned Results" are not achieved and cause a nonconforming output</li> </ul> <p>➤ Update ROAAP when new risks are detected, considering normal, abnormal and emergency situations.</p>
9.b	Existing Controls	<p><i>Clause 6.1.2 The organization shall plan:</i></p>



		<p>a) <i>Actions to address these risks and opportunities</i>  b) <i>Integrate and implement the actions into its QMS processes (4.4)</i></p> <p><i>Options to address risks can include avoiding risk, taking risk in order to pursue an opportunity, eliminating the risk source, changing the likelihood or consequences, sharing the risk, or retaining the risk by informed decision.</i></p> <ul style="list-style-type: none"> <li>➤ Existing controls are actions or "controls" being implemented to prevent, mitigate, correct, contain and detect the risk and/or its effect and ensure achievement of planned result (conforming output) <ul style="list-style-type: none"> <li>• Concrete and verifiable actions or controls</li> <li>• Proportionate to the potential impact on the conformity of products and services</li> <li>• Existing controls are identified in the procedure as applicable.</li> </ul> </li> <li>➤ Existing controls may be identified through the approved procedures, manuals, guidelines, implementing laws and regulations, etc.</li> <li>➤ New existing controls will added when the additional controls proved to be effective.</li> </ul>
9.c	Opportunity	<p><i>Clause 6.1.2 The organization shall plan:</i>  a) <i>Actions to address these risks and opportunities</i></p> <p><i>Opportunities can lead to the adoption of new practices, launching new products, opening new markets, addressing new customers, building partnerships, using new technology and other desirable and viable possibilities to address the organization's or its customers' needs</i></p> <ul style="list-style-type: none"> <li>➤ Opportunities are circumstances that can enhance achievement of "Planned Results" and/or desirable effects of implementation of existing controls. Opportunities can be the result of risks.</li> <li>➤ When opportunity is identified, describe the existing control that will be improved. <ul style="list-style-type: none"> <li>• Identify opportunities in the same row as the risk to be improved</li> <li>• Identify concrete actions that will serve as additional controls</li> <li>• Identifies the existing control that is subject of the improvement.</li> <li>• Incorporate the additional controls with the actions planning.</li> </ul> </li> </ul>
10	Actions Planning	<p><i>Clause 6.1.2 The organization shall plan:</i>  a) <i>Actions to address these risks and opportunities</i></p> <p><i>Options to address risks can include avoiding risk, taking risk in order to pursue an opportunity, eliminating the risk source, changing the likelihood or consequences, sharing the risk, or retaining the risk by informed decision.</i></p> <ul style="list-style-type: none"> <li>➤ Action Planning sets the requirements to effectively implement the actions to be undertaken to further improve existing controls and address risks related to implementation of opportunities.</li> </ul>
10.a	Recommended Additional	Additional controls are enhancement of existing controls

	Control	<p>and/or to establish controls required to implement an opportunity. Additional controls should be concrete and verifiable.</p> <ul style="list-style-type: none"> <li>➤ Additional controls are determined when <ul style="list-style-type: none"> <li>• there is a need to enhance existing controls</li> <li>• opportunities have been identified to pursue a risk, or to enhance achievement of the "planned result"</li> <li>• there is a need to prevent, eliminate reduce effect of/or occurrence of risk</li> </ul> </li> <li>➤ The ROAAP will be analyzed to determine effectiveness of the additional controls. <ul style="list-style-type: none"> <li>• If effective, the ROAAP will be updated to indicate the additional controls as part of the existing controls and planned arrangement of the process</li> <li>• If required, the procedure will be revised to include the new controls</li> </ul> </li> </ul>
10.b	Responsible and Target Date	<ul style="list-style-type: none"> <li>➤ The responsible personnel and his/her function who will implement the opportunity and/or additional control and the target date of completion.</li> </ul>
10.c	Action Taken and Date Completed	<p><i>Clause 6.1.2 (1) integrate and implement the actions into its quality management system (4.4).</i></p> <ul style="list-style-type: none"> <li>➤ The completion of the implementation of the opportunity and/or establishment of additional control validated by the process owner as to its outcome, to be verified by the internal auditors. This should contain the specific outcome of implementation of opportunity and/or additional control. <ul style="list-style-type: none"> <li>• When verified, the additional controls shall be integrated with the existing controls.</li> <li>• The ROAAP shall be updated to reflect the additional controls to the existing controls</li> </ul> </li> <li>➤ The internal auditor shall verify the action taken and related documented information as part of its evaluation</li> </ul>
11	Evaluation of Effectiveness	<p><i>Clause 6.1.2 (2) Evaluate the effectiveness of these actions</i>  Effectiveness relates to a) Planned activities are realized and b) Planned results are achieved.</p> <ul style="list-style-type: none"> <li>➤ The internal auditor will evaluate the ROAAP as to achievement of: <ul style="list-style-type: none"> <li>a. Planned result – the indicated planned result of the process</li> <li>b. Planned activities – the activities indicated to address risk and opportunities: <ul style="list-style-type: none"> <li>• Opportunity to enhance achievement of the "planned result" of the process</li> <li>• Opportunity to enhance an existing control</li> <li>• Additional controls to enhance the existing controls</li> <li>• Results of the action taken</li> </ul> </li> </ul> </li> <li>➤ Internal auditor will indicate its findings in the Audit Findings Report (AFR)</li> <li>➤ The Assessment Team can conduct evaluation of effectiveness on the result of the action planning and whether the planned activities in relation to the</li> </ul>



		additional controls are implemented.
11.a	Planned Result Achieved? Y/N	Evaluation of the planned result as identified in the process, either achieved or not achieved (Y/N). The process owner could perform initial analysis of the "planned result" and related documented information to evaluate outcome of the opportunity and additional controls.
11.b	Planned Activity Realized? Y/N	Evaluation of the planned activity to implement the identified additional controls, either realized (implemented) or not realized (not implemented), as indicated in the opportunity and additional controls. Evaluation by the process owner can be made as part of the assessment of the ROAAP.
12	Prepared by	The process owner represented by the personnel responsible for operation of the process and preparation of the ROAAP
13	Reviewed by:	The official authorized to review implementation of the process, e.g. the Division Chief or equivalent
14	Approved by:	The official that oversee the implementation of the process e.g. Service Director, Regional Executive Director, Head of the Office (Undersecretary/Asst. Secretary – if directly responsible for the process

## ROAAP GUIDE

Risks/Opportunities Analysis and Actions Planning (ROAAP)								
Assessment Team: (1)			Last Analysis Date: (2)			Last Evaluation Date: (3)		
Process: (4)			Process Owner: (5)					
Interested Parties – Needs and Expectations: (6)			(+/-) Internal and External Issues: (7)					
<b>Example</b> <ul style="list-style-type: none"> <li>• Clients – delivery of service</li> <li>• DENR management – Management requirements, regulatory and statutory</li> <li>• DENR personnel – Internal requirements, such as workplace, clear policy</li> </ul>			+ Positive issues - issues that can facilitate achievement of planned result and result to opportunities - Negative issues – issues that can hinder achievement of planned result and constitutes risks a. External issues arising from legal, regulatory, statutory, technology, cultural, social and economic environments, whether international, national, regional or local. b. Internal issues related to values, culture, knowledge, performance of the organization, resources, management, strength and weaknesses, etc.					
Planned Results (Expected Output, MFO)	Analysis (9)			Actions Planning (10)			Evaluation of Effectiveness (11)	
	Risk	Existing Controls	Opportunity	Recommended Additional Control	Responsible and Target Date	Action Taken and Date Completed	Planned Result Achieved? Y/N	Planned Activity Realized? Y/N
(8)	(9.a)	(9.b)	(9.c)	(10.a)	(10.b)	(10.c)	(11.a)	(11.b)

Prepared by: (12)

Reviewed by: (13)

Approved by: (14)

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