



RISK Monitoring form

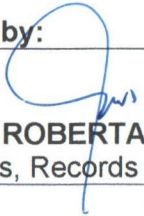
Year: **2021**

Office/Unit: **Office of the Head of Records and Archives**

A. KEY RESULT AREA/ACTIVITY/PROCESS

		(3)				(7)	(8)	(9)				(13)	(14)	(15)
ISSUES		RISK	RISK ASSESSMENT SCORE BEFORE MONITORING			RISK PRIORITY NUMBER BEFORE MONITORING	ACTION PLAN (Risks)	Current STATUS (Action Plan)	RISK ASSESSMENT SCORE DURING MONITORING			RISK PRIORITY NUMBER DURING MONITORING	LEVEL OF EFFECTIVENESS OF ACTION PLAN	Recommendation
(1) Internal (Weaknesses)	(2) External (Threats)		(4) SEV	(5) OCC	(6) DET				(10) SEV	(11) OCC	(12) DET			
ODAS/OHRA-21-W1 Lacking storage area of disposable documents from other units for classification & possible disposal		ODAS/OHRA-21-W1-R1 Loss of documents before it is being officially and legally disposed	2	3	3	18 (Medium Risk)	ODAS/OHRA-21-APR1 Request for a bigger storage area to accommodate records turned over for disposition	For implementation	2	3	3	18 (Medium Risk)	Moderately Effective	Create/develop a related action plan with the existing action plan
ODAS/OHRA-21-W3 Lacking personnel to handle the records management function & disposal of records		ODAS/OHRA-21-W3-R3 Delay in the classification of disposable records and other functions	2	3	3	18 (Medium Risk)	ODAS/OHRA-21-APR3 Request for additional manpower who can assist in the classification of records for disposition	For implementation	2	3	3	18 (Medium Risk)	Moderately Effective	Create/develop a related action plan with the existing action plan

ODAS/OHRA-21-W5 No disclaimer provision for the released documents as to its allowable usage		ODAS/OHRA-21-W5-R5 Administrative and criminal sanctions due to Violation of Data Privacy Act (DPA)	2	3	3	18 (Medium Risk)	ODAS/OHRA-21-APR5 Observe and implement guidelines on request for information and create a disclaimer provision for the released documents	On-Going	2	3	3	18 (Medium Risk)	Moderately Effective	Create/develop a related action plan with the existing action plan
ODAS/OHRA-21-W8 Lack of IT manpower to fast-track digitizing and uploading of HR data into the completed HRMIS system and to maintain the system		ODAS/OHRA-21-W8-R8 Delays the full automation of e-Records Management System	3	3	2	18 (Medium Risk)	ODAS/OHRA-21-APR10 Request for regular position of an IT personnel for continuous implementation of e-Records Management System	Renewal of existing JO personnel based on his performance	1	2	2	4 (Low Risk)	Highly Effective	Maintain/improve existing controls
ODAS/OHRA-21-W10 Lacking manpower to maintain and gather additional archival documents		ODAS/OHRA-21-W10-R10 Loss of valuable archival documents	3	3	2	18 (Medium Risk)	ODAS/OHRA-21-APR13 Send recommendation for some office personnel to the Admin Scholarship committee on the attendance to training on archiving of documents	For implementation	3	2	2	12 (Medium Risk)	Highly Effective	Maintain/improve existing controls

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Date: December 1, 2021	Date: December 2, 2021	Date: December 2, 2021