

QUALITY PROCEDURE

Risk Assessment



Office of the Vice-President for Planning, Resource Generation and Auxiliary Services (OVPPRGAS)

Visayas State University
Visca, Baybay City, Leyte

Document Reference No. PM-VPR-02

Version No. 01

Date: October 02, 2020

PROPRIETARY NOTICE

THIS DOCUMENT CONTAINS INFORMATION PROPRIETARY TO VISAYAS STATE UNIVERSITY. ANY DISCLOSURE OR USE IS EXPRESSLY PROHIBITED EXCEPT UPON WRITTEN PERMISSION BY VISAYAS STATE UNIVERSITY.

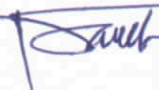
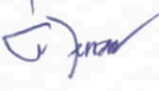


VISION: A globally competitive university for science, technology, and environmental conservation.

MISSION: Development of a highly competitive human resource, cutting-edge scientific knowledge and innovative technologies for sustainable communities and environment



Approval

The signatures below certify that this quality procedure has been reviewed and accepted, and demonstrates that the signatories are aware of all the requirements contained herein and are committed to ensuring their provision.

	Name	Signature	Position	Date
Prepared by	Daniel Leslie S. Tan		Director, Planning and Infrastructure Development Office	9/25/2020
Reviewed by	Dilberto O. Ferarren		VP for Planning, Resource Generation, and Auxiliary Services	9/28/2020
	Milagros C. Bales		Quality Management Representative	9/30/2020
	Edgardo E. Tulin		President	10/01/2020

Amendment Record

This procedure is reviewed to ensure its continuing relevance to the system and processes that it describes. A record of contextual additions or omissions is given below:

Page No.	Context	Version	Date
1 of 8	Changed the Process Owner from Quality Assurance Center to Office of the Vice-President for Planning, Resource Generation, and Auxiliary Services	01	10-01-2020
1 of 8	Change Document Reference No. from PM-QAC-03 to PM-VPR-02	01	10-01-2020
2 of 8	Changed the Names of the Ones who Prepared and Reviewed the Document	01	10-01-2020
2 of 8	Changed Quality Assurance Director to Quality Management Representative	01	10-01-2020

The electronic version of this procedure is the latest revision. It is the responsibility of the individual to ensure that any paper material is the current revision. The printed version of this manual is uncontrolled, except when provided with a document reference number and revision in the field below:

Uncontrolled Copy ☒

Controlled Copy ☐

Date 10/02/2020

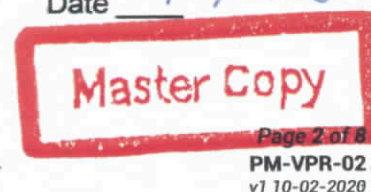




Table of Contents

	Page Number
1. Title of the Quality Procedure	4
Conduct of Risk Assessment	
2. Introduction and Purpose	4
2.1. References	
2.1. Terms and Definition	
3. Application and Scope	5
4. Requirements/Responsibilities	5
5. Procedures	5
6. Forms and Records	6
7. Process Map	7



1. Title of the Quality Procedure

Procedure in the Conduct of Risk Assessment

2. Introduction and Purpose

This procedure is used in the identification of risks that can affect the quality of product/services and the identification of controls associated with Visayas State University's activities and services and to identify those that are significant so they can be assigned as a high priority for mitigation.

2.1 References

Risk Assessment Guideline

GL-QAC-01

2.2 Terms and Definitions

	Term	Definition
2.2.1	Risk	combination of the likelihood of occurrence of a hazardous event or exposure(s) and the severity of the injury or ill health that can be caused by the event of exposure
2.2.2	Risk Assessment	a process of evaluating the risk arising from a hazard(s), taking into account the adequacy of any existing controls, and deciding whether or not the risk(s) is acceptable.
2.2.3	Impacts and Risk Control	preventive action necessary to eliminate or control identified environmental aspects and hazards.
2.2.4	Severity	the gravity of the effect of identified environmental aspects and hazards.
2.2.5	Occurrence	the frequency of generation, incident/accident, consumption, exposure, usage, amount, etc. of its identified aspects and occupational hazard(s).
2.2.6	Detection	the act or process of detecting the identified environmental aspects and hazard(s)



3. Application and Scope

This procedure applies to all activities and services of Visayas State University.

4. Requirements/Responsibilities

4.1 University President

- 4.1.1 Reviews and approves the Risk and Opportunities Assessment Matrix.

4.2 Vice Presidents (VPs)/Deans/Directors/Department/Unit Heads

- 4.2.1 Identify risks and opportunities based on the SWOT analysis per quality objectives and core processes and document them using the Risk Assessment Matrix.
- 4.2.2 Identify and evaluate the impact of the risks and existing control using the Risk Assessment Guideline.
- 4.2.3 Identify and ensure all necessary actions and activities to address risks are accomplished.
- 4.2.4 Identify employee(s) training needs to enhance risk and risk mitigation activities.
- 4.2.5 Communicate the generated action(s) to all involved personnel for implementation ensuring responsibilities and completion dates of formulated actions are agreed and understood by them.
- 4.2.6 Monitor, analyze, and conduct a review of generated action(s).

4.3 Top Management (President, All VPs)

- 4.3.1 Review the results of the implementation of the action plans and provide recommendations or improvement of actions taken.

4.4 Risk Manager

- 4.4.1 Reviews the submitted documents and inputs them in the Risk Register for monitoring purposes.
- 4.4.2 Submits to the QMR the report on the changes of the internal and external issues that are relevant to the Quality Management System and the effectiveness of actions taken to address risk and opportunities which are inputs to the Management Review.

4.5 Quality Management Representative (QMR)

- 4.5.1 Reviews the documents submitted by the Risk Manager for presentation during the Management Review.

4.4. Process Owners

- 4.4.1 Implement approved actions according to agreed dates.

5. Procedures

- 5.1 VPs/Top Management/Deans/Directors/Department/Unit Heads shall identify/update the internal and external issues based on their core processes and performance indicators as aligned to the Key Areas of the Strategic Plan by performing SWOT analysis. These issues shall be inputted in the SWOT Matrix.
- 5.2 VPs/Top Management/Deans/Directors/Department/Unit Heads shall fill out the Risk and Opportunities Assessment Matrix (ROAM) with a complete and



Quality Procedure

Risk Assessment

concise description of the risks. The risks shall be identified based on the identified internal issues (weaknesses) and external issues (threats). They shall then identify the impact of the risks and the existing controls the organizations have to mitigate such risks. They shall also identify the opportunities as indicated in the SWOT Matrix.

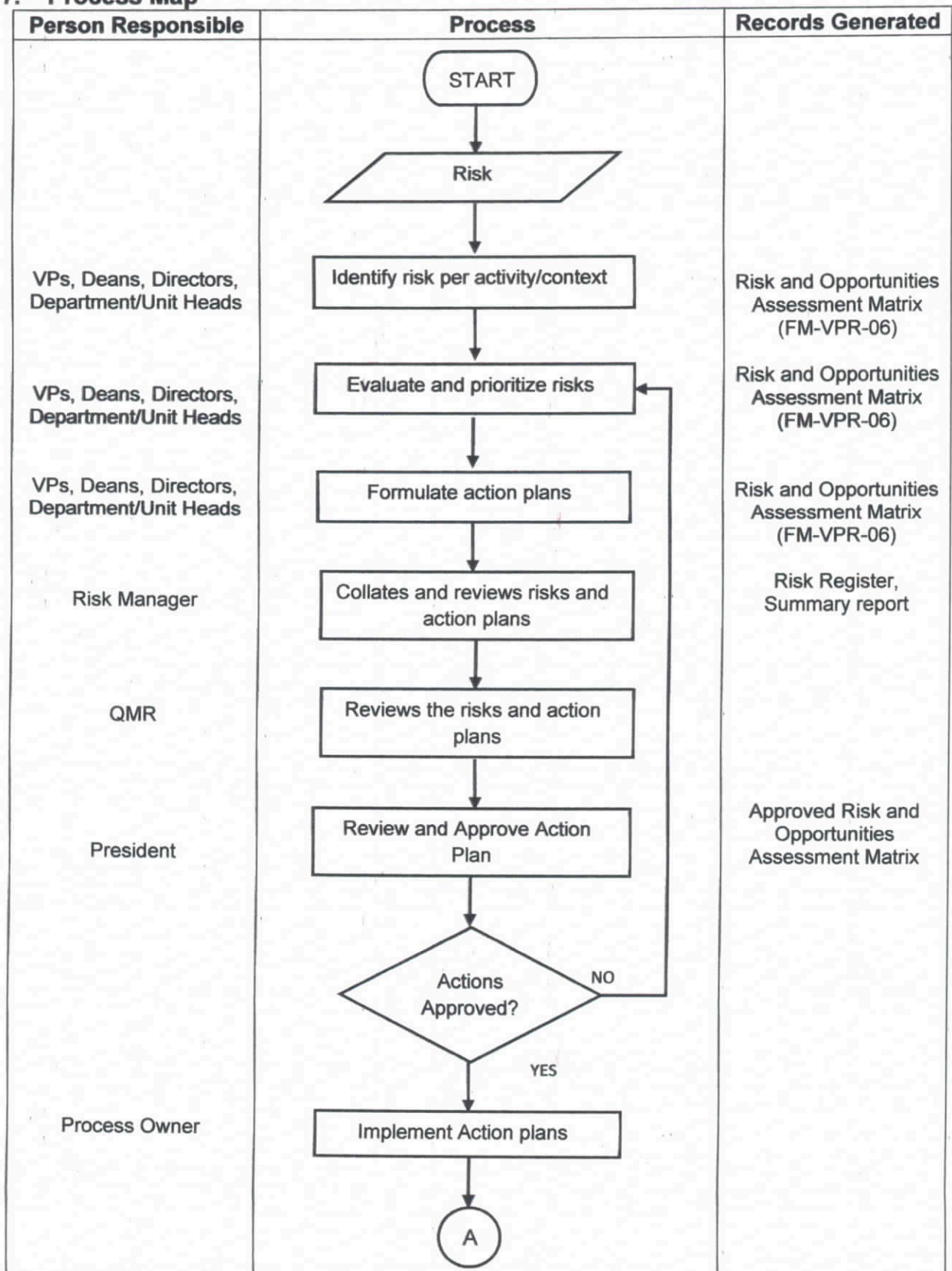
- 5.3 VPs/Top Management/Deans/Directors/Department/Unit Heads shall evaluate the significance of each risk and assign priority numbers following the Risk Assessment Guideline.
- 5.4 VPs/Top Management/Deans/Directors/Department/Unit Heads shall prepare a bold stroke Action Plan to address the risks and maximize the opportunities. All needed activities and tasks that must be accomplished to prevent or eliminate the identified risks must be identified. These specific activities and tasks shall be documented in the Objectives, Targets, and Programs (OTP) Form. These documents shall be submitted to the Risk Manager for collation and review.
- 5.5 Risk Manager shall review the submitted documents and input them in the Risk Register for monitoring purposes.
- 5.6 Risk Manager shall submit to the QMR the report on the changes of the internal and external issues that are relevant to the Quality Management System and the effectiveness of actions taken to address risk and opportunities which are inputs to the Management Review.
- 5.7 QMR shall review the documents submitted by the Risk Manager for presentation during the Management Review.
- 5.8 President shall further review and approve the filled-out ROAM.
- 5.9 VPs/Top Management/Deans/Directors/Department/Unit Heads shall identify any document that needs to be modified as an effect of the Action Plan. Describe in detail what the modifications will be. If any changes to processes, procedures, or systems must be made, this should also be reflected in the list of activities or tasks. Needed employee training/awareness must be identified as part of the activities, for any modifications/changes made to documents, processes, etc. and must be effectively communicated to all persons or groups that will be affected to ensure that actions will be fully implemented and will be effective.
- 5.10 VPs/Top Management/Deans/Directors/Department/Unit Heads shall communicate the needed actions from all involved personnel (process owner) for the implementation. Ensure that the actions, responsibilities, and expected completion dates for the formulated actions are well-defined, understood, and agreed by all involved personnel.
- 5.11 VPs/Top Management/Deans/Directors/Department/Unit Heads shall conduct a regular review and verification of the implementation of the actions according to the given target dates.

6. Forms and Records

- | | |
|--|-----------|
| 6.1 SWOT Matrix | FM-VPR-05 |
| 6.2 Risk and Opportunities Assessment Matrix | FM-VPR-06 |
| 6.3 OTP Monitoring Form | FM-VPR-01 |
| 6.4 Risk Register | |
| 6.5 Risk and Action Plan Summary Report | |



7. Process Map





Person Responsible	Process	Records Generated
<p>VPs, Deans, Directors, Department/Unit Heads</p> <p>VPs, Deans, Directors, Department/Unit Heads</p>	<pre>graph TD; A((A)) --> B[Verify and Monitor]; B --> C[Review Results]; C --> D[/OTP Monitoring Form/]; D --> E([END]);</pre>	<p>OTP Monitoring Form (FM-VPR-01)</p>



[LOGO]

[NAME OF OFFICE/UNIT]
Visca, Baybay City, Leyte, PHILIPPINES
Telefax:
Email:
Website: www.vsu.edu.ph

OTP MONITORING FORM

Year: _____

[illegible]

Note: This form is to be accomplished by the Academic and Administrative Units, it will be reviewed by the respective College Deans or Center Director

Prepared by:

Reviewed by:

[Designation]
[Department/Institute/College/Center/Office]
Date: _____

[Designation]
[Department/Institute/College/Center/Office]
Date: _____



SWOT ANALYSIS MATRIX

Year: _____

Office/Unit: _____

Key Area	PESTLE	#	ACTIVITY/PROCESS	STRENGTHS (S)	WEAKNESSES (W)	OPPORTUNITIES (O)	THREATS (T)
	POLITICAL						
	ECONOMIC						
	SOCIAL						
	TECHNOLOGICAL						
	LEGAL						
	ENVIRONMENTAL						

Prepared by:	Reviewed by:	Approved by:
_____	_____	_____
Date:	Date:	Date:



RISK AND OPPORTUNITIES ASSESSMENT MATRIX

Year: _____
 Office/Unit: _____

A. KEY RESULT AREA/ACTIVITY/PROCESS

#	ACTIVITIES	ISSUES		RISK	IMPACT	EXISTING CONTROL	RISK ASSESSMENT SCORE			RISK PRIORITY NUMBER	ACTION PLAN (Risks)	Current STATUS (Action Plan)	Contingency Plan	OPPORTUNITIES	ACTION PLAN (Opportunities)
		Internal (Weaknesses)	External (Threats)				SEV	OCC	DET						

Prepared by:	Reviewed by:	Approved by:
_____	_____	_____
Date:	Date:	Date: