



# CALAMBA WATER DISTRICT

Risk Assessment No. <b>RA-09</b>	SECTION/DEPARTMENT: TOP MANAGEMENT	CONDUCTED BY Engr. Restituto B. Sumanga Sr.	REVIEWED & APPROVED BY/D N/A	LATEST REVIEWED DATE: Jan. 7, 2017	NEXT REVIEW Jan. 7, 2018
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RISK IDENTIFICATION					RISK EVALUATION			RISK CONTROL/ACTION			RE-RISK EVALUATION			
NO.	ACTIVITY	RISK ORIGIN	POTENTIAL FAILURE	EFFECT	EXISTING CONTROL	L	S	RISL LEVE L/ RPN	ADDITIONAL RISK CONTROL	S	L	RISL LEVE L/ RPN	RESPONSIBLE	INTERFACING DOCUMENT REF./NO
1	Management Review	INTERNAL	Not conducted Management Review	Some problems might lead to major nonconformance	documented process of management review	3	3	9	Proper scheduling, time management	2	3	6	Top Management	Management Review Process, Internal Audit Process
2	Customer Rating	EXTERNAL	Not Satisfied on Process Performance	Low rating	Respond to the customer's concerns by investigating the problem	3	4	12	Continuous effort in providing data services with quality in mind and in service	4	2	8	Top Management	Customer Feedback Handling, Client Satisfaction Survey
3	Unmet OTPs	INTERNAL	Not monitoring of OTPs for update and follow-up of measures	Issuance of CARs	monitoring of OTPs per department	4	5	20	Provision of summary of OTPs for ease of monitoring	4	3	12	Top Management	OTPs
4	Provision of Resources	INTERNAL	Some concerns were not considered on the budget preparation	Some needs might not be provided		3	5	15	Early budget projection before the start of new calendar year	4	3	12	Top Management	Budget Report
5	Quality Policy	INTERNAL	Not regularly reviewed	Not suitable for achieving the company's OTPs	Review of the established Quality Policy	3	5	15	Set a frequency of review to yearly	4	3	12	Top Management	Quality Policy
6	Business	INTERNAL	Failure to deliver quality product or service due to Lack of staff training; Ineffective quality control and engagement review; Service not delivered in a timely manner	Reputational damage; Damage relationship with clients; Increase in client complaints; Increased scrutiny from regulators; Increased likelihood of claims;	Documented processes and forms; addressing customer's	2	2	4	Provision of internal and external training to Staffs	1	2	2	Top Management	Quality and Compliance Process



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7	Business	INTERNAL	Negative comment on social media due to failure to communicate effectively with client/s	minor Loss of reputation	Effectively communicate with the client on their needs	3	3	9	Training on Effective Communication Skills	1	2	2	Top Management	Commercial Process
8	Business	INTERNAL	Failure to identify new service offerings due to Failure to understand the market and the requirements or market desire for new service offerings	Loss of revenue Failure of practice	Daily sending of questions to potential customers to identify new requirements	3	3	9	Established documented marketing strategies	1	2	2	Top Management	Marketing Process
9	Business Continuity	INTERNAL	Loss or damage to office premises, office equipment and/or client records due to Natural catastrophe, e.g. fire, flood, earthquake	Serious disruption to service Possible failure of business; Lack of continuity of client service	Conduct of Fire and Earthquake drill by the Building's Engineering and Safety Department	2	3	6	Regularly participate on the Building's Fire and Earthquake Drill	1	2	2	Top Management	Contingency Plan Process
10	Business	EXTERNAL	Uninsured loss due to flood or fire due to Damage to property not covered under policy, e.g. policy covers fire but not water damage from fighting fire in adjacent office.	Cost to business Serious disruption to service Possible failure of business	Conduct of Fire and Earthquake drill by the Building's Engineering and Safety Department, Fire Safety Inspection, Building Inspection	2	3	6	Regularly participate on the Building's Fire and Earthquake Drill	1	2	2	Top Management	Contingency Plan Process
11	Regulatory	INTERNAL	Failure to comply with regulatory, legal and policy obligations due to lack of monitoring/understanding of legislative obligations	Penalties and fines Increased scrutiny from regulators Reputational damage	Monitoring of legal and other applicable requirements	3	3	9	Checking on government agencies website for updates	2	2	4	Top Management	Quality Plan, Management Review, Internal Audit, Customer Handling Process



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12	Governance	INTERNAL	Business strategy does not accommodate changing market conditions due to Failure to plan for changing market conditions; Activities of competitor; Insufficient research and/or understanding of key markets	Loss of clients Reduction in market share	Continuous business strategy	2	2	4	accommodate changing market conditions	1	2	2	Top Management	Quality Plan
13	Governance	INTERNAL	Failure to make or execute strategic decisions in a timely manner due to Ineffective execution of strategy by leadership; Lack of accountability; Objectives of practice not clearly documented; Lack of communication throughout the practice of strategies and objectives	Loss of market share Failure to capitalise on opportunities Poor partner/staff retention	Timely strategic decisions through Leadership; Acceptance of accountability; Monthly monitoring of OTPs	2	2	4	Document Objectives of practice	1	2	2	Top Management	OTPs
14	Governance	EXTERNAL	Disengagement of Partners over change strategy due to Partner(s) not identifying with Firm's strategy	Partners acting in self-interest over Firm strategy; Partner(s) leaving Firm; Loss of client fees;	Promote positive rapport with External Providers	2	2	4	Communicate on areas of concerns to address improvement on matters that affects them	1	2	2	Top Management	Management Review Process



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Likelihood of Detection		Severity of Impacts			Note:			Severity/Likelihood			<b>RISK LEVEL:</b> <span style="color: red;">15-25 High</span> <span style="color: orange;">5-12 Medium</span> <span style="color: green;">1-4 Low</span>			
SIGNIFICANCE		RANK		SIGNIFICANCE		RANK		L x S = TOTAL (Indicates the risk level)						
Very Low		1		Very Low		1		1 Very low Almost nil (life end)						
Low		2		Low		2		2 Low Almost never, emergency (once in 10 years)						
Moderate		3		Moderate		3		3 Moderate From time to time, abnormal (once a year)						
High		4		High		4		4 High Normally occurs, normal (once a week to once a month)						
Very High		5		Very High		5		5 Very high Frequent (everyday)						
					<b>"THE HIGHER THE SCORE THE MORE SIGNIFICANT AS RISK COULD BE"</b>									
No.	Revision Details			Revised Date	No.	Revision Details			Date Revised	No.	Revision Details			Date Revised
1					3					5				
2					4					6				