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RISK REGISTER

FUNCTIONAL QUALITY OBJECTIVE RISK ASSESSMENT

Responsible Unit: Evaluating Staff

Date Prepared: 10 October 2017

Rev. 0

Code: RRO-ICC-ES-01-01

QUALITY OBJECTIVE	CONTEXT (functional / process)		RISK DEFINITION - Potential Problem, Failure or Uncertainty	POTENTIAL EFFECT(S) / CONSEQUENCES	TYPE*	CONTROL MEASURES	RISK ASSESSMENT				EVALUATION	Risk Control / Opportunity Management Plan (RCP / OMP)
	Positive Issues	Negative Issues					IMPACT	LIKELIHOOD	RATING			
100% accuracy of all PERs prepared	90% of PERs prepared within the prescribed processing time (30 working days)	Competent technical staff of the Evaluating Staff. Professionalism. Commitment.	Insufficient information in the submitted documents	Delayed commencement of appraisal/re-evaluation. Timeliness and quality of the report may be affected.	R	Coordination with proponent/ implementing agency to validate/gather sufficient information.	2	4	8	Yes	RCP-ICC-ES-02	
					Incomplete project documents	Provide assistance to proponent/ implementing agencies on ICC procedures.	4	1	4	No	N/A	
90% of submitted projects appraised	Lack of succession plan.	ES is asked to submit a preliminary report, which, in some cases, becomes the basis of ICC approval, even without in-depth evaluation and/or ICC Secretariat's recommendation.	Lack of in-depth evaluation may affect the implementation of the project, and subsequently, the integrity of the ICC approval process.	R	None. (ICC decision is outside the control of the ES)	4	3	12	Yes	N/A (ICC decision is outside the control of the ES)		
90% of submitted projects appraised												

*Type of Effect - R - Risk (Negative Effect); O - Opportunity (Positive Effect)

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KAM-ICC-ES-02

c/o Ferrnand