DILG REGION XIII (CARAGA)
QUALITY MANUAL (QM)

Document Code		
QM-R13-04		
Rev. No.	Eff. Date	Page
01	11.09.18	1 of 8

4. CONTEXT OF ORGANIZATION

4.1 Internal and External Issues

DILG XIII operates under internal and external environments that influence the fulfilment of its mandate and objectives. Resilient as it is, it is important for DILG XIII in particular and DILG in general to determine and validate its context to be able to consistently provide products and services that meet legal and customer requirements.

In this regard, DILG XIII identifies the relevant internal and external issues, factors and conditions that affect its ability to achieve planned results.
DILG XIII regularly reviews and updates the issues relevant to its operations every 6 months, or as needed, usually during Planning (Strategic, Operational and QMS Planning) and Management Review.

The DILG XIII's Context Registry contains the relevant key internal and external issues which presents a more detailed analysis of the identified list of DILG XIII issues.

Relevant Documented Information: DILG XIII's Context Registry

4.2 Interested Parties

Due to their effect or potential effect on DILG XIII's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, DILG XIII determines:

a) The interested parties that are relevant to the quality management system;
b) The requirements of these interested parties that are relevant to the quality management system.

DILG XIII monitors and reviews information about these interested parties and their relevant requirements at least twice a year (during Planning and Management Review), and even during the review of risk registers, where necessary.

DILG XIII's interested parties are as follows:

- Customer / client – Provincial Offices, Field Offices, LGUs, LGU Officials, Citizenry
- DILG Central Office
- Office of the President, Senate, Congress, Local Leagues
- Regulatory Agencies – COA, CSC, BIR, DBM, NEDA
- Partners – Other Agencies
- Media
- External Partners – LRIs, GFIs
- External Providers / Suppliers
- Employees –Middle Managers (Assistant Division Chiefs, Division Chiefs), Organic staff (technical and administrative staff), Job Orders and Contract of Service Personnel
- Top Management –Senior Executives of the Regional Office (Provincial and City Directors), Regional Director and Assistant Regional Director

Relevant Documented Information: DILG XIII's Interested Parties Matrix

DILG REGION XIII (CARAGA)
QUALITY MANUAL (QM)

Document Code
QM-R13-04

Rev. No.	Eff. Date	Page
01	11.09.18	2 of 8

4.3 DILG XIII QMS Scope

DILG XIII has determined the boundaries and applicability of the requirements of ISO 9001:2015, and considered the following:

a) The external and internal issues relevant to its purpose and strategic direction
b) The requirements of relevant interested parties
c) The products and services that it provides.

DILG XIII applied all the applicable requirements of this International Standard if they are applicable within the determined scope of its QMS.

The quality management system of the DILG-XIII adopts the scope:

1. **Operations Processes:**

   Technical Assistance Services:
   - Rendition of Legal Opinion
   - Provision of Technical Assistance for the Implementation of Community-Based Monitoring System (CBMS)
   - Provision of Capacity Development Activities

   Administrative Assistance Services:
   - Processing of Sanggunian Panlalawigan/Panlungod/Bayan Member Request for Certification to support application for Civil Service Commission Eligibility
   - Processing of Barangay Officials' Request for Certification on the Services Rendered for Civil Service Commission Eligibility
   - Processing of Death Benefit Claim of Barangay Officials
   - Processing of PCF Grant: Issuance of Check and Notice to Implement
   - Endorsement of Application for LGU Scholarship Grant

   Oversight Services:
   - Conduct of Fact-Finding Investigation
   - Implementation of Order, Resolution or Decision of Judicial or Quasi-Judicial Agencies
   - Endorsement of LGU Request for Approval of Additional Confidential Fund
   - Review and Endorsement of LGU Request For Authority To Purchase Motor Vehicles
   - Review of GAD Plan and Budget

   Rewards and incentives:
   - Assessment for Lupong Tagapamayapa Incentives Awards (LTIA)
   - Local Government Unit Seal of Good Local Governance (SGLG) Assessment

2. **Support to Operations:**
   - Preparation of Operational Plan and Budget
   - Processing and Payment of Claims
   - Processing of Liquidation of Cash Advances
   - Review and Provision of Comments / Recommendation of Legal Documents
   - Recruitment, Selection and Promotion (RSP) for 1st and 2nd level

DILG REGION XIII (CARAGA)
QUALITY MANUAL (QM)

Document Code		
QM-R13-04		
Rev. No.	Eff. Date	Page
01	11.09.18	3 of 8

- Provision of Vehicular Support Services
- Maintenance and Repair of Equipment and Vehicles
- Inventory & Disposal of Fixed Assets
- Provision of TA on ICT Resources
- Administration of Leave of Absences
- Provision of LGRRC Services
- Processing of Press Releases – Written
- Development of IEC Materials
- Learning and Development
- Management of Records
- Management of DILG 13 Website
- Control of Maintained Documents – Internal
- Control of Maintained Documents - External
- Control of Records
- Preparation of Annual Procurement Plan
- Processing of Procurement Goods and Services thru Public Bidding
- Processing of Procurement Goods and Services thru Alternative Methods
- Inspection of Deliveries

3. **Performance Evaluation Processes**

- Preparation and Submission of Financial Accountability Reports (FAR1 and FAR2)
- Monitoring the Implementation of SPMS
- Implementation, Monitoring and Evaluation of Program, Project, Activity
- Locally-Funded Projects Implementation Monitoring and Evaluation (Infrastructure Projects)
- Process Monitoring and Evaluation
- Internal Quality Audit

4. **Management Processes**
- Risk Evaluation
- Management Review
- QMS Planning

5. **Improvement Processes**

- Non-Conformity and Corrective Action
- Services Complaints Handling
- External Customer Satisfaction Survey

The number of QMS processes per Division is: Finance and Administrative Division (15), Local Government Monitoring and Evaluation Division (10), Local Government Capability and Development Division (4) and the Office of Regional Director (10).The scope also covers: ISO QMS systemic processes (12).

DILG REGION XIII (CARAGA)
QUALITY MANUAL (QM)

Document Code		
QM-R13-04		
Rev. No.	Eff. Date	Page
01	11.09.18	4 of 8

4.3a. ISO 9001:2015 Applicability to DILG XIII's QMS

Based on the scope and boundaries of its processes and practices, current products, services, programs, plans and activities, the DILG XIII QMS deems the following requirements not applicable to its QMS due to the specified justifications, as follows:

Clause and Requirement	Justification
7.1.5.2 Measurement traceability	DILG XIII does not require any equipment, especially anything that require calibration or verification, to fulfil and deliver its services.
8.5.1f - Validation and periodic revalidation of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement	All products / services of DILG XIII can be checked / verified for conformity to requirements before release and delivery, and through subsequent monitoring or measurement.

4.4. DILG XIII Quality Management System and its processes

4.4.1 The DILG XIII establishes and documents a Quality Management System which it implements, maintains and continually improves in accordance with the requirements of ISO 9001:2015.

The DILG XIII determines the processes needed for the quality management system and their application throughout the organization and DILG XIII:

a. determines the inputs required and the outputs expected from these processes;
b. determines the sequence and interaction of these processes as shown in its business process map;
c. determines and applies the criteria and methods needed (including monitoring, measurements, ad related performance indicators) to ensure that both the operation and control of these processes are effective;
d. ensures the availability of resources and information necessary to support the operation and monitoring of these processes;
e. assigns the responsibilities and authorities for these processes;
f. addresses the risks and opportunities relevant to these processes;
g. evaluates these processes and implements any changes/actions to achieve planned results;
h. implements actions necessary for the continual improvement of these processes and the quality management system.

Where DILG XIII chooses to outsource any process that affects product conformity to requirements, it ensures control over such processes. The type and extent of control to be applied to these outsourced processes are defined within the quality management system.

NOTE: An "outsourced process" is a process that the organization needs for its quality management system and which the organization chooses to have performed by an external party, control of which is through the application of 8.4, as appropriate.

DILG REGION XIII (CARAGA)
QUALITY MANUAL (QM)

Document Code		
QM-R13-04		
Rev. No.	Eff. Date	Page
01	11.09.18	5 of 8

4.4.1a DILG XIII's Business Process Map

Below is the outline of the overall business process map of DILG XIII showing the interrelation and interaction of its many processes:
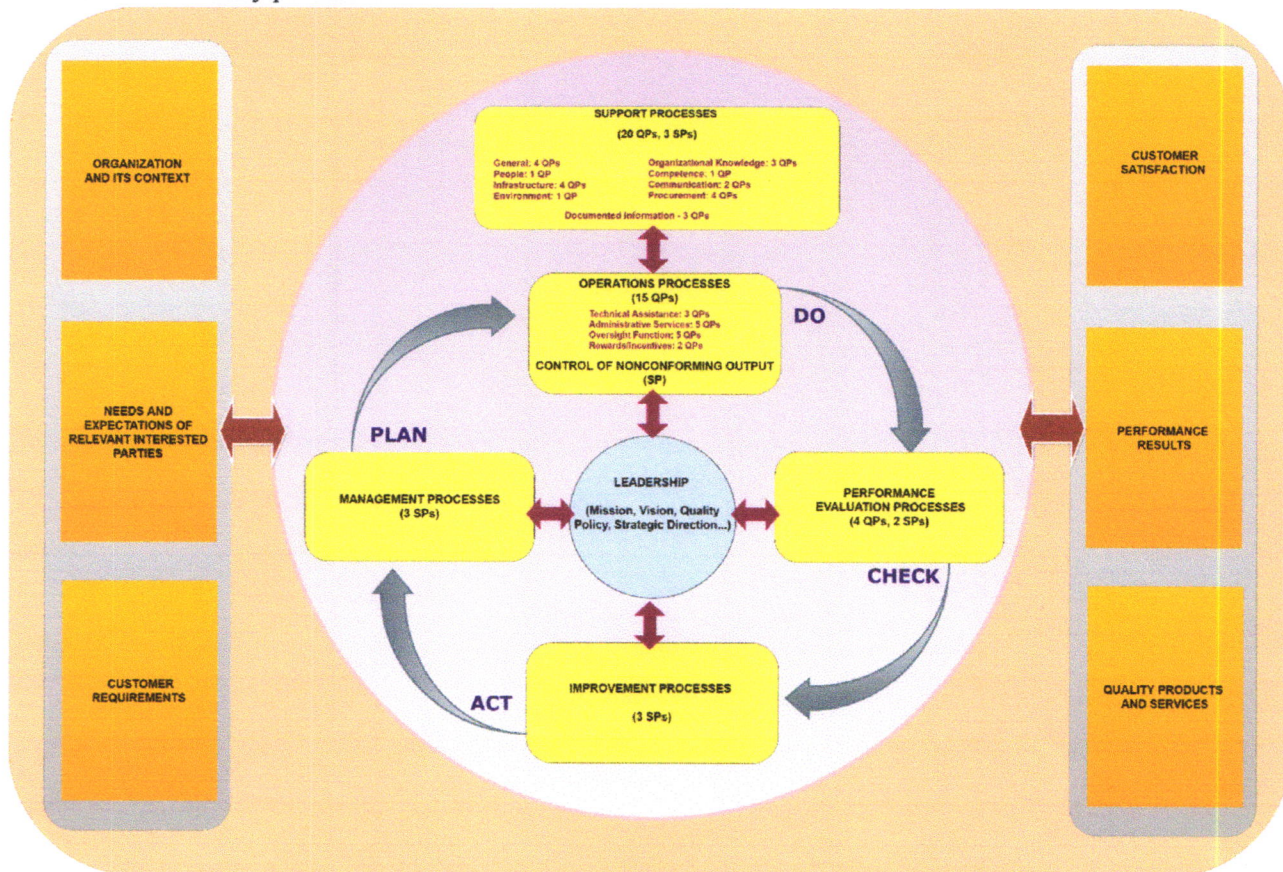

Figure 4. DILG XIII Business Process Map

4.4.1b Description of the DILG QMS Processes

Based on the DILG business process map, each process within its quality management system is described as follows:

- Management Processes

  Management processes refer to those activities of DILG XIII management relating to exercising leadership and accountability such as establishing the quality policy and quality objectives through QMS planning, determining program priorities and providing resources through the Operations Plan and Budget, determining and managing risks and opportunities, implementing internal communication within the QMS, and conduct of management review.

DILG REGION XIII (CARAGA)
QUALITY MANUAL (QM)

Document Code		
QM-R13-04		
Rev. No.	Eff. Date	Page
01	11.09.18	8 of 8

9001:2015 standard. Some of these processes were already earlier classified as operations, support to operations, performance evaluation or improvement processes:

- Risk Identification, Evaluation and Control (Clause 6.1)
- Control of Documented Information (Clause 7.5.3) – Control of Maintained Documented Information (Internal); Control of Maintained Documented Information (External); and Control of Retained Documented Information
- Services Complaints Handling (8.2.1c)
- Control of Nonconforming Outputs (Clause 8.7)
- Process Performance Monitoring and Measurement (Clause 9.1)
- Customer Satisfaction Survey (Clause 9.1.2 and 9.1.3b)
- Correction and Corrective Action (Clause 10.2)

4.4.1c Responsibility for DILG XIII's QMS Processes

The responsibilities and authorities for each process, the application of appropriate controls and the management of risks and opportunities in the QMS follows the following hierarchy:

- Process Owner – due to their direct control over the processes;
- Provincial and City Directors, Section and/or Division Chief – due to their direct supervisory control and management over the process owners;
- Asst. Regional Director – due to his supervision over Provincial Directors and Division Chiefs;
- Regional Director – due to his overall accountability and control over Provincial and City Directors, Assistant Regional Director and Division Chiefs.

4.4.1d Controls over QMS Processes

The relevant QMS and process controls are embedded in all the procedures and supporting documents such as risk registers to ensure that these controls are fully implemented by concerned process owners.

Please refer to Section 8 for the description of the operation of DILG XIII's processes.

4.4.2. To the extent necessary, DILG XIII:

a) maintains documented information to support the operation of its processes;
b) retains documented information to have confidence that the processes are being carried out as planned

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DILG REGION XIII (CARAGA)
QUALITY MANUAL (QM)

Document Code		
QM-R13-04		
Rev. No.	Eff. Date	Page
01	11.09.18	7 of 8

Environment:
- Administration of Leave of Absences

Organizational Knowledge:
- Provision of LGRRC Services
- Processing of Press Releases – Written
- Development of IEC Materials

Communication:
- Management of Records
- Management of DILG 13 Website

Competence:
- Learning and Development

Procurement:
- Preparation of Annual Procurement Plan
- Processing of Procurement Goods and Services thru Public Bidding
- Processing of Procurement Goods and Services thru Alternative Methods
- Inspection of Deliveries

Documented Information:
- Control of Records
- Control of Maintained Documented Information (Internal)
- Control of Maintained Documented Information (External)

- Performance Evaluation Processes-The core and support processes are further supported by feedback from Monitoring, Measurement, Analysis, and Evaluation Processes as follows:
  - Preparation and Submission of Financial Accountability Reports (FAR1 and FAR2)
  - Monitoring the Implementation of SPMS
  - Implementation, Monitoring and Evaluation of Program, Project, Activity
  - Locally-Funded Projects Implementation Monitoring and Evaluation (Infrastructure Projects)
  - Process Monitoring and Evaluation
  - Internal Quality Audit

- Improvement Processes - The improvement processes are both proactive and reactive. These are:
  - Administration of External Client Satisfaction Survey
  - Services Complaint Handling
  - Non Conformity and Corrective Action

- Management Process – The implementation of the Region's QMS includes the following management processes that are documented, controlled, implemented, and maintained:
  - QMS Planning
  - Management Review
  - Risk Evaluation

- **System Procedures:** These refers to the procedures of which there is no Office Primarily responsible (OPR) because implementation is not limited to one operating unit, rather system-wide in coverage, which are deemed necessary to ensure compliance with a specific clause requirement in the ISO

DILG REGION XIII (CARAGA)
QUALITY MANUAL (QM)

Document Code		
QM-R13-04		
Rev. No.	Eff. Date	Page
01	11.09.18	6 of 8

- Operations Processes–The main services covered by DILG XIII QMS as follows:

  1) Provision of services as follows:

     (a) Technical and administrative services, delivered by the technical personnel of the Local Government Monitoring and Evaluation Division, the Local Government Capability and Development Division, the Office of the Regional Director, and the different Field Operating Units, through the following core processes: Rendition of Legal Opinion; Provision of Technical Assistance for the Implementation of Community-Based Monitoring System (CBMS); Provisions of Capacity Development Activities; Processing of Sanggunian Panlalawigan/Panlungod/Bayan Member Request for Certification; Processing of Barangay Official's Request for Certification on the Services Rendered for Civil Service Commission Eligibility; Processing of Death Benefit Claim of Barangay Officials; Processing of Performance Challenge Fund (PCF) Grant: Issuance of Check and Notice to Implement; Endorsement of Application for LGU Scholarship Grant;

     (b) Oversight function, through: Conduct of Fact-Finding Investigation; Implementation of Order, Resolution or Decision of Judicial or Quasi-Judicial Agencies; Endorsement of LGU Request for Approval of Additional Confidential Fund; Review and Endorsement of LGU Request For Authority To Purchase Motor Vehicles ; and Review of GAD Plan and Budget;

     (c) Rewards and incentives, through: Assessment for Lupong Tagapamayapa Incentives Awards (LTIA); Local Government Unit Seal of Good Local Governance (SGLG) Assessment; and

- Support to Operations Processes - Support processes are those that provide the needed enablers to ensure the satisfactory service delivery performance of the core processes. These are provided by the Finance and Administrative Division (FAD) composed of the Personnel and Records Section; Budget Section; Accounting Section; Cash Section; and General Services Section, as well as operational support from the Office of the Regional Director (ORD) through its Information and Technology Officer, Legal Officer and the Communications Team; as well as the Local Governance Regional Resource Center (LGRRC) lodged under the Local Government Capability and Development Division. There are 23 procedures covering the full range of support to operations processes of DILG XIII in the following areas:

General:
- Preparation of Operational Plan and Budget
- Processing and Payment of Claims
- Processing of Liquidation of Cash Advances
- Review and Provision of Comments / Recommendation of Legal Documents

People:
- Recruitment, Selection and Promotion (RSP) for 1st and 2nd level

Infrastructure:
- Provision of Vehicular Support Services
- Maintenance and Repair of Equipment and Vehicles
- Inventory & Disposal of Fixed Assets
- Provision of TA on ICT Resources