



Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT

Region XIII (Caraga)

1559 Matimco Bldg, Km 4, Libertad, Butuan City | www.caraga.dilg.gov.ph

Document Code
FM-R13-SP-02-01

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MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
ISSUANCE OF CERTIFICATION ON GOOD FINANCIAL HOUSEKEEPING (GFH)									
	Processing of Request for the Issuance of Good Financial Housekeeping (GFH) Certificate Quality Procedure	ITO I Vincent Troy A. Calo	GFH Filer Box	GFH QP Folder	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised
	Processing of Request for the Issuance of Good Financial Housekeeping (GFH) Certificate Quality Objectives	ITO I Vincent Troy A. Calo	GFH Filer Box	GFH QO Folder	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised
	Processing of Request for the Issuance of Good Financial Housekeeping (GFH) Certificate Quality Monitoring and Evaluation	ITO I Vincent Troy A. Calo	GFH Filer Box	GFH QME Folder	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised
	Processing of Request for the Issuance of Good Financial Housekeeping (GFH) Certificate Process Summary	ITO I Vincent Troy A. Calo	GFH Filer Box	GFH PSL Folder	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised
	Processing of Request for the Issuance of Good Financial Housekeeping (GFH) Certificate Checklist of Documentary Requirements	ITO I Vincent Troy A. Calo	GFH Filer Box	GFH Checklist Folder	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised	Permanent until revised
	Retained Copies of LGU Requests and Certifications issued by the Central Office	AdA VI Amelita P. Platil	LGMED Steel Cabinet 2nd Drawer	Labeled per LGU name					

Prepared By

VINCENT TROY A. CALO
 ITO I
 Process Owner

Reviewed By

RAY GREGORY F. JABANILLA
 Division Chief
 Deputy QMR






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Name of Division/FOU: Local Government Monitoring and Evaluation Division

MASTER LIST OF MAINTAINED DOCUMENTED INFORMATION (INTERNAL)

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
ISSUANCE OF CERTIFICATION ON GOOD FINANCIAL HOUSEKEEPING (GFH)							
QP-R13-LGMED-02	Quality Procedure	10.16.17					
QO-QP-R13-LGMED-02	Quality Objective	10.16.17					
QME-QP-R13-LGMED-02	Quality Monitoring and Evaluation	10.16.17					
FM-QP-R13-LGMED-02-01	Process Summary Logsheet	10.16.17					
FM-QP-R13-LGMED-02-02	Checklist of Documentary Requirements	10.16.17					
FM-QP-R13-LGMED-02-03	Certification Form	10.16.17					
FM-QP-R13-LGMED-02-04	Endorsement Form	10.16.17					

Prepared By

JOB DANIEL B. CASSION
EGOO III
Regional Document Controller

Noted By

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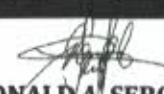
Name of Division/FOU: Local Government Monitoring and Evaluation Division

MASTER LIST OF MAINTAINED DOCUMENTED INFORMATION (EXTERNAL)

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
ISSUANCE OF CERTIFICATION ONGOOD FINANCIAL HOUSEKEEPING (GFH)							
	DILG Memorandum Cicular No. 2010-83						
	COA Internal Memorandum dated October 8, 2010						
	DILG Memorandum Circular No. 2011-08A						
	DILG Memorandum Circular No. 2011-134						
	DILG Memorandum Circular No. 2012-141						
	General Appropriations Act of 2013						
	DILG Memorandum Circular No. 2013-140						

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QUALITY PROCEDURE (QP)

PROCEDURE TITLE	ISSUANCE OF CERTIFICATION ON GOOD FINANCIAL HOUSEKEEPING (GFH)
SCOPE	<p>The Good Financial Housekeeping (GFH) is a component of the Seal of Good Local Governance (SGLG), formerly known as the Seal of Good Housekeeping (SGH), which the DILG initiated in 2010. The GFH and SGH apply the same minimum criteria, namely: Unqualified or Qualified COA Opinion and Compliance with the Full Disclosure Policy (FDP).</p> <p>The GFH certification is a requirement for local governments in accessing loans and national program windows like the Bottom-Up Budgeting (BUB), Payapa at Masaganang Pamayanan (PAMANA) and Sagana at Ligtas na Tubig sa Lahat (SALINTUBIG).</p> <p>This process starts from the receipt of letter-request and documents, review of submitted documentary requirements, preparation of GFH certificate, approval and signing of GFH certificate, to the recording and releasing of GFH certificate.</p>
PURPOSE	To define the process of objectively evaluating applications to ensure compliance to pertinent regulations.

PROCESS DESCRIPTION		
INPUT	PROCESS	OUTPUT
<p>Endorsement from PD/CD</p> <p>LGU Request - Letter Request from LGU</p>	<p>ISSUANCE OF CERTIFICATION ONGOOD FINANCIAL HOUSEKEEPING (GFH)</p>	<p>Endorsement from RD</p> <p>- Letter Request from LGU</p> <p>DILG CO - BLGS</p>
<p>DESCRIPTIVE STATEMENT:The C/MLGOO receives and reviews the letter request against the Checklist of documentary requirements. Review using the same parameters are done in the PO/HUC/ RO levels. Once found complete and appropriate in all levels, the Regional Office endorse the request to the Central Office for the Issuance of GFH Certificate. The requesting Local Government Unit and concerned PO/HUC will be furnished with the endorsement together with the attached documentary requirements.</p>		

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
FIELD OFFICE				
1	<ul style="list-style-type: none"> C/MLGOO/ HUC Focal Person 	<ul style="list-style-type: none"> Receive and review letter-request 	<ul style="list-style-type: none"> Receive and record letter-request Check if the requesting LGU is GFH Passer; if non Passer inform the LGU accordingly Identify purpose of request Check if LGU is compliant in the Full Disclosure Policy posting of requirements in conspicuous places, if requirements are complete prepare Certification and 	<ul style="list-style-type: none"> Letter-request of Local Chief Executive (LCE) Checklist of Documentary Requirements





QUALITY PROCEDURE (QP)

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			endorse request to Provincial Office, For HUC, endorse directly to Regional level otherwise inform LGU accordingly.	
2	<ul style="list-style-type: none"> Provincial Focal Person 	<ul style="list-style-type: none"> Receive and review indorsed LGU request 	<ul style="list-style-type: none"> Receive and record letter-request Identify the purpose of the request and check completeness and appropriateness of documentary requirements If found complete, prepare Endorsement duly signed by the Provincial Director attached with Provincial level Certification on LGU Compliance to FDP signed by the Provincial Director and attested by CSO Representative. Otherwise, advise the LGU of the deficiency for their appropriate action. Forward LGU request to Regional Office. 	<ul style="list-style-type: none"> Checklist of Documentary Requirements Endorsement, LGU request and supporting documentary requirements
REGIONAL OFFICE				
3	<ul style="list-style-type: none"> Records Officer 	<ul style="list-style-type: none"> Receive letter-request 	<ul style="list-style-type: none"> Receive, record and route GFH endorsement in accordance with Regional Records Management Procedure 	<ul style="list-style-type: none"> Endorsement, LGU request and supporting documentary requirements
4	<ul style="list-style-type: none"> Focal Person 	<ul style="list-style-type: none"> Check the supporting documents 	<ul style="list-style-type: none"> Identify the purpose of the request and check if the requesting LGU is a GFH passer or non-passer. Check completeness and appropriateness of the GFH documentary requirements as to purpose as follows: <ul style="list-style-type: none"> If for loan application: <ul style="list-style-type: none"> For GFH passer, all supporting documents shall be submitted 	<ul style="list-style-type: none"> CY GFH List of Passers Checklist: GFH Certification GFH documentary requirements





QUALITY PROCEDURE (QP)

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>except COA Audit Certificate.</p> <p>GFH Documentary Requirements:</p> <ul style="list-style-type: none"> • Letter request of the LCE; • Certificate of Compliance with the FDP posting on 3 conspicuous places for the last 2 preceding quarters issued by the DILG Provincial Director (PD) attested by a Civil Society Organization representative; • For GFH non-passers, all supporting documents shall be submitted. In addition, if failure is due to COA Opinion, additional supporting documents shall be submitted by the requesting LGU, as follows: <ul style="list-style-type: none"> • If COA Opinion is Adverse or Disclaimer-Certification signed by the COA Supervising Auditor stating that the LGU has substantially responded or taken action to all audit recommendations. Substantial means more than 50% of the total recommendations were implemented. • If COA Opinion is Disclaimer or No Opinion due to force majeure or disaster beyond the control of the LGU – Letter 	



Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>Justification stating the loss of financial documents</p> <ul style="list-style-type: none"> If supporting documents are incomplete or lacking, advise the concerned Provincial/HUC Office or the requesting LGU through email/call/SMS. 	
5	<ul style="list-style-type: none"> Focal Person; Division Chief 	<ul style="list-style-type: none"> Prepare Endorsement 	<ul style="list-style-type: none"> Focal Person: If supporting documents are found complete, prepare Certification and Endorsement. Division Chief: Review the documents. If there are no errors and further queries, affix initial. Otherwise, return documents to the Focal Person for appropriate action. Forward to the Regional Director for signature. 	<ul style="list-style-type: none"> Certification Endorsement
6	<ul style="list-style-type: none"> Regional Director 	<ul style="list-style-type: none"> Approve the Endorsement 	<ul style="list-style-type: none"> Sign the Certification and Endorsement. Return to Focal Person for him to forward to Records Officer 	<ul style="list-style-type: none"> Certification Endorsement
7	<ul style="list-style-type: none"> Records Officer 	<ul style="list-style-type: none"> Release and log endorsement 	<ul style="list-style-type: none"> Release and log endorsement together with attached documentary requirements 	<ul style="list-style-type: none"> Certification Endorsement
8	<ul style="list-style-type: none"> LGMED Clerk 	<ul style="list-style-type: none"> Forward the signed Endorsement to DILG CO - BLGS 	<ul style="list-style-type: none"> Scan the signed Endorsement and send to DILG Central Office – BLGS via email and the original copy via courier Photocopy in two the signed Certification and Endorsement and provide 1 copy to LGMED and 1 to the focal person. Furnish copy of endorsed document the 	<ul style="list-style-type: none"> Certification Endorsement



Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			requesting LGU thru the concerned PO / HUC thru email	
9	Process Owners	Retain records	<ul style="list-style-type: none"> Retain generated records in accordance with Control of Retained Documented Information Procedure and Masterlist of Records 	<ul style="list-style-type: none"> R13-SP-02 Masterlist of Records

Definition of Terms:

- **Good Financial Housekeeping (GFH)** – a component of the Seal of Good Local Governance, formerly known as Seal of Good Housekeeping (SGH), which the DILG initiated in 2010. The GFH and SGH apply the same minimum criteria, namely: Unqualified or Qualified COA Opinion and Compliance with the Full Disclosure Policy (FDP)
- **Focal Person** – an officer or employee designated by the Director to take charge on the issuance of Certification on Good Financial Housekeeping.
- **Conspicuous Places** – publicly accessible places; a place easily noticed, readily visible or observable.
- **Civil Society Organization (CSO)** – includes Non Government Organizations (NGOs), People's Organizations (POs), basic sector organizations, cooperatives, trade unions, professional associations, faith-based organizations, media groups, indigenous people's movements, foundations, and other citizen's group which are non-profit and are formed primarily for social and economic development to plan and monitor government programs and projects, engage in policy discussion, and actively participate in collaborative activities with the government.

Legal References:

- Republic Act No. 7160, otherwise known as the Local Government Code of 1991.
- Rules and Regulations Implementing the Local Government Code of 1991
- DILG MC 2014-13 – titled dated February 6, 2014: "Issuance of FH Certification to Local Government with After-Assessment Compliance for purposes of Processing Loan or other National Government Program Windows".

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 LILIBETH A. FAMACION, CESO III Regional Director		
Process Owner	Deputy QMR	Regional QMR
		Top Management



DILG REGION XIII (CARAGA)
**QUALITY
 OBJECTIVE (QO)**

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DIVISION/FOU	Local Government Monitoring and Evaluation Division
QUALITY PROCEDURE TITLE	ISSUANCE OF CERTIFICATION ON GOOD FINANCIAL HOUSEKEEPING (GFH)

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
To process all GFH / FDP Certification requests of Local Government Units across the Region	<ul style="list-style-type: none"> LGU requests are released within the standard processing time upon receipt. 	<ul style="list-style-type: none"> 80 % 	<ul style="list-style-type: none"> Total number of endorsed LGU request within the standard processing time / Total number of received LGU requests 	<ul style="list-style-type: none"> Monthly 	<ul style="list-style-type: none"> Releasing Clerk / FDP Program Focal Person 	<ul style="list-style-type: none"> Process Summary Log Sheet

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DILG REGION XIII (CARAGA)
**PROCESS QUALITY MONITORING
 AND EVALUATION (QME)**

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DIVISON/FOU	Local Government Monitoring and Evaluation Division
PROCEDURE TITLE	Issuance of Certification on Good Financial Housekeeping (GFH).
OBJECTIVE STATEMENT	1. 80 % of LGU requests are released within the standard processing time upon receipt.
CURRENT PERIOD	

INDICATORS	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
Objective 1: 80 % of LGU requests are released within the standard processing time upon receipt.													
A Total number of requests endorsed within the 2 working days upon receipt													
B Total Number of requests received													
C Formula: $(A/B) \times 100$ Target Result: 80%													
D Gap Analysis: In case the objective is not met, put your analysis why it is not met													

Note: For unmet targets, the QMS Secretariat will issue Corrective/Preventive Action Report (CPAR) duly signed by the DILG-XIII Deputy QMR.

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 LILIBETH A. FAMACION, CESO III Regional Director		
Process Owner	Deputy QMR	Regional QMR
		Top Management





DILG REGION XIII (CARAGA)

Issuance of Certification on Good Financial Housekeeping (GFH) Process Summary Logsheet (PSL)

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QUALITY OBJECTIVE: 1) 80 % of LGU requests are released within the standard processing time upon receipt.

FREQUENCY OF MONITORING: Monthly

COVERED PERIOD:

Due Date of Submission:

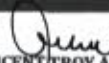
Legend:

No.	Control No.	PROVINCE	Date of Transmittal Letter	Date Received by RO Records Section/ Regional Focal Person	Date Submitted to BLGS	Objective Results			Remarks/Particulars
						Met	Unmet	Remarks, if unmet	
1									
2									
3									
4									
5									
6									
7									
8									

Total
Result


0 0 0

Prepared By



VINCENT/TROY A. CALO
TO I
Process Owner

Reviewed By



RAY GREGORY F. MANILLA
Division Chief
Deputy QMR

