



## 8. Operation

### 8.1 Operational planning and control

DILG XIII plans, implements and controls the processes needed to meet the requirements for the provision of products and services, and to implement the actions determined during Planning, by:

- a) determining the requirements for the products and services;
- b) establishing criteria for the processes and the acceptance of products and services;
- c) determining the resources needed to achieve conformity to the product and service requirements;
- d) implementing control of the processes in accordance with the criteria;
- e) determining, maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned; and to demonstrate the conformity of products and services to their requirements.

The output of this planning is suitable for DILG XIII's operations and referred to as Operations, Plans, and Budget (OPB) and Office Performance Commitment and Review Report (OPCR). The OPB is prepared annually, however, adjustments/re-alignment is allowed for the second semester. The OPCR is prepared, reviewed and approved every semester.

DILG XIII controls planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary. It ensures that outsourced processes are controlled.

DILG XIII plans and develops the processes needed for the realization of its major services as follows:

- a) Provision of:
  - technical and administrative assistance;
  - oversight function
  - rewards and incentives services

#### Relevant Documented Information:

Preparation of Operations Plan and Budget Procedure (QP-R13-ORD-37)  
Monitoring the Implementation of SPMS Procedure (QP-R13-FAD-09)

### 8.2 Requirements for products and services

#### 8.2.1 Customer communication

DILG XIII utilizes appropriate channels to communicate with clients regarding the following:

- a) products and services being provided by DILG XIII;
- b) questions/enquiries, contracts or orders, including changes;
- c) feedback, including customer complaints;
- d) handling or controlling customer property;
- e) establishing specific requirements for contingency actions, when relevant



Such channels include, but are not limited to the following:

- Citizens' Charter
- Website information
- Memos, letters and requests
- Email Service and SMS
- Customer satisfaction survey
- Orientations and fora
- Focus Group Discussion and meetings with other stakeholders
- Implementation of Freedom of Information Bill

**Relevant Documented Information:**

- Services Complaint Handling Procedure (R13-SP-05)
- External Client Satisfaction Survey Procedure (R13-SP-06)

**8.2.2 Determining the requirements for products and services**

When determining the requirements for the products and services to be offered to customers, DILG XIII ensures that:

- a) The requirements for the products and services are defined, including:
  - 1) any applicable statutory and regulatory requirements; and
  - 2) those considered necessary by the organization;
- b) It can meet the claims for the products and services it offers.

**8.2.3 Review of the requirements for products and services**

**8.2.3.1** DILG XIII ensures that it has the ability to meet the requirements for products and services to be offered to customers, including:

- a) requirements specified by the customer, including the requirements for delivery and post- delivery activities;
- b) requirements not stated by the customer, but necessary for the specified or intended use, when known;
- c) requirements specified by the organization;
- d) statutory and regulatory requirements applicable to the products and services; and
- e) requirements differing from those previously expressed which must be resolved, if any.

Client's requirements are confirmed by relevant Bureaus and Services before acceptance. Records (retained documented information) include the results of the review and any new requirements for the products and services.

**8.2.2.4 Changes to requirements for products and services**

DILG XIII ensures that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.



### **8.3 Design and Development of products and services**

#### **8.3.1 General**

DILG XIII in the exercise of its mandate ventures into design and development of its capacity development activities. Foremost in the mechanisms institutionalized for the design and development of this service is the Local Governance Regional Resource Center (LGRRC) which serve as the knowledge hub and center for collaboration and innovation. Its core service on capacity building includes development of training modules and other tools to aid in the delivery of capacity building services. This includes capacity development agenda preparation; training needs assessment tool development and designing; training program designing; and training manual/module and material development services.

These functions are taken on by the Local Governance Capability and Development Division (LGCDD) in the development of capacity building knowledge products and services.

The procedure on the provision of capacity development activities captures the design and development of training designs, materials and the packaging of the post training activity report, module or process documentation to form part of the organizational knowledge.

#### **8.3.2. Products and Services Design and Development Planning**

In determining the stages and controls for capacity building activities design and development the concerned Divisions and FOU of DILG XIII consider:

- a) the nature, duration, scale or magnitude and complexity of the capacity building activity;
- b) the required activity components and duration, including applicable policy guidelines;
- c) the required capacity building design verification and validation activities;
- d) the responsibilities and authorities involved in the capacity development process, including where required, external parties;
- e) the internal and external resource needs for the development of the capacity building activities design;
- f) the need to control interfaces between persons involved in the capacity building activities design and development process;
- g) the need for involvement of customers and users (e.g. Regional and Field Offices) in the capacity building activities design and development process;
- h) the requirements for subsequent implementation of the capacity building activity;
- i) the level of control expected for the capacity building activities design and development process by customers and other relevant interested parties; and
- j) the documented information needed to demonstrate that capacity building requirements have been met.

#### **8.3.3 Products and Services Design and Development inputs**

The concerned division or FOU of DILG XIII determines the requirements essential for the specific types of capacity building activities to be designed and developed. It considers:

- a) customer or client requests or needs;
- b) functional and performance requirements and results of monitoring tools;
- c) information derived from previous similar design and development activities;
- d) statutory, regulatory and policy guidelines and issuances requirements;
- e) programs, plans and activities that the organization has committed to implement; and
- f) potential consequences of failure due to the nature of the capacity building activity

Inputs are adequate for capacity building design purposes, complete and unambiguous. Conflicting references and directives for the capacity building activities are resolved for clarity. Documented information on policy Development and training and mentoring program design inputs are retained.



### 8.3.4 Products and Services Design and Development controls

DILG XIII applies controls to the capacity building activities design and development processes to ensure that:

- a) the results to be achieved are defined;
- b) reviews are conducted to evaluate the ability of the results of design and development to meet requirements;
- c) verification activities are conducted to ensure that the design and development outputs meet the input requirements;
- d) validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use;
- e) any necessary actions are taken on problems determined during the reviews, or verification and validation activities; and
- f) documented information of these activities is retained.

### 8.3.5 Products and Services Design and Development outputs

DILG XIII ensures that capacity building activities design outputs:

- a) meet the input requirements;
- b) are adequate for the subsequent processes for the provision of DILG services;
- c) include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria, where appropriate; and
- d) specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision.

Relevant documented information on capacity building activities design and development are retained.

### 8.3.6 Products and Services Design and Development changes

The concerned Office identify, review and control changes made during, or subsequent to, the capacity building activity design to the extent necessary to ensure that there is no adverse impact on conformity to requirements. The concerned Office retains documented information on:

- a) capacity building design changes;
- b) the results of reviews and verification;
- c) the authorization of the changes; and
- d) the actions taken to prevent adverse impacts.

#### Relevant Documented Information:

Provision of Capacity Development Activities Procedure (QP-R13-LGCDD-16)

## 8.4 Control of externally provided processes, products and services

### 8.4.1 General – Procurement Process

DILG XIII ensures that externally provided processes, products and services conform to requirements (specifications) and complies with the Procurement Law (RA 9184, its implementing rules and regulations) and COA's audit rules and regulations. It determines the controls to be applied to externally provided processes, products and services relevant to its products and services. For planning purposes, an Annual Procurement Plan (APP) and Project Procurement Management Plan (PPMP) are prepared, reviewed, and approved which serves as authority document for DILG XIII's procurement activities.



DILG XIII, through the General Services Section, evaluates and selects external providers (suppliers) based on their ability to supply / provide processes, products and services in accordance with specifications. Relevant criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers were determined and applied based on their ability to provide processes or products and services in accordance with requirements. Also, as part of the requirement, external providers (suppliers), with intention to transact business with DILG, shall be duly registered as eligible suppliers.

Appropriate documented information of these activities and any necessary actions arising from the evaluations are retained.

#### **8.4.2 Type and extent of control**

DILG XIII ensures that externally provided processes, products and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customers and:

- a) ensures that externally provided processes remain within the control of its quality management system;
- b) defines both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;
- c) takes into consideration:
  - 1) the potential impact of the externally provided processes, products and services on the organization's ability to consistently meet customer and applicable statutory and regulatory requirements; and
  - 2) the effectiveness of the controls applied by the external provider;
- d) determines the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements. Purchased products/services are subject to inspection by Property Officer and Technical Property Inspector prior to acceptance by concerned Supply Officers

#### **8.4.3 Information for external providers**

DILG XIII ensures the adequacy of requirements prior to their communication to external providers as specified in appropriate forms, such as Agency Procurement Request (APR), Purchase Requests (PR), Purchase Orders (PO), Terms of References (TORs), and Contracts, whichever is applicable, depending on the product or service for procurement, which are duly reviewed and approved. These forms describe the process, products or services to be purchased including, where appropriate, and thus communicates to external providers its requirements for:

- a) the processes, products and services to be provided;
- b) the approval of:
  - 1) products and services;
  - 2) methods, processes and equipment; and
  - 3) the release of products and services;
- c) competence, including any required qualification of persons;
- d) the external providers' interactions with DILG XIII and its personnel;
- e) control and monitoring of the external providers' performance to be applied by the organization; and
- f) verification or validation activities that the organization, or its customer, intends to perform at the external providers' premises.



The DILG XIII through the Procurement Section and Property Account Section, General Services Division, and the Bids and Awards Committee ensures the adequacy of the purchasing/procurement information prior to communication to the external provider / supplier.

**Relevant Documented Information:**

Processing of Procurement Goods and Services thru Public Bidding Procedure (QP-R13-FAD-04)  
Processing of Procurement Goods and Services thru Alternative Methods (QP-R13-FAD-05)  
Inspection of Deliveries Procedure (QP-R13-FAD-06)  
Annual Procurement Plan (QP-R13-FAD-12)  
Project Procurement Management Plan  
Registry of Suppliers  
Policy Issuance on Supplier Evaluation

**8.5. Operation and Service provision****8.5.1 Control of operation and service provision**

DILG XIII implements operation and service provision under controlled conditions. Controlled conditions include, as applicable:

- a) the availability of documented information that defines:
  - 1) the characteristics of the services to be provided, or the activities to be performed; and
  - 2) the results to be achieved;
- b) the availability and use of suitable monitoring and measuring resources, where needed;
- c) the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for services, have been met;
- d) the use of suitable infrastructure and environment for the operation of processes;
- e) the appointment of competent persons, including any required qualification.
- f) (Note: 8.5.1f of ISO 9001:2015 is not applicable because all resulting outputs and services of DILG XIII and its Divisions' and Field Operating Units' resulting output can be verified by subsequent monitoring or measurement;
- g) the implementation of actions to prevent human error; and
- h) the implementation of release, delivery and post-delivery activities.

**Relevant Documented Information:**

Provision of Capacity Development Activities Procedure (QP-R13-LGCDD-16)  
Review of GAD Plan and Budget Procedure (QP-R13-LGCDD-18)  
Provision of Technical Assistance for the Implementation of Community-Based Monitoring System (CBMS) Procedure (QP-R13-LGMED-26)  
Provision of Technical Assistance on ICT Resources Procedure (QP-R13-ORD-31)  
Rendition of Legal Opinion Procedure (QP-R13-ORD-34)  
Conduct of Fact-Finding Investigation Procedure (QP-R13-ORD-39)  
Monitoring of Locally-Funded Projects Procedure (QP-R13-ORD-38)  
Handling of Services Complaints Procedure (R13-SP-05)  
Administration of External Client Satisfaction Survey Procedure (R13-SP-06)  
Endorsement of Application for LGU Scholarship Grant Procedure (QP-R13-LGCDD-17)  
Provision of LGRRC Services Procedure (QP-R13-LGCDD-19)  
Local Government Unit Seal of Good Local Governance (SGLG) Procedure (QP-R13-LGMED-22)



- Review and Endorsement of LGU Request for Authority to Purchase Motor Vehicles Procedure (QP-R13-LGMED-23)
- Endorsement of LGU Request for Approval of Additional Confidential Fund Procedure (QP-R13-LGMED-24)
- Processing of Performance Challenge Fund (PCF) Grant Procedure (QP-R13-LGMED-27)
- Processing of Death and Burial Benefit Claim of Barangay Officials Procedure (QP-R13-LGMED-28)
- Processing of Barangay Officials' Request for Certification on the Services Rendered for Civil Service Commission Eligibility Procedure (QP-R13-LGMED-29)
- Processing of Sanggunian Panlalawigan/Panlungod/Bayan Member Request for Certification to support application for Civil Service Commission Eligibility Procedure (QP-R13-LGMED-30)
- DILG PPA Implementation Monitoring and Reporting Procedure (QP-R13-LGMED-20)
- Implementation of Order, Resolution or Decision of Judicial or Quasi-Judicial Agencies Procedure (QP-R13-ORD-35)
- Assessment of Lupong Tagapamayapa Incentives Awards (LTIA) Procedure (QP-R13-LGMED-25)

### 8.5.2 Identification and traceability

Concerned processes and process owners in each Bureau and Service of DILG XIII uses suitable means to identify outputs and their status throughout operation and service provision, when it is necessary, to ensure the conformity of its services.

FOUs and Divisions provide and control the unique identification of the outputs when traceability is a requirement, and retains the documented information necessary to enable traceability. Appropriate identification and traceability control number, as maybe applicable, is provided to pertinent records and documents resulting from the core services provided by DILG XIII as follows:

- Legal opinion
- Action Document for Public assistance and complaints handling
- DBC Tracker Sheet
- Fact Finding Investigation Report
- Implementation Order for Order, Resolution or Decision of Judicial or Quasi-Judicial Agencies
- Corrective Action Report
- Press Release
- Regional Issuances (Regional Order, Regional Memorandum Circulars, Office Orders)

### 8.5.3 Property belonging to customers or external providers

DILG exercises care with property belonging to customers or external providers while it is under DILG XIII's control or being used by the organization guided both by the Data Privacy Act and the Freedom of Information Bill.

DILG identifies, verifies, protects and safeguard customers' or external providers' property provided for use or incorporation into the products and services.

When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider and retain documented



information on what has occurred.

#### **8.5.4 Preservation**

The control and preservation of outputs and materials (office supplies, accountable forms, and related QMS materials) are delegated to the designated Supply Officers of each division/office which are then responsible for the safekeeping, protection, and issuance of these materials to ensure conformity to requirements.

#### **Relevant Documented Information:**

Control of Records Procedure (R13-SP-02)

Inventory and Disposal of Fixed Assets Procedure (QP-R13-FAD-07)

#### **8.5.5 Post-delivery activities**

DILG XIII and its FOU's and Divisions meet requirements for post-delivery activities associated with the programs, projects and services.

In determining the extent of post-delivery activities that are required, DILG XIII considers:

- a) statutory and regulatory requirements;
- b) the potential undesired consequences associated with its products and services;
- c) the nature, use and intended lifetime/duration of its programs, projects and services;
- d) customer requirements; and
- e) customer feedback.

Post-delivery activities can include services related to completed projects and programs.

#### **8.5.6 Control of changes**

DILG XIII controls changes for operation or service provision, to the extent necessary to ensure continuing conformity with requirements and retains documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review. Where necessary, changes to programs and plans is covered with a policy and/or activity design.

#### **8.7 Release of products and services**

DILG XIII implements planned arrangements, at appropriate stages, to verify that the service requirements have been met. The release of services to the customer does not proceed until the planned arrangements have been satisfactorily completed and approved, unless otherwise approved by a relevant authority and, as applicable. Documented information on the release of products and services are retained, which include:

- a) evidence of conformity with the acceptance criteria; and
- b) traceability to the person(s) authorizing the release.

#### **8.6 Control of Nonconforming Outputs**





DILG REGION XIII (CARAGA)  
**QUALITY  
 MANUAL (QM)**

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The DILG XIII identifies and controls non-conforming outputs (e.g. typographical errors and errors resulting from processing lapses) to prevent their unintended use or delivery and adequately controls such, in accordance with the documented procedure including the disposition actions and responsibilities, and identifies the authority deciding the action in respect of the nonconformity.

This also applies to nonconforming products and services detected after delivery, during or after the provision of services. DILG XIII deals with nonconforming outputs in one or more of the following ways:

- a) correction;
- b) segregation, containment, return or suspension of provision of products and services;
- c) informing the customer; and
- d) obtaining authorization for acceptance under concession.

Conformity to the requirements is verified when nonconforming outputs are corrected. Disposition or recommended action maybe replacement, reprocessing, or other actions of which status of implementation is verified by the respective Heads of Office. DILG XIII retains documented information that describes the nonconformity, the actions taken,

**Relevant Documented Information:**

Control of Non-Conforming Outputs Procedure (R13-SP-03)

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