ISO

9001:2015

DILG REGION XIII (CARAGA)

QUALITY MANUAL

1. INTRODUCTION

DILG-XIII is in consonance with the program of the Philippine government and the following regulations intended to institutionalize best practices in all government agencies:

a) EO 605 dated February 23, 2007 - Institutionalizing the Structure, Mechanisms and Standards to Implement the Government Quality Management Program, Amending for the Purpose Administrative Order No. 161 s. 2006. In addition
b) Administrative Order No. 25 Inter-Agency Task Force (IATF)
c) Inter-Agency Task Force on the Harmonization of National Government Performance Monitoring. Information and Reporting Systems' yearly Memorandum Circular prescribing the criteria and conditions for the grant of Performance-Based Bonus (PBB) (e.g. Memorandum Circular No. 2016-1 dated May 12, 2016 and Memorandum Circular No. 2017-1 dated March 09, 2017).

DILG XIII established its initial Quality Management System based on ISO 9001:2005. It sought to certify its system covering all the key services and processes of DILG XIII in line with the essence and intent of the upgraded version under the "Clause 4: Context of an Organization" of the standard requiring the organization to align its QMS to its purpose and strategic direction.

1.1. Purpose

This Quality Manual aims to achieve the following objectives:

a) To serve as an effective tool in communicating relevant information to the stakeholders / interested parties the different products and services of the Department consistent with its mandate and mission. It also considered the applicable government policies and regulations including freedom of information.
b) To provide evidence of DILG XIII's conformity to the different legal /regulatory, customer/ stakeholder and organizational requirements through the documented information that it maintains and retains. These requirements include pertinent provisions of ARTA (Anti-Red Tape Act) and resulting evidences which are suitably controlled consistent with applicable regulations of the National Archives Law of the Philippines (NAP).
c) To provide a medium for knowledge sharing between the different operating groups and functions within the Department, thus enhancing effectiveness and efficiency across all levels that contribute to the enhancement of customer satisfaction.
d) To disseminate and preserve the organization's experiences in the overall operation and control of its processes in the course of the delivery of its products and services to the public in general and the LGUs in particular.

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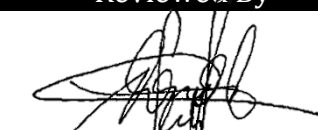| Document Code		
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1.2. Content

This Quality Manual covers both the documented information required by ISO 9001:2015 and those determined by DILG as necessary for the effective planning, operation and control of its Quality Management System (QMS). It contains the different policies and commitments of the DILG Management that would demonstrate its firm resolve to conform to and comply with the applicable requirements. Designed as Level 1 document, the Quality Manual will lead the user to the different sections and aspects of the DILG XIII's QMS through cross-referencing as outlined in the documentation hierarchy of the QMS through each pertinent section.

1.3. Amendment or Revision

This Quality Manual is a live document. It is maintained up-to-date to reflect the current policies, procedures and practices across the department's regional operations. It is amended or revised as deemed necessary by the Management, Heads, Process Owners, and other interested parties by their feedback or initiative. These amendments and revisions are governed by the procedure on the Control of Maintained Documented Information (Document Control) through the Document Control Request.

1.4. Distribution

This Quality Manual is distributed to identified copy holders in the Quality Manual Distribution List.

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2. DEFINITION OF TERMS

For the purpose of providing a clear and common understanding of terms to be used in Quality Management System documentations, terms and definitions given in *ISO 9000:2015 – Fundamentals and Vocabulary,* shall be applied.

In addition to those given in ISO 9000:2015 – the following terms and definitions generally apply to DILG XIII's QMS.

a) DILG Central Office (DILG CO) – refers to the main office of DILG which covers the Office of the Secretary, Office of the Undersecretaries, Office of the Assistant Secretaries, Internal Audit Service (IAS), Bureau of Local Government Supervision (BLGS), Bureau of Local Government Development (BLGD), Office of Project Development Services (OPDS), National Barangay Operations Office (NBOO), Planning Service (PS), Financial and Management Service (FMS), Administrative Service (AS), Public Affairs and Communications Service (PACS), Information Systems and Technology Management Service (ISTMS), and Legal and Legislative Liaison Service (LLLS).

b) Regional Office – refers to DILG Office in each of these seventeen (17) Regions – including Caraga Region. The Regional Office has a direct link to the Central Office. The divisions and units of the regional office include the Local Government Monitoring and Evaluation Division (LGMED) which subsumes the Regional Peace and Order Council (RPOC) Secretariat and the Patrol 117; Local Government Capability and Development Division (LGCDD) which subsumes the Local Governance Regional Resource Center (LGRRC) and Regional Project Management Team (RPMT); Finance and Administrative Division (FAD); and the Office of the Regional Director (ORD) which subsumes the Legal Unit, the Planning Unit, the Communications Team and the Regional Project Development and Management Unit (RPDMU).

c) Field Office / Field Operating Unit (FOU) – this refers to the DILG Office in each of the lower levels of the LGUs in the region- Provincial Offices in Agusan del Norte (DILG-ADN), Agusan del Sur (DILG-ADS), Surigao del Norte (DILG-SDN), Surigao del Sur (DILG-SDS), Province of Dinagat Islands (PDI); Butuan City Office (DILG-BXU) and the 5 component City Offices and 67 Municipal Offices – under the supervision of the Regional Office.

d) Clients/Customers – refer to persons or entities outside the DILG XIII organizational structure who/which are the intended beneficiary of DILG XIII Programs, Projects, Activities (PPAs) and services. In consideration of the QMS scope, this specifically refers to the Regional Office, Field Offices, Local Government Units/Officials/Employees and the general public.

e) Operations Processes – refer to core processes that are directly involved in the performance of the mandate of the DILG XIII in the provision of LGU capacity development services, performance oversight and incentives and awards which are intended for its clients/customers.

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f) Support to Operations Processes – refer to processes needed to ensure the satisfactory performance of the core processes delivered by the different support service offices – LGMED, LGCDD, FAD and ORD - which caters the officials, employees and/or operating units/offices of the DILG XIII.

g) External Documents/References – Documents of external origin - usually from DILG-CO, other DILG Regional Offices, Office of the President (OP), Civil Service Commission (CSC), Commission on Audit (COA), Department of Budget (DBM), other National Government Agencies (NGAs) and Regional Line Agencies (RLAs), Local Resource Institutions (LRIs),Local Government Units (LGUs), National Government Organizations (NGOs), Civil Society Organizations (CSOs), Government Financial Institutions (GFIs), Government-Owned and Controlled Corporations (GOCCs), and other Institutions - necessary for planning and operations which include Circulars, Memorandums, Republic Acts, Executive Orders, Administrative Orders, Guidelines, Manuals, Resolutions, Orders, other Issuances, Reportorial and Compliance Forms, among others.

h) Form – A document in a structured format with standardized data fields that gathers information as a requirement of a certain regulation or necessary in achieving desired process, procedure, and/or service outputs/objectives/results that when duly filled out, are considered records.

i) Major Final Output (MFO) – the major deliverables of the DILG which are measured, evaluated, monitored and reported as performance results of the Department. Specifically, this refers to LGU capacity development, performance oversight, and rewards and incentives.

j) Top Management – this refers to the high level management which includes the Regional Director, Assistant Regional Director and Provincial and City Directors.

k) Quality Management Representative (QMR) - Is a designated member of the top management, who has the responsibility and authority to ensure that adequate resources and management support are provided for the effective implementation, sustainability, and continual improvement of the Quality Management System (QMS).

l) Deputy QMR – is the designated Assistant Regional Director who oversees the overall affairs of the QMS and reports to the QMR the performance of the QMS and any need for improvement and performs the functions of the QMR in his/her absence.

m) Internal Quality Audit (IQA) – A systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine compliance to international standard requirements for QMS.

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Other terms and definitions deemed applicable to a specific process or function are defined in the specific quality procedure (QP).

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3. ORGANIZATIONAL BACKGROUND

3.1 The Department of the Interior and Local Government (DILG)

The Department of the Interior and Local Government is the executive department of the Philippine government responsible for promoting peace and order, ensuring public safety and strengthening local government capability aimed towards the effective delivery of basic services to the citizenry.

The main powers and functions of DILG are the following: assists the President in the exercise of general supervision over local governments; advises the President in the promulgation of policies, rules, regulations and other issuances on the general supervision over local governments and on public order and safety; establishes and prescribes rules, regulations and other issuances to implement laws on public order and safety, general supervision over local governments and promotion of local autonomy and community empowerment, and monitors compliance thereof; formulates plans, policies and programs which will meet local emergencies arising from natural and man-made disasters; establishes a system of coordination and cooperation among the citizenry, local executives and the Department, to ensure effective and efficient delivery of basic services to the public.

3.1a History and the DILG Mandate

*The present Department of the Interior and Local Government (DILG) traces its roots from the Philippine Revolution of 1897. On March 22, 1897, the Katipunan Government established the first Department of Interior at the Tejeros Convention.

A revolutionary government was also established at that time and the new government elected General Emilio Aguinaldo as President and Andres Bonifacio as Director of Interior, although Bonifacio did not assume the post. At the NAIC Assembly held on April 17, 1897, President Aguinaldo appointed General Pascual Alvarez as Secretary of the Interior.

The Department of Interior was enshrined in the Biak-na-Bato Constitution signed on November 1, 1897. Article XV of the said Constitution defined the powers and functions of the Department that included statistics, roads and bridges, agriculture, public information and posts, and public order.

As the years of struggle for independence and self-government continued, the Interior Department became the premier office of the government tasked with various functions ranging from supervision over local units, forest conservation, public instructions, control and supervision over the police, counter-insurgency, rehabilitation, community development and cooperatives development programs.

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In 1950, the Interior Department was abolished and its functions were transferred to the Office of Local Government (later renamed Local Government and Civil Affairs Office) under the Office of the President. On January 6, 1956, President Ramon Magsaysay created the Presidential Assistant on Community Development (PACD) to implement the Philippine Community Development Program that will coordinate and integrate, on a national scale, the efforts of various governmental and civic agencies to improve the living conditions of barrio residents nationwide and make them self-reliant.

In 1972, Presidential Decree No. 1 created the Department of Local Government and Community Development (DLGCD) through Letter of Implementation No. 7 on November 1, 1972. Ten years later or in 1982, the DLGCD was reorganized and renamed Ministry of Local Government (MLG) by virtue of Executive Order No. 777; and in 1987, it was further reorganized and this time, renamed Department of Local Government (DLG) by virtue of Executive Order No. 262.

Again, on December 13, 1990, by virtue of Republic Act No. 6975, the DILG underwent reorganization into what is now known as the Department of the Interior and Local Government (DILG). The law integrated under the new DILG, the Philippine National Police (formerly known as the Philippine Constabulary-Integrated National Police), the National Police Commission, the Bureau of Fire Protection, the Bureau of Jail Management and Penology, and the Philippine Public Safety College; and absorbed the National Action Committee on Anti-Hijacking from the Department of National Defense (DND).

The passage of RA 6975 also paved the way for the union of the local governments and the police force after more than 40 years of separation.Today, the Department faces a new era of meeting the challenges of local autonomy, peace and order, and public safety.*

3.1b Vision, Mission, Goals, Objectives, and Brand Identity

DILG Vision

A strongly determined and highly trusted Department committed to capacitate and nurture local government units, public order and safety institutions to sustain peaceful, progressive, and resilient communities where people live happily.

DILG Mission

The Department shall promote peace and order, ensure public safety, and strengthen capability of local government units through active people participation and a professionalized corps of civil servants.

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DILG Goals

- Develop, peaceful, safe, self-reliant and development- directed communities;
- Improve performance of local governments in governance, administration, social and economic development and environmental management;
- Sustain peace and order condition and ensure public safety.

DILG Objectives

- Reduce crime incidents and improve crime solution efficiency;
- Improve jail management and penology services;
- Improve fire protection services;
- Continue professionalization of PNP, BFP and BJMP personnel and services;
- Enhance LGU capacities to improve their performance and enable them to effectively and efficiently deliver services to their constituents;
- Continue to initiate policy reforms in support of local autonomy.

DILG Brand Identity

The DILG Personnel render public service under the brand of "**M**atino**, M**ahusay**,** at **M**aaasahangkagawaran para sa **M**apagkalinga at **M**aunlad na Pamahalaang Lokal.**" ("Committed, Excellent, and Dependable Agency towards a Caring and Developed Local Government.")**The core values espoused in the brand identity are as follows:

- **Matino** – Sensible, accountable, committed and works with integrity
- **Mahusay** – Skillful, capable, methodical, aims for excellence, mastery of knowledge and skills
- **Maaasahan** – Reliable, dependable and accessible
- **Mapagkalinga**– Caring, sensitive and responsive, attentive
- **Maunlad**– Progressive, developed, matured, enhanced, evolved

3.2. The DILG Region XIII

The approval of the Rationalization Plan of the Department of the Interior and Local Government (DILG) pursuant to Executive Order (EO) No. 366, gave the DILG the opportunity to reconfigure its structure and operations so that it can effectively provide oversight over LGUs and strengthen LGU capacity for governance.

This rationalized structure orchestrated improvements in the systems and processes of all units that will eventually lead to improved organizational outcomes. The approved rationalized structure and the DILG Outcome-Based Framework are shown in the following figures:
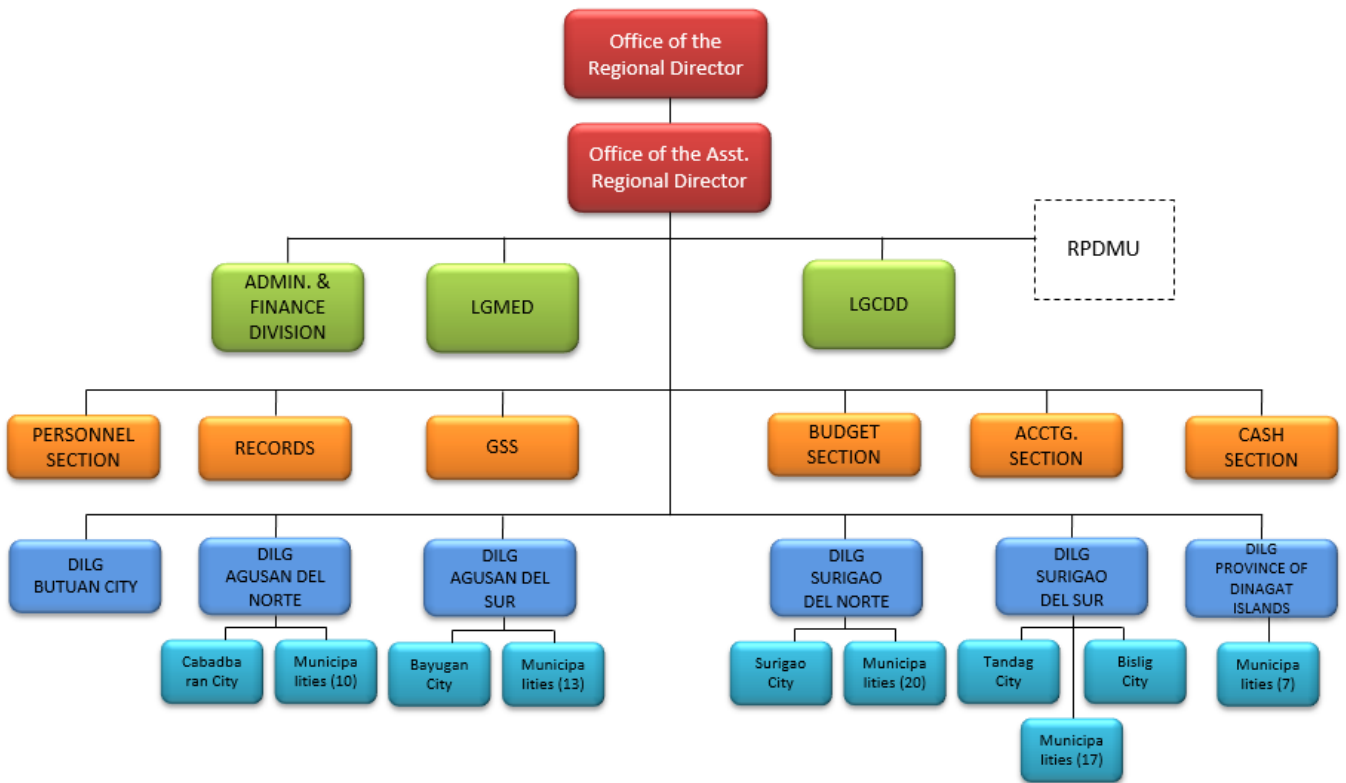
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Figure 1 (DILG-XIII Organizational Structure)

Figure 2 (DILG Outcome-Based Framework)

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The Quality Management System is in conjunction with the thrust of the DILG in strengthening its internal governance to improve the organization's productivity and the effectiveness of current systems.

DILG Region XIII (Caraga) serves as the National Government Agency that: (i) formulate sound policies on strengthening local government capacities, exercising effective performance oversight, and providing incentives and rewards to LGUs; and (ii) provide effective technical and administrative services to promote excellence in local governance and enhance the service delivery of its Regional and Field Offices, and to the LGUs.

It takes the lead in delivering the following key strategies of the Department:

- Foster and sustain transparency, accountability and high level of performance among LGUs.
- Improve LGU readiness in dealing with disasters and climate change.
- Improve the business competitiveness of selected LGUs and widen people's access to livelihood and employment opportunities.
- Improve LGU capacity to deliver basic services especially to the poor and/or marginalized.

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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

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- 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

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. **Provision of:**

   Technical Assistance Services:
   - Rendition of Legal Opinion
   - Conduct of Fact-Finding Investigation
   - Review and Provision of Comments / Recommendation of Legal Documents
   - Issuance of Certification on Good Financial Housekeeping (GFH)
   - Provision of Capacity Development Activities
   - Review of the HUC and Provincial GAD Plan and Budget
   - Provision of Technical Assistance for the Implementation of Community-Based Monitoring System (CBMS)
   - Monitoring of Locally-Funded Projects
   - DILG PPA Implementation Monitoring
   - Services Complaints Handling
   - Administration of External Client Satisfaction Survey

   Administrative Assistance Services:
   - Endorsement of Application for LGU Scholarship Grant
   - Processing of Death and Burial Benefit Claim of Barangay Officials
   - Processing of Barangay Officials' Request for Certification on the Services Rendered for Civil Service Commission Eligibility

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- Processing of Sanggunian Panlalawigan/Panlungod/Bayan Member Request for Certification to support application for Civil Service Commission Eligibility

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

Rewards and incentives:
- Assessment for Lupong Tagapamayapa Incentives Awards (LTIA)
- Local Government Unit Seal of Good Local Governance (SGLG) Assessment
- Processing of Performance Challenge Fund (PCF) Grant

Support to Operations:
- Provision of LGRRC Services
- Review and Provision of Comments / Recommendation of Legal Documents
- Processing of Press Releases – Written
- Management of DILG 13 Website
- Development of IEC Materials
- Provision of TA on ICT Resources
- Preparation and Submission of Financial Accountability Reports (FAR1 & FAR1A)
- Processing and Payment of Claims
- Processing of Liquidation of Cash Advances
- 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
- Inventory & Disposal of Fixed Assets
- Maintenance and Repair of Equipment and Vehicles
- Recruitment, Selection and Promotion (RSP) for 1st and 2nd level
- Management of Records
- Administration of Leave of Absences
- Learning and Development
- Provision of Vehicular Support Services
- Monitoring of Implementation of Strategic Performance Management System (SPMS)
- Operations Planning and Budgeting
- QMS Planning
- Risk Identification, Evaluation and Control
- Control of Maintained Documented Information (Internal and External)
- Control of Retained Documented Information
- Internal Quality Auditing
- Management Review
- Correction and Corrective Action

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The number of QMS processes per Division is: Finance and Administrative Division (15), Local Government Monitoring and Evaluation Division (11), Local Government Capability and Development Division (4) and the Office of Regional Director (10).The scope also covers: ISO QMS systemic processes (11).

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.

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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.

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:
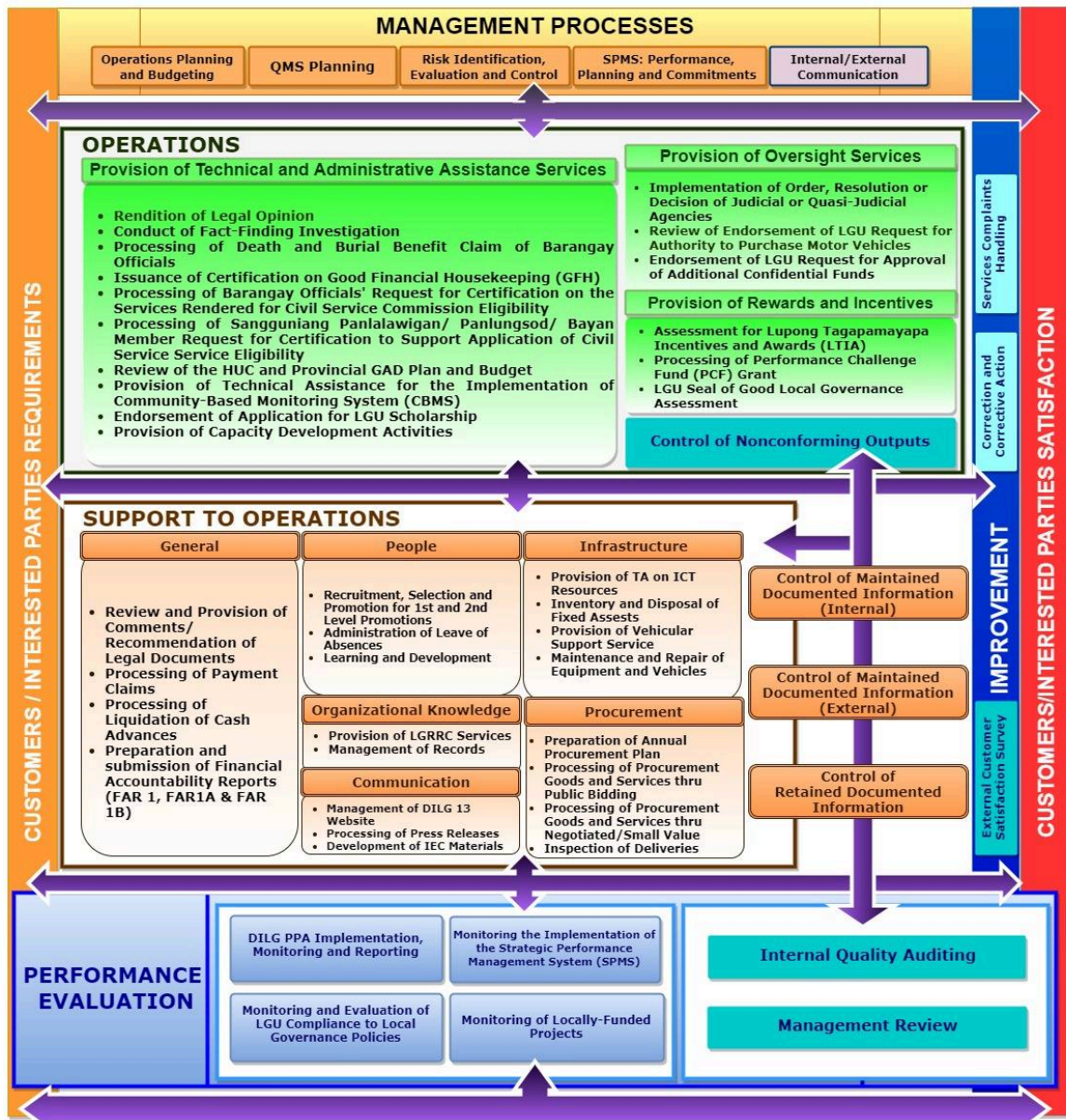
Figure 4. DILG XIII Business Process Map

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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, and implementing internal communication within the QMS.

- 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; Conduct of Fact-Finding Investigation; Review and Provision of Comments / Recommendation of Legal Documents; Issuance of Certification on Good Financial Housekeeping (GFH); Provision of Capacity Development Activities; Review of the HUC and Provincial GAD Plan and Budget; Provision of Technical Assistance for the Implementation of Community-Based Monitoring System (CBMS); Services Complaints Handling; Administration of External Client Satisfaction Survey; Endorsement of Application for LGU Scholarship Grant; Processing of Death and Burial Benefit Claim of Barangay Officials; Processing of Barangay Officials' Request for Certification on the Services Rendered for Civil Service Commission Eligibility; and Processing of Sanggunian Panlalawigan/Panlungod/Bayan Member Request for Certification to support;

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

   (c) rewards and incentives, through: Assessment for Lupong Tagapamayapa Incentives Awards (LTIA); Local Government Unit Seal of Good Local Governance (SGLG) Assessment; and Processing of Performance Challenge Fund (PCF) Grant

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- **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 15 procedures covering the full range of support to operations processes of DILG XIII in the following areas:

General:
- Review and Provision of Comments / Recommendation of Legal Documents
- Preparation and Submission of Financial Accountability Reports (FAR1 & FAR1A)
- Processing and Payment of Claims
- Processing of Liquidation of Cash Advances

People:
- Administration of Leave of Absences
- Learning and Development
- Recruitment, Selection and Promotion (RSP) for 1st and 2nd level

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

Organizational Knowledge:
- Provision of LGRRC Services
- Management of Records

Communication:
- Processing of Press Releases – Written
- Management of DILG 13 Website
- Development of IEC Materials

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

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- Performance Evaluation Processes-The core and support processes are further supported by feedback from Monitoring, Measurement, Analysis, and Evaluation Processes as follows:
  - Monitoring of Implementation of Strategic Performance Management System (SPMS)
  - Monitoring of Locally-Funded Projects
  - DILG PPA Implementation Monitoring
  - Internal Quality Auditing
  - Management Review

- Control Processes for Documented Information – The implementation of the QMS processes are duly documented as follows:
  - Control of Maintained Documented Information (Internal and External)
  - Control of Retained Documented Information

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

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

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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.
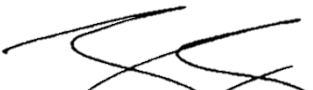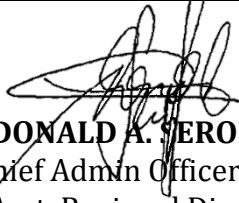
4.4.1d Controls over QMS Processes

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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INTERNAL ISSUES

PERSPECTIVE	INTERNAL ISSUES	AREA AFFECTED	BASIS OF THE ISSUE	RISKS/ OPPORTUNITIES (RO)	RECOMMENDED ACTION
Business Friendly and Competitive LG					
VALUES	Procrastination	All	• Low rate of completion, late submissions	• Low performance, unreached targets, work reshuffling/reassignment	• Closer supervisor monitoring, strengthen PRAISE
	Tardiness and absenteeism	All	• DTR records		• monitor and analyze causes and give coaching,
	Apathy, complacency/ lack of commitment	All	• Observed behavior	• Low client satisfaction, Low quality outputs	• Values reinforcement
	Superiority complex	All	• Instances of quarrels • Decreasing performance, complaints	• Destabilizes work relationships/cooperation	• Values formation
	Demotivation, Low morale and burnout	All	• Zero tardiness and leaves of MLGOOs	• Low performance, unreached targets	• RnR, Team Building, strengthen incentives and awards
	Dishonesty	HR	• Not reporting to station	• Loss of DILG Reputation • Clients deprived of services	• Enroll MLGOOs in LGU's Biometrics, require Biometric-based DTRs, enforce sanctions on non-compliance
CULTURE	• Favoritism • Competition and Comparing	HR, All	• Observed instances of unequal treatment • Intrigues	• Destabilizes work relationships/cooperation • lowers morale	• Fair and objective treatment of all personnel, transparent and objective PBB ranking • Equal incentives (RATA, awards)
	Inequitable distribution of workload	HR, All	• Employee feedback during staff meetings, observed instances	• leads to burnout or decreased performance of performing personnel	• Capacitate underperformers, supervisor monitoring of IPCR targets and ratings
	No CTO	HR	• The same personnel required to render overnight, weekend or holiday duty and not given CTO as allowed by CSC	• Risk to health, morale and performance of employees	• Allow CTO

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KNOWLEDGE	Lack of competence	HR, All	manifested low quality outputs	• Low performance, unreached targets, work reshuffling/reassignment	• CapDev, ie. Trainings, Coaching, Mentoring, Knowledge sharing, benchmarking • Promote deserving employees
	Mismatch of position & responsibility	HR, All	• junior and admin staff doing higher level responsibilities, vice versa	• leads to burnout or decreased performance of performing personnel, rewards underperformers, lost respect over position/management	• Fill Up vacancies • Give more responsibilities to, & expect more competence from higher positions to give justice to their salary
	Inadequate information/directives on PPA implementation	Operations	• Expressed difficulty in project implementation	• Low performance, unreached targets, creates client confusion/dissatisfaction	• seek clear directives/policies
PERFORMANCE	Lack of personnel	HR, All	• Low personnel complement	• Low performance, unreached targets, overburdened personnel • Reliance on limited personnel to keep the program running, disrupts operations in his/her absence	• Fill in Vacancies
	Mediocre and Haphazard outputs	All	• Substandard error-ridden outputs	• Low client satisfaction, garbage-in, garbage-out, waste of resources	• Capacitate personnel, set standards that are applicable to all (IPCR)
	Delayed/Stalled performance	Operations	• Late submissions	• Low performance, unreached targets	• close monitoring of implementation
	Personnel Trained are not the ones doing the tasks/functions	Operations, HR	• Employee feedback during staff meetings, observed instances	• low compliance to guidelines/agreements in implementing the PPA	• Knowledge sharing • Proper tasking and sending the actual in-charge to trainings
	Issuances with "no teeth"	Operations, All	• Observed deviations from issuances, unsanctioned violators	• Personnel with no regard for the issuances	• Management/proponents to champion application • enforcement of disciplinary actions
	Delayed Procurement processing (BAC members are already overloaded)	General Services, Finance, Operations	• delayed procurement of supplies/materials • Delayed processing/payments	• Delay in program implementation • Sacrifices quality of output • Negative COA findings, bad reputation with suppliers • Some personnel shell out personal funds	• Fill up vacancies and assign BAC to less burdened personnel

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	No definitive/clear understanding on the functional roles of the outcome and program managers	Field operations	• manifested quandary on the performance	• low performance	• Request for issuance • Define clearly the roles and responsibilities, scope of authority, etc. of outcome manager vs program manager
Climate Change Adaptive, Disaster Resilient and Environmentally Protective LG					
VALUES	• Intrigues • High absenteeism • Habitual Tardiness • Dishonesty • Lack of sense of responsibility	All	• Based on records (DTR & admin complaints) • Testimonies	• Animosity among DILG personnel that would result to low performance • Discouragement	• Develop or encourage new values
CULTURE	• Abuse of discretion • Unnecessary personal interface for official transaction • Favoritism • Unethical Practices specified under RA 6713 (e.g. Gift Giving) • Lack of participation & transparency in decision-making • Professional competition • Blaming others • No opportunity to explain or make suggestion • Employees are sometimes treated as machines. • Resistance to change and refusal to adopt to new technology	All	• Based on Experience/ observation/ perception • Non-compliance to reports (using the technology)	• Growing resentment • Animosity • Decreased productivity • Increase leave of absence • High turn-over • Resignation of high performing employees	• Professionalize the organization • Assign work loads based on skills and competency • Build capacities of DILG Personnel • Personnel actions: - Sanctions - Transfer of assignment - Motivation - Coaching & Mentoring - Recognition - R and R
KNOWLEDGE	• Lack of HR development • Personal/ professional Enhancement needs not implemented • No skills inventory		• Based on HR record, no interventions conducted based on form 8		• Craft HRD Plan • Conduct skills matching inventory

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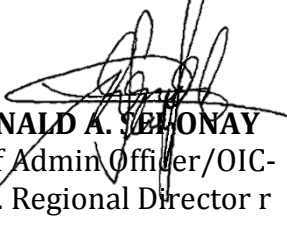| Document Code		
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PERFO RMANC E	• No actions on feedback (M & E reports) • Handling too many programs • Lack of Motivation • Lack of Support (organization) • Lack of commitment • Passing of responsibility to sub-ordinate • Submission of report is for compliance only • DILG targets are put in the sideline (LGU targets & personal business) • Acting as consultant during office hours • Lack of Manpower • No clear delineation of functions • Safety of employee is not a priority. • Irrational reports • Late downloading funds (nearing lapse)		• Based on experience. • Based on HR records		• Improve Support to DILG personnel. • Streamline reports. • Re-orientation of TOR • Fill – up position. • Promote expertise.

LEGAL	• No interventions on erring employees
	• No Hazard Pay
	• Non compliance to national standards:
	  - Arta
	  - GAD
		All			

Socially Protective and Safe LG					
VALUES	• Field Officers are prioritizing activities of the LGUs over the DILG • Tardiness • Field Officers not reflecting the real time in their DTRs or non-filing of applications for leave of absence	All	• Actual attendance to RO-initiated activities • Consolidated Report of Attendance • During Actual Supervisor's visit the field personnel is not around	• Limited knowledge on Department PPAs	• Issue policy
CULTU RE	• Non-compliance to admin requirements • Promotion of personnel is not according to merit and fitness • 'Pointing fingers' on lapses committed in the imp. Of PPAs	All	• Actual DTRs submitted without attachments • RPSB Results / Appointments • Observed Condition	• COA findings • PBB • Create internal strife; low morale	• Re-iteration of Office Policy • Define roles on accountability

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CULTURE	Closed mind to feedback /concerns of the personnel Existence of 'padrino system' in the recruitment & promotion processes	All	• No feed-backing system • established • Observed conditions	• Unresolved issues / No room for improvement • Qualified personnel are bypassed	• Institutionalization of feedback mechanism • Career pathing • Establish a PDQ Manual
KNOWLEDGE	Different interpretations of issuances across FOUs	All	• Reports, complaints , • Queries	• Inefficient PPA implementation	• Calibration of the Regional and FOUs on the understanding/interpretation of guidelines and issuances
PERFORMANCE	Personnel performing multi-task activities;	All	• Orders issued and Accomplishments submitted	• Health risks	• Fill-in vacant positions and properly assign personnel
PERFORMANCE	Because of unfilled plantilla positions, some MLGOOs are having two stations to handle. Others field items are assigned in another FOUs Admin personnel is handling both admin and technical programs Fragmented geographical location of LGUs Late receipt of issuances/communications from CO		• Maps, political subdivision • Emails, Records, Com tracking	• Difficulty in performing supervisory visits, ei. Monitoring • Unable to report on time	• Provision of equitable logistical support; • Adoption of flexi-time • CO office to evaluate issuances before cascading
	No legal support provided in cases filed against personnel in the delivery of his official duties & functions		• Cases filed	• Low morale; • Financial constraint of the respondents	• Request Legal Service for the Provision of free legal support
Effective, Transparent, Participative and Accountable LG					
VALUES	Tardiness	All	• Consolidated Report of Attendance	• 1. R: Delayed services and customer complaints	• Expand the Award System down to the PCM
CULTURE	"Kanya-kanya" System / Turfing	All	• Absence of good communication	• 1. R: Low overall performance	• Team Building Activity
KNOWLEDGE	. Knowledge Monopoly	All	• Knowledge gained was not shared	• 1.A R:Non-delivery of required that may result to unsatisfied customers • 1.B R: ARTA Violation	• Establish a process on how to implement the concrete mechanisms present in the LGRC Operations Manual ensuring the sharing of knowledge /mainstream to the LGRRC the knowledge gained

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PERFORMANCE	Multiple functions of personnel	All	• CO Reports	• A R: Unfavorable COA Findings • B R:Declining Productivity • C O: Enhance the competence of the personnel • D R: the output will suffer, there will be no excellence	• A Enhance Monitoring, Measurement, Analysis and Evaluation of all PPAs • B Filling up of vacancies
	Inclusion to legal suits	All	• Verified complaints submitted to CO/RO	• 1.A R: Low morale of personnel • 1.B R: Low Performance • 1.C O: Maturity at work	• 1. Regular conduct of Continuing legal education (CLE)

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INTERESTED PARTIES MATRIX

INTERESTED PARTIES	REQUIREMENTS, NEEDS OR EXPECTATIONS	ACTION PLAN HOW TO ADDRESS RNE (REQUEST, NEEDS AND EXPECTATIONS)
Business Friendly and Competitive LG		
LGU	• Adequate TA on streamlining Business Permit and Licenses System; compliance to documentary requirements • Clear guidelines on how to implement the PPA	• Wide and prompt dissemination of issuances • Orientation/Briefing of FOUs on PPA issuances • Development of knowledge products and Module preparation (RO) and coaching and mentoring (FOUs) provision
Partner Agencies: **DTI** **DPWH**	• Clear delineation of Roles and Responsibilities • Adequate Facilitation Support (Data, issuances, monitoring)	• Coordination meetings to review existing mechanisms (Terms of Reference) • Review LGRRC Manual of Operations to look into enhancement of Brokering and referral service delivery
Central Office: **OPDS** **BLGD** **LGA**	• Prompt submission of complete and accurate data, reports and other requirements • Smooth implementation of the PPAs according to plans and guidelines	• Systems Enhancement and expansion of Communication Tracking • Review and enhancement of online reporting system
Regulatory Agencies: **COA**	• - Strict and consistent compliance to laws and guidelines	• Strengthening of internal controls
Management	• - Attainment of program targets in compliance to guidelines and timelines and budget	• Strict implementation of PPAs with adherence to guidelines and timelines
Employees	• Appropriate Capdev support • Effective Rewards and incentives system • Clear directives from management • Adequate Logistical Support	• Strengthening of Human Resources Development Program
External Partners: **LRIs**	• Legal instrument • Clear delineation of roles and responsibilities	• Entering agreements (e.g. MOA, MOU) • Regular conduct of coordination meetings
General Public: **Business Sector** **Road Users**	• - Avenue or mechanisms to articulate their concerns, issues, complaints, suggestions, and feedback	• Enhancement and popularization of customer feedback system
• Climate Change Adaptive, Disaster Resilient and Environmentally Protective LG		
LGU	• Capability Building • Technical Assistance • Performance Assessment • Funding Support	• Provide training & Strengthen capacities of DILG and LGU on CCA and DRR • Transfer KSA to LGU and packaging of knowledge products *(coaching, mentoring)* • Utilization of Performance Assessment Results • Resource Mobilization and Providing Incentives
CODIX	• On time monitoring and Accurate reports	• Establish systems and processes for effective, efficient and accurate reports and feedback mechanism.

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OCD	• Partners for CapDev • Resource persons • Exchange of Information/ Knowledge Products	• Provide resource persons, materials, information
DSWD	• Resource Person • LGU Mobilization • Community Organizing/ Facilitation	• Provide resource persons, materials, information • Provide assistance in mobilizing LGU resources.
CSO	• Project Implementation Support: • Issuances • Information • Resource (Manpower)	• Provide resource persons, materials, information • Provide assistance in mobilizing LGU resources and in implementing their projects.
MLGOO	• Funding Support • Technical Assistance	• Establish trainer's pool on CCA and DRR at the PO. • Provide funding allocation for every LGU • Equipage (materials, equipment)
PO	• Funding Support • Technical Assistance	• Establish trainer's pool on CCA and DRR at the RO. • Provide funding allocation for every LGU • Equipage (materials, equipment)
CO	• Reportorial requirements • Accomplishments (targets and performance)	• Timely submission of accurate reports. • Develop action plan to achieve performance targets.
• **Socially Protective and Safe LG**		
LGUs	• Compliance to appropriate directives, issuances and other documentary requirements	• Wide dissemination of directives • Provision of technical assistance through training, workshop/ orientation, coaching and mentoring • Coordination and Facilitation • Monitoring and evaluation of LGUs' compliance
CSOs	• Defined roles in local governance like program/ project implementation, monitoring and evaluation	• Orientation on CSOs' role in program/ project implementation • Issuance of letter-request citing therein the specific guidelines and other relevant documents on program/project implementation
National Government Agencies	• Strengthened partnership established • Endorsement of Agency PPAs to LGUs	• Conduct regular coordinative meetings/ dialogues • Forged Partnership (MOA, MOU)
Management	• Regular updates on program / project implementation	• Timely submission of substantive and accurate reports
COA	• Strict Compliance to rules and regulations	• Religious compliance to rules and regulations through prompt submission of required reports
Local Leagues	• Updates on Dept PPAs and opinions on matters affecting local governance	• Provide regular updates on PPA status and implementation • Rendition of appropriate on relative to PPAs implementation
Employees / Staff	• Just and impartial recognition of accomplishments of best performing personnel • Provision of reasonable logistical support	• Provision of awards and recognition • Implementation of established award system
	• Provision of continuing Capacity Building and retooling activities	• Regular conduct of Capacity Building and retooling activities

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• Effective, Transparent, Participative and Accountable LG		
LGUs – PCMB	• Impartial and timely issuance of Certification	• Timely evaluation and processing of request
	• Knowledge on the required documents for posting • *Capacity Building*	• 1) Provision of Coaching and mentoring on the Policy from the Municipal/City up to the regional Level
	• Skills in posting the requirements particularly on the online portal	• Provision of Coaching and mentoring on the Policy from the Municipal/City up to the regional Level
Central Office	• Accurate and timely evaluation of LGU requests	• Endorsement of LGU letter request with complete and appropriate documentary requirements
Central Office	• Endorsement of accurate SGLG Results per LGU	• Submission of complete and appropriate documents as per evaluation
GFIs	• Oversight function on LGUs	• Provision of copy of LGU Certificate of Compliance
Partner Agencies	• Oversight function on LGUs	• Provision of copy of LGU Certificate of Compliance
CSO	• Oversight function on LGUs	• Participation of CSOs during assessment activities
DILG – FOUs (*Provincial FPs and C/MLGOOs*)	• Capability development on DILG PPAs	• Provision of all requirements through coaching & trainings, Status reports, etc… • Provision of internal policies on incentivizing performing FOUs

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5. LEADERSHIP

5.1 Management Commitment

Guided by the DILG's Vision and Mission and in compliance with applicable legal requirements in fulfilling its mandate to formulate sound policies and strengthen LGU capacities, perform oversight function and provide rewards and incentives, the DILG XIII's top management commits to develop, implement and continually improve the effectiveness of its quality management system by:

a) taking accountability for the effectiveness of the quality management system;
b) establishing quality policy and quality objectives compatible with the context and strategic direction of the organization;
c) ensuring the integration of the quality management system requirements into the organization's business processes;
d) promoting the use of the process approach and risk-based thinking;
e) providing resources needed;
f) communicating the importance of effective quality management system and conforming to the quality management system requirements;
g) ensuring that the quality management system achieves its intended results;
h) engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;
i) promoting improvement;
j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

The DILG XIII top management refers to the Regional Director, Assistant Regional Director, and the Provincial and City Directors. The Regional Director serves as the Quality Management Representative (QMR) of the Department. The Assistant Regional Director serves as the Deputy Quality Management Representative (DQMR).

The Provincial and City Directors and Division Chiefs as the Deputy QMRs of their respective Offices also demonstrate leadership and commitment as itemized above in their respective offices.

5.1.2 Client/Customer Focus

The DILG XIII's top management ensures that customer requirements are determined and are met with the aim of enhancing customer satisfaction, which is primarily to strengthen the capabilities of Field Offices, to promote excellence in local governance, and to attend to the needs of other clients/stakeholders. Information about customer needs and expectations is extracted from feedback mechanisms, complaints handling, and customer satisfaction data.

The DILG XIII client/customer refers to the Provincial and Field Offices, local government units/officials/employees, the general public and other stakeholders.

The DILG XIII's top management and Division Chiefs demonstrate leadership and commitment with respect to customer focus by ensuring that:

a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met;
b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed; and
c) the focus on enhancing customer satisfaction is maintained.

Relevant Documented Information:
>
> Services Complaint Handling Procedure (SP-R13-05)
> Client Satisfaction Survey Procedure (SP-R13-06)

5.2 Quality Policy

5.2.1 Establishing the DILG XIII Quality Policy

The DILG XIII's top management ensures that the quality policy:

a) is appropriate to the purpose and context of the organization and supports its strategic direction;
b) provides a framework for establishing and reviewing quality objectives;
c) includes a commitment to comply with applicable requirements and
d) includes commitment to continually improve the effectiveness of the quality management system.

The quality policy is reviewed during Management Reviews to ensure its continuing suitability in relation to the organization's vision, mission, strategic thrusts and directions.

5.2.2 Communicating the DILG XIII Quality Policy

The DILG XIII's top management together with the Division Chiefs ensure that the DILG XIII Quality Policy is communicated and understood within the organization. The DILG XIII Quality policy is:

a) available and maintained as documented information;
b) communicated, understood and applied within the organization;
c) available to relevant interested parties, as appropriate.

The IT unit ORD is responsible for ensuring that the DILG XIII Quality Policy is posted in DILG's website. The Communications Team of the ORD ensures that the DILG XIII Quality Policy is part of the layout of the DILG XIII Timon.

The QMS Secretariat is responsible for posting the DILG XIII Quality Policy in conspicuous places in the DILG XIII premises and for developing other materials to communicate the Quality Policy, as deemed appropriate. The Personnel Section ensures that all employees are oriented and aware of the DILG XIII Quality Policy in coordination with the QMS Secretariat.

5.2.2a The DILG XIII Quality Policy

DILG Caraga is

C ommitted for the continuous capacitation of LGUs and promoting peace & order in communities

A daptable to changes and challenges for sustainable development

R esponsible for measuring LGU performance and for rewarding performing LGUs

E ager and ready at all times to serve and strive for client satisfaction

S teadfast in adhering to all laws and standards, practicing and continually improving our Quality Management System

for excellence in local governance.

Relevant Documented Information: Quality Policy

5.3 Organizational roles, responsibilities and authorities

The DILG XIII's top management ensures that responsibilities and authorities in the Department are defined and communicated for effective delivery of its services. The DILG XIII's Organizational Structure manual is developed to clearly show the levels of authority, lines of coordination and divisions of tasks of the different operating units within the order, to attain organizational goals. Likewise, the QMS Organizational Structure is defined to enable the effective implementation of its QMS showing the different bureaus and services responsible for establishing, implementing, maintaining and continually improving the DILG XIII's quality management system to attain the quality objectives consistent with the quality policy.

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5.3a The DILG XIII QMS Organizational Structure
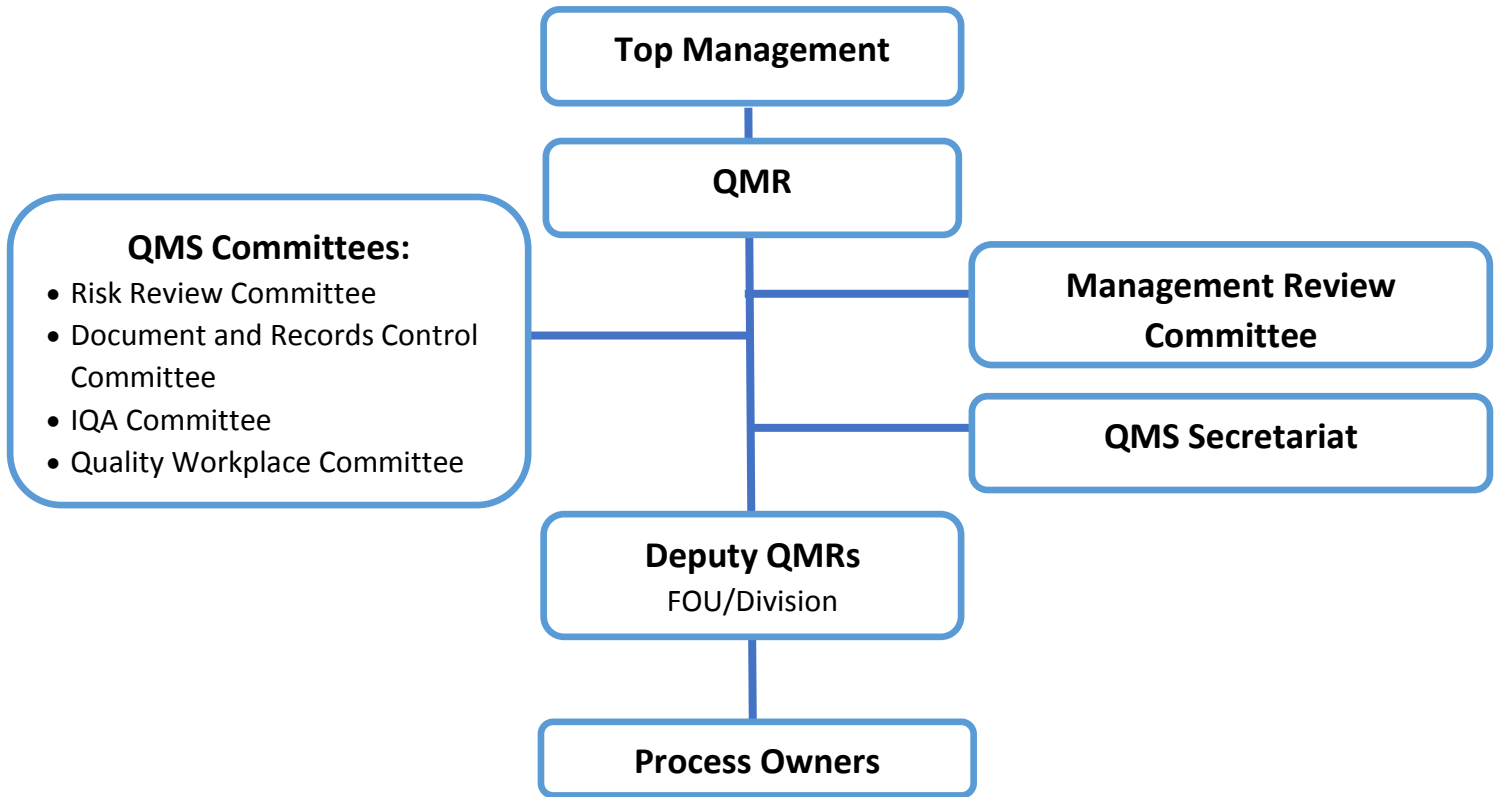
Figure 5: The DILG XIII QMS Structure

The QMS structure is composed of the following:

1.) <u>DILG XIII Top Management</u> - This refers to the highest level management of DILG XIII in the person of the Regional Director. The following responsibilities and authorities are assigned accordingly:

Responsibility:	Assigned to:
a) ensuring that the quality management system conforms to the requirements of ISO 9001:2015 by appointing a Quality Management Representative	Top Management
b) ensuring that processes are delivering their intended outputs;	Process owners, Division Chiefs and Deputy Quality Management Representatives
c) reporting on the performance of the quality management system and opportunities for improvement, in particular to top management	QMS Secretariat, Internal Quality Audit Team, Deputy QMRs, QMR

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d.) ensuring the promotion of customer focus throughout the organization	Division Chiefs and DQMR
e.) ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.	Division Chiefs. DQMR, QMR

2.) <u>DILG XIII Quality Management Representative (QMR)</u> - The DILG XIII Assistant Regional Director as the QMR has the following responsibilities and authorities:

- Ensure that processes needed for DILG XIII's quality management system are established, implemented and maintained to ensure that the QMS conforms to requirements of ISO 9001:2015;
- Promote customer focus and awareness to client requirements throughout the DILG XIII;
- Ensure that the integrity of the QMS is maintained when changes to the QMS are planned and implemented;
- Coordinate / communicate with external parties on matters relating to QMS and ISO certification.

3.) <u>DILG XIII Quality Management Review Committee</u> - The DILG XIII Management Review Committee is composed of the following:

- Regional Director – Top Management
- Assistant Regional Director – Quality Management Representative (QMR)
- Provincial and City Directors– Deputy QMRs of the following:
  - DILG Agusan del Norte
  - DILG Agusan del Sur
  - DILG Dinagat Islands
  - DILG Surigao del Norte
  - DILG Surigao del Sur
  - DILG Butuan City
- Division Chiefs or Officers-in Charge – Deputy QMRs of the following:
  - Local Government Monitoring and Evaluation Division (LGMED)
  - Local Government Capability and Development Division (LGCDD)
  - Finance and Administrative Division (FAD)

4.) <u>Deputy QMR</u> - The Provincial and City Directors and Division Chiefs or Officers-In-Charge of the Field Operating Units (FOUs) and the Divisions of the Regional Office covered by the scope of the QMS are designated as Deputy QMRs in their respective FOU/Division responsible for ensuring effective implementation and continual improvement of their respective QMS and reporting its performance to the DILG XIII QMR.

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5.) <u>DILG XIII Risk Review Committee</u> –The Risk Review Committee ensures that the organization identifies, evaluates and controls risks. This committee facilitates the development of a Risk Control Plan (RCP) and Opportunities Management Plan (OMP) and evaluates the effectiveness of actions taken. The committee is led by the Planning Service with the Deputy QMRs of the different Bureaus and Services and representatives from the different operating units including the Project Management Offices.

6.) <u>QMS Secretariat</u> - Under the supervision of the QMR:

- Plans and executes activities and next steps in relation to QMS;
- Provides technical assistance to the DILG XIII FOU/Office/Division on the areas of QMS development, implementation, and performance measurement;
- Studies/reviews QMS outputs and endorse acceptance of these outputs to the QMR and/or QMR as applicable per QMS Documentation Responsibility Matrix;
- Ensures that major agreements/highlights/decision points before, during, and after the QMS training/activity and Management Reviews are documented and submitted to the QMR and to all concerned personnel;
- Conducts QMS trainings and other capacity development activities to promote awareness and understanding of QMS principles and requirements and to develop knowledge and skills of its application or implementation, sustainability and continual improvement.
- Studies and equips themselves with knowledge, Skills, Attributes (KSA) on QMS as they will serve as facilitators in the conduct of QMS training/activities; and
- Performs other tasks as may be assigned by the QMR.

7.) <u>Document and Records Control Committee</u> - The Document and Records Control Committee ensures that changes and the current revision status of documents are identified, the unintended use of obsolete documents is prevented, and records are controlled through established means for identification, storage protection, retrieval, and disposition.

- Regional Document Controller– A designated technical personnel acts as Regional Document Controller who is ultimately responsible to carry-out specified QMS Document controls in the DILG Central Office.
- Regional Records Controller **-** The Records Office is responsible for ensuring the DILG XIII compliance with the National Archives of the Philippines Act of 2007 and who plays a lead role in the management, generation, collection, filing/storage, protection, retrieval, retention, and disposition of records.
- Process Owners **–** The person who has the highest number of and/or immense activities/steps in the process, or who has the widespread responsibility thereby being accountable for its performance with the authority and ability to initiate necessary changes.

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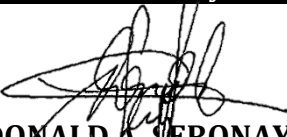
They are usually the signatories under "prepared by" section of the approved Quality Procedure.

8.) <u>Internal Quality Audit (IQA) Committee</u> -The IQA Committee conducts quality audits at planned intervals and verifies the corrective/preventive actions taken on audit findings.

The Internal Audit Service (IAS) performs the IQA of the overall QMS while personnel from the Management Division, Financial and Management Service, conduct IQA of the relevant functions of the Internal Audit Service.

9.) <u>Quality Workplace Committee</u> - The Quality Workplace Committee plans and coordinates the implementation of the 5S Program. Selected personnel from the Personnel Division and General Services Division, and one (1) personnel from each of the Division and concerned Top Management Offices are the members of this committee.

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QMS Secretariat Head	**Regional QMR**	**Top Management**

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6. PLANNING

6.1. Actions to address risks and opportunities

6.1.1 DILG XIII considers its internal and external issues and the requirements, needs and expectations of its interested parties and determines the risks and opportunities that need to be addressed to:

a) give assurance that the quality management system can achieve its intended result(s);
b) enhance desirable effects;
c) prevent, or reduce, undesired effects; and
d) achieve improvement.

DILG XIII implements Risk, Identification and Evaluation Control Procedure. Risk Control Plans and Opportunity Management Plans are prepared, implemented, and updated to address risks and opportunities. Effectiveness of the actions taken to address risks and opportunities are being discussed for appropriate action during the Management Review.

Relevant Documented Information:
Risk Identification, Evaluation and Control Procedure
DILG XIII Risk Register
Risk Control Plans
Opportunity Management Plans

6.1.2 Quality Objectives and planning to achieve them

6.2.1 The DILG XIII's top management ensures that quality objectives are established at all relevant functions and levels within the organization that are: consistent with the quality policy; measurable; take into account applicable requirements; relevant to conformity of products and services and to enhancement of customer satisfaction; monitored; communicated; and updated as appropriate.

6.2.2 The DILG XIII maintains the following documented information on quality objectives: Quality Objectives (QO) for the process level objectives submitted by the different Operating Bureaus and Services and approved by the Deputy QMR; and Performance Commitment Reports for the PPA-based and functional objectives (Office PCR (OPCR), Division PCR (DPCR), and Individual PCR (IPCR). To achieve these objectives, the organization determines: what will be done; what resources will be required; who will be responsible; when it will be completed; and how the results will be evaluated.

6.2.2a Quality management system planning

The DILG XIII's top management ensures that the planning of the QMS is carried out in order to meet the requirements as well as the quality objectives, and the integrity of the QMS is maintained when changes are planned and implemented.

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The planning in DILG XIII is done in a two-tiered process. First tier planning impacts the achievement of the strategic direction and Major Final Output (MFO) through strategic planning and operationalizing the strategic plan annually, with reference to the performance indicators set in the annual General Appropriations Act. Operations Plan and Budget (OPB) and Performance Commitment Reports (OPCR, DPCR, and IPCR) are prepared by the Operating Units. The DILG XIII's QMS planning is carried out in the second tier planning which directly impacts the Quality policy supported by the Quality Objectives for each relevant functions and processes of the QMS.

Relevant Documented Information:
> Operational Planning and Budgeting Procedure
> SPMS: Performance Planning and Commitment
> QMS Planning Procedure

6.3 Planning of changes
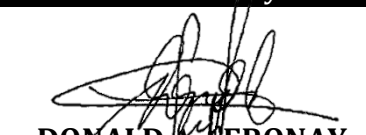
For changes to the quality management system, the changes is carried out in a planned manner, such that DILG XIII considers the:

a) purpose of the changes and their potential consequences;
b) integrity of the quality management system;
c) availability of resources; and
d) allocation or reallocation of responsibilities and authorities.

Planning of changes are considered during QMS Planning and Management Review.

Relevant Documented Information:
> QMS Planning Procedure (SP-R13-11)
> Management Review (SP-R13-09)

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7. Support

7.1 Resources
7.1.1. General

DILG XIII's top management ensures that necessary resources are provided for the development, effective implementation, maintenance and continual improvement of the QMS processes. Operations Plan and Budget (OPB) are prepared to enable the implementation of plans and programs and the attainment of performance targets through the OPCR (Office Performance Commitment and Review, considering: a) the capabilities of, and constraints on, existing internal resources; and b) what needs to be obtained from external providers.

Quality Action Plans (QAPs) are prepared by the concerned Offices to address the issues and concerns relevant to the capabilities of, and constraints on, existing internal resources that affects the effective implementation of the QMS. QAPs are prepared during QMS Planning and any time in the course of QMS implementation. Procurement requirements are determined through the preparation of the Annual Procurement Plan and Project/Procurement Management Plan (PPMP).

Sufficient planning through activity/training design is prepared and approved for specific activities that have budget requirements.

Relevant Documented Information:

Preparation of Operational Plan and Budget Procedure
Provision of Capacity Development Activities Procedure
Review of the HUC and Provincial GAD Plan and Budget Procedure
Provision of Technical Assistance for the Implementation of Community-Based
      Monitoring System (CBMS) Procedure
Monitoring of Locally-Funded Projects Procedure
Local Government Unit Seal of Good Local Governance Assessment (SGLG) Procedure
Processing of Performance Challenge Fund (PCF) Grant Procedure
Processing of Death and Burial Benefit Claim of Barangay Officials Procedure
DILG PPA Implementation Monitoring and Reporting Procedure
Assessment of Lupong Tagapamayapa Incentives Awards (LTIA) Procedure
Management of DILG 13 Website Procedure
Development of IEC Materials Procedure
Processing and Payment of Claims Procedure
Processing of Liquidation of Cash Advances Procedure
Processing of Procurement Goods and Services thru Public Bidding Procedure
Processing of Procurement Goods and Services thru Alternative Methods
Maintenance and Repair of Equipment and Vehicles Procedure
Learning and Development Procedure
Provision of Vehicular Support Services Procedure

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7.1.2. People

DILG XIII determines and provides the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.

Personnel Section and concerned Selection Boards ensure that personnel performing work affecting conformity to service requirements are competent on the basis of appropriate qualifications standards i.e. education, training, experience, and eligibility, and competency i.e. knowledge, skills, and attributes as defined in the Position Description and Qualification (PDQ).

The process for recruitment, selection and promotion is defined in a documented procedure compliant with Civil Service rules and regulations. Recruitment is done with the involvement of the concerned Division/Field Operating Unit coursed through regional and/or provincial selection boards.

Relevant Documented Information:
> Recruitment, Selection and Promotion (RSP) for 1st and 2nd level positions
> Position Description and Qualification (PDQ)
> Personnel Data Sheet (PDS)

7.1.3. Infrastructure

DILG XIII determines, provides and maintains the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. Under Finance and Administrative Division, suitable infrastructure is provided and maintained to address DILG-XIII's service requirements. This includes office facilities, workspaces, equipment, hardware and software, and service vehicles.

The maintenance of the building and common utilities such as central air-conditioning and elevators are carried out by DILG XIII. Janitorial and Utilities services are outsourced through the General Services Section (GSS) of the Finance and Administrative Division (FAD). The Heads of the different operating units are responsible for identifying the need and requirements for their respective office spaces such as necessary repairs, installation, and/or any layout modifications of which requests are submitted to the FAD-GSS.

Preventive and corrective maintenance are carried out for service vehicles to ensure safety of personnel.

With regard to information and communication technology (ICT) infrastructure, the DILG Central Office implements an Agency-wide Information Systems Strategic Plan (ISSP) starting in 2016 to establish local area network, wide area network and IP telephony and enhance operational "housekeeping" application systems and roll-out to operating units, among others. The DILG XIII adopts the ICT Plan into the operations at the regional-level.

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At the moment, the DILG XIII has an existing leased line connection managed by the Information Systems and Technology Management Service (ISTMS) and used for hosting DILG Website that caters the web-posting requirements of the organization in general and the concerned DOUs/Offices/Divisions within the QMS scope in particular. Under the Office of the Regional Director (ORD), DILG XIII's ICT provides the needed technical support services to all offices of DILG.

Relevant Documented Information:
> Provision of Vehicular Support Service Procedure
> Maintenance and Repair of Equipment and Vehicles Procedure
> Inventory & Disposal of Fixed Assets Procedure
> Provision of Technical Assistance on ICT Resources Procedure
> Management of DILG 13 Website Procedure

7.1.4. Environment for the operation of processes

DILG XIII determines, provides and maintains the suitable environment necessary for the operation of its processes and to achieve conformity of products and services. A suitable environment includes programs and activities dealing with the combination of human and physical factors (social, psychological and physical).

The DILG XIII manages the work environment needed to achieve conformity to service requirements by providing Programs/Projects/Activities (PPAs) which includes the following:

a) Related to physical factors:
  - Implementation of a 5S Program led by the QMS Workplace Team
  - Security services
  - Janitorial services

b) Related to psychosocial factors:
  - Employee Health and Welfare Program
    a. Sports and Lifestyle Program
  - Program on Awards and Incentives for Service Excellence (PRAISE)
  - Performance Rewarding and Development Planning
  - Administration of Leave of Absences
  - Implementation of Gender and Development (GAD)
  - Program for the Senior Citizens and Differently-Abled Persons

7.1.5. Monitoring and measuring resources (exclusion)
This clause is excluded from the QMS because DILG XIII does not require any monitoring and measuring resources (equipment) to fulfill and deliver its services.

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7.1.6. Organizational knowledge

DILG XIII determines the knowledge necessary for the operation of its processes and to achieve conformity of products and services. This knowledge include those gained from or enhanced through:

a) Internal sources (e.g. training and capacity development; scholarship; experience through implementation of programs/projects/activities (PPAs) including the lessons learned and best practices; results of process performance and/or improvements; and internal communication;

b) External sources (e.g. standards; academia; conferences; knowledge or feedback from customers/external providers).

Personnel who attended short (minimum of three days) and long training courses/conferences or scholarship grants prepares and submits Post Activity Summary Report to capture the knowledge gained. Likewise, for every completion of a Program or Project, the concerned Office Primarily Responsible (OPR) prepares a Program/Project Completion Report (PCR to capture the accomplishment and lessons learned in the implementation.

The ORD Communication Team and the Local Governance Regional Resource Center (LGRRC) as a as an attached unit to the Local Government Capability and Development Division (LGCDD) also provide Photo and Video services, Production of IEC Materials and Press Releases to capture organizational knowledge.

All the knowledge products are maintained, shared and made available to the extent necessary to concerned personnel through various means, including the provision of Database Systems, Library Services, Records Management services, and through the use electronic and media.

For local governance, the DILG XIII maintains and operates knowledge management through the Local Governance Regional Resource Center (LGRRC).

When addressing changing needs and trends, DILG XIII considers its current knowledge and determines how to acquire or access any necessary additional knowledge and required updates from internal and external sources aforementioned.

Relevant Documented Information:
Provision of LGRRC Services Procedure
Management of Records Procedure
Processing of Press Releases – Written Procedure
Development of IEC materials Procedure

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7.2 Competence

To ensure the effective implementation and maintenance of its QMS and processes, the DILG XIII:

a) determines the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system;
b) ensures that these persons are competent on the basis of appropriate education, training, or experience;
c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;
d) retains appropriate documented information as evidence of competence.

The DILG XIII Competency Framework and Dictionary Manual serves as a reference tool for the competency requirements of DILG Personnel. Every plantilla position in DILG XIII has a Position Description and Qualification (PDQ) which serves as the reference document for the description, qualification standards and competency requirements of the position.

The Personnel Section of the Finance and Administrative Division (FAD), identifies learning and development intervention needs from the results of the Training Needs Analysis (TNA) and from the Individual Development Plan (IDP), Professional Development Plan (PDP), and IDP for Division Chiefs and Executive Managerial Position in the 2nd Level.

The 3-Year HRD Plan is prepared, implemented and monitored. Adjustments to the HRD Plan are made through the annual Learning and Development Plan.

Applicable actions to address the competency requirements/gaps include the provision of training to, the mentoring / coaching of, or the re- assignment of currently employed persons; or the hiring or contracting of competent persons.

The HRMD takes the lead in implementing the full cycle of the learning and development process to include conduct and management of Learning and Development Interventions which are generic in nature (those targeting generic core, leadership and function-based competencies) while function-based LDI will be conducted and managed by the concerned office/s.

DILG XIII ensures that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of its quality objectives.

Appropriate records of education, training, skills and experience are maintained by relevant personnel.

Relevant Documented Information:

Learning and Development Procedure
TNA Results
HRD Plan
Learning and Development Plan

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Implementation and Monitoring of SPMS Procedure
Individual Development Plan (IDP)
Professional Development Plan (PDP)
IDP for Division Chiefs and Executive Managerial Positions in the 2nd Level
DILG XIII Competency Framework and Dictionary Manual
Position Description and Qualification (PDQs)

7.3 Awareness

DILG XIII ensures that persons doing work under the organization's control are aware of:

a) the quality policy;
b) relevant quality objectives;
c) their contribution to the effectiveness of the quality management system, including the benefits of improved performance;
d) the implications of not conforming with the quality management system requirements.

The different Provincial and City Directors, together with the Division and Section Chiefs, are responsible for ensuring that their respective personnel are aware of the above QMS information.

For new employees and personnel, including Job Order (JO) personnel, the HRMD ensures that appropriate orientation is given to these personnel.

7.4 Communication

Communication is crucial in any organization. It's the glue that keeps everyone together. In this regard, DILG XIII considers it as an important mechanism in ensuring effective and efficient delivery of its services to its clients such as in deploying policies for the guidance of all personnel, monitoring and feedback on performance against objectives, and other issues needing awareness across DILG XIII. In this regard, DILG XIII determines the internal and external communications relevant to its quality management system, including:

a) on what it will communicate;
b) when to communicate;
c) with whom to communicate;
d) how to communicate; and
e) who communicates.

The ORD Communication Team and the Local Governance Regional Resource Center (LGRRC) as a as an attached unit to the Local Government Capability and Development Division (LGCDD) take the lead in developing, implementing and improving the external and internal communication of DILG XIII.

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DILG XIII's top management and FOU/Division Heads ensure that internal communication is implemented regarding the effectiveness of its QMS. This includes the appropriate communication of the quality policy, operating procedures and quality objectives. Concerned operating units carry out performance monitoring and measurement to monitor, evaluate and report their respective QMS performance results.

The DILG XIII Quality Policy is posted in the DILG XIII website and incorporated in the DILG XIII Timon Publication, a newsletter disseminated to all employees of DILG XIII as well as clients and partners. The DILG XIII Quality Policy is also included in the DILG XIII Organizational Structure Manual. It is also posted in strategic places in the DILG XIII Offices. Newly hired employees are provided orientation on DILG XIII's Quality Management System. News/articles about Quality Management System are posted as Press Releases in the website, other social media accounts of the DILG XIII, and in the premises of the offices.

Relevant Documented Information:

DILG XIII Internal Communication Plan
DILG XIII External Communication Plan
Program/Project Communication Plan
Processing of Press Releases – Written Procedure
Management of DILG 13 Website Procedure
Development of IEC Materials Procedure

7.5 Documented Information
7.5.1 General

DILG XIII's quality management system includes documented information required by ISO9001:2015 and those determined by the organization as necessary for the effectiveness of the quality management system.

DILG XIII establishes and documents its quality management system following a documentation structu   ol of all its processes.

XIII QMS Documentation

Level 1
Quality Policy
Top Management Objectives
Quality Manual

Level 2
System Procedures
Quality Procedures

Level 3
Supporting Documentations

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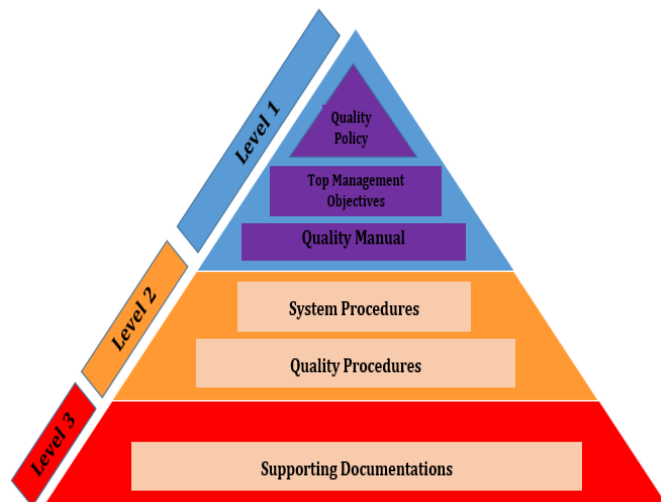
This QMS documentation structure enables a cohesive and systematic functioning of the QMS guided with the description of the levels and types of documents as follows:

- **Level 1** – contains policy directions and goals of DILG XIII. This includes the Quality policy, quality objectives and quality manual.
    - ➢ Quality Policy: The overall direction of the organization in relation to Quality.
    - ➢ Quality Objectives: Something sought to be achieved in relation to the quality policy.
    - ➢ Quality Manual: A document specifying operating policies, scope and exclusions and other relevant information about the Quality Management System

- **Level 2** – contains the procedures to implement the various processes of the QMS which include the six mandatory procedures, operating procedures and the systemic procedures.
    - Procedure – A document describing a specified way to implement a process. There are two types of procedures:
    - System Procedures (SP): refer to the procedures which do not have an Office Primarily Responsible (OPR) because implementation is not limited to one bureau/service only, rather, system-wide in coverage, and are deemed necessary to be documented because it supports compliance of a specific clause requirement in ISO 9001:2015 standards such as:
    - Operating Procedures**:** refer to the quality procedures (QP) of the different operating units (bureaus/Services) documented to ensure effectiveness and efficiency of operation. These procedures are classified as core or support.

- **Level 3** – refer to support documentations needed for the effective implementation of Levels 1 and 2 documents which include guidelines, work instructions, forms, job descriptions, plans, references and other types of documents. Quality records which provide evidences of implementation and effectiveness of the QMS also belong to level 3.

    QMS Operations Manuals are compiled for each division and bureau/service which includes relevant procedures, forms, references and other documents needed by the bureau or service.

7.5.2 Creating and updating

When creating and updating documented information, DILG XIII ensures appropriate:

a) Identification and description (e.g. a title, date, author, or reference number);
b) Format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
c) Review and approval for suitability and adequacy.

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Concerned process owner identifies the need for creating and updating documented information through the Document Control Request (DCR) Form, with attached document for creation or updating, both signed by the authorized signatories. DILG XIII follows the following QMS Documentation Responsibility Matrix:

Type of Documents	Initiator / Prepared by	Reviewing Authority	Approving Authority
Level 1			
Quality Manual	QMS Secretariat	Deputy QMR	QMR
Organizational Quality Objectives	QMS Secretariat	Deputy QMR	QMR
Functional Quality Objectives	Process Owner	C/PD or Division Chief	Deputy QMR
Quality Policy	QMS Secretariat	Deputy QMR	QMR
Level 2			
Operating Procedures	Process Owner	C/PD or Division Chief	Deputy QMR
System Procedures	QMS Secretariat/*IQA Head	Deputy QMR	QMR
Level 3- Supporting Documents			
Work Instructions	Process Owner	C/PD or Division Chief	Deputy QMR
Forms	Process Owner	Division Chief	Deputy QMR
Other Supporting Documents	Process Owner	C/PD or Division Chief	Deputy QMR
* IQA Head as Initiator for the Internal Quality Audit Procedure			
Note: Identified signatories as initiator, reviewing authority, and approving authority are as specified or any higher positions/designations).			

For Document Code, DILG XIII follows the following DILG XIII QMS Document Coding Scheme:

Document Type	Document Code Format	Sample Document Code
Quality Manual (QM)	**QM-R13**-Section No.	QM-R13-04 (Section 4 of the QM)
• Quality Procedures (QP)	**QP-R13**-*Division Acronym-Series	QP-R13-FAD-01
• Quality Objectives (QO)	**QO**-QP Code	QO-QP-FAD-01
• Quality Action Plan (QAP)	**QAP**-QP Code	QAP-QP-FAD-01
• Quality Objectives Monitoring and Evaluation (QME)	**QME**-QP Code	QME-QP-FAD-01
• System Procedures (SP)	**SP-R13**-Series	SP-R13-01
• Form (FM)	**FM-QP-R13-**Code-Series **FM-SP-R13-**Code-Series	FM-QP-R13-FAD-01-01 FM-SP-R13-08-01
Note: Only Standard Forms internally generated by DILG Region XIII Office shall be coded. Codes used for Standard Forms issued by NAP, DBM, COA, CSC, GPPB and other statutory and/or regulatory bodies shall be adopted. * For Quality Procedures of Bureaus/Services that do not have specific Division responsible, QP code will be QP-Bureau/Service Acronym-Series. Series in the QP code and Operations Manual code refer to the assigned number in the list of the QMS documentations provided by the QMS Secretariat.		

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7.5.3 Control of documented information

DILG XIII implements control both for its maintained and retained documented information.

7.5.3.1 Documented information required by the DILG XIII quality management system and by ISO 9001:2015 are controlled to ensure:

a) it is available and suitable for use, where and when it is needed;
b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

7.5.3.2 For the control of documented information, DILG XIII addresses the following activities, both for the internally and externally generated documented information, as applicable:

a) Distribution, access, retrieval and use;
b) Storage and preservation, including preservation of legibility;
c) Control of changes (e.g. version control);
d) Retention and disposition.

The Control of Maintained Internal Documented Information Procedure manages and controls the creation, revision, distribution and deletion of internal documents and recall of obsolete copies.

Documented information of external origin determined by the organization to be necessary for the planning and operation of the quality management system shall be identified as appropriate, and be controlled. The Control of Maintained External Documented Information Procedure defines the controls for the acquisition, distribution and recall of obsolete external documents.

Records or documented information retained as evidence of conformity are protected from unintended alterations.   The Control of Retained Documented Information Procedure ensures that QMS records are appropriately identified, managed, controlled and maintained.

NOTE: Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

Relevant Documented Information:

Control of Maintained Internal Documented Information (SP-R13-01A)
Master List of Internal Documents (FM-SP-R13-01A-01)
Control of Maintained External Documented Information (SP-R13-01B)
Master List of External Documents (FM-SP-R13-01B-01)
Control of Retained Documented Information (FM-SP-R13-02)
Master List of Records (FM-SP-R13-02-01)

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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 two major services as follows:

a) Policy Development
b) Provision of:
   • technical and administrative assistance;
   • oversight function
   • rewards and incentives services

Relevant Documented Information:

Preparation of Operations Plan and Budget Procedure
Implementation and Monitoring of SPMS Procedure

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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 survery
- Orientations and fora
- Focus Group Discussion and meetings with other stakeholders
- Implementation of Freedom of Infoormation Bill

Relevant Documented Information:
Services Complaint Handling Procedure
External Client Satisfaction Survey Procedure

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:

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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 Control of externally provided processes, products and services

8.3.1 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.

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8.3.2 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

8.3.3 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.

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Relevant Documented Information:

> Processing of Procurement Goods and Services thru Public Bidding Procedure
> Processing of Procurement Goods and Services thru Alternative Methods
> Evaluation of Suppliers Procedure
> Inspection of Deliveries Procedure
> Annual Procurement Plan
> Project Procurement Management Plan
> Registry of Suppliers

8.4. Operation and Service provision

8.4.1 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 Bureaus and Services 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
> Review of the HUC and Provincial GAD Plan and Budget Procedure
> Provision of Technical Assistance for the Implementation of Community-Based
>   Monitoring System (CBMS) Procedure
> Provision of Technical Assistance on ICT Resources Procedure
> Rendition of Legal Opinion Procedure
> Conduct of Fact-Finding Investigation Procedure
> Monitoring of Locally-Funded Projects Procedure
> Handling of Services Complaints Procedure
> Administration of External Client Satisfaction Survey Procedure
> Endorsement of Application for LGU Scholarship Grant Procedure

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Provision of LGRRC Services Procedure

Local Government Unit Seal of Good Local Governance (SGLG) Procedure

Review and Endorsement of LGU Request for Authority to Purchase Motor Vehicles Procedure

Endorsement of LGU Request for Approval of Additional Confidential Fund Procedure

Processing of Performance Challenge Fund (PCF) Grant Procedure

Processing of Death and Burial Benefit Claim of Barangay Officials Procedure

Processing of Barangay Officials' Request for Certification on the Services Rendered for Civil Service Commission Eligibility Procedure

Processing of Sanggunian Panlalawigan/Panlungod/Bayan Member Request for Certification to support application for Civil Service Commission Eligibility Procedure

DILG PPA Implementation Monitoring and Reporting Procedure

Implementation of Order, Resolution or Decision of Judicial or Quasi-Judicial Agencies Procedure

Assessment of Lupong Tagapamayapa Incentives Awards (LTIA) Procedure

8.4.2 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: (The coding scheme is specified in the respective Quality Procedures (QPs) of the Services.)

- Legal opinion
- Action Document for Public assistance and complaints handling
- Regional Consolidated DBC List
- Full Disclosure Policy (FDP) Compliance Certificate
- List of Beneficiary LGUs
- Certificate of Appearance/No Pending Administrative Case
- Training Certificates

8.4.3 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.

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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.

8.4.4 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:
Inventory of Fixed Assets, SME Procedure

8.4.5 Post-delivery activities

DILG XIII and its FOUs 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.

8.4.6 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.

8.5 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

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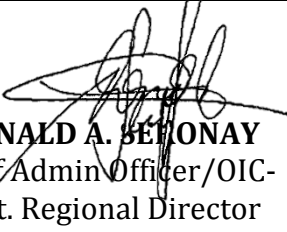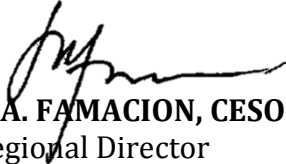
This also applies to nonconforming products and services detected after delivery, during or after the provision of services. DILG XIII deals with nonconforming outputs in one or more of the following ways:

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

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9. Performance Evaluation

9.1 Monitoring, measurement, analysis and evaluation

9.1.1 General

DILG XIII evaluates the performance and the effectiveness of the quality management system. It plans and implements the monitoring, measurement, analysis, and evaluation processes needed to demonstrate conformity to service requirements, ensure conformity of the QMS; and continually improve the effectiveness of the QMS. It determines:

a) what needs to be monitored and measured;
b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;
c) when the monitoring and measuring shall be performed; and
d) when the results from monitoring and measurement shall be analyzed and evaluated.

Appropriate documented information is retained as evidence of the results. The different operating units undertake its respective performance evaluation processes to monitor, measure, analyze and evaluate the different aspects of the operations of the Department.

Relevant Documented Information:
> DILG PPA Implementation Monitoring and Reporting Procedure
> Monitoring of Locally-Funded Projects Procedure
> Preparation and Submission of Financial Accountability Reports (FAR1 & FAR1A) Procedure
> Implementation and Monitoring of SPMS Procedure
> Internal Quality Audit Procedure

9.1.2 Customer satisfaction

DILG XIII monitors customers' perceptions of the degree to which their needs and expectations have been fulfilled. Methods for obtaining, monitoring and reviewing this information is established and implemented by the concerned Bureaus and Services using customer satisfaction survey to monitor the client's perception and satisfaction on the services it received.

Relevant Procedures:
> Client Satisfaction Survey Procedure (SP-R13-06)
> Handling of Services Complaints Procedure (SP-R13-05)

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9.1.3 Analysis and evaluation

DILG XIII analyzes and evaluates appropriate data and information arising from monitoring and measurement.

The results of analysis shall be used to evaluate:
a) conformity of products and services;
b) the degree of customer satisfaction;
c) the performance and effectiveness of the quality management system;
d) if planning has been implemented effectively;
e) the effectiveness of actions taken to address risks and opportunities;
f) the performance of external providers; and
g) the need for improvements to the quality management system.

9.2 Internal quality audit

9.2.1 DILG XIII plans and conducts internal audits every six months to provide information on whether the quality management system:

a) conforms to:
   1) the organization's own requirements for its quality management system; and
   2) the requirements of ISO 9001:2015; and
b) is effectively implemented and maintained.

9.2.2 DILG XIII:

a) plans, establishes, implements and maintains an audit program including the frequency, methods, responsibilities, planning requirements and reporting, which takes into consideration the importance of the processes concerned, changes affecting the organization, and the results of the previous audit;
b) defines the audit criteria and scope for each audit;
c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
d) ensure that the results of the audits are reported to management;
e) takes appropriate correction and corrective actions without undue delay;
f) retains documented information as evidence of the implementation of the audit programme and the audit results.

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Specifically, DILG XIII conducts the following activities relevant to internal quality auditing:

➢ Planning and scheduling

An audit program is prepared including the audit criteria, scope for each audit, frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned, changes affecting the organization, and the results of previous audits.

➢ Audit team and preparation for audit

To ensure objectivity and the impartiality of the audit process, the Internal Auditors of the Internal Audit Service (IAS) perform the IQA of the overall QMS while personnel from the Management Division, Financial and Management Service, conduct IQA of the relevant functions of the Internal Audit Service.

The IAS Division Chief/OIC leads the audit teams in the IAS. The selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work.

Auditors prepare for audits by reviewing applicable standards and procedures, analyzing quality records, and preparing audit checklists.

➢ Conducting the audit

In conducting the audit, auditors seek objective evidence indicating whether the subject areas of audit comply with the requirements of the QMS, and whether effectively implemented and maintained. The evidence is collected through observation, interview of personnel, and examination of records and documents.

Nonconformities, potential nonconformities, and opportunities for improvement are reported through the issuance of Corrective Action Report (CAR).

The audit findings and conclusions are reported to relevant management and presented to the auditees in the closing.

Records of the audits and their results are maintained in accordance with the established procedure on control of records.

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➤ Verification of Action Plan Implementation and Effectiveness

The concerned office being audited determines the necessary corrections and corrective/preventive actions detailing the activities, responsible person, and timeline duly accepted by the IQA Head and ensures that actions are taken without undue delay to eliminate detected non-conformities and their causes.

Implementation and effectiveness of actions taken are verified in the next audit. If non-recurrence of the root cause is verified, the CPAR is closed out duly approved by the IQA Head. Verification can happen more than once if the initial verification does not provide evidence of recurrence of the root cause.

➤ Reporting

An Initial Audit Report is prepared for every Office audited, and an Executive Summary of all the audit findings and conclusions is prepared with attachments of the issued CPARs to form the IQA audit report and submitted to the DILG XIII QMR for approval.

Relevant Documented Information:

Internal Quality Auditing Procedure

9.3 Management Review

9.3.1 General

DILG XIII's Management Review Committee reviews the performance of the QMS every six months or as deemed necessary to evaluate the continuing adequacy, suitability, effectiveness and alignment to the strategic direction of the organization. Records of Management Reviews are controlled by the QMS Secretariat.

The SILG may participate during Management Reviews in accordance with his planned activities and availability. However, he will be furnished copy of the Management Review Minutes for any further action and decision he will hand down to the DILG XIII Management Review Committee.

9.3.2 Management review inputs

The management review is planned and carried out taking into consideration:
a) the status of actions from previous management reviews;
b) changes in external and internal issues that are relevant to the quality management system;
c) information on the performance and effectiveness of the quality management system, including trends in:

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1) customer satisfaction and feedback from relevant interested parties;
2) the extent to which quality objectives have been met;
3) process performance and conformity of products and services;
4) nonconformities and corrective actions;
5) monitoring and measurement results;
6) audit results; and
7) the performance of external providers;

d) the adequacy of resources;
e) the effectiveness of actions taken to address risks and opportunities; and
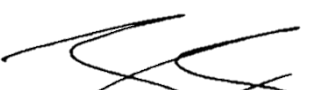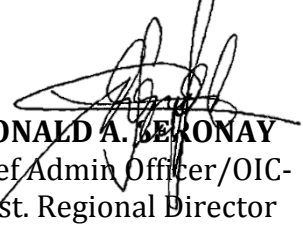f) opportunities for improvement.

9.3.2 Management Review Outputs

The outputs of management review include decisions and actions related to:
a. Opportunities for improvement
b. Changes in the QMS, policies and objectives
c. Changes in resource requirements
d. Other actions deemed necessary by Management

Documented information is retained (records) as evidence of the results of management reviews.

Relevant Documented Information:
Management Review Procedure (SP-R13-09)

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10. Improvement

10.1 General

DILG XIII determines and selects opportunities for improvement and implements any necessary actions to meet customer requirements and enhance customer satisfaction. These include:

a) improving products and services to meet requirements as well as to address future needs and expectations;
b) correcting, preventing or reducing undesired effects; and
c) improving the performance and effectiveness of the quality management system.

Examples of improvement can include correction, corrective action, continual improvement, breakthrough change, innovation and re-organization.

10.2 Nonconformity and corrective action

DILG XIII carries out correction and corrective action. When a nonconformity occurs, including any arising from complaints, DILG XIII:

a) reacts to the nonconformity and, as applicable, take action to control and correct it, and/or deal with the consequences;
b) evaluates the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: reviewing and analyzing the nonconformity; determining the causes of the nonconformity; determining if similar nonconformities exist, or could potentially occur;
c) implements any action needed;
d) reviews the effectiveness of any corrective action taken;
e) updates risks and opportunities determined during planning, if necessary; and
f) makes changes to the quality management system, if necessary.

The need for corrective action is determined on the basis of identified actual nonconformities through the findings of internal quality audit or external audit or on reported unmet quality objectives through the results of the process performance monitoring and measurement. Corrective action requests are likewise triggered by such events as client/customer complaint, or a management review output or directive and other lapses or deviation identified. This need identification is stated in the Corrective Action Report (CAR) issued by the IQA Team for audit related areas or the Deputy QMR through the QMS Secretariat for non-audit related areas.

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Corrective actions are appropriate to the effects of the nonconformities encountered.

DILG XIII retains documented information as evidence of the nature of the nonconformities and any subsequent actions taken and the results of any corrective action.

Relevant Documented Information:

Process Performance Monitoring and Measurement Procedure (SP-R13-08)
Internal Quality Auditing Procedure (SP-R13-10)
Corrective Action Procedure (SP-R13-04)
Management Review Procedure (SP-R13-09)
Services Complaint Handling Procedure (SP-R13-05)

10.3 Continual improvement

DILG XIII continually improve the suitability, adequacy and effectiveness of the quality management system. DILG XIII considers the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.

DILG XIII adopts a continual improvement philosophy throughout the entire organization. The improvement effort is driven by the quality policy, quality objectives, audit results, performance results, corrective and preventive actions, management review, customer/client feedback, risk and risk controls, and other catalysts for positive change.

Improvement opportunities are identified by analyzing quality performance data and information as well as information on client/customer satisfaction. Causes of identified nonconformities determined and corrective actions are implemented to ensure that these causes do not recur. Preventive actions are implemented to eliminate the causes of potential nonconformities. Corrective and preventive actions taken are recorded and are followed up to ensure that they have been properly implemented and that they are effective.

Quality performance is evaluated by performance measurement and monitoring of the quality management system. When quality performance falls short of a defined objective, the operating unit concerned identifies and implements specific actions to address the cause of the non-attainment. When a quality objective is achieved, the management may, at its discretion, set a new or higher objective in this area and identifies improvements for achieving it.

Relevant Documented Information:

Correction and Corrective Action Procedure
Services Complaints Handling Procedure
Customer Satisfaction Survey Procedure

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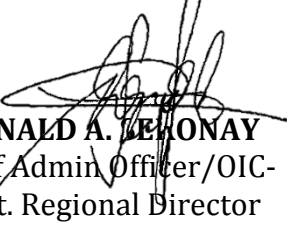**QUALITY MANUAL (QM)**

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