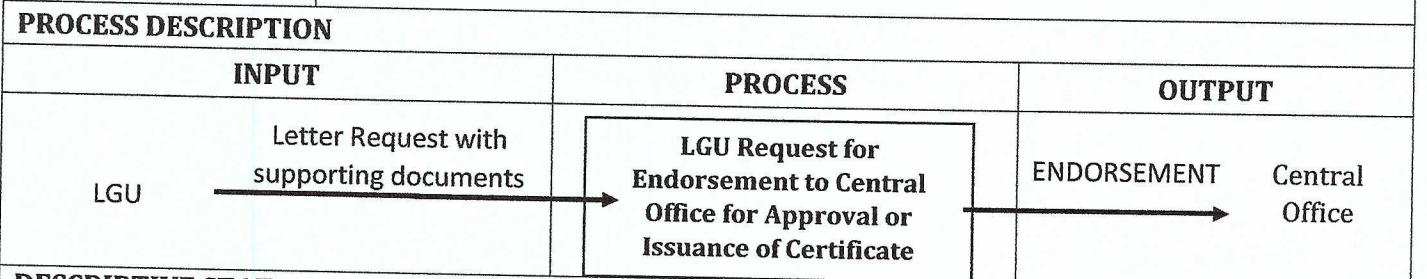




Republic of the Philippines
 DILG - REGION 12 (SOCCSKSARGEN)
**QUALITY
 PROCEDURE (QP)**

Document Code		
QP-R12-LGMED-38		
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PROCEDURE TITLE	LGU REQUEST FOR ENDORSEMENT TO CENTRAL OFFICE FOR APPROVAL OR ISSUANCE OF CERTIFICATE
SCOPE	<p>This process starts from the receipt of request letter from LGU as endorsed by the C/MLGOO up to the endorsement by the Regional Director to the Central Office of the following:</p> <ul style="list-style-type: none"> - Approval of Additional Confidential Fund - Authority to Purchase Motor Vehicle - Approval of Death Benefit Claim of Barangay Officials - Issuance of Certificate of Compliance to Full Disclosure Policy
PURPOSE	To provide standard procedure in processing the LGU request for Endorsement to Central Office for Approval or Issuance of Certificate



DESCRIPTIVE STATEMENT:
 This will describe the process in facilitating the LGU request for endorsement to Central Office for Approval or Issuance of Certificate from the moment it is received by our field officer (C/MLGOO) until such time that the said request is endorsed by the Regional Director to DILG Central Office.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Records Officer (Regional/ Provincial/City/ Municipal Office)	Receive and record the request	<ul style="list-style-type: none"> • Receive, log and route to the Provincial Director/ Regional Director • Refer to the operating unit concerned 	<ul style="list-style-type: none"> • Letter request of LCE/LGU and supporting documents • Endorsement letter from MLGOO • Logbook • Routing slip
2	Provincial Director/ Regional Director	Provide necessary instructions	<ul style="list-style-type: none"> • Forward copy to Program Manager/ Division Chief for action 	<ul style="list-style-type: none"> • Letter request of LCE/LGU and supporting documents • Endorsement letter from MLGOO • Routing slip





Republic of the Philippines
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**QUALITY
 PROCEDURE (QP)**

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
3	Program Manager/ Division Chief	Route to Focal Person with instruction	<ul style="list-style-type: none"> Forward to Focal Person for appropriate action 	<ul style="list-style-type: none"> Endorsement from MLGOO Letter request of LCE/LGU and supporting documents Routing slip
4	Focal Person/ City/Municipal Local Government Operations Officer (C/MLGOO)	Take action	<ul style="list-style-type: none"> Evaluate and preapre endorsement Check completeness of requirements MLGOO will prepare endorsement to Provincial Office (PO) PO Focal Person will prepare endorsement to Regional Office (RO) RO will prepare endorsment to Central Office (CO) If not complete and/or found inappropriate, return to Focal in the province with further instruction to complete the requirements 	<ul style="list-style-type: none"> Endorsement from MLGOO Routing slip Letter request and supporting documents Draft Endorsement
5	Program Manager/ Division Chief	Review the action taken and recommend approval	<ul style="list-style-type: none"> Affix initial in the endorsement Forward to Provincial Director/ Regional Director for approval 	<ul style="list-style-type: none"> Endorsement from MLGOO Letter request and supporting documents Routing slip





Republic of the Philippines
 DILG - REGION 12 (SOCCSKSARGEN)
**QUALITY
 PROCEDURE (QP)**

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> If there is revision, return the endorsement to the Focal Person for appropriate action 	<ul style="list-style-type: none"> Draft Endorsement
6	Provincial Director/ Regional Director	Review and approval of action taken	<ul style="list-style-type: none"> For RD, refer first to Assistant Regional Director (ARD) for review Affix signature Forward to Records Officer for release If there is revision, return the endorsement to the Program Manager/DC for appropriate action 	<ul style="list-style-type: none"> Endorsement letter of the MLGOO Letter request and supporting documents Endorsement letter of the Province Routing slip
7	Records Officer	Record and release the documents	<ul style="list-style-type: none"> Log and release endorsement with supporting documents Forward to Regional Office Refer to the procedure of Handling Incoming and Outgoing Communications (QP-R12-FAD-01) 	<ul style="list-style-type: none"> Endorsement letter of the Province Endorsement letter of the MLGOO Endorsement letter of the Regional Office Letter request and supporting documents Logbook
8	Process Owner	Maintain records	<ul style="list-style-type: none"> Update the process Logsheet Retain documented Information and Masterlist of Retained 	<ul style="list-style-type: none"> Endorsement of the Regional Office





Republic of the Philippines
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**QUALITY
PROCEDURE (QP)**

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Documented Information	

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Republic of the Philippines
 DILG - REGION 12 (SOCCSKSARGEN)
**QUALITY
 OBJECTIVE (QO)**

Document Code		
QO-QP-R12-LGMED-38		
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OFFICE	LOCAL GOVERNMENT MONITORING AND EVALUATION DIVISION (LGMED)
QUALITY PROCEDURE TITLE	LGU REQUEST FOR ENDORSEMENT TO CENTRAL OFFICE FOR APPROVAL /ISSUANCE OF CERTIFICATE

Function	Key Performance Indicators (KPIs)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
To endorse the LGU request for Approval or Issuance of Certificate	LGU requests endorsed to Provincial Office/ Regional Office/Central Office within 5 days	100%	Total number of requests endorsed to Provincial Office/ Regional Office/Central Office within 5 days $\frac{\text{Total number of requests endorsed}}{\text{Total number of request received}} \times 100$	Quarterly	Process Owner	<ul style="list-style-type: none"> • Endorsement • Monitoring Log Sheet • Process Summary Log Sheet
	Endorsed requests with complete requirements	100%	No. of returned requests due to incomplete documents endorsed at all levels	Quarterly	Process Owner	<ul style="list-style-type: none"> • Endorsement • Monitoring Log Sheet • Process Summary Log Sheet

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		 JOSEPHINE CABRIDO-LEYSA, CESO V Regional Director





Republic of the Philippines
 DILG - REGION 12 (SOCCSKSARGEN)
**PROCESS QUALITY MONITORING AND
 EVALUATION (QME)**

Document Code		
QME-QP-R12-LGMED-38		
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OFFICE	LOCAL GOVERNANCE MONITORING & EVALUATION DIVISION
PROCEDURE TITLE	LGU REQUEST FOR ENDORSEMENT TO CENTRAL OFFICE FOR APPROVAL OR ISSUANCE OF CERTIFICATE
OBJECTIVE STATEMENT	1. 100% of LGU requests endorsed to Provincial Office/ Regional Office/Central Office within 5 days 2. 100% Endorsed requests with complete requirements
CURRENT PERIOD	

INDICATORS		1 st Quarter	2 nd Quarter	3 rd Quarter	4 th Quarter	TOTAL
Objective 1: 100% of LGU requests endorsed to Provincial Office/ Regional Office/Central Office within 5 days						
A	Total Number of requests endorsed to Provincial Office/ Regional Office/Central Office within 5 days					
B	Total number of requests received					
C	Formula: $\frac{A}{B} \times 100$ Target Result : 100%					
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)					
Objective 2: 100% Endorsed requests with complete requirements						
A	No. of returned requests due to incomplete documents endorsed at all levels					
B	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)					

Note: For unmet targets of two (2) consecutive periods, concerned Deputy QMR initiate correction and corrective action using the Corrective Action Report (CAR) and attach it to this form.

Prepared by:	Noted by:
Process Owner	Division Chief / Deputy QMR

DILG XII QMS



Prepared by:	Reviewed by:	Approved by:
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		 JOSEPHINE CABRIDO-LEYSA, CESO V Top Management



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Division/Unit: **LOCAL GOVERNMENT MONITORING & EVALUATION DIVISION**

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
LGU REQUEST FOR ENDORSEMENT TO CENTRAL OFFICE FOR APPROVAL OR ISSUANCE OF CERTIFICATE							
QP-R12-LGMED-38	QP: LGU Request For Endorsement to Central Office for Approval or Issuance of Certificate	10.01.17					
QO-QP-R12-LGMED-38	QO: LGU Request For Endorsement to Central Office for Approval or Issuance of Certificate	10.01.17					
QME-QP-R12-LGMED-38	QME: LGU Request For Endorsement to Central Office for Approval or Issuance of Certificate	10.01.17					
FM-QP-R12-LGMED-38-01	QPSL: LGU Request For Endorsement to Central Office for Approval or Issuance of Certificate	10.01.17					
FM-SP-R12-02-01A	RRO: Rsik Registry Objective of LGU Request for Endorsement to Central Office for Approval or Issuance of Certificate	10.1.17					
FM-SP-R12-02-01B	RRP: Rsik Registry Process of LGU Request for Endorsement to Central Office for Approval or Issuance of Certificate	10.1.17					



Document Code		
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Division/Unit: **LOCAL GOVERNMENT MONITORING & EVALUATION DIVISION**

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
LGU REQUEST FOR ENDORSEMENT TO CENTRAL OFFICE FOR APPROVAL OR ISSUANCE OF CERTIFICATE							
DILG MC No. 98-136	Guidelines Relative to the Utilization of Funds fro Intel or Confidential Purposes	7.24.98					
DILG MC No. 99-65	Guidelines Relative to the Utilization of Funds fro Intel or Confidential Purposes	4.23.99					
COA DBM DILG GCG DND JMC 2015-01	Guidelines on the Entitlement, Release, Use, Reporting and Audit of Confidential and/or Intel Funds	1.8.15					

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Division/Unit: **LOCAL GOVERNMENT MONITORING & EVALUATION DIVISION**

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
LGU REQUEST FOR ENDORSEMENT TO CENTRAL OFFICE FOR APPROVAL OR ISSUANCE OF CERTIFICATE									
QME-QP-R12-LGMED-38	QME: LGU Request for Endorsement to Central Office for Approval and Issuance of Certificate	Focal Person	Filing Cabinet	Confidential Fund	Sequential by date	2 years	2 years	4 years	Shredding/ Re-use
FM-QP-R12-LGMED-38-01	QPSL: LGU Request for Endorsement to Central Office for Approval and Issuance of Certificate Process Summary Log Sheet	Focal Person	Filing Cabinet	Confidential Fund	Sequential by date	2 years	2 years	4 years	Shredding/ Re-use
	Endorsement Letter to Central Office	Focal Person	Filing Cabinet	Confidential Fund	Sequential by date	1 year	1 year	2 years	Shredding/ Re-use
	Endorsement Letter from/to Field Office	Focal Person	Filing Cabinet	Confidential Fund	Sequential by date	1 year	1 year	2 years	Shredding/ Re-use

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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **LOCAL GOVERNMENT MONITORING AND EVALUATION DIVISION**

PROCEDURE: **LGU REQUEST FOR ENDORSEMENT TO CENTRAL OFFICE FOR APPROVAL OR ISSUANCE OF CERTIFICATE**

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES (refer to IP Matrix for Requirements)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT							RISK CONTROL PLAN				
							IMPACT	LIKELIHOOD	DETECTION	RATING	RISK LEVEL (L, M, H)	S, NS	RISK CONTROL ACTION	RPN (Risk Priority No.)	ACTION PLAN (if risk rating is significant)	RESPONSIBLE	TIMELINE	RESOURCE
90% of requests with complete documents were endorsed	Political lobbying and accommodation	Requesting parties, COA, DBM, DILG	Endorsement of incomplete documents	Non-compliance to requirements	Non-approval or issuance of certificate	Inform and coordinate with requesting parties	3	5	2	30	M	NS	N/A	2	N/A	N/A	N/A	N/A
90% of requests were acted within 7 working days	Endorsement of field officer beyond agreed timeline	Requesting Parties	Delayed processing of the request	Non-compliance to requirements	Delay in the issuance of Certificate	Coordinate with field office and requesting parties	3	5	2	30	M	NS	N/A	2	N/A	N/A	N/A	N/A
		Approving authorities	Delayed processing of the request	Absence of approving authorities due to official undertakings	Delay in the issuance of Certificate	Designation of OICs	3	5	2	30	M	NS	N/A	2	N/A	N/A	N/A	N/A
		Process owner	Delayed processing of the request	Absence of the process owner due to official undertakings	Delay in the issuance of Certificate	Alternate will act on the request	3	5	2	30	M	NS	N/A	2	N/A	N/A	N/A	N/A

RISK ASSESSMENT:	RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED	RPN
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1-25	LOW	Not Significant	No further action required (Retain risk by informed decision)	3
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain	26-40	MODERATE	Not Significant	Alert level but no further action required for now	2
DETECTION: 1 - Very likely; 2 - Likely; 3 - Low; 4 - Remote; 5 - Very remote	>40	HIGH	Significant	Control (e.g., Treat/Mitigate Transfer, Terminate)	1

Risk Rating = Impact X Likelihood X Detection

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RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: **LOCAL GOVERNMENT MONITORING AND EVALUATION DIVISION**
 PROCEDURE: **LGU REQUEST FOR ENDORSEMENT TO CENTRAL OFFICE FOR APPROVAL OR ISSUANCE OF CERTIFICATE**

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT								RISK CONTROL PLAN			
					IMPACT	LIKELIHOOD	DETECTION	RATING	RISK LEVEL (L, M, H)	S, NS	RPN (Risk Priority No.)	RISK CONTROL ACTION	ACTION PLAN (if risk rating is significant)	RESPONSIBLE	TIMELINE	RESOURCE
Preparation of Endorsement Letter by the MLGOO	Delayed processing of the request	Non-compliance to the requirements	Delayed endorsement	Inform and coordinate with the requesting parties	3	5	2	30	M	NS	2	NA	NA	NA	NA	NA
		Incomplete requirements							M							
		Absence of the C/MLGOO due to official undertakings							M							
Preparation of Endorsement Letter by the Province Focal Person	Delayed processing of the request	Non-compliance to the requirements	Delayed endorsement	Inform and coordinate with the MLGOO	3	5	2	30	M	NS	2	NA	NA	NA	NA	NA
		Incomplete requirements							M							
Preparation of Endorsement Letter by the Regional Focal Person	Delayed processing of the request	Non-compliance of the requirements	Delayed endorsement	Inform and coordinate with the Provincial Focal Person	3	5	2	30	M	NS	2	NA	NA	NA	NA	NA
		Incomplete requirements							M							
RISK ASSESSMENT:		RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED							RPN				
IMPACT:		1-Insignificant; 2-Minor; 3-	1 - 25	LOW	No further action required (Retain risk by informed decision)							3				
LIKELIHOOD:		1-Rare; 2-Unlikely; 3-	26-40	MODERATE	Alert level but no further action required for now							2				
DETECTION		1 - Very likely; 2 - Likely; 3	>40	HIGH	Control (e.g., Treat/Mitigate Transfer, Terminate)							1				

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