



QUALITY PROCEDURE (QP)

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QP-R12-LGMED-42		
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PROCEDURE TITLE	SGLG LGU ASSESSMENT	
SCOPE	This process starts from the receipt of a Memorandum Circular from DILG Central Office up to the submission of the results of validation to the BLGS.	
PURPOSE	To define the standard procedures for the objective assessment of the Seal of Good Local Governance (SGLG) at the local level through document review, calibration of results and national validation of the National, Regional, Provincial Assessment Teams covering the: A. Provinces B. Cities and municipalities	
PROCESS DESCRIPTION-		
This process describes the implementation of SGLG assessment through document review, calibration of results and final validation using the prescribed SGLG Data Capture Forms with MOVs by the Regional Assessment Team (RAT), in the case of Provinces and Cities (CCs/HUC/ICC) and Provincial Assessment Teams (PAT) in the case of component municipalities.		
INPUT	PROCESS	OUTPUT
DILG/BLGS	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> SGLG LGU ASSESSMENT </div>	CALIBRATED SGLG REGIONAL RESULTS VALIDATION RESULTS BY THE RAT Central Office / BLGS
DESCRIPTIVE STATEMENT:		
The SGLG assessment to the LGUs is a process to determine the compliance of the LGUs to good governance standards and other related laws and regulations mandated to the LGUs		

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Records Officer, RO12	Receive Memo from Central Office	Receive Memo from Central Office and refer to Records Management Procedure	CO Memorandum containing the SGLG guidelines Regional Records Management Procedure
2	Regional Director/Assistant Regional Director	Provide instructions to the Division Chief/Regional Focal Person	Receive copy of the Memorandum and provide instructions to the Division Chief/Regional Focal Person	CO Memorandum containing the SGLG guidelines Routing Slip





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
3	Division Chief/LGMED-SGLG Regional Focal Person	Prepare Regional SGLG Memorandum	Prepare the SGLG Memo. Secure initial signature of the LGMED Chief, ARD and approval of RD	SGLG Regional Memorandum CO Memorandum containing the SGLG guidelines Routing Slip with the instructions of the RD/ARD
4	Records Officer	Disseminate Regional Memorandum on SGLG implementation to Provincial Offices	Disseminate Regional Memorandum on SGLG implementation to all Sub-Regional Offices in accordance with the Records Management Procedure	RO SGLG Memorandum Regional Records Management Procedure
PROVINCIAL/HUC/ICC OFFICES				
5	PO/HUC/ICC Records Officer	Receive RO SGLG Memorandum	Receive and record RO SGLG memorandum. Forward to PD/CD/CLGOO	RO SGLG Memorandum PO/HUC Incoming Logbook Routing Slip
6	PD/CD/CLGOO	Provide instructions to the SGLG Focal Persons	Receive and forward to SGLG Focal Persons with instructions	RO SGLG Memorandum Routing Slip with instructions
7	SGLG Provincial/City Focal Person	Prepare SGLG memorandum based on the instructions of the PD/CD/CLGOO	Prepare the SGLG Memorandum for approval of the PD, in the case of the province or transmittal letter to the LCE, in the case of HUC/ICC	RO SGLG Memorandum Routing Slip with Instructions
8	DILG Provincial/City Records Officer	Disseminate to Cluster Heads and Municipalities (for provincial office)	Disseminate to Cluster Heads and Municipalities and/or transmittal letter in accordance with the Records Management Procedure	RO SGLG Memorandum Regional Records Management Procedure PO/HUC Outgoing Logbook





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
ORGANIZATION & BRIEFING OF THE RAT/PAT				
9	Regional/ Provincial Focal Person	Organize the Regional Assessment Team (RAT) and Provincial Assessment Teams(PATs)	Prepare Regional/Provincial Order for the composition of the RAT/PAT	CO Memorandum containing the SGLG guidelines
		Conduct orientation briefing for the RAT/PATs on the new guidelines	Prepare letters to prospective RAT/PAT members Conduct orientation briefing prior to the actual implementation of the SGLG at the local level	Regional/Provincial Orders
REGIONAL ROLL-OUT ORIENTATION				
10	Regional Focal Person	Conduct SGLG Regional; Roll-out orientation on SGLG implementation guidelines	Prepare Master Design on SGLG implementation, Regional Memorandum/ Advisory and conduct Regional Roll out Orientation to the PDs/CD/C/MLGOOs with the PFPs/Cluster Heads/RAT/PAT members	SGLG guidelines Approved Master Design Regional Memorandum on the conduct of the Regional Roll-out
CONDUCT OF DATA GATHERING AND CERTIFICATION				
11	Provincial/City Focal Person/City/Municipal Local Government Operations Officers (C/MLGOOs)	Conduct orientation with the LGU functionaries on the SGLG Implementation Guidelines	Provincial/City Focal Person, C/MLGOOs to inform LCE on SGLG schedule of assessment Orient LGU key personnel on SGLG criteria and schedule of assessment.	SGLG Guidelines Letter / Endorsement LCE Memo Attendance Sheet
12	Provincial/City Focal Person/City/Municipal Local Government Operations Officers (C/MLGOOs)	Conduct SGLG Data Gathering	Conduct SGLG Data gathering using SGLG DCF. Ensure objectivity and partiality of the process. Ensure that the LGU LGPMS Focal Person accomplishes the LGU profile form and encodes in the LGPMS website.	SGLG DCF LGU Profile Form





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
DOCUMENT REVIEW, QUALITY REVIEW AND FIRST SHORTLISTING				
13	Regional/ Provincial Focal Persons	Preparatory activities prior to the actual conduct of the Document Review at the local level	Prepare letters to the RAT/PAT members Prepare letters to the LCEs relative to the conduct and schedule of the document review by the RAT/PAT members Prepare administrative requirements for the activity	SGLG Assessment Forms/DCFs SGLG Data from Partner NGAs LGU Profile Form (if already available)
14	RATs/PATs	Conduct Document Review to provinces, cities and municipalities	RAT/PAT members conduct document review of the LGUs submitted documents and interview with local functionaries present during the assessment	SGLG Assessment Forms/DCFs SGLG Data from Partner NGAs LGU Profile Form (if already available) Attendance Sheets/Photos
15		Submission of the SGLG Documents of the Shortlisted LGUs	Upload and submit thru the SGLG portal/G-Drive signed and duly accomplished SGLG DCFs and Certification Page Change Request Form with attachments (if any) of the shortlisted LGUs	Signed and duly accomplished SGLG DCFs and Certification Page Change Request Form with attachments (if any)
SGLG ONLINE DATA ENTRY				
16	PFPs/CD/C/MLG OOs	Inform the LGUs under their AOR on the schedule of the online data entry	Furnish and inform the LCE and other functionaries of the schedule of the online data entry of the LGU profile in the LGPMS portal	Regional Memorandum/ CO Memo containing the SGLG Guidelines





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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
SGLG CALIBRATION OF RESULTS				
17	RD, LGMED CHIEF, RFP/PFPs, CSO PARTNERS	Review the submitted documents by the LGUs including the MOVs through the portal/G-Drive	<p>Check the correctness and completeness of submitted SGLG Documents including the uploaded photos of the MOVs.</p> <p>Upload the correct MOVs in case where MOVs submitted by the LGUs are not in accordance with the prescribed one by the SGLG BLGS Team</p> <p>Submit the final and calibrated results and/or SGLG POTENTIAL PASSERS to the SGLG BLGS Team which will be subjected to National Validation.</p>	SGLG Documentation Template SGLG DCFs and Certification Page Change Request Form with attachments (if any)
SGLG NATIONAL VALIDATION				
18	SGLG Regional/Provincial/City FPs/Alternate Focal Person	Conduct of the National Validation and onsite visit to SGLG Potential Passers	<p>Regional Focal prepare Regional Memorandum on the schedule of the national validation</p> <p>Coordinate with the LGUs (potential passers) relative to the schedule of the validation</p> <p>Prepare the administrative requirements relative to the onsite visit</p>	Regional Memorandum re: Schedule of National Validation
19	SGLG Focal Person (Region)	Maintains records	Maintain and update records	<p>Process Summary Log Sheet</p> <p>Masterlist of Records</p>





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Process Owner	Division Chief/ Deputy QMR	Regional QMR	Regional Director		





Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

**QUALITY
OBJECTIVE (QO)**

Document Code		
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OFFICE	LOCAL GOVERNMENT MONITORING AND EVALUATION DIVISION
QUALITY PROCEDURE TITLE	SGLG LGU ASSESSMENT

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 assess and validate the LGUs under the criteria of SGLG	LGUs assessed within prescribed period <i>(Prescribed period per DILG Issuance)</i>	100%	No. of LGU assessed within prescribed period _____x100% Total No. of LGUs	Semestral	SGLG Focal Person	QME QPSL

Prepared by:	Reviewed by:	Approved by:
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		 JOSEPHINE CABRDO-LEYSA, CESO V Regional Director

DILG XII QMS



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 DILG - REGION 12 (SOCCSKSARGEN)
**PROCESS QUALITY MONITORING AND
 EVALUATION (QME)**

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OFFICE	LOCAL GOVERNMENT MONITORING AND EVALUATION DIVISION
PROCEDURE TITLE	SGLS LGU Assessment
OBJECTIVE STATEMENT	1. 100% of LGUs assessed within prescribed period
CURRENT PERIOD	

INDICATORS		ANNUAL	REMARKS
1. Objective 1: 100% of LGUs assessed within prescribed period			
A	No. of LGU assessed within prescribed period		
B	Total No. of LGUs		
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)		
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.			

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Process Owner	Division Chief / Deputy QMR

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DILG - REGION 12 (SOCCSKSARGEN)

SGLG LGU Assessment Process Summary Logsheet (PSL)

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QUALITY OBJECTIVE: 1. 100% of LGUs assessed within prescribed period

FREQUENCY OF MONITORING: **Annually**

COVERED PERIOD:

Due Date of Submission:

No.	Control No.	OBJECTIVE NO. 1 RESULTS				Remarks, If Unmet
		Total No. of LGUs	No. of LGU assessed within prescribed period	Met	Unmet	
1						
2						
3						
4						
5						
TOTAL						

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

Prepared by: DILG XII QMS	Reviewed by:	Approved by:
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Division: **LOCAL GOVERNMENT MONITORING AND EVALUATION DIVISION**

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
SGLG LGU Assessment							
QP-R12-LGMED-42	SGLG LGU Assessment	10.01.17					
QO-QP-R12-LGMED-42	SGLG LGU Assessment	10.01.17					
QME-QP-R12-LGMED-42	SGLG LGU Assessment	10.01.17					
FM-QP-R12-LGMED-42	SGLG LGU Assessment	10.01.17					

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MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
SGLG LGU Assessment							
QP-R12-LGMED-42	QP: SGLG LGU Assessment	10.01.17					
QO-QP-R12-LGMED-42	QO:SGLG LGU Assessment	10.01.17					
QME-QP-R12-LGMED-42	QME:SGLG LGU Assessment	10.01.17					
FM-QP-R12-LGMED-42-01	QPSL: SGLG LGU Assessment	10.01.17					
FM-SP-R12-03C-01	DI: SGLG LGU Assessment	10.01.17					
FM-SP-R12-02C-01A	RRO:SGLG LGU Assessment	10.01.17					

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

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
SGLG LGU Assessment							
DILG MC 2017-53	2017 Seal of Good Local Governance Pagkilala sa Katapatan at Kahusayan ng Pamhalaang Lokal	March 22, 2017					

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

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
SGLG LGU Assessment									
QME-QP-R12-LGMED-42	SGLG LGU Assessment	Focal Person	Filing Cabinet	SGLG	Sequential by date	2 years	2 years	4 years	Shredding/ Re-use
FM-QP-R12-LGMED-42-01	SGLG LGU Assessment Process Summary Logsheets (PSL)	Focal Person	Filing Cabinet	SGLG	Sequential by date				
	Endorsement Letter to Central Office	Focal Person	Filing Cabinet	SGLG	Sequential by date				
	Endorsement Letter to Field Office	Focal Person	Filing Cabinet	SGLG	Sequential by date				

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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **LOCAL GOVERNANCE MONITORING AND EVALUATION DIVISION**
 PROCEDURE: **SGLG LGU ASSESSMENT**

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
Assess and validate LGUs per SGLG criteria	Delayed cascading of SGLG Policies/Timelines	DILG XII personnel, CSO Partners, LGUs	Non meeting of timelines as determined by CO	Delayed conduct of roll out activity	Best effort/double time to beat the timelines	Strictly follow national policy/timelines set	4	3	1	12	L	NS	NA	3	NA	NA	NA	NA
Check completeness and correctness of LGUs duly accomplished DCFs and MOVs for	Inaccurate data on DCFs reflected, lacking MOVs	DILG XII personnel, CSO Partners, LGUs, DILG CO	Incomplete MOVs of LGUs compliance on SGLG criteria	LGU Focal persons unable to show/attach documentation/proof	Lesser Regional potential SGLG passers	Designation of OIC	4	2	1	8	L	NS	NA	3	NA	NA	NA	NA

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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			 REYNALDO M. BUNGBUNG, DESO IV Regional Director





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RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: **LOCAL GOVERNANCE MONITORING AND EVALUATION DIVISION**
 PROCEDURE: **SGLG LGU ASSESSMENT**

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT						RPN(Risk Priority No.)	RISK CONTROL ACTION	ACTION PLAN (if risk rating is significant)	RISK CONTROL PLAN		
					IMPACT	LIKELIHOOD	DETECTION	RATING	RISK LEVEL (L, M, H)	S, NS				RESPONSIBLE	TIMELINE	RESOURCE
Receipt of CO Memorandum/Advisory containing the SGLG guidelines	Delayed referral to the Process owner	Delayed referral to the RO by the CO DC & ADC and/or Process Owner on OB or leave	Timelines not fully met	records officer of the division shall notify immediately the process owner/concerned personnel of the Memo/Advisory received for immediate action	1	1	1	1	L	NS	3	NA	NA	NA	NA	NA
					1	1	1	1	L	NS	3	NA	NA	NA	NA	NA
PREPARATION OF OFFICIAL COMMUNICATION	Delayed preparation of Message for Transmission to Field Offices	Multiple simultaneous activities; Process owner on leave/On OB	Timelines not fully met	Anybody from the division can act on the matter	4	1	1	4	L	NS	3	NA	NA	NA	NA	NA
Disseminate Regional Memorandum on SGLG implementation to Provincial Offices	Delayed send out	Delayed action at Division level due to late receipt of communication from CO	Timelines not fully met	Catch up with timeliness	4	1	1	4	L	NS	3	NA	NA	NA	NA	NA
CONDUCT ROLL-OUT	Delayed conduct of roll-out	required attendees not available on the desired schedule	delayed start of SGLG assessment	Alternate Focal Persons to take over	5	3	1	15	L	NS	3	NA	NA	NA	NA	NA
conduct of Regional Validation	delayed conduct of Regional Validation and not all LGUs are validated within the target time	delayed conduct of roll-out	delayed assessment results	Double time and stick to the target schedules and/or time frame	5	4	2	40	M	NS	2	ALERT	NA	NA	NA	NA
Conduct of Assessment and Calibrations of Findings	Incorrect assessment due to appreciation of evidence; findings will not be calibrated properly	mislooked important data; findings not checked properly	lesser chance for the LGUs to qualify as SGLG passers	constant follow up with assessors to do due diligence and work as a team	5	4	3	60	H	S	1	CONTROL	conduct calibrations with enough time to check all the important data	RFPs, PFPs, RAT members	Provincial and Regional Calibrations scheduled	SGLG Funds
SUBMISSION OF Calibrated Results	Delayed preparation of the Calibrated Results	Delayed conduct of Calibrations	Delayed submission of the Compliance Report	Strict adherence to timelines set by CO	5	2	1	10	L	NS	3	NA	NA	NA	NA	NA

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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