



QUALITY PROCEDURE (QP)

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QP-R12-FAD-12		
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PROCEDURE TITLE	PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORTS		
SCOPE	This process starts after the determination of a final Status of Allotments, Obligations and Balances (SAOB), Report of Check and Advice to Debit Account Issued (RCAI) and ends with the submission of Quarterly Financial Accountability Reports (FARs) to Central Office (CO) and other agencies.		
PURPOSE	To define the process of preparation and submission of FARs thru the Unified Reporting System (URS)		
PROCESS DESCRIPTION			
INPUT		PROCESS	OUTPUT
Budget and Accounting Sections	SAOB, Status of Funds RCAI	PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORTS	FARs 1,1A,1B, FARs 1,1A,,3,4,5 Central Office, Resident COA/DBM
DESCRIPTIVE STATEMENT: The Budget Officer and Accountant prepare the FARs by encoding and inputting information thru the URS based on the SAOB and RCAI and submitting the same thru DBM URS to the Central Office, Resident COA and DBM.			

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Budget Officer/Accountant	Retrieve the SAOBs and Status of Funds/RCAI	<ul style="list-style-type: none"> Budget Officer encode all obligations to FAR No. 1,1A,1B to the DBM-URS under the Allotments and Current Year Obligations columns 	<ul style="list-style-type: none"> SAOBs Status of Funds
			<ul style="list-style-type: none"> Accountant encode FAR No. 1,1A,,3,4,5 to the DBM-URS under Current Year Disbursements Column Click the submit button of the URS for approval by central office and once approved, print and affix signatures and forward to RD for reference. 	<ul style="list-style-type: none"> RCAI
			<ul style="list-style-type: none"> Submit hard copy to Central Office. 	<ul style="list-style-type: none"> FARs

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
2	Process Owner	Retain records	<ul style="list-style-type: none"> Update the Process Summary Log Sheet Retain records in accordance with the Control of Retained Documented Information Procedure and Masterlist of Retained Documented Information . 	<ul style="list-style-type: none"> Process Summary Log Sheet Control of Retained Documented Information Procedure Masterlist of Retained Documented Information

Legal References:

Definition of Terms:

SAOBs- Statement of Allotment, Obligations and Balances

RCAI-Report of Checks and ADA Issued

FARs- Financial Accountability Reports

- FAR 1 - Summary of Appropriation , Allotments, Obligations, Disbursements and Balances
- FAR 1.A - Summary of Appropriation , Allotments, Obligations, Disbursements and Balances by Object of Expenditure
- FAR 1.B - List of allotments/Sub Allotments
- FAR 3 - Aging of Due and Demandable Obligations
- FAR 4 - Monthly Report of Disbursement
- FAR 5 - Quarterly Report of Revenue and other Receipts

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 ADELAIDA M. ABDUL Process Owner	 DENNIS T. SUCOL Deputy QMR	 LAILYN A. ORTIZ, CESE Regional QMR
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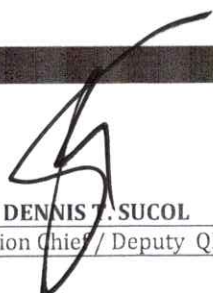


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QUALITY OBJECTIVE (QO)

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OFFICE	FINANCE & ADMINISTRATIVE DIVISION – ACCOUNTING SECTION
QUALITY PROCEDURE TITLE	PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORTS

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)			
<ul style="list-style-type: none"> PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORTS 	<ul style="list-style-type: none"> FARs submitted to Central Office not later than the 15th day after end of each quarter 	100%	Date submitted	<ul style="list-style-type: none"> Quarterly 	<ul style="list-style-type: none"> Accountant 	<ul style="list-style-type: none"> DBM-URS QME

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				 JOSEPHINE CABRIDO-LEYSA, CESO III Top Management	

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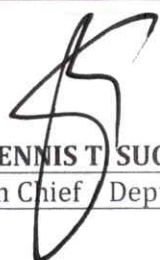


PROCESS QUALITY MONITORING AND EVALUATION (QME)

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OFFICE	FINANCE & ADMINISTRATIVE DIVISION - ACCOUNTING SECTION
PROCEDURE TITLE	PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORTS
OBJECTIVE STATEMENT	1. FARs submitted to Central Office not later than the 15th day after end of each quarter
CURRENT PERIOD	

INDICATORS	1 ST QUARTER	2 ND QUARTER	3 RD QUARTER	4 TH QUARTER	TOTAL
Objective 1: FARs submitted to Central Office not later than the 15th day after end of each quarter					
A Actual date of submission					
B Date at the end of the quarter					
C Formula: A-B Target Result: 15 days					
D Gap Analysis: (In case the objective is not met, put your analysis why it is not met)					

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**PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY
REPORTS Process Summary Logsheet (PSL)**

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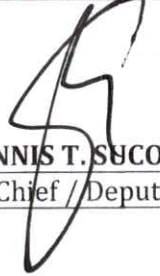
QUALITY OBJECTIVES: 1. FARs submitted to Central Office not later than the 15th day after end of each quarter

FREQUENCY OF MONITORING: QUARTERLY

COVERED PERIOD:

Due Date of Submission:

No.	Particulars	BUDGET SECTION			ACCOUNTING SECTION			Total No. of Days (Target = 15 days)	Met	Unmet	Remarks, if Unmet	NOTES
		Date at End of the Quarter	Date Completed	No. of Days elapsed	Date Received	Date Submitted	No. of days elapsed					
1	FAR No. 1											
2	FAR No. 1 - Continuing											
3	FAR No. 1A											
4	FAR No. 1A - Continuing											
5	FAR 1B											
TOTAL												

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Division/Unit: **FINANCE & ADMINISTRATIVE DIVISION - BUDGET SECTION**

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORTS							
QP-RO-12-FAD -12	Quality Procedure - Financial Accountability Reports	10.01.17					
QO- RO-12-FAD -12	Quality Objective - Financial Accountability Reports	10.01.17	012020				
QME-QP- RO-12-FAD -12	Quality Monitoring & Evaluation - Financial Accountability Reports	10.01.17	012020				
QPSL-QP- RO-12-FAD -12-01	Quality Process Summary Logsheet - Financial Accountability Reports	10.01.17	012020				
FM-SP-R12-03A-01	Masterlist of Internal Documents	10.01.17					
FM-SP-R12-03B-01	Masterlist of External Documents	10.01.17					
FM-SP-R12-03C-01	Masterlist of Retained Documented Information	10.01.17					
FM-SP-R12-02-01A	Risk Registry - Objective Risk Assessment	10.01.17					
FM-SP-R12-02-01B	Risk Registry - Process Risk Assessment	10.01.17					

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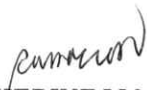

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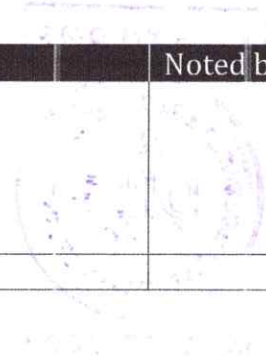


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Division/Unit: **FINANCE & ADMINISTRATIVE DIVISION – BUDGET SECTION**

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORTS							
	Joint Circular No. 2014-1 dated July 2, 2014 re Guidelines Prescribing the use of Modified Formats on the Budget and Financial Accountability Reports (BFARS)	07.02.14					

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Division/Unit: **FINANCE & ADMINISTRATIVE DIVISION – BUDGET SECTION**

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORTS									
FM-QME-RO12-FAD-12	Quality Monitoring and Evaluation	Katherine M. Llano	Budget Section, FAD and	1 Folder in Budget Book shelves/ divider	by Quarter	2 yrs		2 yrs	Disposed thru record
FM-QPSL-RO12-FAD-12	Quality Process Summary Logsheet	Adelaida M. Abdul	Accounting Section, FAD	1 Folder in Accounting Shelve No. 1	by Quarter	2 yrs		2 yrs	Disposed thru record
	Logbook					2 yrs		2 yrs	Disposed thru record
	Transmittal Letter					2 yrs		2 yrs	Disposed thru record

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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION – BUDGET SECTION**
 PROCEDURE: **PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORT**

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES (refer to IP Matrix for Development)	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
100% Timely submission of all FARs 3 days after end of the quarter	System/network error	Central Office/ DBM	Unable to log in the URS	No internet connection	non-entitlement of PBB	None	4	4	1	16	L	NS		3	NA	BUDGET OFFICER AND ACCOUNTANT	NA	NA
	absence of assigned personnel due to sickness	Central Office/ DBM	non-submission of online report	unable to encode in the system	non-entitlement of PBB	None	4	4	1	16	L	NS		3	NA	BUDGET OFFICER AND ACCOUNTANT	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)			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			2									
DETECTION: 1 - Very likely, 2 - Likely; 3 - Low			>40	HIGH	Significant	Control (e.g. Treat/Mitigate Transfer, Terminate)			1									
Risk Rating = Impact X Likelihood X Detection																		

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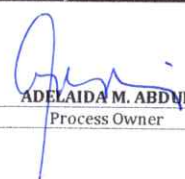
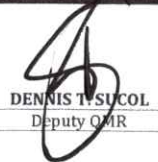


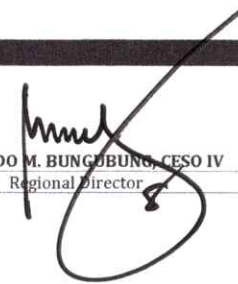
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RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: **FINANCE & ADMINISTRATIVE DIVISION - BUDGET SECTION**
 PROCEDURE: **PREPARATION AND SUBMISSION OF FINANCIAL ACCOUNTABILITY REPORTS**

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	
Logs and encodes FARs to DBM-URS	System/network error	No internet connection	Unable to log in the URS	Provision of back-up wifi network provider		Provision of wifi	4	3	1	12	L	NS		1	NA	Budget Officer & Accountant	
RISK ASSESSMENT:					RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED				RPN					
IMPACT:					1 - Insignificant; 2 - Minor; 3 -	1 - 25	LOW	Not Significant	No further action required (Retain risk by informed decision)				3				
LIKELIHOOD:					1 - Rare; 2 - Unlikely; 3 -	26 - 40	MODERATE	Not Significant	Alert level but no further action required for now				2				
DETECTION					1 - Very likely; 2 - Likely; 3 -	>40	HIGH	Significant	Control (e.g.. Treat/Mitigate Transfer, Terminate)				1				
Risk Rating = Impact X Likelihood X Detection																	

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