



QUALITY PROCEDURES

PROCEDURE TITLE	PREPARATION OF ANNUAL REGIONAL BUDGET PROPOSAL		
SCOPE	The process commences from the receipt of guidelines/guidance from Central Office for Budget Preparation up to submission of approved Budget Proposal to Central Office and to the Regional Development Council.		
PURPOSE	To standardize the procedure on preparation and submission of Regional Budget Proposal as prescribed under National Budget Memorandum issued by DBM.		
PROCESS DESCRIPTION			
INPUT		PROCESS	OUTPUT
Budget & Planning Officer	Guidelines →	PREPARATION OF ANNUAL REGIONAL BUDGET PROPOSAL	Budget Proposal (BP) Forms → CO RDC
DESCRIPTIVE STATEMENT:			
The Preparation of Annual Regional Budget Proposal starts after the conduct of Budget Forum and RDC Meeting. Then the identification of P/P/As and infrastructure with proposed funds follows. After the approval of the Budget Proposal by the Regional Director in a prescribed RDC and BP forms, the Process Owners transmit the Approved Budget Proposals to Central Office and to the RDC.			

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	PLANNING OFFICER /BUDGET OFFICER	Identification of PPAs Review of guidelines/memorandum/advisory from CO	<ul style="list-style-type: none"> Upon receipt of guidelines from the CO, the Planning Officer shall review the issuance for budget proposal preparation The Planning Officer shall then confer with Division Chiefs and Unit Heads of the proposed PPAs budget Prepare, sign and submit to RD the proposed RDC Form 2 containing the PPAs to be implemented 	<ul style="list-style-type: none"> National Budget Memorandum (Budget Call) Draft Form 2
2	ARD	Review of the draft RDC Form 2	<ul style="list-style-type: none"> Review the proposed PPAs included in the draft Form 2 vis a vis the guideline If found proper, forward to the RD with initial affixed on the form, otherwise, return the same to the Planning Officer for revisions In case of the absence of the ARD, designated 	<ul style="list-style-type: none"> Draft RDC XII Form 2

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Chief-of Staff shall perform the review of the draft form	
3	RD	Approval of RDC Form 2	<ul style="list-style-type: none"> Final review RDC Form 2 If found poper, shall affix signature thereon along with the transmittal letter for submission to RDC XII Secretariat, else, the Form is referred back to the Planning Officer Forward to the Budget Officer 	<ul style="list-style-type: none"> Accomplished RDC Form 2 and Transmittal Letter
4	BUDGET OFFICER	Preparation (BP) Forms with transmittal	<ul style="list-style-type: none"> Upon receipt of approved Form 2, shall identify PPAs under Tier 1 and Tier 2 Consolidate new and current programs Accomplish form BP201 Accomplish form BP201A Accomplish form BP201B Accomplish form BP201D Accomplish form BP200 Prepare Transmittal letter Forward Accomplished forms to Planning Officer and Accountant for signature 	BP Forms
5	Planning Officer and Accountant	Review of the Budget Proposal Forms	<ul style="list-style-type: none"> Upon checking details of the PPAs included in the Budget Proposal, the Planning Officer and Accountant shall affix their signatures on the forms If deficient, Planning Officer and/or Accountant shall return the forms to the 	BP Forms

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Budget officer for revision/s <ul style="list-style-type: none"> Once signed, forward Forms to the ARD 	
6	ARD	Review of Accomplished Forms	<ul style="list-style-type: none"> Check items included in the forms If found in order, shall affix initials thereon and forward to RD, otherwise, shall return to the Planning Officer/ Accountant or Budget Officer for revision/s In case of the absence of the ARD, designated Chief-of-Staff shall review the draft form 	BP Forms
7	RD	Approval of Budget Forms	<ul style="list-style-type: none"> Review the accomplished forms If deficient, return to the budget officer/Planning Officer/Accountant, to whomever concerned for revision/s If in order, shall affix thereon signature and cause for the submission to RDC XII Secretariat and CO 	BP Forms
8	REGIONAL RECORDS OFFICER	Records and releases RDC Form 2 with Transmittal letter	<ul style="list-style-type: none"> Scan and send RDC Form 2 with transmittal letter through email and courier 	<ul style="list-style-type: none"> Accomplished RDC XII Form 2 and Transmittal Letter
9	BUDGET OFFICER/PLANNING OFFICER	Retain records	<ul style="list-style-type: none"> Retain records in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Records 	Process Summary Log Sheet Control of Documented Information Procedure Masterlist of Records

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QUALITY PROCEDURES

Definition of Terms:

- Tier 1 - Present /Current Programs, Projects and Activities
- Tier 2 - Proposed Programs, Projects and Activities
- BP 201 - Summary of obligations and Proposed Activities and Projects
- BP201A- Obligations by Object of Expenditure Personal Services (Tier 1 & 2)
- BP201B- Obligations by Object of expenditure – MOOE (Tier 1 & 2)
- BP201D- Obligations by Object of expenditure – CO (Tier 1 & 2)
- BP200 - Comparison of Appropriations and Obligations
- CO - Central Office
- RDC - Regional Development Council

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QUALITY OBJECTIVE (QO)

Document Code		
QO-QP-R12-ORD-25		
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OFFICE	OFFICE OF THE REGIONAL DIRECTOR
QUALITY PROCEDURE TITLE	PREPARATION OF ANNUAL REGIONAL BUDGET PROPOSAL

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
<ul style="list-style-type: none"> Preparation of Annual Regional Budget Proposal 	<ul style="list-style-type: none"> Timely Submission of budget proposal to the RDC XII Secretariat and CO on the set deadline 	100%	Timeliness: Budget proposal submitted to the RDC XII Secretariat and CO on the set deadline	Annual	Planning Officer	<ul style="list-style-type: none"> QME Budget Proposal Forms

Prepared By	Checked By
Process Owner	Chief of Staff





Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

QUALITY OBJECTIVE (QO)

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PROCESS QUALITY MONITORING AND EVALUATION (QME)

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OFFICE	OFFICE OF THE REGIONAL DIRECTOR
PROCEDURE TITLE	PREPARATION OF THE ANNUAL REGIONAL BUDGET PROPOSAL
OBJECTIVE STATEMENT	<ul style="list-style-type: none"> 100% Timely submission of budget proposal to the RDC XII Secretariat and CO on the set deadline
CURRENT PERIOD	

INDICATORS	DATE OF SUBMISSION			TOTAL
	2017	2018	2019	
Objective 1: 100% Timely submission of budget proposal to the RDC XII Secretariat and CO on the set deadline				
A Budget Proposal timely submitted		100%		
B Gap Analysis: (In case the objective is not met, put your analysis why it is not met)				

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

Prepared By	Reviewed by:
Process Owner	Chief of Staff



PROCESS QUALITY MONITORING AND EVALUATION (QME)

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REGION XII

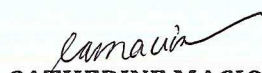
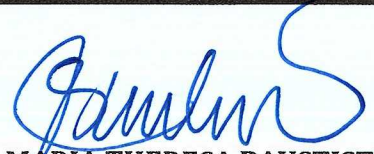
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Division/Unit: **OFFICE OF THE REGIONAL DIRECTOR- PLANNING UNIT**

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
PREPARATION OF ANNUAL REGIONAL BUDGET PROPOSAL							
QP-R12-ORD-25	Quality Procedure: Preparation of Annual Regional Budget Proposal	10.01.17					
QO-QP-R12-ORD-25	Quality Objective: Preparation of Annual Regional Budget Proposal	10.01.17					
QME-QP-R12-ORD-25	Quality Monitoring and Evaluation (QME): Preparation of Annual Regional Budget Proposal	10.01.17					
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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Division/Unit: **OFFICE OF THE REGIONAL DIRECTOR - PLANNING UNIT**

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
PREPARATION OF ANNUAL REGIONAL BUDGET PROPOSAL							
	RDC FORM 2						
	BP 201						
	BP 201A						
	BP 201B						
	BP 201D						





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Division/Unit: **OFFICE OF THE REGIONAL DIRECTOR- PLANNING UNIT**

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT CODE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
PREPARATION OF ANNUAL REGIONAL BUDGET PROPOSAL									
QME-QP-R12-ORD-25	Quality Monitoring and Evaluation (QME): Preparation of Annual Regional Budget Proposal	Planning Officer	Filing Cab	QMS Folder	Sequential	2	2 years after audit	4	PERMANENT
	Budget Proposal Form	Planning Officer	Filing Cab	QMS Folder Planning	Sequential	2	2 years after audit	4	PERMANENT
	BP201 Form	Budget Officer	Filing Cab	QMS Folder	Sequential	2	2 years after audit	4	PERMANENT
	BP201A Form	Budget Officer	Filing Cab	QMS Folder	Sequential	2	2 years after audit	4	PERMANENT
	BP201B Form	Budget Officer	Filing Cab	QMS Folder	Sequential	2	2 years after audit	4	PERMANENT
	BP201D Form	Budget Officer	Filing Cab	QMS Folder	Sequential	2	2 years after audit	4	PERMANENT







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	BP200 Form	Budget Officer	Filing Cab	QMS Folder	Sequential	2	2 years after audit	4	PERMANENT
	BP200 Form	Budget Officer	Filing Cab	QMS Folder	Sequential	2	2 years after audit	4	PERMANENT

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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR**
 PROCEDURE: **PREPARATION OF ANNUAL REGIONAL BUDGET PROPOSAL**

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
100% Timely submission of budget proposal to RDC XII Secretariat and CO on set deadline	Delayed Guidelines/Memorandum/Advisory from CO	DILG Central Office, RDC XII	Delayed submission of the Annual Regional Budget Proposal	No guidelines received from RDC/CO	Non-compliance to memorandum; No approved budget for the preceding year	Previous year's OPB as basis for Budget Proposal	5	5	5	H	S		1		Alert			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 in			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 n			2								
DETECTION: 1 - Very likely; 2 - Likely; 3 - Low;				>40	HIGH	Significant	Control (e.g. Treat/Mitigate Transfer, Termina			1								
Risk Rating = Impact X Likelihood X Detection																		

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RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR-PLANNING UNIT**
 PROCEDURE: **PREPARATION OF ANNUAL REGIONAL BUDGET PROPOSAL**

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
Identification of PPAs	Delayed identification of PPAs	Division Chiefs/Unit Heads is on travel or is on sick leave	Delayed preparation of PPAs	OIC assumes preparation	5	3	2	45	H	S	1	Control	Early Planning of PPAs	Planning Officers/DCS	Nov-18	P30,000
Approval of the RDC Forms	Delayed approval of RDC forms	Authorized Official on travel or on sick leave	Delayed preparation of BP Forms	OIC assumes approval	3	3	2	18	M	NS	3	NFA			NA	NA
Approval of Budget Forms	Delayed approval of Budget Forms	Authorized Official on travel or on sick leave	Delayed Approval of Budget Forms	OIC assumes approval	3	3	2	18	M	NS	3	NFA				
RISK ASSESSMENT:		RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED							RPN				
IMPACT:	1-Insignificant; 2-Minor;	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;	>40	HIGH	Significant	Control (e.g., Treat/Mitigate Transfer, Terminate)							1				
Risk Rating = Impact X Likelihood X Detection																

Prepared by:	Reviewed by:	Recommending Approval:	Approved by:
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