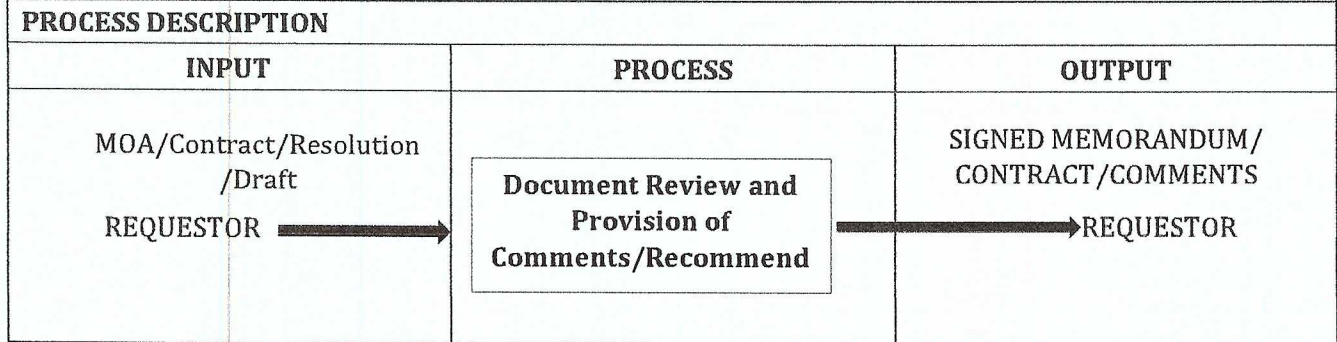




**QUALITY
PROCEDURE (QP)**

Document Code		
QP-R12-ORD-27		
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PROCEDURE TITLE	DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATIONS
SCOPE	The process shall cover requests for comment/recommendations as regards draft circulars/memoranda and the likes emanating from the DILG Central Office. It shall also cover review of deeds of conveyances, contracts such as MOA and MOUs, and resolutions where the DILG XII is a signatory.
PURPOSE	To provide policy guidelines for the review of document/instruments and provision of comments and/or recommendations on proposed circulars and contracts.



DESCRIPTIVE STATEMENT:

Upon receipt of the MOA/contract/resolution or draft, the same shall be forwarded to the concerned unit. Thereafter, initial evaluation/ comment shall be done/rendered and forwarded to the Legal Officer, then to the Assistant Regional Director for review. Once reviewed, the draft/MOA/ instrument shall be forwarded to the Regional Director for approval/signature and forwarded to the requestor.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	RECORDS OFFICER	RECEIPT AND ROUTING OF MEMORANDUM	<ul style="list-style-type: none"> Refer to the procedure <i>Handling of Incoming and Outgoing Communications</i> 	<ul style="list-style-type: none"> Routing Slip Complaint and/or Endorsement/ Referral QP-R12-FAD-01
2	Concerned Division/Unit	INITIAL REVIEW AND EVALUATION OF REQUEST	<ul style="list-style-type: none"> For contracts which emanated from Field Offices or LGUs, check if affixed signature/s is/are original and details in the contract/MOA are completely filled-in <ul style="list-style-type: none"> If found deficient but minor details may be provided by the division/unit, fill-in details and notify the concerned of the details filled-in 	Contract/MOA





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> ▪ If deficient but details are significant provisions, return to the originating Field Office or LGU for their completion • For MOAs/contracts and the likes: forward to the Legal Officer after initial review; • For comment on draft memorandum circulars and orders, render recommendations or comments if any. Thereafter forward to the Office of the Regional Director 	
	Regional Director	Provide instructions	<ul style="list-style-type: none"> • For draft circulars for comment/s or recommendation/s of Regional Offices, indicate in the routing slip specific instructions if any • Forward to the Legal Officer 	
3	LEGAL OFFICER	DRAFTING/ PREPARATION OF COMMENTS/ RECOMMENDATIONS	<ul style="list-style-type: none"> • For draft circulars - Review, prepare and drafts comments/recommendations as instructed and forwards to ARD. For comments emanating from concerned divisions, review comments/recommendations if compliant to legal requirements • Only draft comments/recommendations from Central Office or other agencies shall be subject to ARD's review, save when the ARD acts as the Officer 	Document/ Instrument Draft Comment or recommendation Document Review Form Contract/MOA





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			In-Charge. All other contracts/MOA shall be directly forwarded to the Regional Director .	
4	ASSISTANT REGIONAL DIRECTOR	REVIEW OF DRAFT AND RECOMMEND APPROVAL	<ul style="list-style-type: none"> For draft circulars and the likes - Review draft, comment or recommendation For deficiencies or additional inputs, return the draft to the Legal Officer If found sufficient, affix initials and forwards to the Regional Director 	
5	REGIONAL DIRECTOR	REVIEW AND APPROVAL	<ul style="list-style-type: none"> Final review of the documents If found sufficient, affix signature, otherwise, returns the draft/contract to the Legal Officer For signed contracts, cause the return to the concerned division or unit For draft circulars, forwarded to the Records Officer For contracts, return to the origination Operating Unit 	
6	RECORDS OFFICER	RELEASE OF COMMENT/ RECOMMENDARION	<ul style="list-style-type: none"> Refer to the procedure <i>Handling of Incoming and Outgoing Communication</i> 	QP-R12-FAD-01
7	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 the Masterlist of 	<ul style="list-style-type: none"> Process Summary Log Sheet Control of Documented Information Procedure





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

Document Code		
QO-QP-R12-ORD-27		
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OFFICE	ORD - LEGAL UNIT
QUALITY PROCEDURE TITLE	DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATIONS

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"> Review of Documents/ MOAs and draft of comments/ recommendations 	<ul style="list-style-type: none"> Render comments/ recommendations on MOA/Drafts and other deeds within the prescribed time 	<ul style="list-style-type: none"> 100% 	<ul style="list-style-type: none"> Timeliness Number of requests received rendered within the prescribed time* ----- X 100% No. of requests received due for the month [*MOA, MOU, Contracts-5D; Draft Circulars-on or before deadline] 	<ul style="list-style-type: none"> Monthly 	<ul style="list-style-type: none"> Legal Officer 	<ul style="list-style-type: none"> Monitoring Log Sheet, Memorandum or Letter Document Review Form

Prepared by:	Reviewed by:	Approved by:
 ATTY. MICHELLE ANNE P. VIEJO Process Owner	 LAILYN A. ORTIZ, CESO V Quality Management Representative	 JOSEPHINE CABRIDO-LEYSA, CESO V Top Management

DILG XII QMS





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

Document Code		
QME-QP-R12-ORD-27		
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OFFICE	ORD – LEGAL UNIT
PROCEDURE TITLE	DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATIONS
OBJECTIVE STATEMENT	100% of requests for comments/recommendations on MOA/Drafts and other deeds rendered within the prescribed time
CURRENT PERIOD	

INDICATORS		JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
Objective 1: 1. 100% of requests for comments/recommendations on MOA/Drafts and other deeds rendered within the prescribed time													
A	Number of requests received due for the month acted within the prescribed time												
B	No. of requests received due for the month												
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, concerned Secretariat 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/Next Higher Supervisor

DILG XII QMS



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Prepared by:	Reviewed by:	Approved by:
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DILG XII QMS



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Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATIONS Process Summary Logsheet (PSL)

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QUALITY OBJECTIVE: 1. 90% of requests for comments/recommendations on MOA/Drafts and other deeds rendered within the prescribed time

FREQUENCY OF MONITORING: **Monthly**

COVERED PERIOD:

Due Date of Submission:

No.	Control No.	Particulars	OBJECTIVE NO. 1 RESULTS						REMARKS, IF UNMET
			Date Received	Date Submitted	Date Due	Met	Unmet	Total No. of days elapsed	

Prepared by:	Noted by:
Process Owner	Deputy QMR



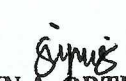
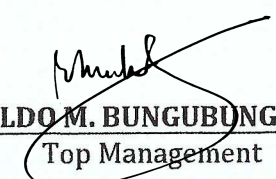




Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATIONS Process Summary Logsheet (PSL)

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REGION XII



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Document Code		
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Division: **OFFICE OF THE REGIONAL DIRECTOR-LEGAL UNIT**

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
DOCUMENT REVIEW AND PROVISION OF COMMENTS/ RECOMMENDATION							
QP-RO12-ORD-27	Quality Procedure: Document Review and Provision of Comments/Recommendations	10.01.17					
QO-QP-R12-ORD-27	Quality Objective: Document Review and Provision of Comments/Recommendations	10.01.17					
QME-QP-R12-ORD-27	Quality Monitoring and Evaluation (QME): Document Review and Provision of Comments/Recommendations	10.01.17					
FM-QP-R12-ORD-27-01	Document Review and Provision of Comments/Recommendations (PSL) Process Summary Logsheets	10.01.17					
FM-SP-R12-03A-01	Master List of Internal Documents	10.01.17					
FM-SP-R12-03B-01	Master List of External Documents	10.01.17					
FM-SP-R12-03C-01	Master List of Retained Documented Information	10.01.17					
FM-SP-R12-02-01A	Risk Register - Objective	10.01.17					
FM-SP-R12-02-01B	Risk register - Process/Steps	10.01.17					

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Division: **OFFICE OF THE REGIONAL DIRECTOR – LEGAL UNIT**

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
DOCUMENT REVIEW AND PROVISION OF COMMENTS/ RECOMMENDATION							
	Local Government Code						
	1987 Philippine Constitution						
	The Civil Code of the Philippines						
	The Administrative Code of the Philippines						

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 CATHERINE A. MACION Regional Document Controller	 MARIA THERESA BAUTISTA Deputy QMR





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REGION XII

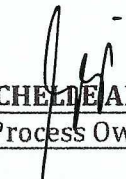

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Division: **OFFICE OF THE REGIONAL DIRECTOR – LEGAL UNIT**

MASTER LIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATIONS									
QME-QP-R12-ORD-27	DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATION CONDUCT OF FACT FINDING INVESTIGATIONS	Legal Officer	Records Cabinet	QMS folder by procedure	Sequentially	2 YRS		2 YRS	Shredding
FM-QP-R12-ORD-27-01	DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATION (PS L) Process Summary Logsheet	Legal Officer	Records Cabinet	QMS folder by procedure	Sequentially	2 YRS		2 YRS	Shredding
FM-QP-R12-ORD-27-02	DOCUMENT REVIEW FORM	Legal Officer	Records Cabinet	QMS folder by procedure	Sequentially	2 YRS		2 YRS	Shredding
	MEMORANDUM/REPLY	Legal Officer	Records Cabinet	Document Review Folder	Sequentially	2		2	Shredding

Prepared by:	Noted by:
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Document Code		
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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR – LEGAL UNIT**
 PROCEDURE: **DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATIONS**

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
• Render comments/recommendations MOA/Drafts and other deeds within 5 WD from receipt	1. No alternate/under study trained	LGUs, Operating Units, Partner Agencies, CSOs/NGOs/POs, Operating Units, Field Personnel, DILG CO	Delayed review of documents	Focal person/process owner is on travel or is on sick leave	Non-compliance with time prescribed in the QMS or of the Central Office; Delayed delivery of Services; Delayed implementation of the program	None	4	2	1	8	L	NS	NA	3	NA	NA	NA
	2. Multiple and simultaneous activities conducted			Voluminous documents for review received			4	3	1	12	L	NS	NA	3	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					

Prepared by:	Reviewed by:	Recommending Approval:	Approved by:
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RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT**
 PROCEDURE: **DOCUMENT REVIEW AND PROVISION OF COMMENTS/RECOMMENDATIONS**

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
INITIAL REVIEW AND INSTRUCTION	Delayed referral to the Process owner (Legal Officer)	Authorized signatory is on-travel	Delayed preparation of the Memorandum/Order; Non-compliance with the directive of the Quasi-Judicial Body (QJB)	RO designating alternate approver	2	2	1	4	L	NS	3	NA	NA	NA	NA	
		Delayed referral to the RO by the CO of the DRO		Request for extension by the Central Office to implement the DRO	5	4	1	20	L	NS	3	NA	NA	NA	NA	
PREPARATION OF MEMORANDUM/ORDER	Delayed preparation of Memorandum/Order	Multiple, simultaneous activities; Process owner on sick leave/On-travel	Delayed implementation due to delayed preparation of Memo/Order	Notice to the Process Owner of the directive	5	4	1	20	L	NS	3	NA	NA	NA	NA	
APPROVAL OF THE MEMORANDUM OR ORDER	Delayed approval of the Memorandum/Order	Authorized signatory is on-travel	Delayed implementation of the Decision, Resolution or Order due to delayed approval	RO designating alternate approver	5	4	1	20	L	NS	3	NA	NA	NA	NA	
IMPLEMENTATION OF THE DECISION, RESOLUTION, OR ORDER	Delayed implementation of the DRO;	PD/FO of the Memorandum/Order on-travel or on sick leave	Non-compliance with the directive of the QJB	Time allowance allotted for the implementation of the Memorandum/Order	5	4	2	40	M	NS	2	ALERT	NA	NA	NA	
		Danger to life and limbs	Adverse field report of the peace and order situation	Non-compliance with the directive of the QJB; Loss or damage to life and limbs of the server	Coordination with PNP and/or AFP	5	2	4	40	M	NS	2	ALERT	NA	NA	NA
	Social unrest/pickets by supporters	Delayed implementation of Decision/Order/Resolution	Other requirements/attachments may not be readily available	Service effected thru Registered Mail (QR)	2	1	1	2	L	NS	3	NA	NA	NA	NA	
				Coordination with PNP and/or AFP	5	2	1	10	L	NS	3	NA	NA	NA	NA	
SUBMISSION OF COMPLIANCE REPORT	Delayed preparation of the Compliance Report	Multiple, simultaneous activities; Process owner on sick leave/On-travel	Delayed submission of the Compliance Report	Immediate notice to the Process Owner of the directive	5	4	1	20	L	NS	3	NA	NA	NA	NA	
		Failure to attach/lacking documents required by the QJB		Documents needed attached with the Memorandum/Order	5	4	2	40	M	NS	2	ALERT	NA	NA	NA	
		Delayed submission of documents by LGUs		Documents needed attached with the Memorandum/Order	5	2	2	20	L	NS	3	NA	NA	NA	NA	
		Delayed implementation of the DRO		NONE	5	5	1	25	L	NS	3	NA	NA	NA	NA	
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																





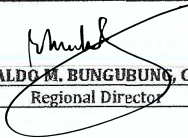




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