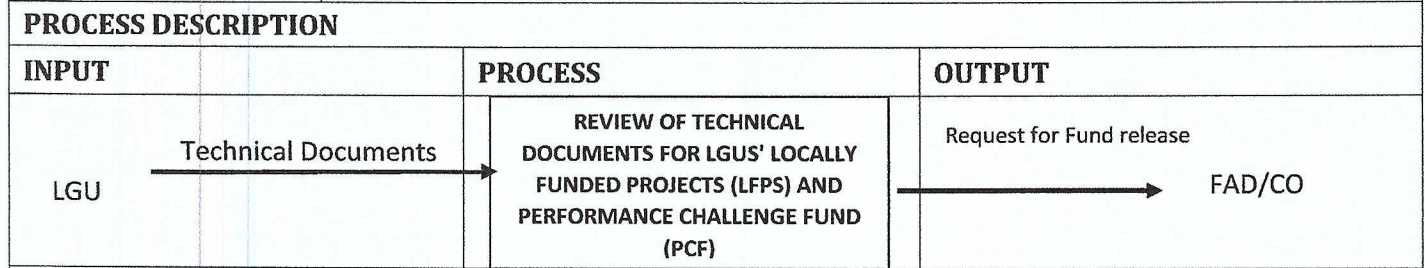




QUALITY PROCEDURE (QP)

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PROCEDURE TITLE	REVIEW OF TECHNICAL DOCUMENTS FOR LGUS' LOCALLY FUNDED PROJECTS (LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)
SCOPE	The procedure starts from the receipt of the technical documents submitted by the LGUs up to endorsement of documents to FAD/ CO for fund release.
PURPOSE	To standardize the processes on the review of technical documents for Locally Funded Projects (LFPs) and Performance Challenge Fund (PCF).



DESCRIPTIVE STATEMENT:
 Technical documents are submitted by the LGU for review and assessment. These documents are then reviewed by the Technical Engineers, the PDMU Chief and submitted to RD for approval. Once approved, the Financial Analyst shall then prepare documents to be submitted to FAD for fund release.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
PROVINCIAL LEVEL				
1	C/MLGOO/ PO RECORDS	Receipt and endorsement	<ul style="list-style-type: none"> Review completeness of the submitted technical documents per LFP and PCF checklist, or as provided in the transmittal if complete, endorse to DILG PO/ DILG RO or else return or notify LGU of deficiency 	<ul style="list-style-type: none"> LFP and PCF Checklist with attached technical documents Endorsement letter
2	PO Focal Person/ PO Technical Engineers	Receipt of documents	<ul style="list-style-type: none"> Check completeness of documents If found incomplete, notify the MLGOO or concerned personnel If found in order, prepare endorsement for review of the Program Manager 	<ul style="list-style-type: none"> Endorsement Letter with the attached technical documents LFP and PCF Checklist with attached technical documents. Endorsement letter
3	PO Technical Engineers	Technical Review	<ul style="list-style-type: none"> If there is no technical engineer, RO shall review documents 	





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
4	Program Manager	Review and Recommend Approval	<ul style="list-style-type: none"> Check completeness of documents/attachments If incomplete, notify focal person If found complete, affixes initials and forwards to PD 	
5	PD	Approval of Endorsement	<ul style="list-style-type: none"> Review document and return to PM or Focal if necessary If found in order, affixes signature and forwards to PO Records Officer 	
REGIONAL LEVEL				
6	PO Records /RO Records Officer	Receipt and release of endorsement	<ul style="list-style-type: none"> Forwards Documents to RO (<i>Refer to Handling Incoming/Outgoing</i>) 	<ul style="list-style-type: none"> Signed endorsement (Ecopies for Email and copy of transmittal for courier) QP-R12-FAD-01
7	PDMU Chief/ Designated Understudy	Initial review and endorsement of documents to FAD/CO	<ul style="list-style-type: none"> Assign and instruct PDMU staff to do the following: <ul style="list-style-type: none"> A. Technical Engineer <ul style="list-style-type: none"> A1. Ensure the completeness and appropriateness of the technical documents B. Financial Analyst <ul style="list-style-type: none"> B1. Process Financial documents and endorse to PDMU chief for final review and endorse to FAD/CO for fund release. 	<ul style="list-style-type: none"> Signed endorsement letter with the attached technical documents Routing slip
8	TECHNICAL ENGINEER	Technical review of documents	<ul style="list-style-type: none"> Ensure that documents submitted are complete and appropriate Forward documents to PDMU Chief 	<ul style="list-style-type: none"> Checklist Endorsement of Technical Documents
9	PDMU Chief	Final Technical Review	<ul style="list-style-type: none"> Check if document are complete 	<ul style="list-style-type: none"> Checklist Findings, if any





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> Review findings, if there is correction, return to concerned Technical engineer for revision Forward to the Financial Analyst for processing of request if findings is already approve 	
10	FINANCIAL ANALYST	Process Financial Requirements	<ul style="list-style-type: none"> Process financial documents and endorse to Regional Director thru FAD for check issuance 	<ul style="list-style-type: none"> Financial documents
11	Process Owner	Retain Records	<ul style="list-style-type: none"> Update the Monitoring Log Sheet. Retain records in accordance with Control of Retained Documented Information Procedure and the Masterlist of Retained Document Information. 	<ul style="list-style-type: none"> Monitoring Logsheet Control of Retained Documented Information Procedure Masterlist of Records

Definition of Terms:

- MLGOO – Municipal Local Government Operations Officer
- PO – Provincial Office
- PD – Provincial Director
- PDMU – Project Development and Management Unit
- RO – Regional Office
- MOA – Memorandum of Agreement
- FA – Financial Analyst
- LFP – Locally Funded Project
- LGU – Local Government Unit
- PCF – Performance Challenge Fund

Legal References:

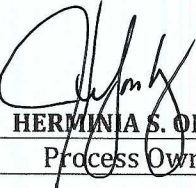



- MC No. 2015-74 : 2015 SALINTUBIG Guidelines
 MC No. 2016-49 : 2016 SALINTUBIG Guidelines
 MC No. 2017-73 : 2017 SALINTUBIG Guidelines
 MC No. 2017-152 : 2017 PCF Guidelines





QUALITY PROCEDURE (QP)

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

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OFFICE	ORD – PROJECT DEVELOPMENT & MANAGEMENT UNIT
QUALITY PROCEDURE TITLE	REVIEW OF TECHNICAL DOCUMENTS FOR LGUS' LOCALLY FUNDED PROJECTS (LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)

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 TECHNICAL DOCUMENTS FOR LGUS' LOCALLY FUNDED PROJECTS (LFPS) AND PERFORMANCE CHALLENGE FUND (PCF) 	<ul style="list-style-type: none"> Timely review of Technical documents within Seven (7) working days from receipt 	100%	Total No. of documents reviewed w/in 7 WD from receipt -----X100% Total No. of documents submitted	<ul style="list-style-type: none"> Monthly 	<ul style="list-style-type: none"> Technical Engineers 	<ul style="list-style-type: none"> QME QPSL Endorsement/Transmittal to FAD/CO
	<ul style="list-style-type: none"> Timely submission of Certified Complete Documents within three (3) working days from receipt 	100%	Total no. of documents endorsed to FAD/CO within 3 WD from receipt -----X100% Total no. of documents certified complete	<ul style="list-style-type: none"> Monthly 	<ul style="list-style-type: none"> Technical Engineers 	<ul style="list-style-type: none"> QME QPSL

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DILG XII QMS





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

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OFFICE	ORD – PROJECT DEVELOPMENT & MANAGEMENT UNIT
PROCEDURE TITLE	REVIEW OF TECHNICAL DOCUMENTS FOR LGUS' LOCALLY FUNDED PROJECTS (LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)
OBJECTIVE STATEMENT	1. 100% of Technical documents reviewed within 7 WD from receipt 2. 100% of documentary requirements certified complete and endorsed to FAD within 3 WD
CURRENT PERIOD	

INDICATORS		Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	Oct	Nov	Dec
Objective 1: 90% of Technical documents reviewed within 5 WD from receipt													
A	Total No. of documents reviewed w/in 7 WD from receipt												
B	Total No. of documents submitted												
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: 90% of documentary requirements certified complete and endorsed to FAD within 3 WD													
A	Total no. of documents endorsed to FAD within 3 WD												
B	Total no. of documents certified complete												
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 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/Next Higher Supervisor

DILG XII QMS



CONTROLLED COPY

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Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

REVIEW OF TECHNICAL DOCUMENTS FOR LGUS' LOCALLY FUNDED PROJECTS (LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)
Process Summary Logsheet (PSL)

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QUALITY OBJECTIVE: 1. 100% of Technical documents reviewed within 7 WD from receipt
2. 100% of documentary requirements certified complete and endorsed to FAD within 3 WD





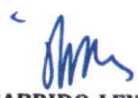
FREQUENCY OF MONITORING: **Monthly**

COVERED PERIOD:

Due Date of Submission:

No.	Control No.	Province/ City/ Municipality/ Barangay	MLGOO/PO/RO					OBJECTIVE NO. 1 RESULTS			OBJECTIVE NO. 2 RESULTS							
			Date Received	Date forwarded to PO	No. of days (Target = 2WD)	Met	Unmet	Status	Met	Unmet	REMARKS, IF UNMET	Date Certified	Date Endorsed to FAD	No. of days (Target=3 WD)	Met	Unmet	REMARKS, IF UNMET	
1																		
2																		
3																		
4																		
5																		
TOTAL																		

Prepared by:	Noted by:
Process Owner	Division Chief/Next Higher Supervisor

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Division/Unit: **OFFICE OF THE REGIONAL DIRECTOR – PROJECT DEVELOPMENT & MANAGEMENT UNIT**

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
REVIEW OF TECHNICAL DOCUMENTS FOR LGU'S LOCALLY FUNDED PROJECTS(LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)							
QP-R12-ORD-33	QP: REVIEW OF TECHNICAL DOCUMENTS FOR LGU'S LOCALLY FUNDED PROJECTS(LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)	10.01.17					
QO-QP-R12-ORD-33	QO: REVIEW OF TECHNICAL DOCUMENTS FOR LGU'S LOCALLY FUNDED PROJECTS(LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)	10.01.17					
QME:QP-R12-ORD-33	QME: REVIEW OF TECHNICAL DOCUMENTS FOR LGU'S LOCALLY FUNDED PROJECTS(LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)	10.01.17					
FM-QP-R12-ORD-03-01	QPSL: REVIEW OF TECHNICAL DOCUMENTS FOR LGU'S LOCALLY FUNDED PROJECTS(LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)	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					

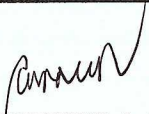





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Division/Unit: **OFFICE OF THE REGIONAL DIRECTOR – PROJECT DEVELOPMENT & MANAGEMENT UNIT**

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
MONITORING AND EVALUATION OF INFRASTRUCTURE PROJECTS							
MC No. 2017-152	Guidelines for the Release of the 2017 Performance Challenge Fund (PCF)						
MC No. 2017-73	Policy Guidelines for the Implementation of the Provision of Potable Water Supply - Sagana at Ligtas na Tubig sa Lahat (SALINTUBIG) Program for FY 2017						
JMC No. 2017-3	Policy Guidelines and Procedures in the Implementation of the FY 2017 Local Government Support Fund - Assistance to Disadvantaged Municipalities (LGSF-ADM) Program						

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Division/Unit: **OFFICE THE REGIONAL DIRECTOR - PROJECT DEVELOPMENT & MANAGEMENT UNIT**

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
REVIEW OF TECHNICAL DOCUMENTS FOR LGUS' LOCALLY FUNDED PROJECTS (LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)									
QME-QP-R12-ORD-33	QME	PDMU CHIEF	QMS cabinet	Letter for Schedule of Inspection/Travel Order/Findings & Recommendations	Sequential	5 years		5	Shredding
FM-QP-R12-ORD-33-01	QPSL	PDMU CHIEF	QMS cabinet	Operations Manual	Sequential	5 years		5	Shredding
	ENDORSEMENT	TECHNICAL ENGINEERS	Filing Cabinet by Project/Year	Letter for Schedule of Inspection/Travel Order/Findings & Recommendations	Sequential	5 years		5	Shredding
	REVIEW FINDINGS	TECHNICAL ENGINEERS	Filing Cabinet by Project/Year	Letter for Schedule of Inspection/Travel Order/Findings & Recommendations	Sequential	5 years		5	Shredding
	MEMORANDUM OF AGREEMENTS	PDMU CHIEF	QMS cabinet	Memorandum of Agreements	Sequential	Permanent			

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RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR – LOCAL GOVERNANCE REGIONAL RESOURCE CENTER**
 PROCEDURE: **Review of Technical Documents for LGU's Locally Funded Projects (LFPs) and Performance Challenge Fund (PCF)**

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
Receipt and review the completeness of documentary requirements	Receipt of incomplete documents submitted	Absence of MLGOOs	- Incomplete documents	Field Officer to assign alternate staff to review the completeness of the submitted documents	3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
			- Delayed review and processing of request		3	3	2	18	L	NS	NA	3	NA	NA	NA	NA
			-Erroneous documents submitted		3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
	None review of technical documents	Outright submission	-Delayed review of technical documents	Assigned technical engineer to the field offices to review submitted documents	3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
			-Performance target not met		3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
	None review of technical documents None endorsement of technical documents	Outright submission	-Delayed review of technical documents	Designate an alternate Technical Engineer to review the technical documents	3	2	3	18	L	NS	NA	3	NA	NA	NA	NA
-Performance target not met/achieved			3		3	3	27	M	NS	ALERT	2	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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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR – PROJECT DEVELOPMENT & MANAGEMENT UNIT**
 PROCEDURE: **REVIEW OF TECHNICAL DOCUMENTS FOR LGUS' LOCALLY FUNDED PROJECTS (LFPS) AND PERFORMANCE CHALLENGE FUND (PCF)**

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES <i>(refer to IP Matrix for Requirements)</i>	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE <i>(Positive or Negative)</i>	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT								RISK CONTROL PLAN			
							IMPACT	LIKELIHOOD	DETECTION	RATING	RISK LEVEL (L, M, H)	S, NS	RISK CONTROL ACTION	RPN <i>(Risk Priority No.)</i>	ACTION PLAN <i>(if risk rating is significant)</i>	RESPONSIBLE	TIMELY	RESOURCE
Timely review of Technical documents (7 WD)	Reports from Field Officers and Request from LGUs		Receipt of incomplete documents submitted	Absence of MLGOOs	- Incomplete documents	Field Officer to assign	3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
					- Delayed review and processing of request	alternate staff to review the completeness of the submitted documents	3	3	2	18	L	NS	NA	3	NA	NA	NA	NA
					-Erroneous documents submitted		3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
	- None review of MLGOOs		None review of technical documents	Outright submission	-Delayed review of technical documents	Assigned technical engineer to the field offices to review submitted documents	3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
- Lack of Technical Engineer in the Field office				-Performance target not met		3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA	
Timely submission of Certified Complete Documents (3WD)	Multiple driven activities		None review of technical documents	Outright submission	-Delayed review of technical documents	Designate an alternate Technical Engineer to review the technical documents	3	2	3	18	L	NS	NA	3	NA	NA	NA	NA
			None endorsement of technical documents due to no attachments or incomplete		-Performance target not met/achieved		3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA





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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

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