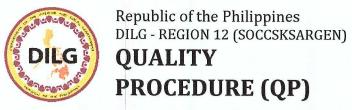


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PROVISION O	PROVISION OF LEGAL OPINIONS			
requestor unti	The process shall commence from the receipt of request for legal opinions from requestor until the legal opinion is either endorsed to the Legal Services or the opinion is rendered and forwarded to the requestor.			
To provide pol	icy guidelines for the rendition	of legal opinions.		
RIPTION				
PUT	PROCESS	OUTPUT		
Letter/Request	PROVISION OF LEGAL OPINIONS	Legal Opinion/Endorsement/Letter REQUESTOR/CO		
	The process she requestor untition opinion is rendered. To provide polements	The process shall commence from the receipt requestor until the legal opinion is either end opinion is rendered and forwarded to the requestor provide policy guidelines for the rendition representation PUT PROCESS Letter/Request PROVISION OF LEGAL		

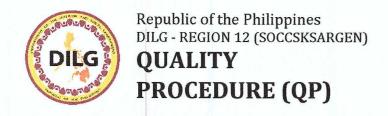
The process is commenced from receipt of the request, then evaluated for appropriate action. Draft is then prepared, thereafter forwarded to ARD and RD for review and approval, which may either be legal opinion, referral to appropriate agency, or endorsement to Legal Services or returned to the requestor if an opinion cannot be rendered based on applicable rules or regulations.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Records Officer (M/C/PO/RO)	RECEIPT OF REQUEST	Refer to the procedure Handling of Incoming and Outgoing Communications	• QP-R12-FAD-01
2	C/MLGOO/ LEGAL OFFICER/ FOCAL PERSON	RECEIPT AND EVALUATION OF REQUEST	 Upon receipt of request for Legal Opinion, evaluates If question/concern has existing legal opinions, reply on the query by attaching the previous legal opinion rendered by the Department If the issue/concern is complicated or there are no existing legal opinions, forward the request to the Provincial ffice/Regional Office If the query is novel, endorse the request to the Legal Service- Central Office If the query is more competently rendered by another agency, refer the the request to the appropriate agency, furnish requestor copy of the action 	 Request Letter with attached previous legal opinion/s Referaal/ Endorsement/R eply



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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			 If an opinion cannot be acted due to a pending action in a proper court, the request shall be returned to the requestor Forward to ARD/Program Manager for review 	
3	ASSISTANT REGIONAL DIRECTOR/ PROGRAM MANAGER	REVIEW OF DRAFT	 Affixes initials if found sufficient and responsive, otherwise shall return the draft Legal Opinion or endorsement/referral to the Legal Officer with instructions Forwards to RD with initials on draft 	
4	REGIONAL DIRECTOR	APPROVAL OF THE LEGAL OPINION/ENDORSEMEN T/ REFERRAL	 Sign Legal Opinion/Endorsement/ Letter if found in order. Otherwise, shall return the draft to the Legal officer with instructions/ comments In case the RD is absent, ARD sha;; sign the legal opinion, in behalf of the RD Forward to Records Officer 	
5	RECORDS OFFICER	RELEASE OF RECORDS	Refer to the procedure Handling of Incoming and Outgoing Communications	• QP-R12-FAD-01
6	Process Owner	Retain records	Update the Process Summary Log Sheet Retain records in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Retained Documented Information	 Process Summary Log Sheet Control of Documented Information Procedure Masterlist of Retained Documented Information



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Definition of Terms:

• LO - Legal Opinion

Legal References:

The 1987 Philippine Constitution
Circular No. 2017-07 re: the Delegation Authority
DILG Memorandum Order No. 2010-01
The Local Government Code of 1991
The Administrative Code of the Philippines

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Process Owner	Deputy QMR	Regional QMR	Top Management





QUALITY OBJECTIVE (QO)

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OFFICE	ORD - LEGAL UNIT
QUALITY PROCEDURE TITLE	PROVISION OF LEGAL OPINIONS

		Key Performance Indicators (KPIs)				Applicable Documents
Function	Objective	Target	Indicator/Formula (if applicable)	Frequency of Monitoring Results	Responsible for Monitoring	(e.g. Tracker, Monitoring Log Sheet, Report, Memo, etc.)
RENDITION OF LEGAL O PINIONS	Act on requests for legal opinions within 15 WD from receipt of the request	• 100%	No. of request due for the quarter acted within 15 WD from receipt of the request X 100% No. of requests received due for the quarter	Quarterly	Legal Officer	Monitoring Log Sheet

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





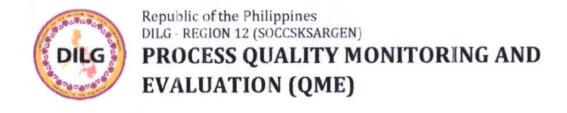
PROCESS QUALITY MONITORING AND EVALUATION (QME)

Document Co	ode		
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OFFICE		ORD - LEGAL UNIT			The Committee of the Co	A CONTRACTOR OF THE PARTY OF TH			
PROCEDURE TITLE OBJECTIVE STATEMENT		PROVISION OF LEGAL OPINIONS							
		100% of request for legal opinions acted within 15 WD from receipt of the request							
ct	RRENT PERIOD		tin Amerika in talagan tahun Amerika sarah sarah sarah salah salah salah sarah sarah sarah sarah sarah sarah s	entrepade to the valence and tangen along a ballock designed over such company of them. Television and televis		The state of the s			
		INDICATORS	Q1	Q2	Q3	Q4	TOTAL		
01	jective 1: 100% of rec	quest for legal opinions acted within 15 WD from re	eceipt of the reque	est					
A		due for the quarter acted within 15 WD from							
В	No. of requests receiv	red due for the quarter	materials (may all or the other last) and an accordance to a considerate about the company						
С	Formula: A x 100 B	Target Result : 100%							
D	Gap Analysis: (In case	the objective is not met, put your analysis why it is	s not met)						
No	te: For unmet targets of tw	vo (2) consecutive periods, concerned Deputy QMR initiate co	orrection and correcti	ve action using the Corre	ective Action Report (C	AR) and attach it			

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





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Process Owner	Quality Management Representative	Top Management





HANDLING INCOMING & OUTGOING COMMUNICATIONS/DOCUMENTS Process Summary Logsheet (PSL)

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QUALITY OBJECTIVE: 1. 90% of requests for legal opinions acted within 15 WD from receipt of the request

FREQUENCY OF MONITORING: Quarterly

COVERED PERIOD: Due Date of Submission:

			OBJECTIVE NO. 1 RESULTS						
No.	Control No.	Particulars	Date Received	Date Acted	Action Taken (LO/En/Re/Ret)	No. of days (Target=15 WD)	Met	Unmet	Remarks, if Unmet

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





HANDLING INCOMING & OUTGOING COMMUNICATIONS/DOCUMENTS Process Summary Logsheet (PSL)

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Process Owner	Division Chief/Next Higher Supervisor		





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

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
DOCOMENT CODE	DOCOMENT TILE	00	01	02	03	04	05
PROVISION OF LEGAL OPINION							
QP-R12-ORD-29	Quality Procedure: PROVISION OF LEGAL OPINION	10.01.17					
QO-QP-R12-ORD-29	Quality Objective: PROVISION OF LEGAL OPINION	10.01.17					
QME-QP-R12-ORD-29	QME-QP-R12-ORD-29 Quality Monitoring and Evaluation (QME): PROVISION OF LEGAL OPINION						
FM-QP-R12-ORD-29-01	PROVISION OF LEGAL OPINION(PSL) Process Summary Logsheet	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: Objectives	10.01.17					
FM-SP-R12-02-01B	Risk Register: Process Steps	10.01.17		= = :			

Prepared by:	Noted by:				
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Ramacun	(HAND)				
CATHERINE A. MACION	MARIA THERESA BAUTISTA				
Regional Document Controller	Division Chief/Next Higher Supervisor				





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Document (Code	
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Division/Unit: OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE			REVI	SION		
DOCOMEN I CODE	DOCUMENT TITLE	00	01	02	03	04	05
PROVISION OF LEGAL OPINION							
	Local Government Code of 1991						
	Administrative Code of the Philippines						
	Memorandum Order No. 2010-01						
	Memorandum Order No. 2010-02						
	DILG Circular 2017-07						

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Division/Unit: OFFICE THE REGIONAL DIRECTOR - LEGAL UNIT

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

QME-QP-R12-ORD-29	Quality Monitoring and Evaluation (QME): PROVISION OF LEGAL OPINION	Legal Officer	Records Cabinet	QMS folder by procedure	Sequentially	2	2 yrs after audit	Shredding
FM-QP-R12-ORD-29-01	PROVISION OF LEGAL OPINION(PSL) Process Summary Logsheet	Legal Officer	Records Cabinet	QMS folder by procedure	Sequentially	2	2 yrs after audit	Shredding
	Endorsement	Legal Officer	Records Cabinet	QMS folder by procedure	Sequentially	As needed		
	Reply/Referral	Legal Officer	Records Cabinet	QMS folder by procedure	Sequentially	As needed		





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Document (Code	
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epared by:	Noted by:
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Document Code FM-SP-R12-02-01A 10.01.17 1 of 1

RESOURCE

NA

RISK REGISTRY (A) OBJECTIVE RISK ASSESSMENT

DIVISION: OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT PROCEDURE: PROVISION OF LEGAL OPINIONS

	RELEVANT									RISK ASS	ESSMENT					RISK CONTR	OL PLAN
RELEVANT ISSUE(S)	INTERESTED PARTIES (refer to IP Matrix for Requirements)	POTENT	IAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	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)	RESP ONS IB LE	TIMELINE
No alternate/under study trained Multiple and simultaneous activities conducted	LGUs, RLAs, Clients (Private persons)			Focal person/process owner is on travel or is on sick leave	Non-compliance with the time prescribed under the QMS Process	None	4	4	2	32	М	NS	ALERT	2	NA	NA	NA
		RISK RATING	R	ISK LEVEL	RISK DESCRIPTION	ACTION	I REQUIRE)		RPN							
ficant; 2-Minor; 3-Mode ajor; 5-Extreme	rate;	1 - 25		LOW			red (Retain	risk by		3							
2-Unlikely; 3-Moderate nost Certain	; 4-Likely;	26-40	N	MODERATE	Not Significant	Alert level but no furth	er action re	quired for now		2							
kely; 2 - Likely; 3 - Low; ry remote	4 - Remote;	>40		HIGH	Significant	Control (e.g., Treat/Mit	igate Transf	er, Terminate)		1							
	1. No alternate/under study trained 2. Multiple and simultaneous activities conducted cant; 2-Minor; 3-Mode ajor; 5-Extreme 2-Unlikely; 3-Moderate nost Certain kely; 2-Likely; 3-Low;	RELEVANT ISSUE(S) INTERESTED PARTIES (refer to IP Matrix for Requirements) LGUs, RLAs, Clients (Private persons) LGUs, RLAs, Clients (Private persons) conducted Conducted	RELEVANT ISSUE(S) INTERESTED PARTIES (refer to IP Matrix for Requirements) 1. No LGUs, RLAs, Clients (Private study trained 2. Multiple and simultaneous activities conducted RISK RATING Ricant; 2-Minor; 3-Moderate; 3-1-25 2-Unlikely; 3-Moderate; 4-Likely; nost Certain 26-40 kely; 2-Likely; 3-Low; 4-Remote; steam to Remote; steam to Remote in Interest to IP ART INTERESTED PARTIES (refer to IP ART INTERESTED) POTENT PARTIES (refer to IP ART INTERESTED) 1. Delayed to IP ART INTERESTED POTENT PARTIES (refer to IP ART INTERESTED) 1. Delayed to IP ART INTERESTED POTENT PARTIES (refer to IP ART INTERESTED) 1. 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Multiple and simultaneous activities conducted RISK RATING RISK RATING RISK RATING RISK RATING RISK LEVEL RISK RATING RISK LEVEL RISK RATING RISK LEVEL RISK RATING RISK LEVEL AMODERATE	RELEVANT ISSUE(S) PARTIES (refer to IP Matrix for Requirements) 1. No alternate/under study trained 2. Multiple and simultaneous activities conducted RISK RATING RISK RATING RISK REVEL RISK TRIGGER CONSEQUENCE (Positive or Negative) 1. Non-compliance with the time prescribed under the QMS Process OMS Process RISK LEVEL RISK DESCRIPTION Not Significant Not Significant Not Significant	RELEVANT ISSUE(S) INTERESTED PARTIES (refer to IP Matrix for Requirements) 1. No alternate/under study trained 2. Multiple and simultaneous activities conducted RISK RATING RISK LEVEL RISK DESCRIPTION No further action requisitors for some sick leave shows a clivities. Conducted RISK RATING RISK LEVEL RISK DESCRIPTION No further action requisitors for some sick leave shows a clivities. Conducted RISK RATING RISK LEVEL RISK DESCRIPTION No further action requisitors for some sick leave shows a clivities. Conducted RISK DESCRIPTION ACTION No further action requisitors for some sick leave shows a clivities. Conducted RISK DESCRIPTION ACTION No further action requisitors for some sick leave shows a clivities. Conducted Not Significant Alert level but no further action requisitors for some sick leave. Conducted Alert level but no further action requisitors. Conducted Alert level but no further action requisitors. Conducted RISK DESCRIPTION ACTION ACTION ACTION ALERT SEX DESCRIPTION ACTION ALERT SEX DESCRIPTION ALERT SEX DESCRIPTION ACTION ALERT SEX DESCRIPTION ALERT SEX DESCRIPTIO	RELEVANT ISSUE(S) INTERESTED PARTIES (refer to IP Matrix for Requirements) 1. No alternate/under study trained 2. Multiple and simultaneous activities conducted RISK RATING RISK LEVEL RISK DESCRIPTION ACTION REQUIRED Not Significant No further action required (Retain informed decision) No further action required (Retain informed decision) Not Significant Not Significant Alert level but no further action required recommends.	RELEVANT ISSUE(S) INTERESTED PARTIES (refer to IP Matrix for Requirements) 1. No alternate/under study trained 2. Multiple and simultaneous activities conducted RISK RATING RISK LEVEL RISK DESCRIPTION Not Significant Not Significant Not Significant RISK TRIGGER CONSEQUENCE (Positive or Negative) IMPACT LIKELIHOOD RESISTING RISK CONTROL MEASURE IMPACT LIKELIHOOD A 4 4 4 4 4 4 4 4 4 4 4 4 4	RELEVANT ISSUE(S) INTERESTED PARTIES (refer to IP Matrix for Requirements) 1. No alternate/under study trained 2. Multiple and sactivities conducted RISK RATING RISK LEVEL RISK DESCRIPTION ACTION REQUIRED No further action required (Retain risk by informed decision) No further action required for now selected in the level but no	RELEVANT ISSUE(S) INTERESTED PARTIES (refer to IP Matrix for Requirements) 1. No alternate/under study trained 2. Multiple and simultaneous activities conducted RISK RATING RISK TRIGGER RISK TRIGGER RISK TRIGGER CONSEQUENCE (Positive or Negative) 1. Non-compliance with the time prescribed under the QMS Process owner is on travel or is on sick leave conducted RISK RATING RISK LEVEL RISK DESCRIPTION No further action required (Retain risk by Informed decision) No further action required (Retain risk by Informed decision) RPN RPN Relevel but no further action required for now Relative presented in the prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or is on sick leave prescribed under the QMS process owner is on travel or i	RELEVANT ISSUE(S) PARTIES (refer to IP Matrix for Requirements) 1. 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RISK DESCRIPTION ACTION REQUIRED None RELEVANT IMPACT LIKELIHOOD DETECTION RATING RISK CONTROL RATING RISK LEVEL RISK RATING RISK CONTROL RATING RISK LEVEL RISK RATING RISK CONTROL RATING RISK CONTROL REQUIRED RISK RATING RISK LEVEL RISK DESCRIPTION ACTION REQUIRED RATIOR RATING RISK LEVEL RISK DESCRIPTION ACTION REQUIRED REMAIND RECEIPTION RATING RATING RISK LEVEL RISK DESCRIPTION ACTION REQUIRED REMAIND RECEIPTION RATIOR RATING RAT	RELEVANT ISSUE(S) INTERESTED PARTIES (refer to IP Matrix for requirements) 1. No alternate/under study trained 2. Multiple and stimultaneous activities conducted RISK RATING RISK RATING RISK LEVEL RISK DESCRIPTION Not Significant RELEVANT (Pastive or Negative) RISK RATING RISK (LEVEL) RISK LEVEL RISK DESCRIPTION RATING RISK (RNK LEVEL) RISK DESCRIPTION RATING RISK (RNK LEVEL) RISK DESCRIPTION RATING RISK LEVEL RISK DESCRIPTION RATING RISK (RNK LEVEL) RISK DESCRIPTION RATING RISK LEVEL RISK DESCRIPTION ROTING RISK LEVEL RISK DESCRIPTION ROTING RISK LEVEL RISK DESCRIPTION RATING RISK LEVEL RISK DESCRIPTION RATING RISK LEVEL RISK DESCRIPTION RATING RISK CONTROL RISK LEVEL RISK DESCRIPTION ROTING RISK CONTROL ROTING RISK CO	RELEVANT ISSUE(S) RELEVANT ISSU	RELEVANT ISSUE(S) RELEVANT ISSUE(S) REPARTIES (refer to 1/P Matrix for Requirements) 1. No alternate/under study trained 2. Multiple and simultaneous activities conducted 1. Delayet refer to 1/P Matrix Processing Persons) 1. Delayet refer to 1/P Matrix For Requirements 2. Multiple and simultaneous activities conducted 3. Delayet refer to 1/P Matrix For Requirements 4. Non-compliance with the time prescribed under the pr

ATTY. MICHELLE ANNE P. VIEJO	RIA THERESA BAUTISTA IA	ANJON S. CLEMENTE LAIL	YN A. ORTIZ, CESE REYNA	Mula Ldown, Bungubung, ceso, v
Process Owner Division	Chief/Next Higher Supervisor Risk F	Review Committee Head	Regional QMR	Regional Director





REGION XII

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Document Code FM-SP-R12-02-01B

RISK REGISTRY (B) PROCESS RISK ASSESSMENT

DIVISION: OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT

PROCEDURE: PROVISION OF LEGAL OPINION

nno ance amen (n l l.								RISK ASSE	SSMENT					RISKCONT	ROL PLAN	
PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISKTRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	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	Delayed referral to the	Direct supervisor is on-	Delayed rendition of legal	RO designating alternate	3	2	2	12	L	NS	3	NA	NA	NA	NA	NA
INSTRUCTION	Process owner (Legal	leave or on-travel	opinion	approver												
	Officer)	Delayed referral by the Field Personnel		None	3	2	1	6	L	NS	3	NA	NA	NA	NA	NA
PROVISION OF LEGAL OPINION	Delayed rendition of legal opinion	Multiple,simultaneous activities; Process owner	Non-compliance with the QMS	None	4	4	1	16	L	NS	3	NA	NA	NA	NA	NA
OTINION		on sick leave/On-travel; Voluminous request for legal opinion	Stanuary											ħ.		
REVIEW AND APPROVAL	Delayed approval of the Legal opinion	0.0 10 10	Non-compliance with the QMS standard	RO designating alternate approver	3	2	2	12	L	NS	3	NA	NA	NA	NA	NA
RISK ASSESSMENT:		RISK RATING	RISK LEVEL	RISK DESCRIPTION			ACTION REQU	IRED				RPN				
IMPACT:	1-Insignificant; 2-Minor; 3-	1 - 25	LOW	Not Significant	No further	action required	(Retain risk by	informed o	decision)			3				
LIKELIHOOD:	1-Rare; 2-Unlikely; 3-	26-40	MODERATE	Not Significant	Alert level l	out no further a	tion required f	or now				2				
DETECTION	1 - Very likely, 2 - Likely; 3 -	>40	HIGH	Significant	Control (e.	g Treat/Mitigate	Transfer, Term	ninate)				1	1			
Risk Rating = Impact X Likeliho	od X Detection															

Prepared by:	A service and the service of the ser	Reviewed by:	Recommending Approval:	Approved by:
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