



QUALITY  
PROCEDURE (QP)

Document Code		
QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 7

PROCEDURE TITLE		PROCESSING AND PAYMENT OF CLAIMS		
SCOPE		This process starts from the receipt of Obligation Request Status (ORS)/Budget Utilization Request and Status (BURS) and Disbursement Vouchers (DV) to issuance of checks or submission of LDDAP-ADA to the servicing bank.		
PURPOSE		To define the standard procedures of processing and payment of claims in accordance with existing accounting and auditing rules and regulations.		
PROCESS DESCRIPTION				
INPUT		PROCESS		OUTPUT
REQUESTING UNIT	ORS, DV, other supporting documents	<div>PROCESSING AND PAYMENT OF CLAIMS</div>		CHECK ADA CLAIMANT SERVICING BANK
DESCRIPTIVE STATEMENT:				
The requesting operating unit will fill out the ORS, DV and submit the request along with supporting documents to the Budget Section for fund allocation and Accounting Section for processing. After checking and verification of documents and confirmation of funds availability, the concerned personnel processes, approves and certifies the completeness and appropriateness of DV for releasing and turning over to Cash Section for preparation and release of check or preparation of ADA for submission to servicing bank.				
Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
I.	PROCESSING OF OBLIGATION REQUEST AND STATUS (ORS)			
1	Budget Clerk & Asst. Budget Officer (Regional Office only)	Receive Obligation Request and Status (ORS), Disbursement Voucher (DV), and supporting documents duly signed by the head of the requesting division or unit.	For New ORS: <ul style="list-style-type: none"><li>Receive and check the completeness of the attached supporting documents.</li><li>If complete, assign number and record in the ORS log book and affix initial. Otherwise, return to the concerned unit for completion of requirements as per attached checklist of Requirements.</li><li>Documents received beyond 3pm will be processed the following day.</li></ul> For returned ORS: <ul style="list-style-type: none"><li>Indicate date of receipt in the Checklist and Logbook.</li></ul>	<ul style="list-style-type: none"><li>checklist of requirements</li><li>ORS Log Book</li><li>Copy of Obligation Request &amp; Status (ORS)</li><li>Monitoring logbook for returned ORS</li></ul>





Document Code		
QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 7

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Note: <ul style="list-style-type: none"><li>• ORS must be in 3 copies and 2 copies each for the DV and its attached supporting documents.</li></ul>	
2	Budget Officer (Regional Office only)	<ul style="list-style-type: none"><li>• Conduct final review and affix signature</li></ul>	<ul style="list-style-type: none"><li>• Sign box B and file one (1) original copy of ORS then release ORS, DV and supporting documents to accounting section.</li></ul>	<ul style="list-style-type: none"><li>• ORS logbook</li></ul>
3	Process owner	Retain Records	<ul style="list-style-type: none"><li>• Update and retain records in accordance with the Control of Documented Information and Masterlist of Retained Documented Information.</li></ul>	<ul style="list-style-type: none"><li>• Control of Documented Information</li><li>• Masterlist of Retained Documented Information.</li></ul>
II PROCESSING OF DV				
1	Accounting Clerk (Regional Office, Provincial/City Office)	<p><b>Regional Office:</b></p> <ul style="list-style-type: none"><li>• Receive DV with ORS and supporting documents from Budget section</li></ul> <p><b>Provincial/City Office:</b></p> <ul style="list-style-type: none"><li>• Receive Budget Utilization Request and Status (BURS), Disbursement Voucher (DV), and supporting documents duly signed by the head of the requesting division or unit.</li></ul>	<p><b>Regional Office:</b></p> <ul style="list-style-type: none"><li>• Assign DV number and compute withholding tax if necessary for documents received.</li><li>• Forward documents to Assistant accountant for review.</li></ul> <p><b>Provincial/City Office:</b></p> <ul style="list-style-type: none"><li>• Check the completeness and appropriateness of the submitted documents.<ul style="list-style-type: none"><li>- If complete, assign BURS number and record in the BURS log book and affix signature on Box B of the BURS. Otherwise, return to the concerned unit/claimant for completion of requirements.</li></ul></li><li>• Assign DV number, compute withholding</li></ul>	<p><b>Regional Office:</b></p> <ul style="list-style-type: none"><li>• Obligation Request &amp; Status (ORS) with DV and Supporting documents</li><li>• QPSL</li><li>• DV series book</li></ul> <p><b>Provincial/City Office:</b></p> <ul style="list-style-type: none"><li>• Budget Utilization Request and Status (BURS) with DV and Supporting documents</li><li>• BURS log book</li><li>• Log book for returned documents.</li><li>• DV series book</li><li>• QPSL</li></ul>





Document Code		
QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	3 of 7

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			tax if necessary and record in the DV series book.  • Provide Journal Entry on Box B of the DV then forward to Chief of Administrative Division ( <i>proceed to step 4</i> ).  Documents received beyond 3pm will be processed the following day	
2	Assistant Accountant (Regional Office only)	Receive and review ORS, DV and attached supporting documents	<ul style="list-style-type: none"><li>Review the appropriateness and completeness of the DV, ORS, and supporting documents in accordance with auditing and accounting rules and regulations.</li></ul> <p>If found inappropriate and incomplete:</p> <ul style="list-style-type: none"><li>- Indicate noted deficiencies in the Log Book for Returned Documents and return to requesting personnel/ concerned unit for appropriate action; and/or</li><li>- Prepare and issue Notice of Obligation Request and Status Adjustment (NORSA) to Budget Section.</li></ul> <ul style="list-style-type: none"><li>Once correction has been made, return documents to assistant accountant.</li><li>Provide Journal Entry on Box B of the DV and forward to Accounting clerk.</li></ul>	<ul style="list-style-type: none"><li>Obligation Request &amp; Status (ORS) with DV and Supporting documents</li><li>Log book for returned documents.</li></ul>



Republic of the Philippines  
DILG - REGION 12 (SOCCSKSARGEN)  
**QUALITY  
PROCEDURE (QP)**

Document Code		
QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	4 of 7

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
3	Accounting Clerk (Regional Office only)	Receive ORS, DV and attached supporting documents from Assistant Accountant	<ul style="list-style-type: none"><li>Record details of DVs in the Disbursement Record.</li><li>Forward documents to the Regional Accountant</li></ul>	<ul style="list-style-type: none"><li>Disbursement Record</li></ul>
4	Regional Accountant/ Disbursing Officer	Certify that funds are available, supporting documents are complete, and the amount of claim is proper by affixing signature on Box C of the DV	<ul style="list-style-type: none"><li>Review the correctness of the Journal Entry provided on Box B of the DV and the completeness and appropriateness of attached supporting documents.</li><li>Sign Box C of the DV.</li><li>Forward documents to the Chief of Administrative Division.</li></ul>	<ul style="list-style-type: none"><li>Request &amp; Status (ORS) with DV and Supporting documents</li><li>QPSL</li></ul>
5	Chief of Administrative Division (Regional Office, Provincial/City Office)	Certify that payment is necessary, lawful and incurred under direct supervision.	<ul style="list-style-type: none"><li>Sign Box A of the DV.</li><li>Forward documents to the ICU (for RO only)</li><li><b>Proceed to Step 7</b> (Provincial and City office)</li></ul>	<ul style="list-style-type: none"><li>Voucher and Obligation Request log book (RO only)</li><li>Voucher log book (Provincial and City office)</li></ul>
6	Internal Control Unit (Regional Office only)	Receive DV with ORS and supporting documents	<ul style="list-style-type: none"><li>Validate the completeness and appropriateness of documents by stamping "allowed in pre-audit in the amount of" on the face of the DV.<ul style="list-style-type: none"><li>If found incomplete and inappropriate, indicate noted deficiencies and return to concerned unit for appropriate action. Once appropriate action has been made, return documents to the assistant accountant.</li></ul></li><li>Forward documents to RD.</li></ul>	<ul style="list-style-type: none"><li>Internal Control Unit (ICU) Record Book.</li><li>Log book for returned documents.</li></ul>







Republic of the Philippines  
DILG - REGION 12 (SOCCSKSARGEN)  
**QUALITY  
PROCEDURE (QP)**

Document Code		
<b>QP-R12-FAD-02</b>		
Rev. No.	Eff. Date	Page
00	10.01.17	5 of 7

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
7	Regional Director/PD/CD/CLGOO	Approve the payment	<ul style="list-style-type: none"><li>• Sign Box D of the DV.</li><li>• Forward documents to Cashier/Disbursing Officer for payment</li></ul>	<ul style="list-style-type: none"><li>• Incoming/Outgoing Communications log book (for Regional Office only)</li></ul>
8	Cashier/Disbursing Officer	Prepare payment of check /ADA	<ul style="list-style-type: none"><li>• Identify the nature and mode of payment of the Disbursement voucher received.</li></ul> <p>For check payments:</p> <ul style="list-style-type: none"><li>• Prepare and sign the check and ACIC.</li><li>• Forward the check and ACIC to Chief of FAD and/or Regional/Provincial/City/CLGOO Director for signature.</li></ul> <p>For LDDAP-ADA payment (<b>Regional Office only</b>):</p> <ul style="list-style-type: none"><li>• Input to the PACS-VAL system for printing of payroll register.</li><li>• Prepare and print LDDAP ADA.</li><li>• Forward the LDDAP-ADA and Payroll Register to the Regional Accountant for review and signature.</li></ul> <p>Documents received beyond 11am will be included in LDDAP ADA/ACIC of the following day.</p>	<ul style="list-style-type: none"><li>• Electronic Cash Disbursement Record</li><li>• Check/LDDAP-ADA/ACIC</li><li>• Supporting documents (PacsVal generated Payroll Register)</li><li>• Report of Checks Issued (RCI)</li><li>• Cash in Bank Register (CBReg)- (for Provincial/City office only)</li></ul>
9	Regional Accountant (Regional Office only)	Receive, Review and sign the LDDAP-ADA and payroll register	<ul style="list-style-type: none"><li>• Forward the signed LDDAP-ADA and Payroll Register to the CAO.</li></ul>	
10	Chief of Administrative Division	Receive and sign	<ul style="list-style-type: none"><li>• Sign and return the documents to Cashier/Disbursing Officer</li></ul>	
11	Cashier/Disbursing Officer	Receive and forward to the servicing bank	<ul style="list-style-type: none"><li>• Receive and review the signatures of LDDAP-</li></ul>	<ul style="list-style-type: none"><li>• Signed LDDAP-ADA</li></ul>





Republic of the Philippines  
DILG - REGION 12 (SOCCSKSARGEN)  
**QUALITY  
PROCEDURE (QP)**

Document Code		
QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	6 of 7

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
		Record, Release and Filing of Paid Disbursement Vouchers	<p>ADA, Payroll Register and ACIC.</p> <ul style="list-style-type: none"><li>Forward the signed LDDAP-ADA, Payroll Register and ACIC to the bank servicing.</li><li>Record payments in Checks and ADA Disbursement Records.</li></ul> <p>For Check Payments:</p> <ul style="list-style-type: none"><li>Advise claimants of the checks.</li><li>Release the checks and secure signature of the claimants in DV.</li><li>Stamp the DV with "PAID" and the date of check " .</li></ul> <p>For ADA Payments <b>(Regional Office only):</b></p> <ul style="list-style-type: none"><li>Advise claimants of the amount debited to their account:<ul style="list-style-type: none"><li>Individual claim- Notice is to be posted on the bulletin board.</li><li>Suppliers- DV is to be forwarded to the supply officer for assistance to reconcile the supplier's account and to secure Official Receipt and signatures from the suppliers.</li></ul></li></ul>	<p>and payroll register/ACIC</p> <ul style="list-style-type: none"><li>Checks and ADA Disbursement Records</li></ul>
15	Process Owner	Retain Records	<ul style="list-style-type: none"><li>Update the Process Summary Log Sheet.</li><li>Retain Records in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Retained Documented Information</li></ul>	<ul style="list-style-type: none"><li>Process Summary Log Sheet (PSL)</li><li>Control of Retained Documented Information Procedure</li></ul>





Republic of the Philippines  
DILG - REGION 12 (SOCCSKSARGEN)  
**QUALITY  
PROCEDURE (QP)**

Document Code		
QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	7 of 7


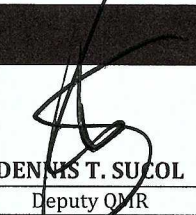

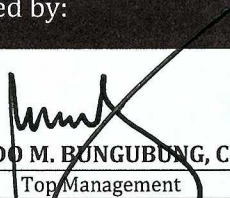
Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
				Masterlist of Retained Documented Information

**Definition of Terms:**

- ORS = Obligation Receipt and Status
- DV = Disbursement Voucher
- ACIC = Advice of Checks Issued and Cancelled
- LDDAP-ADA = List of Due & Demandable Accounts Payable - Advice to Debit Accounts
- PACS-VAL = Payroll Account Credit System Validation = Land Bank of the Phil. System on automatic crediting of payment claims/crediting payroll transactions.
- SP = Special Power of Attorney
- OR = Official Receipt

**Legal References:**

- Government Accounting Manual
- COA Circular No. 2012-001 dated June 14, 2012

Prepared by:		Reviewed by:	Approved by:
 <b>ADELAIDA M. ABDUL</b> Process Owner	 <b>DENNIS T. SUCOL</b> Deputy QMR	 <b>LAILYN A. ORTIZ, CESE</b> Regional QMR	 <b>REYNALDO M. BUNGUBUNG, CESO IV</b> Top Management



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

Document Code		
QO-QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

OFFICE	FINANCE & ADMINISTRATIVE DIVISION – ACCOUNTING SECTION
QUALITY PROCEDURE TITLE	PROCESSING AND PAYMENT OF CLAIMS

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)			
• PROCESSING AND PAYMENT OF CLAIMS	• ORS and supporting documents received are processed within the day (Regional Office only)	90%	No. of ORS & supporting documents processed within the day _____ X 100 No. of ORS, DV & supporting documents received	• Monthly	• Budget Officer	• Quality Process Summary Logsheets (QPSL)
	• Vouchers with complete documents received are processed within the day (Regional/Provincial/City office)	90%	No. of ORS/BURS, DV & supporting documents processed within the day _____ X 100 No. of ORS/BURS, DV & supporting documents received	• Monthly	• Chief Accountant/Accounting Clerk	• Quality Process Summary Logsheets (QPSL)





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

Document Code		
QO-QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 2

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)			
	• Vouchers with complete documents received are pre-audited within the day (Regional Office only)	90%	No. of ORS, DV & supporting documents pre-audited within the day <div></div> X 100	• Monthly	• ICU (ORD)	• Quality Process Summary Logsheet (QPSL)
	• Prepared checks/ADA are forwarded to signatories within the day (Regional/Provincial/City office)	90%	No. of Checks/ADA forwarded to signatories within the day <div></div> X 100 No. of ORS/BURS, DV & supporting documents received	• Monthly	• Cashier/Disbursing Officer	• Quality Process Summary Logsheet (QPSL)

Prepared by:		Reviewed by:		Approved by:	
 <b>ADELAIDA M. ABDUL</b> Process Owner		 <b>DENNIS T. SUCOL</b> Deputy QMR		 <b>LAILYN A. ORTIZ, CESE</b> Regional QMR	
				 <b>REYNALDO M. BUNGUBUNG, CESO IV</b> Top Management	



# PROCESS QUALITY MONITORING AND EVALUATION (QME)

Document Code		
QME-QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 3

OFFICE	FINANCE & ADMINISTRATIVE DIVISION – ACCOUNTING SECTION
PROCEDURE TITLE	PROCESSING AND PAYMENT OF CLAIMS
OBJECTIVE STATEMENT	1. 90% of ORS and supporting documents recieved are processed within the day 2. 90% of vouchers with complete documents recieved are processed within the day 3. 90% of vouchers with complete documents received are pre-audited within the day 4. 90% of claims prepared with CHECKS/ADA are forwarded to signatories within the day.
CURRENT PERIOD	

INDICATORS		JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL
Objective 1: 90% of ORS and supporting documents received are processed within the day- <i>(Regional Office only)</i>														
A	Total No. of ORS and supporting documents processed within the day													
B	Total No. of ORS and supporting documents received													
C	Formula: $\frac{A}{B} \times 100$	Target Result : 90%												
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)													
Objective 2: 90% of vouchers with complete documents received are processed within the day- <i>(Regional/Provincial/City Office)</i>														
A	Total No. of ORS/BURS, DVs with complete documents processed within the day													
B	Total No. of ORS, DV and supporting documents received													
C	Formula: $\frac{A}{B} \times 100$	Target Result : 90%												
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)													





## PROCESS QUALITY MONITORING AND EVALUATION (QME)

Document Code		
QME-QP-R12-FAD-02		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 3

INDICATORS		JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL
Objective 3: 90% of vouchers with complete documents received are pre-audited within the day- <b>(Regional Office only)</b>														
A	Total No. of ORS,DV and supporting documents pre-audited within the day													
B	Total No. of ORS, DV and supporting documents received													
C	Formula: $\frac{A}{B} \times 100$ Target Result : 90%													
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)													
Objective 4: 90% of claims prepared with CHECKS/ADA are forwarded to signatories within the day.- <b>(Regional/Provincial/City Office)</b>														
A	Total No. of prepared checks/ADA forwarded to signatories within the day													
B	Total No. of ORS/BURS, DV and supporting documents received													
C	Formula: $\frac{A}{B} \times 100$ Target Result : 90%													
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)													
Note: For unmet targets, concerned QMS Secretariat shall initiate correction and corrective action using the Corrective Action Report (CAR) and attach it to this form.														

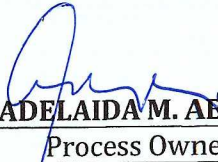
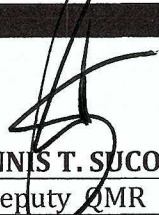

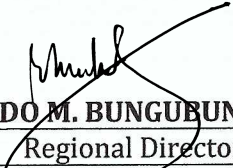
Prepared by:	Noted by:
Process Owner	Division Chief / Deputy Q,MR





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

Document Code		
<b>QME-QP-R12-FAD-02</b>		
Rev. No.	Eff. Date	Page
00	10.01.17	3 of 3

Prepared by:		Reviewed by:	Approved by:
 <b>ADELAIDA M. ABDUL</b> Process Owner	 <b>DENNIS T. SUCOL</b> Deputy QMR	 <b>LAILYN A. ORTIZ, CESE</b> Regional QMR	 <b>REYNALDO M. BUNGUBUNG, CESO IV</b> Regional Director







**PROCESSING AND PAYMENT OF CLAIMS**  
**Process Summary Logsheets (PSL)**

- QUALITY OBJECTIVE: 1. 90% of ORS and supporting documents recieved are processed within the day  
2. 90% of vouchers with complete documents recieved are processed within the day  
3. 90% of vouchers with complete documents received are pre-audited within the day  
4. 90% of claims prepared with CHECKS/ADA are forwarded to signatories within the day..


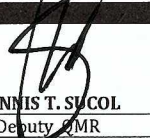

FREQUENCY OF MONITORING: **Monthly**

COVERED PERIOD:

Due Date of Submission:

Control No.	Date Received	Budget Section (Objective No. 1)-for Regional Office Only									Accounting Section (Objective No. 2)-For Regional/Provincial/City Office								ICU (Objective No. 3)-For Regional Office Only						Cashier (Objective No. 4)-For Regional/Provincial/City Office							
		ORS No.	Requesting Party	Particulars	Amount	Date Released to Accounting	No. of days (Target= 1 WD)	Met	Unmet	Remarks, if unmet	Date Received	DV Number	Amount	Date Forwarded to Chief of Administrative Division	No. of days (Target= 1 WD)	Met	Unmet	Remarks, if unmet	Date Received from Chief of Administrative Division	Date Forwarded to Regional Director	No. of days (Target= 1 WD)	Met	Unmet	Remarks, if unmet	Date Received from Regional Director/ PD/CD/CL GOO	Date forwarded to signatories	Check/ ADA no.	No. of days (Target= 1 WD)	Met	Unmet	Remarks, if unmet	
TOTAL																																

Prepared by:	Noted by:
Process Owner	Deputy Q.MR

Prepared by:	Reviewed by:	Approved by:
 ADELAÏDA M. ABDUL Process Owner	 DENNIS T. SUCOL Deputy QMR	 LAILYN A. ORTIZ, CESE Regional QMR



Republic of the Philippines  
**DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT**  
**REGION XII**


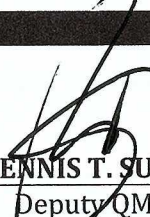
Prime Regional Government Center, Carpenter Hill, Koronadal City, 9506  
Tel/Fax Nos.: (083)228-6660 • (083)228-1421 • Email: dilg\_ro12@yahoo.com • Website: region12.dilg.gov.ph  
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Document Code		
FM-SP-R12-03A-01		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

Division: **FINANCE AND ADMINISTRATIVE DIVISION (ACCOUNTING SECTION)**

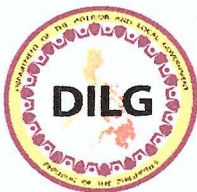
**MASTER LIST OF INTERNAL DOCUMENTS**

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
PROCESSING AND PAYMENT OF CLAIMS							
QP-RO12-FAD-02	Quality Procedure: Processing and Payment of Claims	10.01.17					
QO-QP-R12-FAD-02	Quality Objective: Processing and Payment of Claims	10.01.17					
QME-QP-R12-FAD-02	Quality Monitoring and Evaluation: Processing and Payment of Claims	10.01.17					
FM-QP-R12-FAD-02-1	Process Summary Logsheet: Processing and Payment of Claims	10.01.17					
FM-SP-R12-03A-01	Master List of Internal Documents: Processing and Payment of Claims	10.01.17					
FM-SP-R12-03B-01	Master List of External Documents: Processing and Payment of Claims	10.01.17					
FM-SP-R12-03C-01	Master List of Retained Documented Information: Processing and Payment of Claims	10.01.17					
FM-SP-R12-02-01A	Risk Registry (Objective): Processing and Payment of Claims	10.01.17					
FM-SP-R12-02-01B	Risk Registry (Process): Processing and Payment of Claims	10.01.17					

Prepared by:	Noted by:
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Republic of the Philippines  
**DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT**  
**REGION XII**


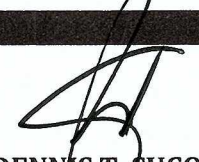
Prime Regional Government Center, Carpenter Hill, Koronadal City, 9506  
Tel/Fax Nos.: (083)228-6660 • (083)228-1421 • Email: dilg\_ro12@yahoo.com • Website: region12.dilg.gov.ph  
ADMIN (083) 228-7960 • FINANCE (083) 228-7959 • LGMED (083) 877-2969 • LGCDD (083)877 2971

Document Code		
<b>FM-SP-R12-03B-01</b>		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

Division: **FINANCE AND ADMINISTRATIVE DIVISION (ACCOUNTING SECTION)**

**MASTER LIST OF EXTERNAL DOCUMENTS**

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
PROCESSING AND PAYMENT OF CLAIMS							
	Government Accounting Manual (GAM) for National Government Agencies						
	- Obligation Request						
	-Registries of Allotments, Obligations and Disbursements for PS, MOOE & Capital Outlay						
	COA Circular No. 2012-001 dated June 14, 2012						
	Disbursement Voucher						
	Report of Checks Issued						
	List of Due and Demandable Accounts Payables - Advice to Debit AccountS (LDDAP-ADA)						
	Advice of Check Issued and Cancelled (ACIC)						
	Payroll Account Credit System Validation (PACS-Val)						

Prepared by:	Noted by:
 <b>CATHERINE A. MACION</b> Regional Document Controller	 <b>DENNIS T. SUCOL</b> Deputy QMR





Republic of the Philippines  
**DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT**  
**REGION XII**



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Document Code		
FM-SP-R12-03C-01		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

Division: **FINANCE AND ADMINISTRATIVE DIVISION (ACCOUNTING SECTION)**

**MASTER LIST OF RETAINED DOCUMENTED INFORMATION**

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
PROCESSING AND PAYMENT OF CLAIMS									
QME-QP-R12-FAD-02	Quality Monitoring and Evaluation: Processing and Payment of Claims	Adelaida M. Abdul (Regional Office)/ Accounting clerk (for Provincial/City Office)	shelve 1	folder 1	monthly	2 years	2 years	4 years	disposal thru records
FM-QP-RO12-FAD-02-01	Process Summary Logsheet: Processing and Payment of Claims	Adelaida M. Abdul (Regional Office)/ Accounting clerk (for Provincial/City Office)	shelve 1	folder 1	monthly	2 years	2 years	4 years	disposal thru records

Prepared by:	Noted by:
 <b>ADELAIDA M. ABDUL</b> Process Owner	 <b>DENNIS T. SUCOL</b> Deputy QMR







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Document Code		
FM-SP-R12-02-01A		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

RISK REGISTRY  
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION – ACCOUNTING SECTION**  
PROCEDURE: **PROCESSING AND PAYMENT OF CLAIMS**

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
PROCESSING AND PAYMENT OF CLAIMS																		
• 90% of ORS and supporting documents recieved are processed within the day		Claimant	Non-processing of payment for claims	Incomplete/ inappropriate attached documents	Claims will be returned to the concerned personnel/ unit for appropriate action	Claimants are advised to attached complete documents as listed in the checklist before submitting to Budget section	3	5	1	15	L	NS	NO ACTION	3	N/A	N/A	N/A	N/A
• 90% of vouchers with complete documents recieved are processed within the day																		
• 90% of vouchers with complete documents received are pre-audited within the day																		





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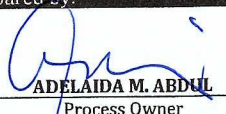
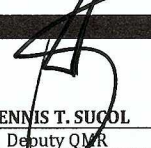

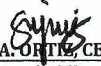
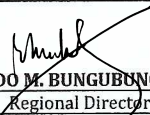
Document Code		
FM-SP-R12-02-01A		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 2

**RISK REGISTRY**  
**(A) OBJECTIVE RISK ASSESSMENT**

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION – ACCOUNTING SECTION**  
PROCEDURE: **PROCESSING AND PAYMENT OF CLAIMS**

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
PROCESSING AND PAYMENT OF CLAIMS																		
• 90% of claims prepared with check/ADA are forwarded to signatories within the day.		Claimant	Claimant unable to provide account number to which payment is to be deposited  No cash back-up available	Non release of LDDAP-ADA on prescribed timelines	Unable to deliver target number of payments to servicing bank on prescribed timelines	Requiring the claimants or the concerned unit to provide the account number to which payment is to be made	3	2	1	6	L	NS	NO ACTION	3	N/A	N/A	N/A	N/A

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 no	2
DETECTION 1 - Very likely, 2 - Likely; 3 - Low, 4 - R			>40	HIGH	Significant	Control (e.g., Treat/Mitigate Transfer, Termina	1
Risk Rating = Impact X Likelihood X Detection							

Prepared by:	Reviewed by:	Recommending Approval:	Approved by:
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			 REYNALDO M. BUNGUBONG, CESO IV Regional Director







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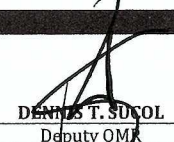


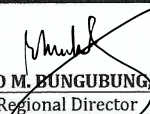
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Document Code		
FM-SP-R12-02-01B		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

RISK REGISTRY  
(B) PROCESS RISK ASSESSMENT

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION – ACCOUNTING SECTION**  
PROCEDURE: **PROCESSING AND PAYMENT OF CLAIMS**

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
Receives DV with ORS/BURS and supporting documents	Non-processing of payment for claims	Incomplete/ inappropriate attached documents	Claims will be returned to the concerned personnel/unit for appropriate action	Claimants are advised to attached complete documents as listed in the checklist before submitting to Budget section	3	5	1	15	L	NS	3	no further action	NA	NA	NA	NA
Cashier prepares ADA for payment (Regional Office only)	Claimant unable to provide account number to which payment is to be deposited	Non release of LDDAP-ADA on prescribed timelines	Unable to deliver target number of payments to servicing bank on prescribed timelines	Requiring the claimants or the concerned unit to provide the account number to which payment is to be made	3	2	1	6	L	NS	3	no further action	NA	NA	NA	NA
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)					
LIKELIHOOD:		1-Rare; 2-Unlikely; 3-	26-40	MODERATE	Not Significant						Alert level but no further action required for now					
DETECTION		1 - Very likely, 2 - Likely;	>40	HIGH	Significant						Control (e.g.. Treat/Mitigate Transfer, Terminate)					

Prepared by:		Reviewed by:		Recommending Approval:		Approved by:	
 ADELAIDA M. ABDUL Process Owner		 DENNIS T. SUÑOL Deputy QMR		 IAN JONES CLEMENTE Risk Review Committee Head		 LAILYN A. ORTIZ, CESE Regional QMR	
						 REYNALDO M. BUNGUBUNG, CESO IV Regional Director	

