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## 1. INTRODUCTION

DILG Region XII in consonance with the program of the Philippine government and the following regulations intended to institutionalize best practices in all government agencies:

- a) EO 605 dated February 23, 2007 - Institutionalizing the Structure, Mechanisms and Standards to Implement the Government Quality Management Program, Amending for the Purpose Administrative Order No. 161 s. 2006. In addition
- b) Administrative Order No. 25 Inter-Agency Task Force (IATF)
- c) Inter-Agency Task Force on the Harmonization of National Government Performance Monitoring. Information and Reporting Systems' yearly Memorandum Circular prescribing the criteria and conditions for the grant of Performance-Based Bonus (PBB) (e.g. Memorandum Circular No. 2016-1 dated May 12, 2016 and Memorandum Circular No. 2017-1 dated March 09, 2017 )

In compliance with the aforesaid issuances and as part of strengthening its internal organization capacity, the DILG XII establishes its QMS, aligned to ISO 9001:2015.

### 1.1. Purpose

This Quality Manual aims to achieve the following objectives:

- a) To serve as an effective tool in communicating relevant information to the stakeholders / interested parties the different products and services of the Department consistent with its mandate and mission. It also considered the applicable government policies and regulations including freedom of information.
- b) To provide evidence of DILG XII's conformity to the different legal /regulatory, customer/ stakeholder and organizational requirements through the documented information that it maintains and retains. These requirements include pertinent provisions of ARTA (Anti-Red Tape Act) and resulting evidences which are suitably controlled consistent with applicable regulations of the National Archives Law of the Philippines (NAP).
- c) To provide a medium for knowledge sharing between the different operating groups and functions within the Department, thus enhancing effectiveness and efficiency across all levels that contribute to the enhancement of customer satisfaction.
- d) To disseminate and preserve the organization's experiences in the overall operation and control of its processes in the course of the delivery of its products and services to the public in general and the LGUs in particular.



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## 1.2. Content




This Quality Manual covers both the documented information required by ISO 9001:2015 and those determined by DILG as necessary for the effective planning, operation and control of its Quality Management System (QMS). It contains the different policies and commitments of the DILG Management that would demonstrate its firm resolve to conform to and comply with the applicable requirements. Designed as Level 1 document, the Quality Manual will lead the user to the different sections and aspects of the DILG Region XII's QMS through cross-referencing as outlined in the documentation hierarchy of the QMS through each pertinent section.

## 1.3. Amendment or Revision

This Quality Manual is a live document. It is maintained up-to-date to reflect the current policies, procedures and practices across the Agency. It is amended or revised as deemed necessary by the Management, Heads, Process Owners, and other interested parties by their feedback or initiative. These amendments and revisions are governed by the procedure on the Control of Maintained Documented Information (Document Control) through the Document Control Request.

## 1.4. Distribution

This Quality Manual is distributed to identified copy holders in the Quality Manual Distribution List.

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## 2. DEFINITION OF TERMS

For the purpose of providing a clear and common understanding of terms to be used in Quality Management System documentations, terms and definitions given in *ISO 9000:2015 – Fundamentals and Vocabulary*, shall be applied.

In addition to those given in ISO 9000:2015 – the following terms and definitions generally apply to DILG CO's QMS.

- a) DILG Regional Office (DILG-RO XII) – refers to the office of DILG situated in Region XII or SOCCSKSARGEN which covers the Office of the Regional Director, Office of the Assistant Regional Director, Office of the Chief of Local Government Monitoring and Evaluation Division, Office of the Chief of Local Government Capability Development Division, and Office of the Chief of Finance and Administrative Division.
- b) Field Office – this refers to the DILG Offices in the lower level of LGUs - Provincial, City and Municipal Offices under the supervision of the Regional Office.
- c) Clients/Customers – refer to persons or entities outside the DILG XII organizational structure who/which are the intended beneficiary of DILG XII Programs, Projects, Activities (PPAs) and services. In consideration of the QMS scope, this specifically refers to the Field Offices, Local Government Units/Officials/Employees, Regional Line Agencies and the general public.
- d) Operations Processes – refer to core processes that are directly involved in the performance of the mandate of the DILG XII in the provision of LGU capacity development services, performance oversight and incentives and awards which are intended for its clients/customers.
- e) Support to Operations Processes – refer to processes needed to ensure the satisfactory performance of the core processes delivered by the different divisions and operating units .
- f) External Documents/References – Documents of external origin - usually from Office of the President (OP), Civil Service Commission (CSC), Commission on Audit (COA), Department of Budget (DBM), other National Government Agencies (NGAs), Non-Government Organizations (NGOs), Civil Society Organizations (CSOs), Government Financial Institutions (GFIs), Government-Owned and Controlled Corporations (GOCCs), and other Institutions - necessary for planning and operations. These include Circulars, Memorandums, Republic Acts, Executive Orders, Administrative Orders, Guidelines, Manuals, Resolutions, Orders, other Issuances, Reportorial and Compliance Forms, among others.
- g) Form – A document in a structured format with standardized data fields that gathers information as a requirement of a certain regulation or necessary in achieving desired process, procedure, and/or service outputs/objectives/results that when duly filled out, are considered records.





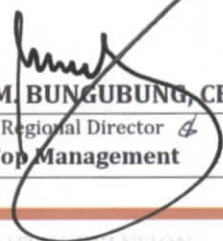


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- h) Major Final Output (MFO) – the major deliverables of the DILG which are measured, evaluated, monitored and reported as performance results of the Department. Specifically, this refers to LGU capacity development, performance oversight, and rewards and incentives.
- i) Top Management – this refers to the high level management as represented by the Regional Director who has the responsibility and authority to ensure that adequate resources and management support are provided for the effective implementation, sustainability, and continual improvement of the Quality Management System (QMS).
- j) Quality Management Representative (QMR) – refers to the Assistant Regional Director, who oversees the overall affairs of the QMS and reports to the Top Management the performance of the QMS and any need for improvement.
- k) Deputy QMR – all Provincial Directors and Division Chiefs who oversees the implementation of QMS in their respective jurisdictions and reports to the QMR the performance of the QMS and any need for improvement.
- l) Internal Quality Audit (IQA) – A systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine compliance to international standard requirements for QMS.
- m) Technical Assistance – refers to a core process for provision for capacity development of LGUs
- n) Administrative Assistance – refers to a core process for provision for support services
- o) Performance Oversight – refers to a core process in the exercise of general supervision over local government units
- p) Rewards and Incentives – refers to core processes providing local government units with rewards and incentives for complying with the standards set by laws, rules, or regulations

Other terms and definitions deemed applicable to a specific process or function are defined in the specific quality procedure (QP).

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### **3. ORGANIZATIONAL BACKGROUND**

#### **3.1 The Department of the Interior and Local Government (DILG)**

The Department of the Interior and Local Government is the executive department of the Philippine government responsible for promoting peace and order, ensuring public safety and strengthening local government capability aimed towards the effective delivery of basic services to the citizenry.

The main powers and functions of DILG are the following: assists the President in the exercise of general supervision over local governments; advises the President in the promulgation of policies, rules, regulations and other issuances on the general supervision over local governments and on public order and safety; establishes and prescribes rules, regulations and other issuances to implement laws on public order and safety, general supervision over local governments and promotion of local autonomy and community empowerment, and monitors compliance thereof; formulates plans, policies and programs which will meet local emergencies arising from natural and man-made disasters; establishes a system of coordination and cooperation among the citizenry, local executives and the Department, to ensure effective and efficient delivery of basic services to the public.

##### **3.1a History and the DILG Mandate**

The present Department of the Interior and Local Government (DILG) traces its roots from the Philippine Revolution of 1897. On March 22, 1897, the Katipunan Government established the first Department of Interior at the Tejeros Convention.

A revolutionary government was also established at that time and the new government elected General Emilio Aguinaldo as President and Andres Bonifacio as Director of Interior, although Bonifacio did not assume the post. At the NAIC Assembly held on April 17, 1897, President Aguinaldo appointed General Pascual Alvarez as Secretary of the Interior.

The Department of Interior was enshrined in the Biak-na-Bato Constitution signed on November 1, 1897. Article XV of the said Constitution defined the powers and functions of the Department that included statistics, roads and bridges, agriculture, public information and posts, and public order.

As the years of struggle for independence and self-government continued, the Interior Department became the premier office of the government tasked with various functions ranging from supervision over local units, forest conservation, public instructions, control and supervision over the police, counter-insurgency, rehabilitation, community development and cooperatives development programs.

In 1950, the Interior Department was abolished and its functions were transferred to the Office of Local Government (later renamed Local Government and Civil Affairs Office) under the Office of the President. On January 6, 1956, President Ramon Magsaysay created the Presidential Assistant on Community Development (PACD) to implement the Philippine Community Development Program that will coordinate and integrate, on a national scale, the efforts of various governmental and civic agencies to improve the living conditions of barrio residents nationwide and make them self-reliant.

\* <http://www.dilg.gov.ph/page/Who-we-are/19>



In 1972, Presidential Decree No. 1 created the Department of Local Government and Community Development (DLGCD) through Letter of Implementation No. 7 on November 1, 1972. Ten years later or in 1982, the DLGCD was reorganized and renamed Ministry of Local Government (MLG) by virtue of Executive Order No. 777; and in 1987, it was further reorganized and this time, renamed Department of Local Government (DLG) by virtue of Executive Order No. 262.

Again, on December 13, 1990, by virtue of Republic Act No. 6975, the DILG underwent reorganization into what is now known as the Department of the Interior and Local Government (DILG). The law integrated under the new DILG, the Philippine National Police (formerly known as the Philippine Constabulary-Integrated National Police), the National Police Commission, the Bureau of Fire Protection, the Bureau of Jail Management and Penology, and the Philippine Public Safety College; and absorbed the National Action Committee on Anti-Hijacking from the Department of National Defense (DND).

The passage of RA 6975 also paved the way for the union of the local governments and the police force after more than 40 years of separation. Today, the Department faces a new era of meeting the challenges of local autonomy, peace and order, and public safety.\*

### **3.1b Vision, Mission, Goals, Objectives**

#### **DILG Vision**

A strongly determined and highly trusted Department committed to capacitate and nurture local government units, public order and safety institutions to sustain peaceful, progressive, and resilient communities where people live happily.

#### **DILG Mission**

The Department shall promote peace and order, ensure public safety, and strengthen capability of local government units through active people participation and a professionalized corps of civil servants.

#### **DILG Goals**

- Develop, peaceful, safe, self-reliant and development- directed communities;
- Improve performance of local governments in governance, administration, social and economic development and environmental management;
- Sustain peace and order condition and ensure public safety.

#### **DILG Objectives**

- Reduce crime incidents and improve crime solution efficiency;
- Improve jail management and penology services;
- Improve fire protection services;
- Continue professionalization of PNP, BFP and BJMP personnel and services;
- Enhance LGU capacities to improve their performance and enable them to effectively and efficiently deliver services to their constituents;
- Continue to initiate policy reforms in support of local autonomy.

\* <http://www.dilg.gov.ph/page/Who-we-are/19>





### 3.2. The DILG REGION XII

The approval of the Rationalization Plan of the Department of the Interior and Local Government – pursuant to Executive Order (EO) No. 366, gave the DILG the opportunity to reconfigure its structure and operations so that it can effectively provide oversight over LGUs and strengthen LGU capacity for governance.

This rationalized structure orchestrated improvements in the systems and processes of all units that will eventually lead to improved organizational outcomes. The approved rationalized structure and the DILG Outcome-Based Framework are shown in the following figures:

Figure 1 (DILG-XII Approved Rationalized Structure)

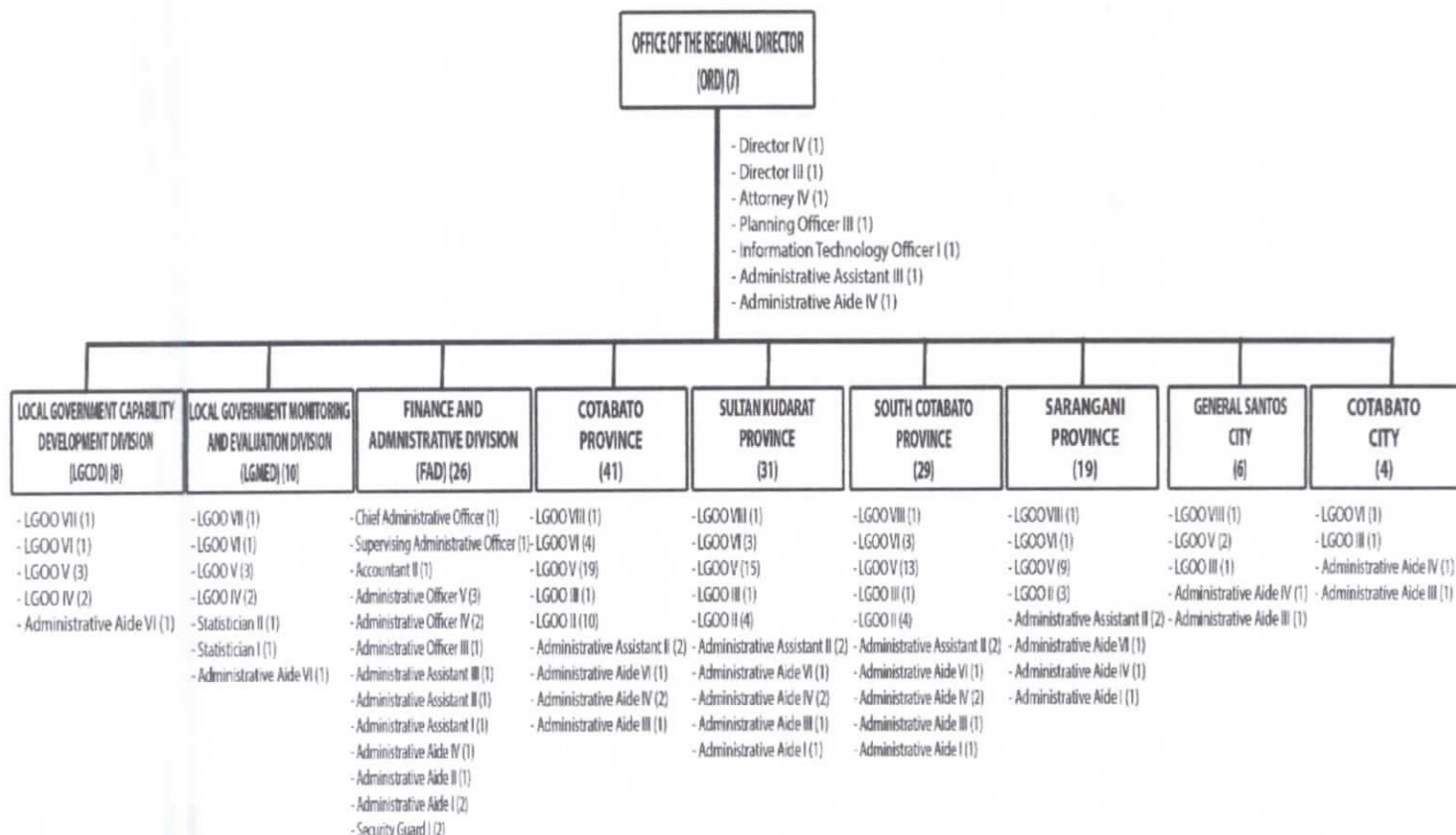
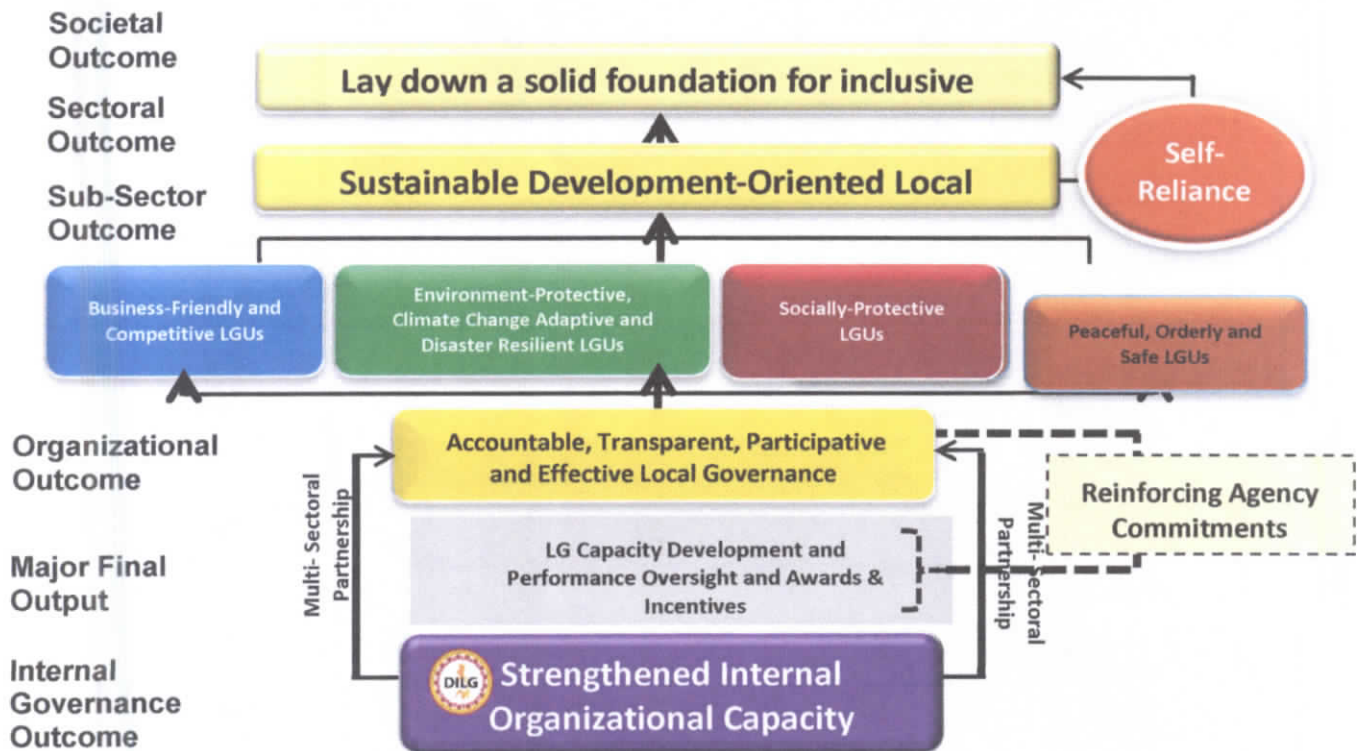






Figure 2 (DILG Outcome-Based Framework)



The Quality Management System is in conjunction with the thrust of the DILG in strengthening its internal governance to improve the organization's productivity and the effectiveness of current systems.

The Regional Office XII as the catalyst in strengthening local government capacities, in the exercise of its performance oversight, provision technical assistance and administrative support services, incentives and rewards to LGUs to promote excellence in local governance and enhance the service delivery of its Field Offices, takes the lead in delivering the following key strategies:

- Foster and sustain transparency, accountability and high level of performance among LGUs.
- Improve LGU readiness in dealing with disasters and climate change.
- Improve the business competitiveness of selected LGUs and widen people's access to livelihood and employment opportunities.
- Improve LGU capacity to deliver basic services especially to the poor and/or marginalized.



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### 3.2a DILG-12 Mission

The Regional Office XII as the catalyst in strengthening local government capacities promotes excellence in local governance through capacity development, performance oversight and incentives and awards services in coordination with its field offices and in collaboration with its stakeholders.

### 3.2b DILG-CO Core Values

DILG Region XII established a set of core values that represent its policy and aspiration to develop a culture of customer satisfaction through effective and efficient service to its clients and to continue demonstrating its commitment to strengthen local governance in the country.

- Integrity (*AS INDIVIDUAL*) – This is the core value of every personnel in DILG manifested through consistent practice of decency in behavior, honesty in all dealings, and fairness in discernment. In a very political and dynamic organization, integrity defines DILG personnel in times of prejudice and imperfection. The integrity of DILG personnel is what builds credibility and trust.
- Competence (*AS PUBLIC SERVANT*) – This is the core value that indicates sufficiency of knowledge and skills to carry out DILG's mission and the achievement of its objectives and vision. This includes both the intellectual and behavioural aspect of every DILG personnel.
- Professionalism (*DYNAMIC WORKING ENVIRONMENT*) – This is the core value that manifests higher level of competence and integrity of every DILG personnel. Imbued in the organization is the utmost devotion and dedication to duty in dealing with its clients/customers.
- Responsiveness (*CUSTOMER SATISFACTION*) – This is the core value of the organization in delivering its Programs, Projects and Activities to all its interested parties. Responsiveness is that sense of timeliness and accuracy in delivering DILG-XII's products and services towards the satisfaction of its customers/clients and in compliance with all the relevant requirements.

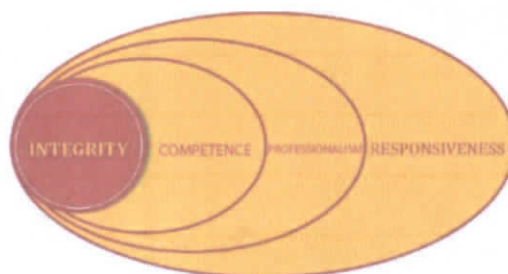


Figure:  
The DILG-12 Core Value Circles



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These values will be the core of every personnel in the organization as they demonstrate the DILG brand of:

**“Matino, Mahusay, at Maaasahang kagawaran para sa Mapagkalinga at Maunlad na Pamahalaang Lokal.” (“Committed, Excellent, and Dependable Agency towards a Caring and Developed Local Government.”)**



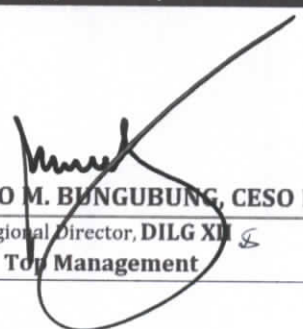
**Matino** – Sensible, accountable, committed and works with integrity

**Mahusay** – Skillful, capable, methodical, aims for excellence, mastery of knowledge and skills

**Maaasahan** – Reliable, dependable and accessible

**Mapagkalinga** – Caring, sensitive and responsive, attentive

**Maunlad** – Progressive, developed, matured, enhanced, evolved

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## **4. CONTEXT OF ORGANIZATION**

### **4.1 Internal and External Issues**

DILG Region XII operates under internal and external environments that influence the fulfillment of its mandate and objectives. It is important for DILG Region XII to determine and validate its context to be able to consistently provide products and services that meet legal and customer requirements.

In this regard, DILG Region XII identifies the relevant internal and external issues, factors and conditions that affect its ability to achieve planned results.

DILG Region XII regularly reviews and updates the issues relevant to its operations every 6 months, or as needed, usually during Planning (Operational and QMS Planning) and Management Review.

The DILG- Region XII's Context Registry contains the relevant key internal and external issues which presents a more detailed analysis of the identified list of DILG- Region XII issues.

#### **Relevant Documented Information:**

DILG Region XII's Context Registry

### **4.2 Interested Parties**

Due to their effect or potential effect on DILG Region XII's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements, DILG Region XII determines:

- a) The interested parties that are relevant to the quality management system;
- b) The requirements of these interested parties that are relevant to the quality management system.

DILG Region XII monitors and reviews information about these interested parties and their relevant requirements at least twice a year (during Planning and Management Review), and even during the review of risk registers, where necessary.

DILG Region XII's interested parties are as follows:

- Customer / client – DILG CO, Field Offices, LGUs, LGU Officials, Citizenry
- Congress Representatives
- Regulatory Bodies – COA, CSC, BIR, DBM, NEDA
- Partners – Other Agencies
- Media
- External Providers / Suppliers
- Employees – Senior Executives (Assistant Regional Director, Provincial/City Directors) Middle Managers (Program Manager, Outcome Manager, Assistant Division Chiefs, Division Chiefs),



Organic staff (technical and administrative staff), Job Orders and Contract of Service Personnel

- Top Management – Regional Director

**Relevant Documented Information:**

DILG XII's Interested Parties Matrix

#### **4.3 DILG REGION XII QMS Scope**

DILG XII has determined the boundaries and applicability of the requirements of ISO 9001:2015, and considered the following:

- a) The external and internal issues relevant to its purpose and strategic direction
- b) The requirements of relevant interested parties
- c) The products and services that it provides.

DILG XII applied all the applicable requirements of this International Standard if they are applicable within the determined scope of its QMS.

The quality management system of the DILG –XII adopts the scope: Local governance thru the Provision of:

##### **Technical Assistance (5)**

- Conduct of Fact-Finding Investigation
- Administration of Customer Satisfaction Survey and Handling of Complaints
- Rendition of Legal Opinion
- Provision of Capacity Development through Training
- Provision of Technical Assistance thru Coaching and Mentoring

##### **Administrative Assistance (9)**

- Endorsement of Application for Study Grant of local officials and employees
- Issuance of Certificate of Incumbency of Local Officials
- Processing of Barangay Officials Request for Certificate of Services Rendered for CSC Eligibility
- Document Review and Provision of Comments and Recommendations
- Processing of Endorsement for Death Benefit Claim of Barangay Officials
- Processing of Requests for the Issuance of Certificate of Good Financial Housekeeping
- Processing of Requests for the Issuance of Certification of Compliance to Full Disclosure Policy (FDP) for endorsement to Central Office
- Processing of Issuance of Certificate of Recognition of Indigenous People's Mandatory Representative (IPMR)
- Processing of LGU Request for Authority to Conduct Training, Seminar, Convention and Lakbay-Aral



### **Oversight Function (5)**

- Issuance of Certificate of Review and Endorsement of LGU's GAD Plan and Budget (GPB)
- Monitoring and Evaluation of LGU Compliance to Local Governance Policies
- Processing of LGU Request for Approval of Additional Confidential Fund for Endorsement to Central Office
- Processing of LGU Request for Authority to Purchase of Motor Vehicle for Endorsement to Central Office
- Implementation of Ombudsman, Sandiganbayan, OP. COMELEC Decisions, Orders and Resolutions

### **Rewards and Incentives (3)**

- Seal of Good Local Governance (SGLG)
- Performance Challenge Fund
- Implementation of Lupong Tagapamayapa Incentives and Awards (LTIA)

The scope also covers the following processes:

### **Support (5)**

- Posting of information to DILG-R012 website and social media accounts
- Review of Technical Documents for LGUs' Locally Funded Projects (LFPs) and Performance Challenge Fund (PCF)
- Acquiring, storing and maintenance, and accessing of knowledge products at the LGRRC
- Provision of technical assistance and conduct of annual preventive maintenance activity on ICT resources

### **Monitoring and Evaluation Processes (5)**

- PPA Monitoring and Reporting
- Monitoring and evaluation of Infrastructure projects
- Monitoring and Reporting of Barangay Full Disclosure Policy
- Updating and Maintaining of Masterlist for Barangay Officials Database System
- Monitoring of the Organization of MASAMASID Teams (MMTs) and Community Rehabilitation Network (CRN) Reporting Procedure

The QMS processes handled per Division/Unit are: Finance and Administrative Division (21), Local Government Monitoring and Evaluation Division (15), Local Government Capability Development Division (4) and Office of the Regional Director (20).

#### **4.3a. ISO 9001:2015 Applicability to DILG Region XII's QMS**

Based on the scope and boundaries of its processes and practices, current products, services, programs, plans and activities, the DILG-Region XII's QMS deems the following requirements not applicable to its QMS due to the specified justifications, as follows:





Clause and Requirement	Justification
7.1.5.2 Measurement traceability	DILG- <b>Region XII</b> does not require any equipment, especially anything that require calibration or verification, to fulfill and deliver its services.
8.5.1f - Validation and periodic revalidation of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement	All products / services of DILG- <b>Region XII</b> can be checked / verified for conformity to requirements before release and delivery, and through subsequent monitoring or measurement.

#### 4.4. DILG-Region XII Quality Management System and its processes

**4.4.1** The DILG **Region XII** establishes and documents a Quality Management System which it implements, maintains and continually improves in accordance with the requirements of ISO 9001:2015.

The DILG **Region XII** determines the processes needed for the quality management system and their application:

- determines the inputs required and the outputs expected from these processes;
- determines the sequence and interaction of these processes as shown in its business process map;
- determines and applies the criteria and methods needed (including monitoring, measurements, and related performance indicators) to ensure that both the operation and control of these processes are effective;
- ensures the availability of resources and information necessary to support the operation and monitoring of these processes;
- assigns the responsibilities and authorities for these processes;
- addresses the risks and opportunities relevant to these processes;
- evaluates these processes and implements any changes/actions to achieve planned results; **and**
- implements actions necessary for the continual improvement of these processes and the quality management system.

Where DILG **Region XII** chooses to outsource any process that affects product conformity to requirements, it ensures control over such processes. The type and extent of control to be applied to these outsourced processes are defined within the quality management system.

**NOTE:** An “outsourced process” is a process that the organization needs for its quality management system and which the organization chooses to have performed by an external party, control of which is through the application of 8.4, as appropriate.



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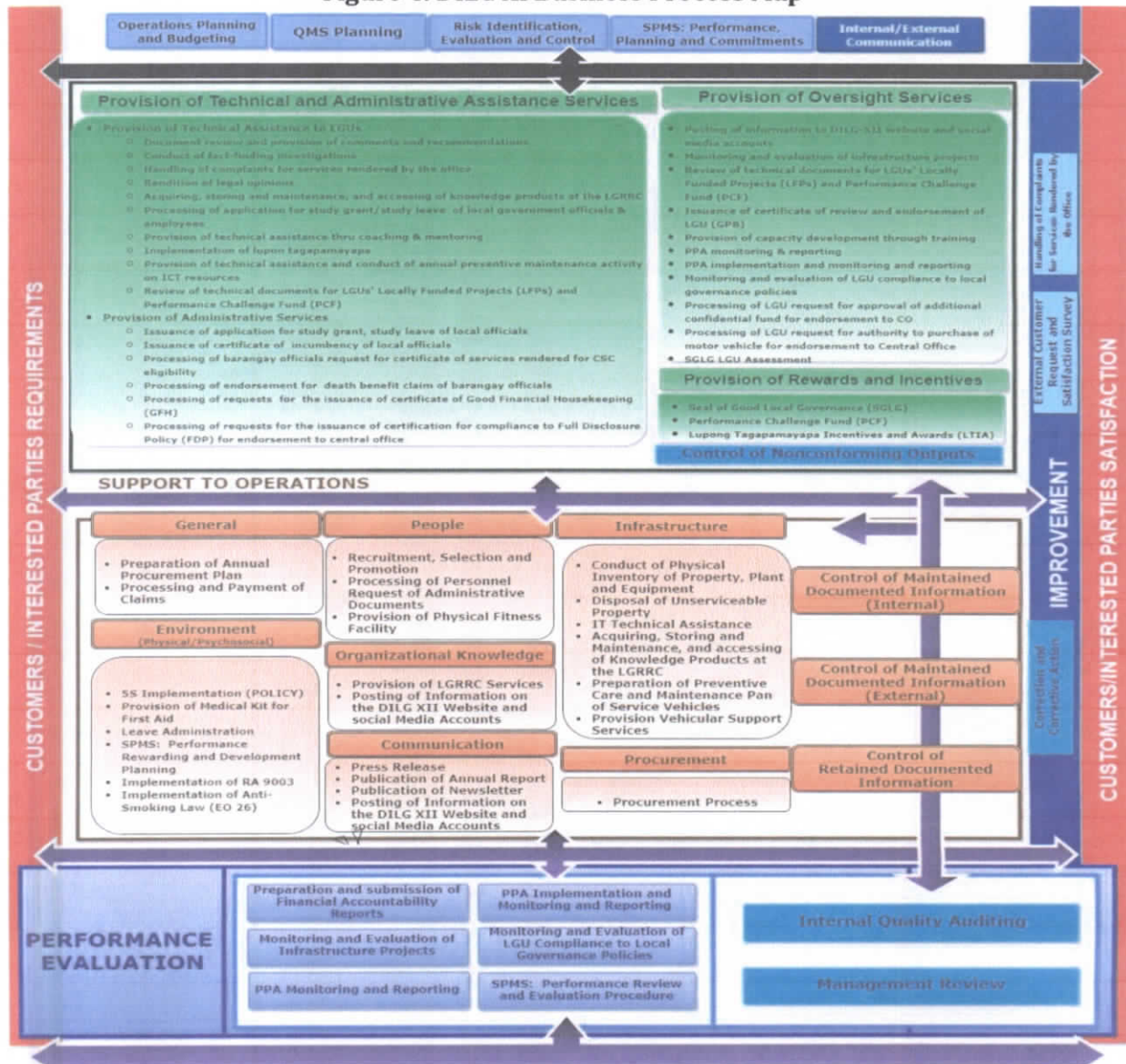
## Relevant Documented Information:

QMS Work and Financial Plan  
Risk Identification, Evaluation and Control Procedure

### 4.4.1a DILG- Region XII's Business Process Map

Below is the outline of the overall business process map of DILG Region XII showing the interrelation and interaction of its many processes:

Figure 4. DILG XI Business Process Map







#### 4.4.1b Description of the DILG QMS Processes

Based on the DILG business process map, each process within its quality management system is **classified** as follows:

- **Management Processes** - Management processes refer to those activities of DILG **Region XII** management relating to exercising leadership and accountability such as establishing the quality policy and quality objectives through QMS planning, providing resources, determining and managing risks and opportunities, conducting management reviews, and implementing internal communication within the QMS.
- **Operations Processes** - Refer to the core processes which include the **provision of** major service/s covered by DILG- **Region XII** QMS as follows: **(a) technical assistance** through: Conduct of Fact-Finding Investigation; Handling of Complaints for Services Rendered by the Office; Rendition of Legal Opinion; Provision of Technical Assistance thru Coaching and Mentoring; Provision of capacity development through training; Review of technical documents for LGUs' Locally Funded Projects (LFPs) and Performance Challenge Fund (PCF) and Provision of Technical Assistance on CBMS; **(b) administrative assistance** thru: Issuance of Application for Study Grant of Local Officials and employees; Issuance of Certificate of Incumbency of Local Officials; Processing of Barangay Officials Request for Certificate of Services Rendered for CSC Eligibility; Processing of Endorsement for Death Benefit Claim of Barangay Officials; Processing of Requests for the Issuance of Certificate of Good Financial Housekeeping; Processing of Requests for the Issuance of Certification of Compliance to Full Disclosure Policy (FDP) for endorsement to Central Office; and Processing of Issuance of Certificate of Recognition of Indigenous People's Mandatory Representative (IPMR); **(c) oversight functions** thru: Issuance of Certificate of Review and Endorsement of LGU's Gad Plan and Budget (GPB); Monitoring and Evaluation of LGU Compliance to Local Governance Policies; Processing of LGU Request for Approval of Additional Confidential Fund for Endorsement to Central Office; Processing of LGU Request for Authority to Purchase of Motor Vehicle for Endorsement to Central Office; and Implementation of Ombudsman, Sandiganbayan, OP. COMELEC Decisions, Orders and Resolutions; and **(d) rewards and incentives** thru: Seal of Good Local Governance (SGLG); Performance Challenge Fund (PCF); and Lupon Tagapamayapa Incentives and Awards (LTIA).
- **Support to Operations Processes** - Support processes are those that provide the needed enablers to ensure the satisfactory service delivery and performance of the core processes. These are provided mostly by the Finance and Administrative Division with some from the Local Government Monitoring and Evaluation Division, Local Government Capability Development Division, Legal Unit, Project Management and Development Unit, and Office of the Regional Director. There are 60 procedures covering the full range of Support to Operations processes of DILG-XII in the following areas:

##### General **(6)**:

- Preparation of Annual Procurement Plan (APP)
- Planning for Program/Project Implementation





- Processing and Payment of Claims
- Cash Advance and Liquidation
- Document Review and Provision of Comments
- Processing of Personnel Request for Administrative Documents

**People (3):**

- Recruitment, Selection and Promotion
- Learning and Development
- Processing of Personnel Request of Administrative Documents

**Infrastructure (8):**

- Conduct of Physical Inventory of Property, Plant and Equipment
- Disposal of Unserviceable Property
- IT Technical Assistance
- Preparation of Preventive Care and Maintenance Plan of Service Vehicles
- Preventive Care and Maintenance of Service Vehicles\* (2018 Plan Implementation)
- Provision Vehicular Support Service
- Website Administration
- Provision of Physical Fitness Facility

**Environment (6):**

- Leave Administration
- SPMS: Performance Rewarding and Development Planning
- 5s Implementation (POLICY)
- Provision of Medical Kit for First Aid
- Implementation of RA 9003
- Implementation of Anti-Smoking Law (EO 26)

**Organizational Knowledge (2):**

- Posting of Information on the DILG XII Website and Social Media Accounts
- Acquiring, Storing and Maintenance, and accessing of Knowledge Products at the LGRRC

**Communication (4):**

- Press Release
- Publication of Annual Report
- Publication of Newsletter
- Handling of Incoming and Outgoing Communications

**Procurement:**

- Procurement Process
- Performance Evaluation Processes- The core and support processes are further supported by feedback from Monitoring, Measurement, Analysis and Evaluation Processes as follows:



- Process Performance Monitoring and Measurement
  - Preparation and Submission of Financial Accountability Reports
  - Monitoring and Evaluation of Infrastructure Projects
  - PPA Implementation and Monitoring and Reporting
  - Monitoring and Evaluation of LGU Compliance to Local Governance Policies
  - SPMS: Performance Review and Evaluation Procedure
- **Improvement Processes** - The improvement processes are both proactive and reactive. These are:
    - Internal Quality Auditing
    - Correction and Corrective Action
    - Administration of Customer Satisfaction Survey and Handling of Complaints
  - **System Procedures:** These refers to the procedures of which there is no Office Primarily responsible (OPR) because implementation is not limited to one Division/Office/Unit only, rather system-wide in coverage, which are deemed necessary to ensure compliance with a specific clause requirement in the ISO 9001:2015 standard. Some of these processes were already earlier classified as operations, support to operations, performance evaluation or improvement processes:
    - Risk Identification, Evaluation and Control (Clause 6.1)
    - QMS Planning (Clause 6.2)
    - Control of Maintained Documented Information (Internal); and Control of Maintained Documented Information (External);
    - Control of Retained Documented Information
    - Services Complaints Handling (Clause 8.2.1c)
    - Control of Nonconforming Outputs (Clause 8.7)
    - Process Performance Monitoring and Measurement (Clause 9.1)
    - Customer Satisfaction Survey (Clause 9.1.2 and 9.1.3b)
    - Internal Quality Auditing (Clause 9.2)
    - Management Review (Clause 9.3)
    - Correction and Corrective Action (Clause 10.2)

#### **4.4.1c Responsibility for DILG Region XII's QMS Processes**

The responsibilities and authorities for each process, the application of appropriate controls and the management of risks and opportunities in the QMS follows the following hierarchy:

- Process Owner – due to their direct control over the processes;
- P/CDs and/or Division Chief – due to their direct supervisory control and management over the Section Chiefs/Process owners;
- Regional Director – due to his overall accountability and control over P/CDs/Division Chiefs.



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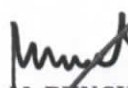
#### 4.4.1d Controls over QMS Processes

The relevant QMS and process controls are embedded in all the procedures and supporting documents such as risk registers to ensure that these controls are fully implemented by concerned process owners.

Please refer to Section 8 for the description of the operation of DILG-**Region XII**'s processes.

#### 4.4.2. To the extent necessary, DILG- **Region XII**:

- a) maintains documented information to support the operation of its processes;
- b) retains documented information to have confidence that the processes are being carried out as planned.

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## 5. LEADERSHIP

### 5.1 Management Commitment

Guided by the DILG- **Region XII**'s Vision and Mission and in compliance with applicable legal requirements in fulfilling its mandate to strengthen LGU capacities, perform oversight function and provide rewards and incentives, the DILG **Region XII**'s top management commits to develop, implement and continually improve the effectiveness of its quality management system by:

- a) taking accountability for the effectiveness of the quality management system;
- b) establishing quality policy and quality objectives compatible with the context and strategic direction of the organization;
- c) ensuring the integration of the quality management system requirements into the organization's business processes;
- d) promoting the use of the process approach and risk-based thinking;
- e) providing resources needed;
- f) communicating the importance of effective quality management system and conforming to the quality management system requirements;
- g) ensuring that the quality management system achieves its intended results;
- h) engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;
- i) promoting improvement; and
- j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

The DILG **Region XII**'s top management refers to the Regional Director. The Assistant Regional Director serves as the Regional Quality Management Representative (QMR) and the Provincial Directors, City Directors and Division Heads serve as the Deputy Quality Management Representatives (DQMRs) of their respective offices who also demonstrate leadership and commitment as itemized above.

#### 5.1.2 Client/Customer Focus

The DILG **Region XII**'s top management ensures that customer requirements are determined and are met with the aim of enhancing customer satisfaction, which is primarily to strengthen the capabilities of Field Officers to promote excellence in local governance and to attend to the needs of other clients/stakeholders. Information about customer needs and expectations is extracted from feedback mechanisms, complaints handling, and customer satisfaction data.

The DILG **Region XII** client/customer refers to the local government units/leagues/officials/employees, general public, other stakeholders and the Regional/Provincial/City Field Offices' employees.

The DILG **Region XII**'s top management, Provincial/City Directors and Division Chiefs demonstrate leadership and commitment with respect to customer focus by ensuring that:

- a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met;
- b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed; and
- c) the focus on enhancing customer satisfaction is maintained.



## Relevant Documented Information:

Handling of Complaints for Services Rendered by the Office  
External Customer Request and Satisfaction Survey

## 5.2 Quality Policy

### 5.2.1 Establishing the DILG XII Quality Policy

The DILG- **Region XII**'s top management ensures that the quality policy:

- a) is appropriate to the purpose and context of the organization and supports its strategic direction;
- b) provides a framework for establishing and reviewing quality objectives;
- c) includes a commitment to comply with applicable requirements and
- d) includes commitment to continually improve the effectiveness of the quality management system.

The quality policy is reviewed during Management Reviews to ensure its continuing suitability in relation to the organization's vision, mission, strategic thrusts and directions.

### 5.2.2 Communicating the DILG Region XII Quality Policy

The DILG **Region XII**'s top management together with the Division Heads ensure that the DILG-XII Quality Policy is communicated and understood within the organization. The DILG **Region XII**'s Quality policy is:

- a) available and maintained as documented information;
- b) communicated, understood and applied within the organization;
- c) available to relevant interested parties, as appropriate.

The Regional Information and Communication Technology Unit (RICTU) is responsible for ensuring that the DILG **Region XII** Quality Policy is posted in its website. The Public Information Officer (PIO) ensures that the DILG **Region XII** Quality Policy is part of the layout of the DILG Region XII Newsletter. The QMS Secretariat is responsible for posting the DILG **Region XII** Quality Policy in conspicuous places in the DILG premises and for developing other materials to communicate the Quality Policy, as deemed appropriate. The Personnel Section of the Finance and Administrative Division ensures that all employees are oriented and aware of the DILG Region XII Quality Policy in coordination with the QMS Secretariat.

#### 5.2.2a. The DILG-XII Quality Policy

The DILG Region XII, imbued with integrity, competence and professionalism, and **Living Up** to a **P**eaceful, **A**ccountable, and **D**ynamic working environment, commits to deliver quality services through oversight function, capacity development intervention, and incentives and rewards to local government units.

We uphold customer satisfaction and continual improvement of our Quality Management System's effectiveness, compliant to applicable laws, rules and regulations, and international standards, for a highly **D**eveloped, **O**rderly, **S**elf-Reliant, **E**nvironment-friendly and Globally Competitive SOCCSKSARGEN. (**LUPAD DOSE**).



#### Relevant Documented Information:

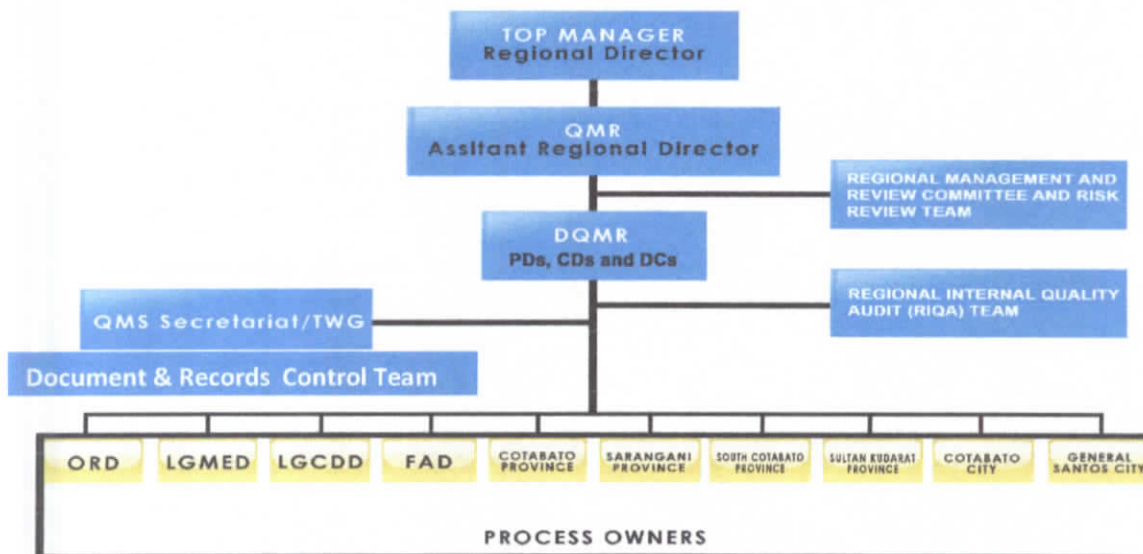
DILG Region XII Quality Policy

### 5.3. Organizational roles, responsibilities and authorities

The DILG-CO's top management ensures that responsibilities and authorities in the Department are defined and communicated for effective delivery of its services. The DILG-CO's Organizational Structure manual is developed to clearly show the levels of authority, lines of coordination and divisions of tasks of the different operating units within the order, to attain organizational goals. Likewise, the QMS Organizational Structure is defined to enable the effective implementation of its QMS showing the different bureaus and services responsible for establishing, implementing, maintaining and continually improving the DILG-CO's quality management system to attain the quality objectives consistent with the quality policy.

#### 5.3a The DILG Region XII QMS Organizational Structure

Figure 5: The DILG Region XII QMS



The QMS structure is composed of the following:

DILG Region XII Top Management - This refers to the Regional Director whose responsibilities and authorities are as follows:





Responsibility:	Assigned to:
a) Ensuring that the quality management system conforms to the requirements of ISO 9001:2015 by appointing a Quality Management Representative	Top Management
b) Ensuring that processes are delivering their intended outputs;	Process owners, Deputy Quality Management Representatives (Provincial/City Directors and Division Chiefs)
c) Reporting on the performance of the quality management system and opportunities for improvement, in particular to top management	QMS Secretariat, Internal Quality Audit Team, Deputy QMRs, QMR
d) Ensuring the promotion of customer focus throughout the organization	Deputy Quality Management Representatives
e) Ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.	QMR, DQMRs

DILG Region XII Quality Management Representative (QMR) - The DILG XII Regional Director designated the Assistant Regional Director as the Quality Management Representative whose responsibilities and authorities are to:

- Ensure that processes needed for DILG Region XII's quality management system are established, implemented and maintained to ensure that the QMS conforms to requirements of ISO 9001:2015;
- Report to Regional Director as the top management on the performance of the quality management system and any opportunity for improvement;
- Promote customer focus and awareness to client requirements throughout the DILG Region XII;
- Ensure that the integrity of the QMS is maintained when changes to the QMS are planned and implemented;
- Coordinate / communicate with external parties on matters relating to QMS and ISO certification.

DILG Region XII Deputy QMRs - The Provincial and City Directors and Division Heads are designated as the DILG-XII Deputy QMRs. The Deputy QMRs oversee the overall affairs of the QMS and reports to the QMR the performance of the QMS and any need for improvement, and performs the functions of the QMR at their level. They ensure that the established QMS processes are implemented and maintained and that all staff within their area of responsibility are aware including its clients of the QMS procedures and requirements.

Deputy QMRs likewise ensure the conduct of QMS activities to promote awareness and understanding of QMS principles and requirements and to develop knowledge and skills of its application or implementation, sustainability and continual improvement within their respective offices.



DILG Region XII Quality Management Review Committee/Risk Review Team - The DILG Region XII Quality Management Review Committee/Risk Review Team is composed of the following:

- Regional Director - Top Management
- Assistant Regional Director – Quality Management Representative (QMR)
- Provincial and City Directors and Division Chiefs – Deputy Quality Management Representative (DQMRs)
- Outcome and Program Managers
- Legal Officer
- Planning Officer
- Chief of Staff
- Regional Accountant
- Regional Budget Officer
- Regional Information Technology Officer

DILG Region XII Risk Review Committee – The Risk Review Committee ensures that the organization identifies, evaluates and controls risks. This committee facilitates the development of a Risk Control Plan (RCP) and Opportunities Management Plan (OMP) and evaluates the effectiveness of actions taken. The committee, led by the Planning Unit with the other members of the Risk Review Team has the following responsibilities:

- Determine the risks and opportunities to be addressed
- Consider the issues and interested parties
- Ensure achievement of QMS intended results
- Enhance desirable effects
- Prevent or reduce undesired effects
- Plan actions to address risks and opportunities
- Integrate and implement the actions of QMS
- Evaluate the effectiveness of actions taken

QMS Secretariat/Technical Working Group - Under the supervision of the QMR and Deputy QMRs:

- Facilitate the finalization and firming up of the processes of all services provided by the office to the clients;
- Consolidate all the identified services to be rendered through quality processes of their concerned division/unit;
- Ensure the integration of the quality processes to the ISO structure of the Region;
- Document the development of Quality Manual and Procedural Manual;
- In coordination of the process owners, shall prepare the quality documents both per requirement of the ISO 9001:2015 and of their respective divisions/units;
- Determine which of the documented information are to be maintained, retained, control or uncontrolled;
- Organize the Documented Information of their respective division/unit;
- Provide assistance on IT matters to operating units when necessary;





- Prepare an Action Plan for the ISO Team to undertake in order to meet the requirements for the ISO certification on specified timelines.
- Provides technical assistance to the Divisions/Field Offices on the implementation, and performance measurement;
- Studies/reviews QMS outputs and endorse acceptance of these outputs to the Deputy QMRs and/or QMR as applicable per QMS Documentation Responsibility Matrix;
- provision of secretariat services during the conduct of the focus group discussions (FGD)/activities;
- Ensures that major agreements/highlights/decision points before, during, and after the QMS FGD/activity and Management Reviews are documented and submitted to the QMR through the Deputy QMRs and to all concerned personnel;
- Serve as facilitators in the conduct of QMS FGD/activities; and
- Performs other tasks as may be assigned by the Deputy QMRs/QMR.

**Document and Records Control Team** - The Document and Records Control Team ensures that changes and the current revision status of documents are identified, the unintended use of obsolete documents is prevented, and records are controlled through established means for identification, storage protection, retrieval, and disposition and further, has the following responsibilities :

- Register the internal and external documents in Master Lists;
- Ensure maintenance of controlled documents registered;
- Ensure archiving obsolete documents for future reference of DILG XII (If necessary).
- Ensure that all QMS documents are approved by relevant authorities prior to issuance to process owners;
- Ensure that QMS documents are properly reviewed, updated and re-approved by relevant authorities whenever revisions are made to them;
- Ensure that external documents are identified and distribution is controlled

**Records Officer per Division /Province/City**

- Ensure that all records generated at their respective level are identified, with defined retention period and disposition are implemented.
- Ensure that all records are legible, readily identified and retrieved within their division/unit
- Maintain archiving records for future reference of DILG XII

**Regional Document Controller** -has the ultimate responsibility to carry-out specified QMS Document controls in the DILG XII.

**Regional Records Officer** - The Chief of the Records Section who is responsible for ensuring the DILG-XII compliance with the National Archives of the Philippines Act of 2007 and who plays a lead role in the management, generation, collection, filing/storage, protection, retrieval, retention, and disposition of records.

**Process Owners** – The person who has the highest number of and/or immense activities/steps in the process, or who has the widespread responsibility thereby being accountable for its performance with





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
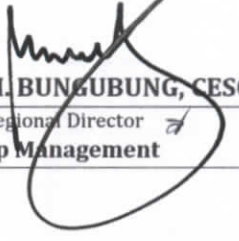
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the authority and ability to initiate necessary changes. They are usually the signatories under “prepared by” section of the approved Quality Procedure and further has the following responsibilities:

- Design, document and ensure improvement and compliance of the process;
- Identify deviations from objectives and goals and provide recommendations for corrective actions;
- Recognize non-conformity areas and avoid recurrence.

Regional Internal Quality Audit (RIQA) Committee - The IQA Committee conducts quality audits at planned intervals and verifies the corrective/preventive actions taken on audit findings and further has the following responsibilities.

- Analyze and ensure compliance of process/systems with respect to the set ISO standards;
- Identify the strengths and weaknesses of the process/systems for purposes of categorizing opportunities and possible threats in the organization;
- Recognize areas for improvement both for systems/processes and the efficiency of operations;
- Identify non-conformity areas and assist the process owners prevent things from recurring.
- Determine if the QMS is conforming to DILG XII planned arrangements
- Define the audit criteria and scope of each audit;
- Provide information whether the QMS conforms with the ISO 9001:2015 requirements;
- Report results of audits to management;
- Take correction and corrective action without delay;
- Retain documented information as evidence;
- Determine the non-fulfillment/non-conformity in the requirement of a standard;
- Checks the absence of a requirement demanded by a standard or the QMS;

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## **6. PLANNING**

### **6.1. Actions to address Risks and Opportunities**

**6.1.1** DILG-Region XII considers its internal and external issues and the requirements, needs and expectations of its interested parties and determines the risks and opportunities that need to be addressed to:

- a) give assurance that the quality management system can achieve its intended result (s);
- b) enhance desirable effects;
- c) prevent, or reduce, undesired effects; and
- d) achieve improvement.

DILG Region XII implements Risk, Identification and Evaluation Control Procedure. Risk Control Plans and Opportunity Management Plans are prepared, implemented, and updated to address risks and opportunities. Effectiveness of the actions taken to address risks and opportunities are being discussed for appropriate action during the Management Review.

Relevant Documented Information:

- Risk Identification, Evaluation and Control Procedure
- DILG Region XII Risk Register (levels of risk)
- Risk Control Plans
- Opportunity Management Plans

### **6.1.2 Quality Objectives and planning to achieve them**

**6.2.1** The DILG Region XII's top management ensures that quality objectives are established at all relevant functions and levels within the organization that are: consistent with the quality policy; measurable; take into account applicable requirements; relevant to conformity of products and services and to enhancement of customer satisfaction; monitored; communicated; and updated as appropriate.

**6.2.2** The DILG Region XII maintains the following documented information on quality objectives: Quality Objectives (QO) for the process level objectives submitted by the different Operating Units approved by the Top Management; and Performance Commitment Reports for the PPA-based and functional objectives (Office PCR (OPCR), Division PCR (DPCR), and Individual PCR (IPCR). To achieve these objectives, the organization determines: what will be done; what resources will be required; who will be responsible; when it will be completed; and how the results will be evaluated.

#### **6.2.2a Quality management system planning**

The DILG- Region XII's top management ensures that the planning of the QMS is carried out in order to meet the requirements as well as the quality objectives, and the integrity of the QMS is maintained when changes are planned and implemented.





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The planning in DILG Region XII is done based on the approved Operations Plan and Budget (OPB) of DILG-CO. Performance Commitment Reports (OPCR, DPCR, and IPCR) are prepared by the Operating Units. The DILG Region XII's QMS planning is carried out which directly impacts the Quality policy supported by the Quality Objectives for each relevant functions and processes of the QMS.

**Relevant Documented Information:**

Operational Planning and Budgeting Procedure  
*SPMS: Performance Planning and Commitment*  
QMS Work and Financial Plan

**6.3 Planning of changes**




For changes to the quality management system, the changes is carried out in a planned manner, such that DILG Region XII considers the:

- a) purpose of the changes and their potential consequences;
- b) integrity of the quality management system;
- c) availability of resources; and
- d) allocation or reallocation of responsibilities and authorities.

Planning of changes are considered during QMS Planning and Management Review.

**Relevant Documented Information:**

QMS Approved Work and Financial Plan  
Management Review

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## 7. Support

### 7.1 Resources

#### 7.1.1. General

DILG Region XII's Top Management ensures that necessary resources are provided for the development, effective implementation, maintenance and continual improvement of the QMS processes. Operations Plan and Budget (OPB) are prepared to enable the implementation of plans and programs and the attainment of performance targets through the OPCR (Office Performance Commitment and Review, considering: a) the capabilities of, and constraints on, existing internal resources; and b) what needs to be obtained from external providers.

Quality Action Plans (QAPs) are prepared by the concerned Offices to address the issues and concerns relevant to the capabilities of, and constraints on, existing internal resources that affects the effective implementation of the QMS. QAPs are prepared during QMS Planning and any time in the course of QMS implementation. Procurement requirements are determined through the preparation of the Annual Procurement Plan and Project/Procurement Management Plan (PPMP).

Sufficient planning through activity/training design is prepared and approved for specific activities that have budget requirements.

#### Relevant Documented Information:

Operational, Planning and Budgeting Procedure Operations Plan and Budget (OPB)  
*SPMS: Performance Planning and Commitment Procedure (OPCR, DPCR, IPCR)*  
QMS Work and Financial Plan  
Preparation of Annual Procurement Plan Procedure Annual Procurement Plan (APP)

#### 7.1.2. People

DILG Region XII determines and provides the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.

Personnel Section and Regional Personnel Selection and Promotion Board (RPSPB) ensure that personnel performing work affecting conformity to service requirements are competent on the basis of appropriate qualifications standards i.e. education, training, experience, and eligibility, and competency i.e. knowledge, skills, and attributes as defined in the Position Description and Qualification (PDQ). The Position title as provided under the Rationalization Plan, the personnel shall perform the actual duties and responsibilities for the implementation of the QMS.

The process for recruitment, selection and promotion is defined in a documented procedure compliant with Civil Service rules and regulations. Recruitment is done with the involvement of the concerned field Office/Division/Unit coursed through the RPSPB.



#### **Relevant Documented Information:**

Recruitment, Selection and Promotion  
Personnel Data Sheet (PDS)

#### **7.1.3. Infrastructure**

DILG Region XII determines, provides and maintains the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. The Finance and Administrative Division (FAD), provides and maintains DILG-XII's service requirements. This includes office facilities, workspaces, equipment, hardware and software, and service vehicles.

The maintenance of the building and common utilities such as Security and Janitorial services are outsourced. The Heads of the different operating units are responsible for identifying the need and requirements of their respective office spaces such as necessary repairs, installation, and/or any layout modifications of which requests are submitted to the FAD for procurement of services, materials/supplies or job order, whichever is applicable.

Preventive and corrective maintenance are carried out for service vehicles to ensure safety of personnel.

#### **Relevant Documented Information:**

- Conduct of Physical Inventory of Property, Plant and Equipment
- Disposal of Unserviceable Property
- Provision of Technical Assistance and Conduct of Annual Preventive Maintenance Activity on ICT Resources
- Preparation of Preventive Care and Maintenance Plan of Service Vehicles
- Preventive Care and Maintenance of Service Vehicles?
- Provision Vehicular Support Services

#### **7.1.4. Environment for the operation of processes**

DILG Region XII determines, provides and maintains the suitable environment necessary for the operation of its processes and to achieve conformity of products and services. A suitable environment includes programs and activities dealing with the combination of human and physical factors (social, psychological and physical).

The DILG Region XII manages the work environment needed to achieve conformity to service requirements by providing Programs/Projects/Activities (PPAs) which includes the following:

a) Related to physical factors:

- Implementation of a 5S Policy
- Auxiliary services
- Security services
- Janitorial services

b) Related to psychosocial factors:

- Provision of First Aid Kit





- Conduct of Standard First Aid Training
- Leave Administration
- Implementation of Gender and Development (GAD)
- Implementation of RA 9003
- Implementation of Anti-Smoking Law (EO 26)
- Provision of Physical Fitness Facility

#### **7.1.5. Organizational knowledge**

DILG XII determines the knowledge necessary for the operation of its processes and to achieve conformity of products and services. This knowledge include those gained from or enhanced through:

- a) Internal sources (e.g. training and capacity development; scholarship; experience through implementation of programs/projects/activities (PPAs) including the lessons learned and best practices; results of process performance and/or improvements; and internal communication;
- b) External sources (e.g. standards; academia; conferences; knowledge or feedback from customers/external providers).

Personnel who attended short (minimum of three months) and long training courses/conferences or scholarship grants prepares and submits Memo Brief/Post Activity Summary Report/Re-Entry Action Plan to capture the knowledge gained. Likewise, for every completion of a Program or Project, the concerned Office Primarily Responsible (OPR) prepares a Program/Project Completion Report (PCR) to capture the accomplishment and lessons learned in the implementation.

For local governance, the DILG XII, maintains and operates knowledge management through the Local Governance Regional Resource Center (LGRRC servicing all the LGUs and their multi-stakeholders). The knowledge products are maintained, shared and made available to the extent necessary to concerned personnel and external clients.

When addressing changing needs and trends, DILG XII considers its current knowledge and determines how to acquire or access any necessary additional knowledge and required updates from internal and external sources aforementioned.

#### **Relevant Documented Information:**

Acquiring, Storing and Maintenance, and Accessing of Knowledge Products at the LGRRC  
Handling of Incoming and Outgoing Communication Documents  
Press Release  
Publication of Annual Report  
Publication of Newsletter



## 7.2 Competence

To ensure the effective implementation and maintenance of its QMS and processes, the DILG XII:

- determines the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system;
- ensures that these persons are competent on the basis of appropriate education, training, or experience;
- where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;
- retains appropriate documented information as evidence of competence.

The DILG Competency Framework and Dictionary Manual serves as a reference tool for the competency requirements of DILG Personnel. Every plantilla position in DILG-XII has a Position Description and Qualification (PDQ) which serves as the reference document for the description, qualification standards and competency requirements of the position.

The Human Resource Management Officer (HRMO) identifies learning and development intervention needs from the results of the Training Needs Analysis (TNA) and from the Individual Development Plan (IDP), Professional Development Plan (PDP), and IDP for Division Chiefs and Executive Managerial Position in the 2<sup>nd</sup> Level.

The HRD Committee has been created to prepare the regions 3-year HRD plan. It is expected to finish the task by end of December 2017.

Applicable actions to address the competency requirements/gaps include the provision of training to, the mentoring/coaching of, or the re-assignment of currently employed persons; or the hiring or contracting of competent persons.

The HRMO takes the lead in implementing the full cycle of the learning and development process to include conduct and management of Learning and Development Interventions which are generic in nature (those targeting generic core, leadership and function-based competencies) while function-based LDI will be conducted and managed by the concerned field offices/divisions.

DILG-XII ensures that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of its quality objectives.

Appropriate records of education, training, skills and experience are maintained by relevant personnel.

### Relevant Documented Information:

- Learning and Development Procedure
  - TNA Results
  - Draft HRD Plan
  - Learning and Development Plan
- Monitoring the Implementation of SPMS Procedure
- SPMS: Performance Rewarding and Development Planning
  - Individual Development Plan (IDP)
  - Professional Development Plan (PDP)



IDP for Division Chiefs and Executive Managerial Positions in the 2<sup>nd</sup> Level  
DILG Competency Framework and Dictionary Manual  
Position Description and Qualification (PDQs)

### 7.3 Awareness

DILG XII ensures that persons doing work under the organization's control are aware of:

- a) the quality policy;
- b) relevant quality objectives;
- c) their contribution to the effectiveness of the quality management system, including the benefits of improved performance;
- d) the implications of not conforming with the quality management system requirements.

The different Field Office Heads, together with the Division and Section Chiefs, are responsible for ensuring that their respective personnel are aware of the above QMS information.

For new employees and personnel, including Job Order (JO) personnel, the HRMO ensures that appropriate orientation is given to these personnel.

### 7.4 Communication

DILG XII considers communication as an important mechanism in ensuring effective and efficient delivery of its services to its clients such as in deploying policies for the guidance of all personnel, monitoring and feedback on performance against objectives. It determines the internal and external communications relevant to its quality management system, including:

- a) what to communicate;
- b) when to communicate;
- c) with whom to communicate;
- d) how to communicate; and
- e) who communicates.

The LGRRC through the PIO and Spokesperson take the lead in developing, implementing and improving the external and internal communication of DILG-XII.

DILG-XII's top management and Division Heads ensure that internal communication is implemented regarding the effectiveness of its QMS. This includes the appropriate communication of the quality policy, operating procedures and quality objectives. Concerned operating units carry out performance monitoring and measurement to monitor, evaluate and report their respective QMS performance results.

The DILG-XII Quality Policy is posted in the DILG XII website and incorporated in the DILG Region XII newsletter, a newsletter disseminated to all employees of the Region. It is also posted in strategic places in the DILG-XII Offices. Newly hired employees are provided orientation on DILG-XII's Quality Management System. News/articles about Quality Management System are posted as Press Releases in the website, other social media accounts of the DILG-XII, and in the premises of the offices.





#### Relevant Documented Information:

Press Release  
Publication of Annual Report  
Publication of Newsletter  
Posting of Information on the DILG XII Website and Social Media Accounts

### 7.5 Documented Information

#### 7.5.1 General

DILG XII's quality management system include documented information required by ISO9001:2015 and those determined by the organization as necessary for the effectiveness of the quality management system.

DILG-XII establishes and documents its quality management system following a documentation structure to ensure effective planning, operations, and control of all its processes.

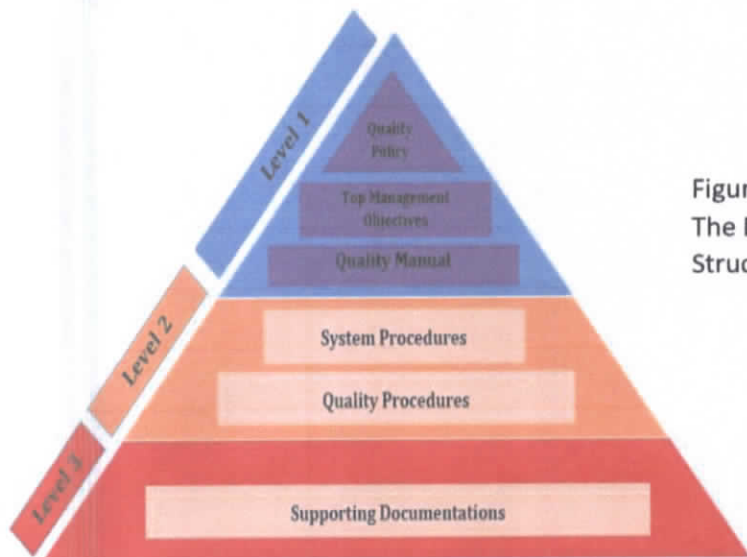


Figure 6:  
The DILG-XII QMS Documentation  
Structure

This QMS documentation structure enables a cohesive and systematic functioning of the QMS guided with the description of the levels and types of documents as follows:

- Level 1 – contains policy directions and goals of DILG-XII. This includes the Quality policy, quality objectives and quality manual.

Quality Policy: The overall direction of the organization in relation to Quality.

Quality Objectives: Something sought to be achieved in relation to the quality policy.

Quality Manual: A document specifying operating policies, scope and exclusions and other relevant information about the Quality Management System



- **Level 2** – contains the procedures to implement the various processes of the QMS which include the six mandatory procedures, operating procedures and the systemic procedures.

Procedure – A document describing a specified way to implement a process. There are two types of procedures:

System Procedures (SP): refer to the procedures which do not have an Office Primarily Responsible (OPR) because implementation is not limited to one bureau/service only, rather, system-wide in coverage, and are deemed necessary to be documented because it supports compliance of a specific clause requirement in ISO 9001:2015 standards such as:

Operating Procedures: refer to the quality procedures (QP) of the different operating units (office/division/unit) documented to ensure effectiveness and efficiency of operation. These procedures are classified as core or support.

Level 3 – refer to support documentations needed for the effective implementation of Levels 1 and 2 documents which include guidelines, work instructions, forms, job descriptions, plans, references and other types of documents. Quality records which provide evidences of implementation and effectiveness of the QMS also belong to level 3.

QMS Operations Manuals are compiled for each field Office/division which includes relevant procedures, forms, references and other documents needed by the bureau or service.

### 7.5.2 Creating and updating

When creating and updating documented information, DILG XII ensures appropriate:

- a) Identification and description (e.g. a title, date, author, or reference number);
- b) Format (e.g. language, software version, graphics) and media (e.g. paper, electronic);
- c) Review and approval for suitability and adequacy.

Concerned process owner identifies the need for creating and updating documented information through the Document Control Request (DCR) Form, with attached document for creation or updating, both signed by the authorized signatories. DILG-XII follows the following QMS Documentation Responsibility Matrix:

Type of Documents	Initiator / Prepared by	Checked by	Reviewing Authority	Approving Authority
<b>Level 1</b>				
Quality Manual	QMS Structure Members	Deputy QMRs	QMR	Top Management
Organizational Quality Objectives	QMS Structure Members	Deputy QMRs	QMR	Top Management
Functional Quality Objectives	Process Owner/ Division Chief	Deputy QMRs	QMR	Top Management
Quality Policy	QMS Structure Members	Deputy QMRs	QMR	Top Management
<b>Level 2</b>				
Operating Procedures	Process Owner and Division Chief	Deputy QMRs	QMR	Top Management





Type of Documents	Initiator / Prepared by	Checked by	Reviewing Authority	Approving Authority
System Procedures	QMS Secretariat & RIQA Head	Deputy QMRs	QMR	Top Management
<b>Level 3</b> - Supporting Documents				
Work Instructions	Process Owner	Deputy QMRs	QMR	Top Management
Forms	Process Owner	Deputy QMRs	QMR	Top Management
Other Supporting Documents	Process Owner	Division Chief	QMR	Top Management
*RIQA Head as Initiator for the Internal Quality Audit Procedure <b>Note:</b> Identified signatories as initiator, reviewing authority, and approving authority are as specified or any higher positions/designations).				

For Document Code, DILG-XII follows the following DILG-XII QMS Document Coding Scheme:

Document Type	Document Code Format	Sample Document Code
Quality Manual (QM)	<b>QM</b> -Section No.	QM-04 (Section 4 of the QM)
• Quality Procedures (QP)	<b>QP</b> -*-Division Acronym-Series	QP-R12-FAD-01
• Quality Objectives (QO)	<b>QO</b> -QP Code	QO-QP- R12-FAD-01
• Quality Action Plan (QAP)	<b>QAP</b> -QP Code	QAP-QP- R12-FAD-01
• Quality Objectives Monitoring and Evaluation (QME)	<b>QME</b> -QP Code	QME-QP- R12-FAD-01
• System Procedures (SP)	<b>SP</b> -Series	SP-01
• Form (FM)	<b>FM</b> -QP Code-Series <b>FM</b> -SP Code-Series	FM-QP-R12-FAD-01-01 FM-SP-08-01
<b>Note:</b> Only Standard Forms internally generated by DILG XII shall be coded. Codes used for Standard Forms issued by NAP, DBM, COA, CSC, GPPB and other statutory and/or regulatory bodies shall be adopted.  Series in the QP code and Operations Manual code refer to the assigned number in the list of the QMS documentations provided by the QMS Secretariat.		

### 7.5.3 Control of documented information

DILG-XII implements control both for its maintained and retained documented information.

**7.5.3.1** Documented information required by the DILG-XII quality management system and by ISO 9001:2015 are controlled to ensure:

- it is available and suitable for use, where and when it is needed;
- it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

**7.5.3.2** For the control of documented information, DILG XII addresses the following activities, both for the internally and externally generated documented information, as applicable:

- Distribution, access, retrieval and use;
- Storage and preservation, including preservation of legibility;
- Control of changes (e.g. version control);
- Retention and disposition.





DILG REGION XII  
**QUALITY  
MANUAL**

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The Control of Maintained Internal Documented Information Procedure manages and controls the creation, revision, distribution and deletion of internal documents and recall of obsolete copies.


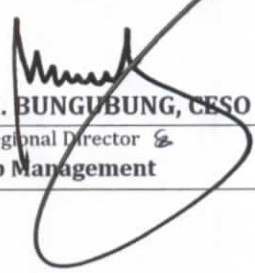
Documented information of external origin determined by the organization to be necessary for the planning and operation of the quality management system shall be identified as appropriate, and be controlled. The Control of Maintained External Documented Information Procedure defines the controls for the acquisition, distribution and recall of obsolete external documents.

Records or documented information retained as evidence of conformity are protected from unintended alterations. The Control of Retained Documented Information Procedure ensures that QMS records are appropriately identified, managed, controlled and maintained.

NOTE: Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

**Relevant Documented Information:**

- Control of Maintained Internal Documented Information
  - Master List of Internal Documents
- Control of Maintained External Documented Information
  - Master List of External Documents
- Control of Retained Documented Information
  - Master List of Records

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## **8. Operation**

### **8.1 Operational Planning and Control**

DILG XII plans, implements and controls the processes needed to meet the requirements for the provision of products and services, and to implement the actions determined during Planning, by:

- determining the requirements for the products and services;
- establishing criteria for the processes and the acceptance of products and services;
- determining the resources needed to achieve conformity to the product and service requirements;
- implementing control of the processes in accordance with the criteria;
- determining, maintaining and retaining documented information to the extent necessary to have confidence that the processes have been carried out as planned; and to demonstrate the conformity of products and services to their requirements.

The output of this planning is suitable for DILG XII's operations and referred to as Operations, Plans, and Budget (OPB) and Office Performance Commitment and Review Report (OPCR). The OPB is prepared annually, however, adjustments/re-alignment is allowed for the second semester. The OPCR is prepare, reviewed and approved every semester.

DILG XII controls planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary. It ensures that outsourced processes are controlled.

DILG XII plans and develops the processes needed for the realization of its two major services as follows:

- Provision of:
  - technical and administrative assistance;
  - oversight function
  - rewards and incentives services

#### **Relevant Documented Information:**

Operations Planning and Budgeting  
SPMS: Performance Planning and Commitment Procedure

### **8.2 Requirements for products and services**

#### **8.2.1 Customer communication**

DILG-XII utilizes appropriate channels to communicate with clients regarding the following:

- products and services being provided by DILG-XII;
- questions/enquiries, contracts or orders, including changes;
- feedback, including customer complaints;
- establishing specific requirements for contingency actions, when relevant



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Such channels include, but are not limited to the following:

- Citizens' Charter
- Website information
- Social Media
- Memos, letters and requests
- Email Service and SMS
- Customer Satisfaction Survey
- Orientations and fora
- Focus Group Discussion and meetings with other stakeholders
- Implementation of Freedom of Information Bill

**Relevant Documented Information:**

External Customer Request and Satisfaction Survey Process and handling of complaints

**8.2.2 Determining the requirements for products and services**

When determining the requirements for the products and services to be offered to customers, DILG XII ensures that:

- a) The requirements for the products and services are defined, including:
  - 1) any applicable statutory and regulatory requirements; and
  - 2) those considered necessary by the organization;
- b) It can meet the claims for the products and services it offers.

**8.2.3 Review of the requirements for products and services**

**8.2.3.1** DILG XII ensures that it has the ability to meet the requirements for products and services to be offered to customers, including:

- a) requirements specified by the customer, including the requirements for delivery and post-delivery activities;
- b) requirements not stated by the customer, but necessary for the specified or intended use, when known;
- c) requirements specified by the organization;
- d) statutory and regulatory requirements applicable to the products and services; and
- e) requirements differing from those previously expressed which must be resolved, if any.

Client's requirements are confirmed by relevant Bureaus and Services before acceptance. Records (retained documented information) include the results of the review and any new requirements for the products and services.

**8.2.2.4 Changes to requirements for products and services**

DILG XII ensures that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.





### **8.3 Provision of Capacity Development and Technical Assistance Through Training, Coaching and Mentoring**

#### **8.3.1 General**

DILG XII thru the Divisions/Units develops procedures to ensure that the mandated programs, projects and activities of the Department undertaken at the Regional level are responsive to the needs of its clients (LGUs). Such procedures include the provision of rollout training/orientation, coaching and mentoring which are carried out through the controls specified in the requirements of ISO 9001:2015 to ensure the subsequent provision of quality assistance and services to its clients.

Relevant Documented Information:

Provision of Capacity Development Through Training  
Provision of Technical Assistance Through Coaching and Mentoring

#### **8.3.2 Activity Design and Implementation Procedure**

In determining the stages and controls for the preparation and implementation of activities on training, coaching and mentoring the concerned Division/Units of the DILG XII considers:

- a) the identification of the target participants for the Activity;
- b) the duration, scale or magnitude and complexity of the activities to undertake;
- c) the required funding, supplies and materials for the activity;
- d) the responsibilities and authorities involved for its implementation and approval;
- e) the internal and external resource needs for the activity; and
- f) the documented information needed to demonstrate that the activity design requirements have been met such as preparatory and post evaluation questionnaire.

Relevant Documented Information:

Activity Design  
Provision of Capacity Development Through Training Procedure  
Provision of Technical Assistance Through Coaching and Mentoring Procedure



## **8.4 Control of externally provided Processes, Products and Services**

### **8.4.1 General – Procurement Process**

DILG XII ensures that externally provided processes, products and services conform to requirements (specifications) and complies with the Procurement Law (RA 9184, its implementing rules and regulations) and COA's audit rules and regulations. It determines the controls to be applied to externally provided processes, products and services relevant to its products and services. For planning purposes, an Annual Procurement Plan (APP) and Project Procurement Management Plan (PPMP) are prepared, reviewed, and approved which serves as authority document for DILG XII 's procurement activities.

DILG-XII, through the Bids and Awards Committee (BAC) evaluates and selects external providers (suppliers) based on their ability to supply / provide processes, products and services in accordance with specifications. Relevant criteria for the evaluation, selection, monitoring of performance and re-evaluation of external providers were determined and applied based on their ability to provide processes or products and services in accordance with requirements. Also, as part of the requirement, external providers (suppliers), with intention to transact business with DILG, shall be duly registered as eligible suppliers.

Appropriate documented information of these activities and any necessary actions arising from the evaluations are retained.

### **8.4.2 Type and extent of control**

DILG XII ensures that externally provided processes, products and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customers and:

- a) ensures that externally provided processes remain within the control of its quality management system;
- b) defines both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;
- c) takes into consideration:
  - 1) the potential impact of the externally provided processes, products and services on the organization's ability to consistently meet customer and applicable statutory and regulatory requirements; and
  - 2) the effectiveness of the controls applied by the external provider;
- d) determines the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements. Purchased products/services are subject to inspection by Property Officer and Technical Property Inspector prior to acceptance by concerned Supply Officers

### **8.4.3 Information for external providers**

DILG XII ensures the adequacy of requirements prior to their communication to external providers as specified in appropriate forms, such as Purchase Requests (PR), Purchase Orders (PO), Terms of References (TORs)/Request for Quotation, and Contracts, whichever is applicable, depending on the product or service for procurement, which are duly reviewed and approved. These forms describe the process, products or services to be purchased including, where appropriate, and thus communicates to external providers its requirements for:



- a) the processes, products and services to be provided;
- b) the approval of:
  - 1) products and services;
  - 2) methods, processes and equipment; and
  - 3) the release of products and services;
- c) competence, including any required qualification of persons;
- d) the external providers' interactions with DILG XII and its personnel;
- e) control and monitoring of the external providers' performance to be applied by the organization; and
- f) verification or validation activities that the organization, or its customer, intends to perform at the external providers' premises.

The DILG XII through the Procurement Process and the Bids and Awards Committee ensures the adequacy of the purchasing/procurement information prior to communication to the external provider/supplier.

**Relevant Documented Information:**

Annual Procurement Plan  
Project Procurement Management Plan

## **8.5. Operation and Service provision**

### **8.5.1 Control of Operation and Service Provision**

DILG XII implements operation and service provision under controlled conditions. Controlled conditions include, as applicable:

- a) the availability of documented information that defines:
  - 1) the characteristics of the services to be provided, or the activities to be performed; and
  - 2) the results to be achieved;
- b) the availability and use of suitable monitoring and measuring resources, where needed;
- c) the use of suitable infrastructure and environment for the operation of processes;
- d) the appointment of competent persons, including any required qualification.
- e) the implementation of actions to prevent human error; and
- f) the implementation of release, delivery and post-delivery activities.

**Relevant Documented Information:**

- Conduct of Fact-Finding Investigation
- Administration of Customer Satisfaction Survey and Handling of Complaints
- Rendition of Legal Opinion
- Provision of Capacity Development through Training
- Provision of Technical Assistance thru Coaching and Mentoring





- Endorsement of Application for Study Grant of local officials and employees
- Issuance of Certificate of Incumbency of Local Officials
- Processing of Barangay Officials Request for Certificate of Services Rendered for CSC Eligibility
- Document Review and Provision of Comments and Recommendations
- Processing of Endorsement for Death Benefit Claim of Barangay Officials
- Processing of Requests for the Issuance of Certificate of Good Financial Housekeeping
- Processing of Requests for the Issuance of Certification of Compliance to Full Disclosure Policy (FDP) for endorsement to Central Office
- Issuance of Certificate of Review and Endorsement of LGU's GAD Plan and Budget (GPB)
- Monitoring and Evaluation of LGU Compliance to Local Governance Policies
- Processing of LGU Request for Approval of Additional Confidential Fund for Endorsement to Central Office
- Processing of LGU Request for Authority to Purchase of Motor Vehicle for Endorsement to Central Office
- Implementation of Ombudsman, Sandiganbayan, OP, COMELEC Decisions, Orders and Resolutions
- Seal of Good Local Governance (SGLG) Assessment
- Implementation of Lupong Tagapamayapa Incentives and Awards (LTIA) implementation
- Posting of information to DILG-RO12 website and social media accounts
- Review of Technical Documents for LGUs' Locally Funded Projects (LFPs) and Performance Challenge Fund (PCF)
- Acquiring, storing and maintenance, and accessing of knowledge products at the LGRRC
- Provision of technical assistance and conduct of annual preventive maintenance activity on ICT resources
- PPA Monitoring and Reporting
- Monitoring and evaluation of Infrastructure projects
- Monitoring and Reporting of Barangay Full Disclosure Policy
- Updating and Maintaining of Masterlist for Barangay Officials Database System
- Monitoring of the Organization of MASAMASID Teams (MMTs) and Community Rehabilitation Network (CRN) Reporting Procedure

### 8.5.2 Identification and traceability

Concerned processes and process owners in each operating unit (divisions, field/provincial/city offices) of DILG XII uses suitable means to identify outputs and their status throughout operation and service provision, when it is necessary, to ensure the conformity of its services.

The Operating units (divisions, field/provincial/city offices) provide and control the unique identification of the outputs when traceability is a requirement, and retains the documented information necessary to enable traceability. Appropriate identification and traceability control number, as maybe applicable, is provided to pertinent records and documents resulting from the core services provided by DILG XII as follows: (The coding scheme is specified in the respective Quality Procedures (QPs) of the Services).

- Rendition of Legal opinions
- Administration of Customer Satisfaction Survey and Handling of complaints
- Processing of LGU request for authority to purchase of motor vehicle for endorsement to Central Office



- Processing of requests for the issuance of Certification for Compliance to Full Disclosure Policy (FDP) for endorsement to Central Office
- Processing of requests for the issuance of Certificate of Good Financial Housekeeping

### 8.5.3 Preservation

The control and preservation of outputs and materials (office supplies, accountable forms, and related QMS materials) are delegated to the designated Supply Officers of each division/office which are then responsible for the safekeeping, protection, and issuance of these materials to ensure conformity to requirements.

#### Relevant Documented Information:

Financial Statement (Trial Balance): Assets-Non Current  
Physical Inventory of Property, Plant and Equipment (PPE)  
Annual Procurement Plan

### 8.5.4 Post-delivery activities (part of exclusion)

DILG XII and its operating units (divisions, field/provincial/city offices) meet requirements for post-delivery activities associated with the programs, projects and services.

In determining the extent of post-delivery activities that are required, DILG XII considers:

- a) statutory and regulatory requirements;
- b) the potential undesired consequences associated with its products and services;
- c) the nature, use and intended lifetime/duration of its programs, projects and services;
- d) customer requirements; and
- e) customer feedback.

Post-delivery activities can include services related to completed projects and programs.

### 8.5.5 Control of changes

DILG XII controls changes for operation or service provision, to the extent necessary to ensure continuing conformity with requirements and retains documented information describing the results of the review of changes, the person(s) authorizing the change, and any necessary actions arising from the review. Where necessary, changes to programs and plans is covered with a policy and/or activity design.

### 8.6 Release of products and services

DILG XII implements planned arrangements, at appropriate stages, to verify that the service requirements have been met. The release of services to the customer does not proceed until the planned arrangements have been satisfactorily completed and approved, unless otherwise approved by a relevant authority and, as applicable. Documented information on the release of products and services are retained, which include:



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- a) evidence of conformity with the acceptance criteria; and
- b) traceability to the person(s) authorizing the release.

### 8.7 Control of Nonconforming Outputs

The DILG-XII identifies and controls non-conforming outputs (e.g. typographical errors and errors resulting from processing lapses) to prevent their unintended use or delivery and adequately controls such, in accordance with the documented procedure including the disposition actions and responsibilities, and identifies the authority deciding the action in respect of the nonconformity. This also applies to nonconforming products and services detected after delivery, during or after the provision of services. DILG XII deals with nonconforming outputs in one or more of the following ways:

- a) correction;
- b) segregation, containment, return or suspension of provision of products and services;
- c) informing the customer; and
- d) obtaining authorization for acceptance under concession.

Conformity to the requirements is verified when nonconforming outputs are corrected. Disposition or recommended action may be replacement, reprocessing, or other actions of which status of implementation is verified by the respective Heads of Office. DILG XII retains documented information that describes the nonconformity, the actions taken,

#### Relevant Documented Information:

Control of Non-Conforming Outputs Procedure

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## **9. Performance Evaluation**

### **9.1 Monitoring, Measurement, Analysis and Evaluation**

#### **9.1.1 General**

DILG Region XII evaluates the performance and the effectiveness of the quality management system. It plans and implements the monitoring, measurement, analysis, and evaluation processes needed to demonstrate conformity to service requirements, ensure conformity of the QMS; and continually improve the effectiveness of the QMS. It determines:

- what needs to be monitored and measured;
- the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;
- when the monitoring and measuring shall be performed; and
- when the results from monitoring and measurement shall be analyzed and evaluated.

Appropriate documented information is retained as evidence of the results. The different operating units undertake its respective performance evaluation processes to monitor, measure, analyze and evaluate the different aspects of the operations of the Department.

#### **Relevant Documented Information:**

Review of Technical Documents for LGUs' Locally Funded Projects (LFPs) and Performance Challenge Fund (PCF)  
SPMS: Performance Review and Evaluation Procedure  
Risk-based monitoring and evaluation procedure  
Process Performance Monitoring and Measurement  
Preparation and Submission of Financial Accountability Reports  
Monitoring and Evaluation of Infrastructure Projects  
PPA Implementation and Monitoring and Reporting  
Monitoring and Evaluation of LGU Compliance to Local Governance Policies  
PPA Monitoring and Reporting  
Monitoring and evaluation of Infrastructure projects  
Monitoring and Reporting of Barangay Full Disclosure Policy  
Updating and Maintaining of Masterlist for Barangay Officials Database System  
Monitoring of the Organization of MASAMASID Teams (MMTs) and Community Rehabilitation Network (CRN) Reporting Procedure

#### **9.1.2 Customer Satisfaction**

DILG XII monitors customers' perceptions of the degree to which their needs and expectations have been fulfilled. Methods for obtaining, monitoring and reviewing this information is established and implemented by the concerned Bureaus and Services using customer satisfaction survey to monitor the client's perception and satisfaction on the services it received.

#### **Relevant Procedures:**

Administration of Customer Satisfaction Survey and handling of complaints



### 9.1.3 Analysis and Evaluation

DILG XII analyzes and evaluates appropriate data and information arising from monitoring and measurement.

The results of analysis shall be used to evaluate:

- a) conformity of products and services;
- b) the degree of customer satisfaction;
- c) the performance and effectiveness of the quality management system;
- d) if planning has been implemented effectively;
- e) the effectiveness of actions taken to address risks and opportunities;
- f) the performance of external providers; and
- g) the need for improvements to the quality management system.

## 9.2 Internal Quality Audit

**9.2.1** DILG XII plans and conducts internal audits every six months to provide information on whether the quality management system:

- a) conforms to:
  - 1) the organization's own requirements for its quality management system; and
  - 2) the requirements of ISO 9001:2015; and
- b) is effectively implemented and maintained.

**9.2.2** DILG XII:

- a) plans, establishes, implements and maintains an audit program including the frequency, methods, responsibilities, planning requirements and reporting, which takes into consideration the importance of the processes concerned, changes affecting the organization, and the results of the previous audit;
- b) defines the audit criteria and scope for each audit;
- c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- d) ensure that the results of the audits are reported to management;
- e) takes appropriate correction and corrective actions without undue delay;
- f) retains documented information as evidence of the implementation of the audit programme and the audit results.

Specifically, DILG XII conducts the following activities relevant to internal quality auditing:

#### Planning and scheduling

An audit program is prepared including the audit criteria, scope for each audit, frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the



importance of the processes concerned, changes affecting the organization, and the results of previous audits.

#### Audit team and preparation for audit

To ensure objectivity and the impartiality of the audit process, the Regional Internal Quality Auditors (RIQA) performs the IQA of the overall QMS. The Regional Legal Officer leads the RIQA team.

Auditors prepare for audits by reviewing applicable standards and procedures, analyzing quality records, and preparing audit checklists.

#### Conducting the audit

In conducting the audit, auditors seek objective evidence indicating whether the subject areas of audit comply with the requirements of the QMS, and whether effectively implemented and maintained. The evidence is collected through observation, interview of personnel, and examination of records and documents.

Nonconformities, potential nonconformities, and opportunities for improvement are reported through the issuance of Corrective Action Report (CAR).

The audit findings and conclusions are reported to relevant management and presented to the auditees in the closing meeting.

Records of the audits and their results are maintained in accordance with the established procedure on control of records.

#### Verification of Action Plan Implementation and Effectiveness

The concerned office being audited determines the necessary corrections and corrective/preventive actions detailing the activities, responsible person, and timeline duly accepted by the RIQA Head and ensures that actions are taken without undue delay to eliminate detected non-conformities and their causes.

Implementation and effectiveness of actions taken are verified in the next audit. If non-recurrence of the root cause is verified, the CAR is closed out duly approved by the RIQA Head. Verification can happen more than once if the initial verification does not provide evidence of recurrence of the root cause.

#### Reporting

An Audit Summary is prepared for every Provincial/HUC Office. The Regional Internal Quality Audit Report contains the audit findings and conclusions is prepared with attachments of the issued CPARs to form the RIQA audit report and submitted to the DILG-XII QMR for approval.

#### **Relevant Documented Information:**

Internal Quality Auditing Procedure





## 9.3 Management Review

### 9.3.1 General

DILG-XII's Management Review Committee reviews the performance of the QMS every six months or as deemed necessary to evaluate the continuing adequacy, suitability, effectiveness and alignment to the strategic direction of the organization. Records of Management Reviews are controlled by the QMS Secretariat.

### 9.3.2 Management review inputs

The management review is planned and carried out taking into consideration:

- a) the status of actions from previous management reviews;
- b) changes in external and internal issues that are relevant to the quality management system;
- c) information on the performance and effectiveness of the quality management system, including trends in:
  - 1) customer satisfaction and feedback from relevant interested parties;
  - 2) the extent to which quality objectives have been met;
  - 3) process performance and conformity of products and services;
  - 4) nonconformities and corrective actions;
  - 5) monitoring and measurement results;
  - 6) audit results; and
  - 7) the performance of external providers;
- d) the adequacy of resources;
- e) the effectiveness of actions taken to address risks and opportunities; and
- f) opportunities for improvement.

### 9.3.2 Management Review Outputs



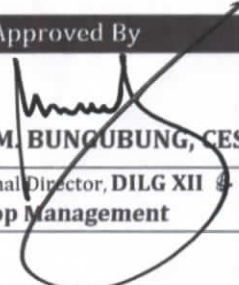
The outputs of management review include decisions and actions related to:

- a. Opportunities for improvement
- b. Changes in the QMS, policies and objectives
- c. Changes in resource requirements
- d. Other actions deemed necessary by Management

Documented information is retained (records) as evidence of the results of management reviews.

### Relevant Documented Information:

Management Review Procedure

Prepared By	Reviewed By	Approved By
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## CORRESPONDENCE BETWEEN DILG-XII QUALITY MANUAL, ISO 9001:2015 STANDARD AND ANNEX GQMC MC2016-01 D SUGGESTED OUTLINE

DILG-XII Quality Manual		ISO 9001:2015 Standard		Annex to GQMC MC2016-01 D Suggested Outline	
<b>Introduction</b>	<b>QM-01</b>			I.	Introduction on the Manual (scope of the Operations Manual, content, system of amendment and revision, distribution)
Purpose	1.1				
Content	1.2				
Amendment/Revision	1.3				
Distribution	1.4				
<b>Definition of Terms</b>	<b>QM-02</b>			II.	Definition of terms and acronyms
<b>Organizational Background</b> <i>(Title only)</i>	<b>QM-03</b>			III.	General Information about the Agency and the Selected Areas of Operation
The DILG	3.1				
History and the DILG	3.1a				
Mandate	3.1b				
Vision, Mission, Goals, Objectives					
The DILG XII	3.2				
DILG-CO Mission	3.2a				
DILG- CO Core Values	3.2b				
<b>Context of the Organization</b> <i>(Title only)</i>	<b>QM-04</b>	<b>4</b>	<b>Context of the Organization</b> <i>(Title only)</i>	IX	Description of the organizational context, e.g. PESTLE, SWOT or other framework or tool to analyse and monitor internal and external issues that have impact in the organization
Internal and External Issues	4.1	4.1	Understanding the organization and its context		
Interested Parties	4.2	4.2	Understanding the needs and expectations of interested parties	XI	Description of key stakeholders and their requirements and expectations
DILG-CO QMS Scope	4.3	4.3	Determining the scope of the quality management system	VI	Statement of QMS Scope, including the Process Model/Map showing the processes, products and services covered by the QMS
ISO 9001:2015 Applicability to DILG XII's QMS	4.3a			VII	Justification for ISO 9001 requirement(s) that is (are) not applicable to the scope of the QMS, if there is any
DILG-XII Quality Management System and its processes	4.4	4.4	Quality management systems and its processes		
DILG-XII's Business Process Map	4.4.1a				
Description of the DILG XII QMS Processes	4.4.1b				



Republic of the Philippines

**DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT**

**Region XII**

DILG-XII Quality Manual		ISO 9001:2015 Standard		Annex to QMC MC2016-01 D Suggested Outline	
Responsibility for DILG XII's QMS Processes	4.4.1c				
Controls over QMS Processes	4.4.1d				
<b>Leadership (Title only)</b>	<b>QM-05</b>	<b>5</b>	<b>Leadership (Title only)</b>		
Management Commitment	5.1	5.1	Leadership and Commitment		
Client/Customer Focus	5.1.2	5.1.2	Customer Focus		
Quality Policy (Title only)	5.2	5.2	Policy (Title only)		
Establishing the DILG-CO Quality Policy	5.2.1	5.2.1	Establishing the quality policy		
Communicating the DILG-XII Quality Policy	5.2.2	5.2.2	Communicating the quality policy		
The DILG-XII Quality Policy	5.2.2a				
Organizational roles, responsibilities and authorities	5.3	5.3	Organizational roles, responsibilities and authorities	IV	Organizational Structure and Responsibilities of Relevant Roles (indicates the organizational structure, duties and responsibilities of relevant roles)
The DILG-XII QMS Organizational Structure	5.3a			V	Operational Control and Supervision (describes the powers of authority, supervisory and operational controls)

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## **10. Improvement**

### **10.1 General**

DILG XII determines and selects opportunities for improvement and implements any necessary actions to meet customer requirements and enhance customer satisfaction. These include:

- a) improving products and services to meet requirements as well as to address future needs and expectations;
- b) correcting, preventing or reducing undesired effects; and
- c) improving the performance and effectiveness of the quality management system.

Examples of improvement can include correction, corrective action, continual improvement, breakthrough change, innovation and re-organization.

### **10.2 Non-Conformity and Corrective Action**

DILG XII carries out correction and corrective action. When a nonconformity occurs, including any arising from complaints, DILG XII:

- a) reacts to the nonconformity and, as applicable, take action to control and correct it, and/or deal with the consequences;
- b) evaluates the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: reviewing and analyzing the nonconformity; determining the causes of the nonconformity; determining if similar nonconformities exist, or could potentially occur;
- c) implements any action needed;
- d) reviews the effectiveness of any corrective action taken;
- e) updates risks and opportunities determined during planning, if necessary; and
- f) makes changes to the quality management system, if necessary.

The need for corrective action is determined on the basis of identified actual nonconformities through the findings of internal quality audit or external audit or on reported unmet quality objectives through the results of the process performance monitoring and measurement. Corrective action requests are likewise triggered by such events as client/customer complaint, or a management review output or directive and other lapses or deviation identified. This need identification is stated in the Corrective Action Report (CAR) issued by the IQA Team for audit related areas or the Deputy QMR through the QMS Secretariat for non-audit related areas.

Corrective actions are appropriate to the effects of the nonconformities encountered.

DILG XII retains documented information as evidence of the nature of the nonconformities and any subsequent actions taken and the results of any corrective action.



DILG REGION XII  
**QUALITY  
MANUAL**

Document Code		
<b>QM-R12-10</b>		
Document Title		
<b>Improvement</b>		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 2

**Relevant Documented Information:**

Process Performance Monitoring and Measurement Procedure  
Internal Quality Auditing Procedure  
Corrective Action Procedure  
Management Review Procedure  
Administration of Customer Satisfaction Survey and Handling of Complaints

**10.3 Continual Improvement**

DILG XII continually improve the suitability, adequacy and effectiveness of the quality management system. DILG XII considers the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.

DILG XII adopts a continual improvement philosophy throughout the entire organization. The improvement effort is driven by the quality policy, quality objectives, audit results, performance results, corrective and preventive actions, management review, customer/client feedback, risk and risk controls, and other catalysts for positive change.

Improvement opportunities are identified by analyzing quality performance data and information as well as information on client/customer satisfaction. Causes of identified nonconformities determined and corrective actions are implemented to ensure that these causes do not recur. Preventive actions are implemented to eliminate the causes of potential nonconformities. Corrective and preventive actions taken are recorded and are followed up to ensure that they have been properly implemented and that they are effective.

Quality performance is evaluated by performance measurement and monitoring of the quality management system. When quality performance falls short of a defined objective, the operating unit concerned identifies and implements specific actions to address the cause of the non-attainment. When a quality objective is achieved, the management may, at its discretion, set a new or higher objective in this area and identifies improvements for achieving it.

**Relevant Documented Information:**

Correction and Corrective Action Procedure  
Services complaints handling procedure  
Administration of Customer Satisfaction Survey and Handling of Complaints

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