PROCEDURE TITLE	**RENDITION OF LEGAL OPINION**
SCOPE	The procedure starts from the receipt of a request from any interested party for the interpretation of certain provisions of law or issuances related to local government administration and operations up to either release of the approved legal opinion to the requesting party, copy furnished the concerned Provincial Director and/or Local Government Operations Officer or referral to the Central Office.
PURPOSE	To clearly define the process of rendering legal opinion and providing administrative guidance.

PROCESS DESCRIPTION

INPUT	PROCESS	OUTPUT
Requesting Party → Letter-request	RENDITION OF LEGAL OPINION	→ Legal Opinion or Referral to Central Office → Requesting Party or Central Office

DESCRIPTIVE STATEMENT:

A letter or any form of written communication is received by the Regional Office from any interested party requesting clarifications or opinions on matters affecting local government administation and operations, including the acts of local officials and employees. The Regional Director forwards the letter-request to the Regional Legal Officer for appropriate action. The draft opinion/reply is reviewed by the Assistant Regional Director and forwarded to the Regional Director for approval.

Approved legal opinion or reply is then transmitted to the requesting party, through the concerned provincial office and cluster head.

If the subject of inquiry is complex and does not fall within the authority of the Regional Office to answer, the request for opinion shall be forwarded to the Central Office for appropriate action.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	**Records Officer**	Receipt of the request for opinion	Receives and logs into records the letter/communication Attaches the routing slip Forwards to the Office of the RD/ARD	Letter-request Routing Slip Logbook for Incoming Communications (Records)
2	**RD/ARD**	Instructions	Provides instructions to the Legal Officer	Letter-request Routing Slip ARD/ORD Logbook

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
3	**Legal Assistant**	Receipt of the Letter-Request with Instructions	Records the letter-request into the office logbook Tenders to the Legal Officer for action	Letter-request Routing Slip Legal Office Logbook (Incoming)
4	**Legal Officer**	Preparation of the Legal Opinion	Drafts the legal opinion or Central Office referral in response to the letter-request Transmits to ARD for review	Draft legal opinion or administrative advice Legal Office Logbook (Outgoing)
5	**Asst. Regional Director**	Review of the Opinion	Affixes his initial, if satisfactory, and transmits to Regional Director for approval/signature Otherwise, return to Legal Office for revision (back to step #4)	Draft legal opinion or administrative advice
6	**Regional Director**	Approval of the Opinion	Approves the document by affixing signature after review Return approved documents to Legal Office	Approved legal opinion or administrative advice Legal Office Logbook (Outgoing))
7	**Legal Assistant**	Release of the Opinion	Forwards the documents to Records Office for release to requesting party, through the Provincial Office concerned or to the Central Office	Approved legal opinion or administrative advice Legal Office Logbook for outgoing
8	**Records Officer**	Release of the Opinion	Logs the approved legal opinion or referral and releases the same	Approved legal opinion or administrative advice Records Logbook for outgoing
9	**Legal Unit**	Retention of Records	Retains records in accordance with the Control of Retained	Control of DI procedure

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Documented Information procedure and the Master List of Records	Master List of Records

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Process Owner	**Deputy QMR**	**Regional QMR**

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DILG REGION V

QUALITY OBJECTIVE (QO)

Document Code
QO-QP-RO5-LEGAL-07

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OFFICE	Regional Legal Office
QUALITY PROCEDURE TITLE	RENDITION OF LEGAL OPINION

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
Render Opinion on matters related to local government administration and operations to the requesting party or provide a referral to the Central Office, in cases where the issues involved are complex and outside the authority of the Regional Office to answer.	To render legal opinion or to provide referrals to the central office on all requests for opinion received by the Regional Office	85% of legal opinions rendered or Central Office Referrals provided on all requests for guidance.	No. of request for Legal Opinions acted upon/rendered/referred to Central Office _____ x 100% No. of Requests for legal opinion received	Quarterly	• Regional Director • Legal Officer/ Staff • QMS Secretariat	Regional Office Logbook/Legal unit Logbook/ Log sheet

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Process Owner	Division Chief/Next Higher Supervisor	Deputy QMR	Regional QMR

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DILG REGION V

PROCESS QUALITY MONITORING AND EVALUATION (QME)

Document Code		
QME-QP-RO5-LEGAL-07		
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OFFICE	REGIONAL LEGAL OFFICE
PROCEDURE TITLE	RENDITION OF LEGAL OPINION
OBJECTIVE STATEMENT	1. 85% of legal opinions rendered or Central Office Referrals provided on all requests for guidance.
CURRENT PERIOD	

	INDICATORS		Period 1	Period 2	Period 3	Period 4	Period 5	Period 6	Period 7	Period 8	Period 9	Period 10	Period n[th]	Total
Objective : 85% of legal opinions rendered or Central Office Referrals provided on all requests for guidance.														
A	No. of Legal Opinions or Central Office referrals issued													
B	No. of requests for LO received													
C	Formula: A/B x 100%	Target Result :85%												
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)													

Note: For unmet targets of two (2) consecutive periods, concerned Deputy QMR initiate correction and corrective action using the Corrective Action Report (CAR) and attach it to this form.

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DILG-REGION V

RENDITION OF LEGAL OPINION AND ADMINISTRATIVE GUIDANCE PROCESS SUMMARY LOGSHEET (PSL)

FM-SP-RO5-08-01
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QUALITY OBJECTIVE: 85% of Request for Legal Opinion and Administrative Assistance have been acted upon within the period prescribed by competent authority
FREQUENCY OF MONITORING : QUARTERLY
CURRENT PERIOD:

No.	Logbook Transaction No.	Source of request	Issues/Concerns	Action			Results			
				Date Received	Date LO or Referral is Released	Due date for reply	Met	Unmet	NPY (No Performance Yet)	REMARKS (Indicate reason if Target is unmet or NPY)
		Total					0	0		0
		Result = Met/ TQP - NPY No. of QP for the month								

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Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
DILG Regional Office No. 5, Rizal St. Legazpi City
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Document Code		
FM-SP-RO5-01B-01		
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Name of Bureau/Service/Division: ORD- Legal Unit

MASTER LIST OF MAINTAINED EXTERNAL DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION/EDITION					
(Procedure)							
Rendition of Legal Opinions							
DILG Memorandum Order No. 2010-01 dated March 4, 2010	REQUESTS FOR LEGAL OPNION FROM THE DILG CENTRAL OFFICE	2010					
DILG Memorandum Circular No. 2010-02 dated September 17, 2010	SUPPLEMENT TO MEMORANDUM ORDER NO. 2010-01 DATED MARCH 4, 2010	2010					

Prepared By	Noted By
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PROCESS OWNER	**REGIONAL QMR**

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DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
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Name of Bureau/Service/Division: Legal Unit

MASTER LIST OF MAINTAINED INTERNAL DOCUMENTSED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
RENDITION OF LEGAL OPINION							
	Replies/Opinions	10.02.17					
FM-SP-RO5-08-01	Log Sheet	10.02.18					
QP-RO5-LEGAL-07	Quality Objective	10.02.20					
QME-QP-RO5-LEGAL-07	Process Quality Monitoring and Evaluation	10.02.21					

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Republic of the Philippines

DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT

DILG Regional Office No. 5, Rizal St., Legazpi City

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Name of Bureau/Service/Division: Legal Unit

MASTER LIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
Control of Document Procedure									
	Replies/Opinions	Legal Unit	QMS Shelf 3	Replies/Opinions	By Province	3 years	5 years	8 years	Shedding
Process Performance Monitoring and Measurement Procedure									
FM-SP-RO5-08-01	Log Sheet	Legal Unit	QMS Shelf 3	Log Sheet	By date	3 years	3 years	6 years	Shredding/Re-use
QP-RO5-LEGAL-07	Quality Procedure	Legal Unit	QMS Shelf 3	QMS Documents					
QP-RO5-LEGAL-07	Quality Objective	Legal Unit	QMS Shelf 3	QMS Documents					
QME-QP-RO5-LEGAL-07	Quality Monitoring and Evaluation	Legal Unit	QMS Shelf 3	QMS Documents	By date				
Management Review Procedure									
DILG Memorandum Order No. 2010-01 dated March 4, 2010	REQUESTS FOR LEGAL OPNION FROM THE DILG CENTRAL OFFICE	Legal Unit	QMS Shelf 3	Memorandum Circulars	By date				Shredding/Re-use
DILG Memorandum Circular No. 2010-02 dated September 17, 2010	SUPPLEMENT TO MEMORANDUM ORDER NO. 2010-01 DATED MARCH 4, 2010	Legal Unit	QMS Shelf 3	Memorandum Circulars	By date				

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QMS Planning Procedure									

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(Document Code)
Rev. No.
Date:

RISK REGISTER

REGION BIKOL REGION 5 — Original Date October 2, 2017 — RR Co PUR-01

Revision <#> / 0

PROCESS Conduct of Fact-Finding Investigation

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES (refer to IP Matrix for Requirements)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT								RISK CONTROL PLAN			
							IMPACT	LIKELIHOOD	DETECTION	RATING	RISK LEVEL (L, M, H)	S, NS	RISK CONTROL ACTIO	RPN (Risk Priority No.)	ACTION PLAN (If risk rating is significant)	RESPONSIBLE	TIMELINE	RESOURCE
All Orders for Fact-Finding investigation must be conducted within the period prescribed by the Central Office	The bulk of order for fact-finding may be too many for a particular period and geographical locations may cause difficulty in the conduct of fact finding within the period prescribed; Lack of personnel and political issues:	clients	Non-availability of officers who will conduct the Fact-Finding; Voluminous orders for verification; weather condiction and geographical and political issues	Nature of Order for Fact-Finding; Lack of personnel and geographical location of the subject for verification/ fact-finding	Delayed action on the Fact-Finding Investigation	Delegation of authority to Provincial Directors and field personnel to assist and conduct fact-finding investigation	3	4	2	24		NS	None	3	NA	NA	NA	NA

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All reports of investigations conducted released to the Central Office within the period prescribed by the Central Office.	The period to release the compliance reports may not be followed due to logistical reasons (snail mail or physical transfer of the files consume a lot of time considering that there are island provinces)	clients	Non-availability of couriers; gail and storm warnings preventing sea transport; no internet in remote areas	Unfavorable weather condition; Lack of couriers; slow to no internet reception	Delayed preparation and release of Special reports	Use of internet is sending authentic electronic copies of the compliance reports and other supporting documents	3	5	2	30		NS	None	2	NA	NA	NA	NA

RISK ASSESSMENT:		RISK	RISK		RISK	ACTION REQUIRED	RPN
IMPACT:	1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extren	1 - 25	LOW		Not Significant	No further action required (Retain risk by Inf	3
LIKELIHOOD:	1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Cert	26-40	MODERATE		Not Significant	Alert level but no further action required for	2
DETECTION	1 - Very likely, 2 - Likely; 3 - Low, 4 - Remote 5 - Very r	>40	HIGH		Significant	Control (e.g.. Treat/Mitigate Transfer, Termin	1
Risk Rating = Impact X Likelihood X Detection							

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RISK REGISTER

DIVISION **OFFICE OF THE REGIONAL DIRECTOR (LEGAL UNIT)** Original Date Prepared: December 6, 2017 **PUR-01**

Revision <#> / Date

PROCEDURE: **RENDITION OF LEGAL OPINION**

PROJECT: *(applicble only for projects)*

PROCESS STEP (Based on the procedure's key process steps)	**POTENTIAL RISK**	**RISK TRIGGER**	**CONSEQUENCE** *(Positive or Negative)*	**EXISTING RISK CONTROL MEASURE**	**RISK ASSESSMENT**								**RISK CONTROL PLAN**			
					IMPACT	**LIKELIHOOD**	**DETECTION**	**RATING**	**RISK LEVEL** (L, M, H)	**S, NS**	**RPN** *(Risk Priority No.)*	**RISK CONTROL ACTION**	**ACTION PLAN** (If risk rating is significant)	**RESPONSIBLE**	**TIMELINE**	**RESOURCE**
Receipt of request for opinion	Non availability of the Records Unit to receive the request	lack of personnel to receive the request and multiple functions being done	delayed receipt	Additional manpower compliment to the Records Unit	1	2	2	1		NS	3	No action required	N/A	N/A	N/A	N/A
Provide Instructions	Non availability of the RD/ARD due to multiple functions	no deisgnated officer in charge	delayed receipt of request	Designated Officer-In-charge, in case of absence of certain officials, to handle matters relative to requests for opinion	2	4	2	16		NS	3	No action required	N/A	N/A	N/A	N/A
Receipt of Instructions	Misplaced documents	performace of multiple tasks	lost documents	Provided specific control log books and procedures to ensure safety and security of documents	4	2	1	8		NS	3	No action required	N/A	N/A	N/A	N/A

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Preparation of legal opinion	Complexity of issues raised; Misplaced documents	performace of multiple tasks, work overload	lost documents, delayed or non-preparation of opinion	Provided specific control log books: Refer issue to Central Office for appropriate advise	4	2	1	8		NS	3	No action required	N/A	N/A	N/A	N/A
Approval of opinion rendered	Non availability of the RD/ARD due to multiple functions	no deisgnated officer in charge	delayed receipt of opinion	Designated Officer In-charge, in case of absence of certain officials	2	4	2	16		NS	3	No action required	N/A	N/A	N/A	N/A
Forward to Records	Misplaced documents	performace of multiple tasks	lost documents, delayed release of opinion	Provided specific control log books and procedures to ensure safety and security of important documents	4	2	1	8		NS	3	No action required	N/A	N/A	N/A	N/A

RISK ASSESSMENT:	RISK RATING	RISK LEVEL	RISK	ACTION REQUIRED	RPN
IMPACT: 1-Insignificant; 2-Minor;	1 - 25	LOW	Not Significant	**No further action required** (Retain risk by informed	3
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Mo	26-40	MODERATE	Not Significant	**Alert** level but no further action required for now	2
DETECTION 1 - Very likely, 2 - Likely;	>40	[illegible]	Significant	**Control** (e.g.. Treat/Mitigate Transfer, Terminate)	1
Risk Rating = Impact X Likelihood X Det					

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