



DILG REGION V
**QUALITY
PROCEDURE (QP)**

Document Code

QP-R05-ORD-08

Rev. No.

00

Eff. Date

07.01.19

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PROCEDURE TITLE	PREPARATION OF ANNUAL OPERATIONS PLAN AND BUDGET	
SCOPE	This process starts from review of the approved Planning Guidelines issued by the Planning Service to setting of targets and indicators and ends with the preparation and approval of the annual Operations Plan and Budget of DILG V	
PURPOSE	To formulate the annual OPB reflecting the agreed targets of each operating Units/Divisions and Provincial offices, based on the approved Planning Guidelines. This will serve as the blue print/basis in implementing the various programs and activities annually and the OPB will be one of the references in measuring individual and agency performance.	
PROCESS DESCRIPTION		
INPUT		OUTPUT
PLANNING SERVICE	Planning Guidelines	Regional AOPB Central Office; Regional, Provincial Office/MLGOO
PROCESS		
PREPARATION OF ANNUAL OPERATIONS PLAN AND BUDGET		
DESCRIPTIVE STATEMENT:		
The Operations Plan and Budget (OPB) is a document that outlines the key activities and program targets that need to be accomplished for the year. Once formulated and approved, it is submitted to the Central Office and cascaded to the different operating units of the DILG V (Provincial Offices, Divisions, Units/Sections. This formalizes the coordination between the regional management and operating units, thereby aligning the various activities contributory to the attainment of the Department's targets and deliverables.		

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	PLANNING OFFICER	Review of the Planning Guidelines	Upon receipt from Planning Service, review the approved Planning Guidelines, particularly the targets and indicators.	Approved Planning Guidelines FY 2019 GAA

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Coordinate with PS and Bureaus/PMOs for the finalization of targets, timelines, fund allocation and other information	
2	PLANNING OFFICER	Preparation of Draft OPB	<p>Prepare draft OPB based on the approved Planning Guidelines</p> <p>Disseminate approved Planning Guidelines and draft OPB to operating units (provinces and Divisions, Units) for comments and finalization of targets</p>	<p>Draft OPB</p> <p>Transmittal Letter to operating units, Division, Provincial Offices</p>
3	DIVISION/PROVINCIAL PLANNING OFFICERS	Prepare comment/s on the Draft OPB	Review the approved Planning Guidelines and prepare comments for submission to the Planning Unit on the set deadline.	Draft AOPB
4	PLANNING OFFICER	Revision of AOPB	Revise Draft AOPB and consolidate and integrate the comments from the operating units into the draft OPB	<p>Comments from operating units</p> <p>Draft OPB</p>
5	PLANNING OFFICER/DIVISION AND PROVINCIAL PLANNING OFFICERS, BUDGET OFFICER PDs, ARD, RD	Conduct of Planning Conference	Call for Planning Conference and present to the top management the Draft AOPB for their approval.	<p>Notice of Planning Conference</p> <p>Draft AOPB</p>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
6	BUDGET OFFICER	Allocate funds	Allocate funds or budgetary requirements per PPA based on the total annual budget allotted for DILG R5	2019 GAA Planning Guidelines
7	PLANNING OFFICER	Finalize AOPB for approval by RD and submission to Planning Service	Finalize AOPB	Finalized 2019 AOPB
8	REGIONAL DIRECTOR	Approval of 2019 AOPB	Submit AOPB to RD for his signature, signed by the BO and PO.	Approved 2019 AOPB
9	PLANNING OFFICER	Submit to PS the approved AOPB	Submit to PS the approved AOPB for comments and/or approval	Approved AOPB Transmittal
10	PLANNING OFFICER	Revision of OPB	Revise the OPB based on the comments of the Planning Service Action Officer	AOPB with comments
11	PLANNING OFFICER RD	Print final AOPB	Print final AOPB for signature and approval of RD	Final AOPB
12	PLANNING OFFICER	Submit final and approved AOPB to Central Office	Submit final and approved AOPB to Central Office	Final AOPB Transmittal

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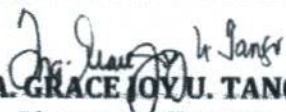
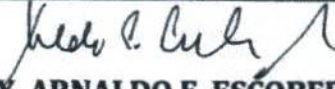
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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
12	PLANNING OFFICER	Disseminate final OPB	Disseminate final OPB to different Operating Units , Divisions and Provincial officers	Final AOPB Transmittal
13	PLANNING OFFICER	Retain records	Retain records in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Retained Documented Information.	Control of Retained Documented Information Procedure Masterlist of Retained Documented Information

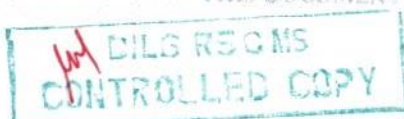
Prepared By	Reviewed and Approved By:
 MA. GRACE JOY U. TANGO Planning Officer III Process Owner	 ATTY. ARNALDO E. ESCOBAR, JR Assistant Regional Director Regional QMR

Definition of Terms:

- The Operations Plan and Budget contains the activities and targets that are planned to be carried out within the year. Activities indicated have corresponding quarterly physical targets, fund allocation and timelines, The AOPB is used as basis for the formulation of the
- IPCR, DPCR and OPCR wherein performance is being measured.

Legal References: General Appropriations Act 2019
2019 Approved Planning Guidelines

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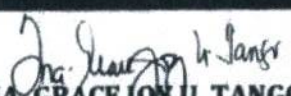
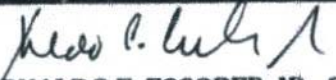


DILG REGION V
**QUALITY
OBJECTIVE (QO)**

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BUREAU/SERVICE	ORD-PLANNING UNIT
PROCEDURE TITLE	PREPARATION OF ANNUAL OPERATIONS PLAN AND BUDGET (AOPB)

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (Procedures) and Forms (Records), including applicable Legal Requirements
	Objective	Target	Indicator/Formula (If applicable)			
Preparation of Annual Operation Plan and Budget	Timely submission of 2019 AOPB based on prescribed deadline by the PS	Submit approved 2019 AOPB not later than March 15, 2019	Deadline set by CO-PS - Date of submission of R.O to PS	Semestral	Planning Officer	Transmittal to CO Monitoring Log Sheet AOPB

Prepared By:	Reviewed and Approved By:
 MA. GRACE JOKU. TANGO Planning Officer III	 ATTY. ARNALDO E. ESCOBAR, JR., CESO V Assistant Regional Director
Process Owner	Regional QMR

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DILG REGION V

**PROCESS QUALITY MONITORING
AND EVALUATION (QME)**

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BUREAU/SERVICE	ORD-PLANNING UNIT												
PROCEDURE TITLE	PREPARATION OF ANNUAL OPERATIONS PLAN AND BUDGET												
OBJECTIVE STATEMENT	Timely submission of 2019 AOPB to Planning Service within the prescribed deadline set by CO-PS												
CURRENT PERIOD	FY 2019												
INDICATORS	Jan.	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Objective 1:													
A	Timely submission of 2019 AOPB to Planning Service within the prescribed deadline set by CO-PS												
C	Formula: Deadline set by CO-PS		Target Result: Actual date of submission from RO to CO-PS										
D	Gap Analysis: In case the objective is not met, put your analysis why it is not met.												
Objective 2:													
A													
B													
C	Formula:		Target Result:										
D	Gap Analysis: In case the objective is not met, put your analysis why it is not met.												
Note: For unmet targets, the QMS Secretariat will issue Corrective Action Report (CAR) duly signed by the Quality Management Representative.													

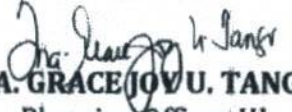
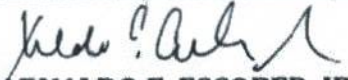
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**PROCESS QUALITY MONITORING
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Prepared By	Reviewed and Approved by:
 MA. GRACE JOY U. TANGO Planning Officer III	 ATTY. ARNALDO E. ESCOBER, JR., CESO V Asst. Regional Director
Process Owner	Regional QMR





DILG-REGION V

**Operational Planning and Budgeting
Monitoring Log Sheet**

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QUALITY OBJECTIVE : Timely submission of the Regional OPB to the Central Office on the prescribed deadline set by CO-PS**FREQUENCY OF MONITORING** : Semestral**CURRENT PERIOD** : FY 2019

NO.	OFFICE / UNIT	DEADLINE SET BY CO	DATE OF SUBMISSION OF RO TO CO	OBJECTIVE 1 RESULT		SUBMITTED OPB WITH NO REVISION	SUBMITTED OPB WITH ONE REVISION	SUBMITTED OPB WITH TWO OR MORE REVISIONS	REMARKS
				MET ≥ 0	UNMET < 0				
A	B	C	D	E	F	G	H	I	J
1									
2									
3									
4									
5									
6									
7									
8									
9									
10									
Total									
Result									

 MA. GRACE U. TANGO Planning Officer III Process Owner	 ATTY. ARNALDO E. ESCOBAR JR, CESO V Assistant Regional Director Regional OMB
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DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
DILG Regional Office No. 5, Rizal St., Legazpi City
region5.dilg.gov.ph

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OFFICE: ORD-PLANNING UNIT
QUALITY PROCEDURE TITLE: PREPARATION OF ANNUAL OPERATION PLAN AND BUDGET

MASTERLIST OF MAINTAINED INTERNAL DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
QP-R05-ORD-08	Preparation of Annual Operation Plan and Budget Quality Procedure	07.01.19					
QO-QP-R05-ORD-08	Preparation of Annual Operation Plan and Budget Quality Objective	07.01.19					
QME-QP-R05-ORD-08	Preparation of Annual Operation Plan and Budget Quality Monitoring & Evaluation	07.01.19					
FM-QP-R05-ORD-08-01	Preparation of Annual Operation Plan and Budget Monitoring Logsheet	07.01.19					
RRO-QP-R05-ORD-08	Preparation of Annual Operation Plan and Budget Risk Register (Objective Risk Assessment)	07.01.19					
RRP-QP-R05-ORD-08	Preparation of Annual Operation Plan and Budget Risk Register (Process Risk Assessment)	07.01.19					
	AOPB						
	Notice of Planning Conference						

Prepared by:	Noted by:
 EDEN S. IMANUZA IT Officer 1 Regional Doc. Controller	 ATTY. ARNALDO E. ESCOBAR JR., CESO V Assistant Regional Director Regional QMR

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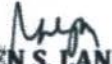
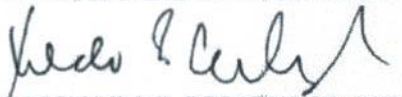
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QUALITY PROCEDURE TITLE: PREPARATION OF ANNUAL OPERATION PLAN AND BUDGET

MASTERLIST OF MAINTAINED EXTERNAL DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION/EDITION					
	2019 Approved Planning Guidelines						
	FY 2019 General Appropriations Act						
	Comments of Planning Service on the 2019 OPB						

Prepared by:	Noted
 EDEN S. LANUZA IT Officer 1	 ATTY. ARNALDO E. ESCOBAR JR, CESO V Assistant Regional Director
Regional Document Controller	Regional QMR

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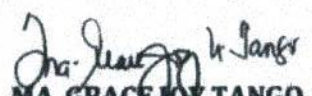
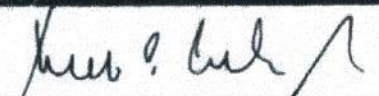
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OFFICE: ORD-PLANNING UNIT
QUALITY PROCEDURE TITLE: PREPARATION OF ANNUAL OPERATION PLAN AND BUDGET

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

PROCESS	DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
					FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
Preparation of Operations Plan and Budget	QP-R05-ORD-08	Preparation of Operations Plan and Budget Monitoring Log Sheet	Planning Officer	Drawer 1	Operational Planning and Budgeting Monitoring Log Sheet	chronological (latest on top)	2 years	3 years	5 years	Diposal through Records Section
			Planning Officer	Drawer 1	Final Regional OPB	chronological (latest on top)	2 years	3 years	5 years	Diposal through Records Section
			Planning Officer	Drawer 1	Final Provincial OPB	alphabetical per year	2 years	3 years	5 years	Diposal through Records Section

Prepared By:	Noted by:
 MA. GRACE JOY TANGO	 ATTY. ARNALDO E. ESCOBAR, JR., CESO V
Process Owner	Regional QMR

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RISK REGISTER (OBJECTIVE RISK ASSESSMENT)

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OFFICE

ORD-PLANNING UNIT

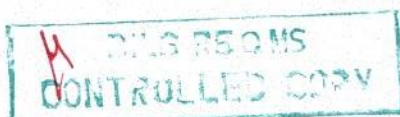
PROCESS

PREPARATION OF ANNUAL OPERATION PLAN AND BUDGET

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES (refer to IP Matrix for Requirements)	POTENTIAL RISK or OPPORTUNITY	RISK TRIGGER (N/A FOR OPPORTUNITY)	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
							IMPACT	LIKELIHOOD	RATING	RISK/OPPORTUNITY LEVEL (S,NS)	TYPE OF ACTION	RISK CONTROL PLAN/OPPORTUNITY MANAGEMENT PLAN (For significant)
TIMELY PREPARATION OF ANNUAL OPB	Delayed issuance of Planning Guidelines, Regional Targets are not defined at the start of the planning season	Central Office (Planning Service)	Delayed preparation and submission of AOPB, OPCR, DPCR, IPCR	Bureau/PMO targets not finalized on time	Delayed submission of OPB and implementation of PPAs	follow up with Planning Service and do conservative targetting based on historical data	3	3	9	NS	Alert	

RISK Assessment	Risk Rating	Risk Rating	Risk Description	Action Required
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1 - 7	LOW	Not Significant (NS)	No further action required (Retain risk by informed decision)
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain	8 and 9	MODERATE	Not Significant (NS)	Alert level but no further action required for now
DETECTION: 1-Very likely; 2-Likely; 3-Low; 4-Remote; 5-Very remote	10 to 25	HIGH	Significant (S)	Control (e.g. Treat/Mitigate Transfer, Terminate)
Risk Rating = Impact X Likelihood X Detection				

Prepared by:	Reviewed and Noted by:
 MA. GRACE JOV U. TANGO Planning Officer III Process Owner	 ATTY. ARNALDO E. ESCOBAR, JR., CESO V Assistant Regional Director Regional QMR





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RISK REGISTER (PROCESS RISK ASSESSMENT)**

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OFFICE/UNIT
PROCEDURE TITLE

ORD-PLANNING
PREPARATION OF ANNUAL OPERATIONS PLAN AND BUDGET

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK LEVEL/OPPORTUNITY LEVEL (S,NS)	TYPE OF ACTION	RISK CONTROL PLAN MANAGEMENT
Review of Approved Planning Guidelines	Delayed issuance of approved planning guidelines.	Delayed submission of Bureaus/PMOs of annual targets	Delayed issuance of Planning Guidelines	Conservative targetting based on historical data; follow up with PS	3	3	9	NS	Alert	
Preparation of Draft OPB	Delayed issuance of approved planning guidelines.	Delayed submission of Bureaus/PMOs of annual targets	Delayed preparation of AOPB	Prepare OPB for regular PPAs	3	3	9	NS	Alert	
Finalization of OPB for submission to PS	Delayed issuance of approved planning guidelines.	Delayed submission of Bureaus/PMOs of annual targets and provincial/Division OPB	Delayed preparation of AOPB	Prepare OPB for regular PPAs	3	3	9	NS	Alert	
Revision of OPB (if needed)	Targets and timelines not in accordance with planning guidelines	Delayed submission of provincial/Division OPB	Delayed revision of OPB, if needed	consult with Bureaus/PMO/Division	3	3	9	NS	Alert	
Dissemination of approved OPB	delayed dissemination of approved OPB	Delayed approval of AOPB	Delayed dissemination of approved OPB	Constant follow up with Planning Service & conduct of planning conference	3	3	9	NS	Alert	
			RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED					
			1 to 7	LOW	Not Significant	No further action required (Retain risk by informed decision)				
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain		8 to 9	MODERATE	Not Significant	Alert level but no further action required for now					
DETECTION 1 - Very Illikely, 2 - Likely, 3 - Low, 4 - Remote 5 - Very remote		10 to 25	HIGH	Significant	Control (e.g. Treat/Mitigate Transfer, Terminate)					
Risk Rating = Impact X Likelihood X Detection										

Prepared by: MA. GRACE LOU. TANGO Planning Officer III Process Owner	Reviewed and Noted by: ATTY. ARNALDO E. ESCOBAR JR., CESO V Assistant Regional Director Regional QMR
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