



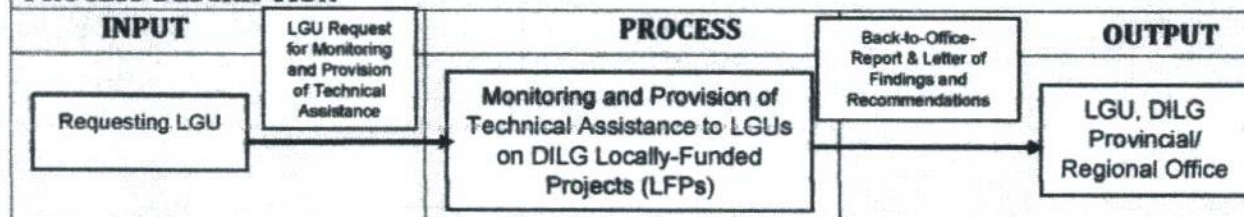
**DILG REGION V  
QUALITY  
PROCEDURE (QP)**

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<b>PROCEDURE TITLE</b>	<b>DILG LFPs MONITORING AND PROVISION OF TECHNICAL ASSISTANCE</b>
<b>SCOPE</b>	This procedure starts from the receipt of LGU request for monitoring and provision of technical assistance until the issuance of Aide Memoire/report/letter of findings and recommendations to concerned parties.
<b>PURPOSE</b>	To provide the involved stakeholders of the current status, observations, findings, recommendations, and provide technical assistance to LGUs with regard to the implementation of DILG LFPs.

**PROCESS DESCRIPTION**



**DESCRIPTIVE STATEMENT:**

The PDMU, upon official request for inspection or provision of technical assistance of the Local Government Unit (LGU), shall conduct a separate or joint inspection with DILG Field Offices to monitor and render technical assistance in the implementation of the subproject concerned. The DILG RO shall then send a letter of findings/recommendations gathered during the project visit, copy furnished to concerned Provincial Offices and DILG Central Office, if necessary.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	C/MLGOO	Receive, record and indorse LGU Request for Inspection/Monitoring	<p>Receives and records LGU request.</p> <p>Prepare transmittal letter and send to the DILG Provincial Office.</p>	LGU Request for Inspection/Monitoring Logbook
2	DILG Provincial Receiving Staff	Receive, record and forward LGU Request to City/Provincial Director	<p>The Receiving staff receives, and records the transmittal from the C/MLGOO with the attached LGU Request.</p> <p>Provide routing slip and forwards to Provincial Director for instructions.</p>	LGU Request for Inspection/Monitoring Logbook
3	DILG Provincial Director, Provincial Focal Person	Peruse, route, file copy and forward LGU Request for Inspection/Monitoring to the Regional Office	<p>Provincial Director peruse the request and route to the Focal person or Engineer.</p> <p>The Focal Person or Engineer, upon consultation with the Provincial Director, may conduct desk review and draft</p>	LGU Request for Inspection/Monitoring Transmittal Logbook

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>reply letter, decide to undertake the monitoring activity or forward the same to the Regional Office.</p> <p>The Focal Person or Engineer submits the draft reply to the Provincial Director for approval.</p> <p>If there are corrections, the Provincial Director returns the letter to the Provincial Focal Person or Engineer for modifications. The step is repeated until the letter is signed.</p> <p>Once signed, the letter is released to the LGU thru the C/MLGOO, copy furnished the Regional Office.</p> <p>If the Provincial Office decides to undertake the monitoring activity, the Focal Person or Engineer coordinates with the concerned C/MLGOOs and prepares Travel Plan and Travel Order for approval of the Provincial Director.</p> <p>The Provincial Focal Person/ Engineer shall conduct monitoring with LGU representative and provide technical assistance to the LGU whenever necessary.</p> <p>The Provincial Focal Person / Engineer shall conducts exit conference with LGU functionaries to discuss findings gathered during the project visit and recommends corrective actions if necessary using the</p>	

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Step No.	Responsible Personnel	PROCESS/ ACTIVITY	Details	References
			<p>Aide Memoire Form which is signed by the LCE and monitoring team.</p> <p>The Provincial Focal Person or Engineer prepares Back-to-Office Report (BTOR) for perusal of the Provincial Director.</p> <p>The Provincial Focal Person / Engineer shall then file the Aide Memoire for document trailing.</p> <p>If the request is to be forwarded to the Regional Office, the Focal Person or Engineer prepares transmittal to the Regional Office for signature of the City/ Provincial Director.</p> <p>If there are corrections, the document is returned to Focal Person or Engineer for modification. The process is repeated until the transmittal is signed.</p> <p>Once signed, the transmittal with the attached LGU request is transmitted to the Regional Office.</p> <p>The Provincial Office retain a copy of indorsed documents.</p>	
4	Regional Records Section	Receive, log, and forward LGU Request for Inspection/ Monitoring to the ORD/OIC	The LGU request with attached transmittal are received by the Records section, recorded, provided with routing slip and forwarded to ORD/OIC for recording and instruction.	Logbook LGU Request for Inspection/ Monitoring Transmittal

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
5	RD/ OIC/ ORD Staff	Peruse, instruct, record, and route the documents	<p>The ORD Staff receives and records the documents and routes to the RD / OIC.</p> <p>Upon perusal and instruction of the RD/OIC, the request with all the attachments is forwarded to the PDMU.</p>	Logbook LGU Request for Inspection/ Monitoring Transmittal Routing slip
6	PDMU Staff / PDMU Chief / Focal Person/ Engineer	<p>Receive, record, peruse, route, evaluate the request</p> <p>Actual conduct of inspection/ monitoring activity, exit conference, drafting of Back-to-Office Report/ Letter of Finding</p>	<p>PDMU staff receives and records the documents and route to PDMU Chief.</p> <p>PDMU Chief peruse the request and route to Focal person / Engineer.</p> <p>The Focal Person or Engineer, upon consultation with the PDMU Chief may conduct desk review and draft reply letter or decide to undertake the monitoring activity.</p> <p>In case the request is outside the purview of the Regional Office, prepare transmittal to the Central Office or referral to other agency/office, for initial of PDMU technical staff and PDMU Chief.</p> <p>If there are corrections / revisions in the draft reply, the PDMU Chief shall return it to the concerned Engineer / Focal Person for modification. The process is repeated until the documents are countersigned.</p> <p>If monitoring activity is necessary the travel order, travel plan and draft advisory with the attached LGU requests are forwarded to the RD/OIC for signature.</p>	<p>Logbook LGU Request for Inspection/ Monitoring transmittal and/or indorsement Letters Routing slip Related Memorandum Circulars, Joint MCs, Guidelines, such as but not limited to:</p> <p><b>SALINTUBIG</b> Guidelines: MCs 2012-83, 2013-143, 2014-96, 2015-74, 2016-49 and 2017-73, 2018-47.</p> <p><b>BUB Guidelines:</b> MCs 2013-066, 2014-78, and 2015-45.</p>

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Step No.	Responsible Personnel	PROCESS/ ACTIVITY	Details	References
			<p>In case there are modification/ correction in the travel order/ travel plan, it is routed back to the Focal Person/ Engineer concerned; the step is repeated until the action of this level is approved.</p> <p>Once signed, the final reply letter shall be transmittte to the Provincial Office for dissemination and the travel order and travel plan are filed in case monitoring activity is opted.</p> <p>The PDMU Focal Person/ Engineer shall conduct monitoring and evaluation of the requested project to be inspected together with the concerned stakeholders in the LGU together with the DILG Provincial Office Personnel.</p> <p>The PDMU Focal Person or Engineer shall conduct exit conference to LGU functionaries of the findings gathered during the project visit and recommends corrective actions if necessary using the Aide Memoire Form which is signed by the LCE and monitoring team.</p> <p>The PDMU Focal Person / Engineer conducts Exit Conference with the Provincial Director / OIC or concerned Staff to discuss findings and recommendations relative to the project monitoring.</p>	<p>ADM Guideline: JMC 2017-02 and 03.</p> <p>PCF Guidelines: MCs 2012-68, 2013-148, 2015-111, and 2016-167.</p> <p>RAY Guidelines: MCs 2013-150, and 2014-47.</p> <p>CMGP/ KALSADA Guidelines: JMC 2017 02,</p> <p>SLRF Guidelines: DPWH-DILG JMC on SLRF</p>

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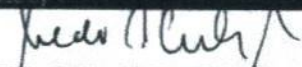
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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			The PDMU Focal Person or Engineer prepares Back-to-Office Report (BTOR) for perusal of the PDMU Chief, RD, ARD attached issued Aide Memoire.	
7	PDMU / Process Owner	Maintain copy of letter and BTOR	A copy of the issued Aide Memoire and letter is retained and kept by Process Owner for file and document trailing.	Letter of Findings, Back-To-Office Report Logbook
8	PDMU/ Process Owner	Retain Documented Information	Retain documented information in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Retained Documented Information	Control of Retained Documented Information  Masterlist of Retained Documented Information

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

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<b>OFFICE</b>	PROJECT DEVELOPMENT AND MANAGEMENT UNIT
<b>QUALITY PROCEDURE TITLE</b>	DILG LFPs MONITORING AND PROVISION OF TECHNICAL ASSISTANCE

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)			
<b>CONDUCT MONITORING AND PROVISION OF TECHNICAL ASSISTANCE TO LGUs ON DILG LFP</b>	1.) Subprojects requested for inspection are monitored / inspected within 15 working days upon receipt of PDMU.	80%	- number of subprojects monitored within 15 working days upon receipt of PMDU over number of subprojects requested for inspection	Quarterly	DILG RO and PO Engineers, Financial Analyst, Technical Staff, PDMU Chief	LGU Letter Request
	2.) LGU requests for project monitoring are provided with Technical Assistance or Aide Memoire during monitoring / inspection.	100%	- no. of LGUs provided with TAs or Aide Memoire over no. of requesting LGUs.	Quarterly		Back-to-Office Reports (BTORs) Project Guidelines Monitoring / Summary Logsheet
	3.) Back-to-Office Reports (BTORs) are accomplished within 5 working days after monitoring activity.	80%	- no. of BTORs prepared within 5 working days over no. of requesting LGUs for inspection.	Quarterly		Aide Memoire Logbook

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**PROCESS QUALITY MONITORING AND  
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<b>OFFICE</b>	DILG REGIONAL OFFICE V/PDMU					
<b>PROCEDURE TITLE</b>	<b>DILG LFPs MONITORING AND PROVISION OF TECHNICAL ASSISTANCE</b>					
<b>OBJECTIVE STATEMENT</b>	1. 80% of the LGU request/queries are provided with technical assistance and/or project monitoring					
<b>CURRENT PERIOD</b>	Monthly					
	<b>INDICATORS</b>	<b>1<sup>st</sup> Quarter</b>	<b>2<sup>nd</sup> Quarter</b>	<b>3<sup>rd</sup> Quarter</b>	<b>4<sup>th</sup> Quarter</b>	<b>Total</b>
	Objective 1: Subprojects requested for inspection are monitored / inspected within 15 working days upon receipt of request letter.					
A	No. of requesting subprojects inspected					
B	No. of subprojects requesting for inspection					
C	Formula: A/B x 80%	Target Result: 80%				
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)					
<b>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.</b>						

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OBJECTIVE STATEMENT		2. 100% of LGU requests for project monitoring are provided with Technical Assistance or Aide Memoire during monitoring / inspection				
CURRENT PERIOD		Monthly				
	INDICATORS	1 <sup>st</sup> Quarter	2 <sup>nd</sup> Quarter	3 <sup>rd</sup> Quarter	4 <sup>th</sup> Quarter	Total
	Objective 2: LGU requests for project monitoring are provided with Technical Assistance or Aide Memoire during monitoring					
A	No. of requesting LGUs provided with technical assistance or Aide Memoire during inspection	<div style="border: 1px solid black; padding: 5px; text-align: center;">NO 2019 YES 2019</div>				
B	No. of requesting LGUs for inspection					
C	Formula: $A/B \times 100\%$	Target Result: 100%				
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)					
<b>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.</b>						

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<b>OBJECTIVE STATEMENT</b>		3. 80% of requesting LGUs for inspection must have Back-to-Office Reports (BTORs) accomplished within 5 working days after inspection				
<b>CURRENT PERIOD</b>		Monthly				
	<b>INDICATORS</b>	<b>1<sup>st</sup> Quarter</b>	<b>2<sup>nd</sup> Quarter</b>	<b>3<sup>rd</sup> Quarter</b>	<b>4<sup>th</sup> Quarter</b>	<b>Total</b>
Objective 2: Back-to-Office Report (BTORs) are accomplished within 5 working days after inspection						
A	No. of BTORs accomplished within 5 days after inspection					
B	No. of requesting LGUs for inspection					
C	Formula: A/B x 100%	Target Result : 80%				
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)					
<b>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.</b>						

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DILG REGIONAL OFFICE V  
RISK REGISTER (OBJECTIVE RISK ASSESSMENT)

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OFFICE  
PROCEDURE TITLE

OFFICE OF THE REGIONAL DIRECTOR - PDMU  
DILG LFPs MONITORING AND PROVISION OF TECHNICAL ASSISTANCE

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES (refer to IP Matrix for Requirements)	POTENTIAL RISK or OPPORTUNITY	RISK TRIGGER (N/A FOR OPPORTUNITY)	CONSEQUENCE (RISK) / BENEFIT (OPPORTUNITY)	EXISTING RISK CONTROL MEASURE (N/A FOR OPPORTUNITY)	RISK ASSESSMENT					
							IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Subprojects requested for inspection are monitored / inspected within 15 working days upon receipt of PDMU.	Timeliness of visit to subprojects	Focal Person / Engineer, PDMU LGOO Staff, PDMU Chief	Subprojects not visited / inspected on time	Overlapping office activities due to lack of manpower and vehicular support considering of low ratio of engineers over number of subprojects, hectic travel schedule, prioritization of urgent tasks, lack of technical capacity of MLGOCs	Delayed declaration of project completion DILG  Accomplishment affected (may result to non-availment of PBB)	-Conduct of punchlisting by DILG Provincial Engineers to projects nearing completion  -proper coordination between RO and PO  -Prioritization of projects with 90% and above accomplishments	4	2	8	NS	M	NS
LGUs requested for project/s inspection are issued with Aide Memoire	Absence of LGU signatory in Aide Memoire	Focal Person / Engineer	Aide Memoire not issued	Absence of notice of LGU signatory to confirm findings and commit timeline for rectified action	Failure to rectify negative findings/ implement project according to timeline	Close coordination with LGU of the Monitoring Schedule.	4	2	8	NS	M	
Back-to-Office Reports (BTORs) are accomplished within 5 working days after monitoring activity.	Timeliness of submission of BTORs	Focal Person / Engineer, Financial Analysts, PDMU LGOO Staff	Incomplete, inaccurate (not updated) report	Overlapping office activities due to lack of manpower and vehicular support, hectic travel schedule, prioritization of urgent tasks	Delayed feedback to stakeholders that will eventually result to delayed action	-Conduct of regular planning conferences  -Preparation of travel plans/ schedule at least 1 week prior to travel time  -Draft BTOR on the last day of travel or 1 working day after travel	4	2	8	NS	M	
RISK ASSESSMENT:				RISK RATING		RISK LEVEL	RISK DESCRIPTION		ACTION REQUIRED			
IMPACT: 1-Insufficient; 2-Minor; 3-Moderate; 4-Major; 5-Extreme				1 - 7		LOW	Not Significant (NS)		No further action required (Maintain and sustain the existing control)			
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain				8 - 9		MODERATE	Not Significant (NS)		Alert level (Maintain and sustain the existing control)			
Risk/Opportunity Rating = Impact X Likelihood				10 - 25		HIGH	Significant (S)		Control (e.g. Avoid or Treat/ Mitigate, Transfer, Terminate)			

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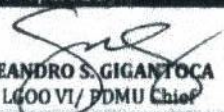
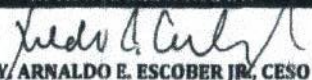
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OFFICE **OFFICE OF THE REGIONAL DIRECTOR - PDMU**  
PROCEDURE TITLE **DILG LFPs MONITORING AND PROVISION OF TECHNICAL ASSISTANCE**

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 / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN / OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Receive, record, and indorse LGU Request for inspection / Monitoring	Lacking or incomplete documents received / logged / endorsed	Absence of personnel, Overlapping activities, various documents received	Delayed, incomplete and/or inaccurate details of documents	LGU / MLGOO to directly communicate, thru phone, to DILG Provincial and/or Regional Office the	3	3	9	NS	M	
Actual conduct of inspection / monitoring activity, exit conference, drafting of Back-to-Office Report / Letter of Finding	Discrepancies / errors on findings during monitoring and evaluation of projects	Variation orders and change of projects, missing-out other findings, issues and concerns regarding inspection of project	Inaccurate findings	Concerned Engineer to check of POW, and other technical documents and to review of BTOR	3	3	9	NS	M	
Maintain copy of the report	Misplaced documents	Absence / availability of personnel, Overlapping activities	Incomplete copy of documents	Admin staff to reproduce extra copies of documents	3	3	9	NS	M	

RISK ASSESSMENT:	RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1 - 7	LOW	Not Significant	No further action required (Maintain and sustain the existing control)
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain	8 - 9	MODERATE	Not Significant	Alert level (Maintain and sustain the existing control)
Risk Rating = Impact X Likelihood	10 - 25	HIGH	Significant	Control (e.g. Avoid or Treat/Mitigate, Transfer, Terminate)

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