



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

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PROCEDURE TITLE	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS		
SCOPE	This process starts from the receipt of Obligation Request and Status (ORS) (RO)/Budget Utilization Request Status (BURS) (PO) and Disbursement Voucher (DV) with Supporting Documents (SDs) by the Budget Section (RO)/Program Manager (PO) up to Prepare of LDDAP-ADA/Check of Cash Unit (RO)/Disbursing Officer (PO) for release to servicing bank/payee.		
PURPOSE	To define the standard procedures of allocation of funds, processing and payment of claims in accordance with existing accounting and auditing rules and regulations.		
PROCESS DESCRIPTION			
INPUT		PROCESS	OUTPUT
REQUESTING UNIT	ORS, DV, SDs	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS	CHECK LD-DAP ADA Payee Servicing Bank
DESCRIPTIVE STATEMENT:			
The claimant/end user prepares the ORS/BURS and DV with supporting documents for the claim and submits to Budget Section/Program Manager for fund allocation. Subsequently, the Accounting Section/Accounting Clerk process the claim as to completeness and appropriateness of required documents, have it approved by the Head of the Agency and Cash Unit/Disbursing Officer prepares LDDAP-ADA/check for submission/release to servicing bank/payee.			

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
A	ALLOCATION OF FUNDS			
1	Budget Staff (RO) / Accounting Clerk (PO)	Receive and Process ORS with DV and SDs	At Regional Office Receive ORS in 3 copies with signed box A of the head of the requesting unit, with 2 copies of DV and Supporting documents (1 original and 1 duplicate) from the claimant. Check as to appropriateness of claim. If not valid/ inappropriate, the documents are returned to the concerned operating unit/claimant for completion of requirements.	Obligation Request and Status (ORS) Budget Utilization Request and Status (BURS) Disbursement Voucher (DV) Supporting Documents (SDs)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>If valid/appropriate, Budget Staff undertake preliminary processing, assigns ORS number, enter the transaction in the appropriate Registry of Allotments and Obligations (RAO), assign corresponding PPA and indicate expense code and forward the ORS to Budget Officer.</p> <p><u>At Provincial Office</u></p> <p>Receive BURS in 3 copies with signed box A of the Program Manager, with 2 copies of DVs and Supporting documents (1 original for COA Copy and 1 duplicate for PO File) from the claimant.</p> <p>Check as to appropriateness of claim.</p> <p>If not valid/ inappropriate, the documents are returned to the concerned operating unit/claimant for completion of requirements.</p> <p>If valid/appropriate, PO Accounting Clerk undertake preliminary processing, assigns BURS number, assign corresponding fund source, certify as to availability of funds by signing box B of the BURS and proceed to Step No. 5.</p>	

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
2	Budget Officer	Allocate funds	<p>Review the processed claim, verify and certify as to availability of allotment.</p> <p>If found appropriate, affix signature in Box B of the ORS and forward to Budget Staff.</p> <p>If inappropriate, return to the Budget Staff for appropriate action.</p>	<p>Obligation Request and Status (ORS)</p> <p>Disbursement Voucher (DV)</p> <p>Supporting Documents (SDs)</p> <p>Registry of Allotments and Obligations (RAO)</p>
3	Budget Staff	Release of ORS with DV and supporting documents	<p>File one copy of the certified ORS.</p> <p>Update the ORS Monitoring Log Sheet.</p> <p>Forward certified ORS, with DV and supporting documents to Accounting Section.</p>	<p>Obligation Request and Status (ORS)</p> <p>ORS Monitoring Log Sheet</p>
4	Process Owner	Retain Records	<p>Update the Process Summary Log Sheet.</p> <p>Retain Records in accordance with the Control of Retained Documented Information Procedure and the Master List of Retained Documented Information.</p>	<p>Process Summary Log Sheet (PSL)</p> <p>Control of Retained Documented Information Procedure</p> <p>Master List of Internal Documented Information.</p>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
B	PROCESSING OF CLAIMS			
5	Accounting Clerk (RO and PO)	Receive and Process Claims	<p><u>At Regional Office</u></p> <p>Receive and Review completeness and appropriateness of supporting documents.</p> <p>If complete and appropriate, the processor then assign DV number, determine /calculate appropriate taxes, prepare appropriate BIR Forms, prepare accounting entry, encode the details in DV Monitoring File, update Index of Payment and forward to Regional Accountant.</p> <p>If incomplete and/or inappropriate, return to concerned requesting operating unit/claimant for completion of requirements</p> <p><u>At Provincial Office</u></p> <p>Receive and Review completeness and appropriateness of supporting documents.</p> <p>If complete and appropriate, the processor then, assign DV number, determine /calculate appropriate taxes, prepare appropriate BIR Forms, prepare accounting entry, update Index of Payment and affix signature in Box C of the DV and proceed to Step 7.</p>	<p>Obligation Request and Status (ORS)</p> <p>Disbursement Voucher (DV)</p> <p>Supporting Documents (SDs)</p> <p>Index of Payment</p> <p>DV Monitoring File</p>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
6	Accountant (RO)	Certify the Processed Claim	<p>Review as to completeness of supporting documents; and correctness of accounting entries in DV and Index of Payments.</p> <p>If found complete and appropriate, affix signature and forward to releasing clerk for appropriate action;</p> <p>If incomplete and inappropriate, return to the Processor for appropriate action.</p>	<p>ORS/BURS</p> <p>DV with SDs</p> <p>Index of Payments</p>
7	Releasing Clerk (RO)/ Accounting Clerk (PO)	Release processed DV to the Head of Agency	<p>At Regional Office</p> <p>Return the Index of Payment on file.</p> <p>Update the DV Logbook.</p> <p>Forward processed DV to the Office of the Regional Director.</p> <p>At Provincial Office</p> <p>Return the Index of Payment on file.</p> <p>Forward processed DV to the Provincial Director and proceed to Sept 10.</p>	<p>Index of Payment</p> <p>DV Logbook</p>
8	Process Owner	Retain Records	<p>Update the Process Summary Log Sheet.</p> <p>Retain Records in accordance with the Control of Retained Documented Information Procedure and the Master List of Internal Documented Information.</p>	<p>Process Summary Log Sheet (PSL)</p> <p>Control of Retained Documented Information Procedure</p> <p>Master List of</p>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
				Internal Documented Information.
C	PAYMENT OF CLAIMS			
9	Disbursing Officer (RO)	Receive Approved Disbursement Voucher	Receive and record the approved disbursement voucher by the Approving Officer in the Incoming logbook Evaluate the approved DVs as to the completeness of signatories and the amount to be paid. Determine if DV is for payment for check or through LDDAP-ADA	Approved Disbursement Vouchers Incoming logbook
10	Cashier (RO) Disbursing Officer (PO)	Prepare Check	For payment by Issuing of Checks: <u>At Regional Office:</u> Assigns Checks numbers for the approved Disbursement Voucher Prepares checks and affixes signature Prepare Advice of Check Issued and Cancelled (ACIC) for submission to servicing bank	Disbursement Vouchers Advice of Checks Issued and Cancelled (ACIC)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
	Disbursing Officer (PO)	Prepare Check	<p>At Provincial Office:</p> <p>Prepares checks and affixes signature</p> <p>Prepare Advice of Check Issued and Cancelled (ACIC) for submission to servicing bank</p> <p>Update the Report of Check Issued, Consolidated Cash-in-Bank Register and Cash in Bank Register per fund</p> <p>Record check in the Check Logbook and Release to claimant and proceed to Step 14</p>	
11	Cash Clerk	Prepare LDDAP-ADA	<p>For payment through LDDAP-ADA:</p> <p>Writes corresponding Savings Account Number of claimants/payee to DVs.</p> <p>Encode names, account number and amount of claims of claimant/payee to Financial Data Entry System (FINDES).</p> <p>Prepare Advice to Debit Account (ADA) No., SLIIE and Advice of Check Issued and Cancelled (ACIC) for submission to servicing bank</p>	<p>FINDES</p> <p>LDDAP-ADA</p> <p>ACIC</p> <p>SLIIE</p>
12	Cashier	Certify LDDAP ADA	<p>Affix signature to ACIC/FINDES and ADA</p> <p>Forward to Accounting Section for Certification and ORD for approval</p>	<p>FINDES</p> <p>LDDAP-ADA</p> <p>ACIC</p> <p>SLIIE</p>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
13	Disbursing Officer/ Cash Clerk	Submit ACIC to Servicing Bank and Release of Checks to Payee	For payment thru LDDAP-ADA : Submit ACIC for ADA,SLIIE and ADA with FINDES print out to LBP Servicing Bank For payment thru issuance of Check: Record check in the Check Logbook and Release to claimant	ACIC Logbook of check release
14	Process Owner	Retain Records	Update the Process Summary Log Sheet. Retain Records in accordance with the Control of Retained Documented Information Procedure and the Master List of Internal Documented Information.	Process Summary Log Sheet (PSL) Control of Retained Documented Information Procedure Master List of Internal Documented Information.

Definition of Terms:

1. **Disbursement Voucher (DV)** - The DV is a form used to pay an obligation to employees/individuals/ agencies/creditors for goods purchased or services rendered. It shall be prepared by the Requesting Office/Unit. The Accounting Division/Unit shall stamp on the face of this form the date of receipt from the requesting unit
2. **Obligation Request Status (ORS)** - This form shall be used by the Requesting/ Originating Offices in the utilization of their approved budget allocations per GAARD and other budget laws/authority. It shall be maintained by fund cluster.

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3. The **ACIC** is a report prepared and submitted at least daily by an agency/entity to the GSB to enable the payees to encash/negotiate the issued checks. The advice shall be promptly submitted to the GSB
4. The **LDDAP-ADA** is an accountable form used as an authorization issued by the NGA/OU to the MDS-GSB instructing the bank to debit a specified amount from its available NCA to pay the creditors/payees listed in the upper portion of the LDDAP-ADA

Legal references:

1. **Government Accounting Manual (GAM)** – The GAM contains the accounting policies in accordance with the PPSAS as well as the guidelines and procedures to be adopted by the accountants, budget officers, cashiers, property officers, accountable officers and other finance personnel in recording and reporting government financial transactions.
2. **COA Circular 2012-001 dated June 14, 2012** – This Circular is issued to prescribe the revised guidelines and documentary requirements for common government transactions which incorporated the requirements under existing issuances of the Commission of Audit.
3. **DILG Circular 2019-04 dated April 12, 2019** – Internal Policy on Travel Claims of DILG Local Government Sector Personnel

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 LORNA H. ESQUIVEL AO III/Cashier II	 ALFREDO L. SALLAN FAD Chief	 ATTY. ARNALDO E. ESCOBAR JR., CESO V Assistant Regional Director
Process Owners	Deputy QMR	Regional QMR

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

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OFFICE	Finance and Administrative Division
QUALITY PROCEDURE TITLE	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents
	Objective	Target	Indicator/Formula (if applicable)			
A) Allocation of Funds	Timely release of obligated claims within 2 days upon receipt	80% of obligated claims are released within 2 days upon receipt	$\frac{\text{Total number of obligatedclaims released within 2days upon receipt}}{\text{Total Number of claimsreceived for fund allocation}} \times 100$	Monthly	Budget Officer	Process Summary Logsheets
B) Processes Claims	Timely release of processed claims within 3 days upon receipt	80% of processed claims are released within 3 days upon receipt	$\frac{\text{Total number of processedclaims released within 3days upon receipt}}{\text{Total Number of claimsreceived for processing}} \times 100$	Monthly	Regional Accountant	Process Summary Logsheets

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Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents
	Objective	Target	Indicator/Formula (if applicable)			
c) Payment of Claims	Timely payment of approved claims within 2 days upon receipt	80% of approved claims are paid within 2 days upon receipt	Total number of approved claims paid within 2 days upon receipt Total Number of approved claim received for payment X 100	Monthly	Cashier	Process Summary Logsheet

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

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OFFICE		Finance and Administrative Division						
PROCEDURE TITLE		ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS						
OBJECTIVE STATEMENT		1. Timely release of obligated claims within 2 days upon receipt 2. Timely release of processed claims within 3 days upon receipt 3. Timely payment of approved claims within 2 days upon receipt						
CURRENT PERIOD								
	INDICATORS	July	Aug	Sept	Oct	Nov	Dec	Total
A	Total number of obligated claims released within 2 days upon receipt							
B	Total Number of claims received for fund allocation							
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)							
A	Total number of processed claims released within 3 days upon receipt							
B	Total number of claims received for processing							
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)							



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

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	INDICATORS	July	Aug	Sept	Oct	Nov	Dec	Total
A	Total number of approved claims paid within 2 days upon receipt							
B	Total Number of approved claim received for payment							
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)							

Note: For unmet targets, QMS Secretariat will initiate correction and corrective action using the Corrective Action Report (CAR) duly signed by the Regional Quality Management Representative

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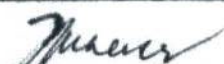
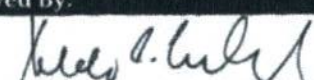
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**ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS
PROCESS SUMMARY LOGSHEET (PSL)**

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QUALITY OBJECTIVE: Timely release of obligated claims within 2 days upon receipt**FREQUENCY OF MONITORING:** Monthly**CURRENT PERIOD:**

No.	ORS Number	Date Received	Date Released	No. of Days Elapsed	Objective Result		
					Met	Unmet	Reason Why Unmet
TOTAL							
RESULTS							

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**ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS
PROCESS SUMMARY LOGSHEET (PSL)**

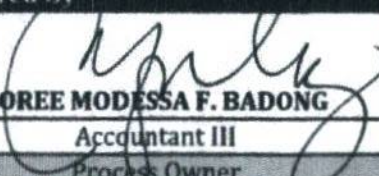
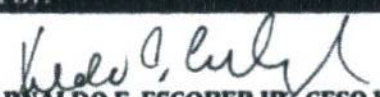
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QUALITY OBJECTIVE: Timely release of processed claims within 3 days upon receipt

FREQUENCY OF MONITORING: Monthly

CURRENT PERIOD:

No.	DV Number	DV Date	Date Released	No. of Days Elapsed	Objective Result		
					Met	Unmet	Reason Why Unmet
TOTAL							
RESULTS							

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**ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS
PROCESS SUMMARY LOGSHEET (PSL)**

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QUALITY OBJECTIVE: Timely payment of approved claims within 2 days upon receipt**FREQUENCY OF MONITORING:** Monthly**CURRENT PERIOD:**

No.	Date Received	Payee	DV Number	Date Paid	No. of Days Elapsed	Objective Result		
						Met	Unmet	Reason Why Unmet
TOTAL								
RESULTS								

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Name of Bureau/Service/Division: FINANCE AND ADMINISTRATIVE DIVISION

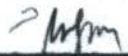
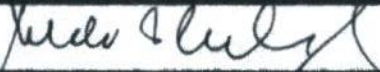
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MASTERLIST OF MAINTAINED INTERNAL DOCUMENTED INFORMATION

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		00	01	02	03	04	05
QP-R05-FAD-29	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS Quality Procedure (QP)	07.01.19					
QO-QP-R05-FAD-29	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS Quality Objective (QO)	07.01.19					
QME-QP-R05-FAD-29	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS Quality Monitoring Evaluation (QME)	07.01.19					
FM-QP-R05-FAD-29-01	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS PROCESS SUMMARY LOGSHEET (PSL)	07.01.19					
FM-QP-R05-FAD-29-02	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS PROCESS SUMMARY LOGSHEET (PSL)	07.01.19					

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FM-QP-R05-FAD-29-03	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS PROCESS SUMMARY LOGSHEET (PSL)	07.01.19					

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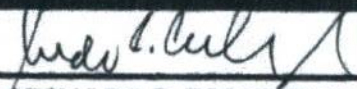
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Name of Bureau/Service/Division: **FINANCE AND ADMINISTRATIVE DIVISION**
Procedure Title: **ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS**

MASTER LIST OF MAINTAINED EXTERNAL DOCUMENTED INFORMATION

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Name of Bureau/Service/Division: FAD- Accounting Section

Procedure Title: **ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS**

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
QME-QP-R05-FAD-29	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS Quality Monitoring Evaluation (QME)	Process							
FM-QP-R05-FAD-29-01	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS Process Summary Logsheet								
FM-QP-R05-FAD-29-02	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS Process Summary Logsheet								
FM-QP-R05-FAD-29-03	ALLOCATION OF FUNDS, PROCESSING AND PAYMENT OF CLAIMS Process Summary Logsheet								

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RISK REGISTER (PROCESS RISK ASSESSMENT)

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DIVISION **FINANCE AND ADMINISTRATIVE DIVISION**
PROCEDURE TITLE **ALLOCATION OF FUNDS AND PROCESSING AND PAYMENT OF CLAIMS**

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN / OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Allocate funds (Budget Section)	On hold claims for obligation	Total funds available is not sufficient to cover the obligation of claim	Unobligated claims	Obligate claims using other fund control. Constant follow-up of replenishment of funds from CO	2	2	4	NS	Maintain and sustain the existing control	
Processing of Claims	Incomplete attachments to the Disbursement Vouchers	There is a need to implement the P/P/A immediately	The claim is submitted for approval of the Head of Office without the complete attachments	Processor should take note of the lacking documents	2	2	4	NS	Maintain and sustain the existing control	
Preparation of Checks	Erroneous Check	Lack of concentration	Cancellation of Check	Review and ensure that all information to be typed on check are correct	2	2	4	NS	Maintain and sustain the existing control	

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)
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 X Detection	10 - 25	HIGH	Significant	Control (e.g. Avoid or Treat/Mitigate, Transfer,

Prepared by:	Reviewed by:	Approved by:
 MARILI M. PECSON Administrative Officer V COREE MODESTA F. BADONG Accountant III LORNA H. ESQUIVEL	 ALFREDO T. SALLAN Chief-FAD	 ATTY. ARNALDO E. ESCOBAR, JR., CESO V Assistant Regional Director
Process Owner	Risk Review Committee Head	Regional QMR

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DILG REGIONAL OFFICE V

RISK REGISTER (OBJECTIVE RISK ASSESSMENT)

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DIVISION

FINANCE AND ADMINISTRATIVE DIVISION

PROCEDURE TITLE


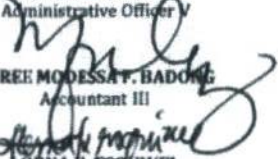



ALLOCATION OF FUNDS, AND PROCESSING AND PAYMENT OF CLAIMS

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)
Timely release of obligated claims within 2 days upon receipt	Unreleased claims for processing	Claimant	Unavailability of the Budget Officer to sign the Obligation Request and Status (ORS)	No designated Officer-In-Charge	Delayed claims for processing	Designated Officer-In-Charge in case of absence of the Budget Officer	2	2	4	NS	Maintain and sustain existing control	
Timely release of process claims within 3 days upon receipt.	No electric current	Concerned Operating Units	Delay in the preparation of ROD	Fluctuating Electric current	Delay or No Report	None	3	3	9	NS	Maintain and sustain existing control	
Timely payment of approved claims within 2 days upon receipt	No electric current	Claimant	Delay in the preparation of LLDAP-ADA and ACIC	Fluctuating Electric current	Delayed payment of claims	None	2	2	4	NS	Maintain and sustain existing control	

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 (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)

Prepared by:	Reviewed by:	Approved by:
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 MARILYN M. PECSON Administrative Officer V  COREE MODESSA F. BADONG Accountant III  LORNA R. ESQUIVEL Administrative Officer V Process Owner	 ALFREDO T. SALAN Chief-FAD Risk Review Committee Head	 ATTY. ARNALDO E. ESCOBAR, JR., CESO V Assistant Regional Director Regional QMR
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