



8. OPERATION

8.1 Operational planning and control

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

- a) determining the requirements for the products and services;
- b) establishing criteria for the processes and the acceptance of products and services;
- c) determining the resources needed to achieve conformity to the product and service requirements;
- d) implementing control of the processes in accordance with the criteria;
- e) 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'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 are allowed for the second semester. The OPCR is prepared, reviewed and approved every semester.

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

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

- a) Policy Formulation
- b) Provision of:
 - technical and administrative assistance;
 - oversight function
 - rewards and incentives services

Relevant Documented Information:

QP: Operations Planning and Budgeting

QP: Monitoring the Implementation of the Performance Management (OM) Tool: Strategic Performance Management System (SPMS)

8.2 Requirements for products and services

8.2.1 Customer communication

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



DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
QUALITY MANUAL

Document Code		
DILG-QM-08		
Document Title		
OPERATION		
Rev. No.	Eff. Date	Page
00	06.15.21	2 of 10

- a) products and services being provided by DILG;
- b) questions/enquiries, contracts or orders, including changes;
- c) feedback, including customer complaints;
- d) handling or controlling customer property;
- e) establishing specific requirements for contingency actions, when relevant

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

- Citizen's Charter
- Website information
- Memos, letters and requests
- Email Service and SMS
- Customer satisfaction survey
- Orientations and fora
- Focus Group Discussions and meetings with other stakeholders
- Implementation of Freedom of Information Bill

Relevant Documented Information:

SP: Services Complaint Handling Procedure

SP: Client Satisfaction Survey Procedure

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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 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 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.



Document Code		
DILG-QM-08		
Document Title		
OPERATION		
Rev. No.	Eff. Date	Page
00	06.15.21	3 of 10

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

8.2.4 Changes to requirements for products and services

DILG 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 Design and Development of Policy, Training and Project

8.3.1 General

DILG develops, issues and enhances policies to support its operations, plans and programs. These policies are referred to as Memorandum Circular (MCs), Joint Memorandum Circulars (JMCs), or other relevant document titles. Likewise, DILG develops, provides/rollouts training to ensure that these capacity development are responsive to the needs of its clients (the LGUs). Policy Formulation, Training Design and Development (part of the Provision of Technical Assistance Procedure) and Project Development/Conceptualization of Sectoral Projects Procedure are carried out through the controls specified under the design and development requirement of ISO 9001:2015 to ensure the subsequent provision of quality products and services to its clients.

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Relevant Documented Information:

- QP: Policy Formulation Procedure
- QP: Project Development/Conceptualization of Sectoral Projects
- QP: Provision of Technical Assistance

8.3.2. Policy Formulation, Training Design and Development and Project Development Planning

In determining the stages and controls for policy formulation, training module design, and project development, the concerned Operating Units of DILG considers:

- a) the nature, duration, scale or magnitude and complexity of the relevant policy formulation, Training Design and Development and project development activities;
- b) the required process stages, including applicable policy, training module and project reviews;
- c) the required policy, training and project design and development verification and validation activities;
- d) the responsibilities and authorities involved in the policy, training module and project design and development process, including where required, external parties;
- e) the internal and external resource needs for the design and development of the policy, training and project;
- f) the need to control interfaces between persons involved in the policy, training module and project design and development process;



Document Code		
DILG-QM-08		
Document Title		
OPERATION		
Rev. No.	Eff. Date	Page
00	06.15.21	4 of 10

- g) the need for involvement of customers and users (e.g. Regional and Field Offices, and LGUs) in the policy, training and project design and development process;
- h) the requirements for subsequent provision of products and services;
- i) the level of control expected for the policy , training and project design and development process by customers and other relevant interested parties; and
- j) the documented information needed to demonstrate that policy, training and project design and development requirements have been met.

8.3.3 Policy Formulation, Training Module Design, and Project Development inputs

The concerned Operating Units of DILG determine the requirements essential for the specific types of policies, training modules, and projects to be designed and developed. It considers:

- a) functional and performance requirements;
- b) information derived from previous similar design and development activities;
- c) statutory and regulatory requirements;
- d) standards or codes of practice that the organization has committed to implement; and
- e) potential consequences of failure due to the nature of the products and services.

Inputs are adequate for policy formulation, training design and development and project development purposes, complete and unambiguous. Conflicting policy formulation and training design and development and project development inputs are resolved for clarity. Documented information on Policy Formulation, Training Design and Development and Project Development inputs are retained.

8.3.4 Policy, training, and project design controls

DILG apply controls to the policy, training and project design processes to ensure that:

- a) the results to be achieved are defined;
- b) reviews are conducted to evaluate the ability of the results of design and development to meet requirements;
- c) verification activities are conducted to ensure that the design and development outputs meet the input requirements;
- d) validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use;
- e) any necessary actions are taken on problems determined during the reviews, or verification and validation activities; and
- f) documented information of these activities is retained.

8.3.5 Policy Formulation, Training Design and Development, and Project Development outputs

DILG ensures that Policy Formulation, Training Design and Development and Policy Formulation outputs:

- a) meet the input requirements;
- b) are adequate for the subsequent processes for the provision of DILG services;



Document Code		
DILG-QM-08		
Document Title		
OPERATION		
Rev. No.	Eff. Date	Page
00	06.15.21	5 of 10

- c) include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria, where appropriate; and
- d) specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision.

Relevant documented information on Policy Formulation, Training Design and Development and Project Development are retained.

8.3.6 Policy Formulation, Training Module Design, and Project Development changes

The concerned Office identify, review and control changes made during, or subsequent to, the policy formulation, training design and development and project development to the extent necessary to ensure that there is no adverse impact on conformity to requirements.

The concerned Office retain documented information on:

- a) policy formulation, training design and development and project development changes;
- b) the results of reviews;
- c) the authorization of the changes; and
- d) the actions taken to prevent adverse impacts.

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QP: Policy Formulation Procedure

QP: Project Development/Conceptualization of Sectoral Projects

QP: Provision of Technical Assistance

8.4 Control of externally provided processes, products and services

8.4.1 General – Procurement Process

DILG ensures that externally provided processes, products and services conform to requirements (specifications) and complies with the Government Procurement Reform Act (RA 9184) and its Revised Implementing Rules and Regulations (RIRR) 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's procurement activities.

DILG, through the General Services Division (CO) and Financial and Administrative Division (ROs), 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.



Document Code		
DILG-QM-08		
Document Title		
OPERATION		
Rev. No.	Eff. Date	Page
00	06.15.21	6 of 10

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 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 ensures the adequacy of requirements prior to their communication to external providers as specified in appropriate forms, such as Agency Procurement Request (APR), Purchase Requests (PR), Purchase Orders (PO), Terms of References (TORs), 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 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.



DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
QUALITY MANUAL

Document Code		
DILG-QM-08		
Document Title		
OPERATION		
Rev. No.	Eff. Date	Page
00	06.15.21	7 of 10

The DILG through the Procurement Section and Property Account Section, General Services Division, 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:

QP: Procurement of Goods and Services, Infrastructure Projects and Consulting Services Procedure
QP: Evaluation of Supplier/Service Provider's Performance Procedure
QP: Inspection, Acceptance, and Issuance of Deliveries Procedure
Annual Procurement Plan
Project Procurement Management Plan
Registry of Suppliers

8.5. Operation and Service provision

8.5.1 Control of operation and service provision

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

This document is UNCONTROLLED when DOWNLOADED and/or PRINTED.

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- 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 implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for services, have been met;
- d) the use of suitable infrastructure and environment for the operation of processes;
- e) the appointment of competent persons, including any required qualification.
- f) the validation and periodic validation of the ability to achieve planned results of DILG processes and its Bureaus, Services and Regional and Field Offices where the resulting output cannot be verified by subsequent monitoring or measurement;
- g) the implementation of actions to prevent human error; and
- h) the implementation of release, delivery and post-delivery activities.

Relevant Documented Information:

QP: Policy Formulation Procedure
QP: Provision of Technical Assistance
QP: Rendition of Legal Opinion Procedure
QP: Provision of Public Assistance and Complaints Handling Services Procedure
QP: Implementation of Citizen Satisfaction Index System (CSIS) Procedure
QP: Project Development Procedure
QP: Issuance of Certificate of No Pending Administrative Case Procedure
QP: Issuance of Foreign Travel of Local Government Officials and Employees Procedure



DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
QUALITY MANUAL

Document Code		
DILG-QM-08		
Document Title		
OPERATION		
Rev. No.	Eff. Date	Page
00	06.15.21	8 of 10

- QP: Issuance of Full Disclosure Policy (FDP) Compliance Certificate Procedure
- QP: Processing of On-Line Regional Death and Burial Claims (DBC) for Deceased Barangay Officials for Request of Fund Allocation through FMS Procedure
- QP: Provision of Barangay Data Procedure
- QP: Issuance of Department Authority to LGUs for the Purchase of Vehicles Procedure
- QP: Implementation of Ombudsman, Sandiganbayan, OP, Comelec Decision/Order/Resolution Procedure
- QP: Issuance of Department Authorization to Utilize Additional Confidential Funds of LGUs Procedure
- QP: Seal of Good Local Governance (SGLG) Procedure
- QP: Management and Operation of the Seal of Good Local Governance Incentive Funds (SGLGIF) Procedure
- QP: Lupong Tagapamayapa Incentives and Awards (LTIA) Procedure

8.5.2 Identification and traceability

Concerned processes and process owners in each Bureau, Service and Regional Office of DILG use suitable means to identify outputs and their status throughout operation and service provision, when it is necessary, to ensure the conformity of its services.

Bureaus, Services and Regional 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 as follows: (The coding scheme is specified in the respective Quality Procedures (QPs) of the Services.)

- Policy document i.e. Memorandum Circular
- Legal opinion
- Action Document for Public assistance and complaints handling
- National Consolidated DBC List
- Department Authority for Travel Abroad
- Department Authority for Purchase of Vehicle
- Full Disclosure Policy (FDP) Compliance Certificate
- List of Beneficiary LGUs
- Certificate of Appearance/No Pending Administrative Case
- Certificate of Incumbency
- Certificate of Services Rendered
- Training Certificates

8.5.3 Property belonging to customers or external providers

Customer of external provider property from the services rendered by DILG only covers documentary requirements that contains personal data. In such case, DILG exercises care with customer or external provider personal data while under DILG's control or being used by the organization.



Document Code		
DILG-QM-08		
Document Title		
OPERATION		
Rev. No.	Eff. Date	Page
00	06.15.21	9 of 10

DILG identifies, verifies, protects and safeguards customers' or external providers' personal data provided for use or incorporation into the service outputs.

When the personal data of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, DILG reports this to the customer or external provider and retains documented information on what has occurred. DILG observes and complies with the Data Privacy Act and the Freedom of Information Bill in handling its customers' personal data.

8.5.4 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.

8.5.5 Post-delivery activities

DILG and its Bureaus, Services, and Regional 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 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.

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

8.5.6 Control of changes

DILG 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 are covered with a policy and/or activity design.

8.6 Release of products and services

DILG 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:

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



DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
QUALITY MANUAL

Document Code		
DILG-QM-08		
Document Title		
OPERATION		
Rev. No.	Eff. Date	Page
00	06.15.21	10 of 10

8.7 Control of Nonconforming Outputs

8.7.1 The DILG 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 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.

8.7.2 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 retains documented information that:

- a) describes the nonconformity;
- b) describes the actions taken;
- c) describes any concessions obtained; and
- d) identifies authority deciding the action in respect of the nonconformity.

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Relevant Documented Information:

SP: Control of Non-Conforming Outputs Procedure

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