



REPUBLIC OF THE PHILIPPINES  
NATIONAL IRRIGATION ADMINISTRATION

# **INTEGRATED MANAGEMENT SYSTEM MANUAL**

**ISO 9001:2015  
ISO 45001:2018**

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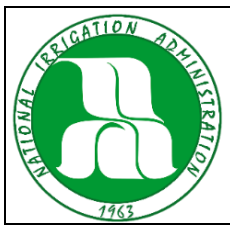
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**GLOSSARY OF ACRONYMS AND ABBREVIATIONS**

<b>AD</b>	Administrative Department
<b>APP</b>	Annual Procurement Plan
<b>ARE</b>	Acknowledgment Receipt for Equipment
<b>CIS</b>	Communal Irrigation System
<b>CMD</b>	Construction Management Division
<b>CO</b>	Central Office
<b>COA</b>	Commission of Audit
<b>CorPlan</b>	Corporate Planning Services
<b>CSC</b>	Civil Service Commission
<b>DBM</b>	Department of Budget and Management
<b>DICT</b>	Department of Information and Communications Technology
<b>DPCR</b>	Division Performance Commitment Review
<b>DQMR</b>	Deputy Quality Management Representative
<b>DSD</b>	Design and Specification Division
<b>ED</b>	Engineering Department
<b>EMD</b>	Equipment Management Division
<b>FMD</b>	Financial Management Department
<b>FRM</b>	Financial Resource Management
<b>GSD</b>	General Services Division
<b>GSP</b>	Goods and Services Procurement
<b>HRD</b>	Human Resources Division
<b>HRM</b>	Human Resource Management
<b>IA</b>	Irrigators' Association
<b>IAS</b>	Internal Audit Services
<b>ICS</b>	Inventory Custodian Slip
<b>ICT</b>	Information and Communications Technology
<b>IDD</b>	Institutional Development Division
<b>IDP</b>	Institutional Development Program
<b>IEC</b>	Irrigation Engineering Center
<b>IERM</b>	Information and External Relations Management
<b>IISO</b>	Integrated Irrigation Systems Office
<b>IMO</b>	Irrigation Management Office
<b>IMS</b>	Integrated Management System
<b>IMT</b>	Irrigation Management Transfer
<b>IPCR</b>	Individual Performance Commitment Review
<b>IQA</b>	Internal Quality Audit
<b>ISF</b>	Irrigation Service Fee
<b>ISO</b>	International Organization for Standardization
<b>ISSP</b>	Information Systems Strategic Plan
<b>IT</b>	Information Technology
<b>LS</b>	Legal Services
<b>MID</b>	Management Information Division
<b>NIA</b>	National Irrigation Administration
<b>NIP</b>	National Irrigation Project
<b>NIS</b>	National Irrigation System



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<b>O&amp;M</b>	Operation & Maintenance
<b>OD</b>	Operations Department
<b>ODAAFS</b>	Office of the Deputy Administrator for Administrative and Finance Sector
<b>ODAEOS</b>	Office of the Deputy Administrator for Engineering and Operations Sector
<b>OHS</b>	Occupational Health and Safety
<b>OPCR</b>	Office Performance Commitment and Review
<b>OSDA</b>	Office of the Senior Deputy Administrator
<b>PAIS</b>	Public Affairs and Information Staff
<b>PD</b>	Presidential Decree
<b>PMO</b>	Project Management Office
<b>PRM</b>	Physical Resource Management
<b>PO</b>	Purchase Order
<b>POW</b>	Program of Work
<b>PPD-ED</b>	Project Planning Division-Engineering Department
<b>PPD-AD</b>	Procurement and Property Division-Administrative Department
<b>PPE</b>	Property, Plant, and Equipment
<b>PPMP</b>	Project Procurement Management Plan
<b>PSB</b>	Personnel Selection Board
<b>QMR</b>	Quality Management Representative
<b>RA</b>	Republic Act
<b>RIS</b>	Requisition and Issue Slip
<b>RO</b>	Regional Office
<b>SMD</b>	Systems Management Division
<b>SPMS</b>	Strategic Performance Management System
<b>SUCs</b>	State Universities and Colleges

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## 1. INTRODUCTION

### 1.1 About the NIA Integrated Management System (IMS) Manual

This NIA IMS Manual defines the advocated policies, systems, and procedures to achieve IMS for NIA. It describes the NIA's interpretation of ISO 9001:2015 and ISO 45001:2018 requirements and reflects its intentions and commitments to comply with the international standards.

### 1.2 Purpose of the NIA IMS Manual

The NIA IMS Manual is published to fulfill the following objectives:

- This manual outlined all the processes and documented information of this office that shall be used as guidelines during the conduct of all the related activities to ensure conformity and compliance to the requirements of the Integrated Management System (IMS) Standards for ISO9001:2015 and ISO45001:2018.
- Present the basic elements of NIA's IMS and serve as reference in its implementation and continual improvement undertakings;
- Inform the internal and external customers and enable them to observe and implement the IMS that is being maintained in NIA;
- Preserve the outputs during the production and service provision, to the extent necessary to ensure conformity to the requirements of the Integrated Management Systems (ISO9001:2015 and ISO45001:2018) Standards; and
- Serve as reference and guide to all NIA personnel and make them familiar with and appreciate NIA's IMS.


### 1.3 NIA IMS Scope

The IMS scope of NIA is "**Public Administration Covering the Provision of Irrigation Services through the Development, Construction, Operation and Maintenance of Irrigation Systems**" undertaken in all offices to preserve the outputs during production and service provision, to the extent necessary.

The implementation of IMS is to ensure conformity to the requirements of ISO 9001:2015 in all NIA offices and ISO 45001:2018 in the Central Office.

### 1.4 NIA Occupational Health and Safety Requirements

The NIA IMS Manual provides the framework for setting the OHS policy and objectives to provide safe and healthy working conditions for the prevention of work-related injury and ill-health, commits to eliminating hazards and reducing risks in the work place.

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IMS shall serve as the mechanism for consultation and participation of NIA employees at all applicable levels and functions, and in the development, planning, implementation, performance evaluation, and actions for improvement of the IMS.

### 1.5 NIA IMS Documentation

The NIA IMS Documentation provides the framework for a consistent approach to documented information of the processes involved on the NIA IMS. The NIA IMS is ever-changing and evolving in order to ensure continuous improvement and its suitability with the current requirements.

Maintained (Active) Documented Information – referred to as “documents” in ISO 9001:2015 and ISO 45001:2018, that involves internally-generated and external documents, both in hard copy or electronic form. All maintained documented information shall be identified, updated, approved, and made available at point of use. This covers laws, issuances, standards, policies, plans, procedures, manuals, forms, templates, etc., which are needed for the effective implementation of NIA IMS.

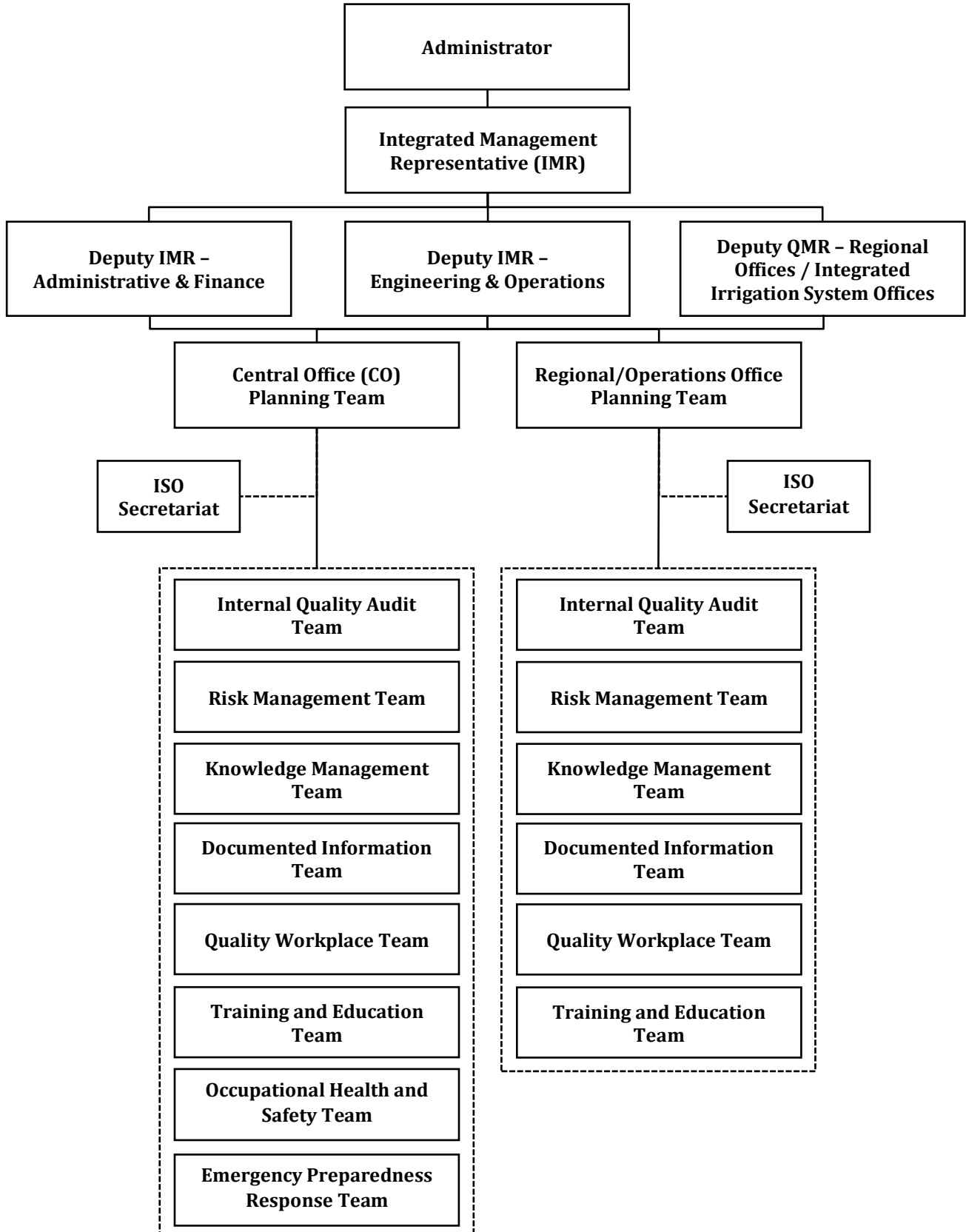
- 1. Retained (Inactive) Documented Information** – referred to as “records” in ISO 9001:2015 and ISO 45001:2018, that provides evidence in performing the NIA’s IMS and conformity with requirements. All retained documented information shall be identified, stored, protected, retrieved, retained for specific periods and disposed whether by destruction or deletion.

### 1.6 ISO Core Teams


The ISO Core Team is composed of key officials and staff from different NIA offices, which supervises the implementation of NIA IMS.



**TOP MANAGEMENT**



**Figure 1-2. ISO Core Team Structure**

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### **1.5.1 Roles and Responsibilities**

The specific roles and responsibilities that each team fulfills are as follows:

#### **Top Management**

The Top Management shall lead the establishment, implementation, and monitoring of the IMS; ensure effectiveness of the IMS through risk-based thinking; establish and communicate quality policy; ensure that quality objectives are established; communicate the importance of meeting customer requirements; determine and provide necessary resources and ensure that they are adequately available; ensure quality work environment for the employees in the organization; and conduct Management Review meetings.

#### **Integrated Management Representative (IMR)**

The IMR shall oversee the establishment, documentation and effective implementation of the IMS (ISO 9001:2015, ISO 45001:2018) Standard; promote risk-based thinking in overseeing the effectiveness of the IMS; act as liaison within external parties on matters relating to IMS; ensure that procedures for internal quality audit (IQA), Management Review, and Corrective Actions are established and implemented; and report IMS performance to Top Management for review and continual improvement.


#### **Deputy Integrated / Quality Management Representative**

The DIMR / DQMR shall support the IMR in the effective planning, implementation, and continual improvement of the established ISO 9001:2015 Quality Management System in the Central, Regional, Integrated and Irrigation Management Offices and ISO 45001:2018 Occupational Health and Safety in the Central Office represent the process owners at their area of responsibility; and report to the IMR its performance and opportunity for improvement, if any.

#### **Planning Team**

The Planning Team shall ensure all required documented information are established and implemented; establish links between the IMS and NIA's strategies and the achievement of objectives; identify key aspects of processes affected by the IMS; upon adoption of quality objectives, ensure that the same are adhered to at relevant functions within the organization; manage the effective delivery of specific outputs in-line with the IMS; and plan and direct effective deployment and efficient use of resources e.g. human, financial (in coordination with the drawing up by the ISO Secretariat of the ISO-related budget), and other physical resources of the project.



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### **ISO Secretariat**

The ISO Secretariat shall provide administrative support to the ISO Core Teams in its area/s of responsibility (such as but not limited to: budget preparation; coordination of meetings, provision of IMS work area; provision of logistical requirements; provision of highlights of meetings; and coordination with officials and consultants); and ensure the coordination between and among members of the ISO Core Team in their area/s of responsibility (such as but not limited to: coordination of the implementation of directions set; and coordination of submissions and deadlines).

### **IQA Team**

The IQA Team shall conduct internal quality audit at least annually to determine conformity of the IMS with the planned arrangements, requirements of the International Standard, and IMS requirements established by the Agency; determine whether NIA's IMS is effectively implemented and maintained; prepare audit plan, coordinate, facilitate, and implement NIA's Audit Program; identify the necessary resources for managing the Agency's Audit Program; provide inputs during management review regarding audit findings; monitor and maintain documented information as evidence of implementation and corrective action/s taken; implement procedure for IQA; and provide criteria for the selection of Internal Quality Auditors.

### **Risk Management Team**


The Risk Management Team shall perform oversight function in ensuring that the established risk controls and related activities are consistently implemented; planning and coordinating effective and efficient use of risk control tools; and ensuring that risk-related information are maintained and retained.

### **Knowledge Management Team**

The Knowledge Management Team shall determine the knowledge necessary for the operation of processes for achieving conformity of services; coordinate with the different Agency units to acquire additional knowledge and update the Agency's Organizational Knowledge Bank; ensure that the Agency's Organizational Knowledge is responsive to changing needs and trends; and maintain organizational knowledge and make it available to the extent necessary.

### **Documented Information Team**

The Documented Information Team shall ensure all documented information are properly maintained and retained; ensure current versions of relevant documented information are available at point of use; prevent unintended use of obsolete, as well as, the unauthorized use of relevant documented information; ensure traceability of all documented information; ensure proper labeling, storage and protection of files following retention periods, proper labeling of filing equipment, segregation of active

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from inactive files; and disposal of obsolete documented information; and keep the documented information procedure updated and consistently implemented.

### **Quality Workplace Team**

The Quality Workplace Team shall ensure consistent implementation of the Quality Workplace Program including safety and security in all Departments/Divisions and regularly monitor and assess its effectiveness; oversee the setting and presentation of standards to Top Management; conduct and/or coordinate briefing and training regarding Quality Workplace to concerned personnel in his/her Department/Division as needed; and coordinate closely with the Department/Division Heads on all matters concerning the Quality Workplace program.

### **Training and Education Team**


The Training and Education Team shall prepare a communication and promotions program to promote awareness on the NIA IMS; organize training, orientation, briefing, cascading sessions and other similar activities relevant to dissemination of important information and/or transfer of knowledge relating to NIA IMS; coordinate with resource persons in providing the necessary collaterals, training and workshops needed to implement the IMS; and scout for and evaluate possible quality trainings and/or memberships in quality organizations that will continuously upgrade and improve the quality service by the organization.

### **Occupational Health and Safety Team**

The Occupational Health and Safety Team shall ensure IMS conforms to the requirements of ISO 45001:2018 Occupational Health and Safety Management System; Report on the performance of the OH&S Management System to Top management; Establish, implement, and maintain processes for consultation and participation of workers at applicable levels and functions, and, where they exist, workers' representatives, in the development, planning, implementation, performance evaluation, and actions for improvement of the IMS

### **Emergency Preparedness Response Team**

The Emergency Preparedness Response Team shall prepare and establish the disaster and earthquake awareness programs of the agency; They shall lead the implementation of safety programs, evacuation procedures, and provide assistance to NIA personnel in order to ensure safety and lessen the possible effects of calamities.

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## 2. NIA PROFILE

### 2.1 Background

The National Irrigation Administration (Filipino: Pambansang Pangasiwaan ng Patubig), abbreviated as NIA, is a government-owned and controlled corporation (GOCC) responsible for irrigation development and management. NIA was created on 22 June 1963 by Republic Act (RA) No. 3601, which served as its charter. On 11 September 1974 and 30 July 1980, the charter was amended by Presidential Decree (PD) Nos. 552 and 1702, respectively, which broadened the authority of NIA. On 2 February 2018, RA 10969 was passed into law, which provided free irrigation services to Filipino farmers with landholdings of eight (8) hectares and below.

The powers and functions of NIA under RA No. 3601, as amended by PD Nos. 552 and 1702, and RA No. 10969, include the following:

1. To investigate, study, and develop all available water resources in the country, primarily for irrigation purposes;
2. To plan, design, construct, and/or improve all types of irrigation projects and appurtenant structures;
3. To operate, maintain, and administer all national irrigation systems (NIS);
4. To supervise the operation, maintenance, and repair, or otherwise, administer temporarily all communal and pump irrigation systems constructed, improved, and/or repaired wholly or partially with government funds;
5. To delegate the partial or full management of NIS to duly organized cooperatives or associations;
6. To construct multiple-purpose water resources projects designed primarily for irrigation, and secondarily for hydraulic power development and/or other uses such as flood control, drainage, land reclamation, domestic water supply, roads and highway construction, and reforestation, among others, provided that the plans, designs, and the construction thereof, shall be undertaken in coordination with the agencies concerned; and
7. To charge and collect irrigation service fees (ISF) from farmers with more than eight (8) hectares of land, as well as corporate farms, and plantation drawing water for agricultural crop production; fishponds, and other persons, natural, or juridical, drawing water for non-agricultural purposes from NIS and communal irrigation systems (CIS), or using the irrigation systems as drainage facilities for wastewater, from all irrigation systems constructed by or under its

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administration, such fees or administration charges as may be necessary to cover the cost of operation, maintenance, and insurance.

## **2.2 Vision, Mission and Core Values**

Consistent with NIA’s mandate, the Vision, Mission and Core values of NIA adds importance towards the needs and expectations of the farmers and other relevant interested parties.

The NIA’s Vision reflects the strategic directions and competencies that NIA shall pursue, which should be responsive to requirements of the customers. The NIA’s Mission states the fundamental purpose of NIA, which serves as a boundary for NIA’s vision.

The NIA’s Core Values are the principles that form the foundation on which NIA performs its work. These are the qualities that NIA considers as its belief and are the basic elements that guide NIA’s conduct and practices.

## **2.3 Integrated Objectives**

The Integrated Objectives are defined based on the strategic objectives set on the NIA Strategy Map. NIA must undertake these objectives, mutually reinforcing it to achieve its Vision.

## **2.4 Integrated Policy**

The Integrated Policy is established, implemented and maintained to express the commitment of the Top Management to achieve Quality and Occupational health and safety as a result of NIA’s operations and to continually improve the NIA’s IMS.

## **2.5 Understanding NIA and its context**

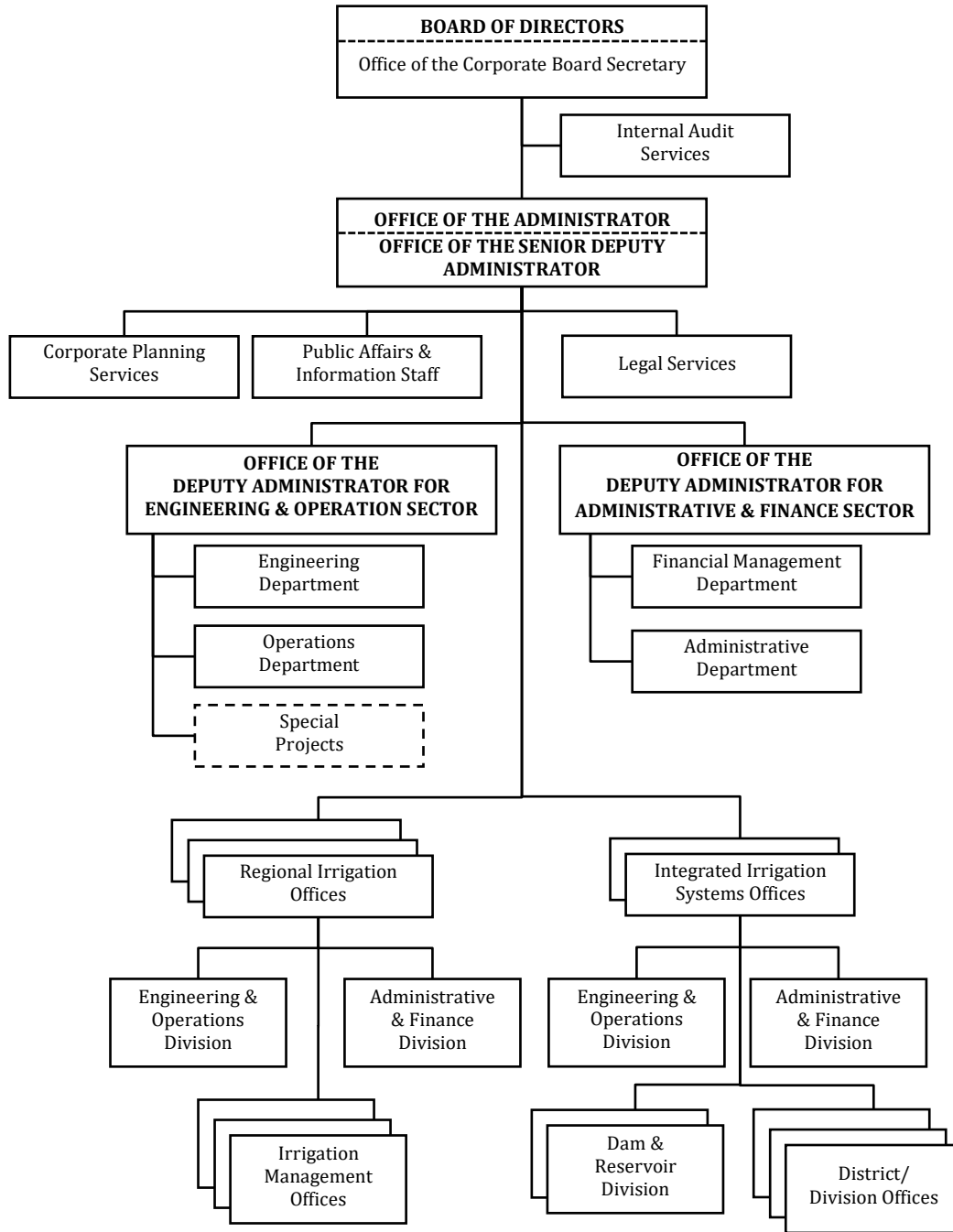
NIA shall determine external and internal issues that are relevant to its purpose and its strategic direction of its IMS using PESTLE and SWOT Analysis, which are tools that explore internal and external factors that influence NIA’s operations.

## **2.6 Relevant Interested Parties**


NIA has identified the interested parties that are relevant to its IMS and the requirements of the interested parties in order to prevent the potential effect on the organization’s ability to consistently provide services, which meet the customer and applicable legal and international requirements. Thus, NIA determines, monitors, and reviews the requirements, needs, and expectations of these relevant interested parties. This information is updated as necessary and used by NIA Management to review its strategic direction during the management planning and review.



**2.7 Organizational Structure**



**Figure 2-1. NIA Organizational Chart**

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## 2.7.1 Functional Description

### Board of Directors (BOD)

The BOD exercises the powers and functions of NIA. The BOD formulates and adopts policies for the management and operations of NIA, and prescribes, amends, and repeals, with the approval of the President of the Philippines, rules and regulations governing the manner in which the general business of NIA may be conducted, including provisions for the formation of such committee/s as the BOD may deem necessary to facilitate the business.

### Office of the Corporate Board Secretary (OCBS)

The OCBS undertakes the evaluation/screening of subject-matters for consideration by the BOD upon receipt of the BOD indorsement and/or instructions from the Administrator. It receives from the Administrator all reports and memoranda and files them after having been acted upon/discussed by the BOD. It takes charge of and keeps the seal of the Administration and attests therewith all official acts of the BOD. It coordinates with officials of the Agency and of other offices on matters taken up during BOD meetings and it also attests all GCG requirements of the BOD.

### Internal Audit Services (IAS)

The IAS reports functionally to the Board Audit Committee (BAC) and administratively to the Administrator of NIA. It is responsible for appraising the adequacy of internal control, the conduct of management audit and the evaluation of the results of operations.

### Office of the Administrator (OAdm)


The Administrator, under the general direction of the BOD, conducts the affairs and business of the NIA and enforces the resolutions, instruction, and orders approved by the BOD, in accordance with the provision of RA No. 3601 as amended by PD Nos. 552 and 1702, and other relevant laws.

### Office of the Senior Deputy Administrator (OSDA)

The Senior Deputy Administrator assists the Administrator in planning, organizing, and directing the activities of the Agency. OSDA conducts/reviews studies of the internal and external environment affecting the Agency and assists in formulating policies to achieve corporate objectives or to improve the operation of the Agency.

### Corporate Planning Services (CorPlan)

The CorPlan provides recommendations in determining medium and long-term corporate objectives, prepares Agency's corporate plan and formulates corporate strategies, designs master plan and contingency plan in implementing strategic alternatives, undertakes policy formulation and review; formulates, and implements the

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information systems plan of NIA; and study and review organization proposals consisting of the organization structure, staffing pattern, and functional description as to its appropriateness and conformity with the current policy directions, thrusts, and program priorities of the government. Implementation on the conduct of Constructors Performance Evaluation System covering offices nationwide for check & balance mechanism and quality assurance of constructors' work performance.

**Public Affairs and Information Staff (PAIS)**

The PAIS plans and implements an information and communication outreach for public affairs and information drives to ensure public acceptance of irrigation projects.

**Legal Services (LS)**

The LS provides services for the protection of corporate rights, interests, and property of the Agency; appears before the courts and other quasi-judicial bodies in the prosecution and/or defense of all cases involving the Agency.

**Office of the Deputy Administrator for Administrative and Finance Sector (ODAAFS)**

The Deputy Administrator for Administrative and Finance Sector plans, organizes, directs, and controls the financial activities of the Agency to achieve optimum allocation and utilization of its resources and increase corporate income.

**Administrative Department (AD)**

The AD formulates/updates plans, programs, policies, guidelines and procedures pertaining to personnel management and development programs, procurement and property management, building and facilities maintenance, and records management, and monitors implementation thereof.


**Financial Management Department (FMD)**

The FMD conducts assessment of financial operators of the NIA to effect better financial management; develops plans and programs for a more effective and efficient management of funds; manages and safeguards the financial resources of the Agency, and prepares, consolidates, and control the annual Current Operating Budget (COB), and monitors implementation thereof.

**Office of the Deputy Administrator for Engineering and Operations Sector (ODAEOS)**

The ODAEOS plans, coordinates, directs, and controls the overall irrigation development program of the Agency.



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### **Engineering Department (ED)**

The ED serves a vital role in the Agency's main thrust of irrigation development and implementation. ED provides technical support to Regional Offices (ROs), Project Management Offices, (PMOs), Local Government Units (LGUs), other government agencies, and other customers in project planning, design, and construction management of irrigation projects.

### **Operations Department (OD)**

The OD reviews and formulates policies, if necessary, for an improved O&M; provides assistance and advises on the O&M repairs and improvement of irrigation systems; capacitates IAs to manage irrigation systems; provides timely and adequate equipment support for the maintenance, repair, rehabilitation, and restoration of irrigation facilities; and conducts research to promote modern irrigation technology.

### **Special Projects/Project Management Office (PMO)**

#### **For foreign assisted and locally funded projects:**

Plans and designs irrigation facilities for approval by the concerned NIA officials; implements and manages the project implementation in coordination with RO and IMO; Monitors, evaluates, and validates submitted reports from field offices and ensures that the implementation followed the specified guidelines and objectives.

### **Regional Office (RO)**

The RO formulates short and long-range plans and programs for the development of feasible irrigation and related water resources projects and implements same; operates and maintains irrigation systems; and utilizes and repairs equipment in the regions.

### **Integrated Irrigation Systems Offices (IISO)**

The IISO implements repair & rehabilitation of existing irrigation systems, operates and maintains Irrigation Systems, and strengthens and assists Irrigators' Associations (IAs).

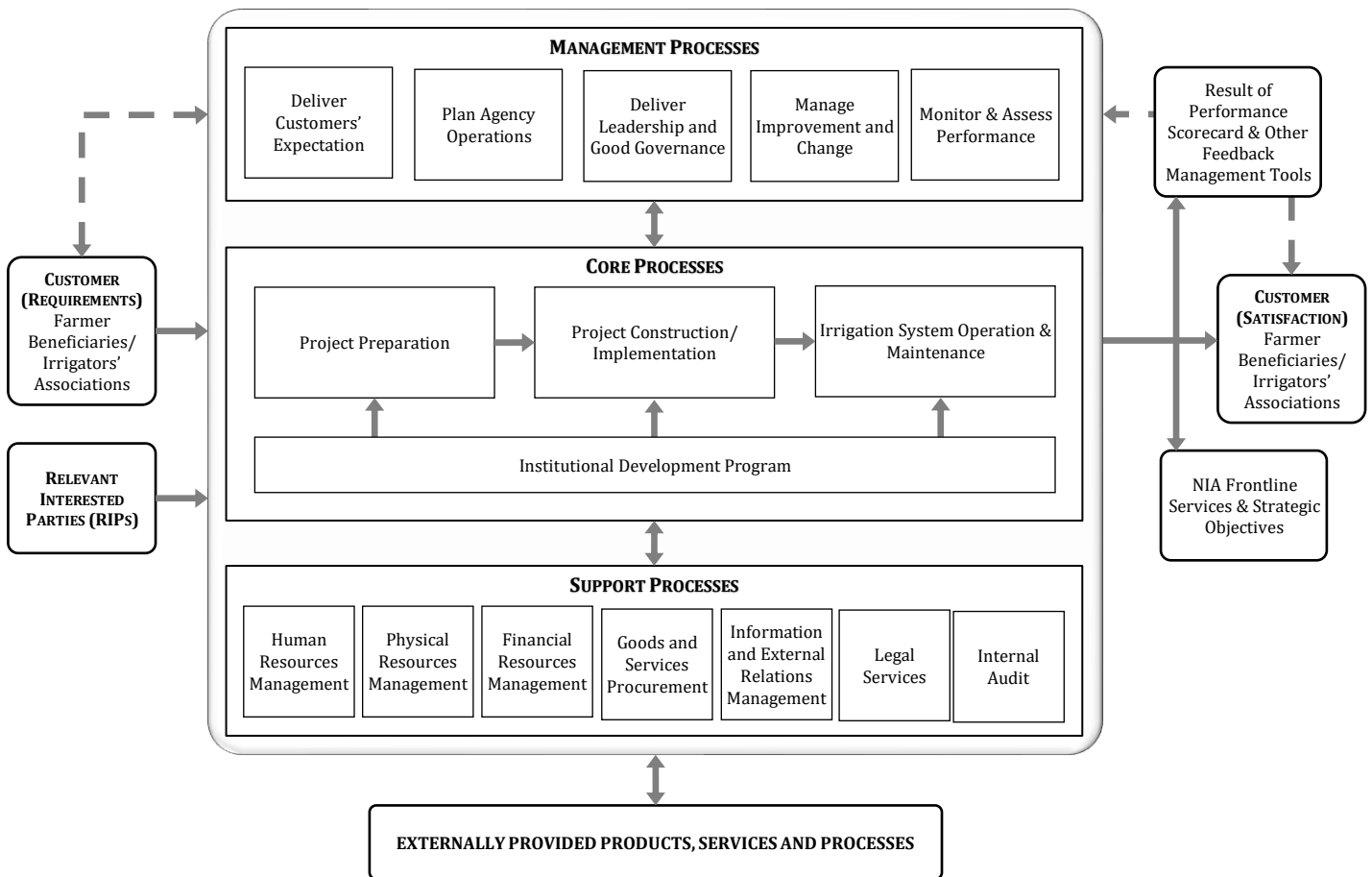
### **Irrigation Management Office (IMO)**

The IMO formulates short and long-range plans and programs for the development of feasible irrigation and related water resources projects and implements same, operates and maintains irrigation systems, utilizes and repairs equipment in the province, and strengthens and assists IAs.




### 3. NIA SERVICE PROCESSES

NIA believes that the key to managing its operations is to manage its processes, which are supported by various units and thus need systematic management. Hence, we adopt the process-based model shown below:



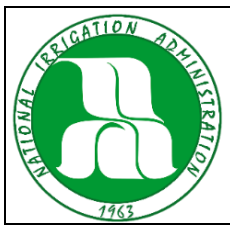
**Figure 3-1. NIA Process Map**

NIA's service processes are a set of interrelated management, core, and support processes, which aims to achieve the organization's commitment to provide quality service to its customers and ensure their utmost satisfaction. Our service processes and corresponding units and teams involved are summarized in Table 3-1.

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**Table 3-1. Summary of Service Processes and Responsible Unit**

<b>A. Management Processes</b>	
1. Deliver Customers' Expectation	Top Management; All Department, Regional & Project Managers; Technical Working Groups; Corporate Planning Services
2. Plan Agency Operations	
3. Deliver Leadership and Good Governance	
4. Manage Improvement & Change	
5. Monitor & Assess Performance	
<b>B. Core Processes</b>	
<b>1. Project Preparation</b>	Central Office - Engineering Department  Regional Office – Engineering & Operations Division  Irrigation Management Office – Engineering Section
1.1 Project Planning	
- National Irrigation Project	
- Small Reservoir Irrigation Project	
- Small Irrigation Project	
1.2 Project Design	
- National Irrigation Project	
- Small Reservoir Irrigation Project	
- Small Irrigation Project	
1.3 Project Procurement	
- National Irrigation Project (NIP), Locally Funded and Foreign Assisted Projects	
- NIS, Foreign Assisted Projects	
- Small Reservoir Irrigation Project	
- Small Irrigation Project	
<b>2. Project Construction</b>	
2.1 Construction Planning and Scheduling	
2.2 Contract Administration	
2.3 Project Monitoring and Evaluation	
- NIP, SIP, Locally Funded & Foreign Assisted Projects	
<b>3. Irrigation System Operation &amp; Maintenance</b>	Regional Office – Engineering & Operations Division  Irrigation Management Office – Operations Section
- Water Delivery	
- Irrigation Service Fee (ISF) Collection	
- Repair and Improvement	
• Dams and Pumps • Irrigation Facilities • Drainage Facilities • O&M Equipment	
<b>4. Institutional Development Program</b>	



**C. Support Processes**

1. Human Resources Management	Central Office – Human Resources Division and Management Services Division  Regional Office – Administrative and Finance Division  Irrigation Management Office – Administrative Section
2. Physical Resources Management	Central Office – General Services Division  Regional Office – Administrative and Finance Division  Irrigation Management Office – Administrative Section
3. Financial Resources Management	Central Office – Financial Management Department  Regional Office – Administrative and Finance Division  Irrigation Management Office – Finance Section
4. Goods and Services Procurement	Central Office – Procurement and Property Division  Regional Office – Administrative and Finance Division  Irrigation Management Office – Administrative Section
5. Information and External Relations Management	Central Office – Management and Information Division and Public Affairs and Information Staff  Regional Office – Office of the Regional Manager  Irrigation Management Office – Office of the IMO Manager
6. Legal Services	Central Office – Legal Services
7. Internal Audit	Central Office – Internal Audit Services


**3.1 Management Processes**

**3.1.1 Deliver Customers' Expectation**

NIA is geared towards delivery of service with commitment, integrity and professionalism. This is defined more empathically with the setting up, in written form, of the Agency service standards reflected in the NIA Citizen's Charter.

The NIA Citizen's Charter details the following information:

- Vision, Mission and Objectives
- Frontline Services, Requirements and Procedures
- Filing of Complaint at NIA Central Office Committee on Discipline

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The NIA Citizen’s Charter promotes transparency in the manner of personnel’s delivery of services to its transacting public and therefore, enhances integrity and accountability, as well as engenders effective practices aimed at preventing graft and corruption in the service.

Farmers’ Satisfaction Survey (FSS)

FSS is a measure to assess the degree of satisfaction of NIA’s customers. The results of the survey enable NIA to identify specific aspects of its services that needs improvement.

**3.1.2 Plan Agency Operations**


The NIA IMS Planning is an ongoing process that establishes at relevant levels the quality objectives including its processes, identifies and addresses the risks and opportunities, and determines the resources needed to deliver results in accordance with the customers’ requirements and NIA’s policies.

The NIA Strategy Map is a visual representation of NIA’s strategy that reflects the interconnection of strategic objectives in pursuit of NIA’s Vision. It is concretized by NIA’s Performance Scorecard.

NIA Strategic Performance Management System (SPMS)

The NIA SPMS is focused on linking individual performance into NIA’s Vision, Mission and Strategic Goals. It is composed of strategies, methods and tools for ensuring fulfilment of the functions of the offices and its personnel for assessing the accomplishments.

The goals and targets set forth on the Strategy Map and Performance Scorecard are cascaded through NIA SPMS. Offices set performance targets/goals through the Office Performance Commitment Review (OPCR). Divisions and individual employees then set performance goals that are aligned with the approved office performance goals through the Division Performance Commitment Review (DPCR) and Individual Performance Commitment Review (IPCR). Review and evaluation of performances of offices, divisions and individuals are done at a regular interval.

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### NIA's Actions to Address Risks and Opportunities

Application of a risk-based thinking approach is essential for achieving an effective implementation of NIA IMS. NIA considers external and internal issues and its strategic directions (quality objectives) in determining risk and opportunities as a basis for planning. Risk is the effect of uncertainty and any such uncertainty can have a positive or negative effect. A positive deviation arising from a risk can provide an opportunity, but not all positive effects of risk result in opportunities. Hence, addressing both risks and opportunities establishes a basis for increasing the effectiveness of NIA IMS, achieving improved results and preventing negative effects.

NIA establishes a risk registry to record identified risks, their impact and the actions to be taken.

The methodology includes the following steps:

- Identify each potential risk in a process/activity;
- Rate the criteria for impact of each identified risk;
- Rate the likelihood/probability of risk to occur;
- Categorize/Assess each risk into high, medium, or low based on a combination of impact and likelihood to establish an overall risk score to all identified risks establishing priority in addressing each identified risk;
- Determine appropriate response and contingency to each identified risk;
- Identify the risk owner or whose responsibility will the risk fall;
- Identify potential cause of the risk outcome; and
- Establish an action plan to address the cause of the risk.


Options to address risks can include avoiding and taking risk in order to pursue an opportunity, eliminating the risk source, changing the likelihood or consequences, sharing the risk, or retaining risk by informed decision. Opportunities can lead to the adoption of new practices, launching new products, opening new markets, addressing new customers, building partnerships, using new technology and other desirable and viable possibilities to address the organizations' or its customers' needs.

Monitoring and measurement of the risk registry shall be done at planned intervals and thereby evaluate the effectiveness of the actions taken, hence, be reviewed and updated, as necessary, during corrective actions and management review to give assurance that NIA IMS can achieve its intended result(s); enhance desirable effects; prevent, or reduce, undesired effects; and to achieve improvement.

### **3.1.3 Deliver Leadership and Good Governance**

The Top Management shall deliver leadership and good governance by:

- Taking accountability for the effectiveness of the IMS;
- Ensuring that the quality policy and quality objectives are established for the NIA IMS and are compatible with the context and strategic direction of the organization;

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- Ensuring the integration of the NIA IMS requirements into the organization’s business processes;
- Promoting the use of the process approach and risk-based thinking;
- Ensuring that the resources needed for the NIA IMS are available;
- Communicating the importance of effective quality management and of conforming to the IMS requirements;
- Ensuring that the NIA IMS achieves its intended results;
- Engaging, directing and supporting persons to contribute to the effectiveness of the NIA IMS;
- Promoting improvement;
- Supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.

The Top Management, composed of the Administrator, the Senior Deputy Administrator and the Deputy Administrators – is committed to the implementation and continual improvement of NIA’s IMS. These commitments are demonstrated by:


- Employees understanding the importance of meeting customer needs as well as adherence to applicable legal and international requirements;
- Communicating and adopting the Vision/Mission/Core Value Statement and Integrated Policy and Objectives;
- Periodic conduct of Management Review;
- Promoting a positive culture of safe, healthy, eco-friendly workplace environment including the provision of available resources and appropriate technology for establishing, implementing and improving NIA’s IMS;
- Promoting an overall suitable environment, taking into consideration physical, social and psychological factors; and
- Providing opportunities for employees’ growth and development through training, coaching and encouraging them to pursue excellence in meeting customer requirements and expectations.

### **3.1.4 Manage Improvement and Change**

#### Internal Audit

Internal Audit is an integral part of the internal control system of public service organizations. The scope of internal audit involves all matters relating to operations and management control.

Among others, internal audit encompasses the appraisal of the adequacy of internal controls, the conduct of management audit and the evaluation of the results of operations, focusing on the effectiveness of controls of operating systems and support services units/systems. For more info, see section 3.3.7 Internal Audit.

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### Internal Quality Audit

Internal Quality Audit is a systematic, independent and documented process for obtaining audit evidence/s and evaluating it objectively to determine the extent to which the audit criteria/s are fulfilled.

NIA conducts Internal Quality Audit at planned intervals to provide information for management review and other internal purposes. It also forms the basis for NIA to declare its conformity within the system.

For the conduct of audit to be effective, tangible evidence needs to be collected. Actions are taken for correction and improvement based upon analysis of the evidence gathered. The knowledge gained could lead to innovation, taking NIA IMS performance to higher levels.

### Control of Nonconformity and Corrective Action

NIA shall provide services to its clients in accordance with their specified requirements. As such, it is the policy of the NIA to ensure that all services that do not conform to requirements are identified, evaluated, and resolved. Likewise, it is also the policy of NIA to implement corrective actions to continually improve the effectiveness of NIA IMS.

#### **3.1.5 Monitor and Assess Performance**

Management Review is an essential approach for continual improvement of the effectiveness and efficiency of the IMS with the objective of enhancing achievement of customer satisfaction.


Top Management will preside in the Management Review for the purpose of assessing IMS, providing resources and giving courses of action for improvement.

Top Management is also responsible in appointing member/s of the Core Teams who, shall have responsibilities and authority that includes ensuring that processes needed are established, implemented and maintained, promoting awareness of customer requirements throughout the organization and reporting to Top Management on the performance of the IMS.

The Management Review of the IMS, which shall be done at least annually, after the conduct of internal quality audit, shall be the joint responsibility of the Top Management, Department/Regional/Division Managers, Section Heads, and Committees to whom the Process Owner reports, per approved NIA organizational structure; thus providing all the necessary avenues for a more timely evaluation and response necessary in addressing operations and performance issues.

The review focuses on how NIA ensures the continuing suitability and effectiveness of the IMS in satisfying the requirements of the customers/citizens and other relevant interested parties. Its agenda may include, but not limited to, the following:



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- The status of actions from previous management reviews;
- Changes in internal and external issues that are relevant to the IMS;
- Information on the performance and effectiveness of IMS, including the trends in:
  - Customer satisfaction and feedback from relevant interested parties;
  - The extent to which quality objectives have been met;
  - Process performance and conformity of products and services;
  - Non-conformities and corrective actions;
  - Monitoring and measurement results;
  - Audit results;
  - The performance of external providers;
- The adequacy of resources;
- The effectiveness of actions taken to address risks and opportunities; and
- Opportunities for improvement;

The outputs of the Management Review shall include decisions and actions related to:

- Opportunities for improvement;
- Any need for changes to the IMS; and
- Resource needs.

The organization shall retain documented information as evidence of the results of management reviews.


### 3.2 Core Processes

NIA's core processes consist of project preparation, project construction/implementation, operations and institutional development processes.

Process owners are responsible for ensuring that all core activities affecting quality services are accomplished in accordance with controlled documents such as IMS manuals, procedures, work instructions and controlled data such as customers' requirements and documents of external origin. These documents contain appropriate criteria for determining whether core processes have been undertaken and/or completed satisfactorily. Specific guidelines and procedures are established, which will be the basis of document review, approval and issuance of changes to ensure customers' satisfaction in the implementation necessary for the planning and operation of the IMS. All personnel are responsible for ensuring that the revisions/amendments of applicable standards are used in accordance with customers' requirements.

Internal audits of the core activities affecting NIA's quality of services are scheduled, planned and conducted in accordance with established procedures. The need for corrective action is identified through sources such as nonconformance, audits, and customers' complaints. Quality data is analyzed for trends in services, processes, and the systems that may require action to eliminate causes of potential nonconformities. The results of these analyses are raised to management to determine the potential risks to prevent occurrence.



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### **3.2.1 Project Preparation**

#### **Project Planning**

Integral to the execution of its mandate to develop water resources for irrigation and other potential uses, NIA undertakes a deliberate technical or organizational project planning process of developing an optimal strategy and outlining tasks and schedules to solve problems and achieve a desired set of goals. The process, therefore, encompasses the determination of needs and the formulation of appropriate response interventions.

Considering this central theme, the Project Planning process is comprised of six (6) activities which include Project Identification, Project Investigation/Validation, Project Design Studies, Plan Formulation, Feasibility Report and Project Authorization.

#### **Project Detailed Engineering Design**

The design processes of an irrigation project start from preparation of conceptual designs during the preliminary investigation and determination of feasibility of the project. The preliminary designed irrigation facilities shall be translated into efficient water use and areas to be irrigated to come up with the design of the required irrigation projects/facilities.


The basic objective of facility design is to produce adequate irrigation and drainage related infrastructure that will meet the needs of the project at minimum cost with due consideration for economical operation and maintenance. All these facilities shall comply with hydraulic and structural design requirements. The approved Detailed Engineering Design for an irrigation project is the basis for implementation.

### **3.2.2 Project Construction**

Project construction involves the implementation of approved plans and programs in accordance with design and specification with optimum utilization and management of resources. Ideal construction management framework includes a clear roadmap in Construction Planning and Scheduling, Contract Administration, Project Evaluation and Monitoring.

### **3.2.3 Irrigation System Operation & Maintenance (O&M)**

The O&M of irrigation systems involves the preparation, implementation, monitoring, and evaluation of the approved O&M Plan that covers the water delivery and distribution, repair and maintenance of irrigation facilities, and collection of ISF. It also involves the conduct of research to promote irrigation technology, and provision of timely and adequate equipment support for maintenance, repair, rehabilitation, and restoration of irrigation systems.

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### **3.2.4 Institutional Development Program (IDP)**

The IDP involves the organization and development of irrigation farmer-beneficiaries into IAs to manage and operate part or whole of irrigation systems under the Irrigation Management Transfer (IMT) program.

## **3.3 Support Processes**

### **3.3.1 Human Resource Management (HRM)**

HRM involves recruitment and selection of personnel based on approved qualification standards for the different units of the Agency in accordance with CSC-approved NIA Revised Merit Selection Plan, provide training programs to enhance knowledge, skills and attitudes of employees, and ensure that all benefits due to officials and employees are provided.

### **3.3.2 Physical Resource Management (PRM)**

NIA maintains a safe and comfortable work environment, its surroundings, landscaping and various facilities such as office areas, canteen, lounge, social hall, auditorium for all employees, where every possible and reasonable accommodation is made for every individual's accessibility and needs. Workstations are arranged to support personal comfort and productivity. Work areas are organized according to space required for the assigned task.

### **3.3.3 Financial Resource Management (FRM)**

The FRM includes accounting, budgeting and disbursement of NIA's financial resources including monitoring of fund utilization and submission of required reports to oversight agencies.


### **3.3.4 Goods and Services Procurement (GSP)**

GSP involves the effectiveness and promptness of procurement of goods and services. It also involves the monitoring of supply market trends (e.g. material price increases, shortages, changes in suppliers) and interpretation of its impact on the Agency's procurement strategies.

### **3.3.5 Information and External Relations Management (IERM)**

#### **Information Management**

Information management involves management of the Agency's database for monitoring, reporting, management decision making, research, publications and other purposes for the organization and other relevant interested parties. It also involves the operation and maintenance of Information and Communication Technology (ICT) resources and ensure efficient and secured ICT infrastructure and database. Development and implementation

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of information systems compliant to the Information System Strategic Plan (ISSP) in accordance with DICT rules and regulations. Administers the official website of NIA and monitors ROs websites

### **External Relations Management**

The External Relations Management maintains healthy and fruitful relationship of the Agency’s stakeholders through various means of media guided by a Yearly Comprehensive Communication Plan.

It likewise involves adoption of effective strategies to act on client requests, complaints, and issues raised on the Agency.

#### **3.3.6 Legal Services (LS)**

NIA through the LS undertakes legal research, renders legal advice to queries and undertakes defense of all cases on various legal issues emanating from different department/ROs of the Agency. The office also provides legal services for the protection of corporate rights, interest & property, and review of all contracts, agreements & other legal instruments that may be entered by the Agency with private entities and other government instrumentalities for legal validity.

#### **3.3.7 Internal Audit**

Internal audit evaluates the Agency’s internal controls, including its corporate governance and system and process, determines compliance with laws, rules, and statutory regulations. Internal audit also provides management with the necessary tools to attain operational efficiency by identifying problems and correcting lapses discovered.

Internal audit is designed to add value and improve the Agency’s operations to accomplish its objectives through systematic and disciplined approach with a guided method of planning, execution, reporting, and follow ups process.

Findings, observations, and equivalent recommendations for improvements are presented in a formal report. This report is likewise presented and discussed to the BAC and the Top Management.

## **4. RETENTION**

The procedure in maintaining documents is anchored to the Retention of Documented Information Procedure under the manual of the Documented Information Team.



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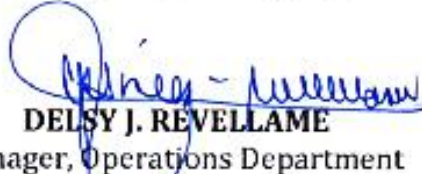
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