QUALITY MANAGEMENT SYSTEM MANUAL (ISO 9001:2008)
# Table of Contents

<table>
<thead>
<tr>
<th>CONTENT NO.</th>
<th>TITLE</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. INTRODUCTION</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>1.1 Objectives of the NIA Quality Management System Manual</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>1.2 NIA Vision, Mission and Objectives</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>1.2.1 Vision</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>1.2.2 Mission</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>1.2.3 Objectives</td>
<td></td>
<td>4</td>
</tr>
<tr>
<td>1.3 Quality Policy</td>
<td></td>
<td>5</td>
</tr>
<tr>
<td>2. Our Organization</td>
<td></td>
<td>6</td>
</tr>
<tr>
<td>2.1 NIA Profile</td>
<td></td>
<td>6</td>
</tr>
<tr>
<td>2.2 Function Description</td>
<td></td>
<td>7</td>
</tr>
<tr>
<td>2.3 ISO Core Team</td>
<td></td>
<td>10</td>
</tr>
<tr>
<td>2.3.1 Roles and Responsibilities</td>
<td></td>
<td>10</td>
</tr>
<tr>
<td>3. Quality Management System</td>
<td></td>
<td>14</td>
</tr>
<tr>
<td>3.1 Quality Management System Scope</td>
<td></td>
<td>14</td>
</tr>
<tr>
<td>3.2 Quality Management System Documentation</td>
<td></td>
<td>15</td>
</tr>
<tr>
<td>3.2.1 Quality Management System Manual</td>
<td></td>
<td>15</td>
</tr>
<tr>
<td>3.2.2 Quality Procedures</td>
<td></td>
<td>15</td>
</tr>
<tr>
<td>3.2.3 Operational Procedures and Procedural Flows</td>
<td></td>
<td>15</td>
</tr>
<tr>
<td>3.2.4 Records</td>
<td></td>
<td>16</td>
</tr>
<tr>
<td>3.3 Document Control and Records Management</td>
<td></td>
<td>16</td>
</tr>
<tr>
<td>4. Service Processes</td>
<td></td>
<td>16</td>
</tr>
<tr>
<td>4.1 Management Processes</td>
<td></td>
<td>18</td>
</tr>
<tr>
<td>4.1.1 Deliver Stakeholders' Expectation</td>
<td></td>
<td>18</td>
</tr>
<tr>
<td>4.1.2 Plan Agency Operations</td>
<td></td>
<td>18</td>
</tr>
<tr>
<td>4.1.3 Deliver Leadership and Good Governance</td>
<td></td>
<td>19</td>
</tr>
<tr>
<td>4.1.4 Manage Improvements and Change</td>
<td></td>
<td>19</td>
</tr>
<tr>
<td>4.1.5 Monitor and Assess Performance</td>
<td></td>
<td>20</td>
</tr>
<tr>
<td>4.2 Core Processes</td>
<td></td>
<td>21</td>
</tr>
<tr>
<td>4.2.1 Project Preparation</td>
<td></td>
<td>22</td>
</tr>
<tr>
<td>4.2.2 Project Construction</td>
<td></td>
<td>22</td>
</tr>
<tr>
<td>4.2.3 National Irrigation System (NIS) Operation &amp; Maintenance (O&amp;M)</td>
<td></td>
<td>23</td>
</tr>
<tr>
<td>4.2.4 Institutional Development Program (IDP)</td>
<td></td>
<td>24</td>
</tr>
<tr>
<td>4.3 Support Processes</td>
<td></td>
<td>24</td>
</tr>
<tr>
<td>4.3.1 Human Resource Management</td>
<td></td>
<td>24</td>
</tr>
<tr>
<td>4.3.2 Physical Resource Management</td>
<td></td>
<td>25</td>
</tr>
<tr>
<td>4.3.3 Financial Resource Management</td>
<td></td>
<td>25</td>
</tr>
<tr>
<td>4.3.4 Goods and Services Procurement</td>
<td></td>
<td>25</td>
</tr>
<tr>
<td>4.3.5 Information and External Relations Management</td>
<td></td>
<td>26</td>
</tr>
<tr>
<td>4.3.6 Legal Services</td>
<td></td>
<td>27</td>
</tr>
<tr>
<td>4.3.7 Internal Audit</td>
<td></td>
<td>27</td>
</tr>
</tbody>
</table>

**Approval** | | 29 |
LIST OF FIGURES

<table>
<thead>
<tr>
<th>FIGURE NO.</th>
<th>TITLE</th>
<th>PAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Figure 1-1</td>
<td>NIA Organizational Chart</td>
<td>6</td>
</tr>
<tr>
<td>Figure 2-1</td>
<td>ISO Core Team Structure</td>
<td>10</td>
</tr>
<tr>
<td>Figure 3-1</td>
<td>Service Process Model</td>
<td>14</td>
</tr>
</tbody>
</table>

LIST OF ANNEXES

ANNEX A. FLOW OF ACTIVITIES/ACTIONS BETWEEN NIA OFFICES
ANNEX B. SERVICE PROCESS MODEL - PROJECT PREPARATION
ANNEX C. SERVICE PROCESS MODEL - PROJECT CONSTRUCTION
ANNEX D. SERVICE PROCESS MODEL - NIS OPERATION & MAINTENANCE
ANNEX E. SERVICE PROCESS MODEL - INSTITUTIONAL DEVELOPMENT PROGRAM
ANNEX F. SERVICE PROCESS MODEL - HUMAN RESOURCES MANAGEMENT
ANNEX G. SERVICE PROCESS MODEL - PHYSICAL RESOURCE MANAGEMENT
ANNEX H. SERVICE PROCESS MODEL - FINANCIAL RESOURCE MANAGEMENT
ANNEX I. SERVICE PROCESS MODEL - GOODS AND SERVICES PROCUREMENT

GLOSSARY OF ACRONYMS AND ABBREVIATIONS

AD  Administrative Department
APP  Annual Procurement Plan
ARE  Acknowledgment Receipt for Equipment
CIS  Communal Irrigation System
CMD  Construction Management Division
CO   Central Office
COA  Commission of Audit
CorPlan  Corporate Planning Services
CSC  Civil Service Commission
DBM  Department of Budget and Management
DICT  Department of Information and Communications Technology
DPCR  Division Performance Commitment Review
DQMR  Deputy Quality Management Representative
DSD  Design and Specification Division
ED   Engineering Department
EMD  Equipment Management Division
FMD  Financial Management Department
GSD  General Services Division
HRD  Human Resources Division
IAS  Irrigators’ Associations
IAS  Internal Audit Services
ICS  Inventory Custodian Slip
ICT  Information and Communications Technology
<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>ICTO</td>
<td>Information and Communications Technology Office</td>
</tr>
<tr>
<td>IDD</td>
<td>Institutional Development Division</td>
</tr>
<tr>
<td>IDP</td>
<td>Institutional Development Program</td>
</tr>
<tr>
<td>IEC</td>
<td>Irrigation Engineering Center</td>
</tr>
<tr>
<td>IISO</td>
<td>Integrated Irrigation Systems Office</td>
</tr>
<tr>
<td>IMO</td>
<td>Irrigation Management Office</td>
</tr>
<tr>
<td>IMT</td>
<td>Irrigation Management Transfer</td>
</tr>
<tr>
<td>IPCR</td>
<td>Individual Performance Commitment Review</td>
</tr>
<tr>
<td>IQA</td>
<td>Internal Quality Audit</td>
</tr>
<tr>
<td>ISF</td>
<td>Irrigation Service Fee</td>
</tr>
<tr>
<td>ISO</td>
<td>International Organization for Standardization</td>
</tr>
<tr>
<td>ISSP</td>
<td>Information Systems Strategic Plan</td>
</tr>
<tr>
<td>IT</td>
<td>Information Technology</td>
</tr>
<tr>
<td>LS</td>
<td>Legal Services</td>
</tr>
<tr>
<td>MID</td>
<td>Management Information Division</td>
</tr>
<tr>
<td>NIA</td>
<td>National Irrigation Administration</td>
</tr>
<tr>
<td>NIP</td>
<td>National Irrigation Project</td>
</tr>
<tr>
<td>NIS</td>
<td>National Irrigation System</td>
</tr>
<tr>
<td>O&amp;M</td>
<td>Operation &amp; Maintenance</td>
</tr>
<tr>
<td>OD</td>
<td>Operations Department</td>
</tr>
<tr>
<td>ODAAAF</td>
<td>Office of the Deputy Administrator for Administrative and Finance</td>
</tr>
<tr>
<td>ODAEAO</td>
<td>Office of the Deputy Administrator for Engineering and Operations</td>
</tr>
<tr>
<td>OPCR</td>
<td>Office Performance Commitment and Review</td>
</tr>
<tr>
<td>OSDA</td>
<td>Office of the Senior Deputy Administrator</td>
</tr>
<tr>
<td>PAIS</td>
<td>Public Affairs Information Staff</td>
</tr>
<tr>
<td>PD</td>
<td>Presidential Decree</td>
</tr>
<tr>
<td>PMO</td>
<td>Project Management Office</td>
</tr>
<tr>
<td>PO</td>
<td>Purchase Order</td>
</tr>
<tr>
<td>POW</td>
<td>Program of Work</td>
</tr>
<tr>
<td>PPD-AD</td>
<td>Project Planning Division-Engineering Department</td>
</tr>
<tr>
<td>PPD-ED</td>
<td>Procurement and Property Division-Administrative Department</td>
</tr>
<tr>
<td>PPE</td>
<td>Property, Plant and Equipment</td>
</tr>
<tr>
<td>PPMP</td>
<td>Project Procurement Management Plan</td>
</tr>
<tr>
<td>PSB</td>
<td>Personnel Selection Board</td>
</tr>
<tr>
<td>QMR</td>
<td>Quality Management Representative</td>
</tr>
<tr>
<td>QMS</td>
<td>Quality Management System</td>
</tr>
<tr>
<td>RA</td>
<td>Republic Act</td>
</tr>
<tr>
<td>RIS</td>
<td>Requisition and Issue Slip</td>
</tr>
<tr>
<td>RO</td>
<td>Regional Office</td>
</tr>
<tr>
<td>SMD</td>
<td>Systems Management Division</td>
</tr>
<tr>
<td>SPMS</td>
<td>Strategic Performance Management System</td>
</tr>
<tr>
<td>SUCs</td>
<td>State Universities and Colleges</td>
</tr>
</tbody>
</table>
1.1 Objectives of the NIA Quality Management System Manual

This NIA QMS Manual defines the advocated policies, systems, and procedures to achieve Quality Management System (QMS) for the National Irrigation Administration (NIA).

The NIA QMS Manual aims to:

- Present the basic elements of NIA’s QMS and serve as reference in its implementation and continual improvement undertakings;
- Inform the internal and external stakeholders and enable them to observe and implement the Quality Management System that is being maintained in NIA; and
- Serve as reference and guide for newly hired employees and make them familiar and appreciate NIA’s QMS.

1.2 NIA Vision, Mission and Objectives

1.2.1 Vision

By 2020, NIA is a professional and efficient irrigation agency contributing to the inclusive growth of the country and in the improvement of the farmers’ quality of life.

1.2.2 Mission

To construct, operate and maintain irrigation system consistent with integrated water resource management principles to improve agricultural productivity and increase farmers’ income.

1.2.3 Objectives

- To develop and maintain irrigation systems in support of the agricultural program of the government;
- To provide adequate level of irrigation service on a sustainable basis in partnership with the farmers and local government units;
- To provide technical assistance to institutions in the development of water resources for irrigation;
- To improve and sustain the operation of NIA as a viable corporation and service-oriented agency.
1.3 Quality Policy

We are committed to provide efficient, effective, and sustainable irrigation service aimed towards the highest satisfaction of the Filipino farmers contributing to the country’s inclusive economic growth.

We shall strive for the attainment of our strategic themes of Technical and Operational Excellence, and Good Governance through Partnership with the farmers and other stakeholders.

We shall remain dedicated to the core values of Commitment, Integrity and Professionalism, to continually improve the NIA’s Quality Management System.

“Ang NIA at Magsasaka, Magkatuwang sa Ginhawa”
2. OUR ORGANIZATION

2.1 NIA Profile

The National Irrigation Administration (NIA), a Government-Owned and Controlled Corporation (GOCC) is responsible for irrigation development and management. It was created by Republic Act (RA) 3601. Its charter was amended by Presidential Decree (PD) 552 and PD 1702, which increased the capitalization and broadened the authority of the Agency.

Figure 1-1. NIA Organizational Chart
2.2 Function Description

Office of the Administrator

The Administrator, under the general direction of the Board, conducts the affairs and business of the NIA and enforces the resolutions, instruction and orders approved by the Board, in accordance with the provision of RA No. 3601 as amended by PD No. 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. It 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 information systems plan of NIA.

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 Legal Services provides services for the protection of corporate rights, interest 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.

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 Deputy Administrator for Administrative and Finance (ODAAF)

The Deputy Administrator for Administrative and Finance 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 department 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, monitor their implementation.

Financial Management Department (FMD)

The FMD conducts assessment of financial operators of the NIA to effect better financial management; develop 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 monitor the implementation thereof.

Office of the Deputy Administrator for Engineering and Operations (ODAEO)

The Deputy Administrator for Engineering and Operations plans, coordinates, directs, and controls the overall irrigation development program of the Agency.

Engineering Department (ED)

The Engineering Department serves a vital role in the Agency’s main thrust of Irrigation development. The department provides technical support to RIOs, PMOs, LGUs and other Stakeholders in project planning, design and construction management of irrigation projects.

Operations Department (OD)

The Operations Department provides assistance and advices on the operation and maintenance (O&M), repairs and improvement of irrigation systems; review annual plans and programs submitted by Field Offices on the management of irrigation systems.
Special Projects/Project Management Office (PMO)

Responsible in the implementation of construction activities of NIA Special Projects per approved plans and programs.

Central Project Management Office:

For foreign assisted projects:
Responsible in the planning, designing and constructing irrigation facilities in coordination with the Regional and Irrigation Management Office; monitor, evaluate and validate periodically the progress of accomplishment as submitted by the field offices.

For 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; Monitor, evaluates and validates submitted reports from field offices and ensure that the implementation followed the specified guidelines and objectives.

Regional Office (RO) - Region IV-A

The RO implements the irrigation plans and programs for the region; formulates short and long-range plans and programs for the development of feasible irrigation and related water resources projects, construction/rehabilitation of irrigation projects, O&M of irrigation systems, and utilization and repair of equipment in the regions.

Integrated Irrigation Systems Offices (IISO) - UPRIIS

The IISO prepares irrigation development plans and implements repair & rehabilitation of existing irrigation systems, Operation & Maintenance of Irrigation Systems, Development and Assistance to Irrigators’ Associations, and Technical Assistance to Local Government Units on Communal Irrigation Project/Systems development.

Irrigation Management Office (IMO) - Quezon

The IMO implements the irrigation plans and programs for their respective provinces; assistance in the development and formulation of short and long-range plans and programs for the development of feasible irrigation and related water resources projects, construction/rehabilitation of irrigation projects, O&M of irrigation systems and utilization and repair of equipment in their respective provinces.
2.3 ISO Core Team

The ISO Core Team is composed of key officials and staff from different departments and divisions which establishes the QMS Manual and supervises its implementation.

![ISO Core Team Structure Diagram](image)

2.3.1 Roles and Responsibilities

The specific roles and responsibilities that each ISO Core Team function fulfills are as follows:

**Top Management**

- Provides overall direction, full commitment and support in ensuring that the organization has an effective QMS;
- Ensures focus on customer requirements throughout the organization and ensures that appropriate processes are implemented to enable the requirements and other interested parties to be fulfilled and quality objectives to be achieved;
- Establishes and maintains the quality policy and quality objectives of the organization;
- Ensures that an effective and efficient QMS is established, implemented and maintained to achieve set objectives;
• Upholds the quality policy and quality objectives throughout the organization to increase awareness, motivation and involvement;
• Ensures the availability and manages necessary resources to attain objectives;
• Evaluates the QMS periodically;
• Decides on actions regarding the quality policy and quality objectives and improvement of the QMS;
• Dynamically supports and participates in ISO-QMS activities;
• Encourages a proactive and optimistic approach to continuous improvement; and
• Ensures a quality work life for the employees in the organization.

Quality Management Representative (QMR)

• Ensures the establishment, documentation, implementation and maintenance of the QMS;
• Ensures that the QMS is regularly reviewed by top management for effectiveness and propriety and in accordance with the ISO standards;
• Implores corrective and preventive actions and ensures their effective implementation;
• Ensures the promotion of awareness of customer requirements throughout the organization;
• Reports to top management on the performance of the QMS and any need for improvement;
• Liaises with external parties on matters relating to the NIA's QMS; and
• Addresses appeal cases on QMS issues as head of the Committee on Discipline (COD).

Deputy Quality Management Representative (DQMR)

• Assists the QMR in performing their duties and responsibilities;
• Reports to the QMR on the performance of the organization's QMS and need for improvement, if any; and
• Ensures cooperation and implementation of the quality policy and quality objectives in their area/s of responsibility.

ISO Secretariat

• Provides the administrative support to the ISO Core Team (such as but not limited to: budget preparation; coordination of meetings, provision of ISO work area; provision of logistical requirements; provision of highlights of meetings; follow-ups on tasks of the teams; coordinates with officials and consultants; disseminates important information to members of the Core Team, etc.); and
• Ensures the coordination between and among members of the Core Team (such as but not limited to: coordination of the implementation of directions set; coordination of submissions and deadlines; schedule of inter- team meetings; follow-ups with ISO officers' communications provided by teams; etc.)
Planning Team

- Prepares for adoption and ensures, upon adoption, that quality objectives (targets and key results areas) are established at relevant functions and supported by programs within the organization;
- Reviews how customer information is currently monitored; identifies objectives for customer satisfaction; identifies how customer satisfaction is captured and quantified;
- Plans and directs effective deployment and efficient use of human, financial (in coordination with the drawing up by the ISO Secretariat of the ISO budget); and other physical resources of the project;
- Establishes links between the QMS and NIA’s strategies and the achievement of objectives;
- Identifies key aspects of processes affected by the QMS; and
- Takes the lead in the following:
  - Defining corporate and process level quality plans and objectives
  - Preparing the QMS roadmap
  - Developing strategy maps

Document & Records Control Team

Document Controller:

- Ensures that documents needed are properly maintained and are readily available;
- Keeps track and records revisions/modifications of controlled documents and keeps the original copy of the obsolete documents;
- Updates the Master list of Controlled Documents as needed and registers externally generated documents that are used as references; and
- Keeps itself updated on and/or determines and/or recommends use of new ways and methods of securing, keeping, and retrieving documents that may apply to the organization’s document control system.

Records Controller:

- Ensures that records needed are properly maintained and are readily available;
- Oversees the overall implementation of Records Management;
- Ensures the proper labeling, storage and protection of files following retention periods, proper labeling of filing equipment, segregation of active from inactive files; and disposal of obsolete records;
- Conducts and/or coordinates training on Records Management (including storage and disposal); and
- Coordinates closely with the organization’s Department/Division Heads on matters concerning Records Management.
Internal Quality Audit Team

- Conducts internal quality audit at least annually to determine conformity of the QMS to the planned arrangements, to the requirements of the International Standard and to the quality management system requirements established by the Agency;
- Determines whether NIA’s QMS is effectively implemented and maintained;
- Prepares audit plan, coordinates, facilitates and implements NIA’s Audit Program;
- Identifies the necessary resources for managing the Agency’s Audit Program;
- Provides inputs during management review regarding audit findings;
- Monitors and maintains records of implementation of corrective action and preventive actions taken;
- Develops procedure for IQA; and
- Provides criteria for the selection of QMS auditors.

Quality Workplace Team

- Prepares a Quality Workplace Program and ensures consistent implementation including safety and security in all Departments/Divisions and regularly monitors and assesses its effectiveness;
- Oversees the setting and presentation of standards to top management;
- Conducts and/or coordinates briefing and training regarding Quality Workplace to concerned personnel in his/her Department/Division as needed; and
- Coordinates closely with the Department/Division Heads on all matters concerning the Quality Workplace program.

Training and Education Team

- Prepares a communication and promotions program to promote awareness on the ISO QMS;
- Organizes training, orientation, briefing, cascades sessions and other similar activities relevant to dissemination of important information and/or transfer of knowledge relating to the ISO QMS;
- Coordinates with resource persons in providing the necessary collaterals, training and workshops needed to implement the QMS;
- Scouts for and evaluates possible quality trainings and/or memberships in quality organizations that will continuously upgrade and improve on quality service by the organization; and
- Conceptualizes and implements the organization’s customer satisfaction surveys, and analyzes/prepares summary reports on survey results.
3. Quality Management System

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. Service Process Model
Note: Processes cover Central, Regional, Irrigation Management Offices and Project Offices.

3.1 Quality Management System Scope

NIA adopts a Quality Management System that covers the “Provision of Irrigation Services through the Development, Construction, Operation and Maintenance of Irrigation Systems” undertaken in the Central Office, Upper Pampanga River Integrated Irrigation Systems (UPRIIS) Head Office, Region IV-A Regional Office (RO), and Quezon Irrigation Management Office (IMO) relative to its strategic map thrust through facilitative assistance and informative guidance to investors and other stakeholders, and other processes in support thereof.

The Provinces covered by UPRIIS consists mostly of the whole Nueva Ecija Province and parts of Pampanga, Bulacan, and Tarlac. The main source of water supply for UPRIIS is the Pantabangan Dam. The main base of operations for UPRIIS is located at Maharlika Highway, Cabanatuan City Nueva Ecija.
Region IV-A consists of five provinces, Cavite, Laguna, Batangas, Rizal and Quezon, also known as Calabarzon. Region IV-A has a jurisdiction on Laguna-Rizal IMO, Cavite-Batangas IMO and Quezon IMO.

3.2 Quality Management System Documentation

NIA's documented Quality Management System provides the framework for a consistent approach to the issues concerning the processes found in Section 3.1 of this manual. The QMS is ever-changing and evolving in order to ensure its suitability with current requirements.

NIA's Quality Management System is described in the following documents:

3.2.1 Quality Management System Manual

This document describes NIA’s QMS which adheres to the requirements of ISO 9001:2008. The QMS Manual aims to establish a concise reference of procedures and other documents needed to meet the QMS requirements.

3.2.2 Quality Procedures

The Quality Procedures refer to documented methods for consistent management and control of critical issues relating to the QMS and continual improvement that include the following procedures:

- Control of Documents
- Control of Records
- Internal Quality Audit
- Control of Nonconformity
- Corrective and Preventive Action

3.2.3 Operational Procedures and Procedural Flows

This refers to formal documented methods for ensuring consistent and effective approach to satisfy operational goals embodied in the following, among others:

- NIA Charter
- Process Flow on the Project Preparation is comprised of six (6) activities which include Project Identification, Project Investigation, Project Design Studies, Plan Formulation, Feasibility Report and Project Authorization.
- Project Construction Flow Process
- Operations Process of NIS Operation and Maintenance
3.2.4 Records

Documents are designed for recording information for communication to concerned personnel and for documenting evidence of conformity with the QMS requirements.

Specific examples of records are as follows:

- Management review records
- Internal audit reports
- Corrective / preventive action records
- Highlights of the Managers’ Meetings
- Highlights of the Management Reviews

3.3 Document Control and Records Management

To ensure that NIA staff work with the right versions of the correct documents, the designated Document Controllers shall provide the direction.

The Document Controller maintains an electronic master list, which identifies all controlled documents, their revision status and distribution. Any controlled document can be compared with this master list to verify if the latest revision is in use.

To be able to demonstrate that NIA actually implements the QMS as designed, NIA implements a procedure for records management. Each core and support unit maintains a Records Matrix for easy retrieval and disposition, which indicates the controlled records’ location, method of filing and retention period.

Reference:  Control of Documents Procedure
            Control of Records Procedure

4. Service Processes

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 1.
### Table 4-1. Summary of Service Processes and Responsible Unit

<table>
<thead>
<tr>
<th>A. Management Processes</th>
<th>Responsible Unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Deliver Stakeholders’ Expectation</td>
<td>Top Management; All Department, Regional &amp; Project Managers; Corporate Planning</td>
</tr>
<tr>
<td>2. Plan Agency Operations</td>
<td></td>
</tr>
<tr>
<td>3. Deliver Leadership and Good Governance</td>
<td></td>
</tr>
<tr>
<td>4. Manage Improvement &amp; Change</td>
<td></td>
</tr>
<tr>
<td>5. Monitor &amp; Assess Performance</td>
<td></td>
</tr>
<tr>
<td>B. Core Processes</td>
<td></td>
</tr>
<tr>
<td>1. Project Preparation</td>
<td></td>
</tr>
<tr>
<td>1.1 Project Planning</td>
<td>Central Office - Engineering Department;</td>
</tr>
<tr>
<td>1.2 Project Design</td>
<td>Regional Office – Engineering &amp; Operations Division;</td>
</tr>
<tr>
<td>1.3 Project Procurement</td>
<td>Irrigation Management Office – Engineering Section</td>
</tr>
<tr>
<td>2. Project Construction</td>
<td></td>
</tr>
<tr>
<td>2.1 Construction Planning and Scheduling</td>
<td></td>
</tr>
<tr>
<td>2.2 Contract Administration</td>
<td></td>
</tr>
<tr>
<td>2.3 Project Monitoring and Evaluation</td>
<td></td>
</tr>
<tr>
<td>3. NIS Operation &amp; Maintenance</td>
<td></td>
</tr>
<tr>
<td>3.1 Water Delivery</td>
<td>Central Office - Operations Department;</td>
</tr>
<tr>
<td>3.2 Irrigation Service Fee (ISF) Collection</td>
<td>Regional Office – Engineering &amp; Operations Division;</td>
</tr>
<tr>
<td>3.3 Repair and Improvement</td>
<td>Irrigation Management Office – Operation &amp; Maintenance Section</td>
</tr>
<tr>
<td>3.4 O&amp;M Equipment</td>
<td></td>
</tr>
<tr>
<td>4. Institutional Development Program</td>
<td></td>
</tr>
<tr>
<td>C. Support Processes</td>
<td></td>
</tr>
<tr>
<td>1. Human Resources Management</td>
<td>HRD</td>
</tr>
<tr>
<td>2. Physical Resources Management</td>
<td>GSD</td>
</tr>
<tr>
<td>3. Financial Resources Management</td>
<td>FMD</td>
</tr>
<tr>
<td>4. Goods and Services Procurement</td>
<td>PPRD</td>
</tr>
<tr>
<td>5. Information and External Relations Management</td>
<td>MID, PAIS</td>
</tr>
<tr>
<td>6. Legal Services</td>
<td>Legal</td>
</tr>
<tr>
<td>7. Internal Audit</td>
<td>IAS</td>
</tr>
</tbody>
</table>
4.1 Management Processes

4.1.1 Deliver Stakeholders’ Expectation

In the delivery of services to its customers, NIA geared itself with efficient service delivered with commitment, integrity and professionalism. This is defined more empathically with the setting up, in written form, of the agency service standards known as 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

The 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

One of the methods to measure the performance and the effectiveness of our QMS, NIA monitors its customers’ perception on whether or not we fulfill their requirements, by way of the following:

- Survey on Satisfaction rating on services rendered
- Review of positive and negative customer feedback reports
- Action on Negative Feedback

A survey on our delivery of services is conducted and reviewed annually through State Universities and Colleges (SUCs). Results are presented in the Managers’ Meetings.

Positive Feedback are published in the In-house publications and posted on the Agency website.

Negative feedbacks are addressed with appropriate actions in order to ensure that the levels of Farmer Satisfaction are as high as reasonably possible.

Reference: Survey Form on Satisfaction rating on services rendered
Feedback and Redress Mechanism in NIA’s Charter

4.1.2 Plan Agency Operations

The formulation of NIA’s strategy, operational programs, short/long term goals, targets and action plans and their corresponding performance review against the established plans and programs is the result of NIA’s strategic planning. This is the forum where
NIA’s strategic thrust is laid out, targets are set, responsibilities are defined and resource requirements are determined.

### 4.1.3 Deliver Leadership and Good Governance

A general NIA-wide Managers’ Conference, held at least once a month, is an essential part of our approach to continual improvement of the effectiveness and efficiency of the QMS with the objective of enhancing our achievement of customer satisfaction. In addition, separate management review meetings will be held for each of the major performance measures under the ISO requirements, such as but are not limited to, results of internal audit, customer feedback and attainment of quality objectives.

Effective Management Review requires the assembly of meaningful performance data – performance of service, process and personnel – to allow fact-based decision-making.

The review includes information on:

- Results of internal and external audits;
- Farmers’ feedback;
- Process performance;
- Status of objectives, targets and action plans;
- Status of corrective and preventive actions;
- Follow-up actions on previous management reviews;
- Changes that could affect the Quality Management System; and
- Recommendations for improvements.

### 4.1.4 Manage Improvements and Change

**Internal Audit**

Our organization ensures that the QMS continues to be responsible in attaining NIA’s quality objectives. Implementation, relevance and compliance with the established QMS are verified by regular and systematic independent internal audits conducted by qualified Internal Quality Auditors (IQA).

**Control of Nonconformity**

Our organization ensures that nonconformities that arise from our operations are effectively controlled. The Control of Nonconformity, Corrective and Preventive Action procedure was established to identify, review and take action on nonconformities that may be observed on listed sources:

- Nonconformities listed in the Nonconforming Services Matrix;
- Customer-related nonconformities;
- QMS audit findings; and
- Supplier-related nonconformities
Reference: Control of Nonconformity, Corrective and Preventive Action Procedure, Nonconforming Services Matrix

Continual Improvement

NIA's Strategic Plan, Highlights of Managers' Meetings, Quality Policy, Departmental Objectives, Targets and Action Plans, Reports on Farmers' Feedback, and Corrective and Preventive Actions are evidences of NIA's commitment for continual improvement.

4.1.5 Monitor and Assess Performance

Top Management will preside in the Management Review for the purpose of assessing QMS as to suitability, providing resources and giving instruction on courses of action for the QMS' improvement.

As such, Top Management is similarly responsible in appointing member/s of the organization's management who, irrespective of their responsibilities, shall have responsibilities and authority that includes ensuring that processes needed are established, implemented and maintained, promoting of awareness of customer requirement throughout the organization and reporting to Top Management on the performance of the QMS.

The Management Review of the QMS, which shall be held at least annually, shall be the joint responsibility of the Department Head, Section Head, Top Management, and similarly extends to the Committees to whom the Process Owner reports, per approved NIA organizational structure; in sum, thus providing all the necessary avenues should a more timely evaluation and response be necessary in addressing operations and performance issues.

The review shall focus on how NIA ensures the continuing suitability and effectiveness of the system in satisfying the requirements of the customers/citizens and other stakeholders. Its agenda may include, but not limited to, the following:

- Follow up actions from previous management reviews;
- Results of audits;
- Customer feedback including complaints (dissatisfaction);
- Process performance and product conformity;
- Status of corrective and preventive actions;
- Changes that could affect the quality management system; and
- Recommendations for improvement

Output from management review shall contain:

- Improvement of the effectiveness of the quality management system and its processes
- Improvement of services related to customer requirements
- Resource needs

Records resulting from the Management review shall be appropriately maintained.

4.2 Core Processes

NIA’s core processes consist of project preparation, project construction/implementation, operations and institutional development processes. Stated under the NIA Charter Section 2, Power and Objectives of the Republic Act No. 3601 and Presidential Decree 552 are the Agency’s powers and objectives.

To ensure that the ISO standards are applied across all Sections, Divisions and Departments of NIA which are covered by NIA’s Process Model under its QMS, the quality procedures of control of documents, control of records, internal audit, control of non-conforming services and performance corrective and preventive actions are implemented continuously and consistently in all of NIA’s organizational units.

Process owners are responsible for ensuring that all core activities affecting quality services are accomplished in accordance with controlled documents such as quality systems manuals, procedures, work instructions and controlled data such as stakeholders’ 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 stakeholders satisfaction in the implementation necessary for the planning and operation of the quality management system. All personnel are responsible for ensuring that the correct revisions/amendments of applicable standards are used in accordance with stakeholders’ 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 nonconformances, audits, and stakeholders’ 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 preventive action required to prevent occurrence.

4.2.1 Project Preparation

Project Planning

Integral to the execution of its mandate to develop water resources for irrigation, 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.

In light of 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 starts 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.

After the Detailed Engineering Design for an irrigation project is approved this is ready for the preparation of the corresponding Program of Works (POW), Project Procurement Management Plan (PPMP), Annual Procurement Plan (APP) and after approval of same, procurement process and implementation shall follow.

4.2.2 Project Construction

Construction management is a diverse discipline wherein the ultimate objective is to implement and complete the project without any constraint. It provides importance for optimum utilization of resources. The ideal construction management framework, there should be a clear roadmap in Construction Planning and Scheduling, Contract
Administration and Project Evaluation and Monitoring. The Implementing Rules and Regulations of RA 9184, Commission on Audit (COA) and Office policies and Foreign Financing Procurement guidelines are used by the Construction Management Division in performing their functions.

4.2.3 National Irrigation System (NIS) Operation & Maintenance (O&M)

The Operation and Maintenance (O&M) of NIS monitored in the central office by the Systems Management Division (SMD) under the supervision of the Operations Department (OD) and carried out through the Regional Offices down to the Irrigation Systems guided by the following objectives to its level:

- To maintain a financially viable system – this can be realized by increasing the efficiency of the Irrigation Service Fee (ISF) collection above the total operating and maintenance expenses without sacrificing the quality of services to farmer-beneficiaries.
- To maintain physical facilities in good operating conditions – the field offices should implement a continuing preventive maintenance program to avoid higher repair and maintenance cost in the future.
- To supply adequate irrigation water to farmer-beneficiaries and avoid wastage of irrigation water and conflicts arising from the farmers discontent and other similar irrigation related causes.
- To encourage increased participation of farmer-beneficiaries in the O&M of the system. The field offices should continually engage in the organization and development of the Irrigators Associations (IAs) and extend technical and managerial assistance to keep them viable.

The Irrigation Engineering Center (IEC) under the supervision of the OD acts as the Research, Development and Extension (RDE) unit of NIA which prioritizes effective, appropriate and efficient irrigation and water management through irrigation research activities to upgrade performance of irrigation structures and facilities; improve performance of irrigation systems; and promote modern irrigation technology to support the operation & maintenance of NIS.

Equipment used in the O&M of NIS are also monitored in central office through the Equipment Management Division (EMD) under the supervision of the OD guided by the following objectives:

- To provide timely and adequate equipment support for the maintenance, repair, rehabilitation and restoration of NIS.
- To provide adequate equipment support for repair of irrigations canals and brass dam in times of calamities.
- To provide transportation vehicle in monitoring implementation of on-going irrigation construction and/or rehabilitation projects.
- To generate additional income to the agency thru equipment rental.
4.2.4 Institutional Development Program (IDP)

The NIA’s Institutional Development Program (IDP) is geared towards building and sustaining the Agency’s capacity to effectively implement its mandate to organize and develop irrigation farmer-beneficiaries into irrigators associations (IAs) or in some cases into irrigation service cooperatives. The overriding mandate of NIA is to capacitate the IAs and eventually delegate to the latter the partial or full management of national irrigation systems under the Irrigation Management Transfer (IMT) program or complete turnover including ownership in the case of communal irrigation systems under the IA O&M System Turnover program.

The Institutional Development Division (IDD) is the main organizational unit of NIA tasked with the overall provision of policy direction and guidelines, and supervision of IDP as implemented in all Regional Irrigation Offices. While, IDD is administratively and technically under the Operations Department, it also provides oversight functions to projects, both locally and foreign-assisted, being supervised by the Engineering Department in as far IDP is concerned.

IDP encompasses IA involvement and participation practically in every aspect of irrigation development and management stages, i.e, during project preparation, construction/implementation, and operation and maintenance. All throughout these stages, the organized IAs are provided with various capacity building trainings to equip them with the necessary knowledge, skills, and attitude and be able to perform their tasks, duties, and responsibilities. Likewise, IDP also includes assistance programs to IAs to enable them establish strong and sustainable linkages and access to support services from other agencies both in the government and private sectors.

Planning, implementation, monitoring and evaluation of IDP engage various processes, approaches and strategies to nurture IAs’ growth as NIA’s vital partner in irrigation development and management.

4.3 Support Processes

4.3.1 Human Resource Management

NIA believes that human resources is the most vital resource in any organization. Qualified and competent human resources are one of the essential elements of an effective, efficient and competitive organization.

The Human Resources Division (HRD) is tasked to recruit and select personnel based on approved qualification standard for the different units of NIA. It adopts the Qualification Standards in terms of education, training, experience and eligibility requirement per position title set by the Civil Service Commission (CSC) and NIA (for positions unique to NIA). Recruitment policies/guidelines are based on CSC-approved NIA Revised Merit Selection Plan and applicable CSC issuances on appointment. The selection process is deliberated upon by the Personnel Selection Board (PSB) and the concerned Division or
Department Manager recommends appointee to the Appointing Authority for approval of appointment.

The HRD plans and implements internal and external training program geared towards enhancing knowledge, skills and attitudes of NIA employees. New entrants are inducted with an informal orientation on the basic information about NIA, benefits, simple rules and regulations.

Employee’s performance assessment is conducted annually and semi-annually in accordance with the CSC prescribed Strategic Performance Management System (SPMS) using the Office Performance Commitment and Review (OPCR), Division Performance Commitment and Review (DPCR) and Individual Performance Commitment and Review (IPCR) forms.

Retirement benefits under RA No. 8291 and RA No. 1616 are administered by the HRD.

4.3.2 Physical Resource Management

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.

The end objective of this is to establish a quality work-life for the employees in order to work more effectively and efficiently.

4.3.3 Financial Resource Management

Overall financial operations of NIA through the office of the financial management department establish and maintain a cost accounting system and financial controls consistent with the needs of management and administrative accounting and auditing laws, rules and regulations for more effective and efficient management of funds.

4.3.4 Goods and Services Procurement

The Procurement Section ensures effective and prompt procurement of supplies, materials, equipment, spare parts and contract services for Central Office in accordance with RA 9184. After validation of the Project Procurement Management Plan (PPMP) of Regional/ Project Offices and Central Office for the succeeding year by the Budget and Revenue Division, the Procurement Section consolidates said PPMP into APP. In addition, it monitors supply market trends (e.g. material price increases, shortages, changes in suppliers) and interpret the impact of these trends on the Agency’s strategies. Identify the critical materials and services required to support the Agency in the key performance
areas. Common-use supplies, materials and equipment are being procured from the Procurement Service attached to Department of Budget and Management (DBM). Facilitate payments to suppliers by preparation of the Budget Utilization Request and Disbursement Vouchers.

Regardless of the mode of procurement, the Property Section ensures that all receipt/accepted delivered goods shall be in accordance with the specifications, terms and conditions as provided in the Purchase Order (PO)/Contract subject to technical and COA inspection. Likewise, said delivered goods are properly documented and issued to personnel/end-users with signed and approved Acknowledgement Receipt for Equipment (ARE), Inventory Custodian Slip (ICS) and Requisition and Issue Slip (RIS).

Pursuant to COA Circular No. 80-124, physical inventory activity being an indispensable procedure for checking the integrity of property custodianship shall be strictly enforced. Thus, the Inventory Committee undertakes Physical Inventory of all CO Property, Plant and Equipment (PPE) every last quarter of current year and submit Annual Inventory Report to COA every January 15 of ensuing year. The Property Section registers and pays the corresponding insurances of CO buildings, facilities and service vehicles at LTO and GSIS, respectively. Auction/Disposal of unserviceable, no longer needed, obsolete, forfeited/seized supplies, materials and equipment are done regularly.

Procurement and Property Division provides both internal/external stakeholders with timely, cost-effective and efficient procurement and property management services integrated with the mission and vision of the Agency.

4.3.5 Information and External Relations Management

Information Management

The Management Information Division (MID) under CORPLAN is tasked to manage the agency’s database for information, monitoring, reporting, management decision making, research, publications and other purposes. MID is also responsible for the operation and maintenance of information communication technology resources, and facilities of the organization ensuring efficient and secured Information Communication Technology (ICT) infrastructure.

MID is in-charge in the development of information systems compliant for automation and computerization of NIA’s processes. The official website of the agency is administered by the division guided by the agency’s Information System Strategic Plan (ISSP) in accordance with the rules and regulations of ICTO.

External Relations Management

The Public Affairs and Information Staff (PAIS) is directly under the Office of the Administrator. Its mandate is to project the best image of the Agency using various means of tri-media, such as print and broadcast, social media, among others.
To be guided with its activities in attaining its mandate, PAIS develops a Yearly Comprehensive Communication Plan, defining its core functions as stated below:

- Publicity and Public Relations
- Publication/IEC Materials
- Audio-Visual/Information & Communication Technology
- Communications and Program Monitoring
- Other Activities

4.3.6 Legal Services

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

4.3.7 Internal Audit

The Internal Audit Services (IAS) is in charge on the conduct of audit and evaluation of audit findings to determine the extent of compliance with established laws, rules, guidelines and ISO 9001:2008 standards. The audit processes are as follows:

AUDIT SCOPE AND CRITERIA

Audit Engagement Planning

Audit engagement planning involves the listing down of the audit objective, audit criteria and scope, the detailed audit procedures to accomplish the audit objective, the auditor to perform the procedures and the specified time frame. The audit plan should be based on a sound understanding of the internal control system, operating and support systems and processes. In planning and scoping audits, audit effort and resources are directed to the key issues that matter most and to complete the audit in the least time necessary, without compromising its quality. It is the most important part of the audit as the success of an audit depends on how well it has been planned.

Audit Execution

Execution of the audit is initiated with an entry conference to discuss the focus, requirements and timeliness of the audit. It involves performing the audit techniques and procedures enumerated in the work program to gather data and pieces of evidence, to achieve the stated audit objective/s.
Compliance Audit is the first approach in the audit execution either in Management or Operations Audit, to determine the effectiveness of control and whether the government operations are in accordance with the organization’s mandate and objectives.

Highlights of the audit findings are discuss in the exit conference with the auditee and/or the responsible official who has sufficient knowledge about the audit area to provide an opportunity to get the auditee’s comments and insights about the significant audit issues.

**Audit Reporting**

Audit reporting represents the culmination of the audit execution and the associated analysis and considerations made during the audit. The audit findings should align with the audit objectives and should be rational and based on specific standards and criteria. The recommendations provide courses of action as the basis for improving internal controls. Audit recommendations are management/legal remedies to avoid occurrence (preventive action) or avoid recurrence (corrective action) of control weaknesses and incidences.

**Audit Follow-up**

Follow-up is a monitoring and feedback activity undertaken to ensure the extent and adequacy of preventive/corrective actions taken by the Management to address the inadequacies identified during the audit.
5. APPROVAL

Prepared by:

ROGELIA C. DELA TORRE
Acting Manager, Corporate Planning Services / Chairman, ISO Secretariat

Reviewed by:

ESTRELLA E. ICASIANO
Deputy Administrator for Administrative and Finance Sector/QMR

Approved by:

ENGR. FLORENCIO F. PADERNAL, DPA
Administrator
QMS MANUAL

(ISO 9001:2008)

ANNEXES
## Table of Contents

<table>
<thead>
<tr>
<th>Annexes</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Annex A: Flow of Activities/Actions between NIA Offices</strong></td>
<td>4</td>
</tr>
<tr>
<td><strong>Annex B: Service Process Model - Project Preparation</strong></td>
<td>5</td>
</tr>
<tr>
<td>1. Project Planning</td>
<td>5</td>
</tr>
<tr>
<td>1.1 Central Office Process Flow</td>
<td>5</td>
</tr>
<tr>
<td>1.2 Regional Office Process Flow</td>
<td>5</td>
</tr>
<tr>
<td>1.3 Irrigation Management Office Process Flow</td>
<td>5</td>
</tr>
<tr>
<td>2. Detailed Engineering Design</td>
<td>6</td>
</tr>
<tr>
<td>2.1 Central Office Process Flow</td>
<td>6</td>
</tr>
<tr>
<td>2.2 Regional Office Process Flow</td>
<td>6</td>
</tr>
<tr>
<td>2.3 Irrigation Management Office Process Flow</td>
<td>6</td>
</tr>
<tr>
<td><strong>Annex C: Service Process Model - Project Construction</strong></td>
<td>7</td>
</tr>
<tr>
<td>1. Central Office Process Flow</td>
<td>7</td>
</tr>
<tr>
<td>2. Regional Office Process Flow</td>
<td>7</td>
</tr>
<tr>
<td>2.1 Program of Work (POW):</td>
<td>7</td>
</tr>
<tr>
<td>2.2 Procurement:</td>
<td>7</td>
</tr>
<tr>
<td>2.3 Project Implementation and Monitoring:</td>
<td>8</td>
</tr>
<tr>
<td>3. Irrigation Management Office Process Flow</td>
<td>8</td>
</tr>
<tr>
<td><strong>Annex D: Service Process Model - NIS Operation &amp; Maintenance</strong></td>
<td>9</td>
</tr>
<tr>
<td>1. Central Office Process Flow</td>
<td>9</td>
</tr>
<tr>
<td>1.1 Water Delivery:</td>
<td>9</td>
</tr>
<tr>
<td>1.2 ISF Collection:</td>
<td>9</td>
</tr>
<tr>
<td>1.3 Repair and Improvement:</td>
<td>10</td>
</tr>
<tr>
<td>1.4 Repair of O &amp; M Equipment and Evaluation of EMD Reports:</td>
<td>10</td>
</tr>
<tr>
<td>2. Regional Office Process Flow</td>
<td>11</td>
</tr>
<tr>
<td>2.1 Operation, Repair and Maintenance of Equipment:</td>
<td>11</td>
</tr>
<tr>
<td>3. Irrigation Management Office Process Flow</td>
<td>11</td>
</tr>
<tr>
<td>3.1 Pre-Irrigation Phase:</td>
<td>11</td>
</tr>
<tr>
<td>3.2 Irrigation Phase:</td>
<td>11</td>
</tr>
<tr>
<td>3.3 Post-Irrigation Phase:</td>
<td>12</td>
</tr>
<tr>
<td><strong>Annex E: Service Process Model - Institutional Development Program</strong></td>
<td>13</td>
</tr>
<tr>
<td>1. Institutional Development Division</td>
<td>13</td>
</tr>
<tr>
<td>2. Institutional Development Program Stages for IA Strengthening and Sustenance</td>
<td>14</td>
</tr>
<tr>
<td>3. Institutional Development Program Input-Process-Output Framework</td>
<td>15</td>
</tr>
<tr>
<td>3.1 Project Preparation/Pre-Construction Stage:</td>
<td>15</td>
</tr>
<tr>
<td>3.2 Construction/Implementation:</td>
<td>16</td>
</tr>
<tr>
<td>3.3 Operation &amp; Maintenance Phase:</td>
<td>18</td>
</tr>
</tbody>
</table>
ANNEX F: SERVICE PROCESS MODEL - HUMAN RESOURCES MANAGEMENT .............................................. 19
1. EMPLOYEE WELFARE & BENEFIT SECTION ................................................................................. 19
   1.1 PROCESSING AND ISSUANCE OF FINGER SCAN REPORT (FSR): .................................. 19
   1.2 LEAVE PROCESSING: ............................................................................................................. 19
   1.3 RETIREMENT UNDER R.A. 1616: .......................................................................................... 20
   1.4 RETIREMENT UNDER R.A. 8291: .......................................................................................... 20
   1.5 TERMINAL LEAVE: ................................................................................................................ 20
2. RECRUITMENT SELECTION AND COMPENSATION SECTION ....................................................... 21
3. TRAINING & CAREER DEVELOPMENT SECTION ......................................................................... 21
   3.1 CONDUCT OF CAPABILITY BUILDING PROGRAMS: .......................................................... 21
   3.2 SCHOLARSHIP PROGRAMS: ................................................................................................. 22
   3.3 PERFORMANCE MANAGEMENT: .......................................................................................... 22
   3.4 STUDY LEAVE: ...................................................................................................................... 22

ANNEX G: SERVICE PROCESS MODEL - PHYSICAL RESOURCE MANAGEMENT ......................... 23
1. MAINTENANCE WORK MANAGEMENT PROCESS ...................................................................... 23
2. GENERAL SERVICES DIVISION (GSD) WORK FLOW DIAGRAM .............................................. 24
3. QUALITY WORKPLACE INSPECTION FLOW CHART .................................................................. 25

ANNEX H: SERVICE PROCESS MODEL - FINANCIAL RESOURCE MANAGEMENT ..................... 26
1. BUDGET AND REVENUE PROCESS .......................................................................................... 26
2. PREPARATION AND PROCESSING OF DISBURSEMENT VOUCHERS ........................................ 28
3. PREPARATION AND PROCESSING OF FUNDING CHECKS ....................................................... 28
4. PREPARATION AND PROCESSING OF PAYROLL .................................................................... 28
5. PREPARATION AND PROCESSING OF DISBURSEMENT VOUCHER FOR CONTRACT PROGRESS
   BILLINGS ..................................................................................................................................... 29
6. PREPARATION AND PROCESSING OF DISBURSEMENT VOUCHER FOR GOODS, UTILITIES,
   GENERAL SUPPORT SERVICES AND OTHER CLAIMS .......................................................... 29
7. WORK PROCESS FOR BOOKKEEPING SECTION .................................................................... 30
8. PREPARATION OF BANK RECONCILIATION STATEMENT .................................................... 31
9. PREPARATION OF STATEMENT OF BALANCES OF CASH ADVANCES TO OFFICERS AND
   EMPLOYEES .............................................................................................................................. 31
10. PREPARATION OF DEMAND LETTERS FOR EMPLOYEES/OFFICERS WITH UNLIQUIDATED CASH
    ADVANCES ................................................................................................................................. 31
11. PREPARATION AND PROCESSING OF BILLINGS AND STATEMENT OF ACCOUNTS .................. 32
12. PREPARATION OF ANNUAL PROJECT FINANCIAL REPORT (APFR) ...................................... 32
13. PREPARATION OF WITHDRAWAL APPLICATION FOR JRMP II – DIRECT PAYMENTS THE
    EXPORT-IMPORT BANK OF KOREA ......................................................................................... 33
14. WORK PROCESS FOR CASH DIVISION .................................................................................... 33

ANNEX I: SERVICE PROCESS MODEL - GOODS AND SERVICES PROCUREMENT ......................... 34
ANNEX J: SERVICE PROCESS MODEL - INFORMATION AND EXTERNAL RELATIONS MANAGEMENT ...........................................35
  1. INFORMATION MANAGEMENT ..................................................................................................................................35
    1.1 DATA MANAGEMENT ....................................................................................................................................................35
    1.2 NETWORK OPERATION ....................................................................................................................................................35
    1.3 INFORMATION SYSTEM DEVELOPMENT ..................................................................................................................36
    1.4 WEBSITE ADMINISTRATION ........................................................................................................................................36
  2. EXTERNAL RELATIONS MANAGEMENT ......................................................................................................................37

ANNEX K: SERVICE PROCESS MODEL - LEGAL SERVICES .................................................................................................38

ANNEX L: SERVICE PROCESS MODEL-INTERNAL AUDIT .....................................................................................................39
  1. AUDIT ENGAGEMENT PLANNING .................................................................................................................................39
  2. AUDIT EXECUTION ..............................................................................................................................................................39
  3. AUDIT REPORTING .............................................................................................................................................................40
  4. AUDIT FOLLOW-UP .............................................................................................................................................................40
ANNEX A: FLOW OF ACTIVITIES/ACTIONS BETWEEN NIA OFFICES

Legend:
- Monitoring and Evaluation of actions taken by RO/IMO
- Implementation/Accomplishment Report
1. Project Planning

1.1 Central Office Process Flow

<table>
<thead>
<tr>
<th>INPUT</th>
<th>PROCESS</th>
<th>OUTPUT</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Project Proposals</td>
<td>• Project Identification</td>
<td>• Project Feasibility Study Report</td>
</tr>
<tr>
<td></td>
<td>• Project Investigation/Validation</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Project Design Studies</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Plan Formulation</td>
<td></td>
</tr>
</tbody>
</table>

1.2 Regional Office Process Flow

<table>
<thead>
<tr>
<th>INPUT</th>
<th>PROCESS</th>
<th>OUTPUT</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Project Proposals - Request of farmers - Resolutions of LGU - NIA identified projects</td>
<td>• Project Identification - Project validation - with source of water - area to be irrigated - farmers/beneficiaries</td>
<td>• For go projects, inclusion in the Ten Year Irrigation Development Master Plan</td>
</tr>
</tbody>
</table>

1.3 Irrigation Management Office Process Flow

<table>
<thead>
<tr>
<th>INPUT</th>
<th>PROCESS</th>
<th>OUTPUT</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Project Proposals (For New Project) • Medium Term Development Plan (Rehab Project)</td>
<td>• Project Identification</td>
<td>• Project Feasibility Study Report for new Project</td>
</tr>
<tr>
<td></td>
<td>• Project Investigation/Validation</td>
<td>• Design data for Rehab Project</td>
</tr>
<tr>
<td></td>
<td>• Project Design Studies</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Plan Formulation</td>
<td></td>
</tr>
</tbody>
</table>
2. Detailed Engineering Design

2.1 Central Office Process Flow

**INPUT**
- Approved Feasibility Study Report
- Proposed Structures/Projects including Electro-Mechanical Equipments from Regional Offices, Integrated Irrigation Systems Offices, Project Management Offices, Irrigation Management Offices, Central Office

**PROCESS**
- Civil Works Design
- Mechanical - Electrical
- Architecture and Drafting

**OUTPUT**
- Approved Plans, Program of Work, Project Procurement Management Plan and Annual Procurement Plan

2.2 Regional Office Process Flow

**INPUT**
- Approved Feasibility Study Report, Detailed Survey & Other Design Data

**PROCESS**
- Check/review the General Layout
- Check/review profiles & cross-sections
- Check/review plans of canals, canal structures, drainage and road systems
- Design of diversion works and other appurtenant structures
- Drafting of diversion works

**OUTPUT**
- Approved Plans good for Construction Plans

2.3 Irrigation Management Office Process Flow

**INPUT**
- Approved FS Report
- Design Data for Rehab Project

**PROCESS**
- Detailed survey and Plotting
- Design and Plans Preparation
- Quantity Estimates and POW preparations

**OUTPUT**
- Approved Plans, POW, Property Procurement Management Plan and Annual Procurement Plan.
1. Central Office Process Flow

**INPUT**
- Overall and Current Year Program of Work

**PROCESS**
- Contract Administration
- Evaluation and Monitoring

**OUTPUT**
- Project Completion and Turnover to Operations Department

2. Regional Office Process Flow

2.1 Program of Work (POW):

**INPUT**
- Approved plans
- Programs of Work submitted by IMOs

**PROCESS**
- Evaluate programs of work submitted by IMOs (i.e. attachments, derivation of unit cost and quantity estimates)
- Submission of POW to Central Office

**OUTPUT**
- Inclusion in the PPMP, APP
- Release of funds

2.2 Procurement:

**INPUT**
- Request for Bidding (RFB)
- Approved POW, plans and work schedule
- Approved ABC
- Approved PPMP, APP

**PROCESS**
- Procurement planning
- Posting of Invitation To Bid
- Pre-bid conference
- Opening of Bids
- Bid Evaluation and Post Qualification

**OUTPUT**
- Perfect Contract
- Notice to Award
- Notice to Proceed
2. Regional Office Process Flow (cont.)

2.3 Project Implementation and Monitoring:

**INPUT**
- Memorandum of Agreement (MOA) with IA
- Monthly Progress Report (MPR)
- Fund Release to IMOs

**PROCESS**
- Evaluate MPRs
- Consolidate MPRs for submission to Central Office
- Periodic inspection of work progress
- Accepts completed works thru Inspectorate Team

**OUTPUT**
- Project Completion and Turn-over to Irrigators’ Association

3. Irrigation Management Office Process Flow

**INPUT**
- Overall and CY POW
- Awarded Contract

**PROCESS**
- Contract Administration
- Force Account Administration

**OUTPUT**
- Project Completion and Turnover to Operations Section (NIS),
- Project Completion and Turnover to IA Beneficiaries
1. Central Office Process Flow

1.1 Water Delivery:

**INPUT**
- Monthly/Quarterly Operation & Maintenance (O & M) Reports
- O & M Plans
- Policy Guidelines / Operating Procedures
- Ocular/Field Inspection
- Annual Plans / Programs / Budgetary Requirements

**PROCESS**
- Review
- Evaluation
- Validation
- Updating
- Inspection

**OUTPUT**
- Evaluated Monthly/Quarterly Reports
- Evaluated O & M Plans
- Revised/Updated Policy Guidelines / Operating Procedures
- Duly Noted Back-To Office Inspection
- Evaluated Annual Plans/ Programs/ Budgetary Requirements
- Revised/Updated Policy Guidelines / Operating Process
- Approved ASA/FC

1.2 ISF Collection:

**INPUT**
- A1-QS Reports

**PROCESS**
- Review
- Evaluation
- Validation

**OUTPUT**
- Evaluated A1-QS Report
1. Central Office Process Flow (cont.)

1.3 Repair and Improvement:

**INPUT**
- Program of Work
- Monthly Progress Report
- Ocular/Field Inspection

**PROCESS**
- Review
- Evaluation
- Validation
- Inspection

**OUTPUT**
- Approved POW
- Evaluated Monthly Progress Report
- Duly Noted Back To Office Report
- Approved ASA/FC

1.4 Repair of O & M Equipment and Evaluation of EMD Reports:

**INPUT**
- Program of Works (POW) for Equipment Repair
- Progress Report for Equipment Repair
- EMD Reports
  - EM-12C2
  - EM-4Q
  - EM-12B

**PROCESS**
- Evaluation
- Validation
- Preparation of request for ASA and ADA
- Monitoring
- Consolidation

**OUTPUT**
- Approved POW
- Approved ASA and ADA
- Back to Office Report
- Physical and Financial accomplishment report
- Evaluated EMD Reports
- Quarterly and Annual Reports

2. Regional Office Process Flow

**INPUT**
- Reports from Field Offices:
  - Target Performance
  - O&M Plan
  - Farming Activities
  - O&M Report
  - SOEM A1-QS
  - Report of Exemption
  - Typhoon Damages
  - Inventory of Irrigation Systems
  - MC 55 s. 2014

**PROCESS**
- Review of reports
- Monitoring of data
- Evaluation of performance
- Field Validation

**OUTPUT**
- Return of evaluated/approved reports to Field Offices
- Consolidation and submission of reports to NIA-CO.
2. Regional Office Process Flow (cont.)

2.1 Operation, Repair and Maintenance of Equipment:

**INPUT**
- Approved TO and Transport Request
- Program of Work
- Monthly Progress Report
- EMS Report
- Disposal of Equipment

**PROCESS**
- Dispatching
- Monitoring
- Repair
- Preparation
- Evaluation
- Validation
- Appraisal
- Inspection

**OUTPUT**
- Approved Trip Ticket and Fuel Slip
- Approved POW with ASA/FC
- Evaluated Monthly Progress Report
- Consolidated and Submitted Reports to NIA-CO.
- Bidding and Notice of Award

3. Irrigation Management Office Process Flow

3.1 Pre-Irrigation Phase:

**INPUT**
- Preliminary data (Hydro-Climatic)
- Discharge
- Rainfall water

**PROCESS**
- SMC Meeting
- Field Visits
- O&M Planning

**OUTPUT**
- O&M Plan

3.2 Irrigation Phase:

**INPUT**
- Implementation of O&M Plan

**PROCESS**
- Monitoring and assessment of system operations thru FIA meetings
- Field visits/monitoring
- Mid-season O&M Evaluation
- Billing Preparation
- Strategy for ISF Collection

**OUTPUT**
- Monthly O&M Report
- Farming Activities/ LIPA Reports
- Monthly Maintenance Report
- Bill Statement of Accounts
- Minutes of the Meeting
3. Irrigation Management Office Process Flow (cont.)

3.3 Post-Irrigation Phase:

**INPUT**
- O&M Performance
- Exemption Request
- Repair & Rehabilitation
- Request for IA Share

**PROCESS**
- Evaluation of performance against target
- Post-season SMC Meeting/IA O&M contract evaluation
- Maintenance, Rehabilitation, and Improvement works
- Field visit/validation

**OUTPUT**
- Seasonal O&M Performance
- Seasonal ISF Collection Report
- Payment of IA Share
- Repair and Maintenance Plan
- Approved List of ISF Exemption
- Farmers’ Satisfaction Survey
1. Institutional Development Division

**INPUT**
- Policy guidelines and directions in IDP on:
  - IA organizing and development process
  - Training and assistance program guidelines
  - Training, information, education, communication materials and manuals
- IDP Programs of works, annual plans and programs
- Periodic reports: Quarterly, seasonal, annual
- Management information systems
- Field visitation

**PROCESS**
- Review and update existing policy guidelines and directions; formulate and develop new ones based on identified needs; provide capacity building to field offices
- Evaluate and provide feedbacks on submitted plans and programs
- Review, evaluate and provide feedbacks on reports received
- Generate reports from MIS and provide updates to management.
- Conduct periodic IDP review and planning workshops, seminars, symposia and conferences

**OUTPUT**
- Updated existing policy guidelines; new policy guidelines formulated; capacitated/trained staff capable and equipped to implement the Agency’s IDP;
- IDP implemented according to approved targets and budget
- Timely reports and feedback led to appropriate management action (also applicable to Process # 4)
- Technical guidance and directions received by field staff led to smooth program implementation
2. Institutional Development Program Stages for IA Strengthening and Sustenance

ORGANIZING
Irrigation farmer beneficiaries into Irrigators’ Associations (IAs) or Irrigators’ Service Cooperatives (ISCs)

TRAINING the IAs to equip them with the necessary knowledge, skills and attitude to perform their tasks, duties and responsibilities

Provision of ASSISTANCE and support programs to IAs to support their goals of becoming strong, cohesive, self-reliant and viable organizations

A Strong, Cohesive, Self-Reliant and Viable Irrigators’ Associations

IMT

NIS

Assumption of management, O&M responsibilities of the irrigation system

CIS

O&M System Turnover

Document Code: NIA-QMS-2016-0001
Revision: 1.1
Issue Date: August 31, 2016
Page(s): 14 of 40
3. Institutional Development Program Input-Process-Output Framework

3.1 Project Preparation/Pre-Construction Stage:

**INPUT**
- Profile / Baseline Information Writing

**PROCESS**
- Recruitment of Profile Writer /
- Preparation of Project Profile
- Identification of Farmer Beneficiaries

**OUTPUT**
- Profile Writers hired
- Project Profile established
- Potential farmer beneficiaries listed

**INPUT**
- Hiring and Training of IDO

**PROCESS**
- Recruitment and selection of IDOs
- Pre-Deployment training

**OUTPUT**
- IDO hired and trained on various capacity building

**INPUT**
- IDO Deployment in Project Area

**PROCESS**
- Integration 
- Social Investigation  
  - Preliminary Social Investigation 
  - Deepening Social Investigation

**OUTPUT**
- Acceptance in the community 
- Firmed up socio-cultural, economic and political profile 
- Validated list of farmers 
- List of problems and issues 
- List of Potential Leaders listed
3.1 Project Preparation/Pre-Construction Stage (cont.)

**INPUT**
- IA Formation

**PROCESS**
- TSA Group Consolidation and Formation of Ad Hoc Committee of Potential Leaders
- Drafting, finalization, dissemination and ratification of AOI & CBL by the General Assembly
- Election of IA Officers
- Formation of standing committees
- Training and Capacity Building

**OUTPUT**
- IA Organized and Provided with Capacity Building

**INPUT**
- SEC Registration

**PROCESS**
- Facilitate SEC Data Requirements
- Submission of IA Registration papers to SEC

**OUTPUT**
- IA Registered to SEC

3.2 Construction/Implementation:

**INPUT**
- Pre-Construction Conference

**PROCESS**
- Presentation of Project Details: program of work (POW), plans and design, facilities to be constructed or rehabilitated, locations/stations, construction schedules, manpower requirement, equity generation program (EGP).
- Formulation of Joint NIA-IA
- Construction Policies and Systems

**OUTPUT**
- MOA on Construction signed
### 3.2 Construction/Implementation (cont.)

#### INPUT
- IA participation and Monitoring of Construction/Rehabilitation activities

#### PROCESS
- Formation of Construction Working Committees
- Mobilization of Construction Working Committees
- Conduct of Cost Reconciliation Session

#### OUTPUT
- Systems Construction/Rehabilitation completed

---

#### INPUT
- IA Capacity Building

#### PROCESS
- Conduct of training needs assessment
- Preparation of training proposals
- Conduct of IA Trainings

#### OUTPUT
- Proper Recording of IA Financial Activities

---

#### INPUT
- Test Run and Debugging of Completed System (CIS)

#### PROCESS
- Conduct walkthrough of completed irrigation facilities and structures
- Conduct test run and debugging
- Repair of defective irrigation facilities and structures (if any)
- Conduct final Cost Reconciliation Session

#### OUTPUT
- Acceptance of the completed construction/Rehabilitation works
- MOA on O&M & System Turnover signed
3.3 Operation & Maintenance Phase:

**INPUT**
- Pre-O&M Conference

**PROCESS**
- Mobilization of IA Standing Committees
- Formulation of O&M Plans
- Presentation and critiquing of O&M Plans

**OUTPUT**
- Agreed IA O&M Plans, Policies and Systems

**INPUT**
- NIA – IA O & M Contracting
  - IA Capacity Building

**PROCESS**
- NIA- IA consultation Meetings
- Formulation of Terms and Conditions between the NIA and IA
- Conduct of training needs assessment
- Preparation of training proposals
- Conduct of IA Trainings

**OUTPUT**
- IMT Contract in NIS signed

**INPUT**
- IA Sustenance

**PROCESS**
- Monitoring on the implementation of O&M plans, policies and systems
- Linkages with other agencies (with NIA assistance)
- Continuous assessment of IA performance through conduct of O&M/IMT Performance Evaluation and annual IA Functionality Survey

**OUTPUT**
- Strong, Cohesive, Self-Reliant and Viable IA
1. Employee Welfare & Benefit Section

1.1 Processing and Issuance of Finger Scan Report (FSR):

**INPUT**
- Receipt of Assumption to Duty and Approved Appointment

**PROCESS**
- Enrollment of Employee’s Biometric Information
- Registration of Fingerprint
- Input of Data to Bio Admin Database
- Uploading of Raw data from Biometrics Machine using BioAdmin Software
- Export/Process of Raw Data using of the Attendance Monitoring Info Systems (PAMIS)
- Input of Submitted Travel Documents/Locator Slips and Processed Leave Application to the Database of Attendance Record
- Printing of Finger Scan Report (FSR)/Advanced Copy for attachment to Salary Voucher

**OUTPUT**
- FSR HRD Copy for submission to HRD for updating of leave credits and safekeeping

1.2 Leave Processing:

**INPUT**
- Receipt of Leave Application

**PROCESS**
- Retrieval of Leave Card from the vault
- Check if Leave Card is updated
- Processing of Leave Application

**OUTPUT**
- Processed Leave Application
1.3 Retirement under R.A. 1616:

**INPUT**
- Receipt of Retirement Application

**PROCESS**
- Evaluation of completeness of documentary requirement
- Receipt of completed documents
- Process Retirement Application
- Prepare Proceed Sheet

**OUTPUT**
- Approved Proceed Sheet with transmittal to FMD for preparation of voucher

1.4 Retirement under R.A. 8291:

**INPUT**
- Receipt of Retirement Application

**PROCESS**
- Evaluation of completeness of declared details
- Preparation of Service Record
- Verification of correctness of filled up form

**OUTPUT**
- Certified form with AAO signature

1.5 Terminal Leave:

**INPUT**
- Receipt of Terminal Leave Application

**PROCESS**
- Evaluation of completeness of documentary requirements
- Receipt of the required documents

**OUTPUT**
- Approved Proceed Sheet with transmittal to FMD for preparation of voucher
2. Recruitment Selection and Compensation Section

<table>
<thead>
<tr>
<th>INPUT</th>
<th>PROCESS</th>
<th>OUTPUT</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Approved Authority to Fill</td>
<td>• Publication • Posting • Preliminary / Initial Evaluation • PSB Deliberation • Selection of Proposed appointee • Approval of Personnel Action Slip • Preparation of Appointment Proposal • Transmittal to CSC of Approved Appointment • Oath of Office</td>
<td>• CSC Approved Appointment</td>
</tr>
</tbody>
</table>

3. Training & Career Development Section

3.1 Conduct of Capability Building Programs:

<table>
<thead>
<tr>
<th>INPUT</th>
<th>PROCESS</th>
<th>OUTPUT</th>
</tr>
</thead>
<tbody>
<tr>
<td>• List of trainings needed</td>
<td>• Coordination with unit and resource speakers • Development of course design • Development/preparation of instructional materials • Procurement and preparation of instructional materials</td>
<td>• Training proposal and course design • PPMP and purchase request • Instructional materials • Training implementation</td>
</tr>
</tbody>
</table>
3. Training & Career Development Section (cont.)

3.2 Scholarship Programs:

**INPUT**
- Training invitation from sponsor

**PROCESS**
- Information dissemination
- Receiving of application and shortlisting of candidates
- Coordination with sponsor and endorsing agency
- Assistance in internal processing of papers and in the interview of third party

**OUTPUT**
- Nomination letter
- Acceptance letter from sponsor
- Briefing

3.3 Performance Management:

**INPUT**
- Graded Individual Performance Commitment and Review form

**PROCESS**
- Monitoring of submission
- Validation of computation

**OUTPUT**
- Overall summary of Summary List of Individual Performance Rating

3.4 Study Leave:

**INPUT**
- Letter of request for study leave

**PROCESS**
- Evaluation and processing of request

**OUTPUT**
- Approved/ disapproved request
- Scholarship service contract
1. Maintenance Work Management Process
2. General Services Division (GSD) Work Flow Diagram
3. Quality Workplace Inspection Flow Chart

ANNUAL INSPECTION SCHEDULE DEVELOPED
Quality Workplace (QWP) Coordinator

ESTABLISH INSPECTION TEAM/S
Division Managers

UNDERTAKE WORKPLACE INSPECTIONS
Workplace Inspection team

HAVE IDENTIFIED HAZARDS BEEN IMMEDIATELY ELIMINATED?

MEETING MINUTES
RECORD ACTIONS & PROGRESS

MONITOR IMPLEMENTATION AND EFFECTIVENESS
IN DEPARTMENTS QUALITY WORKPLACE COMMITTEE MANAGEMENT MEETINGS

INTERIM CONTROLS APPLIED, CAPAs IDENTIFIED & IMPLEMENTED
Department Manager in consultation with workers and QWP

ENTRY MADE IN (hazard/risk/CAPA REGISTER)
QWP Coordinator, Works Administration Officer, Line Manager

MANAGEMENT DIRECTS ACTION

CAPA CLOSED OUT?

YES

NO
1. Budget and Revenue Process

**INPUT**
- Request for ASA Release (Operations/Engineering)

**PROCESS**
- Evaluate request and supporting documents
- Prepare ASA
- Release for signature of authorized official

**OUTPUT**
- Release of Advice of Sub-Allotment

**INPUT**
- Budget Utilization Request for Personal services, MOOE and Capital Outlay under COB-Regular

**PROCESS**
- Check accuracy/validity
- For funding/charging to allotment
- Release/Forward to Accounting Division

**OUTPUT**
- Duly Processed BUR

**INPUT**
- Budget Utilization Request for Capital Outlay of locally funded projects.

**PROCESS**
- Check accuracy/validity
- For funding/charging to allotment
- Release/Forward to Accounting Division

**OUTPUT**
- Duly Processed BUR

**INPUT**
- Purchase Request for Supplies/MOOE for Earmarking

**PROCESS**
- Check if within the APP
- Verify accuracy
- Release to PPD for appropriate action

**OUTPUT**
- PR with earmarked funds
1. Budget and Revenue Process (cont.)

**INPUT**
- Civil Works Contracts

**PROCESS**
- Check POW and balance of project allocation
- Earmark amount
- Forward to accounting for CAF

**OUTPUT**
- Contract with earmarked funds

**INPUT**
- Obligation Request for Capital Outlay for FAPs

**PROCESS**
- Check accuracy/ validity
- For funding/ charging to allotment
- Release/ Forward to Accounting Division

**OUTPUT**
- Duly Processed OR

**INPUT**
- Statement of Allotment, Obligation and Balances submitted by Regions/Projects

**PROCESS**
- Evaluation/ Review
- Consolidation

**OUTPUT**
- Evaluated SAOB
- Monthly Status of Funds
- Financial Accountability Reports

**INPUT**
- Monthly Disbursement Programs (MDP) submitted by Regions/Projects

**PROCESS**
- Evaluation/ Review
- Consolidation

**OUTPUT**
- Evaluated MDP
- MDP Prepared and Submitted to DBM
2. Preparation and Processing of Disbursement Vouchers

**INPUT**
- Disbursement Vouchers with complete supporting documents including certified Budget Utilization Request/Obligation Request

**PROCESS**
- Assign number to Disbursement Vouchers
- Verify validity of claims
- Check completeness of supporting documents
- Post to control records
- Certify completeness of supporting documents, availability of funds (Box A) of Disbursement Voucher

**OUTPUT**
- Certified Disbursement Voucher (Box A) for the preparation of payments by the Cash Division

3. Preparation and Processing of Funding Checks

**INPUT**
- Request for release of Funding Checks
- Copy of Advice of Sub-Allocation (ASA)

**PROCESS**
- Verify ASA and funding balance
- Prepare Disbursement Voucher
- Record in NCA Control

**OUTPUT**
- Disbursement Voucher for release of funding checks

4. Preparation and Processing of Payroll

**INPUT**
- Data for deductions
- Leaves without pay
- List of employees with less than 15 days leave
- Salary increase/step increment
- Updates on individual payroll information
- Daily Time Record (DTR)

**PROCESS**
- Update data entries
- Encode deductions
- Check DTR
- Process and print payroll
- Prepare Disbursement Voucher and Budget Utilization Request

**OUTPUT**
- Payroll Reports
- Payroll request
- Remittances
- Disbursement Vouchers & Budget Utilization Request for approval
5. Preparation and Processing of Disbursement Voucher for Contract Progress Billings

**Input**
- Disbursement Vouchers with complete supporting documents

**Process**
- Verify/check claims and supporting documents
- Process
- Index to control records
- Check mobilization/recoupment/10% retention
- Review and approve Disbursement Voucher

**Output**
- Certified Disbursement Voucher (Box A)

6. Preparation and Processing of Disbursement Voucher for Goods, Utilities, General Support Services and Other Claims

**Input**
- Disbursement Vouchers with complete supporting documents

**Process**
- Verify/check supporting documents
- Process
- Index
- Review
- Certify

**Output**
- Certified Disbursement Voucher (Box A)
7. Work Process for Bookkeeping Section

**INPUT**
- Report of Checks Issued
- Report of Cash Disbursement
- ATM payroll with LBP
- Report of Collections and Deposit
- Fund 501 Subsidy per Project Distribution

**PROCESS**
- Analysis and verification
- Preparation of Journal Entry Vouchers
- Preparation of Special Journals
- Preparation of General Ledger and Subsidiary Ledgers
- Preparation of Central Office Trial Balance

**OUTPUT**
- Journal Entry Voucher
- Special Journals
- General Ledger and Subsidiary Ledgers
- Central Office Trial Balance

---

**INPUT**
- Trial Balance from Regional and Project Offices
- Supporting Schedules from Regional and Project Offices

**PROCESS**
- Analysis and Verification
- Reconciliation of Accounts
- Preparation of Working Paper Adjustments

**OUTPUT**
- Consolidated Trial Balance
- Consolidated Statement of Financial Condition
- Consolidated Statement of Financial Performance
- Consolidated Statement of Changes in Government Equity
- Consolidated Statement of Cash Flow
8. Preparation of Bank Reconciliation Statement

**INPUT**
- Subsidiary Ledgers
- Monthly Bank Statements
- Books of Accounts/Journal Entry Voucher

**PROCESS**
- Account for transactions affecting cash in bank debits and credits per books and per bank
- Reconcile
- Verify reconciling items
- Prepare letter to the bank for errors/unaccounted items
- Make adjustments
- Prepare Bank Reconciliation Statement
- Review
- Certify / Sign

**OUTPUT**
- Bank Reconciliation Statements

9. Preparation of Statement of Balances of Cash Advances to Officers and Employees

**INPUT**
- Logbook for monitoring cash advances & liquidation
- Trial balance/General Ledger / Subsidiary Ledger
- Special Journal

**PROCESS**
- Get balance per Trial Balance / General Ledger
- Prepare details of cash advances refer to special journals / SL / logbook
- Prepare statement of balances
- Review
- Certify / Sign

**OUTPUT**
- Statement of Balances of Cash Advances

10. Preparation of Demand Letters for Employees/Officers with Unliquidated Cash Advances

**INPUT**
- Statement of Balance of cash advance
- Logbook for monitoring cash advance
- Index cards

**PROCESS**
- Check and advances and liquidation
- Prepare demand letters
- Review
- Sign demand letters

**OUTPUT**
- Demand Letters
11. Preparation and Processing of Billings and Statement of Accounts

**INPUT**
- Disbursement Vouchers with copy of billings for utilities and other supporting documents
- Lease Contracts
- Distribution of Charges

**PROCESS**
- Check supporting documents
- Review computations
- Prepare billings and Statement of Accounts
- Prepare certified true copy of supporting documents
- Prepare journal of Bills Rendered

**OUTPUT**
- Bills and Statement of Account to tenants, projects, different agencies
- Journal of Bills Rendered


**INPUT**
- Cost Summary Reports (CSR)
- Project Profiles
- Loan Withdrawal Registers
- Statement of Physical Accomplishments
- Notice of Cash Allocation & Notice of Transfer Allocation

**PROCESS**
- Analysis and verification of data submitted
- Consolidation
- Preparation of Reports

**OUTPUT**
- Annual Project Financial Reports for Management, COA, & Lending Institutions
- Consolidated Statement of Sources and Application of Funds (Annex 1)
- Consolidated Use of Project Funds by Disbursement Categories for the Year (Annex 2A)
- Consolidated Uses of Project Funds by Disbursement Categories-Project Start to Date (Annex 2B)
- Consolidated Statements of Financial Accomplishments (Annex 3)
13. Preparation of Withdrawal Application For JRMP II – Direct Payments The Export-Import Bank of Korea

**INPUT**
- Approved Disbursement Voucher with complete supporting documents
- Exchange Rates

**PROCESS**
- Review Disbursement Voucher & supporting documents
- Prepare and Review summary sheet of disbursement
- Prepare and Review application for payment

**OUTPUT**
- Application for payment/withdrawal application

14. Work Process for Cash Division

**INPUT**
- Cash Position from ROs
- Payroll and DVs
- Request for Cash Support

**PROCESS**
- Analyze
- Consolidate
- Evaluate
- Issuance of CA
- Deposit Check
- Encash Check
- Release of Salaries
- Prepare ADA
- Prepare Check
- Transfer ADA to ROs & Projects
- Liquidation

**OUTPUT**
- Consolidated Cash Position Report
- Report of Disbursement
- Report of Checks Issued

**INPUT**
- NCA
- Order of Payment
- Statement of Account

**PROCESS**
- Evaluate
- Process Payment
- Issue OR
- Reconciliation & verification of NCA received and Bank statements

**OUTPUT**
- Report of Collection
- Summary of One-Way Deposit
ANNEX I: SERVICE PROCESS MODEL - GOODS AND SERVICES PROCUREMENT

End User → PROCESSING OF PURCHASE REQUEST (PR) PURSUANT TO RA 9184 APPROVED APP/ PPMP Procurement Section

End User → CONTRACT BIDDING AND/OR PO (SHOPPING) Procurement Section

End User → INSPECTION & ACCEPTANCE OF DELIVERED GOODS (Equipment, Office Supplies, Materials & Spare Parts) AND ISSUANCE OF GOODS Property Section

End User → INVENTORY OF PPE, REGISTRATION OF SERVICE VEHICLES, INSURANCE OF BUILDINGS & DISPOSAL OF UNSERVICEABLE EQUIPMENT Property Section

End User → BUDGET UTILIZATION REQUEST/DISBURSEMENT VOUCHER Procurement Section
1. Information Management

1.1 Data Management:

**INPUT**
- Data collection from CO, RIOs, PMOs & Field Offices

**PROCESS**
- Manage databases for:
  - Transforming the data into useful outputs.
  - Evaluation and Analysis
  - Actions for data banking
  - For other purposes

**OUTPUT**
- Physical and Financial Accomplishment Data
- Irrigation Development of the Philippines
- Irrigators Associations Master List
- Equipment and Vehicles Masterlist

1.2 Network Operation:

**INPUT**
- Information Communication Technology/Network and Equipment Services

**PROCESS**
- Operation and Maintenance of Information Communication Technology/ Network facilities

**OUTPUT**
- Efficient and secured ICT infrastructure (network facility) meeting the users’ requirement
1. Information Management (cont.)

1.3 Information System Development:

**INPUT**
- Existing Data, Reports, Policies and Manuals from NIA and Partner Agencies

**PROCESS**
- System Development Cycle

**OUTPUT**
- Computerized/Automated Information System

1.4 Website Administration:

**INPUT**
- Data and Information from NIA CO, RIOs, PMOs, Field Projects and Partner Agencies

**PROCESS**
- Uploading of Data and Information compliant to various Government Programs

**OUTPUT**
- Updated Data and Information posted in the website
2. External Relations Management

**INPUT**

- Significant Events
  - Groundbreaking ceremonies
  - for NIA projects
  - Contract signing
  - Turnover of IP to IAs

- Public queries/dialogue on critical issues
- Interagency initiatives
- Other newsworthy events: NTP, NIA Anniversary, NIA Christmas Program
- News from quad media

- Intra-office data
- Inter-Agency activities
- Management Information (Reports)

- External Environment (Walk-in or telephone queries)

**PROCESS**

- Attend the event/s or
- Gather and evaluate data of specific event/s.
- Write, edit, proofread, and finalize news/press release for the Manager’s approval. For sensitive issues, the Administrator’s approval is essential.
- Disseminate/release the information thru: email to all media contact, posting in NIA website thru MID, sharing in Facebook page account
- Monitor the news release/s

- Organize and conduct Press conference (for critical issues) with pre-selected Press people
- Organize, coordinate, participate, and document all NIA Programs and inter-agency activities for news releases and inclusion to in-house publications.
- Monitor news from quad media for proper and immediate action of appropriate offices with given timeline

- Gather, collate, evaluate data (including high-resolution photos) needed for articles or reports.
- Write, edit, proofread, and finalize for Manager’s/Administrator’s approval is essential.
- Include these events in NIA in-house publications (NIA Currents, NIA Digest, NIA Annual Report, IEC materials) timeline

- External concerns are evaluated and acted upon accordingly

**OUTPUT**

- News/Press Releases
- In-house NIA Publications/IEC Materials
- Press Conferences
- Radio interview and TV guesting
- Technical Assistance

- Queries (walk-in or through telephone) attended are recorded and filed

**FEEDBACK**

- Attend the event/s or
- Gather and evaluate data of specific event/s.
- Write, edit, proofread, and finalize news/press release for the Manager’s approval. For sensitive issues, the Administrator’s approval is essential.
- Disseminate/release the information thru: email to all media contact, posting in NIA website thru MID, sharing in Facebook page account
- Monitor the news release/s

- Organize and conduct Press conference (for critical issues) with pre-selected Press people
- Organize, coordinate, participate, and document all NIA Programs and inter-agency activities for news releases and inclusion to in-house publications.
- Monitor news from quad media for proper and immediate action of appropriate offices with given timeline

- Gather, collate, evaluate data (including high-resolution photos) needed for articles or reports.
- Write, edit, proofread, and finalize for Manager’s/Administrator’s approval is essential.
- Include these events in NIA in-house publications (NIA Currents, NIA Digest, NIA Annual Report, IEC materials) timeline

- External concerns are evaluated and acted upon accordingly

- Queries (walk-in or through telephone) attended are recorded and filed
ANNEX K: SERVICE PROCESS MODEL - LEGAL SERVICES

**INPUT**
- Legal Opinion
- Review of ROW
- Contract Review
- Filing of Case

**PROCESS**
- Review
- Investigation
- Evaluation
- Validation
- Process of Documents

**OUTPUT**
- Legal Opinion
- Approved of ROW
- Signed / Approved Contract Review
- Complaint / Answer /other Pleadings
1. Audit Engagement Planning

**INPUT**
- Annual Work Plan

**PROCESS**
- Understand the control environment and the organization
- Determine the audit objective, scope, applicable criteria and audit evidence
- Determine the resource required for the audit and the target milestone/dates
- Secure approval of the audit plan and audit work program

**OUTPUT**
- Approved Audit Plan and Audit Work Program

2. Audit Execution

**INPUT**
- Approved Audit Plan and Audit Work Program

**PROCESS**
- Entry Conference
- Conduct compliance audit
- Conduct system/process audit
- Exit Conference

**OUTPUT**
- Working papers - sufficient and relevant information to support the audit results
- Exit conference notes
3. Audit Reporting

**INPUT**
- Working papers
- Exit conference notes
- Gathered evidence

**PROCESS**
- Develop Audit Findings/analysis & considerations
- Develop Audit Recommendations
- Prepare the Draft Internal Audit Report
- Review Internal Audit Report
- Prepare Final Internal Audit Report

**OUTPUT**
- Approved Internal Audit Report

4. Audit Follow-up

**INPUT**
- Approved Internal Audit Report

**PROCESS**
- Monitor implementation of approved audit findings and recommendations
- Resolve non-implementation/inadequate implementation of audit recommendations
- Prepare audit follow-up report

**OUTPUT**
- Audit Follow-up Report