

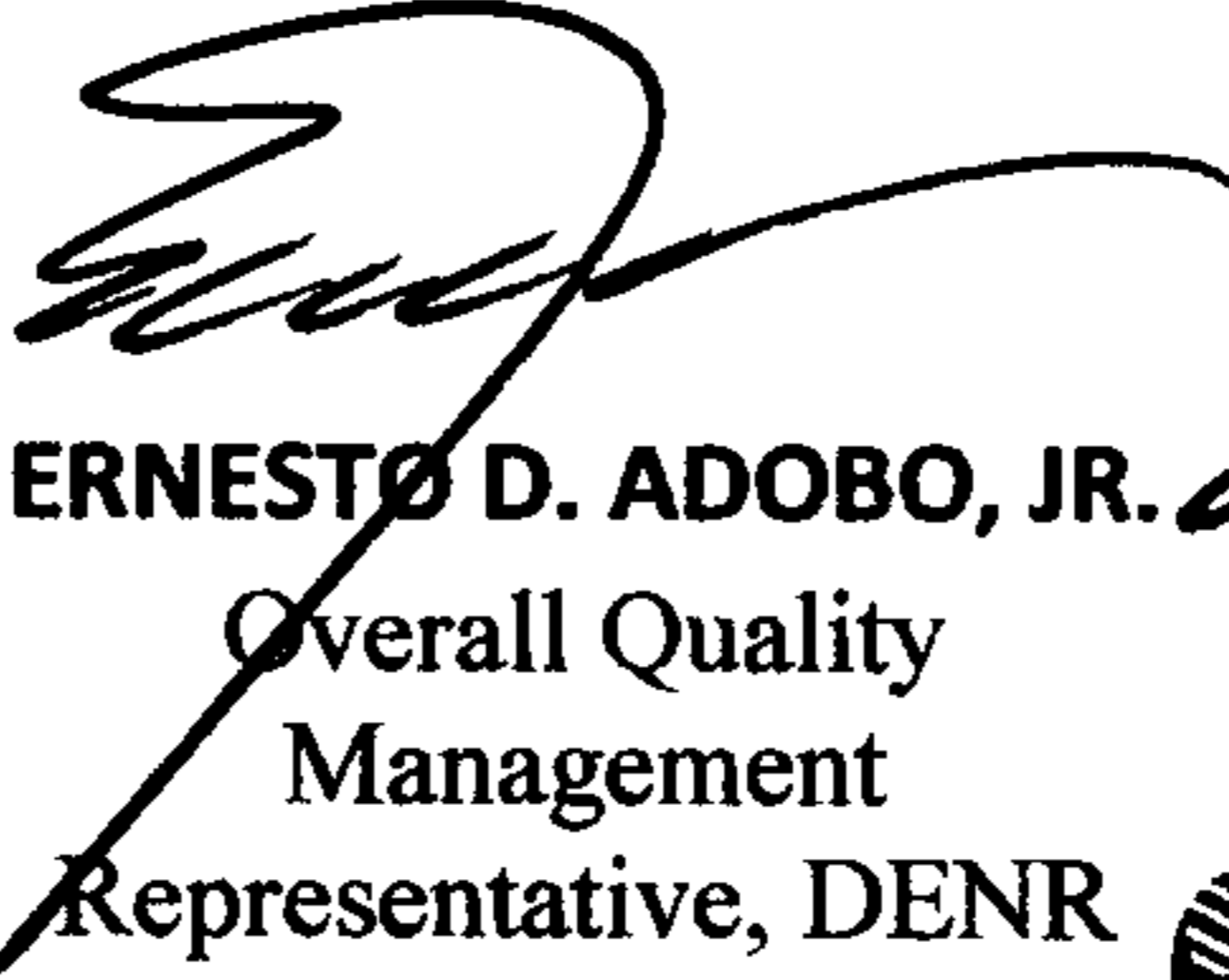
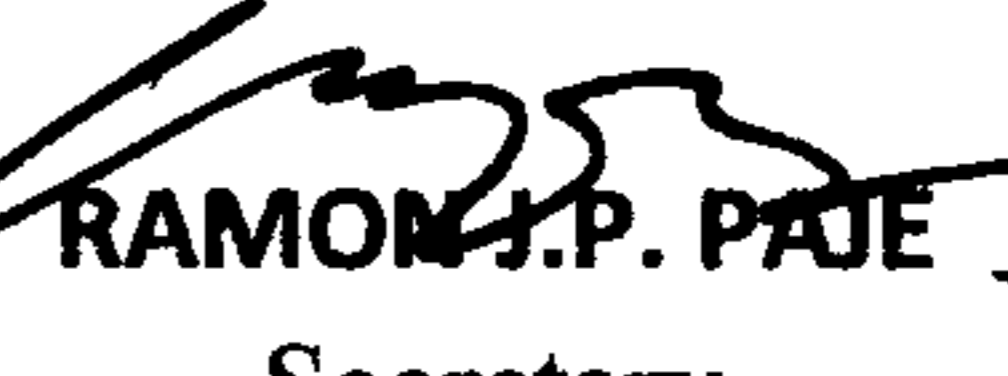
	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QUALITY POLICY	DENR-PP-QMS-001	02	NOV 27 2015	0	QMS Core Team	1 of 1
<b>QUALITY POLICY</b>							

We, at the Department of Environment and Natural Resources, are committed to be the driving force in the effective and efficient conservation, management, development and use of the country's environment and natural resources for the welfare of the present and future generations.

We pledge to achieve quality environment and sustainable natural resources through good governance, high degree of professionalism, in accordance with pertinent laws, rules and regulations.

We adhere to continually improve our Quality Management System (QMS) for the best quality of service to our stakeholders.

*"Malinis na kapaligiran at mayamang kalikasan para sa buong sambayanan."*

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REPUBLIC OF THE PHILIPPINES  
DEPARTMENT OF ENVIRONMENT  
AND NATURAL RESOURCES



SENRO41575

**CONTROLLED**

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# QUALITY MANUAL

## QUALITY MANAGEMENT SYSTEM ISO 9001:2008




**Department of Environment and Natural Resources**


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	Document Name	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	● 2	NOV 27 2015	0	QMS Core Team	1 of 2
	<b>Table of Contents</b>					

Doc ID	Section No.	Title	No. of Pages
DENR-MA-QMS-001	Section 1	<b>Introduction</b>	1
DENR-MA-QMS-002	Section 2	<b>Agency Profile</b> DENR History Mandate Vision Mission Organizational Structure Functional Descriptions	13
DENR-MA-QMS-003	Section 3	<b>Quality Management System</b> General Requirements Scope and Exclusions Process Map Control of Outsourced Processes	6
DENR-MA-QMS-004	Section 4	<b>Document Management</b> QMS Documentation Document Control Records Management	3
DENR-MA-QMS-005	Section 5	<b>Management Responsibility</b> Management Commitment Stakeholder Focus Quality Policy ENR Strategic Planning Strategic Performance Management System (SPMS) Responsibility and Authority QMS Organizational Structure Internal Communication Management Review	8
DENR-MA-QMS-006	Section 6	<b>Resource Management</b> Provision of Resources Human Resource Management and Development Rewards and Recognition Financial Management Knowledge and Information System Management General Services Property and Supply Management Legal Service Issue Management Information, Education and Communication	14

	Document Name	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL		NOV 27 2015	0	QMS Core Team	2 of 2
<b>Table of Contents</b>						

DENR-MA-QMS-007	Section 7	<b>Environment and Natural Resources (ENR) Management</b>	16
		<ul style="list-style-type: none"> <li>Communication with Stakeholders</li> <li>ENR Policy and Standard Development</li> <li>ENR Program and Project Management</li> <li>ENR Regulations, Monitoring and Enforcement</li> <li>Identification and Traceability</li> <li>Customer and Supplier Property</li> <li>Preservation of Products and Services</li> <li>Control of Monitoring and Measuring Resources</li> </ul>	
DENR-MA-QMS-008	Section 8	<b>Measurement, Analysis and Improvement</b>	4
		<ul style="list-style-type: none"> <li>Monitoring and Measurement</li> <li>Stakeholder Satisfaction</li> <li>Internal Quality Audit</li> <li>Monitoring and Measurement of Processes</li> <li>Monitoring and Measurement of Outputs</li> <li>Control of Nonconforming Products and Services</li> <li>Analysis of Data</li> <li>Continual Improvement</li> <li>Corrective Action</li> <li>Preventive Action</li> </ul>	
<b>ANNEXES</b>		<ul style="list-style-type: none"> <li><b>Definition of Terms</b></li> <li><b>DENR Quality Policy</b></li> <li><b>Walk-In Client Satisfaction Survey Form</b></li> <li><b>Reference Matrix</b></li> </ul>	

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-001		NOV 27 2015	0	QMS Core Team	1 of 1
<b>SECTION 1. INTRODUCTION</b>							

This **QMS Manual (QM)** defines and clarifies policies, systems, and procedures adopted to implement and continually improve the **Quality Management System (QMS)** of the **Department of Environment and Natural Resources (DENR)**.

This Manual, together with associated documents mentioned hereto, aims to:

- a. Describe the basic elements of the QMS of the DENR and serve as reference in its implementation and continual improvement;
- b. Inform the internal and external stakeholders and enable them to observe and implement the QMS that is being maintained at the DENR; and
- c. Serve as reference and guide for newly-hired personnel and make them familiar and appreciate the DENR's QMS.

Introduction of new procedures or services may necessitate revision or re-issuance to existing Quality Manual and relevant procedures. Requests or suggestions are made through a Memorandum to the Overall Quality Management Representative for his/her consideration to ensure that such changes are reflected in the Manual.

The controlled copies of this Quality Manual are issued to Copy Holders identified by the respective Records Officer who is responsible for safekeeping and prompt distribution of updated/revised documents. It is the responsibility of the Records Officer to distribute and keep a list of authorized Copy Holders of the Quality Manual, as indicated in the Document Control procedure.

This Manual is intended to be used by all the offices of DENR.

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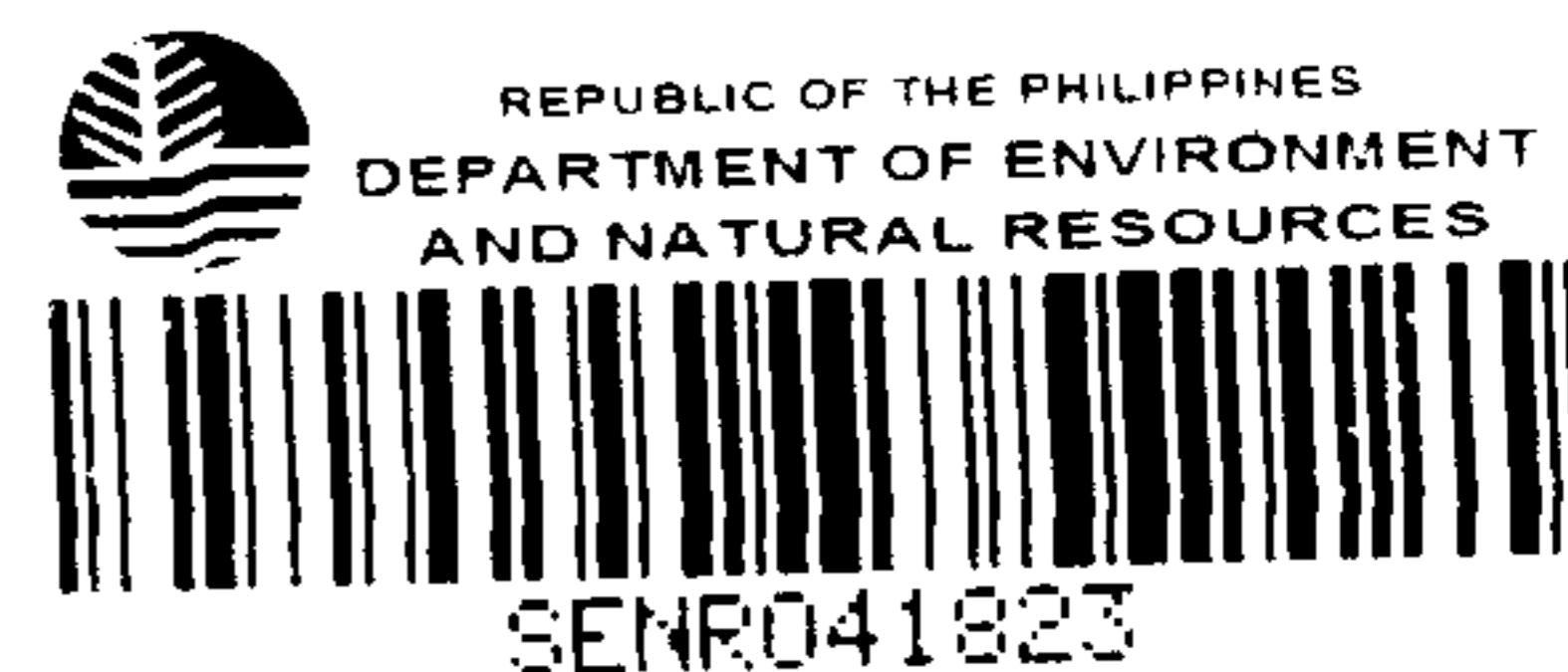
  
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	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-002		NOV 27 2015	0	QMS Core Team	1 of 13
	<b>SECTION 2. AGENCY PROFILE</b>						

## A. DENR History

The history of the Department goes back as far as 1863 when by virtue of a Spanish Royal Decree an office known as Inspeccion General de Montes was created in the Philippines. Although that agency focused on forest administration in its generic terms as dictated by the limited scope of services then required, nevertheless its functions and responsibilities included several concerns related to the management of a wide range of natural resources, such as forest inventory and protection, land classification, watershed protection, water, biodiversity and mineral resources conservation.

In 1901, the Department of Interior was created vested with the powers and authority on matters that included natural resources. The Department of Interior continued to exist for about 15 years until November 18, 1916 when Act No. 2666 was enacted. The act entitled "An Act to Reorganize the Executive Department of the Government of the Philippine Islands" abolished the Department of Interior and transferred its functions and authority to the Department of Agriculture and Natural Resources (DANR).


Under Act 2666, the DANR took "direct executive control, direction and supervision of the Bureau of Agriculture, Bureau of Forestry, Bureau of Lands, Bureau of Science and the Weather Bureau and all matters concerning hunting, fisheries, sponges and other sea products and such others as may be hereafter assigned to it by law". The Bureau of Science was the result of the merger of the Mining Bureau and the Bureau of Government Laboratories.

In 1932, a new reorganization act was passed, providing for the renaming of DANR to Department of Agriculture and Commerce (DAC) and the addition of another bureau to it - the Bureau of Commerce. It was also at this time that the Bureau of Agriculture was split into the Bureau of Plant Industry and the Bureau of Animal Industry. This raised to seven the number of bureaus in the former DANR.

A year later, by virtue of the same Act, the following entities were organized and placed under the direct control and supervision of the Secretary of Agriculture and Commerce: Divisions of Accounts and Property, Statistics and Publications, Mineral Resources, Industrial Engineering, Home Economics and Navigation, Fish and Game Administration, Fiber Inspection Service and Scientific Library Division.

During the period 1934 to 1938, the Divisions of Mineral Resources, Industrial Engineering and Home Economics, Fish and Game Administration and Scientific Library Division were placed under the Bureau of Science while the Division of Accounts and Property was abolished. One highlight of this same period was the creation of the Bureau of Mines (out of the erstwhile Division of Mineral resources) by virtue of Commonwealth Act No. 136.

From 1938 up to the outbreak of the Second World War in 1941, other organizational changes took place. The Fish and Game Administration was divided. The functions relating to fish and fisheries went to the Division of Fisheries under the Office of the Secretary of DAC while those relating to game administration went to the Bureau of Forestry. A new division called the Division of Soil Survey was created under C.A. No. 418 to undertake soil and agronomical survey and placed under the Office of the Secretary. The Division of Statistics and Publications rose to become the Bureau of Census and Statistics under the Office of the President. The

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-002		NOV 27 2015	0	QMS Core Team	2 of 13
<b>SECTION 2. AGENCY PROFILE</b>							

Office of the Secretary was reorganized into 3 divisions, namely: Administrative, Legal and Technical Divisions. The Natural History Museum Division was transferred from the Bureau of Science to the Office of the Secretary.

After the war, on July 1, 1945, the DAC was reconstituted on account of the changes made by the Philippine Republic. A reorganization act in 1947 brought back the name Department of Agriculture and Natural Resources but transferred the Bureau of Commerce and Weather Bureau to a new Department of Commerce and Industry. The Divisions of Fisheries and Natural History Museum were transformed into bureaus and were placed under the Office of the President.

An enabling act in 1953 added the Bureau of Agricultural Extension to the DANR. On this same year, the Office of Agricultural Information was established.

There were no major changes in the DANR's structure from 1954 to 1974. However, the end of DANR came on May 17, 1974 when Presidential Decree No. 461 was issued providing for the Department's reorganization into 2 departments, namely: the Department of Agriculture (DA) and the Department of Natural Resources (DNR).

Under this set-up, the DNR took the following line bureaus and attached agencies: Bureau of Forest Development (BFD), Bureau of Mines (BM), Bureau of Lands (BL), Bureau of Fisheries and Aquatic Resources (BFAR), National Committee for Mineral Exploration and Survey Operations (NACOMESCO), Presidential Committee on Wood Industries Development (PCWID), Fishery Industry Development Council (FIDC), Surigao Mineral Reservations Board (SMRB) and the Presidential Action Committee on Land Problems (PACLAP).


Certain agencies were created later on and attached to the DNR. These were the Forest Research Institute (FORI) established on December 8, 1974 under PD No. 607; the Philippine Fish Marketing Authority (PFMA), on August 11, 1976 under PD No. 977; the Natural Resources Management Center (NRMC), on October 25, 1976 under PD NO. 1041; the National Environmental Protection Council (NEPC), on April 18, 1977 under PD No. 1121; and the Mineral Reservation Development Board (MRDB) taking over the functions and powers of the abolished SMRB on February 1978 under PD NO. 1305.

With the shift to a parliamentary form of government in 1978, the DNR became the Ministry of Natural Resources (MNR). A component arm, the Natural Resources Development Corporation was started under Executive Order No. 786 in 1982.

In 1985, the concern on fish and fisheries was transferred to the Ministry of Agriculture, leaving the MNR with only three (3) bureaus aside from the attached entities.

On January 30, 1987, Executive Order No. 131 was issued creating the Department of Energy, Environment and Natural Resources (DEENR) that took the powers and functions of the MNR and embraced the emerging critical concerns about energy and environment. However, EO 131 was never implemented. Executive Order No. 192 came out on June 10, 1987, reorganizing the DEENR and renaming it as the **Department of Environment and Natural Resources (DENR)**.

The main features of EO 192 were the transfer of the energy matters to the office of the President and the decentralization of the bureaucracy by transforming the former line bureaus

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-002		NOV 27 2015	0	QMS Core Team	3 of 13
<b>SECTION 2. AGENCY PROFILE</b>							

to staff bureaus and transforming most of the line functions to the regional and field offices. These features are in fact dramatic changes for they radically altered the concept of the bureaucracy and for the first time moved to institutionalize the decentralization of functions and authority within the Department.

In 1993, the Laguna Lake Development Authority (LLDA) was attached to the DENR by virtue of Executive Order No. 149, thereby adding to the mandate of the Department its complete supervision.

In October 1993, by virtue of A.O. No. 90, the Project Management Office (PMO) on Solid Waste Management under the Presidential Task Force on Waste Management was created, with the DENR as the lead-executing agency. The PMO assists the Task Force in the formulation of the necessary standards/guidelines and criteria for effective, efficient and economical waste management.

In 1995, the passage into law of the Philippine Mining Act or R. A. No. 7942 restored the line function of the Mines and Geo-Sciences Bureau.


On October 15, 1996, Executive Order No. 374 was issued creating the Presidential Task Force on Water Resources Development and Management (PTFWRDM), chaired by the Secretary of the DENR. PTFWRDM is tasked to coordinate the projects of various government agencies and departments involved in water to ensure efficient management and development of the country's water resources.

Pursuant to the issuance of Executive Order No. 406 on March 21, 1997, the Philippine Economic Environmental and Natural Resources Accounting (PEENRA) System was an institutionalized thus creating unit within the organizational structure of the DENR, NEDA and the NSCB. It is tasked to generate macro-indicators that shall reflect the relationships and interactions between economy and the natural resources, and the establishment of a reliable database on social valuation estimates of environmental services.

The Philippine Clean Air Act of 1999 was passed through RA No. 8749 signed on June 23, 1999, in recognition that a clean and healthy environment is for the good of all and therefore be the concern of all. The DENR, through EMB is primarily responsible for the implementation of the Act.

RA No. 9003 or the Ecological Solid Waste Management Act was signed on January 26, 2001. The law mandated the proper and ecological way of managing our solid wastes. The objective is "Zero Basura." This is to be achieved by: 1.) Reducing the garbage that we produce; 2.) Reducing the garbage that we already produced through segregation, re-use, recycling and creating new products from garbage. In line with this, Materials Recovery Facilities in all barangays where solid wastes can be processed shall be established; and 3.) The remaining wastes that can no longer be processed should be disposed in a safe and ecological manner using the sanitary landfill, where garbage is dumped, treated and covered.

The DENR's protection and conservation efforts were boosted with the passage of RA No. 9072 in April 1, 2001, to manage and protect caves and cave resources. Also this year, RA No. 9147 was passed, to conserve and protect wildlife resources and their habitats.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-002		<b>NOV 27 2015</b>	0	QMS Core Team	4 of 13
	<b>SECTION 2. AGENCY PROFILE</b>						

Enforcement of forestry laws also strengthened with the passage of the R.A No. 9175 or the Chainsaw Act in 2002, which regulated the ownership, sale and use of chainsaw.

The DENR has adopted sustainable forest management (SFM), pursuant to EO No. 318, dated June 9, 2004, with focus on community-based forest management complemented by private tree plantations.

The DENR adhered to the provisions of EO No. 301, which was issued on March 29, 2004, establishing a Green Procurement Program in government. This is to promote environment-friendly production process.

EO No. 270-A amending EO 270 (National Policy Agenda on Revitalizing Mining in the Philippines, issued on January 16, 2004), was issued on April 20, 2004. To implement the Order, DENR-MGB, in partnerships with other government agencies, the private sector and various stakeholders formulated the Minerals Action Plan providing for strategies to ensure environmental protection, equitable distribution of the benefits of mining operations, recognition of the rights of indigenous peoples, community participation in decision-making processes, and transparency in government and private sector actions.

EO No. 578 was signed on November 8, 2006, establishing the national policy on biological diversity, prescribing its implementation throughout the country, particularly in the Sulu Sulawesi Marine Ecosystem and the Verde Island Passage Marine Corridor.

The country has adopted the integrated coastal management as a national strategy to ensure the sustainable development of the country's coastal and marine environment and resources, through EO No. 533 on June 6, 2006.


In August 2006, the DENR launched the Green Philippines Highways, a nationwide tree planting project.

SFM was enhanced with the issuance of EO No. 606, dated February 27, 2007, on sustainable upland development with focus on food production, economic productivity and provision of jobs and income to upland dwellers.

RA No. 9513 or the Renewable Energy Act was signed in December 6, 2008, to promote investments and use of renewable sources in energy generation. The law is the first and most comprehensive renewable energy law in Southeast Asia.

To integrate the environment in school curriculum in order to promote environmental awareness and effect changes in attitudes and behaviour, RA No. 9512 or the Environmental Awareness and Education Act was signed on December 12, 2008.

To provide focus on climate change initiatives, RA No. 9729 or the Climate Change Act of July 27, 2009 was enacted. The law mandated the protection of the climate system, stabilization of greenhouse gas concentrations, and strengthening of the country's resilience to climate change-related disasters, among others.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-002		<b>NOV 27 2015</b>	0	QMS Core Team	5 of 13
<b>SECTION 2. AGENCY PROFILE</b>							

The National Framework on Climate Change was signed on April 28, 2010, which envisions a climate risk-resilient Philippines with healthy, safe, prosperous and self-reliant communities, thriving in productive ecosystem.

The DENR chairs the Cabinet Cluster on Climate Change.

The protection of the whale shark was intensified with the issuance of DAO No. 282 on March 16, 2010, which provided for the following added protections for whale sharks: 1.) mapping of their migratory pathways; 2.) mandatory rescue; and 3.) intensified investigation and prosecution and provision of rewards.

RA No. 10023, otherwise known as the Residential Free Patents Act was signed into law on March 9, 2010. The law is considered a landmark measure as it streamlined the requirements and procedures of land titling involving zoned residential lands in rural and urban areas. The DENR-LMB promulgates rules and regulations to carry out the provisions of this Act, and sees to it such are gender responsive.


The National Greening Program (NGP) was launched in response to Executive Order 26 signed on February 24, 2011. NGP is the most massive reforestation program in the country's history. It shall plant 1.5 billion trees in 1.5 million hectares of denuded lands in a six-year period, from 2011-2016. Poverty alleviation, food security, biodiversity conservation and climate change mitigation and adaptation... a mobilized citizenry... these are the goals of the NGP.

To protect the remaining forest, the DENR is implementing a nationwide log ban on all natural and residual forests through EO No. 23 issued in February 1, 2011. An Anti-Illegal Logging Task Force was created to ensure the ban's strict implementation. Logs confiscated from anti-illegal logging campaigns are donated to the Department of Education to provide chairs and classrooms to public schools in need of them.

Geo-hazard mapping and assessment were undertaken in 2008 to identify the country's disaster-prone areas. The maps provide information to local government units making them more responsive during disasters. The geo-hazard map is also a tool in the preparation of their respective disaster risk reduction management plans. DENR-MGB produced maps on a scale of 1:50,00 and have moved on to higher-resolution mapping an a scale of 1:10,000, which are completed in 2015.

Starting 2011-2015, the DENR has shown deep commitment to address land title issues, which impede the distribution of the remaining Land Acquisition and Distribution balance, through the completion of the century-old Cadastral Survey Program. The program started way back in 1913 with the enactment of the CA No. 2259, or the Cadastral Act.

On September 26, 2013, RA No. 10629 was approved, which provides for the retention by the Protected Area Management Board of 75% of the revenues accruing to IPAF. Considered as a new milestone in the management of protected areas, the law was a big boost to the efforts of promoting ecotourism in the country as it allows reinvesting of 75% of all revenues generated by a protected area to activities deemed necessary to protect and rehabilitate areas widely

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-002		NOV 27 2015	0	QMS Core Team	6 of 13
	<b>SECTION 2. AGENCY PROFILE</b>						

regarded as one of the most successful measures implemented for the conservation of biodiversity.

The DENR, through EMB, coordinates with the Department of Energy and other stakeholders to ensure the smooth implementation of DAO No. 2015-04 signed in 2015 mandating the shift from Euro 2 to Euro 4 emission and fuel standard, which reduces sulphur content of fuel from 500 parts per million (ppm) to 50 ppm.

#### Conclusion

Implementation of various programs and projects from 1987 to present showed a positive gain for the Philippines towards a healthy environment. But still much have to be done, and in full participation of the citizenry, in order to really achieve a sustainable environment.

Source: DENR Official Website. <http://www.denr.gov.ph/about-us/history.html>

#### B. Mandate

The Department is the primary agency responsible for the conservation, management, development and proper use of the country's environment and natural resources, specifically forest and grazing lands, mineral resources, including those in reservation and watershed areas, and lands of the public domain, as well as the licensing and regulation of all natural resources as may be provided for by law in order to ensure equitable sharing of the benefits derived therefrom for the welfare of the present and future generations of Filipinos.

#### C. Vision

"A nation enjoying and sustaining its natural resources and clean and healthy environment."

Source: DENR Official Website. <http://www.denr.gov.ph/about-us/mission-vision.html>

#### D. Mission


The DENR shall be the driving force in the pursuit of sustainable development, enabling stakeholders' participation in the protection conservation, and management of the environment and natural resources for the present and future generations.

Source: DENR Official Website. <http://www.denr.gov.ph/about-us/mission-vision.html>

#### E. Organizational Structure

Pursuant to Executive Order No. 366 and consistent with the DENR Rationalization Plan approved by the Department of Budget and Management on 16 October 2013, and DENR Administrative Order No. 2014-01, the organizational structure under the rationalized DENR is shown below:



	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	QMS-MA-AP-002	1	NOV 27 2015	0	QMS Core Team	Page 8 of 13
<b>SECTION 2. AGENCY PROFILE</b>							

## **F. Functional Descriptions**

The organizational structure of the DENR shall consist of the different offices and attached agencies. The Secretary of Environment and Natural Resources has the authority and responsibility to carry out the mandates of the Department, discharge its powers, authorities and functions and accomplish its objectives. The Secretary shall be assisted by five (5) Undersecretaries, seven (7) Assistant Secretaries and other officers in the discharge of his/her functions.

The organizational subdivision of the Department Proper and their major functional responsibilities are as follows:

### **A. INTERNAL AUDIT SERVICE**


The Internal Audit Service (IAS) shall render assistance and advise the Secretary on all matters relating to operations and management controls; conduct management and operations audits of the Department's functions, programs, projects and activities and determine the degree of compliance with their mandate, policies, government regulations, established objectives, systems and procedures/processes and contractual obligations; review and appraise systems and procedures, organizational structure, asset management practices, financial and management records, reports and performance standards of the Department proper, bureaus, and field offices; analyze and evaluate management deficiencies and assist management by recommending realistic courses of action; undertake miscellaneous services, including special investigators and assistance to outside contacts such as Commission on Audit; and perform other functions that may be assigned by higher authority.

### **B. STRATEGIC COMMUNICATION AND INITIATIVES SERVICE**

The Strategic Communications and Initiatives Service (SCIS) shall serve as the information, education and communication arm of the Department and shall be responsible for disseminating information on environment and natural resources development policies, plans, programs and projects and respond to public queries on such concerns; conduct environmental education; undertake strategic alliance and partnership activities with external stakeholders; monitor and assess current issues and concerns raised by the public either in media or other means and recommend approaches in addressing such concerns; and handle priority concerns/matters identified by the Secretary which necessitate special and immediate attention.

### **C. FOREIGN-ASSISTED AND SPECIAL PROJECTS SERVICE**

The Foreign-Assisted and Special Project Service (FASPS) shall identify and prepare investment project and program proposals for possible foreign and local assistance in close consultation with DENR bureaus and field offices and in coordination with other appropriate government agencies; prioritize programs and/or projects requiring foreign and local assistance; conduct and undertake feasibility studies for projects identified for external assistance; represent the Department in negotiating for foreign loans/grant assistance; provide staff support in the implementation of foreign-funded and special projects; monitor and evaluate the performance of foreign-assisted and

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	QMS-MA-AP-002	1	NOV 27 2015	0	QMS Core Team	Page 9 of 13
<b>SECTION 2. AGENCY PROFILE</b>							

special projects in coordination with financial donors; and perform other functions that may be assigned by higher authority.

**D. KNOWLEDGE AND INFORMATION SYSTEMS SERVICE**


The Knowledge and Information Systems Service (KISS) shall manage the information and communication technology (ICT) of the Department; it shall provide guidelines and services to various offices in the management of ICT in the Department that will facilitate well-informed decision making and improve the delivery of service of DENR units; oversee the integration of ENR-related information/statistics generated by various sectors and convert the same into knowledge products; oversee the implementation and updating of Information Systems Statistic Plan (ISSP); and perform other functions that may be assigned by higher authority.

**E. POLICY AND PLANNING SERVICE**

The Policy and Planning Service (PPS) shall develop planning and resource allocation guidelines and integrate all short/medium/long-term development plans and programs of the Department; coordinate all planning activities, monitor and evaluate the performance of various units of the Department; formulate policy recommendations and strategies for improved, responsive and effective environmental and natural resources management; formulate long term resource policy agenda; recommend policies based on studies for the efficient and effective conservation of environment and natural resources; and perform other functions that may be assigned by higher authority.

**F. LEGAL AFFAIRS SERVICE**

The Legal Affairs Service (LAS) shall advise and assist the Secretary in all legal matters in the implementation and enforcement of ENR laws, rules and regulations; assist the Secretary in the exercise of his/her quasi-judicial functions; render legal opinions involving questions of law and interpretation of policies, rules and regulations; review proposed administrative issuances, policies, proclamations, other executive issuances and legislative bills which require comments and recommendations of this Department; review contracts and memoranda of agreement or understanding where this Department is a contracting party; prepare bonds and other instruments involving any interest of the Department, or provide comments and recommendations on any instruments already drawn; assist the Secretary and other officials of the Department or take a direct hand in the investigation and prosecution of violations of ENR laws, rules and regulations; act as legal counsel of the Department, and when authorized by the Office of the Solicitor General (OSG), represent the Department and its officers in courts or tribunals in all civil actions, special civil actions, special proceedings and environmental cases in which the Department or any of its officer in his/her official capacity is a party; assist the Secretary in his/her disciplinary function over officers and personnel; and perform other functions that may be assigned by higher authority.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	QMS-MA-AP-002	1	NOV 27 2015	0	QMS Core Team	Page 10 of 13
<b>SECTION 2. AGENCY PROFILE</b>							

### **G. ADMINISTRATIVE SERVICE**

The Administrative Service (AS) shall provide assistance and services on the promulgation of office orders, rules and regulations related to economical, efficient and effective administrative services on matters including general services, building and ground maintenance, communications, logistics, property, safety and security, records management and documentation, and such related matters; and perform other functions that may be assigned by higher authority.

### **H. FINANCIAL AND MANAGEMENT SERVICE**

The Financial and Management Service (FMS) shall provide assistance and advice on the promulgation of office policies, orders, rules, regulations and standards related to financial and management services of the Department; develop, maintain and improve a cost and financial accounting system for all programs/projects of the Department; formulate basic policies and guidelines for the preparation of the Department's budget in close coordination with the Policy and Planning Service; direct the financial and management services of the Department and exercise overall supervision over the financial and management functions and activities/operations of bureaus and regional/field offices; and perform functions that may be assigned by higher authority.


### **I. HUMAN RESOURCE DEVELOPMENT SERVICE**

The Human Resource Development Service (HRDS) shall provide assistance and services on the promulgation of office orders, rules and regulations related to the administrative, operational and strategic aspects of human resource management and development; plan, program, and implement human resource interventions of the Department; evaluate learning and development programs and other human resource development activities of the various units of the Department; develop a responsive employee career development program that will maximize potentials of employees in their jobs and in the organization; and perform other functions that may be assigned by higher authority.

The staff sectoral bureaus and their major functional responsibilities are as follows:

#### **A. FOREST MANAGEMENT BUREAU**

The Forest Management Bureau (FMB) shall develop programs and recommend policies for the sustainable management of the Philippine forests taking into consideration the production function of the forest in providing livelihood and ecosystem services as well as the role of the forest in climate change mitigation and adaptation; formulate plans, programs and policies for the sustainable management of production forest including grazing and forest plantation, critical watershed and river basin, forest reservation and rehabilitation of degraded and denuded forestland including mangrove forest; formulate and develop forestry related investment strategies but not limited to community forestry, forest plantation and wood-based industries including non-wood forest products and services; conduct studies on the supply and demand trends at the national and international levels including the development of national certification policy to comply with the international requirements in the trade of forest goods and services; provide technical assistance

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	QMS-MA-AP-002	1	NOV 27 2015	0	QMS Core Team	Page 11 of 13
<b>SECTION 2. AGENCY PROFILE</b>							

and extension services to the field offices on the protection, conservation, management and development of forests and forestland; conduct technical monitoring and evaluation in the implementation of programs, projects and activities as input to policy formulation and program level assessment; represent the Department in the international cooperation on forests and related agreements; and perform other functions that may be assigned by higher authority.

#### **B. LAND MANAGEMENT BUREAU**


The Land Management Bureau (LMB) shall develop programs and recommend policies for efficient and effective administration, management, survey and disposition of alienable and disposable (A and D) lands of the public domain and other lands outside the responsibility of other government agencies; advise the DENR field offices on the efficient and effective implementation of policies, programs and projects for more effective public lands management, formulate and recommend standards, guidelines, regulations towards the optimal development and utilization of land resources; advise the Secretary on matters involving public land management and on implementation of The Public Land Act and other land-related laws; monitor and evaluate implementation of land programs and projects; and perform other functions that may be assigned by higher authority.

#### **C. BIODIVERSITY MANAGEMENT BUREAU**

The Biodiversity Management Bureau (BMB) shall formulate, review and recommend policies, plans and programs for the management and conservation of the country's biological diversity; oversee the establishment and perform system-wide planning of lands classified as "national parks" comprised of protected areas under the National Integrated Protected Areas System (NIPAS), including other effective area-based conservation measures; monitor and assess the implementation of policies, plans and programs on the conservation of biological diversity and other relevant laws, rules and regulations; develop partnerships and linkaging in biodiversity conservation and management at the genetic, species and ecosystems level; develop and recommend capacity building and IEC programs for the conservation and management of wildlife resources, protected areas, coastal and marine resources, caves, wetlands and other important biodiversity rich areas; recommend research agenda for biodiversity conservation; provide guidance, integrate and monitor compliance to multilateral environmental agreements relevant to biodiversity conservation; develop incentives and standards for ecotourism, biodiversity friendly enterprises and disaster risk reduction management for terrestrial, wetlands, caves, and coastal and marine ecosystems; and perform other functions that may be assigned by higher authority.

#### **D. ECOSYSTEMS RESEARCH AND DEVELOPMENT BUREAU**

The Ecosystems Research and Development Bureau (ERDB) shall formulate, implement, coordinate and evaluate integrated research, development and extension agenda/programs on ENR and other related cross-cutting concerns in support of the thrusts and programs of the Department; it shall conduct basic researches and develop standards, protocols and science-based technologies to address the needs of the different DENR Bureaus, end-user and stakeholders; it shall provide technical assistance by developing and maintaining networks and linkages with DENR bureaus

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	QMS-MA-AP-002	1	NOV 27 2015	0	QMS Core Team	Page 12 of 13
<b>SECTION 2. AGENCY PROFILE</b>							

and offices, local and international institutions, and other stakeholders and civil society; and perform other functions that may be assigned by higher authorities. The ERDB has six (6) Research Centers strategically located in the country.

The line sectoral bureaus and their major functional responsibilities are as follows:

**A. ENVIRONMENTAL MANAGEMENT BUREAU**

The Environmental Management Bureau (EMB) shall be the primary government bureau under the DENR to formulate, integrate, coordinate, supervise and implement all policies, plans, programs, projects and activities relative to the prevention and control of pollution as well as management and enhancement of the environment; and perform other functions that may be assigned by higher authorities.

**EMB Regional Offices**

The EMB Regional Offices, headed by the Regional Director, shall be responsible for the effective, responsive, timely and transparent implementation of pertinent environmental laws, policies, rules and regulations and programs and projects in the region; exercise the management functions of planning, organizing, directing, developing subordinates, monitoring and controlling, internal coordination, and linking with other government agencies, civil society and stakeholders; directly supervise the provision of legal, information, education, communication services and integration of annual and long term plans and programs within its jurisdiction as well as in carrying out decisions and instructions of the Pollution Adjudication Board; the Regional Attorney, Planning Officer and Information Officers shall form part of the Office of the Regional Director including the Provincial Environmental Management Units who shall report directly to the Regional Director.


**MINES AND GEOSCIENCES BUREAU**

**B.**

The Mines and Geosciences Bureau (MGB) shall formulate and recommend policies, regulations and programs pertaining to mineral resources development and geology; advise the Secretary on the granting of mining rights and contracts over areas containing metallic and non-metallic natural resources; advising the regional offices on the effective implementation of mineral development and conservation programs as well as geological surveys; develop and formulate standards and operating procedures on mineral resource development and geology; and perform other functions that may be assigned by higher authority.

**MGB Regional Offices**

The MGB Regional Offices, headed by the Regional Director, shall implement at the regional level the pertinent laws, policies, rules and programs; manage functions of planning, organizing, directing and controlling; undertake Information, Education and Communication campaign; and perform other functions that may be assigned by higher authority.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	QMS-MA-AP-002	1	NOV 27 2015	0	QMS Core Team	Page 13 of 13
<b>SECTION 2. AGENCY PROFILE</b>							

The field offices shall consist of all the department of regional offices, the provincial offices and the community offices. Their functions are as follows:

**A. OFFICE OF THE REGIONAL DIRECTOR**

The Regional Office shall be headed by a Regional Director (RD) who shall be assisted by two (2) Assistant Regional Directors (ARDs), namely, ARD for Technical Services and ARD for Management Services. The Regional Office shall coordinate, direct, supervise and manage the implementation of all policies, regulations, programs and projects on environment and natural resources development and conservation in the region; supervise all activities of the Provincial Environment and Natural Resource Offices and the Community Environment and Natural Resource Offices within its jurisdiction as well as all foreign-assisted and special programs in the region; represent the Department in regional administrative bodies in the preparation and formulation of regional plans and programs; and perform other functions that may be assigned by higher authority.

**B. PROVINCIAL ENVIRONMENT AND NATURAL RESOURCES OFFICE**

The Provincial Environment and Natural Resources Office (PENRO) shall plan, implement, coordinate, control, prepare and/or update plans for the protection of the environment, development and conservation of natural resources management activities in the provinces; enforce environment and natural resources laws, rules and regulations; and perform other functions that may be assigned by higher authority.

**C. COMMUNITY ENVIRONMENT AND NATURAL RESOURCES OFFICE**

The Community Environment and Natural Resources Office (CENRO) shall implement laws, policies, programs and projects, rules and regulations pertaining to the management, conservation, development, use and replenishment of the country's natural resources; undertake continuing information and education programs on ENR concerns; collect and account for fees due to government from users of natural resources; file in court criminal cases against violators of ENR laws; maintains up-to-date data on ENR conditions; undertake surveys of areas covered by applications for the use and development of natural resources; investigate and recommend appropriate actions to resolve claims and conflicts involving natural resources; conducts measurement, assessment and grading of timber and other forest products in accordance with existing rules and regulations; and perform other functions that may be assigned by higher authority.

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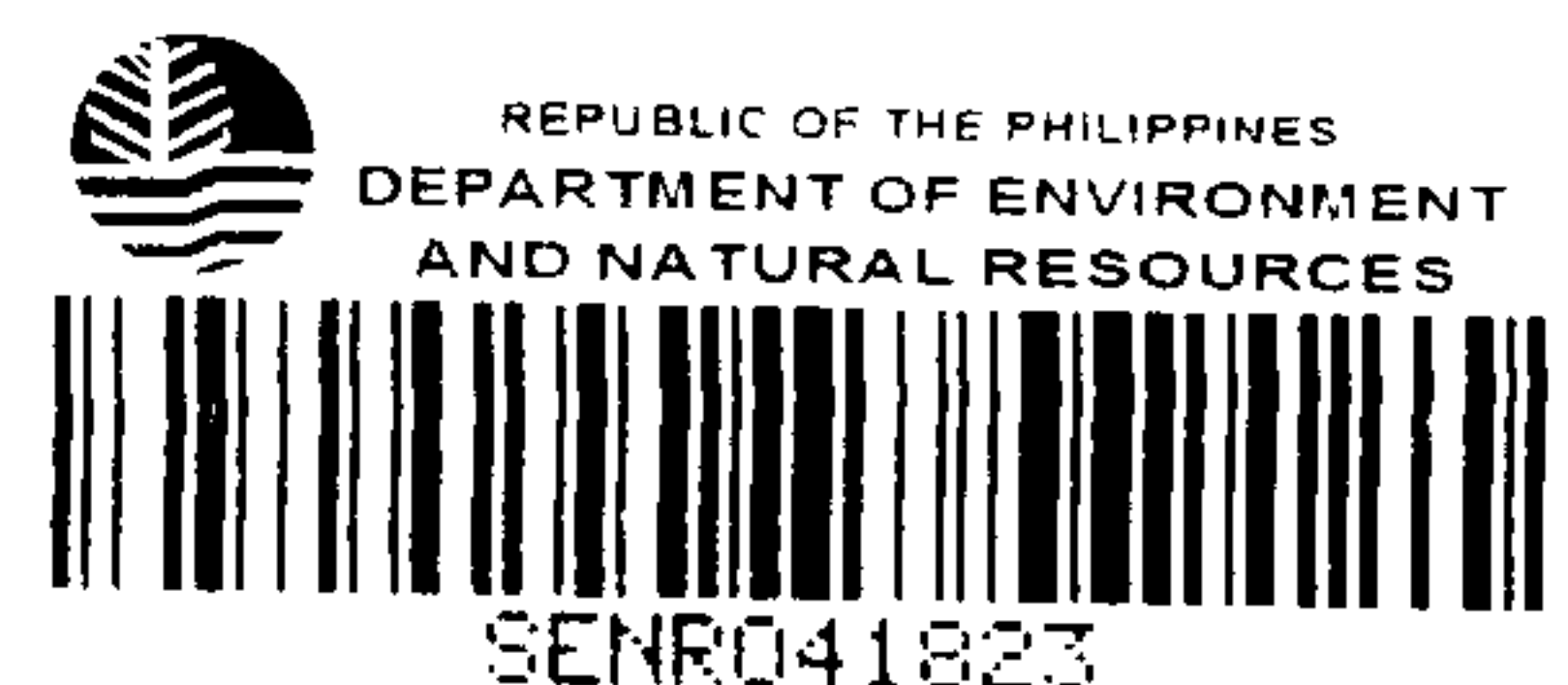
  
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	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-QMS-MA-003		NOV 27 2015	0	QMS Core Team	1 of 6
<b>SECTION 3. QUALITY MANAGEMENT SYSTEM</b>							

## A. General Requirements

A process-based **Quality Management System (QMS)** is adopted to continually improve the functions and services of the DENR which is primarily responsible for the conservation, management, development, and proper use of the country's environment and natural resources for the benefit of Filipino people.

The DENR determines the processes needed for the QMS and their application throughout the organization and the criteria and methods needed to ensure that both the operation and control of these processes are effective. It ensures the availability of resources and information necessary to support the operation and monitoring of these processes. It also monitors, measures, as appropriate, and analyzes these processes; and implements actions necessary to achieve planned results and continual improvement of the environment and natural resources (ENR) management.

## B. Scope and Exclusions

This Quality Manual applies to the ENR Management System as scope of the QMS. The scope covers the management, core, and support processes of the DENR as indicated in the DENR Process Map.

All requirements of ISO 9001:2008 are applicable to ENR Management System.

## C. Process Map

The ENR Management process map is divided into three groups, namely:

- a. **Management Processes** – those that are needed for oversight and governance of ENR management
- b. **Core Processes** – those that are needed to realize the planned activities in managing the environment and natural resources of the Philippines and allow DENR to deliver its mandate
- c. **Support Processes** – those that are needed to manage the resources necessary to ensure the satisfactory performance of the Core Processes

These three groups of processes complement each other in the satisfactory delivery of services and mandates to the clients and other interested parties/stakeholders.

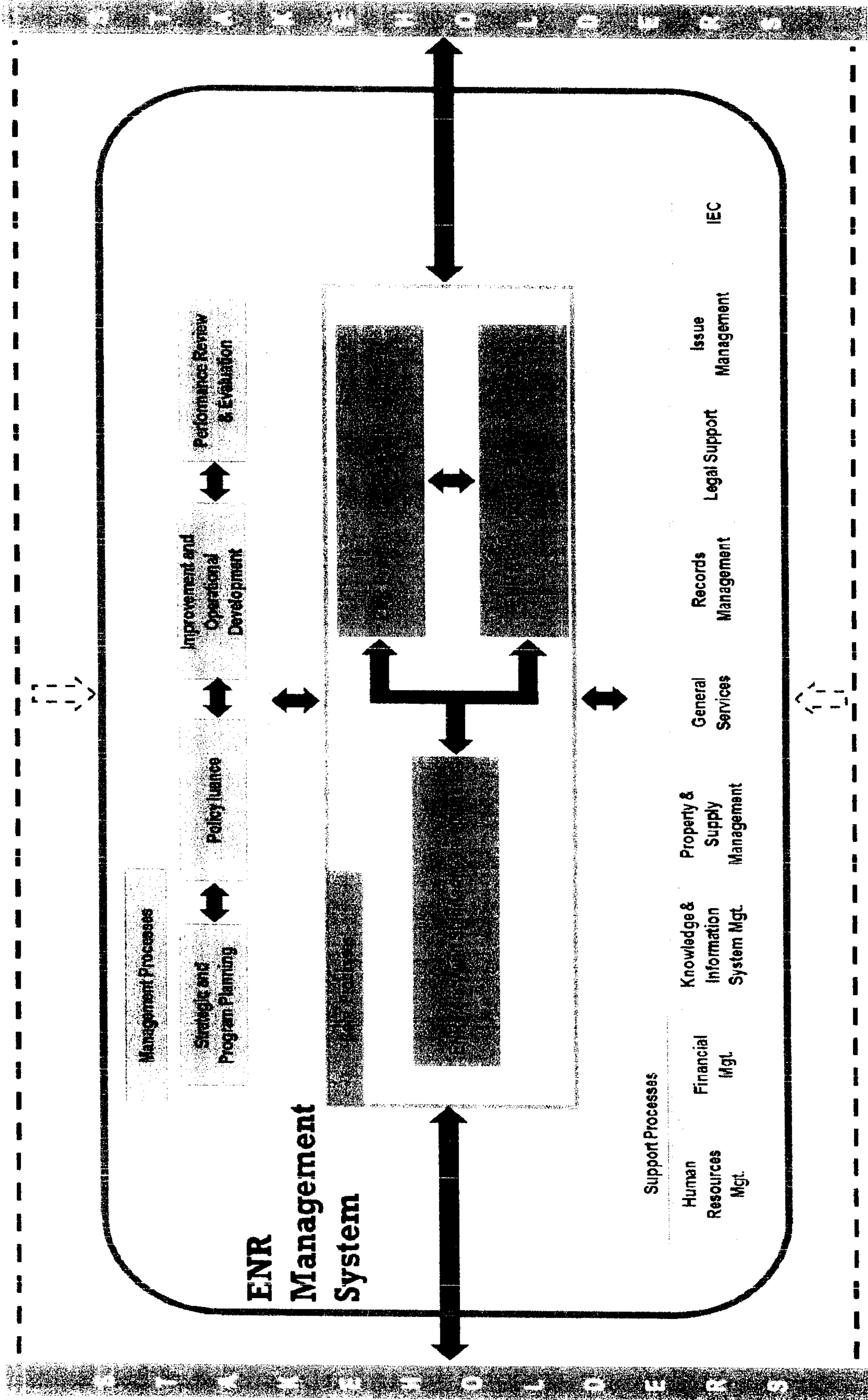
The DENR clients and stakeholders include, but not limited to, business sectors, local government units, non-government organizations, civil society organizations, peoples' organizations, religious sectors, academe, other government agencies, international partners, individuals, and DENR employees.

The ENR Management Process includes feedback mechanism in accordance with good governance principles, continuous interaction and communication for continual updating and improvement.



Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
QMS MANUAL	DENR-QMS-MA-003		NOV 27 2015	0	QMS Core Team	2 of 6

## SECTION 3. QUALITY MANAGEMENT SYSTEM





Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
QMS MANUAL	DENR-QMS-MA-003		NOV 27 2015	0	QMS Core Team	3 of 6
<b>SECTION 3. QUALITY MANAGEMENT SYSTEM</b>						

Processes	Key Activities	Office Responsible
<b>Management Processes</b>		
Strategic Program Planning	ENR Strategic Planning	Office for Policy, Planning and FAPs; All Bureaus; Regional Offices (ORD-DENR, EMB, MGB)
	Strategic Performance Management	FASPS, Implementing Offices
Policy Issuance	ENR Policy Development	UPPFAPs; ExeCom; All Offices
	Internal Policy and Guidelines Development and Dissemination	All Offices
Performance Review and Evaluation	Management Review	ExeCom, USEC/ASEC Meeting, Expanded ExeCom, All Bureaus and Field Offices
	Internal Quality Audit (IQA)	Internal Quality Audit Committee
	Performance Commitment Review	All Offices/ Performance Management Group (PMG)
	Financial Performance Reporting	Financial Management Service
	Office Accomplishment Reporting	Planning and Policy Service
Improvement and Operational Development	Corrective and Preventive Action Planning	All Offices
<b>Core Processes</b>		
ENR Policy and Standards Development	Policy Development	Policy and Planning Service; All Bureaus and Field Offices
	Standards Formulation and Improvements	All Bureaus
ENR Program and Project Management	Program and Project Development	FASPS, All Bureaus and Field Offices
	Program and Project Implementation	All Bureaus and Field Offices




Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
QMS MANUAL	DENR-QMS-MA-003		NOV 27 2015	0	QMS Core Team	4 of 6
<b>SECTION 3. QUALITY MANAGEMENT SYSTEM</b>						

Processes	Key Activities	Office Responsible
	Technology Transfer	ERDB
	Implementation of PPAs	All Offices
	ENR Framework Planning	All Bureaus and Field Offices
	Programs and Projects Awareness and Social Mobilization	SCIS and Regional Information Office; All Bureaus and Field Offices
	Capacity-Building	HRDS; All Bureaus and Field Offices; FASPS
	Program and Project Assessment and Monitoring	All Bureaus and Field Offices
	Impact Assessment	All Bureaus and Field Offices; FASPS; PPS
	Project and Program Accomplishment Reporting	Use for PPFAPs; All Bureaus and Field Offices; FASPS
	Data Monitoring and Reporting	Concerned Bureaus; Program Implementers; FASPS; SDRMD
ENR Regulations, Monitoring and Enforcement	Processing of permits, licenses, etc.	Field Offices; MGB; LMB; EMB; FMB; BMB
	Monitoring, Surveillance and Inspection	Field Offices; MGB; LMB; EMB; FMB; BMB
	Enforcement based on Monitoring Activities	Field Offices; MGB; LMB; EMB; FMB; BMB; Legal Service
	Enforcement based on Complaints	Field Offices; MGB; LMB; EMB; FMB; BMB; Legal Service
<b>Support Processes</b>		
Human Resource Management	Recruitment, Selection and Placement	HRDS and its Counterpart in Bureaus



Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
QMS MANUAL	DENR-QMS-MA-003		NOV 27 2015	0	QMS Core Team	5 of 6
<b>SECTION 3. QUALITY MANAGEMENT SYSTEM</b>						

Processes	Key Activities	Office Responsible
	Learning and Development	and Field Offices
	Performance Management	
	Rewards and Recognition	
Knowledge and Information System Management	Network Infrastructure Management	KISS and its Counterpart in Bureaus and Field Offices
	System Development and Management	
	ICT/Data Resource Management	
Financial Management	Budgeting	Financial Management Services and its Counterpart in Bureaus and Field Offices
	Accounting	
	Internal Management	
General Services	Infrastructure Maintenance	GSD and its Counterpart in Bureaus and Field Offices
	Transport Vehicle Management	
	Management of Work Environment	
	Cashiering	
Property and Supply Management	Property Management	Property and Supply Management Division and its Counterpart in Bureaus and Field Offices
	Supply Management	
	Procurement	
Legal Support	Assistance to the Secretary in the exercise of quasi-judicial functions	Legal Service and its Counterpart in Field Offices and Bureaus
	Rendering of Legal Opinion	
	Legal Counseling	
Issue Management	Issue Resolution	SCIS
	Alternative Dispute Resolution	Legal Service and its Counterpart in Field Offices
	Handling Sexual Harassment Issues	Committee on Decorum and Investigation of All Offices
Records Management	Document Control	RMD and its Counterpart in All Offices
	Records Management	
Information, Education and Communication		SCIS; Field Offices; Bureaus

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-QMS-MA-003		NOV 27 2015	0	QMS Core Team	6 of 6
<b>SECTION 3. QUALITY MANAGEMENT SYSTEM</b>							

The DENR identifies two types of clients of its various processes, the internal and external clients. The internal clients are generally the recipients of products and services within the Department. They may be receiving support services, as well as goods and products, from support units, or they are receiving the outputs or documents from other DENR units to serve as inputs to their process.

External clients of DENR are also categorized into two, the direct recipients of the DENR services and products, and other interested parties or stakeholders that have impact or potential impact on the DENR's ability to consistently provide products and services that meet clients and applicable requirements.

#### D. Control of Outsourced Processes

The following processes, which are integral to core operations of the DENR, are outsourced:

Processes	Type of Control
Professional Consultancy and Job Orders	<ul style="list-style-type: none"> <li>• Contract/Terms of Reference</li> <li>• Progress Report</li> <li>• Monitoring of Deliverables</li> </ul>
IT Systems Development and Maintenance	<ul style="list-style-type: none"> <li>• Contract/Terms of Reference</li> <li>• Progress and Final Reports</li> <li>• Monitoring of Deliverables</li> </ul>
Provision and management of General Services (e.g., security, janitorial, air conditioning, elevator maintenance, IT equipments, printers, photocopiers and service vehicle maintenance, pest control, catering)	<ul style="list-style-type: none"> <li>• Contract</li> <li>• Periodic Performance Evaluation</li> <li>• Proof of compliance of the service provider with pertinent law, rules and regulations</li> </ul>

The DENR ensures control over outsourced processes that affect their conformity to statutory and regulatory requirements. The type and extent of control to the outsourced processes are defined in the RA 9184 Procurement Law.

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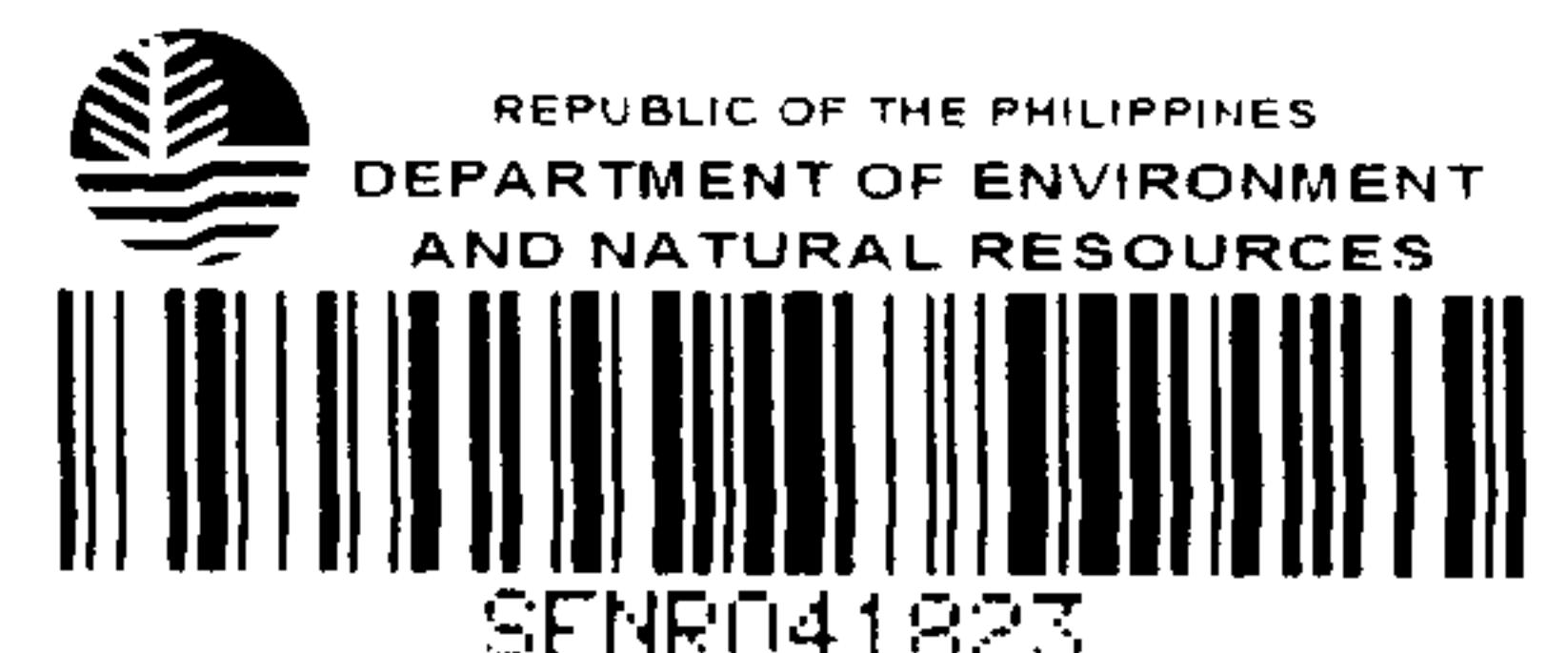
  
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	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-004		NOV 27 2015	0	QMS Core Team	1 of 3
<b>SECTION 4. DOCUMENT MANAGEMENT</b>							

## A. QMS Documentation

The QMS is aimed at ensuring consistency in meeting the client needs and expectations through the actual performance of documented policies, guidelines and procedures.

The DENR's documentation is structured, as follows:

### a. Level 1 – Policies, Issuances and Organizational Plans

These documents refer to the DENR Special Orders, Administrative Orders, Memorandum Circulars, Memorandum Orders and organizational plans such as strategic plans that are issued by the top management and cascaded to the different Regional Offices, PENROs, CENROs, Bureaus, Attached Agencies and Divisions of the Central Office for proper implementation and adoption.

The Manual of Authorities enhances transparency/ accountability and serves as reference to expedite the processing/ approval of documents pertaining to Human Resource Development and Administrative Matters. It also provides guidance to officials and employees on the delegated authorities at the Central Office, Bureaus, Regional Offices, PENROs and CENROs.

All issuances are coded according to acronym of document type, year issued, and series number (e.g. DENR Administrative Order No. 2015-01 coded as DAO-2015-01).

### b. Level 2 – DENR Manuals

QMS Manual defines and clarifies policies, systems and procedures adopted to implement and continually improve the DENR's QMS. Likewise, it serves as reference and guide for all employees to make them familiar with and appreciate the DENR's QMS.


### c. Level 3 – DENR Procedures

Procedures refer to the required documented procedures of the ISO 9001, namely: Control of Documents, Control of Records, Internal Quality Audit, Control of Nonconforming Products, Corrective Action and Preventive Action. These documented procedures serve as guide for all the employees to ensure that proper controls on documents, records, nonconformities and internal audit are implemented. Additional procedures are also established to serve as guide in implementing relevant procedures such as Management Review, Internal Communication, among others.

This also includes all procedures or manuals originating from Bureaus and approved by the Secretary, which are circulated and disseminated by the Records Management Division to the Bureaus and Field Offices

### d. Level 4 – Office Plans, Manuals and Procedures

Office plans refer to the specific plans of the Bureau/ Office/ Service that may include the work and financial plan, operational plans, HRD plans, Division and

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-004		NOV 27 2015	0	QMS Core Team	2 of 3
<b>SECTION 4. DOCUMENT MANAGEMENT</b>							

Individual Performance Commitment and Review (OPCR/IPCR), Annual Procurement Plan (APP) and the like. These plans are specifically for the implementation of the concerned offices.

Procedures are also developed for specific use of the offices. It may affect or interact with other units but main responsibility of implementation is within the concerned office where the documented procedures originated. Procedures may also be externally generated such as the Procurement Handbook, CSC and DENR Issuances, and the like.

#### **e. Level 5 – Records**

Record is a special type of document that provides evidence of performance of the Level 1 to 4 documents. These are generated by the concerned offices that are performing tasks and procedures.

### **B. Document Control**


The DENR implements a procedure for the creation, revision, approval and issuance of documents, regardless of form (soft or hard copy), which include the documents under Levels 1 to 4 of the documentation structure. Likewise, the procedure provides for an effective monitoring, distribution, maintenance and updating of procedures and instructions within the said manuals.

Documented procedure, i.e. Document Control (Procedure for EMS Documentation PR-ED-009 and Procedure for Document Control PR-DC-010) is established to define the controls needed to:

- a. Approve documents for adequacy prior to issue;
- b. Review and update as necessary and re-approve documents;
- c. Identify the current revision status of documents and changes;
- d. Ensure that relevant versions of applicable documents are available at points of use;
- e. Ensure that documents remain legible, readily identifiable and retrievable;
- f. Ensure that documents of external origin determined by the Office to be necessary for the planning and operation of the QMS are identified and their distribution controlled; and
- g. Prevent the unintended use of obsolete documents, and apply suitable identification to them if they are retained for any purpose.

### **C. Records Management**

The DENR implements a procedure for Records Management as per DENR Memorandum Circular No. 2010-16 dated October 08, 2010 (Implementation of the Approved Records Retention and Disposition Schedule) and pursuant to RA No. 9470 (An Act to Strengthen the System of Management and Administration of Archival Records, Establishing for the Purpose the National Archives of the Philippines, and for Other Purposes) dated February 19, 2007 for the identification, collection, indexing, access, filing, storage, maintenance and disposition of records, i.e. Level 5 documents

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-004		NOV 27 2015	0	QMS Core Team	3 of 3
<b>SECTION 4. DOCUMENT MANAGEMENT</b>							

under the documentation structure. Records are ensured legible, stored and retained in such a way that they are readily retrievable in storage facilities that provide a suitable environment to prevent damage, deterioration or loss.

The Records Officer or concerned personnel, as the case may be, maintains records to demonstrate achievement of applicable requirements, which include the ENR management process and its interfacing sub-processes.

Retention periods of records, regardless of form (soft or hard copy), are established, recorded and maintained in accordance with the Records Retention and Disposition Schedule as per DENR Memorandum Circular No. 2010-16 dated October 08, 2010.

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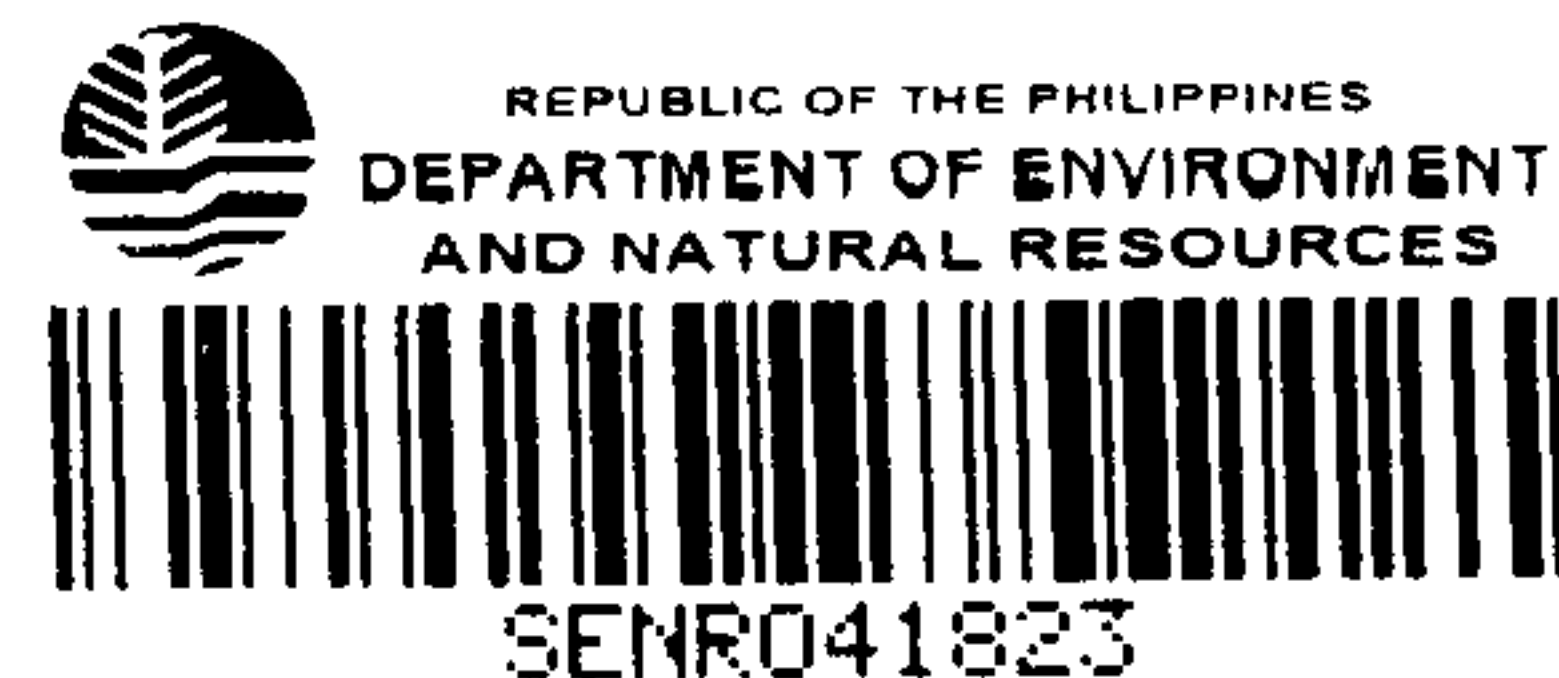
  
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	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-005		NOV 27 2015	0	QMS Core Team	Page 1 of 8
<b>SECTION 5. MANAGEMENT RESPONSIBILITY</b>							

### **A. Management Commitment**

The DENR Management is actively involved in implementing the Quality Management System (QMS) through the legal, operational, administrative and regulatory requirements, and provision of the necessary resources for the development and implementation of the QMS.

The Executive Committee, chaired by the Secretary, provides the strategic direction for the improvement of the DENR operations and the effectiveness of its QMS is committed to the continual improvement of its services. It has established and continuously maintains the QMS documentation requirements and the necessary processes of the DENR management system to ensure its focus on targets/goals considering all the requirements of the stakeholders.

Changes to the QMS are planned to allow for the maintenance of the integrity of the system and achievement of any existing objective.


In maintaining and changing the QMS, legal and procedural requirements indicated in the DENR's issuances and procedures are communicated and accommodated within the system.

### **B. Stakeholder Focus**

The DENR management strives to have well-informed citizens who enjoy their rights and exercise their duties for a sustainable and healthy ecosystem. Moreover, the department endeavors to empower the citizens by adopting a multi-stakeholders approach in planning, implementation, and evaluation of ENR programs, projects and activities. The multi-stakeholders approach is a governance model or structure to bring all concerned government agencies including DENR regional offices, bureaus and attached agencies, local government units, non-government and people's organizations, socio-civic groups, and other internal and external stakeholders, including the marginalized and most vulnerable (women, children, youth, persons with disability, senior citizens, and the like), to participate in discussions, decision-making and implementation of solutions to common problems and issues. In pursuit of this objective, management creates a policy environment that enables volunteerism, partnership and networking for the stakeholders to take action or problem-solve on ENR issues at the community or national level.

In addition, an issue management program or mechanism is institutionalized to prevent and minimize conflict.

The DENR fulfills this role through results-oriented and participatory communication strategies for an empowered, engaged, and resilient citizenry toward sustainable development. This is operationalized through public information and education, networking and alliance building, advocacy and issues management.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-005		NOV 27 2015	0	QMS Core Team	Page 2 of 8
<b>SECTION 5. MANAGEMENT RESPONSIBILITY</b>							

### C. Quality Policy

The DENR Management maintains the Quality Policy, which is attached as an *Annex* in this Quality Manual. It ensures the satisfaction of the DENR's stakeholders, and compliance with statutory and regulatory requirements relative to the services provided. This policy is communicated to ensure that it is understood at all levels of the organization. Comprehension of the Quality Policy is verified through, but not limited to, Internal Quality Audits, Operations & Management Audits and Reviews and during Executive Committee, Management Committee, and Expanded Committees with Directors.

The DENR Management is responsible for ensuring that the quality policy is appropriate to its mandate and provides framework for establishing and reviewing success indicators and targets. This is reviewed periodically to ensure continuing suitability to its mandate and thrusts, including the requirements and needs of its clients.

### D. ENR Strategic Planning


The DENR Plans and Programs undergo an interactive process of sector assessment and planning with various stakeholders. The product is a sectoral plan guided by the DENR mandate. It is also anchored on the ENR Framework which is used in the preparation of the Department inputs to the Medium Term Development Plan or what are now called Philippine Development Plan (PDP). The DENR priority plans and programs are presented and approved by the Secretary.

The assessment and review takes note of the mandates which support existing and planned programs, so that these are still aligned with the institutional roles of the DENR as a national government agency. In a sense, programs are screened against such criteria as: Is this better performed by other sectors such as LGUs? How can the agency deliver on the same or better results if the implementation modality or strategy is modified? Are the problems better addressed through policies, rather than investments in implementation? These are discussed at the Focus Group Discussions and formed part of the assessment, and the ensuing review of major programs and targets.

The identified programs are translated into the DENR Work and Financial Plans (WFPs). These are submitted by the Regions, Bureaus (line and staff), Attached Agencies as well as the different units of the Department. The consolidated WFPs are submitted to the Department of Budget and Management (DBM). The WFPs are the bases in crafting the Organizational Performance Commitment (OPCR), Division Performance Commitment (DPCR) and Individual Performance Commitment (IPCR). The OPCR of the Department is the basis in crafting the Organizational Outcome and Planning Tool submitted to the Office of the President. Likewise, the OPCR is a major tool in monitoring the performance of an Office and individual under the Strategic Performance Management System (SPMS).

### E. Strategic Performance Management System (SPMS)

The DENR sets measurable targets consistent with the Quality Policy, Thrusts and Mandate, and Organizational Performance Indicator Framework's Major Final Outputs (MFOs). Success indicators and targets of all offices are indicated in the Performance

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-005		NOV 27 2015	0	QMS Core Team	Page 3 of 8
<b>SECTION 5. MANAGEMENT RESPONSIBILITY</b>							

Commitment and Review (PCR) based on the Strategic Performance Management System (SPMS). The SPMS defines the process of developing and monitoring of the Performance Commitment and Review.

Performance Planning and Commitment is done prior to the start of the performance period (January-June and July to December) where heads of offices meet with the supervisors and staff and agree on the outputs that should be accomplished based on the goals and objectives of the DENR. OPCR/DPCR/IPCRs are prepared based on the operation's requirements, organizational needs, services and process performance, customer satisfaction and resources needed.

In accordance with DENR SPMS Guidelines, performance planning and commitment is undertaken to determine the OPCR/DPCR of the various divisions and offices in the last quarter of the preceding year, which are approved by the heads of office concerned, and subsequently submitted to the Performance Management Team (PMT). The OPCR/DPCR are communicated in all levels, and serve as the basis for the formulation of the individual targets and commitments.

The OPCR/DPCR are monitored through monthly submission of accomplishment reports to the respective supervisors and to the PMT through the Program Monitoring and Evaluation Division and its counterpart in the bureaus and field offices. The OPCR/DPCR are reviewed and assessed semi-annually by the PMT against the set commitments and targets.

#### **F. Responsibility and Authority**

Responsibilities and authorities are defined in DENR Manual of Authorities and communicated in Job Descriptions, Office/Office Orders, organizational chart, policies, and procedures.

#### **G. QMS Organizational Structure**

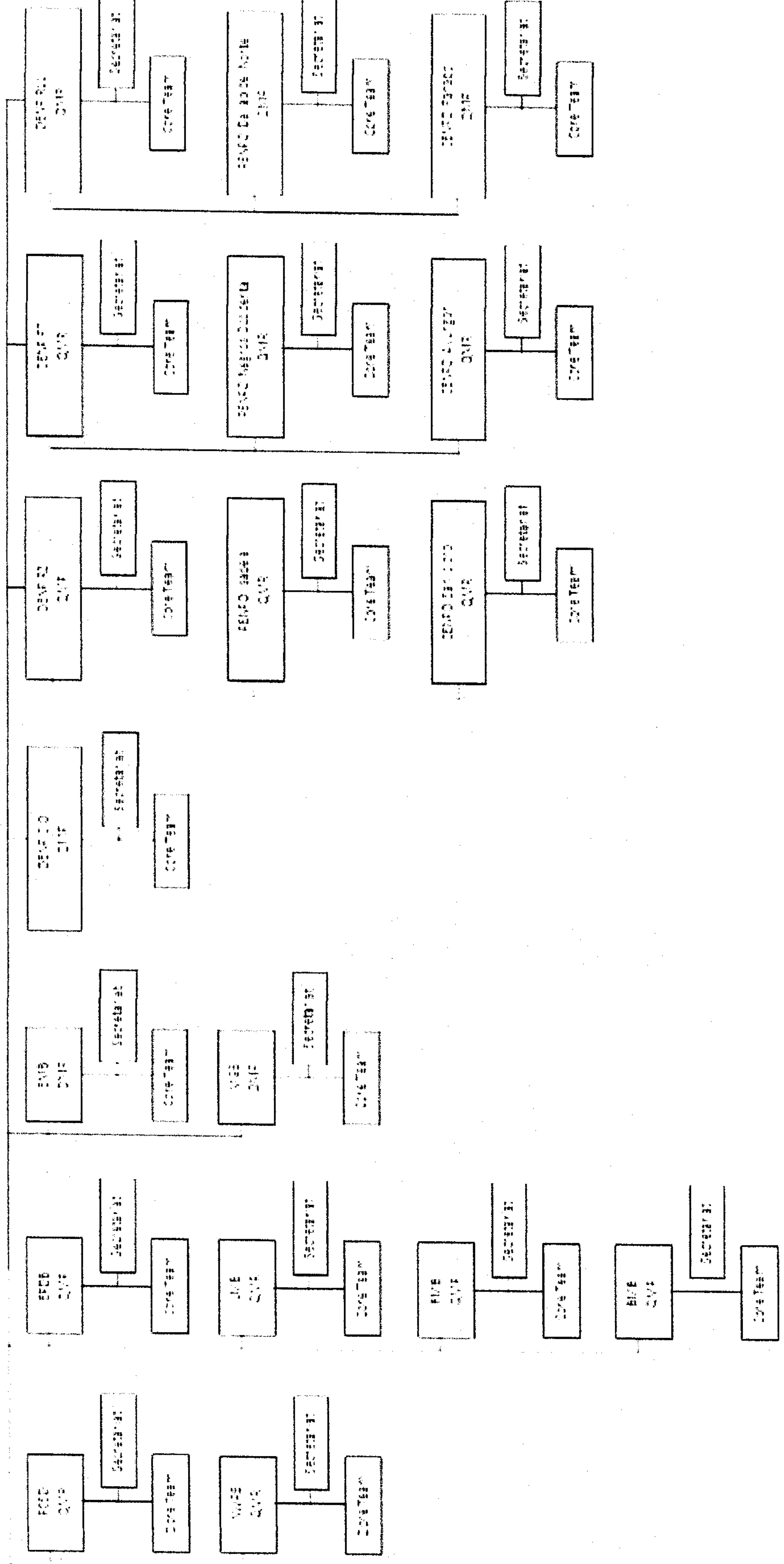
As to specific roles in QMS, DENR Special Order Nos. 2014-381, 2014-565 and 2015-796 created the DENR QMS Organization with its structure as shown below:


QMS Core Team  
 DENR-MA-QMS-005

QMS Core Team  
 DENR-MA-QMS-005

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QMS Core Team  
 DENR-MA-QMS-005



	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-005		NOV 27 2015	0	QMS Core Team	Page 5 of 8
<b>SECTION 5. MANAGEMENT RESPONSIBILITY</b>							

**a. Top Management (Executive Committee)**

- Establish, review, and maintain the quality policy;
- Ensure that the established quality objectives are relevant to the mandate of the Office;
- Ensure allocation of available resources to support the QMS;
- Define the responsibilities and authorities of each unit in the Office;
- Review and monitor the effectiveness of the QMS action plans; and
- Ensure that the communication mechanisms are established and implemented effectively.

**b. Quality Management Representative (QMR)**


- Oversee the establishment, documentation and effective implementation of the QMS in the Central Office;
- Acts as liaison with external parties on matters relating to QMS;
- Ensures that procedures for IQA, Management Review, Corrective, and Preventive Actions are established and implemented; and
- Report QMS performance to the over-all QMR for review and continual improvement.

**c. Deputy QMR**

- Support the QMR in the effective planning, implementation, maintenance, and continual improvement of the established QMS;
- Assist the QMR in his/her assigned duties and responsibilities; and
- Assume responsibility of the QMR in his/her absence.

**d. QMS Teams**

- **Planning Team**
  - a) Ensure that quality objectives are established at relevant functions within the organization;
  - b) Ensure that quality objectives are measurable;
  - c) Ensure that quality objectives are supported by programs to achieve them; and
  - d) Ensure that customer information is monitored as one of the measures of performance of QMS.
- **Workplace Organization Team**
  - a) Ensure that the work environment needed to achieve conformity to service requirements is properly managed;
  - b) Ensure consistent implementation of the 5S Housekeeping program; and
  - c) Monitor and assess workplace cleanliness, orderliness and safety.
- **Education and Training Team**
  - a) Plan and coordinate with QMS Focal Persons the QMS Learning and Development Plan for all DENR Central offices and personnel; and

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-005		NOV 27 2015	0	QMS Core Team	Page 6 of 8
<b>SECTION 5. MANAGEMENT RESPONSIBILITY</b>							

b) Conduct re-echoing sessions and writeshops at DENR Central the QMS learning events conducted by DAP to comply with all QMS documentation and other requirements towards ISO 9001:2008 Certification.

- **Documents and Records Control Team**

- a) Consolidate all the documentation requirements using DENR format for Quality Manual and Procedures and Work Instructions;
- b) Maintain master copies and master list of the Quality Manual Procedures and Work Instructions, as well as, the master list of externally generated documents and references;
- c) Issue and control distribution of the Quality Manual and Procedures and Work Instructions; and
- d) Ensure that the DENR's document control procedure conforms to ISO 9001:2008.
- e) Coordinate enhancement of the Records Management Manual;
- f) Closely coordinate with Division/Unit heads on all matters concerning Records Management;
- g) Ensure that changes and current revision of documents are identified;
- h) Ensure that relevant versions of applicable documents are available at points of use;
- i) Ensure that documents remain legible and readily identifiable and retrievable;
- j) Prevent the unintended use of obsolete documents; and
- k) Ensure controls are established for identification, storage, protection, retrieval, retention time and disposition of records.

- **Internal Quality Audit Team**

- a) Facilitate the establishment, conduct and monitoring of the implementation of the Audit Program of the Department;
- b) Identify the necessary resources for managing the DENR's Audit Program;
- c) Provide the criteria for the selection of QMS auditors;
- d) Coordinate and provide inputs on the training of QMS Auditors.
- e) Keep track the implementation of the corrective and preventive actions for non-conformances raised during audits.


**e. QMS Secretariat**

- Coordinate QMS activities such as trainings, documentations and audits;
- Assist in coordinating and communicating QMS related activities with the Regional Offices; and
- Provide logistical support.

## **H. Internal Communication**

Management ensures that appropriate communication processes are established through electronic facility, regular briefings, meetings, conferences, and written communications, i.e. memoranda, office orders and postings on bulletin boards.

Regular flag raising ceremonies shall be used as venue to disseminate information and updates about the process.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-005		NOV 27 2015	0	QMS Core Team	Page 7 of 8
	<b>SECTION 5. MANAGEMENT RESPONSIBILITY</b>						

## I. Management Review

The DENR ExeCom reviews the QMS at least annually or whenever deemed necessary to determine continued suitability, adequacy and effectiveness in satisfying the organization's requirements, including the statutory and regulatory requirements conforming to ISO 9001 standards. This review includes assessment of performance for continual improvement to update and enhance the QMS, quality policy and quality objectives, as needed.

### a. Review Levels

The DENR conducts its management review at three levels:

- a. Regional/ Bureau/ Service Level
- b. Undersecretary Level
- c. ExeCom Level

Regional management conference serves as the venue for the regional level management review where PENROs and CENROs report the QMS implementation and assessment of its effectiveness to the concerned Regional Director. Similarly, the regional offices of line bureaus report their QMS performance to their respective Bureau Directors during their ManCom meeting, and Division Chiefs and concerned officers of Staff Bureaus and Services report to their respective Bureau/Service Directors during the Bureau ExeCom and staff meeting, respectively.

Consequently, the regional, bureau and service directors report QMS performance of their respective offices to concerned Undersecretary, as applicable.

At the ExeCom Level, Undersecretaries and the concerned Bureau Directors, led by the Overall QMR, report to the ExeCom the results of the Undersecretary and Bureau Level management review.

### b. Review Input


The review includes information on the following:

- Results of audits, internal and external;
- Client agency and/or citizen feedback results;
- Status of Service Conformities, and Process' performance, vis-à-vis plans;
- Status of corrective and preventive actions;
- Matters arising from the management reviews conducted;
- Changes affecting the quality management system; and,
- Actions taken on recommendations for improvement.

### c. Review Output

Output from the management review includes, but not limited to, any decisions and actions related to:

- Improvement of the effectiveness of the QMS and its processes;
- Improvement of services related to client needs; and
- Resource needs.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-005		NOV 27 2015	0	QMS Core Team	Page 8 of 8
<b>SECTION 5. MANAGEMENT RESPONSIBILITY</b>							

Corrective actions identified from these review are forwarded to the concerned Unit Head for their timely implementation and evaluation of the effectiveness of planned actions.

Prepared by:

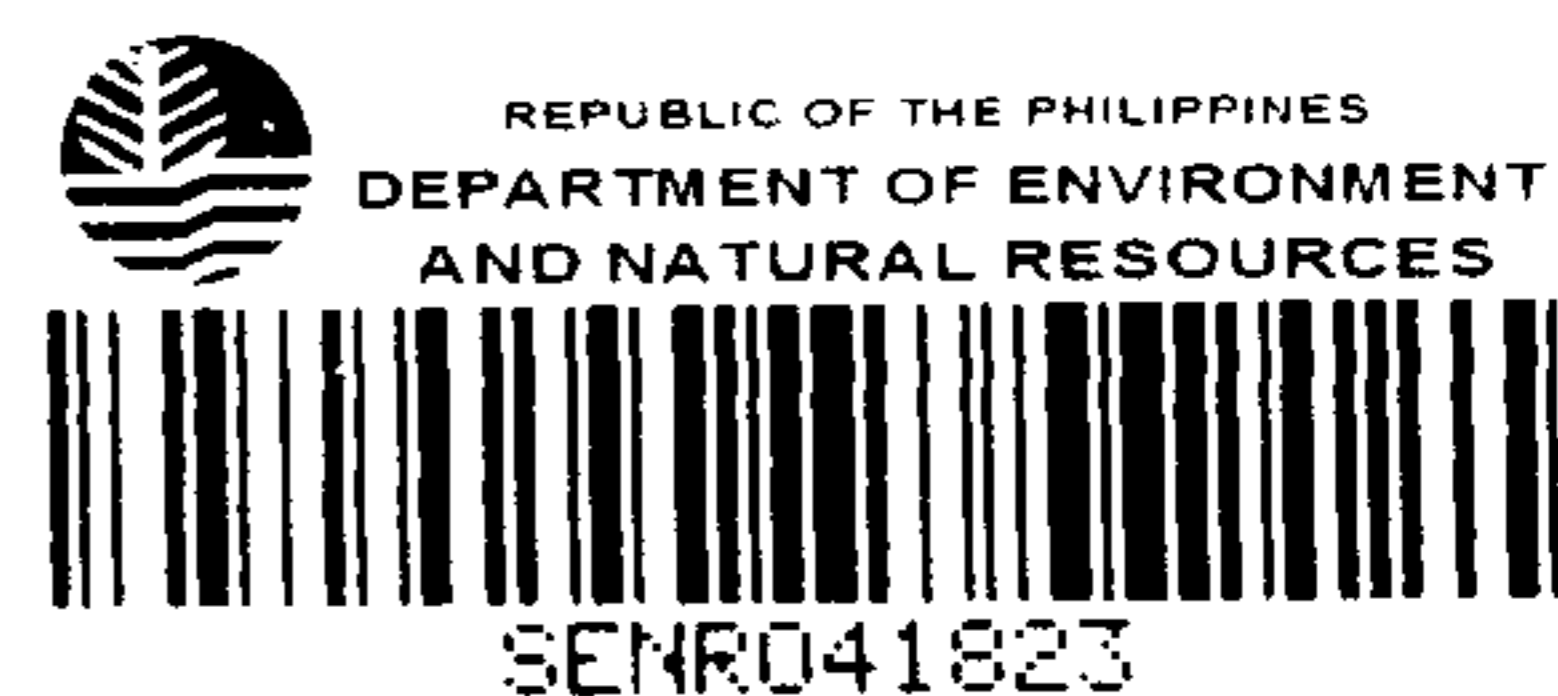
  
**BRESILDA M. GERVACIO**  
 Quality Management  
 Representative for Central Office


Reviewed by:

  
**ATTY. ERNESTO D. ADOBO, JR.**  
 Overall Quality Management  
 Representative

Approved by:

  
**RAMON J.P. PAJE**  
 Secretary



	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	1 of 15
	<b>SECTION 6. RESOURCE MANAGEMENT</b>						

## A. Provision of Resources

The DENR determines and provides appropriate resources to ensure that the implementation of its QMS is maintained and the effectiveness of the same is continually improved, through the enhancement of various components which are not limited to the following:

- Human Resource Management
- Financial Management
- Information System Management
- Property and Supply Management
- General Services
- Legal Support
- Alternative Dispute Resolution
- Information, Education and Communication


## B. Human Resource Management and Development

The Human Resource Development Service together with its counterpart in the Field Offices and Bureaus provide assistance and services on the promulgation of office orders, rules and regulations related to the administrative, operational and strategic aspects of human resource management and development; orient employees on the administrative policies; carries out guidelines on leave administration and benefits; ensures accurate computation of compensation; maintains pertinent records of personal data, performance evaluation (IPCR, DPCR and OPCR), academic qualifications and learning activities in the Personnel Information System and Training and Development Database; as well as plan, program and implement competency-based and gender responsive human resource interventions of the Department.

The various mechanisms that have been established and in use are the Merit Selection and Promotion Plan (MSPP), the Strategic Performance Management System (SPMS) which includes performance commitment and review, the Grievance Machinery, the Program on Rewards and Recognition, as well as the Learning and Development (L&D) Programs for its employees.

### 1. Recruitment, Selection and Placement

In the selection process, a uniform step procedure is applied for collecting and evaluating information and making hiring decisions. The Department implements an efficient recruitment system that helps identify the best candidate for a job vacancy, be it for employment or promotion in the Department. In order to determine the competencies required, a Civil Service Commission (CSC) Qualification Standards manual that stipulates the updated minimum qualifications on education, work experience, relevant trainings and eligibility is used as reference. However, the Department is not precluded from constituting higher standards, when deemed necessary, provided that it has been approved by the CSC. The Selection and Promotion Board (SPB) is mandated to assess all the qualified candidates for appointment to the 1st, 2nd and 3rd level positions based on merit and fitness in accordance with the DENR MSPP, and the existing CSC rules and regulations. The Board ensures and upholds impartial and equitable selection process when evaluating all candidates recommended for appointment from which the appointing authority shall choose.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	3 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

time periods for Performance Review and Evaluation are the first week of January the following year.

- d. Performance Rewarding and Development Planning is based on the results of the performance review and evaluation when appropriate developmental interventions are made available to specific employees. The suggested time periods for Performance Rewarding and Development Planning are the first week of July and the first week of January the following year.

Pursuant to Executive Order No. 80, s. 2012, a Performance-Based Incentive System (PBIS) consisting of the Productivity Enhancement Incentive (PEI) and the Performance-Based Bonus (PBB) was adopted in the national government beginning FY 2012.

The PBB is characterized by a two-step system of ranking Delivery Units of Departments/Agencies and personnel within those units according to their performance as measured by verifiable indicators based on the pillars of Results-Based Performance Management System: Department's/Agency's Major Final Outputs (MFOs) and Performance Targets (PT) as specified in its Organizational Performance Indicator Framework (OPIF) and consistent with the targets in the approved OP Form 1 Planning Tool or the Approved Budget; Department's/Agency's commitments to the President supportive of the priorities under EO 43; and, Good governance conditions on the performance drivers set by the AO 25 Inter-Agency Task Force (IATF).

The DENR issues Memorandum Circular each year setting forth the Guidelines on Ranking Delivery Units and Individuals as Basis for granting the PBB.

#### **4. Rewards and Recognition**

In order to attract and retain the best employees, an environment where employees feel appreciated for their contributions must be created.

The DENR with the objective to recognize and reward has a unified Program on Awards and Incentives for Service Excellence (PRAISE) which covers its Regional Offices, Bureaus and Attached Agencies.


This System was designed to encourage, select, recognize and reward individual or groups for their suggestions on productivity, innovative ideas, inventions/discoveries, superior accomplishments, heroic deeds, exemplary behaviors and extraordinary acts of service.

The PRAISE provides both monetary and non-monetary awards and incentives to recognize, acknowledge and reward productive, creative, innovative heroic and ethical behavior of employees through formal and informal modes.

Some of the innovations of DENR PRAISE are as follows:

- a. Giving of service award pins/plaques to employees with service of twenty-five (25) years and above in the DENR.
 

25 to 34 years in service	-	Pin
35 years and above	-	Plaque
- b. Posthumous recognition
- c. "Salamat, Paalam Program" for retired DENR officials and employees

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	4 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

d. Awards and Incentives for Service Excellence

Collective Negotiations Agreement (CNA) incentive is also provided to DENR employees from the savings generated by the office in recognition of the joint efforts of the DENR and K4, the federation of DENR employees unions, in achieving all plans, programs and services approved in the budget in the DENR at a lower cost.

**C. Financial Management**

The DENR ensures that effective and efficient budgeting and accounting systems are implemented in accordance with the budgeting, accounting and auditing rules and regulations. It includes the promulgation of policies, orders, rules and regulations and standards and prudent and effective use of financial resources by ensuring internal controls are applied and management controls improvements are developed.

**1. Budgeting**


The Budget Division and its counterpart in Bureaus and Field Offices ensure that budgeting tasks are accomplished by timely, precise and efficient preparation, and submission within the prescribe period of the following budgetary documents and reports:

- a. Budget Preparation and Legislation Documents as required by the Oversight Agency, DBM, Senate and Congress;
- b. Budget Execution Documents such as but not limited to Work and Financial Plan, Monthly Disbursement Program, Obligation Requests, Sub- Allotment Advices, Notices of Transfer Allocation, Certificates of Availability of Funds, maintenance of Registry of Allotments and Special Budget Requests; and
- c. Budget Accountability Reports (Statement of Allotment Obligation and Balances, Financial Report of Operation among others).

**2. Accounting**

The Accounting Division and its counterpart in Bureaus and Field Offices ensure that basic and subsidiary accounting records and books of accounts are maintained to reflect accurate and current/timely financial information required by the existing accounting and auditing rules and regulations, management and oversight agencies. The concerned units also ascertain the strict implementation of administrative and financial policies of the Department, such as:

- a. Processed claims of internal and external clients which are valid/legal, correct, availability of funds, complete with required supporting documents and approved by the concerned authority in accordance with the accounting and auditing rules and regulations (COA Circular 2012-001);
- b. Remittances of all mandatory and loan deductions from all processed claims are properly and correctly remitted to oversight agencies (GSIS, BIR, Philhealth, Pag-ibig, etc.); and
- c. Financial Reports/Statements are prepared and consolidated for management use in decision making and submitted to COA, DBM, funding institutions and other oversight agencies.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	5 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

### 3. Internal Management

The Management Division ensure that financial and management policies, rules and regulations, standards, work processes, information/reporting systems are developed and utilized consistent with internal controls system and effective use of the financial resources. The Division also ascertains to recommend improvements on plans and programs relative to organization, functions, financial and physical resources and systems and procedures.

As such, the following are the key outputs submitted in CSW format:

- a. Policies, guidelines, rules and regulations, manuals, standards pertaining to financial and administrative matters in memorandum, communication letter, Department Administrative Order, Special Order, Memorandum Circular and Memorandum Order format;
- b. Standard Operating Procedures – Process Flow;
- c. Flowcharts, Forms and Charts; and
- d. Management Studies

### D. Knowledge and Information System Management

Information System Management follows a defined set of business improvement principles included in the DENR Enterprise Architecture. Only in response to business process needs are changes to applications and technology made. Software and hardware conform to defined standards that promote interoperability for data, applications and technology.

#### 1. Network Infrastructure Management


The Network Infrastructure Management Division (NIMD) of the Knowledge and Information Systems Service (KISS), together with the respective ICT units of other DENR offices, provide an inventory of ICT resources of each office to ensure that hardware resources that comprises the enterprise network of the agency are properly maintained through ICT maintenance. ICT maintenance is distinguished as:

- Preventive, which aims in retaining the system's capabilities before the occurrence of any problem (e.g. system failure).
- Corrective, which aims in restoring the defective item(s) to the required state.
- Adaptive, which focus in adjusting a software product to properly interface with a changing environment.
- Perfective, which refers to enhancements to the product to either add new capabilities or modify existing functions.

The following are the steps in implementing ICT maintenance:

- Preparation and Inventory of ICT hardware, software and telecommunication
- Prioritizing needs
- Contracting for out-sourced maintenance and in-house maintenance

Updating and upgrading of hardware and software resources to ensure security and availability are implemented within the network infrastructure.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	6 of 15
	<b>SECTION 6. RESOURCE MANAGEMENT</b>						

Appropriate backup system is also established to ensure protection of electronic files. Daily backup of files are done to ensure high-availability of current data.

## 2. Systems Development and Management

The Information Systems Division (ISD) of KISS, together with the corresponding ICT units of each DENR office, maintain and monitor all information systems of the Department to ensure their availability, check for errors, and provide systems update, enhancement and appropriate back-up system to ensure protection of electronic files.

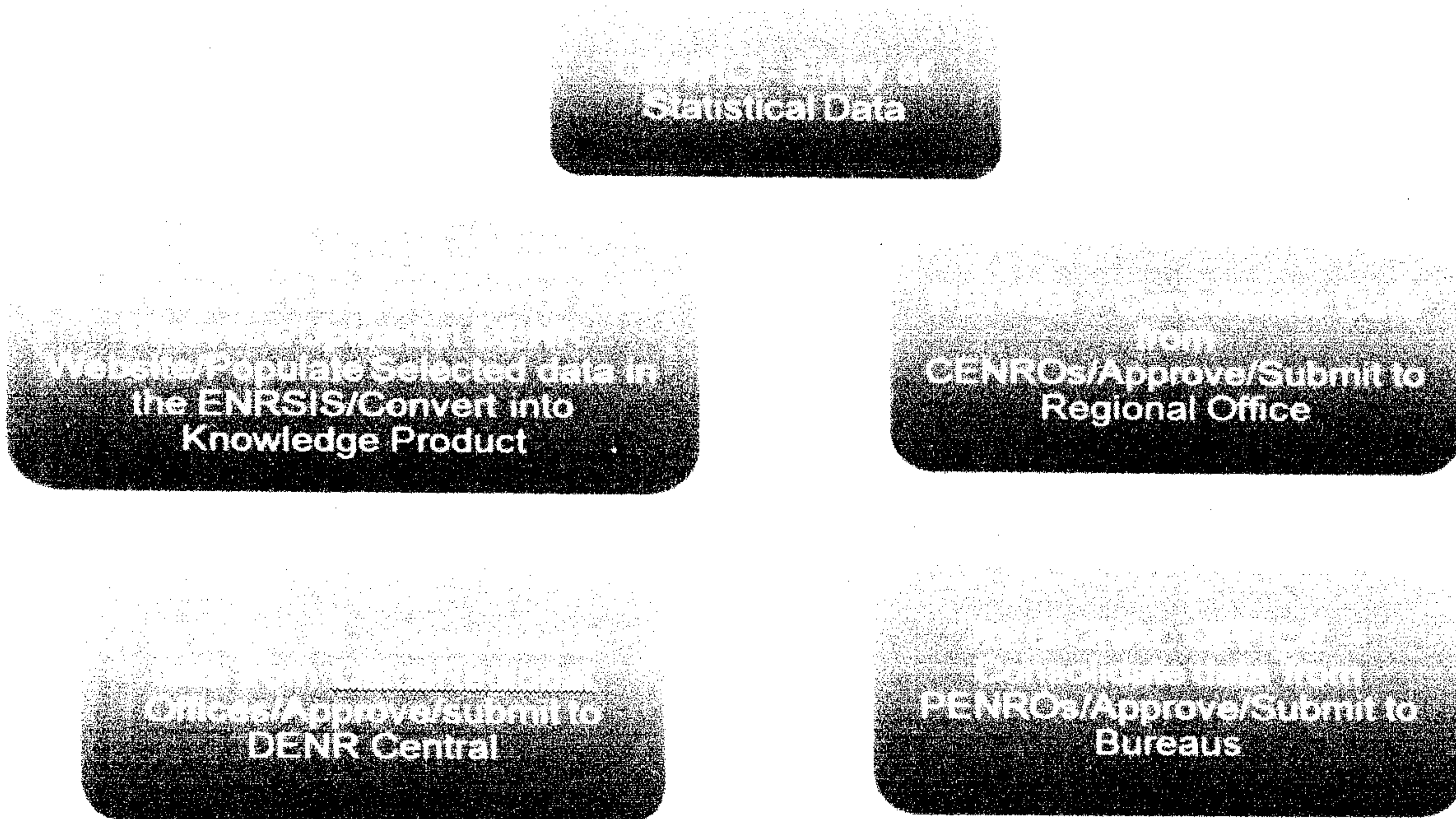
The development of DENR-wide applications is preferred over the development of stand-alone applications which are only provided to a particular unit. All information systems developed follow the systems development life cycle that describes the process for planning, creating, testing, maintaining and deploying an information system. The general steps in the systems development are analysis and requirements, systems design and development, user acceptance testing, training and roll-out, data population and maintenance and updating and refining.


## 3. ICT/Data Resource Management

The access of relevant data by users is ensured in order to perform their duties therefore data are shared across enterprise functions and organization. Policies and procedures that address the integration and consolidation of data are established.

The Statistics and Data Resource Management Division is responsible for the integration of ENR-related information/statistics generated by various sectors and convert the same into knowledge products. The integration is being done under the Statistical Reporting System using the Statistical Services Information System through the following process:

### PROCESS FLOW INTEGRATION OF STATISTICAL INFORMATION/DATA



	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	7 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

## **E. General Services**

The General Services Division and its counterpart in Bureaus and Field Offices ensure the provision of effective system of maintenance, security and safety of facilities including its buildings, grounds, vehicles and communications facilities. It also includes the effective and efficient collection, deposits and payment of clienteles encompassing the preparation and submission of required reports.

### **1. Infrastructure Maintenance**

The Building and Grounds Management Section and its bureau and regional counterparts ensure the proper preventive maintenance plans are prepared and implemented relative to:

- office buildings
- office grounds
- sewerage and plumbing system
- electrical
- air-conditioning
- elevator
- generator set
- furniture and fixtures
- audio-visual system
- fire alarm system and other emergency equipment
- paging and telecommunication system
- safety and security facilities

The Section maintains records pertaining to inventory, repairs, maintenance schedule, plans and others required by the management and responds to requests from other DENR units for corrective maintenance or repairs either through in-house technical capabilities or outsourced services.


### **2. Transport Vehicle Management**

The Motorpool Section and its bureau and regional counterparts ensure that all vehicles are properly maintained and in good road-worthy condition. As such, periodic and preventive maintenance are prepared and implemented. Proper dispatching of vehicles in response to requests of operating units is done through effective scheduling of drivers and vehicles, use of trip tickets and regular monitoring of vehicle utilization.

### **3. Management of Work Environment**

#### **a. Housekeeping**

The GSD and its counterparts in bureaus and field offices oversee the consistent implementation of 5S (Sort, Set, Shine, Standardize and Sustain) to maintain cleanliness, orderliness and safety. In coordination with the HRDS, conducts re-orientation of employees on the 5S and 3Rs (Reuse, Reduce and Recycle). Spearhead the workplace clean-up every second and last Fridays of the month. Manage waste disposal through rehabilitation of existing MRF, coordination with Recycle Association of the Philippines and Garbage Association of Quezon City, and

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	8 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

design templates for measuring garbage disposal. Monitor compliance to applicable clauses of the EMS Manual.

#### **b. Security Management**

The Security Unit and its counterparts in bureaus and field offices ensure that all work areas are secured and daily operation is in proper order through 24-hour security services and CCTV monitoring on critical areas, and checking and monitoring of access control. It also implements security policies, rules, and regulations and makes sure that the Office environment is safe for Officials, employees and visitors.

#### **4. Cashiering**

The Cashier Section and its bureaus and regional counterparts ensure the collection and deposit of cash payment, prepare Advice to Debit Account/Check for the salaries of DENR employees and payment of DENR clients. As such the following documents are prepared:

- i. Advice to Debit Account
- ii. Report of Check Issued and Cancelled
- iii. Report of Collections

#### **F. Property and Supply Management**


The Property and Supply Management Division (PSMD) and its counterpart units in field offices and bureaus are responsible for preparing, implementing and monitoring an economic, efficient and effective property and supply management program of the Department including its staff bureaus: Biodiversity Management Bureau, Forest Management Bureau & Lands Management Bureau; recommends policies and guidelines on the acquisition, acceptance, inspection, issuance/utilization, maintenance, storage, and disposal of supplies, materials and equipment in accordance with existing government laws, rules, policies, and regulations; coordinates the annual procurement program, conducting inventory of all properties and also handle the insurance requirement of the Department, unless otherwise delegated to other office/unit, and perform other functions assigned by higher authorities.

As such, PSMD and its regional/provincial counterpart personnel ensures compliance with the government procurement law and its implementing rules and regulations (RA 9184) and the government accounting and auditing manual (COA Circular No. 91-368 dated Dec. 19, 1991) in the operationalization of its property and supply management.

##### **1. Property Management**

As such, the Property Management Section and its counterpart in Bureaus and Field Offices perform the following:

- a. Recommend policies, programs and procedures on management and disposition of properties and equipment, including its waste materials;
- b. Conduct an inventory and prepare report on all properties (land, building, vehicles, equipment) of the Central Office;
- c. Complete documentation, registry and acquisition of all fixed assets including donations by preparing request for booking

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	9 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

- d. Prepare documents for insurance of properties as well as registration for vehicles, if necessary;
- e. Responsible for safekeeping and updating of all necessary documents on the ownership of all properties and including donated properties of the department;
- f. Responsible in the inventory and disposition of all unserviceable/obsolete properties including waste materials through sale, donation and/or transfer to other government agencies;
- g. Responsible in maintaining the records of all properties of the department;
- h. Responsible for the issuance of ARE, ICS, Relief, Pass Slip for safeguarding including Invoice Receipt of Property;
- i. Responsible for requesting for booking/dropping in the books of accounts for properties acquired, donated, sold and disposed.
- j. Monitor the insurance of all properties of the department nationwide;
- k. Provide technical assistance to other operating units on area of expertise.

## **2. Supply Management**


The Supply Management Section and its counterpart in Bureaus and Field Offices perform the following:

- a. Recommend policies, programs, and procedures on procurement of equipment, supplies, materials, related services, and other logistical support are in place and implemented;
- b. Responsible for the procurement of logistical support whether goods or related services, through either purchase, bidding or lease;
- c. Responsible in the issuance of equipment and supplies available on stock based on the approved Requisition and Issue Slip (RIS);
- d. Ensure availability of stocks based on Commission On Audit (COA)-prescribed quantity of supplies on stock which covers the 3-month requirements of the agency;
- e. COA-required forms and reports, such as the supply ledger cards and the Report of Supplies and Materials Issued (RSMI) including the Report of Physical Count of Inventory (RPCI) are maintained, updated and submitted within COA-prescribed deadlines;
- f. Accept deliveries/Request Inspection and Prepare Certificate of Acceptance for all deliveries;
- g. Maintaining and updating Supply Ledger Card (indexing);
- h. Prepares documents for payment of procured supplies/materials/equipment and services;
- i. Prepares the Monthly/Quarterly Report on Government Purchase/Contracts; and
- j. Provide technical assistance on logistical concerns.

## **3. Procurement**

The BAC Secretariat Section and its counterpart in Bureaus and Field Offices perform the following:

- a. Provide secretarial support to the Bids and Awards Committee (BAC) for Regular Operations
- b. Manage and monitor procurement activities and processes for the BAC;

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	10 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

- c. Process bidding and procurement requirements to purchase goods and services;
- d. Provide technical assistance relative to bidding processes;
- e. Recommend policies, programs, systems and procedures;
- f. Provide administrative support to the BAC;
- g. Organize and make all necessary arrangements for the BAC meetings;
- h. Attend BAC meetings;
- i. Prepare Notice of Meeting, minutes of the BAC meetings including Resolutions;
- j. Monitor procurement processes for the BAC, procurement activities and milestone for proper reporting to relevant agencies when required;
- k. Consolidate Project Procurement Management Plan (PPMP) of various units of the department and prepares the Annual Procurement Plan (APP);
- l. Make arrangement for pre-procurement and pre-bid conferences and bid openings;
- m. Act as the central channel of communications for the BAC with end-users, Project Monitoring Offices, other units of the line agency, other government agencies, providers of goods, works and consulting services, and the general public;
- n. Ensure that all procurement transactions are included in the Approved APP/PPMP;
- o. Post invitation to bid and request for quotations including awards and notice to proceeds and contracts to PhilGEPS and DENR Website within the prescribed timeline;
- p. Prepare abstract of quotations prior to endorsement to the BAC or the approving authority;
- q. Prepares Purchase Order/Job Order and Contract;
- r. Provide Procurement Monitoring Report (PMR);
- s. Establish/ Maintain registry of suppliers;
- t. Recommend policies related to the implementation of RA 9184;
- u. Build linkages and networking with GPPB and other major stakeholders;
- v. Advocate RA 9184 within the department and among bidders; and
- w. Provide technical assistance to other offices/units.


## **G. Legal Service**

### **1. Assist the Secretary in the exercise of quasi-judicial functions**

The Legal Service reviews, revises, reverses, modifies or affirms appealed decisions, orders or resolutions issued or rendered by the DENR Regional Offices and attached Bureaus based on all documents submitted, including but not limited to those submitted by the parties and investigation reports during the appeal.

### **2. Rendering of Legal Opinion**

The Legal Service and its counterpart in Field Offices render legal opinions involving questions of law and interpretations of policies, rules and regulations, reviews Memorandum of Agreement/Understanding, contracts or other instruments where the Department is or was a contracting party, including proposed administrative issuances, policies, proclamations, other executive issuances and legislative bills which require comments and recommendations of the DENR based on all documents submitted to, and requested and procured by the Legal Service pursuant to prevailing laws, rules and regulations.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	11 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

### 3. Legal Counseling

The Legal Service and its counterpart in Field Offices investigate, prosecute and defend cases when so deputized by the Office of the Solicitor General (OSG) in civil actions, special civil actions, special proceedings and environmental cases when the Department or any of its officer in his/ her official capacity is a party.

The said offices also prosecute criminal actions as special prosecutor for the Republic of the Philippines when so authorized by Public Prosecutor's Office in the prosecution of ENR laws based on available evidence and testimonies.

Assistance to the Secretary is also provided in his/her disciplinary functions over its officers and personnel when said personnel are being complained of.

## H. Issue Management

### 1. Issue Resolution

The DENR institutionalizes an effective issue management program with a standard operational procedure for identification, analysis, resolution, reporting and escalation of issues. This program enables DENR to create strategies to effectively handle barriers to the successful implementation of the Department's programs, projects, activities and initiatives.

Barriers to success are issues that require immediate resolution or those that impede the progress, successful implementation or completion of the Department's programs and initiatives.


The issue management plan includes the recommended approach for identifying issues and tracking the documentation and resolution of those issues. The plans facilitate attention to key issues impacting DENR and its programs including issues involving the most vulnerable sectors and the marginalized, and issues related to gender and development. It also ensures that all stakeholders are informed and, if applicable, allowed to participate in the resolution of the issue. Moreover, the plan considers the creation of an audit trail of discussions and resolutions of program issues.

#### Identification of Issues

Issues are acknowledged and dealt with immediately as the resolution of these will necessarily have an impact on the scope, schedule, quality and cost of program implementation.

There is productive and timely identification of issues. Its timely and expeditious resolution saves a lot of time and effort and can reduce or minimize more problems and damage to reputation of the Department.

All officials and employees of the DENR are encouraged to be vigilant in raising issues, particularly in their areas of expertise and specific responsibility, when they become aware of them.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	12 of 15
	<b>SECTION 6. RESOURCE MANAGEMENT</b>						

### **Categorizing and Managing Issues**

There is clear description of the rules, procedures and categories that are followed by the Issue Management Team when logging, managing and assessing issues, including how priorities and status are assigned, how issues are escalated, and when change management is initiated.

In terms of priority, issues are categorized into four levels of importance, namely: Urgent, High, Medium and Low. This categorization is based on their impact to the project goals, objectives, scope, schedule and budget. An issue is also classified according to its nature: recurring, emerging, and potential.

As the issue is maintained in the issue log, it also follows a predefined status and classification. There are clear guidelines to follow in classifying issues according to status categories – Open, In-process, Resolved, Reopened, Deferred, and Closed. To facilitate review and reporting, issues in the log are classified by program or project, by sector, by region or by office.

### **Elevation of Issues**

Unresolved issues are elevated to the Issue Management Committee, the Director of Bureau, Regional Office, Service Office, or to the Assistant Secretary or Undersecretary who has jurisdiction over the matter and, finally, to the Secretary for final review and final resolution based on their priority level and potential impact to a project, program, or policy. The elevation rules follow clear and predetermined criteria.


## **2. Alternative Dispute Resolution (ADR)**

ADR is used by the Department pursuant to the provisions of RA No. 9285 (An Act to Institutionalize the Use of An Alternative Dispute Resolution System in the Philippines and to Establish the Office for Alternative Dispute Resolution, and for Other Purposes otherwise known as the "Alternative Dispute Resolution Act of 2004") dated 02 April 2004 and DENR Administrative Order (DAO) No. 2005-18 (Adoption of Alternative Dispute Resolution (ADR) Principles and Procedures in the Resolution of Appropriate Environment and Natural Resources Conflicts) dated 01 September 2005. For administrative cases, it is performed pursuant to the provisions of CSC Resolution No. 11-01502 dated 18 November 2011 otherwise known as the Revised Rules on Administrative Cases in the Civil Services (RRACCS).

Basically, majority of the cases in the Legal Affairs Service are land cases, and consequently, administrative cases of DENR personnel because of these land cases and other cases involving various forms of corruption. To wit:

- a. The Legal Service encourages and promotes the freedom of contending parties to make their own arrangements to resolve their disputes before it makes its own decision, resolution, or order based on the merits and records of the case.

For land and other cases, the handling lawyer asks the contending parties the possibility of arriving to a win-win situation or compromise agreement. If a compromise agreement was signed by both parties, a decision is rendered based on such agreement of the parties provided that the subject matter can

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	13 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							


be compromised. Otherwise, the handling lawyer decides based on merits and records of the case.

For administrative cases, only light offenses committed for the first time where the act is purely personal on the part of the private complainant and the person complained of and there is no apparent injury committed to the government may be the subject of settlement. Examples are borrowing of money, willful failure to pay just debts, simple misconduct resulting from misunderstanding or fight between respondent and complainant outside the office premises, discourtesy in the course of official duties, and other analogous cases, including the grant of back salaries and other benefits.

- b. For land and other cases, the records forwarded by the regional offices or concerned offices are the documents being reviewed by the Legal Affairs Service. The basic documents are the Notice of Appeal, Proof of payment of Appeal Fee, Appeal Memorandum of Appellant and Comment of Appellee aside from the carpeta (entire records) coming from the Regional or concerned offices.

In administrative cases, the documents being reviewed are the Complaint of the complainant, show cause memorandum issued by the disciplining authority or his duly authorized representative, Answer or Comment or Counter-Affidavit of the person complained of, investigation report of handling lawyer/action officer, formal charge issued by the disciplining authority, answer to the formal charge of the respondent, position paper/memoranda, other pleadings, and formal investigation report, as the case may be.

- c. The handling lawyers of the Legal Affairs Service make an inventory of the types and nature of disputes and cases that are presently filed with them. On the basis of such inventory, they identify such disputes and cases that may be the subject of ADR or compromise agreement especially if such cases and disputes are simple and would not require resolution or decision of a higher body, will not require a policy change, will not involve criminal liability, will not involve the issue of jurisdiction of the DENR or courts, administrative cases involving light offenses committed for the first time where the act is purely personal on the part of contending parties and no injury is committed to the government, and other cases that by law can be the subject of compromise.
- d. All legal divisions in the Department's Regional Offices are also encouraged to promote the freedom of contending parties to make their own arrangements to resolve their disputes before such divisions make their own respective decisions, resolutions, or orders based on the merits and records of the case. They conduct hearings whether it is an administrative case or not, require the complainant to submit his/her formal complaint, respondent to submit his/her answer, both parties to submit their respective position papers, conduct an ocular inspection, and submit investigation reports, as the case may be, if applicable.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	14 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

### **3. Handling Sexual Harassment Issues**

All sexual harassment cases, including acts of lasciviousness, are investigated by the Committee on Decorum and Investigation (CODI) based on DENR Special Order No. 2015-587 dated May 6, 2015. The committee receives and investigates complaints in accordance with the prescribed procedure. After the investigation process, a report of the findings with the corresponding recommendation is submitted to the disciplining authority for decision.

#### **I. Information, Education and Communication**

The Information, Education and Communication (IEC) Service together with its counterpart in the field offices and bureaus ensures that programs, projects and activities of the department are disseminated to its internal and external stakeholders. The Service believes that intensified IEC program is vital to elicit public action that leads to changes in attitudes and practices of the department's stakeholders towards protection of the environment and conservation of the natural resources (ENR) of the country for the benefit of the Filipino people.


The DENR aims to increase knowledge, promote proper environmental attitudes, and elicit support and participation among its stakeholders towards the adoption of appropriate ENR practices. To achieve this objective, the IEC Service is implementing communication strategies which include advocacy, public information and communication, social mobilization and environmental education.

To complement the identified communication strategies, the IEC Service together with its counterpart in the field offices and bureaus implements various activities such as:


- Development and production of media, print, broadcast and audio-visual materials
- Preparation of speeches and messages
- Conduct of meetings, orientations and dialogues
- Conduct of Dalaw-Turo and environmental lectures
- Administration of social media such as DENR web, Facebook and Twitter
- Strengthening capacity of DENR information officers
- Partnerships with media, non-government organizations, local government units, etc.
- Mobilization of partners in DENR activities, such as, tree planting, coastal clean-up

The implementation of IEC activities and strategies is being guided by a communication plan that is being cascaded to the field offices and bureaus to synchronize implementation of major IEC activities.


IEC Action Plan is being prepared annually by the Central office, bureaus and field offices highlighting programs and activities that will be implemented anchoring on the communication plan.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-006		NOV 27 2015	0	QMS Core Team	15 of 15
<b>SECTION 6. RESOURCE MANAGEMENT</b>							

Prepared by:

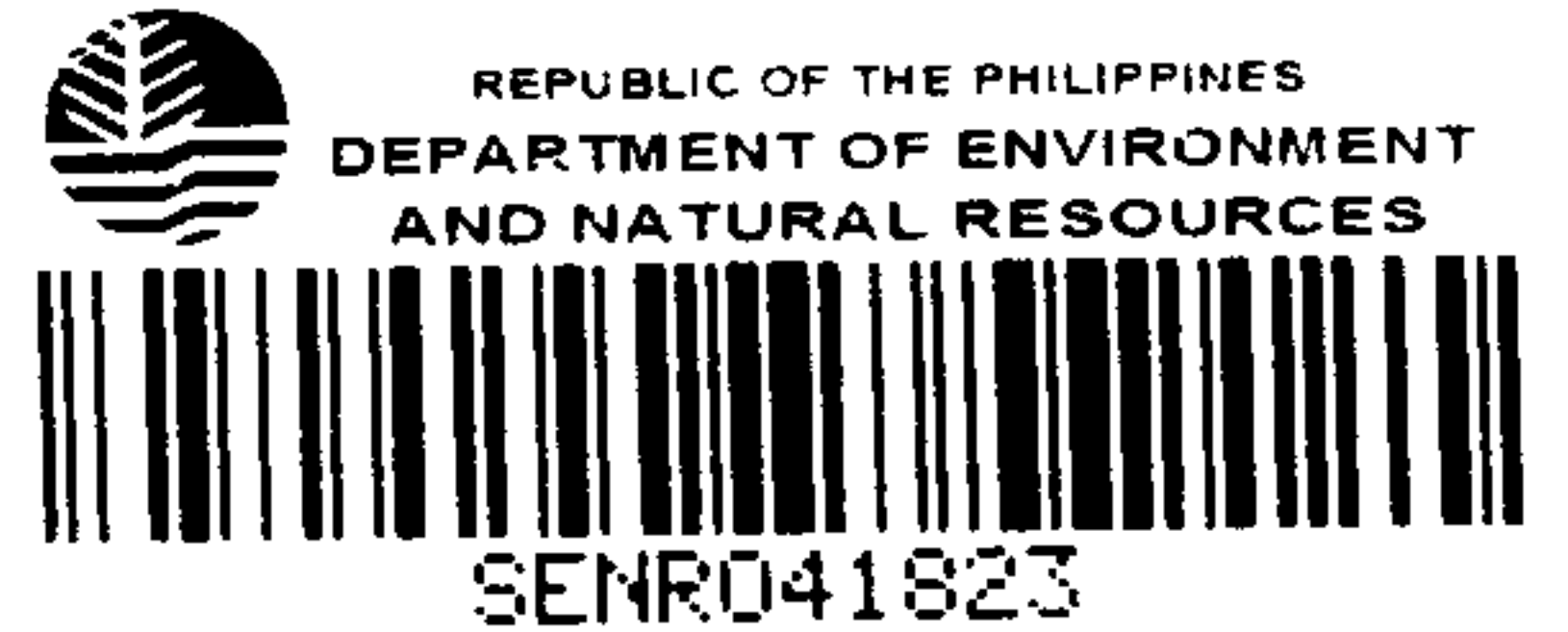
  
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**ATTY. ERNESTO D. ADOBO, JR.**  
 Overall Quality Management  
 Representative

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 Secretary



	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	1 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							

#### **A. Communication with Stakeholders**

DENR communicates with the stakeholders through consultation, information, communication and education programs and strategies of the SCIS and counterparts in the Bureaus and Regional Offices. It also uses the DENR websites, the social media, published IEC materials, and its Public Assistance Desk to effectively communicate with its stakeholders.

DMC No. 2015-04 dated 08 June 2015 also known as "Service Excellence Through Continuous Systems Innovation, Monitoring and Evaluation – SECSIME" specifically provides that each Division/Office has standard forms for complaints/criticisms and commendations where the customers can write their experience, whether satisfied or not, in dealing with DENR personnel.


#### **B. ENR Policy and Standard Development**

The DENR's policy formulation process and the organizations tasked to operate it, as mandated by DAO 31 Series 1992 (Guidelines on the Organization and Functions of the Policy Units for the Policy Development System in the Department of Environment and Natural Resources) are well in place. The policy formulation and review processes are part of the Central Office's functions that it shares with the DENR bureaus and attached agencies and offices.

The Policy Technical Working Group (PTWG), composed of senior staff of the various agencies and offices of the DENR, is active in performing its function of serving as the central clearing house for all proposed DENR policies. It is the hub of policy formulation in the DENR and plays an important role in the policy development process concerning the management and sustainable development of environment and natural resources.

The draft policies submitted to PTWG are results of reviews of existing policies due to issues and concerns identified during the implementation of programs and projects, and outputs of ENR researches. The same draft policies undergo stakeholders consultation and review of related legal issuances and policies. These draft policies are submitted to the office of the USEC for Policy, Planning and Foreign Assisted Programs. Said policies are referred to the Policy Studies Division (PTWG Secretariat) for PTWG to review, discuss and provide recommendation for the approval or revision of the draft policies. The draft policy is returned to the proponent (DENR Bureau or Office) for concurrence or further discussion and enhancement. If there is no more revision made by the proponent bureau or office, the proposal is vetted by the Bureau Directors. Once the vetting process has been completed the draft policy is endorsed to the Secretary. The draft policy is presented to the members of the DENR Execom. If no issues/ comments are raised by the Execom members, the policy is endorsed to the Secretary for approval.

Once the policies are approved, these are published in newspapers of general circulation. The effectivity of the approved policies takes place fifteen (15) days after publication. Should there be any clarifications on the approved policies, technical bulletins or memorandum circulars are issued by the proponents.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	2 of 18
	<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>						

### C. ENR Program and Project Management

The implementation of programs, activities, and projects (PAPs) is premised on the Public Expenditure Management (PEM) Program. PEM is composed of two pillars, the Organizational Performance Indicator Framework (OPIF) and Medium-Term Expenditure Framework (MTEF) or the Performance Informed Budgeting (PIB) System. PEM aims to establish and strengthen aggregate fiscal discipline for prudent spending; allocation efficiency for securing social justice; and operational efficiency for establishing link between spending and social outcomes.


Under OPIF, the program is an integrated group of activities & projects that contributes to a particular outcome. Activity is a recurring work process that consumes inputs & produces consumable goods or services. Project is a temporary undertaking carried out to produce results within a definite timeframe. The refined Major Final Outputs (MFOs) and the disaggregated performance indicators are the bases for planning and budgeting for PAPs. MFO is a good or service that a department/agency is mandated to deliver to external clients through the implementation of its PAPs. The organization outcome is a result produced by an agency that (1) contributes to the achievement of its mandate, and (2) is achieved through the production of goods or services to external clients delivered through Programs. Sector Outcomes are the long-term benefits for the sector from the initiatives of the department/agency. Presidential priority areas are the key result areas that the administration prioritizes resources. Societal goals are society-wide benefits derived from sector-based economic activity.

It is also emphasized that in OPIF, the deliverables of DENR Central Office, bureaus and regional offices go well beyond the number of trees planted or the water bodies cleaned. OPIF along with the other reform strategies are designed to reduce poverty and induce all-inclusive growth.

#### 1. DENR Regular Funded Programs and Projects

The Bureaus provide technical assistance and monitor the implementation of the programs of the regional offices. These include environment and natural resources management consisting of forest management; land management; protected areas management; wildlife protection and conservation; coastal and marine resources management; and environmental regulatory programs. ERDB, on the other hand, supports the operations of the department through technology transfer as embodied in DAO No. 1996-27 (Amending Department Administrative Order No. 44, Series of 1990 entitled "Policies and Guidelines on the Management of DENR Research and Development System").

Prior to the implementation of the programs, the budget proposals are submitted by the bureaus and field offices concerned to the DENR Central Office through the Planning and Programming Division (PPD). The latter then reviews and consolidates the budget proposals for submission to DBM. The DBM then issues the National Expenditure Program (NEP) for the Department. The Financial Management Service (FMS) endorses the DBM-approved NEP to all bureaus and field offices for their inputs to the planning guidelines for the succeeding year. The inputs provided are reviewed through writeshops. The pre-finalization of the said guidelines is reviewed by Undersecretaries and Assistant Secretaries (USECs/ASECs) for presentation to the DENR Execom for concurrence. The Secretary then approves the planning

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	3 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							

guidelines. The approved guidelines is disseminated to all bureaus and field offices for the preparation and submission of their respective WFPs. The national consultation/deliberation of the WFPs is conducted. After the deliberation, the WFPs are submitted to PPD for review and endorsement for approval of USECs for Policy, Planning and Foreign Assisted Programs, and Administration and Information Systems. The consolidated Budget Execution Document (BED) forms are submitted to DBM, Cabinet Secretary and NEDA for budget defense to Senate and House of Representatives. Once the budget is approved by Congress (bicameral), the WFPs are implemented.

The programs and projects are implemented by the DENR Central Office, all bureaus and field offices based on the approved respective work and financial plans. The technologies generated are transferred through published IEC materials (brochures, articles, manuals, and the like), visits to demonstration areas, conduct of fora, symposia and conferences, technical assistance, and capacity building of the stakeholders. Capacity building of the stakeholders is done based on their needs.

The DENR has a Monitoring and Evaluation (M&E) System which is a sustainability mechanism, method and scheme designed to ensure relevant and responsive environment and natural resources policies, programs and projects pertaining to the management, development and conservation of natural resources and protection of the environment.

It covers Progress M & E that help ensure efficiency in the delivery of outputs and provision of inputs to aid management in making operational adjustments/enhancements and Results M & E that will determine the effectiveness of the programs, projects and activities delivered to be used as inputs to policy enhancements, formulation and defining the strategic directions.


In order to strengthen the monitoring system of the Department's policies, plans, programs and projects, the Department adopted the Performance Monitoring Standard Operating Procedures (SOP) Manual by virtue of Department Administrative Order No. 33 dated 13 July 1992. It serves as the principal guide in the gathering, consolidation and reporting of Performance Monitoring of ENR data.

The Manual prescribes official reporting deadlines to ensure timely submission of ENR data and the standard report formats to ensure systematic reporting and avoid data duplication and redundancy. This ensures well-coordinated data collection and reporting activities in the central and regional offices, including PENROs and CENROs, Bureaus, Attached Agencies and FASPO and creates an accurate, accessible and up to date ENR data.

### **Data Monitoring and Reporting**

#### *a. Frequency of Reporting and Deadlines of Report Submission*

To ensure that the targets are done within the prescribed period of time and within the resources (budget) allocated for it and to record the factors which enhance or deter the implementation of the projects, the PPSO, through the Program Monitoring and Evaluation Division (PMED), conducts monitoring and evaluation of *monthly, quarterly, semi-annual and annual*

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA- QMS-007		NOV 27 2015	0	QMS Core Team	4 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							

accomplishments of plans, programs, projects and activities reported by the different delivery units using the prescribed forms. This involves the systematic observation and documentation of information on plan, program, project and activity implementation based on an agreed set of performance indicators reflected in operational plans or Work and Financial Plans (WFP).

To be able to monitor and evaluate program/project implementation, the different delivery units are required to submit accomplishment reports to the PMED which is responsible for consolidating and generating reports for the management. Submission of monthly, quarterly, semi-annual and annual accomplishments reports is in accordance with certain timelines as shown below:

Type of Report	Responsible Office	Deadline
Monthly	Central Office, Regional Offices, PENROs and CENROs	Every 5 <sup>th</sup> day of the ensuing month
First Quarter	Regional Offices, Bureaus and Attached Agencies	Every 5 <sup>th</sup> day of April
Semi-Annual Report	Regional Offices, Bureaus and Attached Agencies	Every 15 <sup>th</sup> day of July
Third Quarter Report	Regional Offices, Bureaus and Attached Agencies	5 <sup>th</sup> day of October
Annual Report	Central Office, Regional Offices, Bureaus and Attached Agencies	15 <sup>th</sup> day of January of the ensuing year


*b. Reporting Flow:*

Reporting of accomplishments is done at different management levels and operates within the organizational structure. Illustrated below is the reporting flow diagram.

*c. Monitoring Reports Generated:*

To provide feedback on the progress of results of programs/projects/activities, management reports are prepared which include the following:

- a) Status Reports that include monthly and quarterly progress reports which provides status on the programs and projects accomplished versus plan;
- b) Annual Accomplishment Report which provides information on the major accomplishments of ENR units for 1 year. The report includes achievement of intermediate results and programs/projects delivered within the year;
- c) Mid-Term Evaluation Report which is conducted at the 3<sup>rd</sup> year of the Medium Term Plan. The evaluation report covers information on the status of the environment after 3 years, intermediate results and the programs/projects accomplished; and
- d) Results/Outcome Evaluation Report which contains achievements and accomplishments of the ENR sector after six (6) years.

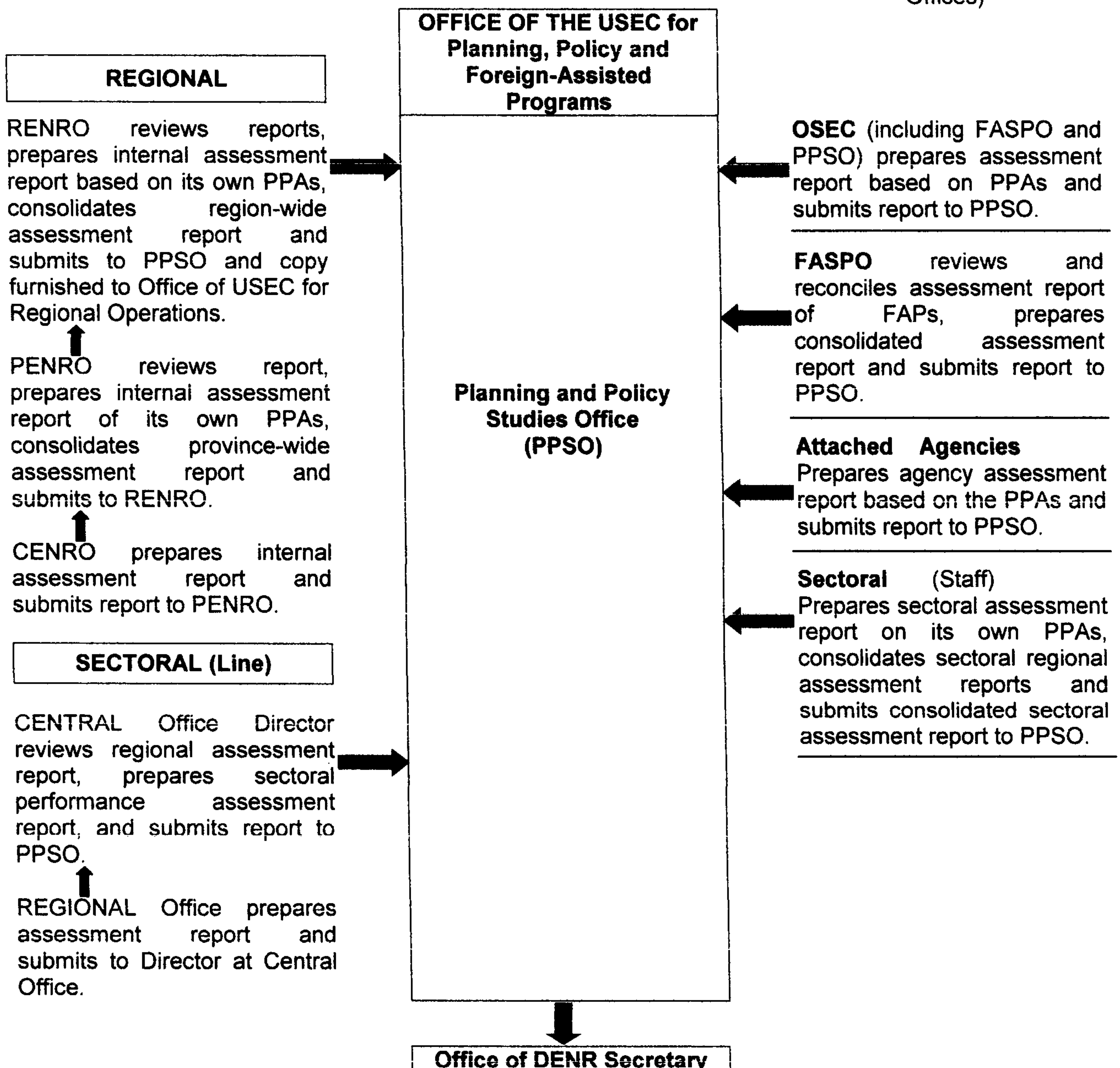
	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	5 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							


In addition to the above management reports, the DENR also prepares and regularly submits reports required by oversight agencies such as Department of Budget and Management (DBM), Presidential Management Staff (PMS) of the Office of the President, National Economic and Development Authority (NEDA), House of Representatives, Senate, and Commission on Audit (COA). These include Budget and Financial Accountability Reports (BFARs), Socio-Economic Report (SER), Job Generation Report, DENR Inputs to State of the Nation (SONA) Technical Report, and Reports for Cabinet Clusters (Human Development and Poverty Reduction Cluster and Climate Change Adaptation and Mitigation Cluster)

### REPORTING FLOW DIAGRAM

**Implementing Units/ Offices**  
(With Regional/ Field Offices)

**Implementing Units/ Offices**  
(Without Regional/ Field Offices)



	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	6 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							

d. *Responsibilities*

The Planning and Policy Service Office (PPSO) is the central repository of monitoring reports of all programs and projects implemented by the Department.

The reported accomplishments on programs/project/activities are regularly validated by the PMED, in collaboration with the Bureaus, employing various methods such as review of documents/Mean of Verification (MOVs), field inspections, formal and informal surveys, focus group discussions, and key informant interviews. Validation reports are submitted to the management to aid in policy formulation and decision-making.


**2. Foreign Assisted Loan and Grant Projects:**

To generate additional resources to support the attainment of the DENR mandate, the Foreign Assisted and Special Projects Service (FASPS), as the focal point, spearheads the packaging and development of projects for foreign funding. The Project Preparation Division, in collaboration with the concerned sector/s prepares, the Concept Proposal defining the rationale/justification and including other relevant information anchoring on the Philippine Development Plan (PDP), the current Administration's thrusts and priorities and Donor Agency's areas of assistance. It also allocates and manages local funds to support small but high-impact ENR-related projects.

***For Foreign-Assisted Loan Projects:***

Project proposals are submitted to NEDA and subjected to prioritization for processing during Country-Donor Agency Assistance Strategy Meeting conducted annually. Priority projects are funded with Technical Assistance grant from the Donor Agency for the preparation of a full-blown proposal. The study involves experts with technical guidance and administrative support from the DENR. The resulting Feasibility Study is then subjected to a review by a Technical Working Group of the Steering Committee created for the purpose and final presentation to the DENR Executive Committee (ExeCom) before submission to NEDA for evaluation by the Technical Board and Cabinet Committee of Investment Coordinating Committee (ICC). The NEDA Board finally approves the project and subsequently and conditional actions are complied with, (i.e. Authority to Negotiate, DBM FOA, DOJ Opinion, Monetary Board Approval, Loan Signing) before Project implementation.

Foreign assisted loan projects are implemented by Focal Bureaus/Regions through a Project Coordinating Office (PCO)/Project Management Office (PMO) created for each Project composed of organic and hired staff complement down to the concerned DENR field offices in partnership with other agencies, local government units (LGUs) and local communities. A Project Administration Manual (PAM) or Project Operations Plan (POP) is prepared to serve as guide in the operation of the project. The PAM/POP is complemented by annual programming and preparation of Work and Financial Plan defining the details of implementation.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	7 of 18
	<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>						

***For Foreign-Assisted Grants Projects:***

The same process similar to the preparation of loan project proposals is observed. However, a project proposal is instead submitted and negotiated directly with the Donor Agency. It does not follow the normal ICC process but it requires NEDA endorsement prior to approval by the DOF. (Note: President approval for grants more than 1 billion project cost). Effectivity of project commences after counter signature from the Donor Agency is obtained.

The proponent implements its approved Foreign-Assistant Grant Project through a defined implementation arrangement. It prepares an administration manual and detailed Work and Financial Plan as basis for implementation.

***For Special Projects (Locally-funded):***

Short term proposals undergo review process by a composite team from FASPS using Special Criteria for selection (refer to DMC 1997-15). Special Project proponents include DENR Central Office, field offices/units, Bureaus and Attached Agencies; Non-Government Organizations (NGOs); Private Institutions/Organizations; Local Government Units (LGUs); and Academe. Such projects may involve development of appropriate policy, program, management strategy or technology, implementation of strategic and high- impact projects that will provide immediate solutions to critical issues including those determined by the Secretary of DENR as needed. Shortlisted Special Projects are endorsed to the Secretary for final approval.


The proponent implements its approved locally-funded special project through a defined implementation arrangement. A Work and Financial Plan is prepared by the proponent to serve as guide in project implementation.

***Project Monitoring and Evaluation:***

Foreign-assisted projects are monitored jointly and regularly by the Focal Bureaus, FASPS, PPSS, FMS, Donor Agency and oversight agencies. A Manual is prepared as a guide in Project Monitoring and Evaluation defining the method, frequency of report submission and field verification. Physical and financial accomplishment reports are consolidated by FASPS for submission to the DENR Central Planning Office, Oversight Agency (NEDA, DBM) and donor agency.

Physical and financial accomplishment of Grant projects are monitored similarly as that of the loan project. Monitoring and evaluation of the physical and financial accomplishments of Special Projects is conducted by a composite team from the Foreign-Assisted and Special Projects Service through regular reporting and field visits. In cases of implementation delays and other project-related issues, technical assistance and guidance is provided by FASPS and concerned Bureau in coordination with the donor institution. Quarterly accomplishment reports are submitted to FASPS and DENR Central Planning Office.

The FASPS is also responsible for the development and management of systems and procedures for the effective financial management foreign assisted and locally-funded projects. It establishes and manages all working funds and special accounts

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	8 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							

in accordance with the provisions of loan and grant agreement and prepares Statement of Expenditure/Withdrawal Applications for liquidation and replenishment of funds.

Procurement of Goods, Works and Services:

The FASPS handles the procurement of goods, works and services funded under loan and grant proceeds. It follows the procedures prescribed by concerned donor agency and the Philippine Procurement Law. Through its Procurement Unit, FASPS serves as the Secretariat to the Bids and Awards Committee for foreign-assisted projects.

**D. ENR Regulations, Monitoring and Enforcement**

**1. ENR Regulations**

ENR Regulation standard process ensures the efficient and timely issuances of permits, clearances, etc. Below are the permits, certificates, etc. processed and released by different offices.

Type of Permit	Processing Office	Customer
<b>EMB</b>		
Permit To Operate	Regional Offices	Industries
Wastewater Discharge Permit	Regional Offices	Industries
ECC for Non-Environmentally Critical Projects	Central Office and Regional Offices	Industries
ECC for Environmentally Critical Projects	Central Office	Industries
CCO Registration & Importation Certificates (Mercury, Cyanide, Asbestos, PCB)	EMB Regional Office and Regional Offices	Industries and Companies
CCO Registration & Importation Clearance for Lead	EMB Central Office and Regional Offices	Industries and Companies
Pre-Manufacturing and Pre-Importation Notification Certificate (PMPIN)	Central Office	Industries and Companies
Small Quantity Importation of Chemicals	Regional Offices	Industries and Companies
Permit To Transport (PTT)	Regional Offices	Industries
Hazardous Waste Generators ID	Central Office	Industries and Companies
Certificate of Conformity (COC)	Central Office	Industries
Hazardous Waste Generator Registration	Regional Offices	Industries and Companies
ODS Certificate Registration	Central Office	Industries and Companies




Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	10 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>						

<b>REGIONAL OFFICES</b>		
<b>CENRO / PENRO / Regional Offices</b>		
Non-CITES Export/Import/ Re-Export Certificate/Clearance	CENRO/PENRO/Regional Offices	Companies and Private Individuals
Wildlife Farm Permit	CENRO/PENRO/Regional Offices	Companies and Private Individuals
Wildlife Collector's Permit	CENRO/PENRO/Regional Offices	Companies and Private Individuals
Gratuitous Permit (Single Region)	CENRO/PENRO/Regional Offices	Companies and Private Individuals
Local Transport Permit (For Wildlife Fauna and Flora)	CENRO/PENRO/Regional Offices	Companies and Privates Individuals
Certificate of Registration (Wildlife, chainsaw, log and lumber dealer, and tree plantation ownership)	CENRO/PENRO/Regional Offices	Filipino Citizens or Companies/Corporations, Associations, Partnerships in which 60% of shares are owned by Filipinos
Wildlife Special Use Permit	CENRO/PENRO/Regional Offices	Companies and Private Individuals
MOA for Adopt-a-Wildlife Species Program (Single Region)	CENRO/PENRO/Regional Offices	Companies
Protected Area Community-based Management Agreement	CENRO/PENRO/Regional Offices	Peoples Organizations (POs)
Tree Cutting Permit	CENRO/PENRO/Regional Offices	Filipino Citizens or Corporations, Associations, Partnerships in which 60% of shares are owned by Filipinos
Minor Forest Products License	CENRO/PENRO/Regional Offices	Filipino Citizens or Corporations, Associations, Partnerships in which 60% of shares are owned by Filipinos
Private land Timber Permit	CENRO/PENRO/Regional Offices	Filipino Citizens or Corporations, Associations, Partnerships in which 60% of shares are owned by Filipinos
Integrated Annual Operations Plan	CENRO/PENRO/Regional Offices	Filipino Citizens or Corporations, Associations, Partnerships in which 60% of shares are owned



Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	11 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>						

Resource Use Permit	CENRO/PENRO/Regional Offices	by Filipinos Filipino Citizens or Corporations, Associations, Partnerships in which 60% of shares are owned by Filipinos
Special Land Use Permit	CENRO/PENRO/Regional Offices	Filipino Citizens or Corporations, Associations, Partnerships in which 60% of shares are owned by Filipinos
Wood Processing Plant Permit	CENRO/PENRO/Regional Offices	Filipino Citizens or Corporations, Associations, Partnerships in which 60% of shares are owned by Filipinos
Securing Exports Authority for Finished and Semi-Finished Wood Products	CENRO/PENRO/Regional Offices	Filipino Citizens or Corporations, Associations, Partnerships in which 60% of shares are owned by Filipinos
Tenure Instruments within Forestland	CENRO/PENRO/Regional Offices	Filipino Citizens or Corporations, Associations, Partnerships in which 60% of shares are owned by Filipinos  For CBFMAs- People's Organization
Provisional permits (Public and patrimonial properties)	CENRO/PENRO/Regional Offices	Lot applicants, lot owners, NGAs, GAs, Real estate brokers, Surveyors, Geodetic Engineers
Revocable permits (Public and patrimonial properties)	CENRO/PENRO/Regional Offices	Lot applicants, lot owners, NGAs, GAs, Real estate brokers, Surveyors, Geodetic Engineers
Foreshore Leases	CENRO/PENRO/Regional Offices	Lot applicants, lot owners, NGAs, GAs, Real estate brokers, Surveyors, Geodetic Engineers

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	12 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							

***Screening of the application***

Screening of the application to check the completeness of the requirements/attachments and accuracy of the information given based on existing guidelines is made by assigned technical staff per Office/Division/Section. Additional information, attachments and site inspection may be required before accepting the application, as applicable, based on existing guidelines. No application is accepted unless the requirements are complete.

***Payment for the process of permits, certificates, etc.***

If the application requirements are complete and passed the standard requirement, as prescribed on existing guidelines, the screening technical staff issues order of payment to the stakeholder. The stakeholder pays the full amount at the cashier or designated bank, as applicable.

***Receiving officially of the application with Official Receipt***

The screening technical staff/records unit receives the application officially when the application together with the required attachments, information, other documentary requirements and the official receipt to facilitate the processing of issuance of permits, certificates, etc.

***Start of the processing of the permits, certificates, etc.***


The screening technical staff/records unit endorses the application to the unit head for proper assignment. The next working day after the application is received is the day (1) one or start of the prescribed timeframe for the processing of the permits, certificates, and the like. The prescribed timeframe set for the processing and issuance of permits, certificates, among other things, covers working days only.

***Review/Evaluation/Consultation/Site Inspection and other activities***

The assigned case/application handler conducts thorough review and evaluation on the correctness and completeness of the submitted document based on the prescribed requirements indicated existing guidelines. And if necessary, the assigned case/application handler may conduct consultation or site inspection and other activities, whichever is necessary, based on exiting guidelines to get additional information, data and supporting documents that are material in the issuance and approval of the permits, certificates, etc.

***Additional information, violations and other interventions***

During the process, the assigned case/application handler may require additional information/requirements from the stakeholders which are deemed necessary based on the evaluation conducted. In addition, any violations and other interventions occur during the processing must be complied with before the processing of permits, certificates, etc. may continue. Pending compliance by the stakeholders to the additional documentary information/requirements required including any violations and other interventions is not covered in the processing timeframe until such time it is

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA- QMS-007		NOV 27 2015	0	QMS Core Team	13 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							

officially turned and complied completely by the stakeholders. The next working day is the reckoning day for the processing timeframe.

***Endorsement for the issuance of the permits, certificates, etc.***

The assigned case/application handler endorses the application to the unit head for approval or endorsement to the authorized signatory as prescribed in the Manual of Authorities.

***Approval of the permits, certificates, etc.***

The authorized signatory as prescribed in the Manual of Authorities signs the permits, certificates, etc. Once the application has been approved the same is returned to the processing/records unit for release as based on the existing guidelines of offices.

***Receiving of approved permits, certificates, etc.***

Receiving by the stakeholders of the approved permits, certificates, etc. is through logbook or other means of proof as applicable based on the existing guidelines of offices.

**2. ENR Monitoring**

ENR Monitoring standard procedures ensure the efficient monitoring and enforcement of existing laws.

Monitoring of compliance and non-compliance of stakeholders is based on Standard Policies/Procedures/Requirements/Commitments. Inspection report is submitted by the team leader for the notation of the unit head and other concerned officers if applicable within the prescribed timeframe based on the existing guidelines unless there is a need for Laboratory or other test analysis. The number of days from the receiving of the sample/specimen by the Laboratory or other testing entity up to the release of the results is deducted and not included in the process of counting the timeframe.

**3. ENR Enforcement**


ENR Enforcement standard procedures are based on violations/findings and complaints. The procedures ensure the efficient enforcement of existing laws. Enforcement units are created to provide necessary assistance to stakeholders through getting their feedbacks and concerns. The Public Assistance Unit (based on DENR Administrative Order 2010-12) was created to provide necessary assistance/information to DENR's client and the general public. The unit ensures that concerns, issues and queries of DENR clients and the public are properly referred to the appropriate offices for the required action. Complaints received through electronic mail, letters, text messaging, social network, telephone and other means are immediately forwarded to concerned units for appropriate action.



Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
QMS MANUAL	DENR- MA- QMS-007		NOV 27 2015	0	QMS Core Team	15 of 18

**SECTION 7. Environment and Natural Resources (ENR) Management**

Core Process	Output	Identification
	Memorandum Orders/Circulars	MC/MO No. Yr.-Series No. Subject Bar Coded Dry Sealed Date Signed Effectivity date (as applicable)
	Technical Bulletins/ Advisories	Tech.Bul.No -Series No. Date Signed
	Manual of Operations	Issued as DAO Document Title
	Environmental Standards	Issued as DAO Document Title
	Resources Management Standards	Office coding system Document Title
ENR Program and Project Management (Development Implementation, and Monitoring and Evaluation)	Programs and Projects Operations Guide and Manuals	Issued as MC Document Title
	IEC materials and Publication	Year, Volume and Issue Numbers
	Accomplishment Reports	Year and Month Report Title Originating Office
	Statistical Data Reports	As compendium Year and Month Report Title Originating Office
ENR Regulations, Monitoring and Enforcement	Permits, Leases, Clearances, Certifications, Identification, Licenses, Rental Agreement, Management Agreements and Joint Venture Agreements	Office Coding System Dry Sealed Date Issued Bar Coded On-line Verification Effectivity and Expiration dates (as applicable)
	Monitoring, Survey, Investigation, Validation and other fieldwork Reports	Office Coding System Report Title Originating Office Client Name Date Signed
	Notice of Violations, Adverse Findings, Technical Conferences, Cease and Desist Orders, Apprehensions, Confiscations, Cases Filed and Case Decisions	Office Coding System Client Name Issuing Office Dry Sealed Date Issued Bar Coded Effectivity dates (as applicable)

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	16 of 18
	<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>						

## F. Customer and Supplier Property

Information provided by the customers and suppliers that include instructions, data, and documents forwarded are considered to be customer property. Approved issuances that are stored and safe kept by the DENR are also identified as customer property.

Proper protection and storage through the Records Control is being implemented to prevent loss and damage of these files. Policy for release of information is being implemented and confidential files are also maintained.

Specifically, listed below are the identified customer and supplier properties kept and protected by the DENR:

<b>Customer and Supplier Property</b>	<b>Type of Control</b>
Confiscated and Apprehended Resources	Inventory Appropriate storage and protection Security Measures Acceptance form Implementation of applicable laws/guidelines/court order for disposal
Rented Equipment	Proper handling of equipment Utilization monitoring
Customer and Supplier Information/ Records	Implementation of records control procedure Confidential treatment to identified records
Intellectual property (e.g. Inventions, Publications, etc.)	Copyright Patents
Rented Vehicles	Proper handling of vehicles
Loan and Grant Funds	Periodic monitoring of physical and financial accomplishments Joint GOP-donor project review mission Submission of statement of expenditures


## G. Preservation of Products and Services

### ***Records and Documents***

The DENR maintains the integrity of its services, documents and records through effective records and document management, which is in accordance with the established Documents and Records Control procedures. The control ensures that confidentiality and security is observed.

### ***Supplies***

Supplies, properly recorded and indexed, are stored in a safe store room, padlocked and only the person-in-charge has access in the distribution with corresponding requisition slip, duly acknowledges by the requesting party. Reports of supplies and materials issued are prepared and submitted to the Property Management Division or its bureau and field office counterparts for proper liquidation. Supply index cards are maintained and updated regularly.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA-QMS-007		NOV 27 2015	0	QMS Core Team	17 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							

### ***Confiscated Resources***

Confiscated resources include forest products, equipment and conveyance, and wildlife. Apprehended forest products with existing cases filed in court are usually placed under the custody of apprehending Officers (LGU, PA, PNP, DENR, etc.) with proper custodial receipt. Forest products issued with Confiscation Order are mostly donated to DepEd and other agencies with corresponding Deed of Donation, while some undergo bidding process by the BAC in which the proceeds are deposited to Office Trust Fund Account. In the same manner, confiscated equipment and conveyances are placed under the custody of the Apprehending Officers.

### ***Wildlife***

Apprehended and confiscated wildlife, specimens, by-products and derivatives are placed in the custody of the DENR Office (CENRO, PENRO, Regional Office/ DENR Rescue Center)/ DA-BFAR Office/PCSDS, or turned-over to Wildlife Rescue Centers, as the case may be, as provided in the Manual on Wildlife Law Enforcement and Manual of Operations for the WRC.

The disposition of the confiscated and seized wildlife specimens, by-products and derivatives under the custody of the DENR is in accordance with DENR DAO No. 97-17 and, in the case of DA-BFAR and PCSD, in accordance with their existing rules and regulations.

Live wildlife specimens confiscated and seized at international airports and seaports are turned over to DENR/DA-BFAR/PCSD, as the case may be, in accordance with the procedure outlined in the manual.

Wildlife by-products and derivatives confiscated and seized at the international airports and seaports shall be under the custody of BOC except for by-products and derivatives listed under CITES 1 Appendix, which are under the custody of DENR-BMB. By-products and derivative placed under the custody of the BOC are subject to monitoring by the DENR/DA-BFAR/PCSD.


Confiscated wildlife which are subject of judicial proceedings are disposed of unless proper authority for their disposition is obtained from the court where the case is filed.

### ***Transport and Handling of Wildlife***

Wildlife welfare and keeper's safety is the utmost priority in the transport and handling of wildlife. The goal is to minimize stress and injury to the wildlife and to limit injuries to the wildlife handler. Wildlife restraint is performed only by experienced personnel and, if possible, supervised by the veterinarian. Physical restraint is the first option, but chemical restraint is always available in cases of emergency and is only performed by a qualified veterinarian. There is no direct physical contact to the public during the period of restraint and transport.

### ***Laboratory Samples/Specimens***

Methods and activities such as but not limited to monitoring, reporting, inventory and emergency procedures on the handling and storage of samples/specimens, as well as

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR- MA- QMS-007		NOV 27 2015	0	QMS Core Team	18 of 18
<b>SECTION 7. Environment and Natural Resources (ENR) Management</b>							

chemicals, comply with statutory and regulatory requirements included in the existing manuals/guidelines and other relevant laws, rules and regulations on the use of laboratory facilities.

#### H. Control of Monitoring and Measuring Resources


ENR Management makes use of monitoring and measuring resources needed to provide evidence of conformity of product to determined requirements. Concerned offices ensure that monitoring and measurement can be carried out and are carried out in a manner that is consistent with the monitoring and measurement requirements. Thus, the following controls are implemented:

Monitoring & Measuring Resources	Type of Control
Laboratory Equipment	Annual Calibration Corrective and Preventive Maintenance Regular updating/upgrading of equipment to suit the present times
Surveying Equipment	Registration and Calibration based on DAO 2010-13: -Upon receipt of the instrument -Any repair of the instrument -When malfunction is suspected -When the instrument was used in the conduct of survey and survey returns were submitted for IVAS -Registration of instrument subject of change of ownership -When distance measured or challenged in the court of law
Air Quality Monitoring Equipment	Annual Calibration Corrective and Preventive Maintenance Regular updating/upgrading of equipment to suit the present needs
Portable Water Tester	Annual Calibration/Maintenance
Monitoring and Inspection Tools, HR Examination Tools, Impact Assessment, Planning and Reporting Tools	Periodic Review and Improvement
Information System/Database	User Testing and Acceptance prior to full implementation System Upgrade Based on Business Process Needs

Prepared by:

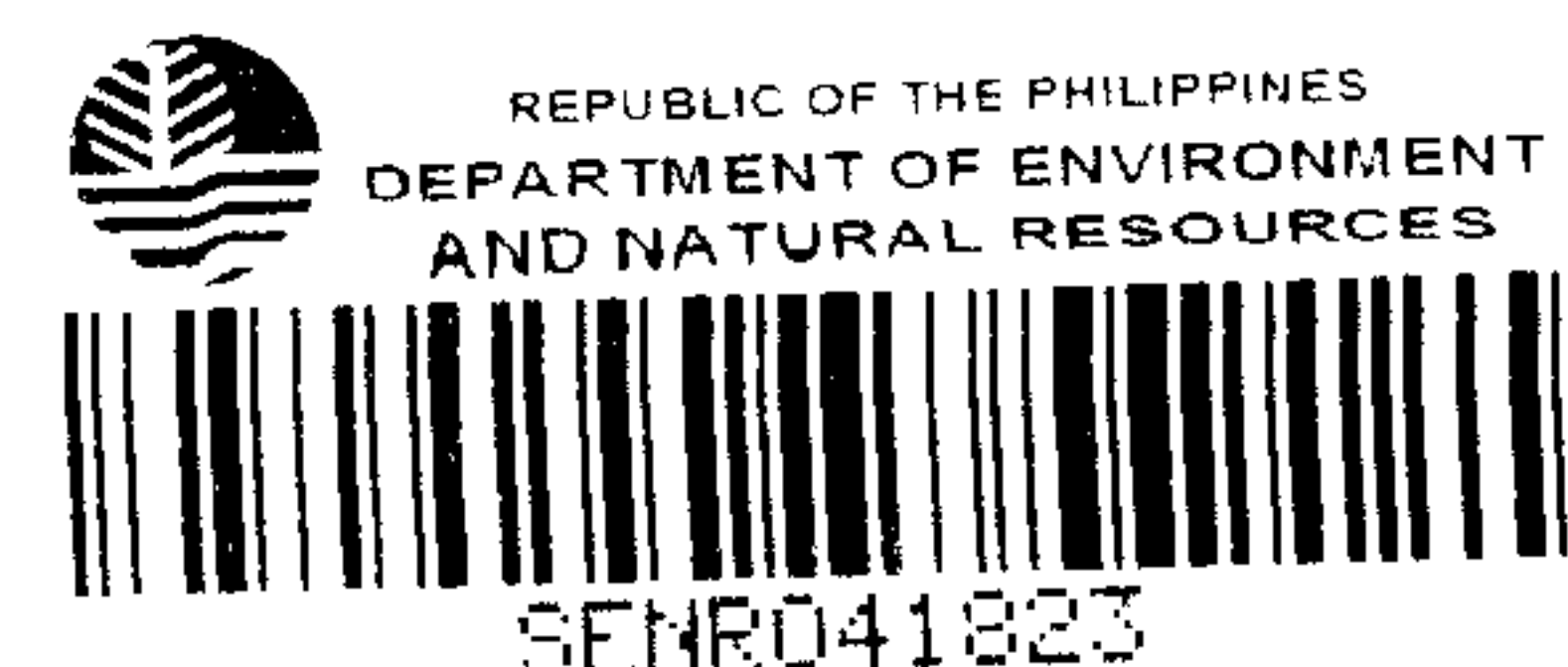
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	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-008		NOV 27 2015	0	QMS Core Team	1 of 4
<b>SECTION 8. MEASUREMENT, ANALYSIS AND IMPROVEMENT</b>							

#### **A. Monitoring and Measurement**

The DENR ensures the effective and efficient delivery of outputs required in the Strategic Performance Monitoring System (SPSM) to the satisfaction of stakeholders through various monitoring and evaluations tools and mechanisms.

Five points are evaluated periodically, namely: schedule, quality, cost, client satisfaction, and performance vis-à-vis targets set.

The data gathered from the monitoring, evaluation and analysis are used for the continual improvement of the systems and procedures of the Department.

#### **B. Stakeholder Satisfaction**

To monitor the service outcomes in terms of meeting the client's requirements and expectations, DENR periodically obtains stakeholder's feedback and perception. Feedback from transacting or walk-in clients are gathered through interviews, surveys, social media and use of suggestion boxes in all DENR offices.

##### ***Periodic Stakeholder Satisfaction Survey***

Customer satisfaction is monitored using a survey form that focuses on measuring client or stakeholder perception of service/product provided by DENR. The purpose of the survey is to find out the extent of stakeholder satisfaction with service/product received from DENR. The survey aims to get suggestions on ways to improve or enhance policy and management services/products. The respondents are selected based on the sampling frame or databases of clients who availed of the service of the agency in a given period. This survey may be outsourced to ensure objectivity of the results and is conducted as required by the management based on its assessment of the pressing issues and concerns of the Department.


Result of the survey is forwarded to the Policy and Planning Service through Program Monitoring and Evaluation Division. It is used as basis for continual improvement of DENR services.

##### ***Walk-In Client Satisfaction Survey***

Feedback from transacting or walk-in clients is gathered through a Walk-In Client Satisfaction Survey which is facilitated during their visit to any DENR office.

Each office designates an officer of the day who is responsible for receiving client requests and inquiries and consequently provides assistance needed by the clients. The officer of the day also evaluates and categorizes requests and complaints based on the areas of concerns and/or urgency of the issues and refer them to the appropriate office or unit.

Upon completion of client transaction, the officer of the day facilitates the handing out of the survey form (See Annex). Accomplished survey forms are collected by the officer of the day and forwarded to the SCIS and its bureau and field office counterparts.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-008		NOV 27 2015	0	QMS Core Team	2 of 4
<b>SECTION 8. MEASUREMENT, ANALYSIS AND IMPROVEMENT</b>							

The feedback forms are analyzed by the SCIS and its bureau and field office counterparts. A report on the action taken as well as the recommendation and proposals for improvement of the DENR services are submitted to the concerned office for appropriate action.

### **C. Internal Quality Audit**

The DENR conducts Quality Audit per identified audit area once a year to determine the effectiveness of the Quality Management System and its conformity with the established procedures, processes, guidelines, policies among others.

The DENR implements and maintains Internal Quality Audit procedure in accordance with the requirements of the ISO 9001:2008. The members of the IQA Team are identified based on experiences, relevant skills and trained to ensure that they are capable to conduct and carry out the audit. The selection of the auditors and conduct of audit ensures objectivity and impartiality of the audit process. Auditors cannot audit the processes within their respective bureaus/divisions/sections.

The audit is done through internal control questionnaire/checklist administration, site validation, document review, ocular inspection/interviews and the result of the audits are recorded and reported in accordance to the documented procedure for QMS Internal Audit and interpreted by the use of various statistical methods that are applicable.

### **D. Monitoring and Measurement of Processes**


The DENR identifies specific and customized tools to be used in the monitoring and evaluation of processes that will determine achievement of planned results. If these are not achieved, correction and corrective actions are taken, as appropriate.

The following tools, but not limited to, are utilized in monitoring and measuring performance:

- a. Work and Financial Plan (WFP)
- b. Office Performance Commitment and Review (OPCR)
- c. Division Performance Commitment and Review (DPCR)
- d. Individual Performance Commitment and Review (IPCR)
- e. Accomplishment Reports
- f. Monitoring & Evaluation Reports
- g. Statistical Reports
- h. Financial Reports

### **E. Monitoring and Measurement of Outputs**

Delivery of outputs through the ENR Core Processes are monitored through series of meetings, workshops and consultations with the assigned personnel/ process owners. Outputs and services are updated through review of policies, rules and procedures, operations manuals and other project documents.

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-008		NOV 27 2015	0	QMS Core Team	3 of 4
<b>SECTION 8. MEASUREMENT, ANALYSIS AND IMPROVEMENT</b>							

#### **F. Control of Nonconforming Products and Services**

The DENR recognizes that nonconformities may occur within any phase of the provision of ENR Policy Standard System Developments, ENR Programs and Project Management and ENR Regulations, Monitoring and Enforcement. The DENR establishes and maintains a documented procedure to identify, control, and prevent unintended use or delivery of nonconforming products or services.

When nonconforming services are corrected, they are reviewed in accordance with applicable documented procedures/standards.

#### **G. Analysis of Data**

The DENR analyzes data as bases for improvement of quality management system. This data may include but not limited to the following: clients' feedback, process monitoring reports, internal audit reports, management reports, non-conformities and accountability reports.

As applicable, matrices, graphs and trend analysis, among others, are the tools used for data analysis.

#### **H. Continual Improvement**

The DENR continually aims to improve the effectiveness of its Quality Management System and processes by allowing all employees to identify and establish improvement projects and opportunities within their scope.

Appropriate methods used to identify potential improvement are based on, but not limited, to quality analysis methods using information gathered from sources such as:


- a. internal evaluations of employees' understanding of the DENR Quality Policy;
- b. achievement of quality objectives;
- c. performance outcomes;
- d. audit findings;
- e. management review; and,
- f. inputs from Clients and other stakeholders

The improvement process addresses performance rating, outputs of internal Quality Audits and comments and feedbacks from Clients' and stakeholders.

#### **I. Corrective Action**

The DENR implements corrective actions that are identified from the cause analysis of nonconformities and improvement opportunities.

Corrective action is taken to eliminate nonconformities occurring during performance of ENR Core processes, such as:

	Document Name	Document ID	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL	DENR-MA-QMS-008		NOV 27 2015	0	QMS Core Team	4 of 4
<b>SECTION 8. MEASUREMENT, ANALYSIS AND IMPROVEMENT</b>							

- a. Non-conforming Services product;
- b. outputs from audits; and
- c. Non-conformities identified in monitoring and measurement of service processes and products/outputs.

Corrective actions are established to appropriately eliminate causes of nonconformities and level of risk identified through analysis. These corrective actions are recorded to ensure that the same are implemented to prevent unintended use or delivery of nonconforming products or services.

Monitoring procedure will be applied for corrective actions, including analysis related to root causes, and ensure their effectiveness to avoid the recurrence of the nonconformity. Evaluation is designed to identify root causes before corrective action is taken.

#### J. Preventive Action

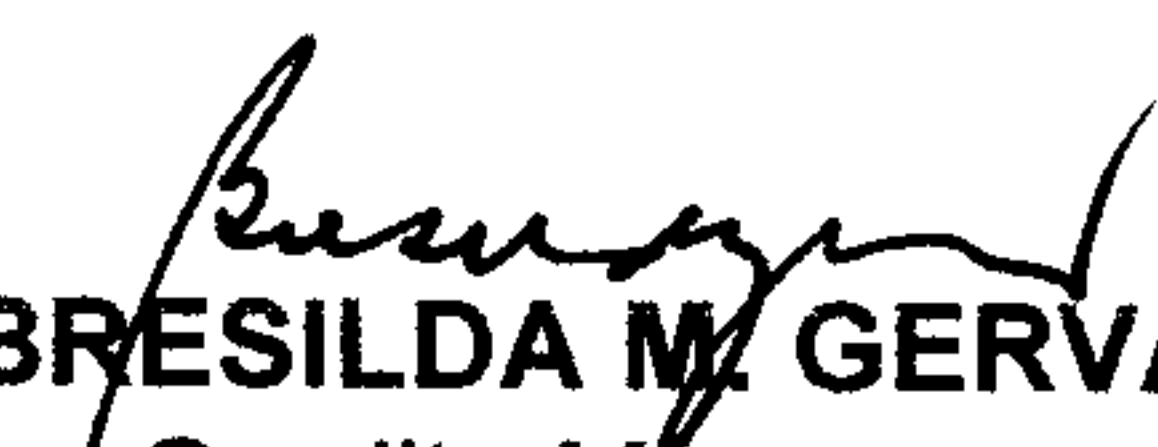
The DENR implements preventive actions based on result of cause analysis of potential nonconformities of Quality Management System and improve ENR Core processes.

Data used in the cause analysis include:

- a. information coming from statistical analysis,
- b. achievement of quality objectives;
- c. cost analysis;
- d. satisfaction surveys from Clients and other identified interested parties; and
- e. outputs from audits and management review.

Preventive actions are recorded to ensure its implementation. Result and learning from the implementation of the preventive action process are documented and communicated to appropriate offices/units of the DENR.

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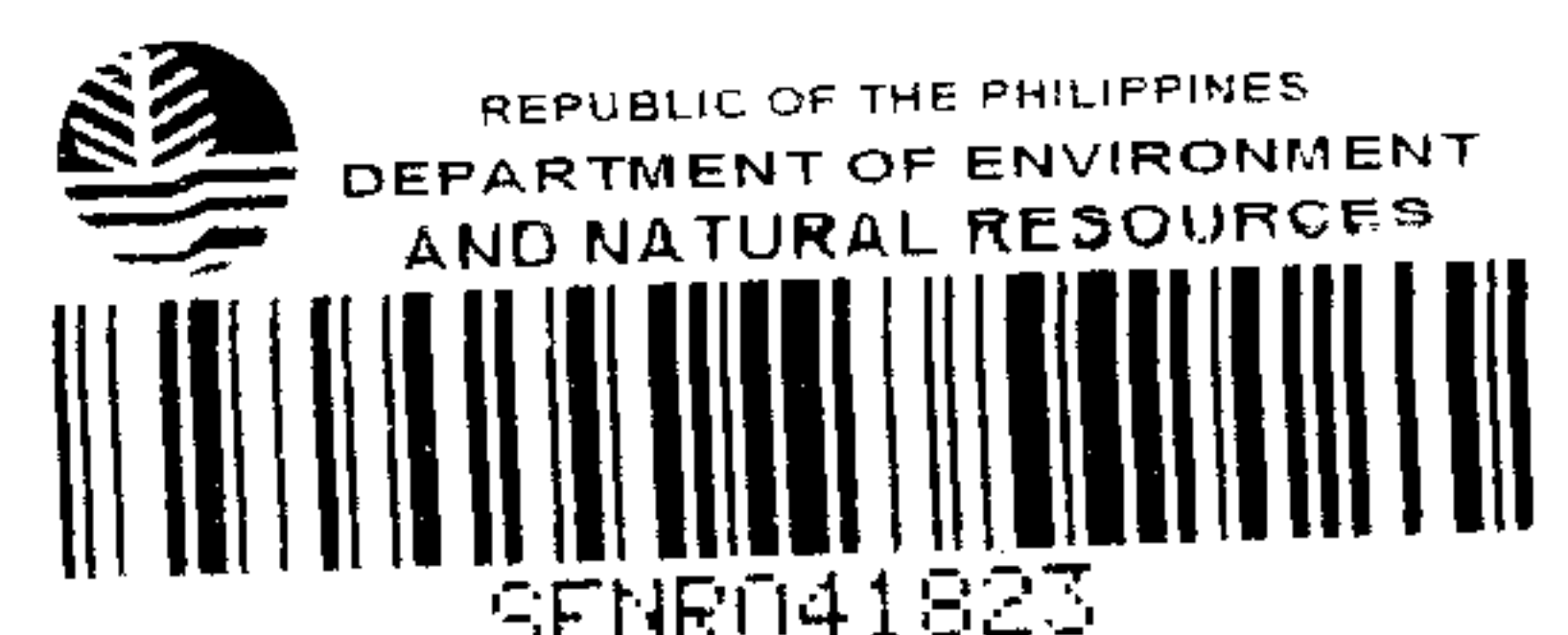
  
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**RAMON J.P. PAJE**  
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Department of Environment and Natural Resources

Walk-In Client Satisfaction Survey Form

Name of Client: \_\_\_\_\_

Contact Details: \_\_\_\_\_

Purpose of Visit/ Transaction: \_\_\_\_\_

Office Visited: \_\_\_\_\_

Name of Attending Personnel: \_\_\_\_\_

Your feedback matters to us. Kindly answer the following questions as honestly as possible:

1 Were your concerns properly addressed? \_\_\_\_\_ Yes \_\_\_\_\_ No  
If No, please provide details: \_\_\_\_\_

2 Was your request attended promptly? \_\_\_\_\_ Yes \_\_\_\_\_ No

3 Was the attending personnel courteous? \_\_\_\_\_ Yes \_\_\_\_\_ No

What is your overall satisfaction rating of our services?

1	2	3	4	5
Poor	Fair	Satisfactory	Very Satisfactory	Excellent

Other Comments:

\_\_\_\_\_  
\_\_\_\_\_



Department of Environment and Natural Resources

Walk-In Client Satisfaction Survey Form

Name of Client: \_\_\_\_\_

Contact Details: \_\_\_\_\_

Purpose of Visit/ transaction: \_\_\_\_\_

Office Visited: \_\_\_\_\_

Name of Attending Personnel: \_\_\_\_\_

Your feedback matters to us. Kindly answer the following questions as honestly as possible:

1 Were your concerns properly addressed? \_\_\_\_\_ Yes \_\_\_\_\_ No  
If No, please provide details: \_\_\_\_\_

2 Was your request attended promptly? \_\_\_\_\_ Yes \_\_\_\_\_ No


3 Was the attending personnel courteous? \_\_\_\_\_ Yes \_\_\_\_\_ No

What is your overall satisfaction rating of our services?


1	2	3	4	5
Poor	Fair	Satisfactory	Very Satisfactory	Excellent

Other Comments:


\_\_\_\_\_  
\_\_\_\_\_

	Document Name	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL		NOV 27 2015	0	QMS Core Team	1 of 3
	<b>REFERENCE MATRIX</b>					

ISO 9001:2008 Clause	Section No.	Title	Reference Documents
4.1 4.2.2 4.2.3	Section 1	<b>Introduction</b>	
4.1 5.5.1	Section 2	<b>Agency Profile</b> DENR History	Republic Act No. 2666 Commonwealth Act No. 136 Commonwealth Act No. 418 Presidential Decree No. 461 Presidential Decree No. 607 Presidential Decree No. 977 Presidential Decree No. 1041 Presidential Decree No. 1121 Presidential Decree No. 1305 Executive Order No. 786 Executive Order No. 131 Executive Order No. 192 Executive Order No. 149 Administrative Order No. 90 Republic Act No. 7942 Executive Order No. 374 Executive Order No. 406  Mandate Vision Mission Organizational Structure  Functional Descriptions  Executive Order No. 366 Administrative Order No. 2014-01
4.1	Section 3	<b>Quality Management System</b> General Requirements Scope and Exclusions Process Map Control of Outsourced Processes	Republic Act No. 9184
4.2 4.2.3 4.2.4	Section 4	<b>Document Management</b> QMS Documentation Document Control Records Management	DENR Memorandum Circular No. 2010-16 Republic Act No. 9470
5.1 5.2 5.3 5.4	Section 5	<b>Management Responsibility</b> Management Commitment Stakeholder Focus Quality Policy	

	Document Name	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL		NOV 27 2015	0	QMS Core Team	2 of 3
	<b>REFERENCE MATRIX</b>					

ISO 9001:2008 Clause	Section No.	Title	Reference Documents
5.5.1		ENR Strategic Planning	
5.5.2		Strategic Performance	
5.5.3		Management System (SPMS)	
5.6		Responsibility and Authority	
		QMS Organizational Structure	DENR Special Order No. 2014-381
			DENR Special Order No. 2014-565
			DENR Special Order No. 2015-796
		Internal Communication	
		Management Review	
6.1	Section 6	<b>Resource Management</b>	
6.2.1		Provision of Resources	
6.2.2		Human Resource Management and Development	
6.3		Rewards and Recognition	
6.4		Financial Management	
7.4		Knowledge and Information System Management	COA Circular No. 2012-001
		General Services	
		Property and Supply Management	Republic Act No. 9184 COA Circular No. 91-368
		Legal Service	
		Issue Management	Republic Act No. 9285 DENR Administrative Order No. 2005-18 CSC Resolution No. 11-01502 DENR Special Order No. 2015-587
		Information, Education and Communication	
	Section 7	<b>Environment and Natural Resources (ENR) Management</b>	
7.1		Communication with Stakeholders	DENR Memorandum Circular No. 2015-04
7.2		ENR Policy and Standard Development	DENR Administrative Order No. 1992-31
7.2.1		ENR Program and Project Management	DENR Administrative Order No. 1996-27
7.2.2			DENR Administrative Order No. 1990-44
7.2.3			DENR Administrative Order No. 1992-33
7.2.4			DENR Memorandum Circular
7.2.5			
7.2.6			
7.2.7			

	Document Name	Issue Number	Date Issued	Revision Number	Originating Office	Page No.
	QMS MANUAL		NOV 27 2015	0	QMS Core Team	3 of 3
<b>REFERENCE MATRIX</b>						

ISO 9001:2008 Clause	Section No.	Title	Reference Documents
7.5.1			No. 1997-15
7.5.2		ENR Regulations, Monitoring and Enforcement	DENR Administrative Order No. 2010-12
7.5.3		Identification and Traceability	
7.5.4		Customer and Supplier Property	
7.5.5		Preservation of Products and Services	DENR Administrative Order No. 1997-17
7.6		Control of Monitoring and Measuring Resources	DENR Administrative Order No. 2010-13
	<b>Section 8</b>	<b>Measurement, Analysis and Improvement</b>	
8.1			
8.2		Monitoring and Measurement	
8.2.1		Stakeholder Satisfaction	
8.2.2		Internal Quality Audit	
8.2.3		Monitoring and Measurement of Processes	
8.2.4			
8.3		Monitoring and Measurement of Outputs	
8.4			
8.5.1		Control of Nonconforming Products and Services	
8.5.2			
8.5.3		Analysis of Data	
		Continual Improvement	
		Corrective Action	
		Preventive Action	