

# MANAGEMENT REVIEW REPORT

ISO 9001:2015

*Department of Tourism*

20 November 2019 | DOT Multipurpose Hall

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## **Review Inputs:**

- 1. Status of Actions from previous Management Review**
  - a. Status of Non-Conformities
  - b. Status of Improvement Plan
  
- 2. Changes in external and internal issues that is relevant to the QMS.**
  - a. Review of the Quality Manual
  - b. Status of Manpower Critical to QMS
  - c. Needs and Expectations of Interested Parties
  - d. SWOT Analysis
  - e. Opportunities Action Plan
  - f. Risk Assessment Registry
  
- 3. Report on the performance and effectiveness of the QMS including trends including**
  - a. Customer Satisfaction and feedback from relevant interested parties
  - b. The extent to which Quality Objective have been met
  - c. Process Performance and conformity of products and services
  - d. Nonconformities & corrective actions
  - e. Monitoring and Measurement results
  - f. Audit result
  - g. The Performance of external providers
  - h. The Adequacy of Resources
  - i. The effectiveness of actions taken to address risk and opportunities

## **Review Output:**

- 1. Opportunities for Improvement**
- 2. Any need for changes of the QMS**
- 3. Resources Needed**

## REVIEW INPUTS:

### 1. Status of Actions from Previous Management Review

The 2<sup>nd</sup> Management Review Meeting for Fiscal Year 2019 was conducted on 20 November 2019 as part of the Department of Tourism's commitment to ensure quality in our tourism products and services and achieve the highest level of customer satisfaction. The meeting also focused on ensuring the continuing sustainability, adequacy, effectiveness, and alignment of the Quality Management System (QMS) with the Department's overall vision, mission, and strategic directions. During the meeting, concerned officials presented their data based on the agenda set by the ISO 9001:2015 Standard.

#### a. Status of Non-Conformities from Previous Management Review

An Internal Quality Audit was held simultaneously in the DOT Central Office, Regions 4B, NCR, 7, and 11 on April 2-5, 2019. All Corrective Action Requests issued by the QMS Internal Auditors were closed. Areas for Improvement were also issued to Process Owners to ascertain continual improvement of the DOT's QMS. Table 1 reflects the status and number of Corrective Action Requests Issued and Table 2 manifests the details of the CARs issued.

**Table 1: Status and Number of Corrective Action Requests Issued**

| Source of CAR          | Number of Issued CARs | Closed CARs | Open CARs |
|------------------------|-----------------------|-------------|-----------|
| Internal Quality Audit | 15                    | 15          | 0         |
| Complaints             | 0                     | 0           | 0         |

**Table 2: Details of the Corrective Action Requests Issued**

| CAR NUMBER      | NC DETAILS  | OFFICE / DIVISION | STATUS |
|-----------------|---|-------------------|--------|
| 2019-AUD-001-00 | At present, only 5 personnel of Tourism Regulation Division (TRD) handles all areas in processing the accreditation. The number of personnel is not enough since the 2 crucial positions, Supervising Tourism Operations Officer (SG22) and Senior Tourism Operations Officer (SG18) are detailed in Administration and Planning respectively.  | Region 7          | CLOSED |
| 2019-AUD-002-00 | Ms. Everyl Rosalada, a Job Order(JO) is the sole personnel handling attending to the procurement requirements of DOT – Region XI, including that of being the sole bids and Awards Committee Secretariat. A J.O. has no accountability and should not be allowed to perform such responsibilities. It should be assigned, with official designation, to a personnel holding a permanent position. At the time of audit, there was no official composition of the Bids and Awards Committee (BAC) while Ms. Rosalada acts as its Secretariat.  | Region 11         | CLOSED |
| 2019-AUD-003-00 | The evaluation of external provider has not been continually implemented in the organization of DOT – Region XI. The performance evaluation presented covered only Programs/Activities/Projects (PAPs) from June to September 2018. The absence of Minutes of Meetings and attendance sheets concerning the said procedure proved that no meetings have been conducted to discuss the performances of the available service providers and suppliers. The non-implementation of the said process can adversely affect the quality of the standards of products and services being provided to DOT-Region XI since the existing service providers are not being assessed and evaluated as to the kind of products and services that | Region 11         | CLOSED |

| CAR NUMBER      | NC DETAILS   | OFFICE / DIVISION                          | STATUS |
|-----------------|--|--|--------|
|                 | <p>they have been delivering over time; thus, affecting the regional office's type of service output.</p> <p>It may also appear as if the quality and conformity to standards set can be negotiated in view of the dependence of DOT-Region XI to the said service providers.</p>  | Region 11                                  | CLOSED |
| 2019-AUD-004-00 | <p>Only one person is assigned in the General Services Division (GSD) performing the duties and responsibilities of the Supply Officer, the Property Custodian and the Maintenance Officer all at the same time. Although Ms. Evelyn Goles performs in good faith, the transparency and counter-checking in the daily performance of tasks cannot be monitored. There has to be another personnel assigned in GSD in performing the duties in the provision of general services in DOT – region XI to ensure accountability.</p>   | Region 11                                  | CLOSED |
| 2019-AUD-005-00 | <p>The law on ease in doing business requires a processing time of 20 days and extension of the same period for highly technical application. The application of Dohare Hotel (selected through random sampling) showed that its application was received on November 20, 2018. On the same day, the applicant was informed that assessment is being put on hold from December 1, 2018 to mid of January 2019. While there was a duly documented initial attempt to address the possible nonconformity by informing the DOT stakeholder on the temporary suspension of assessment, there is no documentation that a Notice of Audit is sent to the applicant or if the Star Rating application has been processed/completed, as of the date of audit or nearly 3 months from expiration of the holding period.</p> | Office of Tourism Standards and Regulation | CLOSED |

| CAR NUMBER      | NC DETAILS   | OFFICE / DIVISION                          | STATUS |
|-----------------|--|--|--------|
| 2019-AUD-006-00 | R.A. 11032, which requires a processing time of 20 days and extension of the same period for highly technical application, became effective on June 17, 2018 with its Implementing Rules and Regulations is yet to be approved. Relative to this, the applicable statutory and regulatory requirement was not considered in the formulation of the procedure since there is no prescribed period within which to process the Star Rating application, as required under RA 11032.  | Office of Tourism Standards and Regulation | CLOSED |
| 2019-AUD-007-00 | One of the services provided by the agency is the issuance of Accreditation and the Star Rating Certification. This process involves communications such as sending of results of assessment and other accreditation or star rating-related communications through the Records Section. The Auditee mentioned that correspondence for mailing is acted upon within the day. However, the sampling during the audit revealed that the Records Section received a letter from OTSR for a DOT Stakeholder on January 17, 2019 but such letter was only released to the Post Office for mailing on March 11, 2019 or almost 3 months from the time it was received from internal client. | Records and Communication Section          | CLOSED |
| 2019-AUD-008-00 | The Records and Communication Control Procedure includes the Inventory of Records and Disposal of Records. However, these processes are not currently being practiced. Thus, there is a breakdown of the process resulting to the non-compliance with item 4, Rule 7 of the NAP General Circular No. 4 "Guidelines on the National Inventory Records," which requires the annual update of inventory of records.   | Records and Communication Section          | CLOSED |

| CAR NUMBER      | NC DETAILS  | OFFICE / DIVISION                 | STATUS |
|-----------------|---|-----------------------------------|--------|
| 2019-AUD-009-00 | <p>The non-conformity is in relation to Department Order No. 2006-10 which provides the Personnel Development Committee (PDC) Guidelines. Section G of said Department order states: The PDC shall organize a forum where scholars/grantees will share their learnings through Echo Seminars.</p> <p>The use of the word "shall" indicates that the conduct of Echo Seminars is mandatory. However, it is not at all included as a process in the Training and Development procedures for External Training Programs.</p> <p>Furthermore, no Echo Seminars have been conducted in the past few years although the Department had a number of scholars/grantees who attended training programs, both locally and abroad.</p> | Training and Development Division | CLOSED |
| 2019-AUD-010-00 | The non-conformity refers to the following infrastructure elements: Small, crowded room assigned to the division's personnel and equipment; Lack of equipment and ICT such as mobile phones, photocopying machine and printer (since they are not connected to the remote printer system), laptop computers, LED projector, furniture as well as malfunctioning airconditioning unit; No room assigned to Training and Development Division for the conduct of trainings  | Training and Development Division | CLOSED |
| 2019-AUD-011-00 | In the last 5 years, employees and guests of DOT have to deal with the following problems arising from negligent, slow and almost non-existent building maintenance:<br>2 elevators that are out of order much too frequently<br>Several airconditioning units around the building that are not in order for a long period of time<br>Loose floor tiles   | General Services Division         | CLOSED |

| CAR NUMBER      | NC DETAILS  | OFFICE / DIVISION       | STATUS |
|-----------------|---|-------------------------|--------|
|                 | <p>Non-functional anti-flooding pump at the basement parking area</p> <p>Poor sewage and drainage system including clogged pipes taht sometimes lead to drippings</p> <p>Toilets with defects including malfunctioning flush system</p>   |                         |        |
| 2019-AUD-012-00 | <p>Although 6.2 of the Procedure provides for the Strategic Performance Management System (SPMS), the same has yet to be fully implemented and institutionalized at the time of audit. HRD only receives the DPCR and IPCRs of each divisions and employees but they have yet to be reviewed by the Performance Management Team (PMT). Likewise, Planning Service has yet to include in their procedure the process in reviewing OPCRs.</p> | Human Resource Division | CLOSED |
| 2019-AUD-013-00 | <p>At the time of audit, the above-mentioned requirements are not met/complied with because the Daily Time Records (DTRs) are not updated and not issued within the mandated 10th day of the following month period for Regular Employees as indicted in 6.7 of the Procedure on Timekeeping and Daily Time Record Generation.</p>  | Human Resource Division | CLOSED |
| 2019-AUD-014-00 | <p>In view of the non-conformance in the issuance of Daily Time Records (DTRs) (not updated and not issued within the mandated period), the leave credits of personnel are likewise not updated every month as prescribed in 6.8 of the Procedure on Leave Administration. Updated leave credit cards not available.</p>  | Human Resource Division | CLOSED |
| 2019-AUD-015-00 | <p>Although the Director position is filled up at the time of audit, the Director is detailed as a Regional Director of DOT – Region VII. Thus, IAS Audit Reports are not submitted to the proper authority for initial review and endorsement to the Office of the Secretary</p>   | Internal Audit Service  | CLOSED |



a. Status of Improvement Plan

The table below shows the status of the improvement plans agreed upon by the Executive Committee and other Officials during the conduct of the previous the 1<sup>st</sup> Management Review Meeting for Fiscal Year 2019:

| No. | IMPROVEMENT PLAN  | RESPONSIBLE OFFICE                         | DATE IMPLEMENTED   | STATUS<br>(As of 20 November 2019)   |
|-----|---|--|--|--|
| 1   | Redevelopment of Online Accreditation System and development of Functional Online System for Star Rating System | Office of Tourism Standards and Regulation | Ongoing  | Ongoing.<br><br>The details of the Online Accreditation System and its structural requirements are still being finalized;<br><br>Completed the approval of the Project Proposal. |
| 2   | Implementation of Express Accreditation System in Regions III, IV-B, VII and XIII                               | Office of Tourism Standards and Regulation | 1 <sup>st</sup> Semester – DOT NCR<br><br>September 30 – October 01 – Regions III, IV-B, IV-A<br><br>November 12-15 – Region VII<br><br>November 18-22 – Region XIII | Completed.<br><br>6 out of 6 identified areas were able to implement the Express Accreditation System.   |

| No. | IMPROVEMENT PLAN  | RESPONSIBLE OFFICE                         | DATE OF IMPLEMENTATION | STATUS<br>(As of 20 November 2019)  |
|-----|---|--|------------------------|---|
| 3   | Crafting of methodology/ guidelines in the processing and generation of customer feedback from applicants for Accreditation | Office of Tourism Standards and Regulation | Ongoing                | Ongoing.<br><br>The Manual Accreditation Procedure as well as the Monitoring and Enforcement Procedure are still on process.<br><br>Adopted DOT Customer Feedback Form. |
| 4   | Revision of OTSR Quality Management System Documents  | Office of Tourism Standards and Regulation | 10 October 2019        | Completed.<br><br>Enrolled the revision 1 of the Star Rating Control Procedure  |
| 5   | Craft internal guidelines on the scope and methodology of the impact assessment of TISP and OIMD Training Programs          | Office of Industry Manpower Development    | July 29 - present      | Ongoing.<br><br>Baseline data is still for testing and review.  |
| 6   | Enroll monitoring procedure on QMS documentation  | Office of Industry Manpower Development    | 20 August 2019         | Completed.<br><br>Enrolled Conduct of Tourism Industry Impact Assessment Control Procedure.   |

| No. | IMPROVEMENT PLAN  | RESPONSIBLE OFFICE  | DATE OF IMPLEMENTATION | STATUS<br>(As of 20 November 2019)   |
|-----|---|---|------------------------|--|
| 7   | Issuance of updated ICT Equipment   | Information Technology and Division and Administrative Service              | Completed              | Completed.<br><br>Already issued ICT equipment to all concerned offices in the Central Office as of October 4, 2019.<br><br>ICT equipment for Regional Offices are ready for pick-up at GSD. |
| 8   | Capacity building for IT Personnel on system developments enhance/upgrade their skills on Systems Development | Office of Tourism Development Planning, Research and Information Management | 2020                   | To be conducted.<br><br>The capacity building of IT personnel for systems development is included on the WFP proposal for FY 2020.   |
| 9   | Implementation of the Document Management System  | Office of Tourism Development Planning, Research and Information Management | 2020                   | To be conducted.<br><br>Full implementation of the Data Management System will be conducted on 2020 provided that there are no glitches during the final run.                                |
| 10  | Development of Monitoring and Evaluation Tool   | Planning Service  | Ongoing                | Draft output for finalization of the Consultant.   |

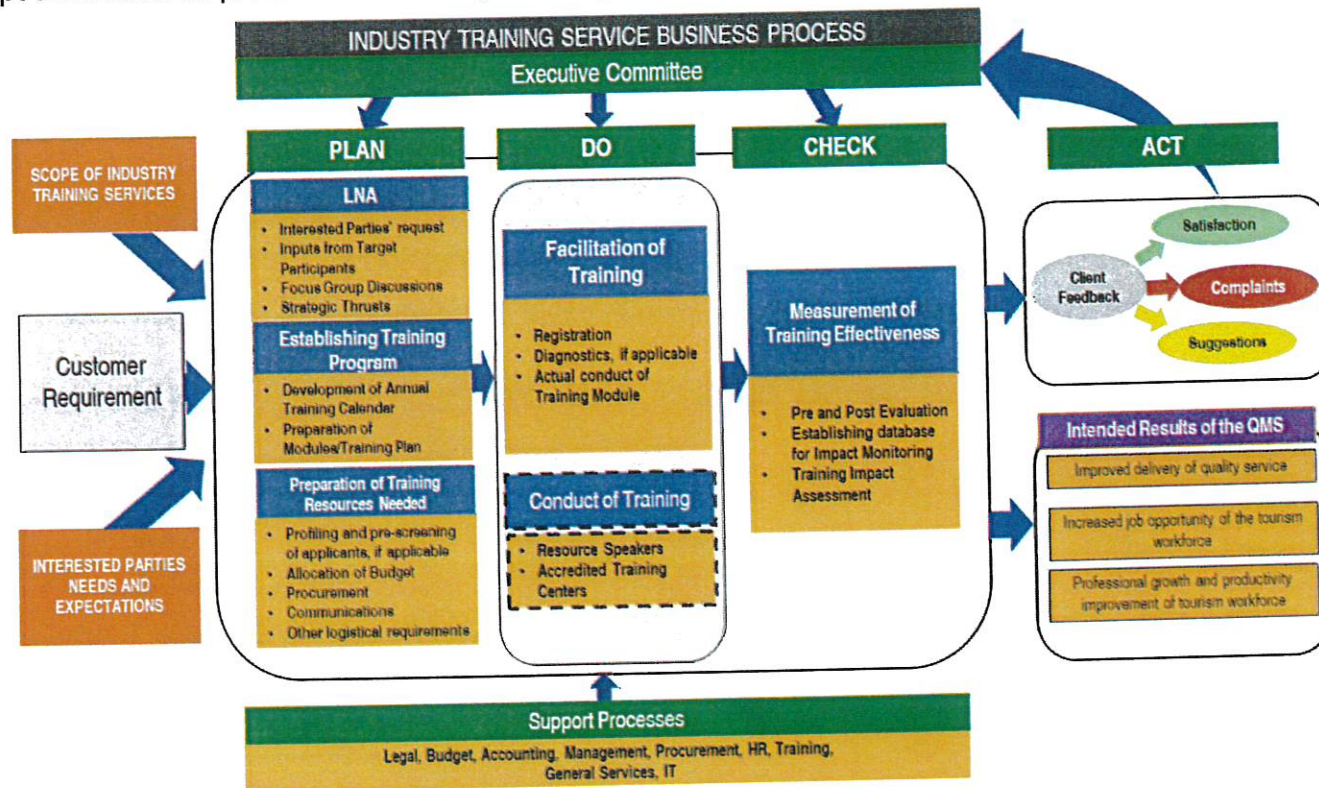
| No. | IMPROVEMENT PLAN   | RESPONSIBLE OFFICE     | DATE OF IMPLEMENTATION | STATUS<br>(As of 20 November 2019)   |
|-----|--|------------------------|------------------------|--|
| 11  | Conduct of Training Needs Survey                           | Administrative Service | 2020                   | Ongoing.<br><br>The bidding process for the consultant who will handle the Training Needs Survey is still on process.  |
| 12  | Engagement of private courier Service                      | Administrative Service | Continuous             | For 2019, GSD will continue to engage the services of PhilPost for regular mailing services.<br><br>Private courier service providers are procured for other courier services (outside of PhilPost mailing services) |
| 13  | Review the system of gathering feedback from the end-users | Administrative Service | 2020                   | Ongoing.<br><br>The review process for gathering feedback from end-users in relation to the conduct of the Evaluation of External Providers is still on process.   |
| 14  | Revision on the Evaluation of External Provider Procedure  | Administrative Service | 2020                   | Ongoing.<br><br>The review process for the Evaluation of External Provider Procedure is still on process.  |
| 15  | Provision of service vehicle for DOT                       | Administrative Service | 2019-2020              | Five (5) vehicles were issued to for 2019 another five (5) will be re-fleeted on 2020.   |

For opportunities action plan not implemented within this Fiscal Year, the Executive Committee requested all offices to ensure that the agreed action plans will be carried out in 2020. Status of plans to be implemented shall be reported on the next Management Review Meeting.

## 2. CHANGES IN EXTERNAL AND INTERNAL ISSUES THAT ARE RELEVANT TO THE QUALITY MANAGEMENT SYSTEM

### a. Review of the Quality Manual

In order to ensure the sufficiency of the Department's expansion of scope to Industry Training Service, the Executive Committee agreed to adopt the business process for Industry Training:



b. Status of Manpower Critical to QMS

In order to ensure that the implementation of the Quality Management System will be monitored in accordance with the ISO 9001:2015 Standard and ensure that there will be sufficient numbers of Internal Quality Auditors, the Retooling for Existing IQAs was conducted on 19-20 June 2019 and Training for New IQAs on 04-05 July 2019. As per Department Order No. 2019-81 Reconstitution of Internal Quality Auditors, the Department has now a total of 30 Internal Quality Auditors.

**Table 3: List of Internal Quality Auditors**

|                                  |                                      |
|----------------------------------|--------------------------------------|
| 1. Olba, Jennifer A.             | 16. Lardizabal, Francisco M.         |
| 2. Alicante, Ronell M.           | 17. Macayayong, Evelyn A.            |
| 3. Argosino, Stephen Roy F.      | 18. Malabanan, Alyssa Coline C.      |
| 4. Bagsic, Jim Ray R.            | 19. Oliveros, Noubert Emmanuel S. T. |
| 5. Congzon, Ma. Valle A.         | 20. Paje, Victoria Margarita V.      |
| 6. Cornista, Sharon Gail S.      | 21. Quesea, Gladys A.                |
| 7. Cortum, Maria Jean S.         | 22. Ramirez, Sherwyn Renzo G.        |
| 8. Cortum, Rene T.               | 23. Regis, Prudencio Ceasar A.       |
| 9. Dadat, Evangeline M.          | 24. Rtoni, Charles Anthony C.        |
| 10. Demaclid, Ernestinne S.      | 25. Ruedas, Kenneth Lorenz R.        |
| 11. Gabato, Judy D.              | 26. Say, Milagros Y.                 |
| 12. Gestopa, Thelma L.           | 27. Somera, Helen Grace J.           |
| 13. Gomez, Jessa Marie Crista V. | 28. Soriano, Aida T.                 |
| 14. Gutierrez, Rutherlyn T.      | 29. Tansingco, Blessy Grace G.       |
| 15. Jaraplasan, Teodora Laami E. | 30. Zaldua, Leslie Marie S.          |

Furthermore, since the expansion of scope to Industry Training Service and coverage to include Regions 1, 6, and 9 will entail additional documentary requirements for review, validation, and registration, **Ms. Leslie Marie S. Zaldua** and **Ms. Abigail E. Andrada** were designated as additional Document Control Assistants per Department Order 2019-107.

c. Needs and Expectations of Interested Parties

In relation to the Department's expansion of scope to Industry Training Service, new interested parties were identified namely Resource Speakers, Training Providers, Academe, and other Tourism Stakeholders which needs provision of innovative and responsive training programs to ensure that the tourism frontliners have enhanced knowledge and upgraded skills. These interested parties expect that the provision of knowledge and upgraded skills through the training programs are timely and responsive.

For the Accreditation of Tourism Enterprises and Monitoring and Enforcement Process, the need of the General Public regarding accurate travel advisories, information of the accredited tourism enterprises, and immediate action on complaints were highlighted during the meeting. It was also discussed that their expectations include a professional and systematic processing of inquiries/complaints and services that will lead to the highest level of customer satisfaction. **(Refer to Annex A for a detailed Needs and Expectations of Interested Parties)**

d. SWOT Analysis

A SWOT Analysis was conducted by all Operating Units of the Department to identify and assess internal and external issues. For the Industry Training Service, one of the issues identified is the conflict of schedule of Resource Speakers. In order to address this, the Office of Industry Manpower Development have conducted Train the Trainers Seminar to increase the number of speakers.

For the Manual Accreditation Process, the absence of an online system for easier facilitation of accreditation was identified an issue. Hence, it was agreed to fast track the development of the online system. **(Refer to Annex B for a detailed SWOT Analysis).**

e. Risk Assessment Registry

In order to address the identified internal and external issues identified in the SWOT Analysis, all Operating Units presented the results of their respective Risk Assessment Registries. The most common risk effect identified for the conduct of industry training service is the late implementation of training programs. Meanwhile, for the process of Accreditation of Tourism Enterprises, the lengthy processing time for Star Rating requests was identified the most significant risk. Corresponding action plans and contingency plans were prepared by all Operating Units to address identified risks. **(Refer to Annex C for a detailed Risk Assessment Registry).**

**3. REPORT ON THE PERFORMANCE AND EFFECTIVENESS OF THE QUALITY MANAGEMENT SYSTEM, INCLUDING TRENDS IN:**

*a. Customer Satisfaction and Feedback from relevant interested parties*

*i. Customer Satisfaction*

In order to measure the satisfaction of clients availing of services from the DOT, a Client Satisfaction and Feedback Survey was conducted. Likewise, this instrument served as basis in crafting improvement plans.

**Table 4 : Satisfaction on Accreditation Process**

| RESPONDENTS     |                         |                                     |                                 | NUMBER OF RESPONDENTS WHO WERE: |             |           |             |           |             |
|-----------------|-------------------------|-------------------------------------|---------------------------------|---------------------------------|-------------|-----------|-------------|-----------|-------------|
| Regional Office | No. of Participants (B) | No. of feedback forms collected (C) | Response Rate (D) (C/B)*100 = D | STAFF                           |             | SERVICE   |             | OFFICE    |             |
|                 |                         |                                     |                                 | Satisfied                       | Unsatisfied | Satisfied | Unsatisfied | Satisfied | Unsatisfied |
| NCR             | 209                     | 209                                 | 100%                            | 208                             | 1           | 200       | 1           | 205       | 0           |
| REGION I*       | 324                     | 233                                 | 72%                             |                                 |             | 70        | 1           | 70        | 1           |
| REGION IV-B*    | 108                     | 108                                 | 100%                            |                                 |             | 108       | 0           |           |             |
| REGION VI       | 103                     | 103                                 | 100%                            | 103                             | 0           | 103       | 0           | 103       | 0           |
| REGION VII      | 935                     | 935                                 | 100%                            | 935                             | 0           | 915       | 0           | 935       | 0           |
| REGION IX       | 117                     | 117                                 | 100%                            | 117                             | 0           | 117       | 0           | 117       | 0           |
| REGION XI       | 128                     | 128                                 | 100%                            | 128                             | 0           | 112       | 3           | 128       | 0           |

\* Implemented DOT Client Satisfaction and Feedback Survey

The table shows the results of the Client Satisfaction Survey conducted for January to October 2019 to measure the satisfaction of the applicants with the DOT's Accreditation Services.



**Table 5 : Satisfaction on Star Rating and Monitoring and Enforcement Activities**

| Activity/ Service<br>(A)           | RESPONDENTS                |   |  | NUMBER OF RESPONDENTS<br>WHO WERE: |                    |
|------------------------------------|----------------------------|---|--|------------------------------------|--------------------|
|                                    | No. of Participants<br>(B) | No. of feedback<br>forms collected<br>( C ) | Response<br>Rate<br>(D)<br>$(C/B)*100 = D$ | Satisfied<br>(E)                   | Unsatisfied<br>(F) |
| Star-Rating Audits                 | 18                         | 18  | 100%                                       | 18                                 | 0                  |
| Monitoring Visits /<br>Spot Checks | 57                         | 57  | 100%                                       | 57                                 | 0                  |
| Star-Rating Team                   | 26                         | 26  | 100%                                       | 26                                 | 0                  |
| <b>TOTAL</b>                       | 75                         | 75  | 100%                                       | 75                                 | 0                  |
|                                    |                            | <b>Average</b>                              | 100%                                       |                                    |                    |

*Passing Rate: 90%*

The table shows the results of the Client Satisfaction conducted from January to October 2019 in order to assess the satisfaction of the Department's clients in relation to the conduct of Star-Rating Audits, Monitoring Visits/ Spot Checks, and Star Rating Team.

**Table 6 : Satisfaction on Industry Training Service**

| Office<br>(A)  | RESPONDENTS                   |   |  | NUMBER OF<br>RESPONDENTS WHO<br>WERE: |                    | Average<br>Satisfaction<br>Rating<br>(Total E /<br>Total C)*100<br>= Average |
|----------------|-------------------------------|---|--|---------------------------------------|--------------------|--|
|                | No. of<br>Participants<br>(B) | No. of feedback<br>forms collected<br>(C) | Response<br>Rate<br>(D)<br>(C/B)*100 = D | Satisfied<br>(E)                      | Unsatisfied<br>(F) |  |
| OIMD           | 1,270                         | 1,067                                     | 84%                                      | 1,099                                 | 0                  | 99.5%  |
| NCR            | 161                           | 151                                       | 93%                                      | 151                                   | 0                  | 100%   |
| REGION I       | 845                           | 845                                       | 100%                                     | 841                                   | 4                  | 99.5%  |
| REGION<br>IV-B | 922                           | 921                                       | 99.8%                                    | 921                                   | 0                  | 100%   |
| REGION VI      | 1,230                         | 1,107                                     | 90%                                      | 1,107                                 | 0                  | 100%   |
| REGION VII     | 1,764                         | 1,764                                     | 100%                                     | 1,762                                 | 0                  | 99%  |
| REGION IX      | 619                           | 603                                       | 97.4%                                    | 603                                   | 0                  | 100%   |
| REGION XI      | 94                            | 86  | 91.5%                                    | 86                                    | 0                  | 100%   |
| <b>TOTAL</b>   | <b>6,905</b>                  | <b>6,544</b>                              |  | <b>6,570</b>                          | <b>4</b>           |  |

The table shows the results of the Client Satisfaction and Feedback Survey conducted by the Office of Industry Manpower Development and Regional Offices after the implementation of the training programs.

**Table 7 : Satisfaction on Frontline Services**

| CRITERIA                    | SATISFIED | NOT SATISFIED | NO RESPONSE | TOTAL RESPONSE | % SATISFACTION |
|-----------------------------|-----------|---------------|-------------|----------------|----------------|
| PROMPTNESS OF SERVICE       | 349       | 2             | 3           | 351            | 99             |
| QUALITY OF SERVICE DELIVERY | 340       | 3             | 11          | 343            | 99             |

The Management Division has conducted the Client Satisfaction Feedback Survey to monitor the satisfaction of clients in relation to the frontline services delivered by the DOT. For the period January to October 2019, Table 7 shows that 99% of the respondents of the survey were satisfied with the promptness and quality of service of the DOT.

ii. Customer Complaints on Accreditation and Star Rating

**Table 8 : Number of Complaints received and acted upon**

| QUARTER                 | NO. OF COMPLAINTS RECEIVED | NO. OF COMPLAINTS ACTED UPON | PERCENTAGE  |
|-------------------------|----------------------------|------------------------------|-------------|
| 1 <sup>st</sup> Quarter | 22                         | 22                           | 100%        |
| 2 <sup>nd</sup> Quarter | 17                         | 17                           | 100%        |
| 3 <sup>rd</sup> Quarter | 28                         | 28                           | 100%        |
| 4 <sup>th</sup> Quarter | 12                         | 12                           | 100%        |
| <b>TOTAL</b>            | <b>79</b>                  | <b>79</b>                    | <b>100%</b> |

Table 8 shows that the Office of Tourism Standards and Regulations and Regional Offices received a total of 79 complaints all of which are all acted upon as of October 2019. (Refer to Annex D for the Complaints Inventory)

**Table 9 : Percent Distribution of Complaints Received by Office**

| OFFICE                                 | NUMBER OF COMPLAINTS RECEIVED | Complaints Received against DOT Accredited Establishment |                      |
|--|-------------------------------|--|----------------------|
|  |                               | NUMBER   | PERCENT DISTRIBUTION |
| Office of Tourism Standards Regulation | 67                            | 38   | 56.71%               |
| NCR                                    | 18                            | 8  | 44.44%               |
| REGION I                               | 3                             | 0  | 0%                   |
| REGION IV-B                            | 15                            | 3  | 20%                  |
| REGION VI                              | 64                            | 39   | 60.94%               |
| REGION VII                             | 10                            | 4  | 40%                  |
| REGION IX                              | 0                             | 0  | 0%                   |
| REGION XI                              | 1                             | 0  | 0%                   |
| <b>TOTAL</b>                           | <b>178</b>                    | <b>92</b>  |                      |

A total of 178 complaints were received by the DOT for the period January to October 2019 with 51.69% directly attributed to DOT accredited establishments while the rest of the complaints, at 48.31% are those for non-DOT accredited establishments. Of the 92 complaints against DOT accredited establishments, Region VI received the highest complaints at 60.94% (39 complaints) while the Office of Tourism Standards and Regulation (OTSR) received the second highest number of complaints at 38 (56.71%). Details of the actions taken were reported by Standards Monitoring and Enforcement Division during the Meeting. Complaints which were directed to non DOT accredited establishments were referred to LGUs, DTI and other relevant agencies.

*iii. Customer Complaints on Industry Training Service*

There are no reported complaints against the provision of Industry Training Service.

**Table 11 : Sample of Actions Taken on the Complaints Received for Tourism Enterprises**

| OFFICE    | NATURE OF COMPLAINT/CONCERNS  | ANALYSIS                                 |  |  | STATUS            |
|-----------|---|--|--|--|-------------------|
|           |   | CAUSE/S                                  | CORRECTION   | CORRECTIVE ACTIONS   |                   |
| REGION VI | Orient Beach Boracay<br>Complaint re rodent infestation in the guests rooms | Alleged unclean and rodent infested room | Informed the establishment concerned and copy furnished the complainant on all the actions taken by the office | Forwarded the Letter of Explanation of the establishment to the complainant upon receipt. If there is no response within 3 days upon receipt of the said letter case will be deemed closed | Case deemed close |
|           | RMH Travel & Tours non-provision of airline ticket                          | Not Issuing Airline tickets              | Referred issue to LGU concerned for appropriate action   | In coordination with the concerned LGU, the tickets were issued immediately.   | Resolved          |

| OFFICE     | NATURE OF COMPLAINT/CONCERNS   | ANALYSIS  |  |  | STATUS  |
|------------|--|---|--|--|---|
|            |  | CAUSE/S   | CORRECTION   | CORRECTIVE ACTIONS   |   |
| REGION VI  | Complaint re booking (Fairways and Bluewater Boracay)  | Double booking in different online booking platforms and no response from the establishment | Informed the establishment concerned and copy furnished the complainant on all the actions taken by the office | Forwarded the Letter of Explanation of the establishment to the complainant upon receipt and establishment responded by fixing the booking issue | Resolved  |
| REGION VII | AIR YOU GO Travels Philippines, Cebu City - (Non DOT Accredited)<br><br>Failure to comply contractual obligation on Package Tour booking   | N/A   | Refer to the Cebu City Mayor's Office for appropriate action   | N/A  | For action of the Cebu City Mayor's Office          |
|            | Backpackers Barn, Panglao, Bohol - (Non DOT Accredited) <ul style="list-style-type: none"> <li>▪ Aircon not functioning</li> <li>▪ Cabinets &amp; windows are dusty</li> <li>▪ The corner of the double deck bed has dust and insects</li> </ul> | N/A   | Refer to the Panglao Mayor's Office for appropriate action   | N/A  | For action of the Panglao Mayor's Office of Panglao |

| OFFICE    | NATURE OF COMPLAINT/CONCERNS   | ANALYSIS   |   |  | STATUS   |
|-----------|--|--|---|--|--|
|           |  | CAUSE/S  | CORRECTION  | CORRECTIVE ACTIONS   |  |
| Region XI | Accredited Tour Guides against an accredited Tour Operator handling Chinese tourists | Alleged misconduct towards regional guides; reported contracting of non-DOT accredited guide which is also in violation of the Davao City Tourism Code | Requested the Tour Operator to reply to the complaint | Reminded the Tour Operator, thru an official letter, of the existing regulations for all accredited T.E.s to transact business only with accredited partners/suppliers | Pending schedule of meeting with City Tourism Office and Business Bureau |

Table 9 shows the actions taken by Region VI, VII, and XI on the complaints received by their respective offices. It is important to note that the complaints received by Region VII were against non-accredited enterprises and were referred to Local Government Units for appropriate action. **(Refer to Annex D for status and inventory of complaints)**

**Table 11 : Actions Taken on the Complaints received for the Department's Frontline Services**

| OFFICE          | NATURE OF COMPLAINT  | CAUSE  | CORRECTION  | CORRECTIVE ACTION  | STATUS                                     |
|-----------------|--|--|---|--|--|
| DOT NCR         | "Failed to pick-up my training certificate due to wala daw yung tao"   | The assigned personnel was not around to assist the client | Ensure that client's needs are attended to  | Clarify with participants where the certificates are secured after each training   | Completed correction and corrective action |
| Region 4B       | "Ayaw makipag-usap kasi sa ibang area of responsibility raw"   | OJT did not endorse the call to an organic staff present   | - OJT to refer / forward calls to organic staff present<br><br>- Staff was reminded to answer inquiries properly and provide prompt assistance as necessary | - Brief OJTs on how to handle phone calls from both local and direct lines<br><br>- Instruct lobby guard to refer Accreditation inquiries / matters to OTSR if not within MIMAROPA jurisdiction. | Completed correction and corrective action |
| Resource Center | "Question lang po: Bakit may lunch break po eh government naman po yung DOT Library? Pinabalik po kasi kami ng 1PM kasi breaktime daw po. Anyone can handle us po eh may ibang tao naman po sa department" | The staff was not around to assist the client              | Lobby guard on duty should be notified every time the staff will leave the Library  | Instruct lobby guard to tell the researcher to wait at the Visitor's Lounge and will be informed once the staff is back from break   | Completed correction and corrective action |



*b. The extent to which quality objectives have been met*

**Table 12 : Quality Objectives for Accreditation**

| <b>PROCESS</b>                       | <b>QUALITY OBJECTIVE</b>   | <b>OFFICE/DIVISION</b> | <b>ACCOMPLISHMENT</b>   | <b>REMARKS</b>  |
|--------------------------------------|--|------------------------|---|---|
| Accreditation of Tourism Enterprises | To increase the number of Accredited Tourism Enterprises by 10% in 2019  | DOT NCR                | 75% of target accomplished = 768 tourism enterprises accredited | Baseline Data: 2018 = 926   |
|                                      |  | Region IV-B            | 79% of target accomplished = 431 tourism enterprises accredited | Baseline Data: 2018 = 498   |
|                                      | To increase the number of Accredited Tourism Enterprises by 45% in 2019  | Region XI              | 114% of targets accomplished = 287                              | Baseline Data: 2018=114   |
|                                      | 22% increase in newly accredited tourism enterprises from the baseline of 920 in 2018  | Region VI              | 34% accomplished  | Baseline Data: 2018=920   |
|                                      | To achieve 100% assessment of all received application for Accreditation of Primary and Secondary Tourism Enterprises for 2019 | Region VII             | 100% of received applications acted upon                        | No. of applications received acted upon = 1,011<br><br>Total Accredited = 895 |
|                                      | To conduct 100% assessment to enterprises subject for accreditation for the year 2019  | Region I               | 100% of received applications acted upon                        |   |
|                                      | To accredit 100 tourism enterprises  | Region IX              | 64% accomplished  | 64 tourism enterprises accredited   |

*As of October 2019*

Table 12 shows the extent to which the quality objectives have been met for Accreditation of Tourism Enterprises for all concerned regional office as of October 2019. Year-end accomplishment shall be reported in the next Management Committee/Management Review Meeting.

Region VII has only accredited 895 out of the 1,011 of the applications received since the 116 tourism enterprises failed to meet the requirements. Nevertheless, all assessment activities were carried out.

**Table 13 : Quality Objectives for Star Rating and Monitoring & Enforcement**

| PROCESS                                  | QUALITY OBJECTIVE   | OFFICE/DIVISION                               | ACCOMPLISHMENT | REMARKS  |
|--|---|---|----------------|--|
| <b>Complaints Handling</b>               | 100% of complaints received were acted upon and impose necessary enforcement actions within the prescribed timeframe for 2019   | Standards Monitoring and Enforcement Division | 100%           | Complaints received = 79<br>Complaints acted upon = 79 |
| <b>Monitoring Visits and Spot Checks</b> | An average of 10% of the total number of accredited tourism enterprises in the country is inspected/monitored to determine maintenance of facilities and services in accordance with the Department's set standards |   | 66%            | Target = 239<br>Actual = 157                           |
| <b>Star Rating</b>                       | 100% of Hotels, Resorts and Apartment Hotels that requested for Star Rating Assessment were visited and assessed under the National Accommodation Standards   |   | 128%           | Target = 60<br>Actual = 77                             |

As of October 2019

Table 13 shows that all complaints received by the OTSR and Regional Offices were acted upon. For Monitoring Visits and Spot Checks, the OTSR is yet to conduct monitoring activities until 2019 to achieve the target. Likewise, for Star Rating, there was an over accomplishment since the remaining inspection activities for 2018 was conducted in 2019.

**Table 14 : Quality Objectives for Industry Training Service**

| <b>PROCESS</b>            | <b>QUALITY OBJECTIVE</b>   | <b>OFFICE/DIVISION</b> | <b>ACCOMPLISHMENT</b> |
|---------------------------|--|------------------------|-----------------------|
| Industry Training Service | Conduct of 100% of 61 Trainings targeted for 2019  | OIMD                   | 83%                   |
|                           | To meet 100% of targeted training programs for 2019 (August to October 2019)                         | NCR                    | 100%                  |
|                           | Conduct 100% of the targeted 8 industry trainings for 2019 under DOT Region 1 regular funds for 2019 | REGION I               | 100%                  |
|                           | To conduct at least 100% of the targeted 32 trainings for 2019                                       | REGION IV-B            | 75%                   |
|                           | Conduct of 100% of the 52 trainings targeted for 2019  | REGION VI              | 89.6%                 |
|                           | To achieve 100% implementation of Tourism Industry Skills Training modules for year 2019             | REGION VII             | 100%                  |
|                           | Conduct 100% of the targeted manpower trainings for 2019   | REGION IX              | 98%                   |
|                           | To conduct at least 100% of the targeted 43 manpower trainings for 2019                              | REGION XI              | 130%                  |

As of October 2019

Table 14 shows that Regions I, VII, and NCR have achieved 100% of their quality objectives for 2019. Meanwhile, other training activities are yet to be conducted for OIMD, Regions IV-B, VI, and 9. There was an over accomplishment for Region XI due to the downloaded fund for the conduct of the Tourism Industry Skills Program.

**Table 15 : Quality Objectives for Support to Operations**

| <b>PROCESS</b>         | <b>QUALITY OBJECTIVE</b>   | <b>OFFICE/DIVISION</b>          | <b>ACCOMPLISHMENT</b>   |
|------------------------|--|---------------------------------|---|
| Budget Monitoring      | 100% of required monthly financial reports submitted on the prescribed time for 2019 | Budget Division                 | 100% of required monthly financial reports from January to October 2019 are submitted on the prescribed time. |
| Procurement            | 100% of requests processed for procurement within 5 to 15 working days for 2019      | Procurement Management Division | 100% of requests processed for procurement within 5 to 15 working days for 2019                               |
| Maintenance and Repair | Accomplish 100% of incoming requests for 2019  | General Services Division       | 100% of incoming requests for January to October 2019 were acted upon   |
| Supplies               | Accomplish 100% of incoming requests for 2019  | General Services Division       | 100% of incoming requests for January to October 2019 were acted upon   |
| Inventory and Disposal | Accomplish 100% of scheduled inventory, appraisal, and disposal for 2019.            | General Services Division       | 100% of scheduled inventory, appraisal and disposal from January to October 2019 were accomplished.           |

The Quality Objectives set for the Support to Operations were achieved as of October 2019. An updated status of their accomplishment for Fiscal Year 2019 shall be presented on the next Management Committee/ Management Review Meeting to assess the commitments/targets set by the Operating Units.

c. Process performance and conformity of products and services

- i. Tourism Policy Formulation and Planning Program – an overperformance on the number of tourism strategies, policies, and action plans had occurred due to the increase in the number of Programs, Activities, and Projects targeting the implementation of tourism plans in support of the administration’s thrust and international policies.

| TOURISM POLICY AND PLANNING PROGRAM                                     | 2019   |        |                              |
|---|--------|--------|------------------------------|
|   | TARGET | ACTUAL | PERCENTAGE OF ACCOMPLISHMENT |
| <i>Outcome Indicator</i>  |        |        |                              |
| Number of tourism strategies, policies and action plans implemented     | 6      | 11     | 183%                         |
| <i>Output Indicator</i>   |        |        |                              |
| Number of technical assistance provided to tourism stakeholders         | 3,353  | 1,781  | 53%                          |
| Number of technical assistance provided to LGUs                         | 2,961  | 1,978  | 67%                          |
| Percentage of entities assisted who rated the technical as satisfactory | 92%    | 97%    | 5% higher than target        |

As of 3<sup>rd</sup> Quarter 2019

- ii. Tourism Industry Training Program – the underperformance on the number of the training days delivered was attributed to shortened training days. There was also an increase on the number of Local Government Units trained due to their express intent on the trainings conducted by the DOT.

| TOURISM INDUSTRY TRAINING PROGRAM   | 2019   |        |                              |
|---|--------|--------|------------------------------|
|   | TARGET | ACTUAL | PERCENTAGE OF ACCOMPLISHMENT |
| <i>Outcome Indicator</i>  |        |        |                              |
| Percentage of target industry personnel trained that rated the services as satisfactory | 90%    | 96%    | 6% higher than target        |
| <i>Output Indicator</i>   |        |        |                              |
| Number of training days delivered   | 3,763  | 870    | 23%                          |
| Percentage of attendees/ trainees that completed the training                           | 90%    | 98%    | 8% higher than target        |
| Number of LGUs trained  | 2,438  | 4,736  | 194%                         |

As of 3<sup>rd</sup> Quarter 2019

- iii. Standards Development and Enforcement Program – obtained a 10% increase accomplishment on the percentage of Accredited Tourism Enterprises that maintained the tourism standards and regulations due to the continuous compliance of DOT accredited tourism enterprises with the standards set by the Department. However, there is a decrease on the actual performance on the number of inspections of tourism enterprises due to the change in policy wherein the validity of accreditation was lengthened. Hence, with the efficiency of the Accreditation Officers and with the implementation of the Progressive Accreditation System, the Department able to surpass our target on the percentage of accreditation applications acted upon within the prescribed period.

| STANDARD DEVELOPMENT AND ENFORCEMENT PROGRAM   | 2019   |        |                              |
|--|--------|--------|------------------------------|
|  | TARGET | ACTUAL | PERCENTAGE OF ACCOMPLISHMENT |
| <i>Outcome Indicator</i>   |        |        |                              |
| Percentage of accredited tourism enterprises that maintained the tourism standards and regulations | 90%    | 100%   | 10% higher than target       |
| <i>Output Indicator</i>  |        |        |                              |
| Number of tourism enterprises reviewed   | 2      | 6      | 300%                         |
| Number of inspections of tourism enterprises conducted   | 6,076  | 2,562  | 42%                          |
| Percentage of accreditation applications acted upon within the prescribed period                   | 90%    | 98%    | 8% higher than target        |

As of 3<sup>rd</sup> Quarter 2019

- iv. Market and Product Development Program – an overperformance was obtained on the targets for the Market and Product Development Program was due to the following reasons: there is an increase in the number of activities and destinations being offered during various events hosted/organized by the DOT; Homeporting of various cruise ships, additional international print and online publications to promote various event hosted/organized by DOT; and increased interest of private stakeholders in Philippine travel products.

| MARKET AND PRODUCT DEVELOPMENT PROGRAM  | 2019   |        |                              |
|---|--------|--------|------------------------------|
|   | TARGET | ACTUAL | PERCENTAGE OF ACCOMPLISHMENT |
| <i>Outcome Indicator</i>  |        |        |                              |
| Percentage increase in the number of travel partners selling the Philippines in Identified Opportunity Markets  | 10%    | 10%    | 100%                         |
| Percentage increase in the Philippine properties considering to venture into the new markets and/or are willing to offer new activities                       | 10%    | 10%    | 100%                         |
| <i>Output Indicator</i>   |        |        |                              |
| Number of trade development/trade support activities conducted/facilitated-invitational/familiarization tours/missions product presentations facilitated      | 125    | 105    | 84%                          |
| Number of consumer activations conducted-joint and consumer promotions, production of collaterals, tactical ads placed/initiated, PR and publicity activities | 120    | 143    | 119%                         |
| Number of products developed and product partners engaged   | 155    | 749    | 483%                         |



*d. Nonconformities and corrective actions*

The table below presents the sources of Corrective Action Requests with its corresponding status in connection with the conduct of the Internal Quality Audits for 2019 and Documentation Review. The table shows that nonconformities issued during the internal quality audits are still open and is subject to the validation of closure.

| Source of CAR          | Number of Issued CARs | Closed CARs | Open CARs |
|------------------------|-----------------------|-------------|-----------|
| Internal Quality Audit | 19                    | 13          | 6         |
| Documentation Review   | 3                     | 0           | 3         |
| Total                  | 22                    | 0           | 22        |

**Table 16 : Percent Distribution of Corrective Action Requests issued per Office**

| OFFICE/DIVISION                            | NO. OF CORRECTIVE ACTION REQUESTS ISSUED | PERCENT DISTRIBUTION |
|--|--|----------------------|
| Office of Tourism Standards and Regulation | 4  | 11.11%               |
| Office of Industry Manpower Development    | 1  | 2.78%                |
| Internal Audit Service                     | 2  | 5.56%                |
| Tourism Development Planning Division      | 1  | 2.78%                |
| Training Development Division              | 2  | 5.56%                |
| General Services Division                  | 2  | 5.56%                |
| Human Resource Division                    | 3  | 8.33%                |
| Records and Communication Section          | 3  | 8.33%                |
| NCR  | 1  | 2.78%                |
| Region I                                   | 7  | 19.44%               |
| Region IV-B                                | 4  | 11.11%               |
| Region VI                                  | 1  | 2.78%                |
| Region VII                                 | 2  | 5.56%                |
| Region IX                                  | 0  | 0%                   |
| Region XI                                  | 4  | 11.11%               |
| <b>TOTAL</b>                               | <b>37</b>                                |                      |

e. Audit Result

The table below shows the details of the Corrective Action Requests issued by the Internal Quality Auditors and Document Control Custodian/ Document Control Assistants.

| <b>CAR NUMBER</b> | <b>CAR DETAILS</b>   | <b>OFFICE/DIVISION</b>                     | <b>STATUS</b> |
|-------------------|--|--|---------------|
| 2019-AUD-016-00   | The processing period for the application of Eastwood Richmond Hotel took them forty-three (43) days from the receipt of letter request for star rating on March 11, 2019 up to the release of assessment result dated May 15, 2019.   | Office of Tourism Standards and Regulation | OPEN          |
| 2019-AUD-017-00   | There was no preventive maintenance schedule presented as the procedure requires preventive maintenance at planned intervals. The vehicles must undergo regular and routine maintenance instead of repair only when needed.  | Region 4B                                  | OPEN          |
| 2019-AUD-018-00   | The auditee has not provided a semi-annual assessment of external providers. There is also no list of approved suppliers for January - June 2019. The lack of assessment of providers and list of approved suppliers might adversely affect the organization's ability to consistently deliver conforming services to its customers. | Region 4B                                  | OPEN          |
| 2019-AUD-018-01   | Recar  | Region 4B                                  | OPEN          |
| 2019-AUD-019-00   | In the course of the audit and upon checking the recording of payments made in the indices, the Index of Payment were not updated.   | Region 1                                   | OPEN          |

| <b>CAR NUMBER</b> | <b>CAR DETAILS</b>   | <b>OFFICE/DIVISION</b>                     | <b>STATUS</b> |
|-------------------|--|--|---------------|
| 2019-AUD-020-00   | Mr. Bonn Derryl Pugal, the personnel currently in-charge of the office's procurement has no official designation as such. Mr. Pugal belongs to the Planning Division.  | Region 1                                   | OPEN          |
| 2019-AUD-021-00   | The Regional Office's Accounting System has bogged down since March 2019, and the Regional Accountant, Mr. Jestoni G. Bonite (Job Order employee-CPA) could not generate the Financial Statements for the period January to July 2019.   | Region 1                                   | OPEN          |
| 2019-AUD-022-00   | The Citizen's Charter posted for the information of the public was printed with very small letters thus, unreadable, especially when a client would like to know and read the procedures on accreditation. The forms required in the application for accreditation were also not completely accomplished. The spaces for the signatories were not signed by the signing authorities. | Region 1                                   | OPEN          |
| 2019-AUD-023-00   | The financial reports for submission every 10th of the succeeding month are not submitted on time to the concerned agency. E.g. Commission on Audit  | Region 1                                   | OPEN          |
| 2019-AUD-024-00   | The RSMI submitted by the Supply Officer is not being reconciled with the Accounting book balance  | Region 1                                   | OPEN          |
| 2019-AUD-025-00   | The Standards Monitoring and Enforcement Division was found to have been not using the official form numbers assigned to the Audit Checklists for Apartment Hotels and Audit Checklists for Hotels in some of their monitoring and inspection activities.  | Office of Tourism Standards and Regulation | OPEN          |
| 2019-AUD-026-00   | The Records and Communication Section was found to have been using a revised Control Slip for Public Announcement that was not registered.   | Records and Communications Section         | OPEN          |
| 2019-AUD-027-00   | NCR Procurement Unit was found to have been using a revised Abstract of Canvass  | DOT NCR                                    | OPEN          |

| <b>CAR NUMBER</b> | <b>CAR DETAILS</b>   | <b>OFFICE/DIVISION</b>                  | <b>STATUS</b> |
|-------------------|--|---|---------------|
| 2019-AUD-028-00   | Samples obtained shows requests received during the Mobile Accreditation in September 2019 which were still in the "For Inspection" status. The prescribed timeframe is too short for the region to comply, since during their conduct of mobile accreditation, they would usually receive more than 200 applications (establishments situated far from each other) which would have to undergo the entire accreditation process, and there are only two Accreditation Officers in the region. | Region I                                | OPEN          |
| 2019-AUD-029-00   | it was found out that some Requisition and Issue Slips (RIS) for some of the issued materials and supplies, were not signed by the Regional Director and Stock Cards (SC) were not updated accordingly.  | Region I                                | OPEN          |
| 2019-AUD-030-00   | Some of the forms used by OIMD were not numbered and recorded  | Office of Industry Manpower Development | OPEN          |
| 2019-AUD-31-00    | It was found out that personnel holding the plantilla positions in the Tourism Regulation Division as Senior Tourism Operations Officer and Tourism Operations Officer II, are currently functioning as a Marketing and Promotions Officer, and Executive Assistant to the Regional Director, respectively.  | Region VII                              | OPEN          |
| 2019-AUD-032-00   | At the time of the Audit the TDPD was not able to provide a feedback form for the training programs they have implemented which is a requirement on their procedure  | Region IV-B                             | OPEN          |
| 2019-AUD-033-00   | The Inspection Checklist for Mabuhay Accommodation were not properly filled out. Most of the items missed were mandatory requirements for Accreditation of Mabuhay Accommodation such as Professional Security, Designated PWDs, and others.   | Region IV-B                             | OPEN          |
| 2019-AUD-034-00   | There was no preventive maintenance schedule presented as the procedure requires preventive maintenance at planned intervals. The vehicles must undergo regular and routine maintenance instead of repair only when needed.  | Region 6                                | OPEN          |

Updated as of 20 November 2019

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f. Monitoring and Measuring Result

Figure 1 : Visitor Arrivals as of September 2019

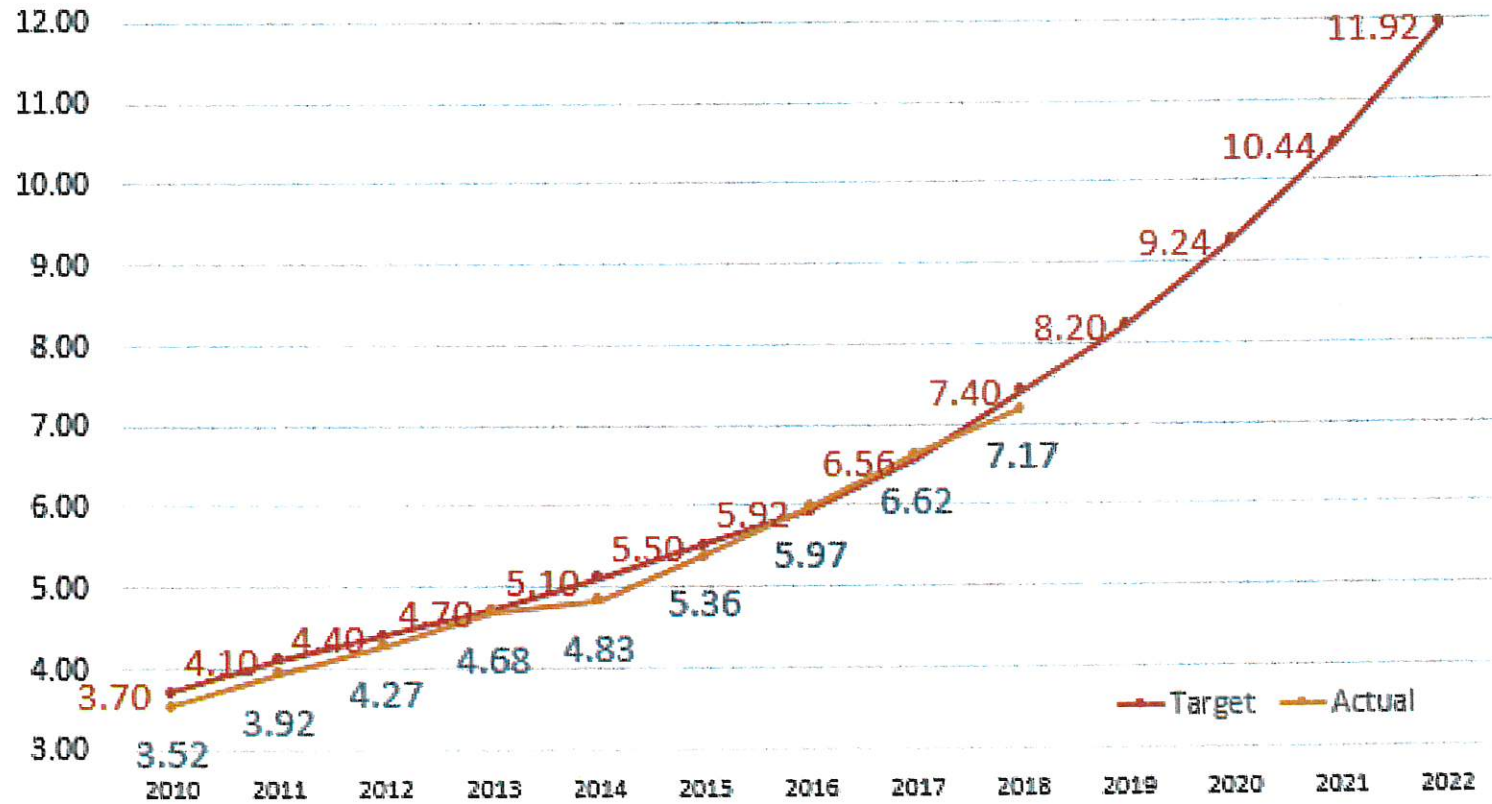


Figure 1 presents the statistics on the Visitor Arrivals to the Philippines with reference to the National Tourism Development Plan (2010-2022) vis-à-vis arrivals to the country for the period 2010-2018.

**Figure 2 : Inbound Visitor Arrivals to the Philippines for January to September 2019**

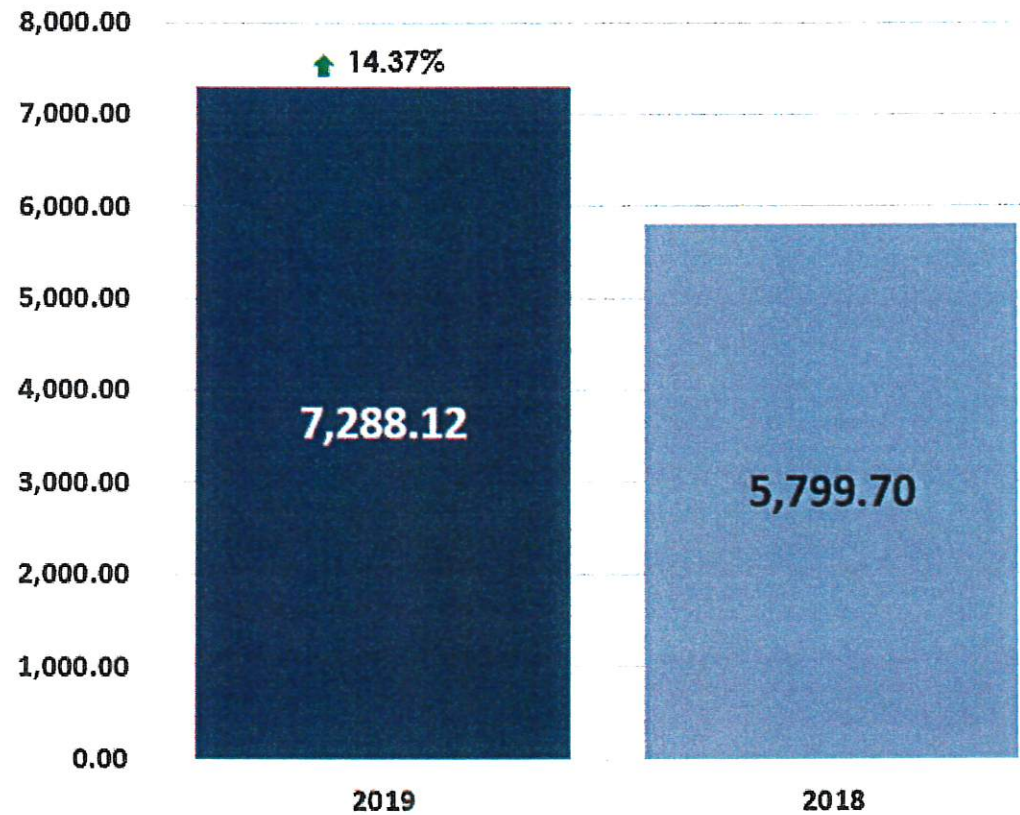


Figure 2 shows the total inbound visitor arrivals to the Philippines from January to September 2019. This data is based from the Arrival/Departure Cards and Shipping Manifests by the Bureau of Immigration.

Figure 3 : 2019 Targets for Top 12 Visitor Markets

|                    |                | Actual 2018      | Target for 2019  | Actual<br>Jan-Sept 2019 |                | Target for<br>October-December 2019 |                 |
|--------------------|----------------|------------------|------------------|-------------------------|----------------|-------------------------------------|-----------------|
| 1                  | Korea          | 1,624,251        | 1,796,084        | 1,450,792               | 80.76          | 345,292                             | 19.24           |
| 2                  | China          | 1,257,962        | 1,633,538        | 1,359,817               | 83.24          | 273,721                             | 16.76           |
| 3                  | USA            | 1,034,471        | 1,110,330        | 792,619                 | 71.39          | 317,711                             | 28.61           |
| 4                  | Japan          | 631,821          | 685,010          | 518,211                 | 75.65          | 166,799                             | 24.35           |
| 5                  | Taiwan         | 242,411          | 310,346          | 252,578                 | 81.39          | 57,768                              | 18.61           |
| 6                  | Australia      | 279,828          | 307,450          | 203,071                 | 66.05          | 104,379                             | 33.95           |
| 7                  | Canada         | 226,446          | 269,329          | 171,670                 | 63.74          | 97,659                              | 36.26           |
| 8                  | United Kingdom | 201,044          | 218,353          | 153,281                 | 70.20          | 65,072                              | 29.80           |
| 9                  | Singapore      | 171,796          | 174,662          | 118,554                 | 67.88          | 56,108                              | 32.12           |
| 10                 | Malaysia       | 145,246          | 152,600          | 106,078                 | 69.51          | 46,522                              | 62.61           |
| 11                 | India          | 121,124          | 131,423          | 102,467                 | 77.97          | 28,956                              | 22.03           |
| 12                 | Germany        | 92,090           | 108,341          | 74,423                  | 68.69          | 33,918                              | 31.31           |
| Subtotal of Top 12 |                | 6,028,490        | 6,897,466        | 5,303,561               | 76.89          | 1,593,905                           | 23.11%          |
| Others             |                | 1,139,977        | 1,302,534        | 857,942                 | 65.87          | 444,592                             | 34.13%          |
| <b>TOTAL</b>       |                | <b>7,168,467</b> | <b>8,200,000</b> | <b>6,161,503</b>        | <b>75.14%*</b> | <b>2,038,497</b>                    | <b>24.86%**</b> |

\* Percentage of actual arrivals

\*\* Percentage remaining to reach the target

**Figure 4 : Inbound Visitor Receipts**

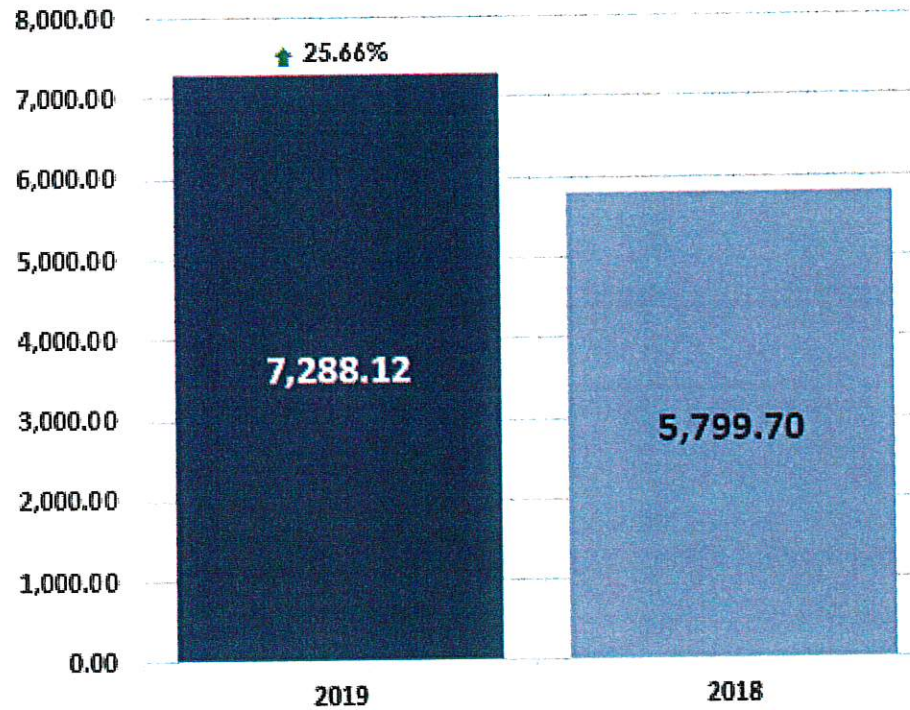


Figure 4 shows inbound visitor receipts of the Philippines from the period January to September 2019. There is a 25.66% increase in the visitor receipts compared to 2018. It is important to note that the figure is only an initial Tourist Receipt computation and is subject to adjustment.



*g. Internal Audit Status*

| ISO 9001:2015 ELEMENTS   | OTSR | OIMD | HRD | TDD | TDPD | IAS | RECORDS | GSD | NCR | R1 | R4B | R6 | R7 | R9 | R11 | TOTAL |
|--|------|------|-----|-----|------|-----|---------|-----|-----|----|-----|----|----|----|-----|-------|
| 4.0 Context of the Organization                                    |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 4.1 Understanding the Org. and Its Context                         |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 4.2 Understanding the needs and expectations of interested parties |      |      |     | 1   |      |     |         | 1   |     |    |     |    |    |    |     | 2     |
| 4.3 Determining the scope of the Quality Management System         |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 4.4 Quality Management System and its processes                    |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 5.0 Leadership   |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 5.1 Leadership and Commitment                                      |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 5.1.1 General  |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 5.1.2 Customer Focus   |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 5.2 Policy   |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 5.2.1 Establishing the quality policy                              |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 5.2.2 Communicating the Quality Policy                             |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 5.3 Organizational roles, responsibilities and authorities         |      |      |     | 1   |      | 1   |         |     |     | 1  |     |    | 2  |    | 1   | 6     |
| 6.0 Planning   |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 6.1 Actions to address risk and opportunities                      |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 6.2 Quality objectives and planning to achieve them                |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |
| 6.3 Planning of Changes  |      |      |     |     |      |     |         |     |     |    |     |    |    |    |     |       |

|  |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
|--|---|---|---|---|---|--|---|--|---|---|---|---|---|--|--|---|---|
| 7.0 Support  |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 7.1 Resources  |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 7.1.1 General  |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 7.1.2 People   |   |   |   |   |   |  |   |  |   |   |   |   | 1 |  |  |   | 1 |
| 7.1.3 Infrastructure   |   |   | 1 |   |   |  |   |  | 1 |   |   |   |   |  |  |   | 2 |
| 7.1.4 Environment for the operation of processes             |   |   |   | 2 |   |  |   |  | 2 |   |   |   |   |  |  |   | 4 |
| 7.1.5 Monitoring and measuring resources                     |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 7.1.6 Organizational Knowledge                               |   |   |   |   | 1 |  |   |  |   |   |   |   |   |  |  |   | 1 |
| 7.2 Competence   |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 7.3 Awareness  |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 7.4 Communication  |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 7.5 Documented Information                                   |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 7.5.1 General  |   | 1 |   |   |   |  |   |  |   |   |   |   |   |  |  |   | 1 |
| 7.5.2 Creating and Updating                                  |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 7.5.3 Control of Documented Information                      |   | 2 |   |   |   |  |   |  |   |   |   |   |   |  |  |   | 2 |
| 8 Operation  |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 8.1 Operational planning and control                         | 1 |   |   |   |   |  |   |  |   | 4 | 1 | 1 |   |  |  | 1 | 8 |
| 8.2. Requirements for products and services                  |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |
| 8.2.1 Customer Communication                                 |   |   |   |   | 1 |  |   |  |   | 2 |   |   |   |  |  |   | 3 |
| 8.2.2 Determining the requirements for products and services | 1 |   |   |   |   |  | 1 |  |   |   |   |   |   |  |  |   | 2 |
| 8.2.3 Review of the requirements for products and services   |   |   |   |   |   |  |   |  |   |   |   |   |   |  |  |   |   |

|   |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
|---|---|--|---|--|--|--|---|--|--|---|--|--|--|--|---|---|--|
| 8.2.4 Changes to requirements for products and services             |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.3 Design and development of products and services (NA)            |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.4 Control of externally provided processes, products and services |   |  |   |  |  |  | 1 |  |  | 1 |  |  |  |  | 1 | 3 |  |
| 8.4.1 General   |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.4.2 Type and extent of control                                    |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.4.3 Information for external providers                            |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.5 Production and service provision                                |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.5.1 Control of production and service provision                   |   |  | 2 |  |  |  |   |  |  |   |  |  |  |  | 1 | 3 |  |
| 8.5.2 Identification and traceability                               |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.5.3 Property belonging to customers or external providers         |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.5.4 Preservation  |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.5.5 Post- delivery activities                                     |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.5.6 Control of changes  |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.6 Release of products and services                                |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 8.7 Control of nonconforming outputs                                | 1 |  |   |  |  |  |   |  |  |   |  |  |  |  |   | 1 |  |
| 9 Performance evaluation  |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 9.1 Monitoring, measurement, analysis and evaluation                |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 9.1.1 General   |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 9.1.2 Customer satisfaction   |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 9.1.3 Analysis and evaluation                                       |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 9.2 Internal Audit  |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |
| 9.3 Management Review   |   |  |   |  |  |  |   |  |  |   |  |  |  |  |   |   |  |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |           |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|-----------|
| 9.3.1 General                            |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |           |
| 9.3.2 Management review inputs           |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |           |
| 9.3.3 Management review outputs          |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |           |
| 10 Improvement                           |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |           |
| 10.1 General                             |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |           |
| 10.2 Nonconformity and corrective action |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |           |
| 10.3 Continual improvement               |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |           |
| <b>TOTAL</b>                             |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  | <b>39</b> |

*h. The performance of external providers*

**Table 17 : Performance Evaluation of Suppliers and Service Providers**

| OFFICE         | EVALUATION FORMS |           | RESPONSE RATE | RATING              |                         |                       |
|----------------|------------------|-----------|---------------|---------------------|-------------------------|-----------------------|
|                | DISTRIBUTED      | COLLECTED |               | PASSED<br>(75-100%) | CONDITIONAL<br>(70-74%) | FAILED<br>(Below 69%) |
| Central Office | N/A              | 111       | N/A           | 106                 | 3                       | 2                     |
| NCR            | 120              | 120       | 100%          | 120                 | 0                       | 0                     |
| REGION I       | 120              | 120       | 100%          | 120                 | 0                       | 0                     |
| REGION IV-B    | 186              | 186       | 100%          | 70                  | 0                       | 0                     |
| REGION VI      | 63               | 63        | 100%          | 63                  | 0                       | 0                     |
| REGION VII     | 78               | 78        | 100%          | 76                  | 2                       | 0                     |
| REGION IX      | N/A              | N/A       | N/A           | N/A                 | N/A                     | N/A                   |
| REGION XI      | 80               | 80        | 100%          | 59                  | 0                       | 0                     |

The DOT Central Office and Regional Offices have conducted the performance evaluation of suppliers and service providers to measure their compliance with the requirements of the Operating Units. As for the DOT Central Office, the total number of evaluation of forms cannot be determined since the process is subject for revision and approval. Region IX is yet to conduct their assessment of external providers since it is implemented on a semi-annual basis. Data shall be presented on the next Management Review Meeting.

**Table 18 : Performance Evaluation of Third Party Assessors**

| QUARTER | NO. OF CONDUCTED AUDITS (NEW) | NO. OF FEEDBACK FORMS RECEIVED | RESPONSE RATE | AVERAGE RATING (SCALE 1-10) |
|---------|-------------------------------|--------------------------------|---------------|-----------------------------|
| FIRST   | 1                             | 1                              | 50%           | 10                          |
| SECOND  | 6                             | 9                              | 75%           | 10                          |
| THIRD   | 13                            | 26                             | 100%          | 10                          |
| FOURTH  | 1                             | 2                              | 50%           | 10                          |

Table 16 presents the results of the performance evaluation of Third Party Assessors (TPA) who have rendered services from January to October 2019. Each TPA was evaluated by the SMED Officer and the Regional Accreditation Officer. Hence, two (2) TPA Evaluation Forms must be accomplished for each new audit.

**Table 19 : Performance Evaluation of Resource Speakers**

| RATING            |            | NUMBER OF SPEAKERS |
|-------------------|------------|--------------------|
| SATISFACTORY      | 90% - 100% | 96                 |
| VERY GOOD         | 85 % - 89% | 3                  |
| GOOD              | 76% - 84%  | 0                  |
| NEEDS IMPROVEMENT | Below 75%  | 0                  |

Table 19 shows that 100% of speakers conducted industry trainings passed on the performance evaluation conducted.

*h. Review on the adequacy of resources*

- Adequacy of Manpower

**Table 20 : Status of Hiring**

| Date of Publication | No. of Positions published | Status of Appointments   | Remarks  |
|---------------------|----------------------------|--|--|
| 11 Jan 2019         | 57 positions               | <ul style="list-style-type: none"> <li>• 36 appointments processed</li> <li>• 13 deferred</li> </ul>   | 8 positions have no qualified applicants republished in April and May 2019   |
| 24 Apr 2019         | 61 positions               | <ul style="list-style-type: none"> <li>• 8 appointments processed</li> <li>• 7 deferred</li> <li>• 11 positions done with panel interview and deliberation, awaiting final decision/selection of the appointing authority</li> <li>• 13 positions done with panel interview and is for endorsement to the appointing authority</li> <li>• 3 positions done with panel interview but still for deliberation</li> <li>• 18 positions for panel interview and deliberation</li> </ul> | <ul style="list-style-type: none"> <li>• To finish panel interview and deliberation by end of Nov 2019</li> <li>• 1 position has no qualified applicant</li> <li>• Actions for filling-up must be completed by 23 Jan 2020 (lapse of publication)</li> </ul> |
| 14 May 2019         | 9 positions                | <ul style="list-style-type: none"> <li>• 1 appointment processed</li> <li>• 1 position done with HRMPSB deliberation, awaiting final decision/selection of the appointing authority</li> <li>• 5 position done with panel interview and deliberation, and is for endorsement to the appointing authority</li> <li>• 2 deferred</li> </ul>  | <ul style="list-style-type: none"> <li>• To finish panel interview by end of Nov 2019</li> <li>• Actions for filling up must be completed by 14 Feb 2020 (lapse of publication)</li> </ul>   |

As of October 31, 2019, there are 127 vacant posts. 45 were appointments issued (35%) and 12 positions with appointments are expected to be issued. These were deliberated and endorsed by the Human Resource Management Promotions and Selection Board to the appointing authority, awaiting final selection (9%) which will make 44% of the vacant positions to be filled up by Feb 2020. In addition, 18 positions were already deliberated and will be endorsed to the appointing authority. There are 27 positions undergoing deliberation with the HRMPSB, 22 positions deferred, and there are also 9 positions with no qualified applicants. **(Refer to Annex E for the Regular and Job Oder Manpower Complement).**

- Trainings (Knowledge)

**Table 21 : Status of Training Implementation**

| TITLE OF TRAINING   | STATUS  |
|---|---|
| 1. Values Orientation Workshop  | <ul style="list-style-type: none"> <li>• Implemented on 7-9 August 2019</li> <li>• 29 out of 30 participants completed the program</li> </ul>   |
| 2. New Employees Orientation Program                                  | <ul style="list-style-type: none"> <li>• Implemented</li> <li><input type="checkbox"/> 1st run on 13-16 August 2019 with 15 out of 30 participants completed the program</li> <li><input type="checkbox"/> 2nd run on 22-25 October 2019 with 30 out 30 participants completed the program</li> </ul> |
| 3. Seminar-Workshop on Basic Records and Archives Management          | <ul style="list-style-type: none"> <li>• Implemented on 19-22 Feb 2019</li> <li>• 34 participants completed the program</li> </ul>  |
| 4. Effective Written Communication/ Technical Writing Skills Workshop | <ul style="list-style-type: none"> <li>• Implemented on 16-18 Jul 2019</li> <li>• 30 participants completed the program</li> </ul>  |
| 5. Effective Oral Communication                                       | <ul style="list-style-type: none"> <li>• Implemented on 4-6 Sep 2019</li> <li>• 27 out of 30 participants completed the program</li> </ul>  |
| 6. Project Planning and Management Seminar/Workshop                   | <ul style="list-style-type: none"> <li>• Implemented on 13-14 June 2019</li> <li>• 30 out of 32 participants completed the program</li> </ul>   |
| 7. Competency Building Program  | <ul style="list-style-type: none"> <li>• Implemented on 7-11 Jan 2019 (3rd run) and 14-18 Jan 2019 (4th run)</li> <li>• Participated and completed by 60 personnel of the Department.</li> </ul>  |



| TITLE OF TRAINING   | STATUS   |
|---|--|
| 8. Supervisory Development Course Track 1   | <ul style="list-style-type: none"> <li>• Implemented on 2-5 Apr 2019</li> <li>• 24 out of 25 participants completed the program</li> </ul>   |
| 9. Supervisory Development Course Track 2 and 3   | <ul style="list-style-type: none"> <li>• Implemented on 23-26 Jul 2019</li> <li>• 27 out of 28 participants completed the program.</li> </ul>  |
| 10. Local Programs (offered by CSC, DAP, CESB, HURIS, AGIA, PAGBA and other training providers/institutions)  | <ul style="list-style-type: none"> <li>• 50 external training programs/scholarship grant (local) were facilitated by TDD benefiting 143 personnel of the Department with a total expenditure of PhP 736,178.75 for the period 1 Jan – 15 Nov 2019</li> </ul> |
| 11. Foreign Training Program (offered by JICA/JICE, Malaysian Technical Coop. Program, Indian Technical and Economic Cooperation program, UNWTO and others) | <ul style="list-style-type: none"> <li>• 2 foreign scholarship grant were facilitated endorsing 4 nominees from the Department (re: Japanese Program and Korean Tourism Program)</li> </ul>  |
| 12. 2019 International Internship Program (CHUO University of Tokyo, Japan)   | <ul style="list-style-type: none"> <li>• Implemented on September 11-13, 2019 with 14 participants completing the program.</li> </ul>  |
| 13. Students Internship Program (Local)   | <ul style="list-style-type: none"> <li>• 150 local students interns in the Department</li> </ul>   |
| 14. 2018 DOT Sports fest Awarding Ceremony  | <ul style="list-style-type: none"> <li>• Implemented on 25 Jan 2019.</li> </ul>  |

| TITLE OF TRAINING  | STATUS  |
|--|---|
| 15. 2018 AS Year-End Assessment                                  | <ul style="list-style-type: none"> <li>Facilitated the conduct of AS-Year-end Assessment with 69 employees participated in the said assessment</li> </ul> |
| 16. Public Service and Accountability (PSEA)                     | <ul style="list-style-type: none"> <li>Implemented on 3-4 Oct 2019</li> <li>30 participants completed the program</li> </ul>                              |
| 17. Talakayan Series (Seminar echoing)                           | <ul style="list-style-type: none"> <li>Implemented the initial run on 25 Sep 2019</li> <li>2nd run will be implemented on Dec 2019.</li> </ul>            |
| 18. Coaching and Mentoring Seminar/Workshop                      | <ul style="list-style-type: none"> <li>For implementation on the 1st Quarter of 2020</li> </ul>   |
| 19. Documents Management System (DMS) Training for DOT Employees | <ul style="list-style-type: none"> <li>For implementation on 27-28 Nov 2019</li> </ul>  |
| 20. EngAGE: Enriching the lives of DOT Senior Citizens           | <ul style="list-style-type: none"> <li>For implementation on 27-29 Nov 2019</li> </ul>  |
| 21. Disaster Risk Reduction Seminar/Training for DOT Employees   | <ul style="list-style-type: none"> <li>For implementation on 4-6 Dec 2019</li> </ul>  |

Data shows the Status of Training Programs implemented to continuously upgrade skills and knowledge of DOT Employees and Officials. 17 out of 21 trainings were already conducted. Meanwhile, the remaining 4 trainings targeted were scheduled from November to December 2019 respectively.

- Status of Funds (Financial Resources) as of 30 September 2019

| <b>PARTICULARS</b>                     | <b>APPROPRIATIONS</b>   | <b>ALLOTMENTS</b>       | <b>OBLIGATIONS</b>      | <b>BALANCE</b>          | <b>%<br/>UTILIZATION</b> |
|--|-------------------------|-------------------------|-------------------------|-------------------------|--------------------------|
| Personnel Services                     | 575,026,000.00          | 553,142,211.00          | 402,987,581.26          | 150,154,629.74          | 73%                      |
| Maintenance & Other Operating Expenses | 2,504,217,000.00        | 2,486,217,000.00        | 800,323,620.52          | 1,685,893,379.48        | 32%                      |
| Financial Expenses                     | 3,580,000.00            | 3,580,000.00            | 1,694,909.54            | 1,885,090.46            | 47%                      |
| Capital Outlays                        | 32,465,000.00           | 13,465,000.00           | 4,995,000.00            | 8,470,000.00            | 37%                      |
| Special Account in the General Fund    | 4,578,000.00            | -                       | -                       | -                       | 0%                       |
| <b>GRAND TOTAL</b>                     | <b>3,119,866,000.00</b> | <b>3,056,404,211.00</b> | <b>1,210,001,111.32</b> | <b>1,846,403,099.68</b> | <b>40%</b>               |

| Particulars  | Appropriations | Allotments     | Current Year Obligations | Balances      | % Utilization |
|--|----------------|----------------|--------------------------|---------------|---------------|
| General Administrative and Support                   | 720,919,000.00 | 685,640,123.35 | 603,499,728.08           | 82,140,395.27 | 88%           |
| General Management and Supervision                   | 361,109,000.00 | 352,241,494.44 | 272,946,047.54           | 79,295,446.90 | 77%           |
| Human Resource and Development                       | 5,715,000.00   | 5,715,000.00   | 3,309,184.35             | 2,405,815.65  | 58%           |
| Administration of Personnel Benefits                 | 27,238,000.00  | 826,628.91     | 826,627.24               | 1.67          | 100%          |
| Operation and Maintenance of Foreign Office          | 326,857,000.00 | 326,857,000.00 | 326,417,868.95           | 439,131.05    | 100%          |
| Support to Operation                                 | 63,767,000.00  | 129,204,563.30 | 63,132,764.27            | 66,071,799.03 | 49%           |
| Media and Communication Service                      | 21,451,000.00  | 21,078,000.00  | 12,011,202.94            | 9,066,797.06  | 57%           |
| Legal Services                                       | 9,834,000.00   | 12,375,375.25  | 10,921,978.19            | 1,453,397.06  | 88%           |
| Legislation, Policy Coordination and Special Concern | 31,990,000.00  | 31,990,000.00  | 9,399,135.92             | 22,590,864.08 | 29%           |
| Resource Generation Services                         | 492,000.00     | 492,000.00     | -                        | 492,000.00    | 0%            |

| Particulars                                     | Appropriations          | Allotments              | Current Year Obligations | Balances                | % Utilization |
|---|-------------------------|-------------------------|--------------------------|-------------------------|---------------|
| Operations                                      | 1,924,179,000.00        | 1,812,426,461.16        | 317,805,790.98           | 1,494,620,670.18        | 18%           |
| Tourism Policy Formulation and Planning Program | 160,765,000.00          | 142,349,659.12          | 55,932,049.46            | 86,417,609.66           | 39%           |
| Tourism Industry Training                       | 133,579,000.00          | 70,144,772.46           | 11,522,413.72            | 58,622,358.74           | 16%           |
| Standards Development and Enforcement Program   | 74,924,000.00           | 61,220,987.00           | 28,542,493.77            | 32,678,493.23           | 47%           |
| Project and Investment Evaluation               | 7,754,000.00            | 9,039,350.69            | 6,811,392.29             | 2,227,958.40            | 75%           |
| Market and Product Development Program          | 542,157,000.00          | 529,671,691.89          | 181,288,992.41           | 348,382,699.48          | 34%           |
| Locally-Funded Projects                         | 1,005,000,000.00        | 1,000,000,000.00        | 33,708,449.33            | 966,291,550.67          | 3%            |
| Branding Campaign                               | 1,000,000,000.00        | 1,000,000,000.00        | 33,708,449.33            | 966,291,550.67          | 3%            |
| Slow Food                                       | 3,000,000.00            | -                       | -                        | -                       | 0%            |
| Philippine Harvest                              | 2,000,000.00            | -                       | -                        | -                       | 0%            |
| Special Account in the General Fund             | 4,578,000.00            |                         |                          | -                       | 0%            |
| <b>GRAND TOTAL</b>                              | <b>2,713,443,000.00</b> | <b>2,627,271,147.81</b> | <b>984,438,283.33</b>    | <b>1,642,832,864.48</b> | <b>37%</b>    |

| <b>PARTICULARS</b>                        | <b>APPROPRIATIONS</b> | <b>ALLOTMENTS</b>     | <b>OBLIGATIONS</b>    | <b>BALANCE</b>        | <b>%<br/>UTILIZATION</b> |
|---|-----------------------|-----------------------|-----------------------|-----------------------|--------------------------|
| Personnel Services                        | 158,516,000.00        | 158,802,384.09        | 118,042,836.62        | 40,759,547.47         | 74%                      |
| Maintenance & Other<br>Operating Expenses | 228,907,000.00        | 331,508,521.08        | 231,722,413.44        | 99,786,107.64         | 70%                      |
| Financial Expenses                        | -                     | -                     | -                     | -                     | 0%                       |
| Capital Outlays                           | 19,000,000.00         | -                     | -                     | -                     | 0%                       |
| <b>GRAND TOTAL</b>                        | <b>406,423,000.00</b> | <b>490,310,905.17</b> | <b>349,765,250.06</b> | <b>140,545,655.11</b> | <b>71%</b>               |

- Status of Infrastructure

| SUBJECT                   | STATUS  |
|---------------------------|---|
| Vehicle Re-Fleeting       | <ul style="list-style-type: none"> <li>• Ongoing procurement for CY 2019</li> <li>• ABC: PhP 7.4 Million</li> <li>• 5 motor vehicles</li> </ul>   |
| DOT Transfer of Building  | <ul style="list-style-type: none"> <li>• Ocular Inspection of shortlisted possible venues/sites for transfer is scheduled on November 22, 2019.</li> </ul>  |
| Issuance of ICT Equipment | <ul style="list-style-type: none"> <li>• Done. Already issued to all concerned offices in the Central Office as of October 4, 2019.</li> <li>• ICT equipment for Regional Offices are ready for pick-up at GSD</li> </ul> |

i. The effectiveness of actions taken to address risk and opportunities

**Table 22 : Effectiveness of Action Plans to Address Opportunities**

| <b>PROCESS</b>       | <b>FOCUS AREA/<br/>BUSINESS<br/>DRIVES/INTERESTED<br/>PARTIES</b>                | <b>ACTION PLAN</b>   | <b>EFFECTIVENESS</b><br>(Is there an improvement in the process<br>after the implementation of the Action<br>Plan, if yes kindly specify result)   |
|----------------------|--|--|--|
| <b>ACCREDITATION</b> | Implementation of the Mandatory Accreditation (DILG Memorandum Circular 2019-17) | To conduct DOT Express Accreditation in key areas as a preliminary step  | Yes. There were increase in the number of applications received by the Regional Offices  |
|                      | Active and Supportive Industry Players   | To conduct Consultation with relevant stakeholders   | Yes. Conducted 3 Public Consultations for Surfing Camps and Instructors & 2 for Tour Guides to increase support and participation of Industry players.                                   |
|                      | Augmentation of Manpower   | To hire knowledgeable and adaptive Job Order personnel   | Yes, a job order personnel was hired dedicated to handling complaints solely.  |
|                      | Tourism Stakeholders in MIMAROPA   | Promote the facilities and services of tourism enterprises through the quadruple media (print, TV, radio and social) | Yes, numerous queries/bookings were received by this office and DOT Accredited Tourism Enterprises as a result of publication in major dailies last September, October and November 2019 |
|                      | Local Government Units   | Update the legislators with programs for accreditation   | Yes, accreditation is now a priority program of the local chief executives in Region 4B  |
|                      | Increase number of accredited tourism enterprises                                | Conduct of survey mapping, tourism awareness seminars, and Express Accreditation                                     | Yes. Increased the awareness of the accreditation procedure to the different stakeholders  |



| <b>PROCESS</b>                   | <b>FOCUS AREA/<br/>BUSINESS<br/>DRIVES/INTERESTED<br/>PARTIES</b> | <b>ACTION PLAN</b>   | <b>EFFECTIVENESS</b><br>(Is there an improvement in the process after the implementation of the Action Plan, if yes kindly specify result) |
|----------------------------------|---|--|--|
| <b>Industry Training Service</b> | Learning Needs Assessment, Planning & Conduct of Training         | Invitation for more tourism practitioners to be resource speakers  | Yes. Awareness of interested stakeholders encouraged them to join future DOT sponsored trainings.  |
|                                  | Measurement of Training Effectiveness                             | Invitation of tourism associations and stakeholders in the LNA Workshop  | Yes. Region 1 was able to identify the trainings needed to develop the skills of tourism stakeholders.                                     |
|                                  | Resource Speakers   | Invitation to more tourism practitioners to be Resource Speakers to participate in OIMD initiated "Train the Trainers" Seminar | Yes. Region 4B has now a total of four (4) Filipino Brand of Service trainers.   |

**Table 23 : Effectiveness of Action Plans to Address Risks**

| <b>PROCESS</b>             | <b>RISK</b>  | <b>RISK EFFECT</b>                               | <b>CONTROL</b>        | <b>ACTION PLAN</b>  | <b>EFFECTIVENESS</b><br>(Is there a recurrence of risk after the implementation of the Action Plan? If yes, kindly indicate Contingency Plan) |
|----------------------------|--|--|-----------------------|---|---|
| Monitoring and Inspections | Monitoring Visit & Spot Checks - Not taken as a priority/major program | Unrealized target for monitoring visits          | Avoid the Risk        | Implementation of new strategies for Monitoring                 | Clustering of regions with and OTSR personnel to execute the work   |
| Star Rating                | Long processing time for star rating requests                          | Difficulty in processing audit-related documents | Eliminate Risk Source | Propose revision of procedure for devolution of signatories and |   |

|                      |   |   |  | shorten the process to shorten process   |   |
|----------------------|---|---|--|--|---|
| <b>PROCESS</b>       | <b>RISK</b>   | <b>RISK EFFECT</b>                                      | <b>CONTROL</b>                               | <b>ACTION PLAN</b>   | <b>EFFECTIVENESS</b><br>(Is there a recurrence of risk after the implementation of the Action Plan? If yes, kindly indicate Contingency Plan) |
| <b>Star Rating</b>   | Lengthy processing of internal documents (long paper trail)                                     | Difficulty in processing audit-related documents        | Avoid the Risk                               | Communicate the problems with interface units  | Review of internal processes thru ARTA TWG  |
|                      | Audit Booklets being used are printed in 2013 and 2016  | Audit Booklets does not reflect ISO registration number | Change Likelihood                            | Reprinting of audit booklets to include ISO registration number                                    | N/A   |
| <b>Accreditation</b> | Limited IEC on Accreditation  | Misinterpretation of process, lack of awareness         | Eliminate Risk Source                        | Designing IECs highlighting the simplified accreditation process                                   | Accreditation Awareness Campaign  |
|                      | Difficulty in the collection of payment from different establishments                           | Delay in the process of accreditation                   | Avoid Risk                                   | Collect payment during mobile accreditation  | Follow-up the creation of an online payment system for Accreditation.   |
|                      | Compliance to the Wastewater Discharge Permit which is not attainable in a short period of time | Low turn out of accredited tourism enterprises          | Take risk for opportunity and share the risk | Seek the help of the LGUs to include the Environmental Permits in the issuance of Business Permits | Collaborate with LGUs and DENR to fast track the release of permits   |

| <b>PROCESS</b>           | <b>RISK</b>                             | <b>RISK EFFECT</b>                         | <b>CONTROL</b> | <b>ACTION PLAN</b>                               | <b>EFFECTIVENESS</b><br>(Is there a recurrence of risk after the implementation of the Action Plan? If yes, kindly indicate Contingency Plan) |
|--------------------------|---|--|----------------|--|---|
| <b>Industry Training</b> | Cost of hiring training providers       | Lack of trainers                           | Avoid Risk     | Conduct of Train the Trainers Seminar            | N/A   |
|                          | Conflict of Schedule of Speakers        | Delayed implementation of training program | Avoid Risk     | Advance notification on the schedule of training | N/A   |
|                          | Non-implementation of Training Programs | Priority Training Programs not conducted   | Avoid Risk     | Early Planning/ LNA/ Training Calendar           | N/A   |

## REVIEW OUTPUTS:

### 1. OPPORTUNITIES FOR IMPROVEMENT

Based on the discussions during the Management Review, the following are the Improvement Plans agreed upon by the Executive Committee.

| IMPROVEMENT PLANS  | OPERATING/<br>DELIVERY UNIT<br>IN-CHARGE                                  | Schedule of Implementation |                      |                      |                     |                     |
|--|---|----------------------------|----------------------|----------------------|---------------------|---------------------|
|  |   | 2019                       | 2020                 |                      |                     |                     |
|  |   | DEC                        | 1 <sup>ST</sup> QTR. | 2 <sup>ND</sup> QTR. | 3 <sup>RD</sup> QTR | 4 <sup>TH</sup> QTR |
| Formalize all concerns/<br>issues regarding<br>Accreditation   | Regional Offices  | x                          | x                    |                      |                     |                     |
| Monitor the action plans<br>implemented by Regional<br>Offices to address the<br>complaints received   | Office of Tourism<br>Standards and<br>Regulations                         |                            | x                    | x                    |                     |                     |
| Strict implementation of<br>forms registered in the<br>Quality Management System   | Office of Tourism<br>Standards and<br>Regulations<br><br>Regional Offices | x                          | x                    | x                    | x                   | x                   |
| Specify the action plans to<br>address the risks and<br>opportunities (e.g. type of<br>trainings needed to enhance<br>the skills of personnel) | Region 1  | x                          |                      |                      |                     |                     |
| Ensure corrections/corrective<br>actions are continuously<br>implemented   | All Operating Units   | x                          | x                    | x                    | x                   | x                   |
| Finalize the Training<br>Calendar and Modules for<br>FY 2020   | Office of Industry<br>Manpower<br>Development                             | x                          |                      |                      |                     |                     |

| IMPROVEMENT PLANS   | OPERATING/<br>DELIVERY UNIT<br>IN-CHARGE | Schedule of Implementation |                      |                      |                      |                      |
|---|--|----------------------------|----------------------|----------------------|----------------------|----------------------|
|   |  | 2019                       | 2020                 |                      |                      |                      |
|   |  | DEC                        | 1 <sup>ST</sup> QTR. | 2 <sup>ND</sup> QTR. | 3 <sup>RD</sup> QTR. | 4 <sup>TH</sup> QTR. |
| Increase the number of resource speakers for Industry Training Service  | Office of Industry Manpower Development  | x                          | x                    | x                    |                      |                      |
| Establish basis for selecting training beneficiaries for the conduct of the industry training impact assessment | Office of Industry Manpower Development  | x                          | x                    |                      |                      |                      |
| Provision of feedback for the repairs conducted   | General Services Division                | x                          |                      |                      |                      |                      |
| Request copies of ordering agreements with the suppliers  | Procurement Management                   | x                          |                      |                      |                      |                      |
| Monitoring on the action plans taken to address complaints against accredited tourism enterprises               | Office of Tourism Standards Regulations  | x                          | x                    | x                    | x                    | x                    |

## 2. ANY NEED FOR CHANGES OF THE QMS

To conduct Strategic Planning Session to identify Regional Offices which will be assisted towards the implementation of the Quality Management System and ensure their successful ISO 9001:2015 Certification. In addition, increase the number of Internal Quality Auditors to ascertain the compliance of the process owners with the established procedures.

## 3. RESOURCES NEEDED

The implementation of the QMS will also require the augmentation of resources which will include budget for the continuous implementation of the QMS in the DOT. Although there were three (3) Job Orders hired to handle the QMS project, provision of regular plantilla positions for QMS is necessary to ensure the continuity of the project.