



INSURANCE COMMISSION



# INSURANCE COMMISSION CITIZEN'S CHARTER

2022 (First Edition)

[www.insurance.gov.ph](http://www.insurance.gov.ph)



## FOREWORD

The Insurance Commission (IC), in accordance with the requirements of Republic Act No. 11032, otherwise known as the Ease of Doing Business and Efficient Government Service Delivery Act of 2018, has prepared the IC Citizen's Charter Revision 2022.

In keeping with its mandate to regulate and supervise the Insurance, Pre-Need and Health Maintenance Organization (HMO) industries, and in its pursuit of excellence and quality service, the IC has streamlined its frontline and non-frontline services, and standardized the services commonly provided in IC Main Office – Manila, IC District Office – Cebu, and IC District Office – Davao.

The Citizen's Charter is testament to IC's commitment to render a more efficient delivery of its services and eradicating red tape by reducing turnaround time (working days) and optimizing procedures.

This Charter – helmed in by the collective effort of all units and personnel of the Commission – shall serve as a guide, companion and aide to the stakeholders for the smooth and expeditious processing of all request and application availed in IC.

  
**DENNIS B. FUNA**  
Insurance Commissioner



# About the Commission

## MANDATES, POWERS AND FUNCTIONS

The Commission's mandate, powers and functions include, among others, the following:

- a. Promulgate and implement policies, rules and regulations governing the operations of entities engaged in insurance, pre-need and HMO activities;
- b. Prepare, approve, repeal or amend rules, regulations, orders, and circulars, and issue opinions, provide guidance on and supervise compliance with such rules, regulations, orders and circulars;
- c. Approve, amend, reject/deny, suspend, or revoke license or Certificate of Authority to insurance and reinsurance companies, insurance intermediaries, agents as well as mutual benefit associations, charitable trusts institutions, pre-need companies, and HMOs;
- d. Impose sanctions for violations of laws, rules regulations and/or orders issued;
- e. Fix, assess, collect, and utilize fees and/or penalties as it may find reasonable in the exercise of regulatory powers;
- f. Ensure the solvency of insurance and pre-need companies, and HMOs and their compliance with laws and regulations through the examination/verification of their affairs, financial condition and methods of doing business;
- g. Issue cease and desist orders to insurance, pre-need companies and HMOs to prevent fraud or injury to the insuring public/ plan holders/ policy holders;
- h. Appoint conservator/receiver/liquidator for companies that are in state of financial insolvency;
- i. Conduct of insurance agent's examinations;
- j. Review and approval of all life and non-life policies; pre-need and HMO plans before sale to prospective clients;
- k. Adjudicate claims involving loss, damage or liability not exceeding Php5,000,000 per single claim;
- l. Render assistance to the general public on matters pertaining to insurance and pre-need companies as well as HMOs; and
- m. Provide for its reorganization, to streamline its structure and operations, upgrade its human resource component to enable it to effectively and efficiently perform its functions and exercise its powers under the Pre-need Code.

## **VISION STATEMENT**

Strong, sustainable and globally competitive regulated entities, as pillars of the economy, to serve every Filipino.

## **MISSION STATEMENT**

We are committed to implement prudent and progressive regulatory and supervisory policies at par with international standards.

## **SHARED CORE VALUES**

### *Integrity*

The Insurance Commission upholds the highest standard of honesty and transparency in the fulfillment of its duties and services.

### *Commitment*

We sustain the highest global standards and best practices in regulation and supervision.

### *Responsibility*

In the achievement of its mandate, the Insurance Commission exercises accountability, dedication and drive.

## **SERVICE PLEDGE**

We, the officials and employees of the Insurance Commission, in our pursuit to deliver a world-class standard of regulating the insurance, pre-need, and HMO, commit ourselves to:

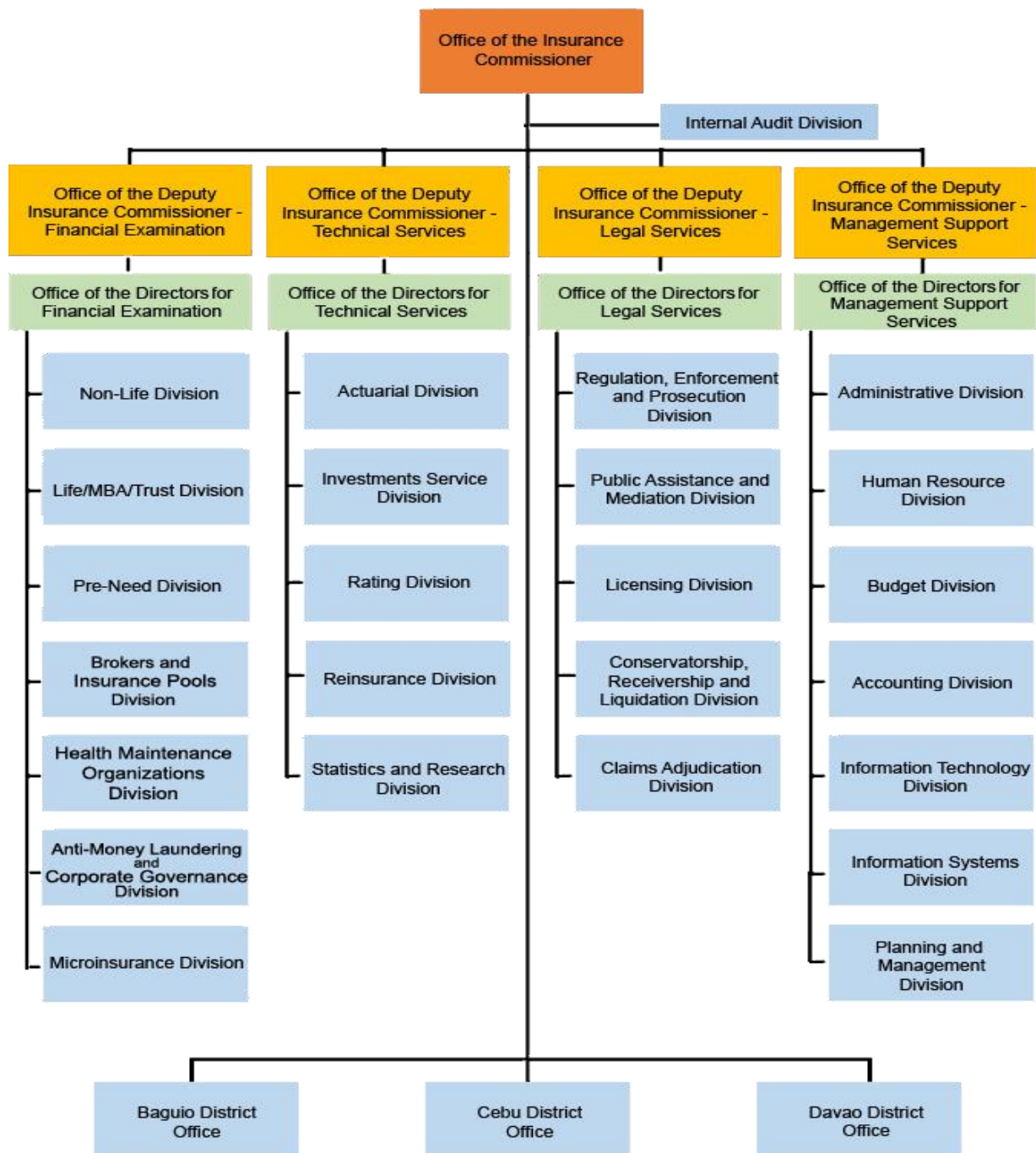
- Ensure prompt and efficient service to the public during office hours, with authorized personnel providing assistance with utmost courtesy and professionalism;
- Value every citizen's comment and suggestion received through various platforms, and take corrective measures;
- Strategically streamline frontline services to guarantee a citizen-centric service, in compliance with Republic Act No. 11032, also known as the *Ease of Doing Business and Efficient Government Service Delivery Act of 2018*; and
- Maintain a culture of excellence by ensuring human resource competency.

The Commission upholds transparency by providing 24/7 access to information on insurance, pre-need, and HMO-related matters and through our official website ([www.insurance.gov.ph](http://www.insurance.gov.ph)) and respond to queries through e-mail address ([publicassistance@insurance.gov.ph](mailto:publicassistance@insurance.gov.ph)) and telephone number (+632) 8523-8461.

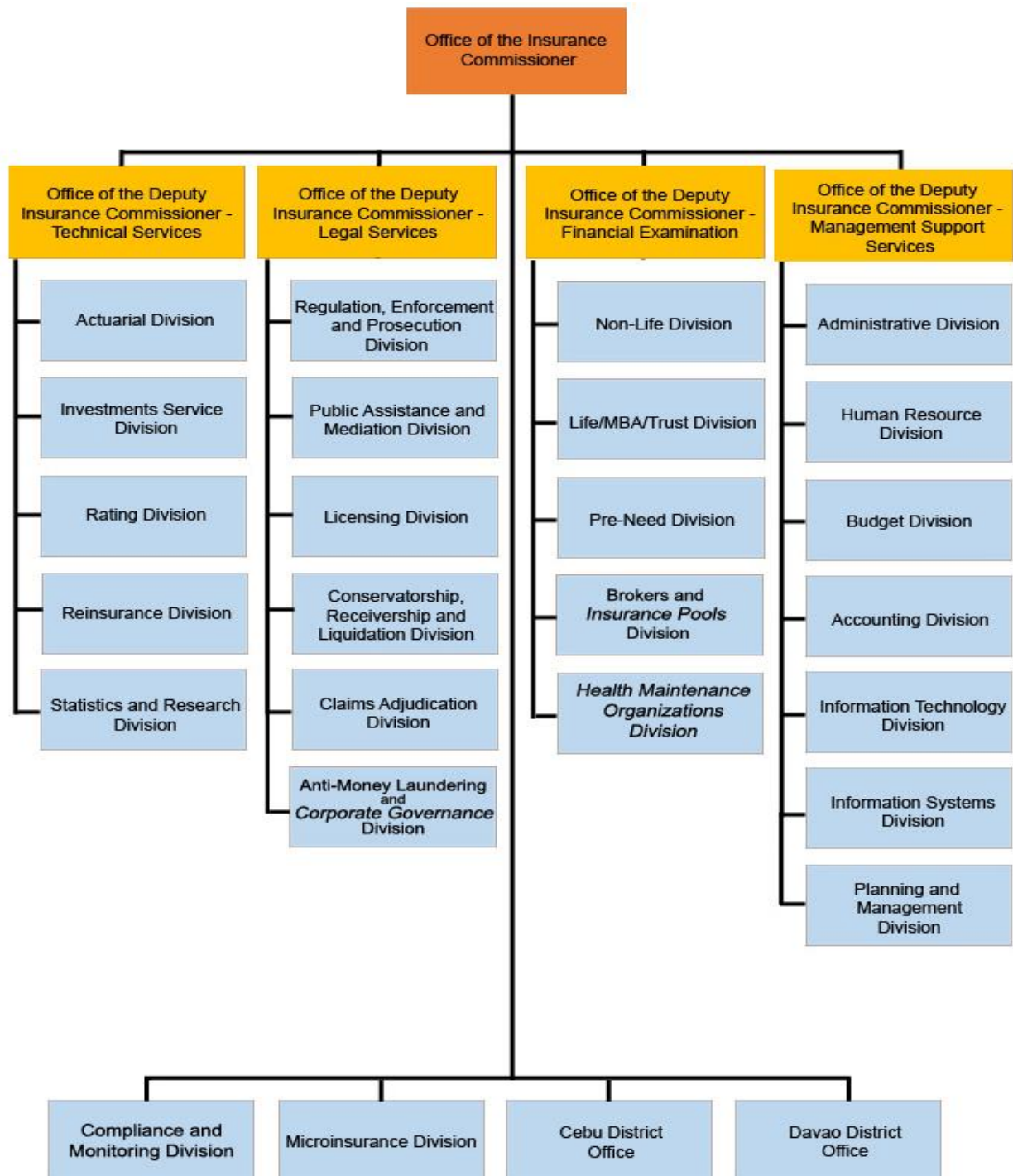


# Organizational Structure

Per the Department of Budget and Management Letter dated 24 April 2018:



**Per the IC Existing/Interim Set-up:**



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# Office of the Commissioner – Microinsurance Division

## External Services



## ***REQUEST FOR AVAILABLE DATA ON MICROINSURANCE***

### **About the Service**

The request covers available data on Microinsurance such as number of insured lives, premium production and number of entities actively selling Microinsurance products based on the unaudited quarterly reports, among others.

### **Office/Division**

Microinsurance Division

### **Classification**

Complex

### **Type of Transaction**

Government-to-Citizen (G2C)

Government-to-Government (G2G)

### **Who May Avail of the Service**

All Microinsurance Providers, Government Agencies and the public in general

### **Requirement/s**

Checklist of Requirements	Where to secure
Letter of request or electronic mail	Provided by the requesting entity

### **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Documentation / Recording of the written request	Submission of the letter of request or electronic mail	Received and recorded the letter or electronic mail.	None	15 minutes	Insurance Specialist I / Insurance Specialist II / Senior Insurance Specialist /

					Available staff of the Division
2. Preparation of the data		The person in charge retrieves the data required.	None	2 days	Insurance Specialist I / Insurance Specialist II / Senior Insurance Specialist
3. Preparation of Letter/Memo		The Action Officer drafts the letter/ Memo.	None	8 Hours	Insurance Specialist I / Insurance Specialist II / Senior Insurance Specialist
4. Submission of the drafted letter / memo for review		The Supervisor reviews the drafted letter/memo	None	30 minutes	Supervising Insurance Specialist
5. Return the draft letter / memo for final version		The Action Officer will submit the final version to the Division Manager	None	1 day	Senior Insurance Specialist / Division Manager
6. Signing of the letter / memo		The Division Manager reviews the letter and affixes his initial.	None	30 minutes	Division Manager
7. Submission of the letter / memo to the Office of the Commissioner		The Action Officer submit the letter / memo to the Office of the Commissioner for signature of the Commissioner	None	15 minutes	Insurance Commissioner
8. Receiving the letter/memo from the Commissioner		The Action Officer receives the signed letter / memo from the Office of the Commissioner	None	2 days	Insurance Specialist I / Insurance Specialist II / Senior Insurance Specialist / Available staff of the Division

9. Recording and Releasing		The Action Officer releases the signed letter / memo to the Records Section for delivery to the concerned parties.	None	15 minutes	Insurance Specialist I / Insurance Specialist II / Senior Insurance Specialist / Available staff of the Division
<b>TOTAL</b>			<b>None</b>	<b>6 days, 8 hours and 45 minutes</b>	



# Office of the Commissioner – Suretyship Unit

## External Services





## ***AUTHENTICATION OF CERTIFICATE OF COMPLIANCE***

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- **About the Service**

Pursuant to Sec. 232 of the Republic Act (RA) No. 10607, otherwise known as the Amended Insurance Code, no policy, certificate or contract of insurance shall be issued or delivered within the Philippines without the approval of the Insurance Commissioner.

In relation thereto, and as a manner of verifying a surety company's compliance to the above-mentioned law, the Supreme Court issued Administrative Matter No. 04-02-7SC requiring companies to submit a duly certified true copy (CTC) of Certificate of Compliance (COC) by the Insurance Commission (IC). Hence, upon request of its regulated entities, the IC authenticates documents it has on file pertaining to the issued COC. Companies may request from a single CTC to as many as 500 CTCs per company, depending on the number of copies required by the courts.

- **Office/Division**

Suretyship Unit

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Authorized representative of the insurance company who requests for certified true copy of their Certificate of Compliance

- **Requirements**

Checklist of Requirements	Where to Secure
Letter of request	Requesting Company
Copy of document(s) to be authenticated	Records Section – Insurance Commission/Company Records Suretyship Unit File Copy

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Issuance of Order of Payment (OP)	The Authorized representative of the insurance company submits the complete documents enumerated above	The Action Officer checks whether the required documents enumerated above are complete and if the request is duly signed. If found in order, issues an Order of Payment (OP) and advises the client to proceed to the Cashier for payment	Certification of other documents - Php 200 + Php10.00 per photocopy	20 minutes	Legal Assistant/IC Insurance Specialist I/IC Executive Assistant I/ IC Senior Insurance Specialist
2. Payment	The client proceeds to the cashier for payment	The Cashier receives the payment from the client and issues an Official Receipt (OR)	None	2 hours (1 receipt per requested certified true copy)	Cashier
3. Authentication of Document	The client presents the OR to the Action Officer	The Action Officer verifies and retrieves the original copy of the document/s on file	None	2 hours	Legal Assistant/IC Insurance Specialist I/IC Executive Assistant I/ IC Senior Insurance Specialist
		Photocopies the requested document/s with stamp "Certified True Copy" on each page of the document/s and forwards to the signatory/Unit Head for signature	None	4 hours	
		The Authorized Signatory/Unit Head signs the document/s		2 hours	IC Senior Insurance Specialist- OIC/IC Executive Assistant I (alternate signatory)
4. Release of Authenticated Documents	The client receives the authenticated document/s	After signing, the Action Officer affixes the agency seal on the document/s.	None	2 hours	Legal Assistant/IC Insurance Specialist I/IC Executive

		The Action Officer releases the authenticated document/s to the client.			Assistant I/ IC Senior Insurance Specialist
<b>TOTAL</b>			<b>Php210.00 per copy</b>	<b>1 day, 4 hours and 20 minutes</b>	

Notes:

- (1) Pursuant to IC Circular Letter (CL )No. 2020-56, the service is only available on Mondays-Thursdays 9:00 AM – 1:00 PM (under community quarantine arrangements).
- (2) Schedule of Fees, pursuant to IC CL No. 2014-15, Section VIII, Item No. 8

<b><u>Component</u></b>	<b><u>Fee</u></b>
Certified True Copy of other documents	Php 200.00/document
Photocopy	Php 10.00/page



# Financial Examination Group – Brokers and Insurance Pools Division

**External Services**



## ***ISSUANCE OF CERTIFICATION ABOUT THE FINANCIAL CONDITION OF INSURANCE AND/OR REINSURANCE BROKERS***

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- **About the Service**

Certification of Financial Condition of insurance and/or reinsurance brokers intended for accreditation or any legal purpose is issued within three (3) Days upon receipt of the written request

- **Office/ Division**

Brokers and Insurance Pools Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

All

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Accomplished Application Form or Written Request	The applicant submits accomplished Application Form or written request for a certified true copy of readily available documents	Insurance Specialist receives the written request and forwards the same to the Action Officer.	None	10 minutes	Insurance Specialist
2. Preparation of Certification		The Action Officer upon receipt of the request evaluates the same, conducts	None	1 day and 4 hours	Insurance Specialist



		research then prepares the Certification.			
3. Review and Approval of the Certification		The Certificate is forwarded to the Supervising Insurance Specialist/Division Manager/Officer-in-Charge for review and approval.	None	4 hours	Supervising Insurance Specialist/Division Manager/Officer-in-Charge
4. Receipt of the signed Certification		The Insurance Specialist receives the signed Certification and notify the company/claimants/policyholders that the same is ready for release.	None	30 minutes	Insurance Specialist
5. Issuance of Order of Payment		The Insurance Specialist prepares the Order of Payment and issues the same to the client.	None	15 minutes	Insurance Specialist
6. Payment of Fees	The client proceeds to the Cashier.	The Cashier accepts the Order of Payment, receives the payment and issues Official Receipt (OR) to the client.	Php 500.00 per Certification for companies  Php 200.00 per Certification for claimants/policy holders	10 minutes	Cashier
7. Release of the Certification	The client presents the OR and receives the authenticated document.	The Division Staff, upon presentation of the Official Receipt by the client, releases the certification.	None	10 minutes	Insurance Specialist
<b>TOTAL</b>			Php 500.00 per Certification for companies  Php 200.00 per Certification for claimants/policyholders	<b>2 days, 1 hour and 5 minutes</b>	

## ***REQUEST FOR CERTIFIED TRUE COPY OF LATEST AVAILABLE RESULTS OF EXAMINATION/VERIFICATION OF INSURANCE AND/OR REINSURANCE BROKERS' FINANCIAL CONDITION***

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- **About the Service**

Certified true copy of audited financial statements and other documents (readily available) of insurance and/or reinsurance brokers are issued within three (3) days upon receipt of the written request.

- **Office/ Division**

Brokers and Insurance Pools Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

All

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant
Photocopy of audited financial statements, annual statements, unaudited/interim/quarterly financial statements and other documents (readily available)	The client/applicant may bring photocopy of the documents or may avail the photocopying service of the Insurance Commission for a corresponding fee.

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
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1. Receipt of the Accomplished Application Form or Written Request	The applicant submits accomplished Application Form or written request for a certified true copy of readily available documents	<p>The Records Officer receives the accomplished Application Form or written request.</p> <p>If the original copy of the document is with the Brokers and Insurance Pools Division, the Records Officer forwards the accomplished Application Form or written request to the Brokers and Insurance Pools Division for their evaluation.</p>	None	30 minutes	Insurance Specialist
		Division staff receives the accomplished Application Form or written request and forwards the same to the Insurance Specialist	None	15 minutes	Insurance Specialist
2. Retrieval and authentication of the document		<p>The Insurance Specialist retrieves the original copy of the document on file.</p> <p>The Insurance Specialist evaluates/assesses the request, then duplicates the document (if necessary) and stamps each document to be authenticated, "Certified True Copy", affixes his/her initials and forwards the same to the Supervising Insurance Specialist.</p>	None	1 day and 4 hours	Insurance Specialist
3. Review of the authenticated documents		The Supervising Insurance Specialist reviews the authenticated document, affixes his/her initials and endorse the same to the Division Manager.	None	5 hours	Supervising Insurance Specialist / Officer-in-Charge
4. Approval of the authenticated documents		The Division Manager checks the authenticated document, and if found in order, signs the same.	None	5 hours and 30 minutes	Division Manager

5. Receipt of the approved authenticated document		The Division Staff receives the signed authenticated document from the Division Manager and notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Insurance Specialist
6. Issuance of Order of Payment		The Division Staff prepares the Order of Payment and issues the same to the client.	None	15 minutes	Insurance Specialist
7. Payment of Fees	The client proceeds to the Cashier.	The Cashier accepts the Order of Payment, receives the payment and issues Official Receipt (OR) to the client.	Photocopy – Php 10.00/page + Certification – Php 200.00/document + Php 25.00/page in excess of 5 pages for authentication	10 minutes	Cashier
8. Release of the authenticated document	The client presents the OR and receives the authenticated document.	The Division Staff, upon presentation of the Official Receipt by the client, releases the authenticated document.	None	10 minutes	Insurance Specialist
<b>TOTAL</b>			<b>Photocopy – Php 10.00/page + Certification – Php 200.00/document + Php 25.00/page in excess of 5 pages for authentication</b>	<b>3 days</b>	

***REQUEST FOR READILY AVAILABLE DATA OF INSURANCE BROKER, REINSURANCE BROKER, AND BOTH INSURANCE AND REINSURANCE BROKER BY OTHER THAN THE HEAD OF GOVERNMENT AGENCY***

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- **About the Service**

Request for readily available data of Insurance Broker, Reinsurance Broker, and Both Insurance and Reinsurance Broker is issued within seven (7) days upon receipt of the written request (e.g., Request of Consolidated Net Worth by the Department of Finance and other government agencies).

- **Office/Division**

Brokers and Insurance Pools Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Other than the Head of Government Agency

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of Insurance Broker, Reinsurance Broker, and Both	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned	None	10 – 20 minutes	Administrative Aide



	Insurance and Reinsurance Broker	Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Brokers and Insurance Pools Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and reply letter.	None	3 days and 3 hours	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist review the requested data, and if there is no revision, affixes his/her initials on the Reply Letter and endorses the same to the Division Manager/OIC.	None	2 days	Supervising Insurance Specialist
4. Approval of the Reply Letter and requested data		The Reply Letter and the requested data are forwarded to the Division Manager/OIC for review and approval.	None	1 day and 6 hours	Division Manager / OIC
5. Release of the signed Reply Letter and requested data		The Division Staff receives the signed Reply Letter and requested data, notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Division Staff
<b>TOTAL</b>			<b>None</b>	<b>7 days</b>	

***REQUEST FOR READILY AVAILABLE DATA OF INSURANCE BROKER, REINSURANCE BROKER, AND BOTH INSURANCE AND REINSURANCE BROKER BY THE HEAD OF GOVERNMENT AGENCY***

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▪ **About the Service**

Request for readily available data of Insurance Broker, Reinsurance Broker, and Both Insurance and Reinsurance Broker is issued within seven (7) days upon receipt of the written request (e.g., Request of Consolidated Net Worth by the Department of Finance and other government agencies).

▪ **Office/ Division**

Brokers and Insurance Pools Division

▪ **Classification**

Complex

▪ **Type of Transaction**

Government-to-Government (G2G)

▪ **Who May Avail of the Service**

Head of Government Agency

▪ **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of Insurance Broker, Reinsurance Broker, and Both	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide

	Insurance and Reinsurance Broker.	The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Brokers and Insurance Pools Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/assesses the same, then prepares the requested data and covering letter.	None	2 days	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist and Division Manager/OIC review the requested data, and if there is no revision, affix their initials on the Covering Letter and endorse the same to the Deputy Insurance Commissioner.	None	1 day and 7 hours	Supervising Insurance Specialist; Division Manager
4. Endorsement by the Deputy Insurance Commissioner to the Office of the Commissioner		The Deputy Insurance Commissioner reviews the requested data, and if there is no revision, affixes his/her initials on the Covering Letter and endorses the same to the Insurance Commissioner for signature.	None	1 day and 4 hours	Deputy Insurance Commissioner
5. Approval of the Requested Data		The Insurance Commissioner signs the Covering Letter and the requested data and forwards the same to the ODIC	None	1 day and 4 hours	Insurance Commissioner
6. Release of the signed Covering Letter and requested data		The Division Staff receives the signed Covering Letter and requested data from ODIC and notifies the government agency that the same is ready for release/ pick-up.	None	10 minutes	Division Staff

		The Division Staff may forward the signed Covering Letter and requested data to Records Section for release.			
<b>TOTAL</b>			<b>None</b>	<b>7 days</b>	

***REQUEST FOR READILY AVAILABLE DATA OF INSURANCE BROKER, REINSURANCE BROKER AND BOTH INSURANCE AND REINSURANCE BROKER (PUBLIC)***

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▪ **About the Service**

Request for readily available data of insurance broker, reinsurance broker and both insurance and reinsurance broker are issued within three (3) Days upon receipt of the written request (e.g., Request for Net Worth and Company's Compliance by auditing/law firm and others).

▪ **Office/Division**

Brokers and Insurance Pools Division

▪ **Classification**

Simple

▪ **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)

▪ **Who May Avail of the Service**

Any Insurance Broker, Reinsurance Broker and Both Insurance and Reinsurance Broker

▪ **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data	The Records Officer receives the written request and brings the physical copy of the received and recorded	None	10 – 20 minutes	Administrative Aide

	of insurance and/or reinsurance broker	written request to OCOM or Assigned Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Brokers and Insurance Pools Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and reply letter.	None	1 day and 6 hours	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist review the requested data, and if there is no revision, affixes his/her initials on the Reply Letter and endorses the same to the Division Manager/Officer-in-Charge.	None	5 hours	Supervising Insurance Specialist
4. Approval of the Reply Letter and requested data		The Reply Letter and the requested data are forwarded to the Division Manager for review and approval.	None	4 hours and 10 minutes	Division Manager
5. Release of the signed Reply Letter and requested data.		The Division Staff/Insurance Specialist receives the signed Reply Letter and requested data, notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Insurance Specialist

		The Division Staff/Insurance Specialist may forward the signed Reply Letter and requested data to Records Section for release.			
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	

## ***REQUEST FOR RECONSIDERATION OF ASSETS AND/ OR LIABILITIES AND EXTENSION TO COMPLY WITH OTHER IC REQUIREMENTS FOR INSURANCE AND/OR REINSURANCE BROKERS***

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- **About the Service**

Request for reconsideration of assets and/or reduction of non-ledger liabilities during the examination/verification of the Audited Financial Statements and its attachments, and extension to comply with IC requirements of an insurance and/or reinsurance brokers is granted or denied within twenty (20) days from the receipt of the request.

- **Office/Division**

Brokers and Insurance Pools Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Any Insurance Broker, Reinsurance Broker and Both Insurance and Reinsurance Broker.

- **Requirements**

Checklist of Requirements		Where to secure
Written Request (1 original copy)		Produced by the client/applicant
Supporting Documents:		
<b>1. Cash on Hand</b>		
a. Petty Cash Fund	For funds held by branches, submit Certificate from the custodian (signed by the custodian as preparer and reviewer/approver which is the superior of the custodian) to support the existence and amount.	Issued by the Petty Cash Custodian of the Branches and/or Head Office.



b. Undeposited Collections (coins, bills and cheques)	<p>Certificate of Inventory of undeposited collections (signed by the custodian as preparer and reviewer/approver which is the superior of the custodian) breakdown in denomination and amount per cheque.</p> <p>January 2019 Bank Statement/Passbook where the undeposited collections were deposited</p>	Issued by the Cash and Cheque Custodian of the Branches Issued by the Petty Cash Custodian of the Branches
<b>2. Cash in Bank</b>	Bank Statement, Statement of Account, Passbook or Certification from the bank	Banks, Financing Equities and Savings and Loans Association
<b>a. Deposit in Transit</b>	• Official receipt	Issued by the client
	<ul style="list-style-type: none"> <li>• Bank Validated Deposit Slips</li> <li>• Bank Statement, Statement of Account, Passbook showing the DIT is deposited</li> </ul>	<p>Banks, upon deposit</p> <p>Banks, Financing Equities and Savings and Loans Association</p>
<b>3. Time Deposit</b>	• Certificate of Time Deposit	Banks, Financing Equities and Savings and Loans Association
<b>4. Investment in Bonds</b>		
a. If on hand	• Original bond certificates	Bureau of the Treasury (BTr) or issuing company
	• Agreements	Bureau of the Treasury (BTr) or issuing company
	• Custodian Receipt	Accredited securities custodian
b. If sold	• Confirmation of Purchase	
	• Official Receipt	
	• Bank Validated Deposit slips	
	• Bank Statement/passbook	
c. If rolled over	Roll over documents	
d. If matured	• Official receipts	Bureau of the Treasury (BTr) or issuing company
	• Bank statements	Banks
	• Bank Validated Deposit Slips	Banks, upon deposit

<b>5. Investment in Treasury Bills</b>		
a. If on hand	• Original certificate of treasury bills	Bureau of the Treasury (BTr)
	• Confirmation of Sale	Bureau of the Treasury (BTr)
	• Custodian Receipt	Accredited securities custodian
	• Certified True Copy of withdrawal request of dealers from BSP	
b. If not on hand or under the custodianship agreement with BSP	• BSP's custodianship receipt	BSP
	• Certified True copy of withdrawal request of dealers and BSP's debit memo	
c. If sold	• Confirmation of Purchase	
	• Official Receipt	
	• Bank Validated Deposit slips	Banks, upon deposit
	• Bank Statement/ passbook	Banks
d. If rolled over	Roll over documents	
e. If matured	• Official receipts	Issued by the client
	• Bank statements	Banks
	• Bank Validated Deposit Slips	Banks, upon deposit
<b>6. Investment in Stocks</b>		
a. If on hand	Certificate of Stocks	Issuing company
b. If under custodianship	Certificate of Custodian and/or PDTC Statements	Accredited securities custodian
c. If unissued	• Confirmation of Purchase	
	• Paid Checks	
d. If sold	• Confirmation of Sale	From the Company
	• Official Receipt	From the Company
	• Bank Statement/ passbook	Banks
	• Bank Validated Deposit Slips	Banks
<b>7. Mutual Funds</b>	• Statement of Accounts	Asset Management Company or issuer of Mutual Funds
<b>8. Unit Investment in Trust Fund (UITF)</b>	• Statement of Accounts	Banks or issuer of Unit Investment in Trust Fund
<b>9. Real Estate Investment Trusts</b>	• Statement of Accounts	Issuer of Real Estate Investment Trusts

<b>10. Investment Management Account</b>	<ul style="list-style-type: none"> <li>• Financial Statements</li> <li>• Supporting documents of asset in the Financial Statements (bonds, stocks, cash in bank, mutual funds and UITF)</li> </ul>	Banks, Asset Management Company or Investment Manager
<b>11. Club Shares</b>	<ul style="list-style-type: none"> <li>• Certificate of Stocks</li> </ul>	Issuing company
<b>12. Investment in Real Estate</b>		
a. Existing property	<ul style="list-style-type: none"> <li>• Original Certificate of title duly annotated</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Mortgage agreements</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Appraisal/ reappraisal report – appraiser accredited by the Insurance Commission</li> </ul>	From the Company
b. Newly-acquired property	<ul style="list-style-type: none"> <li>• Deed of Sales</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Proof of Payment (cancelled checks, official receipts, cash vouchers)</li> </ul>	From the Company
c. For installment sales	<ul style="list-style-type: none"> <li>• Amortization Schedule of Installment receivable</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Collateralized asset</li> </ul>	From the Company
d. In case of condominium projects	<ul style="list-style-type: none"> <li>• Condominium certificate of Title (CCT)</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Contract or Agreement, if CCT is not available</li> </ul>	From the Company
e. In case of foreclosed property	<ul style="list-style-type: none"> <li>• Certificate of Title</li> </ul>	
	<ul style="list-style-type: none"> <li>• Court Receipt</li> </ul>	
	<ul style="list-style-type: none"> <li>• Loan Balance including capitalized interest and penalty</li> </ul>	
f. If Title is with Register of Deeds	<ul style="list-style-type: none"> <li>• Application for Registration duly acknowledged by the Office of the Register of deeds</li> </ul>	
	<ul style="list-style-type: none"> <li>• Official Receipt for the filing fee</li> </ul>	
g. For buildings under construction	<ul style="list-style-type: none"> <li>• Construction documents showing the percentage of completion per stage</li> </ul>	Contractor/subcontractor
	<ul style="list-style-type: none"> <li>• Official Receipt of cost incurred during construction</li> </ul>	Contractor/subcontractor

<b>b. IT Equipment</b>	<ul style="list-style-type: none"> <li>• Lapsing Schedule</li> <li>• Official Receipt to Support Acquisition during the year.</li> </ul>	Counterparty (Seller)
<b>c. Leased Land, Building and Equipment</b>	<ul style="list-style-type: none"> <li>• Lease Contracts</li> </ul>	Counterparty (Lessor)
<b>13. Intangible Assets</b>	<ul style="list-style-type: none"> <li>• Contracts/Agreements</li> <li>• Registration</li> </ul>	From the Company/ Intellectual Property Office of the Philippines (IPOPHL)
<b>14. Accounts/Notes/Loans Receivable</b>	<ul style="list-style-type: none"> <li>• Board Resolution</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Loan Agreement</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Amortization Schedule</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Official Receipts, Bank Validated Deposit Slips, Passbook/Bank Statements</li> </ul>	From the Company
<b>15. Receivable from Insurance Companies' Clients/ Receivable from Ceding Company</b>	<ul style="list-style-type: none"> <li>• Detailed Aging Schedule of within 90 and over 90 days due with the following information: Name of Insurance Company/Reinsurer, Name of Assured/Ceding Company, Policy Number, Inception Date, Amount of Receivable from Insurance Companies' Clients, Date Collected, Commission, Net of VAT, Net Due to (Payable to Insurance Companies)</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Schedule of collection of within and over 90 days due with the following information: Name of Insurance Company/Reinsurer, Name of Assured/Ceding Company, Policy Number, Inception Date,</li> </ul>	From the Company/Insurance Company/Reinsurer

	<p>Amount of Receivable from Insurance Companies' Clients, Amount Collected, Date Collected and Official Receipt/Acknowledgement Receipt No.</p> <ul style="list-style-type: none"> <li>• Official Receipt/Acknowledgement Receipt.</li> </ul>	
<b>16. Commission Receivable from Insurance Company/Reinsurer</b>	<ul style="list-style-type: none"> <li>• Detailed aging schedule of within and over 90 days due commission receivable with the following information: Name of Insurance Company/Reinsurer, Name of Assured/Ceding Company, Policy Number, Inception Date, Amount of Commission Receivable.</li> </ul>	From the Company
	<ul style="list-style-type: none"> <li>• Schedule of Collection of within 90 and over 90 days due commission receivable with the following information: Name of Insurance Company/Reinsurer, Name of Assured/Ceding Company, Policy Number, Inception Date, Amount of Commission Receivable, Date Collected, Amount Collected and Official Receipt No.</li> <li>• Official Receipt</li> </ul>	From the Company/Insurance Company/Reinsurer
<b>17. Prepaid Value-Added Tax (VAT)</b>	BIR Form no. 2550M and 2550Q duly stamped by the Bureau of Internal Revenue (BIR)	BIR
<b>18. Creditable Withholding Tax</b>	BIR Form no. 1702 duly stamped by the BIR	BIR

<b>19. Derivative Asset</b>	• Derivative Agreement	Issuer
	• Statement of Account	Issuer
<b>20. Pension Asset or Obligation</b>	<ul style="list-style-type: none"> <li>• Actuarial Report</li> <li>• For those with Plan Assets, supporting documents of Plan assets (e.g., financial statements of trust or actual supporting documents of cash in bank, time deposit, bonds, treasury bills and stocks)</li> </ul>	Actuary or Actuarial Firm
<b>21. Taxes Payable</b>	• BIR Tax Returns	BIR
	• Validated Deposit Slips	Banks
	• EFPS payment confirmation	From the Company
	• Official Receipt	From the Company

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of the Written Request together with the attachment/s	The applicant submits written request of extension/reconsideration	Division staff receives the written request and forwards the same to the Insurance Specialist	None	1 hour	Insurance Specialist
2. Evaluate the request and prepare Reply Letter		The Insurance Specialist upon receipt of the request, evaluates/assesses the same, then prepares the Reply Letter.	None	10 days	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist and Division Manager review the reply letter, and if there is no revision, affix their initials on the	None	5 days	Supervising Insurance Specialist / Division Manager

		Reply Letter and endorse the same to the Deputy Insurance Commissioner.			
4. Approval of the Reply Letter		The Reply Letter is forwarded to the Office of the Deputy Insurance Commissioner and then to the Office of the Insurance Commissioner for approval.	None	4 days	Deputy Insurance Commissioner / Insurance Commissioner
5. Receipt of the signed Reply Letter		<p>The Division Staff/Insurance Specialist receives the signed Reply Letter and notifies the company that the same is ready for release/ pick-up.</p> <p>The Division Staff/Insurance Specialist may forward the signed Reply Letter to Records Section for release.</p>	None	7 hours	Division Staff / Insurance Specialist
<b>TOTAL</b>			<b>None</b>	<b>20 Days</b>	



# **Financial Examination Group – Health Maintenance Organizations Division**

## **External Services**





## ***ISSUANCE OF CERTIFICATION ABOUT THE FINANCIAL CONDITION OF HEALTH MAINTENANCE ORGANIZATIONS (HMOs)***

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- **About the Service**

Certifications of Financial Condition of Health Maintenance Organizations (HMOs) intended for accreditation or any legal purpose are issued within three (3) working days upon receipt of the written request.

- **Office/Division**

HMO Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

Any HMOs, HMO Members/Claimants and Other Stakeholders

- **Requirement/s**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Requesting Party

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM - 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Written Request	Submission of written request for certification of financial condition.	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or	None	10-20 minutes	Administrative Aide

		Assigned Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the HMO Division.	None	10 minutes	Administrative Aide
		Division Staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Preparation of Certification		The Insurance Specialist upon receipt of the request evaluates the same, conducts research then prepares the Certification	None	1.5 days	Insurance Specialist
3. Review and Approval of the Certification		The Certification is forwarded to the Supervising Insurance Specialist for review, then to the Division Manager/Officer-In-Charge for approval and signature. The Division Manager/ Officer-In-Charge reviews the Certification and affixes his signature and forwarded the same to the Division Staff.	None	0.5 day	Supervising Insurance Specialist; Division Manager/ Officer-In-Charge
4. Receipt of the Approved Certification		The Division Staff receives the signed Certification from the Division Manager/ Officer-In-Charge and notifies the client that the same is ready for release/pick-up.	None	10 minutes	Division Staff

5. Issuance of Order of Payment		When the client arrives, the Division Staff prepares the Order of Payment and issues the same to the client.	None	15 minutes	Division Staff
6. Payment of Fees	The client proceeds to the Cashier.	The Cashier accepts the Order of Payment, receives the payment and issues Official Receipt to the client.	PHP500.00 per Certification for HMOs; PHP200.00 per Certification issued to members/claimants and other stakeholders	10 minutes	Cashier
7. Release of the signed Certification	The client presents the OR and receives the Certificate.	The Division Staff, upon presentation of the Official Receipt by the client, releases the Certificate.	None	10 minutes	Division Staff/ Insurance Specialist
<b>TOTAL:</b>			PHP500.00 for HMOs; PHP200.00 for members/claimants and other stakeholders	<b>3 days</b>	

## ***REQUEST FOR READILY AVAILABLE DATA OF HEALTH MAINTENANCE ORGANIZATIONS (HMOs) BY THE PUBLIC***

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- **About the Service**

Request for readily available data of Health Maintenance Organizations (HMOs) is issued within three (3) working days upon receipt of the written request (e.g., request by auditing/law firm of the company's compliance and other requestor).

- **Office/Division**

HMO Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

Public

- **Requirement/s**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Requesting Party

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM - 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Written Request	Submission of written request for readily available data of HMOs.	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM	None	10-20 minutes	Administrative Aide

		or Assigned Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the HMO Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the Request Preparation of the Requested Data		The Insurance Specialist upon receipt of the request evaluates/assesses the same, then prepares the requested data and reply letter.	None	1.5 day	Insurance Specialist
3. Approval of the Reply Letter together with the Requested Data		<p>The reply letter together with the requested data are forwarded to the Supervising Insurance Specialist for review, then to the Division Manager/Officer-In-Charge for approval and signature.</p> <p>The Division Manager/Officer-In-Charge reviews the same and affixes his signature and forwarded the same to the Division Staff.</p>	None	1 day	Supervising Insurance Specialist; Division Manager/Officer-In-Charge
4. Release of the signed Reply Letter and the Requested Data		The Division Staff receives the signed Reply Letter and requested data, notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Records Section
<b>TOTAL:</b>			<b>None</b>	<b>3 days</b>	

## ***REQUEST FOR READILY AVAILABLE DATA OF HMO COMPANIES BY OTHER THAN THE HEAD OF GOVERNMENT AGENCY***

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- **About the Service**

Request for readily available data of HMO Companies is issued within seven (7) days upon receipt of the written request (e.g., Request of Consolidated Net Worth and/or RBC2 ratio by the Department of Finance, Request of Taxes Paid by Bureau of Internal Revenue and other government agencies).

- **Office/Division**

HMO Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Other than the Head of Government Agency

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of HMO companies.	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide

		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the HMO Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and reply letter.	None	3 days and 3 hours	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist review the requested data, and if there is no revision, affixes his/her initials on the Reply Letter and endorses the same to the Division Manager/OIC.	None	2 days	Supervising Insurance Specialist
4. Approval of the Reply Letter and requested data		The Reply Letter and the requested data are forwarded to the Division Manager/OIC for review and approval.	None	1 day and 6 hours	Division Manager / OIC
5. Release of the signed Reply Letter and requested data		The Division Staff receives the signed Reply Letter and requested data, notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Division Staff
<b>TOTAL</b>			<b>None</b>	<b>7 days</b>	

## ***REQUEST FOR READILY AVAILABLE DATA OF HMO COMPANIES BY THE HEAD OF GOVERNMENT AGENCY***

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- **About the Service**

Request for readily available data HMO Companies is issued within seven (7) days upon receipt of the written request (e.g., Request of Consolidated Net Worth and/or RBC2 ratio by the Department of Finance, Request of Taxes Paid by Bureau of Internal Revenue and other government agencies).

- **Office/ Division**

HMO Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Head of Government Agency

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of HMO companies.	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide
		The OCOM receives the written request and	None	10 minutes	Administrative Aide



		forwards the same to the ODIC.			
		The ODIC receives the written request and forwards the same to the HMO Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/assesses the same, then prepares the requested data and covering letter.	None	2 days	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist and Division Manager/OIC review the requested data, and if there is no revision, affix their initials on the Covering Letter and endorse the same to the Deputy Insurance Commissioner.	None	1 day and 7 hours	Supervising Insurance Specialist; Division Manager / OIC
4. Endorsement by the Deputy Insurance Commissioner to the Office of the Commissioner		The Deputy Insurance Commissioner reviews the requested data, and if there is no revision, affixes his/her initials on the Covering Letter and endorses the same to the Insurance Commissioner for signature.	None	1 day and 4 hours	Deputy Insurance Commissioner
5. Approval of the Requested Data		The Insurance Commissioner signs the Covering Letter and the requested data and forwards the same to the ODIC	None	1 day and 4 hours	Insurance Commissioner
6. Release of the signed Covering Letter and requested data		The Division Staff receives the signed Covering Letter and requested data from ODIC and notifies the government agency that the same is ready for release/ pick-up.	None	10 minutes	Division Staff

		The Division Staff may forward the signed Covering Letter and requested data to Records Section for release.			
TOTAL			None	7 days	

## ***REQUEST FOR RECONSIDERATION OF ASSETS AND/ OR LIABILITIES AND EXTENSION TO COMPLY WITH OTHER IC REQUIREMENTS FOR HEALTH MAINTENANCE ORGANIZATIONS (HMOs)***

- **About the Service**  
Request for reconsiderations such as for the accountability of assets previously disallowed and/or reduction of non-ledger liabilities during the examination/verification of the Audited Financial Statements or Interim Financial Statements, and extension to comply with IC requirements of HMOs is acted upon within twenty (20) working days from the receipt of the request.
- **Office/Division**  
  
HMO Division
- **Classification**  
  
Highly Technical
- **Type of Transaction**  
  
Government-to-Business (G2B)
- **Who May Avail of the Service**  
  
Any HMOs
- **Requirement/s**

Checklist of Requirements		Where to secure
Written Request (1 original copy)		Produced by the HMO
Supporting Documents*:		
<b>1. Cash on Hand</b>		
a. Petty Cash Fund	For funds held by branches, submit Certificate from the custodian to support the existence and amount.	Issued by the Petty Cash Custodian of the Branches
b. Undeposited Collections (coins, bills and cheques)	Certificate of Inventory of Undeposited Collections disclosing the summary of the cash by denomination, quantity and amount.	Issued by the Petty Cash Custodian of the Branches and/or Head Office
<b>2. Cash in Bank</b>		
a. ALL – general requirement	• Bank Statement, Passbook or Certification from the bank	Authorized Banks, Financing Equities and Savings and Loans Association
	• Bank Reconciliation	Produced by the HMO

b. Deposit in Transit	• Official Receipt	Issued by the HMO
	• Bank Validated Deposit Slips	Authorized Banks, upon deposit
	• Bank Statement, Statement of Account or Passbook where DIT was deposited	Authorized Banks, Financing Equities and Savings and Loans Association
<b>3. Time Deposit</b>		
a. If on hand	• Certificate of Time Deposit	All Banks authorized by BSP
b. If matured/ terminated	• Official Receipt/ Journal Voucher	Issued by the client
	• Credit Memo	Authorized Banks
	• Passbook/ bank statement where the proceeds is credited/ deposited	Authorized Banks, Financing Equities and Savings and Loans Association
	• Validated Deposit Slip	Authorized Banks, upon deposit
<b>4. Membership Fee Receivable</b>	• Proof of Collection of over 360-day accounts.	Produced by the HMO
<b>5. Loan Receivable</b>	• Confirmation of Balances as of 31 December 20XX.	Debtors
	• Promissory Notes & Other Documents (e.g., Minutes of Board Meeting approving/granting the said loan; collateral and term of payments)	Produced by the HMO
<b>6. Other Receivables (e.g. Advances to/Due From Stockholders, Officers and Employees)</b>	• Minutes of Board Meeting approving/granting the said loan; collateral and term of payments.	Produced by the HMO
<b>7. Investment in Bonds &amp; Treasury Bills</b>		
<b>For government-issued Bonds &amp; Treasury Bills</b>		
a. ALL – general requirement	Statement of Account	Bureau of the Treasury (BTr)
b. If current	• Original bond certificates	Bureau of the Treasury (BTr)
	• Confirmation of Sale	Issuing Bank
c. If sold & matured	• Official Receipt	Issued by the client
	• Bank Validated Deposit slips	Authorized Banks, upon deposit
	• Bank Statement/ passbook	Authorized Banks
<b>For Corporate Bonds/ Foreign Bonds</b>		
a. ALL – general requirement	• Statement of Holdings/ Statement of Account	Accredited securities custodian
b. If on hand	• Original bond certificate	Issuing company
	• Confirmation of Sale	Issuing Bank
	• Custodian Receipt	Accredited securities custodian
c. If sold & matured	• Official Receipt	Issued by the client
	• Bank Validated Deposit slips	Authorized Banks, upon deposit
	• Bank Statement/ passbook	Authorized Banks
<b>8. Investment in Stocks</b>		
e. If current	Certificate of Stocks	Issuing company

f. If under custodianship	Certificate of Custodian/ Broker's Ledger	Securities custodian/ broker
g. For stocks under Scripless Trading	BP Portfolio Report	Philippine Depository & Trust Corp./ Securities Broker
h. If unissued	• Confirmation of Purchase	Produced by the HMO
	• Paid Checks or any proof of payment	
i. If sold	• Official Receipt	Issued by the client
	• Bank Validated Deposit slips	Authorized Banks, upon deposit
	• Bank Statement/ passbook	Authorized Banks
<b>9. Investment in Mutual Funds</b>	• Statement of Account	Asset Management Company or issuer of Mutual Funds
<b>10. Investment in Unit Investment Trust Funds</b>	• Statement of Account	Authorized Banks or issuer of Unit Investment in Trust Fund
<b>11. Investment in Real Estate Investment Trusts</b>	• Statement of Accounts	Issuer of Real Estate Investment Trusts
<b>12. Investment Management Account (IMA)</b>	• Financial Statements	Authorized Banks, Asset Management Company or Investment Manager
	• Supporting documents of asset in the Financial Statements (bonds, stocks, cash in bank, mutual funds and UITF)	
<b>13. Investment in Real Estate</b>		
a. Existing property	• Original Certificate of title duly annotated	Register of Deeds
	• Appraisal/ reappraisal report	SEC-Accredited Appraiser
b. Newly-acquired property	• Deed of Sales	Produced by the HMO
	• Proof of Payment (cancelled checks, official receipts, cash vouchers)	
c. For installment sales	• Amortization Schedule of Installment receivable	Produced by the HMO
	• Collateralized asset	
d. In case of condominium projects	• Condominium Certificate of Title (CCT)	Register of Deeds
	• Contract or Agreement, if CCT is not available	Produced by the HMO
e. In case of foreclosed property	• Certificate of Title	Register of Deeds
	• Court Receipt	Court
	• Loan Balance including capitalized interest and penalty	Produced by the HMO
f. If Title is with Register of Deeds	• Application for Registration duly acknowledged by the Office of the Register of Deeds	Accomplished by the HMO
	• Official Receipt for the filing fee	Register of Deeds
g. For buildings under construction	• Construction documents showing the percentage of completion per stage	Contractor/subcontractor

	<ul style="list-style-type: none"> <li>• Official Receipt of cost incurred during construction</li> </ul>	
14. IT Equipment	<ul style="list-style-type: none"> <li>• Official Receipt</li> </ul>	Seller
	<ul style="list-style-type: none"> <li>• Sales Invoice</li> </ul>	
15. Leased Land, Building and Equipment	Lease Contracts	Lessor
16. Derivative Asset	<ul style="list-style-type: none"> <li>• Derivative Agreement</li> </ul>	Issuing company
	<ul style="list-style-type: none"> <li>• Statement of Account</li> </ul>	
17. Pension Asset or Obligation	<ul style="list-style-type: none"> <li>• Actuarial Report</li> <li>• For those with Plan Assets, supporting documents of Plan assets (e.g. financial statements of trust or actual supporting documents of cash in bank, time deposit, bonds, treasury bills and stocks)</li> </ul>	Actuary or Actuarial Firm
18. Tax Payable	<ul style="list-style-type: none"> <li>• BIR Tax Returns</li> </ul>	Accomplished by the HMO
	<ul style="list-style-type: none"> <li>• Validated Deposit Slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>• EFPS payment confirmation</li> </ul>	<a href="https://efps.bir.gov.ph/">https://efps.bir.gov.ph/</a>
	<ul style="list-style-type: none"> <li>• Official Receipt (FST payment)</li> </ul>	Bureau of Fire Protection
	<ul style="list-style-type: none"> <li>• Letter of Authority</li> </ul>	BIR
	<ul style="list-style-type: none"> <li>• Taxpayer's Commitment Form</li> </ul>	
	<ul style="list-style-type: none"> <li>• Payment Form</li> </ul>	
	<ul style="list-style-type: none"> <li>• Confirmation Advice/ EFPS payment confirmation</li> </ul>	
	<ul style="list-style-type: none"> <li>• Clearance Certification</li> </ul>	

*\*Aside from the items listed above, the HMO Division may require other schedules and documents for submission on evaluation/assessment of the request for reconsideration of assets and/or reduction of non-ledger liabilities on a case-to-case scenario.*

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM - 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Written Request	Submission of written request for reconsideration of assets and/ or liabilities and extension to comply with other IC requirements for Health	The Records Officer receives the written request with supporting documents and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10-20 minutes	Administrative Aide

	Maintenance Organizations (HMOs).	The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Non-life Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluate the request and prepare Reply Letter		The Insurance Specialist upon receipt of the request and supporting documents, evaluates/assesses the same, then prepares the reply letter.	None	10 days	Insurance Specialist
3. Review of the Reply Letter		The reply letter is forwarded to the Supervising Insurance Specialist for review, then to the Division Manager. The Division Manager reviews the same and affixes his initials on the letter and endorse the same to the Office of the Deputy Insurance Commissioner.	None	5 days	Supervising Insurance Specialist; Division Manager
4. Approval of the Reply Letter		The Deputy Commissioner reviews the reply letter and if there is no revision, affixes his/her initials on the Covering Letter and forwards the same to the Office of the Insurance Commissioner for final approval. After approval, the Office of the Insurance Commissioner returns the reply letter to the ODIC.	None	4 days	Deputy Insurance Commissioner; Insurance Commissioner
5. Release of the signed Reply Letter		The Division Staff receives the signed Covering Letter from ODIC and notifies the client that the same is	None	10 minutes	Division Staff

		ready for release/ pick-up.  The Division Staff may forward the signed Covering Letter and requested data to Records Section for release.			
<b>TOTAL:</b>			<b>None</b>	<b>20 days</b>	





**Financial Examination Group –  
Life/MBAs/Trust Division**  
**External Services**



## ***ISSUANCE OF CERTIFICATION ABOUT THE FINANCIAL CONDITION OF LIFE INSURANCE COMPANIES AND MUTUAL BENEFIT ASSOCIATIONS***

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- **About the Service**

Certifications of Financial Condition of life insurance companies and mutual benefit associations intended for accreditation or any legal purpose are issued within three (3) days upon receipt of the written request.

- **Office/Division**

Life/MBAs/Trust Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

Any Life Insurance Company, Mutual Benefit Association, Insurance Claimants, Insurance Policyholders and other stakeholders

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for certification of financial condition	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned	None	10 – 20 minutes	Administrative Aide

		Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Life/MBAs/Trust Division.	None	10 minutes	Administrative Aide
		Division Staff receives the written request and forwards the same to the Insurance Specialist.	None	15 minutes	Division Staff
2. Evaluation of the Request		The Insurance Specialist upon receipt of the request evaluates the same and conducts research.	None	1 day and 4 hours	Insurance Specialist
3. Preparation of the Certification		The Insurance Specialist prepares the Certification, affixes his or her initials, for review by the Supervising Insurance Specialist.	None	2 hours	Insurance Specialist
4. Review of the Certification		The Supervising Insurance Specialist reviews the Certification, and if there is no revision, affixes his/her initial on the Certification and endorse the same to the Division Manager/OIC.	None	4 hours	Supervising Insurance Specialist
5. Approval of the Certification		The Division Manager/OIC reviews the Certification, and if found in order, signs the Certification.	None	4 hours and 20 minutes	Division Manager / OIC
6. Receipt of the signed Certification		The Division Staff receives the signed Certification from the Division Manager/OIC and notifies the client	None	10 minutes	Division Staff

		that the same is ready for release/ pick-up.			
7. Issuance of Order of Payment		The Division Staff prepares the Order of Payment and issues the same to the client.	None	15 minutes	Division Staff
8. Payment of Fees	The client proceeds to the Cashier.	The Cashier accepts the Order of Payment, receives the payment and issues Official Receipt to the client.	Php500 per Certification issued to insurance companies or Php200 per Certification issued to claimants/policyholders and other stakeholders	10 minutes	Cashier
9. Release of the Certification	The client presents the OR and receives the Certification.	The Division Staff, upon presentation of the Official Receipt by the client, releases the copy of the Certification to client.	None	10 minutes	Division Staff
<b>TOTAL</b>			Php500 - insurance companies or Php200 - claimants/ policyholders and other stakeholders	<b>3 days</b>	

## ***REQUEST FOR READILY AVAILABLE DATA OF LIFE INSURANCE COMPANIES AND MUTUAL BENEFIT ASSOCIATIONS BY OTHER THAN THE HEAD OF GOVERNMENT AGENCY***

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- **About the Service**

Request for readily available data of life insurance companies and mutual benefit associations is issued within seven (7) days upon receipt of the written request (e.g., Request of Consolidated Net Worth and/or RBC2 ratio by the Department of Finance, Request of Taxes Paid by Bureau of Internal Revenue and other government agencies).

- **Office/Division**

Life/MBAs/Trust Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Other than the Head of Government Agency

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of life insurance companies and	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to	None	10 – 20 minutes	Administrative Aide

	mutual benefit associations	OCOM or Assigned Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Life/MBAs/Trust Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and reply letter.	None	3 days and 3 hours	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist review the requested data, and if there is no revision, affixes his/her initials on the Reply Letter and endorses the same to the Division Manager/OIC.	None	2 days	Supervising Insurance Specialist
4. Approval of the Reply Letter and requested data		The Reply Letter and the requested data are forwarded to the Division Manager/OIC for review and approval.	None	1 day and 6 hours	Division Manager / OIC
5. Release of the signed Reply Letter and requested data		The Division Staff receives the signed Reply Letter and requested data, notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Division Staff
<b>TOTAL</b>			<b>None</b>	<b>7 days</b>	

## ***REQUEST FOR READILY AVAILABLE DATA OF LIFE INSURANCE COMPANIES AND MUTUAL BENEFIT ASSOCIATIONS BY THE HEAD OF GOVERNMENT AGENCY***

---

- **About the Service**

Request for readily available data of life insurance companies and mutual benefit associations is issued within seven (7) days upon receipt of the written request (e.g., Request of Consolidated Net Worth and/or RBC2 ratio by the Department of Finance, Request of Taxes Paid by Bureau of Internal Revenue and other government agencies).

- **Office/ Division**

Life/MBAs/Trust Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Head of Government Agency

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of life insurance companies and mutual benefit associations	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide

		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Life/MBAs/Trust Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/assesses the same, then prepares the requested data and covering letter.	None	2 days	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist and Division Manager/OIC review the requested data, and if there is no revision, affix their initials on the Covering Letter and endorse the same to the Deputy Insurance Commissioner.	None	1 day and 7 hours	Supervising Insurance Specialist; Division Manager / OIC
4. Endorsement by the Deputy Insurance Commissioner to the Office of the Commissioner		The Deputy Insurance Commissioner reviews the requested data, and if there is no revision, affixes his/her initials on the Covering Letter and endorses the same to the Insurance Commissioner for signature.	None	1 day and 4 hours	Deputy Insurance Commissioner
5. Approval of the Requested Data		The Insurance Commissioner signs the Covering Letter and the requested data and forwards the same to the ODIC	None	1 day and 4 hours	Insurance Commissioner
6. Release of the signed Covering Letter and requested data		The Division Staff receives the signed Covering Letter and requested data from ODIC and notifies the government agency that the same is ready for release/ pick-up.	None	10 minutes	Division Staff



		The Division Staff may forward the signed Covering Letter and requested data to Records Section for release.			
TOTAL			None	7 days	

## ***REQUEST FOR READILY AVAILABLE DATA OF LIFE INSURANCE COMPANIES AND MUTUAL BENEFIT ASSOCIATIONS BY THE PUBLIC***

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### **▪ About the Service**

Request for readily available data of life insurance companies and mutual benefit associations are issued within three (3) days upon receipt of the written request (e.g., Request of Consolidated Net Worth and/or RBC ratio by auditing/law firm of the company's and association's compliance, and other public). This shall only be allowed if the examination/verification of the life insurance companies' and mutual benefit associations' Annual Statement is already completed.

### **▪ Office/ Division**

Life/MBAs/Trust Division

### **▪ Classification**

Simple

### **▪ Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)

### **▪ Who May Avail of the Service**

Public

### **▪ Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

### **▪ Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

### **▪ How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of life insurance companies and	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM	None	10 – 20 minutes	Administrative Aide

	mutual benefit associations	or Assigned Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Life/MBAs/Trust Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/assesses the same, then prepares the requested data and reply letter.	None	1 day and 6 hours	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist review the requested data, and if there is no revision, affixes his/her initials on the Reply Letter and endorses the same to the Division Manager/OIC.	None	5 hours	Supervising Insurance Specialist
4. Approval of the Reply Letter and requested data		The Reply Letter and the requested data are forwarded to the Division Manager/OIC for review and approval.	None	4 hours	Division Manager / OIC
5. Release of the signed Reply Letter and requested data.		The Division Staff receives the signed Reply Letter and requested data, notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Division Staff
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	

## ***REQUEST FOR RECONSIDERATION OF ASSETS AND/ OR LIABILITIES AND EXTENSION TO COMPLY WITH OTHER IC REQUIREMENTS FOR LIFE INSURANCE COMPANIES AND MUTUAL BENEFIT ASSOCIATIONS***

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- **About the Service**

Requests for reconsiderations such as for admittance of assets previously disallowed, reduction of non-ledger liabilities during the examination/verification of the Annual Statement or the Quarterly Reports and extension to comply with certain IC requirements of life insurance companies and mutual benefit associations is acted upon within twenty (20) days from the receipt of the request.

- **Office/ Division**

Life/MBAs/Trust Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Any Life Insurance Company or Mutual Benefit Association

- **Requirements**

<b>Checklist of Requirements</b>		<b>Where to secure</b>
Written Request (1 original copy)		Produced by the client/applicant
Supporting Documents:		
<b>a. Cash on Hand</b>		
a. Petty Cash Fund	For funds held by branches, submit Certificate from the custodian to support the existence and amount.	Issued by the Petty Cash Custodian of the Branches
b. Documentary Stamps Fund	Copy of the Electronic Documentary Stamp (eDST) Statement	<a href="https://edst.bir.gov.ph/welcome.html">https://edst.bir.gov.ph/welcome.html</a>
c. Undeposited Collections (coins, bills and cheques)	Certificate of Inventory of Undeposited Collections disclosing a summary thereof which includes date of receipt,	Issued by the Petty Cash Custodian of the Branches and/or Head Office

	nature of transaction, denomination and amount.	
<b>b. Cash in Bank</b>		
a. ALL – general requirement	• Bank Statement, Passbook or Certification from the bank	Authorized Banks and Trust companies
	• Bank Reconciliation	Produced by the client/applicant
b. Deposit in Transit	• Official Receipts	Issued by the client/applicant
	• Bank Validated Deposit Slips	Authorized Banks, upon deposit
	• Bank Statement, Statement of Account or Passbook where DIT was deposited	Authorized Banks and Trust Companies
<b>c. Time Deposit</b>		
a. If on current	• Certificate of Time Deposit	All Banks and Trust Companies authorized by BSP
b. If matured/ terminated	• Official Receipt/ Journal Voucher	Issued by the client
	• Credit Memo	Authorized Banks/ Trust companies
	• Passbook/ bank statement where the proceeds is credited/ deposited	Authorized Banks and Trust Companies
	• Validated Deposit Slip	Authorized Banks, upon deposit
<b>d. Reinsurance Accounts</b>	• Statement of Accounts/ Facultative Binders	Issued by the reinsurers
	• Reinsurance Agreement	Issued by the reinsurers
	• Proof of Collection	Produced by the client/applicant
	• Proof of Payment	
<b>e. Investment in Bonds &amp; Treasury Bills</b>		
<b>For government-issued Bonds &amp; Treasury Bills</b>		
General requirement	Statement of Account	Bureau of the Treasury (BTr)
a. If current	• BTR's Acknowledgement Receipt of Confirmation of Purchase and Confirmation of Sale	Bureau of the Treasury (BTr)
	• Confirmation of Sale	Issuing Bank
b. If sold & matured	• Official Receipt	Issued by the client

	<ul style="list-style-type: none"> <li>• Bank Validated Deposit slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>• Bank Statement/ passbook</li> </ul>	Authorized Banks
<b>For Corporate Bonds/ Foreign Bonds</b>		
a. General requirement	<ul style="list-style-type: none"> <li>• With IC Approval (for foreign bonds only)</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>• Statement of Holdings/ Statement of Account</li> </ul>	Accredited securities custodian
b. If current	<ul style="list-style-type: none"> <li>• Original bond certificate</li> </ul>	Issuing company
	<ul style="list-style-type: none"> <li>• Confirmation of Sale</li> </ul>	Issuing Bank
	<ul style="list-style-type: none"> <li>• Custodian Receipt</li> </ul>	Accredited securities custodian
c. If sold & matured	<ul style="list-style-type: none"> <li>• Official Receipt</li> </ul>	Issued by the client
	<ul style="list-style-type: none"> <li>• Bank Validated Deposit slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>• Bank Statement/ passbook</li> </ul>	Authorized Banks
<b>f. Investment in Stocks</b>		
a. If current	Certificate of Stocks	Issuing company
b. If under custodianship	Certificate of Custodian/ Broker's Ledger/ SA	Securities custodian/ brokers
c. For stocks under Scripless Trading	BP Portfolio Report	Philippine Depository & Trust Corp./ Securities Broker
d. If unissued	<ul style="list-style-type: none"> <li>• Confirmation of Purchase</li> <li>• Paid Checks or any proof of payment</li> </ul>	Produced by the client/applicant
e. If sold	<ul style="list-style-type: none"> <li>• Official Receipt</li> </ul>	Issued by the client
	<ul style="list-style-type: none"> <li>• Bank Validated Deposit slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>• Bank Statement/ passbook</li> </ul>	Authorized Banks
<b>g. Investment in Mutual Funds</b>	<ul style="list-style-type: none"> <li>• With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>• Proof of investment in equities and/or bonds</li> </ul>	Asset Management Company or issuer of Mutual Funds
<b>h. Investment in Unit Investment Trust Funds</b>	<ul style="list-style-type: none"> <li>• With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>• Units of Participation</li> </ul>	Authorized Banks or issuer of Unit Investment in Trust Fund
<b>i. Investment in Real Estate Investment Trusts</b>	<ul style="list-style-type: none"> <li>• With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission

	<ul style="list-style-type: none"> <li>• Copy of TCTs and other Proof of Investments</li> </ul>	Issuer of Real Estate Investment Trusts
<b>j. Investment in Exchange Traded Fund</b>	<ul style="list-style-type: none"> <li>• With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>• Proof of Investment/ ETF Shares</li> </ul>	Produced by the client/applicant
<b>k. Investment Management Account (IMA)</b>	<ul style="list-style-type: none"> <li>• With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>• Financial Statements</li> </ul>	Authorized Banks, Asset Management Company or Investment Manager
	<ul style="list-style-type: none"> <li>• Statement of Accounts (bonds, stocks, cash in bank, mutual funds and UITF)</li> </ul>	
<b>l. Investment in Real Estate</b>		
a. General requirement	<ul style="list-style-type: none"> <li>• With IC Approval (for income producing properties only)</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>• Proof of Ownership</li> </ul>	Produced by the client/applicant
b. Existing property	<ul style="list-style-type: none"> <li>• Original Certificate of title in company's name</li> </ul>	Register of Deeds
	<ul style="list-style-type: none"> <li>• Appraisal/ reappraisal report</li> </ul>	SEC-Accredited Appraiser
c. Newly-acquired property	<ul style="list-style-type: none"> <li>• Deed of Sale</li> </ul>	Produced by the client/applicant
	<ul style="list-style-type: none"> <li>• Proof of Payment (cancelled checks, official receipts, cash vouchers)</li> </ul>	
d. For installment sales	<ul style="list-style-type: none"> <li>• Contract of Sale</li> </ul>	Produced by the client/applicant
	<ul style="list-style-type: none"> <li>• Amortization Schedule of Installment receivable</li> </ul>	
	<ul style="list-style-type: none"> <li>• Proof of payment</li> </ul>	
e. In case of condominium projects	<ul style="list-style-type: none"> <li>• Condominium Certificate of Title (CCT)</li> </ul>	Register of Deeds
	<ul style="list-style-type: none"> <li>• Contract or Agreement, if CCT is not available</li> </ul>	Produced by the client/applicant
f. In case of foreclosed property	<ul style="list-style-type: none"> <li>• Certificate of Title</li> </ul>	Register of Deeds
	<ul style="list-style-type: none"> <li>• Proof of Foreclosure</li> </ul>	Court
	<ul style="list-style-type: none"> <li>• Loan Balance including capitalized interest and penalty</li> </ul>	Produced by the client/applicant
g. If Title is with Register of Deeds	<ul style="list-style-type: none"> <li>• Application for Registration duly acknowledged by the Office of the Register of Deeds</li> </ul>	Accomplished by the client/applicant
	<ul style="list-style-type: none"> <li>• Official Receipt for the filing fee</li> </ul>	Register of Deeds

h. For buildings under construction	• Construction documents showing the percentage of completion per stage	Contractor/subcontractor
	• Official Receipt of cost incurred during construction/ Journal Voucher	
m. IT Equipment	• Official Receipt	Seller
	• Sales Invoice	
n. Leased Land, Building and Equipment	Lease Contracts	Lessor
o. Real Estate Mortgage Loan		
a. General requirement	• Board Resolution	Produced by the client/applicant
	• Deed of FIRST Mortgage	
	• Amortization Schedule/ Proof of Payment	
	• Transfer Certificate of Title	Register of Deeds
	• Appraisal/ reappraisal report	SEC-Accredited Appraiser
b. For syndicated loans, mortgage trust indentures/ joint ventures	• List of participants and amount of participation (loanable value)	Produced by the client/applicant
	• TCT of collateral duly annotated	Register of Deeds
p. Collateral Loans	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Board Resolution	Produced by the client/applicant
	• Amortization Schedule/ Proof of Payment	
	• Deed of Pledge	
	• Original Certificate of Stock/ Bonds (should be listed)	Issuing company
	• Certificate of the Corporate Secretary of the Issuer that the shares are pledged as collateral	Produced by the client/applicant
q. Guaranteed Loans	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Amortization Schedule/ Proof of Payment	Produced by the client/applicant
	• Board Resolution	
	• Loan Agreement	



<b>r. Housing Loan</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Board Resolution	Produced by the client/applicant
	• Amortization Schedule/ Proof of Payment	
	• Loan Agreement	
	• TCT or CCT	Register of Deeds
<b>s. Car Loan</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Board Resolution	Produced by the client/applicant
	• Promissory Notes	
	• Chattel Mortgage	
	• Car Registration -OR/CR	Issued by Land Transportation Office (LTO)
	• Amortization Schedule/ Proof of Payment	Produced by the client/applicant
<b>t. Purchase Money Mortgage</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Board Resolution	Produced by the client/applicant
	• Mortgage or deed of trust	
	• Amortization Schedule/ Proof of Payment	
	• Loan Agreement	
<b>u. Sales Contract Receivable</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Board Resolution	Produced by the client/applicant
	• Amortization Schedule/ Proof of Payment	
	• Contract Agreement	
<b>v. Chattel Mortgage Loan</b>	• Board Resolution	Produced by the client/applicant
	• Amortization Schedule/ Proof of Payment	
	• Loan Agreement	
	• Mortgage of chattels or personal properties used as security for the loan	
<b>w. Other Loans</b> - Finance Loan - Emergency Loan	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Promissory Notes/ Loan Agreement	Produced by the client/applicant

<ul style="list-style-type: none"> <li>- Loan for purchase of computer equipment</li> <li>- Salary Loan</li> </ul>	<ul style="list-style-type: none"> <li>• Amortization Schedule/ Proof of Payment</li> </ul>	
	<ul style="list-style-type: none"> <li>• Board Resolution/ Scheme</li> </ul>	
<b>x. Derivative Assets</b>	<ul style="list-style-type: none"> <li>• With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>• Journal Entry/ies</li> </ul>	Issuing company
	<ul style="list-style-type: none"> <li>• Statement of Account</li> </ul>	
<b>y. Receivable from Life Insurance Pool</b>	<ul style="list-style-type: none"> <li>• Statement of Account</li> </ul>	Pool Lead
<b>z. Premiums Due &amp; Uncollected (Life)/Members' Contributions due &amp; Uncollected (MBA), Net Premiums Due &amp; Uncollected</b>	<ul style="list-style-type: none"> <li>• Actuarial Certification</li> <li>• Schedule per IC Format</li> </ul>	IC Accredited Actuary Insurance/MBA Company
<b>aa. Members' Fees, dues &amp; fees (MBA)</b>	<ul style="list-style-type: none"> <li>• Certification</li> <li>• Schedule per IC Format</li> </ul>	Comptroller or any responsible officer with the rank of at least Vice President of MBA
<b>bb. Policy Loans (Life) /Members' Certificate Loans (MBA)</b>	<ul style="list-style-type: none"> <li>• Statement of Opinion</li> <li>• Schedule per IC Format</li> </ul>	IC Accredited Actuary Insurance /MBA company
<b>cc. Unremitted Members 'Contributions, Dues &amp; Fees/Unremitted Premiums (MBA)</b>	<ul style="list-style-type: none"> <li>• Certification</li> <li>• Schedule per IC Format</li> </ul>	Comptroller or any responsible officer with the rank of at least Vice President of MBA
<b>dd. Members' Assessment Receivable - net</b>	<ul style="list-style-type: none"> <li>• Actuarial Certification</li> <li>• Schedule per IC Format</li> </ul>	IC Accredited Actuary Insurance /MBA company
<b>ee. Taxes Payable</b>	<ul style="list-style-type: none"> <li>• BIR Tax Returns</li> </ul>	Accomplished by the client/applicant
	<ul style="list-style-type: none"> <li>• Validated Deposit Slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>• EFPS payment confirmation</li> </ul>	<a href="https://efps.bir.gov.ph/">https://efps.bir.gov.ph/</a>
	<ul style="list-style-type: none"> <li>• Official Receipt (FST payment)</li> </ul>	Bureau of Fire Protection
	<ul style="list-style-type: none"> <li>• Letter of Authority</li> </ul>	BIR
	<ul style="list-style-type: none"> <li>• Taxpayer's Commitment Form</li> </ul>	
	<ul style="list-style-type: none"> <li>• Payment Form</li> </ul>	
	<ul style="list-style-type: none"> <li>• Confirmation Advice/ EFPS payment confirmation</li> </ul>	
	<ul style="list-style-type: none"> <li>• Clearance Certification</li> </ul>	

<b>ff. Aggregate Reserve for Life Policies/Aggregate Reserve for Accident &amp; Health Policies</b>	<ul style="list-style-type: none"> <li>• Actuarial Valuation Report (AVR)</li> <li>• Actuarial Certification</li> <li>• Seriatim List per IC Format</li> </ul>	
<b>gg. Liability on Individual Equity Value</b>	<ul style="list-style-type: none"> <li>• Certification</li> <li>• Seriatim List per IC Format</li> </ul>	
<b>hh. Basic Contingency Benefit Reserves/Optional Benefit Reserve</b>	<ul style="list-style-type: none"> <li>• Actuarial Certificate</li> <li>• Seriatim List per IC Format</li> </ul>	
<b>ii. Policy &amp; Contract Claims (Life)/Claims Payable on Basic Contingent Benefit (MBA), Claims Payable on Optional Benefit (MBA), Other Benefits on Basic Policies (MBA), Other Benefits on Optional Policies</b>	<ul style="list-style-type: none"> <li>• Actuarial Certification</li> <li>• Schedule per IC Format</li> <li>• Claims Registry</li> </ul>	
<b>jj. Reserve for Supplementary Contracts Without Life Contingencies</b>	<ul style="list-style-type: none"> <li>• Actuarial Certification</li> </ul>	
<b>kk. Life insurance Deposit/Applicants Deposit (Life)/Members' Deposit</b>	<ul style="list-style-type: none"> <li>• Certification</li> <li>• Schedule per IC Format</li> </ul>	
<b>ll. Premium Deposit Fund</b>	<ul style="list-style-type: none"> <li>• Certification</li> <li>• Schedule per IC Format</li> <li>• Schedule of Assets correspond and identify for fund</li> </ul>	
<b>mm. Remittances Unapplied Deposit</b>	<ul style="list-style-type: none"> <li>• Certification</li> <li>• Schedule per IC Format</li> </ul>	
<b>nn. Premium Received in Advance/ Members' contributions Received in Advance</b>	<ul style="list-style-type: none"> <li>• Certification</li> <li>• Schedule per IC Format</li> </ul>	

<b>oo. Policyholders' Dividends Due &amp; Unpaid</b>	<ul style="list-style-type: none"> <li>• Actuarial Certification</li> <li>• Schedule per IC Format</li> </ul>	
<b>pp. Policyholders' Dividends Accumulations/Dividends Held on Deposit</b>	<ul style="list-style-type: none"> <li>• Actuarial Certification</li> <li>• Schedule per IC Format</li> </ul>	
<b>qq. Maturities &amp; Surrenders Payables</b>	<ul style="list-style-type: none"> <li>• Actuarial Certification</li> <li>• Schedule per IC Format</li> </ul>	
<b>rr. Liability on Life Insurance Pool Business</b>	<ul style="list-style-type: none"> <li>• Statement of Account</li> </ul>	

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of the Written Request	The applicant submits written request for readily available data of life insurance companies and mutual benefit associations	The Records Officer receives the written request with supporting documents and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Life/MBAs/Trust Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and		The Insurance Specialist upon receipt of the written request	None	10 days	Insurance Specialist

preparation of Reply Letter		and supporting documents, evaluates/assesses the same, then prepares the Reply Letter.			
3. Review of the Reply Letter		The Supervising Insurance Specialist and Division Manager/OIC review the Reply Letter, and if there is no revision, affix their initials on the Reply Letter and endorse the same to the Deputy Insurance Commissioner.	None	5 days	Supervising Insurance Specialist; Division Manager / OIC
4. Endorsement by the Deputy Insurance Commissioner to the Office of the Commissioner		The Deputy Insurance Commissioner reviews the Reply Letter, and if there is no revision, affixes his initial on the Reply Letter and then endorses the same to the Insurance Commissioner for approval and signature.	None	2 days	Deputy Insurance Commissioner
5. Approval of the Reply Letter		The Insurance Commissioner signs the Reply Letter and forwards the same to the ODIC.	None	2 days and 7 hours	Insurance Commissioner
6. Release of the signed Reply Letter		The Division Staff receives the signed Reply Letter from the ODIC and notifies the client that the same is ready for release/ pick- up.	None	10 minutes	Division Staff
<b>TOTAL</b>			<b>None</b>	<b>20 days</b>	



# Financial Examination Group – Non-Life Division

External Services



## ***ISSUANCE OF CERTIFICATION ABOUT THE FINANCIAL CONDITION OF NON-LIFE INSURANCE COMPANIES***

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- **About the Service**

Certifications of Financial Condition of non-life insurance companies intended for accreditation or any legal purpose are issued within three (3) days upon receipt of the written request.

- **Office/Division**

Non-life Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

Any Non-Life Insurance Company, Insurance Claimants, Insurance Policyholders and other stakeholders

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for certification of financial condition	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned	None	10 – 20 minutes	Administrative Aide

		Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Non-life Division.	None	10 minutes	Administrative Aide
		Division Staff receives the written request and forwards the same to the Insurance Specialist.	None	15 minutes	Division Staff
2. Evaluation of the Request		The Insurance Specialist upon receipt of the request evaluates the same and conducts research.	None	1 day and 4 hours	Insurance Specialist
3. Preparation of the Certification		The Insurance Specialist prepares the Certification, affixes his or her initials, for review by the Supervising Insurance Specialist.	None	2 hours	Insurance Specialist
4. Review of the Certification		The Supervising Insurance Specialist reviews the Certification, and if there is no revision, affixes his/her initials on the Certification and endorse the same to the Division Manager.	None	4 hours	Supervising Insurance Specialist
5. Approval of the Certification		The Division Manager reviews the Certification, and if found in order, signs the Certification.	None	4 hours and 20 minutes	Division Manager
6. Receipt of the signed Certification		The Division Staff receives the signed Certification from the Division Manager and notifies the client that	None	10 minutes	Division Staff



		the same is ready for release/ pick-up.			
7. Issuance of Order of Payment		The Division Staff prepares the Order of Payment and issues the same to the client.	None	15 minutes	Division Staff
8. Payment Fees	The client proceeds to the Cashier.	The Cashier accepts the Order of Payment, receives the payment and issues Official Receipt to the client.	Php500 per Certification issued to insurance companies or Php200 per Certification issued to claimants/policyholders and other stakeholders	10 minutes	Cashier
9. Release of the Certification	The client presents the OR and receives the Certification.	The Division Staff, upon presentation of the Official Receipt by the client, releases the copy of the Certification to client.	None	10 minutes	Division Staff
<b>TOTAL</b>			Php500 - insurance companies or Php200 - claimants/policyholders and other stakeholders	<b>3 days</b>	

## ***REQUEST FOR CERTIFIED TRUE COPY OF LATEST AVAILABLE SYNOPSIS OF APPROVED ANNUAL STATEMENT OF NON-LIFE INSURANCE COMPANIES***

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- **About the Service**

Certified true copy of latest available Synopsis of Approved Annual Statement of non-life insurance companies are issued within three (3) days upon receipt of the written request.

- **Office/Division**

Non-life Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

All

- **Requirements**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Written Request (1)	Produced by the client/applicant
Photocopy of latest available Synopsis of Approved Annual Statement	The client/applicant may bring photocopy of the documents or may avail the photocopying service of the Insurance Commission for a corresponding fee

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of the Accomplished Application Form or Written Request	The applicant submits accomplished Application Form or written request for a certified true copy of readily available documents	The Records Officer receives the accomplished Application Form or written request.  If the original copy of the document is with the Non-life Division, the Records Officer forwards the accomplished Application Form or written request to the Non-life Division for their evaluation.	None	30 minutes	Administrative Aide
		Division staff receives the accomplished Application Form or written request and forwards the same to the Insurance Specialist	None	15 minutes	Division Staff
2. Retrieval and authentication of the document		The Insurance Specialist retrieves the original copy of the document on file.  The Insurance Specialist evaluates/assesses the request, then duplicates the document (if necessary) and stamps each document to be authenticated, "Certified True Copy", affixes his/her initials and forwards the same to the Supervising	None	1 day and 4 hours	Insurance Specialist

		Insurance Specialist.			
3. Review of the authenticated documents		The Supervising Insurance Specialist reviews the authenticated document, affixes his/her initials and endorse the same to the Division Manager.	None	5 hours	Supervising Insurance Specialist
4. Approval of the authenticated documents		The Division Manager checks the authenticated document, and if found in order, signs the same.	None	5 hours and 35 minutes	Division Manager
5. Receipt of the approved authenticated document		The Division Staff receives the signed authenticated document from the Division Manager and notifies the client that the same is ready for release/pick-up.	None	10 minutes	Division Staff
6. Issuance of Order of Payment		The Division Staff prepares the Order of Payment and issues the same to the client.	None	15 minutes	Division Staff
7. Payment of Fees	The client proceeds to the Cashier.	The Cashier accepts the Order of Payment, receives the payment and issues Official Receipt (OR) to the client.	Photocopy – Php 10.00/page + Certification – Php 200.00/document + Php 25.00/page in excess of 5 pages for authentication	10 minutes	Cashier
8. Release of the authenticated document	The client presents the OR and receives the authenticated document.	The Division Staff, upon presentation of the Official Receipt by the client, releases the authenticated document.	None	10 minutes	Division Staff

<p><b>TOTAL</b></p>	<p>Photocopy – Php 10.00/page + Certification – Php 200.00/docume nt + Php 25.00/page in excess of 5 pages for authentication</p>	<p><b>3 days</b></p>	
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## ***REQUEST FOR READILY AVAILABLE DATA OF NON-LIFE INSURANCE COMPANIES BY OTHER THAN THE HEAD OF GOVERNMENT AGENCY***

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- **About the Service**

Request for readily available data of non-life insurance companies is issued within seven (7) days upon receipt of the written request (e.g., Request of Consolidated Net Worth and/or RBC2 ratio by the Department of Finance, Request of Taxes Paid by Bureau of Internal Revenue and other government agencies).

- **Office/Division**

Non-life Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Other than the Head of Government Agency

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of non-life insurance companies	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide

		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Non-life Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and reply letter.	None	3 days and 3 hours	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist review the requested data, and if there is no revision, affixes his/her initials on the Reply Letter and endorses the same to the Division Manager.	None	2 days	Supervising Insurance Specialist
4. Approval of the Reply Letter and requested data		The Reply Letter and the requested data are forwarded to the Division Manager for review and approval.	None	1 days and 6 hours	Division Manager
5. Release of the signed Reply Letter and requested data.		The Division Staff receives the signed Reply Letter and requested data, notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Division Staff
<b>TOTAL:</b>			<b>None</b>	<b>7 days</b>	

## ***REQUEST FOR READILY AVAILABLE DATA OF NON-LIFE INSURANCE COMPANIES BY THE HEAD OF GOVERNMENT AGENCY***

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- **About the Service**

Request for readily available data of non-life insurance companies is issued within seven (7) days upon receipt of the written request (e.g., Request of Consolidated Net Worth and/or RBC2 ratio by the Department of Finance, Request of Taxes Paid by Bureau of Internal Revenue and other government agencies).

- **Office/Division**

Non-life Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Head of Government Agency

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of non-life insurance companies	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide



		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Non-life Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and covering letter.	None	2 days	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist and Division Manager review the requested data, and if there is no revision, affix their initials on the Covering Letter and endorse the same to the Deputy Insurance Commissioner.	None	1 day and 7 hours	Supervising Insurance Specialist; Division Manager
4. Endorsement by the Deputy Insurance Commissioner to the Office of the Commissioner		The Deputy Insurance Commissioner reviews the requested data, and if there is no revision, affixes his/her initial on the Covering Letter and endorses the same to the Insurance Commissioner for signature.	None	1 day and 4 hours	Deputy Insurance Commissioner
5. Approval of the Requested Data		The Insurance Commissioner signs the Covering Letter and the requested data and forwards the same to the ODIC	None	1 day and 4 hours	Insurance Commissioner
6. Release of the signed Covering Letter and requested data		The Division Staff receives the signed Covering Letter and requested data from ODIC and notifies the government agency that the same is ready for release/ pick-up.	None	10 minutes	Division Staff

		The Division Staff may forward the signed Covering Letter and requested data to Records Section for release.			
TOTAL			None	7 days	

## ***REQUEST FOR READILY AVAILABLE DATA OF NON-LIFE INSURANCE COMPANIES BY THE PUBLIC***

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- **About the Service**

Request for readily available data of non-life insurance companies is issued within three (3) days upon receipt of the written request (e.g., Request of Consolidated Net Worth and/or RBC ratio by auditing/law firm of the company's and association's compliance, and other public). This shall only be allowed if the examination/verification of the non-life insurance companies' Annual Statement is already completed.

- **Office/Division**

Non-life Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)

- **Who May Avail of the Service**

Public

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (1 original copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of non-life insurance companies	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to	None	10 – 20 minutes	Administrative Aide

		OCOM or Assigned Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Non-life Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and reply letter.	None	1 day and 6 hours	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist review the requested data, and if there is no revision, affixes his/her initials on the Reply Letter and endorses the same to the Division Manager.	None	5 hours	Supervising Insurance Specialist
4. Approval of the Reply Letter and requested data		The Reply Letter and the requested data are forwarded to the Division Manager for review and approval.	None	4 hours	Division Manager
5. Release of the signed Reply Letter and requested data.		The Division Staff receives the signed Reply Letter and requested data, notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Division Staff
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	

## ***REQUEST FOR RECONSIDERATION OF ASSETS AND/ OR LIABILITIES AND EXTENSION TO COMPLY WITH OTHER IC REQUIREMENTS FOR NON-LIFE INSURANCE COMPANIES***

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### **▪ About the Service**

Requests for reconsiderations such as for admittance of assets previously disallowed, reduction of non-ledger liabilities during the examination/verification of the Annual Statement or the Quarterly Reports and extension to comply with certain IC requirements of non-life insurance companies is acted upon within twenty (20) days from the receipt of the request.

### **▪ Office/ Division**

Non-life Division

### **▪ Classification**

Highly Technical

### **▪ Type of Transaction**

Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

Any Non-Life Insurance Company

### **▪ Requirements**

Checklist of Requirements		Where to secure
Written Request (1 original copy)		Produced by the client/applicant
Supporting Documents:		
<b>1. Cash on Hand</b>		
a. Petty Cash Fund	For funds held by branches, submit Certificate from the custodian to support the existence and amount.	Issued by the Petty Cash Custodian of the Branches
b. Documentary Stamps Fund	Copy of the Electronic Documentary Stamp (eDST) Statement	<a href="https://edst.bir.gov.ph/welcome.html">https://edst.bir.gov.ph/welcome.html</a>
c. Undeposited Collections (coins, bills and cheques)	Certificate of Inventory of Undeposited Collections disclosing a summary thereof which includes date of receipt, nature of transaction, denomination and amount.	Issued by the Petty Cash Custodian of the Branches and/or Head Office
<b>2. Cash in Bank</b>		
a. ALL – general requirement	<ul style="list-style-type: none"> <li>Bank Statement, Passbook or Certification from the bank</li> <li>Bank Reconciliation</li> </ul>	Authorized Banks and Trust companies Produced by the client/applicant
b. Deposit in Transit	<ul style="list-style-type: none"> <li>Official Receipts</li> </ul>	Issued by the client/applicant

	<ul style="list-style-type: none"> <li>• Bank Validated Deposit Slips</li> <li>• Bank Statement, Statement of Account or Passbook where DIT was deposited</li> </ul>	Authorized Banks, upon deposit Authorized Banks and Trust Companies
<b>3. Time Deposit</b>		
a. If on current	<ul style="list-style-type: none"> <li>• Certificate of Time Deposit</li> </ul>	All Banks and Trust Companies authorized by BSP
b. If matured/ terminated	<ul style="list-style-type: none"> <li>• Official Receipt/ Journal Voucher</li> </ul>	Issued by the client
	<ul style="list-style-type: none"> <li>• Credit Memo</li> </ul>	Authorized Banks/ Trust companies
	<ul style="list-style-type: none"> <li>• Passbook/ bank statement where the proceeds is credited/ deposited</li> </ul>	Authorized Banks and Trust Companies
	<ul style="list-style-type: none"> <li>• Validated Deposit Slip</li> </ul>	Authorized Banks, upon deposit
<b>4. Reinsurance Accounts</b>	<ul style="list-style-type: none"> <li>• Statement of Accounts/ Facultative Binders</li> <li>• Reinsurance Agreement</li> <li>• Proof of Collection</li> <li>• Proof of Payment</li> </ul>	Issued by the reinsurers Issued by the reinsurers Produced by the client/applicant
<b>5. Investment in Bonds &amp; Treasury Bills</b>		
<b>For government-issued Bonds &amp; Treasury Bills</b>		
a. General requirement	Statement of Account	Bureau of the Treasury (BTr)
If current	<ul style="list-style-type: none"> <li>• BTR's Acknowledgement Receipt of Confirmation of Purchase and Confirmation of Sale</li> </ul>	Bureau of the Treasury (BTr)
	<ul style="list-style-type: none"> <li>• Confirmation of Sale</li> </ul>	Issuing Bank
If sold & matured	<ul style="list-style-type: none"> <li>• Official Receipt</li> </ul>	Issued by the client
	<ul style="list-style-type: none"> <li>• Bank Validated Deposit slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>• Bank Statement/ passbook</li> </ul>	Authorized Banks
<b>For Corporate Bonds/ Foreign Bonds</b>		
a. General requirement	<ul style="list-style-type: none"> <li>• With IC Approval (for foreign bonds only)</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>• Statement of Holdings/ Statement of Account</li> </ul>	Accredited securities custodian
b. If current	<ul style="list-style-type: none"> <li>• Original bond certificate</li> </ul>	Issuing company
	<ul style="list-style-type: none"> <li>• Confirmation of Sale</li> </ul>	Issuing Bank
	<ul style="list-style-type: none"> <li>• Custodian Receipt</li> </ul>	Accredited securities custodian
c. If sold & matured	<ul style="list-style-type: none"> <li>• Official Receipt</li> </ul>	Issued by the client
	<ul style="list-style-type: none"> <li>• Bank Validated Deposit slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>• Bank Statement/ passbook</li> </ul>	Authorized Banks
<b>6. Investment in Stocks</b>		
a. If current	Certificate of Stocks	Issuing company
b. If under custodianship	Certificate of Custodian/ Broker's Ledger/ SA	Securities custodian/ brokers
c. For stocks under Scripless Trading	BP Portfolio Report	Philippine Depository & Trust Corp./ Securities Broker

d. If unissued	• Confirmation of Purchase	Produced by the client/applicant
	• Paid Checks or any proof of payment	
e. If sold	• Official Receipt	Issued by the client
	• Bank Validated Deposit slips	Authorized Banks, upon deposit
	• Bank Statement/ passbook	Authorized Banks
<b>7. Investment in Mutual Funds</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Proof of investment in equities and/or bonds	Asset Management Company or issuer of Mutual Funds
<b>8. Investment in Unit Investment Trust Funds</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Units of Participation	Authorized Banks or issuer of Unit Investment in Trust Fund
<b>9. Investment in Real Estate Investment Trusts</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Copy of TCTs and other Proof of Investments	Issuer of Real Estate Investment Trusts
<b>10. Investment in Exchange Traded Fund</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Proof of Investment/ ETF Shares	Produced by the client/applicant
<b>11. Investment Management Account (IMA)</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Financial Statements	Authorized Banks, Asset Management Company or Investment Manager
	• Statement of Accounts (bonds, stocks, cash in bank, mutual funds and UITF)	
<b>12. Investment in Real Estate</b>		
a. General requirement	• With IC Approval (for income producing properties only)	Investment Services Division (ISD) of the Insurance Commission
	• Proof of Ownership	Produced by the client/applicant
b. Existing property	• Original Certificate of title in company's name	Register of Deeds
	• Appraisal/ reappraisal report	SEC-Accredited Appraiser
c. Newly-acquired property	• Deed of Sale	Produced by the client/applicant
	• Proof of Payment (cancelled checks, official receipts, cash vouchers)	
d. For installment sales	• Contract of Sale	Produced by the client/applicant
	• Amortization Schedule of Installment receivable	
	• Proof of payment	

e. In case of condominium projects	• Condominium Certificate of Title (CCT)	Register of Deeds
	• Contract or Agreement, if CCT is not available	Produced by the client/applicant
f. In case of foreclosed property	• Certificate of Title	Register of Deeds
	• Proof of Foreclosure	Court
	• Loan Balance including capitalized interest and penalty	Produced by the client/applicant
g. If Title is with Register of Deeds	• Application for Registration duly acknowledged by the Office of the Register of Deeds	Accomplished by the client/applicant
	• Official Receipt for the filing fee	Register of Deeds
h. For buildings under construction	• Construction documents showing the percentage of completion per stage	Contractor/subcontractor
	• Official Receipt of cost incurred during construction/ Journal Voucher	
<b>13. IT Equipment</b>	• Official Receipt	Seller
	• Sales Invoice	
<b>14. Leased Land, Building and Equipment</b>	Lease Contracts	Lessor
<b>15. Real Estate Mortgage Loan</b>		
a. General requirement	• Board Resolution	Produced by the client/applicant
	• Deed of FIRST Mortgage	
	• Amortization Schedule/ Proof of Payment	
	• Transfer Certificate of Title	Register of Deeds
	• Appraisal/ reappraisal report	SEC-Accredited Appraiser
b. For syndicated loans, mortgage trust indentures/ joint ventures	• List of participants and amount of participation (loanable value)	Produced by the client/applicant
	• TCT of collateral duly annotated	Register of Deeds
<b>16. Collateral Loans</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission
	• Board Resolution	Produced by the client/applicant
	• Amortization Schedule/ Proof of Payment	
	• Deed of Pledge	
	• Original Certificate of Stock/ Bonds (should be listed)	Issuing company
	• Certificate of the Corporate Secretary of the Issuer that the shares are pledged as collateral	Produced by the client/applicant
<b>17. Guaranteed Loans</b>	• With IC Approval	Investment Services Division (ISD) of the Insurance Commission



	<ul style="list-style-type: none"> <li>Amortization Schedule/ Proof of Payment</li> </ul>	Produced by the client/applicant
	<ul style="list-style-type: none"> <li>Board Resolution</li> </ul>	
	<ul style="list-style-type: none"> <li>Loan Agreement</li> </ul>	
<b>18. Housing Loan</b>	<ul style="list-style-type: none"> <li>With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>Board Resolution</li> </ul>	Produced by the client/applicant
	<ul style="list-style-type: none"> <li>Amortization Schedule/ Proof of Payment</li> </ul>	
	<ul style="list-style-type: none"> <li>Loan Agreement</li> </ul>	
	<ul style="list-style-type: none"> <li>TCT or CCT</li> </ul>	Register of Deeds
<b>19. Car Loan</b>	<ul style="list-style-type: none"> <li>With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>Board Resolution</li> </ul>	Produced by the client/applicant
	<ul style="list-style-type: none"> <li>Promissory Notes</li> </ul>	
	<ul style="list-style-type: none"> <li>Chattel Mortgage</li> </ul>	
	<ul style="list-style-type: none"> <li>Car Registration -OR/CR</li> </ul>	Issued by Land Transportation Office (LTO)
<b>20. Purchase Money Mortgage</b>	<ul style="list-style-type: none"> <li>With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>Board Resolution</li> </ul>	Produced by the client/applicant
	<ul style="list-style-type: none"> <li>Mortgage or deed of trust</li> </ul>	
	<ul style="list-style-type: none"> <li>Amortization Schedule/ Proof of Payment</li> </ul>	
	<ul style="list-style-type: none"> <li>Loan Agreement</li> </ul>	
<b>21. Sales Contract Receivable</b>	<ul style="list-style-type: none"> <li>With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>Board Resolution</li> </ul>	Produced by the client/applicant
	<ul style="list-style-type: none"> <li>Amortization Schedule/ Proof of Payment</li> </ul>	
	<ul style="list-style-type: none"> <li>Contract Agreement</li> </ul>	
<b>22. Chattel Mortgage Loan</b>	<ul style="list-style-type: none"> <li>Board Resolution</li> </ul>	Produced by the client/applicant
	<ul style="list-style-type: none"> <li>Amortization Schedule/ Proof of Payment</li> </ul>	
	<ul style="list-style-type: none"> <li>Loan Agreement</li> </ul>	
	<ul style="list-style-type: none"> <li>Mortgage of chattels or personal properties used as security for the loan</li> </ul>	
<b>23. Other Loans</b> - Finance Loan - Emergency Loan	<ul style="list-style-type: none"> <li>With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>Promissory Notes/ Loan Agreement</li> </ul>	Produced by the client/applicant

<ul style="list-style-type: none"> <li>- Loan for purchase of computer equipment</li> <li>- Salary Loan</li> </ul>	<ul style="list-style-type: none"> <li>• Amortization Schedule/ Proof of Payment</li> </ul>	
	<ul style="list-style-type: none"> <li>• Board Resolution/ Scheme</li> </ul>	
<b>24. Derivative Assets</b>	<ul style="list-style-type: none"> <li>• With IC Approval</li> </ul>	Investment Services Division (ISD) of the Insurance Commission
	<ul style="list-style-type: none"> <li>• Journal Entry/ies</li> </ul>	Issuing company
	<ul style="list-style-type: none"> <li>• Statement of Account</li> </ul>	
<b>25. Taxes Payable</b>	<ul style="list-style-type: none"> <li>• BIR Tax Returns</li> </ul>	Accomplished by the client/applicant
	<ul style="list-style-type: none"> <li>• Validated Deposit Slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>• EFPS payment confirmation</li> </ul>	<a href="https://efps.bir.gov.ph/">https://efps.bir.gov.ph/</a>
	<ul style="list-style-type: none"> <li>• Official Receipt (FST payment)</li> </ul>	Bureau of Fire Protection
	<ul style="list-style-type: none"> <li>• Letter of Authority</li> </ul>	BIR
	<ul style="list-style-type: none"> <li>• Taxpayer's Commitment Form</li> </ul>	
	<ul style="list-style-type: none"> <li>• Payment Form</li> </ul>	
	<ul style="list-style-type: none"> <li>• Confirmation Advice/ EFPS payment confirmation</li> </ul>	
	<ul style="list-style-type: none"> <li>• Clearance Certification</li> </ul>	

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of non-life insurance companies	The Records Officer receives the written request with supporting documents and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Non-life Division.	None	10 minutes	Administrative Aide

		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of Reply Letter		The Insurance Specialist upon receipt of the written request and supporting documents, evaluates/assesses the same, then prepares the Reply Letter.	None	10 days	Insurance Specialist
3. Review of the Reply Letter		The Supervising Insurance Specialist and Division Manager review the Reply Letter, and if there is no revision, affix their initials on the Reply Letter and endorse the same to the Deputy Insurance Commissioner.	None	5 days	Supervising Insurance Specialist; Division Manager
4. Endorsement by the Deputy Insurance Commissioner to the Office of the Commissioner		The Deputy Insurance Commissioner reviews the Reply Letter, and if there is no revision, affixes his initials on the Reply Letter and then endorses the same to the Insurance Commissioner for approval and signature.	None	2 days	Deputy Insurance Commissioner
5. Approval of the Reply Letter		The Insurance Commissioner signs the Reply Letter and forwards the same to the ODIC.	None	2 days and 7 hours	Insurance Commissioner
6. Release of the signed Reply Letter		The Division Staff receives the signed Reply Letter from the ODIC and notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Division Staff
<b>TOTAL</b>			<b>None</b>	<b>20 days</b>	





# Financial Examination Group – Pre-Need Division

## External Services



## ***ISSUANCE OF CERTIFICATION ABOUT THE CONSOLIDATED TRUST FUND EQUITY BALANCES OF PRE-NEED COMPANIES***

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- **About the Service**

Certification of Consolidated Trust Fund Equity of pre-need companies intended for any legal purpose are issued within twenty (20) days upon receipt of the written request.

- **Office/Division**

Pre-Need Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

Any Pre-need Company, Trustee Banks, Plan holders and other stakeholders

- **Requirements**

Checklist of Requirements	Where to secure
Written Request (hard copy or soft copy)	Produced by the trustee bank/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for certification of Consolidated Trust Fund Equity	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide

		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Pre-need Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist	None	10 minutes	Division Staff
2. Evaluation of the Request		The Insurance Specialist upon receipt of the request, evaluates the same and prepares the consolidated Trust Fund Statements of pre-need company, based on the availability of Trust Fund Statements from the quarterly submission of trustee banks.	None	18 days	Insurance Specialist
3. Preparation of Certification		The Insurance Specialist prepares the Certification, affixes his or her initials, for review by the Supervising Insurance Specialist.	None	4 hours	Insurance Specialist
4. Review of the Certification		The Supervising Insurance Specialist reviews the Certification, and if there is no revision, affixes his/her initials/approval on the certification and endorse the same to the Division Manager.  <i>Review and approval will be done electronically</i>	None	5 hours	Supervising Insurance Specialist
5. Approval of the Certification		The Division Manager reviews the Certification, and if found in order, signs the Certification	None	5 hours and 25 minutes	Division Manager

6. Receipt of the signed Certification		The Division Staff/Insurance Specialist receives the signed Certification and notifies the client that the same is ready for release/pick-up	None	10 minutes	Division Staff/Insurance Specialist
7. Issuance of Order of Payment		The Division Staff/Insurance Specialist prepares the Order of Payment and issues the same to the client.	None	15 minutes	Division Staff/Insurance Specialist
8. Payment of Fees	The client proceeds to the Cashier.	The Cashier accepts the Order of Payment, receives the payment and issues Official Receipt (OR) to the client.	<p>If requested by company - 500.00 per certification</p> <p>If requested by planholder / stakeholder - 200.00 per certification</p>	10 minutes	Cashier
9. Release of the Certification	The client presents the OR and receives the signed Certification	The Division Staff, upon presentation of the Official Receipt by the client, releases the copy of the Certification to client.	None	10 minutes	Division Staff/Insurance Specialist
<b>TOTAL</b>			<p>If requested by company – Php 500.00 per certification</p> <p>If requested by planholder / stakeholder – Php 200.00 per certification</p>	<b>20 days</b>	



## ***ISSUANCE OF CERTIFICATION ABOUT THE FINANCIAL CONDITION AND TRUST FUND OF PRE-NEED COMPANIES***

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- **About the Service**

Certification of Financial Condition and Trust Funds of pre-need companies intended for any legal purpose are issued within three (3) days upon receipt of the written request.

- **Office/Division**

Pre-Need Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

Any Pre-need Company, Trustee Banks, Planholders and other stakeholders

- **Requirements**

Checklist of Requirements	Where to secure
Written Request ( <i>hard copy or soft copy</i> )	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for certification of financial condition and trust fund of	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned	None	10 – 20 minutes	Administrative Aide

	pre-need company	Deputy Insurance Commissioner.			
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Pre-Need Division.	None	10 minutes	Administrative Aide
		Division Staff receives the written request and forwards the same to the Insurance Specialist.	None	15 minutes	Division Staff
2. Evaluation of the Request		The Insurance Specialist upon receipt of the request evaluates the same and conducts research.	None	1 day and 4 hours	Insurance Specialist
3. Preparation of the Certification		The Insurance Specialist prepares the Certification, affixes his or her initials, for review by the Supervising Insurance Specialist.	None	2 hours	Insurance Specialist
4. Review of the Certification		The Supervising Insurance Specialist reviews the Certification, and if there is no revision, affixes his/her initials/ <i>approval</i> on the Certification and endorse the same to the Division Manager.	None	4 hours	Supervising Insurance Specialist
5. Approval of the Certification		The Division Manager reviews the Certification, and if found in order, signs the Certification.	None	4 hours and 20 minutes	Division Manager
6. Receipt of the signed Certification		The Division Staff/Insurance Specialist receives the signed Certification from the Division Manager and notifies the client that the same	None	10 minutes	Division Staff/Insurance Specialist

		is ready for release/ pick-up.			
7. Issuance of Order of Payment		The Division Staff/Insurance Specialist prepares the Order of Payment and issues the same to the client.	None	15 minutes	Division Staff/Insura nce Specialist
8. Payment of Fees	The client proceeds to the Cashier.	The Cashier accepts the Order of Payment, receives the payment and issues Official Receipt to the client.	Php 500.00 per Certification issued to insurance companies or Php 200.00 per Certification issued to claimants/poli cyholders and other stakeholders	10 minutes	Cashier
9. Release of the Certification	The client presents the OR and receives the Certification.	The Division Staff/Insurance Specialist, upon presentation of the Official Receipt by the client, releases the copy of the Certification to client.	None	10 minutes	Division Staff/Insura nce Specialist
<b>TOTAL</b>			<b>Php 500.00 – insurance companies or Php 200.00 – claimants/p olicyholders and other stakeholder s</b>	<b>3 days</b>	

## ***REQUEST FOR CONFIRMATION ON COMPLIANCE TO TRUST FUND INVESTMENT LIMITATIONS UNDER SECTION 34 OF THE PRE-NEED CODE***

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- **About the Service**

Request for confirmation on compliance to trust fund limitations under Section 34 of the Pre-Need Code is granted or denied within twenty (20) days upon receipt of the written request.

- **Office/Division**

Pre-Need Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Any Trustee Bank

- **Requirements**

Checklist of Requirements	Where to secure
1 Written Request (hard copy or soft copy)	Produced by the trustee bank

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for confirmation on compliance to the limitations under Section	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide

	34 of the Pre-need Code	The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Pre-need Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the Request		The Insurance Specialist upon receipt of the request letter, evaluates the same, then prepares the Consolidated Trust Fund Statement and template of Analysis of Investment in Trust Funds of pre-need company, based on the availability of Trust Fund Statements from the quarterly submission of trustee banks.	None	14 days and 4 hours	Insurance Specialist
3. Preparation of Reply Letter		The Insurance Specialist prepares the Reply letter together with the Complete Staff Work (CSW) and affixes his or her e-signature, for review by the Supervising Insurance Specialist	None	2 hours and 55 minutes	Insurance Specialist
4. Review of the Reply Letter		<p>The Supervising Insurance Specialist and Division Manager review the Reply Letter, and if there is no revision, affix their e-signature/approval on the CSW attached in the Reply Letter and endorse the same to the Deputy Insurance Commissioner.</p> <p><i>Review and approval will be done electronically</i></p>	None	1 day	Supervising Insurance Specialist and Division Manager

5. Approval of the Reply Letter		The Reply Letter is forwarded to the Office of the Deputy Insurance Commissioner and then to the Office of the Insurance Commissioner for approval and signature.	None	4 days	Deputy Insurance Commissioner and Insurance Commissioner
6. Receipt of the signed Reply Letter		The Division Staff/Insurance Specialist receives the signed Reply Letter and forwards it to the Records Section for release to the company and/or send the reply letter through email or notifies the client that the same is ready for release/pick-up.	None	15 minutes	Division Staff/Insurance Specialist
<b>TOTAL</b>			<b>None</b>	<b>20 days</b>	

## ***REQUEST FOR READILY AVAILABLE DATA OF PRE-NEED COMPANIES BY OTHER THAN THE HEAD OF GOVERNMENT AGENCY***

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- **About the Service**

Request for readily available data of pre-need companies is issued within seven (7) days upon receipt of the written request.

- **Office/Division**

Pre-Need Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Other than the Head of Government Agency

- **Requirements**

Checklist of Requirements	Where to secure
1 Written Request (hard copy or soft copy)	Produced by the government agency

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of pre-need companies	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide

		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Pre-Need Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and covering letter.	None	3 days and 3 hours	Insurance Specialist
3. Review of the requested data		The Supervising Insurance Specialist review the requested data, and if there is no revision, affix their initials/approval on the Reply Letter and endorse the same to the Division Manager.  <i>Review and approval will be done electronically</i>	None	1 day and 6 hours	Supervising Insurance Specialist
4. Approval of the Reply Letter and requested data		The Reply Letter and the requested data are forwarded to the Division Manager for review and approval.	None	1 day and 6 hours	Division Manager
5. Release of the signed Covering Letter and requested data		The Division Staff/Insurance Specialist receives the signed Reply Letter and requested data, forwards it to the Records Section for release to the client	None	10 minutes	Division Staff/Insurance Specialist



		and/or send the reply letter through email or notifies the client that the same is ready for release/ pick-up.			
<b>TOTAL</b>			<b>None</b>	<b>7 days</b>	

## ***REQUEST FOR READILY AVAILABLE DATA OF PRE-NEED COMPANIES BY THE HEAD OF GOVERNMENT AGENCY***

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- **About the Service**

Request for readily available data of pre-need companies is issued within seven (7) days upon receipt of the written request.

- **Office/Division**

Pre-Need Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Head of Government Agency

- **Requirements**

Checklist of Requirements	Where to secure
1 Written Request (hard copy or soft copy)	Produced by the government agency

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of pre-need companies	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide

		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Pre-Need Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and covering letter together with the Complete Staff Work (CSW)	None	2 days	Insurance Specialist
3. Review of the requested data		<p>The Supervising Insurance Specialist and Division Manager review the requested data, and if there is no revision, affix their e-signature/approval on the CSW attached in the Covering Letter and endorse the same to the Deputy Insurance Commissioner.</p> <p>Review and approval will be done electronically</p>	None	1 day and 7 hours	Supervising Insurance Specialist; Division Manager
4. Endorsement by the Deputy Insurance Commissioner to the Office of the Commissioner		The Deputy Insurance Commissioner reviews the requested data, and if there is no revision, affixes his/her e-signature/approval on the CSW attached in the Covering Letter and endorses the same to the Insurance Commissioner for signature.	None	1 day and 4 hours	Deputy Insurance Commissioner

5. Approval of the Requested Data		The Insurance Commissioner signs the Covering Letter and the requested data and forwards the same to the ODIC	None	1 day and 4 hours	Insurance Commissioner
6. Release of the signed Covering Letter and requested data		<p>The Division Staff/Insurance Specialist receives the signed Covering Letter and requested data from ODIC and notifies the government agency that the same is ready for release/ pick-up.</p> <p>The Division Staff may forward the signed Covering Letter and requested data to Records Section for release.</p>	None	10 minutes	Division Staff/Insurance Specialist
<b>TOTAL</b>			<b>None</b>	<b>7 days</b>	

## ***REQUEST FOR READILY AVAILABLE DATA OF PRE-NEED COMPANIES BY THE PUBLIC***

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- **About the Service**

Request for readily available data of pre-need companies is issued within three (3) days upon receipt of the written request.

- **Office/Division**

Pre-Need Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

Public

- **Requirements**

Checklist of Requirements	Where to secure
1 Written Request (hard copy or soft copy)	Produced by the client/applicant

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for readily available data of pre-need companies	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide

		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Pre-Need Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of the requested data		The Insurance Specialist upon receipt of the request, evaluates/ assesses the same, then prepares the requested data and reply letter.	None	1 day and 6 hours	Insurance Specialist
3. Review of the requested data		<p>The Supervising Insurance Specialist review the requested data, and if there is no revision, affixes his/her initials/approval on the Reply Letter and endorses the same to the Division Manager.</p> <p>Review and approval will be done electronically</p>	None	5 hours	Supervising Insurance Specialist
4. Approval of the Reply Letter and requested data		The Reply Letter and the requested data are forwarded to the Division Manager for review and approval.	None	4 hours	Division Manager

5. Release of the signed Reply Letter and requested data.		The Division Staff/Insurance Specialist receives the signed Reply Letter and requested data, and forwards it to the Records Section for release to the company and/or send the reply letter through email or notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Division Staff/Insurance Specialist
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	

## ***REQUEST FOR RECONSIDERATION OF ASSETS AND/ OR LIABILITIES AND EXTENSION TO COMPLY WITH OTHER IC REQUIREMENTS FOR PRE-NEED COMPANIES***

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### ▪ **About the Service**

Requests for reconsiderations such as for admittance of assets previously disallowed, reduction of non-ledger liabilities during the examination/verification of the Annual Statement or the Quarterly Reports and extension to comply with certain IC requirements of pre-need companies is acted upon within twenty (20) days from the receipt of the request.

### ▪ **Office/ Division**

Pre-Need Division

### ▪ **Classification**

Highly Technical

### ▪ **Type of Transaction**

Government-to-Business (G2B)

### ▪ **Who May Avail of the Service**

Any Pre-Need Company

### ▪ **Requirements**

<b>Checklist of Requirements</b>		<b>Where to secure</b>
1 Written Request (hard or soft copy)		Produced by the client/applicant
Supporting Documents:		
<b>1. Insurance Premium Fund</b>  (Inclusive of same type of investments from item nos. 2 to 11)	Same required supporting documents for item nos. 2 to 11	
<b>2. Government Securities</b>		
a. If current	<ul style="list-style-type: none"> <li>Original bond certificates</li> </ul>	
	<ul style="list-style-type: none"> <li>Confirmation of Sale</li> </ul>	Issuing Bank
b. If sold & matured	<ul style="list-style-type: none"> <li>Official Receipt</li> </ul>	Issued by the client
	<ul style="list-style-type: none"> <li>Bank Validated Deposit slips</li> </ul>	Authorized Banks, upon deposit



	<ul style="list-style-type: none"> <li>Bank Statement/ passbook</li> </ul>	Authorized Banks
<b>3. Cash on Hand</b>		
a. Petty Cash Fund	<ul style="list-style-type: none"> <li>For funds held by branches, submit Certificate from the custodian to support the existence and amount.</li> </ul>	Issued by the Petty Cash Custodian of the Branches
b. Documentary Stamps Fund	<ul style="list-style-type: none"> <li>Copy of the Electronic Documentary Stamp (eDST) Statement</li> </ul>	<a href="https://edst.bir.gov.ph/welcome.html">https://edst.bir.gov.ph/welcome.html</a>
c. Undeposited Collections (coins, bills and cheques)	<ul style="list-style-type: none"> <li>Certificate of Inventory of Undeposited Collections disclosing a summary thereof which includes date of receipt, nature of transaction, denomination and amount.</li> </ul>	Issued by the Petty Cash Custodian of the Branches and/or Head Office
<b>4. Cash in Bank</b>		
a. ALL – general requirement	<ul style="list-style-type: none"> <li>Bank Statement, Passbook or Certification from the bank</li> </ul>	Authorized Banks, Financing Equities and Savings and Loans Association
	<ul style="list-style-type: none"> <li>Bank Reconciliation</li> </ul>	Produced by the client/applicant
b. Deposit in Transit	<ul style="list-style-type: none"> <li>Official Receipts</li> </ul>	Issued by the client/applicant
	<ul style="list-style-type: none"> <li>Bank Validated Deposit Slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>Bank Statement, Statement of Account or Passbook where DIT was deposited</li> </ul>	Authorized Banks, Financing Equities and Savings and Loans Association
<b>5. Time Deposits</b>		
a. If on hand	<ul style="list-style-type: none"> <li>Certificate of Time Deposit</li> </ul>	All Banks authorized by BSP
b. If matured/ terminated	<ul style="list-style-type: none"> <li>Official Receipt/ Journal Voucher</li> </ul>	Issued by the client
	<ul style="list-style-type: none"> <li>Credit Memo</li> </ul>	Authorized Banks
	<ul style="list-style-type: none"> <li>Passbook/ bank statement where the proceeds is credited/ deposited</li> </ul>	Authorized Banks, Financing Equities and Savings and Loans Association

	<ul style="list-style-type: none"> <li>Validated Deposit Slip</li> </ul>	Banks, upon deposit
<b>6. Mutual Funds / UITF</b>	<ul style="list-style-type: none"> <li>Statement of Accounts/ Holdings</li> </ul>	Asset Management Company or issuer of Mutual Funds / Authorized Banks of issuer of UITF
<b>7. Corporate Bonds</b>		
a. ALL – general requirement	<ul style="list-style-type: none"> <li>Statement of Holdings/ Statement of Account</li> </ul>	Accredited securities custodian
b. If on hand	<ul style="list-style-type: none"> <li>Original bond certificate</li> </ul>	Issuing company
	<ul style="list-style-type: none"> <li>Confirmation of Sale</li> </ul>	Issuing Bank
	<ul style="list-style-type: none"> <li>Custodian Receipt</li> </ul>	Accredited securities custodian
c. If sold & matured	<ul style="list-style-type: none"> <li>Official Receipt</li> </ul>	Issued by the client
	<ul style="list-style-type: none"> <li>Bank Validated Deposit slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>Bank Statement/ passbook</li> </ul>	Authorized Banks
<b>8. Stocks</b>		
a. If current	<ul style="list-style-type: none"> <li>Certificate of Stocks</li> </ul>	Issuing company
b. If under custodianship	<ul style="list-style-type: none"> <li>Certificate of Custodian/ Broker's Ledger</li> </ul>	Securities custodian/ brokers
c. For stocks under Scripless Trading	<ul style="list-style-type: none"> <li>BP Portfolio Report</li> </ul>	Philippine Depository & Trust Corp./ Securities Broker
d. If unissued	<ul style="list-style-type: none"> <li>Confirmation of Purchase</li> </ul>	Produced by the client/applicant
	<ul style="list-style-type: none"> <li>Paid Checks or any proof of payment</li> </ul>	
e. If sold	<ul style="list-style-type: none"> <li>Official Receipt</li> </ul>	Issued by the client
	<ul style="list-style-type: none"> <li>Bank Validated Deposit slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>Bank Statement/ passbook</li> </ul>	Authorized Banks
<b>9. Real Estate</b>		
b. Existing property	Original Certificate of title in company's name	Register of Deeds
	Appraisal/ reappraisal report	SEC accredited appraiser
c. Newly-acquired property	Deed of Sale	Produced by the client/applicant
	Proof of Payment (cancelled checks, official receipts, cash vouchers)	

d. If Title is with Register of Deeds	Application for Registration duly acknowledged by the Office of the Register of deeds	Accomplished by the client/applicant
	Official Receipt for the filing fee	Register of Deeds
<b>10. Other Investments</b>	If IMA account – Financial Statements	Authorized Banks, Asset Management Company or Investment Manager
	Supporting documents for non-IMA account:	
a. Preferred Shares	Proof of Investments/ Statement of Account	Issuing Company
b. Real Estate Investment Trusts (REITS)		Issuer of Real Estate investment Trusts
c. Tier 2 Notes		Issuing Company
d. Service Assets	Original Certificate of Contract, TCT /CCT, Deed of Sale/ Deed of Assignment	From the Company
<b>11. Accounts Receivable</b>	<ul style="list-style-type: none"> <li>• Proof of existence of account</li> <li>• Aging schedule of receivables</li> </ul>	Produced by the client/applicant
<b>12. Property, Plant and Equipment</b>	<ul style="list-style-type: none"> <li>• Sales invoices, official receipt and check voucher</li> </ul>	Seller
<b>13. Other Assets</b>	<ul style="list-style-type: none"> <li>• Proof of existence of account</li> </ul>	Produced by the client/applicant
<b>14. Tax Payable</b>	<ul style="list-style-type: none"> <li>• BIR Tax Returns</li> </ul>	Accomplished by the client/applicant
	<ul style="list-style-type: none"> <li>• Validated Deposit Slips</li> </ul>	Authorized Banks, upon deposit
	<ul style="list-style-type: none"> <li>• EFPS payment confirmation</li> </ul>	<a href="https://efps.bir.gov.ph/">https://efps.bir.gov.ph/</a>
	<ul style="list-style-type: none"> <li>• Letter of Authority</li> </ul>	BIR
	<ul style="list-style-type: none"> <li>• Taxpayer's Commitment Form</li> </ul>	
	<ul style="list-style-type: none"> <li>• Payment Form</li> </ul>	
	<ul style="list-style-type: none"> <li>• Confirmation Advice/ EFPS payment confirmation</li> </ul>	
	<ul style="list-style-type: none"> <li>• Clearance Certification</li> </ul>	

<b>15. Planholders' Benefits Payable (For determination of sufficiency of trust fund)</b>	<ul style="list-style-type: none"> <li>• Proof of withdrawal from trust fund</li> </ul>	Produced by the client/applicant
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▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for reconsideration of assets and/or liabilities of pre-need companies	The Records Officer receives the written request with supporting documents and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Pre-Need Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	10 minutes	Division Staff
2. Evaluation of the request and preparation of Reply Letter		The Insurance Specialist upon receipt of the written request and supporting documents, evaluates/assesses the same, then prepares the Reply Letter together with the Complete Staff Work (CSW)	None	10 days	Insurance Specialist

3. Review of the Reply Letter		<p>The Supervising Insurance Specialist and Division Manager review the Reply Letter and CSW, and if there is no revision, affix their e-signature/approval on the CSW attached in the Reply Letter and endorse the same to the Deputy Insurance Commissioner.</p> <p>Review and approval will be done electronically</p>	None	5 days	Supervising Insurance Specialist; Division Manager
4. Endorsement by the Deputy Insurance Commissioner to the Office of the Commissioner		The Deputy Insurance Commissioner reviews the Reply Letter and CSW, and if there is no revision, affixes his e-signature/approval on the CSW attached in the Reply Letter and then endorses the same to the Insurance Commissioner for approval and signature.	None	2 days	Deputy Insurance Commissioner
5. Approval of the Reply Letter		The Insurance Commissioner signs the Reply Letter and forwards the same to the ODIC.	None	2 days and 7 hours	Insurance Commissioner
6. Release of the signed Reply Letter		The Division Staff/Insurance Specialist receives the signed Reply Letter from the ODIC and forwards it to the Records Section for release to the company and/or send the reply letter through email or notifies the client that the same is ready for release/ pick-up.	None	10 minutes	Division Staff/Insurance Specialist
<b>TOTAL</b>			<b>None</b>	<b>20 days</b>	

## ***REQUEST FOR THE WITHDRAWAL OF EXCESS TRUST FUND CORRESPONDING TO CLOSED ACCOUNTS***

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### **▪ About the Service**

Request for the withdrawal of excess trust fund corresponding to closed accounts is issued within twenty (20) days upon receipt of the written request and all supporting documents.

### **▪ Office/Division**

Pre-Need Division

### **▪ Classification**

Highly Technical

### **▪ Type of Transaction**

Government-to-Businesses (G2B)

### **▪ Who May Avail of the Service**

Any Pre-need Company

### **▪ Requirements**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1 Written Request (hard copy or soft copy)  Note: Request shall be submitted within thirty (30) days from the receipt by the Commission of the Actuarial Valuation Report (AVR) provided that the AVR is submitted on time together with the Annual Financial Statement as required by CL No. 2015-47.	Produced by the client/applicant
1 Certification signed by client/applicant's accredited actuary for the following items: <ul style="list-style-type: none"><li>• Pre-need reserve liability as of the immediately preceding year-end with provision for adverse deviation;</li><li>• Computation of excess trust fund corresponding to the closed accounts; and</li><li>• Net surplus fund</li></ul>	

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Written Request	The applicant submits written request for the withdrawal of excess trust fund corresponding to closed accounts together with the supporting documents	The Records Officer receives the written request and brings the physical copy of the received and recorded written request to OCOM or Assigned Deputy Insurance Commissioner.	None	10 – 20 minutes	Administrative Aide
		The OCOM receives the written request and forwards the same to the ODIC.	None	10 minutes	Administrative Aide
		The ODIC receives the written request and forwards the same to the Pre-Need Division.	None	10 minutes	Administrative Aide
		Division staff receives the written request and forwards the same to the Insurance Specialist.	None	15 minutes	Division Staff
2. Evaluation of the request and preparation of Reply Letter		The Insurance Specialist upon receipt of the request and supporting documents evaluates the same then prepares the Reply Letter together with the Complete Staff Work (CSW)	None	10 days	Insurance Specialist
3. Review of the Reply Letter		The Supervising Insurance Specialist review the Reply Letter and CSW, and if there is no revision, affixes their e-signature/approval on the CSW attached in the Reply Letter and endorses the same to the Division Manager.	None	5 days	Supervising Insurance Specialist/ Division Manager

		Review and approval will be done electronically			
4. Endorsement by the Deputy Insurance Commissioner to the Office of the Commissioner		The Deputy Insurance Commissioner reviews the Reply Letter and CSW, and if there is no revision, affixes his e-signature/approval on the CSW attached in the Reply Letter then endorses the same to the Insurance Commissioner for approval and signature	None	2 days	Deputy Insurance Commissioner
5. Approval of the Reply Letter		The Insurance Commissioner signs the Reply Letter and forwards the same to the ODIC	None	2 days and 6 hours	Insurance Commissioner
6. Receipt of the signed Reply Letter		The Division Staff/Insurance Specialist receives the signed Reply Letter from the ODIC and notifies the client that the same is ready for release/pick-up	None	20 minutes	Division Staff/Insurance Specialist
7. Issuance of Order of Payment		The Division Staff/Insurance Specialist prepares the Order of Payment and issues the same to the client	None	15 minutes	Division Staff/Insurance Specialist
8. Payment of Fees	The client proceeds to the Cashier	The Cashier accepts the Order of Payment, receives the payment and issues Official Receipt to the client	Php 50,000.00 per application	20 minutes	Cashier
9. Release of the signed Reply Letter	The client presents the OR and receives the signed Reply Letter	The Division Staff/Insurance Specialist, upon presentation of the Official Receipt by the client, releases the signed Reply Letter to the client	None	10 minutes	Division Staff/Insurance Specialist
<b>TOTAL</b>			Php 50,000.00 per application	<b>20 days</b>	





# **Legal Services Group – Anti-Money Laundering and Corporate Governance Division**

## **External Services**



***PROCESS OF BILLING STATEMENTS FOR PENALTIES FOR BREACH OF TARIFFS AND PENALTIES FOR LATE SUBMISSION OF REPORTORIAL REQUIREMENTS SENT ON THE TARGET PERIOD***

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- **About the Service**

Processing of billing statements issued to companies which failed to comply with Insurance Commission's relevant AML/CFT and Corporate Governance circular letters.

- **Office/Division**

Anti-Money Laundering and Corporate Governance Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

All Insurance Commission Supervised and Regulated Entities

- **Requirement/s**

Checklist of Requirements	Where to secure
Approved letter by the Insurance Commissioner or his duly authorized representative	Office of the Insurance Commissioner

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Preparation of Billing Statement		The Division Staff prepares the Billing Statement based on the approved letter by the Insurance Commissioner or his duly authorized representative	None	1 day	Division Staff
2. Signing of Billing Statement		<p>The Division Staff, submits the draft Billing Statement to the Division Manager for review and approval.</p> <p>The Division Manager affixes signature on the Billing Statement, if found in order.</p>	None	1 day	Division Manager
3. Forwarding of the Billing Statement to the Accounting Division		The Division Staff forwards the Billing Statement to the Accounting Division for appropriate action.	None	1 day	Division Staff
<b>TOTAL:</b>			<b>None</b>	<b>3 days</b>	



# **Legal Services Group – Claims Adjudication Division**

**External Services**



## ***PROCESS OF HANDLING FORMAL COMPLAINTS/ PROCESS OF ACTING ON FILING OF COMPLAINTS***

- **About the Service**

This service is being offered to assist clients in the filing of formal complaints against insurance and pre-need companies, mutual benefit associations, and health maintenance organizations.

- **Office/Division**

Claims Adjudication Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

All policyholders, plan holders, MBA members, and HMO members

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1. Statement of Claims; or	Insurance Commission – Claims and Adjudication Division
Verified Complaint	Prepared by complaining party's counsel
2. Certificate of Non-forum Shopping	Claimant
3. All annexes mentioned in the complaint, if any	Claimant
<i>Note:</i> <i>Statement of Claims for small claims amounting to Php 400,000.00 and below</i> <i>Verified Complaint for claims amounting to above Php 400,000.00 but not exceeding Php 5,000,000.00</i>	

- **Schedule of Availability of Service**

Monday – Friday (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Presentation of the Statement of Claims or Verified Complaint	Client presents the following:  1. Statement of Claims or Verified Complaint  2. Certification of Non-Forum Shopping	Upon the filing of the complaint, the Commission determines whether the same is sufficient in form and substance and the Assisting Officer (AO) prepares the Order of Payment.  If the complaint is not sufficient in form and substance, the Commission, <i>motu proprio</i> , shall refuse to accept it.	None	1 day	Division Manager  Assisting Officer (Administrative Assistant III/ Administrative Aide II)
2. Payment of Legal Fees	The client proceeds to the Cashier Section to pay the legal fees.	The Cashier processes the payment and releases the Official Receipt to be submitted to CAD thereafter.	<b>See Schedule of Legal Fees Below</b>	7 minutes	Cashier Staff
3. Recording and Docketing of Complaint		The AO assigns a unique docket number for the complaint and records the case in the docket book.	None	5 minutes	Assisting Officer (Administrative Assistant III/ Administrative Aide II)
4. Preparation and Review of Summons		The AO prepares summons as instructed by Division Manager.  The AO reviews the summons then forwards the same to the Division Manager for signature.	None	1 day	AO (Administrative Assistant III/ Administrative Aide II)  Division Manager

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
5. Release of Summons		The AO sends the summons to the concerned parties.	None	1 day	Assisting Officer (Administrative Assistant III/ Administrative Aide II)
<b>TOTAL:</b>			<b>See Schedule of Legal Fees Below</b>	<b>3 days and 12 minutes</b>	

### **SCHEDULE OF LEGAL FEES**

<b>2022 Amendments to the 2014 Rules of Procedure Governing Trial and Hearing of Claims Cases Involving Insurance or Reinsurance Policies or Those Arising from Membership Certificates Issued by Mutual Benefit Associations, in the Insurance Commission</b> <b>(Rule 4, Section 1 of IMC No. 2022-01)</b>		
<i>Principal Amount Being Claimed</i>	<i>Docket Fee</i>	<i>Legal Research Fee (1%)</i>
More than PHP 400,000.00 but less than PHP 1,000,000.00	PhP 5,000.00	PhP 50.00
PHP 1,000,000.00 or more but less than PHP 2,000,000.00	PhP 10,000.00	PhP 100.00
PHP 3,000,000.00 up to PHP 5,000,000.00	PhP 15,000.00	PhP 150.00

<b>Rules of Procedure for Small Claims Cases in the Insurance Commission</b> <b>(Section 7 of Insurance Memorandum Circular No. 2016-01, as amended by 2020-01)</b>			
<i>Principal Amount being Claimed</i>	<i>Docket Fee</i>	<i>Legal Research Fee (1%)</i>	<i>Summons Fee</i>
Does not exceed PHP 100,000.00	Php1,000.00	PhP10.00	PhP1,000.00
Exceeds PHP 100,000.00, but does not exceed PHP 200,000.00	PhP2,000.00	PhP20.00	
Exceeds PHP 200,000.00, but does not exceed PHP 300,000.00	Php 3,000.00	PhP30.00	
Exceeds PHP 300,000.00, but does not exceed PHP 400,000.00	Php 4,000.00	PhP40.00	

<b>Rules of Procedure for Adjudication of Cases against Health Maintenance Organizations in the Insurance Commission</b> <b>(Rule V, Section 3 of Insurance Memorandum Circular No. 2017-01)</b>		
<i>Principal Amount being Claimed</i>	<i>Docket Fee</i>	<i>Legal Research Fee (1%)</i>
More than PhP400,000.00 up to PhP500,000.00	PhP5,000.00	PhP50.00
More than PhP500,000.00 up to PhP600,000.00	PhP6,000.00	PhP60.00
More than PhP600,000.00 up to PhP700,000.00	PhP7,000.00	PhP70.00
More than PhP700,000.00 up to PhP800,000.00	PhP8,000.00	PhP80.00
More than PhP800,000.00 up to PhP900,000.00	PhP9,000.00	PhP90.00
More than PhP900,000.00 up to PhP1,000,000.00	PhP10,000.00	PhP100.00
More than PhP1,000,000.00 up to PhP2,000,000.00	PhP15,000.00	PhP150.00
More than PhP2,000,000.00 up to PhP3,000,000.00	PhP20,000.00	PhP200.00
More than PhP3,000,000.00 up to PhP4,000,000.00	PhP25,000.00	PhP250.00
More than PhP4,000,000.00 up to PhP5,000,000.00	PhP30,000.00	PhP300.00
More than PhP5,000,000.00	PhP35,000.00	PhP350.00

## ***PROCESS OF ACTING ON REQUEST FOR CERTIFICATION***

### **▪ About the Service**

This service is to assist clients in requesting certificates of pending formal complaints and reputable claims settlement record.

### **▪ Office/Division**

Claims Adjudication Division

### **▪ Classification**

Simple

### **▪ Type of Transaction**

Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

All

### **▪ Requirement/s**

Checklist of Requirements	Where to secure
Letter Request for Certifications	Requesting party

### **▪ Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### **▪ How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receiving of Letter Request	The client submits the letter-request.	Assisting Officer verifies the request and receives the request from the client.  If request does not pertain to a company's pending formal complaints before the CAD or a company's claims	None	3 minutes	AO (Administrative Assistant III/ Administrative Aide II)



STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
		settlement record, Assisting Officer will endorse said client to the proper division.			
2. Preparation of Certification		<p>The Assisting Officer prepares the appropriate Certification.</p> <p>The Division Manager reviews the Certification and, if found in order, affixes his signature thereon.</p>	None	1 day	<p>AO (Administrative Assistant III/ Administrative Aide II)</p> <p>Division Manager</p>
3. Payment of Fees	The client proceeds to the Cashier Section to pay the certification fee.	The Assisting Officer prepares the Order of Payment.	Certification Fee (PHP 500.00)	7 minutes	<p>AO (Administrative Assistant III/ Administrative Aide II)</p> <p>Cashier Staff</p>
4. Releasing of Certification	The client receives the Certification requested.	The Assisting Officer releases the Certification to the client.	None	5 Minutes	AO (Administrative Assistant III/ Administrative Aide II)
<b>TOTAL:</b>			<b>PHP 500.00</b>	<b>1 day and 15 minutes</b>	



# **Legal Services Group – Conservatorship, Receivership and Liquidation Division**

## **External Services**



## ***ASSISTANCE TO CLAIMANTS FOR FILING OF CLAIMS AGAINST COMPANIES UNDER CRL***

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### **▪ About the Service**

This process is observed in the filing and following up of claims against companies under conservatorship, receivership and liquidation received from the following:

- a. Walk-in Claimants – Policyholder/Planholder/Authorized Representative/s who personally visits the CRL Division
- b. Mail – Written request for assistance addressed to IC or CRL Division

### **▪ Office/Division**

Conservatorship, Receivership and Liquidation Division (CRLD)

### **▪ Classification**

Simple

### **▪ Type of Transaction**

Government-to-Citizen (G2C)

### **▪ Who May Avail of the Service**

Any person whether planholder/policyholder and/or creditor who has claims against company under CRL

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1. Claimant's Request for Assistance Form	CRL Division
2. Photocopy of Policy/Plan	From the Requestor/Client
3. Photocopy of Certificate of Full Payment	From the Requestor/Client
4. Photocopy of two valid government issued ID's (LTO, DFA, SSS, BIR, Philhealth, Pag-IBIG, PHLPPost, Comelec, PRC, IBP, LGUs, DOLE, NBI)	From the Requestor/Client

### **▪ Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Documentation of Request	The Client proceeds to CRLD and informs Action Officer of the request.	<p><b>Walk-in:</b> The Action Officer interviews the client. If the client has not yet filed the claim, the CRL Action Officer requires the submission of the required documents.</p> <p>If the client has already filed the claim, the Action Officer advises the client to follow up with the company under CRL, the Conservator, Receiver or Liquidator or Overseer (CRLrO), or IC CRL Division and gives the client the contact details. The interview will be closed/ended.</p> <p><b>Through Mail or E-mail:</b> The Action Officer receives the mailed documents from the Record Section or through CRL official e-mail.</p>	None	30 minutes	<p>Supervising Insurance Specialist</p> <p>Senior Insurance Specialist</p> <p>Insurance Specialist II</p> <p>Insurance Specialist I</p> <p>CRLD Staff</p>
2. Evaluation of Request		The Action Officer evaluates the submitted and/or mailed documents and prepares the Referral Letter (RL) for the company, Conservator, Receiver or Liquidator.		2 days and 4 hours	
3. Approval of Request		The CRL Division Manager approves the RL		1 hour and 45 minutes	Division Manager
4. Transmittal of Referral Letter to companies under CRL	The Client receives notification .	The Administrative Assistant/Aide notifies the client and transmits the letter to Records Section for mailing or personal delivery.		1 hour and 45 minutes	CRLD Staff
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	

## ***PROCESS OF ACTING ON ENDORSEMENTS / REFERRAL LETTER RECEIVED FROM GOVERNMENT AGENCIES***

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- **About the Service**

This service is to assist other government agencies that endorse complaint which are WITHIN and NOT WITHIN the jurisdiction of the Insurance Commission by endorsing the same to the appropriate government agencies.

- **Office/Division**

Conservatorship, Receivership and Liquidation Division (CRLD)

- **Classification**

Simple

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Policyholder/Planholder  
Third Party Claimant

- **Requirement/s**

Checklist of Requirements	Where to secure
Endorsement/Referral Letter from the Government Agency	From the Requestor/Client

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Referral / Endorsement Letter from Government Agency	Endorsement and Referral from other government agencies	CRLD's General Receiving, records for encoding  Assigns to Action Officer	None	1 hour	CRLD Staff

2. Evaluation and Review		<p>The Action Officer evaluates and reviews the Endorsement / Referral Letter.</p> <p>If Endorsement/ Referral Letter is not within IC jurisdiction, Action Officer evaluates which government agency to endorse/transmit to.</p> <p>If the Endorsement / Referral Letter is within IC's jurisdiction, Action Officer evaluates the nature of the claim.</p>	None	1 day	Supervising Insurance Specialist / Senior Insurance Specialist / Insurance Specialist II / Insurance Specialist I / CRLD Staff
3. Preparation of Endorsement Letter / Memo		<p>If not within IC's jurisdiction, Action Officer transmits the Endorsement/ Referral Letter to the proper government entity for appropriate action, copy furnished the government office concerned and the claimant; or</p> <p>If within IC's jurisdiction, the Action Officer reviews and evaluates the nature of the claim and refers to the appointed Conservator, Receiver, Liquidator or Overseer.</p>	None	1 day	Supervising Insurance Specialist / Senior Insurance Specialist / Insurance Specialist II / Insurance Specialist I / CRLD Staff
4. Signing of the Endorsement / Referral		<p>The Division Manager reviews the letter; If there are marginal notes refer to the Action Officer for correction and finalization.</p> <p>If there are no correction, the Division Manager affixes his signature.</p>	None	5 hours	Division Manager

5. Recording and Releasing		The CRLD Staff releases the signed Endorsement/ Referral Letter to the Releasing Section for delivery to the concerned parties.	None	2 hours	CRLD Staff
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	



# Legal Services Group – Licensing Division

## External Services





## ***CONDUCT OF AGENTS' QUALIFYING EXAMINATION THROUGH THE AGENTS' COMPUTERIZED EXAMINATIONS (ACE) SYSTEM***

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- **About the Service**

The passing of examination is required of persons applying for issuance of license as insurance agents, if not otherwise exempt from taking the same. He/she must be of good moral character and must have never been convicted of any crime involving moral turpitude. He/she must satisfactorily show that he/she has been trained in the kind/s of insurance contemplated in the license applied for.

- **Office/Division**

Licensing Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

All individuals who have been duly registered by the insurance company representative in the Agents' Computerized Examination (ACE) System and who have paid the corresponding examination fee may avail of the service.

Duly registered individuals may secure their login username from their respective insurance companies and must present this before the proctor on the day of the examination

- **Requirement/s**

Checklist of Requirements	Where to secure
Valid Government ID with photo	Examinee

▪ **Schedule of Availability of Service**

Days	Batches	Time	Venue
Mondays through Fridays	1 <sup>st</sup> Batch	9:15 A.M. to 10:45 A.M.	IC Manila Office
	2 <sup>nd</sup> Batch	12:30 P.M. to 2:00 P.M.	
	3 <sup>rd</sup> Batch	2:15 P.M. to 3:45 P.M.	

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Verification	The Examinee proceeds to the Licensing Division for identity and payment verification by presenting a valid government-issued identification card and proof of payment of examination fee.	The Action Officer verifies the identity of examinees and payment of examination fee.	Examination Fee – Php1,010.00  <i>(Payment may be made either to the IC Cashier or ePayment Portal of the Landbank of the Philippines not later than one (1) working day before the scheduled examination.)</i>	30 minutes	IC Administrative Assistant I/II  IC Administrative Aide I  Contract of Service Personnel
2. Examination Proper	The Examinee proceeds to the Examination Room and takes the examination.	The Assigned Proctor discusses examination rules and guidelines.	none	1 hour	IC Insurance Specialist I  IC Administrative Assistant I
3. Release of Examination Results	The Examinee finishes the Examination.	The Assigned Proctor prints out the Examination Results and issues the same to the examinee.	none	30 minutes	IC Insurance Specialist I  IC Administrative Assistant I
<b>TOTAL:</b>			<b>Php1,010.00</b>	<b>2 hours</b>	

▪ **How to Avail of the Service (Same-day Retake)**

In case of failure to meet the passing score for the examination, the examinee has the option to retake the examination on the same day through the following procedure:

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Documentation of Request	The Examinee informs the Action Officer (AO) of his/her intention to retake the examination and presents examination result.	The AO validates the examination result, generates the Order of Payment, and advises the examinee to pay the examination fee.	Examination Fee – Php1,010.00  <i>(Payment is made to the IC Cashier)</i>	15 minutes	IC Administrative Assistant I/II  IC Administrative Aide I  Contract of Service Personnel
2. Payment of Fees	The Examinee proceeds to the Cashier for payment of examination fee and presents proof of payment to the AO.	The AO validates payment.  The AO instructs the Examinee to proceed to the Examination room.	none	30 minutes	IC Administrative Assistant I  IC Administrative Aide I  IC Insurance Specialist II
3. Examination Proper	The Examinee proceeds to the Examination Room and takes the examination.	The Assigned Proctor discusses examination rules and guidelines.	none	1 hour	IC Insurance Specialist I  IC Administrative Assistant I
4. Release of Examination Results	The Examinee finishes the examination.	The Assigned Proctor prints out the Examination Results and issues the same to the examinee.	none	30 minutes	IC Insurance Specialist I  IC Administrative Assistant I
<b>TOTAL:</b>			<b>Php1,010.00</b>	<b>2 hours and 15 minutes</b>	

## ***REQUEST FOR ESTABLISHMENT/CLOSURE OF A BRANCH OR AN EXTENSION OFFICE OF INSURANCE COMPANY***

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- **About the Service**

Circular Letter 2016-39 requires that the establishment of any branch, extension office and/or service office of a domestic insurance company or the transfer thereof from one city to another be approved by the Insurance Commission.

- **Office/Division**

Licensing Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

All licensed insurance/pre-need/HMO companies

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Request letter	Company Head Office
Certified copy/ies of the Special Power of Attorney executed in favor of the manager/s of the branch/service/extension office/s authorizing him/them to receive summons, notices and legal processes on behalf of the company	Company Head Office
Board resolution approving the establishment, transfer, or closure of such branch, extension, satellite, and/or service office;	Company Head Office
Appointment of Branch Manager/Officer-in-Charge and if	Company Head Office

applicant is a non-life insurance company, appointment of registered company underwriter	
Certificate of employment of officers and employees of such branch, extension, satellite, and/or service office	Company Head Office

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1.Submission of requirements and payment of fees	The applicant submits complete documentary requirements and pays the required fee.	<p>1.a. The Action Officer (AO) reviews the completeness of documents.</p> <p>(If <u>complete</u>, go to 1.c. If <u>incomplete</u>, go to 1.b)</p> <p>1.b Returns the documents to the applicant. END.</p> <p>1.c. Computes the required fee &amp; issues Order of Payment (OOP) and advises the client to pay the fee to the Cashier.</p> <p>1.d. The Cashier receives payment and issues Official Receipt (OR) to the applicant.</p>	<p>Registration Fee – Php5,050.00</p> <p><i>(Note: All fees are inclusive of 1% Legal Research Fund [LRF] fee, pursuant to IC Circular Letter No. 2014-15)</i></p>	1 hour (excluding queuing time)	<p>IC Insurance Specialist II</p> <p>Cashier</p>

		1.e. The AO endorses the document for receiving, encoding, and assignment.			IC Administrative Assistant II  Contract of Service Personnel
2. Preparation of Approval Letter		<p>2.a. The AO prepares the draft Approval Letter (with Complete Staff Work [CSW]) and forwards the same to the Division Manager (DM) or Officer-in-Charge (OIC).</p> <p>2.b. DM/OIC reviews the draft.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revisions, DM/OIC returns the documents to the AO for revision.</p> <p>2.c. Once draft is finalized, AO signs the CSW and initials draft Approval Letter and forwards to DM/OIC.</p> <p>2.d. The DM/OIC signs the CSW and initials the Approval Letter.</p> <p>2.e. AO encodes the CSW and forwards all documents to the</p>	none	23 hours	<p>IC Insurance Specialist II</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Insurance Specialist II</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>

		Deputy Insurance Commissioner.			
3. Recommendation		The Deputy Insurance Commissioner recommends the signing of the letter to the Insurance Commissioner.	none	16 hours	Deputy Insurance Commissioner for Legal Services
4. Approval		The Insurance Commissioner signs the approval letter.	none	16 hours	Insurance Commissioner <i>(Note: Authority to Sign delegated to Deputy Insurance Commissioner Erickson H. Balmes)</i>
<b>TOTAL:</b>			<b>Php5,050.00</b>	<b>7 days</b>	

## ***REQUEST FOR ENDORSEMENT FOR REGISTRATION TO THE SECURITIES AND EXCHANGE COMMISSION OR COOPERATIVE DEVELOPMENT AUTHORITY***

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- **About the Service**

The Corporation Code of the Philippines and the Philippine Cooperative Code of 2008 require that no articles of incorporation or amendments of insurance, pre-need, health maintenance organization companies, financial intermediaries, and corporations governed by special laws shall be approved by the Securities and Exchange Commission unless accompanied by a favorable recommendation of the appropriate government agency to the effect that the articles or amendment are in accordance with the law.

- **Office/Division**

Licensing Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

All persons under the supervision of the Insurance Commission who intend to apply for registration of its articles of incorporation or amendment to such articles of incorporation may avail of the service.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Request letter signed by authorized officer	Requesting Entity
Copy of the Articles of Incorporation/Partnership or in case of amendment, copy of the proposed amended Articles of Incorporation/By-Laws. The present/original Articles of Incorporation and/or By-Laws should be copied verbatim except for the	Requesting Entity



portions being amended. Underscore once the amended portions and type "As amended on [date of stockholders' approval of the amendment]."	
<p>Directors' Certificate for the Amendment of Articles of Incorporation/By-Laws attesting that:</p> <ul style="list-style-type: none"> <li>i. Stockholders representing at least 2/3 of the outstanding capital stock; and</li> <li>ii. Majority of the directors, approved the proposed amendment/s.</li> </ul>	Requesting Entity

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission and evaluation of requirements and payment of fees	The applicant submits complete documentary requirements and pays the required fee.	<p>1.a. The Action Officer (AO) reviews the completeness of documents.</p> <p>(If <u>complete</u>, go to 1.c. If <u>incomplete</u>, go to 1.b)</p> <p>1.b Returns the documents to the applicant. END.</p> <p>1.c. Computes the required fee &amp; issues Order of Payment (OOP) and advises the applicant to pay</p>	<p>Processing Fee – Php1,010.00</p> <p><i>(Note: All fees are inclusive of 1% Legal Research Fund [LRF] fee, pursuant to IC Circular Letter No. 2014-15)</i></p>	30 minutes	IC Insurance Specialist II

		<p>the fee to the Cashier.</p> <p>1.d. The Cashier receives payment and issues Official Receipt (OR) to the applicant.</p> <p>1.e. The AO endorses the document for receiving, encoding, and assignment.</p>			<p>Cashier</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Preparation of Approval Letter		<p>2.a. The AO prepares the draft endorsement or denial letter (with Complete Staff Work [CSW]) and forwards the same to the Division Manager (DM) or Officer-in-Charge (OIC).</p> <p>2.b. The DM/OIC reviews the draft.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revisions, DM/OIC returns the documents to the AO for revision.</p> <p>2.c. Once draft is finalized, AO signs the CSW and initials draft endorsement or denial letter and forwards to DM/OIC.</p>	none	23 hours and 30 minutes	<p>IC Insurance Specialist II</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Insurance Specialist II</p>

		<p>2.d. The DM/OIC signs the CSW and initials the endorsement or denial letter.</p> <p>2.e. The AO encodes the CSW and forwards all documents to the Deputy Insurance Commissioner.</p>			<p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
3. Recommendation		The Deputy Insurance Commissioner reviews the draft and forwards the recommendation to the Insurance Commissioner, should there be no revision.	none	16 hours	Deputy Insurance Commissioner for Legal Services
4. Approval		The Insurance Commissioner signs the endorsement or denial letter, should there be no revision.	none	16 hours	<p>Insurance Commissioner</p> <p><i>(Note: Authority to Sign delegated to Deputy Insurance Commissioner Ferdinand George A. Florendo)</i></p>
<b>TOTAL:</b>			<b>Php1,010.00</b>	<b>7 days</b>	

## ***ISSUANCE OF CERTIFICATION ON LICENSE STATUS AND RESULT OF AGENT'S EXAMINATION***

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- **About the Service**

The public may request for a certification as to the status of license or registration of an IC-supervised person or entity, or as to the examination result of an individual on his/her agents' qualifying examination conducted by the Insurance Commission. If the license or registration documents have been forwarded to the Records Section, such request should be made to the Records Section.

- **Office/Division**

Licensing Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

All

- **Requirement/s**

Checklist of Requirements	Where to secure
For Issuance of Result of Agent's Examination: <ul style="list-style-type: none"><li>➤ Signed request letter addressed to the Licensing Division containing the following information:<ul style="list-style-type: none"><li>- Complete name of examinee</li><li>- Name of company being represented at the time of examination</li></ul></li></ul>	Requesting Entity



			<i>Exam database.)</i>		
2. Payment of Fees	The applicant proceeds to the Cashier Section for payment.	The Cashier receives payment and issues Official Receipt (OR) to the Applicant.	none	15 minutes	Cashier
3. Preparation of Certification	The applicant presents the OR to the AO.	The AO prepares the draft Certification and initials the duplicate copy.	none	1 hour	IC Insurance Specialist I/II IC Administrative Aide I Contract of Service Personnel
4. Signing of Certification		The Division Manager/Officer-in-Charge reviews and signs the draft certification, should there be no correction.	none	15 minutes	Officer-in-Charge/Division Manager
5. Issuance of Certification		The AO issues Certification to the Applicant.	none	5 minutes	IC Insurance Specialist I/II IC Administrative Aide I
<b>TOTAL:</b>			<b>Php500.00 / Php200.00</b>	<b>2 hours and 5 minutes</b>	

## *APPLICATION FOR REGISTRATION AS CONTROLLED INSURER*

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- **About the Service**

Every insurer authorized to do business in the Philippines and which is part of a holding company system shall register with this Commission in accordance with Section 294(a) of the Insurance Code, as amended by Republic Act No. 10607.

- **Office/Division**

Licensing Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Any insurer authorized to do business in the Philippines and is a part of a holding company.

- **Requirement/s**

Checklist of Requirements	Where to secure
Request letter	Company Head Office
Copy of Charter or Articles of Incorporation and By-Laws	Securities and Exchange Commission
Identities of principal or majority shareholder, officers, directors, and controlled persons	Company Head Office
List of shareholders and percentage of ownership	Company Head Office
Information as to the capital structure and general financial condition of the holding company	Company Head Office
A description and list of the principal business/es	Company Head Office

National Bureau of Investigation (NBI) clearance or similar clearance from foreign counterpart of the major shareholder or ultimate beneficial owner of the controlled insurer	National Bureau of Investigation/ or its foreign counterpart
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▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of request and payment of fees	The applicant submits complete documentary requirements and pays the required fee.	<p>1.a. The Action Officer (AO) reviews the completeness of documentary requirements.</p> <p>(If <u>complete</u>, go to 1.c. If <u>incomplete</u>, go to 1.b)</p> <p>1.b The AO returns the documents to the applicant. END.</p> <p>1.c. The AO computes the prescribed fee, issues Order of Payment (OOP) and advises the applicant to pay the fee to the Cashier.</p> <p>1.d. The Cashier receives payment and issues Official Receipt (OR) to the applicant.</p>	<p>Registration Fee – Php50,500.00</p> <p><i>(Note: Pursuant to IC Circular Letter No. 2018-64)</i></p>	1 hour	<p>IC Attorney II</p> <p>IC Insurance Specialist II</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>Cashier</p>





		2.e. The AO encodes the CSW and forwards all documents to the Deputy Insurance Commissioner.			Contract of Service Personnel
3. Recommendation		The Deputy Insurance Commissioner reviews the draft and forwards the recommendation to the Insurance Commissioner, should there be no revision.	none	12 hours	Deputy Insurance Commissioner for Legal Services
4. Approval		The Insurance Commissioner approves by signing the letter of approval or disapproval.	none	12 hours	Insurance Commissioner
<b>TOTAL:</b>			<b>Php50,500.00</b>	<b>7 days</b>	

## ***APPLICATION FOR REGISTRATION AS ONLINE INSURANCE AGGREGATOR***

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- **About the Service**

The Circular Letter No. 2018-51 dated 15 October 2018 requires online insurance aggregator, as defined therein, to register with the Insurance Commission.

- **Office/Division**

Licensing Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

An entity that intends to engage in or is engaged in business as online aggregator of insurance products.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter of Intent	Company Head Office
Certificate of Registration <ul style="list-style-type: none"><li>- <i>In case the applicant is a foreign corporation or those companies formed, organized, or existing under any laws other than those of the Philippines, the foregoing documents may be substituted by the appropriate equivalent documents in English or with an English translation thereof if in foreign language other than English issued by the country of the applicant.</i></li></ul>	Securities and Exchange Commission (SEC) and Bureau of Internal Revenue (BIR) or their foreign counterpart

<p>Certified Copy of Articles of Incorporation/Partnership/Cooperation, By-Laws and any amendments</p> <ul style="list-style-type: none"> <li>- <i>In case the applicant is a foreign corporation or those companies formed, organized, or existing under any laws other than those of the Philippines, the foregoing documents may be substituted by the appropriate equivalent documents in English or with an English translation thereof if in foreign language other than English issued by the country of the applicant.</i></li> </ul>	SEC or their foreign counterpart
Copy of the business model and system framework/module of operation	Company Head Office
<p>Copy of the aggregation agreement with insurance companies</p> <ul style="list-style-type: none"> <li>- <i>The applicant may redact any provision that it deems commercially sensitive before submission to the Insurance Commission. Should the applicant deem that a provision should be kept confidential, it shall specifically identify the information that it claims as commercially sensitive and a written statement justifying and substantiating the request for confidential treatment over each piece of information. Blanket claims for confidentiality shall not be accepted.</i></li> </ul> <p><i>Provisions claimed to be confidential shall be provisionally treated as such until said claim for confidentiality</i></p>	Company Head Office

<p><i>is determined to be unjustified and without prejudice to the issuance of an order of this Commission requiring the disclosure of the said information.</i></p> <p><i>Redacted provisions should be divulged to the Insurance Commission if so warranted and when so directed by the Insurance Commission. In such case, the redacted provisions shall not be divulged to other persons other than the concerned officers of the Insurance Commission.</i></p>	
Any other documents deemed necessary by the Insurance Commission	

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of request and payment of fees	The applicant submits complete documentary requirements and pays the required fee.	<p>1.a. The Action Officer (AO) reviews the completeness of documentary requirements.</p> <p>(If <u>complete</u>, go to 1.c. If <u>incomplete</u>, go to 1.b)</p> <p>1.b The AO returns the</p>	<p>Registration Fee – Php50,500.00 – valid for three (3) years</p> <p>(Note: Pursuant to IC Circular Letter No. 2018-51)</p>	2 hours	<p>IC Attorney II</p> <p>IC Insurance Specialist II</p>

		<p>documents to the applicant. END.</p> <p>1.c. The AO computes the prescribed fee, issues Order of Payment (OOP) and advises the applicant to pay the prescribed fee to the Cashier.</p> <p>1.d. The Cashier receives payment and issues Official Receipt (OR) to the applicant.</p> <p>1.e. The AO endorses the document for receiving, encoding, and assignment</p>			<p>Cashier</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Evaluation		<p>2.a. The AO assesses the application documents, prepares the draft approval/disapproval letter with Complete Staff Work (CSW) and forwards the same to the Division Manager (DM) or Officer-in-Charge (OIC) for review.</p> <p>2.b. DM/OIC reviews the draft.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p>	none	126 hours	<p>IC Attorney II</p> <p>Officer-in-Charge/Division Manager</p>

		<p>If with revision or there is a need for a clarificatory meeting with the company, DM/OIC returns the documents to the AO.</p> <p>2.c. Once draft is finalized, the AO and DM/OIC sign the CSW and initial the draft letter of approval or disapproval.</p> <p>2.d. AO encodes the CSW and forwards all documents to the Deputy Insurance Commissioner.</p>			<p>IC Attorney II</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
3. Recommendation		The Deputy Insurance Commissioner reviews the draft and forwards the recommendation to the Insurance Commissioner, should there be no revision.	none	16 hours	Deputy Insurance Commissioner for Legal Services
4. Approval		The Insurance Commissioner approves by signing the letter of approval or disapproval.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>			<b>Php50,500.00</b>	<b>20 days</b>	

## ***APPROVAL OF TELEMARKETING AGREEMENT***

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- **About the Service**

The Circular Letter No. 2016-61 dated 16 November 2016 requires every insurance company, general agency, and insurance broker engaged in telemarketing of insurance products to secure the approval of this Commission. Specifically, telemarketing agreement, spiel or script, and telemarketing employment contract must be approved by this Commission.

- **Office/Division**

Licensing Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Insurance companies, general agencies, and insurance brokers authorized to do business in the Philippines intending to engage in telemarketing of insurance products.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter of Intent	Company Head Office
Telemarketing arrangement/ agreements between insurance company or broker and telemarketing company;	Company Head Office
Copy of the outbound telemarketing insurance product script or spiel	Company Head Office
Other documents as may be required by the Insurance Commission	



Any other documents deemed necessary by the Insurance Commission	
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▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of request and payment of fees	The applicant submits complete documentary requirements and pays the required fee.	<p>1.a. The Action Officer (AO) reviews the completeness of documentary requirements.</p> <p>(If <u>complete</u>, go to 1.c. If <u>incomplete</u>, go to 1.b)</p> <p>1.b Returns the documents to the applicant. END.</p> <p>1.c. Computes the prescribed fee, issues Order of Payment (OOP) and advises the applicant to pay the prescribed fee to the Cashier.</p> <p>1.d. The Cashier receives payment and issues Official Receipt (OR) to the applicant.</p> <p>1.e. The AO endorses the document for receiving,</p>	<p>Registration Fee – Php25,250.00 – one-time payment</p> <p>(Note: Pursuant to IC Circular Letter No. 2016-21)</p>	2 hours	<p>IC Attorney II</p> <p>IC Insurance Specialist II</p> <p>Cashier</p> <p>IC Administrative Assistant II</p>

		encoding, and assignment			Contract of Service Personnel
2. Evaluation		<p>2.a. The AO assesses the application documents, prepares the draft approval/disapproval letter with Complete Staff Work (CSW) and forwards the same to the Division Manager (DM) or Officer-in-Charge (OIC) for review.</p> <p>2.b. DM/OIC reviews the draft.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision or there is a need for a clarificatory meeting with the company, DM/OIC returns the documents to the AO.</p> <p>2.c. Once draft is finalized, AO and DM/OIC sign the CSW and initial the draft letter of approval or disapproval.</p> <p>2.d. AO encodes the CSW and forwards all documents to the</p>	none	126 hours	<p>IC Attorney II</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Attorney II</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>

		Deputy Insurance Commissioner.			
3. Recommendation		The Deputy Insurance Commissioner reviews the draft and forwards the recommendation to the Insurance Commissioner, should there be no revision.	none	16 hours	Deputy Insurance Commissioner for Legal Services
4. Approval		The Insurance Commissioner approves by signing the letter of approval or disapproval.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>			<b>Php25,250.00</b>	<b>20 days</b>	

## ***APPROVAL OF BANCASSURANCE AGREEMENT***

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- **About the Service**

Bancassurance or cross-selling of insurance products by insurance companies may be conducted only in premises of banks having secured prior Monetary Board approval to engage in the said activities.

Pursuant to Sections 375 and 377 of the Insurance Code, as amended by Republic Act No. 10607, Bancassurance agreements entered into by and between the insurance company and the bank shall be submitted to the Insurance Commission for its approval.

- **Office/Division**

Licensing Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Any insurance company authorized to do business in the Philippines intending to engaged in bancassurance activity.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter of Intent	Company Head Office
Bancassurance agreement	Company Head Office
Certification of approved bancassurance products	Banko Sentral ng Pilipinas (BSP)
If offering Variable Universal Life product, BSP certification that the applicant and partner bank belong to the same financial conglomerate	Banko Sentral ng Pilipinas (BSP)

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of request and payment of fees	The applicant submits complete documentary requirements and pays the required fee.	<p>1.a. The Action Officer (AO) reviews the completeness of documentary requirements.</p> <p>(If <u>complete</u>, go to 1.c. If <u>incomplete</u>, go to 1.b)</p> <p>1.b Returns the documents to the applicant. END.</p> <p>1.c. Computes the prescribed fee, issues Order of Payment (OOP) and advises the applicant to pay the prescribed fee to the Cashier.</p> <p>1.d. The Cashier receives payment and issues Official Receipt (OR) to the applicant.</p> <p>1.e. The AO endorses the document for receiving, encoding, and assignment.</p>	<p>For new bancassurance agreement – Php25,000.00</p> <p>Substantial amendments to previously approved bancassurance agreement – Php15,000.00</p> <p><i>(Note: Pursuant to IC Circular Letter No. 2016-40)</i></p>	2 hours	<p>IC Attorney II</p> <p>IC Insurance Specialist II</p> <p>Cashier</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>



		recommendation to the Insurance Commissioner, should there be no revision.			
4. Approval		The Insurance Commissioner approves the recommendation by signing the letter of approval or disapproval.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>			<b>Php40,000.00</b>	<b>20 days</b>	

## ***APPLICATION FOR ISSUANCE OF CERTIFICATE OF AUTHORITY AS MUTUAL BENEFIT ASSOCIATION***

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### **▪ About the Service**

Section 404 of the Insurance Code, as amended by Republic Act No. 10607, requires a mutual benefit association, as defined in Section 403, to secure a license from the Commission before it may transact business as such.

### **▪ Office/Division**

Licensing Division

### **▪ Classification**

- Pre-Evaluation Procedure : Simple
- Evaluation Procedure : Complex
- Processing Procedure : Simple

### **▪ Type of Transaction**

Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

All entities intending to do business as a mutual benefit association.

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Duly notarized application	Form can be downloaded from the Insurance Commission website
Certified True Copy of Certificate of Registration or Articles of Incorporation/Partnership/Cooperation	Securities and Exchange Commission (SEC) or Cooperative Development Authority (CDA)
General Information Sheet (GIS) showing the latest incorporators, their citizenship, and percentage of share owned and paid, whenever applicable and/or list of incorporators and officers with positions held	Securities and Exchange Commission (SEC)  Requesting Entity



Amount set aside as guaranty fund (IMC No. 9-2006)	Requesting Entity
Fidelity bond of accountable office/rs	Requesting Entity
Pre-operational balance sheet	Requesting Entity
Organizational chart of the corporation	Requesting Entity
ITR of the incorporators for the last three (3) years	Requesting Entity
Clearance of board of directors	National Bureau of Investigation (NBI)
Project study showing the expected volume of business to be and the amount of premiums that will be realized on the various policies for the next three (3) initial years from operation	Requesting Entity
Waiver on bank secrecy law in favor of the Insurance Commission and/or its officers	Requesting Entity
Documentary Stamp (Php15.00)	Bureau of Internal Revenue (BIR)

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

**PRE-EVALUATION PROCEDURE**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of complete documentary requirements and payment of Pre-Licensing Fee	The applicant submits complete documentary requirements and pays the Pre-Licensing Fee.	1.a. The Action Officer (AO) reviews the completeness of documentary requirements.  (If <u>complete</u> , go to 1.c. If <u>incomplete</u> , go to 1.b)	Metro Manila Pre-Licensing Fee – Php10,100.00  Luzon (non-Metro Manila) Pre-Licensing Fee – Php25,250.00	2 hours	IC Supervising Insurance Specialist

		<p>1.b Returns the documents to the applicant. END.</p> <p>1.c. Computes the prescribed fee, issues Order of Payment (OOP) and advises the applicant to pay the prescribed fee to the Cashier.</p> <p>1.d. The Cashier receives payment and issues Official Receipt (OR) to the applicant.</p> <p>1.e. The AO endorses the document for receiving, encoding, and assignment.</p>	<p>Visayas Pre-Licensing Fee – Php40,400.00</p> <p>Mindanao Pre-Licensing Fee – Php45,450.00</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund (LRF) fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>		<p>Cashier</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Preparation of Designation Letter		<p>2.a. The AO prepares a draft letter designating personnel to conduct pre-licensing evaluation with Complete Staff Work (CSW) and submits draft to the Division Manager/ Officer-in-Charge (OIC) for review.</p> <p>2.b. DM/OIC reviews the draft.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns</p>	none	6 hours	<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>

		<p>the documents to the AO.</p> <p>2.c. Once the draft is finalized, AO and DM/OIC sign the CSW and initial the draft letter of approval or disapproval.</p> <p>2.d. AO encodes the CSW and forwards all documents to the Deputy Insurance Commissioner.</p>			<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
3. Recommendation		The Deputy Insurance Commissioner reviews the draft designation letter and makes a recommendation to the Insurance Commissioner.	none	8 hours	Deputy Insurance Commissioner for Legal Services
4. Approval		The Insurance Commissioner signs the designation letter.	none	8 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>3 days</b>	

## EVALUATION PROCEDURE

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Pre-Licensing Report	The applicant allows the designated personnel to conduct Pre-Licensing Evaluation.	<p>1.a. The AO prepares pre-licensing report and submits draft to the DM/OIC.</p> <p>AO and DM/OIC sign the draft Pre-licensing report.</p>	none	24 hours	<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p>

		<p>1.b The DM/OIC reviews the draft Pre-Licensing report.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>1.c. Once the draft is finalized, AO and DM/OIC sign the Pre-Licensing Report.</p> <p>1.d. The AO encodes the CSW and forwards all documents to the Deputy Insurance Commissioner.</p>			<p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Recommendation and Review		The Deputy Insurance Commissioner reviews the Pre-Licensing Report and forwards his recommendation to the Insurance Commissioner.	none	16 hours	Deputy Insurance Commissioner for Legal Services
3. Approval		The Insurance Commissioner approves or disapproves the Pre-Licensing Report.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>7 days</b>	

## PROCESSING PROCEDURE

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Letter		<p>(If <u>approved</u>, go to 1.e. If <u>disapproved</u>, go to 1.a.)</p> <p><i>For disapproved applications:</i></p> <p>1.a. The AO prepares draft denial letter with CSW and forwards to DM/OIC for review.</p> <p>1.b The DM/OIC reviews the draft denial letter.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>1.c. Once the draft is finalized, AO and DM/OIC sign the CSW and initial the letter.</p> <p>1.d. The AO encodes the denial letter with CSW and forwards all documents to the Insurance Commissioner.</p> <p><i>For approved applications:</i></p>	none	12 hours	<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>

		<p>1.e. The AO drafts a letter addressed to applicant advising it to pay the Licensing Fee and forwards it to the DM/OIC for review.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>Once finalized, the DM/OIC signs the letter.</p> <p>The AO encodes the letter and forwards it to the Records Section for releasing.</p>			<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>
	<p>The applicant secure OOP and pays the licensing fee</p>	<p>1.f. The AO issues Order of Payment and advises applicant to pay to the Cashier.</p> <p>1.g. Cashier receives payment and issues Official Receipt (OR) to the applicant.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>Cashier</p>
	<p>The applicant exhibits OR to AO.</p>	<p>1.h. The AO endorses the OR for encoding and assignment.</p> <p>1.i. The AO prepares covering letter and Certificate of</p>			<p>IC Supervising Insurance Specialist</p>

		<p>Authority with Complete Staff Work (CSW) and forwards to the DM/OIC.</p> <p>1.j. DM/OIC reviews the covering letter (CL) and Certificate of Authority (CA) with CSW.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO.</p> <p>Once the draft is finalized, AO and DM/OIC sign the CSW and initial the CL and the CA.</p> <p>1.k. The AO encodes the CL and CA and forwards all documents to the Insurance Commissioner.</p>			<p>Officer-in-Charge/Division Manager</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Signing of Certificate of Authority or Denial Letter		The Insurance Commissioner signs the CA or denial letter.	none	12 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>3 days</b>	

## ***APPLICATION FOR ISSUANCE OF CERTIFICATE OF AUTHORITY AS RATING ORGANIZATION***

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### **▪ About the Service**

This rating organization is an organization which is formed for the purpose of making rates to be used by more than one insurance company authorized to do business in the Philippines. The term “rate” generally means the ratio of the premium to the amount insured and shall include, as the context may require, either the consideration to be paid or charged for insurance contracts, including surety bonds, or the elements and factors forming the basis for the determination or application of the same, or both.

No rating organization shall commence rate-making operations until it shall have obtained a license from the Insurance Commissioner.

### **▪ Office/Division**

Licensing Division

### **▪ Classification**

- Pre-Evaluation Procedure : Simple
- Evaluation Procedure : Complex
- Processing Procedure : Simple

### **▪ Type of Transaction**

Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

All associations or organizations which intend to perform the functions of a rating organization

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter of Intent	Requesting Entity
Certified True Copy of Certificate of Registration	Securities and Exchange Commission (SEC)
Certified True Copy of Articles of Incorporation or By-laws;	Securities and Exchange Commission (SEC)



General Information Sheet filed with the SEC	Requesting Entity
Copy of its rules and regulations governing the conduct of its business	Requesting Entity
List of insurance companies that have agreed to become members or subscribers	Requesting Entity

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

**PRE-EVALUATION PROCEDURE**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of complete documentary requirements and payment of Pre-Licensing Fee	The applicant submits complete documentary requirements and pays the Pre-Licensing Fee.	<p>1.a. The Action Officer (AO) reviews the completeness of documentary requirements.</p> <p>(If <u>complete</u>, go to 1.c. If <u>incomplete</u>, go to 1.b)</p> <p>1.b Returns the documents to the applicant. END.</p> <p>1.c. Computes the prescribed fee and issues Order of Payment (OOP) and advises the applicant to pay the prescribed fee to the Cashier.</p> <p>1.d. The Cashier receives payment and issues Official</p>	<p>Metro Manila Pre-Licensing Fee – Php10,100.00</p> <p>Luzon (non-Metro Manila) Pre-Licensing Fee – Php25,250.00</p> <p>Visayas Pre-Licensing Fee – Php40,400.00</p> <p>Mindanao Pre-Licensing Fee – Php45,450.00</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund (LRF) fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>	2 hours	<p>IC Supervising Insurance Specialist</p> <p>Cashier</p>

		<p>Receipt (OR) to the applicant.</p> <p>1.e. The AO endorses the document for receiving, encoding, and assignment.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Preparation of Designation Letter		<p>2.a. The AO prepares a draft letter designating personnel to conduct pre-licensing evaluation with Complete Staff Work (CSW) and submits draft to the Division Manager/Officer-in-Charge (OIC) for review.</p> <p>2.b. DM/OIC reviews the draft.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO.</p> <p>2.c. Once the draft is finalized, AO and DM/OIC sign the CSW and initial the draft letter of approval or disapproval.</p> <p>2.d. AO encodes the CSW and forwards all documents to the</p>	none	6 hours	<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>

		Deputy Insurance Commissioner.			
3. Recommendation		The Deputy Insurance Commissioner reviews the draft designation letter and makes a recommendation to the Insurance Commissioner.	none	8 hours	Deputy Insurance Commissioner for Legal Services
4. Approval		The Insurance Commissioner signs the designation letter.	none	8 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>3 days</b>	

## EVALUATION PROCEDURE

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Pre-Licensing Report	The applicant allows the designated personnel to conduct Pre-Licensing Evaluation.	<p>1.a. The AO prepares pre-licensing report and submits draft to the DM/OIC.</p> <p>AO and DM/OIC sign the draft Pre-licensing report.</p> <p>1.b The DM/OIC reviews the draft Pre-Licensing report.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns</p>	none	24 hours	<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p> <p>Officer-in-Charge/Division Manager</p>

		<p>the document to the AO.</p> <p>1.c. Once the draft is finalized, AO and DM/OIC sign the Pre-Licensing Report.</p> <p>1.d. The AO encodes the CSW and forwards all documents to the Deputy Insurance Commissioner.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Recommendation and Review		The Deputy Insurance Commissioner reviews the Pre-Licensing Report and forwards his recommendation to the Insurance Commissioner.	none	16 hours	Deputy Insurance Commissioner for Legal Services
3. Approval		The Insurance Commissioner approves or disapproves the Pre-Licensing Report.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>7 days</b>	

## PROCESSING PROCEDURE

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Letter		<p>(If <u>approved</u>, go to 1.e. If <u>disapproved</u>, go to 1.a.)</p> <p><i>For disapproved applications:</i></p> <p>1.a. The AO prepares draft denial letter with</p>	<p>Mutual Benefit Association (valid for three [3] years) Licensing Fee – Php90,900.00</p> <p>Trustee of Trust for Charitable uses (valid for three [3] years)</p>	12 hours	IC Supervising Insurance Specialist

		<p>CSW and forwards to DM/OIC for review.</p> <p>1.b The DM/OIC reviews the draft denial letter.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>1.c. Once the draft is finalized, AO and DM/OIC sign the CSW and initial the letter.</p> <p>1.d. The AO encodes the denial letter with CSW and forwards all documents to the Insurance Commissioner.</p> <p><i>For approved applications:</i></p> <p>1.e. The AO drafts a letter addressed to applicant advising it to pay the Licensing Fee and forwards it to the DM/OIC for review.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p>	<p>Licensing Fee – Php30,300.00</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund [LRF] fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>		<p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>
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		<p>If with revision, DM/OIC returns the document to the AO.</p> <p>Once finalized, the DM/OIC signs the letter.</p> <p>The AO encodes the letter and forwards it to the Records Section for releasing.</p>			
	The applicant secures OOP and pays the Licensing Fee.	1.f. The AO issues Order of Payment and advises applicant to pay to the Cashier.			IC Administrative Assistant II
		1.g. Cashier receives payment and issues Official Receipt (OR) to the applicant.			Contract of Service Personnel
	The applicant exhibits OR to AO.	1.h. The AO endorses the OR for encoding and assignment.			Cashier
		1.i. The AO prepares covering letter and Certificate of Authority with Complete Staff Work (CSW) and forwards to the DM/OIC.			IC Supervising Insurance Specialist
		1.j. DM/OIC reviews the covering letter (CL) and Certificate of Authority (CA) with CSW.			Officer-in-Charge/Division Manager

		<p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO.</p> <p>Once the draft is finalized, AO and DM/OIC sign the CSW and initial the CL and the CA.</p> <p>1.k. The AO encodes the CL and CA and forwards all documents to the Insurance Commissioner.</p>			<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Signing of Certificate of Authority or Denial Letter		The Insurance Commissioner signs the CA or denial letter.	none	12 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>3 days</b>	

## ***APPLICATION FOR ISSUANCE OF CERTIFICATE OF REGISTRATION AS ACTUARY***

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### **▪ About the Service**

No insurance, mutual benefit association, pre-need, and health maintenance organization company shall be licensed to do business in the Philippines nor shall any insurance, mutual benefit association, pre-need, and health maintenance organization company doing business in the Philippines be allowed to continue doing such business unless they shall engage the services of an actuary duly accredited with the Insurance Commissioner who shall, during the tenure of office, be directly responsible for the direction and supervision of all actuarial work connected with or that may be involved in the business of the insurance company.

### **▪ Office/Division**

Licensing Division

### **▪ Classification**

- Evaluation Procedure : Complex
- Processing Procedure : Simple

### **▪ Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

All persons intending to perform the functions of an actuary of an insurance company, mutual benefit association, pre-need, and health maintenance organization

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Duly accomplished and notarized application form	Form can be downloaded from the Insurance Commission website
Certificate of membership of good standing	Actuarial Society of the Philippines



- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

**EVALUATION PROCEDURE**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of complete documentary requirements.	The applicant submits complete documentary requirements.	<p>1.a. The Action Officer (AO) reviews the completeness of documentary requirements.</p> <p>(If <u>complete</u>, go to 1.c. If <u>incomplete</u>, go to 1.b)</p> <p>1.b Returns the documents to the applicant. END.</p> <p>1.c. The AO prepares draft recommendation and submits to the Division Manager (DM) or Officer-in-Charge (OIC) for review.</p> <p>1.d. DM/OIC reviews the draft recommendation</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to</p>	none	24 hours	<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p> <p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p>

		<p>the AO for revision.</p> <p>1.e. Once the draft is finalized, AO and DM/OIC sign the recommendation.</p> <p>1.f. The AO encodes the CSW Recommendation and forwards all documents to the Deputy Insurance Commissioner.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Recommendation and Review		The Deputy Insurance Commissioner reviews the recommendation of the Licensing Division and forwards his to the Insurance Commissioner.	none	16 hours	Deputy Insurance Commissioner for Legal Services
3. Approval		The Insurance Commissioner approves or disapproves the recommendation.	none	8 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>7 days</b>	

## PROCESSING PROCEDURE

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Letter		<p>(If <u>approved</u>, go to 1.e. If <u>disapproved</u>, go to 1.a.)</p> <p><i>For disapproved applications:</i></p> <p>1.a. The AO prepares draft</p>	HMO Actuary, Non-Life Actuary, and Life Actuary (valid for three [3] years) Licensing Fee – Php45,450.00	12 hours	

		<p>denial letter with CSW and forwards to DM/OIC for review.</p> <p>1.b The DM/OIC reviews the draft denial letter.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>1.c. Once the draft is finalized, AO and DM/OIC sign the CSW and initial the letter.</p> <p>1.d. The AO encodes the denial letter with CSW and forwards all documents to the Insurance Commissioner.</p> <p><i>For approved applications:</i></p> <p>1.e. The AO drafts a letter addressed to applicant advising it to pay the Licensing Fee and forwards it to the DM/OIC for review.</p> <p>If no revision, DM/OIC returns the documents to</p>	<p>Pre-Need Actuary – Php 15,150.00</p> <p><i>50% Discount if the Actuary has an existing license with a different type of business.</i></p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund [LRF] fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>		<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>
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		<p>the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>Once finalized, the DM/OIC signs the letter.</p> <p>The AO encodes the letter and forwards it to the Records Section for releasing.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>Cashier</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>
	<p>The applicant secures OOP and pays the Licensing Fee.</p> <p>The applicant exhibits OR to AO.</p>	<p>1.f. The AO issues Order of Payment and advises applicant to pay to the Cashier.</p> <p>1.g. Cashier receives payment and issues Official Receipt (OR) to the applicant.</p> <p>1.h. The AO endorses the OR for encoding and assignment.</p> <p>1.i. The AO prepares covering letter and Certificate of Authority with Complete Staff Work (CSW) and forwards to the DM/OIC.</p> <p>1.j. DM/OIC reviews the covering letter (CL) and Certificate of</p>			

		<p>Authority (CA) with CSW.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO.</p> <p>Once the draft is finalized, AO and DM/OIC sign the CSW and initial the CL and the CA.</p> <p>1.k. The AO encodes the CL and CA and forwards all documents to the Insurance Commissioner.</p>			<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Signing of Certificate of Authority or Denial Letter		The Insurance Commissioner signs the CA or denial letter.	none	12 hours	Insurance Commissioner
<b>TOTAL:</b>			<b>Php45,450.00</b>	<b>3 days</b>	

## ***APPLICATION FOR ISSUANCE OF CERTIFICATE OF REGISTRATION AS A NON-LIFE COMPANY UNDERWRITER***

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### **▪ About the Service**

No person shall act, and no company shall employ any person, as non-life company underwriter, whose duty and responsibility shall be to select, evaluate, and accept risks for, and to determine the terms and conditions, including those pertaining to amounts of retentions, under which such risks are to be accepted by the company, unless such underwriter is registered as such with the Insurance Commissioner. The non-life company underwriter shall be registered based on qualifications in fire, casualty, surety, and marine business lines.

### **▪ Office/Division**

Licensing Division

### **▪ Classification**

- Evaluation Procedure : Complex
- Processing Procedure : Simple

### **▪ Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

All persons intending to perform the functions of a non-life company underwriter

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Duly accomplished and notarized application form	Form can be downloaded from the Insurance Commission website
Certified true copies of the diploma or certificate of completion of underwriter's designation course	Insurance Institute for Asia and the Pacific (IIAP)
Detailed work experience with Certification of work experience	Present and previous companies applicant worked for
Endorsement	Principal Insurance Company

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

**EVALUATION PROCEDURE**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of complete documentary requirements.	The applicant submits complete documentary requirements.	<p>1.a. The Action Officer (AO) reviews the completeness of documentary requirements.</p> <p>(If <u>complete</u>, go to 1.c. If <u>incomplete</u>, go to 1.b)</p> <p>1.b The AO returns the documents to the applicant. END.</p> <p>1.c. The AO prepares draft recommendation and submits to the Division Manager (DM) or Officer-in-Charge (OIC) for review.</p> <p>1.d. DM/OIC reviews the draft recommendation</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns</p>	none	24 hours	<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p> <p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p>

		<p>the documents to the AO for revision.</p> <p>1.e. Once the draft is finalized, AO and DM/OIC sign the recommendation.</p> <p>1.f. The AO encodes the CSW Recommendation and forwards all documents to the Deputy Insurance Commissioner.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Recommendation and Review		The Deputy Insurance Commissioner reviews the recommendation of the Licensing Division and forwards his to the Insurance Commissioner.	none	16 hours	Deputy Insurance Commissioner for Legal Services
3. Approval		The Insurance Commissioner approves or disapproves the recommendation.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>7 days</b>	

## PROCESSING PROCEDURE

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Letter		<p>(If <u>approved</u>, go to 1.e. If <u>disapproved</u>, go to 1.a.)</p> <p><i>For disapproved applications:</i> 1.a. The AO prepares draft</p>	<p>Licensing Fee (valid for three [3] years – Php30,300.00</p> <p>Fees per additional line (valid for three [3] years) – Php6,060.00</p>	12 hours	



		<p>denial letter with CSW and forwards to DM/OIC for review.</p> <p>1.b The DM/OIC reviews the draft denial letter.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>1.c. Once the draft is finalized, AO and DM/OIC sign the CSW and initial the letter.</p> <p>1.d. The AO encodes the denial letter with CSW and forwards all documents to the Insurance Commissioner.</p> <p><i>For approved applications:</i></p> <p>1.e. The AO drafts a letter addressed to applicant advising it to pay the Licensing Fee and forwards it to the DM/OIC for review.</p> <p>If no revision, DM/OIC returns the documents to</p>	<p><i>(Note: Fee is inclusive of 1% Legal Research Fund [LRF] fee, pursuant to IC Circular Letter No. 2014-15)</i></p>		<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>
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		<p>the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>Once finalized, the DM/OIC signs the letter.</p> <p>The AO encodes the letter and forwards it to the Records Section for releasing.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>Cashier</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>
	<p>The applicant secures OOP and pays the Licensing Fee.</p> <p>The applicant exhibits OR to AO.</p>	<p>1.f. The AO issues Order of Payment and advises applicant to pay to the Cashier.</p> <p>1.g. Cashier receives payment and issues Official Receipt (OR) to the applicant.</p> <p>1.h. The AO endorses the OR for encoding and assignment.</p> <p>1.i. The AO prepares covering letter and Certificate of Authority with Complete Staff Work (CSW) and forwards to the DM/OIC.</p> <p>1.j. DM/OIC reviews the covering letter (CL) and Certificate of</p>			

		<p>Authority (CA) with CSW.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO.</p> <p>Once the draft is finalized, AO and DM/OIC sign the CSW and initial the CL and the CA.</p> <p>1.k. The AO encodes the CL and CA and forwards all documents to the Insurance Commissioner.</p>			<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Signing of Certificate of Authority or Denial Letter		The Insurance Commissioner signs the CA or denial letter.	None	12 hours	Insurance Commissioner
<b>TOTAL:</b>			<b>Php30,300.00</b>	<b>3 days</b>	

***APPLICATION FOR ISSUANCE OF CERTIFICATE OF REGISTRATION AS RESIDENT AGENT OF AN UNAUTHORIZED FOREIGN INSURER, PROFESSIONAL REINSURER, BROKER OR INSURANCE MARKET***

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▪ **About the Service**

A resident agent is a person duly appointed by a foreign insurer, professional reinsurer, broker or insurance market not authorized to do business in the Philippines to receive in its behalf notices, summons, and legal processes in connection with actions or other legal proceedings against such foreign insurer, professional reinsurer, broker, or insurance market.

▪ **Office/Division**

Licensing Division

▪ **Classification**

- Evaluation Procedure : Complex
- Processing Procedure : Simple

▪ **Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)

▪ **Who May Avail of the Service**

All persons intending to perform the functions of a resident agent

▪ **Requirement/s**

Checklist of Requirements	Where to secure
Duly accomplished and notarized application form	Form can be downloaded from the Insurance Commission website
Copy of the power of attorney authorizing the applicant to receive notices, summons and legal processes for and in behalf of the foreign insurer, professional reinsurer, broker or insurance market in connection with the actions or other legal proceedings in the Philippines against such foreign	Requesting Entity

insurer, professional reinsurer, broker or insurance market duly notarized and authenticated by the Philippine consul in the place where such foreign insurer, professional reinsurer broker or insurance market is domiciled;	
Copy of the certificate of authority or license or certificate of registration of the principal duly certified by the insurance supervisory authority or its equivalent where said principal is authorized to do insurance business	Insurance Regulator of Requesting Entity
Copy of the Audited Financial statements of the principal for the three (3) immediately preceding years	Requesting Entity
Copy of the current Errors and Omissions Policy of the applicant if a broker;	Requesting Entity
Income Tax Return or verified copy thereof (individual and corporation) of the applicant	Requesting Entity

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

### **EVALUATION PROCEDURE**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Submission of complete documentary requirements	The applicant submits complete documentary requirements.	1.a. The Action Officer (AO) reviews the completeness of documentary requirements.  (If <u>complete</u> , go to 1.c.)	none	24 hours	IC Supervising Insurance Specialist  IC Insurance Specialist I/II

		<p>If <u>incomplete</u>, go to 1.b)</p> <p>1.b The AO returns the documents to the applicant. END.</p> <p>1.c. The AO prepares draft recommendation and submits to the Division Manager (DM) or Officer-in-Charge (OIC) for review.</p> <p>1.d. The DM/OIC reviews the draft recommendation.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO for revision.</p> <p>1.e. Once the draft is finalized, AO and DM/OIC sign the recommendation.</p> <p>1.f. The AO encodes the CSW Recommendation and forwards all documents to the Deputy Insurance Commissioner.</p>			<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
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2. Recommendation and Review		The Deputy Insurance Commissioner reviews the recommendation of the Licensing Division and forwards his to the Insurance Commissioner.	none	16 hours	Deputy Insurance Commissioner for Legal Services
3. Approval		The Insurance Commissioner approves or disapproves the recommendation.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>7 days</b>	

### PROCESSING PROCEDURE

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Letter		<p>(If <u>approved</u>, go to 1.e. If <u>disapproved</u>, go to 1.a.)</p> <p><i>For disapproved applications:</i></p> <p>1.a. The AO prepares draft denial letter with CSW and forwards to DM/OIC for review.</p> <p>1.b The DM/OIC reviews the draft denial letter.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p>	<p>Licensing Fee – Php45,450.00</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund [LRF] fee, pursuant to IC Circular Letter No. 2014-15)</i></p>	12 hours	<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>

		<p>If with revision, DM/OIC returns the document to the AO.</p> <p>1.c. Once the draft is finalized, AO and DM/OIC sign the CSW and initial the letter.</p> <p>1.d. The AO encodes the denial letter with CSW and forwards all documents to the Insurance Commissioner.</p> <p><i>For approved applications:</i></p> <p>1.e. The AO drafts a letter addressed to applicant advising it to pay the Licensing Fee and forwards it to the DM/OIC for review.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>Once finalized, the DM/OIC signs the letter.</p> <p>The AO encodes the letter and forwards it to the Records Section for releasing.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>
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	<p>The applicant secures OOP and pays the Licensing Fee.</p> <p>The applicant exhibits OR to AO.</p>	<p>1.f. The AO issues Order of Payment and advises applicant to pay to the Cashier.</p> <p>1.g. Cashier receives payment and issues Official Receipt (OR) to the applicant.</p> <p>1.h. The AO endorses the OR for encoding and assignment.</p> <p>1.i. The AO prepares covering letter and Certificate of Authority with Complete Staff Work (CSW) and forwards to the DM/OIC.</p> <p>1.j. DM/OIC reviews the covering letter (CL) and Certificate of Authority (CA) with CSW.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO.</p> <p>Once the draft is finalized, AO and DM/OIC sign the CSW and initial</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>Cashier</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p>
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		<p>the CL and the CA.</p> <p>1.k. The AO encodes the CL and CA and forwards all documents to the Insurance Commissioner.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Signing of Certificate of Authority or Denial Letter		The Insurance Commissioner signs the CA or denial letter.	none	12 hours	Insurance Commissioner
<b>TOTAL:</b>			<b>Php45,450.00</b>	<b>3 days</b>	

## ***APPLICATION FOR ISSUANCE OF LICENSE AS INSURANCE/REINSURANCE BROKER***

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### **▪ About the Service**

The Insurance Code requires the licensing of any person who shall act as broker. An insurance broker refers to any person who for any compensation, commission or other thing of value acts or aids in any manner in soliciting, negotiating, or procuring the making of any insurance, on behalf of an insured other than himself. A reinsurance broker is one who, for compensation, acts or aids in any manner in negotiating contracts of reinsurance, or placing risks of effecting reinsurance for any reinsurance company authorized in the Philippines. The application of a broker which is a partnership or corporation must be accompanied by the application and requirements of a official. In order to be issued a license, the brokerage company must have a qualified and approved soliciting official.

### **▪ Office/Division**

Licensing Division

### **▪ Classification**

- Pre-Evaluation Procedure : Simple
- Evaluation Procedure : Complex
- Processing Procedure : Simple

### **▪ Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

All persons or entities intending to engage as insurance/reinsurance brokers

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Copy of Certificate of Registration or Copy of Certificate of Recording or Copy of Certificate of Incorporation	Department of Trade and Industry (in the case of sole proprietorship)  Securities and Exchange Commission (in the case of partnership)

<i>(Note: Before pre-licensing procedure, the company must have a qualified/approved application of the soliciting official.)</i>	Securities and Exchange Commission (in the case of corporation)
Copies of the Articles of Partnership or Incorporation and By-Laws	Securities and Exchange Commission (SEC)
Copy of Mayor's Permit	City Hall – Office of the Mayor
Proof of registration with the Bureau of Internal Revenue	Bureau of Internal Revenue
Proof of ownership or lease agreement covering the principal office	Requesting Entity
Capital Structure	Requesting Entity
Certificate of bank deposit or any other evidence of bank account ownership together with the name and address of the depository bank	Depository Bank of Requesting Entity
Waiver on Bank Secrecy law in favor of the Commissioner and/or duly authorized representative	Requesting Entity
Pre-operational Balance Sheet	Requesting Entity
Curriculum Vitae of the incorporators and officers	Requesting Entity
Organization Chart	Requesting Entity
Income Tax Return of Incorporators	Requesting Entity
Clearance of the incorporations, officers, and proposed soliciting official	National Bureau of Investigation
Copy of the Surety Bond, in the case of insurance broker, as provided in Section 6	Surety Agency of Requesting Entity
Copies of the errors and omission policies provided in Section 7	Insurance Company of Requesting Entity
Affidavit signed by a senior officer, with a rank of at least Vice-President attesting that it has no violation on the prohibition provided under Section 11	Requesting Entity

Proof of Qualifications of Nominated Soliciting Official	Requesting Entity
Documentary Stamp Tax	Bureau of Internal Revenue (BIR)

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

**PRE-EVALUATION PROCEDURE (FOR NEW APPLICATION ONLY)**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Prepares draft Designation Letter for the conduct of Pre-Licensing Evaluation	The applicant submits complete documentary requirements and pays the Pre-Licensing Fee.	<p>The Action Officer (AO) prepares a draft letter designating personnel to conduct pre-licensing evaluation with Complete Staff Work (CSW) and submits draft to the Division Manager (DM)/ Officer-in-Charge (OIC) for review.</p> <p>AO and DM/OIC sign the CSW and initial the draft letter.</p>	<p>Metro Manila Pre-Licensing Fee – Php10,100.00</p> <p>Luzon (non-Metro Manila) Pre-Licensing Fee – Php25,250.00</p> <p>Visayas Pre-Licensing Fee – Php40,400.00</p> <p>Mindanao Pre-Licensing Fee – Php45,450.00</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund (LRF) fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>	8 hours	<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p>
2. Recommendation		The Deputy Insurance Commissioner reviews the draft designation letter and makes a recommendation	none	8 hours	Deputy Insurance Commissioner for Legal Services

		to the Insurance Commissioner.			
3. Approval		The Insurance Commissioner approves or disapproves the designation letter.	none	8 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>3 days</b>	

### EVALUATION PROCEDURE (FOR NEW APPLICATION ONLY)

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Pre-Licensing Report	The applicant allows the designated personnel to conduct Pre-Licensing Evaluation.	1.a. The AO prepares pre-licensing report and submits draft to the DM/OIC for review.  1.b. The AO and DM/OIC sign the draft Pre-licensing report.	none	24 hours	IC Supervising Insurance Specialist  IC Insurance Specialist I/II  Officer-in-Charge/Division Manager
2. Recommendation and Review		The Deputy Insurance Commissioner reviews the draft Pre-Licensing Report and makes a recommendation to the Insurance Commissioner.	none	16 hours	Deputy Insurance Commissioner for Legal Services
3. Approval		The Insurance Commissioner approves or disapproves the recommendation.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>7 days</b>	

**PROCESSING PROCEDURE (FOR NEW APPLICATION OR APPROVED  
ADDITIONAL OR CHANGE IN SOLICITING OFFICIAL)**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1.1.a. If application is approved:	<p>The applicant secures Order of Payment for Licensing Fee.</p> <p>The applicant proceeds to the Cashier Section for payment.</p> <p>The applicant exhibits the Official Receipt to the Licensing Division.</p>	<p>1.a. The AO issues payment request form.</p> <p>1.b. Cashier receives payment and issues Official Receipt (OR).</p>	<p>Licensing Fee for insurance <b>or</b> reinsurance broker with one (1) Soliciting Official – Php90,900.00</p> <p>Licensing fee for insurance <b>and</b> reinsurance broker with one (1) Soliciting Official – Php181,800.00</p> <p>(Licensing Fee for each additional Soliciting Official – Php30,300.00)</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund [LRF] fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>	1 hour	<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p> <p>Officer-in-Charge/Division Manager</p>
1.1.b. If application is denied:		The AO prepares draft denial letter with CSW and submits draft to the DM/OIC for review.	none		<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p> <p>Officer-in-Charge/Division Manager</p>

2.2.a. Preparation of license		The draft license with covering letter is prepared and submitted by the Licensing Division.	none	11 hours	IC Supervising Insurance Specialist
					IC Administrative Aide I
					Contract of Service Personnel
		The AO and DM/OIC initial the denial letter.			IC Supervising Insurance Specialist
2.2.b. Preparation of denial letter					Officer-in-Charge/ Division Manager
3. Signing of License		The draft license or denial letter is forwarded to the Office of the Insurance Commissioner for signature.	none	12 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>3 days</b>	



## ***APPLICATION FOR ISSUANCE OF LICENSE AS INSURANCE ADJUSTER***

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### **▪ About the Service**

The Insurance Code requires the licensing of any person who shall act as insurance adjuster. An adjuster is a person, who for money, commission or other thing of value, acts in behalf of an insurer in the adjustment of claims arising under insurance contracts or acts in behalf of an insured in negotiating for, or effecting, the settlement of a claim or claims of the assured under insurance contracts or policies, or which advertises for or solicits employment as an adjuster of insurance claims. The application of an adjuster which is a partnership or corporation must be accompanied by the application and requirements of a soliciting official or the natural person who shall act as adjuster in behalf of the adjustment company. In order to be issued a license, the adjustment company must have a qualified and approved individual adjuster.

### **▪ Office/Division**

Licensing Division

### **▪ Classification**

- Pre-Evaluation Procedure : Simple
- Evaluation Procedure : Complex
- Processing Procedure : Simple

### **▪ Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

All persons or entities intending to engage as insurance/reinsurance brokers

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter of Intent  <i>(Note: The adjustment company must have a qualified/approved application for its adjuster.)</i>	Requesting Entity  <b>Note:</b> Form may be downloaded from the IC Website.

<p>Certificate of Registration with Certified copy of Articles of Incorporation/ Partnership/Cooperation and By-Laws</p> <p>and</p> <p>General Information Sheet showing the latest incorporators their citizenship and percentage of share owned and paid, whenever is applicable.</p>	<p>Securities and Exchange Commission (SEC), Department of Trade and Industry (DTI), or Cooperative Development Authority (CDA)</p> <p>Securities and Exchange Commission (SEC)</p>
Pre-operational Balance Sheet	Requesting Entity
List of incorporators and officers with positions held	Requesting Entity
Organization chart of the corporation	Requesting Entity
Income Tax Return of incorporators for the last three (3) years	Requesting Entity
NBI Clearance of Board of Directors	National Bureau of Investigation (NBI)
Surety Bond worth Php50,000.00 per line	Surety Agency of Requesting Entity
Documentary Stamp Tax (Php15.00)	Bureau of Internal Revenue (BIR)

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

**PRE-EVALUATION PROCEDURE (FOR NEW APPLICATION ONLY)**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Prepares draft Designation Letter for the conduct of Pre-Licensing Evaluation	The applicant submits complete documentary requirements and pays the Pre-Licensing Fee.	The Action Officer (AO) prepares a draft letter designating personnel to conduct pre-licensing evaluation with Complete Staff	<p>Metro Manila Pre-Licensing Fee – Php10,100.00</p> <p>Luzon (non-Metro Manila) Pre-Licensing</p>	8 hours	IC Supervising Insurance Specialist

		<p>Work (CSW) and submits draft to the Division Manager (DM)/ Officer-in-Charge (OIC) for review.</p> <p>AO and DM/OIC sign the CSW and initial the draft letter.</p>	<p>Fee – Php25,250.00</p> <p>Visayas Pre-Licensing Fee – Php40,400.00</p> <p>Mindanao Pre-Licensing Fee – Php45,450.00</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund (LRF) fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>		Officer-in-Charge/ Division Manager
2. Approval		The Insurance Commissioner approves or disapproves the designation letter.	none	8 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>2 days</b>	

### EVALUATION PROCEDURE (FOR NEW APPLICATION ONLY)

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Pre-Licensing Report	The applicant allows the designated personnel to conduct Pre-Licensing Evaluation.	<p>The AO prepares pre-licensing report and submits draft to the DM/OIC for review.</p> <p>AO and DM/OIC sign the draft Pre-licensing report.</p>	none	24 hours	<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p> <p>Officer-in-Charge/Division Manager</p>
2. Recommendation and Review		The Deputy Insurance Commissioner reviews the draft Pre-Licensing Report and makes	none	16 hours	Deputy Insurance Commissioner for Legal Services

		a recommendation to the Insurance Commissioner.			
3. Approval		The Insurance Commissioner approves or disapproves the recommendation.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>7 days</b>	

**PROCESSING PROCEDURE (FOR NEW APPLICATION OR APPROVED ADDITIONAL OR CHANGE IN SOLICITING OFFICIAL)**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1.1.a. If application is approved:	<p>The applicant secures Order of Payment for Licensing Fee.</p> <p>The applicant proceeds to the Cashier Section for payment.</p> <p>The applicant exhibits the Official Receipt to the Licensing Division.</p>	<p>The AO issues payment request form.</p> <p>Cashier receives payment and issues Official Receipt (OR).</p>	<p>Licensing Fee for Corporate Adjuster – Php30,300.00</p> <p>Licensing fee for Adjuster (per line per adjuster per year) – Php2,500.00</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund [LRF] fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>	1 hour	<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p> <p>IC Administrative Assistant I</p> <p>IC Administrative Aide I</p> <p>Cashier</p>

1.1.b. If application is denied:		The AO prepares draft denial letter with CSW and submits draft to the DM/OIC for review.			IC Supervising Insurance Specialist  IC Insurance Specialist I/II  Officer-in-Charge/Division Manager
2.2.a. Preparation of license		The draft license with covering letter is prepared and submitted by the Licensing Division.	none	11 hours	IC Supervising Insurance Specialist  IC Administrative Aide I  Contract of Service Personnel  IC Supervising Insurance Specialist  Officer-in-Charge/Division Manager
2.2.b. Preparation of denial letter		The AO and DM/OIC initial the denial letter.			
3. Signing of License		The draft license or denial letter is forwarded to the Office of the Insurance Commissioner for signature.	none	12 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>3 days</b>	

## ***APPLICATION FOR ISSUANCE OF INSURANCE AGENTS' LICENSE***

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- **About the Service**

The Insurance Code requires that no person shall act as insurance agent in the solicitation or procurement of applications for insurance or receive for services in obtaining insurance any commission or compensation from any insurance company doing business in the Philippines without first procuring a license from the Insurance Commissioner. The Insurance Commissioner shall satisfy himself as to the competence and trustworthiness of the applicant and shall have the right to refuse to issue or renew and to suspend or revoke any such license in his discretion. The license is valid until the thirty-first (31<sup>st</sup>) day of December of the third year following its issuance. An applicant may be individual, partnership, or corporation. The soliciting official shall apply to act as agent in behalf of the agency. Only one life insurance company shall be represented by an agent. Each non-life agent shall apply and be licensed on each company it intends to represent.

- **Office/Division**

Licensing Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)

- **Who May Avail of the Service**

All persons whose application for issuance of license was encoded in the Enhanced Licensing System (ELS) with payment of licensing fee and complete documentary requirements

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Duly accomplished and notarized application form	Requesting Entity <b>Note:</b> Form can be downloaded from the Insurance Commission website

Copy of examination result/proof of previous license issued	Insurance Commission/Insurance Institute for Asia and the Pacific, Inc.
Documentary Stamp (Php15.00)	Bureau of Internal Revenue (BIR)
1x1 ID pictures (PDF or MPEG file format)	Requesting Entity
Certificate of Registration <ul style="list-style-type: none"> <li>➤ For sole proprietorship</li> <li>➤ For partnership and corporation</li> <li>➤ For cooperative</li> </ul>	Department of Trade and Industry (DTI) Securities and Exchange Commission (SEC) Cooperative Development Authority (CDA)
Articles of Incorporation/partnership/cooperation and By-laws	Securities and Exchange Commission (SEC)
Certificate of training for previous and reviving agent	Requesting Entity
ACR and ICR or SRR Visa if applicant is an alien	Bureau of Immigration (BI)
General power of attorney if applicant is applying as general agent (compliant with Sec. 308, Insurance Code)	Requesting Entity
Board resolution of agency or appointment if applicant is applying as soliciting official of an agency	Agency of Requesting Entity
Board resolution if applicant is currently affiliated with insurance company with the rank of manager and above	Current Insurance Company Requesting Entity is affiliated with
Clearance for transferring agent	Previous Insurance Company Requesting Entity was affiliated with

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Evaluation and processing of application	Sponsoring insurance company encodes the information details requested in the Enhanced Licensing System (ELS), uploads complete documentary requirements and pays licensing fee	1.a. The Action Officer (AO) evaluates the application in the ELS.  1.b. Division Manager/ Officer-in-Charge (DM/OIC) approves the application.	Ordinary Agent (Individual) Licensing Fee – Php1,515.00 (valid for three [3] years)  Ordinary Agent (Company) Licensing Fee – Php6,060.00 (valid for three [3] years)  Ordinary Agent (Additional Soliciting Official) Licensing Fee – Php1,515.00 (valid for three [3] years)  General Agent (Individual) Licensing Fee – Php30,300.00 (valid for three [3] years)  General Agent (Company) Licensing Fee – Php60,600.00 (valid for three [3] years)  General Agent (Additional Soliciting Official) Licensing Fee – Php1,515.00 (valid for three [3] years)	55 hours and 50 mins.	IC Supervising Insurance Specialist  IC Administrative Assistant I/II  IC Insurance Specialist I  Officer-in-Charge/ Division Manager



2. Printing and Issuance of License	The sponsoring insurance company representative receives the licenses of agents.	The AO prints the license with electronic signature of the DM/OIC and issues the same to the representative of the insurance company.	none	10 minutes	IC Administrative Aide I
<b>TOTAL:</b>				<b>7 days</b>	

## ***APPLICATION FOR APPROVAL AS SOLICITING OFFICIAL OF AN INSURANCE/REINSURANCE BROKER***

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- **About the Service**

No person shall act as an insurance broker in the solicitation or procurement of applications for insurance, or receive for services in obtaining insurance, any commission or other compensation from any insurance company doing business in the Philippines, without first procuring a license so to act from the Commissioner.

The sufficiency of qualifications of the applicant must be approved by the Insurance Commissioner. The applicant must possess the necessary trainings and experience in order to qualify.

- **Office/Division**

Licensing Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)

- **Who May Avail of the Service**

All persons intending to perform the functions of a soliciting official of an insurance/reinsurance broker

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Duly accomplished and notarized application form	Requesting Entity <b>Note:</b> Form can be downloaded from the Insurance Commission website
Certified copy of certificate that an applicant holds an associateship	Insurance Institute for Asia and the Pacific, Inc.
Certification of work experience	Present and previous companies

Endorsement	Principal Insurance Broker
Clearance	National Bureau of Investigation (NBI)

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Memorandum Evaluation of Application	The applicant submits complete documentary requirements.	<p>1.a. The Action Officer (AO) reviews the completeness of documentary requirements and forwards it to the DM/OIC for assignment.</p> <p>1.b. DM/OIC assigns the application to the AO.</p> <p>1.c. The AO evaluates the application and submits a draft Memorandum to the DM/OIC.</p> <p>1.d. DM/OIC reviews the draft.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revisions, DM/OIC returns the documents to the AO for revision.</p>		2 days	<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p>

		<p>1.e. Once finalized, the DM/OIC signs the Memorandum.</p> <p>1.f. The AO encodes the Memorandum and forwards it to the Office of the Deputy Commissioner.</p>			<p>Officer-in-Charge/ Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Review and Recommendation		The Deputy Insurance Commissioner reviews the draft and forwards the recommendation to the Insurance Commissioner.	none	2 days	Deputy Insurance Commissioner for Legal Services
3. Approval/ Disapproval		<p>3.a. The Insurance Commissioner approves or disapproves the application.</p> <p>3.b. The Memorandum is returned to the Licensing Division.</p>	none	2 days	Insurance Commissioner
4. Preparation of Approval/ Disapproval Letter		<p>The AO prepares a draft approval/denial letter and submits it to the DM/OIC for signature.</p> <p>If <u>approved</u>, go to 4.e.</p> <p>If <u>disapproved</u>, go to 4.d.</p> <p>4.a. The AO prepares draft denial letter and forwards it to the</p>	none	1 day	IC Supervising Insurance Specialist

		<p>DM/OIC for review.</p> <p>4.b. The DM/OIC reviews the draft denial letter.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revisions, DM/OIC returns the documents to the AO for revision.</p> <p>4.c. Once the draft is finalized, the DM/OIC signs the letter.</p> <p>4.d. The AO encodes the signed letter and forwards it to the Records Section for releasing.</p> <p>4.e. The AO prepares a draft letter informing the applicant of the approval of the application and advises it to submit the application for issuance of license as insurance and/or reinsurance broker, or surrender its original license, if the application is for an additional or change of Soliciting Official.</p>			<p>Officer-in-Charge/ Division Manager</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>IC Supervising Insurance Specialist</p>
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## ***APPLICATION FOR APPROVAL AS ADJUSTER OF AN ADJUSTMENT COMPANY***

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- **About the Service**

No person shall act as an adjuster, as defined by the Insurance Code, unless authorized to act by virtue of a license issued by the Commissioner. The adjuster shall be registered based on qualifications in fire, casualty, and marine business lines.

The sufficiency of qualifications of the applicant must be approved by the Insurance Commissioner. The applicant must possess the necessary trainings, experience, and examination in order to qualify.

- **Office/Division**

Licensing Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)

- **Who May Avail of the Service**

All persons intending to perform the functions of an adjuster of an adjustment company

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Duly accomplished and notarized application form	Requesting Entity Note: Form can be downloaded from the Insurance Commission website
Must be a Filipino citizen	
Certificate of Endorsement	Philippine Institute of Loss Adjusters (PLIA)
Certified true copy of the diploma or certificate of completion of adjuster's designation course	Insurance Institute for Asia and the Pacific, Inc. (IIAP)

Certification of work experience	Present and previous companies of requesting entity
Endorsement	Principal adjustment company of requesting entity
Clearance	National Bureau of Investigation

▪ **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Memorandum Evaluation of Application	The applicant submits complete documentary requirements.	<p>1.a. The Action Officer (AO) reviews the completeness of documentary requirements and forwards it to the DM/OIC for assignment.</p> <p>1.b. DM/OIC assigns the application to the AO.</p> <p>1.c. The AO evaluates the application and submits a draft Memorandum to the DM/OIC.</p> <p>1.d. DM/OIC reviews the draft.</p> <p>1.d.i. If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>1.d.ii. If with revisions, DM/OIC</p>	none	2 days	<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p>



		<p>returns the documents to the AO for revision.</p> <p>1.e. Once finalized, the DM/OIC signs the Memorandum.</p> <p>1.f. The AO encodes the Memorandum and forwards it to the Office of the Deputy Commissioner.</p>			<p>Officer-in-Charge/ Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Review and Recommendation		The Deputy Insurance Commissioner reviews the draft and forwards the recommendation to the Insurance Commissioner.	none	2 days	Deputy Insurance Commissioner for Legal Services
3. Approval/ Disapproval		<p>3.a. The Insurance Commissioner approves or disapproves the application.</p> <p>3.b. The Memorandum is returned to the Licensing Division.</p>	none	2 days	Insurance Commissioner
4. Preparation of Approval/ Disapproval Letter		<p>The AO prepares a draft approval/denial letter and submits it to the DM/OIC for signature.</p> <p>If <u>approved</u>, go to 4.e.</p> <p>If <u>disapproved</u>, go to 4.d.</p> <p>4.a. The AO prepares draft</p>	none	1 day	IC Supervising Insurance Specialist

		<p>denial letter and forwards it to the DM/OIC for review.</p> <p>4.b. The DM/OIC reviews the draft denial letter.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revisions, DM/OIC returns the documents to the AO for revision.</p> <p>4.c. Once the draft is finalized, the DM/OIC signs the letter.</p> <p>4.d. The AO encodes the signed letter and forwards it to the Records Section for releasing.</p> <p>4.e. The AO prepares a draft letter informing the applicant of the approval of the application and advises it to submit the application for issuance of license as insurance adjuster, or surrender its original license, if the application is for an additional or change of</p>			<p>Officer-in-Charge/ Division Manager</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>IC Supervising Insurance Specialist</p>
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		Insurance Adjuster.			
		4.f. The DM/OIC reviews the draft letter.  If no revision, DM/OIC returns the documents to the AO for finalization.  If with revisions, DM/OIC returns the documents to the AO for revision.  4.g. Once the draft is finalized, the DM/OIC signs the letter.  4.h. The AO encodes the signed letter and forwards it to the Records Section for releasing.			Officer-in-Charge/ Division Manager          IC Supervising Insurance Specialist   Officer-in-Charge/ Division Manager     IC Administrative Assistant II   Contract of Service Personnel
<b>TOTAL:</b>				<b>7 days</b>	

***APPLICATION FOR ISSUANCE OF CERTIFICATE OF AUTHORITY OF DOMESTIC INSURANCE COMPANY, PROFESSIONAL REINSURER, BRANCH OFFICE OF FOREIGN INSURANCE COMPANY, PRE-NEED AND HMO COMPANY***

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▪ **About the Service**

The Insurance Code, Pre-Need Code, E.O. 192, Series of 2015 requires an entity to obtain a license from this Commission before it can engage in such businesses.

▪ **Office/Division**

Licensing Division

▪ **Classification**

- Pre-Evaluation Procedure : Simple
- Evaluation Procedure : Complex
- Processing Procedure : Simple

▪ **Type of Transaction**

G2B

▪ **Who May Avail of the Service**

All entities intending to engage in insurance, professional reinsurance, pre-need and health maintenance organization business

▪ **Requirement/s**

Checklist of Requirements	Where to secure
Letter of Intent	Requesting Entity
Certified True Copy of Certificate of Registration or Certified Copy of Articles of Incorporation/Cooperation and By-Laws and General Information Sheet showing the latest incorporators their citizenship and percentage of share owned and paid, whenever applicable	Securities and Exchange Commission (SEC)  Cooperative Development Authority (CDA)  Requesting Entity

Pre-operational Balance Sheet	Requesting Entity
List of incorporators and officers with positions held	Requesting Entity
Organization chart of the corporation	Requesting Entity
Income Tax Return of incorporators for the last three (3) years	Requesting Entity
Clearance of the members of the board of directors	National Bureau of Investigation (NBI)
Project study showing the expected volume of business to be and the amount of premiums that will be realized on the various policies for the next three (3) initial years from operation	Requesting Entity
Waiver on Bank Secrecy Law in favor of the Insurance Commission and/or its officers	Requesting Entity
Documentary Stamp Tax (Php15.00)	Bureau of Internal Revenue (BIR)

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

**PRE-EVALUATION PROCEDURE**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of complete documentary requirements and payment of Pre-Licensing Fee	The applicant submits complete documentary requirements and pays Pre-Licensing Fee.	1.a. Action Officer (AO) reviews completeness of documentary requirements.  If <u>complete</u> , go to 1.c. If <u>incomplete</u> , go to 1.b.  1.b. The AO returns the	Metro Manila Pre-Licensing Fee – Php10,100.00  Luzon (non-Metro Manila) Pre-Licensing Fee – Php25,250.00	2 hours	IC Supervising Insurance Specialist

		<p>documents to the applicant. END.</p> <p>1.c. Computes prescribed fee and issues Order of Payment and advises applicant to pay the prescribed fee to the Cashier.</p> <p>1.d. Cashier receives payment and issues Official Receipt to the Applicant.</p> <p>1.e. The AO endorses the document for receiving, encoding, and assignment.</p>	<p>Visayas Pre-Licensing Fee – Php40,400.00</p> <p>Mindanao Pre-Licensing Fee – Php45,450.00</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund (LRF) fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>		<p>Cashier</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Preparation of Designation Letter		<p>2.a. The AO prepares a draft letter designating personnel to conduct pre-licensing evaluation with Complete Staff Work (CSW) and submits draft to the Division Manager (DM)/ Officer-in-Charge (OIC) for review.</p> <p>2.b. DM/OIC reviews the draft.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p>	none	6 hours	<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p> <p>IC Supervising Insurance Specialist</p>

		<p>2.c. Once the draft is finalized, AO and DM/OIC sign the CSW and initials the draft letter of approval or disapproval.</p> <p>2.d. The AO encodes the CSW and forwards all documents to the Deputy Insurance Commissioner.</p>			IC Administrative Assistant II Contract of Service Personnel
3. Recommendation		The Deputy Insurance Commissioner reviews the draft designation letter and makes a recommendation to the Insurance Commissioner.	none	8 hours	Deputy Insurance Commissioner for Legal Services
4. Approval		The Insurance Commissioner signs the designation letter.	none	8 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>3 days</b>	

## EVALUATION PROCEDURE

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of Pre-Licensing Report	The applicant allows the designated personnel to conduct Pre-Licensing Evaluation.	<p>1.a. The AO prepares pre-licensing report and submits draft to the DM/OIC.</p> <p>AO and DM/OIC sign the draft Pre-licensing report.</p> <p>1.b. The DM/OIC reviews the draft</p>	none	24 hours	<p>IC Supervising Insurance Specialist</p> <p>IC Insurance Specialist I/II</p>

		<p>Pre-Licensing report.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO.</p> <p>1.c. Once the draft is finalized, AO and DM/OIC sign the Pre-Licensing Report.</p> <p>1.d. The AO encodes the CSW and forwards all documents to the Deputy Insurance Commissioner.</p>			<p>Officer-in-Charge/Division Manager</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Recommendation and Review		The Deputy Insurance Commissioner reviews the Pre-Licensing Report and forwards his recommendation to the Insurance Commissioner.	none	16 hours	Deputy Insurance Commissioner for Legal Services
3. Approval		The Insurance Commissioner approves or disapproves the Pre-Licensing Report.	none	16 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>7 days</b>	



## PROCESSING PROCEDURE

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Preparation of letter		<p>If <u>approved</u>, go to 1.e.</p> <p>If <u>disapproved</u>, go to 1.a.)</p> <p><i>For disapproved applications:</i></p> <p>1.a. The AO prepares draft denial letter with CSW and forwards to DM/OIC for review.</p> <p>1.b. DM/OIC reviews the draft denial letter.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO.</p> <p>1.c. Once the draft is finalized, the AO and DM/OIC sign the CSW and initial the letter.</p> <p>1.d. The AO encodes the denial letter with CSW and forwards all documents to the Insurance Commissioner.</p>	<p>Insurance Company Licensing Fee (valid for three [3] years) – Php181,800.00</p> <p>Pre-Need Company Licensing Fee (valid for one [1] year) – Php50,500.00</p> <p>Health Maintenance Organization Company Licensing Fee (valid for three [3] years)– Php151,500.00)</p> <p><i>(Note: Fee is inclusive of 1% Legal Research Fund [LRF] fee, pursuant to IC Circular Letter No. 2014-15.)</i></p>	12 hours	<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>

		<p><i>For approved applications:</i></p> <p>1.e. The AO drafts a letter addressed to applicant advising it to pay the Licensing Fee and forwards it to the DM/OIC for review.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the document to the AO.</p> <p>Once finalized, the DM/OIC signs the letter.</p> <p>The AO encodes the letter and forwards it to the Records Section for releasing.</p>			<p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p>
	The applicant secures OOP and pays the Licensing Fee	<p>1.f. The AO issues Order of Payment (OOP) and advises applicant to pay to the Cashier.</p> <p>1.g. Cashier receives payment and issues Official Receipt (OR) to the applicant.</p>			<p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p> <p>Cashier</p>
	The applicant exhibits OR to AO.	<p>1.h. The AO endorses the OR for encoding and assignment.</p>			<p>IC Administrative Assistant II</p>

		<p>1.i. The AO prepares covering letter and Certificate of Authority with Complete Staff Work (CSW) and forwards to the DM/OIC.</p> <p>1.j. The DM/OIC reviews the covering letter (CL) and Certificate of Authority (CA) with CSW.</p> <p>If no revision, DM/OIC returns the documents to the AO for finalization.</p> <p>If with revision, DM/OIC returns the documents to the AO.</p> <p>Once the draft is finalized, the AO and DM/OIC sign the CSW and initial the CL and the CA.</p> <p>1.k. The AO encodes the CL and CA and forwards all documents to the Insurance Commissioner.</p>			<p>Contract of Service Personnel</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p> <p>IC Supervising Insurance Specialist</p> <p>Officer-in-Charge/ Division Manager</p> <p>IC Administrative Assistant II</p> <p>Contract of Service Personnel</p>
2. Signing of Certificate of Authority or Denial Letter		The Insurance Commissioner signs the CA or denial letter.	none	12 hours	Insurance Commissioner
<b>TOTAL:</b>				<b>3 days</b>	



# **Legal Services Group – Public Assistance and Mediation Division**

## **External Services**



## ***PROCESS OF HANDLING COMPLAINTS FROM 8888 CITIZENS' COMPLAINT HOTLINE, MALACAÑANG AND/OR CONTACT CENTER NG BAYAN (CCB) OF THE CIVIL SERVICE COMMISSION (CSC)***

- **About the Service**

This service pertains to complaints and grievances on acts of red tape lodged through the 8888 Citizens' Complaint Hotline as mandated by Executive Order No. 6, series of 2016 and through the Contact Center ng Bayan (CCB), as defined under RA No. 9485 and other relevant laws, and/or corruption of any National Government Agency (NGA), Government-Owned or Controlled Corporation (GOCC)/Government Financial Institution (GFI), and other instrumentalities of the government.

Specific action on the complaint should be undertaken within 72 hours (3 days) from receipt of the concern.

- **Office/Division**

Public Assistance & Mediation Division (PAMD)

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

Government-to-Citizen (G2C)

Government-to-Government (G2G)

- **Who May Avail of the Service**

Anyone who has concern on any insurance, pre-need, health and maintenance organization (HMO) and reinsurance contracts or policies.

- **Requirement/s**

None

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

## How to Avail of the Service

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Monitoring and Documentation of the Requests		<p>Bilis Aksyon Partner monitors the 8888 Citizens' Complaint Hotline, Malacañang Portal and the Contact Center ng Bayan (CCB) of the Civil Service Commission sent through e-mail.</p> <p>Action Officer (AO) evaluates the complaint; if company being complained has a license to operate, it will be retained with PAMD, otherwise, it will be endorsed the division concerned.</p>	None	1 hour	<p>Supervising Insurance Specialist</p> <p>COS/ Legal Assistant/ Insurance Specialist II/ Senior Insurance Specialist/ Supervising Insurance Specialist</p>
2. Evaluation and Review		<p>Action Officer (AO) evaluates and reviews the complaint.</p> <p>If there is lacking information, may write/e-mail or call the complainant directly and ask for documents and contact details. Update the 8888 Hotline by providing a copy of the letter/action taken.</p>		1 day and 2 hours	<p>COS/ Legal Assistant/ Insurance Specialist II/ Senior Insurance Specialist/ Supervising Insurance Specialist</p>

3. Preparation of Referral Letter/Memorandum		Prepares referral letter address to the company concerned and/or Memorandum to the division concerned for their appropriate action and/or comments.	None	1 day	COS/Legal Assistant/ Insurance Specialist II/ Senior Insurance Specialist/ Supervising Insurance Specialist
4. Signing of the Referral Letter and/or Memorandum		The Division Manager or Officer-In-Charge reviews the referral letter/s and/or Memorandum sent through e-mail and Forward the same to the company concerned and/or division concerned.	None	1 hour and 30 minutes	Division Manager and/or Supervising Insurance Specialist
5. Recording and Releasing		Should the complainant does not have an e-mail address, the Assigned Personnel releases the copy of the referral and/or Memorandum to the Releasing Section and/or creation of the Routing System for delivery.	None	2 hours	COS/Legal Assistant/ Insurance Specialist II/ Senior Insurance Specialist/ Supervising Insurance Specialist
6. Recording of Settled/Closed and Terminated Cases		If company and/or division replied, the same will be furnished to the complainant through e-mail, otherwise, it will be released to the Releasing Section.	None	1 hour and 30 minutes	Administrative Aide II
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	

## ***PROCESS OF HANDLING INFORMAL COMPLAINTS RECEIVED FROM WALK-IN COMPLAINANTS AND RECEIVED VIA MAIL OR E-MAIL***

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### **▪ About the Service**

This service is being offered to those who visit the Insurance Commission and those complaints and queries sent via mail and/or e-mail that needs to be assisted on concerns in their contracts of insurance, pre-need plans and health maintenance organization (HMO) contracts and reinsurance contracts.

These requests for assistance include endorsement by any other government agencies such as, but not limited to, Presidential Complaint Center (PCC), Bangko Sentral ng Pilipinas (BSP), Department of Trade and Industry (DTI) and Securities and Exchange Commission (SEC).

### **▪ Office/Division**

Public Assistance & Mediation Division (PAMD)

### **▪ Classification**

Complex

### **▪ Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

### **▪ Who May Avail of the Service**

Anyone who has concern on any insurance, pre-need, health and maintenance organization (HMO) and reinsurance contracts or policies.

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
In case of Non-Life Insurance Complaints: 1. Complainant's Request for Assistance (CRA) for walk-in / simple letter complaint (for mail and email) 2. Copy of the policy 3. Copy of the police report/ Traffic Accident Investigation Report (TAIR) 4. Copy of the denial letter, if there is any. (optional)	From the Insured  From the Insured From the Police Station where the accident happened From the company
In case of Life Insurance Complaints:	From the Insured



1. Complainant's Request for Assistance (CRA) for walk-in / simple letter complaint (for mail and email) 2. Copy of the policy 3. Copy of the denial letter, if there is any. (optional) 4. Supporting documents, if there is any. (optional)	From the Insured From the Insurance Company  From the Insured
In case of Pre-Need Complaints: 1. Complainant's Request for Assistance (CRA) for walk-in / simple letter complaint (for mail and email) 2. Copy of the contract 3. Copy of the Certificate of Full Payment	From the Planholder  From the Planholder From the Planholder
In case of Health Maintenance Organization (HMO) Complaints: 1. Complainant's Request for Assistance (CRA) for walk-in / simple letter complaint (For Mail and E-mail) 2. Copy of the contract	From the Member  From the Member

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Documentation of the Complaint	Letters with attached documents directly filed with PAMD or sent to PAMD's e-mail address at publicassistance@insurance.gov. ph specifically requesting the assistance of the IC with regard to their insurance, pre-need or HMO contracts/ policies.	<p>Action Officer (AO) interviews and asks for documents/evaluates the complaint, to give proper advice either to file a complaint or to explain the basis of the position of the company.</p> <p>If the Action Officer (AO) finds no basis in filing a complaint, the client is duly informed and the transaction is considered closed/terminated.</p>	None	4 hours and 30 minutes	COS/Insurance Specialist II/ Senior Insurance Specialist/ Supervising Insurance Specialist

		<p>If the Action Officer (AO) finds basis, the complainant fills up the Claimant's Request Assistance Form (CRA).</p> <p>Receives the CRA together with its attachments.</p> <p>In case of complaints sent through mail or email, the Assigned Officer will assign the e-mail to the Action Officer (AO) in charge per company.</p> <p>The Action Officer (AO) shall sort them and encode in the Incoming and Complaint/ Claims Registry.</p>			
2. Evaluation and Review		<p>Action Officer (AO) evaluates and reviews documents/e-mails. If a complaint lacks pertinent information or documents, Action Officer (AO) sends a letter/email to the complainant for submission of needed information/document s.</p> <p>If the complaint involves complex issues, Action Officer (AO) will suggest to conduct a mediation/ conciliation conference through Videoconferencing.</p> <p>If it contains simple issues, the Action Officer (AO) refers to the company for</p>	None	3 days	COS/Insurance Specialist II/Senior Insurance Specialist/ Supervising Insurance Specialist

		comment/follow-up, copy furnished the complainant.			
3. Preparation of Referral Letter and/or Correspondence and Signing of Referral Letter and/or Correspondences		The Action Officer (AO) prepares the referral letter/notice of mediation/conciliation conference to be scheduled at least two (2) weeks from date of notice.	None	2 days, 1 hour and 30 minutes	COS/Insurance Specialist II/Senior Insurance Specialist/Supervising Insurance Specialist
4. Recording and Releasing		The Division Manager reviews the letter and affixes his signature.	None	1 hour and 30 minutes	Division Manager and/or Supervising Insurance Specialist
5. Releasing and Recording		<p>The Assigned Personnel releases the signed Referral Letter/Notice of Mediation/Conciliation to the releasing section for delivery to the concerned parties. Referral letter/notice of mediation/conciliation conference may also be sent through e-mail.</p> <p>In case of settlement or termination of complaints, the Action Officer (AO) will record the same to Closed/ Terminated Cases Registry.</p>	None	1 day and 2 hours	Administrative Aide II
<b>TOTAL</b>			<b>None</b>	<b>7 days</b>	

## ***PROCESS OF HANDLING IC ALTERNATIVE DISPUTE RESOLUTION PROCESS (ADR) THROUGH MEDIATION/CONCILIATION PROCEEDINGS.***

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### **▪ About the Service**

This service is one of the Alternative Dispute Resolution Mechanisms implemented by the IC to assist the insuring public and insurance, pre-need and health maintenance organization (HMO) company representatives to thresh out issues through mediation/conciliation conference. A mediation/conciliation conference is an informal proceeding with the end in view that parties may arrive at an amicable settlement or compromise agreement. This is conducted either face-to-face or through Videoconferencing (Circular Letter No. 2020-101 dated 16 October 2020). The procedure is purely voluntary and entirely dependent on the parties' willingness to participate/cooperate.

### **▪ Office/Division**

Public Assistance & Mediation Division (PAMD)

### **▪ Classification**

Highly Technical

### **▪ Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

### **▪ Who May Avail of the Service**

Anyone who has concern on any insurance, pre-need, HMO and reinsurance contracts or policies.

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter Request	By the Requesting Party (Client or Company Representative)

### **▪ Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Introduction		<p>The officer presiding in the conference shall inform the parties of the purpose and nature of the process in mediation/conciliation proceedings.</p> <p>Thereafter, the officer presiding in the conference informs the parties of their next steps should no amicable settlement is reached.</p>	None	30 minutes	COS/ Insurance Specialist II/Senior Insurance Specialist/Supervising Insurance Specialist
2. Mediation Proper		<p>Parties are requested to enter their appearances either face-to-face or virtually.</p> <p>The Mediator/Conciliator facilitates the flow of discussion by giving opportunity to hear both sides.</p> <p>Mediator/Conciliator requests Complainant to briefly discuss his/her complaint.</p> <p>Company representative/s render/s explanations/comment/s.</p> <p>Mediator/Conciliator may suggest/recommend</p>	None	1 hour and 30 minutes	COS/Insurance Specialist II/Senior Insurance Specialist/Supervising Insurance Specialist/Supervising Insurance Specialist

		<p>solutions to the problem based on policy provision, law, opinions rendered by the Insurance Commissioner and industry practice to guide the parties in coming up with a compromise agreement or amicable settlement.</p> <p>If needed and upon agreement of the parties, the Mediator/Conciliator will schedule another setting of the conference depending on the availability of the parties.</p> <p>If the parties can settle the issues without the intercession of the Insurance Commission through PAMD, the procedure will be held in abeyance.</p> <p>Should IC fail to receive any updates within thirty (30) days, mediation/conciliation conference shall be terminated.</p> <p>If both parties were able to settle amicably or were able to reach a compromise agreement, the presiding officer will ask for the date as to when the agreement/settlement will be performed/executed. All of these matters</p>		30 working days	
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		<p>will be reflected in the minutes.</p> <p>If both parties fails to settle amicably or come up with a compromise agreement, conference will be closed/terminated.</p>			
3. Issuance of the Minutes of Mediation/Conciliation Conference		<p>After the conduct of mediation/conciliation conference, the Mediator/Conciliator is given time to wrap up the preparation of the minutes of the proceedings by reading the minutes and requires parties to sign in the minutes in case of face-to-face mediation/conciliation conference; or in case of video conferencing, virtual manifestation of the parties present is considered as appearance.</p> <p>Parties are given copy of the minutes of the proceedings.</p>	None	45 minutes	COS/Insurance Specialist II/Senior Insurance Specialist/Supervising Insurance Specialist
4. Recording		Records Settled/Terminated Cases in the Closed/Terminated Cases Registry. .	None	1 hour and 30 minutes	Administrative Aide II
<b>TOTAL</b>			<b>None</b>	<b>30 days, 4 hours and 15 minutes</b>	

***PROCESS OF REQUESTS FOR THE ISSUANCE OF CERTIFICATE ON THE NUMBER OF PENDING INFORMAL COMPLAINTS BY THE IC-REGULATED ENTITIES.***

▪ **About the Service**

This service involves the issuance of a certificate on the number of pending informal complaints, excluding mediation/conciliation conferences, against any insurance, Mutual Benefit Association (MBA), pre-need or health and maintenance organization (HMO) company pending before the IC's PAMD, subject to the payment of existing and applicable fee.

▪ **Office/Division**

Public Assistance & Mediation Division (PAMD)

▪ **Classification**

Simple

▪ **Type of Transaction**

Government-to-Business (G2B)

Government-to-Citizen (G2C)

Government-to-Government (G2G)

▪ **Who May Avail of the Service**

Anyone who submits a written request and pays the appropriate fee prescribed by the IC

▪ **Requirement/s**

Checklist of Requirements	Where to secure
Letter Request	By the Requesting Party

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of Letter Request	Submit Letter-Request for Certification either directly to PAMD or via e-mail to	In case of request sent through mail or e-mail, the Action Officer (AO) shall encode the	None	30 minutes	COS/Legal Assistant/ Insurance Specialist II/Senior Insurance



	publicassistance @insurance.gov. ph	Request in the Incoming Registry.  Action Officer (AO) receives Letter Request for Certification of Number of Pending Complaints.			Specialist/ Supervising Insurance Specialist
2. Verification/ Reconciliation	Company representative shall reconcile with the Action Officer the number of complaints filed with PAMD and submits proof of payment.	The Action Officer (AO) verifies whether there is no pending or with number of informal complaints filed against the company.  If with substantial number of pending complaints, Action Officer (AO) is given two (2) days to reconcile/verify the complaints filed against the company concerned by providing proof of settlement or any documents that the claim has been acted upon.	None	2 days and 4 hours	COS/Legal Assistant/ Insurance Specialist II/Senior Insurance Specialist/ Supervising Insurance Specialist
3. Preparation of Certificate of No Pending/ Number of Pending Informal Complaints		After reconciliation and the Action Officer (AO) is satisfied with the documents presented, the letter request with notation as to the number of pending informal complaints or no pending complaints is indicated and forwarded to the Assisting Officer.	None	30 minutes	COS/Legal Assistant/ Insurance Specialist II/Senior Insurance Specialist/ Supervising Insurance Specialist
4. Signing of Certification		The Division Manager reviews the certification and affixes his signature.	None	1 hour and 30 minutes	Division Manager and/or Supervising

					Insurance Specialist
5. Issuance of Certificate of No Pending / Number of Pending Informal Complaints	The company representative shall pay the certification fee in the amount of Php 500.00.	After payment and presentation of Official Receipt, Certificate of No Pending / Number of Pending Informal Complaints will be issued to the requester.	Php 500.00 processing fee	1 hour and 30 minutes	Insurance Specialist II
<b>TOTAL</b>			<b>Php 500.00 processing fee</b>	<b>3 days</b>	



# **Legal Services Group – Regulation, Enforcement and Prosecution Division**

## **External Services**



## ***ANSWER TO REQUEST FOR LEGAL OPINION***

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- **About the Service**

This service is pursuant to Circular Letter 2017-13 entitled “Guidelines in the processing of Request for Legal Opinion. All requests for legal opinion are initially evaluated by the Commissioner, through the Legal Services Group. The REP Division prepares answer to request for legal opinion once assigned by the Office of the Deputy Insurance Commissioner for Legal Services Group.

- **Office/Division**

Regulation, Enforcement and Prosecution Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

Any person who request for legal opinion pertaining or relating to the interpretation and application of laws, rules and regulations being enforced and implemented by the Insurance Commission.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter addressed to the Insurance Commissioner stating therein the complete factual circumstances and contacts details must also be stated.	Client
Supporting documents/papers	Client

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of the Request	Requestor submits the Letter Request for Legal Opinion to the Office of the Commissioner.	The staff of the ODCOM LSG enters in the DRS the receipt of the document.	None	3 hours	Staff, ODCOM LSG
2. Assessment of the Request		The Deputy Insurance Commissioner for LSG makes initial assessment of the request.	None	1 day and 4 hours	Deputy Insurance Commissioner for LSG
3. Assignment by the Office of the Deputy Insurance Commissioner for Legal Services Group (ODCOM LSG)		The staff of the ODCOM LSG enters in the DRS the transmittal of the document to REPD.	None	3 hours	Staff, ODCOM LSG
4. Encoding in the Document Routing System (DRS) the receipt of the request		The Record Officer enters in the DRS the receipt of the letter request. The pertinent documents may be scanned when necessary.	None	30 minutes	Contract of Service
5. Assignment to the Action Officer		The Division Manager initially reads the request and assigns it to the Action Officer. This may be done electronically.	None	3 hours	Division Manager/ Officer-In-Charge
6. Preparation of the Legal Opinion		The Action Officer prepares the Legal Opinion/ Letter and/or communicate with the client for clarification on certain matters. This may be done electronically.	None	11 days	Contract of Service / Insurance Specialist II/ Supervising Insurance Specialist/ Attorney I
7. Preparation of Complete Staff Work (CSW)		The Action Officer prepares the CSW.	None	3 hours and 30 minutes	Contract of Service / Insurance

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
					Specialist II/ Supervising Insurance Specialist/ Attorney I
8. Review of the Legal Opinion		The Division Manager/ Officer-In-Charge reviews the Legal Opinion and approves the same by signing the CSW and affixing his initial on the said Legal Opinion	None	1 day	Division Manager/ Officer-In-Charge
		The Division Manager/ Officer-In-Charge, upon review of the Legal Opinion issues instruction to the Action Officer to revise the letter. The Action Officer revises the letter.			
		The Division Manager/ Officer-In-Charge, upon review of the Legal Opinion, approves the same by signing the CSW and affixes his initial in the said Legal Opinion			
9. Recording in the Document Routing System		The Administrative Aide logs, enters in the DRS, and forwards the documents to the Office of the Deputy Commissioner for Legal Services Group (ODCOM LSG).	None	3 hours	Contract of Service

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
10. Evaluation by the Deputy Insurance Commissioner for Legal Services Group		The Deputy Insurance Commissioner for Legal Services Group evaluates and signs on the memo on complete staff work and affixes his initial on the Legal Opinion or returns the documents to the REPD for correction.	None	2 days	Deputy Insurance Commissioner for LSG
11. Receipt by the OCOM of the Document		The Administrative Aide of the ODCOM LSG enters in the DRS the transmittal of the document to the Office of the Commissioner (OCOM).	None	3 hours	Staff, OCOM
12. Approval of the Legal Opinion		The Insurance Commissioner evaluates and signs on the Legal Opinion or returns the documents to the REPD for correction.	None	2 days	Insurance Commissioner
13. Receipt by the ODCOM LSG		The Administrative Aide of the OCOM enters in the DRS the transmittal of the document to the ODCOM LSG	None	3 hours	Staff, ODCOM LSG

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
14. Receipt by the REPD		The Administrative Aide of the ODCOM LSG enters in the DRS the transmittal of the document to the REPD.	None	3 hours	Contract of Service
15. Encoding of the Transmittal of the Document in the DRS for Its Release to Records Section		The Record Officer encodes/enters in the document routing system for releasing to Records Section and forwards the signed Legal Opinion to the Records Section for delivery to the requestor	None	2 hours	Contract of Service
<b>TOTAL:</b>			None	20 days	



## ANSWER TO SIMPLE QUERY

### ▪ **About the Service**

This service covers answer to simple query from private citizen, government entities or insurance entities, whether the company has approved insurance product or request for information of an applicable provision of the Insurance Code/Preneed Code/E.O. 192 series of 2015 or circular letter and others.

### ▪ **Office/Division**

Regulation, Enforcement and Prosecution Division

### ▪ **Classification**

Simple

### ▪ **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

Any person/entity who has query on the non-life insurance products approved by the Insurance Commission and on the applicable provision of the Insurance Code/Preneed Code/E.O. 192 series of 2015 or circular letter issued by the Insurance Commission.

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
Letter Request	Client

### ▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Letter Request		The Record Officer marks the stamp received on the letter request	None	10 minutes	Contract of Service
2. Encoding in the Document		The Record Officer enters in the DRS the receipt of the	None	4 hours	Contract of Service

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
Routing System		letter request and endorses to Division Manager/ Authorized Officer for appropriate action. The pertinent documents may be scanned when necessary.			
3. Assignment to Action Officer		The Division Manager/ Authorized Officer evaluates and assigns the request to the Action Officer.	None	4 hours	Division Manager/ Officer-In-Charge
4. Preparation of Reply to the inquiry letter		The Action Officer prepares the draft of the reply.	None	1 day	Contract of Service / Insurance Specialist II/ Supervising Insurance Specialist
5. Review of the Letter Request		The Division Manager reviews the reply to the inquiry letter and affixes his signature. This may be done electronically.	None	4 hours	Division Manager/ Officer-In-Charge
6. Encoding of the Transmittal of the Document in the DRS for Its Release to Records Section		The Record Officer encodes/ enters in the DRS for releasing to Records Section and forwards the signed Reply to the Records Section for delivery to the requestor.	None	2 hours	Contract of Service
<b>TOTAL:</b>			None	3 days	

## ***APPROVAL OF VARIOUS NON-LIFE INSURANCE POLICIES, APPLICATION FORMS, RIDERS, CLAUSES, WARRANTIES OR ENDORSEMENTS (EVALUATION OF COMPLIANCE)***

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- **About the Service**

This procedure covers evaluation of the revised (based on initial evaluation/2nd evaluation) non-life insurance policies, application forms, riders, clauses, warranties and endorsements for approval pursuant to Section 232 of the Insurance Code as amended by R.A. 10607. The procedure likewise cover answer to the clarificatory questions raised by the insurance companies concerning the evaluation of their products.

- **Office/Division**

Regulation, Enforcement and Prosecution Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Any non-life insurance company licensed to do business in the Philippines.

- **Requirement/s**

Checklist of Requirements	Where to secure
Letter or email submitting the revised form for approval.	Client
Copy (hard/soft) of the policy forms as well as application, rider, clause, warranty or endorsement forms which the company intends to issue.	Client

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Submission of the Revised Form	The client submits the revised form (either soft or hard copy) in conformity with the evaluation sent to them by the Action Officer.	The Action Officer receives the revised form and marks the stamp of receipt on the letter of the company (in duplicate copy) or acknowledges receipt of email, as applicable.	None (The Approval Fee was paid on their initial request of the form)	2 hours	Insurance Specialist II/ Supervising Insurance Specialist
2. The Company Raises Clarificatory Question on the Evaluation	The company representative emails the Action Officer its query on the evaluation of the form.	The Action Officer acknowledges receipt of email.	None		Insurance Specialist I/ Supervising Insurance Specialist
3. Evaluation of the Revised Form / Question Raised by the Company		The Action Officer reviews the submitted document or studies the question raised by the company and may discuss the same with the Division Manager/ Officer-In-Charge. (This may be done electronically.)	None	18 days	Insurance Specialist II/ Supervising Insurance Specialist
4. Sending of Comments/ Suggestions or Invitation to the Company to Discuss Dubious Provisions		The Action Officer emails to the company the evaluation (comments/ suggestions on the revised form) or invites for a meeting with its representative/s if necessary for further clarification. If the	None	1 day	Insurance Specialist II/ Supervising Insurance Specialist

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
		revised form is found in order, the Action Officer emails the company to submit three (3) specimen copies.			
<b>TOTAL:</b>			None	20 days	

## ***APPROVAL OF VARIOUS NON-LIFE INSURANCE POLICIES, APPLICATION FORMS, RIDERS, CLAUSES, WARRANTIES OR ENDORSEMENTS (INITIAL EVALUATION)***

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- **About the Service**

This procedure covers evaluation of the newly submitted non-life insurance policies, application forms, riders, clauses, warranties and endorsements for approval pursuant to Section 232 of the Insurance Code as amended by R.A. 10607. This procedure may include invitation of the underwriter of the company or its representative to further clarify the provision of its form.

- **Office/Division**

Regulation, Enforcement and Prosecution Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Any non-life insurance company licensed to do business in the Philippines.

- **Requirement/s**

Checklist of Requirements	Where to secure
Letter-request for approval of the policy form	Client
Payment of Fee	Client
Three (3) specimen copy on each of the policy forms as well as application, rider, clause, warranty or endorsement forms which the company intends to issue.	Client

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of Request	The client submits the letter request, in accordance with Circular Letter No. 2015-58A, together with the forms and requirements.	The Administrative Aide checks the request and the form/s and issues the Order of Payment (in duplicate copy) to the applicant and instructs them to go to the Cashier Section to pay the necessary fees. (This may be done electronically.)	Approval Fee- a) Policy/Bond Forms – Php 10,000.00 (plus LRF)  b) Application Form, COC, Endorsement, and Clauses – Php 5,000.00 (plus LRF)  c) Microinsurance Products (policy and other forms) – 50% of the above rate (plus LRF)	2 hours	Contract of Service
2. Encoding the Receipt of the Document in the Document Routing System (DRS)		The Record Officer of REPD enters in the DRS receipt of the document and forwards it to the Division Manager / Officer-In-Charge for assignment. The pertinent documents may be scanned when necessary. (This may be done electronically.)	None	2 hours	Contract of Service
3. Distribution of Assignment for Action		The Division Manager/ Authorized Officer initially evaluates the nature of the policy form and provides guidance to the Action Officer, if necessary; and	None	4 hours	Division Manager/ Officer-In-Charge, Contract of Service

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
		assigns the same to the Action Officer who will handle the request. The Record Officer logs the document and turns it over to the Action Officer. (This may be done electronically.)			
4. Evaluation of Submitted Form/Revised Form		The Action Officer, upon receipt of the request or the revised form or comments of the company, evaluates the same. The Action Officer prepares the evaluation sheet containing the comments/suggestions on the form and submits it to the Division Manager / Officer-In-Charge for discussion/approval. (This may be done electronically.)	None	17 days and 6 hours	Insurance Specialist II/ Supervising Insurance Specialist
5. Review by the Division Manager of the Evaluation Sheet Submitted and the Forms for Approval		The Division Manager/ Authorized Officer, after reviewing the comments/suggestions in the evaluation sheet and the forms subject to approval, may discuss the form with the Action Officer. (This may be done electronically.)		1 day	Division Manager / Officer-In-Charge
6. Sending of Comments/ Suggestions		The Action Officer emails to the company the		2 hours	Insurance Specialist II/ Supervising



STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
or Invitation to the Company to Discuss Dubious Provisions		evaluation (comments/ suggestions on the form) as approved by the Division Manager / Officer-In-Charge or invites for a meeting with its representative/s if necessary for further clarification.			Insurance Specialist
<b>TOTAL:</b>			Approval Fee- a) Policy/Bond Forms – Php 10,000.00 (plus LRF)  b) Application Form, COC, Endorsement, and Clauses – Php 5,000.00 (plus LRF)  c) Microinsurance Products (policy and other forms) – 50% of the above rate (plus LRF)	20 days	

## ***APPROVAL OF VARIOUS NON-LIFE INSURANCE POLICIES, APPLICATION FORMS, RIDERS, CLAUSES, WARRANTIES OR ENDORSEMENTS (PREPARATION OF APPROVAL LETTER)***

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- **About the Service**

This procedure covers the evaluation of the final revision of the form, preparation of the approval letter and CSW for the approval of the revised non-life insurance policies, application forms, riders, clauses, warranties and endorsements which were found in order.

- **Office/Division**

Regulation, Enforcement and Prosecution Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Any non-life insurance company licensed to do business in the Philippines.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter submitting the revised form for approval; and	Client
Three (3) specimen copy on each of the policy forms as well as application, rider, clause, warranty or endorsement forms which the company intends to issue	Client

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Submission of the Specimen Copies of the Form	The client submits three (3) specimen copies of the revised form as advised by the Action Officer.	The Action Officer receives the revised form and marks the stamp of receipt on the letter of the company (in duplicate copy).	None (The Approval Fee was paid on their initial request of the form)	2 hours	Contract of Service
2. Evaluation of the Revised Form		The Action Officer reviews the submitted document if it is the same with the latest form which was found in order by the Action Officer.		11 days	Insurance Specialist II/ Supervising Insurance Specialist
3. Preparation of CSW and Approval Letter		The Action Officer prepares CSW and Letter of Approval.		4 hours	Insurance Specialist II/ Supervising Insurance Specialist
4. Review of CSW and Approval Letter		The Division Manager / Authorized Officer reviews the CSW as well as the Approval Letter and signs them.		4 hours	Division Manager/ Officer-In-Charge
5. Transmittal of Documents		The Record Officer enters in the Document Routing System (DRS) the forwarding of the Document to the Office of the Deputy Insurance Commissioner for the Legal Services Group (OCD COM LSG) and forwards the CSW, Approval Letter, the form subject of approval, the letters from the		4 hours	Contract of Service

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
		company, the proof of payment, evaluation sheet and hard copy of the exchange of communications through email.			
6. Review of the Documents by the Deputy Insurance Commissioner for the Legal Services Group		<p>The Record Officer of the ODCOM LSG enters in the DRS the receipt of the document forwarded by REPD.</p> <p>The Deputy Insurance Commissioner for the Legal Services Group reviews the documents submitted and recommends the approval of the form by signing the CSW and affixing his initial on the letter of approval or may return to REPD for correction.</p>		2 days	<p>Staff, ODCOM LSG</p> <p>Deputy Insurance Commissioner for LSG</p>
7. Recording in the Document Routing System		The Record Officer of ODCOM LSG enters in the DRS, and forwards the documents to the Office of the Deputy Insurance Commissioner for MSSG (ODCOM MSSG).		4 hours	Staff, ODCOM LSG
8. Evaluation by the Deputy Insurance Commissioner for MSSG		The Deputy Insurance Commissioner for MSSG evaluates and affixes his signature on the letter of approval or returns the documents to the		2 days	Deputy Insurance Commissioner for MSSG

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
		REPD for correction.			
9. Forwarding of the Signed Approval Letter from the ODCOM MSSG to ODCOM LSG		The Admin Aide of ODCOM MSSG forwards the signed letter of approval to ODCOM LSG. The ODCOM LSG Admin Aide receives the documents.		4 hours	Staff, ODCOM MSSG
10. Forwarding of the Signed Approval Letter from the ODCOM LSG to REPD		The Admin Aide of ODCOM LSG forwards the signed letter of approval to REPD. The REPD Admin Aide receives the documents and forwards the document to the Action Officer.		4 hours	Staff, ODCOM LSG
11. Marking of Stamp of Approval on the Form and Signing on the Stamp of Approval		The Action Officer marks the stamp of approval and dry seal on the form. The Action Officer writes the date, which must be the same date of the letter of approval, and the control number. The Action Officer affixes his initial below the signature of the Division Manager/ Authorized Officer. The Division Manager/ Authorized Officer signs the approved policy form.		1 day	Insurance Specialist II / Supervising Insurance Specialist, Division Manager / Officer-In-Charge

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
12. Release of Approved Form		The Administrative Assistant/Aide enters and encodes in the DRS for releasing of the approved form and its letter of approval and forwards the same to Records Section for delivery to the client.		4 hours	Contract of Service
		<b>TOTAL:</b>	<b>None</b>	<b>20 days</b>	

***ISSUANCE OF CERTIFICATION OF NO PENDING ADMINISTRATIVE COMPLAINT OR CERTIFICATION OF APPROVED BOND OR POLICY FORMS AS REQUIRED/REQUESTED BY VARIOUS GOVERNMENT OR PRIVATE ENTITIES***

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▪ **About the Service**

This service is pursuant to the Insurance Guidelines on Rule XVI of the Omnibus Rules and Regulations Implementing R.A. 8042 (The Migrant Workers and Overseas Filipinos Act of 1995), as Amended by R.A. 10022 Relative to the Compulsory Insurance Coverage for Agency-Hired Migrant Overseas Filipino Workers; Guidelines on Corporate Surety Bonds issued by the Supreme Court, denominated as A.M. No. 04-7-02-SC; or in compliance with the requirement of other government or private entities.

▪ **Office/Division**

Regulation, Enforcement and Prosecution Division

▪ **Classification**

Simple

▪ **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

▪ **Who May Avail of the Service**

Any authorized representative/s of Government Agency or Private Entity.

▪ **Requirement/s**

Checklist of Requirements	Where to secure
Written request for the issuance of certificate;	Client
Payment of Fee.	Client

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Issuance of Order of Payment	The client presents its letter request.	The Administrative Assistant/Aide prepares the Order of Payment (OP) and issues the OP to the client. (This may be done electronically.)	Certification Fee – Php 500.00	10 minutes	Contract of Service
2. Payment of Fees	The Client proceeds to the Cashier.	The Cashier accepts the Order of Payment, receives the payment, and issues Official Receipt (OR) to the client.	None	1 hour	Cashier (Administrative Aide)
3. Acceptance of the Letter Request	The Client presents the Letter Request and OR.	Administrative Assistant/Aide receives all the required documents from the client. The pertinent documents may be scanned when necessary.	None	15 minutes	Contract of Service
4. Documentation of the Request		The Administrative Assistant/Aide enrolls the request in the Document Routing System (DRS) and forwards the same to the Action Officer. (This may be done electronically.)	None	30 minutes	Contract of Service
5. Validation of Records		The Action Officer verifies with Records Section or Records Database whether there is a pending administrative case against the company or the company has the	None	6 hours	Contract of Service / Insurance Specialist II / Supervising Insurance Specialist



STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
		approved bond/policy form.			
6. Preparation of the Certification		The Action Officer prepares the Certification in three (3) copies.	None	30 minutes	Contract of Service / Insurance Specialist II/ Supervising Insurance Specialist
7. Review and Approval of the Certification		The Division Manager/ Authorized Officer reviews and endorses Certification and its attached documents. If found in order, approves Certification. (This may be done electronically.)	None	3 hours	Division Manager/ Officer-In-Charge
8. Sealing of the Certification		The Action Officer affixes the IC's official dry seal on the approved Certification.		20 minutes	Contract of Service / Insurance Specialist II/ Supervising Insurance Specialist
9. Release of the Certification	The client receives the Certification.	The Action Officer releases the copy of Certification to client.		15 minutes	Contract of Service / Insurance Specialist II/ Supervising Insurance Specialist
<b>TOTAL:</b>			Php 500.00	3 days	

## ***ISSUANCE OF SUMMONS AND PREPARATION OF NOTICE/S OF HEARING FOR ADMINISTRATIVE CASES***

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- **About the Service**

This service is pursuant to the conduct of administrative proceeding upon formal complaint for violation of the Insurance Code, as amended, the Pre-need Code of the Philippines and of E.O. 192 s. 2015. The Insurance Code authorizes the Insurance Commissioner to impose administrative sanctions upon insurance companies, their directors and/or officers and/or agents for any willful failure or refusal to comply with, or violation of any provision of this Code, or any order, instruction, regulation, or ruling of the Insurance Commissioner, or any commission or irregularities, and/or conducting business in an unsound manner, and for the commission of unfair claim settlement practices. Section 53 and Section 23 of The Pre-need Code of Philippines also authorizes the Insurance Commission to impose administrative sanctions for specified acts, for unfair claims settlement practices and for violation of the Pre-need Code and its implementing rules and regulations. E.O. 192 s. 2015 transferring regulation of HMOs to the Insurance Commission.

**This service covers the issuance of summons and notice of hearing.**

- **Office/Division**

Regulation, Enforcement and Prosecution Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

Any person who has complaint for violation of the Insurance Code and Pre-need Code of the Philippines and E.O. 192 s. 2015 where the imposition of fine, suspension or cancellation of license or registration, and other administrative penalties may be imposed.

- **Requirement/s**

Checklist of Requirements	Where to secure
Submission of a verified complaint with prayer for the imposition of administrative penalty.	<i>Client</i>

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Filing of Verified Complaint (For Administrative Case) Receipt of Letter of Complaint)	Submission of complaint	REPD receives complaint and enters/encodes in the document routing system the receipt of the complaint filed.		10 minutes	Contract of Service Personnel
2. Determination whether the complaint is sufficient in form and substance		The Division Manager / Authorized Officer/Lawyer initially evaluates the complaint.		1 hour	Division Manager/ Officer-in-Charge
3. Issuance of the Evaluation Sheet				1 hour	Contract of Service Personnel
4. Issuance of Order of Payment		The Administrative Assistant/Aide prepares the Order of Payment (OP) and issues the OP to the client. (This may be done electronically)	<i>Filing Fee- Php 3,000.00</i>	10 minutes	Contract of Service Personnel

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
5. Docketing of Case		The Administrative Aide assigns a case number for a specific case in chronological order, The Administrative Aide logs the case number, the name of the parties, the date of complaint and the date received by the division.		1 hour	Contract of Service Personnel
6. Assignment to the Action Officer		The Division Manager / Authorized Officer assigns the preparation of the summons or the notice of hearing to the action officer. The Record Officer logs the receipt of the Action Officer.		3 hours	Division Manager/ Officer-in-Charge
7. Preparation and Issuance of Summons/ Notice of Hearing		Prepares and issues summons with the attached copy of the complaint together with its annexes		1 day	Contract of Service Personnel
8. Signing of the Summons/ Notice of Hearing		The Division Manager/ Authorized Officer /Hearing Officer signs the Summons or Notice of Hearing		4 hours	Division Manager/ Officer-in-Charge
9. Encoding for the transmittal of the document in the DRS		The Admin Aide encodes/enters in the document routing system for releasing to Records Section		4 hours	Contract of Service Personnel

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
		and forwards the signed Summons/ Notice of Hearing to the Records Section for delivery to the respondent/s (summons) or in case Notice of Hearing to the parties and/or their respective counsels			
<b>TOTAL:</b>			<i>Php 3,000.00</i>	<i>3 Days</i>	



**Management Support Services Group –  
Accounting Division**  
**Internal Services**



## ***CERTIFYING OF BILLING STATEMENT***

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- **About the Service**

This procedure covers the certifying of billing statement from concerned divisions that payment has not been received on supervision fee, penalty on breached in tariff, penalty on late submission of reportorial requirements, or late payment of penalty.

- **Office/Division**

Accounting Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Any IC division who will bill the Insurance, Pre-Need and HMO companies on fees and charges.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Billing Statement (5 original copies)	Concerned Division
For supervision fee - Statement of Financial Condition or list of assets or networth of the companies (1 photocopy)	
For penalty on breached in tariff - Penalty letter signed by the Insurance Commissioner or designated official addressed to the companies (1 photocopy)	Concerned Division
For penalty on late submission of reportorial requirements - Proof of receipt by IC on the transmittal letter from the companies (1 photocopy)	Concerned Division

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 6:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of Billing Statement	The concerned division submits their Billing Statement.	The Action Officer receives and assigns a control number on the Billing Statement with attached supporting document.	None	4 hours	Accounting Staff
2. Recommendation		Reviews the Billing Statement	None	1 day and 2 hours	IC Accountant IV
3. Issuance of Billing Statement		Approves and signs the Billing Statement	None	1 day and 2 hours	IC Division Manager
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	



## ***ISSUANCE / AUTHENTICATION OF CERTIFICATE OF TAX WITHHELD (BIR FORM NO. 2316)***

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- **About the Service**

This procedure covers the issuance and authentication of certificate of tax withheld of IC officials and employees including the retired or resigned employee.

- **Office/Division**

Accounting Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Any retired or resigned employee requesting for a certificate of tax withheld who have received their last salary and other personnel benefits, any IC official or employee, or Human Resource Division requesting for authentication of certificate of annual tax withheld for purposes of travel, loan application, among others.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
For IC officials and employees including the retired or resigned officials and employees - Accomplished "Accounting Request Form" ACC Form V.2 (1 original copy)	Accounting Division
For Human Resource Division (HRD) - Photocopy of Certificate of Tax Withheld (3 copies)	Human Resource Division

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 6:00 PM

▪ **How to Avail of the Service**

**A. For IC Officials and Employees**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of Accomplished Request Form	The IC official or employee submits the accomplished "Accounting Request Form" ACC Form V.2.	The Action Officer receives and assigns a control number on the accomplished "Accounting Request Form".	None	5 minutes	Accounting Staff
2. Printing of Certificate		Prints the Annual Certificate of Tax Withheld	None	1 hour	IC Accountant I, II, III or IV
3. Issuance of Certificate		Approves and signs the Annual Certificate of Tax Withheld	None	1 hour	IC Division Manager
<b>TOTAL</b>			<b>None</b>	<b>2 hours and 5 minutes</b>	

**B. For Retired or Resigned Officials and Employees**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of Accomplished Request Form	The retired or resigned employee submits the accomplished "Accounting Request Form" ACC Form No. 1 / Request Form 2017 V.1.	The Action Officer receives and assigns a control number on the accomplished "Accounting Request Form".	None	5 minutes	Accounting Staff
2. Preparation of Certificate		Prepares the Certificate of Tax Withheld with corresponding computation	None	1 day, 7 hours and 55 minutes	IC Accountant I, II or III
3. Recommendation		Review the Certificate of	None	4 hours	IC Accountant IV

		Tax Withheld with corresponding computation			
4. Issuance of Certificate		Approves and signs the Certificate of Tax Withheld	None	4 hours	IC Division Manager
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	

### C. For Human Resource Division

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Photocopies of Annual Certificate of Tax Withheld	The HRD submits the photocopies of Annual Certificate of Tax Withheld of an IC official or employee.	The Action Officer receives the photocopies of Annual Certificate of Tax Withheld of an IC official or employee.	None	5 minutes	Accounting Staff
2. Issuance of Certificate		Authenticates the copies of the Annual Certificate of Tax Withheld	None	1 hour	IC Division Manager
<b>TOTAL</b>			<b>None</b>	<b>1 hour and 5 minutes</b>	

## ***ISSUANCE OF CERTIFICATE OF REMITTANCE OF EMPLOYEES' SALARY DEDUCTIONS TO VARIOUS GOVERNMENT AGENCIES AND OTHER INSTITUTIONS***

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- **About the Service**

This procedure covers the preparation of certificate of remittance upon request of the employee for the following purposes:

- a) Premium contributions including employer share for availment of health care service and for reconciliation; and
- b) Amortization of loan payments as proof of full payment of the loan or for renewal of loan.

- **Office/Division**

Accounting Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Any employee who requests a certificate of remittance of their premium contributions and loan amortization payments.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Accomplished "Accounting Request Form" ACC Form V.2 (1 original copy)	Accounting Division

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 6:00 PM

▪ **How to Avail of the Service**

**A. Philhealth Premium Contributions**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of Accomplished Request Form	The IC employee submits the accomplished "Accounting Request Form" ACC Form V.2.	The Action Officer receives and assigns a control number on the accomplished "Accounting Request Form".	None	5 minutes	Accounting Staff
2. Preparation of Certificate		Prepares the certificate of remittance on the premium contributions of the employee and employer for the last twelve (12) months.	None	4 hours	IC Accountant I, II, III or IV
3. Issuance of Certificate		Approves and signs the certificate of remittance.	None	2 hours	IC Division Manager
<b>TOTAL</b>			<b>None</b>	<b>6 hours and 5 minutes</b>	

**B. Government Service Insurance System, Home Development Mutual Fund and other institutions' Premium Contributions and Amortization of Loan Payments or Renewal of Loan**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of Accomplished Request Form	The IC employee submits the accomplished "Accounting Request Form" ACC Form V.2.	The Action Officer receives and assigns a control number on the accomplished "Accounting Request Form".	None	5 minutes	Accounting Staff
2. Preparation of Certificate		Prepares the requested period of certificate of remittance on the premium contributions of the employee and employer or loan amortizations payment, including the photocopy of official	None	2 days and 3 hours and 55 minutes	IC Accountant I, II, III or IV

		receipt and remittance list.			
3. Issuance of Certificate		Approves and signs the certificate of remittance as well as authenticates copy of official receipt and remittance list.	None	4 hours	IC Division Manager
<b>TOTAL</b>			<b>None</b>	<b>3 days</b>	

## **ISSUANCE OF ORDER OF PAYMENT**

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### **▪ About the Service**

This procedure covers the preparation of order of payment for the following, but not limited to:

- a) Supervision fee;
- b) Penalty on breached in tariff;
- c) Penalty on late submission of reportorial requirements;
- d) Late payment of penalty;
- e) Refund of cash advance; and
- f) Refund of notice of disallowance.

### **▪ Office/Division**

Accounting Division

### **▪ Classification**

Simple

### **▪ Type of Transaction**

Government-to-Business (G2B)  
Government-to-Government (G2G)

### **▪ Who May Avail of the Service**

Any Insurance, Pre-Need and Health Maintenance Organization (HMO) companies who will pay fees and charges, or any IC official or employee who will pay refund.

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
For the Companies a) On or before the due date - Billing Statement issued by IC (1 original/photocopy copy) b) After due date – proof of receipt of the billing statement (1 original/photocopy copy)	Customer representative brings the following: a) Billing Statement b) Proof of receipt of the Billing Statement
For the IC Officials and Employees a) Liquidation Report reflecting the computation of the amount for refund (1 original copy) b) Disbursement Voucher reflecting the amount deducted either from salary or other personnel benefits (1 original copy) c) Certificate of Accountabilities (1 original copy)	Accounting Division

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 6:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Billing Statement / Liquidation report / Disbursement Voucher / Certificate of Accountabilities	The client submits their billing statement or the IC official or employee submits their liquidation report or disbursement voucher or certificate of accountabilities .	The Action Officer receives any of the following: a. billing statement b. liquidation report c. disbursement voucher d. certificate of accountabilities	None	5 minutes	IC Accountant I, II, III or IV
2. Preparation of Order of Payment		Prepares and signs the Order of Payment accordingly  a. Amount indicated for refund based on the Liquidation Report, Disbursement Voucher or Certificate of Accountabilities  b. Payment of billed amount is on or before the due date  c. Payment of billed amount after due date, compute for charges on late payment for the following:  c.1. Supervision Fee (deadline: 01 March of every year) - Php1,000.00 per day multiplied by	None	2 hours	IC Accountant I, II, III or IV



		<p>the number of days starting 02 March until the date of payment</p> <p>c.2. Penalty on breached in tariff and late submission of reportorial requirements</p> <p>- Billed Amount x 12% x Number of Days*/360 Days)</p> <p>*Counted starting after due date until date of payment</p>			
3. Issuance of Order of Payment		Approves and signs the Order of Payment	None	1 hour	IC Division Manager
<b>TOTAL</b>			<b>None</b>	<b>3 hours and 5 minutes</b>	

## **ISSUANCE OF OTHER CERTIFICATES**

### **About the Service**

This procedure covers the preparation of certification for the following:

- a) No unliquidated cash advance as requested by the Human Resource Division;
- b) No fund release or disbursement for government grant, project, activity or program as requested by the Commission on Audit (COA); and
- c) Other certification as required by COA or other government agencies.

### **Office/Division**

Accounting Division

### **Classification**

Simple

### **Type of Transaction**

Government-to-Government (G2G)

### **Who May Avail of the Service**

Any government entity, IC official or employee requesting for a certification on no fund release, or disbursement for government grant, project, activity or program, no unliquidated cash advance for whatever legal purpose it may serve, or other certification.

### **Requirement/s**

Checklist of Requirements	Where to secure
Written Request (1 original/photocopy copy)	COA or other Government Entity
Accomplished "Accounting Request Form" ACC Form V.2 (1 original copy)	Accounting Division

### **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 6:00 PM

### **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Written Request /	The government entity or the Human Resource	The Action Officer receives the written request from the government entity	None	5 minutes	Accounting Staff

Accomplished Request Form	Division (HRD) submits the written request or the accomplished "Accounting Request Form" ACC Form V.2; respectively.	or subsequently assigns a control number on the accomplished "Accounting Request Form".			
2. Preparation of Certificate		Prepares the Certificate	None	6 hours and 55 minutes	IC Division Manager
3. Issuance of Certificate		Approves and signs the Certificate	None	1 hour	IC Division Manager
<b>TOTAL</b>			<b>None</b>	<b>1 day</b>	

## ***PROCESSING OF DISBURSEMENT VOUCHERS FOR INDIVIDUAL AND GENERAL (ALL EMPLOYEES) CLAIMS OF SALARY, ALLOWANCES AND OTHER FORMS OF COMPENSATION***

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### **▪ About the Service**

This procedure covers the processing of individual or general claims of salary, allowances and other forms of compensation of government official and employees. These include the following:

- a) First Salary;
- b) Salary (if deleted from the payroll);
- c) Salary Differentials due to Promotion and/or Step Increment;
- d) Last Salary;
- e) Salary due to heirs of deceased employee;
- f) Maternity Leave;
- g) General Claims through Automated Teller Machine for all employees;
- h) Allowances but not limited to Personnel Economic Relief Allowance (PERA), Representation and Transportation Allowance (RATA), Clothing/Uniform Allowance;
- i) Other forms of compensation but not limited to Mid-Year Bonus (MYB), Year-End Bonus (YEB) and Cash Gift (CG), Terminal Leave Benefits (TLB), Loyalty Cash Award/Incentive, Productivity Enhancement Incentive (PEI), Performance Based Bonus (PBB), and Collective Negotiation Agreement (CNA) Incentive.

### **▪ Office/Division**

Accounting Division

### **▪ Classification**

Complex

### **▪ Type of Transaction**

Government-to-Government (G2G)

### **▪ Who May Avail of the Service**

IC official and employee claiming for their salary, allowances and other forms of compensation on services rendered for a specific period.

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
First Salary - Disbursement Voucher (3 original copies) - Obligation Request and Status (3 original copies)	Human Resource Division

<ul style="list-style-type: none"> <li>- Approved Appointment (2 Certified True Copy (CTC))</li> <li>- Assignment Order, if applicable (2 CTC)</li> <li>- Oath of Office (2 CTC)</li> <li>- Certificate of Assumption (1 original copy and 1 CTC)</li> <li>- Statement of Assets, Liabilities and Net Worth (SALN) (2 CTC)</li> <li>- Approved Daily Time Record (DTR) (1 original copy and 1 CTC)</li> <li>- Bureau of Internal Revenue (BIR) withholding certificates – Forms 1902 or 2305 (2 CTC)</li> <li>- Authority from the claimant (1 original copy and 1 photocopy) and identification documents (2 photocopies), if claimed by person other than the payee</li> </ul> <p><i>Additional requirements for transferees (from one government office to another)</i></p> <ul style="list-style-type: none"> <li>- Clearance from money, property and legal accountabilities from the previous office (1 original copy and 1 CTC)</li> <li>- Pre-audited DV of last salary from previous agency and/or CTC of Certification by the Chief Accountant of last salary received from previous office (2 CTC)</li> <li>- BIR Form 2316 (Certificate of Compensation Payment/Tax Withheld) (2 CTC)</li> <li>- Certificate of Available Leave Credits (1 original copy and 1 CTC)</li> <li>- Service Record (2 CTC)</li> </ul>	
<p>Salary (if deleted from the payroll)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Approved DTR (1 original and 1 CTC)</li> <li>- Certificate of Time-In and Time-Out, if applicable (1 original copy and 1 CTC)</li> </ul>	Human Resource Division

<ul style="list-style-type: none"> <li>- Approved Application for Leave, Clearances (1 original copy and 1 CTC), and Medical Certificate if on sick leave for five days or more (2 CTC)</li> </ul>	
<p>Salary Differentials due to Promotion and/or Step Increment</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Approved Appointment in case of promotion or Notice of Salary Adjustment (NOSA) in case of step increment/salary increase (2 CTC)</li> <li>- Certificate of Assumption (1 original copy and 1 CTC)</li> <li>- Approved DTR or certification that the employee has not incurred leave without pay (1 original copy and 1 CTC)</li> <li>- General Payroll (General Form No. 4, Revised January 1992) (2 original copies)</li> </ul>	Human Resource Division
<p>Last Salary</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Clearance from money, property and legal accountabilities from the previous office (1 original and 1 CTC)</li> <li>- Approved DTR (1 original and 1 CTC)</li> </ul>	Human Resource Division
<p>Salary due to heirs of deceased employee</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Same requirements as those for last salary</li> <li>- Additional requirements <ul style="list-style-type: none"> <li>o Death Certificate authenticated by Philippine Statistics Authority (PSA) (1 original copy and 1 CTC)</li> <li>o Marriage Contract authenticated by PSA, if applicable (1 original copy and 1 CTC)</li> </ul> </li> </ul>	Human Resource Division

<ul style="list-style-type: none"> <li>○ Birth Certificates of surviving legal heirs authenticated by PSA (1 original copy and 1 CTC)</li> <li>○ Designation of next-of-kin (1 original copy and 1 CTC)</li> <li>○ Waiver of right of children 18 years old and above (1 original copy and 1 CTC)</li> </ul>	
<p><b>Maternity Leave</b></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Approved Application for Leave (1 original copy and 1 CTC)</li> <li>- Maternity Leave Clearance (1 original copy and 1 CTC)</li> <li>- Medical certificate for maternity leave (2 CTC)</li> </ul> <p><i>Additional Requirements for Unused Maternity Leave (upon assumption before the expiration of the 105-day maternity leave)</i></p> <ul style="list-style-type: none"> <li>- Medical certificate that the employee is physically fit to work (2 CTC)</li> <li>- Certificate of assumption (1 original copy and 1 CTC)</li> <li>- Approved DTR (1 original and 1 CTC)</li> </ul>	Human Resource Division
<p><b>General Claims of Salary and Personnel Economic Relief Allowance (PERA) through Automated Teller Machine for all employees</b></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Salary Payroll (2 original copies)</li> <li>- Salary Payroll Register (3 original copies)</li> </ul>	Human Resource Division
<p><b>Representation and Transportation Allowance (RATA)</b> <u>For Individual Claims</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> </ul>	Human Resource Division

<ul style="list-style-type: none"> <li>- Obligation Request and Status (3 original copies)</li> <li>- Certificate or evidence of service rendered or approved DTR (1 original copy and 1 CTC)</li> </ul> <p><u>General Claims</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- RATA Payroll (2 original copies)</li> <li>- Certificate or evidence of service rendered or approved DTR (1 original copy and 1 CTC)</li> </ul>	
<p>Clothing/Uniform Allowance <u>For Individual Claims</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Approved Appointment of new employees (2 CTC)</li> <li>- Certificate of Assumption of new employees (2 CTC)</li> <li>- Certificate of non-payment from previous agency, for transferees (2 CTC)</li> </ul> <p><u>General Claims</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Clothing/Uniform Allowance Payroll (2 original copies)</li> <li>- Clothing/Uniform Payroll Register (2 original copies)</li> </ul>	Human Resource Division
<p>Mid-Year Bonus <u>For Individual Claims</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Clearance from money, property and legal accountabilities (2CTC)</li> </ul>	Human Resource Division



<ul style="list-style-type: none"> <li>- Certificate from Head of Agency or designated official that the employee is qualified to receive the MYB benefit pursuant to Budget Circular No. 2017-2 dated 18 May 2017 which is applicable for FY 2017 and years thereafter (1 original copy and 1 CTC)</li> </ul> <p><u>General Claims</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- MYB Payroll (2 original copies)</li> <li>- MYB Payroll Register (2 original copies)</li> </ul>	
<p>Year-End Bonus and Cash Gift <u>For Individual Claims</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Clearance from money, property and legal accountabilities (2CTC)</li> <li>- Certificate from Head of Agency or designated official that the employee is qualified to receive the YEB and CG benefits pursuant to Budget Circular No. 2016-4 dated 28 April 2016 which is applicable for FY 2016 and years thereafter (1 original copy and 1 CTC)</li> </ul> <p><u>General Claims</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- YEB and CG Payroll (2 original copies)</li> <li>- YEB and CG Payroll Register (2 original copies)</li> </ul>	Human Resource Division
<p>Terminal Leave Benefits</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Clearance from money, property and legal accountability from the Agency of</li> </ul>	Human Resource Division

<p>last assignment (1 original copy and 1 CTC)</p> <ul style="list-style-type: none"> <li>- Certified photocopy of employees leave card as at last date of service duly audited by the HRD and COA/Certificate of leave credits issued by the HRD (1 original copy and 1 CTC)</li> <li>- Approved leave application (1 original copy and 1 CTC)</li> <li>- Complete service record (1 original copy and 1 CTC)</li> <li>- SALN (2 CTC)</li> <li>- Appointment/NOSA showing the highest salary received if the salary under the last appointment is not the highest (2 CTC)</li> <li>- Computation of TLB duly signed/certified by the accountant (3 copies)</li> <li>- Applicant's authorization (in affidavit form) to deduct all financial obligations with the agency (1 original copy and 1 CTC)</li> <li>- Affidavit of applicant that there is no pending criminal investigation or prosecution against him/her (R.A. No. 3019)</li> <li>- In case of resignation, employee's letter of resignation duly accepted by the Head of the Agency</li> </ul> <p><i>Additional requirements in case of the death of claimant</i></p> <ul style="list-style-type: none"> <li>- Death Certificate authenticated by PSA (1 original copy and 1 CTC)</li> <li>- Marriage Contract authenticated by PSA, if applicable (1 original copy and 1 CTC)</li> <li>- Birth Certificates of all surviving legal heirs authenticated by PSA (1 original copy and 1 CTC)</li> <li>- Designation of next-of-kin (1 original copy and 1 CTC)</li> <li>- Waiver of right of children 18 years old and above (1 original copy and 1 CTC)</li> </ul>	
Milestone Award	Human Resource Division

<ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Milestone Payroll (2 original copies)</li> <li>- Milestone Register (3 original copies)</li> </ul>	
Productivity Enhancement Incentive <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- PEI Payroll (2 original copies)</li> <li>- PEI Register (3 original copies)</li> </ul>	Human Resource Division
Performance Based Bonus <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- PBB Payroll (2 original copies)</li> <li>- PBB Register (3 original copies)</li> </ul>	Human Resource Division
Collective Negotiation Agreement (CNA) Incentive <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- CNA Payroll (2 original copies)</li> <li>- CNA Register (3 original copies)</li> <li>- Resolution relative to the guidelines in the determination of CNA for the said year by the IC Labor Management Consultative Council (2 copies)</li> </ul>	Human Resource Division
Honoraria of Government Personnel Involved in Government Procurement <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Office Order creating and designating the BAC composition and authorizing members to collect honoraria (2 CTC)</li> <li>- Minutes of BAC Meeting (2 CTC)</li> <li>- Notice of award to the winning bidder of procurement activity being claimed (2 CTC)</li> </ul>	Bids and Awards Committee (BAC)

<ul style="list-style-type: none"> <li>- Certification that the procurement involves competitive bidding (1 original copy and 1 CTC)</li> <li>- Attendance sheet listing names of attendees to BAC Meeting (2 CTC)</li> <li>- Honoraria Payroll (2 original copies)</li> </ul>	
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▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 6:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Disbursement Voucher (DV)	The Budget Division submits DV, Obligation Request and Status (ORS) and supporting documents.	The Action Officer receives and assigns a control number on the DV with attached supporting document.	None	30 minutes	Accounting Staff
2. Evaluation of DV and preparation of BIR withholding tax certificate		Evaluates the DV on the completeness and compliance of supporting documents as well as correctness of computation, prepares and affixes initials on BIR withholding tax certificates for official or employee, if applicable, and affixes initials on Box C of the DV.	None	2 days	IC Accountant I, II or III
3. Recommendation		a. Reviews and recommends the DV on the completeness and compliance of supporting documents as well as correctness of computation, and affixes initials on Box C of the DV as well as on BIR withholding tax	None	6 hours and 30 minutes	IC Accountant IV

		<p>certificates for official or employee, if applicable.</p> <p>b. Prepares List of Due and Demandable Accounts Payable – Advice to Debit Accounts (LDDAP-ADA) and affixes initials on the Certified Correct portion, if applicable.</p> <p>c. Reviews and recommends LDDAP-ADA and affixes initials on the Certified Correct portion, if applicable.</p>			<p>IC Accountant I, II or III</p> <p>IC Accountant IV</p>
4. Certification of DV, BIR withholding tax certificate, and LDDAP-ADA		<p>a. Approves and signs Box C of the DV, and BIR withholding tax certificates as well as LDDAP-ADA on the Certified Correct portion, if applicable.</p> <p>b. Forwards the DV with complete supporting documents, and BIR withholding tax certificates as well as LDDAP-ADA on the Certified Correct portion, if applicable to Administrative Division for approval of payment.</p>	None	4 hours	<p>IC Division Manager</p> <p>Accounting Staff</p>
<b>TOTAL</b>			<b>None</b>	<b>3 days and 3 hours</b>	

## ***PROCESSING OF DISBURSEMENT VOUCHERS FOR MAINTENANCE AND OTHER OPERATING EXPENSES AND CAPITAL OUTLAYS***

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### **▪ About the Service**

This procedure covers the processing of payments for goods and services, consulting services, infrastructure projects and other claims against government funds. These include the following:

- a) Grant of cash advances
- b) Replenishment of petty cash fund
- c) Reimbursements and other travel expenses
- d) Purchase of office supplies and other supplies and materials
- e) Purchase of Property, Plant and Equipment (PPE) and Semi-Expendable PPE
- f) Payment for fuel expenses, repairs and maintenance
- g) Payment for utilities
- h) Prepayments such as insurance premiums, fidelity bond premium, subscriptions
- i) Payment for services of consultants, contract of service and service agreement personnel
- j) Payment for newspaper publication and other advertising expenses
- k) Payment for human resource development and training programs
- l) Payment for goods, consulting services and infrastructure projects procured under Republic Act No. 9184 and its 2016 IRR
  - i) Competitive Bidding
  - ii) Alternative Methods
    - Limited Source Bidding
    - Direct Contracting
    - Repeat Order
    - Shopping
    - Negotiated Procurement – Small Value Procurement, Two Failed Biddings, Emergency Cases, Agency-to-Agency, Scientific, Scholarly or Artistic Work, Exclusive Technology and Media Services, Highly Technical Consultants, Lease of Real Property and Venue

### **▪ Office/Division**

Accounting Division

### **▪ Classification**

Complex

### **▪ Type of Transaction**

Government-to-Business (G2B)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

IC suppliers and consultants for claims against government funds for goods delivered, services rendered or infrastructure projects. IC officials and employees for grant of allowable expenses incurred while on official business.

- **Requirement/s**

Checklist of Requirements	Where to secure
<p>I. LIQUIDATION/REPLENISHMENT OF PETTY CASH FUND</p> <p>A. General Services</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Report on Paid Petty Cash Vouchers (2 original copies)</li> <li>- Purchase request with certificate of Emergency Purchase if necessary; (1 original copy, 1 CTC)</li> <li>- Billing Statement / Statement of Account / Sales Invoice (1 original copy, 1 CTC)</li> <li>- Official/Collection Receipt (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (1 original copy, 1 CTC)</li> <li>- Waste Materials Report (WMR) in case of replacement/repair (1 original copy, 1 CTC)</li> <li>- Trip ticket, for emergency purchase of gasoline/fuel (1 original copy, 1 CTC)</li> <li>- Purchase Order/ Job Order, for purchases/services involving P1,000 or more (2 original copies)</li> <li>- Canvass from at least three (3) suppliers for purchases involving P1,000 and above (1 original copy, 1 CTC)</li> </ul>	<p>Administrative Division-General Services Section</p>

<ul style="list-style-type: none"> <li>- Summary/Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- Petty Cash Voucher (PCV) (2 original copies)</li> <li>- Delivery Receipts, if applicable (1 original copy, 1 CTC)</li> <li>- Inventory Custodian Slip (ICS), if applicable (1 original copy, 1 CTC)</li> <li>- Request for Inspection and Repair, if applicable (1 original copy, 1 CTC)</li> <li>- Tax Certificates for purchases from regular suppliers, regardless of amount (1 original copy, 1 CTC)</li> <li>- Tax Certificates for casual purchases involving P 10,000 or more (1 original copy, 1 CTC)</li> </ul> <p>For first time suppliers,</p> <ul style="list-style-type: none"> <li>- BIR Form 2303 or withholding tax purposes (2 CTC)</li> <li>- Business permit (2 CTC)</li> </ul>	
<p><b>B. Miscellaneous Expenses (meals, supplies)</b></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Report on Paid Petty Cash Vouchers (2 original copies)</li> <li>- Purchase Request with certificate of Emergency Purchase if necessary; (1 original copy, 1 CTC)</li> <li>- Billing Statement / Statement of Account / Sales Invoice (1 original copy, 1 CTC)</li> <li>- Official/Collection Receipt (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (1 original copy, 1 CTC)</li> <li>- Canvass from at least three (3) suppliers for purchases involving</li> </ul>	<p><b>Administrative Division-Cashier Section</b></p>



<p>P1,000 and above (1 original copy, 1 CTC)</p> <ul style="list-style-type: none"> <li>- Summary/Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- Petty Cash Voucher (2 original copies)</li> <li>- Office order/ Memorandum for COS/SA (2 CTC)</li> <li>- Delivery Receipts (1 original copy, 1 CTC)</li> <li>- Notice of meeting (2 CTC)</li> <li>- Attendance Sheet (1 original copy, 1 CTC)</li> <li>- Purchase Order/ Job Order, for purchases/services involving P1,000 or more (2 original copies)</li> <li>- Inventory Custodian Slip (1 original copy, 1 CTC)</li> <li>- Request and Issue Slip (1 original copy, 1 CTC)</li> <li>- Tax Certificates for purchases from regular suppliers, regardless of amount (1 original copy, 1 CTC)</li> <li>- Tax Certificates for casual purchases involving P 10,000 or more (1 original copy, 1 CTC)</li> </ul> <p>For first time suppliers,</p> <ul style="list-style-type: none"> <li>- BIR Form 2303 or withholding tax purposes (2 CTC)</li> <li>- Business permit (2 CTC)</li> </ul>	
<p>C. Transportation Expenses</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Report on Paid Petty Cash Vouchers (2 original copies)</li> <li>- Billing Statement / Statement of Account / Sales Invoice (1 original copy, 1 CTC)</li> <li>- Official/Collection Receipt (1 original copy, 1 CTC)</li> <li>- Petty Cash Voucher (2 original copies)</li> </ul>	<p>Administrative Division-Cashier Section</p>

<ul style="list-style-type: none"> <li>- Certification of Expenses Not Requiring Receipts (2 original copies)</li> </ul> <p>For reimbursement of toll receipts</p> <ul style="list-style-type: none"> <li>- Toll Receipts (1 original copy, 1 CTC)</li> <li>- Trip tickets (2 CTC)</li> </ul> <p>Where applicable,</p> <ul style="list-style-type: none"> <li>- Invitation/Notice of Meeting (2 CTC)</li> <li>- Personnel Locator Slip (1 original copy, 1 CTC)</li> <li>- Office order/ Memorandum granting authority to travel or attend (2 CTC)</li> </ul>	
<p>D. Transportation of Messenger and Courier Services</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Report on Paid Petty Cash Vouchers (2 original copies)</li> <li>- Petty Cash Voucher (2 original copies)</li> <li>- For Transportation of Messengers</li> <li>- Personnel Locator Slip (1 original copy, 1 CTC)</li> <li>- Certification of Expenses Not Requiring Receipts (2 original copies)</li> <li>- For Courier Services</li> <li>- Official Receipts (1 original copy, 1 CTC)</li> <li>- Document delivered received by addressee/authorized representative (1 photocopy)</li> </ul>	<p>Administrative Division-Records Section</p>
<p>II. CASH ADVANCES (CA)</p> <p>A. Travel Allowances</p> <p>Local Travel</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Office order/ Memorandum for COS/SA (2 CTC)</li> </ul>	<p>Human Resource Division/ Other Concerned Divisions</p>

<ul style="list-style-type: none"> <li>- Itinerary of travel (2 original copies)</li> <li>- Invitation addressed to the agency, in case of seminar/training (2 CTC)</li> <li>- Certification from the accountant that the previous cash advance has been liquidated and accounted for in the books (3 original copies)</li> <li>- Programme agenda and logistics information (2 CTC)</li> <li>- Where applicable, Flight itinerary issued by the airline/ticketing/travel agency (1 original copy, 1 CTC)</li> </ul>	
<p>Foreign Travel</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Travel Authority (2 CTC)</li> <li>- Authority from the OP to claim actual expenses, i.e. hotel accommodation, business class flights, representation expenses, where applicable (2 CTC)</li> <li>- Itinerary of travel (2 original copies)</li> <li>- Letter of invitation of host/ sponsoring country / agency / organization (2CTC)</li> <li>- Flight itinerary issued by the airline/ticketing/travel agency (1 original copy, 1 CTC)</li> <li>- Computation of Estimated Allowable Travelling Expenses (2 original copies)</li> <li>- copy of UNDP rate for the DSA for the country of destination (2 CTC)</li> <li>- Document to show the dollar to peso exchange rate at the date of the grant of cash advance (2 CTC)</li> <li>- Invitation/Instruction addressed to the agency inviting participants (issued by the foreign country) (2 CTC)</li> <li>- Acceptance of the nominees as participants (issued by the foreign country), if applicable (2 CTC)</li> </ul>	Human Resource Division

<ul style="list-style-type: none"> <li>- Programme agenda and logistics information, if applicable (2 CTC)</li> <li>- Certification from the accountant that the previous cash advance has been liquidated and accounted for in the books (3 original copies)</li> </ul>	
<p><b>B. Special Disbursing Officer</b></p> <p><b>Payroll</b></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Office Order designating the Special Disbursing Officer (2 CTC)</li> <li>- Certification from the accountant that the previous cash advance has been liquidated and accounted for in the books (2 CTC)</li> <li>- Approved Application for Bond and/or Fidelity Bond for the cash accountability of ₱5,000 or more, for first time CA (2 CTC)</li> <li>- Legal basis to pay any allowance/salaries/wages/ fringe benefits (2 CTC)</li> <li>- Payroll or List of payees indicating their net pays (3 original copies)</li> <li>- Certificate or evidence of service rendered or approved DTR (2 CTC)</li> </ul>	<p>Human Resource Division</p>
<p><b>Petty Cash Fund</b></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Office Order, for first time CA (2 CTC)</li> <li>- Certification from the accountant that the previous cash advance has been liquidated and accounted for in the books (2 CTC)</li> <li>- Approved Application for Bond and/or Fidelity Bond for the cash accountability of ₱5,000 or more, for first time CA (2 CTC)</li> </ul>	<p>Administrative Division-Cashier Section</p>

<ul style="list-style-type: none"> <li>- Approved estimates of petty expenses for one month, for first time CA (2 CTC)</li> </ul>	
<p>Field/ Activity Current Operating Expenses</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Office Order (2 CTC)</li> <li>- Certification from the accountant that the previous cash advance has been liquidated and accounted for in the books (2 CTC)</li> <li>- Approved Application for Bond and/or Fidelity Bond for the cash accountability of ₱5,000 or more, for first time CA (2 CTC)</li> <li>- Approved Memorandum on the conduct of the Activity (2 CTC)</li> </ul>	<p>Concerned Division/Committee</p>
<p>III. REIMBURSEMENTS AND OTHER TRAVEL EXPENSES</p> <p><i>A. Local Travel - Within 50km</i></p> <p>For examination, verification, compliance checking, cash count or physical inventory</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Itinerary of Travel (2 original copies)</li> <li>- Office order/ Memorandum for COS/SA (2 CTC)</li> <li>- Designation Letter received by Company (2 CTC)</li> <li>- Daily Time Record Approved by Immediate Supervisor/Division Manager (2 CTC)</li> <li>- Personnel Locator Slip (1 original copy)</li> <li>- Certification of Expenses Not Requiring Receipts (2 original copies)</li> <li>- Certificate of Appearance (1 original copy, 1 CTC)</li> </ul>	<p>Concerned Division</p>

<p>For trainings and seminars or other official activities</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Office order/ Memorandum for COS/SA, if applicable (2 CTC)</li> <li>- Invitation / Notice of Meeting from External Stakeholders (2 CTC)</li> <li>- Personnel Locator Slip (1 original copy)</li> <li>- Certification of Expenses Not Requiring Receipts (2 original copies)</li> <li>- Certificate of Appearance/ Attendance/ Participation (2 CTC)</li> <li>- Programme / Schedule of Activities (for meal allowances not covered by registration/course fees) (2 CTC)</li> <li>- Itinerary of Travel, if applicable (2 original copies)</li> </ul>	<p>Human Resource Division/ Other Concerned Division/Committee</p>
<p><i>B. Local Travel - Beyond 50km</i></p> <p>For examination, verification, compliance checking, cash count or physical inventory</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Itinerary of Travel (2 original copies)</li> <li>- Certificate of Travel Completed (2 original copies)</li> <li>- Office order/ Memorandum for COS/SA (2 CTC)</li> <li>- Designation Letter received by Company, if applicable (2 CTC)</li> <li>- Officials receipts / Reimbursement Expense Receipt / Transportation Receipt/Ticket (1 original copy, 1 CTC)</li> <li>- Certificate of Appearance (1 original copy, 1 CTC)</li> </ul>	<p>Concerned Division</p>

<ul style="list-style-type: none"> <li>- For claims of actual accommodation within the allowed maximum of EO 77 (s. 2019)</li> <li>- Certification by the agency head or authorized representative as absolutely necessary in the performance of an assignment (2 CTC)</li> <li>- Bills/Receipts/Sales invoices (1 original copy, 1 CTC)</li> <li>- Official/Collection Receipt (1 original copy, 1 CTC)</li> <li>- Where applicable, Flight itinerary issued by the airline/ticketing/travel agency (1 original copy, 1 CTC)</li> <li>- Where applicable, Boarding Pass (1 original copy, 1 CTC)</li> <li>- In case of reimbursement of plane fare, official receipt (1 original copy, 1 CTC)</li> </ul>	
<p>For conduct of regular agents' examination</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Itinerary of Travel (2 original copies)</li> <li>- Certificate of Travel Completed (2 original copies)</li> <li>- Office Order (2 CTC)</li> <li>- Officials receipts / Reimbursement Expense Receipt / Transportation Receipt/Ticket (1 original copy, 1 CTC)</li> <li>- Certified Correct Attendance Sheet of the Examinees (2 CTC)</li> <li>- For claims of actual accommodation within the allowed maximum of EO 77 (s. 2019), <ul style="list-style-type: none"> <li>o Certification by the agency head or authorized representative as absolutely necessary in the performance of an assignment (2 CTC)</li> <li>o Bills/Receipts/Sales invoices (1 original copy, 1 CTC)</li> </ul> </li> </ul>	<p>Concerned Division</p>

<ul style="list-style-type: none"> <li>○ Official/Collection Receipt (1 original copy, 1 CTC)</li> <li>- Where applicable, Flight itinerary issued by the airline/ticketing/travel agency (1 original copy, 1 CTC)</li> <li>- Where applicable, Boarding Pass (1 original copy, 1 CTC)</li> <li>- In case of reimbursement of plane fare, official receipt (1 original copy, 1 CTC)</li> </ul>	
<p>For trainings and seminars or other official activities</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Itinerary of Travel (2 original copies)</li> <li>- Certificate of Travel Completed (2 original copies)</li> <li>- Office order/ Memorandum for COS/SA (2 CTC)</li> <li>- Officials receipts / Reimbursement Expense Receipt / Transportation Receipt/Ticket (1 original copy, 1 CTC)</li> <li>- Certificate of Appearance (2 CTC)</li> <li>- For claims of actual accommodation within the allowed maximum of EO 77 (s. 2019), <ul style="list-style-type: none"> <li>○ Certification by the agency head or authorized representative as absolutely necessary in the performance of an assignment (2 CTC)</li> <li>○ Bills/Receipts/Sales invoices (1 original copy, 1 CTC)</li> <li>○ Official/Collection Receipt (1 original copy, 1 CTC)</li> </ul> </li> <li>- Where applicable, Flight itinerary issued by the airline/ticketing/travel agency (1 original copy, 1 CTC)</li> <li>- Where applicable, Boarding Pass (1 original copy, 1 CTC)</li> <li>- In case of reimbursement of plane fare, official receipt (1 original copy, 1 CTC)</li> </ul>	<p>Human Resource Division/ Other Concerned Division/Committee</p>



<p><i>C. For Foreign Travel</i></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Travel Authority (2 CTC)</li> <li>- Authority from the OP to claim actual expenses, i.e. hotel accommodation, business class flights, representation expenses, where applicable (2 CTC)</li> <li>- For claims of actual accommodation within the allowed maximum of EO 77 (s. 2019), <ul style="list-style-type: none"> <li>o Certification by the agency head or authorized representative as absolutely necessary in the performance of an assignment (2 CTC)</li> <li>o Bills/Receipts/Sales invoices (1 original copy, 1 CTC)</li> <li>o Official/Collection Receipt (1 original copy, 1 CTC)</li> </ul> </li> <li>- Itinerary of travel (2 original copies)</li> <li>- Letter of invitation of host/sponsoring country/agency/organization (2 CTC)</li> <li>- Flight itinerary issued by the airline/ticketing/travel agency (1 original copy, 1 CTC)</li> <li>- Computation of Estimated Allowable Travelling Expenses (2 original copies)</li> <li>- copy of UNDP rate for the DSA for the country of destination (2 CTC)</li> <li>- Document to show the dollar to peso exchange rate at the date of the grant of cash advance (2 CTC)</li> <li>- Invitation/Instruction addressed to the agency inviting participants (issued by the foreign country) (2 CTC)</li> </ul>	<p>Human Resource Division</p>
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<ul style="list-style-type: none"> <li>- Acceptance of the nominees as participants (issued by the foreign country), if applicable (2 CTC)</li> <li>- Programme agenda and logistics information, if applicable (2 CTC)</li> <li>- Certificate of Appearance (2 CTC)</li> <li>- Where applicable, Flight itinerary issued by the airline/ticketing/travel agency (1 original copy, 1 CTC)</li> <li>- Where applicable, Boarding Pass (1 original copy, 1 CTC)</li> <li>- In case of reimbursement of plane fare, official receipt (1 original copy, 1 CTC)</li> </ul>	
<p>IV. GOODS, SUPPLIES, MATERIALS AND PPE (below Php 50,000.00)</p> <p>A. Procurement Service (PS-DB)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Agency Procurement Request (3 original copies)</li> <li>- Purchase Request (1 original copy, 1 CTC)</li> <li>- List of Common-Use Supplies and Equipment indicating Price (1 CTC)</li> <li>- Updated Schedule of PS APRs and Deliveries (1 original copy, 1 CTC)</li> </ul>	<p>Administrative Division – Property and Supply Section</p>
<p>B. Ordinary or Regular Office Supplies/ Equipment not available at DBM-PS</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- PS Certificate of Non-Availability of Stocks (2 CTC)</li> <li>- Sales Invoice (1 original copy, 1 CTC)</li> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (1 original copy, 1 CTC)</li> </ul>	<p>Administrative Division – Property and Supply Section</p>

<ul style="list-style-type: none"> <li>- Request and Issue Slip, if applicable (1 original copy, 1 CTC)</li> <li>- Inventory Custodian Slip, if applicable (1 original copy, 1 CTC)</li> <li>- Property Acknowledgement Receipt, where applicable (1 original copy, 1 CTC)</li> <li>- Purchase Order (2 original copies)</li> <li>- Summary/Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- Canvass from at least three (3) suppliers for purchases involving P1,000 and above (1 original copy, 1 CTC)</li> <li>- Certificate of Exclusive Distributorship, if applicable (2 CTC)</li> <li>- Purchase Request (1 original copy, 1 CTC)</li> <li>- Mayor's / Business Permit (2 CTC)</li> <li>- Philgeps Registration/ Number (2 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	
<p>C. National Printing Office</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (1 original copy, 1 CTC)</li> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Purchase Order/ Job Order (2 original copies)</li> <li>- Price Quotation (1 original copy, 1 CTC)</li> <li>- Sample Layout (1 original)</li> <li>- Purchase Request (1 original copy, 1 CTC)</li> </ul>	<p>Administrative Division – Property and Supply Section</p>
<p>D. Other Printing Services (Tarpaulins/Signages/Cards)</p>	<p>Administrative Division – Property and Supply Section</p>

<ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice/ Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Delivery Receipt, if applicable (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (Appendix 62) (1 original copy, 1 CTC)</li> <li>- Requisition and Issue Slip, if applicable (1 original copy, 1 CTC)</li> <li>- Printed sample/layout/design (1 original copy, 1 CTC)</li> <li>- Summary/Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- Canvass from at least three (3) suppliers for purchases involving P1,000 and above (1 original copy, 1 CTC)</li> <li>- Job Order (2 original copies)</li> <li>- Purchase Request (1 original copy, 1 CTC)</li> <li>- Approved Memorandum, if applicable (2 CTC)</li> <li>- Philgeps registration / number</li> <li>- Mayor's / Business Permit</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	
<p>E. Printing Services (Tarpaulins/Booklets/Calendars/ Cards)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice/ Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Delivery Receipt, if applicable (1 original copy, 1 CTC)</li> </ul>	<p>Administrative Division – Property and Supply Section</p>

<ul style="list-style-type: none"> <li>- Inspection and Acceptance Report (Appendix 62) (1 original copy, 1 CTC)</li> <li>- Requisition and Issue Slip, if applicable (1 original copy, 1 CTC)</li> <li>- Printed sample/layout/design (1 original copy, 1 CTC)</li> <li>- Summary/Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- Canvass from at least three (3) suppliers for purchases involving P1,000 and above (1 original copy, 1 CTC)</li> <li>- Job Order (2 original copies)</li> <li>- Purchase Request (1 original copy, 1 CTC)</li> <li>- Approved Memorandum, if applicable (2 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	
<p><b>V. REPAIRS AND MAINTENANCE</b> Repairs of Motor Vehicles, Airconditioning units and other PPE</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Pre-repair Inspection Reports (1 original copy, 1 CTC)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Warranty Certificate or equivalent document (2 CTC)</li> <li>- Certificate of Acceptance (1 original copy, 1 CTC)</li> <li>- Post-Inspection Reports/ Inspection and Acceptance Report (1 original copy, 1 CTC)</li> <li>- Waste Materials Report with photos, if applicable (1 original copy, 1 CTC)</li> <li>- Request for Inspection and Repair (1 original copy, 1 CTC)</li> <li>- Canvass from at least three (3) suppliers for purchases involving</li> </ul>	<p style="text-align: center;">Administrative Division – General Services Section</p>

<p>P1,000 and above (1 original copy, 1 CTC)</p> <ul style="list-style-type: none"> <li>- Summary/Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- Job Order (2 original copies)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	
<p>Gasoline/Fuel Expenses</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Sales Invoice (1 original copy, 1 CTC)</li> <li>- Fuel Requisition Slip duly accomplished and signed (1 original copy, 1 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	Administrative Division – General Services Section
<p>Building and other PPE Maintenance (succeeding payments- pest control, air-conditioning units)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (1 original copy, 1 CTC)</li> <li>- Accomplishment Report (1 original copy, 1 CTC)</li> <li>- Service/Acknowledgement Report (1 original copy, 1 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	Administrative Division – General Services Section
<p>Insurance for IC PPE</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> </ul>	Administrative Division – General Services Section

<ul style="list-style-type: none"> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> </ul>	
<p>VI. UTILITIES (succeeding payments)</p> <p>Water, Electricity and Rent for Office Space</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account / Sales Invoice (1 original copy, 1 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	<p>Administrative Division – General Services Section</p>
<p>Security and Janitorial Services</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Request for payment/ Affidavit/ Accomplishment report (1 original copy, 1 CTC)</li> <li>- Contractor's Bill / Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Certificate of acceptance (1 original copy, 1 CTC)</li> <li>- Record of Attendance/Service (1 original copy, 1 CTC)</li> <li>- Proof of remittance to concerned government agency and/or GOCCs (2 CTC)</li> <li>- Daily Time Record (2 CTC)</li> <li>- Proof that salaries have been received by the guards/janitors (2 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	<p>Administrative Division – General Services Section</p>
<p>Telephone, Mobile and Other Communication Services</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> </ul>	<p>Administrative Division – General Services Section / Information Technology Division</p>

<ul style="list-style-type: none"> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Summary of Billing Per Amount and Phone Number (2 original copies)</li> <li>- Certification by Agency Head or his authorized representatives that all calls are official calls (1 original copy, 1 CTC)</li> <li>- Travel Authority, if applicable, (2 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	
<p>VII. HUMAN RESOURCE DEVELOPMENT AND TRAINING PROGRAM</p> <p>Training Programs</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Office order/ Memorandum for COS/SA (2 CTC)</li> <li>- Memorandum for the conduct of training with Budget estimates approved by the Head of Agency (2 CTC)</li> <li>- Schedule of Training approved by the Head of Agency (2 CTC)</li> <li>- Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- Proposals and Price Quotations from the training consultants (1 original copy, 1 CTC)</li> <li>- Attendance Sheet (2 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	<p>Human Resource Division/ Other Concerned Division/Committee</p>
<p>Honoraria of Speaker</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> </ul>	<p>Human Resource Division/ Other Concerned Division/Committee</p>



<ul style="list-style-type: none"> <li>- Office order/ Memorandum for COS/SA (2 CTC)</li> <li>- Memorandum for the conduct of training with Budget estimates approved by the Head of Agency (2 CTC)</li> <li>- Schedule of Training approved by the Head of Agency (2 CTC)</li> <li>- Letter invitation to the resource speaker (2 CTC)</li> <li>- Basis for computation of Honoraria (e.g., program to show number of lecture hours) ( )</li> <li>- For government employees/ officials, Certificate of Employment indicating salary grade and for non-government, notarized letter agreement (1 original copy, 1 CTC)</li> <li>- Curriculum Vitae of Speaker (2 CTC)</li> <li>- Attendance Sheet (2 CTC)</li> <li>- TIN Card/ID (2 CTC)</li> </ul>	
<p>Registration Fees for Seminars/Trainings</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Office order/ Memorandum for COS/SA (2 CTC)</li> <li>- Schedule of Training/Program (2 CTC)</li> <li>- Registration Form (with proof of confirmation and acceptance) (2 CTC)</li> <li>- Invitation (2 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	<p>Human Resource Division/ Other Concerned Division/Committee</p>
<p>Meals served during the Training</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> </ul>	<p>Human Resource Division/ Other Concerned Division/Committee</p>

<ul style="list-style-type: none"> <li>- Office order/ Memorandum for COS/SA (2 CTC)</li> <li>- Sales Invoice/ Billing Statement / Statement of Account (2 CTC)</li> <li>- Memorandum for the conduct of training with Budget estimates approved by the Head of Agency (2 CTC)</li> <li>- Attendance Sheet (2 CTC)</li> <li>- Canvass from at least three (3) suppliers for purchases involving P1,000 and above (1 original copy, 1 CTC)</li> <li>- Summary/Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- Job Order/ Conforme of both parties on the menu and terms of agreement (2 original copies)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	
<p>VII. OTHER SERVICES</p> <p>Newspaper/Magazine Subscription (succeeding payments)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Certificate of acceptance / Acknowledgement that goods were received complete and in good condition (1 original copy, 1 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	<p>Administrative Division – Records Section</p>
<p>Newspaper Publication</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Advertising Contract (1 original copy, 1 CTC)</li> </ul>	<p>Administrative Division – Records Section</p>

<ul style="list-style-type: none"> <li>- Purchase Request (1 original copy, 1 CTC)</li> <li>- Canvass from at least three (3) suppliers (1 original copy, 1 CTC)</li> <li>- Summary/Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- Newspaper clippings (2 original copies)</li> <li>- Approved Memorandum regarding publication (2 CTC)</li> <li>- Such other supporting documents that may be required <ul style="list-style-type: none"> <li>o Affidavit of Publication (1 original copy, 1 CTC)</li> <li>o copy of Notice to the Public/Advisory to be Published (2 CTC)</li> <li>o BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul> </li> </ul>	
<p>Internet Service (succeeding payments)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	Information Technology Division
<p>Photocopying Machine (succeeding payments)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Certificate of acceptance (1 original copy, 1 CTC)</li> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	Administrative Division – Property and Supply Section
First Salary of Contracted Service Personnel and Service Agreement	Human Resource Division

<ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Signed and Notarized Contract (2 CTC)</li> <li>- Report of First Day of Service (1 original copy, 1 CTC)</li> <li>- Daily Time Record (2 CTC)</li> <li>- Approved Accomplishment Report (1 original copy, 1 CTC)</li> <li>- Certification of Services Rendered (1 original copy, 1 CTC)</li> <li>- Where applicable, Personnel Locator Slip (1 original copy, 1 CTC)</li> <li>- Office Order/Memorandum for trainings/official business (2 CTC)</li> <li>- Certification of Time-in and Out (2 CTC)</li> <li>- BIR Form 1901/ TIN Card ID (2 CTC)</li> </ul>	
<p>Salary of Contracted Personnel (succeeding payments)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Approved Payroll (3 original copies)</li> <li>- Daily Time Record (2 CTC)</li> <li>- Approved Accomplishment Report (1 original copy, 1 CTC)</li> <li>- Certification of Services Rendered (1 original copy, 1 CTC)</li> <li>- Where applicable, Personnel Locator Slip (1 original copy, 1 CTC)</li> <li>- Office Order/Memorandum for trainings/official business (2 CTC)</li> <li>- Certification of Time-in and Out (2 CTC)</li> </ul>	Human Resource Division
<p><b>VIII. OTHER DISBURSEMENTS</b></p> <p>Fidelity Bond Premiums</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> </ul>	Human Resource Division

<ul style="list-style-type: none"> <li>- Obligation Request and Status (3 original copies)</li> <li>- Request for Renewal/Application of Bond of Accountable Officials and Employees (1 original copy, 1 CTC)</li> <li>- Statement of Assets, Liabilities and Net Worth (2 CTC)</li> <li>- Approved Appointment (2 CTC)</li> <li>- For renewal, previous period's Confirmation Letter for request for bonding (2 CTC)</li> <li>- Schedule of Premium Rates (2 CTC)</li> </ul>	
<p>Government Fares Agreement (GFA) – PS</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Statement of Account/Billing Statement (1 original copy, 1 CTC)</li> <li>- Details / Supporting Documents for planes fare consumed/used (1 original copy, 1 CTC)</li> </ul>	Human Resource Division
<p>Plane Fares (if not available in GFA-PS)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Office Order or Travel Authority (2 CTC)</li> <li>- Statement of Account/Billing Statement (1 original copy, 1 CTC)</li> <li>- Flight itinerary issued by the airline/ticketing/travel agency (1 original copy, 1 CTC)</li> <li>- Travel Insurance (1 original copy, 1 CTC)</li> <li>- For plane fare, quotations of three travel agencies or its equivalent (1 original copy, 1 CTC)</li> <li>- Abstract of Canvass (1 original copy, 1 CTC)</li> <li>- OP Approval for business class flights (2 CTC)</li> </ul>	Human Resource Division/ Other Concerned Division

<ul style="list-style-type: none"> <li>- BIR Form 2303 for first time suppliers, for withholding tax purposes (2 CTC)</li> </ul>	
Requirement under RA No. 9184	
<p>Competitive Bidding</p> <p><u>General Requirements for Goods and Services (GS), Consulting Services (CS) and Infrastructure Projects (IP)</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice / Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Certificate of Product Warranty (not applicable for CS) (2 CTC)</li> <li>- Certificate of Completion / Acceptance (not applicable for GS) (2 original copies)</li> <li>- Inspection and Acceptance Report (not applicable for CS) (3 original copies)</li> <li>- Contract Agreement (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Performance Security [5% of TCP for Goods and CS; 10% of TCP for IP] (1 CTC)</li> <li>- Abstract of Bids (1 CTC)</li> <li>- Bidders' Financial Proposals (1 CTC)</li> <li>- Mayor's Permit (1 CTC)</li> <li>- Registration Certificate from SEC (for corporations), DTI (for sole proprietorship), or CDA (for cooperatives) (1 CTC)</li> <li>- PhilGEPS Certificate of Registration (1 CTC)</li> </ul>	<p>End-user / Bids and Awards Committee (BAC)</p>

<ul style="list-style-type: none"> <li>- Tax Clearance (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- Statement of On-going Government and Private Contracts (1 CTC)</li> <li>- Statement of Single Largest Completed Contract (SLCC) (not applicable for CS) (1 CTC)</li> <li>- Joint Venture Agreement (JVA), if applicable. (1 CTC)</li> <li>- Audited Financial Statements (1 CTC)</li> <li>- Computation of Net Financial Contracting Capacity (NFCC) (not applicable for CS) (1 CTC)</li> <li>- Detailed Breakdown of Contract Cost (1 CTC)</li> <li>- Bid Securing Declaration; or Bid Security [2% of ABC for Cash, CC, MC &amp; LC] (1 CTC)</li> <li>- Bid Security [5% of ABC for Surety Bond issued by Insurance Company duly certified by IC] (1 CTC)</li> <li>- Minutes of Pre-bid Conference [≥1M ABC] (1 CTC)</li> <li>- Minutes of Bid Opening (1 CTC)</li> <li>- Minutes of Pre-procurement Conference [≥2M ABC for GS; ≥1M ABC for CS; ≥5M ABC IP] (1 CTC)</li> <li>- Proof of Invitation to at least three (3) observers (1 CTC)</li> <li>- Bid Evaluation Report (1 CTC)</li> <li>- Results of Eligibility Check/Screening (1 CTC)</li> <li>- Notice of Post Qualification (1 CTC)</li> <li>- Post Qualification Evaluation Report (1 CTC)</li> <li>- Invitation to Bid (ITB) (1 CTC)</li> <li>- Proof of posting of ITB in the PhilGEPS and IC websites (1 CTC)</li> <li>- Certification for posting of ITB at any conspicuous places (1 CTC)</li> <li>- Advertisement of ITB through Newspaper Publication [≥10M ABC for GS; ≥5M ABC for CS; ≥15M ABC for IP] (1 CTC)</li> <li>- Supplemental Bid Bulletins (SBB), if any. (1 CTC)</li> </ul>	
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<ul style="list-style-type: none"> <li>- Proof of posting of SBB in the PhilGEPS and IC websites (1 CTC)</li> <li>- Certification for posting of SBB at any conspicuous places (1 CTC)</li> <li>- Bidding Documents / Terms of Reference (1 CTC)</li> <li>- Approved Budget for the Contract (ABC) (1 CTC)</li> <li>- Quotations/Market Study/Proof of Canvass for ABC (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul> <p><u>Additional Requirements for GS</u></p> <ul style="list-style-type: none"> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Property Acknowledgment Receipt (2 CTC)</li> <li>- Manpower Schedule (for Janitorial and Security services) (1 CTC)</li> <li>- Certificate of Product Registration from Food and Drug Administration (FDA) (for vitamins and medicines) (1 CTC)</li> <li>- Certificate of Authorized Distributorship, if applicable (1 CTC)</li> <li>- Sample Brochures/Photographs, if applicable (1 CTC)</li> </ul> <p><u>Additional Requirements for CS</u></p> <ul style="list-style-type: none"> <li>- Accomplishment Report/Output/Deliverables (2 original copies)</li> <li>- Curriculum Vitae / Professional License (2 original copies)</li> </ul> <p><u>Additional Requirements for IP</u></p> <ul style="list-style-type: none"> <li>- Statement of Work Accomplished / Progress Billing (1 original copy, 1 CTC)</li> <li>- Program of Work and Detailed Estimates (1 CTC)</li> <li>- PERT/CPM Diagram / As-Built Plans (1 CTC)</li> <li>- PCAB License (1 CTC)</li> </ul>	
Limited Source Bidding	End-user / BAC



<p><u>General Requirements for Goods and Services (GS) and Consulting Services (CS)</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice / Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Contract Agreement (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Performance Security [5% of TCP] (1 CTC)</li> <li>- Abstract of Bids (1 CTC)</li> <li>- Bidders' Financial Proposals (1 CTC)</li> <li>- Mayor's Permit (1 CTC)</li> <li>- Registration Certificate from SEC (for corporations), DTI (for sole proprietorship), or CDA (for cooperatives) (1 CTC)</li> <li>- PhilGEPS Certificate of Registration (1 CTC)</li> <li>- Tax Clearance (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- Statement of On-going Government and Private Contracts (1 CTC)</li> <li>- Joint Venture Agreement (JVA), if applicable. (1 CTC)</li> <li>- Audited Financial Statements (1 CTC)</li> <li>- Detailed Breakdown of Contract Cost (1 CTC)</li> <li>- Bid Securing Declaration; or Bid Security [2% of ABC for Cash, CC, MC &amp; LC], or (1 CTC)</li> </ul>	
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<ul style="list-style-type: none"> <li>- Bid Security [5% of ABC for Surety Bond issued by Company duly certified by IC] (1 CTC)</li> <li>- Minutes of Pre-bid Conference [≥1M ABC] (1 CTC)</li> <li>- Minutes of Bid Opening (1 CTC)</li> <li>- Minutes of Pre-procurement Conference [≥2M ABC for Goods; ≥1M ABC for CS] (1 CTC)</li> <li>- Proof of Invitation to at least three (3) observers (1 CTC)</li> <li>- Bid Evaluation Report (1 CTC)</li> <li>- Results of Eligibility Check/Screening (1 CTC)</li> <li>- Notice of Post Qualification (1 CTC)</li> <li>- Post Qualification Evaluation Report (1 CTC)</li> <li>- Invitation to Bid (ITB) (1 CTC)</li> <li>- Supplemental Bid Bulletins (SBB), if any. (1 CTC)</li> <li>- Proof of posting of SBB in the PhilGEPS and IC websites (1 CTC)</li> <li>- Certification for posting of SBB at any conspicuous places (1 CTC)</li> <li>- Bidding Documents / Terms of Reference (1 CTC)</li> <li>- Approved Budget for the Contract (ABC) (1 CTC)</li> <li>- Quotations/Market Study/Proof of Canvass for ABC (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul> <p style="text-align: center;"><u>Additional Requirements for GS</u></p> <ul style="list-style-type: none"> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Certificate of Product Warranty (2 CTC)</li> <li>- Inspection and Acceptance Report (3 original copies)</li> <li>- Property Acknowledgment Receipt (2 CTC)</li> <li>- Statement of Single Largest Completed Contract (SLCC) (1 CTC)</li> </ul>	
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<ul style="list-style-type: none"> <li>- Manpower Schedule (for Janitorial and Security services) (1 CTC)</li> <li>- Computation of Net Financial Contracting Capacity (NFCC) (1 CTC)</li> <li>- Certificate of Product Registration from Food and Drug Administration (FDA) (for vitamins and medicines) (1 CTC)</li> <li>- Certificate of Authorized Distributorship, if applicable (1 CTC)</li> <li>- Sample Brochures/Photographs, if applicable (1 CTC)</li> </ul> <p><u>Additional requirements for CS</u></p> <ul style="list-style-type: none"> <li>- Certificate of Completion / Acceptance (2 original copies)</li> <li>- Accomplishment Report/Output/Deliverables (2 original copies)</li> <li>- Curriculum Vitae / Professional License (2 original copies)</li> </ul>	
<p>Direct Contracting (for Goods and Services that are proprietary in nature)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice / Billing Statement (1 original copy, 1 CTC)</li> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Certificate of Product Warranty (2 CTC)</li> <li>- Inspection and Acceptance Report (3 original copies)</li> <li>- Property Acknowledgment Receipt (2 CTC)</li> <li>- Contract Agreement (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> </ul>	End-user / BAC

<ul style="list-style-type: none"> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Supplier's Proposal / Price Quotation (1 CTC)</li> <li>- Mayor's Permit (1 CTC)</li> <li>- PhilGEPS Registration Number (1 CTC)</li> <li>- Certificate of Exclusive Distributorship (1 CTC)</li> <li>- Income / Business Tax Return (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- Request for Quotation (1 CTC)</li> <li>- Market Study or Survey of the industry to determine the supply source, including justification for resorting to Direct Contracting (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul>	
<p>Repeat Order (for Goods and Services from previous winning bidder)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice / Billing Statement (1 original copy, 1 CTC)</li> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Certificate of Product Warranty (2 CTC)</li> <li>- Inspection and Acceptance Report (3 original copies)</li> <li>- Property Acknowledgment Receipt (2 CTC)</li> <li>- Contract Agreement or Purchase Order (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> </ul>	End-user / BAC

<ul style="list-style-type: none"> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Copy of the Original Contract (1 CTC)</li> <li>- Certification that the supplier has complied with all the requirements under the original contract (1 CTC)</li> <li>- Appropriate justification why the re-ordering is being pursued (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul>	
<p>Shopping (for Goods that are readily available off-the-shelf)</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice (1 original copy, 1 CTC)</li> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (3 original copies)</li> <li>- Property Acknowledgment Receipt (2 CTC)</li> <li>- Contract Agreement or Purchase Order (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Abstract of Price Quotations/Canvass (1 CTC)</li> <li>- Proof of Invitation to at least 3 Suppliers (Letter, Email, etc.) (1 CTC)</li> <li>- Suppliers' Price Quotations (At least 3 quotations must be obtained) (1 CTC)</li> <li>- Mayor's Permit (1 CTC)</li> </ul>	End-user / BAC

<ul style="list-style-type: none"> <li>- PhilGEPS Registration Number (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- Request for Quotation (RFQ) (1 CTC)</li> <li>- Terms of Reference (1 CTC)</li> <li>- Proof of posting of RFQ in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> <li>- Certification for posting of RFQ at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Approved Budget for the Contract (ABC) (1 CTC)</li> <li>- Quotations/Proof of Canvass for ABC (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul>	
<p>Two-Failed Biddings</p> <p><u>General Requirements for Goods and Services (GS), Consulting Services (CS) and Infrastructure Projects (IP)</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice / Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Certificate of Product Warranty (not applicable for CS) (2 CTC)</li> <li>- Certificate of Completion / Acceptance (not applicable for GS) (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (not applicable (3 original copies)</li> <li>- Contract Agreement (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> </ul>	End-user / BAC

<ul style="list-style-type: none"> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Performance Security [5% of TCP for GS and CS; 10% of TCP for IP] (1 CTC)</li> <li>- Abstract of Price Quotations / Canvass (1 CTC)</li> <li>- Proof of Invitation to at least 3 Suppliers (Letter, Email, etc.) (1 CTC)</li> <li>- Suppliers' Proposals / Price Quotations (receipt of 1 quotation is sufficient to proceed with the evaluation) (1 CTC)</li> <li>- Mayor's Permit (1 CTC)</li> <li>- PhilGEPS Registration Number (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- Income / Business Tax Return (1 CTC)</li> <li>- Request for Quotation (RFQ) (1 CTC)</li> <li>- Terms of Reference (1 CTC)</li> <li>- Proof of posting of RFQ in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> <li>- Certification for posting of RFQ at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Approved Budget for the Contract (ABC) (1 CTC)</li> <li>- Quotations/Proof of Canvass for ABC (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul> <p><u>Additional Requirements for GS</u></p> <ul style="list-style-type: none"> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Property Acknowledgment Receipt (2 CTC)</li> </ul> <p><u>Additional Requirements for CS</u></p> <ul style="list-style-type: none"> <li>- Accomplishment Report/Output/Deliverables (2 original copies)</li> </ul>	
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<ul style="list-style-type: none"> <li>- Curriculum Vitae / Professional License (2 original copies)</li> </ul> <p><u>Additional Requirements for IP</u></p> <ul style="list-style-type: none"> <li>- Statement of Work Accomplished / Progress Billing (1 original copy, 1 CTC)</li> </ul>	
<p>Emergency Cases</p> <p><u>General Requirements for Goods and Services (GS), Consulting Services (CS) and Infrastructure Projects (IP)</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice / Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (not applicable for CS) (3 original copies)</li> <li>- Certificate of Completion / Acceptance (not applicable for GS) (2 original copies)</li> <li>- Contract Agreement / Purchase Order (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC](1 CTC)</li> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Supplier's Proposal / Price Quotation (1 CTC)</li> <li>- Mayor's Permit (1 CTC)</li> <li>- Income / Business Tax Return (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- Justification as to the necessity of the procurement (1 CTC)</li> <li>- Request for Proposal / Price Quotation (1 CTC)</li> <li>- Terms of Reference (1 CTC)</li> </ul>	<p>End-user / BAC</p>



<ul style="list-style-type: none"> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul> <p><u>Additional Requirements for GS</u></p> <ul style="list-style-type: none"> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Property Acknowledgment Receipt (2 CTC)</li> </ul> <p><u>Additional Requirements for CS</u></p> <ul style="list-style-type: none"> <li>- Accomplishment Report/Output/Deliverables (2 original copies)</li> <li>- Curriculum Vitae / Professional License (2 original copies)</li> </ul> <p><u>Additional Requirements for IP</u></p> <ul style="list-style-type: none"> <li>- Statement of Work Accomplished / Progress Billing (1 original copy, 1 CTC)</li> <li>- PCAB License (1 CTC)</li> <li>- Computation of Net Financial Contracting Capacity (NFCC) (1 CTC)</li> </ul>	
<p>Agency-To-Agency</p> <p><u>General Requirements for Goods and Services (GS), Consulting Services (CS) and Infrastructure Projects (IP)</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice / Billing Statement (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (not applicable for CS) (3 original copies)</li> <li>- Certificate of Completion / Acceptance (not applicable for GS) (2 original copies)</li> <li>- Memorandum of Agreement (MOA) (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> </ul>	<p>End-user / BAC</p>

<ul style="list-style-type: none"> <li>- Certification for posting of NOA and NTP at any conspicuous places [<math>\geq</math>50K ABC] (1 CTC)</li> <li>- BAC Resolution recommending the use of Agency-to-Agency agreement (1 CTC)</li> <li>- End-user's justification that resorting to Agency-to-Agency procurement is more efficient and economical to Government (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul> <p><u>Additional Requirements for GS</u></p> <ul style="list-style-type: none"> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Property Acknowledgment Receipt (2 CTC)</li> </ul> <p><u>Additional Requirements for CS</u></p> <ul style="list-style-type: none"> <li>- Accomplishment Report/Output/Deliverables (2 original copies)</li> <li>- Curriculum Vitae / Professional License (2 original copies)</li> </ul> <p><u>Additional Requirements for IP</u></p> <ul style="list-style-type: none"> <li>- Statement of Work Accomplished / Progress Billing (1 original copy, 1 CTC)</li> </ul>	
<p>Progress Billings</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Letter request from the contractors for progress payment (1 original copy and 1 CTC)</li> <li>- Statement of Work Accomplished (SWA)/Progress Billing (1 original copy and 1 CTC)</li> <li>- Inspection Report by the Agency's authorized engineer (1 original copy and 1 CTC)</li> </ul>	<p>End-user</p>

<ul style="list-style-type: none"> <li>- Results of Test Analysis, if applicable (1 original copy and 1 CTC)</li> <li>- Statement of Time Elapsed (1 original copy and 1 CTC)</li> <li>- Monthly Certificate of Payment (1 original copy and 1 CTC)</li> <li>- Contractor's Affidavit on Payment of laborers and materials (1 original copy and 1 CTC)</li> <li>- Pictures before, during and after construction of items of work especially embedded items (1 original copy and 1 CTC)</li> <li>- Photocopy of vouchers of all previous payments (1 original copy and 1 CTC)</li> <li>- Certificate of completion, if applicable (1 original copy and 1 CTC)</li> </ul>	
<p>Scientific, Scholarly or Artistic Work, Exclusive Technology and Media Services</p> <p><u>General Requirements for Goods and Services (GS), Consulting Services (CS) and Infrastructure Projects (IP)</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice / Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Inspection and Acceptance Report (not applicable for CS) (3 original copies)</li> <li>- Certificate of Completion / Acceptance (not applicable for GS) (2 original copies)</li> <li>- Contract Agreement / Purchase Order (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> </ul>	<p>End-user / BAC</p>

<ul style="list-style-type: none"> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Mayor's Permit (1 CTC)</li> <li>- PhilGEPS Registration Number (1 CTC)</li> <li>- Income / Business Tax Return (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- End user's Market Study to determine the probable sources (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul> <p><u>Additional Requirements for GS</u></p> <ul style="list-style-type: none"> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Property Acknowledgment Receipt (2 CTC)</li> </ul> <p><u>Additional Requirements for CS</u></p> <ul style="list-style-type: none"> <li>- Curriculum Vitae / Professional License (2 original copies)</li> <li>- Accomplishment Report/Output/Deliverables (2 original copies)</li> </ul> <p><u>Additional Requirements for IP</u></p> <ul style="list-style-type: none"> <li>- Statement of Work Accomplished / Progress Billing (1 original copy, 1 CTC)</li> </ul>	
<p>Highly Technical Consultants</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Certificate of Completion / Acceptance (2 original copies)</li> <li>- Accomplishment Report/Output/Deliverables (2 original copies)</li> <li>- Contract Agreement (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> </ul>	<p>End-user / BAC</p>

<ul style="list-style-type: none"> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Professional's Technical and Eligibility Requirements: (1 CTC)</li> <li>- Curriculum Vitae / Professional License (1 CTC)</li> <li>- PhilGEPS Registration Number (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- Request for Proposal / Price Quotation (1 CTC)</li> <li>- Terms of Reference (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul>	
<p>Small Value Procurement</p> <p><u>General Requirements for Goods and Services (GS), Consulting Services (CS) and Infrastructure Projects (IP)</u></p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Sales Invoice / Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Certificate of Product Warranty (not applicable for CS) (2 CTC)</li> <li>- Certificate of Completion / Acceptance (not applicable for GS) (2 original copies)</li> <li>- Inspection and Acceptance Report (not applicable for CS) (3 original copies)</li> <li>- Contract Agreement or Purchase Order (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> </ul>	<p>End-user / BAC</p>

<ul style="list-style-type: none"> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Abstract of Price Quotations / Canvass (1 CTC)</li> <li>- Proof of Invitation to at least 3 Suppliers (Letter, Email, etc.) (1 CTC)</li> <li>- Suppliers' Quotations / Reply Slips (receipt of 1 quotation is sufficient to proceed with the evaluation) (1 CTC)</li> <li>- Mayor's Permit (1 CTC)</li> <li>- PhilGEPS Registration Number (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- Income / Business Tax Return (1 CTC)</li> <li>- Request for Quotation (RFQ) (1 CTC)</li> <li>- Terms of Reference (1 CTC)</li> <li>- Proof of posting of RFQ in the PhilGEPS and IC websites [≥50K ABC] (1 CTC)</li> <li>- Certification for posting of RFQ at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Approved Budget for the Contract (ABC) (1 CTC)</li> <li>- Quotations/Proof of Canvass for ABC (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul> <p><u>Additional Requirements for GS</u></p> <ul style="list-style-type: none"> <li>- Delivery Receipt (1 original copy, 1 CTC)</li> <li>- Certificate of Product Registration from Food and Drug Administration (FDA) (for vitamins and medicines) (1 CTC)</li> <li>- Registration from Land Transportation Franchising and Regulatory Board (LTFRB) and Land Transportation</li> </ul>	
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<p>Office (LTO) (for rental of transport vehicles) (1 CTC)</p> <ul style="list-style-type: none"> <li>- Property Acknowledgment Receipt (2 CTC)</li> </ul> <p><u>Additional Requirements for CS</u></p> <ul style="list-style-type: none"> <li>- Accomplishment Report/Output/Deliverables (2 original copies)</li> <li>- Curriculum Vitae / Professional License (2 original copies)</li> </ul> <p><u>Additional Requirements for IP</u></p> <ul style="list-style-type: none"> <li>- Statement of Work Accomplished / Progress Billing (1 original copy, 1 CTC)</li> <li>- Performance Security [10% of TCP] (1 CTC)</li> <li>- PCAB License (1 CTC)</li> </ul>	
<p>Lease of Real Property and Venue</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Billing Statement / Statement of Account (1 original copy, 1 CTC)</li> <li>- Contract Agreement (1 CTC)</li> <li>- Notice of Award (NOA) (1 CTC)</li> <li>- Notice to Proceed (NTP) (1 CTC)</li> <li>- BAC Resolution recommending the award of contract (1 CTC)</li> <li>- Proof of posting of NOA and NTP in the PhilGEPS and IC websites [≥50K ABC](1 CTC)</li> <li>- Certification for posting of NOA and NTP at any conspicuous places [≥50K ABC] (1 CTC)</li> <li>- Abstract of Quotations/Canvass (1 CTC)</li> <li>- Proof of Invitation to at least 3 Lessors/Venues (Letter, Email, etc.) (1 CTC)</li> <li>- Lessors' Proposals / Price Quotations (receipt of 1 quotation is sufficient to proceed with the evaluation) (1 CTC)</li> <li>- Mayor's Permit (1 CTC)</li> </ul>	End-user / BAC

<ul style="list-style-type: none"> <li>- PhilGEPS Registration Number (1 CTC)</li> <li>- Income / Business Tax Return (1 CTC)</li> <li>- Omnibus Sworn Statement (1 CTC)</li> <li>- Table of Rating Factors for Lease of Venue (Annex H of the 2016 Revised IRR of R.A. 9184) (1 CTC)</li> <li>- Request for Quotation (RFQ) (1 CTC)</li> <li>- Terms of Reference (1 CTC)</li> <li>- Approved Budget for the Contract (ABC) (1 CTC)</li> <li>- Quotations/Proof of Canvass for ABC (1 CTC)</li> <li>- Purchase Request (1 CTC)</li> <li>- Approved Annual Procurement Plan (APP) (1 CTC)</li> </ul>	
<p>Government Fares Agreement – PS</p> <ul style="list-style-type: none"> <li>- Disbursement Voucher (3 original copies)</li> <li>- Obligation Request and Status (3 original copies)</li> <li>- Statement of Account/Billing Statement (1 original copy, 1 CTC)</li> <li>- Details / Supporting Documents for planes fare consumed/used (1 original copy, 1 CTC)</li> </ul>	Human Resource Division

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 6:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Disbursement Voucher (DV)	The Budget Division submits DV, Obligation Request and Status (ORS) and supporting documents.	The Action Officer receives and assigns a control number on the DV with attached supporting document.	None	30 minutes	Accounting Staff



2. Evaluation of DV and preparation of BIR withholding tax certificate		Evaluates the DV on the completeness and compliance of supporting documents as well as correctness of computation, prepares and affixes initials on BIR withholding tax certificates for the supplier, if applicable, and affixes initials on Box C of the DV.	None	2 days	IC Accountant I, II or III
3. Recommendation		<p>a. Reviews and recommends the DV on the completeness and compliance of supporting documents as well as correctness of computation, and affixes initials on Box C of the DV as well as on BIR withholding tax certificates for the supplier, if applicable.</p> <p>b. Prepares List of Due and Demandable Accounts Payable – Advice to Debit Accounts (LDDAP-ADA) and affixes initials on the Certified Correct portion, if applicable.</p> <p>c. Reviews and recommends LDDAP-ADA and affixes initials on the Certified Correct portion, if applicable.</p>	None	6 hours and 30 minutes	<p>IC Accountant IV</p> <p>IC Accountant I, II or III</p> <p>IC Accountant IV</p>

4. Certification of DV, BIR withholding tax certificate, and LDDAP-ADA		<p>a. Approves and signs Box C of the DV, and BIR withholding tax certificates as well as LDDAP-ADA on the Certified Correct portion, if applicable.</p> <p>b. Forwards the DV with complete supporting documents, and BIR withholding tax certificates as well as LDDAP-ADA on the Certified Correct portion, if applicable to Administrative Division for approval of payment.</p>	None	4 hours	<p>IC Division Manager</p> <p>Accounting Staff</p>
<b>TOTAL</b>			<b>None</b>	<b>3 days and 3 hours</b>	



# **Management Support Services Group – Administrative Division-Cashier Section**

## **External Services**



## **COLLECTION OF PAYMENT FOR FEES, CHARGES AND PENALTIES**

### ▪ **About the Service**

This service covers the acceptance of payment for fees, charges and penalties for various services of and reportorial compliances to the Insurance Commission (IC) of regulated entities and other stakeholders, generated through the IC Order of Payment System (OP) issued by concerned units/divisions.

### ▪ **Office/Division**

Administrative Division – Cashier Section

### ▪ **Classification**

Simple

### ▪ **Type of Transaction**

G2C / G2B / G2G

### ▪ **Who May Avail of the Service**

Any person who are availing services of the IC and/or all regulated entities

### ▪ **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
<b>A. For Over-the-Counter Payments at IC Cashier</b>	
Appointment Slip or QR Code generated from the IC Appointment and Reservation System (ICare)	IC Website or through this link: <a href="https://web.insurance.gov.ph/icare/login">https://web.insurance.gov.ph/icare/login</a>
System generated and approved Order of Payment (OP) Form	Concerned IC units/divisions
Payment in form of cash, check under the name of the Insurance Commission	Client/Requestor
<b>B. For Online Payment through the Link.Biz Portal of the Land Bank of the Philippines (LBP)</b>	
For more information about the IC-LBP ePayment System, please check on the links below:	
a) Advisory No. 24-2020: <a href="https://www.insurance.gov.ph/wp-content/uploads/2020/08/Advisory-No.-24-2020-re-IC-LBP-ePayment-System-Through-Link-BizPortal_1.pdf">https://www.insurance.gov.ph/wp-content/uploads/2020/08/Advisory-No.-24-2020-re-IC-LBP-ePayment-System-Through-Link-BizPortal_1.pdf</a>	
b) Advisory No. 34-2020: <a href="https://www.insurance.gov.ph/wp-content/uploads/2020/10/Advisory-No-34-IC-and-LBP-ePayment-System.pdf">https://www.insurance.gov.ph/wp-content/uploads/2020/10/Advisory-No-34-IC-and-LBP-ePayment-System.pdf</a>	
c) IC-LBP ePayment System User Guide: <a href="https://www.insurance.gov.ph/wp-content/uploads/2020/08/ePayment-System-User-Guide-Version-July-2020-FINAL.pdf">https://www.insurance.gov.ph/wp-content/uploads/2020/08/ePayment-System-User-Guide-Version-July-2020-FINAL.pdf</a>	
Please regularly visit the IC Website for updated advisories and other information.	
System generated and approved Order of Payment (OP) Form	Concerned IC units/divisions
<b>C. To Claim IC Official Receipt (OR) for Payments made through Online Channels</b>	

Appointment Slip or QR Code generated from the IC Appointment and Reservation System (ICare)	IC Website or through this link: <a href="https://web.insurance.gov.ph/icare/login">https://web.insurance.gov.ph/icare/login</a>
Copy of LBP Transaction Slip	Client/Requestor

▪ **Schedule of Availability of Service**

Mondays–Fridays (except Holidays)

8:00 AM – 3:00 PM

9:00 AM – 2:00 PM (during community quarantine) \*\*

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
<b>A. For Over-the-Counter Payments at IC Cashier</b>					
1. Payment of Fees	The client proceeds to the Cashier Office (2F IC Main Office Building) and presents the duly accomplished OP Form issued by concerned unit/division and the payment, together with the cash/check payment.	<p>The Cashier:</p> <p>1. Verifies in the system the details of the OP Form</p> <p>2. Receives the payment and verifies details of the payment (authenticity of bills for cash payment, and details of the check)</p> <p>3. Issues and signs Official Receipt (OR)</p>	None	20 minutes depending on the number of OP/OR for processing	<p>Cashier Staff (Contract of Service)</p> <p>or IC Administrative Aide II</p> <p>or</p> <p>IC Administrative Officer I</p> <p>or</p> <p>IC Administrative Officer III/ IC Senior Insurance Specialist</p>
<b>C. To Claim IC Official Receipt (OR) for Payment made through LBP Link.Biz Portal</b>					
1. Claiming of OR	The client proceeds to the Cashier Office (2F IC Main Office Building) and presents a copy of OP Form and LBP ePayment System transaction details.	<p>The Cashier:</p> <p>1. Verifies in the IC-LBP ePayment System (Link.Biz Portal) the details of the payment</p> <p>2. Receives the payment and verifies details of the payment</p>	None	20 minutes depending on the number of OP/OR for processing	<p>Cashier Staff (Contract of Service)</p> <p>or IC Administrative Aide II</p> <p>or</p> <p>IC Administrative Officer I</p> <p>or</p>

		(authenticity of bills for cash payment, and details of the check)  3. Issues and signs Official Receipt (OR)			IC Administrative Officer III/ IC Senior Insurance Specialist
<b>TOTAL</b>			<b>None</b>	<b>20 minutes depending on the number of OP/OR for processing</b>	

**\*Note:** Processing time is assumed under normal working condition wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the unit as prescribed during the Community Quarantine periods.



# **Management Support Services Group – Administrative Division-General Services Section**

**Internal Services**



## ***REQUEST FOR USE OF SERVICE VEHICLES***

- **About the Service**

This service covers the processing of request for use of service vehicles of the Insurance Commission (IC) for official purposes, e.g., attendance to meetings, seminars, and workshops, conduct of canvass and other procurement-related activities, among others, within and outside Metro Manila.

- **Office/Division**

Administrative Division – General Services Section

- **Classification**

Simple

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

All IC Personnel

- **Requirement/s**

Checklist of Requirements	Where to secure
1. Two (2) original copies of the Vehicle Trip Ticket Form (Annex __)	Administrative Division – General Services Section (GSS)
2. One (1) copy of Certified True Copy of the Office Order/Memorandum authorizing the travel of concerned personnel, including use of service vehicle	Client/Requestor

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Pre-processing of Vehicle Trip Ticket	The client: Secures copy of the Vehicle Trip Ticket from the GSS	The GSS Administrative Staff/Officer provides Vehicle Trip Ticket to client.	None	10 minutes	IC Administrative Aide II  or IC Administrative Officer II



	<p>Administrative Staff/Officer</p> <p>Fills-out the Vehicle Trip Ticket</p> <p>Submits to requesting unit's Division Manager/ Authorized Personnel for signing of the "Certified Official" portion of the Vehicle Trip Ticket</p>				<p>or</p> <p>IC Administrative Officer III</p>
2. Verification of Availability of Service Vehicle and Driver	<p>The client submits to the GSS Administrative Staff/Officer the duly accomplished and signed Vehicle Trip Ticket.</p> <p><i>If land travel is outside Metro Manila, the client attaches to the Vehicle Trip Ticket a Certified True Copy of the Office Order/ Memorandum authorizing the travel, including use of service vehicle.</i></p>	<p>The GSS Administrative Staff/Officer:</p> <p>Accepts Vehicle Trip Ticket, including Office Order/ Memo, if applicable, and checks completeness of information provided</p> <p>Verifies availability of service vehicle and/or driver on the requested schedule</p> <p><i>If none, informs client of non-availability of service vehicle and/or driver on requested schedule.</i></p> <p>Forwards the request to immediate supervisor (SAO/DM) for signature on the "Authorized by"</p>	None	3 hours	<p>IC Administrative Officer II</p> <p>or</p> <p>IC Administrative Officer III</p> <p><u>For Approval/ Authorization of Use of Service Vehicle:</u></p> <p>IC Supervising Administrative Officer</p> <p>or</p> <p>IC Division Manager (Administrative Division)</p>

		<p>portion of the Vehicle Trip Ticket</p> <p>Encodes the details of the Vehicle Trip Ticket in the Log Book and plots request on the GSS Vehicle Request Monitoring Board</p> <p>Forwards copies of the Vehicle Trip Ticket to the assigned driver for appropriate dispatch</p>			
<b>TOTAL</b>			<b>None</b>	<b>3 hours and 10 minutes</b>	

**\*Note:** Processing time is assumed under normal working condition wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the unit as prescribed during the Community Quarantine periods.



# **Management Support Services Group – Administrative Division-Property and Supply Section**

**External Services**



## **SALE OF ANNUAL REPORT**

### ▪ **About the Service**

This service covers the processing of request for issuance/sale of the Annual Report of the Insurance Commission (IC).

### ▪ **Office/Division**

Administrative Division – Property and Supply Section

### ▪ **Classification**

Simple

### ▪ **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

All

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
Appointment Slip or QR Code generated from the IC Appointment and Reservation System (ICare)	IC Website or through this link: <a href="https://web.insurance.gov.ph/icare/login">https://web.insurance.gov.ph/icare/login</a>
Accomplished Order Slip	Administrative Division Property and Supply Section (PSS) 2F IC Main Office Building, 1071 UN Avenue, Manila or through email at <a href="mailto:admindivision@insurance.gov.ph">admindivision@insurance.gov.ph</a>

### ▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays)  
8:00 AM – 3:00 PM  
9:00 AM - 2:00 PM (during community quarantine)

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Pre-processing of Order Slip	The client: Secures queuing number ("Cashier")	The PSS Administrative Staff/Officer	None	10 minutes	PSS - Administrative Aide I

	<p>at the Ground Floor Lobby</p> <p>Proceeds to the 2<sup>nd</sup> Floor – Administrative Division, and requests for an Order Slip</p> <p>Fills-out the Order Slip</p>	provides Order Slip to client.			<p>IC Administrative Assistant II or</p> <p>IC Administrative Officer II or</p> <p>IC Administrative Officer III</p>
2. Verification of Availability of Annual Report	The client submits to the PSS Administrative Staff/Officer the duly accomplished Order Slip.	<p>The PSS Administrative Staff/Officer:</p> <p>Accepts Order Slip and checks completeness of information provided</p> <p>Verifies if requested Annual Report is available in stock</p> <p><i>If not available, informs client accordingly.</i></p> <p>Prepares and issues an Order of Payment (OP) to the client, and advises the latter to proceed to the Cashier (2<sup>nd</sup> Floor) for payment of fees</p>	None	20 minutes	<p>PSS - Administrative Aide I</p> <p>or</p> <p>IC Administrative Assistant II</p> <p>or</p> <p>IC Administrative Officer II</p> <p>or</p> <p>IC Administrative Officer III</p>
3. Payment of Fees	The client proceeds to the Cashier (2 <sup>nd</sup> Floor) and waits for his/her queue number to be called.	The Cashier receives payment from the client and issues an Official Receipt (OR).	<p><b>Annual Report Prices</b></p> <p><i>Amount in Philippine Pesos (Php)</i></p> <p><b>CD Format</b></p> <p><u>Year</u></p> <p>2019 – 800.00</p> <p>2018 – 800.00</p> <p>2017 – 700.00</p> <p>2016 – 700.00</p> <p>2015 – 600.00</p>	30 minutes	Cashier Staff/ IC Administrative Officer I

			2014 – 500.00 2013 – 450.00 2012 – 450.00 2011 – 300.00  <b>Book Format</b> <u>Year</u> 2010 –1330.00 2009 –1680.00 2008 –1250.00 2007 –1250.00 2006 –1200.00 2005 –1200.00 2004 –1200.00 2003 –1200.00 2002 – 600.00 2001 – 600.00 2000 – 500.00		
4. Issuance of Annual Report	The client:  Presents the OR to the PSS Administrative Staff/Officer  Confirms receipt of the Annual Report in the “Received” portion of the Order Slip	The PSS Administrative Staff/Officer:  Receives and verifies OR from client  Releases the Annual Report  Verifies completeness of the “Received” portion of the Order Slip	None	10 minutes	PSS - Administrative Aide I  or  IC Administrative Assistant II  or  IC Administrative Officer II  or  IC Administrative Officer III
<b>TOTAL</b>			Please refer to list of Annual Report Prices stated above	<b>1 hour and 10 minutes</b>	

\*Note: Processing time is assumed under normal working conditions wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the unit as prescribed during the Community Quarantine periods.

## ***REQUISITION AND ISSUANCE OF SUPPLIES AND MATERIALS THROUGH THE PROPERTY AND SUPPLY MANAGEMENT SYSTEM (PSMS)***

### ▪ **About the Service**

This service covers the requisition and issuance of supplies and materials purchased from the Department of Budget and Management – Procurement Service (DBM-PS) accessed using the Insurance Commission's (IC) PSMS.

### ▪ **Office/Division**

Administrative Division – Property and Supply Section (PSS)

### ▪ **Classification**

Simple

### ▪ **Type of Transaction**

Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

Access to the PSMS is granted to designated Principal Supply Officer (PSO) and Alternate Supply Officer (ASO) of respective IC divisions/units

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
Three (3) original copies of the Supply Availability Inquiry (SAI) generated from the PSMS	PSMS

### ▪ **Schedule of Availability of Service**

a. Requisition of Supplies and Materials  
Mondays, Wednesdays and Fridays  
8:00 AM – 5:00 PM

b. Issuance of Supplies and Materials  
Tuesdays and Thursdays  
2:00 PM – 5:00 PM

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Access the PSMS	The PSO/ASO logs-in the PSMS, and is automatically		None		PSO/ASO of concerned IC division/unit

	<p>directed to the PSMS Home Page which contains the following menus:</p> <p>a) Account Details b) Item Inquiry c) Inquiry/Status</p> <p>Under the “Item Inquiry” tab, the PSO/ASO:</p> <p>Selects supplies/materials to be requested, and inputs the item quantity required</p> <p>Adds supplies/materials in the cart using the “Add Item” button</p> <p><i>To remove an item from the cart, PSO/ASO clicks on the “X” mark under Remove column, or “Remove All Item” button to remove all items on cart/list.</i></p> <p>Checks all items and quantities listed before submitting the SAI</p> <p><i>Note that the SAI can no longer be edited once it has been submitted.</i></p>				
2. Filling-Out and Approval of SAI	The client submits SAI to the Accounting Division using the “Submit Inquiry” button	Upon submission of SAI, it will be automatically directed to the “PSMS - SAI Management” account of the	None	3 hours	<p><u>For SAI Submission:</u> PSO/ASO of concerned IC division/unit</p> <p><u>For SAI Approval:</u></p>



		Accounting Division.  The Accounting Officer:  Logs-in the PSMS, and verifies SAI submissions under the "SAI on Pending" tab of the PSMS  Approves the SAI using the "Processed SAI" button			IC Accountant IV / IC Division Manager Accounting Division
3. Printing and Submission of Approved SAI	The PSO/ASO:  Generates and prints three (3) copies of the Approved SAI, and signs the "Inquired By" portion of the form  Submits three (3) copies of the SAI to the Accounting Division for signature of the Accounting Officer	The Accounting Officer:  Verifies and signs three (3) copies of the Approved SAI  Retains one (1) copy of the Approved SAI, and releases the remaining two (2) copies to the PSO/ASO	None	1 hour	<u>For Printing and Submission of SAI:</u> PSO/ASO of concerned IC division/unit  <u>For SAI Approval:</u> IC Accountant IV / IC Division Manager Accounting Division
4. Approval of the Requisition and Issue Slip (RIS)	The PSO/ASO proceeds to the Administrative Division – Property and Supply Section and submits one (1) copy of the approved and signed SAI.	The PSS Administrative Officer/Staff:  Receives the approved and signed copy of the SAI  Processes the request under the "PSMS - RIS Approval" account, and approves request for supplies/ materials using the "Process Request" function	None	4 hours	PSS - Administrative Staff (Contract of Service) / IC Administrative Assistant I / IC Administrative Officer I / IC Administrative Officer III

		<p>Verifies and inputs the authorized quantity per item under the "PSMS - RIS Management" account</p> <p>Generates and prints three (3) copies of the RIS, and forwards the RIS to the authorized signatory (Designated Administrative Officer) for signature of the "Approved By" portion of the RIS</p>			
5. Issuance and Receipt of Supplies/ Materials	<p>The PSO/ASO:</p> <p>Receives and verifies the supplies/ materials issued by the PSS Administrative Officer/Staff</p> <p>Signs the "Requested By" and "Received By" portions of the RIS</p>	<p>On the scheduled issuance day, the PSS Administrative Officer/Staff:</p> <p>Prepares the supplies/ materials requested and approved for release</p> <p>Records/ updates all items in the Bin Card per item pulled-out</p> <p>Issues the supplies/ materials to the PSO/ASO</p> <p>Signs the "Issued By" portion of the RIS</p>	None	6 hours	<p>PSS - Administrative Staff (Contract of Service) / IC Administrative Assistant I / IC Administrative Officer I / IC Administrative Officer III</p>
6. Issuance of Inventory Custodian Slip (ICS) for <i>small tangible items with estimated useful life of more than one (1) year</i>	The PSO/ASO or concerned accountable officer receives and signs the ICS.	<p>The PSS Administrative Officer/Staff:</p> <p>Prepares and issues the ICS</p> <p>Encodes ICS in the PSS database and files hardcopy in the PSS-ICS datafolder</p>	None	2 hours	<p>PSS - Administrative Staff (Contract of Service) / IC Administrative Assistant I / IC Administrative Officer I /</p>

<i>based on Commission on Audit (COA) Circular No. 2005-002</i>					IC Administrativ e Officer III
TOTAL			None	2 days	



# **Management Support Services Group – Administrative Division-Records Section**

## **External Services**



## ***AUTHENTICATION OF DOCUMENTS***

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- **About the Service**

This service covers requests for authentication of documents **on file with** the Administrative Division – Records Section.

Requests for authentication of documents not available at the Records Section are referred to concerned IC Division/Unit.

- **Office/Division**

Administrative Division – Records Section

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

Any person and/or entity who requests authentication as “Certified True Copy” of a document approved and issued by the IC. The information contained in the document must not be confidential in relation to the entity and/or person requesting for the authentication, per agency Freedom of Information Manual

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Appointment Slip or QR Code generated from the IC Appointment and Reservation System (ICare)	IC Website or through this link: <a href="https://web.insurance.gov.ph/icare/login">https://web.insurance.gov.ph/icare/login</a>
Accomplished REQUEST FORM	Administrative Division – Records Section, GF IC Main Office Building, 1071 UN Avenue, Manila or through email at <a href="mailto:admin@insurance.gov.ph">admin@insurance.gov.ph</a>
Photocopy of requestor’s valid ID (company ID if request is on behalf of a company; or, a government issued ID, if otherwise appropriate and applicable)	Client/Requestor
Copy of document/s for authentication	Client/Requestor

- **Schedule of Availability of Service**

Mondays–Fridays (except Holidays)  
8:00 AM – 5:00 PM

9:00 AM – 4:00 PM (during community quarantine) \*

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Pre-processing of Request Form and document/s for authentication	<p>The client:</p> <p>Requests for a copy of the Request Form</p> <p>Fills-out the Request Form</p> <p>Prepares copy of document/s for authentication</p>	The Records Officer provides a Request Form to the client.	None	10 minutes	IC Administrative Assistant I / IC Administrative Officer I / IC Administrative Officer II
2. Retrieval and verification of document	The client submits to the Records Officer the duly accomplished Request Form, together with copy of the document/s for authentication.	<p>The Records Officer:</p> <p>Accepts Request Form and checks completeness of submission</p> <p>Verifies if requested document/s for authentication are on file with the Records Section, and that there is no legal impediment/s to its release to the requesting party</p> <p><i>If NOT AVAILABLE at the Records Section, verifies with other divisions/ units</i></p> <p><i>Fills up Request Form with notation/s on unavailability of document at the Records Section</i></p>	None	7 hours	IC Administrative Assistant I / IC Administrative Officer I / IC Administrative Officer II

		<p><i>Forwards Request Form to concerned division/unit for appropriate action</i></p> <p>Retrieves the original copy of the document/s on file</p> <p>Verifies and compares the Records Section's copy with the copy brought by the client</p> <p>Issues an Order of Payment (OP) to the client, and advises the latter to secure a queuing number ("Cashier") at the Ground Floor Lobby and proceed to the Cashier (2<sup>nd</sup> Floor) for payment of fees</p>			
3. Payment of Fees	The client proceeds to the Cashier (2 <sup>nd</sup> Floor) and waits for his/her queue number to be called.	The Cashier receives payment from the client and issues an Official Receipt (OR).	<p>Php200.00 per document, and Php25.00 per page in excess of five (5) pages</p> <p>For additional reproduction/ photocopying services, PHP10.00 per page</p>	30 minutes	Cashier Staff (Contract of Services) / IC Administrative Aide II

4. Authentication of Document/s	The client presents the OR to the Records Officer.	<p>The Records Officer:</p> <p>Receives and verifies OR from client</p> <p><i>If client did not bring reproduced copies, Records Officer photocopies document/s requested</i></p> <p>Stamps each page with "Certified True Copy" and affixes his/her initials</p> <p>Forwards the same to the Authorized Signatory for signature</p> <p>Stamps the agency's dry seal on each page of the authenticated document/s</p>	None	1 day and 4 hours	IC Administrative Assistant I / IC Administrative Officer I / IC Administrative Officer II
5. Release of Authenticated Document/s	<p>The client:</p> <p>Verifies the authenticated document/s</p> <p>Signs the Receiving Logbook</p> <p>Receives the authenticated document/s</p>	<p>The Records Officer:</p> <p>Releases the authenticated document/s to the client</p> <p>Requires client to acknowledge receipt of the document/s in the Log Book</p> <p>Verifies completeness of information in the Log Book</p>	None	1 hour	IC Administrative Assistant I / IC Administrative Officer I / IC Administrative Officer II



TOTAL	Php200.00 per document, and Php25.00 per page in excess of five (5) pages;  For additional photocopying services, PHP10.00 per page	<b>2 days, 4 hours and 40 minutes</b>	
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\*Note: Processing time is assumed under normal working condition wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the unit as prescribed during the Community Quarantine periods.

## ***RECEIPT OF REPORTORIAL REQUIREMENTS AND OTHER DOCUMENTS***

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- **About the Service**

This service covers receipt of reportorial requirements submitted, in compliance with the rules and regulations of the Insurance Commission (IC), by all insurance and pre-need companies, health maintenance organizations, and other regulated entities, including documents commonly submitted/forwarded by other government agencies, private organizations, suppliers, contractors, prospective bidders, among others.

- **Office/Division**

Administrative Division – Records Section

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

All insurance and pre-need companies, health maintenance organizations, and other regulated entities, including other government agencies, private organizations, suppliers, contractors, prospective bidders, among others.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Appointment Slip or QR Code generated from the IC Appointment and Reservation System (ICare)	IC Website or through this link: <a href="https://web.insurance.gov.ph/icare/login">https://web.insurance.gov.ph/icare/login</a>
Reportorial requirements with an official cover/ transmittal letter addressed to the Insurance Commission or Insurance Commissioner	Client/Requestor

- **Schedule of Availability of Service**

Mondays–Fridays (except Holidays)  
8:00 AM – 5:00 PM  
9:00 AM – 4:00 PM (during community quarantine) \*

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of document	<p>The client:</p> <p>Secures a queuing number from the IC Kiosk at the Ground Floor Lobby, and waits for the number to be called or prompted in the lobby screen</p> <p>Receives copy of document stamped "RECEIVED" by the Records Officer</p>	<p>The Records Officer (Receiving) assigned at the Ground Floor Lobby/Receiving Area:</p> <p>Stamps the cover/transmittal letters as "RECEIVED" using the automated machine/self-inking stamp</p> <p>Indicates the date and time of receipt</p> <p>Affixes his/her initials</p> <p>Returns the receiving copy to the client</p>	None	30 minutes	<p>Administrative Staff (Contract of Service) / IC</p> <p>Administrative Aide I / IC</p> <p>Administrative Assistant I / IC</p> <p>Administrative Officer II</p>
2. Generating entry at the Document Routing System (DRS)		<p>The Records Officer (Receiving):</p> <p>Encodes the document details in the DRS</p> <p>Forwards DRS Routing to concerned division/unit</p> <p>Generates, prints and attaches DRS Routing Slip to the document</p>	None	30 minutes	<p>Administrative Staff (Contract of Service) / IC</p> <p>Administrative Aide I / IC</p> <p>Administrative Assistant I / IC</p> <p>Administrative Officer II</p>
3. Routing of document		<p>The Records Officer (Receiving) forwards the physical copy of the document/s to the:</p> <p>Office of the Insurance Commissioner (OCOM) – for all</p>	None	30 minutes	<p>Administrative Staff (Contract of Service) / IC</p> <p>Administrative Aide I / IC</p> <p>Administrative Assistant I / IC</p>

		<p>submissions addressed to the Insurance Commissioner/ Insurance Commission</p> <p>Assigned Deputy Insurance Commissioner - for documents addressed to a Deputy Insurance Commissioner and/or addressed to a division/unit/ personnel under their functional group</p> <p>Administrative Division – for Job Orders, Purchase Orders, Billing Statements, Statement of Accounts for IC Properties, Supplies and Utilities and <i>Freedom of Information (FOI) Request</i></p> <p>Budget Division – for BIR EFPS Submissions</p> <p>Human Resource Division – for documents from the CSC, CESB, DBM, COA and submissions from the IC District Offices</p> <p>Planning and Management Division – for commitment forms and accomplishment reports of the IC District Offices</p>			IC Administrative Officer II
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		Information Technology Division – Billing Statements of official mobile phone subscriptions  IC Associations / Committees – documents addressed to various IC Associations / Committees			
<b>TOTAL</b>			<b>None</b>	<b>1 hour and 30 minutes</b>	

**\*Note:** Processing time is assumed under normal working condition wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the unit as prescribed during the Community Quarantine periods.



# **Management Support Services Group – Administrative Division-Records Section**

**Internal Services**



## ***DISSEMINATION OF OFFICIAL IC ISSUANCES TO REGULATED ENTITIES AND RELATED STAKEHOLDERS THROUGH ELECTRONIC MAIL (E-MAIL)***

### ▪ **About the Service**

The Administrative Division – Records Section informs regulated entities and related stakeholders of various official IC issuances, i.e., IC Circular Letter, Insurance Memorandum Circular, Advisory, through e-mail.

### ▪ **Office/Division**

Administrative Division – Records Section

### ▪ **Classification**

Simple

### ▪ **Type of Transaction**

Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

All IC officials and personnel

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
1. Document Routing System (DRS) Slip with specific instruction/s on the requested service	DRS
2. One (1) original copy and at least 1 duplicate copy of the official IC issuance/s bearing the IC and AJA/SOCOTEC logos	Client/Requestor

### ▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Numbering of official IC issuances	The client:  Logs entry at the DRS ( <i>Entry as Forward to Administrative Division – Records Section</i> ) with specific instructions on the	The Records Officer (Outgoing) verifies the corresponding number series and date to be indicated in the official IC	None	30 minutes	IC Administrative Assistant I / IC Administrative Officer II / IC Administrative Officer III

	<p><i>document numbering and list for e-mail dissemination</i></p> <p>Forwards physical copy of the official IC issuance/s to the Administrative Division - Records Section</p> <p><i>*Ensure DRS Slip is attached with the documents.</i></p>	issuance/s and proceeds with the numbering of the original and duplicate copies.			
2. Dissemination of official IC issuance/s		<p>The Records Officer (Outgoing):</p> <p>Scans the original copy of the issuance/s and sends it to regulated entities and related stakeholders through the official Gmail account of the Records Section.</p> <p>Updates the status of the document/request in the DRS and forwards the entry to Records-Repository to reflect completion of transaction</p>	None	2 hours	IC Administrative Assistant I / IC Administrative Officer II / IC Administrative Officer III
3. Filing of the original copy of official IC issuance/s	The client receives numbered duplicate copy of the concerned document.	<p>The Records Officer (Outgoing):</p> <p>Files the numbered original copy of the official IC issuance/s in the labelled folder</p>	None	30 minutes	IC Administrative Assistant I / IC Administrative Officer II / IC Administrative Officer III



		per kind of issuance  Returns the numbered duplicate copy/ies to the requestor for his/her own filing/storage			
<b>TOTAL</b>			<b>None</b>	<b>3 hours</b>	

**\*Note:** Processing time is assumed under normal working condition wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the unit as prescribed during the Community Quarantine periods.

***DISSEMINATION OF OFFICIAL IC ISSUANCES TO ALL OR CONCERNED IC PERSONNEL THROUGH THE IC EMPLOYEES PORTAL/MS OUTLOOK***

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▪ **About the Service**

The Administrative Division – Records Section timely informs concerned IC officials and personnel about new agency released issuances, i.e., Office Orders, Office Circulars, IC Circular Letter, Insurance Memorandum Circular, and Advisory, through the IC Employees' Portal (Intranet) and MS Outlook.

▪ **Office/Division**

Administrative Division – Records Section

▪ **Classification**

Simple

▪ **Type of Transaction**

Government-to-Government (G2G)

▪ **Who May Avail of the Service**

All IC officials and personnel

▪ **Requirement/s**

Checklist of Requirements	Where to secure
1. Document Routing System (DRS) Routing Slip with specific instruction/s on the requested service	DRS
2. One (1) original copy and at least 1 duplicate copy of the official IC issuance/s bearing the IC and AJA/SOCOTEC logos	Client/Requestor

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Numbering of official IC issuances	<p>The client:</p> <p>Logs entry at the DRS (<i>Entry as Forward to Administrative Division – Records Section</i>) with specific instructions on the document numbering and list for e-mail dissemination</p> <p>Forwards physical copy of the official IC issuance/s to the Administrative Division - Records Section</p> <p><i>*Ensure DRS slip is attached with the documents.</i></p>	The Records Officer (Outgoing) verifies the corresponding number series and date to be indicated in the official IC issuance/s and proceeds with the numbering of the original and duplicate copies.	None	30 minutes	IC Administrative Assistant I / IC Administrative Officer II / IC Administrative Officer III
2. Dissemination of official IC issuance/s		<p>The Records Officer (Outgoing):</p> <p>Scans the original copy of the issuance/s and uploads to the IC Employees' Portal/MS Outlook.</p> <p>Updates the status of the document/request in the DRS and forwards the entry to Records-Repository for auto-completion of the transaction.</p>	None	2 hours	IC Administrative Assistant I / IC Administrative Officer II / IC Administrative Officer III
3. Filing of the original copy of official IC issuance/s	The requestor receives numbered duplicate copy of the concerned document.	<p>The Records Officer (Outgoing):</p> <p>Files the numbered original copy of official IC issuance/s</p>	None	30 minutes	IC Administrative Assistant I / IC Administrative Officer II /

		in the labelled folder per kind of issuance.  Returns the numbered duplicate copy/ies to the requestor for his/her own filing/storage.			IC Administrative Officer III
<b>TOTAL</b>			<b>None</b>	<b>3 hours</b>	

**\*Note:** Processing time is assumed under normal working condition wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the unit as prescribed during the Community Quarantine periods.

## ***PROCESSING OF REQUEST FOR PUBLICATION OF IC ISSUANCES IN NEWSPAPER/S OF GENERAL CIRCULATION***

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- **About the Service**

The Administrative Division – Records Section facilitates the publication of various official IC issuance/s in newspaper/s of general circulation requested by IC Divisions.

- **Office/Division**

Administrative Division – Records Section

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

All IC officials and personnel

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1. Document Routing Systems (DRS) Routing Slip with specific instruction/s on the requested service	DRS
2. Memorandum addressed to the Division Manager of the Administrative Division requesting publication of official IC issuance/s in newspaper/s of general circulation	Client/Requestor
3. Original copy of the official IC issuance/s bearing the IC and AJA/SOCOTEC logos	Client/Requestor
4. Purchase Request (PR) Form	Administrative Division – Records Section

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of request for newspaper publication	The client forwards to the Administrative Division – Records Section the signed Memorandum addressed to the Division Manager – Administrative Division, including (1) original copy of the official IC issuance/s for publication, (2) Purchase Request (PR) Form, and (3) DRS Tracking Slip with specific instructions on the service requested.	<p>The Records Officer (Outgoing):</p> <p>Receives the request and its supporting documents</p> <p>Verifies information indicated in the PR Form</p> <p>Logs and secures from the Administrative Division – Property and Supply Section corresponding PR number</p>	None	1 hour	IC Administrative Officer II / IC Administrative Officer III
2. Conduct of Canvass		<p>The Records Officer (Outgoing):</p> <p>Sends, through e-mail, the Request for Quotation (RFQ), including technical specifications provided by the requestor, to at least three (3) newspaper publishing (general circulation) companies</p> <p>Verifies submissions and prepares the Abstract of Canvass/Quotation, indicating therein information on participating newspaper companies and their compliance with the technical specifications of the</p>	None	5 days	IC Administrative Officer II / IC Administrative Officer III

		<p>requesting IC division/unit</p> <p>Sends softcopy, through e-mail, of the official IC issuance/s to the newspaper company with the most responsive proposal, copy furnished the concerned IC division/unit with information on the scheduled publication date</p>			
TOTAL			None	5 days and 1 hour	

## ***PUBLICATION OF IC ISSUANCES IN THE IC WEBSITE***

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- **About the Service**

The general public is informed of various official IC issuances, i.e., IC Circular Letter, Insurance Memorandum Circular, Advisory, and Official Template Forms, published through the IC Website ([www.insurance.gov.ph](http://www.insurance.gov.ph)).

- **Office/Division**

Administrative Division – Records Section  
Information Systems Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

All IC officials and personnel

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1. Document Routing Systems (DRS) Routing Slip with specific instruction/s on the requested service	DRS
2. One (1) original copy and at least 1 duplicate copy of the official IC issuance/s bearing the IC AJA/SOCOTEC logos	Client/Requestor

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM



▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Submission of official IC issuance/s for publication	<p>The client submits copy of the official IC issuance/s for publication in the IC Website either through:</p> <ul style="list-style-type: none"> <li>▪ Submission of physical copy at the Administrative Division – Records Section, with attached DRS Slip indicating specific instructions on service requested</li> <li>▪ Submission of softcopy through e-mail, with corresponding information on the DRS Tracking Number and other instructions, to the Administrative Division – Records Section</li> </ul>	<p>The Records Officer (Outgoing) receives the document/s and scans the original document or saves the softcopy in the Records Section's shared folder.</p>	None	30 minutes	<p>IC Administrative Assistant I / IC Administrative Officer II / IC Administrative Officer III  (Administrative Division)</p>
2. Forwarding of the official IC issuances to the Information Systems Division (ISD)		<p>The Records Officer (Outgoing):</p> <p>Sends, through email, a colored soft copy of the official IC issuance/s to the ISD for uploading in the IC website</p> <p>Updates the status of the document/</p>	None	15 minutes	<p>IC Administrative Assistant I / IC Administrative Officer II / IC Administrative Officer III  (Administrative Division)</p>

		request in the DRS and forward the entry to the ISD with the specific instructions			
3. Publication of the official IC issuance/s		<p>The ISD personnel:</p> <p>Processes request for publication in the IC Website</p> <p>Updates the status of the document/request in the DRS</p>	None	1 day	<p>IC Information Systems Analyst I / IC Computer Programmer</p> <p>(Information Systems Division)</p>
<b>TOTAL</b>			<b>None</b>	<b>1 day and 45 minutes</b>	



# Management Support Services Group – Human Resource Division

## Internal Services



## ***PROCESSING OF HR REQUEST FOR CURRENT IC PERSONNEL***

### ▪ **About the Service**

This service is to process the request by current IC personnel using the HR Request Form on documents processed by and/or filed in the Human Resource (HR) Division.

### ▪ **Office/Division**

Human Resource Division

### ▪ **Classification**

Simple

### ▪ **Type of Transaction**

Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

Current IC Personnel

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
HR Request Form (1 original)	HR Division/ IC Employee's Portal (Intranet)

### ▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays and work suspensions)

8:00 AM – 5:00 PM (for submissions via email)

9:00 AM – 4:00 PM (for submissions in hard copy, during community quarantine)

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of HR Request Form	1. Submit to the HR Division the duly accomplished HR Request Form. Form may be submitted via email to	1. Evaluate the completeness of entries in the HR Request Form.  1.1 If the details are complete, receive the HR Request Form and	None	5 minutes	IC Administrative Officer I/II/III Human Resource Division

	hr@insurance.gov.ph	<p>note the date of receipt.</p> <p>1.2 Forward the request to the concerned Action Officer for processing.</p>			
2. Preparation of requested document/s		<p>2. Prepare/draft the requested document/s.</p> <p>2.1 Indicate in the HR Request Form the date and time accomplished.</p> <p>2.2 Affix initials/signature in the finalized document/s, if necessary</p>	None	1 day	IC Administrative Officer I/II/III Human Resource Division
3. Signing/Approval of the requested document/s		<p>4. Review the prepared document/s by the Action Officer</p> <p>4.1 Return the reviewed document/s to the Action Officer for correction/finalization, if necessary</p>	None	1 day and 30 minutes	IC Division Manager Human Resource Division
4. Releasing of requested document/s	2. Acknowledged in the HR Request Form the receipt of requested document/s by affixing name and signature together with the date of receipt	<p>Review the prepared document/s.</p> <p>Return the reviewed document/s to the Action Officer for correction/finalization, if necessary.</p> <p>If the document/s is/are in order, sign the document/s and/or approve the release of the requested document/s.</p>	None	10 minutes	IC Division Manager Human Resource Division
5. Releasing of requested document/s	2. Acknowledge in the HR Request Form the receipt of requested document/s by affixing name and signature,	5. Release requested document/s	None	5 minutes	IC Administrative Officer I/II/III Human Resource Division

	together with the date of receipt.				
TOTAL			None	2 days, 50 minutes	

**\*Note:** Processing time is assumed under normal working conditions wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the division as prescribed during the Alert Level System.

## ***PROCESSING OF HR REQUEST FOR FORMER IC PERSONNEL***

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- **About the Service**

This service is to process the request by former IC personnel on documents processed by and/or filed in the Human Resource (HR) Division.

- **Office/Division**

Human Resource Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

Former IC Personnel

- **Requirement/s**

Checklist of Requirements	Where to secure
Request letter/email from the former IC personnel (1 original)	Former IC personnel requesting for document/s
Authorization letter (1 original) and government issued ID (1 photocopy), should claiming of document/s be done by the authorized representative	Former IC personnel requesting for document/s

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays and work suspensions)

8:00 AM – 5:00 PM (for submissions via email)

9:00 AM – 4:00 PM (for submissions in hard copy, during community quarantine)

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of letter/email request	1. Submit to the HR Division the letter/email request and/or authorization letter signed by the former IC personnel together with the copy of valid government issued ID of the authorized representative	1. Evaluate the request and check the completeness of the requirement/s.  1.1 Review and evaluate if the request is within the management of the HR Division by checking the availability of data/records.  1.2 Note the results of evaluation and forward the same together with the request to the IC Division Manager for instructions.	None	55 minutes	IC Administrative Officer I/II/III  (Human Resource Division)
2. Evaluation and assignment of request		2. Validate the evaluation of the Action Officer.  2.1 Provide instructions to the concerned Action Officer on necessary action/s to be taken based on the validated evaluation.	None	1 day, 3 hours	IC Division Manager  (Human Resource Division)
3. Preparation of document/s		3. Prepare/draft necessary document/s.  3.1 Affix initials/signature in the finalized document/s, if necessary	None	2 days, 4 hours	IC Administrative Officer I/II/III  (Human Resource Division)
4. Signing/approval of the requested document/s		4. Review the document/s prepared by the Action Officer.  4.1 Return the reviewed document/s to the Action Officer for correction/ finalization.	None	2 days	IC Supervising Administrative Officer  (Human Resource Division)



		4.2 If the document/s is/are in order, sign the document/s and/or approve the release of the requested document/s.			
5. Releasing of document/s	2. Acknowledge in the email/letter the receipt of document/s and/or feedback	5. Release necessary document/s		5 minutes	
<b>TOTAL</b>			<b>None</b>	<b>6 days</b>	

**\*Note:** Processing time is assumed under normal working conditions wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the division as prescribed during the Alert Level System.

## ***PROCESSING OF REQUESTS OF NON-GOVERNMENT ENTITIES FOR LECTURERS, RESOURCE PERSONS, AND FACILITATORS FROM THE INSURANCE COMMISSION***

### **▪ About the Service**

This service is to assist entities under the supervision and regulation of the Insurance Commission, and other non-government entities who request for lecturers, resource persons, and facilitators from the Insurance Commission in seminars, training programs, workshops, conferences, and other similar activities. This applies only to formal requests submitted to the Insurance Commission at least two (2) months prior to the scheduled program or activity. Provisions of IC Circular Letter No. 2016-42 dated 29 July 2016 shall be applied in processing the requests.

### **▪ Office/Division**

Human Resource Division

### **▪ Classification**

Complex

### **▪ Type of Transaction**

Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

1. Insurance/Reinsurance Companies, Insurance and Reinsurance Brokers, Mutual Benefit Associations, Trusts for Charitable Uses, Pre-Need Companies, Health Maintenance Organizations, and other Covered Persons under the Supervision and Regulation of the Insurance Commission
2. Other Entities (i.e., non-government organizations)

### **▪ Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Request Letter (1 original copy)  Must contain the following information:  1. Title of the program, and objectives 2. Date 3. Time and Venue of the program 4. Number of requested IC lecturer/resource person/facilitator	From the requestor

<ol style="list-style-type: none"> <li>5. Specific subject matter/session topic to be discussed by the IC lecturer, resource person or facilitator</li> <li>6. Duration or number of hours of the session/lecture to be conducted</li> <li>7. Target participants/attendees to the session/lecture</li> <li>8. Details of travel arrangements to be provided by the requesting entity to the lecturer, resource person or facilitator, if any: <ol style="list-style-type: none"> <li>a. For programs/activities to be held within Metro Manila, the requesting entity shall provide for the transportation of the IC lecturers/resource persons/facilitators</li> <li>b. For programs/activities to be held outside Metro Manila, the requesting entity shall provide for the transportation, hotel accommodations, and meals.</li> </ol> </li> <li>9. Contact details of requester, i.e., telephone number and email address.</li> </ol>	
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▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays and work suspensions)

8:00 AM – 5:00 PM (for submissions via email)

9:00 AM – 4:00 PM (for submissions in hard copy, during community quarantine)

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of request letter	Submit request letter addressed to the Office of the Commissioner to the Human Resource Division at least two (2) months prior to the scheduled program or activity. Letter may be submitted via email to hr@insurance.gov.ph.	Receive the request letter and review completeness of information.  Encode receipt of request letter in the Document Routing System.  Acknowledge receipt of request letter through email.	None	1 hour	IC Administrative Officer I/II/III, (Human Resource Division)
2. Evaluation and Coordination	Answer inquiry/clarifications from the Human Resource Division.	Evaluate request taking into consideration exigency of the service, prior commitments and undertakings, and relevance of the program or activity to the mandates and functions of the Insurance Commission. Coordinate/inquire with the requesting entity on any clarification, issue or concern.  Coordinate and confirm with concerned functional groups or divisions on recommended personnel to be assigned as lecturer, resource person or facilitator.  Inform the concerned personnel on their possible assignment as lecturer, resource person or facilitator and confirm their availability on the schedule of the program/activity.	None	3 days	IC Administrative Officer I/II/III, (Human Resource Division)  Concerned Functional Group/Division  Recommended lecturer, resource person or facilitator

3. Preparation of Endorsement Memorandum & Office Order		<p>Prepare Endorsement Memorandum and Office Order.</p> <p>Compute lecture fees.</p> <p>Submit Transmittal Memorandum and Office Order to the Office of Deputy Insurance Commissioner for endorsement to the Office of the Commissioner.</p>	None	3 days	IC Administrative Officer I/II (Human Resource Division)
4. Issuance of Approved Office Order		<p>Receive approved Office Order in the Document Routing System.</p> <p>Transmit the Office Order to the Administrative Division and update/forward in the Document Routing System.</p>	None	1 hour	IC Administrative Officer I/II (Human Resource Division)
5. Preparation of Billing Statement		<p>Prepare Billing Statement in three (3) copies for signature of the HR Division Manager.</p> <p>Transmit to the Accounting Division for auditing, numbering, and signature of the Division Manager.</p>	None	5 hours	IC Administrative Officer I/II/III, Supervising Administrative Officer & IC Division Manager (Human Resource Division)

6. Release/Issuance of Billing Statement & Payment of Lecture Fees	Pay lecture fees at the Cashier's Section before the deadline provided in the Billing Statement	<p>Notify the requesting entity that the request has been approved and send the name of designated IC lecturer, resource person or facilitator.</p> <p>Furnish a copy of the signed Billing Statement to the requesting entity.</p>	<p>Total Lecture Fees per Lecturer/Facilitator/Resource Person = <math>0.23 \times \text{Basic Gross Monthly Salary of Lecturer/Facilitator/Resource Person} \times \text{No. of Hours of Lecture}</math></p> <p>Currency in Philippine Peso</p>	1 hour	IC Administrative Officer I/II/III (Human Resource Division)
<b>TOTAL</b>			<p>Total Lecture Fees per Lecturer/Facilitator/Resource Person = <math>0.23 \times \text{Basic Gross Monthly Salary of Lecturer/Facilitator/Resource Person} \times \text{No. of Hours of Lecture}</math></p> <p>Currency in Philippine Peso</p>	<b>7 days</b>	

\*Note: Processing time is assumed under normal working conditions wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the division as prescribed during the Alert Level System.

## ***PROCESSING OF REQUESTS OF GOVERNMENT ENTITIES FOR LECTURERS, RESOURCE PERSONS, AND FACILITATORS FROM THE INSURANCE COMMISSION***

### **About the Service**

This service is to assist other government agencies who request for lecturers, resource persons, and facilitators from the Insurance Commission in seminars, training programs, workshops, conferences, and other similar activities. This applies only to formal requests submitted to the Insurance Commission at least two (2) prior to the scheduled program or activity. Provisions of Department of Budget and Management (DBM) Budget Circular No. 2007-1 dated 23 April 2007 and other relevant government laws, rules, regulations shall be applied. in processing the requests.

### **Office/Division**

Human Resource Division

### **Classification**

Complex

### **Type of Transaction**

Government-to-Government(G2G)

### **Who May Avail of the Service**

Government Agencies

### **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Request Letter (1 original copy)  Must contain the following information:  1.Title of the program, and objectives 2. Date 3.Time and Venue of the program 4. Number of requested IC lecturer/resource person/facilitator 5. Specific subject matter/session topic to be discussed by the IC lecturer, resource person or facilitator 6.. Duration or number of hours of the session/lecture to be conducted	From the requestor

<p>7. Target participants/attendees to the session/lecture</p> <p>8. Details of travel arrangements to be provided by the requesting entity to the lecturer, resource person or facilitator, if any:</p> <p style="padding-left: 40px;">c. For programs/activities to be held within Metro Manila, the requesting entity shall provide for the transportation of the IC lecturers/resource persons/facilitators</p> <p style="padding-left: 40px;">d. For programs/activities to be held outside Metro Manila, the requesting entity shall provide for the transportation, hotel accommodations, and meals.</p> <p>9. Contact details of requester, i.e., telephone number and email address.</p>	
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▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays and work suspensions)

8:00 AM – 5:00 PM (for submissions via email)

9:00 AM – 4:00 PM (for submissions in hard copy, during community quarantine)

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of request letter	Submit request letter addressed to the Office of the Commissioner to the Human Resource Division at least two (2) months prior to the scheduled program or activity. Letter may be submitted	Receive the request letter and review completeness of information.  Encode receipt of request letter in the Document Routing System.	None	1 hour	IC Administrative Officer I/II/III, (Human Resource Division)



	via email to <a href="mailto:hr@insurance.gov.ph">hr@insurance.gov.ph</a> .	Acknowledge receipt of request letter through email.			
2. Evaluation and Coordination	Answer inquiry/clarifications from the Human Resource Division.	<p>Evaluate request taking into consideration exigency of the service, prior commitments and undertakings, and relevance of the program or activity to the mandates and functions of the Insurance Commission.</p> <p>Coordinate/inquire with the requesting entity on any clarification, issue or concern.</p> <p>Coordinate and confirm with concerned functional groups or divisions on recommended personnel to be assigned as lecturer, resource person or facilitator.</p> <p>Inform the concerned personnel on their possible assignment as lecturer, resource person or facilitator and confirm their availability on the schedule of the program/activity.</p>	None	3 days	<p>IC Administrative Officer I/II/III, (Human Resource Division)</p> <p>Concerned Functional Group/Division,</p> <p>Recommended lecturer, resource person or facilitator</p>

<p>3. Preparation of Endorsement Memorandum &amp; Office Order</p>		<p>Prepare Endorsement Memorandum and Office Order.</p> <p>Prepare Certificate of Employment with Compensation (COE) of the designated IC lecturer/resource person/facilitator to serve as basis for computation of honoraria by the requesting entity.</p> <p>Submit Transmittal Memorandum and Office Order to the Office of Deputy Insurance Commissioner for endorsement to the Office of the Commissioner.</p>	None	3 days	<p>IC Administrative Officer I/II (Human Resource Division)</p>
<p>4. Issuance of Approved Office Order</p>		<p>Receive approved Office Order in the Document Routing System.</p> <p>Transmit the Office Order to the Administrative Division and update/forward in the Document Routing System.</p>	None	1 hour	<p>IC Administrative Officer I/II (Human Resource Division)</p>

5. Notice of Approval	Pay honoraria directly to the designated IC lecturer, resource person or facilitator	Notify the requesting entity that the request has been approved and send the name and COE of designated IC lecturer, resource person or facilitator	Total Honoraria per Lecturer/Facilitator/Resource Person = $0.23 \times \text{Basic Gross Monthly Salary of Lecturer/Facilitator/Resource Person} \times \text{No. of Hours of Lecture}$	1 hour	IC Administrative Officer I/II/III, (Human Resource Division)
<b>TOTAL</b>			Total Lecture Fees per Lecturer/Facilitator/Resource Person = $0.23 \times \text{Basic Gross Monthly Salary of Lecturer/Facilitator/Resource Person} \times \text{No. of Hours of Lecture}$  Currency in Philippine Peso	<b>6 days and 3 hours</b>	

\*Note: Processing time is assumed under normal working conditions wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the division as prescribed during the Alert Level System.

## ***PROCESSING OF REQUESTS FOR TRAVEL AUTHORITY – PERSONAL***

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- **About the Service**

This service is to assist personnel in securing authority to travel abroad for a private purpose, or while on approved leave of absence, involving no government expense, based on the guidelines provided under Office Circular No. 2016-003 dated 20 April 2016, provided, further, that complete documentary requirements are submitted to the Human Resource Division thirty (30) working days prior to the actual date of departure/travel.

- **Office/Division**

Human Resource Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

All personnel of Insurance Commission holding plantilla positions.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter seeking authority to travel abroad, and stating the purpose thereof, addressed to the Insurance Commissioner and duly endorsed by the concerned Deputy Insurance Commissioner and immediate supervisor/Division Manager	Please see sample format in Annex A of Office Circular No. 2016-003 dated 20 April 2016.
Letter must state the purpose of personal travel (3 original copies).	
Application for Leave Form for the period covered duly approved by concerned authorities (3 original copies)	
Certificate of Travel Urgency (3 original copies)	Please see prescribed form in Annex B of Office Circular No. 2016-003 dated 20 April 2016.

Certificate of Expected Expenses (3 original copies)	Please see prescribed form in Annex C of Office Circular No. 2016-003 dated 20 April 2016.
Notarized Affidavit of Travel, Clearance Certificate (3 original copies printed in legal-sized paper)	Please see prescribed form in Annex D Please see prescribed form in Annex B of Office Circular No. 2016-003 dated 20 April 2016.
Clearance Certificate (3 original copies)	Please see prescribed form in Annex E of Office Circular No. 2016-003 dated 20 April 2016
Medical Certificate of concerned personnel or any member of his/her immediate family if travel is due to sickness	
Certified True Copy of Latest Income Tax Return (Certificate of Compensation/Tax Withheld in BIR Form 2316)  If the travel is to be financed by another person, the BIR Form 2316 of the said sponsor shall be submitted.	Accounting Division
Certified True Copy of latest Statement of Assets, Liabilities and Net Worth (SALN)	Human Resource Division
Accomplished HRD Request Form for issuance of Service Record and Certification of No Pending Administrative Case	Please see prescribed form in Annex F of Office Circular No. 2016-003 dated 20 April 2016

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays and work suspensions)

8:00 AM – 5:00 PM (for submissions via email)

9:00 AM – 4:00 PM (for submissions in hard copy, during community quarantine)

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of Request Letter with Complete Documentary Requirements	Submit request letter and complete documentary requirements to the Human Resource Division (HRD) at least thirty (30) working days prior to the actual	Receive request for authority to travel abroad on personal expense, along with documentary requirements.  Check timeliness of submission, and review completeness of	None	30 minutes	IC Administrative Officer I/II/III  (Human Resource Division)

	date of departure/travel	<p>requirements, and use of prescribed forms.</p> <p>If submission of request and documentary requirements are on time and complete, encode receipt of request letter in the Document Routing System.</p> <p>If submission is in complete and does not meet the prescribed timeline, return documents to the requesting personnel.</p>			
2. Evaluation and Verification of Documents, and Preparation of Endorsement Memorandum	<p>Revise/correct documents and resubmit to the HRD.</p> <p>Provide requirements of divisions/ offices for clearance purposes.</p>	<p>Review and verify submitted documents for completeness and accuracy.</p> <p>If documents are completely in order, prepare the Service Record and Certification of No Pending Administrative Case for signature of the HR Division Manager and the Endorsement Memorandum addressed to the Insurance Commissioner. Otherwise, return the documents to the requesting personnel for revision/correction.</p> <p>Route Clearance Certificate to concerned divisions/offices for signature. Once signed, the division/office shall return the clearance certificate to HRD.</p>	None	4 days	<p>IC Administrative Officer I/II/III</p> <p>(Human Resource Division)</p>
3. Review of Endorsement Memorandum and Request for Travel Authority		Review the draft Service Record and Certification of No Pending Administrative Case for signature of the HR Division	None	1 day	IC Supervising Administrative Officer and IC Division Manager

		<p>Manager, Endorsement Memorandum addressed to the Insurance Commissioner and Request for Travel Authority addressed to the Secretary of the Department of Finance (DOF).</p> <p>If requirements are completely in order, sign the documents. Otherwise, return to the action officer for correction or revision.</p>			(Human Resource Division)
4. Submission of Endorsement Memorandum and Request for Travel Authority		<p>Submit Endorsement Memorandum, Request for Travel Authority and documentary requirements to the Office of the Deputy Insurance Commissioner for Management Services Group for signature and endorsement to the Office of the Commissioner.</p>	None	30 minutes	<p>IC Administrative Officer I/II/III (Human Resource Division)</p>
5. Submission of the Request for Travel Authority to the DOF		<p>Receive Request for Travel Authority signed by the Insurance Commissioner. If request was disapproved and not endorsed, return to the requesting personnel.</p> <p>Update status in the Document Routing System.</p> <p>Submit the Request for Travel Authority and documentary requirements to the DOF – Central Records Management Officer (CRMO), at least ten (10) working days prior to the date of departure/travel.</p>	None	1 day	<p>IC Administrative Officer I/II/III (Human Resource Division)</p>

6. Receipt and Issuance of approved (or disapproved) Travel Authority from the DOF	Receive a copy of the approved (or disapproved) Travel Authority from HRD	<p>Receive approved (or disapproved) Travel Authority from the DOF – CRMO, upon arrival/delivery of document at the HRD Office.</p> <p>Update status of document in the Document Routing System.</p> <p>Provide one (1) copy of the approved (or disapproved) Travel Authority to the requesting personnel. Record the receipt of documents in the logbook.</p> <p>File documents in the appropriate HRD filing folder.</p>	None	30 minutes	IC Administrative Officer I/II/III (Human Resource Division)
<b>TOTAL</b>			<b>None</b>	<b>6 days, 1 hour and 30 minutes</b>	

**\*Note:** Processing time is assumed under normal working conditions wherein office personnel are 100% reporting for duty. Processing time will be significantly slower, proportionate to the percentage of manpower available working for the division as prescribed during the Alert Level System.





# **Management Support Services Group – Information Systems Division**

**Internal Services**



## ***INFORMATION SYSTEM DEPLOYMENT***

### **About the Service**

This procedure covers the deployment of developed computerized or automated systems of functional area/s and operational activity/ies by the Information Systems Division.

### **Office/Division**

Information Systems Division

### **Classification**

Highly Technical Transaction

### **Type of Transaction**

Government-to-Government (G2G)

### **Who May Avail of the Service**

IC Divisions and/or Sections whose manual processes were computerized or automated by the Information Systems Division

### **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
IS Development Request Form	IC Employees Portal – Forms Section

### **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of user acceptance and deployment request	The Division or Section forwards the request form to the IS Division for evaluation, through email.	The IS Manager assigns the task to concerned IS Personnel.	None	1 day	IC Division Manager
2. Concerned IS Personnel and conducts discussion with End-user	Discussion with the IS Division regarding observations on the information system	Conducts analysis of the observations on the information system	None	7 days	IC Information Technology Officer I / IC Computer Programmer

3. Deployment of Information System	End-user/Division signs the deployment form, either electronically or send scanned copy of the form	Deploys Information System into Production	None	7 days	IC Information Technology Officer I / IC Computer Programmer
<b>TOTAL</b>			<b>None</b>	<b>15 days</b>	

## ***INFORMATION SYSTEM DEVELOPMENT***

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- **About the Service**

This procedure covers the development of computerized or automated systems of functional area/s and operational activity/ies supported/served by the Information Systems Division.

- **Office/Division**

Information Systems Division

- **Classification**

Highly Technical Transaction

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

IC Divisions and/or Sections who have manual processes that are required to be automated.

- **Requirement/s**

Checklist of Requirements	Where to secure
IS Development Request Form	IC Employees Portal – Forms Section

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt and evaluation of Request	The Division or Section submits the scanned accomplished IS Development Request form to the IS Division for evaluation, through email.	The IS Manager evaluates whether the request is valid and feasible.	None	2 days	IC Division Manager

2. Consultation with the requesting Division / end-user		<p>The IS manager approves the request and assigns the same to an IS Personnel.</p> <p>The IS Division conducts consultative discussions with the requesting Division / end-user through video conferencing.</p> <p>The IS Personnel conducts Planning and Analysis of the requested Information System.</p>	None	7 days	IC Division Manager
3. Creation and Approval of Project Development Schedule	The End-user Division Manager / Section Head signs the Project Charter as agreed upon.	<p>The requesting Division / end-user and IS Division agrees on a Project Charter and the IS Manager signs it as agreed upon.</p> <p>The IS Manager signs the Project Development Schedule as agreed upon.</p>	None	3 days	IC Information Technology Officer I
4. Review of Information System as Developed		Conducts information system transitioning based on approved Project Development Schedule.	None	7 days	IC Information Technology Officer I / IC Computer Programmer
<b>TOTAL</b>			<b>None</b>	<b>19 working days</b>	

## **INFORMATION SYSTEM MAINTENANCE**

### ▪ **About the Service**

This procedure is to provide guidelines on understanding the activities involved in the performance of IS maintenance.

### ▪ **Office/Division**

Information Systems Division

### ▪ **Classification**

Complex Transaction

### ▪ **Type of Transaction**

Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

IC Divisions and/or Sections who currently use the existing information systems of the IC.

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
IS Maintenance Report Form	IC Employees Portal – Forms Section

### ▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Assessment of Information System and provides accomplished IS Maintenance Report Form to End-user Division or Section	.	The IS Personnel assesses the information system and report findings on the IS maintenance report form. IS Personnel submits the accomplished form to the end-user division or section, through e-mail	None	2 days	IC Information Technology Officer I/ IC Computer Programmer

2. Submission of IS Maintenance Report Form to the IS Division	Review of findings indicated by the IS Division and determines if modification is necessary. Submits form to IS Division.	The IS Personnel receives signed form.	None	5 days	IC Information Technology Officer I/ IC Computer Programmer
<b>TOTAL</b>			<b>None</b>	<b>7 days</b>	

## ***PUBLICATION OF OFFICIAL ISSUANCE TO THE IC WEBSITE***

### ▪ **About the Service**

This procedure covers systematic process of uploading/posting of official issuances to the IC Website as part of the information dissemination machinery of the IC.

### ▪ **Office/Division**

Information Systems Division

### ▪ **Classification**

Simple Transaction

### ▪ **Type of Transaction**

Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

IC employees who request for publication of official issuances to the IC Website.

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
Request through memorandum or e-mail	Requesting division/unit/personnel

### ▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of request and publishing to the IC website	The Record Section Personnel forwards to the IS Division the request through email	The concerned IS Personnel processes the file(s) for publishing. Once processing is done, IS Personnel publishes the requested file(s) to the IC Website and sends a notice to the Records Section Personnel about the uploaded file/s.	None	1 day	IC Information Technology Officer I / IC Computer Programmer
<b>TOTAL</b>			<b>None</b>	<b>1 day</b>	



## **UPDATING OF TRANSPARENCY SEAL PAGE ON THE IC WEBSITE**

### ▪ **About the Service**

This procedure covers systematic process of updating the Transparency Seal Page on the IC Website as part of the requirements of Administrative Order No. 25, s. 2011.

### ▪ **Office/Division**

Information Systems Division

### ▪ **Classification**

Simple Transaction

### ▪ **Type of Transaction**

Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

Accounting, Budget, and Planning and Management Divisions of the Insurance Commission.

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
Request through memorandum or e-mail	-

### ▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of request and updating of Transparency Seal Page on the IC website.	The Accounting, Budget, and Planning and Management personnel forwards to the IS Division the request through email	The concerned IS Personnel processes the file/s for publishing	None	1 day	IC Information Technology Officer I

		Once processing is done, IS Personnel updates Transparency Seal Page on the IC Website and sends a notice to the Requestor about the uploaded file/s.			
<b>TOTAL</b>			<b>None</b>	<b>1 day</b>	

## **UPDATING AND UPLOADING OF THE IC EMPLOYEES PORTAL RESOURCES**

### ▪ **About the Service**

This procedure covers systematic process of uploading/posting of content to the IC Employees Portal as part of the information dissemination machinery of the IC and updating of personnel permission.

### ▪ **Office/Division**

Information Systems Division

### ▪ **Classification**

Simple Transaction

### ▪ **Type of Transaction**

Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

IC employees who request for uploading/posting of content and updating of personnel permission, subject to the approval of IS Division Manager.

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
Request through memorandum or e-mail	-

### ▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of request.	The IC Personnel forwards to the IS Division the request through email / memorandum.	The IS Manager evaluates whether the request is valid and feasible and assigns to an IS Personnel	None	1 day	IC Division Manager
2. Uploading/ Posting of content and		The IS Personnel processes the request and uploads/posts		2 days	IC Information

updating personnel permission	of		content and updates personnel permission and sends a notice to the Requestor about the updated/uploaded file/s.			Technology Officer I
TOTAL				None	3 days	



# **Management Support Services Group – Information Technology Division**

**Internal Services**



## ***MAINTENANCE OF INFORMATION TECHNOLOGY RESOURCE/S (CORRECTIVE MAINTENANCE)***

### ▪ **About the Service**

This procedure is to provide guidelines on understanding the activities involved in the performance of IT resources maintenance.

### ▪ **Office/Division**

Information Technology Division

### ▪ **Classification**

Simple Transaction

### ▪ **Type of Transaction**

Government-to-Government (G2G)

### ▪ **Who May Avail of the Service**

All IC Personnel

### ▪ **Requirement/s**

Checklist of Requirements	Where to secure
IT Job Request Form (IC-MIT-DP-001-F-01 Rev.1)	Insurance Commission employees portal section

### ▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### ▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Prepare corrective maintenance action	The IC Personnel / end-user submits the accomplished IT Job Request Form.	The IT Personnel receives and evaluates request submitted via e-mail, memorandum or IT Job Request Form	None	30 minutes	IC Technology Officer I/IC Information Data Analyst I
2. Performance of corrective maintenance		The IT Personnel performs the necessary corrective maintenance work.	None	1 Day	IC Technology Officer I/IC Information

					Data Analyst I
3. Recording of Results		Update the status of corrective maintenance in the IC-MIT-DP-001-F-01 (IT Job Request Form).	None	30 minutes	IC Technology Officer I/IC Information Data Analyst I
TOTAL			None	1 Day and 1 Hour	

*\*Note: Processing time is assumed under normal conditions wherein office personnel are 100% reporting for duty. As prescribed during the Community Quarantine periods, the processing time will be significantly slower, proportionate to the workforce available working for the division.*

## ***MAINTENANCE OF INFORMATION TECHNOLOGY RESOURCE/S (PREVENTIVE MAINTENANCE)***

### **About the Service**

This procedure is to provide guidelines on understanding the activities involved in the performance of IT resources maintenance.

### **Office/Division**

Information Technology Division

### **Classification**

Simple Transaction

### **Type of Transaction**

Government-to-Government (G2G)

### **Who May Avail of the Service**

Not Applicable

### **Requirement/s**

Checklist of Requirements	Where to secure
IT Jon Request Form (IC-MIT-DP-001-F-01 Rev. 1)	Insurance Commission employees portal section

### **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Approval of Prepared Preventive Maintenance Schedule		IT Manager approves preventive maintenance schedule prepared by IT Personnel.	None	1 day	IC Division Manager
2. Conduct Preventive Maintenance Proper		IT Personnel performs scheduled automated preventive maintenance using the Network Monitoring Tool and	None	30 minutes	IC Technology Officer I/IC Information



		performs physical check of computer parts and peripherals, when necessary.			Data Analyst I
3. Recording of Results		Record results of preventive maintenance through automated logs	None	30 minutes	IC Technology Officer I/IC Information Data Analyst I
<b>TOTAL</b>			<b>None</b>	<b>1 Working Day and 1 Hour</b>	

*\*Note: Processing time is assumed under normal conditions wherein office personnel are 100% reporting for duty. As prescribed during the Community Quarantine periods, the processing time will be significantly slower, proportionate to the workforce available working for the division.*

## ***MANAGEMENT OF INFORMATION TECHNOLOGY RESOURCE/S***

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- **About the Service**

The objective of this procedure is to provide guidelines on understanding the activities involved in the management of IT resource/s.

- **Office/Division**

Information Technology Division

- **Classification**

Simple Transaction

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Any IC Personnel who are in need of IT resource/s in an official capacity.

- **Requirement/s**

Checklist of Requirements	Where to secure
Accomplished IT Borrower's Form (IC-MIT-DP-002-F-01 Rev.1)	Insurance Commission employee's portal section

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of request and preparation of IT resource/s	The IC Personnel / end-user submits the accomplished and signed IT Borrower's Form	<p>The IT Personnel receives the request and checks the availability of the IT resource/s needed.</p> <p>For WFH: the IT Division configures the IT Resource/s and prepares the following Documents: - IT Borrower's Form (if the End-user is not the Custodian of the IT Resource/s) - IT Tracer Form - Admin Gatepass IT Division forwards the Admin Gatepass to the Administrative Division for checking and approval</p>	None	<p>5 minutes</p> <p>For WFH: 1 Working Day</p>	<p>IC Technology Officer I/IC Information Data Analyst I</p> <p>*Upon availability or report to the office of the IT Division Personnel</p>
2. Release of IT resource/s		<p>The IT Personnel release of IT resource/s to the end-user.</p> <p>For WFH: End-user will pickup the IT Resource/s and let the Gatekeeper inspect and approve the documents and IT Resource/s for release</p>	None	20 minutes	IC Technology Officer I/IC Information Data Analyst I
3. Updating of the status of IT resource/s		Update the status / location of the IT resource/s in the log book	None	5 minutes	IC Technology Officer I/ IC Information Data Analyst I
4. Receive returned IT resource/s	End-user returns IT Resource/s	IT Personnel affixes signature, date and time of return on both copies of the form to confirm return of the IT resource/s	None	5 minutes	IC Technology Officer I/ IC Information Data Analyst I

5. Updating of the status of IT resource/s		Updates the status / location of IT resource/s in the log book	None	5 minutes	IC Technology Officer I/ IC Information Data Analyst I
<b>TOTAL</b>			<b>None</b>	<b>40 minutes</b> For WFH: 1 Working Day and 35 minutes	

*\*Note: Processing time is assumed under normal conditions wherein office personnel are 100% reporting for duty. As prescribed during the Community Quarantine periods, the processing time will be significantly slower, proportionate to the workforce available working for the division.*

## ***IT BACKUP POLICY STATEMENT***

- **About the Service**

The purpose of this policy is to provide strategies and ensure the security and recoverability of data or information resources of the IC.

- **Office/Division**

Information Technology Division

- **Classification**

Simple Transaction

- **Type of Transaction**

G2G

- **Who May Avail of the Service**

Not Applicable

- **Requirement/s**

Checklist of Requirements	Where to secure
Not Applicable	Not Applicable

- **Schedule of Availability of Service**

Mondays–Fridays 11:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Backup of Information Systems and Databases		IT Personnel performs daily incremental backup while a full backup is done monthly.	None	2 Working Days	IT Division Manager / IC Technology Officer I / IC Information Data Analyst I
TOTAL:			None	2 Working Days	

*\*Note: Processing time is assumed under normal conditions wherein office personnel are 100% reporting for duty. As prescribed during the Community Quarantine periods, the processing time will be significantly slower, proportionate to the workforce available working for the division.*



# **Management Support Services Group – Planning and Management Division**

## **External Services**



## ***ISSUANCE OF INSURANCE, PRE-NEED AND HMO RELATED REPORTS TO AN INSTITUTION OR ORGANIZATION***

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- **About the Service**

This process involves undergoing research, gathering information, collecting data and statistics in order to produce customized technical report, write-ups and/or presentations on the status and conditions of the insurance, pre-need and HMO industries.

The report being generated in this process is used by oversight government agencies, and/or policy-makers. Reports are submitted on or before the deadline set or within seven (7) days upon receipt of request, whichever is applicable.

- **Office/Division**

Planning and Management Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Government (G2G)

- **Who May Avail of the Service**

Any authorized representatives of Departments, Bureaus, Offices and Other Agencies of the National Government, including Constitutional Commissions and/or Government-Owned or-Controlled Corporations. Examples are Department of Finance (DOF), Department of Budget and Management, and National Economic and Development Authority (NEDA).

- **Requirement/s**

Checklist of Requirements	Where to secure
Letter of Request	Prepared by the Requestor.

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Request	The Requestor sends the request via mail, courier, messenger, or e-mail.	<p>The request may be received through the following modes:</p> <ul style="list-style-type: none"> <li>Through Mail/ Courier endorsed by the Office of the Insurance Commissioner or Deputy Commissioner;</li> <li>Through E-mail sent directly to the Division:</li> </ul> <p>The Action Officer receives the Letter or Request through Document Routing System.</p> <p>The Action Officer coordinates directly with the Requestor to confirm the details of the requests, when necessary.</p>	None	50 minutes	Planning Staff / Planning Officer II
2. Assignment of Task		<p>The Action Officer forwards the Letter of Request to the Division Manager.</p> <p>The Division Manager assigns the request to a Planning Officer as the Action Officer.</p>	None	1 Day	Planning Staff / Planning Officer II / Division Manager
3. Data Collection, Research and Preparation of requested document		<p>The Action Officer undergoes research, gathers information, and/or collects data and statistics based on the request.</p> <p>The Action Officer prepares Requested Document (e.g. technical report, write-up and/or presentation) using the outcome/outputs</p>	None	3 days and 4 hours	Planning Staff / Planning Officer II



		of the research or data gathered.			
4. Review and Approval		The Division Manager reviews the Requested Document and forwards to the Deputy Insurance Commissioner for endorsement to the Insurance Commissioner.	None	2 days and 3 hours	Division Manager
		The Deputy Insurance Commissioner evaluates the Requested Document and endorses to the Insurance Commissioner.	None		Deputy Insurance Commissioner for MSSG
		The Insurance Commissioner approves the release of the Requested Document or returns the same if not found in order for appropriate revision/s.	None		Insurance Commissioner
5. Release of the Action Document	The Requestor receives the Action Document.	The Action Officer sends an email to the Requestor and notifies the Requestor that the original printed and signed Requested Document will be delivered via mail or courier.	None	10 Minutes	Planning Staff / Planning Officer II
<b>TOTAL</b>			<b>None</b>	<b>7 days</b>	



# Technical Services Group – Actuarial Division

## External Services



## ***APPROVAL OF PRODUCTS, FORMS AND OTHER RELATED REQUESTS***

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- **About the Service**

This service is pursuant to the following:

1. Section 232 of Insurance Code, as Amended by R.A. 10607 stating that Life Insurance Companies and MBAs must obtain prior approval from the Insurance Commission before any insurance can be sold, or any policy, certificate, rider, endorsement, application form, etc. can be issued.
2. Section 17 of Chapter 4 of Pre-need Code, stating that Pre-Need Companies must obtain prior approval from the Insurance Commission before any plans can be sold, or any policy, certificate, rider, endorsement, application form, etc. can be issued.
3. Section 4 (a) of Executive Order 192, s. 2015 stating that Insurance Commission is mandated to issue rules and regulations with respect to the registration of contracts and plans and other relevant matters, as necessary.

This service applies to the following requests of Life Insurance companies, Mutual Benefit Associations (MBAs), Pre-need companies and Health Maintenance Organizations (HMOs):

1. Approval of products and forms submitted by Life Insurance companies, MBAs, Pre-need companies and HMOs
2. Approval of Pre-need price increase, registration of new and additional Pre-need contract price
3. Approval of advertising materials
4. Approval of innovations on distribution channels and payment schemes
5. Approval of change in valuation basis
6. Approval of change in policy loans interest rates
7. Approval of change in dividends scale and accumulation interest rates
8. Approval of promotional/campaign programs
9. Approval of marketing names in contract forms

- **Office/Division**

Actuarial Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

▪ **Who May Avail of the Service**

Life Insurance Companies, Mutual Benefit Associations (MBAs), Pre-Need Companies, Health Maintenance Organizations (HMOs)

▪ **Requirement/s**

The following documents should be submitted in both hard copy and soft copy (in word/excel file):

Checklist of Requirements	Where to secure
<p><b>1 Life Insurance companies</b></p> <p>1.1 Approval of products and forms</p> <p>1.1.1 For New Products/Forms</p> <p>1.1.1.1 Transmittal Letter (1 original copy)</p> <p>1.1.1.2 Duly Accomplished Checklist and Evaluation Sheet (1 original copy)</p> <p>1.1.1.3 Duly Notarized Deed of Undertaking (1 original copy)</p> <p>1.1.1.4 Actuarial Notes (1 original copy for product submissions only)*</p> <p>1.1.1.5 Viability Study for the complete duration of the plan/rider or 20 policy years, whichever is shorter, for decennial ages (1 original copy) (soft copy should be in Excel format with formulas and for product submissions only)*</p> <p>1.1.1.6 Duly Notarized Actuary's Certification (1 original copy)*</p> <p>1.1.1.7 Duly Notarized Legal Counsel's Certification (1 original copy)*</p> <p>1.1.1.8 Policy/Rider Contract (3 specimen copies)*</p> <p>1.1.1.9 Policy Data Page (3 specimen copies)*</p> <p>1.1.1.10 Sales Proposal (3 specimen copies)*</p> <p>1.1.1.11 Application Form (3 specimen copies)*</p> <p>1.1.1.12 Certificate of Insurance (3 specimen copies)*</p> <p>1.1.1.13 Endorsement Form (3 specimen copies)*</p> <p>1.1.1.14 Distribution and Sales Materials (3 specimen copies)*</p> <p>1.1.1.15 Other Contract Forms (3 specimen copies)*</p> <p><i>*if applicable</i></p> <p>1.1.2 For Revised Products/Forms</p> <p>1.1.2.1 Transmittal Letter (1 original copy)</p> <p>1.1.2.2 Duly Accomplished Checklist and Evaluation Sheet (1 original copy)</p>	<p>Provided by Client</p> <p>IC Website</p> <p>IC Website</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>IC Website</p> <p>IC Website</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>IC website</p>

1.1.2.3	Duly Accomplished Summary of Revisions in Policy Contract, Rider Contract and/or Endorsement Forms (1 original copy)	IC website
1.1.2.4	Duly Notarized Deed of Undertaking (1 original copy)	IC website
1.1.2.5	All applicable documentary requirements under item 1.1.1	
1.1.2.6	Copy of Insurance Commission's Approval of underlying fund (for inclusion of new investment fund for variable life insurance contracts) (1 photocopy)	IC Investments and Services Division
1.1.3	For introduction of New Distribution Channels	
1.1.3.1	Transmittal Letter (1 original copy)	Provided by Client
1.1.3.2	Business Plan/Proposal/Model (1 original copy)	Provided by Client
1.1.3.3	Process Flow (1 original copy)	Provided by Client
1.1.3.4	Screenshots/Wireframes (1 original copy)*	Provided by Client
1.1.3.5	Telemarketing scripts (1 original copy)*	Provided by Client
1.1.3.6	Other Contract Forms (3 specimen copies)*	Provided by Client
	<i>*if applicable</i>	
1.2	Approval of Advertisements and Brochures	
1.2.1	Transmittal Letter (1 original copy)	Provided by Client
1.2.2	Sample Sales Marketing Material (3 specimen copies)	Provided by Client
1.3	Approval of Change in Valuation Basis	
1.3.1	Transmittal Letter (1 original copy)	Provided by Client
1.3.2	Actuarial Notes (1 original copy)	Provided by Client
1.3.3	Schedule of New Reserve Factors (1 original copy)	Provided by Client
1.4	Approval of Change in Dividends Scale and Accumulation Interest Rates	
1.4.1	Transmittal Letter (1 original copy)	Provided by Client
1.4.2	Sales Illustrations (3 specimen copies)	Provided by Client
1.5	Approval of Marketing Names in Contract Forms	
1.5.1	Transmittal Letter (1 original copy)	Provided by Client
1.6	Approval of Promotional/Campaign Programs	
1.6.1	Transmittal Letter (1 original copy)	Provided by Client
1.6.2	Promotional Mechanics (1 original copy)	Provided by Client
<b>2</b>	<b>Mutual Benefit Associations</b>	
2.1	Approval of products and forms	
	The letter of request (1 original copy) must be accompanied by the following supporting documents:	
2.1.1	Actuarial Notes (1 original copy)*	

2.1.1.1	Brief and concise description	Provided by Client
2.1.1.2	Actuarial formulations and assumptions used in the viability study and other actuarial values	
2.1.2	Table of Gross Premium Rates and Net Valuation Premiums (all issue ages) (1 original copy)*	Provided by Client
2.1.3	Schedule of Terminal Reserves (1 original copy)*: The schedule must illustrate the reserves for the complete duration of the plan or 20 policy years whichever is shorter for all issue ages.	Provided by Client
2.1.4	Table of Non-forfeiture Values (1 original copy)*: The table must illustrate the Non-forfeiture Values available under the plan (Cash Values, Reduced Paid-Up, and/or Extended Term Insurance) for the entire duration of the plan and for all issue ages.	Provided by Client
2.1.5	Asset Share Calculations (soft copy should be in Excel format with formulas and for product submissions only) (1 original copy)*:	
2.1.5.1	Illustrations should be for the complete duration of the plan or 20 policy years whichever is shorter, for decennial ages only.	Provided by Client
2.1.5.2	The illustrations shall follow the standard format for asset share calculations prescribed in Circular Letter No. 30-1992.	
2.1.5.3	Illustration of Benefits (2 copies) (for participating plans)	IC Website
2.1.6	Actuary's Certification (1 original copy) *	
2.1.7	Policy Contract / Implementing Rules and Regulations (3 specimen copies)	Provided by Client
2.1.8	Application Form (3 specimen copies)	Provided by Client
2.1.9	Other Forms e.g. Endorsements, Certificates, etc. (3 specimen copies each)	Provided by Client
	<i>*if applicable</i>	
2.2	Approval of Advertisements and Brochures	
2.2.1	Cover Letter (1 original copy)	Provided by Client
2.2.2	Sample Sales Marketing Material (3 specimen copies)	Provided by Client
2.3	Approval of Change in Valuation Basis	
2.3.1	Transmittal Letter (1 original copy)	Provided by Client
2.3.2	Actuarial Notes (1 original copy)	Provided by Client
2.3.3	Schedule of New Reserve Factors (1 original copy)	Provided by Client
2.4	Approval of Marketing Names in Contract Forms	
2.4.1	Transmittal Letter (1 original copy)	
2.5	Approval of Promotional/Campaign Programs	Provided by Client
2.5.1	Transmittal Letter (1 original copy)	
2.5.2	Promotional Mechanics (1 original copy)	Provided by Client
		Provided by Client
<b>3</b>	<b>Pre-need companies</b>	



<p>3.1.20.3 Information Brochure and other printed literature to be distributed to the public</p> <p>3.1.20.4 Copies of related contracts such as mortuary contracts, school contracts or other service provider's contracts</p> <p>3.1.20.5 List of Affiliated Mortuaries for Memorial Plans</p> <p>3.1.20.6 List of accredited schools for traditional education plans including current costs of promised benefits (if applicable)</p> <p>3.1.20.7 Copies of agency contracts with general agents and sales counsellors</p> <p>3.1.20.8 Description of training program for agents and sales counsellors</p> <p>3.1.20.9 Curriculum vitae of officers and directors;</p> <p>3.1.20.10 Photographs of the signatories to the registration statement taken not more than 30 days prior to the filing of registration statements</p> <p>3.1.20.11 NBI clearance of the directors and principal officers of the issuer or current passport:</p> <p>3.1.20.12 Specimen copies of group master policy and insurance riders issued to the Pre-Need Company for the following coverage:</p> <p>3.1.20.12.1 Group Credit Life</p> <p>3.1.20.12.2 Group Yearly Renewable Term</p> <p>3.1.20.12.3 Supplementary Insurance Benefits</p> <p>3.1.20.12.4 Insurance Certificates / Proof of Insurance Coverage</p> <p><i>* if applicable</i></p> <p>3.2 Approval of Advertising Materials</p> <p>3.2.1 Transmittal Letter (1 original copy)</p> <p>3.2.2 Sample Sales Marketing Material (3 specimen copies)</p> <p>3.3 Approval of Marketing Names in Contract Forms</p> <p>3.3.1 Transmittal Letter (1 original copy)</p> <p>3.4 Approval of Promotional/Campaign Programs</p> <p>3.4.1 Transmittal Letter (1 original copy)</p> <p>3.4.2 Promotional Mechanics (1 original copy)</p>	<p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p>
<p><b>4 Health Maintenance Organizations</b></p> <p>The letter of request (1 original copy) must be accompanied by the following supporting documents:</p> <p>4.1 Approval of products and forms</p> <p>4.1.1 HMO Agreements (3 specimen copies)</p> <p>4.1.2 HMO Schedule of Benefits (3 specimen copies)</p> <p>4.1.3 HMO Application Form (3 specimen copies)</p> <p>4.1.4 Actuarial Notes (1 original copy)</p> <p>4.1.4.1 Product description</p> <p>4.1.4.2 Actuarial Assumptions</p> <p>4.1.4.2.1 Morbidity/Incidence Rates (Per Benefit)</p>	<p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p> <p>Provided by Client</p>





▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Assignment and Record of Submission	The Client submits the complete and compliant documentary requirements for its requests for approval of products/forms and such other related requests through the Actuarial Division's Online Product Submission Portal in accordance with the specific guidelines issued by this Commission	The receiving officer assigns the new submission to action officers.  Action Officer records submission in tracking sheet and prepares Document Routing System (DRS).	None	3 Hours	Actuarial Staff, Insurance Specialist I, Insurance Specialist II, Senior Insurance Specialist
2. Assessment and Receipt of submission, and issuance of Order of Payment		The Action Officer downloads and decrypts the submitted documents, copies extracted files to Actuarial Hard Drive and Actuarial Division Shared folder, verifies completeness of required documents, releases an e-mail verification, acknowledging the receipt of request, and issues electronic copy of Order of Payment (OOP) through email.  <i>Note: No Order of Payment shall be issued for transactions not requiring processing fees.</i>	See Schedule of Processing Fees	1 day	Actuarial Staff, Insurance Specialist I, Insurance Specialist II, Senior Insurance Specialist

3. Payment of Fees	The Client proceeds to the Cashier Section or uses the Landbank of the Philippines e-payment system for payment.	Cashier/e-payment system accepts payment and issues Official Receipt (OR)/payment confirmation.  <i>Note: All applicable filing fees must be paid by the company within ten (10) calendar days from receipt of OOP.</i>	See Schedule of Processing Fees	3 Hours	Cashier Section
4. Submission of proof of payment	The Client sends the payment confirmation or Official Receipt to actuarial@insuranc e.gov.ph	The Action Officer records the proof of payment or official receipt (OR)	None	2 Hours	Actuarial Staff, Insurance Specialist I, Insurance Specialist II, Senior Insurance Specialist
5. Evaluation of request and preparation of approval/disapproval letter	None	Action Officer evaluates the submission and prepares the draft approval/disapproval letter	None	5 working days	Actuarial Staff, Insurance Specialist I, Insurance Specialist II, Senior Insurance Specialist
6. Review of evaluation report of Action Officer	None	The Supervising Insurance Specialist reviews the draft approval/disapproval letter of Action Officer and recommends to Division Manager for approval	None	4 working days	Supervising Insurance Specialist
7. Review and approval of recommendation of Supervising Insurance Specialist	None	The Division Manager reviews and approves the recommendation of Supervising Insurance Specialist, and forwards the same to the Office of the Director I/II for Technical Services Group for signature	None	3 working days	Division Manager

8. Endorsement by the Office of the Director I/II – Technical Services Group to the Officer-in-Charge for Technical Services Group	None	Director I/II for Technical Services Group reviews the recommendation of the Division Manager and forwards the same to the Office of the Deputy Insurance Commissioner for Technical Services Group for signature	None	1 working day	Director II - Technical Services Group Director I - Technical Services Group
9. Endorsement by the Officer-in-Charge for Technical Services Group to the Office of the Insurance Commissioner	None	Officer-in-Charge for Technical Services Group reviews recommended action and forwards the same to the Office of the Insurance Commissioner for signature	None	2 working days	Officer-in-Charge - Technical Services Group
10. Signing of Approval/ Disapproval Letter	None	Insurance Commissioner signs Approval / Disapproval Letter and returns the same to the Actuarial Division	None	2 working days	Insurance Commissioner
11. Release of approval/ disapproval letter through the Records Section	None	If processing fees have already been paid by the Client, Action Officer forwards the signed Approval/ Disapproval letter to the Client and the Records Section	None	1 working day	Actuarial Staff, Insurance Specialist I, Insurance Specialist II, Senior Insurance Specialist
<b>TOTAL:</b>			See Schedule of Processing Fees	20 working days	

Notes:

- (1) The maximum processing time may be extended for another twenty (20) working days.
- (2) The Approval of Advertising Materials of Pre-need companies is covered under Section 18 of R.A. No 9829, otherwise known as Pre-Need Code.

▪ **Schedule of Processing Fees (Php)**

	<i>Amount (Php)</i>	<i>Legal Research Fund Fee (Php)</i>
<b>A. Life Insurance Products</b>		
1. New Plans/Riders/Forms		
a. Traditional Individual and group life insurance plans – permanent or term, regular or limited pay		
Basic Plan	35,000.00	350.00
Rider	15,000.00	150.00
b. Variable Life Insurance Plan – Regular Pay, Limited Pay		
Basic Plan	75,000.00	750.00
Rider	35,000.00	350.00
c. Contract Forms/Endorsements/Application and Other forms	5,000.00	50.00
2. Revision of Rates or Contract		
a. Traditional Individual and group life insurance plans – permanent or term, regular or limited pay		
Basic Plan	20,000.00	200.00
Rider	10,000.00	100.00
b. Variable Life Insurance Plan – Regular Pay, Limited Pay		
Basic Plan	35,000.00	350.00
Rider	20,000.00	200.00
c. Contract Forms/Endorsements/Application and Other forms	5,000.00	50.00
<b>B. Microinsurance products</b>	Fees shall be 50% of the above rates	1%
<b>C. Pre-need</b>		
1. Registration of pre-need plans (New and additional)	0.10% of the Contract Price (Exclusive of VAT)	1%
2. Pre-need plan price increase	5,000.00	50.00
3. Amendments to the registration statement, pre-need contracts or other documents (ACT)	5,000.00	50.00
4. Cancellation of registration of pre-need plans	5,000.00	50.00
5. Suspension and/or cancellation of permit to sell pre-need plans	5,000.00	50.00

6. Conversion of unsold approved pre-need plan from one type of plan to another existing previously approved plan	The higher of 25% of the Registration Fee for new application or 30,000	1%
7. Approval of Trust Agreement	5,000.00	50.00
D. Micro Pre-need products	Fees shall be 50% of the Pre-need rates	1%
E. Health Maintenance Organizations		
1. New Products, Riders, Endorsements/Forms		
a. Stand-alone product (per benefit)	20,000.00	200.00
b. Rider (per benefit)	10,000.00	100.00
c. ASO Agreement	7,500.00	75.00
d. Endorsement or other forms	5,000.00	50.00
2. Revision of Products, Riders, Endorsements/Forms		
a. Stand-alone product	10,000.00	100.00
b. Rider	5,000.00	50.00
c. HMO Agreement, ASO Agreement, Endorsement, other Forms or Actuarial Notes	5,000.00	50.00

The processing fees are not applicable to following processes:

1. Approval of advertising materials
2. Approval of innovations on distribution channels and payment schemes
3. Approval of change in valuation basis
4. Approval of change in policy loans interest rates
5. Approval of change in dividends scale and accumulation interest rates
6. Approval of promotional/campaign programs
7. Approval of marketing names in contract forms

## ***REQUEST FOR INFORMATION PERTAINING TO ACTUARIAL-RELATED ISSUES***

- **About the Service**

This service applies to the Queries pertaining to actuarial matters from the public.

- **Office/Division**

Actuarial Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

All

- **Requirement/s**

Checklist of Requirements	Where to secure
Transmittal Letter (1 original copy)	Provided by Client

- **Schedule of Availability of Service**

Mondays-Fridays (except holidays) 8:00 AM– 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of letter	The letter of request is submitted to the Actuarial Division.	The letter of request is received from the public.	None	4 hours	Actuarial Staff, Insurance Specialist I, Insurance Specialist II, Senior Insurance Specialist
2. Assignment of request		Supervising Insurance Specialist assigns the request to the Action Officer	None	4 hours	Supervising Insurance Specialist

3. Evaluation of request and preparation of letter-reply		Action Officer evaluates the request and prepares the a draft letter-reply	None	6 days	Actuarial Staff, Insurance Specialist I, Insurance Specialist II, Senior Insurance Specialist
4. Review of draft letter-reply of Action Officer		The Supervising Insurance Specialist reviews the draft letter-reply	None	4 days	Supervising Insurance Specialist
5. Review and approval of recommendation and draft letter-reply		The Division Manager reviews and approves the recommendation and draft letter-reply and provides additional recommendations, affixes the initials on the letter-reply, and forwards the same to the Office of the Director I/II for Technical Services Group for signature	None	3 days	Division Manager
6. Endorsement by the Office of the Director I/II – Technical Services Group to the Deputy Insurance Commissioner for Technical Services Group		Director I/II for Technical Services Group reviews the recommendation of the Division Manager and affixes initials on the letter-reply and forwards the same to the Officer-in-Charge for Technical Services Group for signature	None	1 day	Office of the Director II – TSG Office of the Director I – TSG
7. Endorsement by the Officer-in-Charge for Technical Services Group to the Office of the Insurance Commissioner		Officer-in-Charge for Technical Services Group reviews recommended action and affixes initials on the letter-reply and forwards the same to the Office of the	None	2 days	Officer-in-Charge for Technical Services Group



		Insurance Commissioner for signature			
8. Signing of letter-reply		Insurance Commissioner signs letter-reply and returns the same to the Actuarial Division	None	2 days	Insurance Commissioner
9. Release of letter-reply through the Records Section		The Action Officer forwards to the Records Section the letter-reply for delivery to the concerned parties.	None	1 day	Actuarial Staff, Insurance Specialist I, Insurance Specialist II, Senior Insurance Specialist
<b>TOTAL</b>			<b>None</b>	<b>20 working days</b>	

Note: The maximum processing time may be extended for another twenty (20) working days.



# Technical Services Group – Investments Services Division

## External Services



## ***APPROVAL OF REQUEST FOR LOCAL AND FOREIGN INVESTMENT BY ENTITIES REGULATED BY THE IC AND OTHER FINANCIAL INSTITUTIONS***

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### **▪ About the Service**

Approval of request for local and foreign investment by entities regulated by the IC and other financial institutions.

This process involves evaluation of the request for approval (maximum of five (5) similar types of investments) including but not limited to the following:

1. Mutual Funds
2. Unit Investment Trust Fund
3. Corporate Bonds/Notes
4. Foreign Currency Denominated Corporate Bonds or Stocks
5. Preferred/Common Stocks/REITs
6. Purchase of Real Properties
7. Valuation of Real Properties
8. Income Producing Properties
9. Electronic Data Processing
10. Derivatives
11. Funds (underlying for VUL Products)
12. Mortgage
13. Approval of IMA/Trust Agreement
14. Loan Facilities (Term Loan)
15. Long Term Negotiable Certificate of Deposit
16. Commercial Paper
17. Salary Loan to DepEd Teachers
18. Financial Assistance
19. Dividend Declaration
20. Loans to Partner MFIs (for MBAs)

### **▪ Office/Division**

Investments Service Division

### **▪ Classification**

Highly Technical

### **▪ Type of Transaction**

Government-to-Business (G2B)

### **▪ Who May Avail of the Service**

Regulated entities

Banks, Investment Houses and Other Financial Institutions

▪ **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
<b>1. Mutual Funds</b>	
▪ SEC Approval of the Mutual Fund	Securities & Exchange Commission (SEC)
▪ Prospectus/Fund Fact Sheet	Issuer
▪ Applicable credit rating (offshore)	Credit Rating Agency
<b>2. Unit Investment Trust Fund</b>	
▪ BSP Approval of the UITF	Bangko Sentral ng Pilipinas (BSP)
▪ Prospectus/Fund Fact Sheet/Declaration of Trust	Issuer
▪ Additional requirements for Pre-Need companies: CAMELS Rating of the Bank (refer to IC CL No. 2019-29)	Financial Institution managing the UITF
<b>3. Corporate Bonds/Notes</b>	
▪ Prospectus with indicative rates and tenor	Issuer
▪ Latest 3 years Audited F/S of the Issuer	Issuer
▪ Credit Rating	Credit Rating Agency
▪ SEC Approval	SEC
▪ Financial Ratios/Analysis and Risk Assessment	Issuer
<b>4. Foreign Currency Denominated Corporate Bonds or Stocks</b>	
▪ Prospectus	Issuer
▪ Latest 3 Year Audited F/S	Issuer
▪ Credit Rating	Credit Rating Agency
▪ SEC Approval	SEC
▪ Financial Ratios/Analysis and Risk Assessment	Issuer
▪ List of all foreign currency investments and corresponding amount as of the date of request (for IC regulated entities)	IC regulated entity requesting for approval/Client
<b>5. Preferred/Common Stocks/REITs</b>	
▪ Latest 3-Year Audited F/S	Issuer
▪ SEC Approval	SEC
▪ PSE Listing Approval	Philippine Stock Exchange (PSE)

<ul style="list-style-type: none"> <li>Financial Ratios/Analysis and Risk Assessment</li> </ul>	Issuer
6. Purchase of Real Properties	
<ul style="list-style-type: none"> <li>TCT/CCT in Company's Name</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>Board Resolution</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>Copy of Absolute Deed of Sale</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>All other terms and conditions of the purchase</li> </ul>	IC regulated entity requesting for approval/Client
7. Valuation of Real Properties	
<ul style="list-style-type: none"> <li>Appraisal Report by an appraisal company duly accredited by SEC</li> </ul>	SEC Accredited Asset Valuer/Appraiser
<ul style="list-style-type: none"> <li>Photocopy of TCT/CCT</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>Copy of last Appraisal Report</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>Latest real estate tax declaration</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>Latest real estate tax payment official receipt</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>Compounded Annual Growth Rate</li> </ul>	IC regulated entity requesting for approval/Client
8. Income Producing Properties	
<ul style="list-style-type: none"> <li>TCT/CCT in Company's Name</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>Copy of Absolute Deed of Sale</li> </ul>	IC regulated entity requesting for approval/Client

▪ Board Resolution	IC regulated entity requesting for approval/Client
▪ Statement of Rental Income/5-year Projected Income	IC regulated entity requesting for approval/Client
▪ Rental/Lease Contract	IC regulated entity requesting for approval/Client
▪ All other terms and conditions of the purchase	IC regulated entity requesting for approval/Client
9. Electronic Data Processing	
▪ Copy of Official Receipt/Proof of Acquisition	IC regulated entity requesting for approval/Client
▪ Summary of Purchased Equipment	IC regulated entity requesting for approval/Client
▪ Board Resolution	IC regulated entity requesting for approval/Client
▪ Aggregate amount of EDP as of the date of request	IC regulated entity requesting for approval/Client
10. Derivatives	
▪ Written request for approval stating objectives and proof that the company understands and able to manage risks	IC regulated entity requesting for approval/Client
▪ Duly accomplished questionnaire from IC (refer to IC CL No. 2015-56)	IC regulated entity requesting for approval/Client
▪ ISDA and CSA (if applicable)	IC regulated entity requesting for approval/Client
▪ Board Resolution	IC regulated entity requesting for approval/Client
11. Funds (underlying for VUL Products)	
▪ Statement of Investment Policy	IC regulated entity requesting for approval/Client

▪ List of Products that will be linked to the Fund	IC regulated entity requesting for approval/Client
▪ Prospectus/General Information/Features of the underlying asset	Issuer
▪ Pertinent regulatory approvals of the underlying asset	Relevant Regulatory Authority
▪ Latest 3 years Audited Financial Statements of the Issuer of the underlying asset	Issuer
▪ Financial ratios/analysis and Risk Assessment	IC regulated entity requesting for approval/Client
12. Mortgage Loan	
▪ Board Resolution	IC regulated entity requesting for approval/Client
▪ Mortgage Loan Contract and Loan Schedule	IC regulated entity requesting for approval/Client
▪ Appraisal report prepared by an appraisal company duly accredited by the SEC	SEC Accredited Asset Valuer/Appraiser
13. Investment Management Agreement / Trust Agreement	
▪ Board Resolution authorizing the placements under IMA/Trust Agreement; Secretary's Certificate	IC regulated entity requesting for approval/Client
▪ Pro-forma copy of the IMA/Trust Agreement	Investment Manager/Trustee Bank
▪ Additional requirement for Pre-Need companies: CAMELS Rating of the Bank (refer to IC CL No. 2019-29)	Investment Manager/Trustee Bank
14. Loan Facilities (Term Loan)	
▪ Issuer's Credit Rating	Credit Rating Agency
▪ Certificate of no event of default	Borrower
▪ Latest three (3) Years Audited Financial Statements of the Borrower	Borrower
▪ Notarized Certificate of No Default	Borrower
▪ Financial ratios/analysis and Risk Assessment	IC regulated entity requesting for approval/Client

15. Long Term Negotiable Certificate of Deposit	
▪ BSP Approval	BSP
▪ Latest three (3) Years Audited Financial Statements of the bank	Issuing Bank
▪ Financial ratios/analysis and Risk Assessment	IC regulated entity requesting for approval/Client
16. Commercial Paper	
▪ Credit Rating	Credit Rating Agency
▪ Three (3) Year Audited Financial Statements	Issuer
▪ Financial ratios/analysis and Risk Assessment	IC regulated entity requesting for approval/Client
17. Salary Loan	
▪ Board Resolution	IC regulated entity requesting for approval/Client
▪ MOA/ Terms and Conditions	IC regulated entity requesting for approval/Client
▪ Outstanding Balance of salary loan as of date of request	IC regulated entity requesting for approval/Client
18. Financial Assistance	
▪ Board Resolution approving the financial assistance	IC regulated entity requesting for approval/Client
▪ Terms and Conditions	IC regulated entity requesting for approval/Client
▪ Outstanding Balance of financial assistance allowed under IC CL No. 2014-20 as of date of request	IC regulated entity requesting for approval/Client
▪ Form of Security	IC regulated entity requesting for approval/Client
19. Dividend Declaration	
▪ Latest Approved Annual Statement	IC regulated entity requesting for approval/Client



<ul style="list-style-type: none"> <li>▪ Interim unaudited financial statements certified under oath by the President and Finance Officer</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>▪ Notarized Secretary's Certificate of the Board Resolution as of the reversal of restricted retained to unrestricted retained earnings (if applicable)</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>▪ Notarized Secretary's Certificate of no pending case of intra-corporate dispute</li> </ul>	IC regulated entity requesting for approval/Client
<ul style="list-style-type: none"> <li>▪ Sworn Statement signed by the President or Treasurer as required under Section 201 of the Insurance Code, as amended by RA 10607</li> </ul>	IC regulated entity requesting for approval/Client
<p>Additional requirement for Cash Dividend:</p> <ul style="list-style-type: none"> <li>▪ A list of assets to be converted, in case of insufficient cash available for distribution, certified under oath by the Treasurer</li> </ul>	IC regulated entity requesting for approval/Client
<p>Additional requirement for Stock Dividend:</p> <ol style="list-style-type: none"> <li>1. List of stockholders with their respective subscribed capital stock together with the allocation of stock certified under oath by the Corporate Secretary; and</li> </ol> <ul style="list-style-type: none"> <li>▪ Analysis of Capital Structure certified under oath by the Treasurer.</li> </ul>	IC regulated entity requesting for approval/Client
<p>Additional requirement for Property Dividend:</p> <ul style="list-style-type: none"> <li>▪ List of stockholders with their respective subscribed capital stock together with the allocation of property dividend certified under oath by the Corp. Secretary;</li> <li>▪ Detailed Schedule of the property account appearing in the Annual Statement; and</li> <li>▪ Certification by the President that the property/ies for dividend declaration is/are no longer needed in the operation of the company.</li> </ul>	IC regulated entity requesting for approval/Client
20. Loans to Partner MFIs (for MBAs)	
<ul style="list-style-type: none"> <li>▪ P.E.S.O. rating not lower than "2"</li> </ul>	Relevant Rating Authority
<ul style="list-style-type: none"> <li>▪ Type of qualified security under Section 204 of the Insurance Code, as amended by RA 201607</li> </ul>	IC regulated entity requesting for approval/Client

▪ Approval of Board of Trustees	IC regulated entity requesting for approval/Client
▪ Three (3) Year Audited Financial Statements	IC regulated entity requesting for approval/Client
▪ Loan Agreement	IC regulated entity requesting for approval/Client
▪ Financial ratios/analysis and Risk Assessment	IC regulated entity requesting for approval/Client

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Evaluate the electronic copy of the letter request and its documentary requirements.	Upload the electronic copy of the request and supporting documents on the ISD Portal.	Download and decrypt the letter request and documentary requirements. Notify the company of any issue/s and/or problem/s with regard to downloading and/or decrypting of request letter and documentary requirements uploaded on the ISD Portal.	None	2 days	ISD Staff/Insurance Specialist
2. Evaluate the request and prepare the appropriate recommendation.		Evaluates the financial condition of the entity and compliance with regulatory policies/laws. Prepares	None	5 days	Insurance Specialist

		transmittal letter/reply for review of the Supervising Insurance Specialist.			
3. Review, approve and affix signature on the letter and result of evaluation to be submitted to the Division Manager.		Reviews the evaluation on the request and recommends approval to the Division Manager.	None	3 days	Supervising Insurance Specialist
4. Review, approve and affix signature on the letter and result of evaluation and transmits the same to the TSG Director.		Reviews and approves the recommendation of Supervising Insurance Specialist. Transmits the recommendation to the TSG Director.	None	3 days	Division Manager
5. Review, approve and affix signature on the letter and result of evaluation. Transmits the recommendation to the Officer-in-Charge of the Technical Services Group.		Reviews and approves the recommendation of the Division Manager. Transmits the recommendation to the Officer-in-Charge of the Technical Services Group.	None	1 days	TSG Director
6. Review and approve the recommendation of the ISD.		Reviews the recommendation of ISD and issues an e-mail approval.	None	2 days	Officer-in-Charge of the Technical Services Group
7. Signing of letter-reply by the OIC of TSG		The ISD Staff/ Insurance Specialist will print the request letter, CSW, letter reply to company and e-mail approval of the Officer-in-	None	1 day	Officer-in-Charge of the Technical Services Group

		Charge of the Technical Services Group to affix the wet signature on the CSW after which the said documents will be transmitted to the Office of the Insurance Commissioner.			
8. Signing of letter-reply by the OIC of TSG Insurance Commissioner		Approval and signature of the Insurance Commissioner on the letter reply to company.	None	2 days	Insurance Commissioner
9. Receives the signed letter. The company will then be notified to proceed with the payment of the approval fee.		Sends e-mail notification to client/requesting entity to settle corresponding fee	None	3 hours	Insurance Commissioner/OC OM Staff and ISD Staff
10. Payment of corresponding fees	Client will proceed to the Cashier Section	Issuance of the Order of Payment	IMA – Insurance, MBA – Php10,100.00 IMA- Micro MBA – Php5,050.00 Banks/Financial Institutions Pre-approval Local – Php10,100.00 Banks/Financial Institutions Pre-approval Offshore –Php15,150.00 Investments by insurance companies Local – Php5,050.00 Investments by insurance companies Offshore – Php10,100.00 Trust Agreement Pre-Need companies – Php5,050.00	3 Hours	IC Cashier Section
11. Client receives the e-signed letter via	Client will present the official receipt to	Release of the e-signed letter via e-mail	None	2 hours	Insurance Specialist

e-mail settlement of applicable fees	after of	the personnel	ISD				
<b>TOTAL:</b>				Applicable fees as stated in Step No. 10		20 working days	

## ***APPROVAL OF REQUEST FOR WITHDRAWAL/PRE TERMINATION OF SECURITY DEPOSITS HELD TO MATURITY OF INSURANCE COMPANIES***

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- **About the Service**

Approval of request for withdrawal/pre-termination of security deposit held to maturity of insurance companies.

All insurance companies may request for the withdrawal/ pre-termination of security deposit held to maturity provided they will replace it with another government securities of equivalent amount or if they have excess security deposits.

- **Office/Division**

Investments Service Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

IC regulated entities

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to Secure</b>
A. Formal Letter of Request	Client
B. If the Replacement is in the form of Scripless Securities	
2.1 Confirmation of Outright Sale/ Confirmation Advice	Bank
2.2 Deed of Assignment	Client
2.3 Affidavit of Undertaking	Client
2.4 Summary of Transactions	IC/Bureau of Treasury
2.4 Portfolio Statement	IC/Bureau of Treasury
C. If the Replacement is Certificated	
3.1 Original Certificate of Government Securities	Bank
3.2 Deed of Assignment	Client
3.3 Affidavit of Undertaking	Client
3.4 Issue IC Certificate of Deposit	IC

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Validate the electronic copy of the letter request and its documentary requirements.	Upload the electronic copy of the request and supporting documents on the ISD portal.	Download and decrypt the letter request and documentary requirements. Notify the company of any issue/s and/or problem/s/additional/incomplete requirements/documents with regard to downloading and/or decrypting of request letter and documentary requirements uploaded on the ISD Portal.	None	2 1/2 days	ISD Staff/Insurance Specialist
2. Evaluate and process the request, if found in order.		Evaluates the outstanding security deposits of the company based on the applicable NRoSS statement, available worksheet and capital investment requirement. Prepares transmittal letter/reply for review of the Supervising Insurance Specialist.	None	7 days	Insurance Specialist
3. Review the letter and result of evaluation and affix signature before forwarding the		Reviews the evaluation on the request and recommends approval to the Division Manager	None	2 days	Supervising Insurance Specialist

same to the Division Manager					
4. Review, approve and affix signature on the letter and result of evaluation and transmits the same to the TSG Director.		Reviews and approves the recommendation of Supervising Insurance Specialist. Transmits the recommendation to the TSG Director.		2 days	Division Manager
5. Review, approve and affix signature on the letter and result of evaluation. Transmits the recommendation to the Officer-in-Charge of the Technical Services Group.		Reviews and approves the recommendation of the Division Manager. Transmits the recommendation to the Officer-in-Charge of the Technical Services Group.	None	2 days	TSG Director
6. Review and approve the recommendation of the ISD.		Reviews the recommendation of ISD and issues an e-mail approval.	None	2 days	Officer-in-Charge of the Technical Services Group
7. Signing of letter-reply by the OIC of TSG		The ISD Staff/ Insurance Specialist will print the request letter, CSW, letter reply to company and e-mail approval of the Officer-in-Charge of the Technical Services Group to affix the wet signature on the letter after which the said documents will be transmitted to the Office of the Insurance Commissioner	None	1 day	Officer-in-Charge of the Technical Services Group
8. Signing of letter-reply by the Insurance Commissioner		Approval and signature of the Insurance Commissioner on	None	2 days	Insurance Commissioner



		the letter reply to company.			
9. Client receives the e-signed letter via email		Release of the e-signed letter via e-mail	None	4 hours	Insurance Specialist
TOTAL:			None	20 working days	



# Technical Services Group – Rating Division

## External Services



## ***CERTIFICATION REQUESTED BY COURTS, LAW OFFICES, ETC. – BONDS/POLICIES***

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- **About the Service**

This process involves providing certification on the policy/bond issued by non-life insurance companies. IC Circular Nos. 2015-04 and 8-2000 require submission of reports of Bonds Issued in Favor of the Government and Judicial Bonds, respectively. This will involve retrieval of the consolidated files including the actual reports requested at the storage area, where the person in-charge will check one by one the lists filed.

- **Office/Division**

Rating Division

- **Classification**

Complex

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

Authorized representative of Courts, law offices, non-life insurance companies and the insuring public.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1. Letter Request (1 copy)	Requesting Party/Client or Company Representative
2. Proof of Payment (Official Receipt)	Requesting Party/Client or Company Representative

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Receipt of the Request and Issuance of Order of Payment	The client submits the letter request and necessary attachments to the Records-Receiving in the Records Section	The Records-Receiving receives the letter and proof of payment, then forwards the same to the Office of the Commissioner/ Deputy Commissioner -TSG then to the Rating Division.	None	1 day and 2 hours	General Records-Receiving
2. Assignment of the Request		The IC Division Manager assigns the report to the IC Supervising Insurance Specialist who assigns the same to the IC Insurance Specialist	None	1 hour	IC Insurance Specialist / IC Supervising Insurance Specialist / OIC / IC Division Manager
3. Retrieval of the Request Document		The IC Insurance Specialist retrieves the files from the storage area and check one by one from the reports submitted the requested bond/ policy. Photocopying of retrieve files, if needed	None	3 days	IC Insurance Specialist / IC Supervising Insurance Specialist
4. Preparation of Certification		Upon retrieval of the requested bond/ policy, the draft of Certification will be prepared	None	2 hours	IC Insurance Specialist
5. Review of the Certification		The IC Supervising Insurance Specialist reviews the prepared draft and submitted the same to IC Division Manager for final review	None	4 hours	IC Supervising Insurance Specialist / OIC / IC Division Manager
6. Signing of the Certification	None	The finalized Certification will be reviewed and initialed by the Director-TSG,	None	1 day and 4 hours	Director I/II /

		then to the Officer-in-Charge of TSG, for final approval/signature			Officer-in-Charge of TSG
7. Payment of Fees	The Client proceeds to the Cashier Section for payment	Cashier accepts payment whether in cash or in check and issues Official Receipt (OR)	Certification – Php 500.00 + Photocopy - Php10/page + Php200/ document and Php25/ page in excess of 5 pages	2 hours	Cashier Section
8. Releasing of the Certification		Said signed certification / photocopy of the retrieve files is released to the client	None	1 hour	IC Insurance Specialist
<b>TOTAL</b>			<b>Php10.00 / page for photocopy + Php200.00 / document and Php25/ page in excess of 5 pages</b>	<b>7 working days</b>	

**Notes:**

The Certification Requested by Courts, Law Offices, etc. – to determine if a particular Bond/Policy is issued/reported to Insurance Commission. This is covered under Section 437 of R.A. No. 10607, otherwise known as Amended Insurance Code.

The fees to be applied are based on Particular Nos. VIII.4, VIII.7 and VIII.8 in the Schedule of Fees, Charges and Penalties of IC Circular Letter No. 2014-15.

## ***CHANGES MADE BY THE INSURER ON ITS POLICY AND BOND FORMS***

- **About the Service**

This service provides approval of minor changes on the previously approved policy and bond forms, endorsement and ancillary forms, in accordance with IC Circular Letter No. 2015-12-C dated 24 March 2015.

- **Office/Division**

Rating Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Authorized Representatives of Non-Life Insurance Companies

- **Requirement/s**

Checklist of Requirements	Where to secure
1. Letter Request (1 copy)	Requesting Company – Head Office
2. Policy and Bonds Form including endorsement and ancillary forms subject for minor changes approval (1 copy)	Requesting Company – Head Office

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Letter Request	The client submits the letter request and necessary attachments to the Records-	The Records-Receiving receives the letter and forwards the same to the Office of the Commissioner/ Deputy Commissioner-TSG	None	1 day and 4 hours	General Records-Receiving

	Receiving in the Records Section	then to the Rating Division			
2. Assignment of the Letter Request		The IC Division Manager assigns the request to the IC Supervising Insurance Specialist who assigns the same to the IC Insurance Specialist	None	2 hours	IC Insurance Specialist / IC Supervising Insurance Specialist / OIC / IC Division Manager
3. Evaluation / Verification of the Letter Request		<p>The IC Insurance Specialist checks if the form was approved:</p> <p>a. if not, returns it to applicant and recommend to them to seek approval from Regulation, Enforcement and Prosecution Division (REPD)</p> <p>b. if yes, check the changes in the approved forms and at the same time verifies the provisions written on the policy/bond forms if it is the same with the approved form.</p> <p>If found in order, draft the letter of approval and submit the same to IC Supervising Insurance Specialist</p>	None	12 days	IC Insurance Specialist / IC Supervising Insurance Specialist
4. Review and recommendati on on the action taken & preparation of approval letter		The IC Supervising Insurance Specialist reviews the results of evaluation and forwards it to the IC Division Manager. The IC Division Manager makes the final review of the results, affixes her initial on the approval letter and recommends the same to the Director- TSG, then to the	None	3 days and 4 hours	IC Supervising Insurance Specialist / OIC / IC Division Manager / Director I/II

		Officer-in-Charge of TSG			
5. Approval of the recommended action		The Officer-in-Charge of TSG signs the approval letter and returns the signed/approved letter with attachments to the Rating Division	None	2 days	Officer-in-Charge of TSG
6. Release of approval letter		Said letter is released to the Records Section and forwarded to the client	None	4 hours	Administrative Aide; Records Section
<b>TOTAL</b>			<b>None</b>	<b>19 days and 6 hours</b>	

**Note:**

Prior approval of Policy and Bond Forms to be issued is required under Sections 232, and 437 of R.A. No. 10607, otherwise known as Amended Insurance Code., however, minor changes on previously approved policy and bond forms is covered under IC CL No. 2015-12-C.



## ***QUERIES REGARDING PREMIUM RATES APPLIED BY CERTAIN COMPANIES INCLUDING TARIFF RULES AND REGULATIONS***

### **About the Service**

This service helps insurance intermediaries and citizens to ascertain the correctness of rates imposed on them by certain insurance company including applicable tariff rules and regulations.

### **Office/Division**

Rating Division

### **Classification**

Highly Technical

### **Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Government (G2G)

### **Who May Avail of the Service**

Authorized Representative of Non-life insurance companies, intermediaries and the general public.

### **Requirement/s**

Checklist of Requirements	Where to secure
Letter Request (1 copy)	Requesting company

### **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

### **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Query Letter	The client submits the letter request and necessary attachments to the Records-Receiving in the Records Section	The Records-Receiving receives the letter and forwards the same to the Office of the Commissioner/ Deputy Commissioner-TSG then to the Rating Division	None	1 day and 4 hours	General Records-Receiving

2. Assignment of the Query Letter		The IC Division Manager assigns the report to the IC Supervising Insurance Specialist who assigns the same to the IC Insurance Specialist	None	4 hours	IC Insurance Specialist / IC Supervising Insurance Specialist / OIC / IC Division Manager
3. Evaluation / Verification / Computation of the Query Letter		The IC Insurance Specialist evaluates the queries on the accuracy of the premium rates applied including tariff rules and regulations. Upon determining that the rate/s submitted are in order, the IC Insurance Specialist prepares the approval letter and forwards it together with the results of evaluation to the IC Supervising Insurance Specialist. If there is a discrepancy on the rates applied, the person in-charge will prepare a letter requesting the company to submit a written explanation on the said queries.	None	10 days	IC Insurance Specialist
4. Review and recommendation on the action taken & preparation of approval letter		The IC Supervising Insurance Specialist reviews the results of evaluation and forwards it to the IC Division Manager. The IC Division Manager makes the final review of the results, affixes her initial on the approval letter and recommends the same to the Director-TSG, then to the Office of the Officer-in-Charge of TSG.	None	1 day	IC Supervising Insurance Specialist / OIC / IC Division Manager

5. Approval of the recommended action		The Director-TSG and the Officer-in-Charge of TSG reviews/initials and recommends for the approval of the letter and forwards the same to the Office of the Insurance Commissioner for his signature. The Office of the Insurance Commissioner returns the signed/approved letter to the Rating Division	None	6 days	Director I/II / Officer-in-Charge of TSG / Insurance Commissioner
6. Release of approval letter		Said letter is released to the Records Section and forwarded to the client	None	4 hours	Administrative Aide; Records Section
<b>TOTAL</b>			<b>None</b>	<b>19 working days and 4 hours</b>	

Note:

The Queries Regarding Premium Rates Applied by Certain Companies Including Tariff Rules and Regulations is covered under Section 365, 366, 437 of R.A. No. 10607, otherwise known as Amended Insurance Code.

***REQUEST FOR APPLICABLE PREMIUM RATES ON PASSENGER PERSONAL ACCIDENT INSURANCE (PPAI) BY THE LAND TRANSPORTATION FRANCHISING AND REGULATORY BOARD (LTFRB)***

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- **About the Service**

This service is pursuant to Sections 374 of the Amended Insurance Code (R.A. 10607) which provides that, “It shall be unlawful for any land-transportation operator or owner of a motor vehicle to operate the same in public highways, unless there is in force, in relation thereto, a policy of insurance or guaranty in cash or surety bond issued in accordance with the provisions of this chapter to indemnify the death, bodily injury and/or damage to property of a third party or passenger, as the case may be, arising from the use thereof.” On the otherhand, LTFRB was empowered by EO 202, Series of 1987; “to issue, amend, revise suspend or cancel Certificates of Public Convenience or permits authorizing the operation of public land-transportation services (that are) provided by motorized vehicles, and to prescribed the appropriate terms and conditions therefor.”, hence the Passenger Personal Accident Insurance (PPAI) Program was initiated.

In collaboration with PIRA, Inc., the premiums were computed based on the statistics submitted by the provider and presented to the transport groups and service providers thru a public hearing/consultation.

- **Office/Division**

Rating Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Citizen (G2C)  
Government-to-Government (G2G)

- **Who May Avail of the Service**

Authorized Representative of Non-Life Insurance Companies  
Authorized Representative of Land Transportation Franchising and Regulatory Board (LTFRB)  
Authorized Representative of Operators of Public Utility Vehicles.

- **Requirement/s**

Checklist of Requirements	Where to secure
Schedule of Benefits i.e. Amount of Accidental Death and Limits of Liability on Medical Expenses and Dismemberment	Insurance Companies

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Receipt of the Request	The client submits the request and necessary attachments to the Records-Receiving in the Records Section	The Records-Receiving receives the request and forwards the same to the Office of the Commissioner/Dep uty Commissioner-TSG, then to the Rating Division	None	1 day and 4 hours	General Records-Receiving
2. Assignment of the Report		The IC Division Manager assigns the report to the IC Supervising Insurance Specialist who assigns the same to the IC Insurance Specialist	None	2 hours	IC Insurance Specialist / IC Supervising Insurance Specialist / OIC / IC Division Manager
3. Evaluation and Verification of the Report		The IC Senior Insurance Specialist evaluates the available statistics. Upon determining that the statistics are in order, the IC Insurance Specialist makes a summary of the data gathered and computed the initial rates, then forwards it to the IC Supervising	None	3 days	IC Insurance Specialist / IC Supervising Insurance Specialist

		Insurance Specialist			
4. Review and Approval of the Letter		<p>The IC Supervising Insurance Specialist reviews the computed rates and forwards it to the IC Division Manager for final review then collaborates with PIRA, Inc. for further evaluation / computation of the final rates.</p> <p>The IC Division Manager forwards the final rates to the Director-TSG, then to the Officer-in-Charge of TSG with a recommendation for consultation with the transport groups and insurance providers to the Insurance Commissioner. After the consultation, recommends the final rates for approval of the Insurance Commissioner</p>	None	<p>9 days</p> <p>2 days</p> <p>2 days</p> <p>2 days</p>	<p>IC Insurance Specialist / IC Supervising Insurance Specialist / OIC / IC Division Manager</p> <p>Director I/II</p> <p>Officer-in-Charge of TSG</p> <p>Insurance Commissioner</p>
5. Release of Approval Letter		Said letter is released to the Records Section and forwarded to the client		2 hours	Administrative Aide; Records Section
<b>TOTAL</b>			<b>None</b>	<b>20 working days</b>	

NOTE: If the transport groups and/or service providers are not amenable with the recommended premium rates then, the Insurance Commissioner and PIRA, Inc. will again meet and discuss/resolve the issues raised to come up with another solution which will also be beneficial to all parties

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Re-evaluation of Premium Rates		Update the Director-TSG, Deputy Commissioner-TSG and Insurance Commissioner on the developments then meet again with PIRA, Inc. for another discussions, adjustments, reformulation of premium rates/benefits	None	12 days	IC Insurance Specialist / IC Supervising Insurance Specialist / OIC / IC Division Manager
2. Consultation with the Concerned Parties		Presentation of the revised rates to the transport groups and service providers	None	1 day	IC Insurance Specialist / IC Supervising Insurance Specialist
3. Review and Approval of Premium Rates		If all the concerned parties agreed with the recommended rates, the final premium rates/benefits will be forwarded to the Director-TSG then to the Officer-in-Charge of TSG for review, then to the Insurance Commissioner for final approval	None	2 days 2 days 2 days	Director I/II  Officer-in-Charge of TSG Insurance Commissioner
4. Approved Premium Rates		The approved premium rates will then be forwarded to LTFRB	None	4 hours	Administrative Aide; Records Section
<b>TOTAL</b>			<b>None</b>	<b>19 working days and 4 hours</b>	

Note:

The Queries Regarding Premium Rates Applied by Certain Companies Including Tariff Rules and Regulations is covered under Section 365, 366, 437 of R.A. No. 10607, otherwise known as Amended Insurance Code.

## ***REQUEST FOR APPROVAL OF PREMIUM RATES ON FIRE, AON AND MOTOR CAR POLICIES AS WELL AS BONDS***

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- **About the Service**

This service is pursuant to Sections 358, 366 and 367 of the Amended Insurance Code which requires every rating organization and non-life insurance company doing business in the Philippines to file the applicable premium rates based on the past and prospective loss experience for the approval of the Insurance Commissioner.

- **Office/Division**

Rating Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Authorized Representatives of Non-Life Insurance Companies  
Authorized Representatives of Philippine Insurers and Reinsurers Association, Inc. (PIRA)

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Letter request with recommended rates and/or rating plans for approval and statistical data for the last five (5) years prior to request including but not limited to:	Requesting Company – Head Office
1. Past and prospective loss experience (1 copy)	
2. Expenses and combined ratios	
3. Reasonable profit	
4. Commissions paid during the most recent annual period	
5. Proof of payment on the required fees (Official Receipt)	

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM



▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Presentation of the Request	The client presents the letter request and necessary attachments to the Rating Division	The Records-Receiving advises the client to proceed to the Rating Division to check if the required documents are complete including the preparation of Order of Payment	a. PIRA Php50,000.00 + Legal Research Fund Fee Php 500.00 = Php50,500.00  b. Individual Companies Php25,000.00 + Legal Research Fund Fee Php 250.00 Total Php25,250.00	1 hour	General Records-Receiving
2. Preparation of Order of Payment		The IC Insurance Specialist will prepare the Order of Payment for the required fees	None	1 hour	IC Insurance Specialist
3. Payment of Fees	The Client proceeds to the Cashier Section for payment	Cashier accepts payment whether in cash or in cheque and issues Official Receipt (OR)	See item 1	2 hours	Cashier Section
4. Receipt of Request Letter Including the Required Documents and Official Receipt	The client then presents the OR and other documents to the Records-Receiving	The letter request and required documents are forwarded to Records-Receiving and forwards the same to the Office of the Insurance Commissioner, Officer-in-Charge of	None	1 day and 2 hours	General Records-Receiving

		TSG then to the Rating Division			
5. Assignment of letter request		The IC Division Manager assigns the request to the IC Supervising Insurance Specialist who assigns the same to the IC Insurance Specialist	None	2 hours	IC Supervising Insurance Specialist / OIC / IC Division Manager
6. Evaluation / verification / computation of proposed rates		The IC Insurance Specialist evaluates the accuracy of the statistics submitted. If there is a need, the company is called upon to reconcile the submitted statistics and the evaluation/computation of the proposed rate/s. Upon determining that the rate/s submitted are in order, the IC Insurance Specialist prepares the approval letter or recommendation for collaboration with PIRA, Inc. Forwards it together with the results of evaluation to the IC Supervising Insurance Specialist	None	10 days	IC Insurance Specialist
7. Review and recommendation on the action taken & preparation of approval letter		<p>The IC Supervising Insurance Specialist reviews the results of evaluation / recommendation and forwards it to the IC Division Manager.</p> <p>The IC Division Manager makes the final review of the results / recommendation, affixes her initials and recommends the</p>	None	2 days	IC Supervising Insurance Specialist / OIC / IC Division Manager

		same to the Director-TSG and to the Officer-in-Charge of TSG			
8. Approval of the recommended action		The Director-TSG and the Officer-in-Charge of TSG recommends for the approval of the request and forwards the same to the Office of the Insurance Commissioner for his signature. The Office of the Insurance Commissioner returns the signed/approved letter with attachments, if any, to the Rating Division	None	1 day and 4 hours  2 days  2 days	Director I/II  Officer-in-Charge of TSG  Insurance Commissioner
9. Release of approval letter		Said letter is released to the Records Section and forwarded to the client	None	4 hours	Administrative Aide; Records Section
<b>TOTAL</b>			PIRA = Php50,500.00 Individual Companies = Php25,250.00	<b>20 days</b>	

NOTE: If during the collaboration with PIRA, Inc. a need for consultation with an Actuary was agreed upon, then, and Actuarial Consultant will be recommended to the Commissioner.

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Prepare a Memorandum		Prepares a memorandum to the Insurance Commissioner on the consultation with the Actuary	None	1 day	IC Insurance Specialist / IC Supervising Insurance Specialist / OIC / IC Division Manager
2. Review of Memorandum		Review of memorandum by IC Division Manager then to the Director-TSG and Officer-in-Charge of TSG then	None	2 days	OIC- IC Division Manager / Director I/II /

		to the Office of the Insurance Commissioner			Officer-in-Charge of TSG / Insurance Commissioner
3. Consultation with the Concerned Parties		If approved, discussion, reformulation, computation of applicable premium rates with PIRA and Actuarial Consultant	None	10 days	IC Insurance Specialist / IC Supervising Insurance Specialist / OIC / IC Division Manager
4. Review and Approval of Premium Rates		The final premium rates will be forwarded by the Rating Division to Director-TSG, Officer-in-Charge of TSG and Office of the Insurance Commissioner for final approval	None	1 day 4 hours 2 days 2 days	OIC / IC Division Manager Director I/II Officer-in-Charge of TSG Insurance Commissioner
5. Release of approval letter		Said letter is released to the Records Section and forwarded to the client	None	4 hours	Administrative Aide; Records Section
<b>TOTAL</b>			<b>None</b>	<b>19 days</b>	

Notes:

The Request for Approval of Premium Rates on Fire, AON and Motor Car Policies as well as Bonds is covered under Sections 358, 366 & 367 of R.A. No. 10607, otherwise known as Amended Insurance Code.

The fees to be applied are based on items a. and b. of Particular No. IV.10, in the Schedule of Fees, Charges and Penalties of IC Circular Letter No. 2014-15.



# Technical Services Group – Reinsurance Division

External Services



## ***APPROVAL OF FACULTATIVE PLACEMENTS ABROAD***

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- **About the Service**

This procedure covers the review and evaluation of requests of authorized insurance companies and reinsurance brokers for approval of their facultative placements abroad with unauthorized foreign reinsurers/brokers.

- **Office/Division**

Reinsurance Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Insurance and Reinsurance Companies / Brokers.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1. Transmittal Letter	Submitting Company
2. Checklist for the Approval of Facultative Reinsurance Placements Abroad	Circular Letter 2020-111: Annex A – Non-Life Insurance Companies Annex C – Life Insurance Companies
3. Copy of insurance/reinsurance policy/ies covering the subject risk	Submitting Company
4. Particulars of Application containing the following:  a. List of accepting companies showing their respective shares in terms of absolute amounts and percentage participation.  b. List of declining companies  c. List of unauthorized foreign reinsurers/brokers showing their respective shares in	Submitting Company

terms of absolute amounts and percentage participation.	
5. Copy of confirmation /acceptance letter from the unauthorized foreign reinsurer/broker, including signing pages of securities, indicating the name of assured, percentage rate of share and the corresponding policy number of the accepted risk.	Submitting Company
6. Consolidated List for the Approval of Facultative Placements Abroad	Circular Letter 2020-111: Annex B – Non-Life Insurance Companies Annex D – Life Insurance Companies
7. Deed of Undertaking	Circular Letter 2020-111: Annex E – Deed of Undertaking
8. Soft copy of documents submitted	Submitting Company

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Upload of Request	The company representative submits the requirements in the RID Uploading Portal for the approval of its facultative placement/s abroad	The Insurance Specialist/RI Staff will check if the company representative uploaded a request		½ working day	Reinsurance Staff  IC Insurance Specialist
2. Payment of corresponding Filing Fee	The company representative pays the corresponding filing fee to the Cashier Section.	The Insurance Specialist/RI staff checks/computes the total amount of fees to be paid and issues Order of Payment to the company. The company representative pays at the Cashier Section or	Filing Fee (Php 5,000.00)  Legal Research Fund (Php 50.00)	½ working day	Cashier

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
		ePayment System through the Link.BizPortal  The cashier accepts the payment and issues the Official Receipt.			
3. Decryption of Request		The Insurance Specialist /RI staff decrypts the report. Then, checks and verifies that all data and supporting documents are complete and in order.	None	2 hours	Reinsurance Staff  IC Insurance Specialist
4. Evaluation of Request and Preparation of draft Approval Letter		The Insurance Specialist/RI Staff checks/ verifies/ evaluates the request and the documents submitted and prepares the approval letter.  Insurance Specialist/RI Staff forwards the request to the IC Supervising Insurance Specialist thru email for further review and evaluation.	None	7 and ½ working days	Reinsurance Staff  IC Insurance Specialist
5. Review the result of evaluation and finalizing the approval letter		IC Supervising Insurance Specialist reviews the evaluation. If in order, recommends approval to the IC Division Manager thru email	None	2 working days	IC Supervising Insurance Specialist
6. Review and Approve the Recommendation of IC Supervising Insurance		Reviews all documents and if in order, approves the recommendation of IC Supervising	None	3 working days	IC Division Manager Reinsurance Division



STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
Specialist thru email		Insurance Specialist thru email			
7. Recommendation of Officer-in-Charge for Technical Services Group thru Email		Reviews the recommended action of the Division Manager thru email	None	4 working days	Officer-in-Charge - TSG
8. Signing of Approval Letter		The Insurance Specialist/RI Staff prints the approval letter and forwards it, including the attachments, to the Deputy Insurance Commissioner for Financial Examination Group for final approval. When signed, documents are returned to the Reinsurance Division	None	2 working days	Deputy Insurance Commissioner - FEG
9. Release of Approval Letter		The approval letter is forwarded to the Records Section for release.	None	2 hours	Reinsurance Staff
<b>TOTAL:</b>			<i>Php 5,050.00</i>	<i>20 working days</i>	

## ***APPROVAL OF REINSURANCE TREATY***

- **About the Service**

This procedure covers the review and evaluation of requests of authorized insurance companies for approval of their reinsurance treaties/agreements/cover notes/addenda/slips with unauthorized foreign reinsurers/brokers.

- **Office/Division**

Reinsurance Division

- **Classification**

Highly Technical

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Insurance and Reinsurance Companies / Brokers.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1. Transmittal Letter	Submitting Company
2. Reinsurance Program Template	Circular Letter 2018-57: Annex A – Non-Life Insurance Companies Annex B – Life Insurance and Reinsurance Companies
3. Plot Plan	Circular Letter 2018-57 – Annex C
4. Declination Letter if NatRe declined.	Submitting Company
5. Copy of signed treaty contract/ agreement of both parties indicating the percentage share of participation of the foreign unauthorized reinsurers/brokers	Submitting Company
6. Soft copy of documents submitted	Submitting Company

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Upload of Request	The company representative submits the requirements in the RID Uploading Portal for the approval of its reinsurance treaty	The Insurance Specialist/RI Staff will check if the company representative uploaded a request		½ working day	Reinsurance Staff  IC Insurance Specialist
2. Payment of corresponding Filing Fee	The company representative pays the corresponding filing fee to the Cashier Section.	The Insurance Specialist/RI staff checks/computes the total amount of fees to be paid and issues Order of Payment to the company. The company representative pays at the Cashier Section or ePayment System through the Link.BizPortal  The cashier accepts the payment and issues the Official Receipt.	Filing Fee (Php 5,000.00)  Legal Research Fund (Php 50.00)	½ working day	Cashier
3. Decryption of Request		The Insurance Specialist /RI staff decrypts the report. Then, checks and verifies that all data and supporting documents are complete and in order.	None	2 hours	Reinsurance Staff  IC Insurance Specialist
4. Evaluation of Request and draft Approval Letter		The Insurance Specialist/RI Staff checks/ verifies/ evaluates the request and the documents submitted and prepares the approval letter  The Insurance Specialist/RI Staff	None	7 and ½ working days	Reinsurance Staff  IC Insurance Specialist

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
		forwards the request to the IC Supervising Insurance Specialist for further review and evaluation.			
5. Review the Result of Evaluation and finalizing the approval letter		IC Supervising Insurance Specialist reviews the evaluation. If in order, recommends approval to the IC Division Manager thru email	None	2 working days	IC Supervising Insurance Specialist
6. Review and Approve the Recommendation of IC Supervising Insurance Specialist thru email		Reviews all documents and if in order, approves the recommendation of IC Supervising Insurance Specialist thru email	None	2 working days	IC Division Manager Reinsurance Division
7. Recommendation of the Officer-in-Charge for Technical Services Group thru email		Reviews the recommended action of the Division Manager thru email	None	4 working days	Officer-in-Charge - TSG
8. Signing of Approval Letter		The Insurance Specialist/RI Staff prints the approval letter and forwards it, including the attachment to the Deputy Insurance Commissioner for Management Support Services Group for final approval. When signed, documents are returned to the Reinsurance Division	None	3 working days	Deputy Insurance Commissioner - MSSG

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
9. Release of Approval Letter		The approval letter is forwarded to the Records Section for release.	None	2 hours	Reinsurance Staff
TOTAL:			Php 5,050.00	20 working days	



# Technical Services Group – Statistics and Research Division

## External Services



## ***REQUEST FOR CERTIFICATION ON THE PERFORMANCE OF INSURANCE COMPANIES AND BROKERS BASED ON CATEGORY AND YEAR-END***

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- **About the Service**

This service is to act on the requests from insurance companies and insurance/reinsurance brokers for certification on their performance (rankings) produced only by the Division based on various category and year-end.

- **Office/Division**

Statistics and Research Division

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)

- **Who May Avail of the Service**

Regulated Entities

- **Requirement/s**

Checklist of Requirements	Where to secure
Official/Formal letter of request	Requesting regulated entity/ies

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Assessment of letter of request and Issuance of Order Payment.	The Requestor submits to IC the official/formal letter of request.	The Action Officer assesses the letter of request and prepares order of payment.	Php 500.00 per Certification	1 day	Records – Receiving  Contract of Service Personnel / Insurance Specialist I / Insurance Specialists II / Senior Insurance Specialist / Supervising Insurance Specialist  Division Manager, Statistics and Research Division
2. Payment of Certification fee and receipt of the request at IC Receiving Section.	The Requestor pays the corresponding fee to the Cashier Section and submits the letter of request to the IC Receiving Section.	The Cashier accepts the payment and issues the Official Receipt. Online payment is also available.  The Records-Receiving receives the request then forwards it to the OCOM, then to Officer-in-Charge of TSG and assigns request to Statistics & Research Division (SRD).	None	4 hours	Cashier  Records-Receiving
3. Receipt of the request by the OCOM and TSG-DepCom and Assignment of Request to SRD.		The Division Manager assigns the request to Insurance Specialist as the Action Officer.	None	4 hours	Division Manager, Statistics and Research Division



					Contract of Service Personnel / Insurance Specialist I / Insurance Specialists II / Senior Insurance Specialist / Supervising Insurance Specialist
4. Preparation of Certification		<p>Action Officer drafts the Certification based on category and year requested as the Action Document.</p> <p>The Division Manager signs the certification.</p> <p>The Action Officer notifies the Requestor through phone or email on the pick-up schedule of the Action Document.</p>	None	4 hours	<p>Contract of Service Personnel / Insurance Specialist I / Insurance Specialists II / Senior Insurance Specialist / Supervising Insurance Specialist</p> <p>Division Manager, Statistics and Research Division</p>
5. Release of the Action Document	The Requestor receives the Action Document.	The Action Officer/ Insurance Specialist releases the Action Document.	None	4 hours	Contract of Service Personnel / Insurance Specialist I / Insurance Specialists II / Senior Insurance Specialist / Supervising Insurance Specialist
<b>TOTAL</b>			<b>Php 500.00 per certification</b>	<b>3 days</b>	

***REQUEST FOR CERTIFIED TRUE COPIES OF SUBMITTED REPORTS BY INSURANCE COMPANIES, MUTUAL BENEFIT ASSOCIATIONS FOR LEGAL/COURT PURPOSES***

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▪ **About the Service**

This service is to act on the requests from law firms and judicial courts for certified true copies of submitted reports to the SRD Division by insurance companies and mutual benefit associations for legal/court purposes.

▪ **Office/Division**

Statistics and Research Division

▪ **Classification**

Simple

▪ **Type of Transaction**

Government-to-Business (G2B)  
Government-to-Government (G2G)

▪ **Who May Avail of the Service**

Law firms and Judicial Courts

▪ **Requirement/s**

Checklist of Requirements	Where to secure
Official/Formal letter of request	Requesting entity/ies

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Assessment of letter of request and Issuance of Order Payment.	The Requestor submits to IC the official/formal letter of request.	The Action Officer assesses letter of request and prepares order of payment.	Php 10.00/ page for photocopy + Php200.00/document and Php25/page in excess of five (5) pages	1 day	Contract of Service Personnel/ Insurance Specialist I/ Insurance Specialists II/ Senior Insurance Specialist/ Supervising Insurance Specialist  Division Manager, Statistics and Research Division
2. Payment of the corresponding fee and receipt of the request at IC Receiving Section.	The Requestor pays the corresponding fee to the Cashier Section and submits the letter of request to the IC Receiving Section.	The Cashier accepts the payment and issues the Official Receipt. Online payment is also available.  The Records-Receiving receives the request then forwards it to the OCOM, then to Officer-in-Charge of TSG and assigns request to Statistics & Research Division (SRD).	None	2 hours	Cashier  Records-Receiving
3. Receipt of the request by the OCOM and TSG-DepCom and Assignment of Request to SRD.		The Division Manager assigns the request to Insurance Specialist as the Action Officer.	None	2 hours	Division Manager, Statistics and Research Division  Contract of Service Personnel/ Insurance Specialist I/

					Insurance Specialists II/ Senior Insurance Specialist/ Supervising Insurance Specialist
4. Preparation of Request		<p>The Action Officer photocopies/ reproduces the copies of document/s or submitted report/s as the Action Document.</p> <p>The Action Officer notifies the Requestor through phone or email on the cost and pick-up schedule of Action Document</p>	None	4 hours	Contract of Service Personnel/ Insurance Specialist I/ Insurance Specialists II/ Senior Insurance Specialist/ Supervising Insurance Specialist
5. Review and Approval		The Division Manager signs/certifies the photocopies of the document/s requested	None	4 hours	Division Manager, Statistics and Research Division
6. Release of the Action Document	The Requestor receives the Action Document.	The Action Officer/ Insurance Specialist releases the Action Document.	None	4 hours	Contract of Service Personnel/ Insurance Specialist I/ Insurance Specialists II/ Senior Insurance Specialist/ Supervising Insurance Specialist
<b>TOTAL</b>			<b>Php 10.00/page for photocopy + Php 200.00/ document and Php25.00/page in excess of five (5) pages</b>	<b>3 days</b>	

***REQUEST/QUERY FOR STATISTICAL REPORT PERTAINING TO INSURANCE, PRE-NEED AND HMO MATTERS NOT AVAILABLE IN THE IC WEBSITE***

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▪ **About the Service**

This service is to provide detailed statistical information on insurance, pre-need and HMO matters to requestors provided that such information is available within the Division's record but not publicly available in the IC Website subject to the approval of the Insurance Commissioner.

▪ **Office/Division**

Statistics and Research Division

▪ **Classification**

Highly Technical

▪ **Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)  
Government-to-Government (G2G)

▪ **Who May Avail of the Service**

Corporate Researchers  
IC Accredited Associations  
Regulated Entities  
Government Institutions/Entities  
Student Researchers

▪ **Requirement/s**

Checklist of Requirements	Where to secure
Official/Formal letter of request	Requesting entity  For students – endorsed by University Dean and/or professor

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

- **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. The Requestor sends the request via mail or email	The Requestor submits to IC the official/formal letter of request. If sent via email, scanned copy of the official/formal letter should be attached.	<p><b>Through Mail forwarded by the IC Records Section:</b> IC Receiving Clerk records the mail, forwards it to the Office of the Commissioner (OCOM), then to Officer-in-Charge of TSG and assigns the request to Statistics &amp; Research Division (SRD).</p> <p>The Action Officer receives the Request Document through Document Routing System.</p> <p><b>Through E-mail sent directly to the Division</b> The Action Officer forwards request to the Division Manager.</p>	None	<p>1 day</p> <p>4 hours</p>	<p>Records-Receiving</p> <p>Contract of Service Personnel/ Insurance Specialist I/ Insurance Specialists II/ Senior Insurance Specialist/ Supervising Insurance Specialist</p> <p>Division Manager, Statistics and Research Division</p>
2. Assignment of Task / Acknowledgement of Request		The Division Manager assigns the request to Insurance Specialist as the Action Officer.	None	1 day	<p>Division Manager, Statistics and Research Division</p> <p>Contract of Service Personnel/ Insurance Specialist I/ Insurance Specialists II/ Senior Insurance</p>

					Specialist/ Supervising Insurance Specialist
3. Preparation of Request/Letter /Memo		<p>The Action Officer gathers information, and/or collects data and statistics based on the requirement of the requestor.</p> <p>The Action Officer prepares the Action Document (e.g. covering letter/ explanations) using the outcome / outputs of the data collection</p>	None	10 days	Contract of Service Personnel/ Insurance Specialist I/ Insurance Specialists II/ Senior Insurance Specialist/ Supervising Insurance Specialist
4. Review and Approval		The Division Manager reviews the Action Document and endorses the same to the Office of the Director-I/II for Technical Services Group (TSG)	None	1 day	Office of the Director I / II for Technical Services Group (TSG)
5. Review and Approval - Office of the Director		The Office of the Director-I/II for TSG reviews the Action Document and endorses to the Deputy Insurance Commissioner the recommended Action Document	None	1 day	Office of the Director I / II for Technical Services Group (TSG)
6. Review and Approval – Deputy Insurance Commissioner for Technical Services Group		The Officer-in-Charge of TSG reviews the Action Document and endorses to the Insurance Commissioner.	None	2 days	Officer-in-Charge of TSG
7. Review and Approval - Insurance Commissioner		<p>The Insurance Commissioner approves the release of the Action Document.</p> <p><b>NOTE:</b> (The Action Document may be</p>	None	3 days	Insurance Commissioner

		<i>approved/released by Division Manager, Director/s of TSG and/or Deputy Ins. Commissioner if delegated by the Insurance Commissioner)</i>			
8. Recording and Releasing		The Action Officer sends an email to the Requestor and; a. Attaches the scanned and signed Action Document, and/or b. Notifies that the original printed and signed Action Document will be delivered via mail or courier	None	4 hours	Contract of Service Personnel/ Insurance Specialist I/ Insurance Specialists II/ Senior Insurance Specialist/ Supervising Insurance Specialist
<b>TOTAL</b>			<b>None</b>	<b>20 days</b>	





## **District Offices – IC Cebu District Office**

### **External Services**



## ***PROCESS OF HANDLING OF FORMAL COMPLAINTS***

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- **About the Service**

This service is being offered in filing claims and complaints against Insurance Companies, Pre-Need Companies, Mutual Benefit Associations and Health Maintenance Organizations.

- **Office/Division**

Cebu District Office

- **Classification**

Simple

- **Type of Transaction**

Government-to-Citizens (G2C)  
Government-to-Business (G2B)

- **Who May Avail of the Service**

All policyholders, plan holders, MBA members, and HMO members

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1. Statement of Claims; or	Insurance Commission – Cebu District Office
Verified Complaint	Prepared by complaining party's counsel
2. Certificate of Non-forum Shopping	Claimant
3. All annexes mentioned in the complaint, if any	Claimant
<i>Note:</i> <i>Statement of Claims for small claims amounting to Php 400,000.00 and below</i> <i>Verified Complaint for claims amounting to above Php 400,000.00 but not exceeding Php 5,000,000.00</i>	

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Presentation of the Verified Complaint or Statement of Claim	Client presents the following:  1. Verified complaint or statement of claim  2. Certification against non-forum shopping	Upon the filing of the complaint, the Commission shall determine whether the same is sufficient in form and substance.  If the complaint is not sufficient in form and substance, the Commission motu proprio refuse to accept it.	None	1 day	Division Manager
2. Submission of the Verified Complaint or Statement of Claim and Official Receipt for docket fee  <i>This step differs from the process of the IC Manila - Main Office since there is no Special Disbursing Officer in IC District Offices)</i>	Client submits the following: a. Verified complaint or statement of claim b. Certification against non-forum shopping c. All annexes mentioned in the complaint d. Official Receipt for docket fee	The Action Officer (AO) accepts the complete requirements in three (3) copies.  (3 copies for filing, the 4 <sup>th</sup> copy is the receiving copy of the complainant)		10 minutes	Action Officer: Senior Insurance Specialist/Insurance Specialist II
3. Record and Docketing of Complaint		The Action Officer assigns a unique docket number for the complaint and records the case in the docket book		5 mins	Legal Staff
4. Preparation and Review of Summons		AO prepares summons as instructed by the Division Manager.  The Senior Insurance Specialist reviews the summons then forwards to the Division Manager for signature.		1 day	Insurance Specialist II/Senior Insurance Specialist/Division Manager

5. Release signed Summons		Designated Process Server sends the summons to the concerned parties		1 day	Designated Process Server: Insurance Specialist II
<b>TOTAL:</b>			<b>See table below</b>	<b>3 days and 15 minutes</b>	

### **SCHEDULE OF LEGAL FEES**

<b>2022 Amendments to the 2014 Rules of Procedure Governing Trial and Hearing of Claims Cases Involving Insurance or Reinsurance Policies or Those Arising from Membership Certificates Issued by Mutual Benefit Associations, in the Insurance Commission</b> <b>(Rule 4, Section 1 of IMC No. 2022-01)</b>		
<i>Principal Amount Being Claimed</i>	<i>Docket Fee</i>	<i>Legal Research Fee (1%)</i>
More than PHP 400,000.00 but less than PHP 1,000,000.00	PhP 5,000.00	PhP 50.00
PHP 1,000,000.00 or more but less than PHP 2,000,000.00	PhP 10,000.00	PhP 100.00
PHP 3,000,000.00 up to PHP 5,000,000.00	PhP 15,000.00	PhP 150.00

<b>Rules of Procedure for Small Claims Cases in the Insurance Commission</b> <b>(Section 7 of Insurance Memorandum Circular No. 2016-01, as amended by 2020-01)</b>			
<i>Principal Amount being Claimed</i>	<i>Docket Fee</i>	<i>Legal Research Fee (1%)</i>	<i>Summons Fee</i>
Does not exceed PHP 100,000.00	Php1,000.00	PhP10.00	PhP1,000.00
Exceeds PHP 100,000.00, but does not exceed PHP 200,000.00	PhP2,000.00	PhP20.00	
Exceeds PHP 200,000.00, but does not exceed PHP 300,000.00	Php 3,000.00	PhP30.00	
Exceeds PHP 300,000.00, but does not exceed PHP 400,000.00	Php 4,000.00	PhP40.00	

<b>Rules of Procedure for Adjudication of Cases against Health Maintenance Organizations in the Insurance Commission</b> <b>(Rule V, Section 3 of Insurance Memorandum Circular No. 2017-01)</b>		
<i>Principal Amount being Claimed</i>	<i>Docket Fee</i>	<i>Legal Research Fee (1%)</i>
More than PhP400,000.00 up to PhP500,000.00	PhP5,000.00	PhP50.00
More than PhP500,000.00 up to PhP600,000.00	PhP6,000.00	PhP60.00
More than PhP600,000.00 up to PhP700,000.00	PhP7,000.00	PhP70.00
More than PhP700,000.00 up to PhP800,000.00	PhP8,000.00	PhP80.00
More than PhP800,000.00 up to PhP900,000.00	PhP9,000.00	PhP90.00
More than PhP900,000.00 up to PhP1,000,000.00	PhP10,000.00	PhP100.00
More than PhP1,000,000.00 up to PhP2,000,000.00	PhP15,000.00	PhP150.00
More than PhP2,000,000.00 up to PhP3,000,000.00	PhP20,000.00	PhP200.00
More than PhP3,000,000.00 up to PhP4,000,000.00	PhP25,000.00	PhP250.00
More than PhP4,000,000.00 up to PhP5,000,000.00	PhP30,000.00	PhP300.00
More than PhP5,000,000.00	PhP35,000.00	PhP350.00

## **CONDUCT OF AGENTS' QUALIFYING EXAM THROUGH THE AGENTS' COMPUTERIZED EXAMINATION (ACE) SYSTEM**

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- **About the Service**

The passing of examination is required of persons applying for issuance of license as insurance agents, if not otherwise exempt from taking the same. He/she must be of good moral character and must have never been convicted of any crime involving moral turpitude. He/she must satisfactorily show that he/she has been trained in the kind/s of insurance contemplated in the license applied for.

- **Office/Division**

Cebu District Office

- **Classification**

Simple

- **Type of Transaction**

Government-to-Citizens (G2C)

- **Who May Avail of the Service**

All individuals who have been duly registered by the insurance company representative in the Agents' Computerized Examination (ACE) System and who have paid the corresponding examination fee may avail of the service.

Duly registered individuals may secure their login username from their respective insurance company and must present this before the proctor on the day of the examination.

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Valid Government ID with photo	Examinee

- **Schedule of Availability of Service**

**The ACE System is conducted from every Tuesday to Friday with the following batches:**

Batch 1	08:30 AM to 09:30 AM
Batch 2	09:45 AM to 10:45 AM
Batch 3	11:00 AM to 12:00 NN
Batch 4	01:30 PM to 02:30 PM
Same Day Retake	03:00 PM to 04:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Verification	The Examinee proceeds to the IC Cebu Office for identity and payment verification by presenting a valid government-issued identification card and proof of payment of examination fee.	The Action Officer verifies the identity of examinees and payment of examination fee.	Examination Fee – Php1,010.00  <i>(Payment may be made through ePayment Portal of the Landbank of the Philippines not later than one (1) working day before the scheduled examination.)</i>	30 minutes	Action Officer
2. Examination Proper	The examinee proceeds to the Examination Room and takes the examination	The Assigned Proctor discusses examination rules and guidelines.	None	1 hour	Action Officer
3. Generation and Release of Examination Results	The Examinee finishes the Examination.	The Assigned Proctor prints out the Examination Results and issues the same to the examinee.	None	30 minutes	Action Officer
<b>TOTAL:</b>			<b>Php 1,010.00</b>	<b>2 hours</b>	

▪ **How to Avail of the Service (Same-day Retake)**

In case of failure to meet the passing score for the examination, the examinee has the option to retake the examination on the same day through the following procedure:

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESS-ING TIME</b>	<b>PERSON IN CHARGE</b>
1. Documentation of Request	The Examinee informs the Action Officer (AO) of his/her intention to retake the examination and presents the examination result.	The AO validates the examination result, generates the Order of Payment, and advises the examinee to pay the examination fee.	None	15 minutes	IC Administrative Assistant I/II  IC Administrative Aide I  Contract of Service Personnel
2. Payment of Fees	The Examinee proceeds to the Cashier for payment of examination fee and presents proof of payment to the AO.	The AO validates payment.  The AO instructs the Examinee to proceed to the Examination room.	Examination Fee – Php1,010.00	30 minutes	IC Administrative Assistant I IC Administrative Aide I IC Insurance Specialist II
3. Examination Proper	The Examinee proceeds to the Examination Room and takes the examination	The Assigned Proctor discusses examination rules and guidelines	None	1 hour	IC Insurance Specialist I  IC Administrative Assistant I
4. Generation and Release of Examination Results		The Assigned Proctor prints out the Examination Results and issues the same to the examinee	None	30 minutes	IC Insurance Specialist I  IC Administrative Assistant I
<b>TOTAL:</b>			<b>Php 1,010.00</b>	<b>2 hours and 15 minutes</b>	

## ***PROCESS OF HANDLING INFORMAL COMPLAINTS RECEIVED FROM WALK-IN COMPLAINANTS AND RECEIVED VIA MAIL OR E-MAIL***

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- **About the Service**

This service is being offered to those who visits the Insurance Commission and needs to be assisted and those complaints and queries sent via mail or e-mail concerning problems arising from contracts of insurance, pre-need and health maintenance organization (HMO) plans and reinsurance contracts by allowing them to file informal complaints against an insurer/reinsurer, pre-need company, health maintenance organization, mutual benefit association, agents or ant persons engaged in insurance business, sales counselor of pre-need companies, agents of health maintenance organization.

- **Office/Division**

Cebu District Office

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)  
Government to Citizens (G2C)

- **Who May Avail of the Service**

All

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
<i>In case of Non-life Insurance Complaints:</i> 1. Complainants Request for Assistance (CRA) for walk-in/simple letter complaint (For mail or e-mail) 2. Copy of the policy, if available 3. Copy of the Police Report/Traffic Accident Investigation Report, if available (Optional) 4. Copy of the denial letter, if there is any. (Optional)	IC Cebu District Office  Assured Police Station where the accident happened  Insurance Company



<i>In case of Life Insurance Complaints:</i> 1. Complainants Request for Assistance (CRA) for walk-in/simple letter complaint (For mail or e-mail) 2. Copy of the policy, if available 3. Copy of the denial letter, if there is any. (Optional) 4. Supporting documents, if there is any. (Optional)	IC Cebu District Office  Insured/Complainant/s Insured Insurance Company  Insured/Complainant/s
<i>In case of Pre-Need Complaints:</i> 1. Complainants Request for Assistance (CRA) for walk-in/simple letter complaint (For mail or e-mail) 2. Copy of the contract, if available 3. Copy of the Certificate of Full Payment, if available	IC Cebu District Office  Planholder/Complainant/s Planholder Planholder
<i>In case of Health Maintenance Organization (HMO) complaints:</i> 1. Complainants Request for Assistance (CRA) for walk-in/simple letter complaint (For mail or e-mail) 2. Copy of the contract, if available	IC Cebu District Office  Member/Complainant/s

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESSING TIME</b>	<b>PERSON IN CHARGE</b>
1. Documentation of the Complaint	Filing of complaints directly to IC Cebu Office or via mail or e-mail	<p>Assisting Officer (AO) interviews and asks for documents/evaluates the complaint, to give proper advice either to file a complaint or to explain the basis of the position of the company.</p> <p>If AO finds no basis in filing a complaint, the client is duly informed and the transaction is considered closed/terminated.</p> <p>If AO finds basis, the complainant fills up the Claimant's Request Assistance Form (CRA).</p> <p>Receives the CRA together with its attachments.</p> <p>In case of complainants sent through mail or e-mail, the Assigned Officer will assign the email to the Action Officer in charge per company.</p> <p>The AO shall sort them and encode in the Incoming and Complaints Registry</p>	None	4 hours and 30 minutes	Action Officer
2. Evaluation and Review		<p>Action Officer evaluates and reviews documents/emails. If a complaint lacks pertinent information or documents, AO sends a letter/email to the complainant for submission of needed information/documents.</p> <p>If the complaint involves complex issues, parties will be invited for an e-mediation/conciliation conference.</p> <p>If it contains simple issues, the AO refers to the company for</p>	None	3 days	All Action Officers (COS/Insurance Specialist I/Senior Insurance Specialist/Supervising Insurance Specialist)

		comment/follow-up, copy furnishing the complainant.			
3. Preparation of Referral Letter and/or Correspondence and Signing of Referral Letter and/or Correspondences		Prepares referral letter/notice of mediation/conciliation conference to be scheduled at least 2 weeks' notice.  The Division Manager reviews the letter and affixes his signature.	None	2 days, 1 hour and 30 minutes	All Action Officers (COS/Insurance Specialist I/Senior Insurance Specialist/Supervising Insurance Specialist)  Division Manager and/or Supervising Insurance Specialist
4. Recording and Releasing		The Assigned Personnel releases the signed Referral Letter/Notice of Mediation/Conciliation to the releasing section for delivery to the concerned parties. Referral letter/notice of e-mediation/conciliation conference may also be sent through e-mail	None	1 day and 2 hours	Administrative Aide II
<b>TOTAL:</b>			<b>None</b>	<b>7 days</b>	



## **District Offices – IC Davao District Office**

### **External Services**



## ***PROCESS OF HANDLING FORMAL COMPLAINTS***

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- **About the Service**

This service is being offered to assist clients in the filing of formal complaints against Insurance Companies, Pre-Need Companies, Mutual Benefit Associations and Health Maintenance Organizations.

- **Office/Division**

IC Davao District Office

- **Classification**

Simple

- **Type of Transaction**

Government-to-Citizen (G2C)  
Government-to-Business (G2B)

- **Who May Avail of the Service**

All policyholders, plan holders, MBA members, and HMO members

- **Requirement/s (4 copies)**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
1. Statement of Claims; or	Insurance Commission – Davao District Office
Verified Complaint	Prepared by complaining party's counsel
2. Certificate of Non-forum Shopping	Claimant
3. All annexes mentioned in the complaint, if any	Claimant
<i>Note:</i> <i>Statement of Claims for small claims amounting to Php 400,000.00 and below</i> <i>Verified Complaint for claims amounting to above Php 400,000.00 but not exceeding Php 5,000,000.00</i>	

- **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Presentation of the Verified Complaint or Statement of Claim	Client presents the following:  1. Verified complaint or statement of claim  2. Certification against non-forum shopping	Upon the filing of the complaint, the Commission shall determine whether the same is sufficient in form and substance.  If the complaint is not sufficient in form and substance, the Commission <i>motu proprio</i> refuse to accept it.	None	1 day	Division Manager
2. Submission of the Verified Complaint or Statement of Claim and Official Receipt for docket fee  <i>(This step differs from the process of the IC Manila - Main Office since there is no Special Disbursing Officer in IC District Offices.)</i>	Client submits the following:  a. Verified complaint or statement of claim  b. Certification against non-forum shopping  c. All annexes mentioned in the complaint, if any  d. Official Receipt for docket fee	The Action Officer (AO) accepts the complete requirements in three (3) copies.  <i>(3 copies for filing, the 4th copy is the receiving copy of the complainant)</i>	See Schedule of Legal Fees	10 minutes	Designated Records Custodian/ Senior Insurance Specialist
3. Recording and Docketing of Complaint		The AO assigns a unique docket number for the complaint and records the case in the docket book.	None	5 minutes	Designated Records Custodian/ Senior Insurance Specialist
4. Preparation and Review of Summons		The AO prepares summons as instructed by the Division Manager.  The Senior Insurance Specialist reviews the summons then forwards the same to	None	1 day	Division Manager

		the Division Manager for signature.			
5. Release of Summons		The AO sends summons to the concerned parties	None	1 day	Designated Records Custodian/ Senior Insurance Specialist
<b>TOTAL</b>			<b>See Schedule of Legal Fees</b>	<b>3 days and 15 minutes</b>	

#### **SCHEDULE OF LEGAL FEES**

<b>2022 Amendments to the 2014 Rules of Procedure Governing Trial and Hearing of Claims Cases Involving Insurance or Reinsurance Policies or Those Arising from Membership Certificates Issued by Mutual Benefit Associations, in the Insurance Commission</b> <b>(Rule 4, Section 1 of IMC No. 2022-01)</b>		
<i>Principal Amount Being Claimed</i>	<i>Docket Fee</i>	<i>Legal Research Fee (1%)</i>
More than PHP 400,000.00 but less than PHP 1,000,000.00	PhP 5,000.00	PhP 50.00
PHP 1,000,000.00 or more but less than PHP 2,000,000.00	PhP 10,000.00	PhP 100.00
PHP 3,000,000.00 up to PHP 5,000,000.00	PhP 15,000.00	PhP 150.00

<b>Rules of Procedure for Small Claims Cases in the Insurance Commission</b> <b>(Section 7 of Insurance Memorandum Circular No. 2016-01, as amended by 2020-01)</b>			
<i>Principal Amount being Claimed</i>	<i>Docket Fee</i>	<i>Legal Research Fee (1%)</i>	<i>Summons Fee</i>
Does not exceed PHP 100,000.00	PhP1,000.00	PhP10.00	PhP1,000.00
Exceeds PHP 100,000.00, but does not exceed PHP 200,000.00	PhP2,000.00	PhP20.00	
Exceeds PHP 200,000.00, but does not exceed PHP 300,000.00	PhP 3,000.00	PhP30.00	
Exceeds PHP 300,000.00, but does not exceed PHP 400,000.00	PhP 4,000.00	PhP40.00	

<b>Rules of Procedure for Adjudication of Cases against Health Maintenance Organizations in the Insurance Commission</b> <b>(Rule V, Section 3 of Insurance Memorandum Circular No. 2017-01)</b>		
<i>Principal Amount being Claimed</i>	<i>Docket Fee</i>	<i>Legal Research Fee (1%)</i>
More than PhP400,000.00 up to PhP500,000.00	PhP5,000.00	PhP50.00

More than PhP500,000.00 up to PhP600,000.00	PhP6,000.00	PhP60.00
More than PhP600,000.00 up to PhP700,000.00	PhP7,000.00	PhP70.00
More than PhP700,000.00 up to PhP800,000.00	PhP8,000.00	PhP80.00
More than PhP800,000.00 up to PhP900,000.00	PhP9,000.00	PhP90.00
More than PhP900,000.00 up to PhP1,000,000.00	PhP10,000.00	PhP100.00
More than PhP1,000,000.00 up to PhP2,000,000.00	PhP15,000.00	PhP150.00
More than PhP2,000,000.00 up to PhP3,000,000.00	PhP20,000.00	PhP200.00
More than PhP3,000,000.00 up to PhP4,000,000.00	PhP25,000.00	PhP250.00
More than PhP4,000,000.00 up to PhP5,000,000.00	PhP30,000.00	PhP300.00
More than PhP5,000,000.00	PhP35,000.00	PhP350.00



## **CONDUCT OF AGENTS' QUALIFYING EXAM THROUGH THE AGENTS' COMPUTERIZED EXAMINATIONS (ACE) SYSTEM**

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- **About the Service**

The passing of examination is required of persons applying for issuance of license as insurance agents, if not otherwise exempt from taking the same. He/she must be of good moral character and must have never been convicted of any crime involving moral turpitude. He/she must satisfactorily show that he/she has been trained in the kind/s of insurance contemplated in the license applied for.

- **Office/Division**

IC Davao District Office

- **Classification**

Simple

- **Type of Transaction**

Government-to-Citizen (G2C)

- **Who May Avail of the Service**

All individuals who have been duly registered by the insurance company representative in the Agents' Computerized Examination (ACE) System and who have paid the corresponding examination fee may avail of the service.

Duly registered individuals may secure their login username from their respective insurance company and must present this before the proctor on the day of the examination.

- **Requirements**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
Valid Government ID with photo	Examinee

- **Schedule of Availability of Service**

<b>Days</b>	<b>Batches</b>	<b>Time</b>	<b>Venue</b>
Tuesdays through Fridays	1 <sup>st</sup> Batch	8:30 A.M. to 9:30 A.M.	IC Davao District Office
	2 <sup>nd</sup> Batch	9:45 A.M. to 10:45 A.M.	

	3 <sup>rd</sup> Batch	11:00 A.M. to 12:00 NOON	
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▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Verification	The Examinee proceeds to the IC Davao Office for identity and payment verification by presenting a valid government-issued identification card and proof of payment of examination fee.	The Action Officer verifies the identity of examinees and payment of examination fee.	Php 1,010.00 – Examination fee  <i>(Payment may be made through ePayment Portal of the Landbank of the Philippines not later than one (1) working day before the scheduled examination.)</i>	30 Minutes	Action Officer/ Senior Insurance Specialist
2. Examination Proper	The Examinee proceeds to the Examination Room and takes the examination.	The Assigned Proctor discusses examination rules and guidelines.	None	1 hour	Assigned Proctor: Action Officer/ Senior Insurance Specialist
3. Generation and Release of Examination Results	The Examinee finishes the examination.	The Assigned Proctor printouts the Examination Results and issues the same to the examinee.	None	30 Minutes	Assigned Proctor: Senior Insurance Specialist / Insurance Specialist II
<b>TOTAL:</b>			<b>Php 1,010.00</b>	<b>2 hours</b>	

▪ **How to Avail of the Service (Same-day Retake)**

In case of failure to meet the passing score for the examination, the examinee has the option to retake the examination on the same day through the following procedure:

<b>STEP</b>	<b>CLIENT STEPS</b>	<b>SERVICE PROVIDED</b>	<b>FEES TO BE PAID</b>	<b>PROCESS-ING TIME</b>	<b>PERSON IN CHARGE</b>
1. Documentation of Request	The Examinee informs the Action Officer (AO) of his/her intention to retake the examination and presents the examination result.	The AO validates the examination result, generates the Order of Payment, and advises the examinee to pay the examination fee.	None	15 minutes	Action Officer/ Senior Insurance Specialist
2. Payment of Fees	The Examinee pays the examination fee via the Cashier or through ePayment Portal of the Landbank of the Philippines  After payment, the examinee presents proof of payment to the AO.	The AO validates payment.  The AO instructs the Examinee to proceed to the Examination room.	Examination Fee – Php1,010.00	30 minutes	Action Officer/ Senior Insurance Specialist
3. Examination Proper	The Examinee proceeds to the Examination Room and takes the examination	The Assigned Proctor discusses examination rules and guidelines	None	1 hour	Action Officer/ Senior Insurance Specialist
4. Generation and Release of Examination Results		The Assigned Proctor prints out the Examination Results and issues the same to the examinee	None	30 minutes	Action Officer/ Senior Insurance Specialist
<b>TOTAL:</b>			<b>Php 1,010.00</b>	<b>2 hours and 15 minutes</b>	

## ***PROCESS OF HANDLING INFORMAL COMPLAINTS RECEIVED FROM WALK-IN COMPLAINANTS AND RECEIVED VIA MAIL OR E-MAIL***

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- **About the Service**

This service is being offered to assist the insuring public regarding their concerns and/or queries arising from contracts of insurance, pre-need and health maintenance organization (HMO) plans and reinsurance contracts. This service also assist the insuring public in the filing of informal complaints against Insurance Companies, Pre-Need Companies, Mutual Benefit Associations and Health Maintenance Organizations and provide for a mechanism to resolve dispute or controversy through the process of mediation/conciliation.

- **Office/Division**

Davao District Office

- **Classification**

Simple

- **Type of Transaction**

Government-to-Business (G2B)  
Government to Citizens (G2C)

- **Who May Avail of the Service**

All

- **Requirement/s**

<b>Checklist of Requirements</b>	<b>Where to secure</b>
<i>In case of Non-life Insurance Complaints:</i> 1. Complainants Request for Assistance (CRA) for walk-in/simple letter complaint (For mail or e-mail) 2. Copy of the policy, if available 3. Copy of the Police Report/Traffic Accident Investigation Report, if there is any (Optional) 4. Copy of the denial letter, if there is any. (Optional)	IC Davao District Office  Assured Police Station where the accident happened Insurance Company

<i>In case of Life Insurance Complaints:</i> 1. Complainants Request for Assistance (CRA) for walk-in/simple letter complaint (For mail or e-mail) 2. Copy of the policy, if available 3. Copy of the denial letter, if there is any. (Optional) 4. Supporting documents, if there is any. (Optional)	IC Davao District Office  Insured/Complainant/s Insured Insurance Company  Insured/Complainant/s
<i>In case of Pre-Need Complaints:</i> 1. Complainants Request for Assistance (CRA) for walk-in/simple letter complaint (For mail or e-mail) 2. Copy of the contract, if available 3. Copy of the Certificate of Full Payment, if available	IC Davao District Office  Planholder/Complainant/s Planholder Planholder
<i>In case of Health Maintenance Organization (HMO) complaints:</i> 1. Complainants Request for Assistance (CRA) for walk-in/simple letter complaint (For mail or e-mail) 2. Copy of the contract, if available	IC Davao District Office  Member/Complainant/s

▪ **Schedule of Availability of Service**

Mondays–Fridays (except holidays) 8:00 AM – 5:00 PM

▪ **How to Avail of the Service**

STEP	CLIENT STEPS	SERVICE PROVIDED	FEES TO BE PAID	PROCESSING TIME	PERSON IN CHARGE
1. Documentation of the Complaint	Filing of complaint/s directly to IC Davao Office or via mail or e-mail	<p><b>If the complaint is from <i>walk-in clients</i>:</b></p> <p>Action Officer (AO) interviews and asks for documents/evaluates the complaint, to give proper advice either to file a complaint or to explain the basis of the position of the company.</p> <p>If AO finds no basis in filing a complaint, the client is duly informed and the transaction is considered closed/terminated.</p> <p><i>The AO prepares the CRA Form and receives the Letter-complaint and supporting documents in three (3) copies. (3 copies for filing, the 4th copy is the receiving copy of the complainant)</i></p> <p><b>If the complaint is through <i>e-mail</i>:</b></p> <p><i>The Action Officer (AO) shall prints the e-mail and attachments, accomplish the Claimant's Request for Assistance (CRA) Form and reproduce the document in three (3) copies.</i></p> <p><b>If the complaint is through <i>mail</i>:</b></p> <p><i>The AO shall sorts the letter and attachments, if any, accomplish the CRA Form and reproduce the document in three (3) copies.</i></p>	None	4 hours	Action Officer/ Senior Insurance Specialist

2. Evaluation and Review		<p><i>Division Manager reviews the complaint received to evaluate the succeeding steps to take.</i></p> <p><i>a. If a complaint lacks pertinent information or documents, Division Manager/ AO sends a letter/email to the complainant for submission of needed information/documents.</i></p> <p><i>b. If the complaint contains simple issues, a referral-letter shall be sent to the company for comment/follow-up, copy furnishing the complainant.</i></p> <p><i>b. If the complaint involves complex issues, parties will be invited for an e-mediation/conciliation conference.</i></p> <p><i>Mediator conducts face-to-face or virtual mediation/conciliation conference between the claimants and the respondent insurance/pre-need, HMO company or other regulated entities/persons, with the end view of pursuing the possibility of an amicable settlement of the complaint.</i></p>	None	1 day	Division Manager/ Action Officer
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3. Preparation of Referral Letter and/or Correspondence and Signing of Referral Letter and/or Correspondences		AO prepares Referral-letter/ Notice of Mediation/Conciliation conference to be scheduled at least 2 weeks' notice.  The Division Manager reviews the letter and affixes his signature.	None	1 day	<i>Action Officer/ Senior Insurance Specialist</i>
4. Recording and Releasing		The Assigned Personnel releases the signed Referral-Letter/Notice of Mediation/Conciliation for delivery to the concerned parties. Referral-letter/ Notice of Mediation/Conciliation conference may also be sent through e-mail.	None	1 day	<i>Action Officer/ Senior Insurance Specialist</i>
<b>TOTAL:</b>			<b>None</b>	<b>3 days and 4 Hours</b>	



# FEEDBACK AND COMPLAINTS MECHANISM

The Insurance Commission is committed to provide quality regulatory services to protect the insurance, pre-need and HMO customers. In order to develop and strengthen our services, your comments and suggestions are highly appreciated. Please let us know how we can serve and assist you better.

<b>HOW TO SEND FEEDBACK</b>	<p><b>THROUGH SMARTPHONE:</b></p> <ol style="list-style-type: none"> <li>1. Scan the Customer/Citizen Satisfaction Survey (CCSS) QR Code provided at the receiving area</li> <li>2. Accomplish the online CCSS form and ensure that all pertinent fields in the form are duly filled-up including the remarks section, if necessary and make sure the form is successfully submitted</li> </ol> <p><b>THROUGH E-MAIL:</b></p> <ol style="list-style-type: none"> <li>1. If your transaction is through e-mail, a link for the CCSS Form will be sent shortly after the transaction (<a href="https://bit.ly/3ryBoPH">https://bit.ly/3ryBoPH</a>). Link may change vary accordingly.</li> <li>2. Accomplish the online CCSS form and ensure that all pertinent fields in the form are duly filled-up including the remarks section, if necessary and make sure the form is successfully submitted</li> </ol> <p><b>THROUGH PEN AND PAPER:</b></p> <ol style="list-style-type: none"> <li>1. Accomplish the Customer Satisfaction Form provided by IC Personnel/Security Guards in the receiving area</li> <li>2. Ensure that all pertinent fields in the Customer Satisfaction Form are duly filled-up including the remarks section, if necessary.</li> <li>3. Submit the same to IC Personnel/ Security Guards in the Receiving Area.</li> </ol>
<b>HOW FEEDBACKS ARE PROCESSED</b>	<p>The Quality Management Team (QMT) Secretariat shall periodically collect the customer satisfaction forms for</p>

	<p>review of all customer satisfaction feedback, including remarks written by clients.</p> <p>The collective feedback shall be discussed by the QM with the IC Management Review Committee to form part of the process improvements of the agency.</p>
<b>HOW TO FILE A COMPLAINT</b>	<p>Fill up the Customer Complaint Form requested through the IC HR Division (HRD).</p> <p>The HR Personnel may assist the customer in filling up the form and ensure that all necessary information is provided including, but not limited to:</p> <ul style="list-style-type: none"> <li>•Date of receipt of complaint;</li> <li>•Customer Information;</li> <li>•Statement/nature of complaint.</li> </ul> <p>The client may also send a letter-complaint or email the complaint to HRD through <a href="mailto:hr@insurance.gov.ph">hr@insurance.gov.ph</a>. There is no need to fill up a customer complaint form if the complaint is sent through email or letter.</p>
<b>HOW COMPLAINTS ARE PROCESSED</b>	<p>The Complaints against an employee shall be referred to the concerned Division Manager or Deputy Insurance Commissioner.</p> <p>The Division Manager / Deputy Insurance Commissioner shall investigate the complaint upon evaluation of its validity. The results of the evaluation and/or the corrective actions taken to address the complaint shall be communicated to the client through their provided contact information.</p>
<b>CONTACT INFORMATION OF PRESIDENTIAL COMPLAINT CENTER, CONTACT CENTER NG</b>	<p>IC clients may also contact the following government hotlines:</p>

**BAYAN AND ANTI-RED TAPE  
AUTHORITY**

**8888** – Presidential Complaints Center

**0908-881-6565** – Contact Center ng Bayan

**complaints@arta.gov.ph or +632 8478-5093** – Anti-Red Tape Authority

*The Insurance Commission strives to uphold the strictest confidentiality possible when handling your data and information. All personal data that will be collected will comply with the provisions set in Republic Act 10173, otherwise known as the Data Privacy Act of 2012.*



**IC Citizens' Charter  
2022 (First Edition)**

