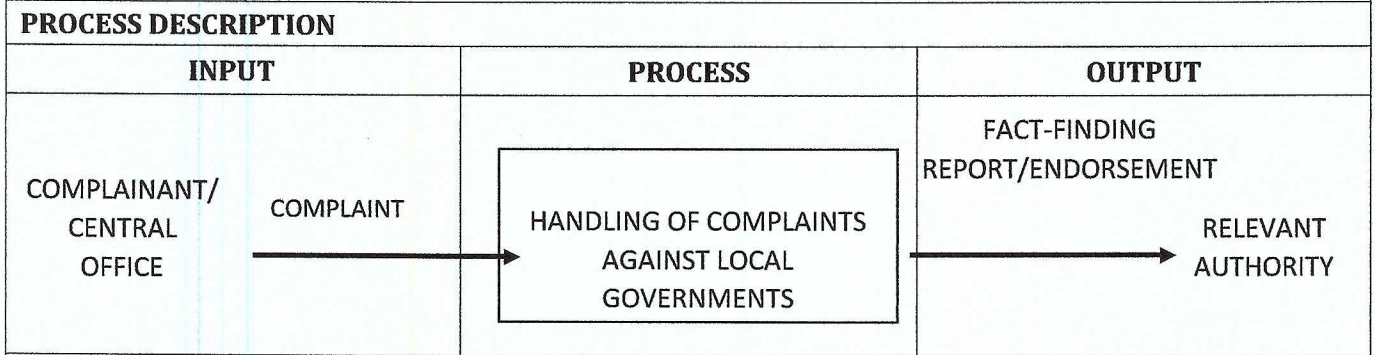




QUALITY PROCEDURE (QP)

Document Code		
QP-R12-ORD-26		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 5

PROCEDURE TITLE	HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS
SCOPE	The process shall commence from the receipt of the complaint up disposition of the complaint and submission of action taken thereon to the relevant authority.
PURPOSE	To provide clear and definite policy guidelines for handling of complaints against local government units or officials.



DESCRIPTIVE STATEMENT:

Upon receipt of complaints, a concrete and specific action shall be made within 72 hours from the receipt. This shall be forwarded to the Regional Director/Provincial/City Director/CLGOO of Cotabato City who shall provide instructions to the Legal Officer/Focal Person for action to be taken. Thereafter, a fact-finding directive or referral shall then be forwarded to the PO/agency.

Written report/reply by the recipients are then forwarded to the complainant or relevant authority as may be determined by the Regional Director/Provincial Director.

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
A. DISPOSITION OF THE COMPLAINT				
1	RECORDS SECTION (MUN/PO/CO/RO)	RECEIPT AND ROUTING OF COMPLAINT	<ul style="list-style-type: none"> Refer to the procedure <i>Handling of Incoming and Outgoing Communications</i> 	<ul style="list-style-type: none"> Routing Slip Complaint and/or Endorsement/Referral QP-R12-FAD-01
2	REGIONAL DIRECTOR/PROVINCIAL/CITY DIRECTOR/MLGOO	PROVISION OF INSTRUCTION/S	<ul style="list-style-type: none"> Upon receipt of the complaint/endorsement, forward to the Legal Officer/Focal person For MLGOO, proceed to Step 3 	
3	LEGAL OFFICER/FOCAL PERSON/MLGOO	EVALUATION OF COMPLAINT	<ul style="list-style-type: none"> Evaluate the complaint: <ol style="list-style-type: none"> If the Complaint is within the competence of other agencies/offices, prepare an Endorsement to appropriate office/agency 	Complaint Draft Endorsement





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			2. If complaint may be taken cognizance, draft Endorsement to PDs/CDs or MLGOO/ Technical Staff for fact-finding inquiry 3. For MLGOOs, if complaint cannot be acted without compromising security or safety, endorse to PD • Indicate reference number in the Endorsement and provide CO concerned office copy of the action taken	
4	ASSISTANT REGIONAL DIRECTOR/ PROGRAM MANAGER	REVIEW OF DRAFT AND RECOMMEND APPROVAL	• Review endorsement • If found complete and sufficient, shall affix initials and forward to the RD/PD/CD, otherwise, refer back to Legal Officer/Focal Person for appropriate action	
5	REGIONAL DIRECTOR/ PROVINCIAL/ CITY DIRECTOR	REVIEW AND APPROVAL OF REQUEST	• Review of the endorsement and proposed action • If found complete, affixes signature, otherwise, provides instructions to Legal or ARD for appropriate action	
6	RECORDS OFFICER	RELEASE OF ENDORSEMENT/ REFERRAL	• Refer to the procedure <i>Handling of Incoming and Outgoing Communication</i>	QP-R12-FAD-01
B. CONDUCT OF FACT-FINDING OR ACTION ON THE COMPLAINT				
1	RECORDS SECTION (MLGOO/PO/ CO/RO)	RECEIPT AND ROUTING OF COMPLAINT	• Refer to the procedure <i>Handling of Incoming and Outgoing Communications</i>	• Routing Slip Complaint and/or Endorsement/ Referral • QP-R12-FAD-01
2	LEGAL OFFICER/ PROGRAM	CONDUCT OF FACT-FINDING OR	• Upon receipt of the directive, act as instructed:	Endorsement Complaint





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
	MANAGER/ FOCAL PERSON/ MLGOO	ENDORSEMENT TO PROPER OFFICE	<ul style="list-style-type: none"> • FOR FACT-FINDING: <ul style="list-style-type: none"> • Observe guidelines for the conduct of fact-finding investigations; • Attach gathered documents/ annexes in the report, if any • Indicate reference number of the complaint • Submits fact-finding report to PO <p>For Referrals:</p> <ul style="list-style-type: none"> • Forwards the endorsement/referral letter to the LGU for their action • Actions taken by LGU may be submitted to the Regional Office • After the endorsement/fact-finding, submit a written report to the next higher supervisor of the actions taken • For Fact-finding reports, use the template in Unnumbered Memorandum dated 01 April 2008 	
3	RECORDS SECTION (MLGOO/PO/CO/RO)	RECEIPT AND ROUTING OF COMPLAINT	<ul style="list-style-type: none"> • Refer to the procedure <i>Handling of Incoming and Outgoing Communications</i> 	<ul style="list-style-type: none"> • Routing Slip Complaint and/or Endorsement/Referral • QP-R12-FAD-01
4	REGIONAL DIRECTOR/ PROVINCIAL DIRECTOR	PROVISION OF INSTRUCTION	<ul style="list-style-type: none"> • Refer Fact-finding report/reply to the Legal Officer/focal person/Program Manager for review 	<ul style="list-style-type: none"> • Fact-Finding Report and Annexes, if any
5	LEGAL OFFICER/ PROGRAM MANAGER/ FOCAL PERSON	EVALUATE REPORT/REPLY	<ul style="list-style-type: none"> • Check attachments and review sufficiency of the report 	<ul style="list-style-type: none"> • Fact-Finding Report and Annexes, if any/ Reply





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<ul style="list-style-type: none"> Return the report to MLGOO or technical staff concerned if report is found insufficient For reply of referrals, prepare draft endorsement to the relevant authority 	
6	ASSISTANT REGIONAL DIRECTOR	REVIEW AND RECOMMEND APPROVAL	<ul style="list-style-type: none"> Reviews endorsement and draft report Refer back to Legal Officer for appropriate action if warranted 	<ul style="list-style-type: none"> Draft Fact-finding Report and Annexes Draft Transmittal Supplemental report if any
7	REGIONAL DIRECTOR	APPROVAL OF THE FACT-FINDING REPORT	<ul style="list-style-type: none"> Review and approve the Fact-Finding Report Refer back report to ARD or Legal officer if needed 	<ul style="list-style-type: none"> Fact-finding Report and Annexes
8	RECORDS SECTION	RELEASE OF FACT-FINDING REPORT	<ul style="list-style-type: none"> Those confidential in nature are directly sent thru mail Furnish Complainant of the Endorsement and Relevant Offices of the report Refer to the procedure Handling of Incoming and Outgoing Communication 	<ul style="list-style-type: none"> QP-R12-FAD-01
9	Process Owner	Retain records	<ul style="list-style-type: none"> Update the Process Summary Log Sheet Retain records in accordance with the Control of Retained Documented Information Procedure 	<ul style="list-style-type: none"> Process Summary Log Sheet Control of Documented Information Procedure Masterlist of Retained Documented Information

Definition of Terms:

- Fact-finding – pertains to gathering/assembling of facts and/or documents relative a particular issue or concern
- Relevant authority – pertains to any Office/Agency from which the request originated or any Office which may appropriately address the complaint or report






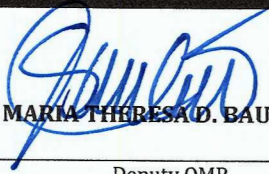

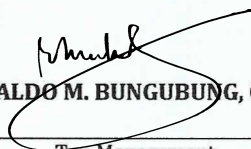
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DILG - REGION 12 (SOCCSKSARGEN)

QUALITY PROCEDURE (QP)

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References:

- Unnumbered Memorandum dated 01 April 2008
- Circular No. 2017-23 dated October 11, 2017
- Local Government Code of 1991
- Administrative Code of the Philippines

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Process Owner	Deputy QMR	Regional QMR	Top Management		





Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

**QUALITY
OBJECTIVE (QO)**

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OFFICE	OFFICE OF THE REGIONAL DIRECTOR – LEGAL UNIT
QUALITY PROCEDURE TITLE	HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS

Function	Key Performance Indicators (KPIs)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
<ul style="list-style-type: none"> • Handling of Complaints against Local Governments 	<ul style="list-style-type: none"> • Complaints acted within 3 days from receipt 	100%	Timeliness: No. of requests received for the month acted within 3 days from receipt ----- X 100% No. Of requests received for the month	Monthly	<ul style="list-style-type: none"> • Legal Officer/Focal Person 	<ul style="list-style-type: none"> • QME, QPSL
	<ul style="list-style-type: none"> • Fact-finding reports/reply submitted to RA within 5 days from receipt 	100%	Timeliness: No. of Fact-finding reports/reply submitted ----- X 100% No. of complaints Received due for the month	Monthly	<ul style="list-style-type: none"> • Legal Officer/Focal Person 	<ul style="list-style-type: none"> • QME, QPSL

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**QUALITY
OBJECTIVE (QO)**

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**PROCESS QUALITY MONITORING AND
 EVALUATION (QME)**

Document Code		
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OFFICE	OFFICE OF THE REGIONAL DIRECTOR – LEGAL UNIT
PROCEDURE TITLE	HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS
OBJECTIVE STATEMENT	1. 100% of Complaints acted within 3 days from receipt 2. 100% of Fact-finding reports/reply submitted to RA within 5 days from receipt
CURRENT PERIOD	

INDICATORS		JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL
Objective 1: 100% of Complaints acted within 3 days from receipt														
A	Number of requests received due for the month acted within three days from receipt													
B	No. of requests received due for the month													
C	Formula: $\frac{A}{B} \times 100$ Target Result : 100%													
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)													
Objective 2: 100% of Fact-finding reports/reply submitted to RA within 5 days from receipt														
A	Number of fact-finding reports/reply submitted within five days from receipt													
B	No. of requests received due for the month													
C	Formula: $\frac{A}{B} \times 100$ Target Result : 100%													
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)													

Note: For unmet targets, concerned QMS Secretariat to initiate correction and corrective action using the Corrective Action Report (CAR) and attach it to this form.

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**PROCESS QUALITY MONITORING AND
 EVALUATION (QME)**

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Process Owner	Deputy QMR

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Republic of the Philippines
DILG - REGION 12 (SOCCSKSARGEN)

HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS Process Summary Logsheets (PSL)

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QUALITY OBJECTIVE: 1. 90% of Complaints acted within 3 days from receipt
2. 90% of Fact-finding reports/reply submitted to RA within 5 days from receipt

FREQUENCY OF MONITORING: **Monthly**

COVERED PERIOD:

Due Date of Submission:

No.	Control No.	Particulars	OBJECTIVE NO. 1 RESULTS						OBJECTIVE NO. 2 RESULTS								
			Date Received Records Officer	Date forwarded to field office	No. of days (Target=3 WD)	Met	Unmet	Remarks, if unmet	Date Received from field office by Records Officer	Date forwarded to RA	No. of days (Target =5 WD)	Status	Met	Unmet	Remarks, if unmet		
TOTAL																	

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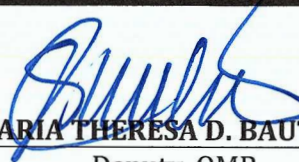
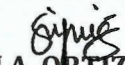


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HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS

Process Summary Logsheet (PSL)

Document Code		
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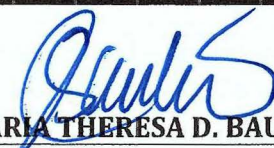
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Division: **OFFICE THE REGIONAL DIRECTOR – LEGAL UNIT**

MASTER LIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS									
QME-QP-R12-ORD-26	Quality Monitoring and Evaluation (QME): HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS	FOCAL PERSON	Records Cabinet	QMS FOLDER	Sequentially	As needed	2 years from revision		Shredding
FM-QP-R12-ORD-26-01	HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS (PSL) Process Summary Logsheets	FOCAL PERSON	Records Cabinet	QMS FOLDER	Sequentially	As needed	2 years from revision		Shredding
	Fact-finding Report	FOCAL PERSON	Records Cabinet	FFI FOLDER	Sequentially	5 yrs	5 yrs	10 yrs	Shredding
	Endorsement/Transmittal	FOCAL PERSON	Records Cabinet	FFI FOLDER	Sequentially	5 yrs	5 yrs	10 yrs	Shredding

Prepared by: <div style="text-align: center;">  ATTY. MICHELLE ANNE P. VIEJO Process Owner </div>	Noted by: <div style="text-align: center;">  MARIA THERESA D. BAUTISTA Deputy QMR </div>
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Division: **OFFICE OF THE REGIONAL DIRECTOR – LEGAL UNIT**

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS							
	Administrative Code of the Philippines						
	Republic Act No. 6975						
	DILG Unnumbered Memorandum dated 01 April 2008						
	DILG Unnumbered Memorandum dated 08 May 2012						

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 CATHERINE A. MACION Regional Document Controller	 MARIA THERESA D. BAUTISTA Deputy QMR





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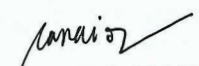

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MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS							
QP-R12-ORD-26	Quality Procedure (QP): HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS	10.01.17					
QO-QP-R12-ORD-26	Quality Objective (QO): HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS	10.01.17					
QME-QP-R12-ORD-26	Quality Monitoring and Evaluation (QME):HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS	10.01.17					
FM-QP-R12-ORD-26-01	Process Summary Logsheets (PSL): HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS	10.01.17					
FM-SP-R12-03A-01	Masterlist of Internal Documents	10.01.17					
FM-SP-R12-03B-01	Masterlist of External Documents	10.01.17					
FM-SP-R12-03C-01	Masterlist of Retained Documented Information	10.01.17					
FM-SP-R12-02-01A	Risk Register (Objectives): HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS	10.01.17					
FM-SP-R12-02-01B	Risk Register (Process Steps): HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS	10.01.17					

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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR – LEGAL UNIT**
 PROCEDURE: **HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS**

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES (refer to IP Matrix for Requirements)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT							RISK CONTROL PLAN				
							IMPACT	LIKELIHOOD	DETECTION	RATING	RISK LEVEL (L, M, H)	S, NS	RISK CONTROL ACTION	RPN (Risk Priority No.)	ACTION PLAN (If risk rating is significant)	RESPONSIBLE	TIMELINE	RESOURCE
Act on all requests for fact-finding investigations	1. Volatile peace and order situation; RIDO among clans	Complainant, Respondent, Civil Service Commission, Presidential Management Staff, Office of the President	1. Danger to life and limbs of the Field/technical personnel and of the complainant; Delayed action on the request	Prevailing factions between political personalities; Adverse report on peace and order situation; Leak of confidential information	1. Loss or damage to life or limbs and/or property of Field Personnel and of the complainant 2. Hesitation on the Field Personnel to thoroughly conduct fact-finding investigation; Hostile attitude of respondent toward field personnel	1. Referral of sensitive matters to appropriate agency; 2. Discreet fact-finding; 3. Guidelines issued on Proper Handling of Confidential Information; Advice to RO by Field in case of perceived security risk	5	3	2	30	M	NS	ALERT	2	NA	NA	NA	NA
	5						3	2	30	M	NS	ALERT	2	NA				
Fact-finding reports submitted within 30 days from receipt	2. Abuse of mechanisms for accountability of local officials; Political factions between the Executive and Legislative Branches in the LGU		2. Improper use of the mechanism for accountability	Misrepresentation of facts obtained during investigation	Unnecessary court action against respondent	Review by Legal Officer of the Fact-finding Report prior to submission	3	3	3	27	M	NS	ALERT	2	NA	NA	NA	NA
	5						5	2	50	H	S, NS	CONTROL	1	Train understudy/Hire assistant	Top Mgt	2nd Qtr 201	Salary	
	3. Multiple and simultaneous activities conducted	Delayed submission of Fact-Finding Report		Focal person/process owner is on travel or is on sick leave	Non-compliance to QMS standards	Memorandum issued to PD/CD to follow-through request												
	4. No under study/alternate																	
RISK ASSESSMENT:			RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED												
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme			1 - 25	LOW	Not Significant	No further action required (Retain risk by informed decision)												3
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain			26-40	MODERATE	Not Significant	Alert level but no further action required for now												2
DETECTION 1 - Very likely, 2 - Likely; 3 - Low, 4			>40	HIGH	Significant	Control (e.g. Treat/Mitigate Transfer, Terminate)												1
Risk Rating = Impact X Likelihood X Detection																		





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			 REYNALDO M. BUNGUBUNG, CESO IV Regional Director





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RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: **OFFICE OF THE REGIONAL DIRECTOR – LEGAL UNIT**
 PROCEDURE: **HANDLING OF COMPLAINTS AGAINST LOCAL GOVERNMENTS**

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT								RISK CONTROL PLAN			
					IMPACT	LIKELIHOOD	DETECTION	RATING	RISK LEVEL (L, M, H)	S, NS	RPN (Risk Priority No.)	RISK CONTROL ACTION	ACTION PLAN (if risk rating is significant)	RESPONSIBLE	TIMELINE	RESOURCE
INITIAL REVIEW AND INSTRUCTION	Delayed referral to the Process owner	Authorized signatory is on-travel	Non-compliance to the QMS Standards; Non-compliance to directive of the originating agency	RO designating alternate approver	4	3	1	12	L	NS	3	NA	NA	NA	NA	NA
										L	NS	3	NA	NA	NA	NA
PREPARATION OF ENDORSEMENT	Delayed preparation of draft endorsement	Multiple, simultaneous activities; Process owner on sick leave/On-travel; Voluminous transactions for disposal by the focal person		Notice to the Process Owner of the directive	4	3	1	12	L	NS	3	NA	NA	NA	NA	NA
APPROVAL OF THE ENDORSEMENT	Delayed approval of the Endorsement	Authorized signatory is on-travel		RO designating alternate approver	4	3	1	12	1	NS	3	NA	NA	NA	NA	NA
CONDUCT OF FACT FINDING INVESTIGATION	Delayed conduct of fact-finding	PD/FO of the Memorandum/Order on-travel or on sick leave		Time allowance allotted for thw implementation of the Memorandum/Order	4	4	2	32	M	NS	2	ALERT	NA	NA	NA	NA
	Danger to life and limbs	Adverse findings; leak of confidential report	Loss or damage to life, limbs and/or property	Coordination with PNP and/or AFP; referral to proper agency	5	3	2	45	M	NS	2	ALERT	NA	NA	NA	NA
				Guidelines for proper handling of Fact-finding investigations	4	3	2	24	L	NS	3	NA	NA	NA	NA	
Insufficient report	Insufficient data/records available	Request for re-investigation by CO/RO	None	5	2	1	10	L	NS	3	NA	NA	NA	NA	NA	
SUBMISSION OF FACT FINDING REPORT	Delayed submission of Fact-finding report	Multiple, simultaneous activities; Process owner on sick leave/On-travel	Non-compliance to the QMS Standards	Immediate notice to the Process Owner of the directive	5	4	1	20	L	NS	3	NA	NA	NA	NA	NA
		Insufficient information/documents gathered		Time allowance for the submission of report	4	4	2	32	M	NS	2	ALERT	NA	NA	NA	NA
RISK ASSESSMENT:		RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED							RPN				
IMPACT:		1-Insignificant; 2-Minor; 3-	1 - 25	LOW	Not Significant							No further action required (Retain risk by informed decision)	3			
LIKELIHOOD:		1-Rare; 2-Unlikely; 3-	26-40	MODERATE	Not Significant							Alert level but no further action required for now	2			
DETECTION		1 - Very likely, 2 - Likely;	>40	HIGH	Significant							Control (e.g., Treat/Mitigate Transfer, Terminate)	1			
Risk Rating = Impact X Likelihood X Detection																



Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XII

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