



Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGION XIII (CARAGA)
 1559 Matimco Bldg, Km 4., Libertad, Butuan City
 caraga.dilg.gov.ph

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Name of Division/FOU:

MASTERLIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
Conduct of Fact Finding Investigation									
QME-QP-R13-ORD-09	Quality Monitoring and Evaluation	Legal Officer	Steel Cabinet Drawer 4	1	Per Year /Date:	1 year	2 years	3 years	Shredding/Reuse
FM-QP-R13-ORD-09-01	Process Summary Logsheet	Legal Officer	Steel Cabinet Drawer 4	1	Per Year /Date:	1 year	2 years	3 years	Shredding/Reuse

Prepared By:

ATTY. ALLEN M. GASULAS
 ATTY IV
 Process Owner

Reviewed By:

DONALD A. SERONAY
 CAO/Asst. Regional Director
 Regional QMR





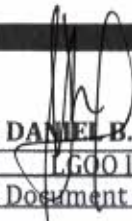
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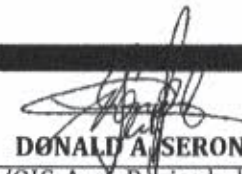
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Name of Division/FOU: **Office of Regional Director**

MASTER LIST OF MAINTAINED DOCUMENTED INFORMATION (INTERNAL)

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
Conduct of Fact Finding Investigation							
QP-R13-ORD-09	Quality Procedure	10.16.17					
QO-QP-R13-ORD-09	Quality Objective	10.16.17					
QME-QP-R13-ORD-09	Quality Monitoring and Evaluation	10.16.17					
FM-QP-R13-ORD-09-01	Process Summary Logsheet	10.16.17					

Prepared By

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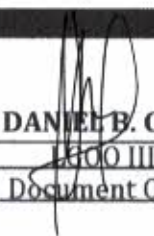
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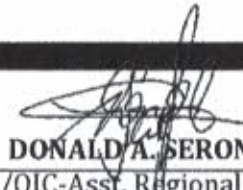
MASTER LIST OF MAINTAINED DOCUMENTED INFORMATION (EXTERNAL)

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
Conduct of Fact Finding Investigation							
	DILG Memorandum dated May 8, 2012 (Re: Conduct of Fact-Finding in the Exercise of General Supervision over Local Government Units)						

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QUALITY PROCEDURE (QP)

PROCEDURE TITLE	Conduct of Fact-Finding Investigation		
SCOPE	The procedure starts from the receipt the request or order for fact-finding investigation and ends with the release of fact-finding investigation report to requesting party, copy furnished the endorsing party.		
PURPOSE	To clearly define the process of conducting fact-finding investigation		
PROCESS DESCRIPTION			
INPUT		PROCESS	OUTPUT
Requesting Party	Complaint or request for investigation	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;"> CONDUCT OF FACT-FINDING INVESTIGATION </div>	Fact-finding investigation report
	→		→
			Requesting party / endorsing party
DESCRIPTIVE STATEMENT:			
<p>The Regional Office receives complaint or request for fact-finding investigation and endorses the same to the concerned field office which conducts the fact-finding investigation and prepares the report for the Regional Office. Upon receipt of the report from the field office, the Regional Office prepares the fact-finding investigation report for release to the requesting and/or endorsing party/ies. At the regional level, drafts of request for endorsement and fact-finding report are prepared and corrected accordingly by the legal officer, reviewed by the ARD, and finally approved by Regional Director. At the field office level, drafts of fact-finding investigation report and endorsement are prepared and corrected accordingly by the concerned LGOO, reviewed and endorsed for approval by the OM and finally approved by the PD.</p>			

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Records Officer - RO	Receive the complaint/request	<p>Stamp "RECEIVED" on the complaint/request for fact-finding investigation with date and time of receipt and affix signature</p> <p>Scan document and encode the details of the complaint/request for fact-finding investigation in the Communication Tracking System (ComTrackS)</p> <p>Forward to ORD Secretary</p>	<p>Complaint / Request</p> <p>ComTrackS / Incoming Communications Logbook</p>





QUALITY PROCEDURE (QP)

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
2	ORD Secretary	Receive the Complaint / Request	Attach routing slip to the complaint / request for fact-finding and forward to Regional Director Record details of the complaint / requesting Incoming Communications Logbook	Complaint / Request for fact-finding investigation Routing Slip Incoming Communications Logbook
3	Regional Director	Assign Complaint / Request	Assign complaint / request for fact-finding investigation to the Legal Officer and provide instructions in the routing slip	Complaint / Request Routing Slip
4	ORD Secretary	Forward request	Forward Complaint / Request to Legal Officer and record the date and time when delivered	Complaint / Request Routing Slip Outgoing Communications Logbook
5	Legal Officer	Prepare draft endorsement	Prepare draft endorsement to the field office for fact-finding investigation Forward draft endorsement to ARD for review	Complaint / Request Routing Slip Draft endorsement for fact-finding
6	ARD	Initial review of draft of endorsement	Conduct initial review of the draft endorsement	Complaint / Request Routing Slip Draft endorsement
7	Legal Officer	Incorporate correction	Incorporate correction, if any. Forward the draft endorsement to ARD for final review	Complaint / Request Routing Slip Draft Endorsement



**QUALITY
PROCEDURE (QP)**

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
8	ARD	Final review of draft endorsement	Conduct final review of the draft endorsement Recommend approval or revision *if for approval, forward to RD *if for revision, go back to Step 7	Complaint / Request Routing Slip Draft endorsement
9	RD	Review and approve endorsement	If the endorsement is acceptable, approve/sign the endorsement; otherwise, refer back to Steps 7 and 8	Complaint / Request Routing Slip Approved endorsement
10	Legal Officer	Assign control number	Assign control number Photocopy approved endorsement and forward to Records Officer for release	Approved endorsement with attached complaint / request for fact-finding investigation
11	Records Officer - RO	Release endorsement	Stamp "RELEASED" with date and time of release and affix signature on the approved endorsement Send to concerned PD, copy furnished LGOO, if applicable.	Approved endorsement with attached complaint / request for fact-finding investigation Outgoing Communications Logbook
12	Records Officer - PO	Receive endorsement	Stamp "RECEIVED" on the endorsement with attached complaint / request for fact-finding investigation with date and time of receipt and affix signature	Approved endorsement with attached complaint / request for fact-finding investigation Incoming



QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Log the details of the endorsement with complaint / request for fact-finding investigation Attach routing slip Forward to PD	Communications Logbook Routing slip
13	Concerned PD	Assign fact-finding investigation	Assign PM to endorse to concerned LGOO	Endorsement with attached complaint / request for fact-finding investigation Routing Slip
14	Program Manager	Prepare endorsement	Prepare endorsement to concerned LGOO Forward endorsement to PD for approval	Endorsement Routing Slip
15	PD	Approve of endorsement	If acceptable, sign/approve the endorsement. If not, proceed to Step 14.	Endorsement Routing Slip
16	Records Officer-PO	Release endorsement	Assign control number Stamp "RELEASED" with date and time of release and affix signature on the endorsement Send endorsement to concerned LGOO	Endorsement Routing Slip Outgoing Communications Logbook
17	LGOO	Conduct fact-finding investigation	Evaluate complaint / request Conduct fact-finding investigation in accordance with guidelines	Endorsement with attached complaint / request for fact-finding investigation





QUALITY PROCEDURE (QP)

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Prepare fact-finding investigation report Submit to PO	Routing Slip Fact-finding investigation report
18	Records Officer - PO	Receive fact-finding investigation report	Stamp "RECEIVED" on the fact-finding investigation report with date and time of receipt and affix signature Log the details of the fact-finding investigation report Attach routing slip Forward to PM	fact-finding investigation report Incoming Communications Logbook Routing slip
19	Program Manager	Conduct review of report and prepare transmittal	Review fact-finding investigation report, prepare transmittal and recommend approval	Fact-finding investigation report and transmittal
20	PD	Approve fact-finding investigation report	If the fact-finding investigation and transmittal is acceptable, approve/sign the transmittal; otherwise, refer back to Step 19	Fact-finding investigation report and transmittal
21	Records Officer-PO	Release fact-finding investigation report and transmittal	Assign control number Stamp "RELEASED" with date and time of release and affix signature on the approved Fact-finding Investigation Report and transmittal Send approved Fact-finding Investigation Report to the Regional Office	Fact-finding investigation Report and transmittal Outgoing Communications Logbook
22	Records Officer - RO	Receive the fact-finding investigation	Stamp "RECEIVED" on the fact-finding	Fact-finding investigation





**QUALITY
PROCEDURE (QP)**

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>investigation report with date and time of receipt and affix signature</p> <p>Scan document and encode the details of the fact-finding investigation report in the Communication Tracking System (ComTrackS)</p> <p>Forward to ORD Secretary</p>	<p>report</p> <p>ComTrackS / Incoming Communications Logbook</p>
23	ORD Secretary	Receive the fact-finding investigation report	<p>Attach routing slip to the fact-finding investigation report and forward to Regional Director</p> <p>Record details of the Fact-finding investigation Report in Incoming Communications Logbook</p>	<p>Fact-finding investigation Report Routing Slip</p> <p>Incoming Communications Logbook</p>
24	Regional Director	Assign Fact-finding investigation report	Assign fact-finding investigation report to the Legal Officer and provide instructions in the routing slip	Fact-finding investigation Report Routing Slip
25	ORD Secretary	Forward Fact-finding investigation Report	Forward Fact-finding investigation Report to Legal Officer and record the date and time when delivered	Fact-finding investigation Report Routing Slip Outgoing Communications Logbook
26	Legal Officer	Prepare draft Fact-finding investigation Report	<p>Prepare draft Fact-finding investigation Report</p> <p>Forward draft Fact-finding investigation</p>	Fact-finding investigation Report Routing Slip Draft Fact-finding





**QUALITY
PROCEDURE (QP)**

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Report to ARD for review	investigation Report
27	ARD	Initial review of draft Fact-finding Investigation Report	Conduct initial review of the draft Fact-finding Investigation Report	Routing Slip Draft fact-finding investigation Report
28	Legal Officer	Incorporate correction	Incorporate correction, if any. Forward the draft Fact-finding Investigation Report to ARD	Routing Slip Draft Fact-finding Investigation Report
29	ARD	Final review of draft Fact-finding Investigation Report and recommend approval	Conduct final review of the draft Fact-finding Investigation Report Recommend approval or revision *if for approval, forward to RD *if for revision, go back to Step 19	Routing Slip Draft Fact-finding Investigation Report
30	RD	Review and approve Compliance Report	If the Compliance Report acceptable, approve/sign the legal; otherwise, refer back to Steps 19 and 20	Routing Slip Fact-finding investigation Report
31	Legal Officer	Assign control number	Assign control number Photocopy approved Fact-finding Investigation Report and forward to Records Officer for release	Approved Fact-finding investigation Report
32	Records Officer	Release Fact-finding investigation Report	Stamp "RELEASED" with date and time of release and affix signature on the approved Fact-finding Investigation Report Send approved Fact-finding Investigation	Approved Fact-finding investigation Report Outgoing Communications





QUALITY PROCEDURE (QP)

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Report to requesting party copy furnished the endorsing party	Logbook
33	Legal Officer	Retain record	Retain all records generated in accordance with Control of Retained Documented Information Procedure and Masterlist of Records	Control of Retained Documented Information Procedure Masterlist of Records

Prepared By	Reviewed By	Approved By
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Process Owner	Deputy QMR	Regional QMR





DILG REGION XIII (CARAGA)
**QUALITY
 OBJECTIVE (QO)**

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DIVISION/FOU	ORD-Legal
QUALITY PROCEDURE TITLE	Conduct of Fact-Finding Investigation

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
	To endorse complaint or request letter to concerned FOU for conduct fact-finding investigation within 5 working days from receipt	80%	Total number of complaints or requests for fact-finding investigation endorsed to concerned FOU within 5 working days from receipt / Total number of complaints or request received	Monthly	Legal Officer	<ul style="list-style-type: none"> • Endorsement Letter to Concerned FOU • Complaint / Request Letter • PSL





DILG REGION XIII (CARAGA)
**QUALITY
 OBJECTIVE (QO)**

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Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (If applicable)			
	To render report or reply to referring entity and/or complainant within 5 working days upon receipt of report from FOU	80%	Total number of reports or reply to referring entity and/or complainant redereed within 5 working days upon receipt of report from FOU / Total Number of report from FOU received	Monthly	Legal Officer	<ul style="list-style-type: none"> • Report or reply Letter to referring entity or complainant • Fact-finding investigation report from FOU • PSL

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 ALLEN M. GASULAS Attorney IV/Legal Officer	 DONALD A. SERONAY OIC-Asst. Regional Director	 LILIBETH A. FAMACION, CESO III Regional Director
Process Owner	Deputy QMR	Deputy QMR





DILG REGION XIII (CARAGA)
**PROCESS QUALITY MONITORING
 AND EVALUATION (QME)**

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DIVISION/FOU	ORD-Legal
PROCEDURE TITLE	Conduct of Fact-Finding Investigation
OBJECTIVE STATEMENT	1. To endorse complaint or request letter to concerned FOU for conduct fact-finding investigation within 5 working days from receipt 2. To render report or reply to referring entity and/or complainant within 5 working days upon receipt of report from FOU
CURRENT PERIOD	

INDICATORS		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total
1. Objective 1: 80% of complaint or request letter endorsed to concerned FOU for conduct fact-finding investigation within fifteen working days from receipt														
A	Total number of complaints or requests for fact-finding investigation endorsed to concerned FOU within 5 working days from receipt													
B	Total number of complaints or request received													
C	Formula: $\frac{A}{B} \times 100$	Target Result: 80%												
D	Gap Analysis: In case the objective is not met, put your analysis why it is not met													
Objective 2: 80% of report or reply to referring entity and/or complainant made within 15 working days upon receipt of report from FOU														
A	Total number of complaints or requests for fact-finding investigation endorsed to concerned FOU within 5 working days from receipt													
B	Total number of complaints or request received													
C	Formula: $\frac{A}{B} \times 100$	Target Result: 80%												
D	Gap Analysis: In case the objective is not met, put your analysis why it is not met													
Objective 3:														
A														
B														
C		Target result												





DILG REGION XIII (CARAGA)
**PROCESS QUALITY MONITORING
 AND EVALUATION (QME)**

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D	Gap Analysis: In case the objective is not met, put your analysis why it is not met	
<p>Note: For unmet targets, the QMS Secretariat will issue Corrective/Preventive Action Report (CPAR) duly signed by the DILG-XIII Deputy QMR.</p>		

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 ALLEN M. GASULAS Attorney IV/Legal Officer	 DONALD A. SERONAY OIC-Asst. Regional Director	 LILIBETH A. FAMACION, CESO III Regional Director
Process Owner	Deputy QMR	Deputy QMR





DILG PROVINCIAL OFFICE OF _____
**Conduct of Fact-Finding Investigation
 Process Summary Logsheet (PSL)**

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QUALITY OBJECTIVE: 1) To endorse complaint or request letter to concerned FOU for conduct fact-finding investigation within 5 working days from receipt
 2) To render report or reply to referring entity and/or complainant within 5 working days upon receipt of report from FOU

FREQUENCY OF MONITORING: Monthly

COVERED PERIOD:

Due Date of Submission:

Legend:

No.	Control No.	Requesting Party	Date of request	Date received by PO Records Officer / Date Received by PM	Date of Endorsement /Date of Actual Release of Endorsement to LGOO	Date of Receipt of Report from FOU by PO Records Officer/Date Received by PM	Date of FFI Report / Date of Actual Release of FFI Report	Objective Results			Remarks/Particulars
								Met	Unmet	Remarks, if unmet	
1											
2											
3											
4											
5											
6											
7											
8											
9											
10											
Total Result								0	0	0	

Prepared by:

 ALLEN M. GASULAS
 Administrative/ Legal Officer

Noted by:

 DONALD P. SERONAY
 C/O-SEC-APP

