

**QUALITY
PROCEDURE (QP)**

PROCEDURE TITLE	CONDUCT OF FACT-FINDING INVESTIGATION	
SCOPE	The procedure starts from the receipt of the order from the Central Office for the conduct of fact-finding investigation and ends with the release of fact-finding investigation report to the Central Office	
PURPOSE	To clearly define the process of conducting fact-finding investigation	
PROCESS DESCRIPTION		
INPUT	PROCESS	OUTPUT
Central Office Order for conduct of Fact-Finding Investigation	CONDUCT OF FACT-FINDING INVESTIGATION	Fact-finding investigation Central Office
DESCRIPTIVE STATEMENT: Instructions are received by the Regional Office from Central Office directing the conduct of fact-finding investigation. The Regional Director forwards the instructions to the Provincial Office, which transmit the same to the field office, through the Cluster Head, having jurisdiction to undertake proper action. A Fact-Finding Report shall be submitted by the field office to the Regional Office, through channels. The Regional Office then indorses the FFI Report to the Central Office.		

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Regional Records Officer (RRO)	Receive the order/directive to conduct fact-finding investigation	Receive the order/directive from Central Office in accordance with the records management procedure (RMP)	C.O. Memorandum
2	RD/ARD	Provide instructions	Provide instructions to the Regional Legal Officer	C.O. Memorandum
3	Legal Assistant	Receive the order/ directive with instructions	Receive and record the order/directive in accordance with the RMP Forward to the Regional Legal Officer for action	C.O. Memorandum Legal Incoming Logbook
4	Regional Legal Officer (RLO)	Prepare Referral to Provincial Office	Prepare the Referral Memorandum addressed to the Provincial Director forwarding the order/directive with instructions to take proper action	C.O. Memorandum R.O. Referral with attachments



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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Forwards the draft memo to RD/ARD for approval	
5	RD/ARD	Review and Approve the Referral Memorandum	Review the draft Referral Memorandum If acceptable, approves by affixing his signature. Otherwise, returns the draft to the Legal Unit for revision.	Approved Referral Memorandum with attachments
6	Legal Assistant	Record and reproduce the documents	Record the approved Referral Memorandum Photocopy documents for releasing and filing Forward to RRO for releasing in accordance with the RMP	Approved Referral with attachments Legal Outgoing Logbook
7	Regional Records Officer (RRO)	Release of Referral Memorandum to concerned Provincial Office	Release documents in accordance with the (RMP)	Referral with attachments
8	Provincial Records Officer (PRO)	Receive the Referral Memorandum with attachments	Receive and record the documents in accordance with (RMP) Forward to Provincial Director	Referral with attachments
9	Provincial Director (PD)	Act on the Referral and provide instructions	Refer to Program Manager with instructions	Referral with attachments
10	Program Manager (PM)	Act on the Instructions of the PD	Prepare the memo indorsing the referral to the Cluster Head concerned Forward the draft memo to PD for approval	Provincial Memorandum Referral with attachments
11	Provincial Director	Review and Approve the Memorandum	Approve the memo by affixing signature after review Release to Records	Provincial memo with attachments
12	Provincial Records Officer (PRO)	Release of Memo to the Cluster Head	Release the memo in accordance with the RMP and transmit to concerned Cluster Head	Provincial memo with attachments

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
13	Cluster Head (CH)	Conduct of Fact-Finding investigation and preparation of report	<p>Receive and record the documents</p> <p>Conduct fact-finding investigation, in coordination with the field officer concerned, in accordance with the Central Office guidelines</p> <p>Prepare the Fact Finding Investigation (FFI) Report</p> <p>Log and transmit the FFI report to the Provincial Office</p>	<p>Provincial memo with attachments</p> <p>FFI Report</p>
14	Provincial Records Officer (PRO)	Receive the FFI Report	Receive and record the FFI Report in accordance with the RMP	<p>FFI Report</p> <p>Logbook</p>
15	Provincial Director (PD)	Act on the FFI Report	Prepare Memo outlining the action taken and indorse the FFI report to the Regional Office	<p>Transmittal</p> <p>FFI Report</p>
16	Provincial Records Officer (PRO)	Release of the Transmittal with FFI report	Forward the report to the Regional Office in accordance with the RMP	<p>Transmittal</p> <p>FFI Report</p> <p>Logbook</p>
17	Regional Records Officer (RRO)	Receive the FFI Report from P.O.	Receive report from P.O. in accordance with the RMP	FFI Report
18	RD/ARD	Provide instructions	Provide instructions to the Legal Officer	FFI Report
19	Legal Assistant	Receive the FFI Report with instructions	Records the FFI Report in accordance with the RMP	<p>FFI Report</p> <p>Legal Incoming Logbook</p>
20	Regional Legal Officer (RLO)	Prepare indorsement to the Central Office	Prepare indorsement to the Central Office	Indorsement of FFI Report
21	RD/ARD	Review and Approve the indorsement	<p>Review the draft indorsement</p> <p>If acceptable, approves by affixing his signature.</p> <p>Otherwise, returns the</p>	Indorsement with attachments

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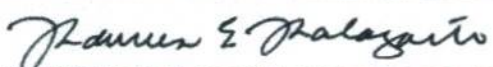
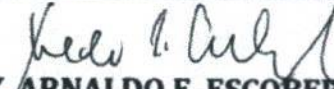
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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			draft to the Legal Unit for revision.	
22	Legal Assistant	Record and reproduce the documents	Record the approved indorsement Photocopy documents for releasing and filing Forward to RRO for releasing in accordance with the RMP	Indorsement with attachments Legal Outgoing Logbook
23	Regional Records Officer (RRO)	Record and release	Release approved indorsement in accordance with the RMP	Indorsement with attachments
24	Regional Legal Officer (RLO)	Retention of Records	Retains records in accordance with the Control of Retained Documented Information procedure and the Master List of Records.	Control of DI procedure Master List of Records

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QUALITY
OBJECTIVE (QO)

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OFFICE	OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT
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)			
Conduct of Fact-Finding Investigation	1) Orders for Fact-finding investigation forwarded to the Provincial Offices conducted within the prescribed period	85%	No. of Orders for FFI conducted within the prescribed period/ No. of Orders for FFI forwarded to PO x 100	Quarterly	Regional Director Legal Officer QMS Secretariat	Conduct of Fact-Finding Investigation Summary Logsheet





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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)			
	2) FFI Reports transmitted to the Central Office within 3 working days upon receipt	85%	No. of FFI Reports transmitted to CO within 3 working days / No. of FFI Reports received from PO x 100	Quarterly	Regional Director Legal Officer QMS Secretariat	Conduct of Fact-Finding Investigation Summary Logsheet

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

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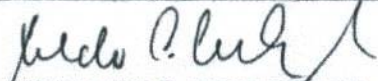
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CURRENT PERIOD	For the Quarter ended _____																																																																																																																																																																															
<table border="1"> <thead> <tr> <th colspan="2">INDICATORS</th> <th>Jan</th> <th>Feb</th> <th>Mar</th> <th>Apr</th> <th>May</th> <th>June</th> <th>July</th> <th>Aug</th> <th>Sep</th> <th>Oct</th> <th>Nov</th> <th>Dec</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td colspan="15">Objective 1: 85% of Orders for Fact-finding forwarded to the Provincial Office conducted within the prescribed period</td> </tr> <tr> <td>A</td> <td>No. of Orders for FFI conducted within the prescribed period</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>B</td> <td>No. of Order for FFI forwarded to PO</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>C</td> <td>Formula: $A/B \times 100$ Target Result : 85%</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>D</td> <td colspan="13">Gap Analysis: (In case the objective is not met, put your analysis why it is not met)</td> </tr> <tr> <td colspan="15">Objective 2: 85% of FFI Reports transmitted to the Central Office within 3 working days upon receipt</td> </tr> <tr> <td>A</td> <td>No. of FFI reports transmitted to the Central Office within 3 working days</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>B</td> <td>No. of FFI reports received</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>C</td> <td>Formula: $A/B \times 100$ Target Result : 85%</td> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> <tr> <td>D</td> <td colspan="13">Gap Analysis: (In case the objective is not met, put your analysis why it is not met)</td> </tr> </tbody> </table>														INDICATORS		Jan	Feb	Mar	Apr	May	June	July	Aug	Sep	Oct	Nov	Dec	Total	Objective 1: 85% of Orders for Fact-finding forwarded to the Provincial Office conducted within the prescribed period															A	No. of Orders for FFI conducted within the prescribed period														B	No. of Order for FFI forwarded to PO														C	Formula: $A/B \times 100$ Target Result : 85%														D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)													Objective 2: 85% of FFI Reports transmitted to the Central Office within 3 working days upon receipt															A	No. of FFI reports transmitted to the Central Office within 3 working days														B	No. of FFI reports received														C	Formula: $A/B \times 100$ Target Result : 85%														D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)												
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Note: For unmet targets, QMS Secretariat will initiate correction and corrective action using the Corrective Action Report (CAR) duly signed by the Regional Quality Management Representative.																																																																																																																																																																																

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DILG REGION V
CONDUCT OF FACT-FINDING INVESTIGATION
SUMMARY LOGSHEET

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QUALITY OBJECTIVE: At least 85% of all Orders for Fact-Finding Investigation have been forwarded to the Provincial Offices and conducted within the prescribed period and 85% of the FFI Reports have been submitted to the Central Office within 3 working days upon receipt

FREQUENCY OF MONITORING : Quarterly


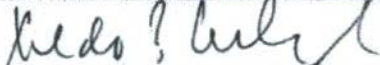
CURRENT PERIOD:

No.	Logbook Transaction No.	Issues/Concerns for FFI	Action							Results			
			Date Received	Date Forwarded to Provincial Office	Date FFI was conducted	Due date		Date FFI Report was received by RO	Date FFI Report forwarded to CO	Met	Unmet	NPY (No Performance Yet)	REMARK (Indicate reason if Target is unmet NPY)
						Conduct of FFI	FFI Report to CO						

Total

Result = Met/ TQP - NPY

No. of QP for the month

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Republic of the Philippines
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MASTER LIST OF MAINTAINED INTERNAL DOCUMENTED INFORMATION

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		00	01	02	03	04	05
CONDUCT OF FACT-FINDING INVESTIGATION							
QP-R05-ORD-02	Conduct of Fact-Finding Investigation Quality Procedure	07.01.19					
QO-QP-R05-ORD-02	Conduct of Fact-Finding Investigation Quality Objective	07.01.19					
QME-QP-R05-ORD-02	Conduct of Fact-Finding Investigation Process Quality Monitoring and Evaluation	07.01.19					
RRO-QP-R05-ORD-02	Conduct of Fact-Finding Investigation Risk Register Objective	07.01.19					
RRP-QP-R05-ORD-02	Conduct of Fact-Finding Investigation Risk Register Process	07.01.19					
RCP-QP-R05-ORD-02	Conduct of Fact-Finding Investigation Risk Control Plan and Monitoring Report	07.01.19					
FM-QP-R05-ORD-02-01	Conduct of Fact-Finding Investigation Summary Logsheets	07.01.19					

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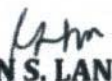
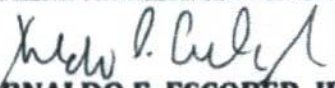
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MASTER LIST OF MAINTAINED EXTERNAL DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION/EDITION					
CONDUCT OF FACT-FINDING INVESTIGATION							
DILG C.O. Memorandum	EXERCISE OF GENERAL SUPERVISION TO LOCAL GOVERNMENT UNITS	04.01.08					
DILG C.O. Memorandum	CONDUCT OF FACT-FINDING IN THE EXERCISE OF GENERAL SUPERVISION OVER LOCAL GOVERNMENT UNITS	05.06.13					
DILG C.O. Memorandum	REITERATING THE GENERAL GUIDELINES IN THE CONDUCT OF FACT-FINDING IN THE EXERCISE OF GENERAL SUPERVISION OVER LOCAL GOVERNMENT UNITS	10.17.14					

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MASTER LIST 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									
FM-QP-RO5-ORD-02-01	Conduct of Fact-Finding Investigation Summary Logsheet	Process Owner	QMS Shelf 6	Conduct of FFI - SL	Chronological	Permanent			
	Referrals to P.O.'s	Process Owner	QMS Shelf 2	Referrals to P.O.'s	By Province/Chronological	3 years	3 years	6 years	Shedding
	Fact-Finding Investigation (FFI) Reports	Process Owner	QMS Shelf 3	FFI Reports	By Province/Chronological	3 years	3 years	6 years	Shedding
QME-QP-RO5-ORD-02	Conduct of Fact-Finding Investigation Process Quality Monitoring and Evaluation	Process Owner	QMS Shelf 6	Conduct of FFI - QME	Chronological	Permanent			
RRO-QP-RO5-ORD-02	Conduct of Fact-Finding Investigation Risk Register Objective	Process Owner	QMS Shelf 6	Conduct of FFI - RRO	Chronological	Permanent			
RRP-QP-RO5-ORD-02	Conduct of Fact-Finding Investigation Risk Register Process	Process Owner	QMS Shelf 6	Conduct of FFI - RRP	Chronological	Permanent			

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RISK REGISTER (PROCESS RISK ASSESSMENT)

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OFFICE

OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT

PROCEDURE TITLE

CONDUCT OF FACT-FINDING INVESTIGATION

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Receive the order/ directive to conduct fact-finding investigation	Delay in routing the Order/ Directive	Regional Records Officer (RRO) is on Official Travel or on Leave Simultaneous office activities/	Delay in receiving the Order/ Directive	Scheduling of Activities and Leaves	3	3	9	NS	Alert	
Provide instructions	Delayed referral to Legal Unit	Non availability of the RD/ARD due to multiple functions	Delayed preparation of referral to PO	Designate Officer-In-charge, in case of absence of RD/ARD.	3	3	9	NS	Alert	
Preparation of Referral	Non-availability of Regional Legal Officer to prepare referral letter	Non availability of the Regional Legal Officer (RLO) due to multiple functions	Delayed release of referral to PO	Delegate or instruct legal assistants to draft referrals	3	2	6	NS	No action required	
Approval of the memorandum	Delay in the approval of appropriate referral memorandum	Non availability of the RD/ARD due to multiple functions	Delayed release of referral to PO	Designate Officer-In-charge, in case of absence of RD/ARD.	3	3	9	NS	Alert	
Act on the Referral and provide instructions	Delayed referral to Program Manager	Non availability of the PD due to multiple functions	Delayed FFI action	Designate OIC, in case of absence of PD	4	2	8	NS	Alert	



DILG REGION V

RISK REGISTER (PROCESS RISK ASSESSMENT)

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OFFICE
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OFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT
CONDUCT OF FACT-FINDING INVESTIGATION

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Act on the Instructions of the PD	Lack of personnel to investigate/assist in the verification; weather disturbances, geographical location of the subject, political climate in the area which may jeopardize the life of the personnel	Multiple task : work overload; political climate in subject LGU	Delayed conduct of verification, non-compliance to conduct verification	Delegate to PM/CH and Field Officer concerned: conduct assessment on the ground	3	3	9	NS	Alert	
Conduct of Fact-Finding investigation and preparation of report	Incomplete verification	Multiple tasks, political situation	Insufficient data gathered or unverified issues	Pre-research, coordinate with appropriate officials	4	2	8	NS	Alert	
Release of the Transmittal with FFI report	Delayed submission	Unfavorable weather condition; Lack of couriers; slow to no internet reception	Delayed submission of Fact-Finding Report	Use of internet in sending electronic copies of the FFI reports and supporting documents	3	3	9	NS	Alert	
Prepare indorsement to the Central Office	Non-availability of Regional Legal Officer to prepare indorsement	Multiple task/ other commitments	Delayed submission of FFI Report to CO	Delegate or instruct legal assistants to draft reports	3	2	6	NS	No action required	
Review and Approve the indorsement	No designated officer in charge	Multiple task and commitments of RD/ARD	Delayed release of report to CO	Designate officer in-charge	2	3	6	NS	No action required	

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RISK REGISTER (PROCESS RISK ASSESSMENT)

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PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN / OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Record and release	Delayed submission of Indorsement	Regional Records Officer (RRO) is on Official Travel or on Leave; Simultaneous office activities/ programs	Delayed submission of FFI Report to CO	Scheduling of Activities and Leaves	3	3	9	NS	Alert	
Retention of Records	Unable to retain documented information	Weather disturbances	Lost documented information	On-line back up of files	3	2	6	NS	No action required	

RISK ASSESSMENT:	RISK	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1 - 7	LOW	Not Significant	No further action required (Maintain and sustain the existing control)
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain	8 - 9	MODERATE	Not Significant	Alert level (Maintain and sustain the existing control)
Risk Rating = Impact x Likelihood	10 - 25	HIGH	Significant	Control (e.g. Avoid or Treat/Mitigate, Transfer, Terminate)

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<i>Maureen E. Malazarte</i> MAUREEN E. MALAZARTE, CPA, MBA, LLB Accountant II Process Owner	<i>Atty. Arnaldo E. Escobar, Jr.</i> ATTY. ARNALDO E. ESCOBAR, JR., CESO V Assistant Regional Director Regional QMR

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RISK REGISTER (OBJECTIVE RISK ASSESSMENT)

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OFFICE
PROCEDURE TITLEOFFICE OF THE REGIONAL DIRECTOR - LEGAL UNIT
CONDUCT OF FACT-FINDING INVESTIGATION

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES (refer to IP Matrix for Requirements)	POTENTIAL RISK or OPPORTUNITY	RISK TRIGGER (N/A FOR OPPORTUNITY)	CONSEQUENCE (RISK) / BENEFIT (OPPORTUNITY)	EXISTING RISK CONTROL MEASURE (N/A FOR OPPORTUNITY)	RISK ASSESSMENT					
							IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
85% of all Orders for Fact-Finding Investigation referred to P.O. conducted within the prescribed period	The bulk of order for fact-finding may be too many for a particular period; the political situation and geographical locations may cause difficulty in the conduct of fact finding investigation within the period prescribed; Lack of	Clients	Delay or non-compliance in the conduct of fact-finding investigation	Nature of Order for Fact-Finding; Lack of personnel; political situation and geographical location of the subject for verification/fact-finding	Possible administrative case for non-compliance to directives	Delegation of authority to Provincial Directors, Cluster Heads, Program Managers and field personnel to assist and conduct fact-finding investigation	3	3	9	NS	Alert	
85% of FFI reports submitted were released to the Central Office within 3 working days	The period to release the FFI Reports may not be followed due to logistical reasons (snail mail or physical transfer of the files consume a lot of time considering that there are island provinces)	Clients	Delayed preparation and release of FFI Reports	Unfavorable weather condition; Lack of couriers; slow to no internet reception	Possible memorandum or administrative case for non-compliance	Use of internet in sending authentic electronic copies of the FFI Reports and other supporting documents	3	3	9	NS	Alert	

RISK ASSESSMENT:	RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1 - 7	LOW	Not Significant (NS)	No further action required (Maintain and sustain the existing control)
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain	8 - 9	MODERATE	Not Significant (NS)	Alert level (Maintain and sustain the existing control)
Risk/Opportunity Rating = Impact X Likelihood	10 - 25	HIGH	Significant (S)	Control (e.g. Avoid or Treat/ Mitigate, Transfer, Terminate)

Prepared by:

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