



**DILG REGION V**  
**QUALITY**  
**PROCEDURES**

Document Code		
<b>QP-RO-FAD-36</b>		
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PROCEDURE TITLE	PROVISION OF PUBLIC ASSISTANCE & HANDLING OF COMPLAINTS		
SCOPE	This process starts from the receipt of complaints, endorsements and referrals until feedbacks are provided to clients with satisfactory closure of requests/complaints, and filing of records		
PURPOSE	To define or standardize the process of timely response to clients' requests and complaints		
PROCESS DESCRIPTION			
INPUT		PROCESS	OUTPUT
Complainant Complaint Letter/ Request for Assistance		Provision of Public Assistance and Complaints Handling Procedure	Final Report on the Complaint Complainant
DESCRIPTIVE STATEMENT:			
To clearly define the process of timely response to clients' complaints and requests until closure.			

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	Records Staff	Receive complaint, request for assistance or inquiry.	Receive complaint, request for assistance or inquiry via email, fax or courier in accordance to the Regional Records Management Procedure and proceed to Step 3	Letter Regional Records Management Procedure

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
2	Officer of the Day	To accept, received, facilitate complaint, request for assistance or inquiry from walk – in client.	Assist the Walk – in client in filing – up the complaints Handling Form and submit to Action Officer together with attachments, if any	Complaints Handling Form  Attachments, if any
3	Action Officer	Receive and record the complaint, request for assistance or inquiry.	Assign a reference code and record the details on the Complaints Handling Monitoring Log Sheet	Complaints Handling Form  Letter or Attachments  Complaints Handling Monitoring Log Sheet
4	Action Officer	Draft appropriate communication.	Assess the details and substance of the complaint, request for assistance or inquiry.  For walk in client: *If actionable, provide the client an overview of what will be the course of action and prepare communication if necessary. *If non-actionable, advise the client on	Complaints Handling Form  Letter or Attachments

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>the reasons and provide necessary legal advice.</p> <p>Craft the necessary communication:</p> <ul style="list-style-type: none"><li>*Memorandum to Provincial/Field Officer to conduct fact-finding investigation or provide assistance</li><li>*Indorsement if the request does not require specific actions</li><li>*Craft letter reply to the proponent if the request or complaint is not actionable.</li></ul> <p>Forward the authorized signatory for review and approval</p>	
5	Authorized Signatory	Review and approve the draft communication.	<p>Review the communication.</p> <p>If communication is acceptable, approve/sign; or else, return to Action Officer for revision.</p>	<p>Complaints Handling Form</p> <p>Draft Communication with attachments</p>
6	Action Officer	Prepare /reproduce communication for release.	<p>Record in the monitoring log sheet</p> <p>Photocopy the signed communication for dissemination and recording purposes.</p> <p>Forward to Records Section for releasing in accordance to the Regional Records Management Procedure.</p>	<p>Approved communication with attachments and duplicates</p> <p>Regional Records Management Procedure</p>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			If the communication is a Memorandum to Provincial/Field Officer to conduct fact-finding investigation or provide assistance, proceed to Step 5.	
7	Concerned Provincial/Field Officer	Act in accordance to the memorandum from the Regional/Provincial Office	Conduct fact-finding or provide assistance, if applicable.  Prepare comprehensive and final report for approval of authorized signatories.  Submit to Regional/Provincial Office.	Fact-Finding Report or Assistance Report
8	Action Officer	Retain documented information.	Retain documented information in accordance with the Control of Retained Documented Information procedure and the Master list of Retained Documented Information.	Complaints Handling Summary Log Sheet  Control of Retained Documented Information  Master List of Retained Documented Information

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Reviewed By

Approved By

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Chief-FAD

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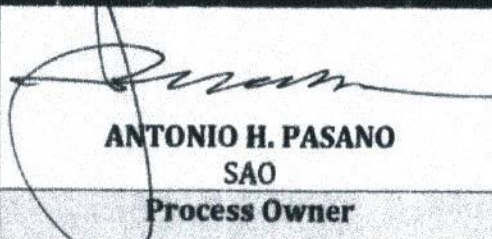
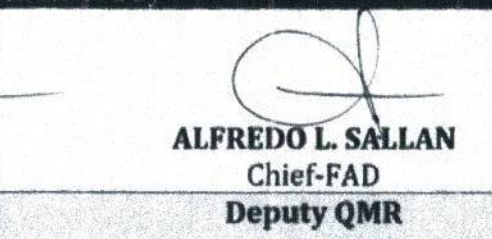
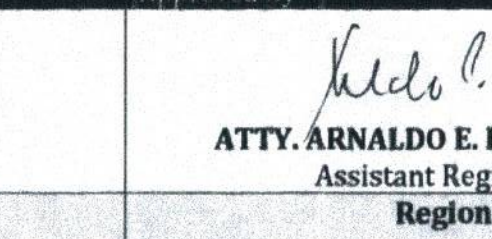




DILG REGION V  
**QUALITY  
OBJECTIVES**

Document Code		
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OFFICE		Finance and Administrative Division				
QUALITY PROCEDURE TITLE		PROVISION OF PUBLIC ASSISTANCE AND COMPLAINTS HANDLING				
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)			
Public Assistance and Complaint Handling	Timely issuance of endorsements/ responses to requests and complaints within five (5) working days upon receipt of requests and complaints	80%	Total no. of endorsements/ responses issued within five (5) working days upon receipt thereof /  Total no. of requests and complaints received x 100	Monthly	PAC Focal Point	Process Summary Log Sheet
	Positive feedback from walk-in clients	80%	Total no. of smileys / Total no. of walk-in clients x 100	Monthly	PAC Focal Point	Walk-in Client Feedback Summary Log Sheet
	80% of Clients Satisfaction Survey (for other types of Clients) received with rating of satisfactory (3) and above (4, 5)	80%	Total number of responses with rating of satisfactory (3) and above (4, 5) / Total number of responses received	Monthly	PAC Focal Point	Process Summary Log Sheet

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**PROCESS MONITORING AND  
EVALUATION (QME)**

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<b>BUREAU/SERVICE</b>	FAD
<b>PROCEDURE TITLE</b>	Provision of Public Assistance & handling of Complaints
<b>OBJECTIVE STATEMENT</b>	1. 70% of of requests and complaints were issued with endorsements/responses within five (5) working days upon receipt. 2. 100% Positive feedback from walk-in clients 3. Timely submission of accomplishment report to Management within five (5) working days of the ensuing month.
<b>CURRENT PERIOD</b>	August 2015

INDICATORS	August	September	October	November	December	Total
<b>Objective 1: 70% of of requests and complaints were issued with endorsements/responses within five (5) working days upon receipt.</b>						
A Total No. of endorsements/responses issued within 5 working days upon receipt						
B Total no. of requests and complaints received						
C Formula: $\frac{A}{B} \times 100$ Target Result = 70%						
D Gap Analysis: In case the objective is not met, put your analysis why it is not met						
<b>Objective 2: 100% Positive feedback from walk-in clients</b>						
A Total no. of positive feedbacks (smiley emoticons)						
B Total no. of emoticons feedback 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						
<b>Objective 3: Timely submission of accomplishment reports</b>						
A Due Date of Submission						
B Actual Date of Submission						
C Formula: Number of Days Elapsed = J-I Target: $\leq 5$ working days						
D Gap Analysis: In case the objective is not met, put your analysis why it is not met						

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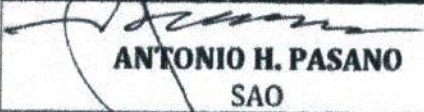

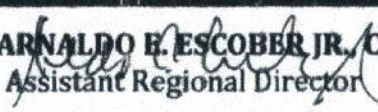


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## PROCESS MONITORING AND EVALUATION (QME)

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**Note: For unmet targets, the QMS Secretariat will initiate correction and corrective action using the Corrective/Preventive Action Report (CPAR) duly signed by the Regional Quality Management Representative.**

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**SUMMARY LOG SHEET**

FOR THE MONTH OF \_\_\_\_\_

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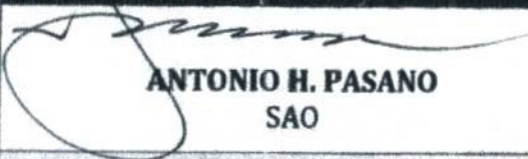

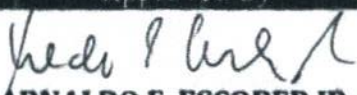
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<b>BUREAU/SERVICE</b>	<b>FAD</b>				
<b>PROCEDURE TITLE</b>	<b>Provision of Public Assistance and Handling of Complaints</b>				
<b>OBJECTIVE STATEMENT</b>	<b>1. Timely issuance of endorsements/responses to requests and complaints within five (5) working days upon receipt of requests and complaints</b> <b>2. Positive feedback from walk-in clients</b> <b>3. Timely submission of accomplishment reports to Management</b>				
<b>OBJECTIVE 1: TOTAL NO. OF ENDORSEMENT/ RESPONSES ISSUED WITHIN 5 WORKING DAYS UPON RECEIPT</b>					
<b>Target result: 70% of endorsements/responses issued within 5 working days</b>					
<b>Mode of Receipts</b>	<b>Total no. of Clients</b>	<b>Total no. of endorsements/responses issued within 5 days</b>	<b>Total no. of endorsements/responses issued beyond 5 days</b>	<b>Met</b>	<b>Unmet</b>
a) Walk-in					
b) Email					
c) Letter request					
d) Phone-in					
<b>TOTAL</b>					
<b>OBJECTIVE 2: TOTAL NO. OF POSITIVE FEEDBACKS FROM WALK-IN CLIENTS</b>					
<b>Target result: 80% of positive feedbacks</b>					
<b>Mode of Receipts</b>	<b>Total no. of Clients</b>	<b>Total no. of Positive Feedbacks</b>	<b>Total no. of Negative Feedbacks</b>	<b>Met</b>	<b>Unmet</b>
a) Walk-in					
<b>TOTAL</b>					

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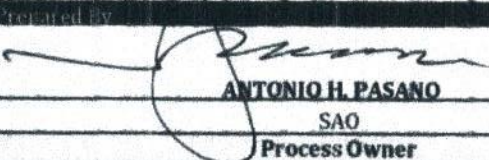
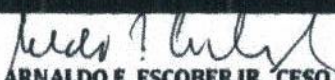
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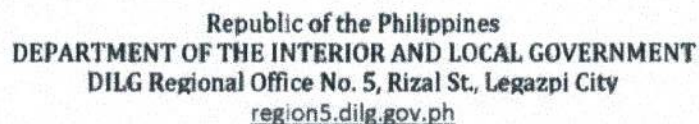
**MASTERLIST OF RETAINED DOCUMENTED INFORMATION**

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
Control of Document Procedure									
	Consolidated Complaint Form	HRMO	HR Office		By period	5 years	10 years	15 years	Shredding
	Consolidated Client Satisfaction Survey Form								
Process Performance Monitoring and Measurement Procedure									
FM-QP-R05-FAD-36-01	Process Summary Logsheet	HRMO	HR Office	LOGSHEET	By period	5 years	10 years	15 years	Shredding
QME-QP-R05-FAD-36	Process Quality Monitoring Evaluation	HRMO	HR Office	QMS	By period				
Management Review Procedure									
QMS Planning Procedure									

Prepared By	Noted By
	
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SAO	Assistant Regional Director
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## MASTERLIST OF MAINTAINED INTERNAL DOCUMENTED INFORMATION

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Name of Bureau/Service/Division: **FINANCE AND ADMINISTRATIVE DIVISION**

**MASTERLIST OF MAINTAINED EXTERNAL DOCUMENTED INFORMATION**

DOCUMENT CODE	DOCUMENT TITLE	REVISION/EDITION				
	Administrative Order No. 241re: Mandating the speedy implementation of RA 9485 (Anti Red Tape Act of 2007)					
	CSC Resolution Institutionalization of the Contact Center ng Bayan (CCB) as the Public Feedback Mechanism of the Government anchored on the Anti - Red Tape Act of 2007					

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DILG REGIONAL OFFICE V

**RISK REGISTER (OBJECTIVE RISK ASSESSMENT)**

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DIVISION

FINANCE AND ADMINISTRATIVE DIVISION

PROCEDURE TITLE

PROVISION OF PUBLIC ASSISTANCE AND HANDLING OF COMPLAINTS

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)
Timely response to complaint for request for assistance within one (1) month upon receipt	Lack of control to the LGU to address the concerns of their constituents	Complainant or proponent, Department, Regional Office, Local Government Units	Untimely response of the action taken to the complainant or the inquiry	Volume of the complaints/request for assistance/inquiries	Declined trust and confidence of the stakeholder to the Department	Categorizes the communication whether actionable or non-actionable, whether it requires the action from LGU, from the field office or Regional Office	2	4	8	NS	Maintain and sustain the existing control	
Timely response to complaint for request for assistance within one (1) month upon receipt	Lack of control to the LGU to address the concerns of their constituents	Complainant or proponent, Department, Regional Office, Local Government Units	Untimely response of the action taken to the complainant or the inquiry	Action officer have other assigned tasks		Prioritization of tasks	2	4	8	NS	Maintain and sustain the existing control	

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)

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**RISK REGISTER (PROCESS RISK ASSESSMENT)**

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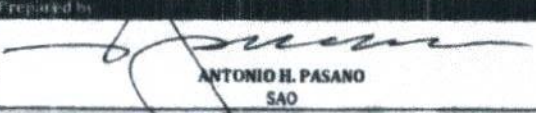
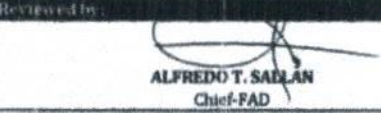

FINANCE AND ADMINISTRATIVE DIVISION

PROCEDURE TITLE

LEARNING AND DEVELOPMENT

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 and record the complaint, request for assistance or inquiry	This is an incorporation of records management procedure. Data may be referred to the Records management Risk Assessment									
Submit complainant, request for assistance or inquiry	Inability to accomplish the complaints Handling Form	Inability of the client to write or articulate the concern, inquiry or Complaint	Lack of essential information about the concern, inquiry or complaint	Provision of assistance to fill up complaint for and probing additional information	3	2	6	NS	Maintain and sustain the existing control	
Draft appropriate communication	Substantially inappropriate response	Miscomprehension/ different appreciation of the facts and circumstances	Unresolved problem issue	Review or consult immediate of the course of action	4	2	8	NS	Maintain and sustain the existing control	NS
Review approved draft communication										
Prepare/ reproduce communication for released	Non functional photocopier machine	Untimely maintenance of photocopier machine	Use of ordinary printers with copying feature yet		2	4	8	NS	Maintain and sustain the existing control	
Act in accordance to the memorandum from the Regional/ Provincial Office	Absence of the filed officer in the LGU because of the other office activities	Activities conducted by higher DILG Office	Delayed action on the concern, complaint or inquiry		3	2	6	NS	Maintain and sustain the existing control	
Retain documented information										

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	No further action required (Maintain and sustain)
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 X Detection	10 - 25	HIGH	Significant	Control (e.g. Avoid or Treat/Mitigate, Transfer,

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