QUALITY PROCEDURE (QP)

Document Code		
QP-R12-FAD-07		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 4

PROCEDURE TITLE	**HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL**
SCOPE	The process shall govern administrative cases filed before the Regional Office or upon referral by relevant agencies or instrumentalities against a DILG official or employee in the exercise of his/her official duties. It shall also include complaints instituted by the Regional Office *motu proprio* or on its own instance. The process commences from receipt of the complaint up to implementation of the decision or resolution by the Regional Director
PURPOSE	To provide guidelines on handling Administrative complaints

PROCESS DESCRIPTION

INPUT	PROCESS	OUTPUT
Records Officer — Written complaint →	**HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL**	CODI Resolution/ Decision → Respondent and Complainant

DESCRIPTIVE STATEMENT:
The Records Officers receive the documents from External and Internal client, these will be controlled/stamped and encoded to the Records Database for routing to concerned divisions/sections/units. Once acted, it will be released to concerned clients

Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
1	**Records Officer**	Receipt of complaint	• Log written complaint and forwards to RD	• Written Complaint
2	**Regional Director**	Initial Evaluation of complaint	• RD evaluate complaint and forwards to the Personnel Officer of CODI Chairperson with instruction/s ▪ Complaint initiated by the Office motu proprio: the Regional Director endorse the complaint to CODI through the Personnel Office	• Written Complaint with instruction/s
3	**Personnel Officer**	Preparation of Notice	• Upon receipt of the complaint, prepare notice to all members of the committee.	• Notice of Meeting
4	**CODI Chairperson**	Initial Review of the Complaint	• Convene the committee to deliberate on the complaint	• Minutes of meeting • Written Complaint
5	**CODI**	Preliminary Investigation	• Conduct Preliminary Investigation on the	• Written Complaint

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			complaint ▪ Verifies allegations that are known to the members of the Committee ▪ *Determines* propriety of investigation of the facts alleged and the necessity of the respondent to submit an Answer or Counter Affidavit • Upon the majority consent of the Committee, recommend *action, either, to wit:* ▪ If for dismissal of complaint, issues resolution. ▪ If for investigation, causes the inspection, field visit and/or interview. For cases which requires investigation, the *following shall be* undertaken: 1.) Members are notified of the time and date of interview or site visit (Memorandum/Regional Order); 2.) Prepare questionnaire and determines person/s to be interviewed and/or site to be visited. 3.) Conduct interview and/or site visit. The identity of the complainant is treated with confidentiality in exceptional cases. • The concerned employee or official is notified in all cases and is directed to submit a Show Cause why an administrative	• Questionnaire • CODI Resolution

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			case should not be filed against him/her by filing an answer or counter-affidavit on the complaint.	
6	**CODI Chairperson**	Reconvene the Committee	• Committee members are notified of the date and time of the meeting	
7	**CODI**	Reconvene the Committee	• If quorum is obtained, discuss the findings and answer or counter-affidavit. If no quorum is obtained, set another date;	• Minutes of Meeting
8	**Personnel Officer**	Preparation of Minutes and Resolution	• Draft Minutes and Resolution. • Forward to the CODI for their signatures	• Minutes of the Meeting • CODI Resolution/ Decision
9	**CODI**	Review and approval of the Resolution and Minutes of the Meeting	• Review and approve Resolution and Minutes if found in order. Otherwise, shall return to the Personnel Officer for correction • Upon approval of all members present in the deliberation, forward the Minutes and Resolution to the Regional Director	
10	**Regional Director**	Reviews Recommendation	• Evaluates the recommendation of the CODI • May refer the resolution to the Legal Officer should there be concerns and issues • Action on the recommendation may be: ▪ Adopt the recommendation if found proper ▪ Reduce or impose higher penalty ▪ Such others acts the RD may deem proper • Forward to Finance and Administrative Division for preparation of	

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			administrative documents.	
11	**Chief of Finance and Administrative Division**	Implementation of the Decision	• Direct the Personnel Officer to prepare Memorandum or letter to the employee or officer concerned and other documents	
12	**Personnel Officer**	Preparation of Memorandum or Notice	• If the employee is found liable, prepare Memorandum citing the penalty. • If for dismissal or exoneration, prepare letter informing the employee or officer of the Decision/Resolution. • The complainant, if any shall be informed of the Comittee's decision	• Draft Memorandum
13	**Regional Director**	Review and Approval	• If found in order, approves the draft by affixing signature thereon • Otherwise, shall return the draft to the Personnel Officer/CODI/Legal officer as may be proper	
14	**Process Owner**	Retain records	• Update the Process Summary Log Sheet • Retain records in accordance with the Control of Retained Documented Information Procedure and the Masterlist of Records	• Process Summary Log Sheet • Control of Documented Information Procedure • Masterlist of Records

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DILG - REGION 12 (SOCCSKSARGEN)

QUALITY OBJECTIVE (QO)

Document Code		
QO-QP-R12-FAD-07		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

OFFICE	FINANCE & ADMINISTRATIVE DIVISION – PERSONNEL SECTION
QUALITY PROCEDURE TITLE	**HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL**

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)			
• **HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL**	• Preliminary investigation conducted within five (5) days from the receipt or institution of the complaint	90%	Total No. of Decision/Resolution acted within 5 days from receipt ----------X100 Total No. of complaint resolved within the month	• Monthly	• Personnel Officer	• Monitoring Log Sheet • Written Complaint • CODI's Resolution • Minutes of the Meeting
	• Decision/resolution acted within five (5) days from receipt	90%	Total No. of Preliminary Investigation conducted within 5 days from receipt or institution of the complaint ----------X100 Total No. of complaint received within the month	• Monthly	• Personnel Officer	

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PROCESS QUALITY MONITORING AND EVALUATION (QME)

Document Code		
QME-QP-R12-FAD-07		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

OFFICE	FINANCE & ADMINISTRATIVE DIVISION – PERSONNEL SECTION
PROCEDURE TITLE	**HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL**
OBJECTIVE STATEMENT	1. 90% of total no. of decision/resolution acted within five (5) days upon receipt. 2. 90% of total no. of preliminary investigation conducted within 5 days from receipt or institution of the complaint.
CURRENT PERIOD	

	INDICATORS		JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL
Objective 1: 90% of total no. of decision/resolution acted within five (5) days upon receipt.															
A	Total No. of decision/resolution acted														
B	Total No. of complaint resolved														
C	Formula: $\frac{A}{B} \times 100$	Target Result : 90%													
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)														
Objective 2: 90% of total no. of preliminary investigation conducted within 5 days from receipt or institution of the complaint															
A	Total No. of preliminary investigation conducted														
B	Total No. of complaints received within the month														
C	Formula: $\frac{A}{B} \times 100$	Target Result : 90%													
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 shall 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)

Document Code		
QME-QP-R12-FAD-07		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

OFFICE	FINANCE & ADMINISTRATIVE DIVISION – PERSONNEL SECTION
PROCEDURE TITLE	**HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL**
OBJECTIVE STATEMENT	1. 90% of total no. of decision/resolution acted within five (5) days upon receipt. 2. 90% of total no. of preliminary investigation conducted within 5 days from receipt or institution of the complaint.
CURRENT PERIOD	

	INDICATORS		JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	TOTAL
Objective 1: 90% of total no. of decision/resolution acted within five (5) days upon receipt.															
A	Total No. of decision/resolution acted														
B	Total No. of complaint resolved														
C	Formula: $\frac{A}{B} \times 100$	Target Result : 90%													
D	Gap Analysis: (In case the objective is not met, put your analysis why it is not met)														
Objective 2: 90% of total no. of preliminary investigation conducted within 5 days from receipt or institution of the complaint															
A	Total No. of preliminary investigation conducted														
B	Total No. of complaints received within the month														
C	Formula: $\frac{A}{B} \times 100$	Target Result : 90%													
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 shall 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	Division Chief / Deputy Q,MR

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HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL
Process Summary Logsheet (PSL)

Document Code		
FM-QP-R12-FAD-07-01		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 2

QUALITY OBJECTIVE: 1. 90% of total no. of decision/resolution acted within five (5) days upon receipt.
2. 90% of total no. of preliminary investigation conducted within 5 days from receipt or institution of the complaint.

FREQUENCY OF MONITORING: **Monthly**
COVERED PERIOD:
Due Date of Submission:

No.	Decision/ Resolution acted	Preliminary Investigation conducted	OBJECTIVE NO. 1 RESULTS						OBJECTIVE NO. 2 RESULTS					
			Date Received	Date Acted	No. of Days (Target=5 WD)	Met	Unmet	REMARKS, IF UNMET	Date Received	Date Initially Acted	No. of Days (Target=5 WD)	Met	Unmet	REMARKS, IF UNMET
1														
TOTAL														

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Process Owner	Deputy QMR

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HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL
Process Summary Logsheet (PSL)

Document Code		
FM-QP-R12-FAD-07-01		
Rev. No.	Eff. Date	Page
00	10.01.17	2 of 2

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Division: **FINANCE AND ADMINISTRATIVE DIVISION (PERSONNEL SECTION)**

MASTER LIST OF INTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL							
QP-RO12-FAD-07	Quality Procedure: Handling of Administrative Investigation of Personnel	10.01.17					
QO-QP-R12-FAD-07	Quality Objective: Handling of Administrative Investigation of Personnel	10.01.17					
QME-QP-R12-FAD-07	Quality Monitoring and Evaluation: Handling of Administrative Investigation of Personnel	10.01.17					
FM-QP-R12-FAD-07-01	Process Summary Logsheet: Handling of Administrative Investigation of Personnel	10.01.17					
FM-SP-R12-03A-01	Master List of Internal Documents: Handling of Administrative Investigation of Personnel	10.01.17					
FM-SP-R12-03B-01	Master List of External Documents: Handling of Administrative Investigation of Personnel	10.01.17					
FM-SP-R12-03C-01	Master List of Retained Documented Information: Handling of Administrative Investigation of Personnel	10.01.17					
FM-SP-R12-02-01A	Risk Registry (Objective): Handling of Administrative Investigation of Personnel	10.01.17					
FM-SP-R12-02-01B	Risk Registry (Process): Handling of Administrative Investigation of Personnel	10.01.17					

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Document Code		
FM-SP-R12-03B-01		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 1

Division: **FINANCE AND ADMINISTRATIVE DIVISION (PERSONNEL SECTION)**

MASTER LIST OF EXTERNAL DOCUMENTS

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL							
CSC MC No. 24 series 2017	2017 Omnibus Rules on Appointments and Other Human Resource Actions						
CSC Resolution No.	Revised Rules on Administrative Cases in the Civil Service						

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Division: **FINANCE AND ADMINISTRATIVE DIVISION (ACCOUNTING SECTION)**

MASTER LIST OF RETAINED DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL									
	WRITTEN COMPLAINT	PERSONNEL OFFICER	QMS SHELF CODI FOLDER	CODE OF DECORUM AND INVESTIGATION FOLDER	CHRONOLOGICAL ORDER	2 YEAR	3 YEAR	5 YEARS	SHREDDING
	NOTICE OF MEETING	PERSONNEL OFFICER	QMS SHELF CODI FOLDER/COMPUTER DESKTOP CODI FOLDER	CODE OF DECORUM AND INVESTIGATION FOLDER	CHRONOLOGICAL ORDER	2 YEAR	3 YEAR	5 YEARS	SHREDDING
	MEMORANDUM	PERSONNEL OFFICER	QMS SHELF/COMPUTER DESKTOP CODI FOLDER	CODE OF DECORUM AND INVESTIGATION FOLDER	CHRONOLOGICAL ORDER	2 YEAR	3 YEAR	5 YEARS	SHREDDING
	MINUTES OF MEETING	PERSONNEL OFFICER	QMS SHELF CODI FOLDER/COMPUTER DESKTOP CODI FOLDER	CODE OF DECORUM AND INVESTIGATION FOLDER	CHRONOLOGICAL ORDER	2 YEAR	3 YEAR	5 YEARS	SHREDDING
	RESOLUTION	PERSONNEL OFFICER	QMS SHELF CODI FOLDER/COMPUTER DESKTOP CODI FOLDER	CODE OF DECORUM AND INVESTIGATION FOLDER	CHRONOLOGICAL ORDER	2 YEAR	3 YEAR	5 YEARS	SHREDDING
QME-QP-R12-FAD-07	PROCESS QUALITY M&E	PERSONNEL OFFICER	QMS SHELF CODI FOLDER/COMPUTER DESKTOP CODI FOLDER	CODE OF DECORUM AND INVESTIGATION FOLDER	CHRONOLOGICAL ORDER	2 YEAR	3 YEAR	5 YEARS	SHREDDING
FM-QP-R12-FAD-07-01	PROCESS SUMMARY LOGSHEET	PERSONNEL OFFICER	QMS SHELF CODI FOLDER/COMPUTER DESKTOP CODI FOLDER	CODE OF DECORUM AND INVESTIGATION FOLDER	CHRONOLOGICAL ORDER	2 YEAR	3 YEAR	5 YEARS	SHREDDING

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RISK REGISTRY
(A) OBJECTIVE RISK ASSESSMENT

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION - PERSONNEL SECTION**
PROCEDURE: **HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL**

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
• 90% Percentage of written complaint acted within three (3) months upon receipt. (Receipt to implementation)	No alternates/ understudy	Regional Management and CODI	Delayed action on the written complaint by the CODI and Regional Management	Focal person/process owner is on travel or is on sick leave/Quorum	Non-compliance to ARTA & QMS Process	organizatio n of the CODI	5	2	1	10	L	NS	NO ACTION	3	NA	NA	NA	NA
• 100 % Complaint initially acted by CODI within 15 days upon receipt	Overlapping of regional and central activities																	

RISK ASSESSMENT:	RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED		RPN
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme	1 - 25	LOW	Not Significant	**No further action required** (Retain risk by in		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 ne		2
DETECTION 1 - Very likely, 2 - Likely; 3 - Low, 4 - R	>40	HIGH	Significant	**Control** (e.g., Treat/Mitigate Transfer, Termina		1

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FM-SP-R12-02-01B		
Rev. No.	Eff. Date	Page
00	10.01.17	1 of 1

RISK REGISTRY
(B) PROCESS RISK ASSESSMENT

DIVISION: **FINANCE AND ADMINISTRATIVE DIVISION – PERSONNEL SECTION**
PROCEDURE: **HANDLING OF ADMINISTRATIVE INVESTIGATION OF PERSONNEL**

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/ Evaluation of complaint	facts not enough to support allegations	client's complaint	Non-cooperation by one branch or the other in the implementation of PPAs	subject the concerned personnel to administrative investigation thru the organized committee on decorum and investigation	5	3	2	30	M	NS	NA	2	constant reminders to the field officers and staff to strictly adhere in the RA 6713	operating unit heads	annually	integrate in the retooling actvities of the field officers and staff
Implementation of the Decision	resistance to decision by both parties	unfavorable decision	delayed implementation of the decision	issue memorandum to immediate supervisor	5	3	2	30	M	NS	NA	2				
			non-implementation of decision	none	4	1	3	12								

RISK ASSESSMENT:		RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED		RPN
IMPACT:	1-Insignificant; 2-Minor;	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							

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