



QUALITY MANAGEMENT SYSTEM

OFFICE OF THE OMBUDSMAN
Agham Road, Diliman, Quezon City

This manual is owned by the Office of the Ombudsman and should not be reproduced in whole or in part or otherwise disclosed without prior written permission from the Office of the Ombudsman. The official controlled copy of this manual is an uneditable PDF file found in the official website of the Office. All printed and electronic copies of this document are considered uncontrolled copies which may be used for reference only, except the one accessible at the OMB website.

Scope : Frontline Services

Effectivity : January 1, 2017

	QUALITY SYSTEM MANUAL	Page No.	1 of 2
		Revision No.	00
	Table of Contents	Code	QSM 1.0
		Effectivity	January 1, 2017

CODE	TITLE OF MANUAL	NO. OF PAGES
QSM 1.0	Table of Contents	2
QSM 2.0	Quality Manual	26
QSM 3.0	Control of Documents	3
QSM 4.0	Control of Records	3
QSM 5.0	Control of Nonconforming Services	2
QSM 6.0	Corrective Action	3
QSM 7.0	Preventive Action	3
QSM 8.0	Internal Quality Audit	7
PWIM 1.1	Personal Application for Ombudsman Clearance	7
PWIM 1.1.1	Verification of Clearance Applicant's Information	7
PWIM 1.1.2	Printing of Ombudsman Clearance or Certification	3
PWIM 1.2	Application for Clearance Through Other Modes	11
PWIM 2.1	Receipt of Personally Filed New Complaint	4
PWIM 2.1.1	Encoding of New Complaint in the CCMS	2
PWIM 2.2	Receipt of New Complaint Through Mail/Courier	2
PWIM 2.3	Receipt of Online Complaint	2
PWIM 3.1	Receipt of Pleading Filed or Served Personally	4
PWIM 3.2	Receipt of Pleading Through Mail/Courier	2
PWIM 4.1	Release of Case Information for Walk-in Request	4
PWIM 4.1.1	Accessing Case Information from the CCMS	4
PWIM 4.2	Release of Case Information with Written Request	3
PWIM 5.0	Action on Requests for Copies of Case Documents	4
PWIM 6.1	Receipt of Personally Filed Requests for Assistance	7

All printed and electronic copies of this document are considered uncontrolled copies which may be used for reference only, except the one accessible on the OMB website.

	QUALITY SYSTEM MANUAL	Page No.	2 of 2
		Revision No.	00
	Table of Contents	Code	QSM 1.0
		Effectivity	January 1, 2017

CODE	TITLE OF MANUAL	NO. OF PAGES
PWIM 6.2	Receipt of Requests for Assistance Through Mail	3
PWIM 6.3	Receipt of Online Requests for Assistance	3
PWIM 6.4	Disposition of Requests for Assistance	4
PWIM 7.1	Action on Requests for a Copy of SALN	4
PWIM 7.2	Action on Requests for In Camera Inspection of SALN	4
PWIM 8.1	Client Feedback	2
PWIM 8.2	Redress of Client Complaints and Grievances	2

Prepared by:	Reviewed by:	Approved by:
 ALAN R. CAÑARES Director, PACPB-MOLEO	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

All printed and electronic copies of this document are considered uncontrolled copies which may be used for reference only, except the one accessible on the OMB website.

	QUALITY SYSTEM MANUAL	Page No.	1 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

CONTENTS OF THE QUALITY MANUAL

This Quality Manual contains the following:

SECTION	CONTENTS	PAGE
1.0	INTRODUCTION	3
1.1	Objectives of the Quality Manual	3
1.2	Abbreviations and Acronyms	3
2.0	ORGANIZATIONAL PROFILE	4
2.1	Mandate	4
2.2	Vision	5
2.3	Mission	5
2.4	Core Values	5
2.5	Organizational Structure	5
2.6	Frontline Service Delivery	7
2.7	Powers and Functions	7
2.8	Areas of Operation	8
3.0	QUALITY MANAGEMENT SYSTEM	9
3.1	Quality Management System Model	9
3.2	Scope and Exclusions	9
3.3	Documentation Structure	10
3.4	System of Amendment and Revision	11
3.5	Distribution	12
4.0	MANAGEMENT RESPONSIBILITY	12
4.1	Management Commitment	12
4.2	Quality Policy and Quality Objectives	12
4.3	Quality Management System Planning	14
4.4	Quality Management Structure	14
4.5	Responsibility and Authority	15
4.6	Management Review	16

	QUALITY SYSTEM MANUAL	Page No.	2 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

SECTION	CONTENTS	PAGE
5.0	QUALITY PROCEDURES	16
5.1	Documents Control	16
5.2	Records Control	17
5.3	Control of Nonconformity	17
5.4	Corrective and Preventive Actions	18
5.5	Client Feedback Mechanism	18
6.0	RESOURCE MANAGEMENT	19
6.1	Human Resource Management	19
6.2	Infrastructure Management	19
6.3	Work Environment	19
7.0	SERVICE REALIZATION	20
7.1	Issuance of an Ombudsman Clearance	20
7.2	Receipt of New Complaint	20
7.3	Receipt of Pleadings and Other Case-Related Documents	21
7.4	Verification of Case Status and Release of Case Information	21
7.5	Processing of Request for a Copy of Documents	22
7.6	Action on Requests for Assistance	22
7.7	Issuance of a Copy of SALN	23
8.0	MEASUREMENT, ANALYSIS, AND IMPROVEMENT	24
8.1	Monitoring and Measurement	24
8.2	Internal Quality Audit	25
8.3	Continual Improvement	25

	QUALITY SYSTEM MANUAL	Page No.	3 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

1.0 INTRODUCTION

1.1 Objectives of the Quality Manual

This Quality Manual of the Office of the Ombudsman provides policies, systems and procedures, documents, and requirements to continuously improve delivery of its frontline services consistent with the policy thrust of the Office to enhance efficiency, effectiveness, transparency, accountability, credibility, and responsiveness in the performance of its mandate.

The Quality Manual aims to:

- provide the public with prompt, responsive and adequate frontline services;
- ensure that relevant and quality standards are implemented in all offices involved in the delivery of frontline services;
- establish a documented information system that will lay down the service processes, procedures, policies, requirements, and forms, among others;
- guide the institution in the periodic review of the processes and systems to continually enhance and improve key services; and
- identify the responsibilities and accountabilities of concerned officials and personnel within the system.

Essentially, this QM contains the general information about the OMB and its selected areas of operation. It also includes its responsibilities, operational control and supervision, the operating procedures, and control of records and documents.

1.2 Abbreviations and Acronyms

CRD - Central Records Division

CREMEB - Case Records, Evaluation, Monitoring, and Enforcement Bureau

OFA - Other Forms of Assistance

OMB - Office of the Ombudsman

PAB - Public Assistance Bureau

QM – Quality Manual

	QUALITY SYSTEM MANUAL	Page No.	4 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

QMR - Quality Management Representative

QMS - Quality Management System

RAS - Request for Assistance

SALN - Statement of Assets, Liabilities and Networth

2.0 Organizational Profile

2.1 Mandate

The 1987 Constitution declares that the State shall maintain honesty and integrity in the public service and take positive and effective measures against graft and corruption (Art. II, Sec. 27). It also declares the avowed State policy that public office is a public trust and that public officers and employees must at all times be accountable to the people, serve them with utmost responsibility, integrity, loyalty, and efficiency, act with patriotism and justice, and lead modest lives (Art. XI, Sec. 1).

To give life to the declared policy, the Constitution created the Office of the Ombudsman as an independent constitutional authority with full powers and authority to see to it that the actions of all public officials and employees conform to the standards of the Constitution. Republic Act No. 6770 (Ombudsman Act of 1989) was enacted to operationalize the OMB's mandate as the lead anti-corruption agency of the government. To fulfill its constitutional and statutory mandates, the OMB discharges four major functions:

1. *Investigation.* The OMB has the power to investigate on its own or on complaint by any person, any act or omission of any public officer or employee, office or agency, when such act or omission appears to be illegal, unjust, improper or inefficient.

2. *Prosecution.* The OMB, through the Office of the Special Prosecutor, has the exclusive authority to prosecute cases against erring public officials and their cohorts before the Sandiganbayan. It can also prosecute criminal cases involving public officials and employees before the regular courts.

3. *Public Assistance.* The OMB extends assistance to people who complain against official inaction or impropriety. It is clothed with the authority to direct any public official or employee to perform and expedite any act or duty required by law, or to stop, prevent, and correct any abuse or impropriety in the performance of duties.

	QUALITY SYSTEM MANUAL	Page No.	5 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

4. *Corruption Prevention.* The OMB is empowered to take effective measures, both reactionary and preventive, against graft and corruption. It has the duty to determine the causes of inefficiency, red tape, mismanagement, fraud and corruption in government, and make recommendations for their elimination and the observance of high standards of ethics and efficiency.

2.2 Vision

A truly independent office run by God-fearing men and women with the highest degree of competence, honesty and integrity and effectively serving as watchdog, mobilizer, official critic and dispenser of justice for the people it is constitutionally mandated to protect.

2.3 Mission

As protectors of the people, we shall endeavor, in cooperation with all sectors of the Filipino society, to promote integrity and efficiency and high ethical standards in public service through proactive approaches in graft prevention and public assistance, prompt investigation of complaints and aggressive prosecution of cases filed against erring public officials and employees.

2.4 Core Values

The OMB adheres to the fundamental principle that public office is a public trust. Public officers and employees must at all times be accountable to the people, serve them with utmost *responsibility, integrity, loyalty, and efficiency*, act with patriotism and justice, and lead modest lives (*Sec. 1, Art. XI, 1987 Constitution*). Toward this end, Ombudsman officials and employees shall always uphold the public interest over and above personal interest, perform and discharge their duties with the highest degree of excellence, professionalism, intelligence and skill, and extend prompt, courteous, and adequate service to the public.

2.5 Organizational Structure

The Office of the Ombudsman is led by the Ombudsman also known as Tanodbayan, ably supported by the Overall Deputy Ombudsman, the Deputy Ombudsmen for Luzon, Visayas, Mindanao, and the Military and Other Law Enforcement Offices (MOLEO), and the Special Prosecutor.

The Ombudsman, Overall Deputy Ombudsman, Deputy Ombudsmen for Luzon and MOLEO, and the Special Prosecutor hold office in Quezon City. The Deputy Ombudsmen

	QUALITY SYSTEM MANUAL	Page No.	6 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

for Visayas and Mindanao are stationed in the cities of Cebu and Davao, respectively. There are regional offices in the cities of Iloilo, Tacloban and Cagayan de Oro.

The Office of the Overall Deputy Ombudsman oversees and administers the operations of the different offices and performs such other functions and duties assigned by the Ombudsman such as the review of cases involving low-ranking officials. The Office of the Deputy Ombudsman for Luzon, Visayas, and Mindanao performs various functions and duties of the Ombudsman within their respective geographical jurisdictions.

The Office of the Deputy Ombudsman for MOLEO has jurisdiction over officials and personnel of the Armed Forces of the Philippines, Philippine National Police, Bureau of Fire Protection, Bureau of Jail Management and Penology, Bureau of Corrections, and other agencies of the government involved in law enforcement.

The Office of the Special Prosecutor prosecutes criminal cases within the jurisdiction of the Sandiganbayan under the supervision and control of the Ombudsman. It also litigates civil cases for forfeiture of unexplained wealth.

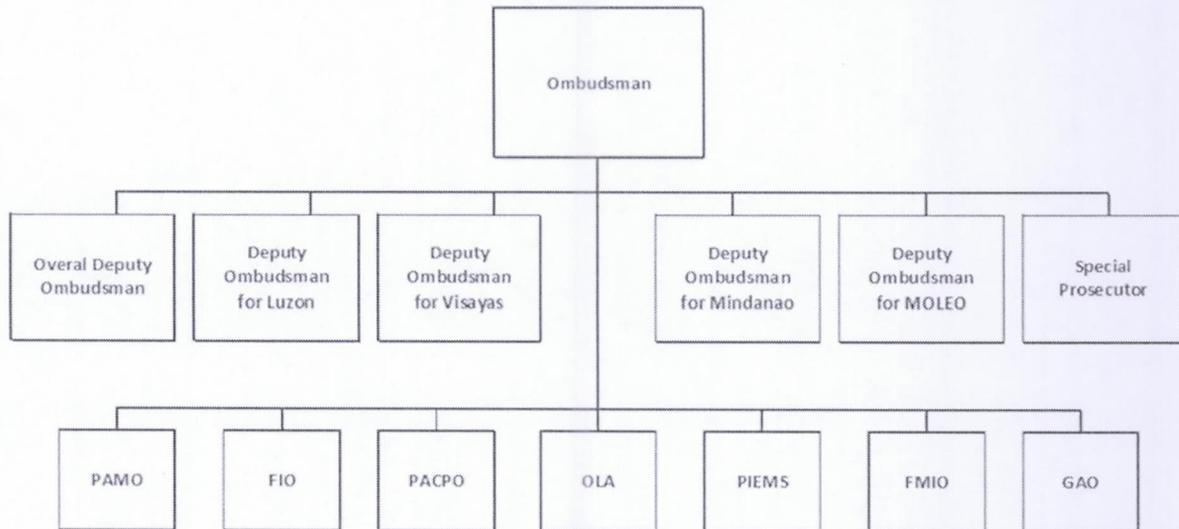
There are various directorates and allied services under the Ombudsman, with counterpart bureaus or units in the area/sectoral offices. These are the following:

1. Field Investigation Office (FIO)
2. Preliminary Investigation, Administrative Adjudication, and Monitoring Office (PAMO)
3. Prosecution, Information, Evaluation, and Monitoring Service (PIEMS)
4. Public Assistance and Corruption Prevention Office (PACPO)
5. Office of Legal Affairs (OLA)
6. Finance and Management Information Office (FMIO)
7. General Administration Office (GAO)

Additionally, there are various bureaus and divisions under each office with specific functions. The area/sectoral offices of the OMB generally have the same set-up as the central office.

	QUALITY SYSTEM MANUAL	Page No.	7 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

Figure 1. Organizational Structure of the OMB



2.6 Frontline Service Delivery

The OMB acknowledges the strategic importance of its frontline service delivery units in its interface with the public. These offices are specifically tasked to cater to the needs of the public who directly access services from the OMB.

For purposes of this Quality Manual, the frontline units refer to the Public Assistance Bureau in the central office and the Public Assistance and Corruption Prevention Bureaus in area/sectoral offices, as well as to the Central Records Division in the central office and its counterpart sections in the area/sectoral offices under the Case Records, Evaluation, Monitoring, and Enforcement Bureaus.

2.7 Powers and Functions

The OMB has the following powers and functions pertinent to frontline service delivery:

1. Investigate on its own or on complaint by any person, any act or omission of any public officer or employee, office or agency, when such act or omission appears to be illegal, unjust, improper or inefficient. *(Sec. 15(1) R.A. No. 6770; see also Sec. 13(1), Article XI, 1987 Constitution);*



QUALITY SYSTEM MANUAL	Page No.	8 of 26
	Revision No.	01
Quality Manual	Code	QSM 2.0
	Effectivity	January 1, 2017

2. Direct, upon complaint or at its own instance, any officer or employee of the Government, or of any subdivision, agency or instrumentality thereof, as well as any government-owned or controlled corporations with original charter, to perform and expedite any act or duty required by law, or to stop, prevent, and correct any abuse or impropriety in the performance of duties (*Sec. 15(2) R.A. No. 6770; see also Sec 13(2) Article XI, 1987 Constitution*);

3. Direct the officer concerned to take appropriate action against a public officer or employee at fault or who neglects to perform an act or discharge a duty required by law (*Sec. 15(3) R.A. No. 6770; see also Sec 13(3), Article XI, 1987 Constitution*);

4. Request any government agency for assistance and information necessary in the discharge of its responsibilities, and to examine, if necessary, pertinent records and documents (*Sec. 15(5), R.A. No.6770; see also Sec. 13(5), Article XI, 1987 Constitution*);

5. Determine the causes of inefficiency, red tape, mismanagement, fraud, and corruption in the Government and make recommendations for their elimination and the observance of high standards of ethics and efficiency (*Sec 15(7) R.A. No. 6770; see also Sec 13(7), Article XI, 1987 Constitution*);

2.8 Areas of Operation

The OMB continuously enhances its institutional capacity to discharge its functions efficiently and effectively to fulfill its constitutional mandate. It invests in its human resources, strengthens its structures and systems, and reinforces its alliance with partners and stakeholders to beef up its arsenal in the war against corruption.

The main office of the OMB is located along Agham Road, Diliman, Quezon City. The Office of the Overall Deputy Ombudsman, Office of the Deputy Ombudsman for Luzon, Office of the Deputy Ombudsman for the Military and Other Law Enforcement Offices (MOLEO), and the Office of the Special Prosecutor (OSP) are also in the same building.

An annex building inaugurated in 2015 is located at the back of the old building to accommodate the growing personnel complement of the Office.

OMB-Luzon has an extension office in Rosales, Pangasinan which serves as a training center for its personnel and off-site records keeping facility.

	QUALITY SYSTEM MANUAL	Page No.	9 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

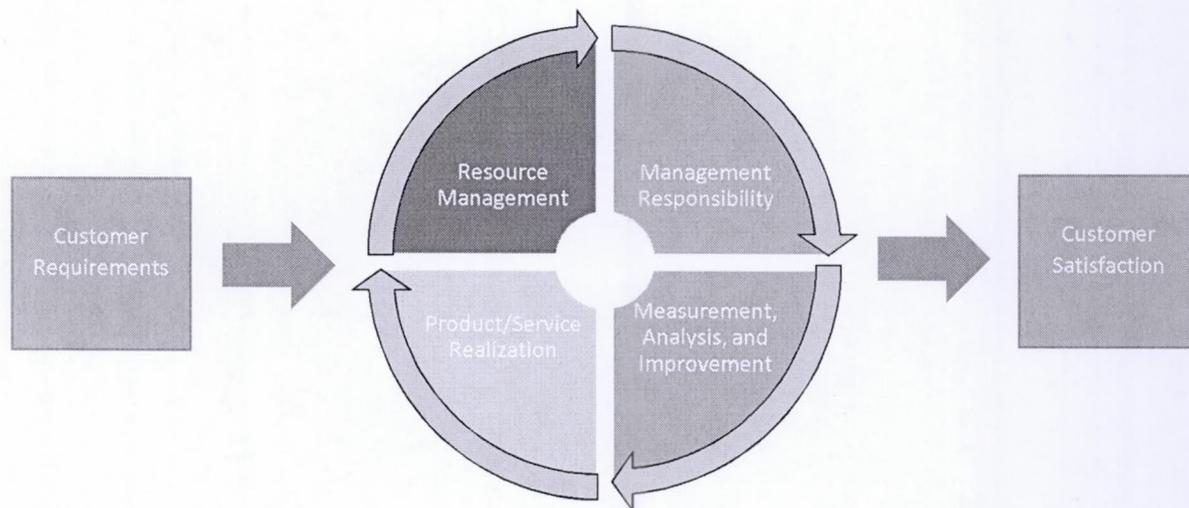
The Office of the Deputy Ombudsman for the Visayas is located in Cebu City with regional offices in the cities of Iloilo and Tacloban while OMB-Mindanao is located in Davao City with a regional office in Cagayan de Oro City.

3.0 Quality Management System

3.1 Quality Management System Model

The OMB adopts a process-based quality management system model patterned after the ISO 9001 certification consisting of two interacting processes: internal and external. The figure below sums up the OMB QMS and how the internal processes of the OMB produce customer satisfaction as the end result.

Figure 2. The OMB Quality Management System Model



3.2 Scope and Exclusions

The OMB-QM shall be adopted in the Central Office and in the area/sectoral offices in Luzon, Visayas, Mindanao and the Military and Other Law Enforcement Offices (MOLEO), as well as in the Office of the Special Prosecutor, whenever applicable.

This QM covers the key processes in the delivery of the following frontline services:



QUALITY SYSTEM MANUAL	Page No.	10 of 26
	Revision No.	01
Quality Manual	Code	QSM 2.0
	Effectivity	January 1, 2017

- Issuance of Ombudsman Clearance
- Receipt of New Complaint
- Receipt of Pleadings and Submission of Other Documents Related to Existing Case
- Verification of the Status of Case and Release of Case Information
- Issuance of a Copy of Case Document
- Receipt of Request for Assistance
- Issuance of a Copy of Statement of Assets, Liabilities and Net Worth

The processes covered by this QM pertain to frontline services directly accessed by the public from the Public Assistance Bureaus and Records Divisions/Sections for which a Citizen's Charter containing details on how to access these services, have been prepared and disseminated to the staff. Frontline services of other offices, bureaus, or units are excluded as these have not been identified in the Citizen's Charter.

3.3 Documentation Structure

The OMB Quality Management System includes all documents needed for the effective planning, control, operation, and enhancement of its processes. It follows a documentation structure consisting of five (5) levels described below:

Level	References (Internal and External)	Description / Purpose
1	National Legislations and Implementing Rules and Regulations	These comprise the highest level of QMS documentation. They include the Constitution, anti-graft laws and related legislations, and their implementing rules and regulations which serve as basis for policy-making.
2	Quality Manual	The QM is a concise reference manual which contains a clear statement of the OMB quality policy and the ways and means of assuring quality. It also seeks to standardize the procedures of the OMB in frontline service delivery.

	QUALITY SYSTEM MANUAL	Page No.	11 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

3	Institutional Policies and Commitments	These include a record of all OMB issuances consisting of memoranda, office circular, and office orders. They also include documents pertaining to international and domestic commitments of the OMB such as memoranda of agreement or understanding with the Department of Justice (DOJ), National Police Commission (NAPOLCOM), Civil Service Commission (CSC), Commission on Audit (COA), etc., conventions such as UNCAC, and national plans such as the Medium Term Philippine Development Plan (MTPDP).
4	Procedure and Work Instruction Manuals	The PWIMs serve as standard reference on the operational processes for frontline service delivery. They contain a detailed procedure and complete set of instructions to guide the frontline personnel in achieving the quality objectives defined for each process.
5	Quality Records	The Quality Records consist of all records evidencing compliance with the QM and Procedure and Work Instruction Manuals (PWIMs) to facilitate monitoring.

3.4 System of Amendment and Revision

Any change, revision or introduction of new procedures, services and structure may require amendments to the existing QM. A re-issue of this QM shall be published and distributed reflecting such changes in the key processes and/or the organizational structure.

Requests for amendment or revision to the QM shall be made in writing to the Quality Management Representative (QMR) who shall refer it to the Quality Management System-Core Team (QMS-Core Team) for review and consideration to ensure that such changes are warranted under the circumstances.

	QUALITY SYSTEM MANUAL	Page No.	12 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

After review, all recommended revisions shall be presented to the QMR to ensure the effective implementation of the QMS. The QMR shall endorse the revised QM to the Ombudsman as the Quality Assurance Champion for approval. Upon approval, the QM is updated to reflect the changes and released as a revised QM.

3.5 Distribution

The QM is a read-only document. All employees and other interested parties may download the same from the OMB file server, website, or intranet but the printed copies and any electronic copies are considered uncontrolled and used as reference only.

4.0 MANAGEMENT RESPONSIBILITY

4.1 Management Commitment

The leadership of the Office of the Ombudsman is committed to the development and improvement of an effective Quality Management System. This commitment is manifested by:

- Establishing the Ombudsman Quality Policy for commitment to excellence and quality objectives in frontline service delivery. The Quality Policy is published in the OMB Citizen's Charter as a performance pledge and displayed at all transaction areas and conspicuous spots within the office premises in tarpaulin posters.
- Communicating to all officials and employees within the organization the importance of complying with the mandatory provisions of applicable laws and exceeding client expectations.
- Continuously acquiring necessary equipment and other resources and building the capability of its frontline staff to ensure quality.
- Conducting management reviews for continual improvement.

4.2 Quality Policy and Quality Objectives

The leadership of the OMB is mindful of the standards espoused under R.A. 6713 (Code of Conduct and Ethical Standards for Public Officials and Employees) in the discharge of its mandate under the Constitution. Towards this end, the following quality policy is established:

	QUALITY SYSTEM MANUAL	Page No.	13 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

THE OFFICE OF THE OMBUDSMAN, AS PROTECTOR OF THE PEOPLE, IS COMMITTED TO INTEGRITY AND EXCELLENCE IN THE DISCHARGE OF ITS CONSTITUTIONAL MANDATE BY UPHOLDING A HIGH STANDARD OF ETHICS, EXCEEDING THE EXPECTATIONS OF THE PUBLIC, AND CONTINUALLY IMPROVING OUR QUALITY MANAGEMENT SYSTEMS.

The top management of the OMB established pertinent quality objectives at all levels within the office. These objectives are aligned to the OMB Strategic Plan 2011-2018 which contains the Policy Thrust and Eight-Point Priorities of the present leadership. They are identified during the annual corporate planning and reviewed by the management through the Executive Committee.

In the discharge of its function to render assistance to the public through its frontline service delivery units, its leaders acknowledge that to be effective, it is imperative to determine, understand, and satisfy the needs of the clients who access its services to exceed their expectations. For this purpose, the OMB adopts the following quality objectives to be achieved by the Public Assistance Bureau and its counterpart bureaus in area/sectoral offices, by the Case Records, Evaluation, Monitoring, and Enforcement Bureau of all offices, and by all other frontline service delivery units, in the form of a performance pledge:

WE, the officials and employees of the Office of Ombudsman, as protectors of the people sworn to serve with utmost responsibility, integrity, loyalty, and efficiency, commit to:

RENDER service to anyone who wants to avail of the services of our office;

EXTEND prompt, courteous, and adequate service without anticipating any gift or reward;

ACHIEVE the highest degree of excellence, professionalism, intelligence and competence;

DESIST from dispensing undue favors to our relatives and friends, and from discriminating against the poor and underprivileged; and

YEARN to strictly observe these standards by taking corrective measures on complaints about our service.

	QUALITY SYSTEM MANUAL	Page No.	14 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

YES, we are R.E.A.D.Y.!

The Strategic Plan stresses the client focus of the quality objectives. It provides that the OMB shall render meaningful, responsive, and relevant public assistance. Accordingly, all front-line service units shall extend prompt, courteous and adequate service to the public. Efforts should be made to meet, if not exceed, the reasonable expectations of the public. Moreover, a system for active handling of customer feedback and redress of grievance, including integration into the performance evaluation of the concerned action officer, shall be established to ensure compliance with this standard of public service delivery.

The top management ensures that the quality policy and quality objectives of the OMB are understood by its officials and employees. This is made possible through trainings and orientation. All personnel that directly interface with clients are obliged to elicit from the clients their needs and expectations and bring them to the attention of top management for appropriate policy intervention. The office also monitors, measures, and analyzes customer satisfaction for continual improvement.

4.3 Quality Management System Planning

The OMB ensures that its operational plans and programs for a particular year are consistent with its Policy Thrust and Eight-Point Priorities. It conducts annually at the start of the year a strategic planning where strategic objectives are set and reviewed and the agency's strengths, weaknesses, opportunities, and threats as well as its performance for the previous year are assessed. Its work programming and budget proposal for the year follows the budget cycle of the Department of Budget and Management (DBM). Various delivery units identify their plans, activities, and projects (PAPs) based on planning guidelines issued by the Planning and Budget Division which consolidates the operational plans into the agency plan submitted to the DBM and eventually to Congress.

4.4 Quality Management Structure

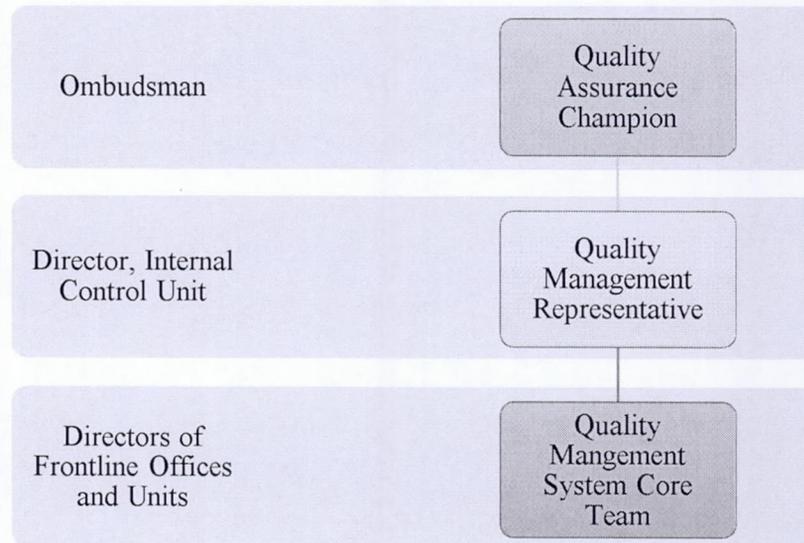
The OMB has established a structure for the quality management system as shown in the next page.

The quality management structure has three levels. At the top of the structure is the Ombudsman as Quality Assurance Champion. The Ombudsman is ably assisted by the Director of the Internal Control Unit as the Quality Management Representative. At the base

	QUALITY SYSTEM MANUAL	Page No.	15 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

of the structure is the Quality Management System Core Team composed of the Directors of the Public Assistance Bureau and its counterpart in area/sectoral offices and the Case Records, Evaluation, Monitoring, and Enforcement Bureaus of all offices including the Chief of the Central Records Division.

Figure 3. OMB Quality Management Structure



4.5 Responsibility and Authority

The specific duties and responsibilities of each unit in the OMB's quality management structure are as follows:

Ombudsman as Quality Assurance Champion

- Approves the QMS and its subsequent revisions;
- Ensures that the goals of the QMS are attained; and
- Motivates and inspires the workforce of the organization.

Quality Management Representative

- Oversees the effective implementation and maintenance of the established QMS;
- Accounts to the Quality Assurance Champion the performance of quality management systems, its relevance, and areas for further innovation;

	QUALITY SYSTEM MANUAL	Page No.	16 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

- Guarantees the increase of consciousness of meeting the clients'/public's requirements within the relevant scope of OMB Quality Management Systems;
- Coordinates with external partners on concerns and issues relating to the OMB-QMS; and
- Performs specific functions assigned under the QM. (*Ref. 5.1 to 5.4, 8.2*)

Quality Management System Core Team

- Assists the QMR in the effective planning, implementation, maintenance and continuous enhancement of the QMS; and
- Assists the QMR in carrying out the assigned duties and responsibilities.

4.6 Management Review

The OMB recognizes the need to continually improve its QMS. Towards this end, a review of the established QMS shall be conducted annually or as often as necessary as determined by the QMR to ensure that the system achieves its goal of exceeding customer expectations in the delivery of frontline services. The review covers, among other things, the results of internal quality audits, review of client feedback, status of implementation of corrective and preventive actions, and such other matters affecting the operation of the QMS.

5.0 QUALITY PROCEDURES

5.1 Documents Control

The OMB adopts the standards for control of documents prescribed under Sub-Clause 4.2.3 of ISO 9001:2008 and has identified various methods of addressing the requirements of the certification.

The OMB QMS Manual and other related procedures are reviewed and approved by the QMR prior to issue and revision. They are reviewed annually as part of the management review process. All changes in documents are initiated by a written request from the proponent. Approved changes are noted in the revision history of the affected document and its revision status shall be identified by a number. To identify the current revision status of documents, the QMR maintains a master list of controlled documents. He/She also maintains a distribution history for issued documents to make sure that all concerned personnel have current documents. This will prevent the use of incorrect, invalid or obsolete documents.

	QUALITY SYSTEM MANUAL	Page No.	17 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

Obsolete documents are identified, retrieved, and properly disposed of, retaining only the obsolete original copy of the document. Personnel may access electronic copies of documents from the file server. Printed copies of the controlled copies are considered uncontrolled and may be used as reference only.

The procedure for document control is described in QSM 6.0.

5.2 Records Control

The OMB adopts the standards for control of records prescribed under Sub-Clause 4.2.4 of ISO 9001:2008 and has identified various methods of complying with the requirements of the certification.

All offices, bureaus, divisions, and sections maintain pertinent quality records and ensure that they are easily identified and retrieved and remain legible. These records are kept in suitable storage facilities that prevent their deterioration, damage, or loss. Areas for safekeeping are made free from unauthorized access. Only authorized personnel can remove these records from storage facilities but the removal is documented in a logbook to be maintained for the purpose. Records are disposed of at the end of their retention period and in a prescribed manner of disposal, both consistently with R.A. 9470 (National Archives of the Philippines Act of 2007) and NAP General Circular Nos. 1 and 2 regarding the General Records Disposition Schedule.

The procedure for records control is described in QSM 7.0.

5.3 Control of Nonconformity

The OMB adopts the standards for control of nonconforming product/services prescribed under Sub-Clause 8.3 of ISO 9001:2008 and has identified various methods of addressing the requirements of the certification to prevent the delivery of the nonconforming services to its clients.

The office deals with the nonconforming service by taking action either to eliminate the detected nonconformity or preclude its original intended use or application. When a service nonconformity is identified, the circumstances surrounding the nonconformity are documented in a critical incident report which serves as the primary record for documenting the nature of the nonconformity and any subsequent actions taken. All reports are maintained by the QMR. When a nonconforming service is corrected and processed for use, it is re-

	QUALITY SYSTEM MANUAL	Page No.	18 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

verified and this is documented on the critical incident report. When a nonconforming product is reported by a client, the nonconformity is treated as a client grievance or complaint and acted upon accordingly.

The procedure for control of nonconforming services is described in QSM 5.0.

5.4 Corrective and Preventive Action

The OMB adopts the standards for corrective and preventive actions prescribed under Sub-Clause 8.5.2 and 8.5.3 of ISO 9001:2008 and has identified various methods of meeting the requirements of the certification to promptly and sufficiently address the nonconformities.

As a standard course of action, the QMR reviews all critical incident reports and client grievances and complaints to evaluate if there is a need for corrective and/or preventive action. If there is such a need, a root cause investigation is conducted and the results thereof properly documented. Recommended actions should have the effect of mitigating if not eliminating the root cause/s identified. The QMR monitors the implementation of the recommended actions to prevent the recurrence of the nonconformities.

The procedure for corrective action is described in QSM 6.0. That for preventive action is described in QSM 7.0.

5.5 Client Feedback Mechanism

The OMB values the feedback of the clients who directly access its frontline services. The information derived from feedback, whether positive or negative, is useful in determining the level of satisfaction of clients to aid the OMB in decision making on what and how to improve its systems and procedures. Feedback also allows the OMB to ensure that the present quality of services meet or exceed the expectations of its clients which is its standard in service delivery.

Feedback may consist of comments or suggestions written in the feedback instrument or a complaint or grievance filed in whatever form or manner. It may also consist of commendations either expressly stated or in writing in the form of letters or email.

The procedure for eliciting feedback, and tabulation and analysis of results is described in PWIM 8.1. The procedure for handling of client complaint and grievance, on the other hand, is described in PWIM 8.2.

	QUALITY SYSTEM MANUAL	Page No.	19 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

6.0 RESOURCE MANAGEMENT

6.1 Human Resource Management

The OMB regards its human resources as its most important resource critical to the effective and efficient discharge of its mandate under the Constitution and law. For this reason, an effective management of human resources is imperative in the implementation of the QMS.

Personnel assigned in frontline service delivery units should be qualified and competent based on their educational background, training, skills, experience, work attitude, and personal attributes. To enhance their competence, personnel should receive adequate training and appropriate personnel interventions. A training and development plan is developed for this purpose by the OMB National Integrity Center in collaboration with the Human Resource Management Division and updated periodically. The effectiveness of the training is assessed to justify the investment.

6.2 Infrastructure

The OMB provides and maintains for its personnel the necessary infrastructure support for an efficient and effective discharge of their function to deliver the services accessed by its clients. Infrastructure includes a convenient work station and accessory facilities, process equipment such as computers including the hardware and software, printers, and reproduction machines, and communication facilities such as telephone, fax, internet and intranet service, and computer networks.

The OMB also provides and maintains adequate infrastructure for its clients for their comfort when accessing its services. This includes clean restrooms, parking areas, and canteen services.

6.3 Work Environment

The OMB top management promotes the welfare of its personnel by providing and maintaining a conducive work environment that ensures the effective and efficient discharge of their functions. Work stations are provided with modular partitions for the privacy of the personnel. Rooms are provided by sufficient lighting and air-conditioning for the convenience of the personnel and their clients. The personal security of personnel is assured through the provision and maintenance of a security force and a network of surveillance

	QUALITY SYSTEM MANUAL	Page No.	20 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

cameras to prevent critical incidents such as loss of personal items and infliction of harm by irate clients.

7.0 SERVICE REALIZATION

7.1 Issuance of an Ombudsman Clearance

Consistent with the constitutional provisions on accountability of public officers and in line with the statutory mandate of the OMB on the enforcement of administrative, civil and criminal liability of public officers, it has adopted a set of guidelines in the issuance of Ombudsman Clearance to set up a control mechanism in preserving the integrity of the clearance as an official document used in the processing of appointments, promotions, retirements, transfers, resignation, travels, grant of service awards and scholarship in the public service, and for other purposes.

The PAB- Clearance Unit is in charge of the issuance of Ombudsman Clearance in the Central Office. The Clearance Section in OMB-Visayas and OMB-Mindanao issue the clearance filed in Cebu and Davao City, respectively.

The Ombudsman Clearance is issued in case the applicant has no pending case while the Ombudsman Certification is issued in case the applicant has pending case/s.

To ensure the quality of the issued Ombudsman Clearance, the processors/verifiers see to it that the data stated therein are accurate. Strict adherence to the response time to act on the issuance of the Ombudsman Clearance based on the OMB Citizen's Charter is observed. The designated signatories also make sure that all information reflected on the clearance are correct by reviewing the application.

The entire process of receiving new application must be completed in seventy (70) minutes. (Ref. PWIM 1.1, 1.1.1, 1.1.2, and 1.2)

7.2 Receipt of New Complaint

Pursuant to R.A. 6770 Sec. 13, it is the mandate of the OMB as protector of the people to act promptly on complaints filed in any form or manner against officers or employees of the Government.

The Records Division/Records Unit under CREMEB is tasked to receive complaint-affidavit/letter-complaint. The receiving clerk is responsible for checking the completeness

	QUALITY SYSTEM MANUAL	Page No.	21 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

of the complaint-affidavit/letter-complaint prior to receipt. If the complaint is incomplete, the clerk informs the client in an understandable and courteous manner of the lacking requirements. If complete, the clerk stamps “RECEIVED” on the original copy, duplicate copies, and receiving copy and forwards the documents to the encoder for the encoding of the details in the Complaint and Case Monitoring System (CCMS). To ensure transparency, the encoder writes the reference Internal Control (IC) number on the receiving copy and gives it to the client.

The entire process of receiving new complaint must be completed in fifteen (15) minutes. (Ref. PWIM 2.1, 2.1.1, 2.2, and 2.3)

7.3 Receipt of Pleadings and Other Case-Related Documents

Under Sec. 4, Rule VI of the IRR of R.A. 6713, all official papers and documents must be processed and completed within a reasonable time.

The Records Division/Records Unit is tasked to receive pleadings and other documents related to an existing case. The receiving clerk is responsible for checking the completeness of documents prior to receipt. The receiving clerk stamps “RECEIVED” on the original copy, duplicate copy, and receiving copy and gives the receiving copy to the client.

The clerk shall communicate with the client in an understandable and courteous manner. Instructions on the lacking requirements must be clear and concise, such that documents are specific and numbers of copies are exact, as required.

The entire process of receiving the pleading must be completed in eight (8) minutes. (Ref. PWIM 3.1 and 3.2)

7.4 Verification of Case Status and Release of Case Information

The CREMEB is tasked to respond to follow-ups or queries in the manner prescribed by R.A. 6713 and other similar laws or issuances. To act expeditiously and promptly on requests, the Records Division/Unit adopts the following procedures:

1. Parties to a case, counsels on record, and authorized representatives of the parties concerned may request information on the case status by filling out the prescribed Verification Slip.
2. Any individual who is not a party to a case should make a formal letter, stating the purpose of the request which will be subject to the approval of the Ombudsman or



QUALITY SYSTEM MANUAL	Page No.	22 of 26
	Revision No.	01
Quality Manual	Code	QSM 2.0
	Effectivity	January 1, 2017

Deputy Ombudsman. The clerk explains the office rules to the client in an understandable and courteous manner.

3. Only authorized Records Officers or Personnel-in-Charge can attend to requests for case status and issue the Verification Slip with notation on the status to ensure that the rule of confidentiality is properly observed.
4. The duly accomplished Verification Slip is released to the requesting party (original), copy-furnished the office handling the case and the Records Division/Section concerned for transparency.

The entire process of issuance of status of case must be completed in twenty five (25) minutes. (*Ref.* PWIM 4.1, 4.1.1, and 4.2)

7.5 Processing of Request for a Copy of Case Documents

Pursuant to Sec. 6, Rule VI of the IRR of R.A. 6713, it is a policy that all public documents must be made accessible to, and readily available for inspection by the public. To ensure that the rule on transparency and confidentiality is properly observed, the following rules and procedures are adopted by the Records Division/Unit:

1. Parties to a case, counsels on record, and authorized representatives of the parties concerned may request a copy of a case document by filling out the prescribed Request for Copy of a Case Document Slip.
2. If not a party, the client is informed of the reason for the denial of the request in an understandable and courteous manner.
3. The Records Officer or Personnel-in-Charge verifies, retrieves, reproduces, and certifies (if requested), and prepares the payment slip.
4. Client pays the required fees to the Cashier who issues an Official Receipt (O.R.).

The entire process of issuance of status of case must be completed in forty (40) minutes. For voluminous documents, the processing is done within two (2) days. (*Ref.* PWIM 5.0)

7.6 Action on Requests for Assistance

In line with the OMB's thrust to improve responsiveness of public assistance and in consonance with Sec. 26, par. (3) & (4) of R.A. 6770, the OMB acts on RAS and OFA to ensure compliance with the high standard of public service delivery.

	QUALITY SYSTEM MANUAL	Page No.	23 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

RAS and OFA are services accessible from the OMB public assistance offices. These requests usually come from walk-in clients or received through mail, email, telephone, text messages or as referrals from other agencies. Upon receipt, a RAS or OFA shall be given an appropriate reference number and shall be acted upon by the assigned action officer. Initial action is made within the first three (3) working days from receipt by the action officer.

The action officer may arrange a conference between the requesting party and the concerned public officer for a satisfactory and expeditious resolution of the RAS. The notice of conference is signed by the bureau director or unit head.

Where the action on the RAS involves a referral to the concerned officer of another government agency for appropriate action, the endorsement shall indicate that the requester is furnished with a copy. The action taken by the agency is monitored. If no response is received within thirty (30) days from personal service or within forty-five (45) days from date of service through registered mail, a tracer is sent with a warning on the provision of Section 26, paragraph 4 of R.A. 6770. If still no action is taken within thirty (30) days after receipt of the tracer, the action officer recommends the filing of an appropriate administrative case by the fact-finding bureau or unit against the defaulting officer.

All appropriate actions are concluded within ninety (90) calendar days from receipt of the RAS by the action officer with the submission of a Final Report for approval by the Director. A copy of the approved Final Report is furnished the requester. (Ref. PWIM 6.1, 6.2, and 6.3)

7.7 Issuance of a Copy of Statement of Assets, Liabilities, and Net Worth

In line with its Policy Thrust to enhance transparency and credibility, the OMB observes transparency in all its dealings with the public. All Statements of Assets, Liabilities and Net Worth (SALN) filed with the Office of the Ombudsman, including its area and sectoral offices, are accessible and made available to the public for inspection and reproduction during reasonable hours of working days, subject to the guidelines herein provided. This is also consistent with Sec. 6, Rule VI of the IRR of R.A. 6713 that “all documents must be made accessible to, and readily available for inspection by, the public during office hours.”

The SALN is available for public inspection and reproduction after ten (10) working days from the time they are filed as required by law and for a period of ten (10) years after

	QUALITY SYSTEM MANUAL	Page No.	24 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

receipt thereof. Pursuant to existing OMB rules, the concerned administrative/personnel division of the covered Offices, Departments, Bureaus or Agencies receives and collects all SALNs of public officials and employees within their respective employ, and submits them together with a Summary Report listing the compliant and non-compliant personnel certified by the head of agency to the appropriate Ombudsman office on or before May 30 of every year.

A request for a copy of SALN may be filed with the public assistance bureau/unit of the proper OMB office which is the official repository of the requested SALN.

The SALN request is evaluated by an action officer of the public assistance bureau, reviewed by the records division/unit chief, and approved by the Director of CREMEB or counterpart bureau in area/sectoral offices.

The favorable action or specific ground/s for not granting the SALN request is clearly stated in the appropriate space in the SALN request form. The private address of the concerned public official or employee is redacted, however.

In exceptional cases, the SALN request may be referred, for study and appropriate action, to the Office of Legal Affairs whose letter-advice shall be attached to the SALN Request Form.

The entire process of request for copy of SALN must be completed in sixty (60) minutes. (Ref. PWIM 7.1 and 7.2)

8.0 MEASUREMENT, ANALYSIS, AND IMPROVEMENT

8.1 Monitoring and Measurement

To measure the quality of its frontline service delivery, the OMB monitors the implementation of the operational plans of PAB, CREMEB, and their counterpart in area and sectoral offices that interface with the clients of the OMB through the conduct of periodic Internal Quality Audit. Because of its customer focus, the OMB also monitors whether or not the quality of service delivered by its frontline personnel meets, if not exceed, the expectations of its clients conformably with the Policy Thrust and Eight-Point Priority Agenda to improve the responsiveness of its public assistance. This is done through the review of client feedback.

	QUALITY SYSTEM MANUAL	Page No.	25 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

Feedback from clients consists of their assessment of the quality of frontline service delivery using the feedback form in terms of courtesy of personnel involved, promptness of required actions taken and results obtained, and adequacy of the service provided. It also consists of comments, criticisms, complaints, suggestions, and recommendations elicited from the clients through the same form or sent by them through mail, email, and phone calls which are documented. Feedback is proactively elicited from the clients who personally appear to access the services of the OMB toward the conclusion of the service. The accomplished feedback forms are gathered and processed weekly and a report on the results is generated monthly by the Statistics and Monitoring Division. The results of the review are utilized to enhance the quality of frontline service delivery.

The OMB uses appropriate statistical tools to analyze the data it receives from the conduct of internal quality audits and the review of feedback from its clients.

8.2 Internal Quality Audit

Conformably with Sub-Clause 8.2.2 of ISO 9001:2008, the OMB has established a scheme for conducting internal audits to evaluate the effectiveness of its quality management system. It shall be the responsibility of the Internal Control Unit (ICU) to maintain and implement an internal quality audit program for the office in accordance with an audit schedule determined by the representative. The planned audit shall define the audit criteria, scope, frequency, and methods, and take into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits. Internal auditors to be selected may either be external or internal provided they meet the prescribed qualifications to guarantee the objectivity and impartiality of the audit process. Ombudsman personnel selected as auditors shall not be allowed to audit their work or the work of the unit where he/she belongs. The results of the audit shall be communicated to the head of the office, bureau, division, or section audited who shall then respond to any findings identified. The response shall include corrective actions taken which the ICU shall review to determine if they are adequate.

The procedure for the conduct of internal audit is described in QSM 8.0

8.3 Continuous Improvement

The OMB commits itself to continual improvement of its quality management system through appropriate and timely policy interventions and the utilization of quality objectives,

	QUALITY SYSTEM MANUAL	Page No.	26 of 26
		Revision No.	01
	Quality Manual	Code	QSM 2.0
		Effectivity	January 1, 2017

audit results, data analysis, corrective and preventive actions, and management review. The Internal Control Unit is tasked to ensure that the OMB quality management system is periodically reviewed to continually evolve a system that adheres to the quality policy and objectives of the office.

Prepared by:	Reviewed by:	Approved by:
 ALAN R. CAÑARES Director, PACPB-MOLEO	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	QUALITY SYSTEM MANUAL	Page No.	1 of 3
		Revision No.	00
	Control of Documents	Code	QSM 3.0
		Effectivity	January 1, 2017

1.0 PURPOSE

To establish and maintain a system for the control of documents pertaining to the quality management system of the Office of the Ombudsman

2.0 SCOPE

This procedure applies to the following documents related to the OMB quality management system falling under the documentation structure, whether electronic or hard copies:

1. Quality System Manuals
2. Procedure and Work Instructions Manual
3. Office Forms
4. Reference Documents, whether internal or external

3.0 DEFINITIONS

Documents – refer to any information used to support an effective and efficient organizational operation.

Records – consist of any data collected during the operation of the OMB quality management system.

4.0 POLICY STANDARDS

1. All controlled documents relevant to the OMB QMS shall be maintained by the Quality Management Representative.
2. The QMR shall ensure the following:
 - a. All controlled documents are approved before use.
 - b. Revisions and current status of documents are identified.
 - c. Current versions of relevant documents are available for use.
 - d. Unintentional use of obsolete documents are prevented.
3. All controlled documents should follow a standard format consisting of the following:

	QUALITY SYSTEM MANUAL	Page No.	2 of 3
		Revision No.	00
	Control of Documents	Code	QSM 3.0
		Effectivity	January 1, 2017

- a. A header on each page consisting of the following: OMB logo, title of manual, document name, page number, revision number, code, and date of effectivity
 - b. Purpose
 - c. Scope
 - d. Definitions, if any
 - e. Policy standards
 - f. Procedure consisting of two columns: responsibility of the persons responsible or accountable, and activity for the particular step or event
 - g. List of forms
 - h. Prepared by
 - i. Reviewed by
 - j. Approved by
4. All controlled documents shall be numbered following this format: XXX Y.Z, where XXX refers to the code for the title of the manual (QSM for quality system manual and PWIM for procedure and work instructions manual), Y refers to the series for the document name, and Z refers to a sub-series for the document.
 5. The initial issue of the document shall bear 00 as revision number. Succeeding revisions shall bear a revision number of 01, 02, 03, and so on.
 6. The QMS documents shall be accessible by and made available to all concerned officials and personnel. All printed copies, and all electronic copies and versions of any document are considered uncontrolled copies used for reference only, except the one accessible on the OMB File Server and website, which is considered the controlled copy.
 7. All changes in documents are initiated by a written request from the proponent. Subsequent revisions of documents shall be reviewed by the QMR and approved by the Ombudsman. The effectivity date shall be the date of approval of the document.
 8. Obsolete documents shall be properly marked and removed from all points of use. A document shall be considered obsolete or superseded when it is no longer applicable or when it has replaced by a new version. The QMR shall keep a record of the revision history of documents.
 9. Only prescribed forms identified in the controlled documents are allowed to be used.
 10. Forms may be revised or deleted. Changes in or deletion of a form shall be reviewed by the QMR and approved by the Ombudsman before use.

All printed copies, and all electronic copies and versions of this document are considered uncontrolled copies used for reference only, except the one accessible on the OMB File Server and website.

	QUALITY SYSTEM MANUAL	Page No.	3 of 3
		Revision No.	00
	Control of Documents	Code	QSM 3.0
		Effectivity	January 1, 2017

11. All forms shall be numbered using the following format: F-XXX-YYYY, where F refers to the form, XXX refers to the name of the form, and YYYY refers to the year when it was issued or revised.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Concerned Personnel	<ol style="list-style-type: none"> 1. Confers with his/her immediate supervisor regarding the need to revise a document 2. If supervisor agrees, prepares a written request and draft document containing revisions
Supervisor	<ol style="list-style-type: none"> 3. Endorses written request to the QMR through channels
QMR	<ol style="list-style-type: none"> 4. Receives the written request 5. Reviews the proposed revision or deletion of document or form 6. Signs the revised document 7. Endorses the revised document to the Ombudsman
Ombudsman	<ol style="list-style-type: none"> 8. Approves the revised document

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 ALAN R. CAÑARES Director, PACPB-MOLEO	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	QUALITY SYSTEM MANUAL	Page No.	1 of 3
		Revision No.	00
	Control of Records	Code	QSM 4.0
		Effectivity	January 1, 2017

1.0 PURPOSE

To establish and maintain a system for the control of records pertaining to the quality management system of the Office of the Ombudsman

2.0 SCOPE

This procedure applies to all records related to the OMB quality management system falling under the documentation structure, whether electronic or hard copies.

3.0 DEFINITIONS

Documents – refer to any information used to support an effective and efficient organizational operation.

Records – consist of any data collected during the operation of the OMB quality management system.

4.0 POLICY STANDARDS

1. All offices, bureaus, divisions, and sections shall maintain pertinent quality records and ensure that they are easily identified and retrieved and remain legible.
2. The chiefs of offices, bureaus, division, and sections where records are kept shall be primarily responsible and accountable for preserving the integrity of the records. The task of maintaining the record may, however, be delegated to the office secretary or any responsible personnel who shall be equally responsible and accountable as the chief.
3. Records shall be kept in suitable storage facilities that prevent their deterioration, damage, or loss. Confidential records shall be kept under lock and key.
4. Areas for safekeeping shall be made free from unauthorized access. Only authorized personnel can remove these records from storage facilities but the removal is documented in a logbook to be maintained for the purpose.
5. Electronic copies of records shall be backed up by hard copies.

	QUALITY SYSTEM MANUAL	Page No.	2 of 3
		Revision No.	00
	Control of Records	Code	QSM 4.0
		Effectivity	January 1, 2017

6. Records shall be properly indexed or labeled and an electronic logbook of records shall be kept and updated to facilitate retrieval.
7. Records may be classified as inactive or for disposal upon review by the chiefs of offices, bureaus, division, and sections.
8. Records are disposed of at the end of their retention period and in a prescribed manner of disposal, both consistently with R.A. 9470 (National Archives of the Philippines Act of 2007) and NAP General Circular Nos. 1 and 2 regarding the General Records Disposition Schedule.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Office Secretary	<ol style="list-style-type: none"> 1. Receives quality record from originating office or official 2. Peruses the record to facilitate identification as quality record 3. Logs the record in an electronic logbook noting the following: <ol style="list-style-type: none"> a. Classification of record b. Subject of record c. Originating office d. Name of signatory e. Date of record f. Date and time of receipt 4. Presents the record to the chief of office
Chief of Office	<ol style="list-style-type: none"> 5. Peruses the record 6. Directs the office secretary to file the record
Office Secretary	<ol style="list-style-type: none"> 7. Indexes the record

	QUALITY SYSTEM MANUAL	Page No.	3 of 3
		Revision No.	00
	Control of Records	Code	QSM 4.0
		Effectivity	January 1, 2017

8. Notes the index number in the electronic logbook
9. Inserts the record in the proper folder

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 ALAN R. CAÑARES Director, PACPB-MOLEO	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	QUALITY SYSTEM MANUAL	Page No.	1 of 2
		Revision No.	00
	Control of Nonconforming Services	Code	QSM 5.0
		Effectivity	January 1, 2017

1.0 PURPOSE

To establish and maintain a system for the control of nonconforming services to prevent dissatisfaction of clients

2.0 SCOPE

This procedure applies to all detected nonconforming services delivered by frontline offices.

3.0 DEFINITIONS

Nonconformity – is a nonfulfillment or failure to meet a requirement, which refers to a need, expectation, or obligation.

Services – refer to the services delivered by frontline offices of the Office of the Ombudsman

4.0 POLICY STANDARDS

1. All frontline offices shall deliver the requested service according to the prescribed requirements. The chiefs of frontline offices shall ensure that all frontline personnel shall follow the quality procedures described in the manual.
2. Nonconforming service shall be dealt with by taking action either to eliminate the detected nonconformity or preclude its original intended use or application.
3. When a service nonconformity is identified, the circumstances surrounding the nonconformity are documented in a critical incident report which serves as the primary record for documenting the nature of the nonconformity and any subsequent actions taken.
4. The QMR shall maintain all critical incident reports documenting a nonconforming service.
5. When a nonconforming service is corrected and processed for use, it is re-verified and this is documented on the critical incident report.

	QUALITY SYSTEM MANUAL	Page No.	2 of 2
		Revision No.	00
	Control of Nonconforming Services	Code	QSM 5.0
		Effectivity	January 1, 2017

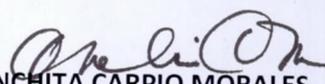
6. When a nonconforming service is reported by a client, the nonconformity is treated as a client grievance or complaint and acted upon accordingly.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Concerned Employee	1. Detects a nonconforming service
	2. Communicates the nonconformance to the process owner
Process Owner	3. Assesses the impact of nonconformance
	4. Determines the course of actions to be taken
	5. Acts accordingly to the course of actions determined
	6. If there is a need for corrective or preventive action, drafts request
	7. Presents request to immediate supervisor for approval
Supervisor	8. Approves request for corrective or preventive action
Process Owner	9. Communicates decision results
	10. Keeps record of action taken

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 ALAN R. CAÑARES Director, PACPB-MOLEO	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	QUALITY SYSTEM MANUAL	Page No.	1 of 3
		Revision No.	00
	Corrective Action	Code	QSM 6.0
		Effectivity	January 1, 2017

1.0 PURPOSE

1. To establish a functional mechanism for the implementation of corrective action for nonconformities
2. To ensure the effectiveness of the corrective action taken in rectifying the nonconformity detected

2.0 SCOPE

This procedure applies to all corrective actions on nonconforming services and internal audit results pertaining to services delivered by frontline offices.

3.0 DEFINITIONS

Corrective Action – refers to any action taken to eliminate the cause of a nonconformity.

Nonconformity – is a nonfulfillment or failure to meet a requirement, which refers to a need, expectation, or obligation.

Services – refer to the services delivered by frontline offices of the Office of the Ombudsman

4.0 POLICY STANDARDS

1. All frontline offices shall deliver the requested service according to the prescribed requirements. The chiefs of frontline offices shall ensure that all frontline personnel shall follow the quality procedures described in the manual.
2. Nonconforming service shall be dealt with by taking action either to eliminate the detected nonconformity or preclude its original intended use or application.
3. Corrective action may be requested to eliminate a nonconformity detected through the following:
 - Scheduled or unscheduled internal audits
 - Client feedback
 - Feedback from process owners
 - Management review

	QUALITY SYSTEM MANUAL	Page No.	2 of 3
		Revision No.	00
	Corrective Action	Code	QSM 6.0
		Effectivity	January 1, 2017

4. Any request for corrective action must be in writing using the Quality System Intervention Request form. Any corrective action taken must also be documented using the same form.
5. All corrective actions shall be reported to the QMR and to the chief of office that delivered a nonconforming service. The QMR shall then assess whether the corrective action taken is effective. The results of any corrective action taken must be reported to the Ombudsman through the QMR.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Process Owner	<ol style="list-style-type: none"> 1. Conducts root cause analysis to trace the cause of nonconformity 2. Determines the corrective action to be taken 3. Drafts request for corrective action 4. Presents request for corrective action to chief of office
Chief of Office	<ol style="list-style-type: none"> 5. Approves request for corrective action
Concerned Employee	<ol style="list-style-type: none"> 6. Implements the corrective action 7. Reports corrective action taken to the QMR and chief of office
Process Owner	<ol style="list-style-type: none"> 8. Prepares a report on the results of corrective action 9. Presents the report to chief of office
Chief of Office	<ol style="list-style-type: none"> 10. Approves the report 11. Presents the report to the Ombudsman through the QMR
QMR	<ol style="list-style-type: none"> 12. Assesses the effectiveness of corrective action

	QUALITY SYSTEM MANUAL	Page No.	3 of 3
		Revision No.	00
	Corrective Action	Code	QSM 6.0
		Effectivity	January 1, 2017

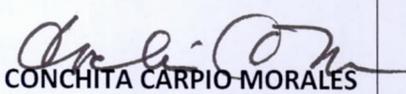
13. Communicates the results of assessment to the process owner and chief of office

Process Owner

14. If corrective action is ineffective, drafts a new request for corrective action

6.0 FORMS

Quality System Intervention Request Form

Prepared by:	Reviewed by:	Approved by:
 ALAN R. CAÑARES Director, PACPB-MOLEO	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO-MORALES Ombudsman

	QUALITY SYSTEM MANUAL	Page No.	1 of 3
		Revision No.	00
	Preventive Action	Code	QSM 7.0
		Effectivity	January 1, 2017

1.0 PURPOSE

1. To establish a system to identify a potential nonconformity
2. To establish a functional mechanism for the implementation of preventive action for potential nonconformities
3. To ensure the effectiveness of the preventive action taken in eliminating a potential nonconformity

2.0 SCOPE

This procedure applies to all preventive actions on potential nonconforming services and risk assessment results pertaining to services delivered by frontline offices.

3.0 DEFINITIONS

Preventive Action – refers to any action taken to eliminate a potential nonconformity.

Nonconformity – is a nonfulfillment or failure to meet a requirement, which refers to a need, expectation, or obligation.

Services – refer to the services delivered by frontline offices of the Office of the Ombudsman

4.0 POLICY STANDARDS

1. All frontline offices shall deliver the requested service according to the prescribed requirements. The chiefs of frontline offices shall ensure that all frontline personnel shall follow the quality procedures described in the manual.
2. Nonconforming service shall be dealt with by taking action either to eliminate the detected nonconformity or preclude its original intended use or application.
3. Preventive action may be requested to eliminate a potential nonconformity brought forward through the following:
 - Scheduled or unscheduled internal audits
 - Risk assessment
 - Feedback from employees

	QUALITY SYSTEM MANUAL	Page No.	2 of 3
		Revision No.	00
	Preventive Action	Code	QSM 7.0
		Effectivity	January 1, 2017

- Client feedback
- Management review
- Industry trends and other external sources such as news reports and benchmarking with other government agencies with frontline services

5.0 PROCEDURE

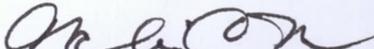
<i>Responsibility</i>	<i>Activity</i>
Process Owner	1. Identifies the potential nonconformity through risk assessment
	2. Determines the preventive action to be taken
	3. Drafts request for preventive action
	4. Presents request for preventive action to chief of office
Chief of Office	5. Approves request for preventive action
Concerned Employee	6. Implements the preventive action
	7. Reports preventive action taken to the QMR and chief of office
Process Owner	8. Prepares a report on the results of preventive action
	9. Presents the report to chief of office
Chief of Office	10. Approves the report
	11. Presents the report to the Ombudsman through the QMR
QMR	12. Assesses the effectiveness of preventive action
	13. Communicates the results of assessment to the process owner and chief of office

	QUALITY SYSTEM MANUAL	Page No.	3 of 3
		Revision No.	00
	Preventive Action	Code	QSM 7.0
		Effectivity	January 1, 2017

Process Owner 14. If preventive action is ineffective, drafts a new request for preventive action

6.0 FORMS

Quality System Intervention Request Form

Prepared by:	Reviewed by:	Approved by:
 ALAN R. CAÑARES Director, PACPB-MOLEO	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	QUALITY SYSTEM MANUAL	Page No.	1 of 7
		Revision No.	00
	Internal Quality Audit	Code	QSM 8.0
		Effectivity	January 1, 2017

1.0 PURPOSE

1. To ensure that OMB processes are in accordance with set procedures and criteria under the existing laws, administrative rules and regulations and the OMB Quality Manual
2. To ensure that the OMB officials and employees adhere to the Quality Management System set by the Office
3. To ensure quality, orderly, economic, efficient, ethical and effective operations
4. To check the accuracy and reliability of OMB data
5. To ensure that all audits are conducted with due professional care, integrity and independence.

2.0 SCOPE

This procedure applies to operations and management control. It encompasses the appraisal of the adequacy of internal controls, conduct of management audit, and evaluation of results of operations.

3.0 DEFINITIONS

Audit – a systematic, independent documented process for obtaining and evaluating audit evidence objectively to determine the extent to which audit criteria are fulfilled

Internal Audit – the evaluation of management controls and operations performance, and the determination of the degree of compliance with laws, regulations, managerial policies, accountability measures, ethical standards and contractual obligations.

Internal Control Officers – any competent person with responsibility of reviewing the extent of compliance with laws and policies.

Internal Control – refers to the plan of organization and all the coordinated methods and measures adopted within an organization or agency to safeguard its assets, check the accuracy and reliability of its accounting data, and encourage adherence to prescribed managerial policies (Section 123 of Presidential Decree No. 1445, as amended).

IQA – means internal quality audit.

	QUALITY SYSTEM MANUAL	Page No.	2 of 7
		Revision No.	00
	Internal Quality Audit	Code	QSM 8.0
		Effectivity	January 1, 2017

Non-compliance – an observation that indicates a policy or practice which is contrary to the requirements of the standard or documented procedures.

4.0 POLICY STANDARDS

1. The Internal Control Unit shall conduct an IQA at least once a year or as may be assigned by the Ombudsman or Executive Committee.
2. The ICU shall review and appraise systems and procedures/processes, internal policies, organizational structure, asset management practices, financial and management records, reports and performance standards of OMB delivery units to determine the extent of compliance without intruding into the authority and mandate of the Commission of Audit (COA) granted under the Constitution.
3. The ICU shall appraise whether internal controls are well designed and properly implemented.
4. The ICU shall determine the adequacy of internal control or whether it is achieving the objectives.
5. The ICU shall meet regularly (at least once every two months) to provide the Ombudsman and the Executive Committee updates on the management and operations audit function and other concerns.
6. The ICU shall analyze and evaluate management deficiencies and assist top management by recommending realistic courses of action.
7. The ICU shall provide feedback to the division/bureau/office/delivery unit under audit.
8. The ICU shall submit an IQA Report to the Ombudsman and to the OMB Executive Committee two months after the conduct of the audit.
9. Internal Control Officers' Qualifications

The Internal Control Officers must successfully complete an Internal Auditor's Training Course in accordance with ISO 10011 – Guidelines for Auditing Quality Systems before he is allowed to conduct an audit.

	QUALITY SYSTEM MANUAL	Page No.	3 of 7
		Revision No.	00
	Internal Quality Audit	Code	QSM 8.0
		Effectivity	January 1, 2017

10. Responsibilities

The ICU should be headed by an Internal Audit Overall Head to oversee the management and operation audits. Assisting the Internal Audit Overall Head is a Supervising Internal Control Officer together with the Internal Control Officers. The ICU head shall report directly to the Ombudsman.

10.1 Ombudsman

- Reviews and approves Internal Quality Audit Report
- Appoints the Internal Audit Overall Head and the members of the Internal Control Unit
- Responsible to install, implement and monitor a sound system of internal control.

10.2 Internal Audit Director

- Accountable to the Ombudsman for the efficient and effective operation (maintenance and implementation) of the internal audit function.
- Prepares an Internal Audit Quality Plan which include:
 - Audit Team Assignments
 - Audit objective and scope
 - Critical processes identified for audit
 - Audit approach and criteria to be used
 - Timeline of Audit
 - Resources/inputs and references
 - Submission of Internal Quality Audit Report
- Briefs the Internal Control Officers, defining the requirements of each audit assignment, to ensure that the internal audit function and engagement are delivered efficiently and effectively.
- Reviews Internal Quality Audit Report
- Provides the Ombudsman and the Executive Committee with the Internal Quality Audit Report and presents its findings (nonconformities, observations, and obstacles encountered)
- Selects the Audit Team, ensuring that Internal Control Officers are not part of the division/bureau/office/delivery unit being audited to have an independent review

	QUALITY SYSTEM MANUAL	Page No.	4 of 7
		Revision No.	00
	Internal Quality Audit	Code	QSM 8.0
		Effectivity	January 1, 2017

11. Audit Process

11.1 Audit Engagement Planning

- Understands the mandate of the division/bureau/office/delivery unit and the procedural flow of the areas to be audited
- Defines the audit objective that the audit intends to cover, criteria and evidence
- Determines the resource requirements to accomplish the planned audits by assessing the Internal Control Unit staff capability/capacity, technological resources, budget and timeline for the completion of the audit process
- Develops an audit plan which provides an integrated description of the auditee and the audit by service as a guide for the whole audit. The audit plan include the following elements:
 - A brief description of the management controls,
 - Overall objective and scope of the work to be accomplished
 - Critical processes identified the Management/ Internal Control Unit
 - Audit approach
 - Resources/inputs and audit criteria

11.2 Approval of the Audit Plan

11.3 Planning of the opening meeting - an opening meeting shall be required before conducting an internal audit to discuss the plans for audit as well as to obtain the views and expectations of the division/bureau/office/delivery unit under audit. The following details shall be discussed during the entry conference:

- Introduction of members of the Audit Team
- Purpose and coverage of the audit (review of documentation, workplace practice, records)
- Provision of a detailed timeline of the audit and the list of processes the audit team will review.
- Determination of a focal point person as the Audit Team conducts the audit
- Scheduling of time to meet with the focal point person before the start of the audit.
- Soliciting of questions from the participants regarding any aspect of the internal audit

	QUALITY SYSTEM MANUAL	Page No.	5 of 7
		Revision No.	00
	Internal Quality Audit	Code	QSM 8.0
		Effectivity	January 1, 2017

11.4 Audit Execution

At this phase, the following audit tasks shall be accomplished:

- Conduct of entry conference
- Conduct of compliance audit to evaluate the degree of compliance
 - Gather and analyze evidence to establish the condition that the auditee is in
 - Compare condition with criteria to draw conclusions
 - Determine probable cause/s
 - Record relevant information to support the audit results.
- Conduct of system/audit review
 - Gather and analyze evidence to establish the condition
 - Compare condition with criteria to draw conclusion
 - Determine root cause/s
 - Record relevant information to support the audit results
 - Integrate audit findings (e.g., non-compliance, observations) and prepare the highlights of the audit findings in terms of: a) criteria, b) condition, c) conclusion and cause
- Conduct follow-up audit
- Conduct of exit conference to discuss the highlights of the audit findings with the auditee and/or the responsible official who has sufficient knowledge about the audit area

11.5 Audit Reporting

- Develop audit findings by analyzing the pieces
 - Criteria (laws and standards)
 - Condition (findings of facts)
 - Conclusion (conclusion of facts)
 - Cause (root cause/s or probable cause/s)
- Develop audit recommendations

	QUALITY SYSTEM MANUAL	Page No.	6 of 7
		Revision No.	00
	Internal Quality Audit	Code	QSM 8.0
		Effectivity	January 1, 2017

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Internal Audit Director	<ol style="list-style-type: none"> 1. Prepares an Internal Quality Audit Plan (IQAP) 2. Assigns audit duties to Internal Control Officers 3. Submits the IQAP to the Ombudsman for review and approval.
Ombudsman	<ol style="list-style-type: none"> 4. Reviews and approves the IQAP 5. Reviews the OMB Quality Manual and the Procedures and Work Instruction Manual for reference 6. Prepares an audit checklist 7. Conducts an opening meeting 8. Reviews documents and processes 9. Conducts audit
Internal Audit Team	<ol style="list-style-type: none"> 10. Prepares feedback on audit to the Bureau Directors 11. If non-compliance is found, initiates corrective actions 12. Close-out corrective actions 13. Verify close-out at follow-up meeting 14. If complied with all standards/policies, prepares audit report 15. Reviews audit findings

	QUALITY SYSTEM MANUAL	Page No.	7 of 7
		Revision No.	00
	Internal Quality Audit	Code	QSM 8.0
		Effectivity	January 1, 2017

- Internal Audit Director
17. Finalizes the audit report
 18. Submits audit report to the Ombudsman and Executive Committee

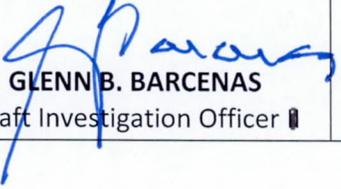
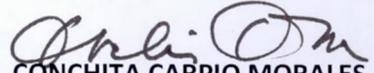
6.0 FORMS

Internal Audit Schedule Form

Internal Audit Assignment Form

Internal Audit and Gap Analysis Checklist

Internal Audit Feedback Form (for nonconformities and observations found)

Prepared by:	Reviewed by:	Approved by:
 GLENN B. BARCENAS Graft Investigation Officer	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 7
		Revision No.	01
	Personal Application for Ombudsman Clearance	Code	PWIM 1.1
		Effectivity	January 1, 2017

1.0 PURPOSE

1. To ensure that applicants who have pending cases will not be issued any clearance
2. To ensure the accuracy and completeness of information in an Ombudsman clearance or certification
3. To ensure the prompt issuance of an Ombudsman clearance or certification

2.0 SCOPE

This procedure manual covers personal application for a clearance or certification in Ombudsman offices in Quezon City, Cebu, Iloilo, Tacloban, Cagayan de Oro, and Davao.

3.0 DEFINITIONS

Clearance – a document issued stating that an applicant does not have any criminal case filed against him/her before the Office of the Ombudsman that is pending investigation, or any criminal case filed against him/her by the Office of the Ombudsman that is pending trial before any court of law, or any administrative case filed against him/her before the Office of the Ombudsman that is pending adjudication or full implementation of penalty.

Certification – a document issued in lieu of a clearance stating that an applicant has any criminal case filed against him/her before the Office of the Ombudsman that is pending investigation, or any criminal case filed against him/her by the Office of the Ombudsman that is pending trial before any court of law, or any administrative case filed against him/her before the Office of the Ombudsman that is pending adjudication or full implementation of penalty.

Pending case – means that there is a record of a criminal or administrative case filed against an individual with the Office of the Ombudsman, or a criminal case with the Sandiganbayan or regular trial court, that is not yet considered closed or terminated as reflected in the CCMS. An administrative case that has been concluded with a penalty is considered pending until the penalty shall have been fully served or implemented.

Complaints and Case Monitoring System (CCMS) – a management information system developed by the Office of the Ombudsman to verify the status of pending cases filed with the office.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 7
		Revision No.	01
	Personal Application for Ombudsman Clearance	Code	PWIM 1.1
		Effectivity	January 1, 2017

4.0 POLICY STANDARDS

1. No public officer shall be allowed to resign or retire pending an investigation, criminal or administrative, or pending a prosecution against him, for any offense under R.A. 3019 or under the provisions of the Revised Penal Code on bribery (*Sec. 12, R.A. 3019*).
2. The following may apply for an Ombudsman clearance:
 - a. Any person may file an application for his or her own Ombudsman Clearance personally or through a duly authorized representative.
 - b. Heads of departments, offices, agencies, bureaus, or their duly authorized representatives, with respect to their own personnel or under the terms of existing memoranda of agreement.
 - c. Chairperson or duly authorized representatives of the Judicial and Bar Council, Commission on Appointments and other search and selection committees or bodies, as to their respective applicants/nominees.
3. Ombudsman officials and employees are prohibited from filing and following up applications for clearance on behalf of applicants.
4. For proper identification of the applicant, a valid I.D. is required to be presented. Valid I.D.s include any government issued I.D.
5. A photocopy of the service record of the applicant may be required later if there is a need to further verify the identity of the applicant especially if a search of databases reveals that there is a record of a pending case.
6. An application for Ombudsman clearance may be filed at any time, except that, for retirement purposes, an application shall be filed not earlier than six (6) months prior to the date of retirement of the applicant.
7. Clearance is issued when the applicant does not have any pending case. Nevertheless, it shall indicate any adverse disposition of any terminated case against the applicant, and/or the penalty imposed had been duly served or fully implemented.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 7
		Revision No.	01
	Personal Application for Ombudsman Clearance	Code	PWIM 1.1
		Effectivity	January 1, 2017

8. If the applicant has a pending case, a certification will be issued instead. Aside from details about the pending case/s, the certification shall indicate the status thereof and the status of the case and implementation of the imposed penalty, if any.
9. Applications may be filed by an authorized representative of the applicant. The clearance or certification may be released to the representative after the presentation of authorization letter, valid I.D. of the representative, and a photocopy of a valid I.D. of the applicant.
10. Application fees shall be charged depending on the purpose of the clearance.

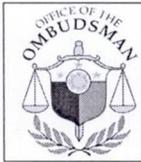
Retirement, Resignation, Separation, Rationalization, Death Claim, End of Term, End of Contract, Expiration of Appointment, Expiration of Term, Reversion, GSIS Claim, Total Permanent Physical Disability, Complete Disability Discharge, Disability Retirement, Discharge, Dropped from the rolls	₱ 100.00	Foreign Travel, Scholarship, Study Grant, Awards, Recognition, Leave, Loan, Change of Name, Bar Exam, Board Exam, Court Requirement, Agency Requirement, CES eligibility, CESO Rank, Completion of Residency Training, Extension of Service, Guarantorship, Nomination, Scientific Career System, Schooling, SUC Presidency, UN Mission, Visa	₱ 200.00
Employment, Promotion, Appointment, Transfer, Confirmation, Foreign Assignment, Grant of Benefits	₱ 150.00	Permit to Carry Firearms, Fidelity Bond, Bidding Requirements	₱ 500.00
		Firearms License	₱ 1,000

11. For personal applications at OMB offices, clearance shall be issued within 70 minutes if without any pending case, or within three (3) working days for applications made in bulk.
12. If the applicant has a pending case and it needs further verification, a clearance or certification shall be issued within five (5) working days.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 7
		Revision No.	01
	Personal Application for Ombudsman Clearance	Code	PWIM 1.1
		Effectivity	January 1, 2017

5.0 PROCEDURE

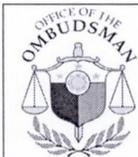
<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	<ol style="list-style-type: none"> 1. Greets the applicant “Good morning/afternoon, Sir/ Ma’am. How may I help you?” 2. Gives a copy of Application for Ombudsman Clearance to be filled out by the applicant 3. Asks the applicant to present a valid I.D. (or photocopy of applicant’s I.D. and authorized representative’s I.D. and authorization letter, if filed by a representative) and notes down the I.D. presented at the bottom of the form 4. Examines the accomplished application form if all applicable fields have been filled out 5. If the application is in order, prepares clearance payment slip 6. Gives clearance payment slip and returns application form with attachment/s to the applicant 7. Directs the requester to the cashier to pay the required fees
Cashier	<ol style="list-style-type: none"> 8. Gets payment slip 9. Checks if amount tallies with the purpose 10. Issues an official receipt 11. Directs the applicant to return to the clearance office to submit the application and official receipt
Receiving Clerk	<ol style="list-style-type: none"> 12. Receives the application and official receipt 13. Checks the following payment details: <ol style="list-style-type: none"> a. name of the payee

**PROCEDURE AND WORK INSTRUCTION MANUAL**

Page No.	5 of 7
Revision No.	01
Code	PWIM 1.1
Effectivity	January 1, 2017

Personal Application for Ombudsman Clearance

- b. date of payment
 - c. purpose for the clearance
 - d. amount paid in the official receipt
14. If correct, stamps "RECEIVED" at the upper right corner of the application, affixes full signature, and assigns control number
 15. Prepares and gives the applicant a claim slip indicating the following:
 - a. applicant's full name
 - b. date of receipt
 - c. date of release
 - d. person receiving the application
 - e. control number
 16. Asks the applicant to take a seat until his/her queue number or name is called
 17. Forwards the application to the encoder
- Encoder
18. Encodes the following applicant's information in the database:
 - a. applicant's full name
 - b. agency of the applicant
 - c. address of the agency (or applicant's address if not an employee of a government agency)
 - d. applicant's sex
 - e. date of receipt of application
 - f. date of release of clearance
 - g. control number
 - h. purpose of the clearance
 - i. payment details
 19. Forwards the application to the assigned verifier
- Verifier
20. Verifies applicant's information in the CCMS (*PWIM 1.1.1*)



PROCEDURE AND WORK INSTRUCTION MANUAL

Page No.	6 of 7
Revision No.	01
Code	PWIM 1.1
Effectivity	January 1, 2017

Personal Application for Ombudsman Clearance

- 21. Prints clearance or certification (*PWIM 1.1.2*)
- 22. Forwards the printed clearance or certification and application to reviewing official
- Reviewing Official 23. Reviews print-out and checks the completeness and accuracy of information in the clearance or certification
- 24. If correct and complete, signs on the print-out; if not, returns it to the verifier for cancelation and re-issuance of clearance or certification
- 25. Forwards the clearance and application to the releasing clerk for release
- Releasing Clerk 26. Calls out the queue number or name of the applicant
- 27. Gets the claim slip of the applicant
- 28. Asks the applicant to check the correctness of his/her personal details in the clearance or certification
- 29. Affixes the dry seal of the Ombudsman on the clearance or certification
- 30. Asks the applicant to sign on the Release Transmittal Report generated from the CCMS
- 31. Releases the clearance or certification together with the official receipt
- 32. Reminds the applicant to accomplish feedback form and drop it in the designated box located at the lobby
- 33. Tells the applicant "Have a nice day."
- 34. Updates applicant information in the CCMS as to date of release and name of claimant

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	7 of 7
		Revision No.	01
	Personal Application for Ombudsman Clearance	Code	PWIM 1.1
		Effectivity	January 1, 2017

35. Bundles, tags, and files the processed application forms

6.0 FORMS

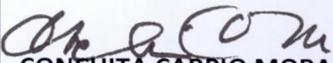
Application for Ombudsman Clearance

Clearance Payment Slip

Claim Slip

Release Transmittal Report

Client Feedback Form

Prepared by:	Reviewed by:	Approved by:
 JULITA M. CALDERON Acting Director, PAB	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 7
		Revision No.	00
	Verification of Clearance Applicant's Information	Code	PWIM 1.1.1
		Effectivity	January 1, 2017

1.0 PURPOSE

1. To standardize the process for verification of the clearance applicant's information using the Complaints and Case Management System and other databases
2. To speed up the process of determining whether or not an applicant has a pending case
3. To ensure that the information culled from the CCMS is complete and accurate

2.0 SCOPE

This work instruction manual covers the process of verification of the information about the clearance applicant to determine whether or not he/she has a pending case. It applies to personal applications for an Ombudsman clearance or through alternative modes.

3.0 DEFINITIONS

Pending case – means that there is a record of a criminal or administrative case filed against an individual with the Office of the Ombudsman, or a criminal case with the Sandiganbayan or regular trial court, that is not yet considered closed or terminated as reflected in the CCMS. An administrative case that has been concluded with a penalty is considered pending until the penalty shall have been fully served or implemented.

Complaints and Case Monitoring System (CCMS) – a management information system developed by the Office of the Ombudsman to verify the status of pending cases filed with the office.

4.0 POLICY STANDARDS

1. Clearance is issued when the applicant does not have any pending case. Nevertheless, it shall indicate any adverse disposition of any terminated case against the applicant, and/or that the penalty imposed had been duly served or fully implemented.
2. If the applicant has a pending case, a certification will be issued instead. Aside from details about the pending case/s, the certification shall indicate the status thereof and the status of the case and implementation of the imposed penalty, if any.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 7
		Revision No.	00
	Verification of Clearance Applicant's Information	Code	PWIM 1.1.1
		Effectivity	January 1, 2017

3. Only authorized personnel with existing accounts in the CCMS is allowed to access information in the CCMS and other computer databases.
4. To guarantee complete and accurate verification, the verifier shall not only verify the full name of the applicant but also the first three letters of his/her surname, middle name, and first name or names, including the maiden name for female applicants.
5. If after a thorough search of computer databases, there is a record of pending case/s against the applicant or his/her namesake, a certification will be issued in lieu of a clearance. The application shall be referred to the concerned Records Division/Section including that of the OSP for validation only after the applicant denies under oath the information contained in the certification. In some instances, the application may be referred further to the Office of Legal Affairs if there is a legal issue involved.
6. If the applicant does not deny or refuses to deny under oath the information in the certification and asks for additional information on the pending cases, he/she shall be referred to the concerned Records Division/Section and the request shall be treated as a Request for Release of Case Information (*Ref. PWIM 4.1*).
7. The Chief Evaluator in the Records Division/Section concerned shall verify through a signed routing slip if the applicant is the same person who appears in the computer databases to have a pending case, by examining the case folders and other pertinent documents to establish his/her identity. No clearance shall be issued on the basis of the mere denial under oath unless the Chief Evaluator is personally satisfied on the basis of the documents in the case folder that the applicant is not the same person with a pending case.
8. If after verification, the applicant has been found administratively liable and the decision decrees the imposition of a penalty, no clearance shall be issued without the submission to the Records Division/Section of the original or certified true copy of a Compliance Report from the head of implementing agency or an authorized officer certifying the following:
 - a. In case of reprimand, that the penalty has been reflected in the 201 file of the applicant specifying the date when it was reflected.
 - b. In case of suspension, that the penalty has been fully served specifying the inclusive dates of the suspension.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 7
		Revision No.	00
	Verification of Clearance Applicant's Information	Code	PWIM 1.1.1
		Effectivity	January 1, 2017

- c. In case of fine or suspension where the penalty can no longer be served due to the retirement, resignation, or separation of the applicant from the service, that an amount equivalent to the basic salary that the applicant would have received had he/she not been suspended or dismissed, has already been paid, together with a certified photocopy of the official receipt evidencing payment.

In addition, the applicant needs to submit the original or certified true copy of an updated serviced record reflecting the implementation of the penalty decreed in the decision.

9. If after verification, the applicant has a criminal case for filing in the Sandiganbayan or regular trial court, no clearance shall be issued without the submission to the Records Division/Section of the original or certified true copy of clearance issued by the court, or a decision dismissing or acquitting the applicant together with a certificate of finality of judgment or decision and a certification that the criminal case docket appearing in the decision pertains to the Ombudsman case docket that appears in the Ombudsman certification.
10. No additional application fee shall be imposed upon the applicant who seeks the correction of the certification issued to him/her unless he/she fails to submit the requirements under paragraphs 7 and 8 within 10 calendar days from the submission of his/her denial under oath.

5.0 WORK INSTRUCTIONS

Responsibility

Activity

Verifier

1. Opens the CCMS application in the computer
2. Logs in with provided username and password in the CCMS
3. Clicks "Search" on the top left bar
4. Clicks "Old Clearance System"
5. Types the applicant's name in the field provided
 - a. Example (Male): JUAN CRUZ SANTOS
 - b. Example (Female): MARIA LEONORA TERESA CRUZ SANTOS

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 7
		Revision No.	00
	Verification of Clearance Applicant's Information	Code	PWIM 1.1.1
		Effectivity	January 1, 2017

6. Verifies applicant's last name and first name
 - a. Example: SANTOS JUAN
 - b. Example: SANTOS MARIA
Example: SANTOS LEONORA
Example: SANTOS TERESA
Example: CRUZ MARIA
Example: CRUZ LEONORA
Example: CRUZ TERESA

7. Prints the search results

8. Verifies applicant's full name using the first three letters of last name and first name
 - a. Example: SAN JUA
 - b. Example: SAN MAR
Example: SAN LEO
Example: SAN TER
Example: CRU MAR
Example: CRU LEO
Example: CRU TER

9. Prints the search results

10. If there is a "CASE" (TBP, OMB-0, OMB-C, OMB-1, OMB-L, OMB-VIS, OMB-V, OMB-MIN, OMB-M, OMB-4, OMB-P and other docketed cases), determines which office has jurisdiction

11. 11.1 If under the jurisdiction of Central Records Division, opens the Case Report System (CareSys)

Logs in with provided user name and password in the CareSys

Types the named respondent in the field provided

Check the result as to status, agency, nature and parties

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	5 of 7
		Revision No.	00
	Verification of Clearance Applicant's Information	Code	PWIM 1.1.1
		Effectivity	January 1, 2017

11.2 If under the jurisdiction of OMB-MOLEO, opens the Case Monitoring System (CMS)

Logs in with provided user name and password in the CMS

Types the named respondent in the field provided

Check the result as to status, agency, nature and parties

11.3 If under the jurisdiction of OMB-Luzon, or if there is no pending case, opens the CCMS (new system)

Log in with provided user name and password

Click "Search" on the top left bar

Click "CASE STATUS"

Click "BY DETAILS"

Click "BY RESPONDENT"

Type the applicant's name in the field provided, follow the step in 1 to 9

12. Prints the search results

13. Compares all search results

14. If there is no record of pending cases and no further verification is needed, prints clearance; otherwise, prints a certification

Responsible
Clearance Staff

15. If a certification is issued, informs the applicant

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	6 of 7
		Revision No.	00
	Verification of Clearance Applicant's Information	Code	PWIM 1.1.1
		Effectivity	January 1, 2017

16. If applicant denies the information in the certification, asks the applicant to execute an affidavit of denial using the prescribed template

(Note: For mailed-in applications, online, or through SM Business Centers, the applicant may be requested in writing, email, phone call or SMS to submit an affidavit of denial)

17. Forwards the application including the affidavit of denial to the Chief Evaluator of the Records Division/Section concerned
18. If the applicant does not deny or refuses to deny under oath the information in the certification and asks for additional information on the pending cases, refers the applicant to the Records Division/Section for appropriate action (*Ref. PWIM 4.1*)

Chief Evaluator

19. Personally verifies whether or not the applicant who executed the affidavit of denial is the same person who has pending cases based on the case records and available documents
20. If personally satisfied that the applicant is different from the person who has pending cases, issues a routing slip directing the Clearance Section to issue a clearance

Verifier

26. Receives the routing slip
27. Opens the CCMS (new system)
28. Checks if there are changes in the status of pending cases or there are newly encoded cases following Steps 11.3 to 13
29. Prints clearance or certification

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	7 of 7
		Revision No.	00
	Verification of Clearance Applicant's Information	Code	PWIM 1.1.1
		Effectivity	January 1, 2017

6.0 FORMS

Affidavit of Denial

Checklist of Requirements

Prepared by:	Reviewed by:	Approved by:
 MARIA AGNES L. FORTEZA Graft Investigation Officer I	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 3
		Revision No.	00
	Printing of Ombudsman Clearance or Certification	Code	PWIM 1.1.2
		Effectivity	January 1, 2017

1.0 PURPOSE

1. To ensure the accuracy and completeness of information in an Ombudsman clearance or certification
2. To ensure the prompt issuance of an Ombudsman clearance or certification

2.0 SCOPE

This work instruction manual pertains to the computer generation of an Ombudsman clearance or certification

3.0 DEFINITIONS

Clearance – a document issued stating that an applicant does not have any criminal case filed against him/her before the Office of the Ombudsman that is pending investigation, or any criminal case filed against him/her by the Office of the Ombudsman that is pending trial before any court of law, or any administrative case filed against him/her before the Office of the Ombudsman that is pending adjudication or full implementation of penalty.

Certification – a document issued in lieu of a clearance stating that an applicant has any criminal case filed against him/her before the Office of the Ombudsman that is pending investigation, or any criminal case filed against him/her by the Office of the Ombudsman that is pending trial before any court of law, or any administrative case filed against him/her before the Office of the Ombudsman that is pending adjudication or full implementation of penalty.

Complaints and Case Monitoring System (CCMS) – a management information system developed by the Office of the Ombudsman to verify the status of pending cases filed with the office.

4.0 POLICY STANDARDS

1. Clearance or Certification shall be issued using security paper. All clearance or certification issued shall be considered accountable forms and should only be disposed of in accordance with prescribed rules.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 3
		Revision No.	00
	Printing of Ombudsman Clearance or Certification	Code	PWIM 1.1.2
		Effectivity	January 1, 2017

2. Any clearance or certification issued shall not be valid without the dry seal of the Office of the Ombudsman affixed at the lower left portion of the form.
3. Any clearance or certification issued with erasures or alteration shall not be valid.
4. The certification shall state: “This is to certify that as of *(date)*, a certain *(name of respondent as appears in the database)* appears to be a respondent in cases filed with the Office of the Ombudsman docketed as follows: x x x”
5. Applicants may request for additional copies of clearance or certification or certified true copies, in which case additional application fees shall be imposed per copy. Any request for certified true copies shall be made simultaneously with the application for clearance. Requests made thereafter shall be considered new application.
6. The clearance or certification shall state the purpose for which it is requested.
7. Only authorized personnel shall have access to the CCMS. To prevent unauthorized access to the system, a registered username and password are required to log in. A history of access shall be recorded by the system for purposes of monitoring.

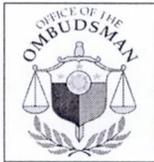
5.0 PROCEDURE

Responsibility

Activity

Verifier

1. Opens the CCMS application in the computer
2. Logs in with provided username and password in the CCMS
3. Clicks “REPORTS”
4. Clicks “OMB CERTIFICATION”
Inputs clearance/certification Control Number and Purpose in the field provided
5. Inputs clearance or certification control number and purpose in the field provided
6. Clicks “ADD”



PROCEDURE AND WORK INSTRUCTION MANUAL

Printing of Ombudsman Clearance or Certification

Page No.	3 of 3
Revision No.	00
Code	PWIM 1.1.2
Effectivity	January 1, 2017

7. Selects Report Type: “No Pending Case”, “With Pending Case”, or “Clearance with Case List”
8. For clearance, encodes applicant’s information in the field provided as to as-of-date, applicant name, sex, requester’s name, agency, address, authorized signatory, official receipt number, amount and date

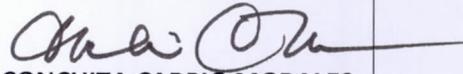
For certification, encodes docket number, case title, nature, status of case then clicks “Add”

For clearance with case list, encodes docket number, case title, nature, status of case then clicks “Add”

Encodes as-of-date, respondent name, gender, requester’s name, address or agency of the respondent, authorized signatory, official receipt number, amount and date
9. Clicks “GENERATE CLEARANCE” to print clearance or certification
10. For certification, edits generated result as to font size, spacing, and print draft
11. If with correction, re-verifies client information (*PWIM 1.1.1*)

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 MARIA AGNES L. FORTEZA Graft Investigation Officer I	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

1.0 PURPOSE

1. To standardize the processing of applications for an Ombudsman clearance filed through other modes
2. To ensure the prompt issuance of an Ombudsman clearance or certification

2.0 SCOPE

This procedure manual covers application for an Ombudsman clearance or certification in writing either through mail or courier service; online through the Ombudsman website; or through SM Business Centers in participating SM malls nationwide.

3.0 DEFINITIONS

Clearance – a document issued stating that an applicant does not have any criminal case filed against him/her before the Office of the Ombudsman that is pending investigation, or any criminal case filed against him/her by the Office of the Ombudsman that is pending trial before any court of law, or any administrative case filed against him/her before the Office of the Ombudsman that is pending adjudication or full implementation of penalty.

Certification – a document issued in lieu of a clearance stating that an applicant has any criminal case filed against him/her before the Office of the Ombudsman that is pending investigation, or any criminal case filed against him/her by the Office of the Ombudsman that is pending trial before any court of law, or any administrative case filed against him/her before the Office of the Ombudsman that is pending adjudication or full implementation of penalty.

Pending case – means that there is a record of a criminal or administrative case filed against an individual with the Office of the Ombudsman, or a criminal case with the Sandiganbayan or regular trial court, that is not yet considered closed or terminated as reflected in the CCMS. An administrative case that has been concluded with a penalty is considered pending until the penalty shall have been fully served or implemented.

Complaints and Case Monitoring System (CCMS) – a management information system developed by the Office of the Ombudsman to verify the status of pending cases filed with the office.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

4.0 POLICY STANDARDS

1. No public officer shall be allowed to resign or retire pending an investigation, criminal or administrative, or pending a prosecution against him, for any offense under R.A. 3019 or under the provisions of the Revised Penal Code on bribery (*Sec. 12, R.A. 3019*).
2. The following may apply for an Ombudsman clearance:
 - a. Any person may file an application for his or her own Ombudsman Clearance personally or through a duly authorized representative.
 - b. Heads of departments, offices, agencies, bureaus, or their duly authorized representatives, with respect to their own personnel or under the terms of existing memoranda of agreement.
 - c. Chairperson or duly authorized representatives of the Judicial and Bar Council, Commission on Appointments and other search and selection committees or bodies, as to their respective applicants/nominees.
3. Ombudsman officials and employees are prohibited from filing and following up applications for clearance on behalf of applicants.
4. For proper identification of the applicant, a valid I.D. is required. Valid I.D.s include any government issued I.D.
5. A photocopy of the service record of the applicant may be required later if there is a need to further verify the identity of the applicant especially if a search of databases reveals that there is a record of a pending case.
6. An application for Ombudsman clearance may be filed at any time, except that, for retirement purposes, an application shall be filed not earlier than six (6) months prior to the date of retirement of the applicant.
7. Clearance is issued when the applicant does not have any pending case. Nevertheless, it shall indicate any adverse disposition of any terminated case against the applicant, and/or the penalty imposed had been duly served or fully implemented.
8. If the applicant has a pending case, a certification will be issued instead. Aside from details about the pending case/s, the certification shall indicate the status thereof and the status of the case and implementation of the imposed penalty, if any.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

9. For the convenience of applicants, clearance may be applied for in writing or online via the Ombudsman website (www.ombudsman.gov.ph) or through SM Business Centers in participating SM malls nationwide.
10. Online applications and those made through SM Business Centers shall be processed by the Clearance Section of the OMB central office.
11. Application fees shall be charged depending on the purpose of the clearance.

Retirement, Resignation, Separation, Rationalization, Death Claim, End of Term, End of Contract, Expiration of Appointment, Expiration of Term, Reversion, GSIS Claim, Total Permanent Physical Disability, Complete Disability Discharge, Disability Retirement, Discharge, Dropped from the rolls	₱ 100.00	Foreign Travel, Scholarship, Study Grant, Awards, Recognition, Leave, Loan, Change of Name, Bar Exam, Board Exam, Court Requirement, Agency Requirement, CES eligibility, CESO Rank, Completion of Residency Training, Extension of Service, Guarantorship, Nomination, Scientific Career System, Schooling, SUC Presidency, UN Mission, Visa	₱ 200.00
Employment, Promotion, Appointment, Transfer, Confirmation, Foreign Assignment, Grant of Benefits	₱ 150.00	Permit to Carry Firearms, Fidelity Bond, Bidding Requirements	₱ 500.00
		Firearms License	₱ 1,000

12. Fees may be paid through postal money order or money remittance through private couriers or at any SM Business Center in participating malls. Postal money order should be payable to "Office of the Ombudsman Clearance Fees." The consignee in money remittance, on the other hand, should be "Office of the Ombudsman Clearance Section." To facilitate the processing of application, applicants should enclose in the application mail a postal money order or money remittance order in the amount prescribed depending on the purpose.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

13. Clearance applied for in writing may be personally picked up or mailed to the applicant. If the applicant desires that it be mailed, he/she should enclose a self-stamped envelope in the application mail.
14. Clearance shall be issued within three (3) working days for applications made through mail, courier, or online as well as for applications made in bulk.
15. If the applicant has a pending case and it needs further verification, clearance or certification shall be issued within five (5) working days. Those applied for through SM Business Centers shall be issued also within five (5) working days.
16. Clearance not claimed within sixty (60) days from date of release will be disposed of and no refund of application fee shall be granted.

5.0 PROCEDURE

5.1 Application in Writing

<i>Responsibility</i>	<i>Activity</i>
Responsible Staff	<ol style="list-style-type: none"> 1. Opens mail 2. Examines the accomplished application form if all applicable fields have been filled out 3. Checks the identity of the applicant through the photocopy of valid I.D. with signature 4. Checks the amount in the postal money order or money remittance order 5. If the application is in order and the amount sent is sufficient, prepares clearance payment slip 6. Hands the payment slip including the postal money order or money remittance order to the cashier
Cashier	<ol style="list-style-type: none"> 7. Gets payment slip and postal money order or money remittance order

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	5 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

8. Checks if the amount tallies with the purpose
9. Issues an official receipt and gives it to the responsible staff
- Responsible Staff 10. Stamps "RECEIVED" at the upper right corner of the application, affixes full signature, and assigns control number
11. Attaches the official receipt to the application form
12. Forwards the application to the encoder
- Encoder 13. Encodes the following applicant's information in the database:
 - a. applicant's full name
 - b. agency of the applicant
 - c. address of the agency (or applicant's address if not an employee of a government agency)
 - d. applicant's sex
 - e. date of receipt of application
 - f. date of release of clearance
 - g. control number
 - h. purpose of the clearance
 - i. payment details
14. Forwards the application to the assigned verifier
- Verifier 15. Verifies applicant's information in the CCMS (*PWIM 1.1.1*)
16. Prints clearance or certification (*PWIM 1.1.2*)
17. Forwards the printed clearance or certification and application to reviewing official
- Reviewing Official 18. Reviews print-out and checks the completeness and accuracy of information in the clearance or certification

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	6 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

- | | |
|-------------------|--|
| | 19. If correct and complete, signs the clearance or certification; if not, returns it to the verifier for cancellation and re-issuance of clearance or certification |
| | 20. Forwards the clearance or certification together with the application form to the releasing clerk |
| Releasing Clerk | 21. Affixes the dry seal of the Ombudsman on the clearance or certification |
| | 22. Inserts the clearance or certification and official receipt in the self-stamped envelope |
| | 23. Forwards envelop to the Records Division/Section |
| | 24. Updates applicant's information in the CCMS as to date of release and delivery address |
| | 25. Bundles, tags, and files the processed application forms |
| Records Personnel | 26. Prepares transmittal slip |
| | 27. Sends the envelop with transmittal slip to the post office |

5.2 Online Application

<i>Responsibility</i>	<i>Activity</i>
Responsible Staff	<ol style="list-style-type: none"> 1. Opens postal money order or money remittance order (or checks the Summary of Daily Transactions emailed by SM in case of online applications with payment through SM Business Center) 2. Checks the OMB website www.ombudsman.gov.ph to determine if there is an online application submitted 3. Prints the filled-out online application template

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	7 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

4. Checks the amount in the postal money order or money remittance order
 5. If the application is in order and the amount sent is sufficient, prepares clearance payment slip
 6. Hands the payment slip including the postal money order or money remittance order (or Summary of Daily Transactions of SM Business Center) to the cashier
- Cashier
7. Gets payment slip and postal money order or money remittance order (or Summary of Daily Transactions)
 8. Issues an official receipt and gives it to the responsible staff
- Responsible Staff
9. Stamps "RECEIVED" at the upper right corner of the application, affixes full signature, and assigns control number
 10. Attaches the official receipt to the application form
 11. Forwards the application to the encoder
- Encoder
12. Encodes the following applicant's information in the database:
 - a. applicant's full name
 - b. agency of the applicant
 - c. address of the agency (or applicant's address if not an employee of a government agency)
 - d. applicant's sex
 - e. date of receipt of application
 - f. date of release of clearance
 - g. control number
 - h. purpose of the clearance
 - i. payment details
 13. Forwards the application to the assigned verifier

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	8 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

- | | |
|--------------------|--|
| Verifier | <ul style="list-style-type: none"> 14. Verifies applicant's information in the CCMS (<i>PWIM 1.1.1</i>) 15. Prints clearance or certification (<i>PWIM 1.1.2</i>) 16. Forwards the printed clearance or certification and application to reviewing official |
| Reviewing Official | <ul style="list-style-type: none"> 17. Reviews print-out and checks the completeness and accuracy of information in the clearance or certification 18. If correct and complete, signs the clearance or certification; if not, returns it to the verifier for cancelation and re-issuance of clearance or certification 19. Forwards the clearance or certification together with the application form to the releasing clerk |
| Releasing Clerk | <ul style="list-style-type: none"> 20. Affixes the dry seal of the Ombudsman on the clearance or certification 21. Readies the clearance for pick up if the applicant opted to claim the clearance or certification from the Clearance Section 22. Updates applicant information in the CCMS as to date of release and name of applicant 23. Bundles, tags, and files the processed application form 24. Asks the applicant to sign in the Release Transmittal Report generated from the CCMS |

5.3 Application Through SM Business Centers

<i>Responsibility</i>	<i>Activity</i>
Responsible Staff	<ul style="list-style-type: none"> 1. Opens email ombudsmanclearance@ombudsman.gov.ph every day at 9:00 am

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	9 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

2. Checks the Summary of Daily Transactions emailed by SM for online applications with payment through SM Business Center
3. Prints scanned clearance application form
4. Prints the following transaction attachments:
 - a. Summary of Clearance Applications
 - b. Summary of Daily Transactions
 - b. Daily Collection Report
5. Examines the accomplished application form if all applicable fields have been filled out
6. Checks the identity of the applicant through the photocopy of valid I.D. with signature
7. Forwards the Summary of Clearance Applications and Daily Collection Report to cashier
- Cashier
 8. Gets and examines the Summary of Clearance Applications and Daily Collection Report
 9. Issues separate official receipt for each applicant in the list and gives it to the responsible staff
- Responsible Staff
 10. Collects all official receipts
 11. Stamps "RECEIVED" at the upper right corner of the application, affixes full signature, and assigns control number
 12. Attaches the official receipt to the application form
 13. Forwards the application to the encoder
- Encoder
 14. Encodes the following applicant's information in the database:
 - a. applicant's full name

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	10 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

- b. agency of the applicant
- c. address of the agency (or applicant's address if not an employee of a government agency)
- d. applicant's sex
- e. date of receipt of application
- f. date of release of clearance
- g. control number
- h. purpose of the clearance
- i. payment details

- | | |
|--------------------|---|
| | 15. Forwards the application to the assigned verifier |
| Verifier | 16. Verifies applicant's information in the CCMS (<i>PWIM 1.1.1</i>) |
| | 17. Prints clearance or certification (<i>PWIM 1.1.2</i>) |
| | 18. Forwards the printed clearance or certification and application to reviewing official |
| Reviewing Official | 19. Reviews print-out and checks the completeness and accuracy of information in the clearance or certification |
| | 20. If correct and complete, signs the clearance or certification; if not, returns it to the verifier for cancelation and re-issuance of clearance or certification |
| | 21. Forwards the clearance or certification together with the application form to the releasing clerk |
| Releasing Clerk | 22. Affixes the dry seal of the Ombudsman on the clearance or certification |
| | 23. Prepares a transmittal list for private courier of SM |
| | 24. Emails SM at BCO-SMBillspay.HO@smretail.com and BCO-Billspay.SM.HO@smretail.com , at 3:00 pm every Wednesday (for applications retrieved on Thursdays and Fridays) and Friday (for applications retrieved on |

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	11 of 11
		Revision No.	00
	Application for Clearance Through Other Modes	Code	PWIM 1.2
		Effectivity	January 1, 2017

Mondays, Tuesdays, and Wednesdays) the transmittal list for pick up by the private courier

25. Releases the clearances or certifications to the agent of private courier
26. Updates applicant information in the CCMS as to date of release and name of applicant
27. Bundles, tags, and files the processed application form

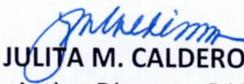
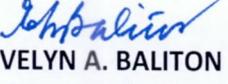
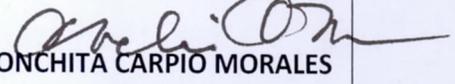
6.0 FORMS

Application for Ombudsman Clearance

Clearance Payment Slip

Release Transmittal Report

Transmittal List (for Private Courier)

Prepared by:	Reviewed by:	Approved by:
 JULITA M. CALDERON Acting Director, PAB	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 4
		Revision No.	01
	Receipt of Personally Filed New Complaint	Code	PWIM 2.1
		Effectivity	January 1, 2017

1.0 PURPOSE

To ensure that new complaints filed personally are complete and conforms to the required formalities

2.0 SCOPE

This procedure manual applies to new complaints filed personally by complainants or their representatives.

3.0 DEFINITIONS

Acknowledgment Receipt – a system generated form which evidences the formal filing of a complaint before the Office of the Ombudsman.

Anonymous Complaint – a complaint which does not disclose the identity of the complainant.

Forum Shopping – the act of a party against whom an adverse judgment has been rendered in one forum, of seeking another (and possibly favorable) opinion in another forum (other than by appeal or special civil action of certiorari) or the institution of two (2) or more actions or proceedings grounded on the same cause on the supposition that one or the other could/would make a favorable disposition, which act has been characterized as a form of malpractice that is prohibited and condemned as trifling with the courts and abusing their processes.

Certificate of Non-Forum Shopping – a certificate subscribed and sworn to by the complainant stating that he/she has not filed any criminal or administrative complaint or commenced any other action or proceeding involving the same parties, issues and cause of action in any other fora.

Complaint and Case Monitoring System (CCMS) – a management information system that provides an integrated online facility for tracking case status and automates the processing, generation, and consolidation of statistical and ad-hoc reports based on encoded data.

Complainant – the party initiating a case against a named person/s for violation of a law or regulations.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 4
		Revision No.	01
	Receipt of Personally Filed New Complaint	Code	PWIM 2.1
		Effectivity	January 1, 2017

Complaint – a legal document that sets out the facts and legal reasons that the filing party or parties believe are sufficient to warrant an investigation.

Complaint-Affidavit – a sworn written statement charging a person with an offense, subscribed by the offended party, any peace officer, or other public officer charged with the enforcement of the law violated.

Internal Control (IC) Number – a reference number initially assigned to a complaint before evaluation to facilitate tracking.

Respondent – the named person being complained against for violation of law or regulation.

Verification – a certification by the complainant that he/she has read and understood.

4.0 POLICY STANDARDS

1. The Office of the Ombudsman shall act promptly on complaints filed in any form or manner (*Sec. 12, Art. XI, 1987 Constitution*). For a speedier disposition of the complaint, however, it is preferable that it be in writing and under oath (*Rule I, Sec. 3, Administrative Order No. 7, series of 1990 (Rules of Procedure of the Office of the Ombudsman)*).
2. A complaint which does not disclose the identity of the complainant will be acted upon only if it merits appropriate consideration, or contains sufficient leads or particulars to enable the taking of further action (*Rule I, Sec. 3, supra*).
3. A case, either criminal or administrative, may be initiated by a written complaint under oath accompanied by affidavits of witnesses and other evidence in support of the charge. It shall be accompanied by a Certificate of Non-Forum Shopping duly subscribed and sworn to by the complainant or his counsel (*Rule III, Sec. 3, supra*).
4. Complaints shall be filed in as many copies as there are named respondents plus four, excluding the receiving copy of the complainant.
5. Complainants should be advised to comply with the requirements first before filing. Incomplete complaints and those which do not comply with the formalities shall be returned to the complainant citing the reasons therefor.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 4
		Revision No.	01
	Receipt of Personally Filed New Complaint	Code	PWIM 2.1
		Effectivity	January 1, 2017

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	<ol style="list-style-type: none"> 1. Greets the complainant "Good morning/afternoon, Sir/Ma'am. How can I help you?" 2. Receives complaint or complaint-affidavit 3. Checks if submission complies with the requirements: <ol style="list-style-type: none"> a. The complaint is under oath, b. There is Certificate of Non-Forum Shopping. c. It bears original signatures d. Annexes and exhibits mentioned in the complaint are attached. e. There is sufficient number of copies (N = no. of named respondents + 4) 4. Notes the deficiencies, if any, in the Complaint Checklist Form and gives it to the complainant explaining the deficiencies noted 5. If complete, stamps "RECEIVED" at the upper right corner of the first page of every copy of the complaint, writes full name, affixes full signature, and indicates the date and time of receipt 6. Forwards all copies of the complaint to the encoder
Encoder	<ol style="list-style-type: none"> 7. Encodes the details of the complaint in the CCMS (<i>PWIM 2.1.1</i>) to generate Internal Control Number 8. Prints Acknowledgment Receipt with IC Number 9. Returns receiving copy of complaint together with the printed Acknowledgment Receipt with IC Number to the client

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 4
		Revision No.	01
	Receipt of Personally Filed New Complaint	Code	PWIM 2.1
		Effectivity	January 1, 2017

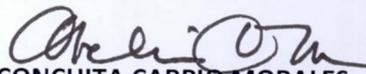
10. Reminds client to accomplish the Feedback Form and drop it in the drop box located at the lobby
11. Tells the complainant "Have a nice day!"
12. Forwards complaint to the verifier

6.0 FORMS

Complaint Checklist Form

Acknowledgment Receipt

Client Feedback Form

Prepared by:	Reviewed by:	Approved by:
 CAROLINE A. DE LEON Supervising Admin. Officer	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 3
		Revision No.	00
	Encoding of New Complaint in the CCMS	Code	PWIM 2.1.1
		Effectivity	January 1, 2017

1.0 PURPOSE

To ensure that new complaints are properly encoded in the Complaint and Case Monitoring System (CCMS)

2.0 SCOPE

This work instruction applies to new complaints filed personally or through mail/courier service or through the online facility of the Office of the Ombudsman.

3.0 DEFINITIONS

Complaint and Case Monitoring System (CCMS) – a management information system that provides an integrated online facility for tracking case status and automates the processing, generation, and consolidation of statistical and ad-hoc reports based on encoded data.

Internal Control (IC) Number - a reference number initially assigned to a complaint before evaluation to facilitate tracking.

4.0 POLICY STANDARDS

1. All details about the new complaint should be encoded completely and accurately in the CCMS. All mandatory fields should be filled out.
2. To prevent errors in encoding, all fields must be checked for accuracy before generating the internal control number.

5.0 PROCEDURE

Responsibility

Activity

Encoder

1. Encodes the following details on the first page (Decision box) of the CCMS:
 - Document Category
 - Document Title
 - Document Date (date indicated in the complaint)

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 3
		Revision No.	00
	Encoding of New Complaint in the CCMS	Code	PWIM 2.1.1
		Effectivity	January 1, 2017

- Received By
 - Date Complaint Filed
 - Date Received by Records
 - If Others: Complaint/ Referral Letter (agency)
 - Received From/Referred By
 - Related Reference Number (if there is an existing complaint)
 - Subject: Name of Complainant vs. Respondents
 - Manner of filing: personal/postal/private courier/fax/online/OMB Hotline/OMB Initiated
 - Remarks: if with missing annexes (registered mail received by the front desk)
2. Clicks “Submit” to generate the following details on the second page (Document Details) of the CCMS:
- IC Number
 - Related Reference Number(s)
 - Document Title
 - Document Date
 - Subject
 - Date Complaint Filed
 - Date Received by Records
 - Receiving Officer/Encoder
 - Filed By/Received From
 - Manner of Filing
 - No. of Pages
 - Annexes
 - Remarks
3. Checks if all mandatory fields have entries
4. Reviews each entry for accuracy based on the details culled from the new complaint
5. Lets the CCMS generate an internal control number as the outcome of the cited second page

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 3
		Revision No.	00
	Encoding of New Complaint in the CCMS	Code	PWIM 2.1.1
		Effectivity	January 1, 2017

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 CAROLINE A. DE LEON Supervising Admin. Officer	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 2
		Revision No.	00
	Receipt of New Complaint Through Mail/Courier	Code	PWIM 2.2
		Effectivity	January 1, 2017

1.0 PURPOSE

To ensure that new complaints received by mail or courier service are properly documented and accounted for

2.0 SCOPE

This procedure manual applies to new complaints received by the office through mail or courier service

3.0 DEFINITIONS

Complaint and Case Monitoring System (CCMS) – a management information system that provides an integrated online facility for tracking case status and automates the processing, generation, and consolidation of statistical and ad-hoc reports based on encoded data.

Complaint – a legal document that sets out the facts and legal reasons that the filing party or parties believe are sufficient to warrant investigation.

Complaint-Affidavit – a sworn written statement charging a person with an offense, subscribed by the offended party, any peace officer, or other public officer charged with the enforcement of the law violated.

Internal Control (IC) Number – a reference number initially assigned to a complaint before evaluation to facilitate tracking.

4.0 POLICY STANDARDS

1. The Office of the Ombudsman shall act promptly on complaints filed in any form or manner (*Sec. 12, Art. XI, 1987 Constitution*). For a speedier disposition of the complaint, however, it is preferable that it be in writing and under oath (*Rule I, Sec. 3, Administrative Order No. 7, series of 1990 (Rules of Procedure of the Office of the Ombudsman)*).
2. A complaint which does not disclose the identity of the complainant will be acted upon only if it merits appropriate consideration, or contains sufficient leads or particulars to enable the taking of further action (*Rule I, Sec. 3, supra*).

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 2
		Revision No.	00
	Receipt of New Complaint Through Mail/Courier	Code	PWIM 2.2
		Effectivity	January 1, 2017

- Complaints that do not conform to the required formalities, lack sufficient copies, or contain incomplete documents or attachments shall still be accepted if received through mail or courier service. Upon evaluation, the evaluator shall recommend the proper course of action to be taken to cure any deficiency.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	<ol style="list-style-type: none"> Opens mails received from the post office or courier service Stamps "RECEIVED" at the upper right corner of the first page of the complaint, writes full name, affixes full signature, and indicates the time of receipt in all copies of the submitted complaint Forwards complaint to the encoder
Encoder	<ol style="list-style-type: none"> Encodes the details in the CCMS to generate an automatic Internal Control Number Forwards all copies of the complaint to the verifier

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 CAROLINE A. DE LEON Supervising Admin. Officer	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

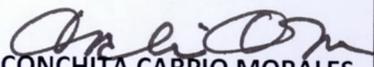
	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 2
		Revision No.	00
	Receipt of Online Complaints	Code	PWIM 2.3
		Effectivity	January 1, 2017

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Authorized Records Personnel	<ol style="list-style-type: none"> Checks once a day at 9:00 am complaint filed through the OMB website Sends an automatic reply to the complainant acknowledging the receipt of the complaint with the following note: <p style="text-align: center;">"THIS IS ONLY PRELIMINARY FILING OF COMPLAINTS. THE COMPLAINANTS MUST STILL GO TO THE OMBUDSMAN OFFICE FOR CONFIRMATION AND SUBMISSION OF EVIDENCE."</p> Prints e-mail complaint and attachments, if any Stamps "RECEIVED" at the upper right corner of the first page of the complaint, writes full name, affixes full signature, and indicates the date and time of receipt Forwards complaint to the encoder
Encoder	<ol style="list-style-type: none"> Encodes the details in the CCMS to generate an automatic Internal Control Number Forwards complaint to verifier

6.0 FORMS

None

Prepared by:  CAROLINE A. DE LEON Supervising Admin. Officer	Reviewed by:  EVELYN A. BALITON Assistant Ombudsman	Approved by:  CONCHITA CARPIO MORALES Ombudsman
---	--	--

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 2
		Revision No.	00
	Receipt of Online Complaints	Code	PWIM 2.3
		Effectivity	January 1, 2017

1.0 PURPOSE

To standardize preliminary actions to be taken on complaints filed through the online facility of the Ombudsman website

2.0 SCOPE

This procedure manual applies to new complaints received by the office through the online facility of the Ombudsman website

3.0 DEFINITIONS

Complaint and Case Monitoring System (CCMS) – a management information system that provides an integrated online facility for tracking case status and automates the processing, generation, and consolidation of statistical and ad-hoc reports based on encoded data.

Internal Control (IC) Number – a reference number initially assigned to a complaint before evaluation to facilitate tracking.

Online Complaint – a complaint submitted electronically through the online facility of the Ombudsman website.

4.0 POLICY STANDARDS

1. The Office of the Ombudsman shall act promptly on complaints filed in any form or manner (*Sec. 12, Art. XI, 1987 Constitution*). For a speedier disposition of the complaint, however, it is preferable that it be in writing and under oath (*Rule I, Sec. 3, Administrative Order No. 7, series of 1990 (Rules of Procedure of the Office of the Ombudsman)*).
2. Complaints filed online shall be acknowledged by sending an automatic reply to the complainant through the email address that he/she disclosed.
3. Complaints filed online are understood as preliminary reporting of any offense or violation committed by the person/s being complained against. The complainant shall still be required to submit a written complaint that is sufficient in form and substance, together with corroborating evidence, to warrant the conduct of formal investigation.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 2
		Revision No.	00
	Receipt of Online Complaints	Code	PWIM 2.3
		Effectivity	January 1, 2017

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Authorized Records Personnel	<ol style="list-style-type: none"> 1. Checks once a day at 9:00 am complaint filed through the OMB website 2. Prints e-mail complaint and attachments, if any 3. Stamps "RECEIVED" at the upper right corner of the first page of the complaint, writes full name, affixes full signature, and indicates the date and time of receipt 4. Forwards complaint to the encoder
Encoder	<ol style="list-style-type: none"> 5. Encodes the details in the CCMS to generate an automatic Internal Control Number 6. Forwards complaint to verifier

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 CAROLINE A. DE LEON Supervising Admin. Officer	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 4
		Revision No.	01
	Receipt of Pleading Filed or Served Personally	Code	PWIM 3.1
		Effectivity	January 1, 2017

1.0 PURPOSE

To ensure that pleadings filed or served personally are complete and conforms to the required formalities

2.0 SCOPE

This procedure manual applies to pleadings filed or served personally by the parties or their representatives. The pleadings pertain either to an OMB criminal or administrative case pending investigation filed by either party, or to a Sandiganbayan case pending trial served by the accused or his/her representative.

3.0 DEFINITIONS

Pleading – a formal document that state a party’s basic position. Examples are the following:

- a. Supplemental Complaint-Affidavit
- b. Counter-Affidavit
- c. Reply
- d. Rejoinder
- e. Verified Position Paper
- f. Motions.

Other examples of pleadings that may be received pertinent to a Sandiganbayan case include judicial affidavits, memoranda, formal offer of evidence, comments/opposition to motion, etc.

Proof of Service – any evidence that one party has furnished the other party with a pleading. Examples are original registry receipt or affidavit of personal service.

4.0 POLICY STANDARDS

1. A pleading in an OMB case that does not conform to any of the following requirements shall not be accepted:
 - a. OMB docket number is indicated.
 - b. Bears the original signature of the party or counsel authorized representative.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 4
		Revision No.	01
	Receipt of Pleading Filed or Served Personally	Code	PWIM 3.1
		Effectivity	January 1, 2017

- c. Proof of service is attached if the pleading is required to be served to the opposite party.
 - d. Contains verification and/or jurat, whenever the law requires.
2. A pleading in an OMB case must be filed in two (2) copies for every docket. Excess copies of a pleading shall be returned to the filer. If only one copy is presented, the person filing a pleading shall be required to produce another copy.
 3. A pleading in a Sandiganbayan case that does not conform to any of the following requirements shall not be accepted:
 - a. Sandiganbayan docket number is indicated.
 - b. Bears the original signature of the party or counsel authorized representative.
 4. All pleadings must be examined to determine if annexes and pages are intact. If there are missing pages or annexes, the person filing the pleading shall be required to acknowledge such deficiency by making a notation on the face of the pleading and affixing his/her signature thereon.
 5. Pleadings must be forwarded to the handling Bureau, not to the individual handling lawyer.

5.0 PROCEDURE

5.1 Receipt of Pleadings in an OMB Case

<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	<ol style="list-style-type: none"> 1. Greets the client “Good morning/afternoon, Sir/Ma’am. How may I help you?” 2. Receives the pleading and advises the person filing to take a seat 3. Examines the pleading and checks the following: <ol style="list-style-type: none"> a. if there are two copies for every docket.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 4
		Revision No.	01
	Receipt of Pleading Filed or Served Personally	Code	PWIM 3.1
		Effectivity	January 1, 2017

- b. the number of pages
 - c. the number of annexes
 - d. the attachment mentioned in the pleading
 - e. if at least one copy of the pleading bears original signature
 - f. if there is proof of service to the other party, i.e. registry receipt, courier receipt, or affidavit of personal service with explanation
 - g. if the pleading is duly verified and/or subscribed, when required
4. If there are deficiencies, explains the requirement and advises the person filing the pleading to comply
 5. If the pleading conforms to the requirements, stamps "RECEIVED" at the upper right corner of the first page of every copy of the pleading, writes full name, affixes full signature, and indicates the date and time of receipt
 6. Reminds the client to accomplish the feedback form and drop it to the designated drop box at the lobby
 7. Tells the person filing "Have a nice day!"

5.2 Receipt of Pleadings in a Sandiganbayan Case

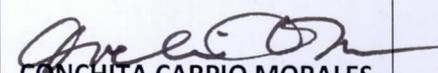
<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	<ol style="list-style-type: none"> 1. Greets the client "Good morning/afternoon, Sir/Ma'am. How may I help you?" 2. Receives the pleading and advises the person serving the pleading to take a seat 3. Examines the pleading and checks the following: <ol style="list-style-type: none"> a. the number of pages b. the annexes, if any

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 4
		Revision No.	01
	Receipt of Pleading Filed or Served Personally	Code	PWIM 3.1
		Effectivity	January 1, 2017

- c. if the pleading bears original signature
- 4. If there are deficiencies, explains the requirement and advises the person serving the pleading to comply
- 5. If the pleading conforms to the requirements, stamps "RECEIVED" at the upper right corner of the first page of every copy of the pleading, writes full name, affixes full signature, and indicates the date and time of receipt
- 6. Returns to the person serving the pleading a stamped copy of the pleading received
- 6. Reminds the person serving the pleading to accomplish the feedback form and drop it to the designated drop box at the lobby
- 7. Tells the person serving the pleading "Have a nice day!"

6.0 FORMS

Client Feedback Form

Prepared by:	Reviewed by:	Approved by:
 ALMA G. CAGAT-CAGAT OIC, OSP Records Division	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 2
		Revision No.	00
	Receipt of Pleading Through Mail/Courier	Code	PWIM 3.2
		Effectivity	January 1, 2017

1.0 PURPOSE

To ensure that pleadings filed or served through mail or courier service are documented and accounted for

2.0 SCOPE

This procedure manual applies to pleadings filed or served through mail or courier service by the parties or their representatives. The pleadings filed pertain either to an OMB criminal or administrative case pending investigation or a Sandiganbayan case pending trial.

3.0 DEFINITIONS

Pleading – a formal document that state a party’s basic position. Examples are the following:

- a. Supplemental Complaint-Affidavit
- b. Counter-Affidavit
- c. Reply
- d. Rejoinder
- e. Verified Position Paper
- f. Motions

Other examples of pleadings that may be received pertinent to a Sandiganbayan case include judicial affidavits, memoranda, formal offer of evidence, comments/opposition to motion, etc.

4.0 POLICY STANDARDS

1. A pleading in an OMB case must be filed in two (2) copies for every docket. If only one copy is presented, it will be reproduced by a responsible records personnel before it will be forwarded to the concerned Bureau.
2. All pleadings must be examined to determine if annexes and pages are intact. If there are missing pages or annexes, it shall be noted on the face of the pleading.

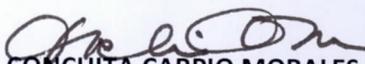
	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 2
		Revision No.	00
	Receipt of Pleading Through Mail/Courier	Code	PWIM 3.2
		Effectivity	January 1, 2017

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	<ol style="list-style-type: none"> 1. Opens the envelope containing the pleading 2. Attaches the mailing envelope to the pleading 3. Examines the pleading and checks the following: <ol style="list-style-type: none"> a. If there are two copies for every docket (applicable to pleadings in an OMB case) b. If there are missing pages or annexes 4. Photocopies the pleading case if there is only one copy submitted (applicable to pleadings in an OMB case) 5. Stamps "RECEIVED" at the upper right corner of the first page of every copy of the pleading, writes full name, affixes full signature, and indicates the date and time of receipt 6. Notes any missing page or annex on the face of the pleading using pencil

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 DOMINGA B. BARASI Chief Administrative Officer	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 4
		Revision No.	01
	Release of Case Information for Walk-in Request	Code	PWIM 4.1
		Effectivity	January 1, 2017

1.0 PURPOSE

1. To ensure that any information on cases is released only to persons allowed under the rules
2. To guarantee that any information released is accurate

2.0 SCOPE

This procedure manual covers walk-in requests for information on OMB cases: criminal, administrative, or fact-finding, whether pending investigation or already closed and terminated.

3.0 DEFINITIONS

Complaint and Case Monitoring System (CCMS) – a management information system that provides an integrated online facility for tracking case status and automates the processing, generation, and consolidation of statistical and ad-hoc reports based on encoded data.

Pending case – refers to an OMB case that is either undergoing preliminary investigation, administrative adjudication or preliminary inquiry. It also refers to a criminal case pending trial before the courts and to terminated administrative cases resulting in penalty which has not yet been fully implemented.

Status of case – refers to the current or latest stage in the proceedings of a case.

4.0 POLICY STANDARDS

1. Only parties to a case, their counsels on record, and authorized representatives are allowed to request information on a case.
2. Requests for information on a case from individuals who are not mentioned in 4.0(1) must be done in writing and require prior approval of the Ombudsman in the Central Office or the Deputy Ombudsman in the area and sectoral offices.
3. Only authorized personnel from Records Division may attend to requests for case information and have access to the CCMS.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 4
		Revision No.	01
	Release of Case Information for Walk-in Request	Code	PWIM 4.1
		Effectivity	January 1, 2017

4. Information on a case must be released to walk-in requesters within twenty-five (25) minutes from receipt of the request.
5. Only information on the status of pending criminal and administrative cases may be released. Responses to queries on case status shall be limited to the following:
 - a. That the case is undergoing evaluation,
 - b. That the case is under preliminary investigation and/or administrative adjudication,
 - c. That a resolution or decision pertaining to the case is under review,
 - d. That the case has already been closed and terminated on a specified date but without mention of the specific outcome of the case,
 - e. That the case has been referred to another office within the Office of the Ombudsman or to another agency on a specified date,
 - f. That the case has been referred to the Public Assistance Bureau or its counterpart bureaus in area/sectoral offices on a specified date either as a Request for Assistance or Mediation case, or
 - g. That the case has been referred to the Field Investigation Office or its counterpart bureaus in area/sectoral offices on a specified date for fact-finding investigation.
6. For cases undergoing preliminary investigation and/or administrative adjudication at the level of the handling lawyer, information as to the interlocutory orders issued and the pleadings filed and received by the office, and the corresponding dates may be released upon request and subject to approval by the Director of the Bureau/unit concerned.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	1. Greets the requester "Good morning/afternoon, Sir/Ma'am. How may I help you?"

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 4
		Revision No.	01
	Release of Case Information for Walk-in Request	Code	PWIM 4.1
		Effectivity	January 1, 2017

2. Verifies if the requester is a party to the case, counsel on record, or authorized representative; if not, instructs the requester to write a formal letter stating the purpose of the request
3. Gives verification slip to the requester
4. Asks the requester to fill out the slip
5. Asks the requester to present a valid identification card
6. Asks the requester to take a seat
7. Refers the slip to the case verifier
- Case Verifier 8. Verifies case information through the CCMS (*PWIM 4.1.1*)
9. Writes the correct case information on the Verification Slip
10. Photocopies the Verification Slip
11. Forwards the original and office copy of the Verification Slip to the receiving clerk
- Receiving Clerk 12. Hands the original Verification Slip to the requester
13. Asks requester to sign on the “RECEIVED” portion of the office copy of the Verification Slip
14. Reminds requester to fill out the Client Feedback Form and drop it in the designated box at the lobby
15. Tells the requester “Have a nice day.”
16. Gives the office copy of the Verification Slip to the records custodian
- Records Custodian 17. Files the office copy of verification slip in the case records

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 4
		Revision No.	01
	Release of Case Information for Walk-in Request	Code	PWIM 4.1
		Effectivity	January 1, 2017

6.0 FORMS

Verification Slip

Client Feedback Form

Prepared by:	Reviewed by:	Approved by:
 EXPEDITO O. ALLADO, JR. Acting Director, CREMEB-LUZ	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 4
		Revision No.	00
	Accessing Case Information from the CCMS	Code	PWIM 4.1.1
		Effectivity	January 1, 2017

1.0 PURPOSE

To guarantee efficient access of accurate information from the Complaints and Case Management System

2.0 SCOPE

This work instruction applies to access of accurate information from the CCMS to verify the latest status of OMB criminal and administrative cases.

3.0 DEFINITIONS

Complaint and Case Monitoring System (CCMS) – a management information system that provides an integrated online facility for tracking case status and automates the processing, generation, and consolidation of statistical and ad-hoc reports based on encoded data.

Docket Number – the reference number given to a complaint or case which after evaluation has been determined to warrant the conduct of preliminary investigation or administrative adjudication.

Internal Control Number – the reference number given to a complaint or case filed or received by the office prior to evaluation for purposes of tracking.

4.0 POLICY STANDARDS

1. Only authorized records officers or personnel shall be allowed access to the CCMS for information on case status.
2. To regulate access to the CCMS, authorized officers and personnel are given view-only access. The date and time of access shall be recorded permanently in the system.

5.0 PROCEDURE

There are three ways of accessing the CCMS using: 1) case docket number, 2) internal control number, and 3) complaint or case title or name of the parties.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 4
		Revision No.	00
	Accessing Case Information from the CCMS	Code	PWIM 4.1.1
		Effectivity	January 1, 2017

5.1 Access Using the Case Docket Number

Responsibility

Activity

Case Verifier

1. Opens the CCMS application in the computer
2. Logs in with provided user name and password in the CCMS
3. Clicks “Report Module” on the top bar
4. Clicks “Case History” on the left side bar
5. Selects “Docket (OMB,FF)” on the Case Type drop down selection
6. Types the Case Docket Number provided by the requester in the “Docket No.” field
7. Clicks “Submit” or press “Enter” on the keyboard
8. Upon retrieval of the result, clicks “View Case History”
9. Notes down the latest status of the case which appears as the last entry in the case history field

5.2 Access Using the Internal Control Number

Responsibility

Activity

Case Verifier

1. Opens the CCMS application in the computer
2. Logs in with provided user name and password in the CCMS
3. Clicks “Report Module” on the top bar
4. Clicks “Case History” on the left side bar

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 4
		Revision No.	00
	Accessing Case Information from the CCMS	Code	PWIM 4.1.1
		Effectivity	January 1, 2017

5. Selects “Complaint (IC)” on the Case Type drop down selection
6. Types the IC Number provided by requester in the “IC No.” field
7. Clicks “Submit” or press “Enter” on the keyboard
8. Upon retrieval of the result, clicks “View Case History”
9. Notes down the latest status of the case which appears as the last entry in the case history field

5.3 Access Using the Case Title or Name of the Parties

Responsibility

Activity

Case Verifier

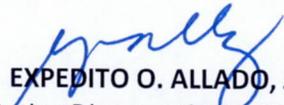
1. Opens the CCMS application in the computer
2. Logs in with provided user name and password in the CCMS
3. Clicks “Search” taskbar
4. Clicks “Complaint Status” on the left side bar
5. Types complaint title or case title or name of parties on the “Subject” field
6. Clicks “Search” button beside the “Clear” button or clicks “Enter” on keyboard)
7. Clicks “Submit” or press “Enter” on the keyboard
8. Upon retrieval of the results, carefully selects the docket number or internal control number that matches the information given by the requester

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 4
		Revision No.	00
	Accessing Case Information from the CCMS	Code	PWIM 4.1.1
		Effectivity	January 1, 2017

9. Upon checking the internal control number of docket number, repeats steps for verification via docket number or internal control number

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 EXPEDITO O. ALLADO, JR. Acting Director, CREMEB-LUZ	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 3
		Revision No.	00
	Release of Case Information with Written Request	Code	PWIM 4.2
		Effectivity	January 1, 2017

1.0 PURPOSE

1. To ensure that any information on cases is released only to persons allowed under the rules
2. To guarantee that any information released is accurate

2.0 SCOPE

This procedure manual covers written requests for information on OMB cases: criminal, administrative or fact-finding, whether pending investigation or already closed and terminated.

3.0 DEFINITIONS

Complaint and Case Monitoring System (CCMS) – a management information system that provides an integrated online facility for tracking case status and automates the processing, generation, and consolidation of statistical and ad-hoc reports based on encoded data.

Pending case – refers to an OMB case that is either undergoing preliminary investigation, administrative adjudication or preliminary inquiry. It also refers to a criminal case pending trial before the courts and to terminated administrative cases resulting in penalty which has not yet been fully implemented.

Status of case – refers to the current or latest stage in the proceedings of a case.

4.0 POLICY STANDARDS

1. Only parties to a case, their counsels on record, and authorized representatives are allowed to request information on a case.
2. Requests for information on a case from individuals who are not mentioned in 4.0 (1) require prior approval of the Ombudsman in the Central Office or the Deputy Ombudsman in the area and sectoral offices.
3. Only authorized personnel from Records Division may attend to requests for case information and have access to the CCMS.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 3
		Revision No.	00
	Release of Case Information with Written Request	Code	PWIM 4.2
		Effectivity	January 1, 2017

4. A written request for information on a case shall be acted upon by sending a written reply to the requester within fifteen (15) working days from receipt of the request.
5. Only information on the status of pending criminal and administrative cases may be released. Responses to queries on case status shall be limited to the following:
 - a. That the case is undergoing evaluation,
 - b. That the case is under preliminary investigation and/or administrative adjudication,
 - c. That a resolution or decision pertaining to the case is under review,
 - d. That the case has already been closed and terminated on a specified date but without mention of the specific outcome of the case,
 - e. That the case has been referred to another office within the Office of the Ombudsman or to another agency on a specified date,
 - f. That the case has been referred to the Public Assistance Bureau or its counterpart bureaus in area/sectoral offices on a specified date either as a Request for Assistance or Mediation case, or
 - g. That the case has been referred to the Field Investigation Office or its counterpart bureaus in area/sectoral offices on a specified date for fact-finding investigation.
6. For cases undergoing preliminary investigation and/or administrative adjudication at the level of the handling lawyer, information as to the interlocutory orders issued and the pleadings filed and received by the office, and the corresponding dates may be released upon request and subject to the approval of the Director of the Bureau/unit concerned.

5.0 PROCEDURE

Responsibility

Activity

Case Verifier

1. Receives written request
2. Determines if requester is a party to the case, counsel on record or their authorized representative. If not, refers the

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 3
		Revision No.	00
	Release of Case Information with Written Request	Code	PWIM 4.2
		Effectivity	January 1, 2017

2. Determines if requester is a party to the case, counsel on record or their authorized representative. If not, refers the request to the Ombudsman or Deputy Ombudsmen through the Records Chief for approval
3. Accesses the CCMS for case information in the CCMS (PWIM 4.1.1)
4. Drafts the reply containing the information requested or denial of the request
5. Refers to the Records Chief the draft written reply with attached written request for his/her signature
6. Signs the written reply
7. Forwards signed reply to releasing clerk for mailing
8. Photocopies signed reply
9. Readies the reply for mailing
10. Forwards photocopy of signed reply to the records custodian
11. Files signed reply in the case records

Records Chief

Releasing Clerk

Records Custodian

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 EXPEDITO O. ALLADO, JR. Acting Director, CREMEB-LUZ	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 4
		Revision No.	01
	Action on Requests for Copies of Case Documents	Code	PWIM 5.0
		Effectivity	January 1, 2017

1.0 PURPOSE

To standardize action on any request for a copy of case documents

2.0 SCOPE

This procedure manual covers walk-in requests for copies of documents pertaining to OMB criminal or administrative cases, fact-finding investigations, or requests for assistance, whether pending investigation or action or already closed.

3.0 DEFINITIONS

Case Document – refers to the complaint-affidavit and its attachments, subsequent pleadings filed, and the approved disposition reports such as orders, resolutions and decisions.

4.0 POLICY STANDARDS

1. Only parties, counsel on record or their duly-authorized representatives can secure copies of documents pertaining to their pending cases.
2. Any interested person can secure copies of approved Resolutions and Decisions in closed cases. For this purpose, a case is considered closed when the motion for reconsideration has been resolved, or the period within which to file it has lapsed without such motion having been filed.
3. No person shall be given any copy of a case document without presenting a valid identification, which includes any government issued I.D. or school or company I.D., and without payment of applicable fees to cover the photocopying expense.
4. Requests for a copy of case documents received through mail, courier service, or email shall be denied and a reply shall be sent to the requester citing the need for him/her to accomplish a request form, present a valid I.D., and pay the applicable fees.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 4
		Revision No.	01
	Action on Requests for Copies of Case Documents	Code	PWIM 5.0
		Effectivity	January 1, 2017

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	<ol style="list-style-type: none"> 1. Greets the requester “Good morning/afternoon, Sir/Ma’am. How may I help you?” 2. Receives duly accomplished form for Request for Copy of Case Documents (RCCD) 3. Verifies if the requester is a party, counsel on record, or duly authorized representative 4. Asks the requester to present any valid I.D. 5. Writes on the RCCD form the I.D. presented 6. Tells the requester to take a seat 7. Gives the RCCD to the records custodian
Records Custodian	<ol style="list-style-type: none"> 8. Retrieves the requested documents from the case folder 9. Photocopies requested documents 10. Certifies the photocopies as faithful reproduction of the record on file if requested in the RCCD 11. Prepares payment slip: <ul style="list-style-type: none"> ₱5.00 per page for plain copy ₱10.00 per page for certified copy 12. Writes the amount on the RCCD 13. Forwards the RCCD, payment slip, and the requested documents to the Chief of Records
Records Chief	<ol style="list-style-type: none"> 14. Approves the RCCD and payment slip



PROCEDURE AND WORK INSTRUCTION MANUAL

Page No.	3 of 4
Revision No.	01
Code	PWIM 5.0
Effectivity	January 1, 2017

Action on Requests for Copies of Case Documents

15. Refers the approved RCCD and payment slip, including the requested documents, to the receiving clerk
- Receiving Clerk
16. Gives the payment slip to the requester
17. Directs the requester to the cashier to pay the fees
- Cashier
18. Receives payment from the requester based on the payment slip
19. Issues an official receipt
20. Directs the requester to the Records Division to claim the case document/s requested
- Receiving Clerk
21. Asks the requester to present the official receipt
22. Checks if the amount in the official receipt is correct
23. Asks the requester to sign at the receipt portion of the RCCD
24. Releases the requested document/s to the requester
25. Reminds the requester to fill out a feedback form and drop it in the designated box at the lobby
26. Tells the requester "Have a nice day."
27. Files the RCCD

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 4
		Revision No.	01
	Action on Requests for Copies of Case Documents	Code	PWIM 5.0
		Effectivity	January 1, 2017

6.0 FORMS

Request for Copy of Case Document Form

Payment Slip

Client Feedback Form

Prepared by:	Reviewed by:	Approved by:
 SARAH JO A. VERGARA OIC, CRMO, OMB-VIS	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 7
		Revision No.	01
	Receipt of Personally Filed Requests for Assistance	Code	PWIM 6.1
		Effectivity	January 1, 2017

1.0 PURPOSE

To ensure that grievances and requests for assistance that are personally filed are promptly acted upon and properly documented

2.0 SCOPE

This procedure manual applies to grievances and requests for assistance that are personally filed by the complainant or requester.

3.0 DEFINITIONS

Request for Assistance (RAS) – any form of grievance or concern seeking redress, relief or public assistance, which does not necessarily amount to a criminal or administrative or forfeiture complaint, wherein the office is mandated to intervene within the primary scope of its powers, functions and jurisdiction.

Mediation (MED) – a voluntary process in which a mediator facilitates communication and negotiation, and assists the parties in reaching a voluntary agreement regarding a dispute. It also refers to complaints and grievances which are subject of mediation proceedings.

Other Forms of Assistance (OFA) – all other forms of assistance that may be provided or acted upon immediately, such as but not limited to administering of oaths, responding to queries, giving advice, and referring the request for an aid cognizable by other agencies.

4.0 POLICY STANDARDS

1. The Office of the Ombudsman shall act promptly on complaints filed in any form or manner (*Sec. 12, Art. XI, 1987 Constitution*).
2. Grievances and requests for assistance shall be acted upon immediately by a responsible action officer of the Public Assistance Bureau and its counterpart in area and sectoral offices.
3. Grievances or requests personally filed by a party shall be considered Other Forms of Assistance (OFA) if the same may be resolved or satisfied immediately. Those that

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 7
		Revision No.	01
	Receipt of Personally Filed Requests for Assistance	Code	PWIM 6.1
		Effectivity	January 1, 2017

require further actions may be considered either as a Request for Assistance (RAS) or Mediation (MED).

4. Grievances and requests denominated as RAS shall be acted upon within 90 days from receipt of the action officer. Initial action shall be made within 3 days from receipt. The concerned action officer shall prepare a Final Report which contains the sequence of actions taken, the results obtained and the recommended final disposition of the grievance or request.
5. Complaints and grievances referred for mediation shall be closed after 30 days from the date of initial mediation conference.
6. Those denominated as OFA shall be acted upon within 3 days from receipt. A disposition report shall be prepared using a prescribed template containing a summary of the action/s taken thereon.
7. Where the grievance or request for assistance appears to be manifestly frivolous, vexatious, or made in bad faith, or where it involves a matter purely between private parties, the same may be dismissed outright and the complainant/requester informed of the reasons for such dismissal.
8. Where the redress, relief, or assistance sought may be acted upon by another office, the same may be referred to the office concerned, with the Public Assistance Bureau following up on behalf of the complainant.
9. If the grievance or request is relatively simple and/or requires immediate action, the same may be acted upon by email, telephone, or other means of communication or given personal attention by going to the office or agency concerned.
10. Whenever deemed necessary or advisable, a copy of the grievance or request for assistance, together with the pertinent documents shall be sent to the public officials, employee or agency concerned, copy-furnished its head, for the taking of immediate remedial action; or, if the relief requested may not be complied with, to submit a written explanation therefor. If such explanation is found satisfactory, and/ or appropriate action had already been taken on the grievance or request, the same shall be dismissed and the parties informed accordingly.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 7
		Revision No.	01
	Receipt of Personally Filed Requests for Assistance	Code	PWIM 6.1
		Effectivity	January 1, 2017

11. The Public Assistance Office may arrange a conference between the complainant/ requesting party, and the public official concerned with a view to a satisfactory and expeditious resolution of the grievance/ request.
12. Upon consideration of the facts/information gathered, a resolution of the grievance or request shall be made within two (2) days of which the parties shall be notified, and appropriate steps taken to ensure compliance therewith.

5.0 PROCEDURE

5.1 Action on Requests for Assistance (RAS) and Mediation (MED)

<i>Responsibility</i>	<i>Activity</i>
Officer-of-the Day	<ol style="list-style-type: none"> 1. Greets the complainant or requester "Good morning/ afternoon, Sir/Ma'am. How can I help you?" 2. Interviews the complainant or requester to elicit information regarding the following: <ol style="list-style-type: none"> a. Personal details about the complainant/requester including contact details b. Personal details about the person complained against and his/her official designation and contact details, or details about the government agency and the particular transaction which is the subject of his/her complaint or request c. Acts or omissions complained of with details about the time, place, and other attendant circumstances, or the nature of the claim or request d. Whether or not the complainant/requester has previously brought a similar or identical complaint or request to the Office of the Ombudsman and any of its area/sectoral offices; if so, the results or outcome e. Whether or not the complainant/requester has previously brought a similar or identical complaint

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 7
		Revision No.	01
	Receipt of Personally Filed Requests for Assistance	Code	PWIM 6.1
		Effectivity	January 1, 2017

or request to another forum or government agency;
if so, the results or outcome

- f. Action/s expected to be taken by the office in regard to his/her complaint or request and the results desired
- g. If he/she has brought with him/her supporting documents pertinent to his/her complaint or request or if there are available documents in his/her possession or in the possession of another person or agency

3. Gives the complainant/requester a Request Form to accomplish which contains the office procedure on how to act on a request and shall be acted upon promptly and adequately
4. Peruses the accomplished Request Form to determine if the pertinent fields have been filled out
5. If there is an accompanying letter-request, letter-complaint, or complaint-affidavit, stamps "RECEIVED" at the upper right corner of the first page of every copy thereof, writes full name, affixes full signature, and indicates the date and time of receipt, and attaches it to the accomplished Request Form as annex
6. Reminds client to accomplish the Client Feedback Form and drop it in the drop box located at the lobby
7. Tells the complainant/requester "Have a nice day!"
8. Forwards the Request Form and attachment to a responsible staff
9. Checks if the complaint or request is the subject of a pending or closed Request for Assistance (RAS), mediation (MED), or Other Forms of Assistance (OFA)

Responsible Staff

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	5 of 7
		Revision No.	01
	Receipt of Personally Filed Requests for Assistance	Code	PWIM 6.1
		Effectivity	January 1, 2017

- | | | |
|----------------------------|-----|---|
| | 10. | Forwards the Request Form and attachment to the Director of Public Assistance |
| Public Assistance Director | 11. | Evaluates the grievance or request and gives instructions on actions that may be taken |
| | 12. | Forwards evaluated grievance or request to another responsible staff for docketing as RAS or MED, or assignment of a reference number |
| Responsible Staff | 13. | Assigns docket or reference number |
| | 14. | Forwards grievance or request to another personnel for raffle to an action officer |

5.2 Action on Other Forms of Assistance (OFA)

<i>Responsibility</i>	<i>Activity</i>
Officer-of-the Day	<ol style="list-style-type: none"> 1. Greets the complainant or requester "Good morning/afternoon, Sir/Ma'am. How can I help you?" 2. Interviews the complainant or requester to elicit information regarding the following: <ol style="list-style-type: none"> a. Personal details about the complainant/requester including contact details b. Personal details about the person complained against and his/her official designation and contact details, or details about the government agency and the particular transaction which is the subject of his/her complaint or request c. Acts or omissions complained of with details about the time, place, and other attendant circumstances, or the nature of his claim or request d. Whether or not the complainant/requester has previously brought a similar or identical complaint or request to the Office of the Ombudsman and any

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	6 of 7
		Revision No.	01
	Receipt of Personally Filed Requests for Assistance	Code	PWIM 6.1
		Effectivity	January 1, 2017

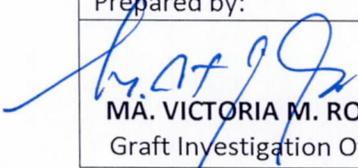
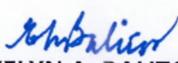
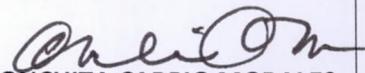
- of its area/sectoral offices; if so, the results or outcome
- e. Whether or not the complainant/requester has previously brought a similar or identical complaint or request to another forum or government agency; if so, the results or outcome
 - f. Action/s expected to be taken by the office in regard to his/her complaint or request and the results desired
 - g. If he/she has brought with him/her supporting documents pertinent to his/her complaint or request or if there are available documents in his/her possession or in the possession of another person or agency
3. Gives the complainant/requester a Request Form to accomplish which contains the office procedure on how to act on a request and shall be acted upon promptly and adequately
 4. Peruses the accomplished Request Form to determine if the pertinent fields have been filled out
 5. If there is an accompanying letter-request, letter-complaint, or complaint-affidavit, stamps "RECEIVED" at the upper right corner of the first page of every copy thereof, writes full name, affixes full signature, and indicates the date and time of receipt, and attaches it to the accomplished Request Form as annex
 6. Takes action on the complaint/request
 7. Reminds client to get and accomplish the Client Feedback Form and drop it in the drop box located at the lobby
 8. Tells the complainant/requester "Have a nice day!"

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	7 of 7
		Revision No.	01
	Receipt of Personally Filed Requests for Assistance	Code	PWIM 6.1
		Effectivity	January 1, 2017

6.0 FORMS

RAS Form

Client Feedback Form

Prepared by:	Reviewed by:	Approved by:
 MA. VICTORIA M. ROBERTO Graft Investigation Officer 1	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 3
		Revision No.	00
	Receipt of Requests for Assistance Through Mail	Code	PWIM 6.2
		Effectivity	January 1, 2017

1.0 PURPOSE

To ensure that grievances and requests for assistance received through mail or courier service are promptly acted upon and properly documented

2.0 SCOPE

This procedure manual applies to grievances and requests for assistance received by the office through mail or courier service.

3.0 DEFINITIONS

Request for Assistance (RAS) – any form of grievance or concern seeking redress, relief or public assistance, which does not necessarily amount to a criminal or administrative or forfeiture complaint, wherein the office is mandated to intervene within the primary scope of its powers, functions and jurisdiction.

Mediation (MED) – a voluntary process in which a mediator facilitates communication and negotiation, and assists the parties in reaching a voluntary agreement regarding a dispute. It also refers to complaints and grievances which are subject of mediation proceedings.

Other Forms of Assistance (OFA) – all other forms of assistance that may be provided or acted upon immediately, such as but not limited to administering of oaths, responding to queries, giving advice, and referring the request for an aid cognizable by other agencies.

4.0 POLICY STANDARDS

1. The Office of the Ombudsman shall act promptly on complaints filed in any form or manner (*Sec. 12, Art. XI, 1987 Constitution*).
2. Grievances and requests for assistance shall be acted upon immediately by a responsible action officer of the Public Assistance Bureau and its counterpart in area and sectoral offices.
3. Grievances and requests denominated as a Request for Assistance (RAS) shall be acted upon within 90 days from receipt of the action officer. Initial action shall be made within

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 3
		Revision No.	00
	Receipt of Requests for Assistance Through Mail	Code	PWIM 6.2
		Effectivity	January 1, 2017

3 days from receipt. The concerned action officer shall prepare a Final Report which contains the sequence of actions taken and the results obtained and the recommended final disposition of the grievance or request.

4. Complaints and grievances referred for mediation shall be closed after 30 days from the date of initial mediation conference.
5. Those denominated as Other Forms of Assistance (OFA) shall be acted upon within 3 days from receipt. A disposition report shall be prepared using a prescribed template containing a summary of the action/s taken thereon.
6. Grievances and requests for assistance filed through mail or courier service are considered complete and sufficient to warrant further action pursuant to Sections 3 and 4, Rule IV of Administrative Order No. 7, series of 1990.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Authorized Public Assistance Personnel	<ol style="list-style-type: none"> 1. Opens mails received from the post office or courier service 2. Stamps "RECEIVED" at the upper right corner of the first page of the complaint, writes full name, affixes full signature, and indicates the date and time of receipt 3. Checks if the mail is the subject of a pending or closed Request for Assistance (RAS), mediation (MED), or Other Forms of Assistance (OFA) 4. Forwards mail and attachment to the Director of Public Assistance
Public Assistance Director	<ol style="list-style-type: none"> 5. Evaluates the grievance or request received through mail or courier service 6. Forwards evaluated grievance or request to a responsible staff for docketing as RAS, MED, or OFA or assignment of a reference number

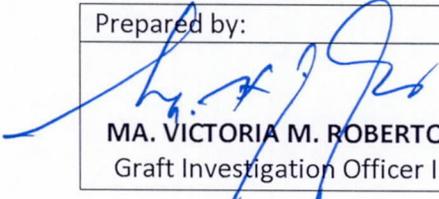
	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 3
		Revision No.	00
	Receipt of Requests for Assistance Through Mail	Code	PWIM 6.2
		Effectivity	January 1, 2017

Responsible Staff

7. Assigns docket or reference number
8. Forwards grievance or request to another responsible staff for raffle to an action officer

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 MA. VICTORIA M. ROBERTO Graft Investigation Officer I	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 3
		Revision No.	00
	Receipt of Online Requests for Assistance	Code	PWIM 6.3
		Effectivity	January 1, 2017

1.0 PURPOSE

To ensure that grievances and requests for assistance received through email are promptly acted upon and properly documented

2.0 SCOPE

This procedure manual applies to grievances and requests for assistance received by the office through the online facility of the Ombudsman website.

3.0 DEFINITIONS

Request for Assistance (RAS) – any form of grievance or concern seeking redress, relief or public assistance, which does not necessarily amount to a criminal or administrative or forfeiture complaint, wherein the office is mandated to intervene within the primary scope of its powers, functions and jurisdiction.

Mediation (MED) – a voluntary process in which a mediator facilitates communication and negotiation, and assists the parties in reaching a voluntary agreement regarding a dispute. It also refers to complaints and grievances which are subject of mediation proceedings.

Other Forms of Assistance (OFA) – all other forms of assistance that may be provided or acted upon immediately, such as but not limited to administering of oaths, responding to queries, giving advice, and referring the request for an aid cognizable by other agencies.

Online Grievance or Request – refers to grievance or request submitted electronically through the online facility of the Ombudsman website (www.ombudsman.gov.ph)

4.0 POLICY STANDARDS

1. The Office of the Ombudsman shall act promptly on complaints filed in any form or manner (*Sec. 12, Art. XI, 1987 Constitution*).
2. Grievances and requests for assistance shall be acted upon immediately by a responsible action officer of the Public Assistance Bureau and its counterpart in area and sectoral offices.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 3
		Revision No.	00
	Receipt of Online Requests for Assistance	Code	PWIM 6.3
		Effectivity	January 1, 2017

3. Grievances and requests denominated as a Request for Assistance (RAS) shall be acted upon within 90 days from receipt of the action officer. Initial action shall be made within 3 days from receipt. The concerned action officer shall prepare a Final Report which contains the sequence of actions taken and the results obtained and the recommended final disposition of the grievance or request.
4. Complaints and grievances referred for mediation shall be closed after 30 days from the date of initial mediation conference.
5. Those denominated as Other Forms of Assistance (OFA) shall be acted upon within 3 days from receipt. A disposition report shall be prepared using a prescribed template containing a summary of the action/s taken thereon.
6. Grievances and requests for assistance filed online shall be acknowledged by sending an automatic reply to the complainant through the email address that he/she disclosed.
7. Grievances and requests for assistance filed online are considered complete and sufficient to warrant further action pursuant to Sections 3 and 4, Rule IV of Administrative Order No. 7, series of 1990.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Authorized Public Assistance Personnel	<ol style="list-style-type: none"> 1. Checks once a day at 9:00 am any grievance or request for assistance filed through the OMB website 2. Acknowledges receipt by sending a reply 3. Prints e-mail complaint and attachments, if any, including the reply 4. Stamps "RECEIVED" at the upper right corner of the first page of the complaint, writes full name, affixes full signature, and indicates the date and time of receipt

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 3
		Revision No.	00
	Receipt of Online Requests for Assistance	Code	PWIM 6.3
		Effectivity	January 1, 2017

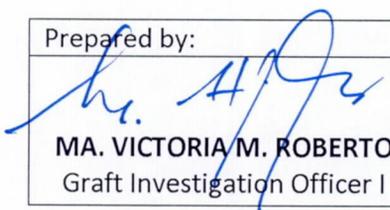
5. Checks if the e-mail is the subject of a pending or closed Request for Assistance (RAS), mediation (MED), or Other Forms of Assistance (OFA)
6. Forwards e-mail and attachment to the Director of Public Assistance
7. Evaluates e-mail
8. Forwards evaluated e-mail to a responsible staff for docketing as RAS, MED, or OFA or assignment of a reference number
9. Assigns docket or reference number
10. Forwards e-mail to another responsible staff for raffle to an action officer

Public Assistance
Director

Responsible Staff

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 MA. VICTORIA M. ROBERTO Graft Investigation Officer I	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 4
		Revision No.	00
	Disposition of Requests for Assistance	Code	PWIM 6.4
		Effectivity	January 1, 2017

1.0 PURPOSE

To standardize the disposition of Requests for Assistance (RAS), Mediation cases (MED), and Other Forms of Assistance (OFA)

2.0 SCOPE

This procedure manual pertains to the disposition of Requests for Assistance (RAS), Mediation cases (MED), and Other Forms of Assistance (OFA).

3.0 DEFINITIONS

Request for Assistance (RAS) – any form of grievance or concern seeking redress, relief or public assistance, which does not necessarily amount to a criminal or administrative or forfeiture complaint, wherein the office is mandated to intervene within the primary scope of its powers, functions and jurisdiction.

Mediation (MED) – a voluntary process in which a mediator facilitates communication and negotiation, and assists the parties in reaching a voluntary agreement regarding a dispute. It also refers to complaints and grievances which are subject of mediation proceedings.

Other Forms of Assistance (OFA) – all other forms of assistance that may be provided or acted upon immediately, such as but not limited to administering of oaths, responding to queries, giving advice, and referring the request for an aid cognizable by other agencies.

4.0 POLICY STANDARDS

1. Grievances and requests for assistance shall be acted upon immediately by a responsible action officer of the Public Assistance Bureau and its counterpart in area and sectoral offices.
2. Grievances and requests denominated as a Request for Assistance (RAS) shall be acted upon within 90 days from receipt of the action officer. Initial action shall be made within 3 days from receipt. The concerned action officer shall prepare a Final Report which contains the sequence of actions taken and the results obtained and the recommended final disposition of the grievance or request.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 4
		Revision No.	00
	Disposition of Requests for Assistance	Code	PWIM 6.4
		Effectivity	January 1, 2017

3. Complaints and grievances referred for mediation shall be closed after 30 days from the date of initial mediation conference.
4. Those denominated as Other Forms of Assistance (OFA) shall be acted upon within 3 days from receipt. A disposition report shall be prepared using a prescribed template containing a summary of the action/s taken thereon.

5.0 PROCEDURE

5.1 Disposition of Walk-in OFA

<i>Responsibility</i>	<i>Activity</i>
Action Officer	<ol style="list-style-type: none"> 1. Acts on the request 2. Drafts OFA Closed Form 3. Submits accomplished OFA Closed Form and supporting documents to Director for approval
Public Assistance Director	<ol style="list-style-type: none"> 4. Approves OFA Closed Form 5. Refers OFA Closed Form for docketing
Responsible Staff	<ol style="list-style-type: none"> 6. Assigns OFA docket number 7. Encodes OFA in the database 8. Files OFA Closed Form and supporting documents

5.2 Disposition of Mailed/E-mailed OFA

<i>Responsibility</i>	<i>Activity</i>
Action Officer	<ol style="list-style-type: none"> 1. Acts on the request 2. Drafts OFA Closed Form

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 4
		Revision No.	00
	Disposition of Requests for Assistance	Code	PWIM 6.4
		Effectivity	January 1, 2017

- | | | |
|----------------------------|----|--|
| | 3. | Submits accomplished OFA Closed Form and supporting documents to Director for approval |
| Public Assistance Director | 4. | Approves OFA Closed Form |
| | 5. | Refers OFA Closed Form for filing |
| Responsible Staff | 6. | Files OFA Closed Form and supporting documents |

5.3 Disposition of RAS

- | <i>Responsibility</i> | <i>Activity</i> |
|----------------------------|---|
| Action Officer | 1. Acts on the request |
| | 2. Drafts RAS Final Report |
| | 3. Submits RAS Final Report to Director for approval |
| Public Assistance Director | 4. Approves RAS Final Report |
| | 5. Refers RAS Final Report and folder for filing |
| Responsible Staff | 6. Furnishes requester and Assistant Ombudsman with a copy of the RAS Final Report through mail |
| | 7. Files OFA Closed Form |

5.4 Disposition of MED

- | <i>Responsibility</i> | <i>Activity</i> |
|-----------------------|--|
| Action Officer | 1. Acts on the mediation case |
| | 2. Drafts Memorandum on the Outcome of Mediation |
| | 3. Submits Memorandum to Director for approval |
| | 4. Approves Memorandum |

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 4
		Revision No.	00
	Disposition of Requests for Assistance	Code	PWIM 6.4
		Effectivity	January 1, 2017

Public Assistance
Director

5. Refers MED case folder for filing

Responsible Staff

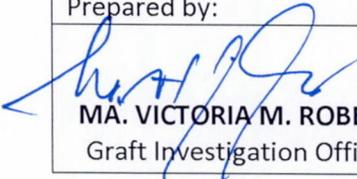
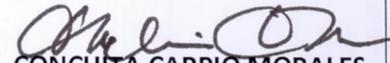
6. Indorses MED to Records Division/Section for further action, if applicable

7. Files MED case folder

6.0 FORMS

OFA Closed Form

Memorandum on the Outcome of Mediation

Prepared by:	Reviewed by:	Approved by:
 MA. VICTORIA M. ROBERTO Graft Investigation Officer I	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 4
		Revision No.	01
	Action on Requests for a Copy of SALN	Code	PWIM 7.1
		Effectivity	January 1, 2017

1.0 PURPOSE

To standardize action on any request for a copy of Statement of Assets, Liabilities, and Net Worth

2.0 SCOPE

This procedure manual covers walk-in requests for a copy of Statement of Assets, Liabilities, and Net Worth.

3.0 DEFINITIONS

Statement of Assets, Liabilities, and Net Worth – a document required by law to be filed by a public official and employee which is a sworn declaration of his assets, liabilities, and net worth, as well as his financial and other interests, and relatives in government.

4.0 POLICY STANDARDS

1. All SALNs filed with the Office of the Ombudsman and its area offices shall be accessible to the public for reproduction during reasonable office hours (*Section 1, Memorandum Circular No. 03, Series of 2012 and Section 8(c), R.A. No. 6713*).
2. All requests for copies of SALN shall be made in person.
3. Requests for a copy of SALN received through mail, courier service, or email shall be denied and a reply shall be sent to the requester citing the need for him/her to accomplish a request form, present a valid I.D., and pay the applicable fees.
4. All requests for copies of SALN shall be filed with, evaluated and approved by, the Records Division, and the requested copies shall be released by the same division.
5. The address of the declarant shall be redacted from the copy of the SALN requested, if the requester is other than the declarant or his authorized representative.
6. If the purpose stated by the requester is not among those enumerated in the request form, the request shall be elevated to the Office of Legal Affairs for legal opinion.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 4
		Revision No.	01
	Action on Requests for a Copy of SALN	Code	PWIM 7.1
		Effectivity	January 1, 2017

7. Copy of a requested SALN shall be released within sixty (60) minutes upon approval of the request. However, if the requested SALN is located in an off-site stockroom, it shall be released the following working day.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	<ol style="list-style-type: none"> 1. Greets the requester “Good morning/afternoon, Sir/Ma’am. How may I help you?” 2. Gives a copy of SALN Request Form (SRF) to be filled out by the requester 3. Asks the requester to present a valid I. D. 4. Examines filled out SRF to check the following: <ol style="list-style-type: none"> a. identity of the requester b. if all the fields were filled out c. if the purpose stated is valid 5. Routes SRF to SALN custodian
SALN Custodian	<ol style="list-style-type: none"> 6. Verifies availability of the requested SALN from SALN database; if not available, <ol style="list-style-type: none"> a. indicates it in the SRF b. explains the reason for non-availability and c. returns SRF to requester (<i>go to step 25</i>) 7. Retrieves SALN 8. Reproduces SALN 9. Redacts address of declarant 10. Certifies copy of SALN if requested 11. Prepares Payment slip: <ul style="list-style-type: none"> ₱5.00 per page for plain copy

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 4
		Revision No.	01
	Action on Requests for a Copy of SALN	Code	PWIM 7.1
		Effectivity	January 1, 2017

₱10.00 per page for certified copy

12. Releases Payment slip to requester
13. Routes SRF, Payment slip and copy of SALN to CREMEB Director
- CREMEB Director 14. Approves SRF and payment slip
15. Routes approved SRF, payment slip and copy of SALN to receiving clerk
- Receiving Clerk 16. Gives payment slip to requester
17. Directs the requester to the cashier to pay the required fees
- Cashier 18. Gets payment slip
19. Gets the payment
20. Issues Official Receipt
21. Directs the requester to the Records Division to claim copy of SALN
- Receiving Clerk 22. Asks the requester to present Official Receipt
23. Writes down payment details in the SRF: OR number, amount paid, and date of payment
24. Releases requested copy of SALN to requester
25. Reminds requester to fill out the client feedback form and to drop it in the designated box
27. Tells requester to have a nice day
28. Files the SRF

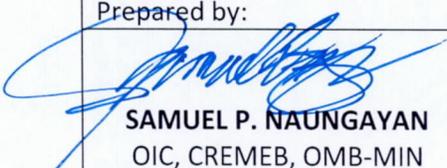
	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 4
		Revision No.	01
	Action on Requests for a Copy of SALN	Code	PWIM 7.1
		Effectivity	January 1, 2017

6.0 FORMS

SALN Request Form

Payment Slip

Client Feedback Form

Prepared by:	Reviewed by:	Approved by:
 SAMUEL P. NAUNGAYAN OIC, CREMEB, OMB-MIN	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 4
		Revision No.	00
	Action on Requests for In Camera Inspection of SALN	Code	PWIM 7.2
		Effectivity	January 1, 2017

1.0 PURPOSE

To standardize action on any request for inspection of Statement of Assets, Liabilities, and Net Worth

2.0 SCOPE

This procedure manual covers requests for in camera inspection of SALN.

3.0 DEFINITIONS

Statement of Assets, Liabilities, and Net Worth – a document required by law to be filed by a public official and employee which is a sworn declaration of his assets, liabilities, and net worth, as well as his financial and other interests, and relatives in government.

In Camera Inspection – literally means inspection in chamber, or in private. It is a privilege granted to requesters to peruse voluminous SALNs without obtaining a copy.

4.0 POLICY STANDARDS

1. All SALNs filed with the Office of the Ombudsman and its Area Offices shall be accessible to the public for inspection during reasonable Office hours (*Section 1, Memorandum Circular No. 03, Series of 2012 and Section 8(c), R.A. No. 6713*).
2. All requests for inspection of SALNs shall be filed with, evaluated and approved by, the Chief of Records Division or in his absence, the officer next in rank.
3. In camera inspection is allowed for voluminous SALNs. If the number of requested SALN is below 20, the requester shall be advised to request instead for copies.
4. If the purpose stated by the requester is not among those enumerated in the SALN Request Form (SRF), the request shall be elevated to the Office of Legal Affairs (OLA) for legal opinion.
5. SALN Custodian shall at all times be present during the inspection to ensure that the SALNs inspected shall not be tampered with, mutilated, or destroyed by the requesters.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 4
		Revision No.	00
	Action on Requests for In Camera Inspection of SALN	Code	PWIM 7.2
		Effectivity	January 1, 2017

6. Inspection shall be made only in a room/cubicle/area designated for the purpose, which is installed with a close circuit television.
7. Requesters shall be allowed to take down notes and take pictures of the SALN requested. If the requester is other than the declarant or his authorized representative, the address of the declarant shall be covered.
8. Requesters must not be allowed to carry any SALN outside the room/cubicle/area designated for inspection.
9. Only the requester/s who accomplished the SRF shall be allowed to inspect a SALN.
10. A maximum of three (3) SALNs may be requested in a single SRF by not more than three (3) persons.
11. Every requester shall be allowed to inspect one (1) SALN at a time.
12. Inspection shall be granted within sixty (60) minutes upon approval of the request. However, if the SALN is located in an off-site stockroom, inspection shall be made the following working day.

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Receiving Clerk	<ol style="list-style-type: none"> 1. Greets client “Good morning/afternoon, Sir/Ma’am. How may I help you?” 2. Gives a copy of SALN Request Form (SRF) to be filled out by the requester 3. Asks the requester to present a valid I. D. 4. Examines filled out SRF to check the following: <ol style="list-style-type: none"> a. identity of the requester b. if all the fields were filled out c. if the purpose stated is valid

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	3 of 4
		Revision No.	00
	Action on Requests for In Camera Inspection of SALN	Code	PWIM 7.2
		Effectivity	January 1, 2017

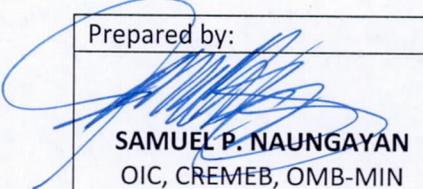
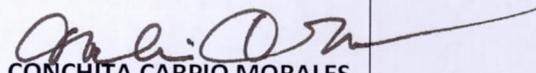
5. Routes the SRF to the SALN custodian
- SALN Custodian
6. Verifies the availability of the requested SALN from the SALN database; if not available,
 - a. indicates it in the SRF
 - b. explains the reason for non-availability and
 - c. returns the SRF to requester (*go to step 13*)
 7. Retrieves the SALNs and put them inside a folder
 8. Routes the SRF and SALN folder to CREMEB Director
- CREMEB Director
- 9 Approves SRF
 10. Routes the approved SRF and SALN folder to the SALN custodian
- SALN Custodian
11. Accompanies the requester to the designated room or cubicle for inspection
 12. Observes the requester during inspection
 13. Collects all SALN
 14. Reminds requester to fill out the client feedback form and to drop it in the designated box
 15. Tells requester to have a nice day
 16. Files the SALN and SRF

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	4 of 4
		Revision No.	00
	Action on Requests for In Camera Inspection of SALN	Code	PWIM 7.2
		Effectivity	January 1, 2017

6.0 FORMS

SALN Request Form

Client Feedback Form

Prepared by:	Reviewed by:	Approved by:
 SAMUEL P. NAUNGAYAN OIC, CREMEB, OMB-MIN	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 2
		Revision No.	00
	Client Feedback	Code	PWIM 8.1
		Effectivity	January 1, 2017

1.0 PURPOSE

To be able to elicit feedback from clients accessing frontline services and analyze the results

2.0 SCOPE

This procedure manual applies to gathering feedback from clients of frontline offices including the tabulation and analysis of results.

3.0 DEFINITIONS

Feedback – refers to any input, comment or suggestion from the clients of frontline offices, whether positive or negative.

4.0 POLICY STANDARDS

1. The Office of the Ombudsman values the feedback of clients transacting business with its frontline service delivery offices, whether positive or negative.
2. Feedback shall be proactively solicited from the people who access the frontline service of the Office of the Ombudsman. All frontline personnel, including guards-on-duty, are required to hand out a feedback form to every client and remind them to accomplish and drop it at designated drop box at the ground lobby.
3. The feedback of clients shall be integrated into the performance assessment of the frontline personnel and office concerned. Action officers in public assistance bureaus shall adopt a percentage of **at least very satisfied** clients as a performance indicator in their Individual Performance Commitment and Review form and set meaningful targets for it.
4. Quality of frontline service shall be rated on the basis of the following: adequacy of service rendered, promptness, and courtesy of staff.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 2
		Revision No.	00
	Client Feedback	Code	PWIM 8.1
		Effectivity	January 1, 2017

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Guard-on-Duty	<ol style="list-style-type: none"> 1. Hands to the client a feedback form 2. Asks the client to accomplish the feedback form before leaving the office
Action Officer	<ol style="list-style-type: none"> 3. Reminds the client to accomplish the feedback form and drop it in designated suggestion box at the lobby of the ground floor
Personnel from SMD or counterpart	<ol style="list-style-type: none"> 4. Collects the feedback form from the suggestion box at the end of each week at 4:00 pm 5. Tabulates and analyzes the results 6. Prepares report
Head, SMD	<ol style="list-style-type: none"> 7. Approves report 8. Forwards report to the Overall Deputy Ombudsman or Deputy Ombudsmen in area/sectoral offices

6.0 FORMS

Feedback Form

Prepared by:	Reviewed by:	Approved by:
 JULITA M. CALDERON Acting Director, PAB	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	1 of 2
		Revision No.	00
	Redress of Client Complaints and Grievances	Code	PWIM 8.2
		Effectivity	January 1, 2017

1.0 PURPOSE

To standardize the processing of client complaints and grievances

2.0 SCOPE

This procedure manual applies to complaints or grievances filed or reported by clients against any frontline personnel or against the systems, procedure, and policies of the office.

3.0 DEFINITIONS

None

4.0 POLICY STANDARDS

1. Complaints and grievances coming from the public who directly access the frontline service of the office and are adversely affected by any act or omission by a frontline personnel, or the implementation of policies, or operation of a system, may be filed in whatever form and manner. Anonymous complaints and grievances shall be acted upon only if the allegations are sufficient to warrant further actions.
2. Complaints and grievances shall be acted upon within three (3) working days from receipt thereof. If the act or omission of the frontline personnel complained against constitutes an administrative offense upon evaluation, the complaint or grievance shall be referred to the Internal Affairs Board for appropriate action.
3. The following courses of action may be resorted to for legitimate client complaints or grievances:
 - An apology from the erring frontline personnel
 - Assurance that the mistake will not happen again
 - An explanation
 - Waiver of fees and charges
 - Free re-delivery of service
4. Complaints and grievances may be settled amicably between the complainant and the respondent frontline personnel.

	PROCEDURE AND WORK INSTRUCTION MANUAL	Page No.	2 of 2
		Revision No.	00
	Redress of Client Complaints and Grievances	Code	PWIM 8.2
		Effectivity	January 1, 2017

5.0 PROCEDURE

<i>Responsibility</i>	<i>Activity</i>
Director of Office Concerned	<ol style="list-style-type: none"> 1. Receives the complaint or grievance 2. Confers with the frontline personnel complained against 3. Asks the frontline personnel to submit a written explanation within 48 hours 4. Resolves the complaint or grievance 5. Refers the complaint to the Internal Affairs Board if the complaint or grievance constitutes an administrative offense 6. Determines the next course of action to be taken 7. Keeps the complaint or grievance on file

6.0 FORMS

None

Prepared by:	Reviewed by:	Approved by:
 JULITA M. CALDERON Acting Director, PAB	 EVELYN A. BALITON Assistant Ombudsman	 CONCHITA CARPIO MORALES Ombudsman

OMB Form 1-Application for Ombudsman Clearance

 <p style="text-align: center;">Republic of the Philippines Office of the Ombudsman Agham Road, Diliman, Quezon City</p>							
<p>REQUIREMENTS:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20px;"><input type="checkbox"/></td> <td>1. Duly accomplished Application for Ombudsman Clearance (OMB Form 1) and any valid ID</td> </tr> <tr> <td><input type="checkbox"/></td> <td>2. Photocopy of service record and death certificate for death claims purposes</td> </tr> <tr> <td><input type="checkbox"/></td> <td>3. Payment of clearance fee</td> </tr> </table>	<input type="checkbox"/>	1. Duly accomplished Application for Ombudsman Clearance (OMB Form 1) and any valid ID	<input type="checkbox"/>	2. Photocopy of service record and death certificate for death claims purposes	<input type="checkbox"/>	3. Payment of clearance fee	
<input type="checkbox"/>	1. Duly accomplished Application for Ombudsman Clearance (OMB Form 1) and any valid ID						
<input type="checkbox"/>	2. Photocopy of service record and death certificate for death claims purposes						
<input type="checkbox"/>	3. Payment of clearance fee						

APPLICATION FOR OMBUDSMAN CLEARANCE

PURPOSE OF CLEARANCE : Please indicate the number of copies in the appropriate box.

<p style="text-align: center; background-color: #ADD8E6; padding: 2px;">Clearance Fee P100.00</p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> CDD</td> <td><input type="checkbox"/> Expiration of Term</td> <td><input type="checkbox"/> Reversion</td> </tr> <tr> <td><input type="checkbox"/> Death Claim</td> <td><input type="checkbox"/> GSIS Claims</td> <td><input type="checkbox"/> Separation (Date) _____</td> </tr> <tr> <td><input type="checkbox"/> Disability Retirement</td> <td><input type="checkbox"/> Rationalization</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Discharge</td> <td><input type="checkbox"/> Resignation (Date) _____</td> <td></td> </tr> <tr> <td><input type="checkbox"/> Dropped from the Roll</td> <td><input type="checkbox"/> Retirement (Date) _____</td> <td></td> </tr> <tr> <td><input type="checkbox"/> End of Contract (Date) _____</td> <td><input type="checkbox"/> TPPD</td> <td></td> </tr> <tr> <td><input type="checkbox"/> End of Term (Date) _____</td> <td></td> <td></td> </tr> <tr> <td><input type="checkbox"/> Expiration of Appointment</td> <td></td> <td></td> </tr> </table>	<input type="checkbox"/> CDD	<input type="checkbox"/> Expiration of Term	<input type="checkbox"/> Reversion	<input type="checkbox"/> Death Claim	<input type="checkbox"/> GSIS Claims	<input type="checkbox"/> Separation (Date) _____	<input type="checkbox"/> Disability Retirement	<input type="checkbox"/> Rationalization	_____	<input type="checkbox"/> Discharge	<input type="checkbox"/> Resignation (Date) _____		<input type="checkbox"/> Dropped from the Roll	<input type="checkbox"/> Retirement (Date) _____		<input type="checkbox"/> End of Contract (Date) _____	<input type="checkbox"/> TPPD		<input type="checkbox"/> End of Term (Date) _____			<input type="checkbox"/> Expiration of Appointment			<p style="text-align: center; background-color: #ADD8E6; padding: 2px;">Clearance Fee P200.00</p> <p><input type="checkbox"/> Awards, please specify: _____</p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Bar Exam</td> <td><input type="checkbox"/> Guarantorship</td> <td><input type="checkbox"/> Scientific Career System</td> </tr> <tr> <td><input type="checkbox"/> CES Eligibility</td> <td><input type="checkbox"/> Leave Application</td> <td><input type="checkbox"/> Study Grant</td> </tr> <tr> <td><input type="checkbox"/> CESO Rank</td> <td><input type="checkbox"/> Loan Application</td> <td><input type="checkbox"/> SUC Presidency</td> </tr> <tr> <td><input type="checkbox"/> Change of Name (Specify Name): _____</td> <td></td> <td></td> </tr> <tr> <td><input type="checkbox"/> Commissionship</td> <td><input type="checkbox"/> Nomination</td> <td><input type="checkbox"/> UN Mission</td> </tr> <tr> <td><input type="checkbox"/> Completion of Residency Training</td> <td><input type="checkbox"/> Recognition</td> <td><input type="checkbox"/> Visa</td> </tr> <tr> <td><input type="checkbox"/> Court Requirement</td> <td colspan="2"><input type="checkbox"/> Requirement by JBC, CSC, CESB, Office of the President, PRC, GOCC, DFA, DOLE, BI, LTO, NBI, PNP & other agencies: <i>(Please specify agency)</i></td> </tr> <tr> <td><input type="checkbox"/> Extension of Service</td> <td></td> <td></td> </tr> <tr> <td><input type="checkbox"/> Foreign Travel</td> <td></td> <td></td> </tr> <tr> <td><input type="checkbox"/> Free and Accepted Masonry</td> <td><input type="checkbox"/> Scholarship</td> <td></td> </tr> <tr> <td></td> <td><input type="checkbox"/> Schooling</td> <td></td> </tr> </table>	<input type="checkbox"/> Bar Exam	<input type="checkbox"/> Guarantorship	<input type="checkbox"/> Scientific Career System	<input type="checkbox"/> CES Eligibility	<input type="checkbox"/> Leave Application	<input type="checkbox"/> Study Grant	<input type="checkbox"/> CESO Rank	<input type="checkbox"/> Loan Application	<input type="checkbox"/> SUC Presidency	<input type="checkbox"/> Change of Name (Specify Name): _____			<input type="checkbox"/> Commissionship	<input type="checkbox"/> Nomination	<input type="checkbox"/> UN Mission	<input type="checkbox"/> Completion of Residency Training	<input type="checkbox"/> Recognition	<input type="checkbox"/> Visa	<input type="checkbox"/> Court Requirement	<input type="checkbox"/> Requirement by JBC, CSC, CESB, Office of the President, PRC, GOCC, DFA, DOLE, BI, LTO, NBI, PNP & other agencies: <i>(Please specify agency)</i>		<input type="checkbox"/> Extension of Service			<input type="checkbox"/> Foreign Travel			<input type="checkbox"/> Free and Accepted Masonry	<input type="checkbox"/> Scholarship			<input type="checkbox"/> Schooling	
<input type="checkbox"/> CDD	<input type="checkbox"/> Expiration of Term	<input type="checkbox"/> Reversion																																																								
<input type="checkbox"/> Death Claim	<input type="checkbox"/> GSIS Claims	<input type="checkbox"/> Separation (Date) _____																																																								
<input type="checkbox"/> Disability Retirement	<input type="checkbox"/> Rationalization	_____																																																								
<input type="checkbox"/> Discharge	<input type="checkbox"/> Resignation (Date) _____																																																									
<input type="checkbox"/> Dropped from the Roll	<input type="checkbox"/> Retirement (Date) _____																																																									
<input type="checkbox"/> End of Contract (Date) _____	<input type="checkbox"/> TPPD																																																									
<input type="checkbox"/> End of Term (Date) _____																																																										
<input type="checkbox"/> Expiration of Appointment																																																										
<input type="checkbox"/> Bar Exam	<input type="checkbox"/> Guarantorship	<input type="checkbox"/> Scientific Career System																																																								
<input type="checkbox"/> CES Eligibility	<input type="checkbox"/> Leave Application	<input type="checkbox"/> Study Grant																																																								
<input type="checkbox"/> CESO Rank	<input type="checkbox"/> Loan Application	<input type="checkbox"/> SUC Presidency																																																								
<input type="checkbox"/> Change of Name (Specify Name): _____																																																										
<input type="checkbox"/> Commissionship	<input type="checkbox"/> Nomination	<input type="checkbox"/> UN Mission																																																								
<input type="checkbox"/> Completion of Residency Training	<input type="checkbox"/> Recognition	<input type="checkbox"/> Visa																																																								
<input type="checkbox"/> Court Requirement	<input type="checkbox"/> Requirement by JBC, CSC, CESB, Office of the President, PRC, GOCC, DFA, DOLE, BI, LTO, NBI, PNP & other agencies: <i>(Please specify agency)</i>																																																									
<input type="checkbox"/> Extension of Service																																																										
<input type="checkbox"/> Foreign Travel																																																										
<input type="checkbox"/> Free and Accepted Masonry	<input type="checkbox"/> Scholarship																																																									
	<input type="checkbox"/> Schooling																																																									
<p style="text-align: center; background-color: #ADD8E6; padding: 2px;">Clearance Fee P150.00</p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Appointment</td> <td><input type="checkbox"/> Grant of Benefits</td> <td><input type="checkbox"/> Reappointment</td> </tr> <tr> <td><input type="checkbox"/> Confirmation</td> <td><input type="checkbox"/> Lateral Entry</td> <td><input type="checkbox"/> Reemployment</td> </tr> <tr> <td><input type="checkbox"/> Employment</td> <td><input type="checkbox"/> Promotion</td> <td><input type="checkbox"/> Transfer</td> </tr> <tr> <td><input type="checkbox"/> Foreign Assignment</td> <td></td> <td></td> </tr> </table>	<input type="checkbox"/> Appointment	<input type="checkbox"/> Grant of Benefits	<input type="checkbox"/> Reappointment	<input type="checkbox"/> Confirmation	<input type="checkbox"/> Lateral Entry	<input type="checkbox"/> Reemployment	<input type="checkbox"/> Employment	<input type="checkbox"/> Promotion	<input type="checkbox"/> Transfer	<input type="checkbox"/> Foreign Assignment																																																
<input type="checkbox"/> Appointment	<input type="checkbox"/> Grant of Benefits	<input type="checkbox"/> Reappointment																																																								
<input type="checkbox"/> Confirmation	<input type="checkbox"/> Lateral Entry	<input type="checkbox"/> Reemployment																																																								
<input type="checkbox"/> Employment	<input type="checkbox"/> Promotion	<input type="checkbox"/> Transfer																																																								
<input type="checkbox"/> Foreign Assignment																																																										

<p style="text-align: center; background-color: #ADD8E6; padding: 2px;">Clearance Fee P500.00</p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Bidding Requirements</td> <td><input type="checkbox"/> Fidelity Bond</td> <td><input type="checkbox"/> Permit to Carry Firearms</td> </tr> </table>	<input type="checkbox"/> Bidding Requirements	<input type="checkbox"/> Fidelity Bond	<input type="checkbox"/> Permit to Carry Firearms	<p style="text-align: center; background-color: #ADD8E6; padding: 2px;">Clearance Fee P1,000.00</p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Firearm License</td> </tr> </table>	<input type="checkbox"/> Firearm License
<input type="checkbox"/> Bidding Requirements	<input type="checkbox"/> Fidelity Bond	<input type="checkbox"/> Permit to Carry Firearms			
<input type="checkbox"/> Firearm License					

MODE OF PAYMENT: Please one.

<input type="checkbox"/> Cash	<input type="checkbox"/> SM, Hypermart, Savemore	<input type="checkbox"/> Landbank	<input type="checkbox"/> Postal money order payable to "Office of the Ombudsman Clearance Fees"
-------------------------------	--	-----------------------------------	---

MODE OF RELEASE : Please one.

<input type="checkbox"/> pick-up at OMB office	<input type="checkbox"/> prepaid private courier*	<input type="checkbox"/> regular mail
<input type="radio"/> personally <input type="radio"/> authorized representative	*applicant shall provide prepaid envelope except if paid thru SM	<input type="radio"/> office address <input type="radio"/> present/home address

APPLICANT'S INFORMATION: (Please PRINT legibly. Write "N/A" if not applicable)

1. Name of Applicant:			
<small>First Name</small>	<small>Middle Name</small>	<small>Last Name</small>	<small>Suffix i.e., Jr.</small>
2. Current Position:	3. If married, mother's maiden surname (for female applicant)		
4. Agency/Office Name:			
Agency/Office Address:			
5. Present Address:			
<small>House No./Blk. No.</small>	<small>Street</small>	<small>Barangay</small>	
<small>City/Municipality</small>		<small>Province</small>	
6. Previous Address:			
<small>House No./Blk. No.</small>	<small>Street</small>	<small>Barangay</small>	
<small>City/Municipality</small>		<small>Province</small>	
7. Date of Birth:	<small>mm/dd/yyyy</small>	8. Civil Status:	9. Sex:
10. Date of Marriage:	<small>mm/dd/yyyy</small>	11. Contact Nos.:	<small>Mobile</small> _____ <small>Landline</small> _____

12. Highest Educational Attainment	Educational Attainment	Period Attended	Educational Attainment	Period Attended
	High School		Vocational	
	College		Post Graduate	

TO BE ACCOMPLISHED BY THE RECEIVING CLERK

Valid Identification Card presented by the APPLICANT			Valid Identification Card presented by the REPRESENTATIVE		
Type	ID Number	Issuing Agency/Company	Type	ID Number	Issuing Agency/Company

13. EMPLOYMENT HISTORY

(To be accomplished only if service record is not attached. Use additional sheet if necessary.)

GOVERNMENT HISTORY			
	NAME OF OFFICE	ADDRESS	POSITION
			INCLUSIVE DATES
a.			
b.			
c.			
d.			
e.			
f.			
g.			
h.			

PRIVATE SECTOR			
	NAME OF OFFICE	ADDRESS	POSITION
			INCLUSIVE DATES
a.			
b.			
c.			
d.			
e.			
f.			
g.			
h.			

I declare that the answers given above are true and correct to the best of my knowledge and belief.

Printed Name of Applicant/ Authorized Representative : Date Accomplished:

Signature of Applicant/ Authorized Representative :

Name of Requester in Case of Death Claim : Relation to the Deceased:

N.B. For retirement purposes, an application shall be processed not earlier than **six (6) months** before the date of retirement.
 Tel. Nos.: Central Office - (02) 479-7309 and (02) 926-8786; OMB Visayas - (032) 412-5339; OMB Mindanao - (082) 221-3431

OMB Form 1A-Clearance Payment Slip

OMB Form 1A-Clearance Payment Slip



Republic of the Philippines
Office of the Ombudsman
Agham Road, Diliman, Quezon City

CLEARANCE PAYMENT SLIP

Date: _____

The Collecting Officer
Cash Unit

Please issue Official Receipt in favor of (name) _____

(address) _____

in the amount of (amount in words) _____

(amount in numbers) _____

Clearance Fee PhP:	Legal Research Fee: PhP
---------------------------	--------------------------------

FOR THE PURPOSE/S OF: Please indicate the number of copies in the appropriate box.

Processing Fee P100.00	Processing Fee P200.00
<input type="checkbox"/> CDD <input type="checkbox"/> Death Claim <input type="checkbox"/> Disability Retirement <input type="checkbox"/> Discharge <input type="checkbox"/> Dropped from the Roll <input type="checkbox"/> End of Contract (Date) _____ <input type="checkbox"/> End of Term (Date) _____ <input type="checkbox"/> Expiration of Appointment <input type="checkbox"/> Expiration of Term <input type="checkbox"/> GSIS Claims <input type="checkbox"/> Rationalization <input type="checkbox"/> Resignation (Date) _____ <input type="checkbox"/> Retirement (Date) _____ <input type="checkbox"/> Reversion <input type="checkbox"/> Separation (Date: _____) <input type="checkbox"/> TPPD	<input type="checkbox"/> Awards, please specify: _____ <input type="checkbox"/> Bar Exam <input type="checkbox"/> CES Eligibility <input type="checkbox"/> CESO Rank <input type="checkbox"/> Change of Name (Pls. Specify): _____ <input type="checkbox"/> Commissionship <input type="checkbox"/> Completion of Residency Training <input type="checkbox"/> Court Requirement <input type="checkbox"/> Extension of Service <input type="checkbox"/> Foreign Travel <input type="checkbox"/> Free and Accepted Masonry <input type="checkbox"/> Guarantorship <input type="checkbox"/> Leave Application <input type="checkbox"/> Loan Application <input type="checkbox"/> Scientific Career System <input type="checkbox"/> Study Grant <input type="checkbox"/> SUC Presidency <input type="checkbox"/> Nomination <input type="checkbox"/> Recognition <input type="checkbox"/> Requirement by JBC, CSC, CESB, Office of the President, PRC, GOCC, DFA, DOLE, BI, LTO, NBI, PNP & other agencies: (Please specify agency) _____ <input type="checkbox"/> UN Mission <input type="checkbox"/> Visa <input type="checkbox"/> Scholarship <input type="checkbox"/> Schooling
Processing Fee P150.00	Processing Fee P500.00
<input type="checkbox"/> Appointment <input type="checkbox"/> Confirmation <input type="checkbox"/> Employment <input type="checkbox"/> Foreign Assignment <input type="checkbox"/> Grant of Benefits <input type="checkbox"/> Lateral Entry <input type="checkbox"/> Promotion <input type="checkbox"/> Reappointment <input type="checkbox"/> Reemployment <input type="checkbox"/> Transfer	<input type="checkbox"/> Bidding Requirements <input type="checkbox"/> Fidelity Bond <input type="checkbox"/> Permit to Carry Firearms

Processing Fee P1,000.00
<input type="checkbox"/> Firearm License

Bill No. : _____
Dated : _____

Please deposit the collections under bank account/s

Account Number	Name of Bank/Branch	Amount
3672-1001-42	Landbank / Ombudsman Ext. Office	
	TOTAL	

Name and Signature of Receiving Clerk

OMB Form 1B-Payment Slip for Certified Photocopy of Clearance

OMB Form 1B-Payment Slip for Certified Photocopy of Clearance

 Republic of the Philippines Office of the Ombudsman Agham Road, Diliman, Quezon City	
Tel. Nos. (02) 479-7309 loc.2111/2132 & (02) 926-8786 Website: www.ombudsman.gov.ph Email: ombclearance@ombudsman.gov.ph	
PAYMENT SLIP FOR CERTIFIED PHOTOCOPY OF OMBUDSMAN CLEARANCE	
<input style="width: 100%; height: 20px;" type="text"/> Requesting Party	
Number of copy/ies : <input style="width: 50px;" type="text"/>	<input style="width: 100%; height: 20px;" type="text"/>
<input type="checkbox"/> PhP 10 per certified copy	₱ <input style="width: 50px;" type="text"/>
<input type="checkbox"/> PhP 5 if plain copy	₱ <input style="width: 50px;" type="text"/>
TOTAL	₱ <input style="width: 50px;" type="text"/>
Prepared by:	
_____ Name and Signature	_____ Date

OMB Form 1C-Clearance Claim Slip

OMB Form 1C-Clearance Claim Slip

 Republic of the Philippines Office of the Ombudsman Agham Road, Diliman, Quezon City	
Tel. Nos. (02) 479-7309 loc.2111/2132 & (02) 926-8786 Website: www.ombudsman.gov.ph Email: ombclearance@ombudsman.gov.ph	
CLEARANCE CLAIM SLIP	
Control No.	<input style="width: 20px; height: 20px;" type="text"/>
<input style="width: 100%; height: 40px;" type="text"/> NAME OF APPLICANT	
Date Received:	<input style="width: 100%; height: 20px;" type="text"/>
Due Date:	<input style="width: 100%; height: 20px;" type="text"/>
Received by:	<input style="width: 100%; height: 20px;" type="text"/>
When claiming, please bring the following checked <input checked="" type="checkbox"/> items:	
<input type="checkbox"/> Death Certificate <input type="checkbox"/> Authorization Letter (if filed by representative) <input type="checkbox"/> Photocopy of applicant's ID and authorized representative	
Note: OMB Clearance not claimed within sixty (60) days from date of release will be disposed of and no refund of application fee shall be granted.	

OMB Form 2-Request for Assistance

OMB Form 2-Request for Assistance

 <p>Republic of the Philippines Office of the Ombudsman Agham Road, Diliman, Quezon City</p>	<p style="text-align: center; margin: 0;">CONTACT US:</p> <p>PAB Hotline : (02) 926-2662 Trunkline : (02) 479-7300 loc. 2101/2104 Email : pab@ombudsman.gov.ph Website : www.ombudsman.gov.ph</p>	<p style="font-size: 1.2em; font-weight: bold; margin: 0;">NOT FOR SALE</p>
---	--	---

REQUEST FOR ASSISTANCE

<input type="checkbox"/> Walk-in	<input type="checkbox"/> Phone-in	RAS - ____ - ____ - _____	OFA - ____ - ____ - _____
----------------------------------	-----------------------------------	---------------------------	---------------------------

TO BE ACCOMPLISHED BY THE REQUESTER

1. Name of Requester/Caller :	2. Sex
3. Age : <input type="checkbox"/> 20 and below <input type="checkbox"/> 21-40 <input type="checkbox"/> 41-60 <input type="checkbox"/> 61 and above	
4. Residence/Business Address :	
<small>House No./Blk. No.</small>	<small>Street</small>
<small>Barangay</small>	
<small>City/Municipality</small>	
<small>Province</small>	
5. Contact Information :	
Mobile :	Landline :
e-Mail Address :	
6. Nature of Request/s :	
<input type="checkbox"/> Oath <input type="checkbox"/> Follow-up status of OMB Case <input type="checkbox"/> Follow-up letters/documents/transactions <input type="checkbox"/> Query/Legal advice <input type="checkbox"/> Referral <input type="checkbox"/> Medical/Financial <input type="checkbox"/> Money claims <input type="checkbox"/> Others, please specify _____	

7. Agency/Person/s complained of :

	Name	Position	Agency/Address	e-Mail Address/ Contact No.
a.				
b.				
c.				

NATURE/DETAILS (use back page, if necessary)

NOT FOR SALE

Please check (/) appropriate box:

<input type="checkbox"/> Yes, this is my first time in seeking the assistance of the Office of the Ombudsman regarding this matter.	
<input type="checkbox"/> No, I previously sought the assistance of the Office of the Ombudsman regarding this matter on _____	
The name of the Action Officer was _____	<small>Name of Assisting OMB Employee</small>
	<small>PAB/OMB-Luz/OMB-Vis/OMB-Min/MOLEO</small>

Signature of Requester :	Date :
--------------------------	--------

TO BE ACCOMPLISHED BY THE PAB ACTION OFFICER

ACTION(S) TAKEN:

Name/Signature :	Date :
------------------	--------

APPROVED/DISAPPROVED

FINAL DISPOSITION:

Name/Signature :	Date :
<small>Director, Public Assistance Bureau</small>	

OMB Form 3-Request for Copy of Case Documents

OMB Form 3-Request for Copy of Case Documents

 <p>Republic of the Philippines Office of the Ombudsman Agham Road, Diliman, Quezon City</p>	<p>CONTACT US:</p> <p>Records Division : Local 2223 & 2223 Trunkline : 479-7300 Website : www.ombudsman.gov.ph</p>	NOT FOR SALE
---	---	--------------

REQUEST FOR COPY OF CASE DOCUMENTS

TO BE ACCOMPLISHED BY THE REQUESTING PARTY

Date:

Requesting Party: Sex: Male Female

Please Check One: Complainant Respondent/ Accused Counsel (Copy of Entry of Appearance) OMB Official/ Investigator/ Prosecutor Others, please specify

OMB Case Number/ Reference Number: Signature:

Case Title:

Documents Requested (Put a check for details of documents requested)

Documents	Number of Copies	Certified True Copy	Plain copy	Documents	Number of Copies	Certified True Copy	Plain copy
<input type="checkbox"/> Complaint Affidavit	<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Resolution	<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Exhibits/Annexes	<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Decision	<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Counter-Affidavit	<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Order	<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Reply	<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> Motion for Reconsideration	<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Position Paper	<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>				
<input type="checkbox"/> Others, Specify	<input style="width: 250px;" type="text"/>				<input style="width: 50px;" type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>

Purpose of Request

For filing in court (Please select below) For Reference Misplaced copy Others, please specify

RTC/MTC Court of Appeals
 Sandiganbayan Supreme Court

TO BE ACCOMPLISHED BY THE RECEIVING CLERK

Valid Identification Card presented by the REQUESTER			Valid Identification Card presented by the REPRESENTATIVE		
Type	ID Number	Issuing Agency/Company	Type	ID Number	Issuing Agency/Company

APPROVED/DISAPPROVED:

<div style="border: 1px solid black; width: 250px; height: 30px; margin: 0 auto;"></div> <p style="text-align: center; margin-top: 5px;">Chief, Central Records Division</p>	<div style="border: 1px solid black; width: 150px; height: 30px; margin: 0 auto;"></div> <p style="text-align: center; margin-top: 5px;">Date</p>
--	---

RELEASED BY:	RECEIVED BY:
<p>Official Receipt No. : <input style="width: 150px;" type="text"/></p> <p>O.R. Date : <input style="width: 150px;" type="text"/></p> <p>Amount Paid : ₱ <input style="width: 100px;" type="text"/></p> <p>Date of Release : <input style="width: 150px;" type="text"/></p> <p>Released by : <input style="width: 150px;" type="text"/></p> <p style="text-align: center; margin-top: 5px;">Signature over Printed Name</p>	<div style="border: 1px solid black; width: 150px; height: 30px; margin: 0 auto;"></div> <p style="text-align: center; margin-top: 5px;">Signature over Printed Name of Requesting Party</p> <div style="border: 1px solid black; width: 150px; height: 30px; margin: 0 auto;"></div> <p style="text-align: center; margin-top: 5px;">Date</p>

OMB Form 3A-Payment for Copy of Case Documents

OMB Form 3A-Payment for Copy of Case Documents

 Republic of the Philippines Office of the Ombudsman Agham Road, Diliman, Quezon City		PAYMENT SLIP Date : _____				
PAYMENT FOR COPY OF DOCUMENTS						
Requesting Party : _____		OMB Reference No./Case No.: _____				
Documents Requested	Number of Copies	No. of Pages	Certified True Copy	Plain copy	Price per Page	Amount
<input type="checkbox"/> Complaint-Affidavit	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> Exhibits/Annexes	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> Counter-Affidavit	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> Reply	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> Position Paper	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> Resolution	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> Decision	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> Order	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> Motion for Reconsideration	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> SALN	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
<input type="checkbox"/> Others, please specify	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	₱ <input type="text"/>
Grand Total						₱ <input type="text"/>
APPROVED/DISAPPROVED _____ Chief, Central Records Division			OR. No.: _____ Date : _____ Amount Paid : ₱ <input type="text"/>			

OMB Form 4-Request for Case Information (Verification Slip)

OMB Form 4-Request for Case Information (Verification Slip)



Republic of the Philippines
Office of the Ombudsman
Agham Road, Diliman, Quezon City

**NOT
FOR
SALE**

REQUEST FOR CASE INFORMATION (VERIFICATION SLIP)

TO BE ACCOMPLISHED BY THE REQUESTER

Date: _____

Name of Requester: _____
First Name Middle Name Last Name Suffix e.g. Jr, III

Sex: _____ **Signature:** _____

Type of Requester (Please check the appropriate box)

Complainant Counsel for: _____
Name of Party
 Respondent (Requirements: copy of Entry of Appearance with Conformity of Party/ies
or copy of Entry/date filed)
 Authorized Representative
 Others, please specify _____

Address: _____
House No./Blk. No. Street Barangay

City/Municipality Province

Contact Number: _____
Mobile Landline

Case Number/Reference: _____

TO BE ACCOMPLISHED BY OMB PERSONNEL

Valid Identification Card presented by the REQUESTER			Valid Identification Card presented by the REPRESENTATIVE		
Type	ID Number	Issuing Agency/Company	Type	ID Number	Issuing Agency/Company

Status of the Case

Under evaluation With Pending MR
 Under preliminary investigation or administrative adjudication For Prosecution
 Under fact-finding investigation Convicted
 Under review Acquitted
 Resolved on: _____
 Referred to: _____
 OMB-Luzon OMB-Mindanao Other Agency
 OMB-Visayas OMB-MOLEO
 Referred on: _____
 Referred to Public Assistance Bureau on _____
 For Mediation on _____

Remarks: _____

VERIFIED BY:	RECEIVED BY:
_____ Signature over Printed Name of Records Officer or Personnel-in-Charge _____ Date	_____ Signature over Printed Name of Requester or Authorized Representative _____ Date

Note: The case status is limited to the above-cited information pursuant to OMB Office Order No. 88, s.1992 - Rule on Confidentiality.

OMB Form 5-SALN Request Form

OMB Form 5-SALN Request Form

 <p>Republic of the Philippines Office of the Ombudsman Agham Road, Diliman, Quezon City</p>	<p>CONTACT US:</p> <p>Trunkline : (02) 479-7300 loc. 1225 Website : www.ombudsman.gov.ph</p>
---	---

STATEMENT OF ASSETS, LIABILITIES AND NETWORTH (SALN) REQUEST FORM

A. TO BE ACCOMPLISHED BY THE REQUESTER

1. Name : 2. Sex

First Name Middle Name Last Name Suffix e.g. Jr., III

3. Residence/Business Address :

House No./Blk. No. Street Barangay

City/Municipality Province

4. Contact Information : Landline : Mobile No. :

5. Write below the details of the Public Official/s whose SALN is being requested.

	Name	Position	Government Agency	Year/s of SALN Requested
a.				
b.				
c.				
d.				

6. Please check (/) the purpose of the request.

For media report
 c. For filing of complaint
 e. For school project
 Others (specify)

For thesis
 d. Personal copy
 f. For reference

7. Authorized representative, if any
Name of representative : 8. Sex

First Name Middle Name Last Name Suffix e.g. Jr., III

9. Other concerns or reservations, if any.

Signature over Printed Name of Requester Date

B. TO BE ACCOMPLISHED BY THE RECEIVING CLERK

Valid Identification Card presented by the REQUESTER

Type	I.D. Number	Issuing Agency/Company

Valid Identification Card presented by the REPRESENTATIVE

Type	I.D. Number	Issuing Agency/Company

C. TO BE ACCOMPLISHED BY THE SALN CUSTODIAN

Recommended Action/Remarks (Please check appropriate box.)

No available SALN on file
 d. To be requested/retrieved from the National Archives of the

Certified copy requested
 e. Others (specify)

Number of copies to be requested

Signature over Printed Name of SALN Custodian Date

D. TO BE ACCOMPLISHED BY THE RECEIVING CLERK

Payment Details

OR Number : Amount Paid :

Date Paid :

Private address in the SALN redacted or blackened? a. YES, redacted/blackened b. NO

Signature over Printed Name of Receiving Clerk Date

APPROVED/DISAPPROVED:

Signature over Printed Name of Director, CREMEB Date

OMB Form 7-Feedback Form

OMB Form 7-Feedback Form



Republic of the Philippines
Office of the Ombudsman
Agham Road, Diliman, Quezon City

FEEDBACK FORM

We value your feedback. Please let us know how we have served you by completing this form.

Name of Visitor:

Contact Number:

Position/Designation:

Office Name&Address:

Sex: Male Female

Age Group: 17 & below 18-30 31-40

41-50 61 and above

Purpose of visit : (Please check (/) all applicable)

(Pakay sa pagbisita)

- | | |
|---|--|
| <input type="checkbox"/> Application for Ombudsman Clearance
<input type="checkbox"/> Request for Assistance
<input type="checkbox"/> Filing of New Complaint
<input type="checkbox"/> Filing of Pleadings and Submission of Documents Related to Existing Cases | <input type="checkbox"/> Request for Case Information
<input type="checkbox"/> Request for Copy of SALN
<input type="checkbox"/> Request for Copy of Case Documents
<input type="checkbox"/> Others <i>(Please specify)</i> |
|---|--|

How would you rate our service? Please put a check (/) mark.

(Paano po ninyo bibigyan ng marka ang aming ibinigay na serbisyo?)

Category	Excellent <i>(Napaka-husay)</i> (5)	Very Satisfactory <i>(Lubos na kasiya-siya)</i> (4)	Satisfactory <i>(Kasiya-siya)</i> (3)	Unsatisfactory <i>(Hindi kasiya-siya)</i> (2)	Poor <i>(Lubhang Di-kasiya-siya)</i> (1)
a. Prompt <i>(Maagap)</i>					
b. Courteous <i>(Magalang)</i>					
c. Adequate <i>(Sapat)</i>					
d. OVERALL SERVICE					

Name Office/Bureau:
 Name of OMB Personnel who attended you:

Recommendation(s)/Suggestion(s)/Desired Action from our Office
(Rekomendasyon/Mungkahi/Nais na aksiyon mula sa aming tanggapan)

Maraming salamat po!