



DILG REGION V
QUALITY
PROCEDURE

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PROCEDURE TITLE	Provision of Technical Assistance on Community Based Monitoring System Accelerated Poverty Profiling (CBMS-APP) Module
SCOPE	This process starts from the receipt of request from LGU to implement CBMS-APP up to the submission of CBMS-APP Monitoring Report to DILG Central Office (C.O.)-Bureau of Local Government Development (BLGD)
PURPOSE	To define the standard procedures in providing technical assistance on the implementation of Community-Based Monitoring System (CBMS-APP) and ensure quality service to Local Government Units (LGUs).

PROCESS DESCRIPTION		
INPUT	PROCESS	OUTPUT
<p>Letter Request for TA on CBMS-APP</p> <p>LGU</p>	<p>PROVISION OF TECHNICAL ASSISTANCE ON THE CONDUCT OF COMMUNITY BASED MONITORING SYSTEM ACCELERATED POVERTY PROFILING (CBMS-APP) MODULE</p>	<p>CBMS-APP Monitoring Report</p> <p>DILG C.O.</p>
<p>DESCRIPTIVE STATEMENT: The LGU request on CBMS-APP training is evaluated based on the submitted required documents and endorsed to PO and RO for appropriate actions. MOA is prepared and executed for the conduct of the technical assistance. Technical Assistance (TA) to LGU is provided and results of such are reported to the DILG Central Office and CBMS network.</p>		

Step No.	Responsible Personnel	PROCESS/ ACTIVITY	Details	References
1	City/Municipal Local Government Operations Officer (C/MLGOO)	Receive and endorse request of LGU to implement CBMS-APP	<p>Receive request for the implementation of CBMS-APP with the attached documentary requirements per CBMS Checklist</p> <p>Check completeness and appropriateness of CBMS documentary requirements. If found complete and appropriate, prepare and forward endorsement letter to the Provincial Office (P.O.) else, communicate noted deficiencies to the requesting LGU for appropriate action.</p> <p>Record the request in the CBMS TA Log Sheet.</p>	<p>Letter of Intent</p> <p>CBMS Checklist</p> <p>Endorsement letter</p> <p>CBMS TA Log Sheet</p>



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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
2.	Provincial Records Personnel	Receive, record and route request/endorsement for CBMS TA	Receive, record and route endorsement/request for CBMS TA in accordance to the Regional Records Management Procedure (RRMP)	Endorsement letter with LGU request and supporting documents
3.	Provincial Focal Person	Review request and documentary requirements	<p>Check completeness and appropriateness of CBMS documentary requirements else, communicate noted deficiencies to the concerned LGU.</p> <p>Prepare the endorsement with the attached required documents for signature of Provincial Director (PD). Once signed, forward to Regional Office (R.O.)</p>	<p>Endorsement letter with LGU request and supporting documents</p> <p>CBMS TA Log Sheet</p> <p>Endorsement letter</p>
4	Regional Records Officer	Receive, record and route PO endorsement for CBMS TA	Receive, record and route PO endorsement for CBMS TA in accordance to the Regional Records Management Procedure	Endorsement letter with LGU request and supporting documents
5	Regional CBMS Team	Review request and documentary requirements	<p>Check completeness and appropriateness of CBMS documentary requirements. If found complete and appropriate, LGCDD Chief sign the MOA as witness and RD as interested party and prepare endorsement to BLGD Director to sign as interested party to the MOA, else, communicate noted deficiencies to the concerned province.</p> <p>Request CBMS Scan Forms and Statsim using the online link provided by the CBMS Network Team and email the MOA signed by the concerned</p>	<p>Endorsement from PO with the required documents including MOA</p> <p>CBMS Checklist</p> <p>Endorsement to BLGD</p> <p>Scanned CBMS MOA signed by LCE</p>

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			<p>Local Chief Executive and Regional Director;</p> <p>Upon availability of CBMS Scan Forms (HPQs & BPQs), the software (cbms.apk) and Statsim from CBMS National Network Team, prepare letter to the requesting LGU for the conduct of CBMS TA with the agreed date and venue.</p> <p>Secure the documents from LGU prior to the conduct of the Modular Trainings.</p> <p>Prepare the necessary administrative documents for the conduct of CBMS TA/s as appropriate (Regional Order, Travel Order, and Request for Cash Advance and others as applicable) and the updated/latest CBMS TA Module/s.</p> <p>If there are no available trainers in the region and/or province, prepare endorsement letter to Central Office.</p>	<p>Letter</p> <p>Checklist of Documentary Requirements including letter request from LGU with the agreed date and venue</p> <p>Regional Order</p> <p>Applicable administrative documents</p> <p>CBMS TA Module/s</p> <p>Endorsement letter</p>
6	Assigned CBMS trainer	Conduct CBMS TA	<p>Conduct the requested CBMS Modular Training as follows:</p> <p>Module I – Mobile-Based Data Collection</p> <p>Module II – Data Processing, Map Digitizing and Building of CBMS Data</p>	CBMS Modules, Manuals and presentations



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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
			Module III – Plan Formulation:CBMS-Based Local-Level Planning and Budgeting Module Module IV – Integrating CBMS into the Community Development Plan (CDP)	
7	Provincial CBMS Focal/Alternate Person	Administer Customer Satisfaction Survey(CSS)	Administer Customer Satisfaction Survey to the participants at the end of every CBMS TA Modules	CSS Form for all Modules (summary of CSS to be forwarded to R.O)
8	Assigned CBMS trainer/staff	Prepare and submit report	Prepare the monthly CBMS-APP Monitoring Report and submit to BLGD	CBMS-APP Monitoring Report Form
9	Designated Records Custodian	Retain Records	Update CBMS TA Log Sheet. Maintain records in accordance with the Procedure on the Control of Retained Documented Information and Master List of Retained Documented Information.	CBMS TA Log Sheet Control of Retained Documented Information Master List of Retained Documented Information.

Definition of Terms:

CBMS-APP - Community-Based Monitoring System Accelerated Poverty Profiling. System developed by CBMS Network Team, the CBMS APP is an organized, systematic and efficient process of use of latest information and communication technology tools e.g. tablets, and the standard CBMS instruments for data collection (CBMS SCAN), processing (CBMS STATSIM), poverty mapping (QGIS) and data management tools, Data is transmitted, managed and accessed through the CBMS Portal. A tool to diagnose poverty incidence in the community, to know Why they are poor, Where they are, Who are they.

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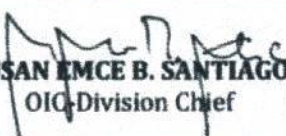
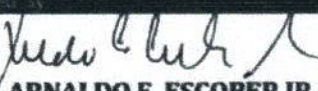
Legal References:

CBMS Manuals

DILG Memorandum Circular 2012-142

DILG Memorandum Circular 2014-135

DILG Memorandum Circular 2016-69

Prepared by	Reviewed by	Approved by
 EXCELSIS ELIGIO B. BERANGO LG00 V	 SUSAN EMCE B. SANTIAGO OIC-Division Chief	 ATTY. ARNALDO E. ESCOBAR JR., CESO V Assistant Regional Director
Process Owner	Deputy QMR	Regional QMR



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DILG REGION V
**QUALITY
OBJECTIVE**

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DIVISION/SECTION	LOCAL GOVERNMENT CAPACITY DEVELOPMENT DIVISION-POLICY ADVOCACY LOCAL RESOURCE DEVELOPMENT ASSISTANCE SECTION (LGCDD-PALRDAS)
QUALITY PROCEDURE TITLE	PROVISION OF TECHNICAL ASSISTANCE ON COMMUNITY BASED MONITORING SYSTEM ACCELERATED POVERTY PROFILING (CBMS-APP) MODULE

Function	Key Performance Indicator (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/ Formula (if applicable)			
Provision of Technical Assistance on the implementation of Community-Based Monitoring System Accelerated Poverty Profiling (CBMS -APP) to requesting LGUs nationwide	% of timely response to request for TA for CBMS modular training within 7 working days (wd) from receipt FO- 3 wd PO- 2 wd RO- 2wd	• 80%	Actual reply issued within 7 working days from receipt of request/ Total no. of request received - Total Number of Request Received not yet Due x 100	Monthly	CBMS Regional Team	CBMS TA Logsheets
	% of timely conduct of TA on the agreed date	• 80%	Total number of TAs conducted on the agreed date /Total number of requested TAs with the agreed date - Total Number of TA Request not yet Due x 100			CBMS TA Logsheets

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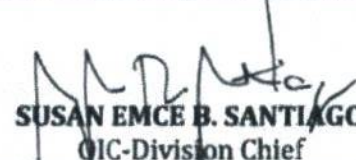
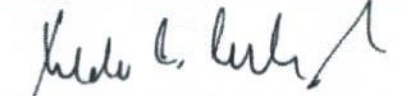




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Function	Key Performance Indicator (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator / Formula (if applicable)			CSS Summary Log Sheet
	% of conducted TAs for CBMS Trainings have 80% Clients Satisfaction Survey (Activity Feedback Form) received with rating of satisfactory (3) and above (4, 5).	• 80%	Total number of TAs with 80% Clients Satisfaction Survey (Activity Feedback Form) received with rating of satisfactory (3) and above (4, 5) / Total Number of TAs conducted x 100			

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DILG REGION V
**PROCESS QUALITY MONITORING
AND EVALUATION (QME)**

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C	Formula: $\frac{A}{B} \times 100$ B - C	Target: 80%												
D	Gap Analysis: In case the objective is not met, put your analysis why it is not met													
Objective 3: All conducted TAs for CBMS Trainings have 80% Clients Satisfaction Survey (Activity Feedback Form) received with an average rating of 3 and above.														
A	Total number of TAs with 80% Clients Satisfaction Survey (Activity Feedback Form) received with an average rating of 3 and above.	None	None	None	None	None	None	None	None	None	None	None	None	None
B	Total Number of TAs conducted													
C	Formula: $\frac{A}{B} \times 100$ B	Target: 80%												
D	Gap Analysis: In case the objective is not met, put your analysis why it is not met													

Prepared By	Reviewed By	Approved By
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DILG REGION V
**PROCESS QUALITY MONITORING
 AND EVALUATION (QME)**

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DIVISION/SECTION		LOCAL GOVERNMENT CAPACITY DEVELOPMENT DIVISION - POLICY ADVOCACY LOCAL RESOURCE DEVELOPMENT ASSISTANCE SECTION (LGCDD-PALRDAS)													
PROCEDURE TITLE		PROVISION OF TECHNICAL ASSISTANCE ON COMMUNITY-BASED MONITORING SYSTEM ACCELERATED POVERTY PROFILING (CBMS-APP) MODULE													
OBJECTIVE STATEMENT		1. 80% of received requests, issued reply within 7 working days upon receipt. 2. 80% of timely conducted TA within the agreed date 3. All conducted TAs have 80% Clients Satisfaction Survey (Activity Feedback Form) received with rating an average rating of 3 and above.													
CURRENT PERIOD															
	INDICATORS	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total	
Objective 1: 80% of received requests, issued reply within 5 working days upon receipt.															
A	Actual reply issued within 5 working days from receipt of request.	None	None	None	None	None	None	None	None	None	None	None	None	None	
B	Total no. of requests received.														
C	Total number of request received not yet due														
D	Formula: $\frac{A \times 100}{B-C}$ Target: 80%														
E	Gap Analysis: In case the objective is not met, put your analysis why it is not met														
Objective 2: 80% of timely conducted TA within the agreed date															
A	Actual number of TAs conducted within the agreed date	None	None	None	None	None	None	None	None	None	None	None	None	None	
B	Total no. of requests received.														
C	Total number of requested TA not yet due														

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DILG REGION V
CBMS TA LOG SHEET
PROCESS SUMMARY LOGSHEET (PSL)

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QUALITY OBJECTIVE:

1. 80% timely response to request for TA for CBMS modular training within 7 working days (wd) from receipt
2. 80% timely conduct of TA within the agreed date
3. 80% of conducted TAs for CBMS Trainings have 80% Clients Satisfaction Survey (Activity Feedback Form) received with rating of satisfactory (3) and above (4, 5).

FREQUENCY OF MONITORING: Monthly

COVERED PERIOD:

Due Date of Submission:

Legend:

No.	Requesting LGU	TA Requested	Date of TA	Objective 1 Result 80% timely response to request for TA for CBMS modular training within 7 working days (wd) from receipt				Objective 2 Result 80% timely conduct of TA within the agreed date			Objective 3 Result 80% of conducted TAs for CBMS Trainings have 80% Clients Satisfaction Survey (Activity Feedback Form) received with rating of satisfactory (3) and above (4, 5).		
				No. of Days Elapsed	Met ≤ 10 working days	Met > 10 working days	Reason Why Unmet	Met Put 1 if ≥ 90% Accuracy	Unmet Put 1 if < 90% Accuracy	Reason Why Unmet	Met Put 1 if ≥ 80% Client Satisfaction	Unmet Put 1 if < 80% Client Satisfaction	Reason Why Unmet
1	NONE												
2													
3													
4													
5													
6													
7													
8													
9													
10													
TOTAL RESULTS													

Prepared By	Reviewed By	Approved By
EXCELSIS EUGIO B. BERANGO LG00 V Process Owner	SUSAN EMCE B. SANTIAGO QC - Division Chief, LGCDD Deputy QMR	ATTY. ARNALDO E. ESCOBAR JR., CESO V Assistant Regional Director Regional QMR

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CBMA-APP of Process Summary Logsheet (PSL)

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QUALITY OBJECTIVE: 1. 80% timely response to request for TA for CBMS-APP modular training within 7 working days (wd) from receipt**FREQUENCY OF MONITORING:** Monthly**COVERED PERIOD:****Due Date of Submission:****Legend:**

CLG00/MLG00																	PO					RO				
No.	LGU	TA requested	Date Received by the C/MLG00	COMPLETENESS AND APPROPRIATENESS		Date Forwarded to PO	Date Received by the PO Staff	Date Received by the Provincial CBMS Focal/ Alternate Person	COMPLETENESS AND APPROPRIATENESS		Date Forwarded to RO	Date Received by the RO	Date Received by the Regional CBMS Team	COMPLETENESS AND APPROPRIATENESS		Date Forwarded to Central Office										
				Date Deficiency Communicated	Date Complete/ Appropriate Documents Received				Date Deficiency Communicated	Date Complete/ Appropriate Documents Received				Date Deficiency Communicated	Date Complete/ Appropriate Documents Received											
1																										
2																										
3																										
4																										
5																										
6																										
7																										
8																										
9																										
10																										
11																										

Total
Result

HPQs and BPQs preparation by CBMS Network (3 - 5 weeks)

Depending on the date Signing of MOA by BLGD Director and CBMS Network

Statsim and QGIS preparation by CBMS Network (4-5 Weeks)

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LG00 V	O/C Division Chief, LGCDD	Assistant Regional Director
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Regional and Provincial CBMS Team
Retain Records

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CBMA-APP of Process Summary Logsheets (PSL)

QUALITY OBJECTIVE: 2. 80% timely conduct of TA within the agreed date

FREQUENCY OF MONITORING: Monthly

COVERED PERIOD:

Due Date of Submission:

Legend:

No.	80% timely conduct of TA within the agreed date					
	Objective 2 Results					
	Requesting LGU	Date Agreed	Date Conducted	Met (within ≤ 7 days)	Unmet (≥ 7 days)	Remarks, if unmet
A	B	C	D	E	F	G
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						

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CBMA-APP of Process Summary Logsheet (PSL)

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QUALITY OBJECTIVE: 3. 80% of conducted TAs for CBMS Trainings have 80% Clients Satisfaction Survey (Activity Feedback Form) received with rating of satisfactory (3) and above (4, 5).

FREQUENCY OF MONITORING: Monthly

COVERED PERIOD:

Due Date of Submission:

Legend:

No.	Particulars of the TA		Average Satisfaction Rating	80% of conducted TAs for CBMS Trainings have 80% Clients Satisfaction Survey (Activity Feedback Form) received with rating of satisfactory (3) and above (4, 5).			Remarks/ Particulars
	TA Title	Date Conducted		Met Put 1 if ≥ 80% Client Satisfaction	Unmet Put 1 if < 80% Client Satisfaction	Reason Why Unmet	
1	NONE						
2							
3							
4							
5							
6							
7							
8							
9							
10							
TOTAL							
RESULTS							

Prepared By	Reviewed By	Approved By
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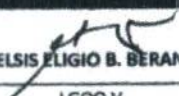
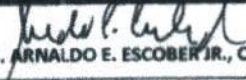
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MASTER LIST OF RETAINED DOCUMENTED INFORMATION

MASTER LIST OF RETAINED DOCUMENTED INFORMATION									
DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SYSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
Control of Document Procedure									
	Required Documentary Forms	CBMS REGIONAL TEAM/FOCAL PERSON	ISO Corner QMS Filing Cabinet 3, Drawer 1, RDF	Green	By Annex				
	CBMS APP Log Sheet	CBMS REGIONAL TEAM/FOCAL PERSON	ISO Corner QMS Filing Cabinet 3, Drawer 1, CBMS APP Logsheet	Green	Chronological				
Process Performance Monitoring and Measurement Procedure									
	REQUESTING LGU FOLDERS WITH DOCUMENTARY REQUIREMENTS AND LETTERS	CBMS REGIONAL TEAM/FOCAL PERSON	ISO Corner QMS Filing Cabinet 3, Drawer 2, LGU Name	Green	By LGU				
	CSS	CBMS REGIONAL TEAM/FOCAL PERSON	ISO Corner QMS Filing Cabinet 3, Drawer 2, CSS	Green	Chronological				
	FINACIAL REPORTS	CBMS REGIONAL TEAM/FOCAL PERSON	ISO Corner QMS Filing Cabinet 3, Drawer 2, Financial Reports	Green	Chronological				
Management Review Procedure									
	DILG Memorandum Circulars	CBMS REGIONAL TEAM/FOCAL PERSON	ISO Corner QMS Filing Cabinet 3, Drawer 1, BUB 2016 CBMS Guidelines	Green	Chronological				
	Regional Memorandum	CBMS REGIONAL TEAM/FOCAL PERSON	ISO Corner QMS Filing Cabinet 3, Drawer 1, RMC	Green	Chronological				
QMS Planning Procedure									

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Process Owner	Regional QMR

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
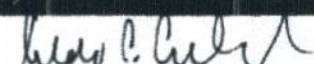
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MASTER LIST OF MAINTAINED EXTERNAL DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION/EDITION					
		00	01	02	03	04	05
Provision of Technical Assistance on Community Based Monitoring System Accelerated Poverty Profiling (CBMS-APP)							
FM-QP-BLGD-PDD-33-02B	Post Activity Customer Satisfactory Survey CBMS Module 1						
FM-QP-BLGD-PDD-33-02C	Post Activity Customer Satisfactory Survey CBMS Module 2						
FM-QP-BLGD-PDD-33-02D	Post Activity Customer Satisfactory Survey CBMS Module 3						
FM-QP-BLGD-PDD-33-02E	Post Activity Customer Satisfactory Survey Training Workshop Module 4						
FM-QP-BLGD-PDD-33-03B	Summary Report CSS Monitoring Logsheet Module 1						
FM-QP-BLGD-PDD-33-03C	Summary Report CSS Monitoring Logsheet Module 2						
FM-QP-BLGD-PDD-33-03D	Summary Report CSS Monitoring Logsheet Module 3						
FM-QP-BLGD-PDD-33-03E	Summary Report Training Workshop CSS Monitoring Logsheet Module 4						
DILG MC 2012-142	Enjoining Local Chief Executives to Utilize CBMS in Planning and Project Development						
DILG MC 2014-135	Guidelines on Formulation of Local Climate Change Action Plan						
DILG MC 2016-69	Guidelines on the Implementation of CBMS and Other DILG-Administrative Capacity Development Subprojects on Gender and Development (GAD) and Disaster Risk Reduction and Climate Change Adaptation (DRR-CCA) Under the Bottom-Up Budgeting (BUB) - DILG Fund FY 2016						
DILG MC 2015-77	Guidelines on Mainstreaming Climate Change Adaptation and Disaster Risk Reduction in Local Development Planning						

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Regional Document Controller	Regional OMR


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DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
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Name of Division: LGCDD

MASTERLIST OF MAINTAINED INTERNAL DOCUMENTED INFORMATION

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
		00	01	02	03	04	05
Provision of Technical Assistance on Community Based Monitoring System Accelerated Poverty Profiling (CBMS-APP)							
QP-RO5-LGCDD-22	Quality Procedure - Provison of TA on CBMS-APP Quality Procedure						
QO-QP-RO5-LGCDD-22	Quality Objectives - Provison of TA on CBMS-APP Objective						
QME-QP-RO5-LGCDD-22	Quality Monitoring and Evaluation - Provison of TA on CBMS-APP Quality Monitoring and Evaluation						
FM-QP-RO5-LGCDD-22-01	Process Summary Logsheets - CBMS-APP Process Monitoring Logsheets to Q01						
FM-QP-RO5-LGCDD-22-02	Process Summary Logsheets - CBMS-APP Process Monitoring Logsheets to Q02						
FM-QP-RO5-LGCDD-22-03	Process Summary Logsheets - CBMS-APP Process Monitoring Logsheets to Q03						
FM-QP-RO5-LGCDD-22-04	CBMS-APP TA Logsheets Process Summary Logsheets						

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Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
REGIONAL OFFICE NO. 5

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RISK CONTROL PLAN AND MONITORING REPORT

REGION

REGION 5

PROCESS:

Provision of Technical Assistance on Community Based Monitoring System Accelerated Poverty Profiling (CBMS-APP)

DATE UPDATED:

RISK CONTROL PLAN									
POTENTIAL RISK	TYPE OF ACTION (Avoid, Treat/Mitigate, Transfer, Terminate)	ACTIVITY/ ACTION	RESPONSIBLE PERSONNEL	TIMELINE		RESOURCES NEEDED	DATE MONITORED	REMARKS (Status, Constraints, Other Actions Taken, if any)	BY
				START DATE	COMPLETION DATE				
Cannot upload MOA and request for HPQ and BPQ	Mitigate	Provide Alternate Service Provider, Mobile Internet Load and Generator	Information Technology Officer and General Services Section	4th Qtr of 2019	1st Qtr of 2020	Budget	Monthly	No Funds Available	Budget, GSS, IT
Cannot download HPQ and BPQ	Mitigate	Provide Alternate Service Provider, Mobile Internet Load and Generator	Information Technology Officer and General Services Section	4th Qtr of 2019	1st Qtr of 2020	Budget	Monthly	No Funds Available	Budget, GSS, IT

Prepared by:	Reviewed by:	Approval:
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Process Owner	Risk Review	Regional QMR

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RISK AND OPPORTUNITY REGISTER
(A) OBJECTIVE RISK AND OPPORTUNITY ASSESSMENT


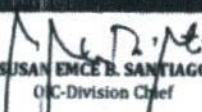
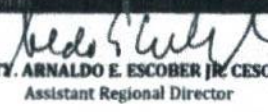
REGION: **V**


PROCESS: **Provision on Technical Assistance on Community-Based Monitoring System Accelerated Poverty Profiling (CBMS-APP)**

DATE UPDATED:

OBJECTIVE	RELEVANT ISSUE(S) (refer to Context Registry)	RELEVANT INTERESTED PARTIES (refer to IP Matrix)	POTENTIAL RISK or OPPORTUNITY	RISK TRIGGER (N/A FOR OPPORTUNITY)	CONSEQUENCE (RISK) / BENEFIT (OPPORTUNITY)	EXISTING RISK CONTROL MEASURE (N/A FOR OPPORTUNITY)	RISK/OPPORTUNITY ASSESSMENT					RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
							IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	
% of timely response to request for TA for CBMS modular training within 7 working days (wd) from receipt	Non-adherence to the Department protocol/guidelines in the preparation and submission of all the documentary requirement for Provision of TA in the Implementation of CBMS-APP	Submission of Required Documents per CBMS Checklists	Cannot process of documents and request for CBMS Scan Forms (HPQ & BPQ) and Statsim by the CBMS Network	Incomplete/ inappropriate documents submitted by the requesting party	Cannot in the Implementation of CBMS-APP	Advise requesting LGUs that the documentary requirements must be complete and appropriate and shall be coursed through the MLGOO; Provincial CBMS Focal/ Alternate Person to review as to the completeness and appropriateness of the documentary requirements/Provide LGU with a copy of complete documentary requirements including the MOA and Work and Financial Plan with indicative timelines of implementation.	3	2	6	NS	No Further action required	
% of timely conduct of TA on the agreed date % of timely conduct of TA on the agreed date	Non-compliance to the required outputs of every module and no available CBMS Trainer	Required output per module and availability of trainer	Cannot proceed to the next module	Longer time to accomplish every required output per module	Cannot conduct TA on requested module	Follow-up required output of each requested module for completion as agreed the conduct of each module to conduct the next module on the agreed time	4	2	8	NS	Alert Level	
% of conducted TAs for CBMS Trainings have 80% Clients Satisfaction Survey (Activity Feedback Form)	Non-compliance to the CSS every after the conduct of TA	CSS Form	Cannot monitor and evaluate customer satisfaction feedback		No information on customers feedback on the services provided	Provide LGU CSS form to reproduce and give to the CBMS PFP	3	2	6	NS	No Further action required	

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

 EXCELSIS ELIGIO B. BERANGO LGOOV Process Owner	 SUSAN EMCE B. SANTIAGO OIC-Division Chief Deputy QMR	 ATTY. ARNALDO E. ESCOBAR JR. CESO V Assistant Regional Director Regional QMR
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RISK AND OPPORTUNITY REGISTER
PROCESS RISK AND OPPORTUNITY ASSESSMENT

REGION REGION V
PROCESS: Provision of Technical Assistance on Community Based Monitoring System Accelerated Poverty Profiling (CBMS-APP)
DATE UPDATED:

PROCESS STEP (Based on the procedure's key process steps)	POTENTIAL RISK or OPPORTUNITY	RISK TRIGGER (N/A FOR OPPORTUNITY)	CONSEQUENCE (RISK) / BENEFIT (OPPORTUNITY)	EXISTING RISK CONTROL MEASURE (N/A FOR OPPORTUNITY)	RISK/OPPORTUNITY ASSESSMENT					
					IMPACT	LIKELIHOOD	RATING	RISK / OPPORTUNITY LEVEL (S, NS)	TYPE OF ACTION	RISK CONTROL PLAN/ OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk/Opportunity)
Receive, review, record and endorse request of LGU to implement CBMS-APP	Delay in the processing of the request to conduct TA and request for the CBMS Scan Form (HPQ & BPQ)	Incomplete and inappropriate documents submitted and not reviewed by the C/MLGOO and Provincial CBMS Focal/Alternate Person	Cannot implementation of CBMS-APP	Provide C/MLGOO and Provincial CBMS Focal /Alternate Person the complete set of the Checklist of the Required Documents and with the prescribe templates	4	2	8	NS	Alert Level	
Process request for technical assistance (TA)	Delay in the processing of the request to conduct TA	MOA not signed by the RD, BLGD Director & CBMS Team Leader and not notarized	Cannot Process the request for TA	Follow up MOA to be signed by RD, BLGD Director & CBMS Team Leader	3	1	3	NS	No Further Action Required	
		Brownout and no internet connectivity to upload MOA and request for HPQ and BPQ online	Cannot upload MOA and request for HPQ and BPQ	Provide Alternate Service Provider, Mobile Internet Load and Generator	4	3	12	S	Control	Provide Alternate Service Provider, Mobile Internet Load and Generator
		downloaded HPQs and BPQs are not working	Cannot download HPQ and BPQ	Provide Alternate Service Provider, Mobile Internet Load and Generator	4	3	12	S	Control	Provide Alternate Service Provider, Mobile Internet Load and Generator
			Cannot use HPQ and BPQ	Request for new HPQ and BPQ online and email CBMS Network	4	2	8	NS	Alert Level	
		Dates cannot be agreed upon	Cannot proceed to conduct TA	MLGOO to assist LGU to agree on date	2	2	4	NS	No Further Action Required	

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Conduct CBMS TA	Delay in the conduct of requested CBMS TA Modules	No letter request received on the agreed date due to require outputs per module to conduct TA on CBMS Module requested	Cannot proceed to conduct on TA on CBMS Module requested	C/MLGOO to assist LGU in fast tracking the required outputs and agreed date	2	2		NS	No Further Action Required
		Travel Order (TO) not signed	Cannot go to the LGU who requested for TA	Follow TO up to be signed by authorized next higher ranking officer	2	2		NS	No Further Action Required
Administer Customer Satisfaction Survey(CSS)	Cannot evaluate, monitor the customer satisfaction and feedback relating to provision on TA and services	Survey forms not given to clients	Cannot administer CSS	Printing of CCS Survey to be given to LGUs and to be given Provincial Focal Person on the first day of the conduct of TA	2	2		NS	No Further Action Required
Prepare and submit report and Retain Records	Cannot provide documented information regarding the conduct of the TA provided	Reports not prepared and submitted	Cannot submit report and retain documented information	C/MLGOOs, PFP to follow-up Terminal Report	2	2		NS	No Further Action Required
RISK ASSESSMENT:			RISK RATING	RISK LEVEL	RISK DESCRIPTION	ACTION REQUIRED			RPN
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme			1-7	LOW	Not Significant	No further action required (Maintain and sustain the existing control)			3
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain			8-9	MODERATE	Not Significant	Alert level (Maintain and sustain the existing control)			2
Risk/Opportunity Rating = Impact X Likelihood			10-25	HIGH	Significant	Control (e.g., Avoid or Treat/Mitigate Transfer, Terminate)			1

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