



DILG REGION V
**QUALITY
PROCEDURE (QP)**

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PROCEDURE TITLE	PROCUREMENT PROCESS FOR GOOD AND SERVICES
SCOPE	This process starts from the receipt of approved and funded Purchase Request (PR) with supporting documents up to the issuance of Notice of Award (NOA), Purchase Order (PO) or Contract and Notice to Proceed (NTP) to the winning supplier/dealer or Agency Procurement Receipt to PS-DBM.
PURPOSE	This is to define the procurement process in accordance with the Alternative Methods of Procurement and Public Bidding as provided in RA 9184 and its implementing rules and regulations (2016 IRR)

PROCESS DESCRIPTION

INPUT		PROCESS	OUTPUT	
End User/Requesting Unit	Approved and Funded PR and supporting documents	<div>PROCUREMENT PROCESS FOR GOODS AND SERVICES</div>	APR with supporting documents PO/ Contract/Notice to Proceed/Award	PS-DBM Winning Bidder/Supplier/ Dealer PHILGEPS

DESCRIPTIVE STATEMENT:

The End User shall submit the duly approved Purchase Request (PR) with complete supporting documents to the Bids and Award Committee (BAC) through the BAC Secretariat. All government agencies are mandated to procure all "Ordinary and Regular Office Supplies" from the PS-DBM. After the requisitioned goods are certified not available in PS-DBM the BAC Secretariat may proceed with the Alternative Mode of Procurement and Public Bidding.

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Step No.	Responsible Personnel	PROCESS/ACTIVITY	Details	References
A. ALTERNATIVE MODE OF PROCUREMENT				
1	BAC Secretariat	Receive, Review and Record approved and funded Purchase Request(PR)	<p>Receive and record duly approved and funded PR and check the completeness, correctness and appropriateness of the supporting documents as follows:</p> <p>Project Procurement Management Plan (PPMP), if not included in the APP</p> <p>Market Analysis (for Shopping and Small Value Procurement)</p> <p>Accomplished Job Order for the repair and replacement of parts and equipment (for Small Value and Direct Contrating Procurement</p> <p>Activity Design (if Trainng), including the menu and schedule of requirements.</p> <p>If deficiency is noted, return with instruction to the end-user/requesting unit.</p> <p>Assign Control Number (YYYY-MM-xx)</p>	<ul style="list-style-type: none"> PR and supporting documents
2	BAC Secretariat	Identify the applicable Mode of Procurement	<p>Identify the applicable mode of procurement based on the conditions set in the RA 9184:</p> <p>Common Used supplies(CSE) -PS-DBM</p> <p>Shopping</p> <p>Direct Contracting</p> <p>Small Value Procurement (Negotiated Procuremen)</p>	<p>Numbered PR with supporting documents</p> <p>RA 9184</p>
3	BAC Chairman/Memb ers/TWG/BAC Secretariat/IAC	Conduct the Procurement Process	<p>Conduct the procurement activities compliant to the requirements of RA 9184 and as prescribed in the Government Accounting Manual, as applicable:</p> <p>Common Used supplies(CSE)-PS-DBM</p>	

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			<p>Request certification from PS-DBM as to the availability of the supplies from PS-DBM.</p> <p>Prepare Agency and Procurement Request (APR) for supplies available from PS-DBM</p> <p>Prepare Disbursement Voucher and Obligation Request and Status (ORS) for the corresponding procurement</p> <p>Submit APR to PS-DBM with corresponding payment for supplies certified to be available in PS-DBM</p> <p><i>Proceed to Step 5</i></p> <p>Shopping Note: If Items are not available in the PS-DBM</p> <p>Prepare Request for Quotation (RFQ) and assign RFQ No. for approval of the BAC Chairman.</p> <p>Post the RFQ in PhilGeps and conspicuous spaces if the Approved Budget for the Contract (ABC) is above Php 50,000.00</p> <p>Serve the RFQ to Suppliers</p> <p>Gather at least 3 RFQs from the Suppliers</p> <p>Prepare Abstract of Quotations and after the meeting for signature of BAC authorized signatories</p> <p>Conduct Opening of Bids. If the lowest calculated bid is found to be responsive, recommend for award</p> <p>Prepare Minutes of Meeting and Resolution recommending the award and for approval of HOPE</p> <p>Prepare the Purchase Order or contract, Notice of Award and</p>	<p>Certification from DBM Agency Procurement Request (APR) Disbursement Voucher and Obligation Request and Status (ORS)</p> <p>RFQ Abstract of Quotation Notice of Meeting Minutes of meeting and Resolution PO or Contract NOA NTP</p> <p>Letter to Supplier Certificate of Exclusivity</p>
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			<p>Notice to Proceed for approval of the HOPE</p> <p>Direct Contracting</p> <p>Prepare letter to the exclusive dealer to request price quotation and Certification of Exclusivity</p> <p>Upon receipt of the certification and price quotation, evaluate the submitted documents, recommend approval of the procurement of the exclusive dealers through minutes and resolution and seek approval from the BAC HOPE</p> <p>Prepare the Notice of Award Purchase Order or Contract, and Notice to Proceed for approval of HOPE</p> <p>Small Value Procurement (Negotiated Procurement)</p> <p>Prepare Request for Quotation (RFQ) and assign RFQ No. for approval of the BAC Chairman.</p> <p>Post the RFQ in PhilGeps and conspicuous spaces if the Approved Budget for the Contract (ABC) is above 50,000.00</p> <p>Serve the RFQ to at least 3 Suppliers</p> <p>Gather at least 3 RFQs from the Suppliers</p> <p>Prepare Abstract of Quotations for signature of BAC authorized signatories</p> <p>Conduct Opening of Bids. If the lowest calculated bid is found to be responsive, recommend for award</p> <p>Prepare the Notice of Award, Purchase Order or Contract, and Notice to Proceed</p>	<p>Minutes of Meeting NOA PO or Contract NTP</p>
4	BAC Secretariat	Serve the Notice of Award (NOA),	Serve the Notice of Award (NOA), Purchase Order (PO) or Contract and	NTP, NOA, PO, Contract

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		Purchase Order (PO) or Contract and Notice to Proceed (NTP)	Notice to Proceed (NTP) to the winning supplier/dealer Post in the PhilGeps the Contract and Notice to Proceed or update the status of procurement in the PhilGeps	
5	BAC Secretariat	Retain records	Update the Process Summary Log Sheet Retain records in accordance with the Control of Retained Documented Information Procedure and Master List of Retained Documented Information	Process Summary Log Sheet Control of Retained Documented Information Procedure Master List of Retained Documented Information

B. PUBLIC BIDDING

1.	BAC Secretariat	Receive, Review and Record approved and funded Purchase Request(PR)	Receive, verify if the item is included in the APP, record and evaluate the approved and funded Purchase with term of reference and check the completeness of supporting documents If deficiency is noted, return with instruction to the end user for appropriate action. If complete, assign number to the approved and funded PR (year,month,serie e.g 2019-07-001)submitted by the end user.	PR and Supporting Documents
2)	BAC Secretariat TWG, End User	Prepare Notice of Meeting and conduct of Pre-Procurement	Determine and prepare a procurement timeline of activity. Prepare Notice of Meeting for Pre-procurement conference and forward to BAC Chairman for approval. Disseminate Notice of Meeting to BAC Members and Secretariat and TWG (Note: Pre Procurement Conference is mandatory to be conducted for: - procurement of Goods with ABC above 2M, - procurement of Infrastructure with	Notice of Meeting

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			<p>ABC above 5M,- procurement of Consulting Services with ABC above 1M)</p> <p>Conduct the Pre procurement conference clarifies and check the details specially the Instruction to Bidders, Specifications/Schedule of Requirements/Terms of Reference</p> <p>Confirm the description and scope of the Contract duration; and</p> <p>Ensure that the procurement is in accordance with the project and Annual Procurment plans.</p> <p>Determine the readiness of the procurement at hand including other aspect the following:</p> <p>Availability of appropriations and programmed budget for the contract</p> <p>Finalize the procurement timeline.</p> <p>*IF the BAC finds any discrepancy on the Technical Specification, ABC and the Bidding documentst</p> <p>Prepare Minutes on Pre-Procurement Meeting.</p> <p>BAC Chairperson review and sign the Minutes if no corection and file. If there is (are) make the necessary correction and return to BAC secretariat for action.</p>	
3.	BAC	Conduct the Pre-bidding Conference	Conduct Pre-bidding conference to clarify the requirement, terms and	Notice of Meeting

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			<p>conditions, technical specifications stipulated in the Bidding documents</p> <p><i>* Conduct of Pre-Bid Conference at least 12 calendar days before the deadline for the submission and receipt of bids but not earlier than 7 calendar days from the posting of IB or REI</i></p>	
4.	BAC	Prepare Minutes of Meeting for Pre-bidding conference and notice of meeting for the opening bids	<p>Draft Minutes of Meeting and forward to BAC Chairperson for approval.</p> <p>If there are changes in the technical specifications, terms and conditions, the BAC Sec will prepare the Bid Bulletin.</p> <p>Draft Notice of Meeting for the Opening of Bids and forward to BAC Chairperson for approval.</p>	Notice of Meeting
5.	BAC,TWG BAC Secretariat	Prepared Bid Bulletin for any changes in the bidding documents/tech specifications	<p>Prepare Bid Bulletin if there are changes as agreed upon during the conduct of Pre bid Conference</p> <p>BAC Chairperson : review the Bid Bulletin, if found in order, approved the Bid Bulletin</p>	Bidding documents
6.	BAC Chairperson/BAC Secretariat	Receive sealed Envelope of Bid Proposals and Prepare Notice of Meeting for the Opening of Bids	<p><i>*Receive sealed Bid Proposals on or before the deadline for the submission of bids</i></p> <p>Prepare the Notice of Meeting have it approve by the BAC Chairman</p> <p>Desseminate the Notice of Meeting (BAC Members and Secretariat ,TWG, End User, COA and NGOs)</p>	Bid Proposal and Notice of Meeting
7.	BAC Chairman/Members/TWG/BAC Secretariat/IAC	Conduct of Opening of Bids	<p>Conduct n the meeting for Opening of Bids BAC Members determines the eligibility of bidders and completeness of First Envelope(Technical Documents) and rates the bidders "PASSED" if compliant to requirements.</p> <p>BAC Members opens the Second Envelope (Financial Proposal) of the bidders who were rated "PASSED"</p> <p><i>* BAC Members determine and declare the bidder with Lowest Calculated Bid (LCB) or Highest Rated Bid (HRB)</i></p> <p>(Bidder/s with Financial Proposals exceeding the ABC are automatically disqualified)</p>	<p>Philgeps website</p> <p>RFQ</p> <p>Notice of Meeting</p> <p>Abstract of Canvass</p>

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			<p>*Prepare Minutes of Meeting for Opening of Bids and Resolution recommending approval for the conduct of Post Qualification to the LCB/HRB.</p> <p>Approve Resolution that recommends the conduct of Post Qualification to the LCB</p> <p>(If LCB is not found to be responsive, Post qualification is done to the next LCB.)</p> <p>*Conduct post qualification to LCB if BAC Members request its assistance.</p> <p>*Present to the BAC the results of post-qualification</p> <p>*Declare the bidder with LCRB and recommend its approval to HoPE</p> <p>*Prepare the minutes and resolution declaring the LCRB</p> <p>*Seek approval of the Resolution by the HoPe.</p> <p>*Prepare Notice of Award to LCRB</p> <p>Note : Indicate that the bidder must submit a Performance Security within ten(10) calendar days from the date received of the NOA .</p> <p>*Secure the submission of Performance Security within 10 calendar days upon receipt ogf NOA.</p> <p>*Request LCRB to enter into Contract</p>	<p>Minutes Resolution PO Contract NOA NTP</p>
8.	BAC Secretariat	Prepare the Notice to Proceed	<p>Enter into Contract with LCRB</p> <p>Prepare the Notice to Proceed after the receipt of signed Contract and forward to HOPE for approval</p>	<p>Contract or Notice to Proceed</p>
9.	BAC Secretariat	Post in Philgeps the awarding to LCRB	<p>Post Contract or Notice to Proceed or update the status of procurement in Philgeps</p>	<p>Philgeps</p>

Definition of Terms:

- **Agency Procurement Request (APR)** – The request form prepared by the Procuring Entity to procure the "Ordinary and Regular Office Supplies" certified as available in the PS-DBM
- **Annual procurement Plan (APP)** is the requisite document that the agency must prepare to reflect the necessary information on the entire procurement activities for goods and services andf

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infrastructure to be procured that it plans to undertake within the calendar year. APP comprises the consolidated PPMP

- **Procurement Management Plan** - The document describes how items will be procured during the **project** and the approach you will use to **managing** vendors on the **project**. Serves as a guide document in the procurement and contract implementation process.
- **Shopping** - is a method of procurement of goods whereby the Procuring Entity simply requests for the submission of price quotations for readily available off-the shelf goods or ordinary/regular equipment to be procured directly from suppliers of known qualifications.
- **Bids and Awards Committee (BAC)** - Refers to the committee established in accordance with Rule V of RIRR
- **BAC Secretariat**- Refers to the personnel designated to assist the BAC in the implementation of procurement process
- **PhilGEPS** - the electronic system that serves as the portal and primary source of information on all government procurement.
- **Head of Procuring Entity (HOPE)** - the head of the agency where government procurement is undertaken
- **Purchase Request** - A request form prepared by the end user for their need to purchase goods.
- **Schedule of Requirements** - an attachment to Training Design specifying the requirements as to the meals and accommodation of participants to the training
- **Request for Quotation** - A request to suppliers to quote their prices for the goods or services that the procuring entity intends to procure.
- **Abstract of Bids** - the comparative presentation of the prices offered by the bidders/suppliers
- **Notice of Award** - a written notice that the supply of goods/services has been award to the supplier/bidder
- **Notice to Proceed/Purchase Order** - a written notice to the winning bidder/supplier that they can commence with the delivery of goods or services to the procuring entity

* **Negotiated Procurement**- the method of procurement of goods, Infrastructure Projects and Consulting Services, whereby the Procuring Entity directly negotiates a contract with a technically, legally and financially capable supplier, contractor, or consultant.

- **Direct Contracting or Single Source Procurement** is a method of procurement of Goods that does not require elaborate Bidding Documents. The supplier is simply asked to submit a price quotation or a pro-forma invoice together with the conditions of sale. The offer may be accepted immediately or after some negotiations.
- **Competitive Bidding** - Refers to a method of procurement which is open to participation by any interested party and which consists of the following processes: advertisement, pre-bid conference, eligibility screening of prospective bidders, receipt and opening of bids, evaluation of bids, post-qualification, and award of contract.
- **Bids and Awards Committee (BAC)** - Refers to the committee established in accordance with Rule V of RIRR
- **BAC Secretariat**- Refers to the personnel designated to assist the BAC in the implementation of procurement process
- **PhilGeps** - the electronic system that serves as the portal and primary source of unformationon all government procurement.
- **Head of Procuring Entity (HOPE)** - the head of the agency where government procurement is undertaken

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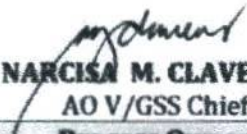
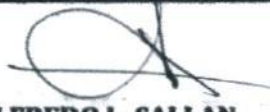
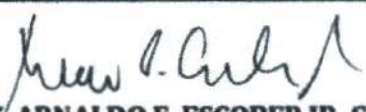
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- Purchase Request – A request form prepared by the end user for their need to purchase goods.
- Schedule of Requirements – an attachment to Training Design specifying the meals and accommodation requirements of the Trainings or Activities.
- Request for Quotation – A request to suppliers to quote their prices for the goods or services that the procuring entity intends to procure.
- Notice of Award – a written notice that the supply of goods/services has been award to the supplier/bidder
- Notice to Proceed/Purchase Order – a written notice to the winning bidder/supplier that they can commence with the delivery of goods or services to the procuring entity

Legal References:

RA 9184 (Government Procurement Reform Act)
2016 revised Implementing Rules and Regulations
Government Accounting Manual

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**DILG REGION V
QUALITY
OBJECTIVE (QO)**

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OFFICE	Finance and Administrative Division, GSS
QUALITY PROCEDURE TITLE	PROCUREMENT OF GOODS AND SERVICES

Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (If applicable)			
PROCUREMENT OF GOODS AND SERVICES- Shopping	90% of submitted Purchase Requests with complete documents below 50k are reviewed, controlled and process within 2 days upon receipt	90%	Total No. of submitted PRs(below 50k) are reviewed, controlled and acted with in two (2) days upon receipt-----x 100%	Monthly	BAC Secretariat	Procurement of Goods and Services Process Summary Logsheet
		100%	Total Number of PRs received			Procurement of Goods and Services Process Quality Monitoring and Evaluation
	100% of submitted Purchase requests with complete documents 50k above are posted to Philgeps website 2 days upon receipt		Total No. of submitted PRs(above 50k above) are reviewed, controlled and acted with in two (2) days upon receipt-----x 100%			Procurement of Goods and Services Process Summary Logsheet
	100% of Approved NOA are issued with approved	100%				Procurement of Goods and services process Quality Monitoring and

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Function	Key Performance Indicators (KPI)			Frequency of Monitoring Results	Responsible for Monitoring	Applicable Documents (e.g. Tracker, Monitoring Log Sheet, Summary Log Sheet, Report, Memo, etc.)
	Objective	Target	Indicator/Formula (if applicable)			
	NTP within 5 days from the date of NOA		Total Number of Approved NTP issued within 5 days from the date of NOA Total Number of NOA issued $\times 100\%$			Evaluation

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

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DIVISION	FINANCE AND ADMINISTRATIVE DIVISION, GSS													
PROCEDURE TITLE	PROCUREMENT OF GOOD AND SERVICES													
OBJECTIVE STATEMENT	1. 90% of submitted PR with complete documents below 50K are reviewed, controlled and acted within 2 days upon receipt 2. 100% of submitted Purchase Request with complete documents 50k above posted to Philgeps within 3 days upon receipt 3. 100% of Approved NOA are issued with approved NTP within 5 days from the date of NOA													
CURRENT PERIOD														
INDICATORS	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total	
Objective 1: 80% of incoming documents acted upon within 1 working day upon receipt.														
A Submitted PR with complete documents below 50k are reviewed,controlled and process as required in RA 9184 within 2 days upon receipt														
B Total No. of Purchase Request received.														
C Formula: $\frac{A}{B} \times 100$ Target Result: 90%														
D Gap Analysis: In case the objective is not met, put your analysis why it is not met														
2. Objective 2: 100% of submitted Purchase Request with complete documents 50k above posted to Philgeps within 3 days upon receipt														
A Submitted PR with complete documents below 50k are reviewed,controlled and process as required in RA 9184 within 2 days upon receipt														
B Total No. of Purchase Requests received.														

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**DILG REGION V
LOGSHEET**

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QUALITY OBJECTIVE:

90% of submitted PR with complete documents below 50K for review, control and acted withi
2 days upon receipt(not available to Ps-DBM in accordance with RA 9184)

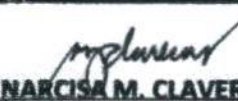
100% of submitted Purchase Request with complete documents 50k above posted to

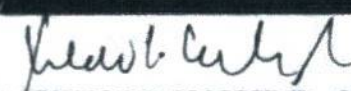
100% of Approved NOA are issued with approved NTP within 5 days from the date of NOA

Procurement Title: Procurement Process of Goods and Services

DOCUMENT TITLE	REMARKS
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Training Design, PR and Schedule of Requirements	
Agency procurement Request	
Notice of Meetings	
PhilGEPS Print-out	
Minutes of Meetings	
Resolution of Meetings	
Certification that ITB has been posted in the Bid	
Letter request on Exclusive Distributorship	
Certificate of Exclusive Distributorship	
Bid Proposals	
Notice of Award	
Contract	
Notice to Proceed	

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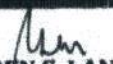
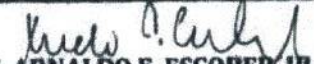
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DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
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Finance & Administrative Division (FAD)

MASTERLIST OF MAINTAINED EXTERNAL DOCUMENTED INFORMATION (MMEDI)

DOCUMENT CODE	DOCUMENT TITLE	REVISION/EDITION					
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Procurement of Goods and Services							
Republic Act 9184	Government Procurement Reform Act	2003					
GAM	Government Accounting Manual						
2016	Revised Implementing Rules and Regulations	2016					

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Name of Bureau/Service/Division: FAD-GSS

MASTERLIST OF MAINTAINED INTERNAL DOCUMENTED INFORMATION (MMIDI)

DOCUMENT CODE	DOCUMENT TITLE	REVISION					
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Procurement of Goods and Services							
FM-QP-R05-FAD-38-02	Purchase request (PR)						
FM-QP-R05-FAD-38-02	Training design , PR & Schedule of requirements						
FM-QP-R05-FAD-38-03	FAD -DBM-APR						
FM-QP-R05-FAD-38-04	Request for Quotation						
FM-QP-R05-FAD-38-05	Abstract of Quotations						
FM-QP-R05-FAD-38-06	Purchase Order(PO)						
FM-QP-R05-FAD-38-07	Contract						
FM-QP-R05-FAD-38-07-01	Contract -Supplies						
FM-QP-R05-FAD-38-07-02	Contract-Lease Purchase Agreement						
FM-QP-R05-FAD-38-08	Job Order Form						
	Notice of meetings						
	Minutes and Resolution of Meetings						
	Philgeps Print Out						
	Certification that ITB has been posted in the						
	Letter Request on Exclusive Distributorship						
	Certificate of Exclusive Distributorship						
	Bid Proposal						
FM-QP-R05-FAD-38-09	Notice of Award						
FM-QP-R05-FAD-38-10	Notice to Proceed						
	Checklist of Requirement for Bidding						
QP-R05-FAD-38	Procurement of Goods and Services Quality Procedure	07.01.19					
QO-QP-R05-FAD-38	Procurement of Goods and Services Quality Objective	07.01.19					
QME-QP-R05-FAD-38	Procurement of Goods and Services Process Quality Monitoring and Evaluation	07.01.19					
FM-QP-R05-FAD-38-01	Procurement of Goods and Services Process Summary Log Sheet	07.01.19					
FM-QP-R05-FAD-38-02	Summary Log Sheet for Procurement of Goods and Services	07.01.19					

 EDEN S. LANUZA ITO I ROC	 ATTY. ARNALDO E. ESCOBAR, JR., CEO V Assistant Regional Director Regional QMR
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Republic of the Philippines
DEPARTMENT OF THE INTERIOR AND LOCAL GOVERNMENT
 DILG Regional Office No. 5, Rizal St., Legazpi City
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Name of Bureau/Service/Division: **FAD/GSS**

MASTERLIST OF RETAINED DOCUMENTED INFORMATION (MRDI)

DOCUMENT CODE	DOCUMENT TITLE	CUSTODIAN	LOCATION	FILING SVSTEM		RETENTION PERIOD			DISPOSAL
				FOLDER	SCHEME	ACTIVE	STORAGE	TOTAL	
Procurement Process of Goods and Services									
FM-QP-RO5-FAD-38-02	Purchase request (PR)	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-02	Training design , PR & Schedule of requirements	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-03	FAD -DBM-APR	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-04	Request for Quotation	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-05	Abstract of Quotations	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-06	Purchase Order(PO)	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-07	Contract	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-07-0	Contract -Supplies	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-07-0	Contract-Lease Purchase Agreement	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-08	Job Order Form	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
	Notice of meetings	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
	Minutes and Resolution of Meetings	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
	Philgeps Print Out	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
	Certification that ITB has been posted in the Philgeps	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
	Letter Request on Exclusive Distributorship	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
	Certificate of Exclusive Distributorship	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
	Bid Proposal	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-09	Notice of Award	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
FM-QP-RO5-FAD-38-10	Notice to Proceed	BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement	1 yr	2 yrs beyond		
	Checklist of Requirement for Bidding								
Process Performance Monitoring and Measurement Procedure									
Logsheet		BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement				
Quality Monitoring and Evaluation		BAC Secretariat	BAC ISO Cabinet	Project /Trng. Title	every procurement				

Prepared By:

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 Administrative Officer V

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DILG REGION V
RISK REGISTER (PROCESS RISK ASSESSMENT)

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OFFICE
PROCEDURE TITLE

FAD-GSS
PROCUREMENT PROCESS OF GOODS AND SERVICES

PROCESS STEP (Based on the procedure's key process step)	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT					RISK CONTROL PLAN RISK CONTROL PLAN/OPPORTUNITY MANAGEMENT PLAN NO. (For Significant Risk)
					IMPACT	LIKELIHOOD	RATING	RISK LEVEL (NS, S)	RISK CONTROL ACTION (Type of Action)	
Verify if procurement is included in Annual Procurement Plan (APP)	When the activity/procurement funded by Central Office (CO) is not included in the APP submitted at the start of the year.	The activity/procurement is required to be conducted as soon as possible	Possible issuance of AOM from COA	Request concerned offices to coordinate with CO on the planned activities of CO for inclusion in APP its related procurements.	4	2	8	NS	maintain and sustain the existing control	
Submit APR to PS-DBM with corresponding payment for supplies certified to be available in PS-DBM	When the supplies earlier certified to be available are already out of stock.	The check intended to pay the supplies earlier certified as available are not prepared immediately.	The goods are procured from suppliers other than PS-DBM.	After the requisitioned supplies are certified as available in PS-DBM, constant follow up is made so that the corresponding check is prepared.	4	2	8	NS	maintain and sustain the existing control	
Posting of Invitation to Bid or Request for Expression of Interest in PhilGEPS and Agency Website	Busy and congested PhilGEPS Website	Slow Intermittent Internet connection	Posting may not be done in accordance with RA 9184	Giving more number of days for posting requirement before the scheduled conduct of submission or closing of bids.	4	2	8	NS	maintain and sustain the existing control	
Conduct negotiations with the exclusive dealer	When the supplier is not technically, legally or financially capable to deliver the goods at the most	There is no other exclusive supplier who can deliver the goods.	Possibility that the goods needed can not be supplied or delivered.	Find other alternative goods	3	2	6	NS	maintain and sustain the existing control	
Negotiate with Suppliers who were requested to submit their best offer based on the final technical and financial requirements.	If no negotiation was reached between a Supplier and the Procuring Entity	Suppliers cannot meet the technical requirements	End User/Procuring Entity may be deprived of the delivery of Goods, Infrastructure or Consulting Services	Review properly the technical requirements	3	2	6	NS	maintain and sustain the existing control	
RISK ASSESSMENT:					RISK RATING		RISK LEVEL		RISK DESCRIPTION	ACTION REQUIRED
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Major; 5-Extreme					1-7		LOW		Not Significant	No further action required (Maintain and sustain the existing control)
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely; 5-Almost Certain					8-9		MODERATE		Not Significant	Alert level (Maintain and sustain the existing control)
Risk Rating = Impact X Likelihood					10-25		HIGH		Significant	Control (e.g. Avoid or Treat / Mitigate Transfer, Terminate)

Prepared by	Reviewed by	Noted by
 MARGISA M. CLAVERON Administrative Officer V Process Owner	 ALFREDO L. SALLAN CAO, FAD Chief Risk Review Committee Head	 ATTY. ARNALDO E. ESCOBAR, JR., CESO V Assistant Regional Director Regional OMP

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DILG REGION V
RISK REGISTER (OBJECTIVE RISK ASSESSMENT)

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OFFICE **FAD-GSS**
PROCEDURE TITLE **PROCUREMENT PROCESS OF GOODS AND SERVICES**

OBJECTIVE	RELEVANT ISSUE(S)	RELEVANT INTERESTED PARTIES	POTENTIAL RISK	RISK TRIGGER	CONSEQUENCE (Positive or Negative)	EXISTING RISK CONTROL MEASURE	RISK ASSESSMENT				RISK CONTROL PLAN	
							IMPACT	LIKELIHOOD	RATING	RISK LEVEL (L, M, H)	RISK CONTROL ACTION (Type of Action)	ACTION PLAN (if risk rating is significant)
Purchase Requests with complete documents below 50k are reviewed, controlled and process within 2 days upon receipt	Purchase request(PR) is not supported by the Activity design	DILG personnel	DELAYED PROCESSING OF PROCUREMENT	multiple task of focal person/end user	delayed procurement	Issuance of regl Order	3	3	9	NS	maintain and sustain the existing control	
100% of submitted Purchase requests with complete documents 50k above are posted to Philgeps website 2 days upon receipt	No alternate/understudy for Philgeps posting late transmission of guidelines from Co on the conduct of activity	end User/DILG personnel	Delayed posting of documents to Philgeps	Assigned personnel to post in Philgeps is on travel or in sick leave	delayed procurement and none implementation of activity	posting done at night	2	3	6	NS	maintain and sustain the existing control	
100% of Approved NOA are issued with approved NTP within 5 days from the date of NOA	No alternate/understudy for Philgeps posting late transmission of guidelines from Co on the conduct of activity	end User/DILG personnel	DELAYED ISSUANCE OF ntp	multiple task of focal person/end user		provision of	3		9	NS	maintain and sustain the existing control	
RISK ASSESSMENT:			RISK RATING		RISK LEVEL		RISK DESCRIPTION		ACTION REQUIRED			
IMPACT: 1-Insignificant; 2-Minor; 3-Moderate; 4-Ma			1-7		LOW		Not Significant		No further action required (Maintain and sustain the existin			
LIKELIHOOD: 1-Rare; 2-Unlikely; 3-Moderate; 4-Likely;			8-9		MODERATE		Not Significant		Alert level (Maintain and sustain the existing control)			
Risk Rating = Impact X Likelihood			10-25		HIGH		Significant		Control (e.g. Avoid or Treat / Mitigate Transfer, Terminate)			

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