Receipt of Delivery and Preparation of Receiving Report	- received and prepared by *Procurement personnel* - signed by the *Warehouse/Property Officer* - verified by a *FAD Representative* - inspected and accepted by the *End User* - for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the *Warehouse/Property Officer*.
⇩	
Preparation of Payment Order	- prepared by *Procurement personnel, or other designated HRAD personnel* - Request for Payment *shall* be accompanied by duplicate copies of PR, *AOQ*, and EVACS, PO/WO, RR, and original copy of INVOICE/RECEIPT - *Procurement personnel shall* keep a duplicate copy of INVOICE/RECEIPT in a properly labeled folder
⇩	
Processing of Payment Order	- prepared by *concerned FAD personnel*
⇩	
Safekeeping of Documents	- related documents *shall* be filed by *Procurement personnel* in a properly labeled folder

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Approved: Jaime T. De Veyra Vice President, Corporate Services	Date: APR 25 2018

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3) Ordering of COMMON OFFICE SUPPLIES to Procurement Service

Administrative Order No. 17, July 28, 2011: Directing the Use of the Procurement Service and the Philippine Government Electronic Procurement System in the Procurement Activities in Accordance with Republic Act No. 9184, and Improving the Operation of the Procurement Service

PROCESS	PERSON RESPONSIBLE / NOTES
Preparation of Purchase Requisition / Work Order Requisition	- Prepared by the *End User*; endorsed by *immediate Supervisor* - PR should be properly signed and all details filled up by *End User*
↓	
Assignment of PR/WOR Number	- prepared by *Procurement personnel, or other designated HRAD personnel*
↓	
Approval of PR/WOR	- Reviewed by the *authorized Admin Officer* - Budget availability is certified by the *Finance & Budget Officer* - Approved by the *Vice President* only if the estimated budget is Php50,000 and below; - Approved by the *President* only if the estimated budget is above Php50,000
↓	
Preparation of "Agency Procurement Request" Form	- prepared by *Procurement personnel, or other designated HRAD personnel* - the form is downloadable from Procurement Service website
↓	
Approval of APR	- approved and signed by the *Procurement personnel (and other designated HRAD personnel), Finance & Budget Officer, and the President/CEO*
↓	
Preparation of Purchase Order	- prepared by *Procurement personnel, or other designated HRAD personnel*
↓	
Approval of Purchase Order	- *certified* by the *Finance & Budget Officer* - recommended for approval by the concerned *Department Manager* - Approved and signed by the *President/CEO if the amount is Php50,000.00 and above* - *Approved by the Vice-President if the amount is less than Php50,000.00*
↓	
Preparation of Payment Order	- prepared by *Procurement personnel* - transaction/payment terms is "cash-on-delivery (COD)" - attach duplicate copies of *PR, APR, AO17, and PO* to the request

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Jaime T. De Vevra
Vice President, Corporate Services

Date:

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Preparation of request for vehicle use	- request a schedule of service vehicle from the Office of the Vice President
⇩	
Preparation to purchase from Procurement Service	- executed by *Procurement personnel* - direct purchase from Procurement Service
⇩	
Preparation of Receiving Report	- received and prepared by *Procurement personnel* - signed by the *Warehouse/Property Officer* - verified by a *FAD Representative* - inspected and accepted by the *End User* - for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the *Warehouse/Property Officer*.
⇩	
Safekeeping of Documents	- related documents *shall* be filed by *Procurement personnel* in a properly labeled folder

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4) PROCUREMENT of GENERAL SUPPORT SERVICES

4.1) For Repair and/or Maintenance of Equipment/Machinery

PROCESS	PERSON RESPONSIBLE / NOTES
Preparation of Repair and Maintenance Report	- Prepared by the *Custodian* - RMR should clearly define the problem or intended result, in full details, at the best capacity of the *Custodian* - signed by the *Custodian* and *Department Manager* concerned - *Warehouse/Property Officer* to forward the request to *Technical/Inspector* for pre-repair
Pre-repair Inspection of request and determining the scope of work	- performed by *Technical/Inspector*
Approval of pre-repair inspection	- prepared by *Technical/Inspector* - approved by *Warehouse/Property Officer* - forwarded to *Custodian/End User*
Preparation of Purchase Requisition / Work Order Requisition	- Prepared by the *End User*; endorsed by *immediate Supervisor* - PR should be properly signed and all details filled up by *End User* - Attached with the forwarded RMR
Assignment of PR/WOR Number	- prepared by *Procurement personnel, or other designated HRAD personnel*
Approval of PR/WOR	- Reviewed by the *authorized Admin Officer* - Budget availability is certified by the *Finance & Budget Officer* - Approved by the *Vice President* only if the estimated budget is Php50,000 and below; - Approved by the *President* only if the estimated budget is above Php50,000
Preparation of Request for Quotation	- prepared by *Procurement personnel, or other designated HRAD personnel* - at least three (3) technically and financially capable supplier should be invited to submit quotation and join the bid
Posting of RFQ *to PhilGEPS website, Company website and in any conspicuous place within the company premises*	- prepared by *BAC Secretariat* - posting in PhilGEPS is required only if the Approved Budget of the Contract amounts to above Php 50k - if the item is posted in the PhilGEPS, minimum posting time is three (3) calendar days

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Vice President, Corporate Services

Date:

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	- posting in PhilGEPS is optional only if the Approved Budget of the Contract amounts to Php 50k and below
Preparation of Abstract of Canvass, Evaluation and Acceptance Summary	- prepared by *Procurement personnel, or other designated HRAD personnel* - bid can be awarded to a lone bidder, provided a proof of canvass *is made* - proof of canvass (or at least a completely signed RFQ) should be *presented* by the *Procurement personnel, or other designated HRAD personnel* even if the invited supplier will not join the bid; *or did not submit a bid* Or proof of PhilGEPS posting (if applicable). - Evaluation and Acceptance Summary Report is prepared and approved by the *BAC-TWG* Evaluation and Acceptance Summary should only contain details of the bid from the Lowest Calculated Bidder; properly signed by the *End User*, and the *BAC-TWG*
Approval of the Abstract of Quotation	- Reviewed by the *BAC-TWG* - Recommended for award by the *BAC* - Approved by the *President/CEO*
Preparation of Purchase Order / Work Order	- prepared by *Procurement personnel, or other designated HRAD personnel*
Approval of Purchase Order / Work Order	- *certified* by the *Finance & Budget Officer* - recommended for approval by the concerned *Department Manager* - Approved and signed by the *President/CEO*
Preparation of Payment Order	- *Payment mode may be any of the following:* A. CASH-ON-DELIVERY OR B. PAYMENT AFTER DELIVERY
A. CASH-ON-DELIVERY	
Preparation of Payment Order	- prepared by *Procurement personnel, or other designated HRAD personnel* - preparation of Payment Order through "Cash Advance" - Request for Payment *shall* be accompanied by duplicate copies of PR, RMR, *AOQ*, and EVACS, PO/WO - *Procurement personnel shall* advise the awardee for date of delivery (to coincide with the release of check payment)
Processing of Payment Order	- prepared by *concerned FAD personnel*

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Appr[illegible] Date:

Jaime T. De Veyra
Vice President, Corporate Services

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Receipt of Delivery/Service and Preparation of Receiving Report	- received and prepared by *Procurement personnel* - signed by the *Warehouse/Property Officer* - verified by a *FAD Representative* - inspected and accepted by the *End User* - for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the *Warehouse/Property Officer*.
⇩	
Preparation of Post Repair Inspection on RMR	- prepared by the *Technical/Inspector* - signed and accepted by the *End User* and *Warehouse/Property Officer*
⇩	
Safekeeping of Documents	- related documents *shall* be filed by *Procurement personnel* in a properly labeled folder
B. PAYMENT AFTER DELIVERY	
⇩	
Receipt of Delivery and Preparation of Receiving Report	- received and prepared by *Procurement personnel* - signed by the *Warehouse/Property Officer* - verified by a *FAD Representative* - inspected and accepted by the *End User* - for the procured equipment or item/s with assigned Property Code, a copy of Receiving Report together with a copy of its invoice shall be forwarded to the *Warehouse/Property Officer*.
⇩	
Preparation of Post Repair Inspection on RMR	- prepared by the *Technical/Inspector* - signed and accepted by the *End User* and *Warehouse/Property Officer*
⇩	
Preparation of Payment Order	- prepared by *Procurement personnel, or other designated HRAD personnel* - Request for Payment would be accompanied by duplicate copies of PR, RMR, *AOQ*, and EVACS, PO/WO, RR, and original copy of INVOICE/RECEIPT - *Procurement personnel shall* keep a duplicate copy of INVOICE/RECEIPT in a properly labeled folder
⇩	
Processing of Payment Order	- prepared by *concerned FAD personnel*
⇩	
Safekeeping of Documents	- related documents *shall* be filed by *Procurement personnel* in a properly labeled folder

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4) PROCUREMENT of GENERAL SUPPORT SERVICES

4.2) Other Support Services

PROCESS	PERSON RESPONSIBLE / NOTES
Preparation of Purchase Requisition / Work Order Requisition	- Prepared by the *End User*; endorsed by *immediate Supervisor* - PR should be properly signed and all details filled up by *End User* - PR should specify all the requirements for the requested service clearly in the "Terms of Reference" or "Scope or Work" - If PR/WOR is for the continuation of a service where the contract is about to expire or has expired, the said PR/WOR should be accompanied by a Service Evaluation Report (SER) - The SER is to be accomplished by the employee-in-charge of the procured service, and noted by his/her immediate supervisor/manager
⇩	
Assignment of PR/WOR Number	- prepared by *Procurement personnel, or other designated HRAD personnel*
⇩	
Approval of PR/WOR	- Reviewed by the *authorized Admin Officer* - Budget availability is certified by the *Finance & Budget Officer* - Approved by the *Vice President* only if the estimated budget is Php50,000 and below; - Approved by the *President* only if the estimated budget is above Php50,000
⇩	
Preparation of Request for Quotation	- prepared by *Procurement personnel, or other designated HRAD personnel* - at least three (3) technically and financially capable suppliers should be invited to submit quotation and join the bid - if the SER indicated a favorable evaluation on the current or more recent service provider, the latter shall be considered as one of the three (3) suppliers for the canvass; if evaluation of service is not favorable, said service provider shall no longer be considered in the canvass
⇩	
Posting of RFQ *to PhilGEPS website, Company website, and in any conspicuous place within the company premises*	- prepared by *BAC Secretariat* - posting in PhilGEPS is required only if the Approved Budget of the Contract amounts to above Php 50k - if the item is posted in the PhilGEPS, minimum posting time is three (3) calendar days - posting in PhilGEPS is optional only if the Approved Budget of the Contract amounts to Php 50k and below

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Approved:

Jaime T. De Veyra
Vice President, Corporate Services

Date:

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PROCEDURE ON PHILGEPS POSTING, PREPARATION OF PROJECT PROCUREMENT MANAGEMENT PLAN, ANNUAL PROCUREMENT PLAN AND PROCUREMENT MONITORING REPORT, AGENCY PROCUREMENT COMPLIANCE AND PERFORMANCE INDICATOR / CONSOLIDATED PROCUREMENT MONITORING REPORT

I. DEFINITION

For purposes of R.A. 9184 otherwise known as the Philippine Government Procurement Act, the terms or words and phrases shall mean or be understood as follows:

1. *BAC* – refers to the Bids and Awards Committee established in accordance with Article V of R.A. 9184

2. *Bidding Documents* – refers to the documents issued by the Procuring Entity as the basis for Bids, furnishing all information necessary for a prospective bidder to prepare a bid for the Goods, Infrastructure Projects, and Consulting Services to be provided

3. *GPPB* – refers to the Government Procurement Policy Board established in accordance with Article XX of RA 9184

4. *GPPB-TSO* – refers to the Government Procurement Policy Board-Technical Support Office

5. *Head of the Procuring Entity (HOPE)* – refers to: (i) the head of the agency or his duly authorized official for national government agencies; (ii) the governing board or its duly authorized official for government-owned and/or-controlled corporations; or (iii) the local chief executive for local government units. Provided, that in a department, office or agency where the procurement is decentralized, the Head of each decentralized unit shall be considered as the Head of the Procuring Entity subject to the limitations and authority delegated by the head of the department, office or agency

6. *Procuring Entity* – refers to any branch, constitutional commission or office, agency, department, bureau, office or instrumentality of the GOP (NGA), including GOCC, GFI, SUC and LGU procuring goods, consulting services and infrastructure projects

7. *PPMP* – refers to the Project Procurement Management Plan which shall be prepared by the end-user units of the procuring entity for their different programs, activities, and projects (PAPs). The PPMP shall include:

   a) information on whether PAPs will be contracted out, implemented by administration in accordance with the guidelines issued by the GPPB, or consigned;
   b) the type and objective of contract scopes/packages;
   c) the extent/size of contract scopes/packages;
   d) the procurement methods to be adopted, and indicating if the procurement tasks are to be outsourced.

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e) the time schedule for each procurement activity and for the contract implementation; and
f) the estimated budget for the general components of the contract.

8. *APP* – refers to the Annual Procurement Plan which reflects the entirety of the procurement activities that will be undertaken by the procuring entity within the calendar year using the prescribed format required by the GPPB and submitted to the GPPB.

9. *APP-CSE* – the Annual Procurement Plan of Common-Use Supplies and Equipment submitted to the Department of Budget and Management-Procurement Service

10. *APCPI* – refers to the Agency Procurement Compliance and Performance Indicator which is a standard procurement performance monitoring and evaluation tool for use by all procuring entities

11. *CPMR* – refers to the Consolidated Procurement Monitoring Report

12. *PMR* – refers to the Procurement Monitoring Report which is prepared by the BAC in the form prescribed by the GPPB.
    - The PMR shall cover all procurement activities specified in the APP, whether on-going and completed from holding of the pre-procurement conference to the issuance of the notice of award and approval of the contract, including the actual time for each major procurement activity.

13. *PhilGEPS* – refers to the Philippine Government Electronic Procurement System provided in Section 8 of RA 9184

14. *DBM-PS* – refers to the Department of Budget and Management-Procurement Service

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II. RESPONSIBILITIES

1. *End-user Unit* – responsible for the preparation of the Project Procurement Management Plan (PPMP) of each unit of the procuring entity

2. *Bids and Awards Committee* – shall have the following functions:

   a) Advertise and/or post the invitation to bid/request for expressions of interest;
   b) Conduct pre-procurement and pre-bid conferences;
   c) Determine the eligibility of prospective bidders;
   d) Receive bids;
   e) Conduct the evaluation of bids;
   f) Undertake post-qualification proceedings;
   g) Resolve motions for reconsideration;
   h) Recommend award of contracts to the Head of the Procuring Entity or his duly authorized representative;
   i) Recommend the imposition of sanctions in accordance with Rule XXIII;
   j) Recommend to the Head of the Procuring Entity the use of alternative methods of procurement as provided for in Rule XVI hereof; and
   k) Perform such other related functions as may be necessary, including the creation of a Technical Working Group (TWG) from a pool of technical, financial, and/or legal experts to assist in the procurement process, particularly in the eligibility screening, evaluation of bids, and post-qualification

3. *BAC Secretariat* – serve as the main support unit of the BAC and who shall be under the direct supervision of the BAC Chairman

   The Secretariat shall have the following functions and responsibilities:
   a) Provide administrative support to the BAC;
   b) Organize and make all necessary arrangements for BAC meetings and conferences;
   c) Prepare minutes of meetings and resolutions of the BAC;
   d) Take custody of procurement documents and other records;
   e) Manage the sale and distribution of Bidding Documents to interested bidders;
   f) Advertise and/or post bidding opportunities, including Bidding Documents, and notices of awards;
   g) Assist in managing the procurement processes;
   h) Monitor procurement activities and milestones for proper reporting to relevant agencies when required;
   i) Consolidate PPMPs from various units of the procuring entity to make them available for review as indicated in Section 7 of this IRR;
   j) Prepare the APP, APP-CSE, PMR, APCPI, and CPMR as delegated by the BAC;
   k) Prepare the APCPI assessment, convene meetings with the Confirmation Team and reconcile results in case there are difference in findings;
   l) Act as the central channel of communications for the BAC with end users, PMOs, other units of the line agency, other government agencies, providers of goods, infrastructure projects, and consulting services, observers, and the general public

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4. *Technical Working Group* - appointed by the BAC from a pool of technical, financial, and/or legal experts to assist in the procurement process, particularly in the eligibility screening, evaluation of bids, and post-qualification.

   The TWG shall have the following functions and responsibilities:
   a) Preparation of bidding documents
   b) Eligibility check/short-listing
   c) Bid evaluation and preparation of reports
   d) Post-qualification
   e) Preparation of post-qualification summary report

5. *Observers* – represent the public, the taxpayers who are interested in seeing to it that procurement laws are observed and irregularities are averted.

   The Observers shall have the following functions and responsibilities:
   a) Prepare report (jointly or separately) indicating their observations on the procurement activities;
   b) Submit report to the Procuring Entity and furnish a copy to the GPPB and the Office of the Ombudsman/Resident Ombudsman; and,
   c) Immediately inhibit and notify in writing the Procuring Entity of any actual or potential conflict of interest.

6. *Confirmation Team* - checks the APCPI results of the procuring entity in terms of completeness, correctness, consistency and responsiveness.

   The Procuring Entity shall send invitations to at least three (3) suggested partners but attendance of at least one (1) will suffice from any of the following:
   a. COA
   b. Civil Society Organization
   c. Peer Review
   d. Private Sector

7. *Budget Officer of the FAD* – refers to the Budget Officer of the Finance and Accounting Department.

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III. PROCESS FLOW

1. PhilGEPS POSTING

PROCESS	PERSON RESPONSIBLE/NOTES
Posting of Invitation to Bid/ Request for Expression of Interest	- Prepared by the BAC Secretariat - Posted by BAC Secretariat with the assistance of the Procurement Unit
↓	
Abstract of Canvass/BAC Resolution	- Prepared by the BAC Secretariat - Signed by the BAC - Approved and Signed by the HOPE - Posted by BAC Secretariat with the assistance of the Procurement Unit
↓	
Notice of Award	- Prepared by the BAC Secretariat - Signed by the President - Posted by BAC Secretariat with the assistance of the Procurement Unit
↓	
Contract/Purchase Order	- Prepared by the BAC Secretariat - Signed by the President and winning bidder - Posted by BAC Secretariat with the assistance of the Procurement Unit
↓	
Notice to Proceed	- Prepared by the BAC Secretariat - Signed by the President - Posted by BAC Secretariat with the assistance of the Procurement Unit

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2. PREPARATION OF PPMP, APP AND PMR

A. PROJECT PROCUREMENT MONITORING PLAN

PROCESS	PERSON RESPONSIBLE/NOTES
Preparation of the Project Procurement Management Plan (PPMP)	- Prepared by the end-user unit - Note: BAC Secretariat to provide the PPMP form
↓	
Submit to the Finance and Accounting Department (FAD) for evaluation	- Reviewed by the Budget Officer of the FAD
↓	
Preparation of the Budget Proposal	- Prepared by Budget Officer of the FAD
↓	
Submit Budget Proposal to the HOPE	- Reviewed by the HOPE for approval
↓	
Upon approval of the HOPE, FAD will forward the PPMPs to the BAC Secretariat for consolidation and review	- Consolidated and reviewed by the BAC Secretariat
↓	
When the Corporate Budget becomes final, the consolidated PPMPs will also be finalized using the APP format	- Finalized by the BAC Secretariat - Reviewed by the BAC
↓	
Approval of consolidated PPMP	- Approved by the HOPE

FOR REVISIONS IN THE PPMP

Approved items will form part of the PPMP while disapproved items will be deleted and the PPMP will be revised accordingly.

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Approved by:	Date:
Jaime T. De Veyra Vice President, Corporate Services	MAY 18 2016

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B. ANNUAL PROCUREMENT PLAN (APP & APP-CSE)

PROCESS	PERSON RESPONSIBLE/NOTES
Preparation of Annual Procurement Plan (APP) & APP-CSE	- Prepared by the BAC Secretariat - Approved and signed by the BAC and HOPE - Posted in the PMDC website (Sec. 1.1 of the IRR of EO 662) following the form and format downloadable from the GPPB website
APP submitted to GPPB *deadline every January 15th of the CY	- Submitted by the BAC Secretariat
APP-CSE submitted to DBM-PS * deadline every November 15th of the preceeding year	

FOR REVISIONS IN THE APP

Revisions in the APP	- Update PPMP by the End-user Unit - Consolidate PPMP to APP by BAC Secretariat - Approve Updated APP by HOPE

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Approved by:

Jaime T. De Veyra
Vice President, Corporate Services

Date: MAY 18 2016

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C. PROCUREMENT MONITORING REPORT

PROCESS	PERSON RESPONSIBLE/NOTES
Preparation of the Procurement Monitoring Report (PMR) in the form prescribed by the GPPB	- Supervised by the BAC - Prepared by the Procurement Unit & BAC Secretariat - Consolidated by BAC Secretariat into one (1) PMR - Approved and signed by the BAC
↓	
Submitted to the HOPE	- Submitted by the BAC Secretariat to the HOPE for approval - Posted in the PMDC website
↓	
Submitted to the GPPB-TSO (Sec. 12.2 of IRR of RA 9184) in printed and electronic format	- Submitted by BAC Secretariat to the GPPB - Within 14 cd after the end of each semester (EO 662,662-A and 662-B, series of 2007)

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3. AGENCY PROCUREMENT COMPLIANCE AND PERFORMANCE INDICATOR (APCPI) / CONSOLIDATED PROCUREMENT MONITORING REPORT (CPMR)

PROCESS	PERSON RESPONSIBLE/NOTES
Fill up the following APCPI documents: 1. APCPI Self-Assessment Form - In filling up the form, the Scoring and Rating System shall be used as reference 2. Consolidated Procurement Monitoring Report 3. APCPI Confirmation Questionnaire 4. Procurement Capacity Development Action Plan Template	- Completion or accomplishment of APCPI documents conducted by the BAC and BAC Sec or annually within the first quarter of the year
CONFIRMATION PROCESS FLOW	
Submit initial APCPI Results	- BAC Sec *After completion of the APCPI Assessment Form, the BAC Sec shall invite the Confirmation Team for the confirmation exercise - Submitted by the BAC Sec to the Confirmation Team
Review of Initial APCPI results	- Confirmation Team * Upon receipt, the Confirmation Team shall determine the correctness of all the information indicated in the said Form within seven (7) working days
Differences NO	- Confirmation Team * In case there are differences in findings, a meeting shall be called by the Confirmation Team with the BAC Sec to reconcile the results
YES Conduct of confirmation meeting	- Confirmation Team and BAC Sec *The parties shall present their findings and may ask questions to clarify some matters regarding the scoring
Confirmation of APCPI results	- Confirmation Team *After the differences have been reconciled, the BAC Sec shall submit the confirmed APCPI results to HOPE
Approval of the APCPI results	- Approval of HOPE
Submission of confirmed APCPI results	- Confirmed and approved APCPI results shall be submitted by the BAC Sec to the GPPB

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4. REQUIREMENTS

Requirements	Law/Rule/ Issuance	Responsible Person/ Entity	Timetable	Post in PE's website
APP	EO 662 as amended; Implementing Guidelines	BAC, BAC Sec, HOPE	Annually	Yes
PMR	Sec. 12.2, IRR EO 662, as amended; Implementing Guidelines	HOPE	Within 14 cd after end of semester	Yes
List of Observers	EO 662, as amended; Implementing Guidelines	BAC Sec, BAC	Every semester	Yes
Resolutions of protests	Sec.56, IRR	BAC Sec Head	Within 7 cd from receipt	Not required
Court cases	Sec. 58.3, IRR	BAC Sec Head	Not indicated	Not required
Blacklisting/ Delisting Orders	Sec. 9.1, Uniform Guidelines for Blacklisting	HOPE	Within 7 cd after issuance	Not required
Contract extensions	Sec. 5.2, Rev. Guidelines re Extension of Gen. Support Services	HOPE or duly authorized representative	Immediately, if extension exceeds 6 mos.	Not required
List of Pre-selected Suppliers	Sec. 49.2, IRR	BAC Sec, BAC, HOPE	After pre-selection procedure	Not required

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5. PRESCRIBED FORMS

a) Project Procurement Management Plan
b) Annual Procurement Plan (Note: Forms are revised yearly by the GPPB)
c) Annual Procurement Plan-Common Supplies and Equipment (Note: Forms are revised yearly by the DBM-PS)
d) Procurement Monitoring Report
e) Agency Procurement Compliance and Performance Indicator (APCPI) Self-Assessment Form
f) Consolidated Procurement Monitoring Report
g) Confirmation Questionnaire
h) Procurement Capacity Development Action Plan Template

6. REFERENCES

1. R.A. 9184 also known as Government Procurement Reform Act and its Implementing Rules and Regulations

2. Executive Order No. 662 also known as Enhancing Transparency Measure under R.A. 9184 and creating the Procurement Transparency Board and its Implementing Guidelines

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Approved by:

Jaime T. De Veyra
Vice President, Corporate Services

Date: MAY 18 2016

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PROCEDURE ON TRAINING AND DEVELOPMENT

1.0 PURPOSE

This document institutionalizes the procedures for the preparation of the training plan, conduct of in-house training programs and participation in external capacity-building programs.

2.0 POLICY

PMDC considers the participation of its employees in trainings and seminars as investment for the mutual gain of the company and the individual. The employees' participation thereof is intended to develop, enhance and update their competencies for improved individual and organizational performance.

3.0 SCOPE

This procedure outlines the specific steps and activities undertaken in the preparation, implementation and evaluation of external and in-house training programs attended by the Company's officials and employees.

4.0 DEFINITIONS

1. Training Needs Assessment (TNA) – refers to a method of determining the company's learning gaps and/or training needs and the kind of learning intervention that is required to meet the identified training requirements.

2. Training Plan – refers to a document which provides the list of external training programs to be participated in by the employees and in-house learning sessions to be conducted within the year. The training programs/learning interventions indicated in the Training Plan were derived from the results of the Training Needs Assessment and those formulated by HRAD which were seen as necessary based on the required competencies, results of the performance evaluation, observations or evaluation of the effectiveness of trainings attended.

3. Request for Training Form – refers to the form accomplished and submitted by the employee and endorsed by his/her manager indicating the requested training program to be participated in by the employee. The request includes the following information: training course title, inclusive dates and venue, registration and other fees required and the justification for his/her participation.

4. Evaluation of Training Effectiveness – refers to the list of trainings/seminars attended by an employee for the concluding year prepared and distributed by HRAD to the employee's immediate supervisor. The supervisors evaluate the effectiveness of the trainings at the end of every calendar year based on how the employee was able to apply the learnings obtained or observed improvement on the employee's performance. The immediate supervisor's evaluation is then submitted to HRAD to serve as inputs for the formulation of the Training Plan of the following year.

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Approved by:	Date:
Jaime T. De Veyra Vice President, Corporate Services	NOV 25 2022

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5. Post-Training Report – refers to the report submitted by the employee after his/her participation in an in-house or external training program which contains the training highlights or key topics discussed, relevance of the training program to the employee's job functions, specific benefits/learnings from the training, and activities or initiatives that can be undertaken by the employee or his/her department in applying the learnings obtained by the training attendee. The Post-Training Report is submitted by the employee within five (5) working days from the last day of the training program or at the latest a month after the training/seminar provided that, HRAD has been advised accordingly. The submitted PTRs are also used to evaluate the applicability and effectiveness of the training programs attended. Further, recommendations from the Post-Training Report can serve as inputs for the succeeding year's Training Plan and other improvement initiatives within the organization.

6. Training Certificate – refers to the document that certifies that an employee has participated in and completed a training program. The document includes details on the training's topic, date and venue and duly signed by the resource speaker/training provider.

7. Training Provider – refers to the third-party service provider to whom the facilitation of a particular training program was awarded, through a competitive and transparent procurement process.

8. Webinar – refer to short for web-based seminar, a webinar is a presentation, lecture, workshop or seminar that is transmitted over the web using video conferencing software allowing participants in different locations to interact with each other.

1.0 RESPONSIBILITY

1. Bids and Awards Committee (BAC) – refers to the internal committee that oversees all bidding processes within the company.

2. Department Assistants - processes the documents relative to the approved request for trainings and its corresponding fees, submits the employee's registration form to the training provider via fax or email, deposits the check payment to the training provider's bank account (if required) or provides the check payment to the training participant/employee for payment during the actual training.

3. Department Managers/Supervisors – provides inputs to HRAD on training requirements, endorses requests for trainings, assesses the effectiveness of the training based on the employee's knowledge, skills and abilities and evaluates the applicability of the recommendations indicated in the Post-Training Reports submitted by their subordinates before submission to HRAD.

4. Finance and Accounting Department (FAD) – determines the availability of funds for requested trainings and expenses relative to the conduct of in-house training programs.

5. HR and Administration Department (HRAD) – facilitates the provision and conduct of [illegible] internal capacity-building activities in the organization.

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6. HR and Administration Department (HRAD) Manager – oversees the over-all planning for external and in-house training programs, reviews request/s for training and spearheads other capacity-building initiatives for the organization.

7. HR Officer – conducts the Training Needs Assessment during the first quarter of the year, analyzes the results and submits a proposed Training Plan using the data obtained from the Training Needs Assessment. He/she is also in-charge of the preparation and facilitation of in-house training programs.

8. HR Specialist – assists the HR Officer in the conduct of the Training Needs Assessment and preparation of the Training Plan; collates and monitors the submission of Post-Training Reports and training certificates within a given period, and manages the administrative preparation of in-house training programs.

9. Vice President for Corporate Services – endorses request/s for training and reviews the proposed Training Plan prior submission to the President and CEO.

10. President and CEO – approves request/s for training and the proposed Training Plan as endorsed by the Vice President for Corporate Services.

11. Procurement Unit – assists the Bids and Awards Committee (BAC) in facilitating the end-to-end procurement process of the organization.

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1.0 PROCESS FLOW

PREPARATION OF THE TRAINING PLAN

PROCESS	PERSON RESPONSIBLE/NOTES
COMMENCEMENT OF THE TRAINING PLAN PREPARATION	– TNA Survey Form is developed by the HR Officer and reviewed by the HRAD Manager – Disseminated by the HR Specialist – Accomplished by the employee
DISSEMINATION OF THE TRAINING NEEDS ASSESSMENT (TNA) SURVEY	– TNA Survey Forms are accomplished by the employee and the department manager/ supervisor concerned – Accomplished TNA Survey Forms are collated by the HR Specialist
FORMULATION OF THE TRAINING PLAN	– Results are generated by the HR Specialist – Training Plan is drafted by the HR Officer
REVIEW AND FINALIZATION OF THE TRAINING PLAN	– Reviewed and finalized by the HRAD Manager – Endorsed by the Vice President for Corporate Services – Approved by the President and CEO
IMPLEMENTATION OF THE TRAINING PLAN	

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PROCESSING OF EMPLOYEE PARTICIPATION IN EXTERNAL TRAININGS/SEMINARS

PROCESS	PERSON RESPONSIBLE/NOTES
PREPARATION OF THE REQUEST FOR TRAINING FORM	– Prepared by the employee – Endorsed by the immediate supervisor
↓	
CERTIFICATION OF BUDGET AVAILABILITY OF THE REQUEST	– Budget availability is certified by the Budget Officer or any designated/authorized officer
↓	
EVALUATION OF THE REQUEST FOR TRAINING FORM	– Reviewed by the HRAD Manager – Endorsed by the Vice President for Corporate Services
↓	
APPROVAL OF THE REQUEST FOR TRAINING FORM	– Approved by the President and CEO
↓	
PROCESSING OF PAYMENT FOR THE TRAINING PROVIDER	– Facilitated by the Department Assistant concerned and FAD Personnel
↓	
RELEASE OF CHECK PAYMENT	– For advance payment, the Department Assistant deposits the check payment to the training provider's bank account – For on-the-day payment, the Department Assistant turns-over the check payment to the training participant for payment on the training day itself

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CONDUCT OF IN-HOUSE TRAINING PROGRAM
(In-house Training Facilitator)

PROCESS	PERSON RESPONSIBLE/NOTES
DETERMINATION OF NEED FOR TRAINING	– Conducted as indicated in the Training Plan or may be initiated by HRAD or other department/s – Conceptualization/design of the training by the HRAD or the department concerned
IDENTIFICATION OF TRAINING PARTICIPANTS	– Participants are selected by the HRAD Manager or the department concerned – Participation of employee is coordinated by the HRAD or the department concerned with the respective supervisor/manager
PREPARATION OF THE TRAINING'S ADMINISTRATIVE REQUIREMENTS	– Administrative preparation (food/meals, training/workshop materials, training certificates, projector, microphone, etc.) is managed by the HR Specialist – For venue requirements, the Procurement Unit assists the HR Specialist in the canvassing and engagement of a venue provider, as evaluated and recommended by the BAC and approved by the Head of the Procuring Entity (HOPE)
CONDUCT OF THE TRAINING	– Facilitated by the HRAD Manager, HR Officer or the Department Manager/Officer concerned – Supervised by the HRAD Manager/Department Manager concerned
CONDUCT OF TRAINING EVALUATION	– Training Evaluation Forms are distributed by the HR Specialist – Results are collated by the HR Specialist
SUBMISSION OF THE POST-TRAINING REPORT	– Prepared by the training participant – Monitored and collated by the HR Specialist

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Jaime T. De Veyra
Vice President, Corporate Services

Date: SEP 27 2016

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CONDUCT OF IN-HOUSE TRAINING PROGRAM
(External Training Provider)

PROCESS	PERSON RESPONSIBLE/NOTES
DETERMINATION OF NEED FOR TRAINING	– Initiated by the HRAD or as stated in the Training Plan – Conceptualization of the training by the HRAD
IDENTIFICATION OF TRAINING PARTICIPANTS	– Conducted by HRAD
CANVASS OF TRAINING PROVIDER	– Canvass of training provider conducted by HRAD
SELECTION OF TRAINING PROVIDER	– Evaluation of canvass and selection of training provider conducted by the BAC
PREPARATION OF THE TRAINING'S ADMINISTRATIVE REQUIREMENTS	– Finalization of pre-selected training participants by HRAD – Participation of employee is coordinated by the HRAD with the respective supervisor/manager – Administrative preparation (meals, fees, transportation arrangement, training/workshop materials, training certificates, etc.) are managed by the HR Specialist
CONDUCT OF THE TRAINING	– Facilitated by the HR Officer – Supervised by the HRAD Manager
CONDUCT OF TRAINING EVALUATION	– Training Evaluation Forms are distributed by the HR Specialist – Results are collated by the HR Specialist
SUBMISSION OF THE POST-TRAINING REPORT	– Accomplished and submitted by the employee – Monitored and collated by the HR Specialist

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Jaime [illegible] Veyra Vice President, Corporate Services	SEP 09 2016

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I. Purpose

This document aims to institutionalize the policies and procedures on the handling and safekeeping of Security/Bond Documents.

II. Policy

It is the policy of PMDC to ensure that security documents, such as Bid/Performance Bond, Surety Bond, etc., are properly handled or managed to ensure protection or security for the company in case a bidder or contractor withdraws from a bid or defaults in the performance of his contracted service.

III. Scope

This procedure covers security/bond documents required in the bid processes as well as those after awarding the contract to a qualified third party.

IV. Definition of Terms

In accordance with the provisions of Republic Act 9184, its implementing rules and regulations and other applicable law, rules and regulations, Bid Bond and Performance Bond shall be defined as follows:

Bid Bond – or bid security is an amount of money that may be calculated as a percentage of the budget estimate of a procurement requirement or a percentage of a bidder's bid price. The bid security is intended to deter bidders from withdrawing their bids, because they would otherwise forfeit the bid security amount to the client. It gives the client some assurance that the selected bidder will sign the contract or otherwise forfeit its bid security.

A performance bond is issued by a winning bidder or contractor as a guarantee against its failure to meet obligations specified in the contract. A performance bond is usually provided by a bank or an insurance company to make sure a contractor completes designated projects.

A Bid Bond or Performance Bond may be in the form of:

1) Cash or cashier's/manager's check issued by a Universal or Commercial Bank;
2) Bank draft/guarantee or irrevocable letter of credit issued by a Universal or Commercial Bank; provided, however, that it shall be confirmed or authenticated by a Universal or Commercial Bank, if issued by a foreign bank.
3) Surety bond – callable upon demand issued by a surety or insurance company duly certified by the Insurance Commission as authorized to issue such security.

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V. Guidelines/Flowchart

a) For Non-Cash Bonds

PROCEDURE	PERSON/UNIT RESPONSIBLE	WORK INSTRUCTIONS
Receipt of Bond *(be it a Bid or Performance Bond, which may be in any of the following forms:* *a. Bank draft/guarantee* *b. Irrevocable letter of credit, or* *c. Surety bond)*	- Bids and Awards Committee (BAC) Secretariat, for bid bonds; - BAC Secretariat for first issuance of Performance Bond, normally upon award of contract; - Concerned Department for renewal of Performance Bond	The BAC Secretariat or Concerned Department staff shall record the receipt of the Bond in an appropriate logbook, indicating the date and time of receipt as well as its validity period.
↓		
Review and Verification of Bond	- BAC Secretariat forwards the Bond to the Legal Department upon receipt; - Legal Department reviews the validity of the Bond	The Legal Department shall review the correctness and validity of the bond and its conformity with the Terms of Reference. It shall also verify the issuing bond company's accreditation with the Insurance Commission. If valid and compliant, the bond is forwarded by the Legal Department to the Finance and Accounting Department for safekeeping. *Note:* *If non-compliant, the Legal Department shall advise the BAC Secretariat or Concerned Department to return to the bidder or contractor the invalid Bond, and for the latter to address the deficiencies and to re-submit a new Bond within fifteen (15) calendar days thereafter.* *Upon re-submission, the BAC Secretariat or concerned department shall again forward the Bond to the Legal Department for its review.*
↓		
Safekeeping and custody of the bonds	- Finance and Accounting Manager and/or any authorized FAD personnel	The FAD personnel shall keep the Bond in a secure cabinet and in a folder that is properly labelled for easy retrieval.
↓		
Monitoring of Bid or Performance Bond validity and expiry date	- BAC Secretariat for Bid Bonds; - Concerned department for Performance Bonds	The Concerned Department shall monitor the validity of the Performance Bond within the contract period and write the contractor a letter asking it to renew the bond within thirty (30) calendar days prior to its expiration.

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Vice President, Corporate Services

Date: OCT 24 2016

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b) For Cash Bonds

PROCEDURE	PERSON/UNIT RESPONSIBLE	WORK INSTRUCTIONS
Receipt of Bond *(be it a Bid or Performance Bond, which may be in the form of Cash or Cashier's/Manager's Check)*	- Bids and Awards Committee (BAC) Secretariat for Bid and Performance Bonds	The BAC Secretariat shall record the receipt of the Bond on an appropriate logbook indicating the amount, date and time of receipt, as well as its validity period.
Issuance of Acknowledgement Receipt	- Cash Management Officer	The Cash Management Officer shall record/post the details *(i.e. customer's name, amount, and accounting code)* in the Computerized Accounting System (CAS).
Signing and Execution of Bond Agreement (for Performance Bond only but not for Bid Bond)	-Legal Department drafts the Performance Bond Agreement	After review and approval by the Legal Department of the signed and notarized Performance Bond Agreement, the latter is forwarded to FAD for safekeeping.
Deposit of the Cash Bond in PMDC's depository bank	- FAD personnel as authorized by the FAD Manager	The FAD personnel shall deposit the cash bond in the trust liability account of PMDC's depository bank.
Monitoring of Bid or Performance Bond validity and expiry date	- BAC Secretariat for Bid Bonds; - Concerned Department for Performance Bonds	The BAC Secretariat shall return the Cash Bid Bond to the bidders within thirty (30) days after the winning bidder has signed the contract. The Concerned Department shall monitor the expiry of the Performance Bond and the Contract.

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	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-12-00
			Revision No.:	0
	Quality Procedure	Repair and Maintenance of Properties and Equipment	Effectivity:	December 19, 2016
			Page No.	Page 1 of 5

1.0 PURPOSE

This document institutionalizes the policies and procedures for the repair and maintenance of the company's properties and equipment.

2.0 POLICY

It is the policy of PMDC to ensure that all of its properties and equipment are in good working condition and performing according to their required functions. Regular preventive maintenance and repair works, whenever necessary, shall be undertaken to maintain the satisfactory operating condition of machines and equipment and prolong their useful life.

3.0 SCOPE

The set of procedures applies to the specific steps or activities that the Property Officer and other concerned employees need to adopt in order to adhere to PMDC's Quality Management System. This document covers the procedures from the identification of equipment for repair to preparation of post-repair inspection report.

4.0 DEFINITIONS

1. Repair of Equipment – process/act of restoring a property/equipment to its original state or to its working condition. Unserviceable equipment may be restored to its normal state of efficiency by making repairs.

2. Minor and Ordinary Repair – merely keeps an equipment in fit condition for use without increasing its capacity or otherwise adding to its normal value as an asset

3. Maintenance – actions taken to retain the equipment in a serviceable condition or to restore it to serviceability when it is economically repairable

4. Repair and Maintenance Report (RMR) – a document issued in reporting the breakdown or malfunctioning of a certain property or equipment, at the same time requesting for the repair of said property. The RMR form comes in three parts, to wit: a) Request to Repair; b) Pre-Repair Inspection; and c) Post-Repair Inspection

5. Waste Materials Report (WMR) – a document that lists all waste materials such as destroyed spare parts and other materials considered scrap due to repair and replacement

6. Property Masterlist – a record of all the assets of the company which is organized, collated, and maintained by the Property Officer

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7. Repair and Maintenance Logbook - shows the summary/history of all repairs and maintenance work done. Said logbook shall be maintained by the Field Office Property Custodians and the Property Officer for Main Office records. The Property Officer shall, however, for reference purposes, maintain copies of the Repair and Maintenance Reports and Official Receipts from repair and maintenance works done in the field.

5.0 RESPONSIBILITY

1. Custodian – refers to the employee who is the actual user or assignee of the property/equipment

2. Property Custodian – is a designated individual who has the authority and immediate responsibility for the immediate custody of all properties within his custodial area. The Property Custodian shall be bonded and be physically located near the property for which he or she is responsible

3. Department Manager/Immediate Supervisor – approves a request for repair

4. Head of HR and Administration Department – approves the commencement of repair after the pre-repair inspection and evaluation done by the Technical/Property Inspector, and the recommendation of the Property Officer, in consideration of the records and repair/maintenance history of the concerned property/equipment

5. Technical/Property Inspector – refers to the person designated or assigned to inspect and assess the property prior to repair, determines the reasons for breakdown as to fair wear and tear or negligence and inspects the property's condition after its repair

6. Property Officer – refers to the person designated to be in charge of the overall accounting, safekeeping and maintenance of the properties of the company. Also responsible for maintaining property records and reports, and handles the administrative aspect of the disposition of company properties, upon direction and approval of management

7. Procurement Officer/Specialist – refers to the person who is tasked to handle the company's procurement functions in accordance with the provisions of Republic Act 9184

8. Field Administration Assistant/Davao Administration Officer – persons tasked to process the Repair and Maintenance Reports in the Field Offices, prior to submission to the Main Office for review of the Property Officer, the Department Managers Concerned, and endorsement to the Procurement Officer/personnel designated to handle procurement functions

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6.0 PROCESS FLOW

PROCESS	PERSON RESPONSIBLE/NOTES	WORK INSTRUCTIONS
Request to Repair Fill out the Request to Repair portion of the Repair and Maintenance Report (RMR)	- Requested by the Custodian - For approval of Department Manager/ Immediate Supervisor	In filling out the request, indicate the details of the property to be repaired and specify the defects or complaint.
Pre-Repair Inspection Fill out the "Pre-repair Inspection" portion of the RMR	- Pre-inspected by the Technical/Property Inspector - Reviewed and noted by the Property Officer - Approved by the HR and Administration Department	The Technical/Property Inspector shall check the property/equipment based on the complaint and identify the nature of work to be done and parts to be supplied/replaced. Property Officer or Property Custodian shall check if the property is listed in the Masterlist Property Officer shall check on the repair and maintenance records of the equipment and notes down his/her comments or recommendations Cost of repair shall be estimated by Technical/Property Inspector/Property Officer with the assistance of Procurement personnel Property Officer or Field Property Custodian shall verify records if the property is covered by warranty; Put notes/comments on the pre-Repair Inspection space, if necessary. Affix signature on the provided space
Pre-Repair Inspection Verify the property listing in the Property Masterlist	- Property Officer/Field Admin Assistant/Davao Admin Officer	
Prepare the Purchase Request or Work Order and forward to Procurement for the processing of the request	- Custodian/Property Custodian/Field Admin/ Technical or Property Inspector	Fill out the Purchase Request and Work Order forms

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PROCESS	PERSON RESPONSIBLE/NOTES	WORK INSTRUCTIONS
Post-Repair Inspection Upon completion of the repair, conduct the Post-Repair Inspection	- Custodian/Technical or Property Inspector	Check if the repair done is in accordance with the specified requirements; Test the performance of the property; Check if the parts replaced are in accordance with the specifications
Sign the Post-Repair Inspection (and Waste Materials Report (WMR), if necessary)	- Davao Admin Officer/Field Admin Assistant/Property Officer - For WMR: Property Officer/Head of Admin Dept./ Technical or Property Inspector/Technician	Fill out the Post-Repair Inspection part of the RMR Prepare the WMR and list down all defective spare parts including materials which are removed or pulled out from the property/ equipment due to replacement of a new part
Prepare the necessary documents for payment, liquidation or reimbursement, to wit: 1. Photocopies of the ff: a. RMR b. Service Report from the service center c. WMR 2. Original copy of Invoice and OR for accounting use/reference	- Procurement Officer or Specialist/Field Admin Assistant/Davao Admin Officer/Property Officer/Property Custodian	For all completed Main/Field Office repair and maintenance works, concerned Main/Field Office shall attach all required documents for liquidation or reimbursement, and ensure that these are properly signed by all authorized /designated PMDC officers and employees prior to submission to the Finance and Accounting Department (FAD)
Document repair and maintenance works done	- Property Officer/Field Office Property Custodian	Record the cost and date of repair in the RMR Logbook File the RMR, photocopy of Invoice, original copy of Service Report, and warranty certificate with the Property Officer Property Officer shall maintain photocopies of the RMRs and ORs submitted by the Field Office for reference purposes

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Vice President, Corporate Services

Date: DEC 12 2016

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7.0 FORMS

1. **Repair and Maintenance Report (RMR)**
   - the RMR consists of three parts namely, Request to Repair, Pre-Repair Inspection, and Post-Repair Inspection which are described as follows:

   I. REQUEST TO REPAIR
   - shows the defects/complaints in the property/equipment, as listed by the Custodian
   - filled out and signed by the Custodian
   - endorsed by the Immediate Supervisor/Manager

   II. PRE-REPAIR INSPECTION
   - shows/enumerates the findings, nature and scope of work to be done, and parts to be supplied/replaced, as determined by a designated Technical/Property Inspector
   - pre-inspected by the Technical/Property Inspector
   - reviewed and noted by the Property Officer
   - approved for repair signed by the Department Manager

   III. POST-REPAIR INSPECTION
   - shows details of the work done
   - inspected and accepted by the Requisitioner/Property Inspector
   - noted by the Property Officer

2. **Waste Materials Report (WMR)**
   - lists the waste parts/items for disposal
   - certified true and correct by the Property Officer and initialed by Field Office Administrative Officer /Assistant for Field Office waste material disposal
   - disposal approved by the Head of the HR and Administration Department
   - inspected by the Technical/Property Inspector
   - witnessed by an Accounting staff or any employee

3. **Repair and Maintenance Logbook (RML)**
   - shows the type of equipment, its description, asset no., make, model and serial number, as well as acquisition date and acquisition cost
   - shows the date, reference number, type of work whether repair (R), preventive maintenance (PM) or repair and maintenance (RM), scope of work and services (including parts replaced), and total cost (gross) incurred
   - maintained by Property Officer (Main Office) and/or Property Custodian/ Field Administration Assistant/Davao Administration Officer (Field Office)

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Approved by:	Date:
Lucas R. Vidad Vice President, Operations	MAR 10 2020

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1.0 PURPOSE

This document institutionalizes the policies and procedures for the conceptualization, planning, implementation, monitoring, and assessment of projects and activities under the Corporate Social Responsibility (CSR) program.

2.0 POLICY

In the conduct of its business, the PMDC, in partnership with its stakeholders, also works toward promoting and sustaining development in its mining communities.

The Company's CSR agenda is anchored on the fundamental needs of the communities – Health, Education/Environment, Rural Infrastructure, and Opportunities to earn (or livelihood), collectively dubbed as the PMDC's H.E.R.O. Program.

3.0 SCOPE

This procedure applies to specific steps and activities that the Project Management Department, particularly the Community Development Officer (CDO) and the Community Relations Officer (CRO), must adhere to in undertaking the Corporate Social Responsibility (CSR) Program of the Company.

4.0 DEFINITIONS

1. Community – refers to the host and neighboring areas where the mining project is located. It also refers to the group of people directly affected by the mining project, or the stakeholders, which includes the local officials, the residents, indigenous people, and all other key players.

2. Community Profiling – refers to the process of gathering vital records/information (demographics, historical background, social services etc.) about a community which serves as the basis for project conceptualization.

3. Community Needs Assessment – refers to the process being done to identify the needs of a given community vis-à-vis the Company's CSR agenda and its existing resources to determine the appropriate assistance which the Company may provide to communities. Tools that enable Community Assessment may include, but not limited to: survey, interviews, focused-group discussions, community consultations and meetings including coordination with stakeholders such as LGUs, review of secondary data (for cross-validation of data), and third-party research and study.

4. Contract – refers to the written agreement that the Company enters into with any stakeholder upon commencement of CSR projects (e.g., Contract with contractors/consultants, Memorandum of Agreement, Service Contracts, etc.)

5. Corporate Social Responsibility (CSR) – refers to the program of the Company being implemented for the welfare and development of the identified and selected host and

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neighboring communities in line with its policy and motto, "Creating Wealth, Enriching Lives", which includes but not limited to:

- Projects and activities initiated by the Company based on the Community Needs Assessment; and,
- Projects and activities implemented based on the requests of the community beneficiaries, LGUs, and other institutions, and government instrumentalities.

6. Customer Satisfaction Survey - serves as a monitoring and assessment tool to measure how PMDC relates with their customers as this provides intangible and verifiable data in the way PMDC delivers its services. It is a mandatory requirement by the GCG for GOCCs to conduct an annual CSS as one of the strategic measures under the Performance Evaluation System (PES).

7. CSR requests – refers to any written letter soliciting assistance financially and/or in-kind submitted by a requestor (e.g., community organizations, LGUs, other institutions and government instrumentalities) to the Company.

8. Host and Neighboring Communities – (a) host community refers to the people living within the mining area and directly affected by the mining operation; while the (b) neighboring communities refer to the people living at the barangay(s) adjacent to the host community which are also affected by the mining project in the area.

9. H.E.R.O. Pillars – refers to the thrusts of PMDC for its CSR Program which stands for Health, Education/Environment, Rural Infrastructure, and Opportunities to earn.

10. Partner/Operator – refers to the mining company to whom the Joint Operating Agreement (JOA) for a particular project was awarded after the conduct of a competitive and transparent bid.

11. Production – refers to the extraction or disposition of minerals.

12. Project Proposal – refers to the document that provides information about the CSR project, its budget, and its execution. This document also serves as the proof of approval of PMDC's management of the CSR project.

13. Short-term to Medium-Term CSR Projects – refers to CSR projects that take one (1) to five (5) years of implementation.

14. [illegible]iders – refers to the entities that can affect or be affected by PMDC's operations, [illegible] and activities which include host and neighboring communities.

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Lucas R. Vidad Vice President, Operations	MAR 10 2020

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community-based organizations, tribal groups, LGUs, and other government instrumentalities.

5.0 RESPONSIBILITY

1. Community Development Officer (CDO) – conceptualizes CSR projects/ activities and facilitates the implementation of all the CSR projects, activities, requests and other CSR endeavors either initiated by the Company or requested by the community or local government units (LGUs.)

2. Community Relations Officer (CRO) – initiates the review and endorsement of CSR requests and assists the CDO in the implementation of CSR projects and activities.

3. Finance and Accounting Department – incorporates CSR budget into the Corporate Operating Budget (COB) and facilitates payments and release of Cash Advances.

4. Legal Department – provides legal support and assistance to the CDO/CRO in terms of any legal concerns that may be encountered in the course of planning and implementation of CSR projects/ activities.

5. PMDC Field Office – conducts initial evaluation of all CSR requests and proposals submitted to PMDC.

6. President and CEO – provides strategic direction to the Company that includes its CSR; approves all CSR requests and proposals.

7. Human Resources and Administration Department (HRAD) – reviews requests for procurement and processes purchase requirements related to the Company's CSR projects.

8. Project Management Department (PMD) Manager – gives guidance to the CDO and CRO in the course of planning and implementation of CSR.

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6.0 PROCESS FLOW AND PROCEDURE

A. CSR REQUESTS

PROCEDURE	PERSON/UNIT RESPONSIBLE	WORK INSTRUCTIONS
Receipt of Solicitation Letters or other forms of support/assistance and initial evaluation	PMDC Field Office Staff	PMDC Field Office staff shall conduct initial evaluation of the CSR request (e.g., solicitation letters, barangay resolutions, request for assistance, etc.) within a maximum of three (3) working days upon receipt of request. Evaluation is based on the criteria, which includes but not limited to: a. Request can be classified under H.E.R.O, b. Purpose, c. Budget needed, d. No. of beneficiaries, and e. Sector.
In depth Evaluation of PMDC Field Office and endorsement to Top Management	PMDC Field Office Staff	Field Office staff shall conduct further evaluation to determine whether the request shall be considered for approval or not. The staff shall make recommendation written on a routing slip and submit to the Office of the President within five (5) working days upon receipt, either endorsing the approval or recommending the disapproval of the CSR request.
Decision	President and CEO	The President and CEO shall issue a decision on the request whether the recommendation is approved, disapproved, or needing further evaluation. Said decision shall be indicated on the routing slip submitted by the Field Office Staff.
Disapproved → Sending of Regret Letter	CDO/CRO PMDC Field Office Staff	For disapproved requests, the CRO/CDO shall send a Regret Letter to be signed by the President/CEO within two (2) working days from the date of receipt of decision.
Approved → Implementation of Necessary Action as per planned activity/project of the requestor	CDO/CRO PMDC Field Office Staff	If the request is approved, the CDO/CRO shall communicate through call, SMS, or e-mail the approval within twenty-four (24) hours in order for the concerned Field Office to undertake the necessary action such as the Procurement Process, Coordination with Beneficiaries, Request for Cash Advance, etc.
Submission of Accomplishment Report from the concerned Field Office	CDO/CRO PMDC Field Office Staff	The PMDC assistance shall be documented with photos and report using the template CSR-Template-001 to be forwarded by the Field Office to the CDO/CRO for validation and filing.

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B. SHORT-TERM TO MEDIUM-TERM CSR PROJECTS[iii]

PROCEDURE	PERSON/UNIT RESPONSIBLE	WORK INSTRUCTIONS
Conceptualization of Project/Activity	PMD/CDO	Short-term and medium-term CSR Projects should be aligned with the H.E.R.O framework. Conceptualization of CSR Projects/Activities shall trigger from the following references: CSR Baseline Data (if available), Community Needs Assessment, and Project Proposals from concerned LGUs/agencies/communities/organizations.
Preparation of Project Proposal/Concept Note	PMD/CDO	
Review and Evaluation	PMD Manager/ President and CEO	Once a project/activity has been identified and necessary coordination works with concerned stakeholders have been conducted, a Project Proposal/Concept Note/Memorandum with details of the proposed project shall be prepared by the CDO for review and evaluation of the PMD Manager and/or the President and CEO. When necessary, supplemental data-gathering work shall be done depending on the directives of the PMD Manager and/or President and CEO.
Decision from the President & CEO and Board of Directors (if needed) Disapproved → Sending of Regret Letter	President and CEO/Board of Directors (BOD)	The President and CEO shall issue a decision on the proposal whether approved, disapproved, or needing further evaluation. When necessary, the CDO shall also prepare a Board Memorandum to seek the approval of the Board of Directors (BOD). Approved project proposals shall be included in the Corporate Operating Budget (COB) and the Annual Procurement Plan (APP) of the implementing year. The CDO shall also initiate the preparation of the work plan required for implementation. When necessary, the CDO shall render a Regret Letter for disapproved project proposals that come from LGU/community/organization.
Approved Formulation of Work Plan	PMD/CDO	
Commencement of Implementation of Approved Project/Activity	PMD/CDO	The implementation of the project shall be done accordingly as per approved work plan. Regular and necessary coordination activities with stakeholders shall be done during the implementation, monitoring, assessment/evaluation, and completion stage. All documentation work and reports must be accomplished accordingly for review and approval of the PMD Manager and the President & CEO.
Monitoring and Periodical Assessment of Project	PMD/CDO	
Project Evaluation and Completion	PMD/CDO	Upon completion of the CSR project/activity, exit process, such as a turnover ceremony, shall be conducted. Project shall be declared completed upon turnover to the concerned community/LGU/organization/agency. The project shall be considered sealed when concerned parties have been furnished with the turnover documents.
Conduct of Exit Process and Project Turnover	PMD/CDO	

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Vice President, Operations

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D. INFORMATION, EDUCATION AND COMMUNICATION (IEC) CAMPAIGN

PROCEDURE	PERSON/UNIT RESPONSIBLE	WORK INSTRUCTION
Conceptualization of Project/Activity	CSR Team	Interviews and focus group discussions to identify the communication needs of various stakeholder and target audiences will help determine IEC objectives and appropriate communication strategies and channel for disseminating messages. When necessary, coordination with the Business Dev Department, and other Technical Staff of PMD shall be done to identify the main purpose of the IEC/advocacy campaign. Once the IEC objectives have identified, and necessary coordination works with the concerned stakeholders have been conducted, a project proposal with details of the proposed project shall be prepared by the CSR Team for review and comments of the PMD Manager and VP for Operations and/or President &CEO.
Preparation of Project Proposal/Activity Design and Approval of the same	CSR Team PMD Manager/VP for Operations/ Pres & CEO	
Commencement of Implementation of Approved Project/Activity	President & CEO CSR Team	The president & CEO shall issue an office order re the conduct of IEC/Advocacy Campaign Activity. Approved activity design shall be included in the Corporate Operating Budget (COB) and the Annual Procurement Plan (APP) of the implementing year. The CDO shall also initiate the preparation of the project preparation required for implementation. The CDO/CRO shall coordinate with the concerned departments for the preparation of materials such as but not limited to brochures, leaflets and posters, visual and audio-visual presentations.
Submission of Accomplishment Report	President & CEO CSR Team	Projects/activities must be documented with photos and accomplishment report to be forwarded by CSR Team to PMD Manager, VP for Operations and President & CEO.

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C. REGULARLY-IMPLEMENTED CSR PROJECTS

PROCEDURE	PERSON/UNIT RESPONSIBLE	WORK INSTRUCTIONS
Assessment and Planning Process (When necessary)	PMD/CDO	CSR Projects that are implemented every year must also undergo assessment to determine the progress of the project and the relevance of pursuing the implementation of the project in the subsequent year. When necessary, planning for subsequent year's implementation shall be undertaken to review and determine the budget required as well as the underlying activities.
Incorporation of CSR Projects in the Annual COB and APP	PMD/CDO	If it remains to be relevant for implementation, it shall be included in the Corporate Operating Budget (COB) and Annual Procurement Plan (APP), when necessary.
Implementation of CSR Projects according to agreed timeline and approved budget	PMD/CDO	Said CSR projects shall be implemented according to the approved timeline, budget, and work plan.
Submission of Accomplishment Reports	PMD/CDO	Projects/activities must be documented with photos and accomplishment report to be forwarded by the Field Office to the CDO/CRO for validation and filing.

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E. CUSTOMER SATISFACTION SURVEY

PROCEDURE	PERSON/UNIT RESPONSIBLE	WORK INSTRUCTION
Conceptualization of Project/Activity	CDO/CRO	CSR Team shall set an initial meeting to identify necessary compliances, target timeline, and update on the Guidelines of the GCG for the conduct of the Survey.
Preparation of Project Proposal/ Terms of Reference/ Purchase Requisition	CSR Team Pres & CEO/ Procurement	The CDO/CRO shall create list of major projects and estimate the total number of beneficiaries for the survey and draft Terms of Reference for comments and approval of the President & CEO. Once the TOR was approved, the CDO/CRO shall draft Purchase Requisition to be forwarded to procurement officer for the canvass and posting. The Bids and Awards Committee (BAC) shall process the bidding and awarding of the project.
Commencement of Implementation of Approved Project/Activity	CSR Team Pres & CEO	Once the project was awarded to the winning bidder. The third party will conduct the survey in supervision of CDO. The CSR Team will ensure the proper implementation of the of CSS in accordance with the guidelines set by the GCG. The CSR Team will work closely with the prospective group or individual regarding technical and administrative requirements of the project. Provide the necessary stakeholders' data and the contact details of the target respondents as well as endorsement to the official channels and organizations to facilitate the conduct of the survey. The team will also provide the requirements of the project based on the approved budget cost.
Submission of Draft Final Report	CSR Team Pres & CEO	The draft final report shall be submitted by the prospective group or individual to PMDC at least two (2) weeks before the end of the engagement. The said report shall consist of the (1) Brief description of the final survey procedure and documentation of the activities, (2) Limitations of the Survey (3) Survey Results in graphs and/or tables and (4) Assessment of the results of the Survey. Presentation of the survey results may be required for clarification and validation purposes. The said draft final report shall be submitted to CDO for review and comments.
Submission of Final Report	CSR Team Pres & CEO	The Third Party shall submit the final report in accordance with the approved TOR one (1) week after the submission and presentation of the final draft. The final report shall be submitted to GCG as part of PMDC PES accomplishment on/before January 30 of the succeeding year.

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7.0 CUSTOMER FEEDBACK

1. The main customers of PMDC's CSR Program are its host and neighboring mining communities, particularly its residents, community People's Organizations (POs), Local Government Units (LGUs), or other local government agencies.

2. Customer Feedback is a vital input in PMDC's Quality Management System (QMS). It is one of the primary gauges of the QMS' effectiveness, and thus, used as a basis for the continual improvement of the system. Further, Customer Feedback mechanism also aims to assess whether the objective/s and target/s of a CSR project or activity have been achieved.

3. The tool used to gather the customers' feedback is PMDC's CSR Customer Feedback Form (PMDC-QP-13 F01). The CDO and the CRO shall be responsible for gathering the feedbacks of the community beneficiaries.

4. The gathering of customers' feedback shall be conducted at the following periods:

    - Short-Term to Medium-Term CSR Projects – within a year after project turnover and/or December of every year for Medium-Term CSR Projects
    - Regularly-Implemented CSR Projects – December of every year;
    - CSR Requests – only when applicable and necessary.

5. The process on gathering of feedbacks shall be conducted as follows:

    - The CDO/CRO shall gather Customer Feedback simultaneously with his/her scheduled fieldwork activity.
    - The purpose of Customer Feedback mechanism and the manner of filling out of the customer feedback form shall be explained to the intended respondents before the latter accomplishes the form.
    - With the assistance from the ISO Secretariat, the CDO/CRO shall encode and consolidate the responses contained in the feedback forms into a database for monitoring and reference to improve the implementation of CSR projects and activities.

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[i] Notes:

The following notes outline the details for each stage of implementation with regard to the facilitation of "Section B: Short-Term to Medium-Term CSR Program":

A. Planning and Conceptualization Stage

1. Community Needs Assessment shall be done by employing the following procedures:

    - Maintenance of database of priority host mining communities for CSR. The database shall contain, but is not limited to, the demographical information as well as the socio-economic data of particular communities. The database shall be analyzed to identify the particular needs of the community that can be integrated into the CSR program.
    - The information from the database shall be validated through other channels of discussion within communities such as on-site assessment, community consultation with area leaders and LGUs, community meetings, surveys, focused-group discussions, and interviews with community.

2. Project Proposals or Concept Notes, at the minimum, shall consist of the following:
    - Background/rationale of the project
    - Objective of the project
    - Scope of project
    - Project area
    - Timeline
    - Expected results/outputs
    - Budgetary requirements
    - Stakeholders involved and responsibilities

B. Implementation Stage

1. The project shall follow the implementation procedures indicated in the approved work plan.
2. When necessary, the project shall undergo the necessary Procurement Process as prescribed in Republic Act 9184 or the Government Procurement Reform Act. Contracts required shall be referred to the Legal Department while payment requirements of the project shall be prepared by the concerned staff (e.g., Field Office Staff, Community Relations Officer, and Community Development Officer) to be processed by FAD.

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C. Monitoring and Assessment Stage

C.1 CSR Team (internal)

1. The work plan of the project shall contain details of the monitoring and assessment requirements to serve as guide of the CDO/CRO in monitoring of the project. Quantitative and qualitative data may be assessed during the project implementation. Quantitative data are the quantifiable indicators of the project while qualitative data show the effect or the positive impact created by the project.

   Quantitative Assessment

   - Timeframe – Does the project adhere to the agreed timeframe as indicated in the Work Plan?
   - Budget Utilization – Is the budget appropriately and effectively utilized for the project at a given period and work deliverables?
   - Target Accomplishment – Are there specific, measurable, attainable, realistic, and time-bound targets that shall reflect the success and effectiveness of implementation? What is the rate of achievement of the targets?

   Qualitative Assessment

   - Active participation of the beneficiaries – Do the beneficiaries show interest in the project? Are they actively participating in all aspects of the project?
   - Stakeholder Engagement – Does the project engage other partner and stakeholders in monitoring and assessment of the project? What are the contributions of other stakeholders? What is the result of monitoring and assessment with stakeholders?
   - Effects on the lives of beneficiaries and/or the environment – Does the project result to positive effects in the lives of the beneficiaries and/or the environment (tangibly or intangibly)? Do the beneficiaries state positive effects of the project in their lives?

2. If the results of the monitoring and assessment showed major problems, issues and concerns that need to be addressed, the concerned staff (e.g., PMDC Field Office, the CDO, or the CRO) must be able to report it immediately to the PMD Manager and to the President and CEO for feedback and instructions.

C.2 Customer (external)

The CSR Team shall conduct a project monitoring and evaluation to gauge the projects' relevance, impact, sustainability of intended use, effectiveness, and actual project concept.

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D. Project Turnover and Termination

1. Necessary reports as required in the work plan of the project must be secured accordingly. As example, for infrastructure project, Project Completion and Final Inspection Reports must be signed by parties including the Contractors prior to turnover to beneficiaries. Deed of Donation and Acceptance must be secured by both the PMDC and the intended beneficiaries during the project turnover.

2. Other documentation reports that shall serve as evidence of project implementation must be secured and filed.

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	PHILIPPINE MINING DEVELOPMENT CORPORATION		Control No:	PMDC-QP-14-00
			Revision No.:	0
	Quality Procedure	Risk Identification, Assessment and Treatment	Effectivity:	June 20, 2019
			Page No.	Page 1 of 1

1.0 PURPOSE:

To ensure that all processes are designed to incorporate the risk-based thinking, that these are properly identified and assessed; that appropriate action(s) is done to mitigate or prevent the consequence(s) from transpiring.

2.0 SCOPE:

This procedure defines the responsibilities of the Process Owners, Department Heads, and Top Management in ensuring proper identification and assessment of risks. It covers activities from the process determination vis-à-vis associated risks, its assessment and consolidation; up to reviewing the adequacy and effectiveness of the action plan.

3.0 DEFINITION OF TERMS:

3.1 Risk	- Effect of uncertainty on objectives
3.2 Risk Assessment	- A systematic process of evaluating the potential risks that may be involved in a projected activity or undertaking
3.3 Risk Management	- The forecasting and evaluation of risks together with the identification of procedures to avoid or minimize their impacts
3.4 Risk Assessment Matrix	- A project management tool that allows a single page -quick view of the probable risks evaluated in terms of the likelihood or probability of the risk and the severity of the consequences.
3.5 Risk-based thinking	- Ensure that the risks are identified, considered and controlled throughout the design and use of the quality management system

4.0 PROCEDURE DETAILS:

4.1 Responsibilities

4.1.1 The Risk Management Committee composed of either Department/Division Head or Process Owners, in consultation with their department members, identifies the risks of each relevant process. The Committee shall consider projects, outsourced services and future development during the identification phase

4.1.2 The Risk Management Committee shall assess the significance of the identified risks annually or as the need arises.

4.1.3 The IQA Team reviews the risks and significance rating and where necessary, provides technical assistance.

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4.0 PROCEDURE DETAILS:

4. 1 Responsibilities

4.1.1 The Risk Management Committee composed of either Department/Division Head or Process Owners, in consultation with their department members, identifies the risks of each relevant process. The Committee shall consider projects, outsourced services and future development during the identification phase.

4.1.2 The Risk Management Committee shall assess the significance of the identified risks annually or as the need arises.

4.1.3 The IQA Team reviews the risks and significance rating and where necessary, provide technical assistance.

4.1.4 The Top Management shall approves the risks and significance rating.

4.1.5 The Process Owners shall implement the Action Plan to mitigate/ prevent significant risks.

4.1.6 The Process Owners shall monitor and report the status of each implemented item in the Action Plan to the Top Management.

4.1.7 The Top Management shall review and evaluate the effectiveness of the Action Plans implemented by the Process Owners.

4.1.8 The Process Owners shall compile, maintain and retain documented information related to the organization's risk identification, assessment, and treatment.

4.1.9 Each department shall create its own Risk and Opportunity Register, using template PMDC QP-14 F01 v.0, to properly identify all possible risks in their processes. The Risk and Opportunity Register shall contain all the identified risks and opportunities, properly updating of the same, and results of evaluation on the effectiveness of controls to mitigate the identified risks and opportunities for easier traceability and analysis.

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Jaime T. De Veyra Vice President, Corporate Services	DEC 19 2023

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12/19/2023