



**Annex B**

**PROCUREMENT AND WAREHOUSING OF SPARE PARTS FOR LIGHT RAILS VEHICLES AND DISPOSAL OF WASTE MATERIAL**

ACTIVITY	RESPONSIBLE UNIT/PERSON	OBJECTIVE	RISK FACTOR	LIKELIHOOD OF OCCURRENCE	SIGNIFICANCE OF IMPACT	CONTROL ACTIVITY/ MECHANISM	ASSESSMENT OF CONTROL OR SAFEGUARD	AREA FOR IMPROVEMENT
<p><b>PROCUREMENT PHASE</b></p> <p><b>1. Preparation of the Purchase Request/Terms of Reference</b></p>	<p>End user/ signed by the Head of Unit, initialed by next in rank</p> <p>Materials Management Office</p>	<p>To formalize request of materials/ spare parts and identify the quantity, specifications, and other relevant information to facilitate the purchase</p>	<p>Specifications “suited” to a particular bidder in terms of brand and quantity; Excessive quantity/volume of particular item to increase total cost; Connivance between supplier and user (i.e. giving advance information to bidder or vice versa)</p>	High	High	<p>Department manager reviews, checks &amp; signs the PR and approved/ disapproved by the signing authority; PR is supported by the Inventory Stock Status Report; Procurement is in accordance with the approved Procurement Plan/ Maintenance Plan.</p>	<p>The data available (i.e., Inventory Stock Status Report) is done manually with the help of MAXIMO or asset management system only in Line 2. Upgrading of MAXIMO to be capable of computer-generated reports will address this concern.</p>	<p>Result of the physical count of inventories should be reconciled with the data in the records of the Accounting Division and Internal Audit Office; Computerization and integration of accounting, audit &amp; asset management would strengthen controls.</p>
<p>Preparation of the canvass and comparative price/s matrix</p>	<p>GSD Procurement Team</p> <p>Materials Management Office</p>	<p>To ensure that proposed cost is within budget and Procurement Plan and on time delivery of the activity</p>	<p>Overpricing of amount, lost documents, PR is not acted upon or delayed action on PR</p>	Low	High	<p>Conduct of periodic coordination and monitoring meeting by the procurement team and end user; Close supervision of the process by the GSD Head</p>	<p>Timely completion of the activity but will not ensure a 100% efficiency.</p>	<p>Immediate implementation of Asset Management System (MAXIMO) for Line 1.</p>



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<b>2. Funds allocation and PR Approval</b>	Budget Officer	To ensure the availability of funds	Bribery, extortion, abuse of power, exercise of discretion	Low	High	Approved Annual Procurement Plan; Attendance in the periodic coordination and monitoring meetings of the procurement team and end user		
Approval of Purchase Request	Designated signing authority  Up to 100,000- Admin. or Planning Manager, Department Manager  Up to 100,000 to 500,000 Deputy Administrator  Above 500,000- Administrator	To provide the authority to purchase	Exercise of discretion	Low	Low	Approved Procurement Plan		
Preparation and assignment of Invitation to Bid (ITB) number	BAC Secretariat	For monitoring/ control purposes	None	Low	Low	NA		



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Assignment of tasks to buyers	BAC Secretariat	To avoid familiarity, collusion or preferential treatment to a particular supplier/ contractor	none	Low	low	Random assignment of tasks to buyers based on BAC Monitoring Sheet is a good practice	Good and unique practice on random assignment of task to buyers	
<b>3. Preparation of pre-bid bid documents</b> (bid documents issuance period, pre-bid conference and bidding date schedule or submission of bids in accordance with RA 9184); a. Sealed canvass (P50,001-P249,999) b. Public bidding (P250,000-below P2.0M) Note: Publish thru website, e-procurement c. Public bidding (P2.0M and above)	BAC Secretariat	To ensure transparent, systematic and organized bidding process	Leakage of information	Low	High	Documents (e.g., TOR, and other related bid documents) are reviewed by the TWG members	Insufficient controls to address the risk factor (i.e. leakage of information and connivance)	



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Note: Publication to at least two newspaper of general circulation								
Approval of prepared bidding documents	BAC Chairman	To ensure completeness, accuracy of bid documents	None	None	None			
<b>4. Preparation and issuance of bid documents to interested bidders</b>	Head, BAC Secretariat	To ensure proper and systematic dissemination of bid info to bidders	None	None	None			
Bidding proper: Conducts pre-bid conference for those for public bidding – P2.0M and above	BAC	To clarify gray areas of TOR and other documents	None	None	None			
<b>5. Opening of Bids and Prequalification of Bids</b>	BAC/TWG	To ensure transparency and regularity or process an only complying bidders are prequalified	Abuse of discretionary power during review of document to favor particular bidder	Low	High	Presence of external observers  Observers prepares diagnostic comments/report on process observed		None



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Preparation of request for technical evaluation  a. To end user if sealed canvass  b. To TWG if thru public bidding	BAC Secretariat	To trigger/ serve basis for technical evaluation by end user	None	None	None			
<b>6. Technical evaluation of bids</b>  a. End user if sealed canvass  b. TWG if thru public bidding	End user  TWG	To ensure compliance with specifications and requirements and terms of reference;  To validate authenticity and due execution of documents	Exercise of discretion of end user and/or TWG, e.g. Acceptance of documents even if not compliant	High	High	Evaluation is based on technical manuals & established procedures for testing & technical acceptance; Certificate of Acceptance issued by Administrator with reference to result of the technical evaluation; Actual site visits/ ocular inspection of requirements of issuing authority	Substantially complies with the requirement on check and balance. However, a third party with the appropriate technical expertise is recommended.	



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<b>7. Post qualification of bids documents</b>	BAC Secretariat	To facilitate the evaluation of bid in terms of validity/authenticity of legal documents and technical capability of offer/bid; To prepare/ consolidate evaluation result	Possibility of error/ misdeclaration of information in the consolidation of reports	Low	Low	Extensive review of documents, judicious examination of documents by the BAC	Role of BAC TWG balances the role of the BAC Secretariat	
Review and evaluation of results and recommends award of bids	BAC	To determine the advantageous bid for award	Giving undue advantage to preferred bidder	Low	High	Validation of all documents		
<b>8. Approval of Award of Bid</b>	Planning/ Admin Dept. Managers/ Deputy Administrator – up to P100,000 Deputy Administrator – P100,000 up to P500,000 Administrator – above P500,000	To give effect to the procurement of the item(s) from winning bidder	Delay in awarding of bid to winner	Low	Low	Evaluation of the bids is done by a BAC with assistance of TWG		



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Preparation of : a. Purchase Order(PO)/ Letter of Credit b. Contract	GSD  Legal	To notify the winning bidder of the award which will serve as a contract between the contractor and LRTA. Signing of the covenant with the supplier stated in the PO/contract.	Error in transferring of data from award endorsement to the P.O.	Low	High	Counterchecking of PO against endorsement by the GSD Manager		
Validation of issued budget	Budget Officer	To ensure the availability of funds	Bribery, extortion, abuse of power, exercise of discretion	Low	High	Preparation of Annual Procurement Plan; Attendance in coordination meeting with the procurement team		
Approval of Purchase Order	Signing authority	To give effect to the procurement of goods and services.	Delay in approval of P.O.	Low	Low	Data Tracking system		



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Issuance of Purchase Order to winning bidder or opening of L/C	GSD	To formally notify the bidder to deliver the procured items.	None	None	None	None		
<b>WAREHOUSING PHASE</b>  <b>9. Delivery of spares/items to the Warehouse</b>	Winning Bidder							
<b>10. Acceptance and Inspection of deliveries:</b> As to quantity- based on PO and Delivery Receipt As to specification and for testing- based on PO and Delivery Receipt	Warehouse Officer  GSD Property Officer Inspection Team End-user or designated technical inspection team	To ensure that the deliveries are in accordance with the specifications as per PO (quantity and quality) or Proforma Invoice (if thru L/C )	Deliberate and willful delivery of items not in accordance with the specifications in PO; low quality of goods; under delivery; acceptance of defective or poor quality goods; Bribery	High	High	Membership of inspection team from the different areas  Constitution of inspection team from different functional areas with internal audit as one of the members		





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<b>11. Testing of Item</b>	Quality Assurance Office End user			Low	High			
<b>12. Issuance of Certificate of Testing</b>	Quality Assurance Office	To ensure that items delivered conform to technical specifications	Fraud and Bribery	High	Low	Test plan and testing report		Testing should be observed by Audit Office
<b>13. Return of Item to Supplier</b>	GSD buyer	To facilitate return to supplier of rejected item	Bribery	Low	Low		Testing process validates the quality of item	
<b>14. Processing of payments</b>  Preparation of Disbursement Voucher (DV) and supporting documents	GSD buyer	To facilitate the payment of procured item(s)	Deliberate delay in the preparation of the DV either by concealment or omission of supporting documents	Low	High	Conducts periodic monitoring and coordination meeting with the Finance Dept; Refers to checklist of documentary requirements; Document Tracking System in place.	Adequate	



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Issuance of Budget Utilization Slip/ Certification of budget	Manger, Budget Division	To comply with the requirement of NGAS and to validate the previously approved budget allocation	Deliberate delay in the processing of payment	Low	High	Periodic monitoring and coordination meeting with the Administrative Dept.; Periodic conduct of systems audit.; Document tracking system in place		
Review of supporting documents	Accounting Staff	To comply with NGAS requirement and ensure the completeness of documents and availability of cash	Deliberate delay in the processing of the DV and deliberate omission of important documents	Low	Low	Monitoring and coordination meeting with the Admin. Dept.; Periodic conduct of systems audit; Document tracking system in place		
Certification as to completeness of documents and cash availability	Manager. Accounting Division	To comply with NGAS requirement and ensure the completeness of documents and availability of cash	Deliberate delay in the processing of DV and deliberate omission of important documents	Low	Low	Periodic monitoring and coordination meeting with the Procurement Team and Internal Audit staff; Periodic conduct of systems audit; Document tracking system		



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Forwards processed DV to approving authority	Accounting Staff	To transmit DV to signing authority and facilitate the tracking of disbursement voucher	Deliberate delay in the transmittal of disbursement document for approval	Low	Low	Document tracking system in place		
Approval of DV	Signing authority	To authorize payment of the expenditure	Deliberate delay in the approval of the DV	Low	Low	Document Tracking System in place		
Programming of cash and preparation of check	Treasury Division	To ensure that cash in bank is available at the time of preparation of check	Deliberate delay in the preparation of check; Giving preferential treatment to favored individuals	Low	Low	Data Tracking System in place; Updating and daily monitoring of cash position; Coordination with the bank		
Signing/Approval of checks	Finance Manager and designated signing authority	To approve the release of payment	Deliberate delay In the approval of checks	Low	Low	Data Tracking system in place		
<b>15. Recording of Item to bin card and MAXIMO</b>	GSD Materials Planning Office	To Information on items delivered and accepted are entered into the bin card	Misdeclaration of items	Low	Low		Bin and MAXIMO also checked by Accounting and Audit	Install MAXIMO in Line 1



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		and MAXIMO indicating item description, quantity, unit, serial number, property number for office equipment, furniture, fixture and semi expendables.						
<b>16. Issuance to end user</b>	Warehouse OIC	To prepare a Turnover/ Transfer Report (TTR) for spare parts, consumables, materials, system maintenance tools and equipment	Misdeclaration	Low	Low			End user to prepare written evaluation on performance or quality of item for input in the MAXIMO



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<b>DISPOSAL OF WASTE MATERIAL</b>  <b>17. Surrender of items for disposal</b>	End User  Stockman	To enable the proper disposition of residual, reusable or disposable materials.		Low	Low			
Prepares three (3) copies of Materials Requisition, Issuance and Return (MRIR) Report duly signed by approving authority	End user	To ensure proper documentation and accounting of actual materials requisitioned, issued and/or returned as well as enable the proper disposition of residual, reusable or disposable materials.	The returned parts may not be the exact item as described in the MRIR. Collusion or Misrepresentation and misdeclaration	Low	Low	Certification from end user's supervisor, Knowledgeable warehouse personnel, of the items subject for replacement to ensure that returned parts are unserviceable to avoid misdeclaration that it is a new part with the intention to pilfer after declared as unserviceable or for disposal		
Presents approved MRIR to Stockman then surrenders items for disposal.	End-user	For control/ monitoring and to properly set accountability for disposable items.						



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Assigns MRIR number based on the logbook numbering system.	Stockman	To properly record for monitoring and facilitate data tracking		Low	Low			
Forwards documents to Warehouse officer and assigns MRIR number based on the logbook numbering system		For verification by the Supervisor	None					
Reviews document and instructs the stockman to take custody of the items	Warehouse Officer	To ensure the correctness of the entry in the MRIR	None					
Claims the surrendered items for disposal from the end user	Stockman	To take custody of the defective parts subject for replacement and set proper accountability.						
Double checks the quantities of the surrendered items and signs the document	Warehouse OIC	To ensure the correctness of the received defective parts	Parts to compare With the returned parts may not be available.	Med	Med	Availability of samples of items, pictures, & other documents to support the verification of each returned item.		Develop a data base with photos of high value spare parts including repairable, recyclable parts



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Provides a copy of the MRIR to the End-user	Stockman	As proof of the proper turn over of items surrendered						
Receives a copy of the MRIR for documentation & filing	End-user	For future reference and audit verification						
Collects signed MRIR and distributes MRIR copies to Accounting & Materials Planning Office then posts transaction to the bin card & Materials Planning Information System.	Stockman	For the information of and recording of concerned offices						
Posts the MRIR transaction to the bin card & Materials Planning Information System	Stockman	To ensure that the transaction is correctly reflected on the warehouse records for monitoring and audit purposes						



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Prepares the Report of Waste Material (RWM)	Stockman	SOP in preparation for the disposal activity	May withhold the complete info as to the quantity or weight or volume of materials to be disposed	Medium	High			
Forwards the RWM to the Warehouse Officer for review.	Stockman	For review						
Review of RWM & forwards the RWM to GSD	Warehouse OIC	To ensure correctness of the report	May review the wrong information	Low	Low			
<b>18. Appraisal of Waste by Disposal Committee</b>		To ensure the systematic and efficient disposition of unserviceable spare parts, equipment and materials and obtaining an appraisal value most advantageous to the government	Pilferage	High	High	Audit and Waste Material Inventory mechanism		Construction of a secured storage area for disposable materials with value to avoid deterioration





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Notify the Disposal Committee Re: RWM	GSD	SOP relative to the disposal activity						
Initiates and requests the assistance of Engineering Division for the inspection & verification of materials for disposal	GSD	For proper coordination/information dissemination						
Notifies concerned offices of the inspection	GSD	For proper coordination/information dissemination						
	Inspection Team (IAO, GSD, ENGG, ACCTG)	To check and verify the report submitted.	Abuse of discretion and power	Low	Low			
<b>19. Issuance of Certificate of Disposal</b>	Disposal Committee	To provide approval for the disposal of waste material	Abuse of Discretion	Low	Low			
Prepares the inspection report and forwards the reports to the GSD	Inspection Team	As proof of inspection and verification						



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Notifies the Disposal Committee of the result of the inspection & prepares a draft memorandum for their signature - attached are the inspection report - summary of canvassed prices of waste materials (basis of appraisal cost)	GSD Property Officer	To provide all the necessary information and documents relative to the review	Misdeclaration of information	Low	Low			
Reviews and signs the Memorandum/Appraisal, Report of disposable materials	Disposal Committee	To check correctness of information as reflected in all the submitted reports						
Forwards the Report to the Administrator for approval	Disposal Committee	To get the approval and comment/s of the approving officer						



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Approves the Report of Disposal returns the Report to the Disposal Committee	Administrator	To ensure that all proceedings and documentation is in accordance with government accounting and auditing rules and regulations.		Low	Low			
Instructs the GSD Property Section to prepare the disposal program/schedule	Committee	For a coordinated activity						
Prepares the disposal program/schedule & forwards it to the Committee for approval	GSD Property Officer	To guide and implement the disposal activity in an orderly manner						
Approves the disposal program/schedule  - forwards the disposal report and program to the BAC Secretariat	Disposal Committee	To ensure that the disposal activity are properly coordinated and monitored						



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Prepares for the auction of the waste material	BAC Secretariat	As responsible office in the bidding of the materials approved for disposal	Bribery	Low	Low			
Inspection of waste material by bidders	GSD Property Officer and bidders	To ensure that the materials subject for disposal are shown and inspected by the bidders themselves		Low	Low			
Secure bidding documents, bidding instructions, bidding schedule etc.	Bidders	To ensure that all documents/ instructions are provided to avoid confusion and disqualification		Low	Low			
<b>20. Bidding Process</b> <b>Opening of Bids</b>	BAC Secretariat	SOP after all pre bidding requirements are met.	Bribery	Low	Low			



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Evaluation of Bids	BAC Secretariat	To ensure that bids are properly and thoroughly studied to get the best offer possible.	Bribery	Low	Low			
Reviews and Recommends the Awarding of Bid	BAC	After the review of the evaluation, recommendation for approval is in order						
Approves the Award Endorsement	Administrator	To ensure that bidding procedure has been met and bid offer as recommended is favorable to government		Low	Low			
Forwards the Award Endorsement to GSD Notify the winning bidder and instruct to pay the full amount to the LRTA Treasury Pays the full amount and secures the Official	BAC Secretariat GSD Property Officer Bidder	For proper dissemination of information To comply with bidding requirements						



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Receipt. Presents the OR to the GSD Gets a copy of the OR, issue the hauling instructions, Prepares the Notice to Proceed for the signature of the Disposal Committee Chairman	GSD Property Officer	As proof of full payment as required prior to preparation of all necessary post bidding documents						
Approves the Notice to Proceed. Forwards the Notice to Proceed to the GSD	Disposal Committee Chairman	To ensure that all guidelines in the withdrawal of the disposable materials are complied		Low	Low			
Notify the winning bidder of the approved Notice to Proceed. Provides a copy of the same Prepares the Gate Passes. Coordinates, provide a copy of the Award Endorsement, OR, Report of Waste Material/List of Disposable materials, Notice to Proceed &	GSD Property Officer  GSD Property Officer	As proof of approval to start the hauling activity  To ensure that coordination with all concerned offices are done and all withdrawal/hauling procedures are met. Gate passes	Collusion	Low	Low		Gate pass signed by GSD Manager	



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Schedule of Hauling to IAO, CSO & Engineering		are numbered for control, monitoring and recording purposes						
Signs the Gate Pass	Secures the Gate Pass from GSD	Bidder	Compliance to hauling procedure	Low	Low			
	GSD Manager/Admin Manager	Ensure all withdrawals are covered with gate passes.						
- forwards approved Gate Pass to GSD	CSO Chief							
Coordinates with IAO, CSO, Private Security for hauling activity and inspection based on approved hauling procedure and schedule	GSD Property Officer	To ensure that hauling activities are coordinated with other concerned offices.						
Inspection and monitoring of the hauling activity	Representatives from IAO, GSD, CSO, Private Security Agency	For control and inspection purposes.	Connivance to pilfer materials, equipment both serviceable and unserviceable resulting to losses.	Medium	High	Tight Audit inspection and monitoring	Ensure that hauled waste materials are properly marked, labeled, or Identified	Hauling will be done from designated areas only or storage area. Identification and labeling of waste materials



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Prepares Certificate of Completion after hauling of all materials are completed	GSD Property Officer	As proof of the completion of the hauling activity.						
Presents the Certificate of Completion and claims bid bond GSD processes the bid bond claim	Bidder GSD Property Officer	As proof to claim the bid bond						
Provides Accounting, IAO and COA all documents relative to the disposal of waste material	GSD Property Officer	To ensure that proper accounting and auditing of the disposal.						





## LRTA CVA Issues Worksheet

ISSUE/VULNERABILITY AREA	INITIAL ASSESSMENT/PRIORITY	STRATEGY (What information do you need to analyze the issue and how do you intend to get it?)		
		PERSON TO INTERVIEW	DOCUMENTS NEEDED	AREAS TO BE VISITED
PROCUREMENT	Preparation of Purchase Request and TOR	Engr. Federico Canar OIC, Engineering & Operations Department, Line 1	APP Sample TOR and Purchase Request Maintenance Plan	LRTA Depot, Pasay
	Preparation of Bid Documents	Mr. Eduardo A. Abiva BAC Secretariat Chairman	PR Bid documents Manual on Procurement	LRTA Depot, Pasay
		Mr. Lino Morales BAC Secretariat		LRTA Depot, Pasay
BUDGET	Budget Availability	Ms. Prima M. Tapia OIC, Financial Planning & Budget Division		LRTA Depot, Pasay
INSPECTION/ACCEPTANCE	Compliance with Specs	GSD – Ms. Estella Boquiren Supervising Property Officer	Reports	LRTA Depot, Pasay
	Testing of Parts	Engr. Santos Abrazado Engr. Roger Cabanilla Principal Engineer		LRTA Depot, Pasay
WAREHOUSE		Mr. Maynard Tolosa Chief Materials Planning Office	Reports and Transaction Forms	LRTA Depot, Pasay
PAYMENT	Cash Availability	Finance Manager Ms. Marilou B. Liscano	Financial Records, Ors, Vouchers	LRTA Depot, Pasay
		Accounting Manager Ms. Evelyn Macalino		LRTA Depot, Pasay
		Treasury Chief Jenilyn Malapo		