

**SMALL BUSINESS CORPORATION
TERMS OF REFERENCE**

I. PROJECT TITLE: COMPREHENSIVE RISK MANAGEMENT TRAINING FOR THE DEVELOPMENT OF THE RISK AND OPPORTUNITIES REGISTER OF SB CORPORATION

I. PROJECT DESCRIPTION

The Small Business Corporation (SBCorp.) is contracting the services of a qualified and proficient Trainor/Facilitator in the development of the risk and opportunities register of core business, support, and governance units' processes.

II. SITE

Small Business Corporation at 17/18/19 Flrs. 139 Corporate Center, 139 Valero Street, Salcedo Village, Makati City.

III. PROJECT OBJECTIVES:

The Small Business Corporation is implementing a risk-based framework in its processes and services delivery and is geared toward achieving a robust risk-based perspective where risk management is not treated in isolation but must be embedded in its regular operations. It shall adopt an integrated operational risk management framework that will ensure its safe and sound operations aligned with the corporate strategy and consistent with existing regulatory issuances under BSP Circular No. 900 Series of 2016, Guidelines on Operational Risk Management.

A comprehensive risk mapping and profiling model has to be developed that relates clearly to organizational performance with risk management, an integrated methodology for the identification, prioritization and mitigation of risks which is the fundamental element of an effective operational risk management system. Risk identification and assessment allows the corporation to better understand its risk profile and allocate risk management resources and strategies more effectively. Since the business lines are expected to have the best knowledge of their risk exposures and processes, these units should play a major role in the identification and assessment of operational risks.

The project has the following objectives:

- 1) Conduct of comprehensive training/workshop to enhance the risk and opportunities register and develop the same for groups/units/departments with the end view of establishing a corporate risk profile for SB Corp;

- 2) Understanding risk management principles and concepts across all units including hands-on experience in accomplishing and determining the nature, content and use of the risk matrix;
- 3) Equip participants with the methodologies and tools necessary to conduct comprehensive risk assessment and mapping of risk profiles;
- 4) Develop highly effective risk decision-makers and institutionalization of the risk management process - able to identify, analyze and manage risk and opportunities to ensure optimal performance level for SBCorp.

IV. EXPERTISE REQUIRED OF TRAINER/FACILITATOR

1. The Trainor/Facilitator shall provide its company profile highlighting related projects, scope of work and implementation methodology. Curriculum vitae of the proposed Trainor/Facilitator shall also be submitted.
2. The Trainor/Facilitator is accredited in risk management activities by a national accreditation body (or similar body) recognized by the Philippine government.
3. The Trainor/Facilitator shall provide a full report of the approved scope of work/deliverables to SBCorp within three (3) working days after the conduct of the said training.
4. The Trainor/Facilitator shall satisfy the following:
 - a. Provide the required training materials and **deliver the same at an appropriate venue or mode (*hybrid virtual and F2F*)** consistent with the prevailing health emergency situation;
 - b. Must have the relevant sector-specific experience (i.e. **MSME financing/credit delivery; information technology systems development and management**) which may apply to the scope of the subject activity;
 - c. With actual hands-on experience in government financing institutions or GOCCs implementing a risk-based credit delivery program;
 - d. Ensure a consultative process with risk owners in the development/enhancement of the risk register matrix.
 - e. Develop appropriate documents for units/departments/groups, assess and enhance the existing documents of units/departments/groups and submit a complete set of accomplished risk register matrix as final output;
 - f. All information reviewed and recorded by the Trainor/Facilitator shall be treated with strictest confidence at all times and will remain the property of the SBCorp.

5. The Trainor/Facilitator shall have the following minimum qualifications:

- a. With a demonstrated expertise in the delivery of trainings for clients implementing programs related to **credit delivery and information technology** (*i.e. systems development and management*);
- b. With at least 5-years work experience or training engagements in risk management related framework as supported by a **Certificate of completed engagements**;
- c. Proven risk managerial competencies for the delivery of trainings to banks or GOCCs/GFIs.

V. SCOPE OF SERVICES AND TIMETABLE

The Trainor/Facilitator is expected to provide the following services/expected outputs:

Timeline	Services / Expected Outputs
<p>1. Provide training materials within 5 days prior to the conduct of activity</p>	<p>1. Prepare and submit soft copy (PDF file) of the training materials</p> <p>2. Delivery in two levels:</p> <ul style="list-style-type: none"> ▪ Capacity Building a) Comprehensive Risk Management principles and concepts with broad subject areas, but not limited to the following: <ul style="list-style-type: none"> • Integrating risk management into organizational structures • Designing a framework for managing risk that fits the organization’s context • Implementing the risk management framework • Evaluating the effectiveness and continually improve the suitability and adequacy of the risk management framework • Demonstrating leadership and commitment (top management) • Risk Management in Information Technology; • Developing Risk Management Strategy • Managing Risk Response

	<ul style="list-style-type: none"> • Managing Risk Assurance and Reporting; and ▪ Workshop – to be conducted with groupings identified (i.e. <i>lending and support groups</i>) with specific output in the identification of operational risks and IT/systems risks; ▪ <u>Technical Guidance</u> <ul style="list-style-type: none"> ○ Coaching and mentoring <p><i>Note: The final output should reflect the relevant risks inherent to each process/groups consistent with SB Corp's delivery of online credit services, and prevailing environment/organizational context.</i></p> <ol style="list-style-type: none"> 3. Certification of participants after the conduct of training (E-copy of Certification of Attendance/ Completion) 4. Provide the Online Link Platform (for regional pax)
<ol style="list-style-type: none"> 2. Provide a work program detailing the conduct and final submission of the deliverables 	<ul style="list-style-type: none"> ▪ (i.e. <i>Training/capacity building and technical assistance</i>)
<ol style="list-style-type: none"> 3. Submit the desired final output within three (3) working days after the conduct of the training/workshop. 	<ul style="list-style-type: none"> ▪ Prepare and submit the critiqued risk register of all participating units/department/groups including a corporate risk profile ▪ Conduct regular consultative meetings within the duration of the technical assistance period; and ▪ Prepare and submit training report detailing the relevant outputs, corporate risk profile, observations, opportunities for improvement and compliance with standards; suggestions on how to address improvements

VI. ENGAGEMENT FEE

The cost of engagement shall not exceed Pesos: **TWO HUNDRED THOUSAND PESOS (P200,000.00)** inclusive of VAT. Payment shall be based on the completion of the following activities as evidenced by the submission and acceptance of the required deliverable for SB Corp:

- Conduct of training

- Technical guidance
- Issuance of training certificate
- Submission of final desired output

Payment schedule based on scope of work

Activity	Estimated No. of Days	Percent (%)	Required Outputs
a) Contract signing with SB Corp	0	10%	Signed contract; submit Training design on Comprehensive Risk Management
b) Conduct of Capacity Building for the Comprehensive Risk Management Training Program	2	40%	30 participants knowledgeable on principles of risk identification, assessment, monitoring and management; effective use of risk assessment tools on a routine basis;
c) Technical guidance in the development of the risk registries	4	50%	Participants were guided through coaching/mentoring in the effective analysis/understanding, identification and assessment; corrected risk registries reflecting the relevant risks events;
d) Submission of desired final output; Issuance of Certificate of Completion			Critiqued/cleaned up risk registries, relevant to current IT systems/modules and credit delivery of SB Corp; Certificates of training completion awarded to 30 pax
Total	6	100%	

VII. CONTRACT PERIOD

The contract term for the service described in this Terms of Reference shall be for a period of **10 days** from the date of the official notice issued by the SB Corp. It is expected that the Trainor/facilitator shall initiate the services not later than five (5) calendar days after receipt of the Notice to Proceed.

VIII. DOCUMENTARY REQUIREMENTS FOR SUBMISSION TO SBCORP

- Company Profile of trainor/facilitator
- Copy of Business/Mayors Permit
- Copy of BIR Registration
- Copy of SEC Registration
- Proposal for Risk Management Training and Quotation (revised)

- PhilGEPS Registration
- Certificates of Engagement Completed by consultant/s

IX. CRITERIA FOR EVALUATION (to prepare)