

Guidelines on the Use of Enterprise Operations Assessment Tools and Preparation of the Capacity Development Plan

SCOPE/COVERAGE

This capacity building guidelines provides the framework and process by which I-REAP Component identifies interventions for the agriculture and fishery enterprises of the PRRDP to develop their capacity and competitiveness.

This document covers procedures in enterprise assessment, training needs analysis, swot analysis, financing assessment and matching, and preparation of capacity development plans of an enterprise. This will also provide the procedures in providing interventions and monitoring on the implementation of the capacity development plan.

OBJECTIVES

The overall objective of this tool is to ensure sustainability of agriculture and fishery enterprises by providing capacity building interventions that would address gaps in moving up to a higher level.

Specifically it aims to achieve the following:

1. Consolidate the identification and provision of interventions to develop and enhance capacity of agriculture and fishery enterprises to optimize market opportunities.
2. Craft capacity development plan based on the result of assessment to further enhance the business operations of the enterprise.
3. Facilitate the implementation of interventions identified in the Capacity Development plan.
4. Monitor operation and development of enterprises as they move to a higher level.
5. Evaluate the impact of the capacity development interventions.

USERS OF THE GUIDE

This guidelines is intended for the project implementers of PRDP I-REAP from the National Project Coordination Office (NPCO), Project Support Offices (PSOs), Regional Project Coordination Offices (RPCOs), P/C/MPMIU that provides necessary intervention to the beneficiaries of the project. This may also be used by the FCA/FCA clusters for their self-assessment to evaluate their needs and later on develop a Capacity Development Plan which includes all the necessary interventions whether skills training or non-skills training interventions to ensure enterprise sustainability.

RECIPIENTS/ BENEFICIARIES

Prior to and during implementation, the technical assistance through the use of this tool will be provided by PRDP to the FCA/FCA Clusters or partner FCA in cases where LGU is the implementing proponent to develop knowledge, skills and attitudes of the agri-fishery enterprises and build their capacity to implement the PRDP I-REAP subprojects into sustainable enterprises.

1.1 Assessment of Enterprises

1.1.1 Identification of Enterprises to be Assessed

The RPCO shall conduct enterprise assessment to all FCAs involved in the proposed subproject, regardless of the identified implementing proponent. Specifically, lead FCA, FCA cluster members, and the FCA Co-Manager where the LGU is the implementing proponent will also be subjected to the assessment, using the Enterprise Assessment tool (EAT) (See Appendix 1-A)

1.1.2 Assessment of Enterprise Business Operations and Conduct of Training Needs Assessment

Before the start of the actual assessment, the respondents have to be properly informed of the objectives of the assessment and how it will help their enterprise. The assessment will be done on-site through interviews of key officers and management staff. The interview may be done individually or through a canned group or focused group discussion (FGD) based on the enterprise component. If FGD will be used in data gathering, a facilitator, documenter and rapporteur needs to be assigned among the members of the team conducting the assessment.

The enterprise will be assessed using the Assessment Tool looking into five business aspects: operations, organization and management, finance, marketing and sustainability and inclusivity. Simultaneously, a Training Needs Assessment (TNA) will be done to develop a capability building plan that will form part of the 3-year Capacity Development Plan. The TNA will be done to the individual staff of the enterprise using the TNA tool (Appendix 1.C).

1.1.3 Conduct of Financing Assessment and Matching (FAstMatch)

As part of the Scale-Up process of I-REAP, the RPCO shall also conduct the financing assessment and matching (FAstMatch) to the FCA/FCA Cluster using the Financing Assessment and Matching (FAstMatch) Toolkit (see Appendix 1-D). The Assessment Tool will provide information on the ability/capability of the enterprises/cooperatives in accessing the lending programs of the government/private banks. It covers the key aspects of the assessment, i.e., organization, finance and marketing criterion. For each of the statements, the assessor will need to consider if the organization is in line with the set criteria of the lending institutions. By the end of this assessment, the project will be able to identify the financing readiness of the enterprise/s and cooperative/s.

The Financing Matching Toolkit will document the profile of the SMEs, its financial and marketing capability and match it with the different programs of the financial institution for possible financing. The Project proposal will also form part of the assessment. Results of the Assessment may allow linkage of qualified FCA to FIs (such as Development Bank of the Philippines) for their financial requirements i.e. equity and enterprise operations and management. If not qualified, the result of the assessment will be included as reference in developing the Capacity Development Plan.

1.1.4 Instruments to be Used for Enterprise Assessment and Financing Assessment and Matching Toolkit

KoboTool/Kobocollect will be used as the medium to collect the information needed into this assessment.

What is the KoBo Toolbox?

KoBo Toolbox is a free open-source tool for mobile data collection, available to all. It allows you to collect data in the field using mobile devices such as mobile phones or tablets, as well as with paper or computers. It is being continuously improved and optimized particularly for the use of humanitarian actors in emergencies and difficult field environments, in support of needs assessments, monitoring and other data collection activities. The adaptation of KoBo Toolbox for humanitarian use is a joint initiative between OCHA, Harvard Humanitarian Initiative (HHI) and the International Rescue Committee (IRC).

Why would I collect data like this?

It is faster. Data does not need to be transcribed from paper to computers before it can be analyzed. Some analyses can be applied within minutes of the data being collected

It is more accurate. Enumeration errors are minimized because of the data validation that can occur in real time as data is collected. Transcription errors are entirely eliminated.

It is optimized for humanitarian work. It works offline, is easy to use (requires no technical knowledge to manage and enumerators can be trained within minutes), and can be rolled out rapidly in even the harshest or remotest situations. If all else fails, paper forms can be used as a backup and integrated with other data.

Why would I use KoBoToolbox?

It is based on OpenDataKit (ODK). Acknowledging that many agencies are already using ODK, a de facto open source standard for mobile data collection, KoBo Toolbox is fully compatible and interchangeable with ODK but delivers more functionality such as an easy-to-use formbuilder, question libraries and integrated data management. It also integrates other open-source ODK-based developments such as formhub and Enketo.

It is fully supported. The implementing partners are committed to providing support for the platform, not just to help you use it and to fix any bugs, but to continue its development and regularly add new features, including ones which you suggest.

It is free. All humanitarian actors can create accounts on the dedicated server and use them without limitations on data or time. Organizations can also install it on their own servers or directly contribute to its further development.

It is easy. It supports the full data collection cycle - form design, data collection and analysis – in a user friendly manner.

1.1.5 Conduct of Strategic Planning

Strategic planning is done by an FCA/FCA Clusters when: a) looking at new markets to enter; b) planning growth and overall business strategy; c) dealing with competitors; d) creating action plans; e) choosing between different strategic investments; and f) predicting uncertainty in the future.

Undertaking strategic planning before the preparation of the capacity development plan will help the enterprise to be more realistic in setting-up plans and targets. Strategic planning will be done using Internal and External Assessment or what is commonly called SWOT Analysis using the template in Annex 4.

1.2 Preparation of the 3-Year Capacity Development Plan

The result of the enterprise assessment, training needs assessment and the SWOT Analysis will be processed and analyzed to come up with a Capacity Development Plan (CapDev Plan). The CapDev plan will serve as the strategic plan of the enterprise that will identify needed interventions to ensure sustainable business operation. As needed and when available, the assessment team may also revisit the enterprise's development or strategic plan to ensure alignment and continuity.

The template (Appendix 1-F) for the preparation of the CapDev Plan has to be presented to the representatives of the enterprise being assessed. Based on the results of the enterprise assessment and TNA, the areas of concerns/issues, activities to address the concerns/issues, timeframe, responsible office/person, estimated cost for the implementation of the activities, and service providers have to be identified. The plan may be composed of interventions on the enterprise's capability building (training), market expansion, product development, financing, and facilities upgrading among others.

It is important that the training needs of the management and employees of an enterprise are identified, strategic planning is done, and training modules/options are determined and assessed to complete the capability building plan that will be part of the capacity development plan for the enterprise. Menu of training is presented in Appendix 1.G as well as the possible training providers to be tapped to provide the necessary interventions in Appendix 1.H.

1.3 Implementation of the Capacity Development Plan

The Capacity Development Plan (CapDev Plan) for the enterprises shall be prepared and shall form part of the guidelines for implementation. Depending on the result of the enterprise assessment, the interventions may be provided through the following:

- 1.3.1 *Access to Market.* Enterprises will be linked to potential buyers to expand their market outlets. They will also be assisted in the promotion of their products through participation in trade fairs and exhibits, business to business matching (B2B), in-store promotion, market testing, etc. The implementation of this intervention will follow the Guidelines on Product Promotion.
- 1.3.2 *Capability Building.* Officers, staff and employees of enterprises will be provided with capability building by assisting them in their participation in seminars, training, orientations, learning exchanges, cross visits, and others. The capability building activities will enhance their knowledge and skills on enterprise management. The training to be provided depends on the result of the enterprise assessment and the TNA conducted. Menu of training modules per maturity level is presented in Appendix 1.G.
- 1.3.3 *Access to Credit.* Enterprises will be linked to financing conduits and financial Institutions such as the Agricultural Credit Policy Council (ACPC), Land Bank of the Philippines, Small Business Corporation among others for their working capital requirements.
- 1.3.4 *Access to or Provision/Repair of Postharvest, Processing and Marketing Equipment, Facilities and Infrastructures.* Enterprises may be provided with support facilities to improve/upgrade their operations. Requirements and procedures for the provision/repair of equipment, facilities and infrastructure shall follow the Guidelines on the Provision of Market Infrastructure.
- 1.3.5 *Product Development.* Enterprises will be provided with technical and financial assistance in the development of their products to include but not limited to packaging, labeling, brand development, etc.
- 1.3.6 *Assistance in Enterprise Business and Product Registration and Certification.* As needed, enterprises will be provided with technical and financial assistance in registering their businesses and products with appropriate regulatory agencies, including acquisition of License to Operate (LTO) with the Food and Drug Administration (FDA), product registration/certification including laboratory analysis (microbial, nutritional facts, shelf life), Intellectual Property Office (IPO) Philippines Trademark application, among others. Beneficiaries of FDA-LTO assistance should have existing facilities and equipment that are ready for FDA inspection and application.
- 1.3.7 *Business Counseling.* A one-on-one coaching and mentoring will be done to the identified enterprises. Monthly field monitoring will be done which will also serve as the avenue for the business counseling.

I-REAP will take the lead in assisting the enterprises in the implementation of the capacity development plan. I-REAP will coordinate with concerned DA agencies, other government agencies and non-government agencies. I-REAP will facilitate the provision of the interventions identified in the plan. Appendix 1.H. provides the list of possible partner agencies.

I-REAP will closely monitor the implementation of the CapDev Plan and will provide coaching and mentoring, as needed, to ensure that the enterprise will graduate to a higher maturity level.

1.4 Monitoring of the Implementation of the Capacity Development Plan

The implementation of the interventions identified in the CapDev Plan will also be monitored using the monitoring tool in Appendix 1.I. The monitoring will provide status on the accomplishment of the identified

interventions and the support service provider. Monitoring of the implementation of CapDev Plan will be done on a quarterly basis. On the other hand, the evaluation of the implementation of the CapDev Plan will be done after 3 years to determine the impact of the implementation of the CapDev Plan on the business operation of the enterprise. Areas to be considered in the conduct of impact assessment include: increase business management skills, increase enterprise income, increase access to markets, product improvement/development and number of enterprises moving to a higher maturity level.

1.1 Assessment of Enterprises

Enterprise Assessment Tools has two (2) parts:

Part I: Enterprise Assessment for FCAs

Part II: Enterprise Assessment - Clustering of FCAs (only applicable if the FCA is a Lead or member of a FCA Cluster)

1.1.1 Identification of Enterprises to be Assessed

The I-REAP Component of Philippine Rural Development Project shall assess the capacity development requirements of the Farmer Cooperatives and Associations (FCAs) to be involved in the I-REAP subproject. All FCAs (including Lead FCA and FCA cluster member- for FCA cluster and FCA Co-Manager of the LGU) will be subjected to enterprise assessment. This will be done during the subproject validation process.

1.1.2 Assessment of Enterprise Business Operations and Conduct of Training Needs Assessment

Before the start of the actual assessment, the respondents have to be properly informed of the objectives of the assessment and how it will help their enterprise. The assessment will be **done on-site through interviews of key officers and management staff**. The interview may be done individually or through a canned group or **focused group discussion (FGD)** based on the enterprise component. If FGD will be used in data gathering, a **facilitator, documenter and rapporteur** have to be assigned among the members of the team conducting the assessment.

The enterprise will be assessed using the **Enterprise Assessment Tool** looking into five business aspects: **operations, organization and management, finance, marketing and sustainability and inclusivity**. Simultaneously, a Training Needs Assessment (TNA) will be done to develop a capability building plan that will form part of the 3-year Capacity Development Plan. The TNA will be done to the individual staff of the enterprise using the TNA tool.

A. BASIC ENTERPRISE INFORMATION

Name of Enterprise : _____
Enterprise Address : _____
Contact Number(s) : _____
Facsimile No. : _____
Email address : _____
Website : _____
Contact Person : _____
Position : _____
Telephone No. : _____
Mobile Number : _____
Major Business Activity : _____

Instructions:

*The evaluator shall accomplish the tool. Indicate the score or the percentage weights based on the scoring system for the tool to indicate the level of compliance with indicators listed below. If compliance could not be determined for a particular indicator, mark the column as "NA" or Not Applicable. **Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.***

[RATING:

- 5– **Excellent (100%)** - Always compliant with all the statements and/or properly implemented
- 4 – **Very good (80%)**- Mostly compliant with the statements and/or properly implemented
- 3 – **Good (60%)**- Compliant with some of the statements and/or partially implemented
- 2 – **Need slight improvement (40%)**- Rarely compliant with the statements and/or with minimal implementation
- 1 – **Needs Improvement (20%)**- Mostly not compliant with the statements and/or not properly implemented
- 0 – **Inexistent/Non-compliant (0)**

SAMPLE RATING			
RATING	COMPLIANCE		
Production – Indicator #1	Presence of indicators	Quality	Implementation
5– Excellent (100%) - Always compliant with all the statements and/or properly implemented	Farming policies & procedures	complete	orientation
4 – Very good (80%) - Mostly compliant with the statements and/or properly implemented	/	/	/-
3 – Good (60%) - Compliant with some of the statements and/or partially implemented	/	/	x
2 – Need slight improvement (40%) - Rarely compliant with the statements and/or with minimal implementation	/	/-	X
1 – Needs Improvement (20%) - Mostly not compliant with the statements and/or not properly implemented	/	X	X
0 – Inexistent/Non-compliant (0)			

Document verification should be done, as applicable

Decision Method: Sum of the Scores/Total Number of Questions

***Result will be Round Up to the nearest Score**

Needs Improvement- those proponent groups that will fall under this rating will be subject for intensive strengthening depending on the aspect that they need

Moderately Satisfactory- these are proponent groups that are mostly compliant to the assessment criteria but still need improvement

Satisfactory- these are the proponent groups that have established strength in terms of assessment criteria

PART I. ENTERPRISE ASSESSMENT FOR FCAs

B. ASSESSMENT AREAS

1. ORGANIZATION AND ADMINISTRATION. This section will focus on evaluating the **human resources policies** and **enterprise management systems** and **processes** in the organization. It also measures the organizational **direction, plans**, operational systems and **policies, leadership and management, governance, compliance to legal identity** and reportorial requirements, etc. all that is **related to what goes on within the organization.**

Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
A. LEADERSHIP AND GOVERNANCE								
VISION , MISSION AND GOALS AND CORE VALUES AND POLICIES								
1. Vision, mission, goals and core values of the enterprise are well defined and communicated to all (officers, members, management staff and employees).	0	1	2	3	4	5		-Presence of the indicators (VMGO) -Total population of the organization with awareness on the organization's VMGO
2. Communication system thru internal process flow policy exists within the enterprise (among officers, members, management staff and employees).	0	1	2	3	4	5		-Presence of Policy in terms of communication system -Total population of the organization with awareness on its policy on communication system
3. The problem resolution is carried through existing written conflict management policy and a functional Grievance Redress Mechanism (it involves the concerned individuals or groups).	0	1	2	3	4	5		-Presence of conflict management policy -Functional GRM -level of implementation (strictly implemented, partially implemented rarely implemented)

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
4. With written, updated, adopted, applied Enterprise Operations Manual that is being adapted/used	0	1	2	3	4	5		-Presence of the EOM -Quality of the EOM(completeness) -Level of implementation (strictly implemented, partially implemented rarely implemented)
5. Defined, updated and posted enterprise structure and design.	0	1	2	3	4	5		-Presence of enterprise structure and design -Quality of the structure and design (appropriate and compliant to the structural needs of the establishment)
6. Accountabilities of officers, members and management staff are clear, written and executed in accordance with the operation manual	0	1	2	3	4	5		-Presence of a written manual that defines the role and responsibilities of the officers, members, and management staff. -Awareness of the officers, members, and management staff with their roles and responsibilities.
7. The enterprise has complete files (hard/printed copy and electronic copy) of the organization documents (<i>i.e. minutes of all meetings,</i>	0	1	2	3	4	5		-Implementation of organizing documents in the organization.

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
<i>resolutions, incoming and outgoing communications, BP, EOM, written and updated Operational Plan, Reports, etc.)</i>								-Completeness of the organization’s important documents
8. Aware of how corruption generally manifests itself in their type of organization	0	1	2	3	4	5		Awareness of the total population of the organization related to corruption.
9. Officers, staff and members have a clear view on its plans and priorities	0	1	2	3	4	5		-Presence of planning and prioritization in the organization together with the members, staff and officers to set its short term and long term goals -Population of the organization who are well aware of the organization’s plan and priorities.
B. HUMAN RESOURCE MANAGEMENT								
1 Salaries and benefits given to employees are in accordance with the Labor Code of the Philippines.	0	1	2	3	4	5		-The organization is compliant to the Labor Code of the Philippines -Population of the staff receiving salaries or benefits in accordance with Labor Code of the Philippines
2 The officers, members, management staff and employees are well informed about his/her position and remuneration.	0	1	2	3	4	5		Total population of the organization that are well aware of their position and its corresponding remunerations

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
3 The officers, members, management staff and employees is well informed of the hiring and firing policy of the enterprise.	0	1	2	3	4	5		-Presence of hiring and firing policy of the organization -Total population of the organization that are well aware of its hiring and separation policy.
4 With policy on equal opportunity for hiring (locals, out-of-school youth, PWD, gender-specific and religion/culture-specific individuals).	0	1	2	3	4	5		-Presence of policy on equal opportunity in the organization -Total population of the organization that are well aware of its policy on equal opportunity
5 The enterprise has training program or continuous education for their employees, officers and members that will contribute to the improvement of its business operation	0	1	2	3	4	5		-Presence of Training Program of provision of continuous education for members, employees, and officers in the organization - Level of implementation; how many of the target beneficiaries of the Target Program have provided it.
6 There is sufficient (young) people available to become executive managers or officers when the current executives retire.	0	1	2	3	4	5		Among the existing number of key officers in the organization, at what percentage is the number of young people who will be the next generation of

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
								officers and managers.
7 The organization select and appoint its executives or officers based on their qualifications.	0	1	2	3	4	5		-Presence of eligibility requirement specified in the Operations Manual of the organization in selecting or appointing key executives. -Level of implementation; how many of its current executives have met the qualification criteria as set in their Operations Manual.
8 Organization is able to find and attract the right employees that it needs.	0	1	2	3	4	5		-Does the organization has sound hiring process? -Level of implementation; How many of its existing employees have met the qualifications based on the job posting?
9 Instituted regular performance assessment of its employees	0	1	2	3	4	5		-Does the organization conduct a regular (annual/semi-annual/quarterly/monthly) performance assessment? -Based on the existing number of its employees, how many have been regularly assessed.

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
10 Keep proper records of its employees and members of organization								-Presence of Recording Book that contains the summary information of its employees and members -Completeness of their recording; does all the members and employees with their basic information is written in the Recording Book
FINDINGS AND RECOMMENDATIONS: Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.								

2. ENTERPRISE OPERATIONS. This section looks into the key components of enterprise operations from processes and procedures, use of facilities and equipment and adoption of technologies.

NOTES:

For Production/Farming type of Enterprise answer only items in letter A numbers 1-9

For Processing type of Enterprise answer only items in letter B numbers 1-14

For Custom Service type of Enterprise answer only items Nos. 2.60 – 2.73

For Consolidation and Marketing Type of Enterprise answer only Items Nos

For Integrated type of Enterprise choose among letters A, B or C on the appropriate business activity that the enterprise is undertaking. Answer all the items in the selected business activity

Letters D, E and F should be answered by all respondents regardless of type

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
A. PRODUCTION/FARMING								
1. All the officers, members, management staff and employees were oriented and familiar with the production/farming policies and procedures								-Presence of the production and farming policies. - Total population of the organization that

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
								<i>were oriented and are familiar on its policy on production/farming procedures.</i>
2. The operations of the enterprise are in accordance to the approved Business Plan or any written documents indicating the operation of the enterprise	0	1	2	3	4	5		-Presence of Business Plan and/or Enterprise Operations Manual -Level of implementation (strictly compliant to the BP/EOM; partially compliant to the BP/EOM; rarely compliant to the BP/EOM; non-compliant at all)
3. Information on the list of producers (members and non-members) involved in the production are complete and updated	0	1	2	3	4	5		-Presence of Recording Book that contains the summary information of the producers (members or non-members). -Completeness of their recording; does all the members with their production information is written in the Recording Book.
4. Production schedule are posted, and being followed	0	1	2	3	4	5		-Presence of WRITTEN production schedule being posted in the production area or office area. -Awareness of the Manager and

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
								employees of their production schedule -Level of implementation (strictly follows the production schedule; partially follows the production schedule; follows the production schedule; non-compliant at all)
5. Production objectives are set and well-defined (e.g. target volume per season or cycle)	0	1	2	3	4	5		-Presence of production objectives (written or e-copy available during assessment) -Awareness of the Manager and employees with the production objectives
6. Target volume based on marketing target	0	1	2	3	4	5		-Presence of the target volume based on the Marketing Plan (Yes/No) -If yes, but not exactly the quantity specified in the Marketing Plan; rating would be based on the level of accuracy. i.e. Target Volume in the Marketing Plan is 1 ton of harvested onion weekly but considering other circumstances during the

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
								<p>harvesting period, the target decreases to 500 kilograms of target volume per week. (500 kilogram/1000kilogram= 50% Rating: 3 Good (closes to 60%)</p> <p>Rating: Level of accuracy 5– Excellent (100%) 4 – Very good (80 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)</p>
7. Monthly production report submitted	0	1	2	3	4	5		<p>-Presence of the production report -Compliance and timeliness to the submission of the report.</p>
8. Employed quality control system or traceability system to ensure that all the products meet the quality standards of the buyers	0	1	2	3	4	5		<p>-Presence of quality control system. -Number of products following the quality standards based on the total number of products needing compliance to the quality standard/s.</p>

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
9. Has access to information on latest technologies and processes								<p>Yes- has access to information and fully adopt the latest technologies</p> <p>No- no access to the information thus no adoption to of new technologies</p> <p>If yes, rating would be based on the number of new technologies being adopted by the organization vs the available technologies in the market.</p> <p>Level of adoption 5– Excellent (100%) 4 – Very good (80%) 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)</p>

FINDINGS AND RECOMMENDATIONS:

Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.

INDICATOR	SCORE (Level of Compliance)						FINDINGS
B. PROCESSING							
1. All the officers, members, management staff and employees were oriented and familiar with the processes and procedures of the enterprise operations.	0	1	2	3	4	5	<p><i>-Presence of the enterprise operation policies.</i></p> <p><i>- Total population of the organization that were oriented and are familiar with its policy on enterprise operations.</i></p>
2. The operations of the enterprise are in accordance to the approved Business Plan or any written documents indicating the operation of the enterprise.	0	1	2	3	4	5	<p>-Presence of Business Plan and/or Enterprise Operations Manual</p> <p>-Level of implementation (strictly compliant to the BP/EOM; partially compliant to the BP/EOM; rarely compliant to the BP/EOM; non-compliant at all)</p>
3. Production objectives are set and well-defined (e.g. daily volume of output or capacity)	0	1	2	3	4	5	<p>Presence of production objectives (written or e-copy available during assessment)</p> <p>-Awareness of the Manager and employees with the production objectives</p>
4. Target volume based on marketing target.	0	1	2	3	4	5	<p>-Presence of the target volume based on the Marketing Plan (Yes/No)</p> <p>-If yes, but not exactly the quantity specified in the Marketing Plan; rating would be based on the level of accuracy. i.e. Target Volume in the Marketing Plan is 1 ton of processed cassava weekly but considering other circumstances during the processing period, the target</p>

INDICATOR	SCORE (Level of Compliance)						FINDINGS
							<p>decreases to 500 kilograms of target volume per week. (500 kilogram/1000 kilogram= 50%) Rating: 3 Good (closes to 60%)</p> <p>Rating: Level of accuracy 5– Excellent (100%) 4 – Very good (80) 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)</p>
5. Production schedule are posted, and being followed.	0	1	2	3	4	5	<p>-Presence of WRITTEN production schedule being posted in the production area or office area. -Awareness of the Manager and employees of their production schedule -Level of implementation (strictly follows the production schedule; partially follows the production schedule; follows the production schedule; non-compliant at all)</p>
6. Checks quality and specifications of raw materials before use in production/processing	0	1	2	3	4	5	<p>-Presence of quality checking on raw materials --Level of implementation (strictly implemented the quality checking; partially implemented the quality checking; non-compliant at all)</p>

INDICATOR	SCORE (Level of Compliance)						FINDINGS
	0	1	2	3	4	5	
7. Employed quality control system or Traceability system to ensure that all the products meet the quality standards of the buyers.	0	1	2	3	4	5	Presence of quality control system. -Number of products following the quality standards based on the total number of products needing compliance to the quality standard/s.
8. Available profiles of suppliers including the volume capacity, mode of payment and mode of delivery (supply contract).	0	1	2	3	4	5	-Presence of Recording Book that contains the summary information of the supplier/s. -Completeness of their recording; all the supplier/s with their basic information is written in the Recording Book.
9. Presence of Supply Agreement between the enterprise and suppliers.	0	1	2	3	4	5	-Presence of the supply agreement -Level of implementation; based on the existing number of suppliers, how many of these have a Supply Agreement.
10. With continuous innovation of production /processing methodologies	0	1	2	3	4	5	-Adapts innovative method in the implementation of its enterprise operation -Level of implementation (strictly implemented the quality checking; partially implemented the quality checking; non-compliant at all)
11. Has access to information on latest technologies and processes	0	1	2	3	4	5	Yes- has access to information and fully adopt the latest technologies No- no access to the information thus no adoption to of new technologies

INDICATOR	SCORE (Level of Compliance)						FINDINGS
							<p>If yes, rating would be based on the number of new technologies being adopted by the organization vs the available technologies in the market.</p> <p>Level of adoption 5– Excellent (100%) 4 – Very good (80%) 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)</p>
12. Organization aware of how to manage incoming volumes of produce.	0	1	2	3	4	5	<p>- <i>Managing or recording incoming volumes of produce</i> - <i>Frequency of implementation</i> (strictly implemented the quality checking; partially implemented the quality checking; non-compliant at all)</p>
13. Organization use appropriate, up to date technology for its operations.	0	1	2	3	4	5	<p>Yes- fully adopt the latest technologies No- no adoption to of new technologies</p> <p>If yes, rating would be based on the number of new technologies being adopted by the organization vs the available technologies in the market.</p> <p>Level of adoption 5– Excellent (100%) 4 – Very good (80%) 3 – Good (60%) 2 – Need slight improvement (40%)</p>

INDICATOR	SCORE (Level of Compliance)						FINDINGS
							1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)
14. Checks that the quality of the produce that is produced meets its own standards and those of clients/ buyers.	0	1	2	3	4	5	-Presence of quality checking on products --Level of implementation (strictly implemented the quality checking; partially implemented the quality checking; non-compliant at all)
FINDINGS AND RECOMMENDATIONS: Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.							

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
A. CONSOLIDATION AND MARKETING								
1. All the officers, members, management staff and employees were oriented and familiar with the consolidation and marketing policies and procedures							-Presence of the consolidation and marketing policies. - Total population of the organization that were oriented and are familiar with its policy on consolidation and marketing procedures.	
2. The operations of the enterprise are in accordance to the approved Business Plan or any written documents indicating the operation of the enterprise							-Presence of Business Plan and/or Enterprise	

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
								<p>Operations Manual -Level of implementation (strictly compliant to the BP/EOM; partially compliant to the BP/EOM; rarely compliant to the BP/EOM; non-compliant at all)</p>
<p>3. Information on the list of producers (members and non-members) involved in consolidation are complete and updated</p>								<p>-Presence of Recording Book that contains the summary information of the producers involved in consolidation (members or non-members). -Completeness of their recording; does all the members with their production information is written in the Recording Book.</p>
<p>4. Consolidation schedule are posted, and being followed</p>								<p>-Presence of WRITTEN consolidation schedule being posted in the consolidation area or office area. -Awareness of the Manager and employees of their consolidation schedule</p>

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
								<p>-Level of implementation (strictly follows the consolidation schedule; partially follows the consolidation schedule; follows the consolidation schedule; non-compliant at all)</p>
<p>5. Consolidation and marketing objectives are set and well-defined (e.g. target volume per season or cycle)</p>								<p>-Presence of consolidation and marketing objectives (written or e-copy available during assessment) -Awareness of the Manager and employees with the production objectives</p>
<p>6. Target volume based on marketing target</p>								<p>-Presence of the target volume based on the Marketing Plan (Yes/No) -If yes, but not exactly the quantity specified in the Marketing Plan; rating would be based on the level of accuracy. i.e. Target Volume in the Marketing Plan is consolidating 1 ton of harvested onion weekly but</p>

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
								<p>considering other circumstances during the harvesting period, the target decreases to 500kilograms of target volume per week. (500 kilogram/1000kilogram= 50% Rating: 3 Good (closes to 60%)</p> <p>Rating: Level of accuracy 5– Excellent (100%) 4 – Very good (80 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)</p>
7. Monthly consolidation report submitted								<ul style="list-style-type: none"> -Presence of the consolidation report -Compliance and timeliness to the submission of the report.
8. Employed quality control system or traceability system to ensure that all the products meet the quality standards of the buyers								<ul style="list-style-type: none"> -Presence of quality control system. -Number of products following the quality standards based on the total number of products needing

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
								compliance to the quality standard/s.
9. Has access to information on latest technologies and processes								<p>Yes- has access to information and fully adopt the latest technologies No- no access to the information thus no adoption to of new technologies</p> <p>If yes, rating would be based on the number of new technologies being adopted by the organization vs the available technologies in the market.</p> <p>Level of adaption 5- Excellent (100%) 4 – Very good (80 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)</p>

INDICATOR	SCORE (Level of Compliance)	FINDINGS	Guidance on Rating
FINDINGS AND RECOMMENDATIONS: Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.			

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
C. CUSTOM SERVICE FACILITY								
1. All the officers, members, management staff and employees were oriented and familiar with the enterprise operations.	0	1	2	3	4	5		<i>-Presence of the enterprise operation policies. - Total population of the organization that were oriented and are familiar with its policy on enterprise operation procedures.</i>
2. The operations of the enterprise are in accordance to the approved Business Plan or any written documents indicating the operation of the enterprise.	0	1	2	3	4	5		Presence of Business Plan and/or Enterprise Operations Manual -Level of implementation (strictly compliant to the BP/EOM; partially compliant to the BP/EOM; rarely compliant to the BP/EOM; non-compliant at all)

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
3. Has written policy on the use and scheduling of the facilities	0	1	2	3	4	5		<ul style="list-style-type: none"> -Presence of the written policy on scheduling on the use of facilities -Awareness of the Manager and employees of their schedule of customer-service -Level of implementation (strictly follows the production schedule; partially follows the production schedule; follows the production schedule; non-compliant at all)
4. Keep records of users with complete information on frequency of availment, quantity served (e.g. hectarage served for tractors, space requirement or volume stored for storage facilities, etc)	0	1	2	<u>3</u>	4	5		<ul style="list-style-type: none"> -Presence of Recording Book that contains the summary information of the users of the facility/machinery/equipment (members or non-members). -Completeness of their recording; does all the members with their basic information is written in the Recording Book.
5. Servicing schedule are posted, and being followed.	0	1	2	3	<u>4</u>	5		<ul style="list-style-type: none"> -Presence of WRITTEN production schedule being posted in the production area or office are.

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
								-Awareness of the Manager and employees of their production schedule -Level of implementation (strictly follows the production schedule; partially follows the production schedule; follows the production schedule; non-compliant at all)
6. Custom servicing objectives are set and well-defined (e.g. target area to be served, target number of users, target income, etc)	0	1	2	3	4	5		Presence of production objectives (written or e-copy available during assessment) -Awareness of the Manager and employees with the production objectives
7. Target volume/quantity based on marketing target.	0	1	2	3	4	5		-Presence of the target volume based on the Marketing Plan (Yes/No) -If yes, but not exactly the quantity specified in the Marketing Plan; rating would be based on the level of accuracy. i.e. Target Volume in the Marketing Plan is 1 ton of

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
								<p>processed cassava weekly but considering other circumstances during the processing period, the target decreases to 500 kilograms of target volume per week. (500 kilogram/1000kilogram= 50% Rating: 3 Good (closes to 60%)</p> <p>Rating: Level of accuracy 5– Excellent (100%) 4 – Very good (80%) 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)</p>
8. Monthly report on custom servicing prepared and submitted to the Board	0	1	2	3	4	<u>5</u>		<p>-Presence of the production report -Compliance and timeliness to the submission of the report.</p>
2. Has access to information on latest technologies and processes.	0	1	2	3	<u>4</u>	5		<p>Yes- has access to information and fully adopt the latest technologies</p>

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
								<p>No- no access to the information thus no adoption to of new technologies</p> <p>If yes, rating would be based on the number of new technologies being adopted by the organization vs the available technologies in the market.</p> <p>Level of adaption 5– Excellent (100%) 4 – Very good (80%) 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent /Non-compliant (0)</p>

FINDINGS AND RECOMMENDATIONS:

Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
D. INVENTORY MANAGEMENT AND CONTROL								
1. The group has policy on the storage and inventory of raw materials /inputs in ensuring the sufficiency of the supply and the quality of the products. First In-First-Out and Last-In-First Out (FIFO & LIFO).	0	1	2	3	4	5		-Presence of the written policy storage and inventory -Level of implementation (strictly implementing the policy; partially implementing the policy; rarely implementing the policy; and non-compliant at all)
2. Established raw materials specifications (volume, size, maturity, color, expiration, packaging, mode of payment, mode of delivery, etc.).	0	1	2	3	4	5		-Presence of quality checking on raw materials -Level of implementation (strictly implemented the quality checking; partially implemented the quality checking; non-compliant at all)
3. Available profiles of suppliers including the volume capacity, mode of payment and mode of delivery (supply contract).	0	1	2	3	4	5		-Presence of Suppliers Subsidiary Ledger with information summary, formal/informal supply agreements -Completeness of their recording; does all the supplier/s with their basic information is written in the

								Suppliers Subsidiary ledger
4. Storage facilities for supplies and materials are adequate and well-maintained	0	1	2	3	4	5		-Conducts regular maintenance of its storage facility -Level of implementation (strictly implemented the regular maintenance; rarely conducts maintenance of its storage facilities (2 or less in a year); non-compliant at all.
5. Uses digital technology for inventory management system	0	1	2	3	4	5		-Presence of digital technology and adoption of it on their inventory management system. -Level of adaption: Number of digital technology adapted for its inventory management vs the available digital technology for inventory management system in the market.
6. The inventory securely and appropriately stored, with access restricted to authorized personnel	0	1	2	3	4	5		-Presence of secured storage room/area with list of authorized personnel and entry records logbook. -Level of implementation (strictly implemented; partially

										implemented the quality checking; rarely implemented; and non-compliant at all).
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FINDINGS AND RECOMMENDATIONS:

Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.

INDICATOR	SCORE (Level of Compliance)							FINDINGS
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E. FIXED ASSETS UTILIZATION & MAINTENANCE

1. With written policies on facilities and equipment utilization and maintenance (e.g. utilization schedule, maintenance schedule, disposal policy, etc	0	1	2	3	4	5		-Presence of the written policy on facilities and equipment utilization maintenance -Level of implementation (strictly implementing the policy; partially implementing the policy; rarely implementing the policy; and non-compliant at all)
2. Set aside budget for repairs and maintenance of fixed assets	0	1	2	3	4	5		-Availability of budget allocated for the maintenance of the fixed assets and record of budget utilization. -Rating would depend on the number of assets with maintenance fund allocation.
3. Keeps record of utilization of facilities and equipment (e.g. hauling and delivery schedule,	0	1	2	3	4	5		-Presence of the recording books for the utilization

equipment use input and output volume, etc								of facilities and equipment -Completeness of their recording; does all the facilities and equipment with their basic information is written in the Recording Book.
4. Facilities and equipment compliant with the minimum requirement set by the GAP, GAHP, GAqP, PAES, PNS, Food Safety Standards and other standards	0	1	2	3	4	5		-Presence of written policy in complying to several quality standards -Number of facilities and equipment that are compliant to several quality standards.
5. Available posters of instructions on proper use and care of machines and equipment (include identified load capacity and load limits)	0	1	2	3	4	5		-Presence of the posters of instructions. -Level of implementation (strictly follows what is specified in the instruction on proper use and care of machines and equipment; partially follows; rarely follows; and non-compliant at all)
6. The group undertake periodic assessments to identify underutilized, idle, redundant or obsolete assets	0	1	2	3	4	5		-Presence of records of periodic assessments conducted. -Level of implementation; strictly conducts periodic assessment of its assets (must conduct more

than 2 in a year); rarely follows; and non-compliant at all.

FINDINGS AND RECOMMENDATIONS:

Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.

INDICATOR	SCORE (Level of Compliance)						FINDINGS
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F. SOCIAL AND ENVIRONMENTAL SAFEGUARDS (WASTE MANAGEMENT AND OCCUPATIONAL SAFETY AND HEALTH PROCEDURES)

1. Implement proper solid and liquid waste management (i.e. waste treatment facility, IEC efforts)	0	1	2	3	4	5	<p>-Presence of solid and liquid waste management. -Level of implementation to the solid and waste management; strictly implemented; partially implemented; rarely implemented; and non-compliant at all.</p>
2. Has written policy in disposing solid and liquid wastes	0	1	2	3	4	5	<p>-Presence of the written policy on proper disposal of wastes.</p> <p>No- no written policy and not implementing proper waste disposal</p> <p>If no written policy, but is implementing proper disposal;</p>

								<p>rating would depend on the level of adaption</p> <p>5– Excellent (100%) 4 – Very good (80 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)</p>
<p>3. Policy exists and implemented on occupational health and safety.</p>	<p>0</p>	<p>1</p>	<p>2</p>	<p>3</p>	<p>4</p>	<p>5</p>		<p>-Presence of the written policy on occupational health and safety</p> <p>No- no written policy and not implementing occupational health and safety</p> <p>If no written policy, but is implementing occupational health and safety; rating would depend on the level of adaption</p> <p>5– Excellent (100%) 4 – Very good (80 3 – Good (60%) 2 – Need slight improvement (40%) 1 – Needs Improvement (20%) 0 – Inexistent/Non-compliant (0)</p>

4. Posted safety posters/signs/warnings in the work place	0	1	2	3	4	5		<ul style="list-style-type: none"> -Presence of the safety posters in the workplace. -Level of implementation (strictly follows what is specified in the safety posters; partially follows; rarely follows; and non-compliant at all)
5. Work place is well ventilated, well-lighted, clean, free from clutter and obstruction, and with adequate number of emergency exits.	0	1	2	3	4	5		<ul style="list-style-type: none"> -Presence of workplace with safety features. -Completeness of the indicators (1. Well ventilated; 2. Well-lighted; 3. Clean; 4. Free from clutter and obstruction; 5. With adequate number of emergency exits)
6. Accessible fire extinguishers and other fire control measures in strategic locations	0	1	2	3	4	5		<ul style="list-style-type: none"> -Presence of fire extinguishers and other fire control measures in the workplace
7. Available accidents and emergency preparedness kits and trained personnel	0	1	2	3	4	5		<ul style="list-style-type: none"> -Presence of emergency kits -Trained personnel on emergency response can cater the number of officers, employees, and members of the organization.
8. Compliant to employees' favorable working condition i.e. employees' lounge, pantry	0	1	2	3	4	5		<ul style="list-style-type: none"> -Availability of working area for the convenience of staff -number of officers and employees of the organization who

									can attest the convenience in the workplace.
FINDINGS RECOMMENDATIONS:									
Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.									

3. FINANCIAL MANAGEMENT. This section will check on the execution of the financial management system in place, and assess awareness level by the enterprise staff. It will look on the organization’s performance on financial administration, financial budgeting and planning, sourcing, financial risk management and also its record keeping and monitoring.

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
A. ACCOUNTING RECORDS AND SOURCE DOCUMENTATION (10% Equivalent Weight)								
1. With clearly established Simple Financial Management System, such as:								
a. Policy on receipts and disbursements, recording, reporting and implemented strictly.	0	1	2	3	4	5		5- Presence of Indicators, Complete, fully implemented 4- Presence of Indicators, Complete, partially implemented 3- Presence of Indicators, Complete, not implemented 2- Presence of Indicators, incomplete 1- Absence of some

								Indicators , 0-non compliant
b. conduct of regular audit	0	1	2	3	4	5		5- Presence of Indicators, Complete, fully implemented 4- Presence of Indicators, Complete, partially implemented 3- - Presence of Indicators, Complete, not implemented 2- Presence of Indicators, incomplete 1- Absence of some Indicators , 0-non compliant
c. Approval of daily revenue reconciliations prior to deposits are made.	0	1	2	3	4	5		Cash/check collections reconciliations prior to deposits are made
d. Policy on banking system.	0	1	2	3	4	5		Presence of policy on banking system: deposits, withdrawals, bank reconciliation
e. policy on customer accounts (<i>i.e.</i> credit limits, if there's any, collections system (cash or cheque payments), etc.	0	1	2	3	4	5		Presence of policy on customer accounts
f. Policy for loans and advances.	0	1	2	3	4	5		Presence of policy for loans and advances

g. Policy on petty cash fund.	0	1	2	3	4	5		Presence of policy on petty cash fund
h. Policy on profit sharing/distribution of income.	0	1	2	3	4	5		Presence of policy on profit sharing
2. Available and secured books of Accounts								
a. General Journal	0	1	2	3	4	5		Yes-5 No-0
b. General Ledger	0	1	2	3	4	5		Yes-5 No-0
c. Cash Receipt journal	0	1	2	3	4	5		Yes-5 No-0
d. Cash disbursement journal	0	1	2	3	4	5		Yes-5 No-0
e. Sales Journal	0	1	2	3	4	5		Yes-5 No-0
f. Purchase Journal	0	1	2	3	4	5		Yes-5 No-0
g. Cash book	0	1	2	3	4	5		Yes-5 No-0
3. Issue and file pre-numbered accountable Finance forms/Receipt								
a. Official Receipt	0	1	2	3	4	5		Yes-5 No-0
b. Delivery Receipt	0	1	2	3	4	5		Yes-5 No-0
c. Purchase Order	0	1	2	3	4	5		Yes-5 No-0
d. Cash Voucher	0	1	2	3	4	5		Yes-5 No-0
e. Cash Liquidation Form	0	1	2	3	4	5		Yes-5 No-0
f. Purchase Request	0	1	2	3	4	5		Yes-5 No-0
g. Disbursement Voucher	0	1	2	3	4	5		Yes-5 No-0
h. Other relevant Forms	0	1	2	3	4	5		Yes-5 No-0
4. Keep records of updated Financial Statements								
a. Income Statement	0	1	2	3	4	5		Yes-5 No-0
b. Cash flow	0	1	2	3	4	5		Yes-5 No-0
c. Balance Sheet	0	1	2	3	4	5		Yes-5 No-0
d. Audited Financial Report	0	1	2	3	4	5		Yes-5

								No-0
B. FINANCIAL REPORTING (5% Equivalent Weight)								
1. There is monitoring and reporting system on the status of the enterprise.	0	1	2	3	4	5		-Presence of monitoring and reporting system in terms of financial aspect -Level of implementation: strictly implements or utilizes the system; partially implements and utilizes the system; rarely implements and utilizes the system; non-compliant at all.
2. Regular financial planning and budgeting are done.	0	1	2	3	4	5		-Presence of financial planning and budgeting -Level of implementation: regularly conducts financial planning and budgeting (twice a year); conducts planning and budgeting but on an irregular basis (less than 2 annually); non compliant. Approval of the Board/Assembly to the budget
3. The reports also included non-financial concerns like issues and concerns, including potential risks, consequences of proposed decisions and mitigation processes.	0	1	2	3	4	5		5- Presence of Indicators, Complete, fully implemented 4- Presence of Indicators, Complete, partially implemented

									3- Presence of Indicators, Complete, not implemented 2- Presence of Indicators, incomplete 1- Absence of some Indicators , 0-non compliant
4. Financial report is presented to the BOD or enterprise management team during meetings.	0	1	2	3	4	5			Yes/No
5. The reports (i.e. FS, Cash Flow and Balance Sheet) have been presented in a generally accepted accounting format.	0	1	2	3	4	5			Yes/No
6. The reports have been verified/audited for the accuracy and quality	0	1	2	3	4	5			Yes/No
7. The report contents are up-to-date, relevant, accurate and complete.	0	1	2	3	4	5			Yes/No
8. Quarterly submission of the cash flow forecasts to the management for approval.	0	1	2	3	4	5			Yes/No
C. INTERNAL CONTROL AND CASH MANAGEMENT									
1. There are appropriate internal controls over the authorization and issuance of purchase orders/disbursement voucher	0	1	2	3	4	5			5- Presence of internal controls for the issuance of POs and DVs, Complete, fully implemented 4- Presence of internal controls for the issuance of POs and DVs, Complete, partially implemented 3 - Presence of internal

								controls for the issuance of POs and DVs, Complete, not implemented 1- Absence of internal controls for the issuance of POs and DVs but is implemented 0-non compliant
2. Purchase orders correctly prepared and approved by the concerned officers with the appropriate financial allocation for the supply of goods and services.	0	1	2	3	4	5		5- Presence of Indicators, Complete, fully implemented 4- Presence of Indicators, Complete, partially implemented 3- - Presence of Indicators, Complete, not implemented 2- Presence of Indicators, incomplete 1- Absence of some Indicators , 0-non compliant
3. Disbursement vouchers approved by at least two duly authorized officers' prior release of payments.	0	1	2	3	4	5		Yes/No
4. Has established payment threshold and corresponding level of approving authorities.	0	1	2	3	4	5		Yes/No
5. Bank reconciliations prepared and checked at least monthly, for each of the group's bank accounts, by the	0	1	2	3	4	5		5- Presence of Indicators, Complete,

concerned Officer separately the cash receipt and payment processes.								<p>fully implemented</p> <p>4- Presence of Indicators, Complete, partially implemented</p> <p>3- - Presence of Indicators, Complete, not implemented</p> <p>2- Presence of Indicators, incomplete</p> <p>1- Absence of some Indicators</p> <p>0-non compliant</p>
6. Have processes in place to record and track returns to suppliers and matching receipt of credit note payments for returns.	0	1	2	3	4	5		<p>5- Presence of Indicators, Complete, fully implemented</p> <p>4- Presence of Indicators, Complete, partially implemented</p> <p>3- - Presence of Indicators, Complete, not implemented</p> <p>2- Presence of Indicators, incomplete</p> <p>1- Absence of some Indicators</p> <p>0-non compliant</p>
7. Staff is well oriented on various procurement and payment methods	0	1	2	3	4	5		-Conducts orientation on procurement and

(e.g. purchase order or direct invoice).								payment methods to newly hired staff -List of staff familiar on procurement and payment methods
8. Has measures in tracking missing orders.	0	1	2	3	4	5		-Presence of tracking system to check missing orders
9. Conducted regular vouching of all transactions	0	1	2	3	4	5		Yes/No
10. The petty cash held securely, balanced and reimbursed/replenish regularly.	0	1	2	3	4	5		Yes/No
11. Have developed a credit policy and debtor management policy.	0	1	2	3	4	5		Presence of credit policy and debtor management policy
12. The invoices/statements promptly issued to customers.	0	1	2	3	4	5		Yes/No
13. There is an established process to reconcile payments received against outstanding interest and principal payments for specific loans.	0	1	2	3	4	5		-Presence of established process for payment reconciliation for bank loans
14. There is a system to follow-up aged debtors and manage financial risks.	0	1	2	3	4	5		-Presence of established system to manage financial risks
15. Organization has financial reserves and a plan to increase them.	0	1	2	3	4	5		-Organization has existing financial reserves -Has plan to increase the financial reserves
16. Executives review and discuss them at least once a month, using them for decision making.	0	1	2	3	4	5		5- Presence of Indicators, Complete, fully implemented 4- Presence of Indicators,

								Complete, partially implemented 3- Presence of Indicators, Complete, not implemented 2- Presence of Indicators, incomplete 1-Absence of some Indicators, 0-non compliant
17. Financial information shared with members in a proper manner.	0	1	2	3	4	5		Yes/No

FINDINGS AND RECOMMENDATIONS:

Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.

4. MARKETING. The evaluation will focus on the systemic flow of goods/products within marketing/trading activities and determine compliance with the set guidelines/protocols.

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
1. Marketing objectives are set and well defined								
a. Set target sales	0	1	2	3	4	5		Yes- 5 No- 0
b. Set target margins	0	1	2	3	4	5		Yes- 5 No- 0
c. Set target profit	0	1	2	3	4	5		Yes- 5 No- 0
2. With available Marketing budget								Yes- 5 No- 0
	0	1	2	3	4	5		In between -1,2, 3, 4 Will depend on the percentage of actual marketing budget vs needed budget
3. Marketing Plan is accessible, utilized, communicated, and regularly updated.	0	1	2	3	4	5		Presence/Completeness of indicators specified

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
							(accessible, utilized, updated regularly)	
4. Has dedicated Marketing Staff with knowledge of the marketing operation.	0	1	2	3	4	5	<p>Yes- 5 No- 0</p> <p>In between -1,2, 3, 4 Will depend on the knowledge of the assigned staff vs the actual deliverable.</p>	
5. Clear and consistent product/service specifications.	0	1	2	3	4	5	Number of products/service/s with clear specifications.	
7. With updated and monitored customer profile.	0	1	2	3	4	5	Presence and completeness of the Customer Profile.	
8. With updated and monitored competitor profile and competitor movement.	0	1	2	3	4	5	Presence and completeness of the Competitor Profile.	
9. Has available facilities for logistics and distribution	0	1	2	3	4	5	<p>Yes- 5 No- 0</p> <p>In between -1,2, 3, 4 Will depend on the actual number of facilities vs the needed number of logistical distribution facilities.</p>	
10. Point of sale and storage locations are strategically located	0	1	2	3	4	5	<p>Yes- 5 No- 0</p> <p>In between -1,2, 3, 4 Will depend on the actual number of sales and storage areas but not strategically located.</p>	
11. Utilize innovative channels (e.g. online or digital marketing)	0	1	2	3	4	5	<p>Presence of digital technology and adoption of it on their marketing</p> <p>Percentage of available digital technology vs usage</p>	

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
12. With Marketing Agreement between buyers and the enterprise.	0	1	2	3	4	5		<p>Yes, all available buyers- 5 No- 0</p> <p>In between -1,2, 3, 4 Will depend on the actual number of buyers with MA vs total number of partner buyers</p>
13. Marketing strategies are well presented and discussed with the officers and employees by the Marketing Officer.	0	1	2	3	4	5		<p><i>Total population of the organization with awareness to its enterprise marketing strategies (percentage based on the rating).</i></p>
14. Regular checks market trends and developments and immediately adjusts marketing strategies to recent developments	0	1	2	3	4	5		<p>Yes- has access to information and fully adopt the latest technologies No- no access to the information thus no adoption to of new technologies</p> <p>(in between- has access to information and rating would be based on the number of new technologies being adopted by the organization)</p>
15. Feedback mechanism for customer/consumer complaints is available	0	1	2	3	4	5		<p>Yes, all customers are oriented and informed about</p>

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
								feedback mechanism- 5 No- 0 In between -1,2, 3, 4
16. Established system on resolving consumer complaints.	0	1	2	3	4	5		Presence, implementation, and compliance to the consumer complaint system.
FINDINGS AND RECOMMENDATIONS: Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.								

5. SUSTAINABILITY. This assessment will cover growth potential (in terms of production, product, technology, market, and network) and measures to identify and mitigate risks of the enterprise.

INDICATOR	SCORE (Level of Compliance)						FINDINGS	Guidance on Rating
	0	1	2	3	4	5		
1. Career Development Program for its employees	0	1	2	3	4	5		-Presence of the Career Development Program. - Level of implementation; how many of the target beneficiaries of the Career Development Program has provided with it.
2. Training Program for employees and members	0	1	2	3	4	5		-Presence of the Training Program. - Level of implementation; how many of the target beneficiaries of the Training

								Program have provided it.
3. The enterprise has existing good and long-term relationships with buyers/suppliers	0	1	2	3	4	5		-Presence of the supply agreement -Level of implementation; based on the existing number of suppliers, how many of these have a Supply Agreement.
4. The enterprise is able to tap and/or partner with different government and non-government agencies for various support services. (This includes loan, credit, insurance, technology and other service providers)	0	1	2	3	4	5		-Presence of program contract, memorandum of understanding, MOA, or any documents that indicate partnership with other agencies. -Level of implementation; the partnership is strictly implemented; the partnership is partially implemented' the partnership is rarely implemented; not implemented at all.
5. With written Sustainability Plan or Enterprise Risk Reduction Management Plan (including social, market, technological, climate and political risks among others)	0	1	2	3	4	5		-Presence of the Sustainability Plan -Level of implementation; the Sustainability Plan is strictly implemented; the Sustainability Plan is partially implemented' the Sustainability Plan is rarely implemented; not implemented at all.

6. The officers/BODs, members, management staff and employees in the enterprise are aware of risks brought by natural resource destruction	0	1	2	3	4	5		<i>Total population of the organization that are aware of the risks brought about by natural resources (percentage based on the rating).</i>
7. The officers/BODs, members, management staff and employees in the enterprise are aware of peace and security risks.	0	1	2	3	4	5		<i>Total population of the organization with awareness of peace and security risks. (percentage based on the rating).</i>
8. The officers/BODs, members, management staff and employees in the enterprise are aware of human, political and socio-economic risks and occupational and health hazard.	0	1	2	3	4	5		<i>Total population of the organization with awareness to several risks and occupational and health hazards. (percentage based on the rating).</i>
9. The officers/BODs, members, management staff and employees in the enterprise are aware of the marketing risks and have identified how to mitigate these	0	1	2	3	4	5		<i>Total population of the organization with awareness to marketing risk mitigation (percentage based on the rating).</i>
10. There is awareness on possible solutions and strategies to mitigate the risks on market pricing.	0	1	2	3	4	5		<i>Total population of the organization with awareness market pricing risks mitigation. (percentage based on the rating).</i>
11. The number of members increases annually to support the enterprise growth plans								Members are increasing annually.

<p>2. Human rights, child labor, non-discrimination and equal opportunity policies are written and implemented.</p>	0	1	2	3	4	5		<p>-Presence of the written policy on human rights and equal opportunity.</p> <p>-Level of implementation:</p> <p>5- With written policy and is, fully implemented</p> <p>4- With written policy but is partially implemented</p> <p>3- No written policy but is fully implementing equal opportunity implemented</p> <p>2- With written policy but not implemented</p> <p>1-No written policy but is partially implemented</p> <p>0-non compliant</p>
<p>3. Representations of marginal sectors are written and implemented.</p>	0	1	2	3	4	5		<p>Presence of the written policy on the inclusion of the marginal sectors to the organization.</p> <p>-Level of implementation:</p> <p>5- With written policy and is, fully implemented</p> <p>4- With written policy but is</p>

								<p>partially implemented</p> <p>3- No written policy but is fully implementing equal representation of the marginal sector in the organization</p> <p>2- With written policy but not implemented</p> <p>1-No written policy but is partially implemented</p> <p>0-non compliant</p>
<p>4. Organization ensure non-discrimination and equal opportunity for workers and members.</p>	<p>0</p>	<p>1</p>	<p>2</p>	<p>3</p>	<p>4</p>	<p>5</p>		<p>-Presence of the marginal sectors in the organization.</p> <p>-Level of implementation:</p> <p>5- With written policy and is, fully implemented</p> <p>4- With written policy but is partially implemented</p> <p>3- No written policy but is fully implementing equal opportunity in the organization</p> <p>2- With written policy but not implemented</p> <p>1-No written policy but is partially implemented</p> <p>0-non compliant</p>

5. Women sufficiently represented in the organization.	0	1	2	3	4	5		-Presence of women in the organization. -Efforts to increase women membership.
FINDINGS AND RECOMMENDATIONS:								
Instruction: Give additional information on the findings (if any), and come up with recommendations to address compliance issues and identify other interventions needed by the enterprise.								

Appendix 1-B Enterprise Assessment Result Report Template

ENTERPRISE ASSESSMENT RESULT REPORT

A. BASIC ENTERPRISE INFORMATION

Name of Enterprise :
 Enterprise Address :
 Implementing Proponent :
 Contact Person :
 Position :
 Telephone No. :
 Mobile Number:

B. RESULT OF THE ASSESSMENT

Business Aspect	Score
Organization & Management	

Enterprise Operations	
Financial	
Marketing	
Sustainability	
Inclusivity	
Overall	

C. KEY FINDINGS AND RECOMMENDATIONS

KEY AREAS	STRENGTH	WEAKNESS	RECOMMENDATIONS

Assessed by: _____

Date of Assessment: _____

Appendix 1.C Training Needs Assessment

Name of Enterprise : _____
Name of Respondent : _____
Current Position : _____
Contact : _____
Number/Mobile : _____
Date of : _____
Survey/Interview : _____

INSTRUCTION

Please have the time to complete the survey as accurately and honestly as possible. It is a critical step for us to assess your capacity building needs and the information will help us identify and select the appropriate interventions to address the gaps. All your responses will be treated with utmost confidentiality.

1. Which Unit of the Enterprise do you work in?

_____ Marketing
_____ Finance
_____ Procurement
_____ Production/Operations
_____ Human Resource/Personnel
_____ Leadership/Governance
_____ Others, specify: _____

2. What is your current position/role in the Enterprise?

_____ Manager	_____ Procurement/Purchasing Officer
_____ Supervisor	_____ Bookkeeper
_____ Marketing Officer	_____ Technician/Technical Officer
_____ Treasurer	_____ Secretary
_____ Quality Control Officer	_____ Others, please specify: _____

3. Do you have supervisory responsibilities? [] Yes [] No

3.1 If yes, how many staff/personnel do you supervise or are reporting to you? __

4. How long have you been in your current position/role in the enterprise? ____

5. Do you have previous work experience related

to your current position? [] Yes [] No

6. Have you attended any skills or technical training courses related to your current position? [] Yes [] No

6.1 If yes, list the type of training courses you have attended:

Training Course Attended	Date of Training	Training Provider

7. Based on your knowledge, in which area do you think the enterprise is currently experiencing difficulty or problem?

- _____ Marketing
- _____ Finance
- _____ Procurement
- _____ Production/Operations
- _____ Human Resource/Personnel
- _____ Leadership/Governance
- _____ No idea/knowledge about any difficulty/problem
- _____ Others,
specify: _____
- _____ –

7.1 Please provide specific details of the problem area that you have identified:

Enterprise Area/Dimension	Specific Difficulty/Problem
Marketing	
Finance	
Procurement	
Production/Operations	
Human Resource/Personnel	
Leadership/Governance	
Others, specify: _____	

8. As part of the manpower of the enterprise, which elements or dimensions do you experience difficulty or problem in performing your current role/task?

- | | |
|-----------------------------------|---------------------------------------|
| _____ Actual work performance | _____ Customer relations |
| _____ Communication/Feedbacking | _____ Business/Enterprise |
| _____ Interpersonal relationships | _____ Decision making/Problem solving |
| _____ Leadership style | _____ Others, specify _____ |

9. What contributes to your difficulties in performing the specific role/task? Please check appropriate response/s and provide specific reason/s.

Dimension	Specific Reason/s
Knowledge level	
Skills level	
Attitude/Behavior	
Others, specify _____	

10. Do you think you need to enhance your knowledge and skills to better perform your current role/task? [] Yes [] No

11. Which of the following competencies do you think you need to enhance in order to improve your performance at work?

- | | |
|-------------------------------------------------------|-----------------------------------------------------|
| <input type="checkbox"/> Work skills/Technical skills | <input type="checkbox"/> Customer relations skills |
| <input type="checkbox"/> Communication skills | <input type="checkbox"/> Business/Enterprise skills |
| <input type="checkbox"/> Interpersonal skills | <input type="checkbox"/> Analytical skills |
| <input type="checkbox"/> Leadership skills | <input type="checkbox"/> Others, specify _____ |
| <input type="checkbox"/> | <input type="checkbox"/> |

12. Which of the following training formats would you likely to participate in? Check the response/s that apply to you.

- Classroom training
- Day long workshop
- On-the-Job Training
- Distance education that can be completed at your own pace (web-based courses/online)
- A combination of classroom training with coaching/mentoring sessions
- Others, please specify: _____

13. How many days can you devote to a training session and be away from your work?

- 1 day
- 2 days

3 days

4 days

5 days

14. How important is each of the following issues to you when participating in training courses?

Issues	Highly important	Moderately important	Somewhat important	Not important
Opportunity to interact with instructor/facilitator/Resource Person				
Opportunity to interact with other participants				
Being part of a group that is taking the same course at the same time				
Opportunity to start at any time				
Opportunity to complete at your own pace				

15. Please specify any additional training needs related to your enterprise that you may recommend or suggest:

I hereby attest to the truthfulness of the information provided in this survey questionnaire. Furthermore, I am aware that the information provided herein will be used by the Department of Agriculture solely for the purpose of identifying training gaps for the preparation of the Enterprise Capacity Development Plan, as enterprise beneficiaries and will not be used for any other purpose without violating the Data Privacy Law.

Signature of Respondent: _____

Interviewed by: _____ Date: _____

Appendix 1-D Financing Assessment and Matching Toolkit

FAstMatch Toolkit

To promote rural enterprises' access to finance, the United States Agency for International Development (USAID), through its DELIVER Project, provided technical assistance (TA) to help the DA-PRDP evaluate the financial readiness of PRDP-assisted rural enterprises to access external financing to expand and/or create new business.

The Financing Assessment and Matching (FAstMatch) Toolkit is a digital tool that provides a simplified template to undertake a quick initial assessment of an agri-enterprise's ability to access and manage external financing, such as commercial banks and other loan service providers.

Pilot-tested in March and April 2023 with select PRDP-assisted rural enterprises, the FAstMatch Toolkit collects relevant information needed by partner financial institutions to assess, validate, and match applicants to potential funding, loan products, or services they can avail through PRDP and its partner institutions.

The toolkit collects information such as business profile, regulatory compliance (i.e.: business registration, labor law compliance, other necessary licenses, etc.), financial management practices, financial performance, and marketing capacities. The FAstMatch Toolkit follows a credit scoring scheme aligned with bank loan standards. The results of the assessment will inform whether or not the applying enterprise is qualified to proceed with next steps of a specific loan product/service application with a particular bank.

On the other hand, the data collected from the toolkit will the DA-PRDP in designing a more targeted capacity development (CapDev) intervention to empower and strengthen rural agri-enterprises.

FAstMatch Toolkit Data Management

The toolkit was developed through USAID/Philippines – DELIVER Project's technical assistance and collaboration with the DA-PRDP. The data collection is administered by DA-PRDP field staff using the KoboCollect Application in PRDP-deployed tablets and/or laptops with Global Positioning System (GPS) tracking capacity.

In July 2023, the FAstMatch Toolkit development has been finalized and officially turned over to DA-PRDP by the USAID/Philippines and DELIVER Project Team. The DA-PRDP Project Management Team is the sole backend administrator, and the data management access is only given to officially designated data managers within the DA-PRDP organization. All collected data shall be treated as confidential and shall only be used for access to finance and in the identification of the areas for improvement of the enterprise/cooperative. When shared with a bank, the enterprise/cooperative shall issue their consent.

About the Toolkit

A. Key Stakeholders

There are five groups that have a stake in using this Toolkit: the PRDP, DA, Cooperatives, Enterprises and Banks.

- PRDP to be able to identify enterprises/cooperatives ready to avail themselves of financing or provide further help to avail of financing.
- DA to be able to identify assistance to be further provided to the enterprises/cooperatives in terms of access to finance.
- Cooperatives/Enterprises to make its own assessment of their readiness to avail of financing to support their businesses.
- Banks to be able to make an initial assessment of the credit capacity of the enterprises/cooperatives.

B. Objectives:

To help enterprises/cooperatives assess their financing options and access to finance. This tool will help collect and assess the data. This will allow PRDP to match existing lending/financing programs of the government financial institutions to the requirement of the enterprises/cooperatives.

C. Limitations of the Tool

A 'one size fits all' approach cannot work in all the enterprises/cooperatives. The key aspects of accessing financing are the same for most organizations. This tool focuses on those key aspects. This tool only provides a general indication of financing readiness. It is not an exhaustive list of all aspects of financing. It is not an audit and a guarantee that financing will be approved based on this tool kit.

D. Data Requirements

1. Registration Documents
2. Organization Profile
3. Three-year Audited Financial Statements
4. Financial Ratios

E. Ownership and Accountability

This toolkit upon turnover by DELIVER will now belong to PRDP/DA. It is highly recommended to upgrade/enhance the toolkit as needed.

F. References

- Existing CDA assessment tool
- GFIs financing programs

Instructions in Accomplishing the FAsTMatch Toolkit

This tool kit will be used to gather data from entrepreneurs or representatives from the cooperatives. The most useful way to accomplish the data required is thru a workshop, inputs directly coming from the owner or his/her team, the knowledgeable staff of the Cooperatives, i.e., Treasurer and representatives of the Senior Management Team. The toolkit is using the [Kobo Toolbox](#) software and results can be downloaded as XLS or CSV files, both working on Microsoft Excel and OpenOffice Calc programs (please see Annex A).

Separate questions were also prepared for Micro and Small Enterprises and for Medium Enterprises and Cooperatives

The toolkit has the following components:

- I. Business Profile
- II. Statement of regulatory compliance
- III. Financial Management
- IV. Financial Performance/Financial Ratios
- V. Marketing
- VI. Results: per enterprise/cooperative and Summary Result of all Participants

- I. The profile and statement of regulatory compliance are essential as it give information on your company/cooperative's owners, members, what is your business and what products and services the company/cooperative can offer.

FastMatch Toolkit

PRIVACY NOTICE:

IN ACCORDANCE WITH REPUBLIC ACT (RA) NO. 10173, ALSO KNOWN AS THE DATA PRIVACY ACT (DPA) OF 2012, ALL INFORMATION COLLECTED THROUGH THIS TOOLKIT WILL REMAIN SECURED AND CONFIDENTIAL WITHIN THE DEPARTMENT OF AGRICULTURE (DA) AND ITS PARTNER FINANCIAL INSTITUTIONS/BANKS THAT PROVIDE ACCESS TO FINANCE SERVICES TO AGRI-ENTERPRISES. INFORMATION COLLECTED USING THIS SYSTEM WILL ONLY BE USED TO CONDUCT INITIAL FINANCIAL ASSESSMENT OF POTENTIAL LOAN APPLICANTS AND ONLY THE AUTHORIZED PERSONNEL SHALL HAVE ACCESS TO THE DATA COLLECTED.

To proceed, please tick the check box to signify your agreement to our privacy statement.

OK

Business Profile

REGISTERED BUSINESS NAME
BUSINESS ADDRESS
NAME AND DESIGNATION OF THE BUSINESS REPRESENTATIVE
CONTACT NUMBER/S <i>If contact number is more than 1, separate each contact number with a semicolon (;)</i>
EMAIL ADDRESS
CAPITALIZATION
BUSINESS CLASSIFICATION BASED ON ASSET SIZE <i>Based on asset size range of micro, small, and medium enterprises.</i>
<input type="radio"/> Micro (asset size up to P 3 million) <input type="radio"/> Small (asset size of P 3,000,001 - P 15,000,000) <input type="radio"/> Medium (asset size of P 15,000,001 - 100,000,000)

This table will assess the compliance of the enterprise/cooperative. A score of 5 if fully complied and 0 if not fully complied.

1. Compliance	Score	Remarks/ Reasons/ Supporting Documents
Registration with corresponding regulatory agency or body, compliance with standard labor laws (SSS, PAG IBIG, etc) and with financial, management and operational information (available for validation)		to be attached: CDA, Business Name Reg, etc. (as applicable), FS and other documents as maybe required
TOTAL Score for Compliance		

- I. Financial Management and Marketing will be able to demonstrate the management policies, business processes and capability of the enterprise/cooperatives in the areas of budgeting, accounting and marketing.

A self- assessment will be required for Questions on Financial Management and Marketing based on the following assessment: A corresponding score will be given for these questions.

Score	Assessment
-------	------------

5	It is the practice of the enterprise or cooperative to always work on the update
3	It is the practice of the enterprise or cooperative
0	It is not a practice by the enterprise/cooperative

Financial Management (assessment based on business category)

WE WILL ASSESS YOUR BUSINESS' FINANCIAL MANAGEMENT CAPACITY BASED ON YOUR BUSINESS CATEGORY TO PROPERLY GAUGE YOUR READINESS TO ACCESS EXTERNAL FINANCING AND MATCH YOU WITH APPROPRIATE SERVICES OFFERED BY PRDP AND OUR PARTNERS.

IS YOUR BUSINESS/ORGANIZATION A REGISTERED COOPERATIVE AND/OR A MEDIUM-SIZED ENTERPRISE? *

A medium-sized enterprise has an asset size of ₱15,000,001 - ₱100,000,000.

- Yes
- No

Financial Management (for Micro and Small Enterprises)

THIS SECTION WILL ESTABLISH THE FINANCIAL MANAGEMENT CAPABILITY OF THE ENTERPRISE/COOPERATIVE. IF YOU ANSWER YES, THEN YOU WILL BE REQUIRED TO ATTACH THE SOFT COPY OF THE RELEVANT DOCUMENT FOR VALIDATION.

Marketing (for Micro and Small Enterprises)

THIS SECTION DETERMINES THE MARKETING CAPABILITY OF THE ENTERPRISE TO PROMOTE AND EXPAND ITS CLIENT BASE AND MARKET REACH.

Some segments may require supporting documents as attachments for further validation.

1.) WE ARE CONFIDENT THAT THE BUSINESS WILL REMAIN OPERATIONAL GIVEN THE CURRENT AND FUTURE ECONOMIC CONDITIONS. *

- Yes
 No

2.) THE ORGANIZATION HAS POSITIONED ITSELF WELL EVEN IN TIMES OF DIFFICULTIES (I.E. DISASTER PREPAREDNESS PLANS, CONTINGENCY PLANS, ETC.) *

- 5 points - with approved/updated contingency plans
 3 points - no updated contingency plans
 0 point - no contingency plans

Marketing for Medium-sized Enterprises and Cooperatives

THIS SECTION DETERMINES THE MARKETING CAPABILITY OF THE ENTERPRISE TO PROMOTE AND EXPAND ITS CLIENT BASE AND REACH.

This is based on the enterprise's self-assessment scoring of 0 to 5, with 5 being the highest score. Some segments may require supporting documents as attachments for further validation.

1.) THE ORGANIZATION'S BUSINESS OPERATIONS WILL BE ABLE TO OPERATE GIVEN THE CURRENT AND FUTURE ECONOMIC CONDITIONS. *

This is based on the enterprise's self-assessment scoring of 0 to 5, with 5 being the highest score. Some segments may require supporting documents as attachments for further validation.

- Yes
 No

- II. Financial Performance and Financial Ratios. These ratios will quantify the enterprise/cooperative's liquidity, operational efficiency, and profitability to evaluate its performance over time. Ratio analysis is required by external parties that set benchmarks often tied to risk.

The list of financial ratios required is also attached and provided in excel file, Annex B. The calculation of the financial ratios should be done by the accountant and supported by appropriate document/s.

Scoring can be between 0-5 depending on the percentage of the corresponding ratio. For example, the total score of the organization's profitability ratio is 6/15. This is translated into 40%. Therefore, the profitability ratio score can be scored as 2 using this toolkit.

FINANCIAL PERFORMANCE RATIOS: Please fill up applicable indicators. If not applicable, pls put N/A

INDICATORS	PURPOSE	FORMULA	FIGURES	RESULT	STANDARD POINT	POINT
PROFITABILITY						
1.1 Return on Assets	To measure the capacity of assets to generate income	Net surplus before other items / Average Total Assets	10%	#DIV/0!	20% and above 15% to below 20% 10% to below 15% 5% to below 10% below 5%	5 4 3 2 1 3
1.2 Return on Members' Share	Measures the earning capacity of members' capital share	Amount allocated for interest on Share Capital /(Average Paid up Share Capital + Deposit for Share Capital Subscription - Treasury Shares)	6%	#DIV/0!	Higher than the inflation rate Within the inflation rate 2 points below the Inflation rate 3 points below the inflation rate Net Loss	5 4 3 2 0 5

Financial Performance (for Micro and Small Enterprises)

FINANCIAL PERFORMANCE RATING WILL BE BASED ON THE FINANCIAL PERFORMANCE RATIOS THAT YOU PROVIDE FOR EACH PERFORMANCE INDICATOR.

Scores will be determined based on set criteria. Supporting documents may also be required to be submitted for further validation.

PROFITABILITY

RETURN ON ASSETS

*

Measures the capacity of assets to generate income. Formula: Net surplus before other items / Average Total Assets

- 5 pts - 20% and above
- 4 pts - 15% to below 20%
- 3 pts - 10% to below 15%
- 2 pts - 5% to below 10%
- 1 pt - below 5%
- 0 pts - Not Applicable (N/A)

Financial Performance (for Medium-sized Enterprises and Cooperatives)

FINANCIAL PERFORMANCE RATING WILL BE BASED ON THE FINANCIAL PERFORMANCE RATIOS THAT YOU PROVIDE FOR EACH PERFORMANCE INDICATOR.

Scores will be determined based on set criteria. Supporting documents may also be required to be submitted for further validation.

PROFITABILITY

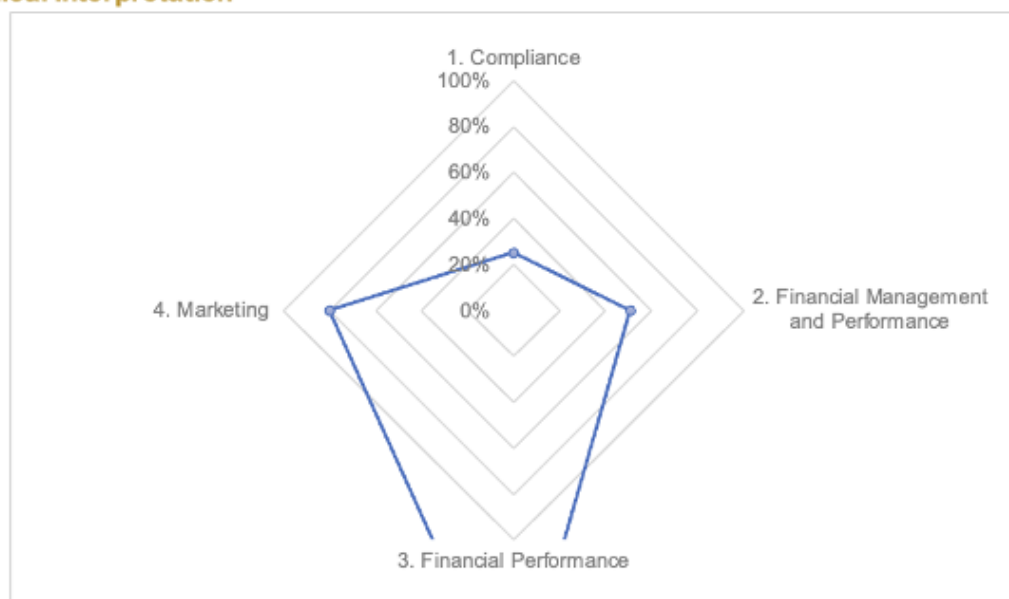
RETURN ON ASSETS *

Measures the capacity of assets to generate income. Formula: Net surplus before other items / Average Total Assets

- 5 pts - 20% and above
- 4 pts - 15% to below 20%
- 3 pts - 10% to below 15%
- 2 pts - 5% to below 10%
- 1 pt - below 5%
- 0 pts - Not Applicable (N/A)

- III. Results. The equivalent scores on the questions will be shown in this summary and will already provide an indication whether the enterprise/cooperative can explore access to financing. The results can be validated from the submitted documents.

Graphical Interpretation



The summary result will provide an indication whether the enterprise/cooperative can explore access to financing from the financial institutions. Results can also provide the enterprise/cooperative identified areas for improvement or capacity development required to be able to access financing and improve business operations.

This assessment and the supporting documents can be provided to the financial institutions, with the consent of the enterprise/cooperative. However, the financial institutions will also be evaluating the project proposal's viability and sustainability on top of the result of the FAsTMatch Toolkit.

EXISTING PROGRAMS OF DBP AND LBP (please see Annex C)

The other part of this toolkit is a summary of the programs and projects (attached as Annex B.1 and B.2) being offered by the DBP and LBP. The summary will provide the basic features of the financing programs. This will allow the enterprise/cooperative to match their need for financing vis-à-vis specific programs. This summary of programs and projects will need to be updated on a regular basis as some programs have a period for implementation or subject to availability of funding/resources.



Development Bank of the Philippines

	Sustainable Enterprises for Economic Development (SEED)	Sustainable Agribusiness Financing Program (SAFP)				
	Rediscounting Line Facility for Financial Institutions	Expanded Rice Credit Assistance Under Rice Competitiveness Enhancement Fund (ERCA-RCEF)	Swine Repopulation, Rehabilitation and Recovery (Swine R3) Credit Program (National Government Funded Loans)	Swine Repopulation, Rehabilitation and Recovery (Swine R3) Credit Program	Broiler Contract Growing Program (BCGP)	PALAY ng Lalawigan
Background	The Rediscounting Line Facility for Financial Institutions is a credit facility to supplement or augment funds needed by wholesale borrowers, where availments on the rediscounting line are made against promissory notes of sub-borrowers. It includes not only those project/ business-based enterprises but also those for eligible salary based general purpose consumption loans.	The ERCA-RCEF is a credit facility to support rice farmers, their cooperatives, and for improving the productivity of local rice farmers and increasing their income amidst liberalization of the Philippine rice trade policy.	The Swine Repopulation, Rehabilitation and Recovery Credit Program (National Government Funded Loans) is a credit window that supports the National Government's efforts in the recovery and repopulation of the local swine industry through financing of biosecured small-scale farm projects that will contribute to ensuring the availability of pork and pork products in the market.	The Swine Repopulation, Rehabilitation and Recovery Credit Program (Regular Developmental Loans) is a credit window that complements the National Government's efforts in the recovery and repopulation of the local swine industry through the financing of medium and largescale swine projects that will contribute to ensuring the availability of pork and pork products in the market.	The Broiler Contract Growing Program (BCGP) is a sub-program under the Sustainable Agribusiness Financing Program (SAFP) which is designed to encourage contract growers to expand their business by facilitating the financing of poultry broiler contract growing projects.	PALAY ng Lalawigan is a joint program of LANDBANK and the Department of Agriculture (DA) that aims to assist provincial/city/municipal local government units (LGUs) purchase the palay produced by local farmers to help cushion the effects of the drop in the farm gate price of palay in the regions Participating LGUs shall adopt a business module whereby they will operate an economic enterprise partnership with other LGUs and farmers' cooperatives and associations. Under this scheme, they will buy the palay produced by local farmers sell/supply rice in the market/government entities, such as government hospitals, jails and other entities. The LGUs could also enter into a milling arrangement with the affected rice millers, construct



Landbank of the Philippines

	Sulong Saka	Agricultural Credit Support Project	Agricultural and Fishers Financing Program	Agricultural Competitiveness Enhancement Fund (ACEF)	DA Sikat Saka Program	PALAY ng Lalawigan
Background	<p>The Sulong Saka Program aims to provide credit assistance to farmers cultivating high-value crops such as banana, cacao, coffee, oil palm, rubber, vegetables, among others and for various qualified stakeholders to support their production, processing, marketing and other agribusiness projects.</p>	<p>Contributing to the National Government's goal of poverty reduction, the Agricultural Credit Support Project (ACSP) offers loan funds toward increasing investments, creating new job opportunities, and improving agricultural productivity in the rural areas. The ACSP provides credit support to agriculture and agri-related projects within a value chain.</p> <p>The Department of Agriculture, Department of Agrarian Reform, Department of Environment and Natural Resources and Land Bank of the Philippines partnered to provide credit assistance to Agrarian Reform Beneficiaries (ARBs) through their respective organizations and support their on-farm and off-farm activities whether individual or communal projects.</p>	<p>The LANDBANK Agricultural and Fisheries Financing Program (AFFP) provides small farmers with fishers access to formal credit to finance their economic activities.</p> <p>The AFFP is being implemented in partnership with the Department of Agriculture (DA) and the Agricultural and Credit Policy Council pursuant to the General Appropriations Act of 2013.</p>	<p>The ACEF Lending Program aims to provide necessary credit to farmers and fisherfolk and their cooperatives and associations and micro and small enterprises to increase their productivity; and to establish an agricultural lending program that enhances competitiveness of target project beneficiaries or sectors especially the small farmers and fisherfolk.</p>	<p>The Sikat Saka I and II Program offers a direct credit window from LANDBANK and integrated support from the Department of Agriculture to small palay and corn farmers to improve their creditworthiness and the viability of crop production.</p> <p>PROGRAM PARTNERS</p> <ul style="list-style-type: none"> • Agricultural Credit Policy Council (ACPC) • National Food Authority (NFA) • National Irrigation Administration (NIA) • Agricultural Training Institute (ATI) • Philippine Crop Insurance Corporation 	<p>PALAY ng Lalawigan is a joint program of LANDBANK and the Department of Agriculture (DA) that aims to assist provincial/city/municipal local government units (LGUs) purchase the palay produced by local farmers to help cushion the effects of the drop in the farm gate price of palay in the regions</p> <p>Participating LGUs shall adopt a business module whereby they will operate an economic enterprise partnership with other LGUs and farmers' cooperatives and associations. Under this scheme, they will buy the palay produced by local farmers sell/supply rice in the market/government entities, such as government hospitals, jails and other entities. The LGUs could also enter into a milling arrangement with the affected rice millers, construct a milling facility of their own or lease a milling facility.</p>

Annexes:

A. Excel file of the Toolkit

B.1 Existing financing programs of the Development Bank of the Philippines (DBP)

B.2 LandBank of the Philippines (LBP)

Appendix 1-E. Internal and External Analysis (Strength, Weaknesses, Opportunities, Threat)

Strategic planning is done by an organization when: a) looking at new markets to enter; b) planning growth and overall business strategy; c) dealing with competitors; d) creating action plans; e) choosing between different strategic investments; and f) predicting uncertainty in the future. Undertaking strategic planning before the preparation of the capacity development plan will help the enterprise to be more realistic in setting-up plans and targets. Strategic planning will be done using Internal and External Assessment or what is commonly called SWOT Analysis.

a) Internal Assessment (Strength and Weaknesses)

The performance of the organization from the previous plan period, or the immediate past five (5) years, as applicable, will be reviewed. The assessment will focus on the five aspects namely; operations, organization and management, marketing, financial management and sustainability and inclusivity. The assessment should highlight gaps in capacities, competencies and change readiness of the organization. Capacities include systems and processes that enable the organization to pursue its mandate and smoothly undertake its day-to-day operations. Competencies are knowledge, skills and attitudes related to the performance of functions on all levels of the organization. Change readiness determines how prepared the enterprise is in embracing or acting on change.

b) External Assessment (Opportunities and Threats)

External realities are factors that are beyond the enterprise's control that cannot be influenced by its own policies and decisions. Social, Political and Policy, Economic, Ecological and Technological or SPEET factors represent the external environment. Social factors are services such as education, health, shelter, water and sanitation, cultural beliefs, values, customs and traditions that affect or characterize the stakeholders the enterprise seeks to serve. Political factors are laws, policies, strategies and program thrusts of the national government, public sectors, other organizations, groups and individuals that have an interest in the work of the enterprise and exert influence to varying degrees. Economic factors are investments, productive assets, employment and livelihood, incomes, markets, prices, goods and services produced by and for the sectors that the enterprise seeks to serve. Ecological factors are natural, biological and physical resources and its conditions, the sustainability and quality of the services that these resources provide, and the life forces that it produces such as natural food, air, water, and nutrients. This also includes natural phenomena and hazards that affect large communities which may result in disasters and suffering. Technological factors pertain to automation, information systems, equipment and facilities, process improvements and other developments that facilitate work and provide opportunities for the enterprise to improve efficiency.

The SWOT Analysis will use the following matrix:

Aspect	Strengths	Weaknesses	Opportunities	Threats
Organization and Management				
Enterprise Operation				
Marketing				
Financial Management				
Sustainability and inclusivity				

Appendix 1-G. List of Training Modules for Capability Building Plans of the FCA/FCA Clusters

- Integrated Business Licensing/Registration
- Basic Business Recording
- Understanding Financial Statements
- Bookkeeping and Basic Accounting for Non-Accountant
- Basic Pricing and Costing
- Taxation for Small and Medium Enterprises
- Social Mobilization
- Training on Cooperativism
- Market Awareness
- Market Info Skill
- Trade Fair Participation
- Marketing and Promotion for the Manufacturing (Value Chain, Food Safety, Good manufacturing Practices)
- Orientation on Philippine National Standard (based on crop)
- Green Values (Waste Materials; Climate Change Adaptation; Environmental Friendly Strategies)
- Financial counseling
- Entrepreneurial Mind Setting and Values Formation
- Records and Information Management
- How to Secure Business Loan
- Effective Selling and Negotiation Skills for MSMEs
- Effective Purchasing Management
- Material Management and Inventory Control (MMIC)
- Problem Solving and Decision-Making Techniques
- Quality Customer Service
- Customer Relationship Management
- Proper Handling of Food and Food Safety Awareness
- Introduction to Hazard Analysis and Critical Control Points (HACCP)
- Basic Principles of Good Manufacturing Practice (GMP)
- Branding Your Business
- Packaging and Labeling of Food Products
- Training on Nutrition Labeling
- Fundamental of 5S or Good Housekeeping
- How to Effectively Participate in Trade Fairs
- Awareness on Business Continuity Planning and Management
- Greening the Business Performance of MSMEs
- Stress Management
- Digital Marketing
- Visual Merchandising
- Creative and Selling Techniques
- Sales, Distribution, Collections
- Seminar on Patent, Trademarks, and Copyright
- Total Productive Maintenance
- Lean Management
- Failure Mode and Efficiency Analysis
- Introduction to Green Procurement Requirement
- Business Expansion through Franchising
- Market Info Sessions/Market Intelligence
- Product Development Clinics
- Process & Product Standardization
- Packaging & Labeling
- Export Mentoring
- Website Development
- Trainings
- Preparation of Promotional Material
- National/Regional Trade Shows/ Visual Merchandising
- Business Matching
- Good Agricultural Practices (GAP)
- Integrated Pest Management (IPM)
- Gender and Development Training
- Cultural Sensitivity and IKSP Training
- Grievance Redress Mechanism and Conflict Management
- Occupational Safety and Health
- Solid and Liquid Waste Management
- Pollution Control and Management

Appendix 1-H. List of Business Development Service Providers

Interventions	Partner or Cooperating Agency
Trainings and Seminars	<p>Department of Agriculture (AMAS, ATI, BAFS, BAR, PhilFIDA, SRA, PCA, NDA, PCC, PhilRice,)</p> <p>Department of Trade and Industry (Go Negosyo, Small and Medium Enterprise Roving Academy)</p> <p>Department of Agrarian Reform Cooperative Development Authority Department of Science and Technology</p> <p>Technical Education and Skills Development Authority (TESDA)</p> <p>State Universities and Colleges</p> <p>Government Accredited Training Organizations (for on-site learning) Non-Government Organizations (Philippine Center for Entrepreneurship) Local Government Units</p>
Financing/ Credit/ Insurance	<p>Land Bank</p> <p>ACPC</p> <p>Financial Institutions (Rural Banks, Commercial Banks) Department of Trade and Industry – Small Business Corporation Department of Labor and Employment</p> <p>Micro-Financing Institutions (CARD, ASA Philippines, Negros Women, TSKI, Mindanao Micro-Finance Council)</p> <p>Non-Government Organization (Peace and Equity Foundation, Foundation for a Sustainable Society, Inc.)</p> <p>PCIC – for insurance</p>
Market Linkage	<p>Department of Agriculture</p> <p>LGUs</p> <p>Department of Trade and Industry</p> <p>Taytay Sa Kauswagan, Inc. (TSKI)</p>
Postharvest, processing and marketing facilities, equipment and infrastructure	<p>Department of Agriculture (Commodity Programs, PhilMech , PCA, SRA, PCA, among others)</p> <p>Department of Agrarian Reform Department of Trade and Industry</p> <p>DOST</p> <p>DOLE</p> <p>LGUs</p> <p>International NGOs</p>
Technologies and Standards	<p>DA, DAR, PhilMech, PhilRice, IRRI, DOST, PCARRD, BPI, BAFS, LGUs, SUCs</p> <p>Bureau of Animal Industry, FDA, BAFE, Seed Companies, Feeds Manufacturers</p>

