

## RISK ASSESSMENT AND RISK MANAGEMENT PLAN

Risk Description	Rating	Mitigation Measures	Responsibility
<b>Country-Specific</b>			
Limited capacity of vaccine suppliers to meet global demand, including that from the Philippines, leads to delays in delivery.	S	Government will continue to engage with vaccine suppliers and meet documentation requirements and payment terms (e.g., advance payment) in a timely manner.	COVID-19 Vaccine Cluster, DOF, DOH
Rising infection and community transmission with the more transmissible coronavirus variants (Delta and other future variants) in the country.	H	Government will accelerate vaccinations by expanding the target population, introducing additional or booster vaccine doses, enforcing consistent public health surveillance, implementing NPIs, and strengthening genomic surveillance.	IATF, DOH, LGUs
Weak PFM pillars of budget reliability, accounting and reporting, and external scrutiny. Inconsistent compliance and unfavorable corruption perception.	S	Government will continue implementing PFM reforms and related initiatives such as the PFM Reform Roadmap, and the Good Governance and Anticorruption Cluster Plan.	DBM, DOF, COA
There is variation in the form and content of local public finance reporting, weakening vertical linkages between planning and budgeting at municipal, provincial, and regional levels. Transparency and public disclosures have improved since the introduction of a "Full Disclosure" policy in 2012, but variations across LGUs make it difficult to reliably compare performance, or for central government to obtain a comprehensive picture of local spending.	S	<p>In December 2014, the IMP was established as the national corruption prevention program of the government. An Integrity Management Committee created in each department will continue to oversee and ensure the effective implementation of the IMP, as well as all integrity management initiatives and measures.</p> <p>Government will ensure that agencies to continue to use the operational guidelines issued in April 2015 as a do-it-yourself manual in IMP implementation.</p> <p>The national anti-corruption resolution, signed by key government officials, was presented to the President during the 3rd State Conference of the United Nations Convention against Corruption in December 2015. The resolution was handed over by the Ombudsman who also relayed a progress report on the creation of the 5-year anti-corruption framework. The resolution called on all the relevant government agencies, concerned private sector groups, and civil society organizations to continue their active participation and engagement on various consultation efforts relative to progress on the United Nations Convention against Corruption compliance and anti-corruption initiatives of the government.</p>	DOH, ADB

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<p><b>Sector-Specific</b></p> <p>Constrained health system, National Immunization Program and routine immunization capacities will affect the timely implementation of the COVID-19 vaccination plan.</p> <p>The need to focus on accelerating COVID-19 vaccinations has weakened LGUs' capacity to provide non-COVID-19 health services. Ensuring the timely delivery of vaccines including boosters to priority populations remains a challenge.</p> <p>Target groups—such as elderly, adolescent indigents, and people with medical conditions—are not appropriately identified.</p>	<p>M</p> <p>H</p> <p>M</p>	<p>ADB will continue to assist DOH in strengthening the health system through the HEAL project and in implementing the Universal Health Care law. ADB will continue to provide technical assistance and policy advisory support to DOH.</p> <p>DOH will continue to strengthen the country's health system with development partners such as the World Health Organization, UNICEF, ADB, and the World Bank. It will work more closely with LGUs in ensuring sustained delivery of essential health services. The DOH has developed strong communication and health promotion campaigns including for routine immunization. The advice of the Health Technology Assessment Council and vaccine expert panel on booster shots is expected to consider LGU capacity.</p> <p>DOH will work closely with LGUs, civil society organizations, health professionals, and the Department of Social Welfare Development to ensure proper identification of target groups.</p>	<p>DOH, ADB</p> <p>DOH, DILG, LGUs, Development Partners, HTAC, vaccine expert panel</p> <p>DOH, LGUs, CSOs</p>
<p><b>Project-Specific</b></p> <p>Low readiness to introduce COVID-19 vaccines at subnational and community levels.</p> <p>Misalignment of prioritization and inefficient identification and registration of target vaccinees between central and subnational and/or local government levels.</p> <p>Pre-implementation such as master listing, registration, and screening procedures slow down vaccine</p>	<p>M</p> <p>M</p> <p>M</p>	<p>National, regional, and local COVID-19 vaccination operations centers will be established and become operational at all levels. ADB through DOH and UNICEF will conduct subnational level assessments and identify needs and interventions to improve readiness. It will also leverage its operation in social protection relevant for community engagement, health, and education platform for poor households, e.g., family and/or youth development sessions to increase health literacy and vaccine promotion.</p> <p>The Philippine National Deployment and Vaccination Plan for COVID-19 Vaccines provides guidelines on the roles of the national government and LGUs on prioritization and vaccine delivery. Use of existing national targeting mechanisms and databases will facilitate identification of priority vaccines, and mapping of vaccine administration (e.g., DOH and LGU health professionals, medical practitioners' associations, <i>Listahanan</i> database, 4Ps PPIS, senior citizens).</p> <p>LGUs have made vaccination or micro-plans, and prepared master-listing. The deployment of VIMS helps to harmonize</p>	<p>ADB, DOH, DSWD</p> <p>DOH, DILG, DSWD, LGUs</p> <p>DOH, DSWD, DND, DILG-PNP, LGUs</p>

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administration and limit meeting the daily target for vaccination.		with existing national databases to fast-track and accurately register vaccinees, particularly the priority target groups.	
Vaccine hesitancy, particularly among the poor and vulnerable populations (e.g., senior citizens), is exacerbated by inaccurate social media reporting on side effects.	H	DOH will continue to improve the design and implementation of its COVID-19 demand and risk communication plan. It will more intensively engage with doctors and health workers to generate willingness for COVID-19 vaccination. It will also strengthen the COVID-19 call center and hotline "1555" and establish grievance mechanisms linked to the call center and hotline.	Technical Group on Demand Generation and Communication, DOH
Lack of public health practitioners to effectively and efficiently roll-out COVID-19 vaccination deployment plan including conduct of training for local governments (about 1500 municipalities, 145 cities and 42,000 barangays) delays nationwide vaccination in 2021.	S	Government will prepare a detailed human resource mobilization, deployment, and training operation plan. In addition to DOH and trained human resources for health, medical associations, and networks of schools will support DOH in training the LGUs, technical staff, and vaccination teams.	DOH, COVID-19 Vaccine Cluster
Weak monitoring and evaluation results in ineffective risk management.	M	DOH and DICT are rolling out VIMS and ensure that vaccine suppliers prepare risk management plans, which includes communicating with the Food and Drug Administration of the Philippines all events undermining vaccination, other updates with explanations and clarifications.	DICT, DOH
Lack of preparedness for the delivery and administration of vaccines curtails the ability to efficiently distribute vaccines received under the project.	M	Preparedness activities—including procurement of goods and services needed to deliver and administer vaccines (e.g., safety boxes, personal protective equipment, cold chain equipment)—are monitored and synchronized with vaccine delivery. DOH and NVOC draw lessons from administration of the initial COVAX vaccine doses to improve vaccination.	DOH, LGUs
Challenges in ensuring good governance and weaknesses in the inventory management system may result in vaccines and ancillary goods and supplies being lost, damaged, or misappropriated.	H	<p>COA will conduct a performance or compliance audit covering the accountability and transparency, in addition to the regular financial audit of DOH's financial reports.</p> <p>DOF as the identified oversight body will ensure adequate project oversight and donor coordination to prevent and mitigate corruption risk.</p> <p>The executing and implementing agencies will access and check ADB's complete sanctions list to ensure potential contractors, consultants and its</p>	DOH, COA

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<p>Incomplete inventory and mapping of logistics capacity down to local government and community levels result in lack of support from concerned units.</p> <p>Outdated system and protocols for vaccine stock management and operating procedures lead to wastage of vaccines.</p> <p>Stretched capacity at DOH due to resources deployed to tackle current COVID-19 infections as well as deploying resources to prevent future infections during the vaccine rollout.</p> <p>Procurement and distribution of the COVID-19 vaccines is a complex project requiring the interaction of multiple stakeholders and engagement of multiple areas of expertise including procurement, specialized supply chain management, clinical, clerical, and extensive IT expertise. The DOH may not have the project management or technical skills to implement such a complex project.</p>	<p>M</p> <p>M</p> <p>S</p> <p>S</p>	<p>team members and other suppliers' eligibility.</p> <p>ADB, under its technical assistance,<sup>a</sup> will conduct integrity knowledge management sessions for DOH, Project Management Team and other project stakeholders to increase their awareness and compliance with ADB's Anticorruption Policy.</p> <p>DOH will sustain and cascade rolled-out training (at the central and regional offices) to LGUs at all levels, as needed.</p> <p>DOH will set-up the VIMS as described in the Philippine National Deployment and Vaccination Plan for COVID-19 Vaccines, and assign dedicated experts who will monitor, analyze, and provide policy relevant information to DOH and COVID-19 Vaccine Cluster for decision.</p> <p>Prior to project effectiveness, DOH will identify and assign the appropriate offices including external stakeholders and personnel to project activities, and clearly set management and coordination functions.</p> <p>Government will outline detailed stakeholder engagement plans with clear delegation of responsibilities; update inventory management procedures with cold storage handling protocols along with training for key stakeholders; and engage external experts to support project delivery where necessary and appropriate.</p>	<p>DOH, DICT</p> <p>DOH, DICT</p> <p>DOH</p> <p>DOH, DOF, DICT</p>
<p><b>Fiscal</b></p> <p>Fiscal space for national health and immunization programs is reduced as the allocation for local governments is increased by about 27.5% by 2022 and thereafter (40% national tax share).</p>	<p>S</p>	<p>Government will continue policy dialogue with development partners to ensure adequacy of fiscal resources for implementation of COVID-19 vaccination program, and thus reducing weaknesses of credibility and predictability of funds availability.</p>	<p>DOF, DBM, NEDA, DOH</p>
<p><b>Public Financial Management</b></p> <p>Limited DOH capacity to effectively oversee financial management arrangements while ensuring fiduciary controls and timely reporting.</p>	<p>H</p>	<p>DOH has engaged a financial management consultant to support its financial reporting. ADB will provide training to DOH finance staff on financial management and disbursements.</p>	<p>DOH</p>

