



## Bids and Awards Committee

### REQUEST FOR PROPOSAL (RFP) No. 2020-SVP-063

The Securities and Exchange Commission (SEC), through its Bids and Awards Committee (BAC), will undertake an **Alternative Method of Procurement through Negotiated Procurement** for the item stated below, in accordance with **Section 53.9 Small Value Procurement** of the Revised Implementing Rules and Regulations of Republic Act. No. 9184.

The SEC hereinafter referred to as “the Purchaser”, now requests submission of a price quotation for the subject below:

<b>Amendment APP 2020-01</b>	<b>PR No.</b>	<b>Description</b>	<b>Approved Budget for the Contract (ABC) inclusive of VAT</b>
Item no. II.J.3	202003092	Engagement of a Facilitator for the Conduct of the Agency Performance Planning and Review Conference  (See attachment 2 for Terms of Reference)	<b>Php800,000.00</b>

Interested suppliers are required to submit the following documents:

1. Mayor's/Business Permit
2. Professional Licenses/Curricula Vitae of Key Personnel to be Assigned in the Project
3. Company Profile (including the list of similar projects conducted)
4. PhilGEPS Registration Number
5. Latest Income/Business Tax Return
6. Omnibus Sworn Statement with duly notarized Secretary's Certificate for Corporation (Attachment 3)

SEC Condition of Sales:

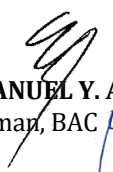
1. Delivery Schedule: Immediately upon receipt of approved NTP
2. Validity: Sixty (60) calendar days from submission of bid
3. Delivery Site: ERTD, G/F Secretariat Bldg., PICC Complex, Pasay City

Award of contract shall be made to the bidder with the highest rating for the subject engagement which complies with the minimum technical specifications and other terms and conditions stated herein.

Any alterations, erasures, or overwriting shall be valid only if they are signed or initialed by the bidder or his/her duly authorized representative.

Submission of duly signed Price Proposal (Attachment 1) and eligibility documents is not later than **5:00 P.M. of October 27, 2020** at the Procurement Division, 3rd Floor, Secretariat Building, PICC Complex, Pasay City. Open submission may be done, manually or through Facsimile No. 8818-5330 or via email at [fpbaluyot@sec.gov.ph](mailto:fpbaluyot@sec.gov.ph)

The SEC reserves the right to reject any and all bids, declare a failure of bidding, or not award the contract in accordance with Section 41 of RA 9184 and its IRR, without thereby incurring any liability to the affected bidder or bidders.

  
**EMMANUEL Y. ARTIZA**  
Chairman, BAC

**PRICE PROPOSAL FORM**

Date: \_\_\_\_\_

The Bids and Awards Committee  
 c/o Procurement Division  
 3<sup>rd</sup> Floor, Secretariat Building,  
 PICC Complex, Pasay City

Sir/Madam:

After having carefully read and accepted the terms and conditions in the Request for Proposal, hereunder is our price proposal for the items identified below:

Item no.	Article and Descriptions	Qty.	Total Price (VAT Inclusive)
1	Engagement of a Facilitator for the Conduct of the Agency Performance Planning and Review Conference  (See attachment 2 for Terms of Reference)	1 Lot	Php _____

**AMOUNT IN WORDS:** \_\_\_\_\_ (VAT inclusive)

The above-quoted price is inclusive of all costs and applicable taxes

**AUTHORIZED REPRESENTATIVE:**

Signature : \_\_\_\_\_  
 Printed Name : \_\_\_\_\_  
 Date : \_\_\_\_\_  
 Company Name : \_\_\_\_\_  
 Contact no. : \_\_\_\_\_

## *Terms of Reference*

### **I. TITLE**

Engagement of a Facilitator for the Conduct of the Agency Performance Planning and Review Conference (APPRC) of the Securities and Exchange Commission (SEC)

### **II. BACKGROUND**

In 2019, the SEC formulated its 7-year Strategic Plan dubbed as “SEC SuperVision 2019-2025” or “SuperVision 2025”. The SuperVision establishes the direction where the SEC is headed to for the next seven years. It contains the Commission’s Strategy Map, Strategic Objectives, Balanced Scorecard with Annual Targets, and Strategic Initiatives Profiles wherein the execution plans of the projects are also specified.

To assess whether the SuperVision targets for 2019 and 2020 are realized, the SEC intends to conduct an Agency Performance Planning and Review Conference (APPRC) in November 2020. Further, it aims to revisit the SuperVision and anchor the same to the SEC Digital Transformation and Technology Modernization Roadmap, and take into consideration the impact of the COVID-19 pandemic. This TOR describes the Facilitator’s roles and objectives during the conference.

### **III. OBJECTIVES**

To facilitate the conduct of the APPRC, which aims to:

1. Scan the Commission’s internal and external environment including the impact of the COVID-19 pandemic;
2. Assess the mid-year achievement of the FY 2020 performance commitments and strategic initiatives’ milestones reflected in the SuperVision 2025;
3. Anchor the SuperVision 2025 to the SEC Digital Transformation and Technology Modernization Roadmap; and
4. Set the FY 2021 strategic direction, performance commitments, strategic initiatives and corresponding budgetary requirements.

### **IV. EXPECTED OUTPUTS**

To assist the SEC officials in producing the following outputs by the end of the conference:

1. Updated SWOT, SEC Risk Register, Opportunities for Improvement and corresponding Action Plans;
2. Updated SEC SuperVision 2025 anchored to the SEC Digital Transformation and Technology Modernization Roadmap, including the Strategic Initiatives and Execution Plans; and
- 3 FY 2021 Office/Department Performance Commitment and Review (OPCR) Forms.

### **V. METHODOLOGY**

The Balanced Scorecard (BSC) Approach and the Program Expenditure Classification (PREXC) Approach will be used in firming up the Commission-wide performance commitments, i.e., the SEC Balanced Scorecard, Strategic Initiatives and Execution Plans. The Strategic Performance Management System (SPMS) will be used to cascade these Commission-wide performance commitments to the Departments/Offices concerned through the OPCR Forms. The Success Indicators contained in the OPCR Forms, in turn, will be the basis for the achievement of planned objectives and targets for the SEC Quality Management System (QMS).

The SEC QMS, specifically the Risk and Opportunity Procedure (SEC-QMS-SP-10) and Management Review (SEC-QMS-SP-04) shall be the guiding documents in the risk identification, risk assessment and risk treatment of the agency, and the management review process.

Considering the limitations brought about by the COVID-19 pandemic, the Facilitator must be able and ready to conduct the conference sessions online via a video conferencing tool such as, but not limited to, Zoom.

The Facilitator must be able to encourage the active involvement of all participants in the discussions, group activities, and open forums.

The Facilitator is also expected to be able to energetically conduct sessions using multiple methods such as power point, practical exercises, ready reference, take away notes for participants, participatory games, and/or interactive videos.

## **VI. ACTIVITIES**

The Facilitator will lead the APPRC wherein the following outputs will be presented for the Commission En Banc's approval:

- a. Updated SWOT, SEC Risk Register, Opportunities for Improvement and corresponding Action Plans;
- b. Updated SEC SuperVision 2025 anchored to the SEC Digital Transformation and Technology Modernization Roadmap, including the Strategic Initiatives and Execution Plans; and
- c. FY 2021 OPCR Forms of Departments/Offices.

## **VII. CRITERIA FOR EVALUATION OF PROSPECTIVE FACILITATOR**

The prospective facilitator and the proposal submitted will be evaluated and rated according to the following criteria:

Experience and Capability of the Facilitator/Service Provider - 40%  
Approach and Methodology - 40%  
Government Accreditation - 20%  
Total - 100%

## **VIII. INDICATIVE BUDGET**

Please quote Professional Fee on the condition that all activities will be held online via a video conferencing tool

**Omnibus Sworn Statement (Revised)**  
***[shall be submitted with the Bid]***

---

REPUBLIC OF THE PHILIPPINES )  
 CITY/MUNICIPALITY OF \_\_\_\_\_ ) S.S.

**AFFIDAVIT**

I, [Name of Affiant], of legal age, [Civil Status], [Nationality], and residing at [Address of Affiant], after having been duly sworn in accordance with law, do hereby depose and state that:

1. *[Select one, delete the other:]*

*[If a sole proprietorship:]* I am the sole proprietor or authorized representative of [Name of Bidder] with office address at [address of Bidder];

*[If a partnership, corporation, cooperative, or joint venture:]* I am the duly authorized and designated representative of [Name of Bidder] with office address at [address of Bidder];

2. *[Select one, delete the other:]*

*[If a sole proprietorship:]* As the owner and sole proprietor, or authorized representative of [Name of Bidder], I have full power and authority to do, execute and perform any and all acts necessary to participate, submit the bid, and to sign and execute the ensuing contract for [Name of the Project] of the [Name of the Procuring Entity], as shown in the attached duly notarized Special Power of Attorney;

*[If a partnership, corporation, cooperative, or joint venture:]* I am granted full power and authority to do, execute and perform any and all acts necessary to participate, submit the bid, and to sign and execute the ensuing contract for [Name of the Project] of the [Name of the Procuring Entity], as shown in the attached [state title of attached document showing proof of authorization (e.g., duly notarized Secretary's Certificate, Board/Partnership Resolution, or Special Power of Attorney, whichever is applicable)];

3. [Name of Bidder] is not "blacklisted" or barred from bidding by the Government of the Philippines or any of its agencies, offices, corporations, or Local Government Units, foreign government/foreign or international financing institution whose blacklisting rules have been recognized by the Government Procurement Policy Board, **by itself or by relation, membership, association, affiliation, or controlling interest with another blacklisted person or entity as defined and provided for in the Uniform Guidelines on Blacklisting;**
4. Each of the documents submitted in satisfaction of the bidding requirements is an authentic copy of the original, complete, and all statements and information provided therein are true and correct;
5. [Name of Bidder] is authorizing the Head of the Procuring Entity or its duly authorized representative(s) to verify all the documents submitted;

6. *[Select one, delete the rest:]*

*[If a sole proprietorship:]* The owner or sole proprietor is not related to the Head of the Procuring Entity, members of the Bids and Awards Committee (BAC), the Technical Working Group, and the BAC Secretariat, the head of the Project Management Office or the end-user unit, and the project consultants by consanguinity or affinity up to the third civil degree;

*[If a partnership or cooperative:]* None of the officers and members of [Name of Bidder] is related to the Head of the Procuring Entity, members of the Bids and Awards Committee (BAC), the Technical

Working Group, and the BAC Secretariat, the head of the Project Management Office or the end-user unit, and the project consultants by consanguinity or affinity up to the third civil degree;

*[If a corporation or joint venture:]* None of the officers, directors, and controlling stockholders of *[Name of Bidder]* is related to the Head of the Procuring Entity, members of the Bids and Awards Committee (BAC), the Technical Working Group, and the BAC Secretariat, the head of the Project Management Office or the end-user unit, and the project consultants by consanguinity or affinity up to the third civil degree;

7. *[Name of Bidder]* complies with existing labor laws and standards; and
8. *[Name of Bidder]* is aware of and has undertaken the responsibilities as a Bidder in compliance with the Philippine Bidding Documents, which includes:
  - a. Carefully examining all of the Bidding Documents;
  - b. Acknowledging all conditions, local or otherwise, affecting the implementation of the Contract;
  - c. Making an estimate of the facilities available and needed for the contract to be bid, if any; and
  - d. Inquiring or securing Supplemental/Bid Bulletin(s) issued for the *[Name of the Project]*.
9. *[Name of Bidder]* did not give or pay directly or indirectly, any commission, amount, fee, or any form of consideration, pecuniary or otherwise, to any person or official, personnel or representative of the government in relation to any procurement project or activity.
10. **In case advance payment was made or given, failure to perform or deliver any of the obligations and undertakings in the contract shall be sufficient grounds to constitute criminal liability for Swindling (Estafa) or the commission of fraud with unfaithfulness or abuse of confidence through misappropriating or converting any payment received by a person or entity under an obligation involving the duty to deliver certain goods or services, to the prejudice of the public and the government of the Philippines pursuant to Article 315 of Act No. 3815 s. 1930, as amended, or the Revised Penal Code.**

IN WITNESS WHEREOF, I have hereunto set my hand this \_\_ day of \_\_, 20\_\_ at \_\_\_\_\_, Philippines.

*[Insert NAME OF BIDDER OR ITS AUTHORIZED REPRESENTATIVE]*

*[Insert signatory's legal capacity]*

Affiant

**[Iurat]**