



Bids and Awards Committee

REQUEST FOR QUOTATION (RFQ) No. 2021-SVP-24

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:

APP 2021	PR No.	Description	Approved Budget for the Contract (ABC) inclusive of VAT
Item no. II.C.3	2021-09-147	Engagement of Services of Certifying Body for the Recertification of the SEC Quality Management System to ISO 9001:2015 Standards <i>(Refer to Attachments 2 for the Minimum Technical Specifications)</i>	Php510,000.00

Interested suppliers are required to submit the following documents:

1. Valid Mayor’s/Business Permit
2. PhilGEPS Registration Number
3. Omnibus Sworn Statement (See Attachment 3)
Unauthorized omnibus sworn statement is acceptable subject to compliance therewith after the award of contract in accordance with GPBB Resolution No.09-2020

SEC Condition of Sales:

1. Delivery Schedule: Within thirty (30) calendar days upon receipt of approved PO/NTP
2. Validity: Sixty (60) calendar days from submission of bids
3. Delivery Site: General Services Division, 3rd Floor, Secretariat Building, PICC Complex, Pasay City


Award of contract shall be made to the bidder with the lowest quotation for the subject goods 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 Quotation Form (Attachment 1) and eligibility documents is not later than **05:00 P.M. of October 7, 2021 (Thursday)** at the Procurement Division, 3rd Floor, Secretariat Building, PICC Complex, Pasay City. Open submission may be done, manually, through Facsimile No. 8818-5330, or via email (bacsecretariat@sec.gov.ph).

The penalty for late deliveries is one tenth (1/10) of one (1) percent of the cost of the unperformed portion for every day of delay until actual delivery or performance. Once the amount of liquidated damages reaches ten percent (10%), the Procuring Entity may rescind or terminate the Contract without prejudice to other courses of action and remedies open to it.

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.


ARMANDO A. PAN JR.
BAC Chairman

**PRICE QUOTATION
FORM RFQ No. No. 2021-SVP-24**

Date: _____

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

Sir/Madam:

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

Item no.	Article and Descriptions	Qty.	Unit price	Total Price (VAT Inclusive)
1	Engagement of Services of Certifying Body for the Recertification of the SEC Quality Management System to ISO 9001:2015 Standards <i>(Refer to Attachments 2 for the Minimum Technical Specifications)</i>	1.00	Php _____	Php _____
TOTAL				Php _____

AMOUNT IN WORDS: _____ (VAT inclusive)

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

Very truly yours,

AUTHORIZED REPRESENTATIVE:

Signature : _____
 Printed Name : _____
 Date : _____
 Company Name : _____
 Contact no. : _____

TERMS OF REFERENCE

I. PROJECT TITLE

Engagement of Services of a Certifying Body for the Recertification of the Securities and Exchange Commission (SEC) Quality Management System (QMS) to ISO 9001:2015 Standards

II. ESTIMATED BUDGET FOR THE CONTRACT

FIVE HUNDRED TEN THOUSAND PESOS (PhP 510,000.00), VAT Inclusive

III. PROJECT DURATION

Three years (2021–2023)

IV. PROJECT OBJECTIVES

The overall objective of the engagement is to provide independent confirmation that the SEC QMS meets ISO 9001:2015 requirements, and if found compliant, issue the corresponding Certification and conduct the required Surveillance Audits.

V. PROJECT DESCRIPTION

The project involves the supply of services of a third party Certifying Body to conduct recertification audits of the SEC QMS based on ISO 9001:2015 Standard; issue ISO 9001:2015 Certificate; and conduct the surveillance audits within the prescribed period.

VI. QUALIFICATIONS OF CERTIFYING BODY

The Certifying Body must be duly accredited by the Department of Trade and Industry – Philippine Accreditation Bureau (DTI-PAB) with PNS ISO/IEC 17021-1:2015 to provide QMS certification to ISO 9001:2015 for L75: Public Administration. Furthermore, the Certifying Body shall have a locally SEC-registered office accredited to both the DTI-PAB and an international accreditation body.

The Certifying body must have a minimum of five years of experience in conducting ISO QMS audits/certification.

VII. SCOPE OF WORK

The Recertification and Surveillance Audits shall cover the SEC QMS, in particular: (1) For the Head Office - Provision of regulatory services over the corporate sector, the capital market participants, and the securities and investments market in the Philippines, and protection of the investing public; and (2) For the nine Extension Offices – Provision of registration of partnerships and corporations doing business in the Philippines.

- a. Preparation of Stage 1 and Stage 2 audit plans

- b. Conduct of Stage 1 and Stage 2 audits
- c. Preparation of Stage 1 and Stage 2 audit reports
- d. Evaluation of correction/corrective and preventive actions
- e. Issuance of ISO 9001:2015 Certificates for the Head Office and the nine Extension Offices
- f. Conduct of two surveillance audits and confirmation of ISO 9001:2015 Certificate.
- g. The Head Office and all nine Extension Offices shall be covered with audits within the span of the certification.

VIII. DELIVERABLES AND TERMS OF PAYMENT

- a. Stage 1 Audit: Document Audit
 - Stage 1 Audit Plan
 - Conduct of Stage 1 Audit
 - Stage 1 Audit Report
- b. Stage 2 Audit: On-Site Audit
 - Stage 2 Audit Plan
 - Conduct of Stage 2 Audit
 - Stage 2 Audit Report
- c. Acceptance Report of Correction/Corrective and Preventive Measures
- d. ISO 9001:2015 Certificate to be issued 3 weeks after the conduct of certification audit.
- e. 1st Surveillance Audit conducted not later than 12 months after the last day of Stage 2 Audit
 - 1st Surveillance Audit Plan
 - Conduct of 1st Surveillance Audit
 - 1st Surveillance Audit Report
- f. Confirmation of ISO 9001:2015 Certificate after 1st Surveillance Audit
- g. 2nd Surveillance Audit conducted not later than 12 months after the 1st Surveillance Audit
 - 2nd Surveillance Audit Plan
 - Conduct of 2nd Surveillance Audit
 - 2nd Surveillance Audit Report
- h. Confirmation of ISO 9001:2015 Certificate after 2nd Surveillance Audit

The ISO 9001:2015 recertification audit of the SEC-QMS must have been completed before the current certification's expiry of validity on 27 December 2021. Further, the new certificate to be issued must be valid not later than 31 December 2021.

Payment shall be made in three (3) installments upon completion of each of the following milestones and submission of the required deliverables:

Activity/Deliverable	Payment
1. After Recertification Audit and Issuance of ISO 9001:2015 Certificate Valid for Three Years	50%
2. After Surveillance Audit for the 1 st Year	25%
3. After Surveillance Audit for the 2 nd Year	25%

Each payment shall be supported by a Certificate of Satisfactory Service based on the work rendered comprising the actual outputs as certified by the Certifying Body and duly accepted by the authorized representative of SEC.

I hereby certify to comply with the above Technical Specifications

AUTHORIZED REPRESENTATIVE:

Signature : _____
 Printed Name : _____
 Date : _____
 Company Name : _____
 Contact no. : _____

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

[Jurat]

[Format shall be based on the latest Rules on Notarial Practice]

TERMS AND CONDITIONS:

1. Bidders shall provide correct and accurate information required in this form.
2. Price quotation/s must be valid for a period of sixty (60) calendar days from the date of submission.
3. Price quotation/s. to be denominated in Philippine peso shall include all taxes, duties and/ or levies payable.
4. Quotation/s exceeding the Approved Budget for the Contract shall be rejected.
5. Award of contract shall be made to the lowest calculated and responsive quotation (for goods and infrastructure) or, the highest rated offer (for consulting services) which complies with the minimum technical specifications and other terms and conditions stated herein.
6. Any interlineations, erasures or overwriting shall be valid only if they are signed or initialed by you or any of your duly authorized representative/s.
7. The item/s shall be delivered according to the requirements specified in the Technical Specifications.
8. The SEC shall have the right to inspect and/or to test the goods to confirm their conformity to the technical specifications,
9. In case two or more bidders are determined to have submitted the Lowest Calculated Quotation/Lowest calculated and Responsive Quotation, the GPPB_TSO shall adopt and employ "draw lots" as the tie-breaking method to finally determine the single winning provider in accordance with GPPB Circular 06-2005.
10. **Payment shall be processed after delivery and upon the submission of the required supporting documents, in accordance with the existing accounting rules and regulations. Please note that the corresponding bank transfer fee, if any, shall be to the contractor's account.**
11. Liquidated damages equivalent to one tenth of one percent (0.1%) of the value of the goods not delivered within the prescribed delivery period shall be imposed for day of delay. The SEC shall rescind the contract once the commutative amount of liquidated damages reaches ten percent (10%) of the amount of the contract, without prejudice to other courses of action and remedies open to it.

Signature over Printed Name

Position/Designation