



Bids and Awards Committee

REQUEST FOR QUOTATION (RFQ) No. 2021-SVP-28

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.1	202109135	Engagement of a Facilitator for the Conduct of the Agency Performance Planning and Review Conference (See attachment 2 for Terms of Reference)	Php 399,000.00

Interested suppliers are required to submit the following documents:

1. Mayor's/Business Permit
2. PhilGEPS Registration Number
3. Unnotarized omnibus sworn statement (Attachment 3) is acceptable subject to compliance therewith after the award of contract in accordance with GPPB Resolution No. 09-2020
4. Professional Licenses/Curriculum Vitae (use Format in Attachment 4) of Key Personnel to be Assigned in the Project (use form in Attachment 5)
5. Detailed Project Proposal
6. Company Profile (including the list of similar projects conducted, use Attachment 6)

SEC Condition of Sales:

1. Delivery Schedule: Fifteen (15) Calendar days from receipt of approved NTP
2. Validity: Sixty (60) calendar days from submission of bid

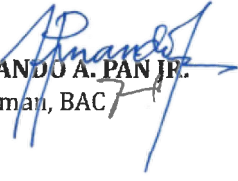
Award of contract shall be made to the bidder with the highest rated quotation for the subject goods which complies with the minimum technical specifications and other terms and conditions stated herein.

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 **5:00 PM of October 11, 2021** at the Procurement Division, 3rd Floor, Secretariat Building, PICC Complex, Pasay City. Open submission may be done manually or through Facsimile No. 818-5330 or via email address fpbaluyot@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. The maximum deduction shall be ten percent (10%) of the contract price. Once the cumulative amount of liquidated damage reaches ten percent (10%) of the contract price, the procuring entity shall rescind 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.
Chairman, BAC

PRICE QUOTATION FORM

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 a Facilitator for the Conduct of the Agency Performance Planning and Review Conference Criteria for Evaluation <i>Technical Proposal</i> Experience and Capability of the Facilitator/Service Provider 40% Approach and Methodology 50% <i>Financial Proposal</i> 10% See Attachment 2 for the Terms of Reference	1 lot	Php _____	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 (TOR)

BACKGROUND

In 2019, the SEC formulated its 7-year Strategic Plan dubbed as “SuperVision 2025”. The SuperVision establishes the direction where the SEC is headed 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.

The virtual conference shall serve as the proper forum to thresh out concerns, address organizational gaps, and outline courses of action that the agency can undertake to achieve its goals while taking into consideration the impact/effects of the COVID-19 pandemic.

The indicative dates for the conduct of the APPRC are on **23-26, 29 November and 1-3 December 2021** via online/video-conferencing platform. This TOR further describes the Facilitator’s roles and objectives during the conference.

OBJECTIVES

To facilitate the conduct of the APPRC, which aims to achieve the following objectives

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 2021 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;
4. Set the FY 2022 strategic direction, performance commitments, strategic initiatives and corresponding budgetary requirements;
5. Develop corrective actions to address audit findings/risks identified/reported in the Management Review; and
6. Foster greater camaraderie and build consensus among officials of the SEC Family.

SCOPE OF WORK (ROLES & RESPONSIBILITIES)

In conducting the service, the Service Provider shall organize a team who will conduct the facilitation project (e.g. employ break-out groups if needed) within the duration of the planning activity or agreed timeframe. The ERTD-SMPD, as Secretariat of the APPRC, will work closely with the Service Provider on the technical (i.e. provide pertinent data/information for the development and preparation of expected key document products) and other administrative requirements of the activity.

EXPECTED OUTPUTS

Provide technical assistance and guidance to 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 following:
3. Agency Scorecard;
4. Department Scorecard;
5. Strategic Initiatives Profile and Execution Plans;
6. Recommendations to address organizational audit findings; and

7. FY 2022 Office Performance Commitment and Review (OPCR) Forms.

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.

ACTIVITIES

The Facilitator, together with his/her Team, 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;
- c. Recommendations to address organizational audit findings; and
- d. FY 2022 OPCR Forms of Departments/Offices.

CRITERIA FOR EVALUATION OF PROSPECTIVE FACILITATOR

The most qualified service provider/facilitator will be evaluated and rated according to the following criteria:

Technical Proposal

Experience and Capability of the Facilitator/Service Provider	-	40%
Approach and Methodology	-	50%
<i>Financial Proposal</i>	-	10%
Total	=	100%

PAYMENT SCHEME

Full payment of the contract shall be made after issuance/receipt of the following:

- 1. Billing statement by the Service Provider; and
- 2. Certificate of Satisfactory Service by SEC

LIQUIDATED DAMAGES

Failure to comply with the Terms and Conditions indicated in the TOR and Job Order (JO) which serve as the contract between SEC and the service provider will result in the payment of corresponding penalties/liquidated damages in the amount equal to ten percent (10%) of the contract price by the winning service provider. The agency reserves the right to rescind the contract, without prejudice to other courses of action and remedies open to it.

I hereby certify to comply with the above Technical Specifications.

Name of Company/Bidder

**Signature over Printed Name
of Representative**

Date

Omnibus Sworn Statement

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]

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

Format of Curriculum Vitae (CV) for Proposed Professional Staff

Proposed Position: _____
 Name of Firm: _____
 Name of Staff: _____
 Profession: _____
 Date of Birth: _____
 Years with Firm/Entity: _____ Nationality: _____
 Membership in Professional Societies: _____

Detailed Tasks Assigned: _____

Key Qualifications:

[Give an outline of staff member’s experience and training most pertinent to tasks on project. Describe degree of responsibility held by staff member on relevant previous projects and give dates and locations. Use about half a page.]

Education:

[Summarize college/university and other specialized education of staff members, giving names of schools, dates attended, and degrees obtained. Use about one quarter of a page.]

Employment Record:

[Starting with present position, list in reverse order every employment held. List all positions held by staff member since graduation, giving dates, names of employing organizations, titles of positions held, and locations of projects. For experience in last ten years, also give types of activities performed and client references, where appropriate. Use about two pages.]

Languages:

[For each language, indicate proficiency: excellent, good, fair, or poor in speaking, reading, and writing.]

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe me, my qualifications, and my experience.

Commitment:

I also commit to work for the Project in accordance with the time schedule as indicated in the contract once the firm is awarded the Project.

[Signature of staff member and authorized representative of the firm] Date: _____

Day/Month/Year

Full name of staff member: _____

Full name of authorized representative: _____

Key Personnel to be Assigned in the Project

Attachment 5

1. Technical Managerial Staff		
Name	Position	Task

2. Support Staff		
Name	Position	Task

3. Where applicable, indicate relationships among the Consultant and any partner and/or subconsultant, the Procuring Entity, the Funding Source and other parties or stakeholders.

**Relevant Services Carried Out in the Last Five Years
That Best Illustrate Qualifications**

Using the format below, provide information on each project for which your firm/entity, either individually, as a corporate entity, or as one of the major companies within an association, was legally contracted.

Project Name:		Country:
Location within Country:		Professional Staff Provided by Your Firm/Entity(profiles):
Name of Client:		Number of Staff:
Address:		Number of Staff-Months; Duration of Project:
Start Date (Month/Year):	Completion Date (Month/Year):	Approx. Value of Services (in Current US\$):
Name of Associated Consultants, if any:		Number of Months of Professional Staff Provided by Associated Consultants:
Name of Senior Staff (Project Director/Coordinator, Team Leader) Involved and Functions Performed:		
Narrative Description of Project:		

Description of Actual Services Provided by Your Staff:

Consultant's Name: