Securities and Exchange Commission PHILIPPINES

BAGONG PILIPINAS

BIDS AND AWARDS COMMITTEE

REQUEST FOR QUOTATION

The Securities and Exchange Commission (SEC), through its Bids and Awards Committee (BAC), requests the submission of a quotation for the following requirement in accordance with the revised Implementing Rules and Regulations (IRR) of Republic Act No. 9184 (RA 9184).

Lot No.	Description	Delivery Schedule	Approved Budget for the Contract, inclusive of taxes
1	Engagement of a Learning Service Provider for the conduct of SEC Onboarding Program 2.0 Module 1: Values Reflection Training ***See Annex A for Terms of Reference***	20 May 2024 8:00A.M – 5:00 P.M (Batch 1) 04 November 2024 8:00A.M – 5:00 P.M (Batch 2)	Php 160,000.00
2	Engagement of a Learning Service Provider for the conduct of SEC Onboarding Program 2.0 Module 4: Completed Staff Work ***See Annex B for Terms of Reference***	23-24 May 2024 8:00A.M – 5:00P.M (Batch 1) 07-08 November 2024 8:00A.M – 5:00P.M (Batch 2)	Php 320,000.00

Mode of Procurement	Negotiated Procurement – Small Value Procurement (Section 53.9 of the Implementing Rules and Regulations of Republic Act No. 9184)
Reference Number	AMP No. 2024-046
Procurement Schedules	Advertisement: 24 April 2024 Deadline to Submit Quotation: 30 April 2024 12:00 P.M.
Submission of Quotation	Manual: Procurement Unit, 7th Floor, The SEC Headquarters, 7907 Makati Ave., Salcedo Village, Brgy., Bel-Air, Makati City. Quotation (one copy only) shall be placed in an envelope with markings containing the following information: *Name of the Bidder* *Address of the Bidder* *Contact Information* *The Project (see Description Above) and Reference Number* *Deadline to Submit Quotation* Electronic: Electronic submission shall be made through email at mvabuyog@sec.gov.ph

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You are required to submit the following documents on or before the deadline:

1. **Price Quotation** (use Attachment 1);
2. **Proposed Methodology and Work Program**; and
3. **Signed Curriculum Vitae/Resume of the Proposed Resource Speakers/Trainers.**

In the event that the national or local government declares suspension of work by reason of a fortuitous event or an event beyond the control of the SEC, the deadline to submit quotations is automatically moved to the next working day, same time, and place of submission.

Proposals shall be evaluated using the Quality-Cost Based Evaluation (QCBE) procedure wherein the Technical Proposal is given the weight of eighty-five percent (85%) and the Financial Proposal is given the weight of fifteen percent (15%). Technical Proposal/s shall be evaluated using the criteria listed in Annexes A and B, while Financial Proposals shall be evaluated using the formula prescribed by the Government Procurement Policy Board (GPPB).

The awardee shall be required as a condition for the issuance of a Notice of Award the submission of the following; unless the requirements were already submitted as part of the quotation or were previously submitted as part of another bid:

1. Valid Mayor's/Business Permit;
2. PhilGEPS Registration Number; and
3. Omnibus Sworn Statement with attached duly Notarized Secretary's Certificate/Special Power of Attorney (for projects with ABC above Php50,000.00).

Notes:

a. *Certificate of Platinum Membership may be submitted in lieu of document numbers 1 and 2.*
b. *Editable file copies of the Omnibus Sworn Statement and the Secretary's Certificate/Special Power of Attorney may be downloaded from the link: https://www.sec.gov.ph/procurement/prescribed-templates/.*

The following are the terms and conditions of this RFQ;

1. Sub-contracting is not allowed.
2. Prices proposed shall be valid for a period of thirty (30) calendar days from the date of the opening of bids.
3. Price proposals shall be in Philippine peso and shall include all applicable taxes and/or levies.
4. 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.
5. The goods or services item/s shall be delivered according to the accepted technical proposal specified in the Notice of Award.
6. SEC shall have the right to inspect and/or to test the goods/services to confirm their conformity to the technical specifications.
7. Payment shall be processed after every maintenance service 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.
8. 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 a 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.
9. The SEC reserves the right to reject any and all quotations, declare a failure of bidding, or not award the contract without thereby incurring any liability to the affected bidder or bidders.

ARMANDO A. PAN, JR.
Chairman
/mva

Attachment 1

PRICE QUOTATION FORM
Reference No. AMP No. 2024-046

Date: ____________________

The Chairman
BIDS AND AWARDS COMMITTEE
Procurement Division, 7th Floor
The SEC Headquarters, 7907 Makati Ave.,
Salcedo Village, Brgy., Bel-Air, Makati 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 lot identified below:

LOT	**Technical Specifications/ Terms of Reference / Description**	**Unit Price**	**Total Price** (inclusive of all taxes)
1	Engagement of a Learning Service Provider for the conduct of SEC Onboarding Program 2.0 Module 1: Values Reflection Training	Php _______	Php _______
2	Engagement of a Learning Service Provider for the conduct of SEC Onboarding Program 2.0 Module 4: Completed Staff Work	Php _______	Php _______

LOT 1:

AMOUNT IN WORDS:

____

____

LOT 2:

AMOUNT IN WORDS:

____

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The above-quoted price is inclusive of all costs and applicable taxes. **In case of discrepancy between the amount in figures and the amount in words, the latter shall prevail.**

Very truly yours,

Authorized Representative

Signature	:	________________________________
Printed Name	:	________________________________
Company Name	:	________________________________
Contact Number and e-Mail Address	:	________________________________

MODULE 1: VALUES REFLECTION TRAINING

"ANNEX A"

ANNEX A

Terms of Reference

Engagement of a Learning Service Provider for the Conduct of SEC Onboarding Program 2.0 Module 1: Values Reflection

1. General Details

The Securities and Exchange Commission (SEC), through the Organizational Development Division of the Human Resources Department (ODD-HRD), is organizing a learning program with the following details:

Title of Training	**SEC Onboarding Program 2.0 Module 1: Values Reflection**
Learning Delivery Method	Traditional
Date	**Batch 1**: 20 May 2024, 8:00 AM - 5:00 PM **Batch 2:** 04 November 2024, 8:00 AM - 5:00 PM
Venue	The SEC Headquarters/ SEC Learning Portal

2. Program Description

The onboarding process involves the welcoming of new employees and is, therefore, a collaborative effort that includes the HRD, the department/office of assignment, and other units throughout the agency. The onboarding program is the start of onboarding new hires to their specific role and department, a more detailed and longer process. To help the department/office of assignment in the assimilation of their new hires in the agency and their respective departments, the HRD, through the ODD, re-designed the SEC Onboarding Program.

The Onboarding Program is a structured learning intervention that occupies an interstitial place in the entry process of new hires. The newly re-designed program is composed of four (4) consecutive training programs meant to present a holistic approach to the onboarding process of the new hires. The strategic intent of this program is three-fold:

a. It aims to equip new hires with basic functionality as civil servants;
b. It intends to imbue new hires with the ethos of "employeeship"; and
c. It seeks to introduce the mandates of the SEC and their importance as new SEC employees.

The first module (Module 1) presents the "Values Reflection". This training seeks to entrench the SEC corporate values into the consciousness of the new hires and to induce the new hires to translate them into workplace behavior, which will help build the "brand" of public service of the SEC and which will ensure their alignment with the new vision of the SEC. Lectures on "good followership" will support this training to provoke the new hires to reflect on the critical importance of their roles as "followers" with that of their principals in achieving agency's goals and targets. Additionally, this training will touch on workplace patriotism and how the new hires can verbalize their reflections on making their stint at the agency a legacy of remarkable service.

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3. **Duration**

SEC Onboarding Program 2.0 Module 1: Values Reflection will be conducted in two (2) batches on the following schedule:

a.	Batch 1	20 May 2024	60 participants
b.	Batch 2	04 November 2024	60 participants

The Learning Service Provider (LSP) shall be engaged for a period of **sixteen (16) training hours or eight (8) training hours per module per batch** and shall likewise be available for attendance to meetings before and after the conduct of the training.

4. **Modality**

The entire learning program shall be delivered in a traditional (In-person) learning format and asynchronous activities, which will be delivered and monitored through the SEC Learning Portal.

5. **Approved Budget for the Contract**

The maximum possible contract price for the services for the **sixteen (16) training hours** period is **ONE HUNDRED SIXTY THOUSAND PESOS (Php 160,000.00)** for a total of **120 participants or 60 participants per module per batch.** A bid in excess of this amount shall automatically be rejected at the opening of the financial proposal.

This amount shall be inclusive of 12% Value Added Tax (VAT) and other taxes imposed by the government. The amount shall be billed by the LSP upon submission of the terminal report that includes the proposal submitted by the LSP, a report on the implementation of the program, detailed results of the pre-test and post-test (if applicable), narrative of the learning gains by the participants, pictures chronicling the conduct, and program effectiveness assessment, whether the objectives of the program have been met, etc.

Expenses and tools of the trade and other similar items necessary to enable the LSP to carry out its commitments in accordance with this Terms of Reference shall be for the account of the LSP.

6. **Profile of Participants**

The SEC Onboarding Program is divided into two (2) batches for the following new entrants:

Batch Number	Hiring Period
1	September 2023 to April 2024
2	May 2024 to October 2024

6.1. Equal Opportunity Principle (EOP)

In creating a culture of fairness and inclusion, the SEC is committed to supporting equality in the workplace, fostering an environment of professionalism and devoid of bias against any form of discrimination at the agency on account of age, sex, gender identity, civil status, religion, ethnicity, and political affiliation (SEC Office Order No. 760 series of 2019).

7. End-user

The end-user for this project is the ODD-HRD on the 7th Floor, The SEC Headquarters, 7907 Makati Avenue, Salcedo Village, Bel-Air, Makati City, 1209.

8. Scope of Work

The LSP is expected to perform the following:

8.1. Design a 16-hour competency-based training for 120 participants based on the general parameters set by the ODD-HRD:

8.1.1. Technical Aspect

- Must be competency-based, and enable the participants to:
  - o Alignment of employee's values into the SEC core values
  - o Alignment with the agency vision and mission;
  - o Reflective on the critical importance of employee's role as "followers" with that of their principal in achieving the agency's goals and targets; and
  - o Implore workplace patriotism.
- Must be able to integrate contextual factors that affect the purpose and development of the learning and development intervention to deliver the program holistically;
- Must enable the participants to discuss the agency's core values and apply them in performing their respective functions;
- Must enable the participants to align their work outputs towards the achievement of the agency's vision and mission;
- Must enable the participants to apply the principles of good followership in achieving the agency's goals and targets; and
- Must enable the participants to demonstrate specific behaviors and to perform their functions as public servants effectively.

8.1.2. Administrative Aspect

- Must be able to profile the participants according to trainability and performance using the Measurement of Learning Effectiveness and Transfer in the Securities and Exchange Commission (LETS) (see attached file);
- Must provide a copy of handouts and all other learning materials; and
- Must conform to the sustainability efforts of the agency by:
  - o Opting for paperless documents by providing an electronic copy of handouts and all other learning materials (except as required by law such as the original printed billing statement and terminal report) and if possible, by designing activities/workshops through paperless alternatives
  - o Avoiding disposable kitchen items by bringing tumblers during the traditional/in-person conduct of learning programs

8.2. Conduct the training on the following schedules, utilizing the learning delivery methods agreed upon, viz;

Batch	Date/Day	Time	Modality/Venue
1	20 May 2024	8:00 AM - 5:00 PM	Traditional
2	04 November 2024	8:00 AM - 5:00 PM	Traditional

The dates of the training may be changed and/or updated by the end-user for reasonable cause. The adjusted dates will be communicated to the LSP.

8.3. Submit the training requirements based on the following schedules, if applicable, viz:

Requirements	**Deadline**
Pre-test / pre-course assessment	Ten (10) calendar days before the event
Post-test / post-course assessment	Ten (10) calendar days before the event
Learning Program Evaluation	Ten (10) calendar days before the event
Detailed program of activities/session blueprint	Five (5) calendar days before the event
Presentation decks, audio-visual materials, etc	Five (5) calendar days before the event
Other training requirements, as agreed/discussed	Five (5) calendar days before the event

8.4. Payment requirements. Submit an original copy of the **Billing Statement** and **two (2) original copies of the Terminal Report ten (10) days** after the conclusion of the training following the prescribed format and content, viz:

- Attainment of learning program objectives, the extent of learning absorption, and capacity of immediate learning application of the participants
- Policy insights generated in aid of subsequent administration of learning interventions
- Adjustments and innovations necessary to improve training effectiveness;
- Way forward suggestions on learning reinforcement for the benefit of the principals of the trainees inasmuch as they have the inherent responsibility of nurturing the trainees under their watch and custody;
- Proposed Learning Action Plan aims to develop strategies, projects, activities, etc., to maximize participants' learning through learning by doing.

8.5. Payment Schedule. The payment will be processed upon the conduct of the training and the submission of all deliverables and requirements duly acknowledged by the end user.

9. Minimum Qualifications

9.1. Proven expertise in designing and conducting a program for ethics and good followership
9.2. Advanced ability to customize the program tailored to the peculiar requirements of the agency
9.3. Advanced ability to engage the participants through the application of suitable learning modalities
9.4. Ability to rate the performance of the participants during the program and provide guidance for improvement

10. Technical Evaluation Criteria

The Highest Rated Bidder is the bidder with the highest rated score based on the technical and financial bids submitted if the score passes the rate of 80%.

The technical and financial proposals of the shortlisted bidders will be evaluated through Quality-Cost-Based Evaluation (QCBE), based on the following criteria:

Criteria	Description	Points
TECHNICAL PROPOSAL (85%)		
Suitability (Responsiveness of training proposal to the learning design)	Fitness for the task or role (i.e. willingness to devote the time required for the preparation and actual conduct of the learning and development activity, willingness to coach and support participants beyond prescribed activity sessions, and evaluation results of previous engagement on similar program) • All portions of the Training proposal and Detailed Training Activity Plan (DTAP) are clear, well-structured and responsive to the TOR - *21 to 30 points* • All portions of the Training proposal are clear, well-structured and responsive to the TOR but no Detailed Training Activity Plan (DTAP) - *11 to 20 points (10)* • Only some portions of the training design are clear, well-structured and responsive to the TOR but with Detailed Training Activity Plan (DTAP) - *6 to 10 points (5)* • Training design is not clear and well-structured with no definite timeline, and no DTAP - *1 to 5 points* • No training design submitted, and no DTAP - *Disqualified*	30
Experience (Ability to execute masterfully)	Proven record that can substantiate any claims to the experience or skill and preferably with documented outcomes (i.e. relevant work experience, training proposals, training design, portfolio, etc.) Points to be attributed based on the qualifications: • With at least fifteen (15) years of work experience related to the subject - *16 to 20 points*	20

	• With six (6) to ten (10) years of work experience related to the subject - *11 to 15 points* • With less than 5 years of work experience related to the subject - *1 to 10 points*	
Expertise/Education	Background or mastery on the area of specialization (i.e. graduate degree, bachelor's degree, certifications, or memberships to associations/organizations) Points to be attributed based on the qualifications: • Graduate degree - *20 points* • Bachelor's degree - *15 points* • Training attended, Affiliations, Certifications or memberships to Associations/organizations - *5 to 10 points* E.g., An LSP/RP with a graduate degree and a certified member of associations will receive a total of 20 points while an LSP/RP with a bachelor's degree and a certified member of associations will receive a total of 15 points	20
Integrity (Feedback from previous clients who availed of the LSP's or consultant's services for the same type of training)	Absence of critical incidents that might otherwise tarnish or put to question the LSP or RP's credibility, character, ethical behavior, or intellectual integrity (i.e. recommendations or commendations from ODD-HRD and previous clients and credibility and respected in the area of specialization) Points to be attributed based on the qualifications: • With outstanding or very satisfactory evaluation from previous engagement on similar program/s - *8 to 15 points* • With satisfactory evaluation from previous engagement on similar program/s - *1 to 7 points* • With below satisfactory evaluation from previous engagement on similar program/s - *Disqualified*	15
FINANCIAL PROPOSAL (15%)		

11. Responsibilities of the Parties

11.1. The LSP shall assume the following obligations:

11.1.1. Attendance to meetings with the ODD-HRD to discuss matters related but not limited to the problems discerned via assessments done and expected results of the programs;
11.1.2. Provide the company profile and profile of the facilitator/s;
11.1.3. Conduct the Training Orientation to promote the program to selected employees of the agency in coordination with the ODD-HRD;
11.1.4. Design an evaluation survey for participants to answer at the end of the project;
11.1.5. Provide Pre-test / pre-course assessment, Post-test / post-course assessment, Learning

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Program Evaluation, Detailed program of activities/session blueprint, Presentation decks, audio-visual materials, and other training requirements, as stated in item 8.3 of this TOR.

11.1.6. Develop the design and methodologies that will best fit the organizational needs in terms of the required expected outputs and deliverables;

11.1.7. Maintain the confidentiality of the data and information acquired and all other related activities generated thereof, until such is determined and declassified by the SEC; and provide the video communications platform (e.g. Zoom, Webex, etc.) account that will be used during the duration of the fully virtual training (in case the ODD-HRD will not provide the Zoom account due to scheduling conflict).

11.2. The SEC shall assume the following obligations:

11.2.1. Provide general supervision and direction on the conduct of the learning program;

11.2.2. Ensure the availability of a Zoom account dedicated to this project that will be used throughout the duration of the training in case there is scheduling;

11.2.3. Provide a representative that will provide the necessary data and information necessary for the conduct of the project;

11.2.4. Review and approve all changes in the execution of the proposed learning design prior to the conduct of the activities; and

11.2.5. Review and approve all project deliverables, and related activities based on the timetable and in accordance with this Terms of Reference (TOR).

12. Other items

12.1. Disclaimer

There will be no employer-employee relationship between the SEC and the LSP, nor between the former and the agents of the latter.

12.2. Intellectual Property

The intellectual property of materials, including concept notes and learning design, remains with the end-user. The learning service provider cannot, in any way, use the said materials in whole or in part to run similar or somewhat equivalent learning interventions outside the SEC.

12.3. Property of SEC

Any and all works (including recordings) resulting from the engagement as originating from this TOR shall be the sole property of the SEC, which shall be turned over whenever required by the agency.

12.4. Warranty

The LSP warrants that its personnel are properly supervised, and legally and technically competent to provide and conduct the required scope of work as originating from this TOR. The SEC may demand for replacement of the LSP's personnel if the performance and/or knowledge level is found to be below the expectation for the required services.

12.5. Sustainability Efforts

The SEC has launched its sustainability efforts, and to support this project, the ODD-HRD promotes and encourages a sustainable corporate culture that will result in a better quality of life for SEC employees and the community it interacts with. Therefore, the OOD-HRD, the LSP, and the participants must strive to:

- Opt for paperless documents and other paperless alternatives

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- Avoid disposable kitchen items. All attendees are required to bring their own tumblers. The ODD-HRD commits to minimizing the use of disposable and plastic items in the meals being prepared and distributed.

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Measurement of Learning Effectiveness and Transfer in the Securities and Exchange Commission

I. Rationale

A training management cycle is divided into four (4) significant steps: first is the learning needs assessment; second is the development of the program design; third is the implementation; and the fourth and final step is the evaluation and monitoring. The training cycle starts before a training session and lasts beyond the end of the training process.

The first step of **learning needs assessment** is conducting an evaluation and analyzing the learning needs of the employees. The second step is the development of **program design** to determine the programs' objectives and to set the learning design, which aims at addressing the learning gaps identified during the first step of the cycle. The third step is implementing the program to actualize the program design. The final step is the **evaluation and monitoring** to measure if the program's objectives were met and assess the program design's effectiveness.

The last step of evaluating and monitoring the program activities is crucial as the results of this step serve as the basis for determining the needs of future programs.

Therefore, the Organizational Development Division of the Human Resources Department (ODD-HRD) introduces the framework for effectively evaluating the learning and development interventions provided to and afforded by its people by introducing the five (5) tiers of measuring learning effectiveness and transfer.

II. Evaluation of Learning Effectiveness and Transfer

To evaluate the learning transfer and efficacy, the five tiers of evaluation are conceptualized to determine the learning [1] satisfaction, [2] absorption, [3] application, [4] transfer, and [5] impact.

The Learning Effectiveness and Transfer Model, or LETM, is influenced by Donald Kirkpatrick's Four Levels of Training Evaluation and Will Thalheimer's Learning-Transfer Evaluation Model. The tiered model firstly measures the learning effectiveness, then calculates the learning transfer, and lastly, the learning impact. The model will ensure a holistic approach to evaluating learning gained by the participants during the course delivery and post-training when the participants demonstrated the learning gains in their respective workplaces by applying the skills, competencies, and strategies they have learned during the program.

The ODD-HRD decided to combine the aspects of the two (2) prevalent models that reflect the agency's learning culture. The ODD-HRD took the liberty to tailor the models into the tiers of evaluation (i.e., layers of assessment) that best fit the unique learning environment and experience demonstrated by the workforce. Designing a suitable model that considers these factors will ensure that the model will effectively evaluate the learning gains during the training and that the learning outcomes will be monitored adequately after the training program, as pictured below.

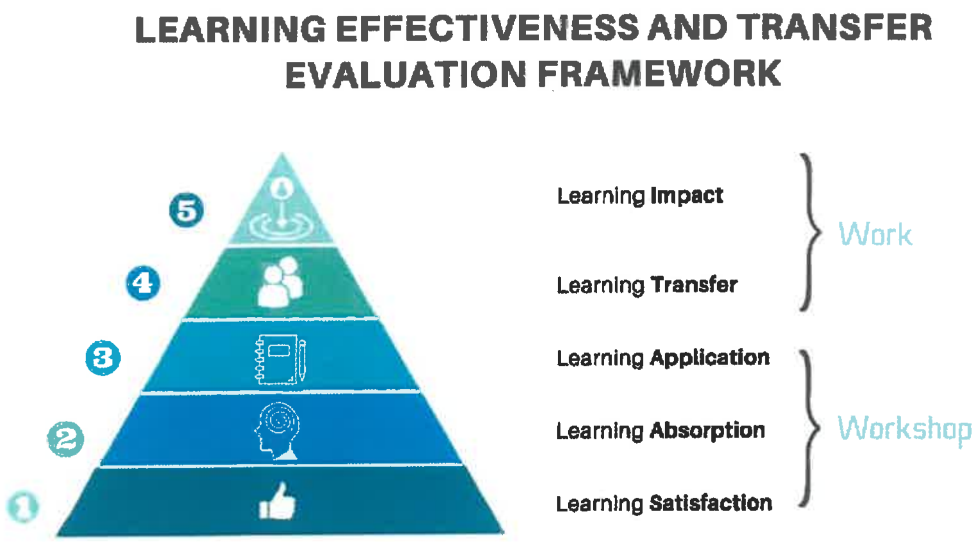

Figure 1. Learning Effectiveness and Transfer Evaluation Framework for the SEC

TIER 1: Learning Satisfaction

The first tier (**Tier 1**) learning transfer and effectiveness metrics measure the **learning satisfaction** of the participants. The learners assess their overall program experience and if the learning and development interventions are engaging, favorable, and relevant to their job. Although this tier measures the satisfaction of the participants, it also measures the participants satisfaction in the attainment of the learning objectives. This tier utilizes the **Learning Event Evaluation Form.**

TIER 2: LEARNING ABSORPTION

The second tier (**Tier 2**) measures **learning absorption** wherein the participants are measured whether they understood the training program through the **pre-test and post-test.** The learning service provider designs these tests about the program's content and learning objectives.

TIER 3: LEARNING APPLICATION

The third tier (**Tier 3**) measures the **learning application** that focuses on the immediate application of the learnings through the **individual, group, and final outputs** submitted during the program implementation. The learning service providers monitor this level, and feedback is given during the program by the learning service provider gives feedback during the program according to the criteria set by the HRAD-LRID and the learning service provider. The results of this tier will be the basis of the training effectiveness ratings of the targeted cohorts.

TIER 4: LEARNING TRANSFER

The fourth tier (**Tier 4**) measures the **learning transfer** to determine how effectively the learning has been implemented and to identify how to plan effective learning transfer within the work unit. In this tier, there are three (3) assessment tools to be deployed: [1] self-assessment, [2] peers or colleagues assessment, and [3] supervisor assessments to identify if the participants use what was learned to perform work tasks successfully and learners share the learnings gained from the program to their colleagues. The results of these assessments will be compiled and compared to qualitatively evaluate the effectiveness of the learning gains as demonstrated in the work unit by applying the measure the participants' learning satisfaction the transfer of learning is demonstrated by the participant, it will prove the effectiveness of the learning program (i.e., learnings are being applied in the workplace).

TIER 5: LEARNING IMPACT

The fifth tier (**Tier 5**) measures the long-term **impact of the learnings** by using the learnings through the demonstration of competent completion of tasks and contributing to the attainment and achievement of performance measures and targets. The learning impact will be primarily measured by identifying the specific outputs the learnings were applied and attainment of change in the time to perform and decide on tasks. The results of the self assessment will be validated vis-a-vis the supervisor's evaluation vis-a-vis the identified competencies required of their position/functions. These competencies were identified by their immediate supervisors during the Learning Needs Assessment (LNA) conducted per department/office.

The table below presents the tiering of each evaluation measure and how they complete the holistic approach to learning in the agency.

Tiers	Title and Description	Tools
1	**Learning Satisfaction** *Learners are satisfied with the overall management of training and are satisfied with the attainment of the learning objectives*	**Learning Event Evaluation Form (LEEF)** measures the initial reaction and satisfaction of the participants with the training program. This includes the survey on satisfaction with the program management, learning service provider (LSP), and resource person (RP).
2	**Learning Absorption** *Learners are evaluated against the results of their pre-test vis-à-vis the post-test*	**Pre-test and Post-Test** contain different sets of questions with essay added in the post-test to identify the highlights or key takeaways of the participants in the training program
3	**Learning Application** *Learners applies the learnings through the submission and evaluation of the individual, group, and final outputs*	**Individual, group, and final outputs** as designed for each program. The ODD and the LSP will agree on the design of these outputs that will be beneficial in effectively measuring the application of the learning during the program
4	**Learning Transfer** *Learners use what was learned to perform work tasks successfully (i.e. task competence) by sharing the learnings gained from the program to their colleagues and in their work unit*	**Self, peer, and supervisor assessments** to identify how effectively the learning has been put into practice and to identify how to plan for effective learning transfer within the work unit. The results of these assessments will be compiled and compared to qualitatively evaluate the effectiveness of the learning gains as demonstrated in the work unit by applying the new learnings in decision-making and action-making.
5	**Learning Impact**	**Evaluation of outputs and contributions to**

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	Learners display the ultimate results of their learnings through competent completion of tasks and contribution to the attainment and achievement of performance measures and targets	**the attainment and achievement of performance measures and targets.** The results of the self-assessment will be validated vis-a-vis the supervisor's evaluation vis-a-vis the identified competencies required of their position/functions. These competencies were identified by their immediate supervisors during the Learning Needs Assessment (LNA). Annex E for the sample self and supervisor assessment forms.

MODULE 4: COMPLETED STAFF WORK

"ANNEX B"

ANNEX B

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Terms of Reference

Engagement of a Learning Service Provider for the Conduct of SEC Onboarding Program 2.0 Module 4: Completed Staff Work

1. General Details

The Securities and Exchange Commission (SEC), through the Organizational Development Division of the Human Resources Department (ODD-HRD), is organizing a learning program with the following details:

Title of Training	**SEC Onboarding Program 2.0 Module 4: Completed Staff Work**
Learning Delivery Method	Traditional Learning
Date	23-24 May 2024, 8:00 AM - 5:00 PM (Batch 1) 07-08 November 2024, 8:00 AM - 5:00 PM (Batch 2)
Venue	The SEC Headquarters/ SEC Learning Portal

2. Program Description

The onboarding process involves the welcoming of new employees and is, therefore, a collaborative effort that includes the HRD, the department/office of assignment, and other units throughout the agency. The onboarding program is the start of onboarding new hires to their specific role and department, a more detailed and longer process. To help the department/office of assignment in the assimilation of their new hires in the agency and their respective departments, the HRD, through the ODD, re-designed the SEC Onboarding Program.

The Onboarding Program is a structured learning intervention that occupies an interstitial place in the entry process of new hires. The newly re-designed program is composed of four (4) consecutive training programs meant to present a holistic approach to the onboarding process of the new hires. The strategic intent of this program is three-fold:

a. It aims to equip new hires with basic functionality as civil servants;
b. It intends to imbue new hires with the ethos of "employeeship"; and
c. It seeks to introduce the mandates of the SEC and their importance as new SEC employees.

The fourth module (Module 4) presents the "Completed Staff Work" (CSW). This training is meant to make the new entrants better at crafting official correspondences in keeping with their gatekeeping and problem-solving roles, thus facilitating prudent and decisive decision-making by their principals.

3. Duration

The SEC Onboarding Program 2.0 Module 4: Completed Staff Work will be conducted in two (2) whole-day schedules and in two (2) batches on the following schedule:

a.	Batch 1	23-24 May 2024	60 participants
b.	Batch 2	07-08 November 2024	60 participants

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The Learning Service Provider (LSP) shall be engaged for a period of **thirty-two (32) training hours or sixteen (16) training hours per module per batch** and shall likewise be available for attendance to meetings before and after the conduct of the training.

4. Modality

The entire learning program shall be delivered in a traditional (In-person) learning format and asynchronous activities, which will be delivered and monitored through the SEC Learning Portal.

5. Approved Budget for the Contract

The maximum possible contract price for the services for the **thirty-two (32) training hours** period is **THREE HUNDRED TWENTY THOUSAND PESOS (PhP 320,000.00)** for a total of **120 participants or 60 participants per module per batch**. A bid in excess of this amount shall automatically be rejected at the opening of the financial proposal.

This amount shall be inclusive of 12% Value Added Tax (VAT) and other taxes imposed by the government. The amount shall be billed by the LSP upon submission of the terminal report that includes the proposal submitted by the LSP, a report on the implementation of the program, detailed results of the pre-test and post-test (if applicable), narrative of the learning gains by the participants, pictures chronicling the conduct, and program effectiveness assessment, whether the objectives of the program have been met, etc.

Expenses and tools of the trade and other similar items necessary to enable the LSP to carry out its commitments in accordance with this Terms of Reference shall be for the account of the LSP.

6. Profile of Participants

The SEC Onboarding Program is divided into two (2) batches for the following new entrants:

Batch Number	Hiring Period
1	September 2023 to April 2024
2	May 2024 to October 2024

6.1. Equal Opportunity Principle (EOP)

In creating a culture of fairness and inclusion, the SEC is committed to support equality in the workplace fostering an environment of professionalism and devoid of bias against any form of discrimination at the agency on account of age, sex, gender identity, civil status, religion, ethnicity, and political affiliation (SEC Office Order No. 760 series of 2019).

7. End-user

The end-user for this project is the ODD-HRD on the 7th Floor, The SEC Headquarters, 7907 Makati Avenue, Salcedo Village, Bel-Air, Makati City, 1209.

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8. Scope of Work

The LSP is expected to perform the following:

8.1. Design a competency-based 32-hour training for 120 participants based on the general parameters set by the ODD-HRD:

8.1.1. Technical Aspect

- Must be competency-based, and enable the participants to:
    - o Identify what is important in the culture of the SEC using the doctrine of CSW to the new hires;
    - o Assess themselves against the CSW framework and learn the baseline skills and the steps to close the gaps
    - o Explain how CSW benefits the organization, managers and non-managers;
    - o Discuss the necessary motivations, traits and habits of an effective CSW practitioner;
    - o Apply step-to-step process to solve problems to make sound recommendations; and
    - o Partner with their bosses and other stakeholders in practicing CSW.
- Must be able to integrate contextual factors that affect the purpose and development of the learning and development intervention to deliver the program holistically;
- Must enable the participants to discuss the agency's core values and apply them in performing their respective functions;
- Must enable the participants to align their work outputs towards the achievement of the agency's vision and mission; and
- Must enable the participants to demonstrate specific behaviors and to perform their functions as public servants effectively.

8.1.2. Administrative Aspect

- Must be able to profile the participants according to trainability and performance using the Measurement of Learning Effectiveness and Transfer in the Securities and Exchange Commission (LETS) (see attached file);
- Must provide a copy of handouts and all other learning materials; and
- Must conform to the sustainability efforts of the agency by:
    - o Opting for paperless documents by providing an electronic copy of handouts and all other learning materials (except as required by law such as the original printed billing statement and terminal report) and if possible, by designing activities/workshops through paperless alternatives
    - o Avoiding kitchen disposable items by bringing tumblers during the traditional/in-person conduct of learning programs

8.2. Conduct the training on the following schedules, utilizing the learning delivery methods agreed upon, viz;

Batch	Date/Day	Time	Modality/Venue
1	23 May 2024	8:00 AM - 5:00 PM	Traditional
	24 May 2024	8:00 AM - 5:00 PM	Traditional
2	08 November 2024	8:00 AM - 5:00 PM	Traditional
	09 November 2024	8:00 AM - 5:00 PM	Traditional

The dates of the training may be changed and/or updated by the end-user for reasonable cause. The adjusted dates will be communicated to the LSP.

8.3. Submit the training requirements based on the following schedules, if applicable, viz:

Requirements	**Deadline**
Pre-test / pre-course assessment	Ten (10) calendar days before the event
Post-test / post-course assessment	Ten (10) calendar days before the event
Learning Program Evaluation	Ten (10) calendar days before the event
Detailed program of activities/session blueprint	Five (5) calendar days before the event
Presentation decks, audio-visual materials, etc	Five (5) calendar days before the event
Other training requirements, as agreed/discussed	Five (5) calendar days before the event

8.4. Payment requirements. Submit an original copy of the **Billing Statement** and **two (2) original copies of the Terminal Report ten (10) business days** after the conclusion of the training following the prescribed format and content, viz:

- Attainment of learning program objectives, extent of learning absorption, and capacity of immediate learning application of the participants
- Policy insights generated in aid of subsequent administration of learning interventions
- Adjustments and innovations necessary to improve training effectiveness;
- Way forward suggestions on learning reinforcement for the benefit of the principals of the trainees inasmuch as they have the inherent responsibility of nurturing the trainees under their watch and custody
- Proposed Learning Action Plan aims to develop strategies, projects, activities, etc., to maximize participants' learning through learning by doing.

8.5. Payment Schedule. The payment will be processed upon the conduct of the training and the submission of all deliverables and requirements duly acknowledged by the end-user.

9. Minimum Qualifications

9.1. Proven expertise in designing and conducting a program for the principles of completed staff work
9.2. Advanced ability to customize the program tailored to the peculiar requirements of the agency
9.3. Advanced ability to engage the participants through the application of suitable learning modalities
9.4. Ability to rate the performance of the participants during the program and provide guidance for improvement

10. Technical Evaluation Criteria

The Highest Rated Bidder is the bidder with the highest rated score based on the technical and financial bids submitted if the score passes the rate of 80%.

The technical and financial proposals of the shortlisted bidders will be evaluated through Quality-Cost-Based Evaluation (QCBE), based on the following criteria:

Criteria	Description	Points
TECHNICAL PROPOSAL (85%)		
Suitability (Responsiveness of training proposal to the learning design)	Fitness for the task or role (i.e. willingness to devote the time required for the preparation and actual conduct of the learning and development activity, willingness to coach and support participants beyond prescribed activity sessions, and evaluation results of previous engagement on similar program) • All portions of the Training proposal and Detailed Training Activity Plan (DTAP) are clear, well-structured and responsive to the TOR - *21 to 30 points* • All portions of the Training proposal are clear, well-structured and responsive to the TOR but no Detailed Training Activity Plan (DTAP) - *11 to 20 points (10)* • Only some portions of the training design are clear, well-structured and responsive to the TOR but with Detailed Training Activity Plan (DTAP) - *6 to 10 points (5)* • Training design is not clear and well-structured with no definite timeline, and no DTAP - *1 to 5 points* • No training design submitted, and no DTAP - *Disqualified*	30
Experience (Ability to execute masterfully)	Proven record that can substantiate any claims to the experience or skill and preferably with documented outcomes (i.e. relevant work experience, training proposals, training design, portfolio, etc.) Points to be attributed based on the qualifications: • With at least fifteen (15) years of work experience related to the subject - *16 to 20*	20

	points • With six (6) to ten (10) years of work experience related to the subject - *11 to 15 points* • With less than 5 years of work experience related to the subject - *1 to 10 points*	
Expertise/Education	Background or mastery on the area of specialization (i.e. graduate degree, bachelor's degree, certifications, or memberships to associations/organizations) Points to be attributed based on the qualifications: • Graduate degree - *20 points* • Bachelor's degree - *15 points* • Training attended, Affiliations, Certifications or memberships to Associations/organizations - *5 to 10 points* E.g., An LSP/RP with a graduate degree and a certified member of associations will receive a total of 20 points while an LSP/RP with a bachelor's degree and a certified member of associations will receive a total of 15 points	20
Integrity (Feedback from previous clients who availed of the LSP's or consultant's services for the same type of training)	Absence of critical incidents that might otherwise tarnish or put to question the LSP or RP's credibility, character, ethical behavior, or intellectual integrity (i.e. recommendations or commendations from ODD-HRD and previous clients and credibility and respected in the area of specialization) Points to be attributed based on the qualifications: • With outstanding or very satisfactory evaluation from previous engagement on similar program/s - *8 to 15 points* • With satisfactory evaluation from previous engagement on similar program/s - *1 to 7 points* • With below satisfactory evaluation from previous engagement on similar program/s - *Disqualified*	15
FINANCIAL PROPOSAL (15%)		

11. Responsibilities of the Parties

11.1. The LSP shall assume the following obligations:

11.1.1. Attendance to meetings with the ODD-HRD to discuss matters related to but not limited to the problems discerned via assessments done and expected results of the programs;
11.1.2. Provide the company profile and profile of the facilitator/s;
11.1.3. Conduct the training orientation to promote the program to selected employees of the agency in coordination with the HRAD-LRID;
11.1.4. Design an evaluation survey for participants to answer at the end of the project;

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11.1.5. Provide Pre-test / pre-course assessment, Post-test / post-course assessment, Learning Program Evaluation, Detailed program of activities/session blueprint, Presentation decks, audio-visual materials, and other training requirements, as stated in item 8.3 of this TOR.
11.1.6. Develop the design and methodologies that will best fit the organizational needs in terms of the required expected outputs and deliverables;
11.1.7. Maintain the confidentiality of the data and information acquired and all other related activities generated thereof, until such is determined and declassified by the SEC; and
11.1.8. Provide the video communications platform (e.g. Zoom, Webex, etc.) account that will be used during the duration of the fully virtual training (in case the ODD-HRD will not provide the Zoom account due to scheduling conflict).

11.2. The SEC shall assume the following obligations:

11.2.1. Provide general supervision and direction on the conduct of the learning program;
11.2.2. Ensure the availability of a Zoom account dedicated to this project that will be used throughout the duration of the training in case there is scheduling;
11.2.3. Provide a representative that will provide the necessary data and information necessary for the conduct of the project;
11.2.4. Review and approve all changes in the execution of the proposed learning design prior to the conduct of the activities; and
11.2.5. Review and approve all project deliverables, and related activities based on the timetable and in accordance with this Terms of Reference (TOR).

12. Other items

12.1. Disclaimer
There will be no employer-employee relationship between the SEC and the LSP, nor between the former and the agents of the latter.

12.2. Intellectual Property
The intellectual property of materials, including concept notes and learning design, remains with the end-user. The LSP cannot in any way, use the said materials in whole or in part to run similar or somewhat equivalent learning interventions outside the SEC.

12.3. Property of SEC
Any and all works (including recordings) resulting from the engagement as originating from this TOR shall be the sole property of the SEC, which shall be turned over whenever required by the agency.

12.4. Warranty
The LSP warrants that its personnel are properly supervised, and legally and technically competent to provide and conduct the required scope of work as originating from this TOR. The SEC may demand for replacement of the LSP's personnel if the performance and/or knowledge level is found to be below the expectation for the required services.

12.5. Sustainability Efforts
The SEC has launched its sustainability efforts, and to support this project, the ODD-HRD promotes and encourages a sustainable corporate culture that will result in a better quality of life for SEC employees and the community it interacts with. Therefore, the OOD-HRD, the LSP, and the participants must strive to:

- Opt for paperless documents and other paperless alternatives

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- Avoid disposable kitchen items. All attendees are required to bring their own tumblers. The ODD-HRD commits to minimizing the use of disposable and plastic items in the meals being prepared and distributed.

Measurement of Learning Effectiveness and Transfer in the Securities and Exchange Commission

I. Rationale

A training management cycle is divided into four (4) significant steps: first is the learning needs assessment; second is the development of the program design; third is the implementation; and the fourth and final step is the evaluation and monitoring. The training cycle starts before a training session and lasts beyond the end of the training process.

The first step of **learning needs assessment** is conducting an evaluation and analyzing the learning needs of the employees. The second step is the development of **program design** to determine the programs' objectives and to set the learning design, which aims at addressing the learning gaps identified during the first step of the cycle. The third step is implementing the program to actualize the program design. The final step is the **evaluation and monitoring** to measure if the program's objectives were met and assess the program design's effectiveness.

The last step of evaluating and monitoring the program activities is crucial as the results of this step serve as the basis for determining the needs of future programs.

Therefore, the Organizational Development Division of the Human Resources Department (ODD-HRD) introduces the framework for effectively evaluating the learning and development interventions provided to and afforded by its people by introducing the five (5) tiers of measuring learning effectiveness and transfer.

II. Evaluation of Learning Effectiveness and Transfer

To evaluate the learning transfer and efficacy, the five tiers of evaluation are conceptualized to determine the learning [1] satisfaction, [2] absorption, [3] application, [4] transfer, and [5] impact.

The Learning Effectiveness and Transfer Model, or LETM, is influenced by Donald Kirkpatrick's Four Levels of Training Evaluation and Will Thalheimer's Learning-Transfer Evaluation Model. The tiered model firstly measures the learning effectiveness, then calculates the learning transfer, and lastly, the learning impact. The model will ensure a holistic approach to evaluating learning gained by the participants during the course delivery and post-training when the participants demonstrated the learning gains in their respective workplaces by applying the skills, competencies, and strategies they have learned during the program.

The ODD-HRD decided to combine the aspects of the two (2) prevalent models that reflect the agency's learning culture. The ODD-HRD took the liberty to tailor the models into the tiers of evaluation (i.e., layers of assessment) that best fit the unique learning environment and experience demonstrated by the workforce. Designing a suitable model that considers these factors will ensure that the model will effectively evaluate the learning gains during the training and that the learning outcomes will be monitored adequately after the training program, as pictured below.

LEARNING EFFECTIVENESS AND TRANSFER EVALUATION FRAMEWORK

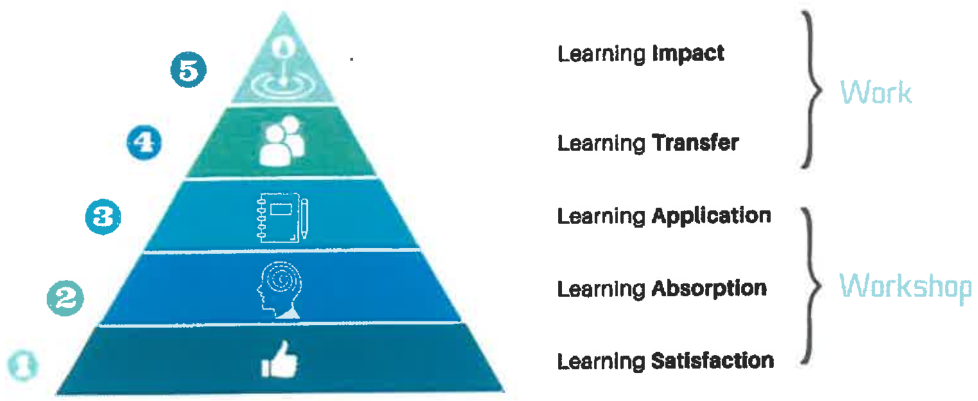

Figure 1. Learning Effectiveness and Transfer Evaluation Framework for the SEC

TIER 1: Learning Satisfaction

The first tier (Tier 1) learning transfer and effectiveness metrics measure the **learning satisfaction** of the participants. The learners assess their overall program experience and if the learning and development interventions are engaging, favorable, and relevant to their job. Although this tier measures the satisfaction of the participants, it also measures the participants satisfaction in the attainment of the learning objectives. This tier utilizes the **Learning Event Evaluation Form.**

TIER 2: LEARNING ABSORPTION

The second tier **(Tier 2)** measures **learning absorption** wherein the participants are measured whether they understood the training program through the **pre-test and post-test**. The learning service provider designs these tests about the program's content and learning objectives.

TIER 3: LEARNING APPLICATION

The third tier **(Tier 3)** measures the **learning application** that focuses on the immediate application of the learnings through the **individual, group, and final outputs** submitted during the program implementation. The learning service providers monitor this level, and feedback is given during the program by the learning service provider gives feedback during the program according to the criteria set by the HRAD-LRID and the learning service provider. The results of this tier will be the basis of the training effectiveness ratings of the targeted cohorts.

TIER 4: LEARNING TRANSFER

The fourth tier **(Tier 4)** measures **the learning transfer** to determine how effectively the learning has been implemented and to identify how to plan effective learning transfer within the work unit. In this tier, there are three (3) assessment tools to be deployed: [1] self-assessment, [2] peers or colleagues assessment, and [3] supervisor assessments to identify if the participants use what was learned to perform work tasks successfully and learners share the learnings gained from the program to their colleagues. The results of these assessments will be compiled and compared to qualitatively evaluate the effectiveness of the learning gains as demonstrated in the work unit by applying the measure the participants' learning satisfaction the transfer of learning is demonstrated by the participant, it will prove the effectiveness of the learning program (i.e., learnings are being applied in the workplace).

TIER 5: LEARNING IMPACT

The fifth tier **(Tier 5)** measures the long-term **impact of the learnings** by using the learnings through the demonstration of competent completion of tasks and contributing to the attainment and achievement of performance measures and targets. The learning impact will be primarily measured by identifying the specific outputs the learnings were applied and attainment of change in the time to perform and decide on tasks. The results of the self assessment will be validated vis-a-vis the supervisor's evaluation vis-a-vis the identified competencies required of their position/functions. These competencies were identified by their immediate supervisors during the Learning Needs Assessment (LNA) conducted per department/office.

The table below presents the tiering of each evaluation measure and how they complete the holistic approach to learning in the agency.

Tiers	Title and Description	Tools
1	**Learning Satisfaction** *Learners are satisfied with the overall management of training and are satisfied with the attainment of the learning objectives*	**Learning Event Evaluation Form (LEEF)** measures the initial reaction and satisfaction of the participants with the training program. This includes the survey on satisfaction with the program management, learning service provider (LSP), and resource person (RP).
2	**Learning Absorption** *Learners are evaluated against the results of their pre-test vis-à-vis the post-test*	**Pre-test and Post-Test** contain different sets of questions with essay added in the post-test to identify the highlights or key takeaways of the participants in the training program
3	**Learning Application** *Learners applies the learnings through the submission and evaluation of the individual, group, and final outputs*	**Individual, group, and final outputs** as designed for each program. The ODD and the LSP will agree on the design of these outputs that will be beneficial in effectively measuring the application of the learning during the program
4	**Learning Transfer** *Learners use what was learned to perform work tasks successfully (i.e. task competence) by sharing the learnings gained from the program to their colleagues and in their work unit*	**Self, peer, and supervisor assessments** to identify how effectively the learning has been put into practice and to identify how to plan for effective learning transfer within the work unit. The results of these assessments will be compiled and compared to qualitatively evaluate the effectiveness of the learning gains as demonstrated in the work unit by applying the new learnings in decision-making and action-making.
5	**Learning Impact**	**Evaluation of outputs and contributions to**

	Learners display the ultimate results of their learnings through competent completion of tasks and contribution to the attainment and achievement of performance measures and targets	**the attainment and achievement of performance measures and targets.** The results of the self-assessment will be validated vis-a-vis the supervisor's evaluation vis-a-vis the identified competencies required of their position/functions. These competencies were identified by their immediate supervisors during the Learning Needs Assessment (LNA). Annex E for the sample self and supervisor assessment forms.