

## REQUEST FOR PROPOSAL

### Engagement of a Third Party Audit Firm for the PCC Quality Management System (QMS)

P.R. No. / Date Received: 2021-EPA-0005 / 14 October 2020

RFP No./Date: 2021-EPA-0016 / 18 November 2020

The Philippine Competition Commission invites all eligible and PhilGEPS-registered suppliers, contractors and consultants to quote the best offer for the item/s described herein subject to the Terms and Conditions and within the Approved Budget for the Contract.

#### Required Documents/Information to be submitted as Attachments to the Quotation/Proposal:


- Mayor's/Business Permit / BIR Certificate of Registration in case of individual.
- PhilGEPS Certificate Registration/Reference Number
- Signed Terms of Reference / Technical Specifications Sheet
- Latest Income/Business Tax Return (for ABC above PhP500,000.00 only)
- Omnibus Sworn Statement (for ABC above PhP50,000.00 only)
- PCAB License & NFCC (for Infrastructure projects only)
- Professional License/Curriculum Vitae (for Consulting Services only)

This pro-forma quotation maybe submitted through **registered** or **electronic mail** to the PCC Bids and Awards Committee (PBAC) Secretariat at above address or email to [procurement@phcc.gov.ph](mailto:procurement@phcc.gov.ph) or [tjsakuma@phcc.gov.ph](mailto:tjsakuma@phcc.gov.ph) on or before **24 November 2020, 2:00PM** subject to the following *Terms and Conditions*:

1. All entries shall be typed or written in a clear legible manner.
2. No alternate quotation/offer is allowed, suppliers who submitted more than one quotation shall be automatically disqualified.
3. All prices offered herein are valid, binding and effective for THIRTY (30) calendar days upon issuance of this document. Alternative bids shall be rejected.
4. Price quotations to be denominated in Philippine Peso shall include all applicable government taxes subject to **(BIR 2306)** 5% R-VAT and **(BIR 2307)** 1% (PO) or 2% (JO) deductions.
5. PCC may require you to submit additional documents that will prove your legal, financial and technical capability to undertake this contract.
6. Salient provisions of the Revised IRR (RIRR) of Republic Act (RA) 9184: Section 68 - Liquidated Damages and Section 69 - Imposition of Administrative Penalties shall be observed.
7. PCC reserves the right to reject any and all quotations, declare a failure, or not award the contract pursuant to Section 41 of the same RIRR.
8. In case of tie quotations, suppliers' presence are required during tie breaking through draw lots or toss coin.
9. In case supplier's pro forma quotation is submitted, conditions will be governed by the submitted signed *Request for Quotation/Proposal* and/or *Technical Specifications Sheet / Terms of Reference* (if any).

Very truly yours,

  
Atty. JOSEPH MELVIN B. BASAS

Chairperson, PCC Bids and Awards Committee 

Item No.	QTY	UOM	ABC	Technical Specifications / Description	Brand/Model	Unit Price	Total Amount
					(To be filled-up by the supplier)		
1	1	Lot	₱ 400,000.00	Engagement of a Third Party Audit Firm for the PCC Quality Management System (QMS)			
				- Please see attached Terms of Reference			
				xxxxx NOTHING FOLLOWS xxxxx			
<b>Delivery Instructions:</b>				see attached Terms of Reference			

(Please provide **complete** information below)

We undertake, if our quotation/proposal is accepted, to supply/deliver the goods in accordance with the specifications and/or delivery schedule.

We agree to abide by this Quotation/Proposal for the price validity period specified in the terms and conditions and it shall remain binding upon us and may be accepted at any time before the expiration of that period.

Until a Purchase/Job Order or a Contract is prepared and executed, this Quotation/Proposal shall be binding upon us. We understand that you are not bound to accept the lowest or any Quotation/Proposal that you may receive.

Signature over Printed Name : \_\_\_\_\_  
Designation/Position : \_\_\_\_\_  
Name of Company : \_\_\_\_\_  
Address : \_\_\_\_\_  
Telephone / Fax : \_\_\_\_\_  
E-mail Address: \_\_\_\_\_  
Company Tax Identification Number : \_\_\_\_\_

## TERMS OF REFERENCE

### Engagement of a Third Party Audit Firm for the Quality Management System (QMS) of the Philippine Competition Commission

#### I. PURPOSE

This Terms of Reference (TOR) outlines the Philippine Competition Commission's requirements for a Certifying Body that will conduct thorough assessment of its Quality Management System's conformity to the ISO 9001:2015 standards for the 2021-2023 audit cycle.

#### II. BACKGROUND

The Philippine Competition Commission (PCC) is an independent and quasi-judicial body mandated to implement the national competition policy and enforce Republic Act No. 10667, which is the country's primary competition law for promoting and protecting competitive markets.

From its foundation up to the present, the PCC continues to implement improvement initiatives aimed at enhancing the quality of its operations and delivery of services to the public. These initiatives include the implementation and maintenance of a Quality Management System (QMS) that is at par with current industry standards.

The PCC QMS was certified to the ISO 9001:2015 standards in 2018. The scope of this certification includes the Commission's:

- Provision of Competition Policy Formulation, Regulatory and Enforcement Services pursuant to the Philippine Competition Act (RA No. 10667); and
- Provision of Competition Policy Research, Advocacy and Capacity Building Services.

As this ISO certification will expire in November 2021, the Commission is now looking to avail the services of an accredited Certifying Body to assess and verify the effectiveness and continued conformity of its QMS to the ISO 9001:2015 standards.

#### III. OBJECTIVE

The primary objective of this engagement is to contract the services of a Certifying Body (CB) that will provide independent confirmation of the PCC QMS' continued fulfilment of all the requirements of the ISO 9001:2015 standards. Said confirmation shall be based on objective evidence from the audit activities to be conducted by the CB within a three-year period.



#### IV. SCOPE OF WORK

The Certifying Body is expected to provide the following services and deliverables:

Service and Target Year	Scope of Work	Minimum Man-Days	Deliverables
<b>Recertification Audit</b> (Year 2021)	Preparation and submission of an audit plan no later than one (1) month prior to the scheduled Recertification Audit	Not applicable	Recertification Audit Plan
	Conduct of the Recertification Audit	6.75 man-days	Provisional Report of Audit Findings
	Preparation and submission of an audit report detailing the observations, opportunities for improvement, and any non-conformity to the ISO 9001:2015 standards	Not applicable	Final Recertification Audit Report
	Issuance of an ISO 9001:2015 certificate that is valid for three (3) years within 30 days from: <ul style="list-style-type: none"> <li>the date of the auditor's acceptance of the required corrective actions from the PCC (if applicable); and</li> <li>issuance of written recommendation for agency certification</li> </ul>	Not applicable	ISO 9001:2015 Certificate
<b>Surveillance Audit</b> (Year 2022) (Year 2023)	Preparation and submission of an audit plan no later than one (1) month prior to the scheduled Surveillance Audit	Not applicable	Surveillance Audit Plan
	Conduct of at least one (1) Surveillance Audit every year for two consecutive years	3.5 man-days per audit	Provisional Report of Audit Findings
	Preparation and submission of an audit report detailing the observations, opportunities for improvement, and any non-conformity to the ISO 9001:2015 standards	Not applicable	Final Surveillance Audit Report
<b>Other Services</b>	Provision of regular updates on the new versions of the ISO 9001 standards and other applicable standards	Not applicable	Updates via electronic mail (if any)
	Provision of alternative auditing arrangements in case of an extraordinary events (e.g. pandemic)	Not applicable	Proposal for alternative arrangements (as necessary)

## V. PCC'S RESPONSIBILITIES

The PCC, through its Quality Management Team (QMT) and QMT Secretariat, shall:

- a. Provide the documentary requirements for certification transfer, if necessary (e.g. copy of existing certificate and audit reports, including nonconformities for the past audit cycle);
- b. Review and evaluate the quality of work delivered by the Certifying Body (CB) in accordance with this TOR. Based on this review and evaluation, issue written acceptance and approval of the final activity or output;
- c. Coordinate closely with the representatives of the CB in the conduct of audits and other related activities, including progress monitoring of various tasks related to this engagement;
- d. Cooperate in the conduct of audit activities by ensuring the availability of process owners and concerned PCC officials and staff on the scheduled audit dates. **For any change request (e.g. schedule cancellation and change of auditees), however, at least a week's notice shall be given and the said change/adjustment shall be mutually agreed upon by both parties;**
- e. Provide the necessary assistance, such as:
  - the provision of information/data for the conduct of activities and delivery of outputs stated in this TOR; and
  - the provision of logistical requirements during audits and other related activities, e.g. meals, work space, equipment, transportation service, and other materiel requirements that may be needed in the course of the engagement; and
- f. Pay the engagement cost inclusive of mandatory taxes and in accordance with the set payment schedule.

## VI. CERTIFYING BODY'S RESPONSIBILITIES

The Certifying Body shall:

- a. Provide the necessary documented information to adequately assess the assigned auditors' qualifications on the grounds of:
  - Experience, education and training qualifications as well as capacity to undertake the work outlined in this TOR; and
  - Other similar projects or engagements that are currently committed, ongoing or completed;
- b. Conduct activities pertaining to this engagement with the highest standards of professional and ethical competence and integrity;

- c. Commit to treat with utmost confidentiality, all information about the PCC, its operations as well as other material information that will be gathered and used with respect to this engagement;
- d. Field a team of qualified auditors composed of at least five (5) members for the PCC;
- e. Prepare the Recertification or Surveillance Audit Plan, as the case may be, with the schedule of activities, number of audit man-days, and names of auditors;
- f. Coordinate with the PCC, through its QMT Secretariat, any changes on the auditors to be deployed and scheduled audit dates. **For any change request (e.g. change of auditors and schedule cancellation/adjustments), however, at least a week's notice shall be given and the said change/adjustment shall be mutually agreed upon by both parties;**
- g. Adhere to the approved recertification or surveillance audit plan as well as any changes or adjustments that may be agreed upon by both parties;
- h. Submit the required audit reports immediately after the completion of the recertification audit and surveillance audits, as the case may be; and
- i. Conduct one (1) recertification audit and at least two (2) surveillance audits within the three-year engagement period.

## VII. CERTIFYING BODY'S QUALIFICATION REQUIREMENTS

The Certifying Body (CB) shall provide documented information to adequately assess the following:

### A. Qualification and Competencies

1. The CB 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;
2. Only eligible CB will be considered for shortlisting. Pursuant to Section 24.5.3 of the revised IRR of RA 9184, the following criteria shall be considered in short listing the eligible CB:

Criteria	Qualifications	Bases	Weight
<b>Experience and Capability of the CB</b>	<ul style="list-style-type: none"> <li>• Have a minimum of five (5) years' experience in conducting ISO QMS audits and certification;</li> <li>• Have at least ten (10) full-time auditors;</li> <li>• Have audited at least five (5) institutions for ISO QMS,</li> </ul>	<p>Records of previous engagement and quality of performance in conducting audits and certification, and geographical distribution of current/impending projects.</p> <p>(a) DTI and SEC registration submitted indicating the year of</p>	40%

	<p>three (3) of which belonging to the public sector; and</p> <ul style="list-style-type: none"> <li>• Have a good track record for certifying government agencies for the ISO 9001 standards.</li> </ul>	<p>registration and/or other relevant documents; (b) List of completed and on-going contracts; and (c) Copies of Certificates of Satisfactory Service Rendered/ Certificates of Completion.</p>	
<b>Audit Team Qualifications</b>	<p>The CB must field a team of at least five (5) auditors with the following qualifications:</p> <p><b><u>Lead Auditor</u></b></p> <p><b>Education:</b></p> <ul style="list-style-type: none"> <li>– Preferably with Master’s degree in the field of industrial engineering, public/business administration, organizational development, and other similar and/or relevant fields;</li> </ul> <p><b>Training:</b></p> <ul style="list-style-type: none"> <li>– Preferably with 24 hours of advanced/intermediate training on international standards for management systems (e.g., ISO 9001, ISO 19011, ISO 31000, ISO 27001, etc.) and other organizational development and management-related trainings;</li> </ul> <p><b>Years of Experience:</b></p> <ul style="list-style-type: none"> <li>– With at least ten (10) years of relevant experience in auditing government agencies and other institutions;</li> </ul> <p><b>Similar/Relevant Engagements:</b></p> <ul style="list-style-type: none"> <li>– Have at least five (5) similar projects, i.e. ISO QMS recertification and surveillance audits for <b>government institutions</b>; and</li> <li>– Have at least five (5) similar projects i.e. ISO QMS recertification and surveillance audits for <b>private companies</b>.</li> </ul> <p><b><u>Audit Team Members</u></b></p> <p><b>Education:</b></p> <ul style="list-style-type: none"> <li>– Bachelor’s degree relevant to the job;</li> </ul> <p><b>Training:</b></p> <ul style="list-style-type: none"> <li>– Preferably with 24 hours of basic training on international standards for management</li> </ul>	<p>Original signed curriculum vitae submitted using the prescribed template, indicating the relevant work experience, educational background, and trainings attended by each member of the audit team, supported by certificates of attendance/ participation.</p>	40%

	<p>systems (e.g., ISO 9001, ISO 19011, ISO 31000, ISO 27001, etc.) and other organizational development and management-related trainings;</p> <p><b>Years of Experience:</b></p> <ul style="list-style-type: none"> <li>– With at least five (5) years of relevant experience in auditing government agencies and other institutions;</li> </ul> <p><b>Similar/Relevant Engagements:</b></p> <ul style="list-style-type: none"> <li>– Have at least three (3) similar projects, i.e. ISO QMS recertification and surveillance audits for <b>government institutions</b>; and</li> <li>– Have at least three (3) similar projects i.e. ISO QMS recertification and surveillance audits for <b>private companies</b>.</li> </ul>		
<b>Plan of Approach and Methodology</b>	<ul style="list-style-type: none"> <li>• Substance and completeness</li> <li>• Clarity of methodology and approach (at least satisfactory description)</li> </ul>	Clarity and feasibility of the written proposal	20%

## B. Documentary Requirements

### 1. Eligibility Requirements

- DTI-PAB Certification/Accreditation (with PNS ISO/IEC 17021-1:2015 to provide QMS certification to ISO 9001:2015 for L75: Public Administration);
- DTI and SEC Registration Certificate;
- Mayor's/Business Permit where the principal place of business of the prospective bidder is located, or the equivalent document for Exclusive Economic Zones. In cases of recently expired Mayor's/Business permits, it shall be accepted together with the official receipt as proof that the bidder has applied for renewal within the period prescribed by the concerned local government unit: Provided, That the renewed permit shall be submitted as a post-qualification requirement in accordance with Section 34.2 of the IRR of RA No. 9184.
- PhilGEPS Registration Certificate/Number;
- Latest Business Tax Returns; and
- Omnibus Sworn Statement (*Use Form A*).

### 2. Technical Proposal

- Company Profile;
- List of ongoing and completed certification projects (*Use Forms B and C*);
- Curriculum vitae of the proposed audit team with audit experience relevant to this project (*Use Form D*);



- Certificate of satisfactory service from at least five (5) of its previous government clients; and
- Complete and clear scope of work and implementation methodology, including team composition and work distribution (*Use Form E*).

### 3. Financial Proposal

(*Use Form F and the information provided in the attached Organizational Profile*)

## C. Evaluation and Selection Criteria

1. Proposals for this project shall be evaluated using the Quality-Cost Based Evaluation method, in accordance with the pertinent provisions of R.A. No. 9184 and its Revised IRR. It shall follow an 80% - 20% quality to cost ratio allocated as follows:

Criteria	Bases	Weight
<b>Technical Proposal</b>		<b>80%</b>
<b>A. Experience and Capability of the CB</b>	As specified in the qualifications above, and the submission of a duly notarized Omnibus Sworn Statement using the prescribed format of R.A. No. 9184	40%
<b>B. Audit Team Qualifications</b>		40%
<b>C. Plan of Approach and Methodology</b>		20%
<b>Financial Proposal</b>		<b>20%</b>
	<b>Total</b>	<b>100%</b>

2. The Certifying Body (CB) must attain a hurdle rate of 70% based on the weighted criteria for the Technical Proposal.
3. The Highest Rated CB must have the highest rated score based on the Technical and Financial proposals submitted, provided that the score passes the hurdle score of 85 points.

## VIII. DURATION AND PROPOSED BUDGET FOR THE CONTRACT

The services of the Certifying Body (CB) will be engaged for a period of three (3) years starting 2021. Said engagement shall commence upon the approval of the contract of the CB and the PCC.

For and in consideration of the services of the CB, the PCC shall pay the sum of **FOUR HUNDRED THOUSAND PESOS (₱400,000.00)**, inclusive of all applicable government taxes.

## IX. MODE OF PROCUREMENT

The mode of procurement shall be Negotiated Procurement - Small Value Procurement provided under the Revised Implementing Rules and Regulations (IRR) of R.A. No. 9184.

## X. DELIVERABLES AND PAYMENT SCHEDULE

Payments to the Certifying Body shall be based on the timely completion of the following deliverables:

Deliverables	Timeline	Percentage of Contract Amount
Submission of the final Recertification Audit Plan	Two (2) months before the Recertification Audit	50%
Conduct of the Recertification Audit	Within 4 <sup>th</sup> Quarter 2021	
Submission of the final Audit Report	One (1) week after the audit	
Issuance of the ISO 9001:2015 certificate valid for three (3) years	Within 30 days from the date of the auditor's acceptance of the required corrective actions from the PCC (if applicable) and issuance of written recommendation for agency certification	
Submission of the 1 <sup>st</sup> Surveillance Audit Plan	Two (2) months before the 1 <sup>st</sup> Surveillance Audit	25%
Conduct of the 1 <sup>st</sup> Surveillance Audit	Within 4 <sup>th</sup> Quarter 2022	
Submission of the final Audit Report	One (1) week after the audit	
Submission of the 2 <sup>nd</sup> Surveillance Audit Plan	Two (2) months before the 2 <sup>nd</sup> Surveillance Audit	25%
Conduct of the 2 <sup>nd</sup> Surveillance Audit	Within 4 <sup>th</sup> Quarter 2023	
Submission of the final Audit Report	One (1) week after the audit	
<b>Total</b>		<b>100%</b>

The percentage weights for each deliverable may be adjusted as agreed upon by the PCC and the Certifying Body.

All payments shall be endorsed by the Director of PCC's Finance, Planning and Management Office. Each tranche payment shall be released upon PCC's receipt and acceptance of the deliverables listed above, supported by the issuance of a Certificate of Satisfactory Services Rendered by the PCC. The outputs/activities for each tranche payment shall be in accordance with the requirements defined in this TOR to be accepted by the PCC.

## XI. LIQUIDATED DAMAGES

If the contractor fails to deliver any or all of the goods and/or to perform the services within the period specified in this contract, the Procuring Entity shall, without prejudice to its other remedies under this contract and under the applicable law, deduct from the contract price as liquidated damages, the applicable rate of one-tenth (1/10) of one percent (1%) of the cost of unperformed portion of every day of delay. The maximum deduction shall be ten percent (10%)

of the amount of the contract. Once the maximum is reached, the procuring entity reserves the right to rescind the contract, without prejudice to other courses of action and remedies open to it.

## **XII. CONFIDENTIALITY OF DATA AND INFORMATION**

All the materials, data, and information used and generated through this engagement shall be under the sole ownership of PCC. The Service Provider and any of its personnel shall at all times maintain the confidentiality of such materials, data, and information, and shall not use nor disseminate the same for any purpose, until considered declassified and issued with a written consent by the PCC. The Service Provider shall be required to sign Confidentiality/ Non-Disclosure Agreement upon Notice of Award (NOA).

## **XIII. DISPUTE AGREEMENT/RESOLUTION**

Should any dispute related to the Contract and/or rights of the parties arise, the same shall be submitted to mutual consultation, mediation and arbitration, in the order of application. The venue of the proceedings shall be in Quezon City. In case of a court suit, the venue shall be the courts of competent jurisdiction in Quezon City, to the exclusion of all other courts.

Any amendment or additional terms and conditions to the Contract must be in writing, signed and acknowledged by the Parties.

*Prepared by:*



**Kristel Claudine D. Aslanbaigi**  
Planning Officer IV, FPMO-CPMD

*Approved by:*



**Atty. Joseph Melvin B. Basas**  
Director IV, FPMO

*Reviewed by:*



**Joseph D. Bernat**  
Planning Officer V, FPMO-CPMD

**CONFORME:**

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Name of Consultant / Firm

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Signature of Consultant / Authorized Representative

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Designation

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Date

## RATING SHEET

CRITERIA	PARAMETERS	RATING SYSTEM		WEIGHT
<b>Experience and Capability of the CB (40%)</b>	Number of years in conducting ISO-QMS audits and certification	100	More than 10 years in conducting audits and certification	40%
		90	6 to 9 years in conducting audits and certification	
		85	At least 5 years in conducting audits and certification	
		0	With less than 5 years' experience in conducting audits and certification	
	Number of organizations audited for ISO-QMS (from 2015 to the day before the deadline of submission of offers/proposals)	100	Audited more than 8 institutions	20%
		90	Audited 6 to 8 institutions	
		85	Audited at least 5 institutions	
		0	Audited less than 5 institutions or with at least one project rated "Unsatisfactory"	
	Number of government institutions audited for ISO-QMS (from 2015 to the day before the deadline of submission of offers/proposals)	100	Audited more than 7 institutions	20%
		90	Audited 4 to 6 institutions	
		85	Audited at least 3 institutions	
		0	Audited less than 3 institutions or with at least one project rated "Unsatisfactory"	
	Number of full-time auditors	100	With more than 15 full-time auditors	20%
		90	With 11 to 14 full-time auditors	
		85	With at least 10 full-time auditors	
		0	With less than 10 full-time auditors	
<b>Audit Team Qualifications (40%)</b>	Educational attainment <sup>1</sup> of the Lead Auditor	100	With PhD or Doctorate degree relevant to the field of requirement	15%
		90	With Master of Sciences/Arts degree/ PhD or Doctorate Degree not relevant to the field	
		85	With Bachelor of Sciences/Arts degree/Master Degree not relevant to the field	
		0	Educational attainment below a Bachelor of Sciences/Arts degree, or degree attained is not from allied courses	

<sup>1</sup> Preferably with Master's degree in the field of industrial engineering, public/business administration, organizational development, and other similar and/or relevant fields.

CRITERIA	PARAMETERS	RATING SYSTEM		WEIGHT
	Educational attainment <sup>2</sup> of the Audit Team Members	100	With PhD or Doctorate degree	10%
		90	With Master of Sciences/Arts degree/ PhD or Doctorate Degree not relevant to the field	
		85	With Bachelor of Sciences/Arts degree/Master Degree not relevant to the field	
		0	Educational attainment below a Bachelor of Sciences/Arts degree, or degree attained is not from allied courses	
	Years of experience of the Lead Auditor in ISO-QMS auditing	100	With more than 15 years of relevant experience	15%
		90	With 11-14 years of relevant experience	
		85	With at least 10 years of relevant experience	
		0	With less than 10 years of relevant experience	
	Years of experience of the Audit Team Members in ISO-QMS auditing	100	With more than 8 years of relevant experience	10%
		90	With 6-8 years of relevant experience	
		85	With 5 years of relevant experience	
		0	With less than 5 years of relevant experience	
	Number of hours of relevant training <sup>3</sup> of Lead Auditor	100	With more than 48 hours of relevant training	15%
		90	With 25-48 hours of relevant training	
		85	With 24 hours of relevant training	
		0	With less than 24 hours of relevant training	
	Number of hours of relevant training <sup>4</sup> of Audit Team Member	100	With more than 48 hours of relevant training	10%
		90	With 25-48 hours of relevant training	
		85	With 24 hours of relevant training	
		0	With less than 24 hours of relevant training	
	Number of similar/relevant engagements in government institutions of the Lead Auditor	100	With more than 10 similar projects i.e. ISO QMS recertification and surveillance audits	3%
		90	With 6 to 9 similar projects	
		85	With at least 5 similar projects	
		0	With less than 5 similar projects	

<sup>2</sup> Bachelor's degree relevant to the job

<sup>3</sup> Relevant training on advanced/intermediate training on international standards for management systems (e.g., ISO 9001, ISO 19011, ISO 31000, ISO 27001, etc.) and other organizational development and management-related training

<sup>4</sup> Relevant training on basic training on international standards for management systems (e.g., ISO 9001, ISO 19011, ISO 31000, ISO 27001, etc.) and other organizational development and management related trainings

	PARAMETERS	RATING SYSTEM		WEIGHT
	Number of similar/relevant engagements in private companies of the Lead Auditor	100	With more than 10 similar projects i.e. ISO QMS recertification and surveillance audits	2%
		90	With 6 to 9 similar projects	
		85	With at least 5 similar projects	
		0	With less than 5 similar projects	
	Number of similar/relevant engagements in government institutions of the Audit Team Members	100	With more than 5 similar projects i.e. ISO QMS recertification and surveillance audits	3% for each required position
		90	With 4 to 5 similar projects	
		85	With at least 3 similar projects	
		0	With less than 3 similar projects	
	Number of similar/relevant engagements in private companies of Audit Team Members	100	With more than 5 similar projects i.e. ISO QMS recertification and surveillance audits	2% for each required position
		90	With 4 to 5 similar projects	
		85	With at least 3 similar projects	
		0	With less than 3 similar projects	
<b>Plan of Approach and Methodology (20%)</b>	Comprehensive Workplan	100	<b>Very Good</b> – Characteristics under “very good” are present with additional activities/ recommendations that add value to the project. Important issues are approached in an innovative and efficient way, indicating that the offeror have understood the main issues of the assignment and have outstanding knowledge of new solutions. The proposal details ways to improve the results and the quality of the assignment by using various approaches, methodologies, and knowledge.	50%
		85	<b>Satisfactory</b> – The proposed approach is discussed in full detail, and the methodology is specifically tailored to the characteristics of the assignment and flexible enough to allow its adaptation to change that may occur during project execution.	
		0	<b>Poor</b> - The steps to carry out the different activities of the TOR is discussed generically. The approach is standard and not specifically tailored to the assignment. Although the approach and methodology are suitable, they don't include a discussion on how the offeror proposes to deal with critical characteristics of the assignment.	

	PARAMETERS	RATING SYSTEM		WEIGHT
	Approach and Methodology	100	<p><b>Very Good</b> – Characteristics under “very good” are present with additional activities/ recommendations that add value to the project. Important issues are approached in an innovative and efficient way, indicating that the offeror have understood the main issues of the assignment and have outstanding knowledge of new solutions. The proposal details ways to improve the results and the quality of the assignment by using various approaches, methodologies, and knowledge.</p>	50%
85		<p><b>Satisfactory</b> – The proposed approach is discussed in full detail, and the methodology is specifically tailored to the characteristics of the assignment and flexible enough to allow its adaptation to change that may occur during project execution.</p>		
0		<p><b>Poor</b> - The steps to carry out the different activities of the TOR is discussed generically. The approach is standard and not specifically tailored to the assignment. Although the approach and methodology are suitable, they don't include a discussion on how the offeror proposes to deal with critical characteristics of the assignment.</p>		



## PROPOSAL SUBMISSION GUIDE

The details below shall guide prospective/interested offerors in preparing their respective proposals for the project:

<b>PROCURING ENTITY</b>	Philippine Competition Commission
<b>ADDRESS</b>	25 <sup>th</sup> Floor Vertis North Corporate Center I, North Avenue, Quezon City 1105
<b>PROJECT NAME</b>	Engagement of a Third Party Audit Firm for the Quality Management System (QMS) of the Philippine Competition Commission
<b>APPROVED BUDGET FOR THE CONTRACT</b>	FOUR HUNDRED THOUSAND PESOS (₱400,000.00), inclusive of all applicable government taxes
<b>WHOM TO ADDRESS THE PROPOSAL</b>	<b>ATTY. JOSEPH MELVIN B. BASAS</b> Chairperson, Bids and Awards Committee Philippine Competition Commission  <b>Thru: THE SECRETARIAT</b> Bids and Awards Committee Administrative Office – General Services Division
<b>DOCUMENTS TO BE SUBMITTED</b>	<p><b>Eligibility Documents</b></p> <ul style="list-style-type: none"> <li>• DTI-PAB Certification/Accreditation (with PNS ISO/IEC 17021-1:2015 to provide QMS certification to ISO 9001:2015 for L75: Public Administration);</li> <li>• DTI and SEC Registration Certificate;</li> <li>• Mayor’s/Business Permit where the principal place of business of the prospective bidder is located, or the equivalent document for Exclusive Economic Zones.</li> <li>• PhilGEPS Registration Certificate/Number;</li> <li>• Latest Business Tax Returns; and</li> <li>• Omnibus Sworn Statement (<i>Use Form A</i>).</li> </ul> <p><b>Technical Proposal</b></p> <ul style="list-style-type: none"> <li>• Company Profile;</li> <li>• List of ongoing and completed certification projects (<i>Use Forms B and C</i>);</li> <li>• Curriculum vitae of the proposed audit team with audit experience relevant to this project (<i>Use Form D</i>);</li> <li>• Certificate of satisfactory service from at least five (5) of its previous government clients; and</li> <li>• Complete and clear scope of work and implementation methodology, including team composition and work distribution (<i>Use Form E</i>).</li> </ul> <p><b>Financial Proposal</b></p> <ul style="list-style-type: none"> <li>• Use Form F and the information provided in the attached Organizational Profile.</li> </ul>

## Form A

### Omnibus Sworn Statement

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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;
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 following responsibilities as a Bidder:

a) Carefully examine all of the Bidding Documents;

b) Acknowledge all conditions, local or otherwise, affecting the implementation of the Contract;

c) Made an estimate of the facilities available and needed for the contract to be bid, if any; and

d) Inquire or secure 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.

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

\_\_\_\_\_  
Offeror's Representative/Authorized Signatory

**SUBSCRIBED AND SWORN** to before me this \_\_\_\_ day of *[month]* *[year]* at *[place of execution]*, Philippines. Affiant/s is/are personally known to me and was/were identified by me through competent evidence of identity as defined in the 2004 Rules on Notarial Practice (A.M. No. 02-8-13-SC). Affiant/s exhibited to me his/her *[insert type of government identification card used]*, with his/her photograph and signature appearing thereon, with no. \_\_\_\_\_ and his/her Community Tax Certificate No. \_\_\_\_\_ issued on \_\_\_\_ at \_\_\_\_\_.

Witness my hand and seal this \_\_\_\_ day of *[month]* *[year]*.

**NAME OF NOTARY PUBLIC**

Serial No. of Commission \_\_\_\_\_

Notary Public for \_\_\_\_\_ until \_\_\_\_\_

Roll of Attorneys No. \_\_\_\_\_

PTR No. \_\_\_\_\_ *[date issued]*, *[place issued]*

IBP No. \_\_\_\_\_ *[date issued]*, *[place issued]*

Doc. No. \_\_\_\_\_

Page No. \_\_\_\_\_

Book No. \_\_\_\_\_

Series of \_\_\_\_\_

**Form B**

**Statement of Completed Contracts**

This is to certify that \_\_\_\_\_ has the following completed contracts **from 2015 to present:**

Name/Title of Contract	a. Client's Name b. Client's Address c. Client's Contact No.	Nature of Work/Brief Description of Project	a. Date Awarded (Month and Year) b. Date Started (Month and Year) c. Date Completed (Month and Year)	Amount of Awarded Contract
<b>GOVERNMENT</b>				
<b>PRIVATE</b>				

Submitted by:

*Name of Representative of Offeror*

*Position*

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

**Instructions:**

- a) **Cut-off date:** The day before the deadline of submission of offers/proposals.
- b) Contracts that are **similar to the project being procured in terms of nature and amount** shall be prioritized for inclusion in the list.

**Form C**

**Statement of Ongoing and Awarded But Not Yet Started Contracts**

This is to certify that \_\_\_\_\_ has the following ongoing and awarded but not yet started contracts:

Name/Title of Contract	a. Client's Name b. Client's Address c. Client's Contact No.	Nature of Work/Brief Description of Project	a. Date Awarded (Month and Year) b. Date Started (Month and Year) c. Date of Completion (Month and Year)	Percentage Completion		Amount of Uncompleted Portion of the Contract
				Planned	Actual	
<b>GOVERNMENT</b>						
<b>PRIVATE</b>						

Submitted by:

*Name of Representative of Offeror*

*Position*

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

**Instructions:**

- a) State all ongoing contracts including those awarded but not yet started which may be similar or not similar to the project called for procurement
- b) **Cut-off date:** The day before the deadline of submission of offers/proposals.

**Form D**

**Format of Curriculum Vitae**

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Position in the Proposed Audit Team: \_\_\_\_\_

Name of Firm/Entity: \_\_\_\_\_

Name: \_\_\_\_\_

Profession: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Nationality: \_\_\_\_\_

Years with Firm/Entity: \_\_\_\_\_

Assigned Tasks/Role in the Proposed Audit Team: :

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Key Qualifications**

*Outline experience and training relevant to the project/engagement. Include dates (in months and years) with detailed description/discussion on the nature and scope of work handled. Describe the degree of responsibility held on previous projects and give dates and locations.*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Education**

*Summarize college/university and other specialized education. Identify the names of schools, inclusive dates attended, and degrees obtained.*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Professional License/s and Eligibilities**

*State all applicable professional licenses/eligibilities, date and place of conferment, license number and validity), and name of appropriate body regulating the practice the stated profession and/or allied profession.*

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Employment Record/Contracts/Projects**

*Starting with the present position, list all employment positions held after graduation. Give specific dates, names of employers, titles of positions held, and project location/address. For work experience (in the last ten years for lead auditor and in the last five years for audit team members), also indicate role played and types of activities performed and client references, where appropriate. Failure to indicate details of role and duration shall merit zero points.*

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**Trainings Attended**

*Summarize trainings/seminars attended as a participant. Indicate the topic and duration in terms of hours/days.*

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**Certification**

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

\_\_\_\_\_  
Full Name and Signature of Concerned Audit Team Staff

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



**Form E**

**Audit Team Information Sheet**  
For the Philippine Competition Commission

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Name	Position in Audit Team	Role or Tasking

\_\_\_\_\_  
Full Name and Signature of Offeror's Representative

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

**Form F****Financial Proposal Form**

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

**The Bids and Awards Committee**  
Philippine Competition Commission  
25/F Vertis North Corporate Center I, North Avenue,  
Quezon City 1105

Sir/Ma'am:

Having examined the Terms of Reference for this project, hereunder is our proposal for the Engagement of a Third Party Audit Firm for the Quality Management System (QMS) of the Philippine Competition Commission, as follows:

No.	Particulars	Amount
1	Conduct of Recertification Audit for 2021	₱
2	Conduct of Surveillance Audit for 2022	₱
3	Conduct of Surveillance Audit for 2023	₱
<b>Total</b>		<b>₱</b>

(Amount in words) \_\_\_\_\_.

The above-quoted prices are inclusive of all costs and applicable taxes.

Very truly yours,

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Signature Over Printed Name of  
Offeror's Representative

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Business Address

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Name of Company

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Telephone/Fax/Email Address

## ORGANIZATIONAL PROFILE

The details below shall guide prospective/interested offerors in preparing their respective financial proposals/quotations for the project:

<b>COMPANY NAME</b>	<b>Philippine Competition Commission</b>
<b>ADDRESS</b>	25 <sup>th</sup> Floor Vertis North Corporate Center I, North Avenue, Quezon City 1105
<b>HEAD OF OFFICE</b>	<b>Arsenio M. Balisacan, PhD</b> Chairperson
<b>PRIMARY CONTACT</b>	<b>Arvin G. Cabillan</b> Administrative Officer III / QMT Secretariat (02) 8771-9722 loc. 212; agcabillan@phcc.gov.ph
<b>SECONDARY CONTACT</b>	<b>Kristel Claudine D. Aslanbaigi</b> Planning Officer IV / QMT Secretariat (02) 8771-9722 loc. 212; kdaslanbaigi@phcc.gov.ph
<b>REQUIRED STANDARDS</b>	ISO 9001:2015 Quality Management System
<b>REQUIRED SCOPE</b>	<ul style="list-style-type: none"> <li>• Provision of Competition Policy Formulation, Regulatory and Enforcement Services pursuant to the Philippine Competition Act</li> <li>• Provision of Competition Policy Research, Advocacy and Capacity-Building Services</li> </ul>
<b>SCOPE EXCLUSION/S</b>	All clauses of the ISO 9001:2015 standards apply to the PCC
<b>OUTSOURCED PROCESSES</b>	Office Space, Security Services, HR Services (Janitorial, Drivers, Messengers, and Other General Support Services Personnel), Electricity, Water, Photocopier Services, Voice Over Internet Protocol System (Landline), Integrated Communication System (Mobile), Internet Services, Courier Services, Fuel, Vehicle Repair/Maintenance, Job Order Personnel, Media Monitoring Services, and Subscriptions
<b>MAIN STATUTORY AND REGULATORY REQUIREMENTS</b>	<ul style="list-style-type: none"> <li>• Republic Act No. 10667 – Philippine Competition Act (PCA) <ul style="list-style-type: none"> <li>– Implementing Rules and Regulations of R.A. No. 10667</li> <li>– 2017 PCC Rules on Merger Procedure</li> <li>– PCC Merger Review Guidelines</li> <li>– PCC Rules on Expedited Merger Review</li> <li>– PCC Clarificatory Note 16-001: Definitive Agreements and Binding Preliminary Agreements in Mergers and Acquisitions</li> <li>– PCC Clarificatory Note 16-002: Coverage of Compulsory Notification</li> <li>– PCC Clarificatory Note No. 17-001: Compulsory Notification in Voting Securities Acquisition</li> <li>– PCC Clarificatory Note No. 18-001: Consolidation of Ownership</li> <li>– PCC Clarificatory Note No. 19-001: Coverage of Compulsory Notification in Land Acquisition</li> <li>– PCC Memorandum Circular No. 17-001: Determination of Fines for Failure to Comply with Merger Notification Requirements and Waiting Periods</li> <li>– PCC Memorandum Circular No. 17-002: Revised Rules on Payment of Fees for Notification and Review of Mergers and Acquisitions</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>– PCC Memorandum Circular No. 18-001: Amendment of Rule 4, Section 3 of the Implementing Rules and Regulations and Republic Act. No. 10667 (Threshold Adjustment)</li> <li>– PCC Memorandum Circular No. 19-001: Process for Exemption from Compulsory Notification in Solicited Public-Private Partnership (PPP) Projects</li> <li>– PCC Memorandum Circular No. 20-001: Process for Exemption from Compulsory Notification of Joint Venture Agreements Entered Into Pursuant to ‘Guidelines and Procedures for Entering into JV Agreements Between Government and Private Entities’ Issued by the National Economic Development Authority</li> <li>– PCC Memorandum Circular No. 20-002: Process for Exemption from Compulsory Notification of Unsolicited Public-Private Partnerships (PPP) Projects</li> <li>– 2017 Rules of Procedure</li> <li>– Rule on Administrative Search and Inspection under the PCA</li> <li>– Rules of the Leniency Program of the PCC</li> <li>• Republic Act No. 11032 – Ease of Doing Business and Efficient Government Service Delivery Act of 2018</li> <li>• Republic Act No. 10173 – Data Privacy Act of 2012</li> <li>• Republic Act No. 9184 – Government Procurement Reform Act, and its 2016 Revised Implementing Rules and Regulations</li> <li>• Executive Order No. 605, s. 2007 – Institutionalizing the Structure, Mechanisms and Standards to Implement the Government Quality Management Program</li> <li>• Executive Order No. 2, s. 2016 – Operationalizing in the Executive Branch the People’s Constitutional Right to Information and the State to Full Public Disclosure and Transparency in the Public Service</li> <li>• Commission on Audit (COA) Circular No. 2015-007 dated October 22, 2015, Prescribing the Government Accounting Manual for Use of All National Government Agencies</li> <li>• Civil Service Commission (CSC) 2017 Omnibus Rules on Appointments and Other Human Resource Actions, revised 03 July 2018</li> </ul> <p><i>Note: Refer to Annex E of the PCC Quality Manual for the complete list of statutory and regulatory requirements that apply to the Commission.</i></p>
<b>EFFECTIVE NO. OF PERSONNEL</b>	237
<b>NO. OF SITES</b>	1