



BIDDING DOCUMENTS

FOR THE

CONSULTANCY SERVICES FOR

INVESTORS IN PEOPLE (IIP)

(Part 1)

PROJECT ID No.: SEC PB NO. 2022-12

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SECTION I. REQUEST FOR EXPRESSION OF INTEREST CONSULTANCY SERVICES FOR INVESTORS IN PEOPLE (IIP)

1. The Securities and Exchange Commission (SEC), through the authorized appropriations under the **FY 2022 Budget of SEC**, intends to apply the sum of Six Million Three Hundred Thousand Pesos (**Php6,300,000.00**) being the Approved Budget for the Contract (ABC) to payments under the contract for the Project, "**Consultancy Services for Investors in People (Project ID No. SEC PB No. 2022-12)**". Bids received in excess of the ABC shall be automatically rejected at the opening of the financial proposals.
2. SEC now calls for the submission of eligibility documents for the abovementioned Project, which main objective is to provide technical assistance to SEC on defining the current organizational capacities and competencies as well as facilitate interventions to bridge the gap between the current performance and the envisioned goals of strategic HRM by 2025.

Detailed schedule of requirements is indicated in the Terms of Reference (TOR) of the Project.

3. SEC will hold a meeting on the eligibility documents with the prospective bidders/interested consultants (i.e., Consulting Firm/Group) on **March 10, 2022 at 11:00 A.M.**

To reduce the risks and hazards of community transmission of COVID-19, the BAC shall conduct meetings and conferences via video conferencing until further notice, or until such time that the state of calamity, or implementation of community quarantine or similar government restrictions shall have been lifted by the proper government authorities.

The prospective bidders are advised to first log in the BAC virtual (Zoom) waiting room and wait for further advice to join the BACmeeting room, the link of which shall be provided to the prospective bidders before the start of the meeting.

4. Bids must be duly received by the SEC BAC Secretariat through manual submission at the office address indicated below **on or before March 24, 2022, 11:00 A.M.** Late bids shall not be accepted.

Bid opening shall be on **March 24, 2022, 11:00 A.M.** at the given address below and via video conferencing. Bids will be opened in the presence of the bidders' representatives who choose to attend the activity. Authorized attendees, including

representatives of bidders, who are physically present at the Executive Lounge, 3/F Secretariat Bldg., PICC Complex, Roxas Boulevard, Pasay City shall likewise join the meeting via videoconferencing.

Bidders are advised to first log in the BAC virtual (Zoom) waiting room and wait for further advice to join the BAC meeting room, the link of which shall be provided to the bidders before the start of bid opening.

5. Interested bidders may obtain further information from the BAC Secretariat and inspect the Bidding Documents at the address given below during office hours from 9:00 a.m. to 4:00 p.m.
6. A complete set of Bidding Documents may be acquired by interested bidders on **March 3, 2022** from the address below.

It may also be downloaded from the website of the Philippine Government Electronic Procurement System (PhilGEPS) and the SEC website.

7. Bidding is restricted to Filipino citizens/sole proprietorships, cooperatives, and partnerships or organizations with at least sixty percent (60%) interest or outstanding capital stock belonging to citizens of the Philippines.
8. The BAC shall draw up the short list of consultants from those who have submitted Expressions of Interest and have been determined as eligible in accordance with the provisions of RA No. 9184, otherwise known as the "Government Procurement Reform Act," and its 2016 Revised IRR. The short list shall consist a maximum of five (5) prospective bidders who will be entitled to submit bids. The BAC shall consider the short list should less than five (5) prospective bidders apply for eligibility and short listing, and actually pass the eligibility check or pass the minimum score required.
9. In accordance with Section 24 of RA No. 9184 and its 2016 Revised IRR, the criteria and rating system for short listing are:
 - i. Applicable experience of the firm (50%)
 - ii. Qualification of principal and key staff of the Firm who may be assigned to the job vis-à-vis extent and complexity of the undertaking (30%)
 - iii. Current workload (20%)
10. SEC shall evaluate bids using the Quality-Cost Based Evaluation (QCBE). The criteria and rating system for the evaluation of bids shall be provided in detail in the Eligibility Data Sheet.
11. SEC reserves the right to reject any and all bids, declare a failure of bidding, or not award the contract at any time prior to awarding of the contract in accordance with Sections 35.6 and 41 of RA No. 9184 and its 2016 Revised IRR, without thereby incurring any liability to the affected bidder or bidders.

Moreover, in accordance with Section 24.7 of the 2016 Revised IRR of RA No. 9184, notwithstanding the eligibility of a consultant and/or inclusion in the shortlist of consultants, SEC reserves the right to review the consultant's qualifications at any stage of the procurement process if it has reasonable grounds to believe that a misrepresentation has been made, or that there has been a change in the consultant's

capability to undertake the project from the time of submission of the eligibility requirements.

12. For further information, please refer to:

SEC BAC Secretariat
Procurement Division, Human Resource and Administrative Department
Securities and Exchange Commission
3rd Floor Secretariat Building, PICC Complex
Roxas Boulevard, Pasay City
Telefax No. 8818-5330
Email address: bacsecretariat@sec.gov.ph

13. You may visit the following website to download the Bidding Documents:

<https://www.sec.gov.ph>

<https://www.philgeps.gov.ph>

March 3, 2022


ARMANDO A. PAN JR.
Chairman, SEC-BAC

SECTION II. ELIGIBILITY DOCUMENTS

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CHECKLIST OF ELIGIBILITY REQUIREMENTS

(For Guidance Only)

I. Class “A” Documents –

Legal Documents

- (a) Valid PhilGEPS Registration Certificate (Platinum Membership) (all pages);
Or
- (b) Registration certificate from Securities and Exchange Commission (SEC), Department of Trade and Industry (DTI) for sole proprietorship, or Cooperative Development Authority (CDA) for cooperatives or its equivalent document, **and**
- (c) Mayor’s or Business permit issued by the city or municipality where the principal place of business of the prospective bidder is located, or the equivalent document for Exclusive Economic Zones or Areas; **and**
- (d) Tax clearance per E.O. No. 398, s. 2005, as finally reviewed and approved by the Bureau of Internal Revenue (BIR); **and**

Technical Documents

- (e) Eligibility Documents Submission Form accompanied by a duly notarized company’s Secretary’s Certificate or Special Power of Attorney, as applicable (Use Annex B) -; **and**
- (f) Statement of all Government and Private Contracts Completed which are Similar in Nature (Use Annex C); **and**
- (g) Certificate of Good Standing and Satisfactory Completion or equivalent document (for Completed Contracts); **and**
- (h) List of all Ongoing Government and Private Contracts Including Contracts Awarded but not yet Started (Use Annex D); **and**
- (i) Statement of the Consultant’s Nationality (Use Annex E); **and**
- (j) Curriculum Vitae for the Proposed Professional Staff (Use Annex F); **and**
- (k) Photocopy of the following documents must be submitted together with the Curriculum Vitae to evidence educational attainment, work experience and professional certifications:
 - 1. Certificate of Employment and similar documents (e.g. certificate of engagement)
 - 2. Training programs attended
 - 3. Diploma
 - 4. Professional Certifications and/or Licenses

Financial Documents

- (l) The Consultant's audited financial statements (AFS), showing among others, the Consultant's total and current assets and liabilities, stamped "received" by the BIR or its duly accredited and authorized institutions, for the preceding calendar year which should not be earlier than two (2) years from the date of bid submission

II. Class "B" Document –

Legal Documents

- (m) Valid Joint Venture Agreement (JVA) if JV is in existence or duly notarized statements from all the potential joint venture partners stating that they will enter into and abide by the provisions of the JVA in the event that the bid is successful.

*** In case a discrepancy exists between the requirements stated in the Checklist and the requirements specified in the Bidding Documents, the latter shall prevail.**

Eligibility Documents

1. Eligibility Criteria

- 1.1. The following persons/entities shall be allowed to participate in the bidding for Consulting Services:
 - (a) Duly licensed Filipino citizens/sole proprietorships;
 - (b) Partnerships duly organized under the laws of the Philippines and of which at least sixty percent (60%) of the interest belongs to citizens of the Philippines;
 - (c) Corporations duly organized under the laws of the Philippines and of which at least sixty percent (60%) of the outstanding capital stock belongs to citizens of the Philippines;
 - (d) Cooperatives duly organized under the laws of the Philippines; or
 - (e) Persons/entities forming themselves into a joint venture, *i.e.*, a group of two (2) or more persons/entities that intend to be jointly and severally responsible or liable for a particular contract: Provided, however, That Filipino ownership or interest thereof shall be at least sixty percent (60%). For this purpose, Filipino ownership or interest shall be based on the contributions of each of the members of the joint venture as specified in their JVA.
- 1.2. When the types and fields of Consulting Services involve the practice of professions regulated by law, those who will actually perform the services shall be Filipino citizens and registered professionals authorized by the appropriate regulatory body to practice those professions and allied professions specified in the **EDS**.
- 1.3. If the Request for Expression of Interest allows participation of foreign consultants, prospective foreign bidders may be eligible subject to the conditions stated in the **EDS**.
- 1.4. Government owned or –controlled corporations (GOCCs) may be eligible to participate only if they can establish that they (a) are legally and financially autonomous, (b) operate under commercial law, and (c) are not attached agencies of the Procuring Entity.

2. Eligibility Requirements

- 2.1. The following eligibility requirements, together with the Eligibility Documents Submission Form, shall be submitted on or before the date of the eligibility check specified in the Request for Expression of Interest and Clause 5 for purposes of determining eligibility of prospective bidders:

(a) Class "A" Documents –

Legal Documents

- (i) PhilGEPS Certificate of Registration and Membership in accordance with Section 8.5.2 of the 2016 Revised IRR of RA No. 9184, except for foreign bidders participating in the procurement by a Philippine Foreign Service Office or Post, which shall submit their eligibility documents under Section 24.1 of the 2016 Revised IRR of RA No. 9184, provided, that the winning Consultant shall register with PhilGEPS in accordance with Section 37.1.4 of the 2016 Revised IRR of RA No. 9184;

Technical Documents

- (ii) Statement of the prospective bidder of all its ongoing and completed government and private contracts, including contracts awarded but not yet started, if any, whether similar or not similar in nature and complexity to the contract to be bid, within the relevant period provided in the **EDS**. The statement shall include, for each contract, the following:
- (ii.1) the name and location of the contract;
 - (ii.2) date of award of the contract;
 - (ii.3) type and brief description of consulting services;
 - (ii.4) consultant's role (whether main consultant, subconsultant, or partner in a JV)
 - (ii.5) amount of contract;
 - (ii.6) contract duration; and
 - (ii.7) certificate of satisfactory completion or equivalent document specified in the **EDS** issued by the client, in the case of a completed contract;
- (iii) Statement of the consultant specifying its nationality and confirming that those who will actually perform the service are registered professionals authorized by the appropriate regulatory body to practice those professions and allied professions in accordance with Clause 1.2, including their respective curriculum vitae.

(b) Class "B" Document –

If applicable, the Joint Venture Agreement (JVA) in case the joint venture is already in existence, or duly notarized statements from all the potential joint venture partners in accordance with Section 24.1(b) of the 2016 Revised IRR of RA No. 9184.

- 2.2. The eligibility requirements or statements, the bids, and all other documents to be submitted to the BAC must be in English. If the eligibility requirements or statements, the bids, and all other documents submitted to the BAC are in foreign language other than English, it must be accompanied by a translation of the documents in English. The documents shall be translated by the relevant foreign government agency, the foreign government agency authorized to translate documents, or a registered translator in the foreign bidder's country; and shall be authenticated by the appropriate Philippine foreign service establishment/post or the equivalent office having jurisdiction over the foreign bidder's affairs in the Philippines. The English translation shall govern, for purposes of interpretation of the bid.
- 2.3. Prospective bidders may obtain a full range of expertise by associating with individual consultant(s) and/or other consultants or entities through a JV or subcontracting arrangements, as appropriate. However, subconsultants may only participate in the bid of one short listed consultant. Foreign Consultants shall seek the participation of Filipino Consultants by entering into a JV with, or subcontracting part of the project to, Filipino Consultants.

3. Format and Signing of Eligibility Documents

- 3.1. Prospective bidders shall submit their eligibility documents through their duly authorized representative on or before the deadline specified in Clause 5.
- 3.2. Prospective bidders shall prepare an original and copies of the eligibility documents. In the event of any discrepancy between the original and the copies, the original shall prevail.
- 3.3. The Eligibility Documents Submission Form shall be signed by the duly authorized representative/s of the Bidder. Failure to do so shall be a ground for the rejection of the eligibility documents.
- 3.4. Any interlineations, erasures, or overwriting shall be valid only if they are signed or initialed by the duly authorized representative/s of the prospective bidder.

4. Sealing and Marking of Eligibility Documents

- 4.1. Prospective bidders shall enclose their original eligibility documents described in Clause 2.1, in a sealed envelope marked "ORIGINAL – ELIGIBILITY DOCUMENTS". Each copy thereof shall be similarly sealed duly marking the envelopes as "COPY NO. - ELIGIBILITY DOCUMENTS". These envelopes containing the original and the copies shall then be enclosed in one single envelope.
- 4.2. The original and the number of copies of the eligibility documents as indicated in the **EDS** shall be typed or written in ink and shall be signed by the prospective bidder or its duly authorized representative/s.
- 4.3. All envelopes shall:
 - (a) contain the name of the contract to be bid in capital letters;
 - (b) bear the name and address of the prospective bidder in capital letters;
 - (c) be addressed to the Procuring Entity's BAC specified in the **EDS**;

- (d) bear the specific identification of this Project indicated in the **EDS**; and
- (e) bear a warning “DO NOT OPEN BEFORE...” the date and time for the opening of eligibility documents, in accordance with Clause 5.

4.4 Eligibility documents that are not properly sealed and marked, as required in the bidding documents, shall not be rejected, but the bidder or its duly authorized representative shall acknowledge such condition of the documents as submitted. The BAC shall assume no responsibility for the misplacement of the contents of the improperly sealed or marked eligibility documents, or for its premature opening.

5. Deadline for Submission of Eligibility Documents

Eligibility documents must be received by the Procuring Entity’s BAC at the address and on or before the date and time indicated in the Request for Expression of Interest and the **EDS**.

6. Late Submission of Eligibility Documents

Any eligibility documents submitted after the deadline for submission and receipt prescribed in Clause 5 (sic) shall be declared “Late” and shall not be accepted by the Procuring Entity. The BAC shall record in the minutes of submission and opening of eligibility documents, the Bidder’s name, its representative and the time the eligibility documents were submitted late.

7. Modification and Withdrawal of Eligibility Documents

7.1. The prospective bidder may modify its eligibility documents after it has been submitted; provided that the modification is received by the Procuring Entity prior to the deadline specified in Clause 5. The prospective bidder shall not be allowed to retrieve its original eligibility documents, but shall be allowed to submit another set equally sealed, properly identified, linked to its original bid marked as “ELIGIBILITY MODIFICATION” and stamped “received” by the BAC. Modifications received after the applicable deadline shall not be considered and shall be returned to the prospective bidder unopened.

7.2. A prospective bidder may, through a letter of withdrawal, withdraw its eligibility documents after it has been submitted, for valid and justifiable reason; provided that the letter of withdrawal is received by the Procuring Entity prior to the deadline prescribed for submission and receipt of eligibility documents.

7.3. Eligibility documents requested to be withdrawn in accordance with this Clause shall be returned unopened to the prospective bidder concerned. A prospective bidder that withdraws its eligibility documents shall not be permitted to submit another set, directly or indirectly, for the same project. A prospective bidder that acquired the eligibility documents may also express its intention not to participate in the bidding through a letter which should reach and be stamped by the BAC before the deadline for submission and receipt of eligibility documents.

8. Opening and Preliminary Examination of Eligibility Documents

8.1. The BAC will open the envelopes containing the eligibility documents in the presence of the prospective bidders’ representatives who choose to attend, at the

time, on the date, and at the place specified in the **EDS**. The prospective bidders' representatives who are present shall sign a register evidencing their attendance.

In case the submitted eligibility envelopes cannot be opened as scheduled due to justifiable reasons, the BAC shall take custody of the said envelopes and reschedule the opening on the next working day or at the soonest possible time through the issuance of a Notice of Postponement to be posted in the PhilGEPS website and the website of the Procuring Entity concerned.

- 8.2. Letters of withdrawal shall be read out and recorded during the opening of eligibility documents and the envelope containing the corresponding withdrawn eligibility documents shall be returned unopened to the withdrawing prospective bidder.
- 8.3. The eligibility documents envelopes and modifications, if any, shall be opened one at a time, and the following read out and recorded:
 - (a) the name of the prospective bidder;
 - (b) whether there is a modification or substitution; and
 - (c) the presence or absence of each document comprising the eligibility documents vis-à-vis a checklist of the required documents.
- 8.4. The eligibility of each prospective bidder shall be determined by examining each bidder's eligibility requirements or statements against a checklist of requirements, using non-discretionary "pass/fail" criterion, as stated in the Request for Expression of Interest, and shall be determined as either "eligible" or "ineligible." If a prospective bidder submits the specific eligibility document required, he shall be rated "passed" for that particular requirement. In this regard, failure to submit a requirement, or an incomplete or patently insufficient submission, shall be considered "failed" for the particular eligibility requirement concerned. If a prospective bidder is rated "passed" for all the eligibility requirements, he shall be considered eligible to participate in the bidding, and the BAC shall mark the set of eligibility documents of the prospective bidder concerned as "eligible." If a prospective bidder is rated "failed" in any of the eligibility requirements, he shall be considered ineligible to participate in the bidding, and the BAC shall mark the set of eligibility documents of the prospective bidder concerned as "ineligible." In either case, the BAC Chairperson or his duly designated authority shall countersign the markings.

9. Short Listing of Consultants

- 9.1. Only prospective bidders whose submitted contracts are similar in nature and complexity to the contract to be bid as provided in the **EDS** shall be considered for short listing.
- 9.2. The BAC shall draw up the short list of prospective bidders from those declared eligible using the detailed set of criteria and rating system to be used specified in the **EDS**.
- 9.3. Short listed consultants shall be invited to participate in the bidding for this project through a Notice of Eligibility and Short Listing issued by the BAC.

10. Protest Mechanism

Decision of the Procuring Entity at any stage of the procurement process may be questioned in accordance with Section 55 of the 2016 Revised IRR of RA No. 9184.

Section III. Eligibility Data Sheet

Eligibility Documents	
1.2	<i>No further instructions.</i>
1.3	<i>No further instructions.</i>
2.1(a)(i)	<p>*In case the PhilGEPS Platinum Certificate of Registration is not available during bid submission, it shall be submitted as a post-qualification requirement, in accordance with Section 34.2 of the 2016 Revised IRR of RA No. 9184.</p> <p>** In case the valid Mayor's Permit is not available during bid submission, it shall be submitted after award of contract but before payment in accordance with item 6.2 of GPPB Resolution No. 09-2020.</p>
2.1(a)(ii)	<p>The List of all Ongoing Government and Private Contracts Including Contracts Awarded but not yet Started shall include all such contracts prior to March 24, 2022 (see Annex D for format).</p> <p>Likewise, the Statement of all Government and Private Contracts Completed which are Similar in Nature shall be submitted (see Annex C for format).</p>
2.1(a)(ii.7)	The Service Provider/Consultancy Firm must show certification or any equivalent document from each of its clients, as stated in the Statement of ALL Completed Contracts form, that it is in good standing and has implemented similar projects (Clause 9.1) to its client's expectations. This particular requirement of submitting certification or equivalent document shall only apply to contracts that are similar in nature to the project at hand.
2.1(a)(iii)	<p>Notarization of the required documents shall comply with the 2004 Rules on Notarial Practice which limits competent evidence of identity to the following:</p> <p>(i) identification documents issued by an official agency bearing the photograph and signature of the individual (i.e., passport, driver's license, SSS ID, GSIS e-card, etc.); and</p>

	<p>(ii) the oath of affirmation of one credible witness not privy to the instrument, document or transaction who is personally known to the notary public and who personally knows the individual and shows to the notary public documentary identification.</p> <p>In the interest of safeguarding the public’s health in view of the COVID-19 pandemic, notarization of the required documents is allowed through videoconferencing in cases where the notary public holds office in an area under community quarantine in accordance with the Supreme Court issuance on interim rules on notarization of documents, SC A.M. No. 20-07-04-SC (2020 Interim Rules on Remote Notarization of Paper Documents).</p>
4.1	Each prospective bidder shall submit one (1) original copy and two (2) duplicate copies of its eligibility documents.
4.3(c)	<p>SEC-BAC Secretariat Securities and Exchange Commission 3rd Floor, Secretariat Bldg., PICC Complex, Roxas Blvd., Pasay City Telefax No. 8818-5330 Email address: bacsecretariat@sec.gov.ph</p>
4.3(d)	The name of the Project is “Consultancy Services for Investors in People (IIP)”
5	The address for submission of eligibility documents is Procurement Division, Human Resource and Administrative Department, 3/F Secretariat Bldg., PICC Complex, Roxas Blvd., Pasay City
8.1	<p>The date and time of opening of eligibility documents is on March 24, 2022, 11:00 A.M., at the given address below and via video conferencing. Bids will be opened in the presence of the bidders’ representatives who choose to attend the activity. Authorized attendees, including representatives of bidders, who are physically present at the Executive Lounge, 3/F Secretariat Bldg., PICC Complex, Roxas Blvd., Pasay City shall likewise join the meeting via videoconferencing.</p> <p>Bidders are advised to first log in the BAC virtual (Zoom) waiting room and wait for further advice to join the BAC meeting room, the link of which shall be provided to the bidders before the start of bid opening.</p>
9.1	Similar contracts shall refer to consultancy services for Investors in People (IIP) certification where the corresponding Certificate was issued for the purpose.

9.2

The BAC shall rank the consultants in descending order based on their total scores considering the criteria presented below, and identify the top five (5) eligible consultants as shortlisted consultants. Should less than the required number of consultants apply for eligibility and short listing, pass the eligibility check, **and/or** pass the minimum score required in the short listing, the BAC shall consider the same.

Scoring shall be based on eligibility documents submitted, considering the following evaluation criteria:

- (i) Applicable experience of the firm (50%);
- (ii) Qualification of principal and key staff of the Firm who may be assigned to the job vis-à-vis extent and complexity of the undertaking (30%); and
- (iii) Current workload (20%).

To qualify for shortlisting, the prospective bidder should achieve an overall minimum score of 70 points.

No.	Evaluation Criteria	Maximum Score
1	Applicable Experience of the Firm	50
	With proven track record in conducting organizational assessment with clients from private and government sectors <ul style="list-style-type: none"> • More than 15 years (50 points) • More than 10 years to 15 years (40 points) • More than 7 years to 10 years (30 points) • 5 years to 7 years (20 points) 	
2	Qualifications of Key Personnel who may be assigned to the job vis-à-vis extent and complexity of the undertaking	30
	2.1 Team Leader	
	2.1.1 Professional Experience <ul style="list-style-type: none"> • More than 15 years of conducting organizational assessment as a team leader (8 points) • 10 to 15 years of conducting organizational assessment as a team leader (6 points) • Less than 10 years of conducting organizational assessment as a team leader (4 points) 	
	2.1.2 Education Qualification <ul style="list-style-type: none"> • Post-graduate degree (5 points) • Master's degree (3 points) 	
	2.1.3 Prior engagements in conducting organizational assessment <ul style="list-style-type: none"> • 6 to 10 active and completed relevant projects 	

	(7 points) <ul style="list-style-type: none"> • 1 to 5 activate and completed relevant projects (4 points) 	
	2.2 Team Members	
	2.2.1 Professional Experience <ul style="list-style-type: none"> • More than 10 years of conducting organizational assessment (3 points) • 5 to 10 years of conducting organizational assessment (2 points) • Less than 5 years of conducting organizational assessment (1 point) 	
	2.2.2 Trainings Attended/Conducted Relevant to Organizational Assessment and IIP ¹ <ul style="list-style-type: none"> • More than 80 hours of relevant training (2 points) • 40 to 80 hours of relevant training (1 point) • Less than 40 hours of relevant training (0 point) 	
	2.2.3 Educational Qualification <ul style="list-style-type: none"> • Post-Graduate Degree (2 points) • Master's Degree (1 point) • Bachelor's Degree (0 point) 	
	2.2.4 Prior engagements in conducting organizational assessment <ul style="list-style-type: none"> • 3 to 4 active and completed relevant projects (3 points) • 1 to 2 active and completed relevant projects (1 point) 	
3	Current Workload	20
	3.1 Positive Feedback <ul style="list-style-type: none"> • Work Acceptance Report/Certification by previous client or any equivalent document (5 points) 	
	3.2 Overall Work Commitment ² <ul style="list-style-type: none"> • Higher than 1.5 ratio (number of consultants divide ongoing projects) (15 points) • Between 1.0 and 1.5 ratio (number of consultants divide ongoing projects) (10 points) • Between 0.5 and 1.0 ratio (number of consultants divide ongoing projects) (7 points) • Lower than 0.5 ratio (number of consultants divide ongoing projects) (5 points) 	

¹ For bids with more than four team members, the scores will be averaged

² Consulting Firm/s with no ongoing projects will automatically get the maximum points

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TERMS OF REFERENCE
Consultancy Services for Investors in People (IIP)

1. Background

The Securities and Exchange Commission (SEC) has an expansive mandate over the corporate sector, the capital market, and the investing public. The vision of the SEC is to be the best corporate market regulator in Southeast Asia anchored the overall SEC Vision 2025. For the Human Resource and Administrative Department (HRAD), two (2) of the strategic objectives envisioned are (1) to attract the best and retain the best and the brightest professionals and (2) to develop and maintain a culture of excellence. These objectives fall under the umbrella of the Project Quest Strategic Initiative, which aims to institutionalize excellence in the agency's organizational performance and human resource management. To achieve this, the SEC seeks technical assistance on embedding high standards of leadership and management, encompassing effective and efficient processes and leadership practices and getting Investors in People (IIP) accreditation in the next few years. The table below identifies the targets over the seven (7) year duration, viz:

Year	PRIME-HRM Level
2022	Hiring of consultants to conduct assessment and prepare the agency for IIP certification
2023	Standard Certification
2024	Compliance with Silver Certification
2025	Silver Certification

This project will constitute a series of leadership and management interventions, and business processes interventions incorporating organizational development, principles of effective execution and design thinking, service design, and innovation management system strategies.

2. Objectives

The Consultancy Services for the Investors in People (IIP) aims to ensure that:

- 2.1. The agency's leadership and management practices meet international standards;
- 2.2. The employees' credibility, integrity, commitment, competence, and motivation are enhanced;
- 2.3. The agency has an effective quality system, incorporating Investors in People, and an ISO system focused on process improvement, incorporating ISO 9004:2018 guidelines to ensure effective implementation;
- 2.4. The agency's internal and external stakeholders' are involved in identifying opportunities for improvement and in the creation of solutions and improvement plans that are conformable to (or consistent with) ISO standards on innovation;

2.5. The agency builds capability in Investors in People (IIP) standards of leadership, management and engagement, managing change, business process improvement, execution agility and design thinking and service design methodologies and related technologies; and

2.6. The agency institutionalizes leadership and management practices that will be sufficiently effective to meet the requirements of the international Investors in People (IIP) accreditation.

3. Duration

The engagement of the services of the Consultancy Firm, hereon referred to as the Consultant, shall be for a period of twelve (12) months from the date of the issuance of Notice to Proceed and renewable upon the recommendation of the end user and approval of the Commission en banc.



The twelve-month period shall exclude the period which a deliverable submitted by the Consultant is placed under consideration for review and/or approval of the Commission en banc.

4. Approved Budget for the Contract

The maximum possible contract price for the services for the first twelve-month period is SIX MILLIONTHREE HUNDRED THOUSAND PESOS (P6,300,000.00). A bid in excess of this amount shall automatically be rejected at the opening of the financial proposal.

This amount shall be inclusive of twelve percent (12%) Value Added Tax (VAT) and other taxes imposed by the government. The amount shall be billed by the Consultant upon the submission of each deliverable according to the schedule specified under Item 6. Deliverables and Payment Schedule of this TOR.

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

5. Scope of Services and Deliverables

The Consultant will conduct the organizational assessment that includes the following:

5.1. The Consultant shall design and provide professional services to develop and implement Organizational Development (OD) interventions aligned with the SEC's strategic vision taken into account:

- Agency's Organizational Culture;

This should include a review of the failures of previous organizational reforms, organization values and norms that have been developed over time, and ways of thinking and behaving;

- Agency’s organizational capacitation thrust as identified during the 2022 Strategic Planning;
- The link between agency’s process improvement, execution agility, and service innovation and its digital transformation roadmap as well as to the Quality Management System (ISO 9001:2015), the Ease of Doing Business and Efficient Government Service Delivery Act of 2018 (RA 11032), and its Business Continuity Plan (BCP), Strategic, Planning, and Transition Plan;
- Emerging learning in human capital reporting, ISO 30414, and related concerns;
- Inclusion of the Head Office as well as its Extension Offices located in Bacolod City, Baguio City, Cagayan de Oro City, Cebu City, Davao City, Iloilo City, Legazpi City, Tarlac City and Zamboanga City in the coverage of the consultancy;
- Internal and external stakeholders’ roles and needs; and
- Schedule and activities of the agency, top management, Technical Working Group (TWG) members and other consultants.

5.2.The Consultant shall design a program with corresponding strategies for the rollout and upgrading of business processes (with accompanying execution modalities) that will ensure continuous progress in the creation of solutions and improvement plans;

5.3.The Consultant shall prepare, capacitate and implement a succession plan to ensure the TWG members will be ready to take over fully at the end of the engagement;

5.4.The Consultant shall implement the following activities throughout the contract:

6. Deliverables and Payment Schedule

The milestone deliverables shall be reviewed and accepted for the SEC by the Supervising Commissioner of the HRAD, upon the recommendation of the Director/Officer-in-Charge of the HRAD and the Assistant Director of LRID within two (2) weeks from the submission of deliverables and requirements.

The timeline, activities, and deliverables will need to be responsive to the evolving new normal in the wake of the COVID-19 pandemic and to the nature of the health and safety guidelines issued by the Inter-Agency Task Force on Emerging Infectious Diseases.

No	Deliverable	Description	Due Date	% Share on the Contract Price
1	Mobilization Report	The Consultant will prepare and deliver to SEC a Mobilization Report, which shall contain the results of the initial review of the agency’s institutional profile, leadership and management practices, people engagement and gap	Commencement Date	10%

		<p>analysis. It shall also contain the project objectives, scope, activities, outputs and timeline.</p> <p>Other activities shall include: Enrolment to the IIP Community</p>		
2	Inception Report	<p>The Consultant will prepare and deliver to SEC an Inception Report, which shall include the detailed work plan of activities, results of the program launch and the discussions of the initial strategic planning session. It shall also include the membership to Investors in People Community.</p>	30 Days after Commencement Date	5%
3	Organizational Assessment Report	<p>The Consultant will prepare and deliver to SEC an Organizational Assessment Report, which shall include initial assessment of the effectiveness of leadership and management practices and people management and initial gap analysis of the agency's existing management system. It shall also include initial assessment of processes in meeting the agency's mandate and stakeholder expectations.</p> <p>The report shall include initial assessment of the alignment of business processes with ISO 9004:2018 guidelines to ensure sustained success of improved processes based on the seven (7) quality management principles and KPI review.</p> <p>The report shall further provide the agency with comprehensive information relating to the current position in leadership and management, internal business processes, customer services and recommendations for improvement.</p> <p>Other activities shall include:</p> <ul style="list-style-type: none"> • Consultation meetings, interviews, and focus group discussions with relevant stakeholders; • Conduct of IIP Baseline Survey of 	90 Days after Inception Report	5%



		<p>the whole organization;</p> <ul style="list-style-type: none"> • Validation of results through focus group discussions and interviews with the top management; • Relevant stakeholders research through on-site observational study, interviews and surveys; • Workshop for relevant stakeholders during organizational assessment; and • Report and presentation of organizational assessment results. 		
4	Organizational Design Plan	<p>The Consultant will prepare and deliver to SEC an Organizational Design Plan, which shall include documentation and results of the capacity building workshops in improving leadership, customer service and business processes. It shall also include internally generated solutions and action plans based on the outcome of the organizational assessment that will address identified issues and gaps. It shall also include a business process map, risk management plan, register of KPIs and corrective action plans.</p> <p>The design plan shall incorporate recommendations on setting up an innovation management system (pursuant to relevant ISO standards on innovation) meant to deliver excellent and sustainable public value.</p> <p>The report shall likewise include the results of benchmarking with other government agencies with experience in introducing similar quality and innovation management systems.</p> <p>Other activities shall include:</p> <ul style="list-style-type: none"> • Consultation meetings, interviews, and focus group discussions; • Conduct of change management/leadership workshops for leaders; • Capacitation of relevant stakeholders in the IIP Standard 	90 Days after Organizational Assessment Report	5%

		<p>and application of all learning in business processes improvement, sustainable innovation, and effective execution; and</p> <ul style="list-style-type: none"> • Report and presentation of key learning points from the workshops 		
5	Investors in People (IIP) Assessment Report	<p>The Consultant will prepare and deliver to SEC an Investors in People (IIP) Assessment Report, which shall include the results of the benchmarking with other IIP organizations globally, context setting with leaders, and site or virtual visit for observations and interviews with selected stakeholders. The report shall also include the status of compliance with the IIP Standard and granular recommendations for continuous improvement.</p> <p>Other activities shall include:</p> <ul style="list-style-type: none"> • Consultation meetings, interviews, and focus group discussions; and • Report and presentation of the IIP Assessment. 	90 Days after Organizational Design Report	5%
6	Business Processes Improvement Report	<p>The Consultant will prepare and deliver to SEC a Business Processes Improvement Report, which shall include the final business processes audit outcomes and recommendations. The report shall likewise include internally generated solutions and action plans addressing the issues and gaps determined through the organizational assessment and application of learning from the workshops in IIP, design thinking, and innovation technologies, business improvement, and effective execution.</p> <p>Other activities shall include:</p> <ul style="list-style-type: none"> • Consultation meetings, interviews, and focus group discussions; • Capacitation of relevant stakeholders in improving leadership, design thinking, service design and business process improvement; • Report and presentation of key 	60 Days after IIP Assessment Report	5%

		<p>learning points from the workshops; and</p> <ul style="list-style-type: none"> • Report and presentation of the solution and plans to the Commission en banc for approval. 		
7	Monthly Progress Reports	The Consultant will prepare and deliver to SEC a Monthly Progress Report at the end of every month, which shall include the status, actions and updates of deliverables and meetings.	End of every month	5% per month
8	Terminal Report	The Consultant will prepare and deliver to SEC a Terminal Report the end of the contract, which shall include integrated report and executive summary of the project, recommendations, and consolidated final report, which outlines a succinct transformation roadmap, consisting of the following: 1) insights into the effectiveness of leadership and management practices as measured against the IIP Standard; 2) impact assessment of improved business processes, design thinking, and innovation projects; and 3) areas for further improvement (e.g. execution agility).	End of Contract	5%
	Succession Paper	<p>Other activities shall include:</p> <ul style="list-style-type: none"> • Presentation of the outcomes and recommendations for improvement; and • Submission of a Succession Paper that will ensure the sustainability of the project at least six (6) months before the end of the contract. 	On or before six (6) months prior the end of contract	

7. Qualification of the Consultancy Firm

The Consultant must have the varied expertise necessary to deliver the Technical Assistance on Organizational Capacity Building for SEC. The team must have an HR and OD specialist/s and relevant experts on business process improvement, change management, and business planning.

- The Consultant
 - Must have at least 10 years' experience in strategic HR management, IIP consulting and assessing

- Must have at least 10 years' experience in business improvement; and
- Must have at least 5 years' experience in design thinking, service design and related technologies.
- The Team Leader
 - Must have relevant educational background on social, science, public administration human resource development studies, communications and/or marketing discipline and have trained or participated in any qualitative or quantitative design and methods training related to strategic HR management, IIP, business processes and design thinking, or project management, as shown by the submitted diploma(s), certificate(s), and other documents; and
 - Must have handled at least one similar or related projects as shown by the certificate or documents.

8. Responsibilities of the Parties

The Consultant shall assume the following obligations:

- a. Ensure that all proposed activities are consistent with the overall project framework provided by the SEC;
- b. Establish linkages and close coordination with other Consultant/s for other deliverables under Project QUEST to achieve strategic complementation in terms of activities and deliverables (e.g. use of common project management methodology);
- c. Designate the project lead to ensure timely delivery of outputs and the to coordinate with SEC in carrying out the services;
- d. Assist in organizing a team that would help the Consultant gather the data that will be needed for the project development and implementation of the required deliverables based on this TOR;
- e. Develop the design and methodologies that will best fit the organizational needs in terms of the required expected outputs and deliverables;
- f. Seek the approval of the Director/OIC of the HRAD on any changes, amendments, modifications and adjustments in the implementation of proposed project development methods prior to their conduct;
- g. Submit all the mandatory accomplishment and status reports based on the agreed timeline under Item 6. Deliverables and Payment Schedule of this TOR;
- h. 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;
- i. Shoulder the airfare or transportation expenses including incidental expenses like accommodation in activities to be conducted in the region not covered by the SEC

budget;

- j. Arrange and shoulder the venue for organizational assessment covered by the Project.

The SEC shall assume the following obligations:

- a. Provide general supervision and direction on the conduct of the project development;
- b. Coordinate in organizing the team that will provide the necessary data and information both qualitative and quantitative to the Consultant;
- c. Review and approve all changes in the execution of the proposed Project implementation prior to the conduct of the activities;
- d. Review and approve all project deliverables, and related activities based on the timetable and in accordance with this TOR;
- e. Shoulder all transportation expenses, accommodation and other incidental expenses for SEC employees to facilitate the conduct of the activities in the regions;
- f. Shoulder all expenses not covered by the Project; and
- g. Create a TWG, as needed, to ensure completion of the Project. The members of the TWG will be identified and vetted by the Assistant Director of the LRID and affirmed by the Director/OIC of the HRAD.



9. Reporting and Working Arrangements

The Consultant shall report to the HRAD Director/OIC and to the HRAD-LRID Assistant Director.

The Consultant shall coordinate and work closely with the TWG Members and other relevant stakeholders.

The Consultant shall coordinate and work closely with the other consultants working on the projects under the Project QUEST strategic initiative.

The SEC shall provide the Consultant with a work area with internet access during office hours for the duration of the project (if allowed in the latest guidelines issued by the Inter-Agency Task Force on Emerging Infectious Diseases).

Other resources such as office equipment, supplies and other logistical requirements to complete or deliver the scope of services shall be provided by the consultant.

10. Other Items

10.1. Disclaimer

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

10.2. Property of SEC

Any and all work (including meeting and workshop recordings) resulting from the engagement as originating from this TOR and any of its subsequent documents shall be the sole and exclusive property of the SEC, which shall be turned over whenever required by the agency.

10.3. Confidentiality

Subject to exceptions as may be provided under the existing laws, the Consultant guarantees that the TOR and all information, data and documents that may be directly or indirectly acquired or received by the Consultant or any person under their instructions or authority in the course of the TOR including experts, consultants or trainers, shall not be used or disclosed to any unauthorized third party for any purpose other than contemplated under this TOR and that all persons acting under the TOR shall avoid and be free from conflict of interest.



10.4. Warranty

The Consultant 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 Consultant's personnel if the performance and/or knowledge level is found below the expectation for the required services.

SCHEDULE OF REQUIREMENTS

The delivery schedule expressed as weeks/months stipulates hereafter the date of the delivery of particular requirements at the project site.

Item	Activity	Deliverable	Delivery Schedule
1	Program Mobilization	Mobilization Report	Fifteen (15) calendar days from receipt of the Notice to Proceed
		Inception Report	Thirty (30) days from commencement date
2	Organizational Assessment	Organizational Assessment Report	Ninety (90) days after submission of Inception Report
		Monthly Progress Report	End of every month
3	Capacity Building and Design	Organizational Design Plan	Ninety (90) days after submission of Organizational Assessment Report
		Monthly Progress Reports	End of every month
4	Investors in People (IIP) Assessment	Investors in People (IIP) Assessment Report	Ninety (90) days after submission of Organizational Design Plan
		Monthly Progress Reports	End of every month
5	Business Processes Final Assessment	Business Process Improvement Report	Sixty (60) days after submission of IIP Assessment Report
		Monthly Progress Reports	End of every month
6	Program Closing	Terminal Report and Succession Paper	End of the contract

ELIGIBILITY DOCUMENTS SUBMISSION FORM

[Date]

Securities and Exchange Commission

Bids and Awards Committee
Secretariat Bldg., PICC Complex
Roxas Blvd., Pasay City

Ladies/Gentlemen:

In connection with your Request for Expression of Interest dated *[insert date]* for Consultancy Services for Investors in People (IIP), *[Name of Consultant]* hereby expresses interest in participating in the eligibility and short listing for said Project and submits the attached eligibility documents in compliance with the Eligibility Documents therefor.

In line with this submission, we certify that:

- a) *[Name of Consultant]* is not blacklisted or barred from bidding by the GOP or any of its agencies, offices, corporations, or LGUs, including foreign government/foreign or international financing institution whose blacklisting rules have been recognized by the Government Procurement Policy Board, and that each of the documents submitted;
- b) Each of the documents submitted herewith is an authentic copy of the original, complete, and all statements and information provided therein are true and correct.

We acknowledge and accept the Procuring Entity's right to inspect and audit all records relating to our submission irrespective of whether we are declared eligible and shortlisted or not.

Yours sincerely,

Signature
Name and Title of Authorized Signatory
Name of Consultant
Address

ANNEX C

*Statement of all Government and Private Contracts
Completed which are Similar in Nature*

Business Name: _____
Business Address: _____

Name of Client/ Contact Person/Contact Number/Email Address	Date of the Contract	Kinds of Consulting Services	Amount of Contract	Date of Acceptance*	End User's Acceptance or Official Receipt(s) Issued for the Contract
<u>Government</u>					
<u>Private</u>					

Submitted by : _____
(Printed Name and Signature)

Designation : _____

Date : _____

Instructions:

- a) The contracts should have been completed (i.e., accepted) within the five-year period from opening of bids
- b) Similar contracts shall refer to the consultancy services for Investors in People (IIP).

Note: Date of Acceptance shall mean the date when the items delivered have **satisfactorily met** the requirements of the procuring entity, as evidenced by Certificate of Good Standing and Satisfactory Completion or equivalent document (e.g., Certificate of Final Acceptance/Completion from the bidder's client, or an Official Receipt or a Sales Invoice) which must be included in the bid submission.

**List of all Ongoing Government and Private Contracts Including
Contracts Awarded but not yet Started**

Business Name: _____
Business Address: _____

Name of Client/ Contact Person/ Contact Number/ Email Address	Date of the Contract	Kinds of Consulting Services	Value of Outstanding Contracts	Date of Delivery
<u>Government</u>				
<u>Private</u>				

Submitted by : _____
(Printed Name and Signature)

Designation : _____

Date : _____

Instructions:

- i. State **ALL** ongoing contracts including those awarded but not yet started (government and private contracts which may be **similar or not similar** to the project being bid) prior to opening of bids.
- ii. If there is no ongoing contract including awarded but not yet started as of the aforementioned period, state none or equivalent term.

STATEMENT OF THE CONSULTANT'S NATIONALITY

Securities and Exchange Commission

Bids and Awards Committee

Secretariat Bldg., PICC Complex

Roxas Blvd., Pasay City

Ladies/Gentlemen:

In compliance with the requirements of the Securities and Exchange Commission – Bids and Awards Committee (SEC-BAC) for the bidding of the Consultancy Services for Investors in People (IIP), I/we hereby declare the following:

1. [Select one and delete the rest].

[If domestic entity consultant] That (Name of the consultant) is a domestic sole proprietorship/partnership/corporation/joint venture organized or formed under the laws of the Philippines;

[If foreign entity consultant] That (Name of the consultant) is a foreign sole proprietorship/partnership/corporation/joint venture organized or formed under the laws of the (Name of the country);

[If foreign entity consultant] That (Name of the consultant) is registered with the Securities and Exchange Commission and/or any agency authorized by the laws of the Philippines;

2. That the following are the proposed Personnel:

Name of ALL Proposed Personnel	Proposed Position	Nationality	Proof of Identification
1.	Lead Consultant	Filipino	
2.	Team Member	Filipino	
3.	Team Member	Filipino	
4.	Team Member	Filipino	
5.	Team Member	Filipino	

3. That attached herewith are the Curriculum Vitae of the above-mentioned personnel (*Annex/es* _____); and
4. That the undersigned is/are the authorized representative/s for this public bidding as evidenced by herewith attached notarized authority.

Very truly yours,

Signature: _____

Name and Title of Authorized Signatory: _____

Name of Consultant/Company: _____

Address: _____ Contact No/s. _____

(Note: Please attach the notarized authority of the consultant's signatory for the public bidding for this project)

FORMAT OF CURRICULUM VITAE (CV) FOR PROPOSED PROFESSIONAL STAFF

FIRM'S PROFILE

Name of Firm		
Form of Organization	Year Established	
Business Address		
Principal Contact Person		
Telephone Number	Fax Number	Email
General Description and Technical Capabilities		

Field of Specialization and Type of Services					
Field		Service Provided		Experience (No. of Years)	
Company Officers and Key Personnel					
Name	Position	Education	Expertise	Years with Firm	Age
Current Number of Personnel					
Position	Number				
	Full time	Part time	Total		

Awards, Certifications, Relevant Distinctions		
Name	Given By	Date

Signature: _____

Name and Title of Authorized Signatory: _____

Name of Consultant/Company: _____

CURRICULUM VITAE (CV) FOR PROPOSED KEY PROFESSIONAL STAFF

Proposed Team:		<i>Please check:</i>			
		<input type="checkbox"/>	<input type="checkbox"/>		
		Key Personnel		Staff	
Name of Position:					
Personal Information					
Name of Staff					
Address		Contact No.	Email Address		
Date of Birth			Citizenship	Civil Status	
Work Experience <i>(start from the current employment)</i>					
Company Name	Inclusive Dates		Total <i>(Years, Months)</i>	Position Title	Actual Duties and Responsibilities <i>(specify if L&D, HR or OD-related)</i>
	From	To			

Current Workload *(include workload or projects from other companies, if any)*

Company Name	Inclusive Dates		Total <i>(Years, Months)</i>	Position Title	Actual Duties and Responsibilities
	From	To			

Relevant Training *(start from the most recent)*

Course Title	Inclusive Dates		Location	No. of Hours	Conducted / Sponsored by
	From	To			

Education <i>(start from the most recent)</i>				
School	Inclusive Dates		Degree Course	Scholarships / Academic Honors Received
	From	To		

Certificates, Other Credentials	
Title	Date Received

Note:

Photocopy of the following documents must be submitted together with the Curriculum Vitae to evidence educational attainment, work experience and professional certifications:

1. Certificate of Employment and similar documents (e.g., certificate of engagement)
2. Training programs attended
3. Diploma
4. Professional Certifications and/or Licenses

Certification:

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

_____ Signature

Date: _____

Republic of the Philippines



Government Procurement Policy Board