PHILIPPINE BIDDING DOCUMENTS

Supply, Delivery, Installation, Configuration and Implementation of the Fully Functional Document Management System, and Workflow Management System for the Securities and Exchange Commission (SEC) - Rebidding

Public Bidding No. 2024-025

Fifth Edition
August 2016

Preface

These Philippine Bidding Documents (PBDs) for the procurement of Consulting Services through Competitive Bidding have been prepared by the Government of the Philippines (GoP) for use by all branches, agencies, departments, bureaus, offices, or instrumentalities of the Government, including government-owned and/or -controlled corporations (GOCCs), government financial institutions (GFIs), state universities and colleges (SUCs), local government units (LGUs), and autonomous regional government. The procedures and practices presented in this document have been developed through broad experience, and are for mandatory use in projects that are financed in whole or in part by the GoP or the World Bank or any foreign government/foreign or international financing institution in accordance with the provisions of the 2016 Revised Implementing Rules and Regulations (IRR) of Republic Act 9184 (R.A. 9184).

The Bidding Documents shall clearly and adequately define, among others: (a) the objectives, scope, and expected outputs and/or results of the proposed contract; (b) the minimum eligibility requirements of bidders, such as track record to be determined by the Head of the Procuring Entity; (c) the expected contract duration, delivery schedule and/or time frame; and (d) the obligations, duties, and/or functions of the winning bidder.

In order to simplify the preparation of the Bidding Documents for each procurement, the PBDs groups the provisions that are intended to be used unchanged in Section II. Eligibility Documents of Part I; and Section II. Instructions to Bidders (ITB) and Section IV. General Conditions of the Contract (GCC) of Part II. Data and provisions specific to each procurement and contract should be included in Section III. Eligibility Data Sheet (EDS) of Part I, Section III. Bid Data Sheet (BDS), and Section V. Special Conditions of the Contract (SCC) of Part II. The forms to be used are provided in the attachments.

Care should be taken to check the relevance of the provisions of the Bidding Documents against the requirements of the specific Consulting Services to be procured. The following general directions should be observed when using the documents:

(a) All the documents listed in the Table of Contents are normally required for the procurement of Consulting Services. However, they should be adapted as necessary to the circumstances of the particular Project.

(b) These PBDs are divided into Part I and Part II, which shall be both made available from the time the Request for Expression of Interest is first advertised/posted until the deadline for the submission and receipt of bids

(c) Specific details, such as the "name of the Procuring Entity" and "address for proposal submission," should be furnished in the EDS, BDS, and SCC. The final documents should contain neither blank spaces nor options.

(d) This Preface and the footnotes or notes in italics included in the Request for Expression of Interest, EDS, BDS, SCC, Terms of Reference, and Appendices are not part of the text of the final document, although they contain instructions that the Procuring Entity should strictly follow. The Bidding Documents should contain no footnotes except Section VII. Bidding Forms of Part II since these provide important guidance to Bidders.

(e)   The criteria for evaluation and the various methods of evaluation in the ITB should be carefully reviewed. Only those that are selected to be used for the procurement in question should be retained and expanded, as required in the BDS. The criteria that are not applicable should be deleted from the BDS.

(f)   The cover should be modified as required to identify the Bidding Documents as to the names of the Project, Contract, and Procuring Entity, in addition to date of issue.

(g)   If modifications must be made to bidding procedures, they can be presented in the BDS. Modifications for specific Project or Contract should be provided in the SCC as amendments to the Conditions of Contract. For easy completion, whenever reference has to be made to specific clauses in the EDS, BDS, or SCC these terms shall be printed in bold type face on Section II. Eligibility Documents, Section I. Instructions to Bidders, and Section III. General Conditions of Contract, respectively.

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PART I

Section I. Request for Expression of Interest

Notes on Request for Expression of Interest

The Request for Expression of Interest provides information that enables potential Bidders to decide whether to participate in the procurement at hand. The Request for Expression of Interest shall be:

(a)   Posted continuously in the Philippine Government Electronic Procurement System (PhilGEPS) website and the website of the Procuring Entity concerned, if available, and the website prescribed by the foreign government/foreign or international financing institution, if applicable, seven (7) calendar days starting on the date of advertisement; and

(b)   Posted at any conspicuous place reserved for this purpose in the premises of the Procuring Entity concerned for seven (7) calendar days, as certified by the head of the Bids and Awards Committee (BAC) Secretariat of the Procuring Entity concerned.

(c)   Advertised at least once in a newspaper of general nationwide circulation which has been regularly published for at least two (2) years before the date of issue of the advertisement, subject to Sections 21.2.1(c) of the IRR of R.A. 9184[1];

Apart from the essential items listed in the Bidding Documents, the Request for Expression of Interest should also indicate the following:

(a)   The date of availability of the Bidding Documents, the place where it may be secured and the deadline for submission of the Expression of Interest (EOI) together with the application for eligibility;

(b)   The set of criteria and rating system for short listing of prospective bidders to be used for the particular contract to be Bid, which shall consider the following, among others:

   (i)   Applicable experience of the consultant and members in case of joint ventures, considering both the overall experiences of the firms or, in the case of new firms, the individual experiences of the principal and key staff, including the times when employed by other consultants;

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[1] *Two years after effectivity of the 2016 Revised IRR of RA 9184 on **28 October 2016**, advertisement in a newspaper of general nationwide circulation shall no longer be required. However, a Procuring Entity that cannot post its opportunities in the PhilGEPS for justifiable reasons shall continue to publish its advertisements in a newspaper of general nationwide circulation.*

(ii)   Qualification of personnel who may be assigned to the job vis-à-vis extent and complexity of the undertaking; and

(iii)   Current workload relative to capacity;

(c)   The number of consultants to be short listed and the procedure to be used in the evaluation of Bids of shortlisted consultants, *i.e.*, QBE or QCBE; and if QCBE, the weights to be allocated for Technical and Financial Proposals; and

(d)   The contract duration.

In the case of WB funded projects, the Request for Expression of Interest shall be sent to all who have expressed an interest in undertaking the services as a result of any General Procurement Notice issued. In addition, it shall also be sent to all heads of associations of consultants within the area where the project will be undertaken.

Securities and Exchange Commission
PHILIPPINES

BAGONG PILIPINAS

REQUEST FOR EXPRESSION OF INTEREST FOR THE

Supply, Delivery, Installation, Configuration and Implementation of the Fully Functional Document Management System, and Workflow Management System for the Securities and Exchange Commission ("Project") - Rebidding

1. The Securities and Exchange Commission (SEC), through the FY 2024 Annual Operating Budget of SEC intends to apply the sum of One Hundred Seventy Million Pesos (Php170,000,000.00) being the Approved Budget for the Contract (ABC) to payments under the contract for Project under Public Bidding No. 2024-025. Bids received in excess of the ABC shall be automatically rejected at the opening of the financial proposals.

2. The SEC now calls for the submission of eligibility documents for the Project which main objective is to engage consultants who shall develop a fully functional document management system and workflow management system.

3. SEC will hold a meeting on the eligibility documents with the prospective bidders/interested consultants (i.e. Consulting Firm/Group) on **18 June 2024** at **10:00 AM** at The SEC Headquarters in Makati City and/or through video conferencing or webcasting via Zoom. Link/meeting credentials may be requested from the SEC-BAC Secretariat through the email address below.

4. Eligibility documents of interested consultants must be duly received by the BAC Secretariat through manual submission, on or before **26 June 2024 (Wednesday), 2:00PM** at the given address below. Late bids shall not be accepted. Applications for eligibility will be evaluated based on a non-discretionary "pass/fail" criterion on **26 June 2024 (Wednesday)** at **2:15PM.**

5. Interested bidders may obtain further information from the SEC-BAC Secretariat and inspect the Bidding Documents at the address given below during office hours from 8:00AM to 5:00PM.

6. A complete set of Bidding Documents may be downloaded free of charge from the website of the Philippine Government Electronic Procurement System (PhilGEPS) and the website of the Procuring Entity.

7. The BAC shall draw up the short list of consultants from those who have submitted Expression of Interest, including the eligibility documents, and have been determined as eligible in accordance with the provisions of Republic Act 9184 (RA 9184), otherwise known as the "Government Procurement Reform Act", and its Implementing Rules and Regulations (IRR). The short list shall consist of a maximum of five (5) prospective bidders who will be entitled to submit bids. The criteria and rating system for short listing are:

   a. Applicable experience of the consultant and members in case of joint ventures, considering both overall experiences of the company (40%)

b. Qualification of Key Personnel (50%)
c. Current Workload (10%)

8. Bidding will be conducted through open competitive bidding procedures using non-discretionary "pass/fail" criterion as specified in the IRR of RA 9184.

   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.

9. The Procuring Entity shall evaluate bids using the Quality-Cost Based Evaluation (QCBE) procedure. The Procuring Entity shall indicate the weights to be allocated for the Technical and Financial Proposals. The criteria and rating system for the evaluation of bids shall be provided in the Instructions to Bidders.

10. The contract shall be completed within five (5) months from the issuance of the Notice to Proceed.

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 contract award in accordance with Section 41 of RA 9184 and its IRR, without thereby incurring any liability to the affected bidder or bidders.

12. For further information, please refer to:

Femmy Jane P. Baluyot
BAC Secretariat/Procurement Unit
7/F The SEC Headquarters, 7907 Makati Avenue
Salcedo Village, Makati City 1209
8818-5330
fpbaluyot@sec.gov.ph

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

   https://www.sec.gov.ph
   https://www.philgeps.gov.ph

07 June 2024

Armando A. Pan Jr.
BAC Chairman

/fpb

Section II. Eligibility Documents

Notes on the Eligibility Documents

This Section provides the information necessary for prospective bidders to prepare responsive Eligibility Documents in accordance with the requirement of the Procuring Entity.

The provisions contained in this Section are to be used unchanged. Additional information or requirements specific to each procurement shall be specified in the EDS.

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 IRR, 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 IRR, provided, that the winning Consultant shall register with PhilGEPS in accordance with Section 37.1.4 of the IRR;

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 IRR of RA 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:

(c) contain the name of the contract to be bid in capital letters;

(d) bear the name and address of the prospective bidder in capital letters;

(e)   be addressed to the Procuring Entity's BAC specified in the **EDS**;

(f)   bear the specific identification of this Project indicated in the **EDS**; and

(g)   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 0 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:

(h) the name of the prospective bidder;

(i) whether there is a modification or substitution; and

(j) 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 IRR of RA 9184.

Section III. Eligibility Data Sheet

Notes on the Eligibility Data Sheet

This Section is intended to assist the Procuring Entity in providing the specific information and requirements in relation to corresponding clauses in the Eligibility Documents, and has to be prepared for each specific procurement.

The Procuring Entity should specify in this Section the information and requirements specific to the circumstances of the Procuring Entity, the processing of the eligibility, and the rules that will apply in the determination and evaluation of eligibility.

In preparing this Section, the following aspects should be checked:

(a)   Information that specifies and complements provisions of the Eligibility Documents must be incorporated.

(b)   Amendments and/or supplements, if any, to provisions of the Eligibility Documents as necessitated by the circumstances of the specific procurement, must also be incorporated.

Eligibility Data Sheet

Eligibility Documents	
1.2	*No further instructions.*
1.3	*No further instructions.*
2.1(a)(ii)	The statement of all ongoing and completed government and private contracts shall include all such contracts within five (5) years prior to the deadline for the submission and receipt of eligibility documents.
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.
4.2	Each prospective bidder/s shall submit one (1) original copy of the eligibility documents. *Please prepare a scanned copy of your eligibility documents.*
4.3(e)	Armando A. Pan, Jr. BAC Chairman Securities and Exchange Commission The SEC Headquarters, 7907 Makati Ave., Salcedo Village Brgy. Bel-Air, Makati City Email Address: fpbaluyot@sec.gov.ph
4.3(f)	The complete project title is "Supply, Delivery, Installation, Configuration and Implementation of the Fully Functional Document Management System, and Workflow Management System for the Securities and Exchange Commission (SEC)" under Public Bidding No. 2024-025.
5	The address for submission of eligibility documents is Procurement Unit, 7/F The SEC Headquarters, 7907 Makati Ave., Salcedo Village, Brgy. Bel-Air, Makati City. The deadline for submission of eligibility documents is 26 June 2024.
8.1	The place of opening of eligibility documents is 7/F The SEC Headquarters, 7907 Makati Ave., Salcedo Village, Brgy. Bel-Air, Makati City. The date and time of opening of eligibility documents is 26 June 2024 (2:15PM).

9.1	Similar contracts shall refer to design, development and installation of a document management system and workflow management system.
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 consultant and members in case of joint ventures, considering both overall experiences of the company (40%)
    ii.   Qualification of Key Personnel (50%)
    iii.   Current Workload (10%)

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

Checklist of Requirements

I.   Class "A" Documents –

Legal Documents

☐ Valid PhilGEPS Registration Certificate (Platinum Membership) (all pages);

Technical Documents

☐ 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

☐ Statement of all Government and Private Contracts Completed which are Similar in Nature (Use Annex C), together with Certificate/s of Good Standing and Satisfactory Completion or equivalent document/s; and

☐ List of all Ongoing Government and Private Contracts Including Contracts Awarded but not yet Started (Use Annex D); and

☐ Statement of the Consultant's Nationality (Use Annex E), with the attached Curriculum Vitae for the Proposed Professional Staff (Use Annex F)

Financial Documents

☐ 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

☐ Valid Joint Venture Agreement (JVA) if the 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.

Section VII. Bidding Forms

ELIGIBILITY DOCUMENTS SUBMISSION FORM

[Date]

[Name and address of the Procuring Entity]

Ladies/Gentlemen:

In connection with your Request for Expression of Interest dated *[insert date]* for *[Title of Project]*, *[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, LGUs, or autonomous regional government, including foreign government/foreign or international financing institution; and

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 short listed or not.

We further acknowledge that failure to sign this Eligibility Document Submission Form shall be a ground for our disqualification.

Yours sincerely,

Signature
Name and Title of Authorized Signatory
Name of Consultant
Address

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

Business Name: _____

Business Address:_____

Name and Location of Project Name of Client/ Contact Person/Contact Number/Email Address	Date of Award of the Contract	Type and Brief Description of Consulting Services	Amount of Contract	Project Duration (Start Date – Completion Date)	Consultant's Role (Main Consultant/ Subconsultant/ Partner in a JV)
Government					
Private					

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 the review and design of salary structure and compensation plan or any of its component/s or any synonymous project/s as described in the Terms of Reference

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 and Location of Project Name of Client/ Contact Person/Contact Number/Email Address	Date of Award of the Contract	Type and Brief Description of Consulting Services	Amount of Contract	Project Duration (Start Date – Completion Date)	Consultant's Role (Main Consultant/ Subconsultant/ Partner in a JV)
Government					
Private					

Submitted by : _____

(Printed Name and Signature)

Designation   : _____

Date   : _____

Instructions:
   a) 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 bidded) prior to opening of bids.

   b) 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
SEC Headquarters, 7907 Makati Ave.
Salcedo Village, Brgy. Bel-Air,
Makati 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 *[Title of Project and Project Identification Number], 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	Job Status*	Nationality	Proof of Identification
1.	Lead Consultant		Filipino	
2.	Team Member		Filipino	
3.	Team Member		Filipino	
4.	Team Member		Filipino	
5.	Team Member		Filipino	

indicate whether Permanent (P) or Freelancer (F)

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)

CURRICULUM VITAE (CV) FOR PROPOSED KEY
PROFESSIONAL STAFF

Proposed Position:			*Please check:*	
			Key Personnel	Staff
Personal Information				
Name: (Last Name, First Name, Middle Name)				
Address		Contact No.	Email Address	
Date of Birth		Citizenship	Civil Status	

Work Experience *(start from the current employment)*

Company Name	Inclusive Dates		Total *(Years, Months)*	Position Title	Actual Duties and Responsibilities (specify if L&D, HR or OD-related)
	From	To			

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

Company Name	Inclusive Dates		Total *(Years, Months)*	Position Title	Actual Duties and Responsibilities
	From	To			

Relevant Training *(within the last 10 years, start from the most recent)*

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

Education *(start from the most recent)*

School	Inclusive Dates		Degree Course	Scholarships / Academic Honors Received
	From	To		

Certificates, Other Credentials

Title	Date Received

Certification:

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

Date:___

Signature

TERMS OF REFERENCE

1. PROJECT TITLE

Supply, Delivery, Installation, Configuration and Implementation of the Fully Functional Document Management System and Workflow Management System for the Securities and Exchange Commission (SEC)

2. APPROVED BUDGET FOR THE CONTRACT (ABC): Php170,000,000.00

The budget of the project, inclusive of all applicable taxes, covers the acquisition of all hardware, software, and services necessary to implement the Document Management System (DMS) and Workflow Management System (WMS) and all trainings and certifications necessary to build internal capabilities of SEC personnel who will be tasked to manage the systems. It includes all applicable cost for off the shelf hardware and software as well as all fees associated with custom developed software. The budget also includes maintenance and support service fees for one (1) year for both the DMS and WMS that will commence upon full acceptance of each module.

The budget excludes the tools of the trade, hardware (including personal computers and its peripherals, test / development environment and hardware necessary for testing prior to the deployment of each module), software and licenses, everyday supplies and other items which shall be necessary for the Consultant/Contractor and its agents to perform their tasks and fulfill the scope of work specified in this document or as otherwise agreed upon. These shall be for the account of the Consultant/Contractor.

3.   BRIEF DESCRIPTION

As a regulatory government agency, the Securities and Exchange Commission (SEC) handles a large volume of documents and must adhere to custom workflows and approval processes in accordance with prevailing rules, regulations, and laws. In this light, an integrated system solution composed of a Document Management System (DMS) and Workflow Management System (WMS) can provide the SEC with a range of benefits and advantages. The DMS will provide the SEC with a secure and centralized repository to store and access information, enabling the Commission to easily retrieve and share documents, while also providing the ability to track and monitor operations performed on documents by authorized users. This allows the SEC to ensure that documents and information are kept secure and up to date, while also streamlining the document retrieval and sharing process for optimal productivity. On the other hand, the Workflow Management System will assist the SEC in automating its custom workflows and approval processes. The system will provide the ability to track the progress of documents and tasks, while also allowing the SEC to create and modify workflows as needed, in accordance with prevailing rules, regulations, and laws. This allows the Commission to ensure it has the capability to quickly adjust to the constantly evolving operating context normally present in a rapidly expanding economy. The architecture of the integrated solution will adhere to the high-level architecture (Appendix D) and the envisioned diagram (Appendix F) defined by the Information and Communications

Technology Department. In addition, the integrated solution for the project will be composed of the following modules:

    3.1.   Document Management System
    3.2.   Workflow Management System

4.   PROJECT OBJECTIVE

The objective of the project is the design, development, implementation, maintenance, and support of a fully functional integrated Document Management System and Workflow Management System in high availability configuration. The project aims to leverage on best of breed technological solutions and innovative leading practices in the field of information technology to aid SEC in the execution of its mandate and the performance of its functions in an efficient manner consistent with its vision and mission as well as aligned with government initiatives such as the Ease of Doing Business and Efficient Government Service Delivery Act of 2018. The project aims to provide the following:

    4.1.   A secure, scalable, and robust enterprise-grade system capable of creating, receiving, forwarding, tracking, managing, and storing documents such as reportorial submissions from regulated entities, incorporation papers, official correspondence and letters, orders and notices, and other documents currently issued and processed by SEC.

    4.2.   An integrated solution inclusive of a Document Management System (DMS) Module and Workflow Management System (WMS) Module that is capable of facilitating the creation and issuance of official documents in accordance with custom SEC workflows and internal approval processes.

    4.3.   A system that has built-in capabilities for ease of integration with other systems through a RESTful API.

5.   SCOPE OF WORK

The scope of work includes software development and deployment as well as the provisioning and implementation of off-the-shelf software, hardware, IT infrastructure, network connectivity, security, technical environments, and user access. It also includes the performance of systems integration, data migration, training, and post-deployment support. Relative to scope of work are the project activities as described below.

	PROJECT ACTIVITIES	DESCRIPTION
1	Planning and Analysis	Initiate actual scoping of the project, actual determination of necessary resources and approaches based on the magnitude of requirements, volumetrics and other associated data to be gathered. It covers the planning activities and defining project management strategy coupled with comprehensive analysis of

		both technical and functional requirements of the project.
2	Design & Usability	Preparation of overall design covering the functional, technical, integration, migration and other significant components of the project.
3	Development	Development of required system modules or facilities to be integrated with the other systems using the development tools platform in WMS and DMS and other tools appropriate and compatible with the other components of the project.
4	Testing and Quality Assurance	Conduct of comprehensive end-to-end testing of all project components and ensure assurance on quality and integrity of project components. Testing to be conducted based on defined methodology and procedures to be applied.
5	Deployment, Implementation and Migration	Delivery and roll-out implementation of project components both for internal and external users. Conduct the required data migration with
6	Support and Training	Conduct of necessary trainings substantial to administer, manage, maintain and support the application systems, IT infrastructure, hardware and software resources and security component of the project. Provisioning layers of post-deployment support both on technical and operational aspect to ensure uptime and high-availability of the systems.
7	Server, Network Infrastructure, Cloud Services other associated components	Identification and provisioning of ICT resources required and other resources significant to the project.

GENERAL WORKS

5.1. The work to be performed entails the development and provisioning of an integrated system of modules with the following capabilities and functionalities:

5.1.1. Computer assisted online drafting, issuance, and tracking of notices, memoranda, and other issuances

5.1.2. Document management inclusive of capture, storage, indexing, search, retrieval, viewing, printing, distribution/routing, versioning, tracking, classification,

annotation, user collaboration, user tagging, metadata tagging, and backup of documents

5.1.3. Integration with other systems for sharing and update of information

5.1.4. Source data and documents from multiple data sources and heterogeneous systems

5.1.5. Restricted and highly secure access to documents and data

5.1.6. Generate reports and other forms of outputs

5.1.7. Issue timely notifications and alerts to the appropriate users via email, SMS, mobile push notification, and/or user interface

5.1.8. Adhere to the internal workflow and approval processes of the SEC as well as all applicable laws, rules, regulations, and policies

5.1.9. Workflow management inclusive of workflow pattern flexibility, conditional behavior, dynamic routing, automatic triggers, status indicators, service level agreements, automated escalation, aging/tracking, no-code graphical or visual authoring for workflows, forms builder/designer, and tool for team collaboration and communication on tasks and processes

5.2. Train end users, power users, application developers, and system administrators

5.3. Perform extract, transform, load and data migration of existing information and documents in various formats and from multiple data sources for purposes of ingesting all relevant and in-scope data

5.4. End-user hand-holding for all aspects of system use, maintenance, and administration

5.5. Provide all software tools and utilities necessary for systems administration and management purposes.

5.6 Development/migration of document retrieval, Computer Assisted Document Receipt with the features such as Data Entry Module, Index Facility Module, Generation of Acknowledgment Receipt (Barcode Page) and Report Generation Facility.

5.7 Development/migration of online submission of reportorial requirements including the defined facilities to be integrated into the system.

5.8 The project must be implemented to support a hybrid cloud environment in terms of infrastructure development strategy, and other associated system resources. The said environment must provide high-availability, integrated functionalities, and stable operational capability of all its system components and as a whole.

6. PROJECT DURATION AND DELIVERABLES

The project is estimated to be completed within five (5) calendar months upon issuance of Notice to Proceed (NTP) by the SEC after which 1 year of support and maintenance shall commence upon full acceptance of the module. The effort in weeks stated below are only estimates and actual values may vary depending on the composition of the final proposed solution, work strategy, development methodology, and many other factors that may have impact on the timeline. Progress billing and payment shall be made based on the milestone deliverables listed below and subject to SEC's acceptance and approval:

6.1. Timeline and Milestones

Table 1.1

Document Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
1. Mobilization	a. Inception Report / Detailed Implementation Work Plan inclusive of resources assigned and team composition	1	5
2. Setup environment	a. Operational technical environment a.1 Development and testing environments a.2 Servers, networks, storage devices, operating systems, databases, and SSL certificates a.3 Technical procedures a.4 Development & deployment tools, and version control software	1	2.5

Document Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
3. Systems development, setup/configuration (software development, systems setup, integration & customization)	Functioning modules subject to completion and acceptance of 3.1 to 3.7	8	12
3.1 Gather requirements	a. Signed-off system requirements specification	1	
3.2 Develop functional & technical specifications	a. Functional specifications documentation b. Technical specifications documentation	1	
3.3 Install, configure, customize, provision, integrate	a. Software binaries b. Source codes of any custom developed software c. Configured, customized, and provisioned installation ready and able to integrate with other systems and applications d. System configuration documentation	1	

Document Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
3.4 Prepare test plan	a. Documented test plan	1	
3.5 Prepare test data	a. Test data loaded in development and test environments	1	
3.6 Conduct product test and user acceptance test	a. Signed off test plan and test results by the user	1	
3.7 Migration & preparation of data sources for ingestion	a. Identified and collated data sources stored in a common repository b. Completion and acceptance of Privacy Impact Assessment and any other related documents in accordance with the guidelines set by the National Privacy Commission	2	

Document Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
4. Prepare production environment	a. Operational technical environment a.1 Installation, configuration and testing environments a.2 Servers, networks, storage devices, operating systems, databases, and SSL certificates a.3 Technical procedures a.4 Deployment tools and version control software Production environment installed and tested subject to completion and acceptance of 4.1 to 4.4	4	12
4.1 Load data	a. Data loaded and verified in production environment	1	
4.2 Conduct performance and integration testing	a. Accepted performance and integration test plans and test results	1	
4.3 Setup data backup	a. Automated and manual backup and restore facility fully functional and in place b. Documentation of backup and restore procedures	1	

Document Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
4.4 Setup disaster recovery	a. Disaster recovery site in place b. Disaster recovery plan accepted c. Data loaded and verified in disaster recovery site environment	1	
5. Train users	a. Training conducted b. Training materials and manuals turned over c. Training evaluation reports accomplished by instructor and participants d. Soft and hard copies of User and Administrator Guides/Manuals accepted	1	2.5
6. Cutover to production	a. Approved and accepted cutover plan and schedule b. Production system operational c. Software, hardware, and other I.T. infrastructure and components turnover to SEC d. All source codes of custom developed software turned over to SEC e. Back-up data turned over to SEC	2	5
7. Hand-hold users	a. End-user acceptance b. Evaluation report on the performance of end users by the service provider	1	1.5

Document Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
8. Provide support and software stabilization and fine tuning	a. Accepted incident management plan b. Incidents appropriately prioritized and resolved c. Operational incident management system d. Optimized and fine tuned modules e. Documented operations, performance tuning, and maintenance procedures	1	1.5
9. Operationalize and endorse system for acceptance	a. Signed system acceptance document b. Accepted Change Management Plan c. Installed and configured change management system d. Accepted Patch Management Plan e. Accepted Problem Management Plan	1	5
SUBTOTAL FOR DOCUMENT MANAGEMENT SYSTEM		**20**	**47%**
SUBTOTAL FOR MAINTENANCE & SUPPORT OF DMS 0.5% of Total Contract Price paid monthly for 12 months that will commence upon full acceptance of the module. Maintenance and Support should be inclusive of preventive, corrective, perfective, and adaptive maintenance.		**48**	**3%**
TOTAL FOR DMS MODULE			**50%**

Table 1.2

Workflow Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
1. Mobilization	a. Inception Report / Detailed Implementation Work Plan inclusive of resources assigned and team composition	1	5
2. Setup environment	a. Operational technical environment a.1 Development and testing environments a.2 Servers, networks, storage devices, operating systems, databases, and SSL certificates a.3 Technical procedures a.4 Development & deployment tools, and version control software	1	2.5
3. Systems development, setup/configuration (software development, systems setup, integration & customization)	Functioning modules subject to completion and acceptance of 3.1 to 3.7	8	12

Workflow Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
3.1 Gather requirements	a. Signed-off system requirements specification	1	
3.2 Develop functional & technical specifications	a. Functional specifications documentation b. Technical specifications documentation	1	
3.3 Install, configure, customize, provision, integrate	a. Software binaries b. Source codes of any custom developed software c. Configured, customized, and provisioned installation ready and able to integrate with other systems and applications d. System configuration documentation	1	
3.4 Prepare test plan	a. Documented test plan	1	
3.5 Prepare test data	a. Test data loaded in development and test environments	1	

Workflow Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
3.6 Conduct product test and user acceptance test	a. Signed off test plan and test results by the user	1	
3.7 Migration & preparation of data sources for ingestion	a. Identified and collated data sources stored in a common repository b. Completion and acceptance of Privacy Impact Assessment and any other related documents in accordance with the guidelines set by the National Privacy Commission	2	
4. Prepare production environment	a. Operational technical environment a.1 Installation, configuration and testing environments a.2 Servers, networks, storage devices, operating systems, databases, and SSL certificates a.3 Technical procedures a.4 Deployment tools and version control software Production environment installed and tested subject to completion and acceptance of 4.1 to 4.4	4	12

Workflow Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
4.1 Load data	a. Data loaded and verified in production environment	1	
4.2 Conduct performance and integration testing	a. Accepted performance and integration test plans and test results	1	
4.3 Setup data backup	a. Automated and manual backup and restore facility fully functional and in place b. Documentation of backup and restore procedures	1	
4.4 Setup disaster recovery	a. Disaster recovery site in place b. Disaster recovery plan accepted c. Data loaded and verified in disaster recovery site environment	1	
5. Train users	a. Training conducted b. Training materials and manuals turned over c. Training evaluation reports accomplished by instructor and participants d. Soft and hard copies of User and Administrator Guides/Manuals accepted	1	2.5

Workflow Management System			
Project Activities & Milestones	**Deliverables**	**Effort in Weeks (Activities may overlap)**	**Milestone Payment (% of Total Contract Price for the Module) ***
6. Cutover to production	a. Approved and accepted cutover plan and schedule b. Production system operational c. Software, hardware, and other I.T. infrastructure and components turnover to SEC d. All source codes of custom developed software turned over to SEC e. Back-up data turned over to SEC	2	5
7. Hand-hold users	a. End-user acceptance b. Evaluation report on the performance of end users by the service provider	1	1.5
8. Provide support and software stabilization and fine tuning	a. Accepted incident management plan b. Incidents appropriately prioritized and resolved c. Operational incident management system d. Optimized and fine-tuned modules e. Documented operations, performance tuning, and maintenance procedures	1	1.5

Workflow Management System			
Project Activities & Milestones	Deliverables	Effort in Weeks (Activities may overlap)	Milestone Payment (% of Total Contract Price for the Module) *
9. Operationalize and endorse system for acceptance	a. Signed system acceptance document b. Accepted Change Management Plan c. Installed and configured change management system d. Accepted Patch Management Plan e. Accepted Problem Management Plan	1	5
SUBTOTAL FOR WORKFLOW MANAGEMENT SYSTEM		**20**	**47%**
SUBTOTAL FOR MAINTENANCE & SUPPORT OF WMS 0.5% of Total Contract Price paid monthly for 12 months that will commence upon full acceptance of the module. Maintenance and Support should be inclusive of preventive, corrective, perfective, and adaptive maintenance.		**48**	**3%**
TOTAL FOR WMS MODULE			**50%**

6.2. SCHEDULE

To ensure minimal impact on operations, implementation should be guided by the following:

6.2.1. Acceptance and transition to live production should be conducted without interrupting normal conduct of day to day operations

6.2.2. There should be ample time in between go-live dates of the different systems so timing should be harmonized with the schedule of other on-going projects

6.2.3. The order of implementation of the different modules should take into consideration dependencies to ensure the resulting systems are fully functional and can be properly tested prior to go-live date.

Figure 2 - Schedule

	Month																
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
Document Management Systrem	██	██	██	██	██												
DMS Support & Maintenance						██	██	██	██	██	██	██	██	██	██	██	██
Workflow Management System	██	██	██	██	██												
WMS Support & Maintenance						██	██	██	██	██	██	██	██	██	██	██	██

Note: Project starts upon issuance of Notice to Proceed.

7. CONSULTANT/CONTRACTOR MANDATORY REQUIREMENTS

7.1. The service provider shall:

    7.1.1. Pass and comply with the eligibility criteria and requirements

    7.1.2. Be in the business of:
        a. Systems Integration/Systems Development for at least five (5) years

    7.1.3. Completed similar projects (i.e. systems integration, systems development, systems installation/configuration/implementation)

    7.1.4. Successfully completed at least one (1) project for each service type offering

    7.1.5. Use software development platforms that are open, hardware agnostic, and have been used in the market for the past five (5) years.

    7.1.6. Be able to present the proposed solution using SEC's sample data to demonstrate the capabilities of the system

    7.1.7. Use and provide access to SEC counterparts a computer-based project management toolset that includes capabilities to track, control, and manage the different versions of documentation for purposes of project monitoring and change control management

7.2. The Consultant/Contractor may form a joint venture or consortium with other companies for this project. In this respect, all parties shall be held jointly and severally liable and accountable to SEC.

8. WARRANTY/GUARANTEE

8.1. The service provider should ensure the following warranty requirements are satisfied:

    8.1.1. Custom developed software and 3rd party software: one (1) year warranty upon full acceptance per module. For software utilized by multiple

modules, warranty begins upon full acceptance of the first module that utilizes the software. The project includes the following modules:

      8.1.1.1.   Document Management System

      8.1.1.2.   Workflow Management System

8.1.2. Hardware (parts and services)

      8.1.2.1. For hardware specific to a module: three (3) year warranty upon full acceptance of the module

      8.1.2.2. For hardware utilized by multiple modules: three (3) year warranty upon full acceptance of the first module that utilizes the hardware

      8.1.2.3. Supply of Spare Parts – availability of parts should be within twenty-four (24) hours

      8.1.2.4. Response Time – within two (2) hours from receipt of notice and spare parts should be ready if necessary

      8.1.2.5. Provisioning of Service Unit – if problem is not resolved within twenty-four (24) hours, a service unit similar to what was delivered to SEC shall be provided

      8.1.2.6. The Consultant/Contractor shall shoulder all expenses of the technical person(s) who will be providing the technical services on-site

9.   TRAINING

The table below indicates the minimum number of SEC personnel that will undergo the training program for each module of this project. Foreign or local training must be performed at a time and venue approved by SEC and conducted by accredited training organizations and institutions.

Table 2

Type of Training	No. of Participants	Est. Hours
End-user Training • Basic use and navigation	52 (2 per dept + 2 per EO + 2 each for OCS/OGA/OGC + 2 each for Office of Comms. & Chair)	16

Power User Training • Complex features & functionality • Any delegated provisioning • Creation & management of new forms and reports • Creation & management of basic settings, values, types, and other list of values	10 (4 from ICTD-SOD + 2 each from ICTD-CSSD/ISDMD/ERMD)	16
Application Development **(for modules with custom development)** • Source code walk-through and turnover • Programming language training specific to topics relevant to implemented system	4 (from ISDMD of ICTD with minimum of 2 per module)	40
System Administration **(comprehensive training in authorized / certified / accredited training institutions in addition to topics specific to implemented system)** • Installation • Monitoring • Provisioning • Integration • Performance Tuning & Hardening • Extract, Transform, and Load • Basic & Advanced Database Administration (if applicable) • Access Management • Troubleshooting • Other topics essential to managing the delivered system	4 (from SOD of ICTD)	40

10.   MANPOWER REQUIREMENTS

The proposed project team must be composed of experts and specialists. The minimum composition, qualifications, and required relevant experience of the project team are indicated in the table below. Graduate degrees and professional certifications held by project members will be considered an advantage. The Consultant/Contractor may add more positions depending on the specifications of the proposed solution. The personnel per position to be assigned will be based on the number as specified below (Table 3) and the Consultant/Contractor may add personnel depending on the work strategy, development methodology, nature and composition of the final proposed solution, and other valid considerations that impact human resource allocation. No deduction of personnel as specified in Table 3. Each team member must submit a notarized Curriculum Vitae signed under oath.

In case of substitution of assigned personnel, the credentials must be equal or better for evaluation and approval by the SEC.

Table 3

Position / Title	Roles & Responsibilities	Number	Minimum Qualifications
Project Manager	Manage the overall project and lead the team	1	a. Bachelor's or Master's Degree in the relevant field b. At least 5 years experience in project management as Lead or Deputy c. At least one (1) credential or certification related to project management d. At least 40 hours of relevant project management formal training
Technical Manager	Lead and manage the entire technical team in project implementation	1	a. Bachelor's or Master's Degree in the relevant field b. At least 5 years experience in technical management as Lead or Deputy c. At least 40 hours of relevant formal training
Technical Architect	Translate the business requirements to overall architectural, functional, and technical design and help oversee development and implementation to ensure adherence to the design	1	a. Bachelor's or Master's degree in related field b. At least 5 years experience in technical architecture as Lead or Deputy c. At least 40 hours of relevant training

| UI/UX Designer (if solution provides customized UI/UX)	Design the user experience and user interface elements based on user specified requirements	1	a. Bachelor's degree in related field b. At least 3 years experience in UI/UX design c. At least 40 hours of relevant UI/UX design training
Business Analyst	Perform information gathering and elicitation and finalize specification of business and functional requirements including technical documentation activities imperative to the project.	2	a. Bachelor's degree in related field b. At least 3 years experience in business process analysis or systems analysis c. At least 40 hours of relevant business or systems analysis training
Quality Assurance Engineer	Create comprehensive, detailed, and well structured test plans and lead all manual and automated testing activities	1	a. Bachelor's degree in related field b. At least 3 years experience in quality assurance or systems testing as Lead or Deputy c. At least 40 hours of relevant training in quality assurance or systems testing

Systems Engineer / Systems Administrator	Install, configure, and manage the systems infrastructure	2 (1 per module)	a. Bachelor's degree in the relevant field b. At least 3 years experience in systems administration / systems engineering c. At least one (1) credential or certification related to systems administration / systems engineering d. At least 40 hours of relevant systems administration / systems engineering formal training
Network Engineer / Network Administrator	Install, configure, and manage the network infrastructure	1	a. Bachelor's degree in the relevant field b. At least 3 years experience in network administration / network engineering c. At least one (1) credential or certification related to network administration / network engineering d. At least 40 hours of relevant network administration / network engineering formal training
Database Administrator	Install, configure, and manage the databases and lead ETL, migration, and ingestion activities	1	a. Bachelor's degree in the relevant field b. At least 3 years experience in database administration c. At least one (1) credential or certification related to database administration d. At least 40 hours of relevant database administration formal training

Team Lead / Senior Software Developer	Perform software development and lead a development team for a module	2 (1 per module)	a. Bachelor's degree in the relevant field b. At least 5 years experience in software development c. At least one (1) credential or certification related to software development d. At least 40 hours of relevant software development formal training
Software Developer	Perform software development	2 (1 per module)	a. Bachelor's degree in the relevant field b. At least 3 years experience in software development c. At least one (1) credential or certification related to software development d. At least 40 hours of relevant software development formal training

11.   SUMMARY OF REQUIRED FEATURES AND FUNCTIONALITIES PER MODULE

Figure 3 -   **Operating Context**
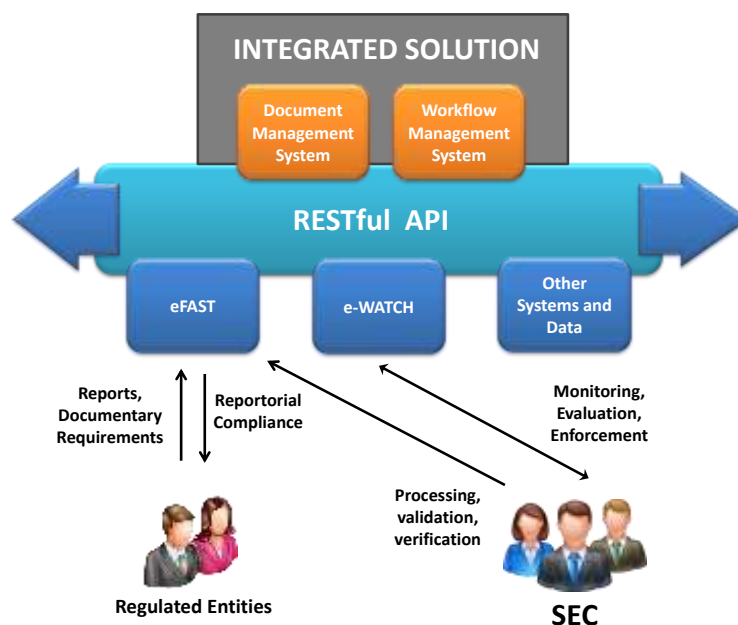
11.1. Basic Functionalities Common to All Modules

11.1.1. Support for RESTful API Integration with applications and other systems including, but not limited to:

11.1.1.1. Electronic Filing and Submission Tool (eFAST)

11.1.1.2. Electronic Workbench and Analytics Tracking Computing Hub (eWATCH)

11.1.1.3. Electronic Simplified Processing of Application for Registration (eSPARC)

11.1.1.4. Company Registration Encoding System (CORES)

11.1.2. Security features inclusive of authentication and authorization

11.1.3. Administration

11.1.4. Report generation including analytics

11.1.5. Audit (including all actions/operations performed by users)

11.1.6. Provision of Cloud Hosting Facility as support for hybrid cloud computing environment inclusive of on-premise main production installation with cloud backup failover system.

11.1.7. High Availability Configuration

11.1.8. Scalable

11.1.9. Granular access control management inclusive of support for integration with Identity and Access Management systems, directory servers, and other lightweight directory access protocol-based servers

11.1.10 Support for encryption of data in transit and data at rest

11.1.11. Support end-user access to the system through desktop Windows and Mac operating systems and preferably also via Android and iOS devices

11.2. Document Management System

The system will provide a means to create, receive, forward, track, associate, manage and store documents such as reportorial submissions, incorporation documents (registration, amendments and other company related registration documents), official correspondence and letters, orders and notices, and other documents currently issued and handled by SEC. It will be capable of keeping a record of the various versions created and modified by different users. The system will include the following functionalities:

11.2.1. Capture and storage

11.2.2. Indexing

11.2.3. Search and retrieval including, but not limited to the following:

11.2.3.1. Allow keyword and full-text search to be performed on filenames, file contents, and document metadata

11.2.3.2. Support exact, partial, and approximate string matching

11.2.3.3. Preferably include complex expression support such as NOT, AND, OR, and wildcards

11.2.3.4. By default, sort search results by relevance but also support other common sorting algorithms

11.2.4. Distribution (rule based dynamic routing)

11.2.5. Document and records management

11.2.6. Versioning

11.2.7. Track and monitor user activities performed on documents including, but not limited to, date and time received as well as date and time released

11.2.8. Preferably with support for forms

11.2.9. Secure remote access over an encrypted network

11.2.10. Preferably with support for automated processing of email messages as input

11.2.11. Allow addition of custom templates, document types (show cause order, report, etc.) and status types (draft, for review, for signature, etc.)

11.2.12. Support for setting custom meta data associated with documents

11.2.13. Support for custom categories, classification, and other logical groupings

11.2.14. Automated and manual backup and restore tool

11.2.15. Integration with popular and commonly available document editing software

11.2.16. Support document signing through cryptographic digital signatures as well as wet signature images or e-signatures

11.2.17. Management of files, folders, and other forms of logical grouping of documents

11.2.18. Creation of custom automated and manual routes for drafting, approval, and issuance of documents

11.2.19. Setting and management of document metadata

11.2.20. Support keyword and full-text search to be performed on filenames, file contents, and document metadata

11.2.21. Tracking and monitoring of the progress and status of documents

11.2.22. Support addition of custom status types (e.g. first draft, for review, for signature, etc.)

11.2.23. Allow for the ingestion of scanned images and soft copies of documents as well as provide a means to add, associate, group, organize, and classify ingested documents

11.2.24. Support the capability to create, draft, store, route, and manage files such as official documents, notices, and other types of documents typically handled by the Commission

11.2.25. Support storage of files from eFAST, eWATCH, eSPARC, CORES, and the Online Document Retrieval System or ODRS (refer to Appendix B for list of reportorial and other documentary requirements), as well as other systems, as currently or may be required by the Commission

11.2.26. Prevent any potential issues arising from concurrent access to files or documents by users or other systems and provision for conflict handling and resolution. Preferably with support for document forking and upstream / downstream file associations.

11.2.27.   Support granular access control for operations performed on documents such as view, edit, delete, save, and print

11.2.28.   Support template based optical character recognition

11.2.29.   Preferably support automated ingestion via watched or predefined folders

11.2.30.   Support document retrieval, Computer Assisted Document Receipt with the features such as Data Entry Module, Index Facility Module, Generation of Acknowledgment Receipt (Barcode Page) and Report Generation Facility.

11.2.31.   Optional support for the Inter Planetary File System (IPFS) protocols in document retrieval and transfer among systems and between systems and end users will be highly considered.

11.3.   Workflow Management System

This system will help streamline routine SEC processes for optimal efficiency by providing a means to setup a sequential path of tasks for the data and documents to follow until fully processed. It will adhere to predefined rules, policies, and approval processes set by SEC's designated admin user. The system will include the following core functionalities:

11.3.1.   Workflow pattern flexibility including, but not limited to, support for common patterns such as sequential, parallel, looping, and conditional patterns

11.3.2.   Conditional behavior and dynamic routing in accordance with SEC custom internal workflows and approval processes

11.3.3.   Automatic triggers

11.3.4.   Status indicators

11.3.5.   Support for defining Service Level Agreements (SLA) with due dates and sending of automated customizable notifications and reminders through multiple channels (email, mobile, etc.)

11.3.6.   Preferably with support for automated escalation based on SLA

11.3.7.   Role based accessibility

11.3.8.   Support for user re-assignment (for internal staff movement and transfers between units)

11.3.9.   No-code graphical or visual authoring and management tool for workflows

11.3.10.   Forms Designer/Builder with automated calculations, validations, and dynamic routing

11.3.11.   Preferably with built-in tool for team communications that facilitate commenting on tasks and processes, asking and answering questions, mentioning or tagging co-workers, and attaching files, documents, and images

11.3.12.   Capability to track and monitor the progress and status of workflows, tasks, and items

11.3.13.   Enable addition of custom status types including, but not limited to, the following:

   11.3.13.1.   PETITION ASSESSMENT
   11.3.13.2.   PETITION REJECTED

11.3.13.3. PAF ISSUANCE

11.3.13.4. PAF VALIDATION

11.3.13.5. PETITION ACCEPTED - DOCKETING OF CASE

11.3.13.6. RAFFLING OF CASE TO HANDLING LAWYER

11.3.13.7. NOTATION

11.3.13.8. EVALUATION

11.3.13.9. DRAFT OF ORDER

11.3.13.10. REVIEW OF ORDER

11.3.13.11. FINAL DRAFT – ORDER

11.3.13.12. ORDER RELEASE

11.3.13.13. DRAFT – RESOLUTION/DECISION

11.3.13.14. REVIEW OF DRAFT RESOLUTION/DECISION

11.3.13.15. CLEARANCE FROM THE EN BANC

11.3.13.16. FINAL DRAFT RESOLUTION/DECISION

11.3.13.16. RESOLUTION/DECISION RELEASE

11.3.14. Support addition of more status types in the future

11.3.15. Include support for the following types of case/opinion termination and provision for capability to add more types in the future:

11.3.15.1. DECISION

11.3.15.2. ORDER

11.3.15.3. REMANDED

11.3.15.4. RESOLUTION

11.3.15.5. MINUTE RESOLUTION

11.3.15.6. OGC OPINION

11.3.16. Track and monitor workflow related activities including, but not limited to, recording the date and time received as well as the date and time released

11.4. ADDITIONAL CUSTOM FUNCTIONALITIES

The following custom functionalities shall be supported through the use of built-in features of the DMS and WMS, development of custom applications and scripts, or a combination of those two:

11.4.1. Retrieval Functionalities:

11.4.1.1. Allow searching, viewing, and printing of documents pertaining to specific regulated entities as well as non-company related documents by SEC personnel

11.4.1.2. Allow search to be performed by specifying the following:

11.4.1.2.1. Company Name

11.4.1.2.2. SEC Registration Number

11.4.1.2.3. Industry Classification

11.4.1.2.4. Batch Control Sheet

11.4.1.2.5. Document ID

11.4.1.2.6. Owner

11.4.1.2.7.   Department
11.4.1.2.8.   Division
11.4.1.2.9.   Unit
11.4.1.2.10.   Metadata
11.4.1.2.11.   Tags
11.4.1.2.12.   Annotation

11.4.1.3.   Display search results with the following details for each item on the list:

11.4.1.3.1.   Company Name
11.4.1.3.2.   SEC Registration Number
11.4.1.3.3.   Industry Classification
11.4.1.3.4.   Business Type
11.4.1.3.5.   Company Status
11.4.1.3.6.   CD Number and Blip Number

11.4.1.4.   Enable drill down navigation to a specific company and provide a means to view information and documents pertaining to that company

11.4.1.5.   Allow documents of a specific company to be searched by specifying the following:

11.4.1.5.1.   Registration Type
11.4.1.5.2.   Report Document Type
11.4.1.5.3.   Miscellaneous Type
11.4.1.5.4.   Period Covered

11.4.1.6.   Prevent display of confidential and sensitive information and adhere to data privacy laws

11.4.1.7.   Support document view manipulation such as zoom in and out, rotate left and right, and flip horizontal and vertical

11.4.2.   Submission Functionalities

11.4.2.1.   Allow submission of the following custom document types:

11.4.2.1.1.   Normal Reports - documents from companies with existing company profile in SEC database
11.4.2.1.2.   Exceptional Reports - documents from companies without existing company profile in SEC database
11.4.2.1.3.   Non-company Related Documents – documents internal to SEC
11.4.2.1.4.   Other additional document types that may be specified in the future

11.4.2.2.   For Normal and Exceptional Reports, allow entry of data associated with each submission including, but not limited to, the following:

11.4.2.2.1.   Source of document including specific branch if an Extension Office
11.4.2.2.2.   Type of document or report
11.4.2.2.3.   Period Covered
11.4.2.2.4.   Date and Time Received

11.4.2.2.5.   Additional remarks

11.4.2.3.   For Non-company Related Documents, allow entry of data associated with each submission including, but not limited to, the following:

11.4.2.3.1.   Sender's name

11.4.2.3.2.   Sender's contact information

11.4.2.3.3.   Addressee's Name (can be multiple)

11.4.2.3.4.   Addressee's Department (can be multiple)

11.4.2.3.5.   Addressee's Address (can be multiple)

11.4.2.3.6.   Subject

11.4.2.3.7.   Document Type

11.4.2.3.8.   Confidential flag when applicable

11.4.2.4.   Enable batch processing of documents to help manage the transport and storage of physical hard copies including a function for printing and reprinting of batch control sheets and QR code pages (refer to Appendix E for sample of the old barcode page that should now instead be a QR code page)

11.4.2.5.   To enable the quick and timely processing of incoming documents, provide the option of undertaking a three-step process for data ingestion comprised of the following:

> Step 1: Index document upon receipt (commonly performed by the Central Receiving Unit of ERMD)
>
> Step 2: Scan and digitize document at a later time (commonly performed by the Micrographics Unit of ERMD)
>
> Step 3: Perform automated backend batched conversion of unstructured data from step 2 via OCR to searchable text or attribute-value pairs with corresponding metadata whenever possible, including use of OCR template or zone-based parsing if applicable

11.4.2.5.   Update appropriate tracking information in the system to enable proper monitoring of the submission of reportorial requirements including date and time received as well as type/sub-type of report (refer to Appendix B for list of reportorial requirements and Appendix C for monitoring process details)

11.4.3   Association / Assignment of Documents

11.4.3.1   Allow documents to be associated with the correct Company Profile

11.4.4.   Migration Functionalities

11.4.4.1.   Allow upload of historical as well as day forward records together with all corresponding documents

11.4.4.2.   Allow download of records by specifying the relevant Document ID or a list of Document IDs

12.   SUMMARY OF GENERAL REQUIREMENTS, FEATURES, FUNCTIONALITIES, & SERVICES

12.1.   User Interface / User Experience

12.1.1.   Adhere to Responsive Web Design

12.1.2.   Screen load time:

    12.1.2.1.   For normal operations: 2 secs. or less
    12.1.2.2.   For complex operations/queries/computations: 5 secs. or less

12.1.3.   Provide access to tooltips when appropriate

12.1.4.   Enable keyboard shortcuts when applicable especially for UI elements and screens heavily utilized by frontline SEC personnel

12.1.5.   Adhere to SEC specified color scheme and palette

12.1.6.   Comply with guidelines pertaining to proper use of SEC logo and trademarks

12.2. Scalability

12.2.1.   Capable of scaling both vertically and horizontally with minimal configuration and downtime

12.3. Security

12.3.1.   Granular user access control based on roles

12.3.2.   Authenticate and grant secure access to appropriate UI Views and components based on Identity and Access Management System settings

12.3.3.   Perform session and token management to reduce risk of unauthorized access

12.3.4.   Utilize *C*ompletely *A*utomated *P*ublic *T*uring test to tell *C*omputers and *H*umans *A*part (CAPTCHA) for public facing user interfaces

12.3.5.   Encrypt data transmitted over the network and provision for encryption of data at rest

12.3.6.   Support multi-factor authentication

12.3.7.   Comply with all applicable policies, rules, guidelines and laws including the Data Privacy Act of 2012

12.3.8.   Prevent display of confidential and sensitive information and provide a means to perform redaction when applicable

12.3.9.   Maintain full audit trail of users and their corresponding activities

12.3.10.   Implement password policies that adhere to best practices in terms of length, character composition, case, expiration, and prevent re-use of recently used old passwords

12.3.11.   Provision support for the following types of password assignment:

12.3.11.1. Automated system generated random password

12.3.11.2. Manually assigned password by admin

12.3.11.3. Password manually set by user

12.3.12. Prevent multiple simultaneous logins by the same user ID / username

12.3.13. Provision for the following methods of creating user accounts:

12.3.13.1. Self-registration

12.3.13.2. Created by Admin

12.3.14. Provision SSL/TLS certificates to enable secure network communications

12.4. Extensibility

12.4.1. Employ programming best practices in the development of all custom software to allow for ease of adding and expanding capabilities in the future

12.4.2. Provide a means for users to maintain, update, and manage preset values for codes, types, status types, and other dynamic content to the extent practicable

12.5. File Upload

12.5.1. Perform validation of uploaded files based on predefined guidelines and standards set by SEC

12.5.2. Provision for anti-virus scanning of uploaded files

12.5.3. Prevent accidental and unintentional multiple uploads of the same file

12.6. Database

12.6.1. Licenses should be sufficient to cover High Availability setups as well as take into consideration the volume of data, transactions and users

12.6.2. Support all features required to be compliant with data privacy laws, rules, and regulations

12.6.3. Easy to scale up and out with minimal downtime

12.6.4. Capable of replication across geographically separated systems

12.6.5. Easy backup and restoration procedures

12.7. Service Availability

12.7.1. Service up-time of 99.95% for all critical systems

12.7.2.   Aside from the Main SEC Office, secure access to systems will also be provided to Extension and Satellite Offices that are geographically dispersed (refer to Appendix A for list of satellite and extension offices)

12.7.3.   Implement high availability clustering with load balance (Active-Active configuration for high traffic mission critical systems) and fail-over (Active-Passive configuration between Main Production and Failover Backup Site)

12.7.4.   Provision for a Disaster Recovery Site and create a corresponding Disaster Recovery Plan subject to the approval of the SEC

12.7.5.   Adhere to a Recovery Time Objective (RTO) of one week and a Recovery Point Objective (RPO) of one week

12.7.6.   Provide redundant network connectivity

12.7.7.   Provide a facility for performing monthly (full) and weekly (incremental) backups. Backups can be pre-scheduled and executed automatically during off peak hours from 12 a.m. to 4 a.m. or initiated immediately upon manual execution by an authorized admin user.

12.7.8.   Provision for development, test, staging, and production environments to ensure live services are not adversely affected by development, maintenance, and support activities

12.7.9.   Implement fault tolerant systems, software, and hardware

12.7.10.   Define, formulate, provision, and provide alternative purely manual and computer assisted processes and procedures in case of electrical outage, system breakdown, or any other potential causes of system downtime

12.7.11.   The Commission implements a Hybrid Cloud network architecture where, for the requirements of this project, the primary data storage and application systems should be within SEC premises and application systems for load balancing or redundancy can be implemented on cloud computing systems that can serve as primary interfaces to the transacting public and to SEC staff. Cloud storage may also be used as data and/or application backup sites. The on-premise data storage and application systems will serve as alternative/business continuity measures when cloud-based application systems are unavailable.

12.8. Licensing

12.8.1.   For third party services and pre-built off-the-shelf software: Three (3) year contract with option to extend

12.8.2.   For custom built and developed software: All source codes, scripts, libraries, and related assets will be turned over to SEC and will become the property of SEC

12.9. Integration

12.9.1.   Support a level of integration with other SEC Systems that will allow for sharing of information and help prevent conflicts, unnecessary duplication of data and functionality, and inefficient double data entry

12.9.2.   Enable integration with existing and future systems via RESTful Application Programming Interfaces

12.9.3.   As much as possible, favor utilizing any data already available in existing SEC systems

12.9.4.   Support integration with other systems via Enterprise Service Bus to avoid direct point-to-point connectivity between the different systems and applications

12.10.   Maintenance and Support

12.10.1.   Maintenance and support services for each module of the integrated solution will commence immediately upon successful deployment to the production environment and acceptance of each module. Full acceptance of the entire project is not required for maintenance and support services to commence for each module. The integrated solution will be composed of the following modules:

    12.10.1.1.   Document Management System

    12.10.1.2.   Workflow Management System

12.10.2.   24x7 levels 1, 2, and 3 support for cloud-based systems

12.10.3.   8x5 levels 1, 2, and 3 support for on-premise systems

12.10.4.   Provide a ticketing system with priority levels and corresponding response and resolution times based on severity levels. Severity levels will be dependent on the degree to which service delivery is affected

12.10.5.   Monitor, propose, and apply critical system patches upon the approval of SEC

12.10.6.   Provide technical assistance in capacity and performance management

12.11.   Hardware

12.11.1.   The Consultant/Contractor is expected to propose and provide all necessary hardware to implement the proposed solution for the project

12.11.2.   Proposed hardware should include all new additional units required to implement the proposed solution for the project as well as any required replacement units for existing hardware and systems relevant and necessary to deliver a fully functional integrated solution

12.11.3.   All hardware supplied should meet the minimum standards of uptime and service availability required by SEC

12.11.4.   There should be ample storage space for ingesting all relevant in-scope data plus additional storage capacity to cover 3 years of operations in a production environment

12.11.5.   To the extent practicable given the operating context, allocated budget, and the mission critical nature of the integrated solution, favor redundancy to ensure business continuity and the least possible amount of system down time

12.11.6.   Hardware supplied should be fault tolerant and support high availability configuration

12.12   CLOUD-HOSTING SECURITY REQUIREMENTS

The CONTRACTOR must comply with the following security requirements:

12.12.1 A security solution that will address unauthorized network intrusions (intrusion detection) and can identify and analyze internal and external threats (vulnerability assessment);

12.12.2 Provision of highest-level, commercially available encryption of data (database and storage) in transit and at rest

12.12.3 Provision of baseline encryption of AES (256 bits and higher), or its equivalent

12.12.4 Provision of logical security audit on data access, including logs and audit trails

12.12.5 Provide proof of compliance thru a self-certification letter or/and provide link to audit/assessment report by a third-party consulting firm for the following baseline and optional standards/certifications:

      a.   ISO/IEC 27001 certification (baseline)
      b.   ISO 9001 certification (baseline)

12.12.6 Provide other security systems such as, but not limited to the ff:
      a.   Intrusion detection and prevention systems (IDPS)
      b.   Distributed Denial-of-Service (DDOS) protection
      c.   Web Application Firewall (WAF)

12.13 OTHER REQUIREMENTS (GREEN COMPLIANCE)

12.13.1 The manufacturer or bidder must have effective waste management policies and procedures and/or a waste management program.

12.14. Reports

NAME	DESCRIPTION	POSSIBLE FILTERS
Document Management System		
12.14.1. List of Documents	List of all documents	User, User Group, Department, Division, Unit, Period, Custom Classification or Logical Grouping, Meta Data of Document, Document Type, Status, Filename, File Format, Other File Attributes
12.14.2. List of Users	List of all users	User, User Group, Department, Division, Unit, Period
12.14.3. Utilization	Information related to system utilization such as storage space, number of users, number of documents/files in the system, errors encountered, and other metrics and information commonly tracked for monitoring system health and status	Custom defined date and time period or as of current date and time
12.14.4. Document Activity Report	List of all actions/operations performed for a specific document	Filename, System Generated Document Identifier
12.14.5. Submission Volume Transaction Report	Submission volume received per type including Form Code, Form Name and count	Receipt Date, Receiving Officer, Form Type, Department
12.14.6. Retrieval Report	Retrieval volume of activity done and count including Documents Viewed, Pages Viewed, Documents Printed, Pages Printed	Receipt Date, Receiving Officer

12.14.7. Audit	List of all user activities performed with corresponding timestamps	Type of Activity/Operation, User, User Group, Department, Division, Unit, Period
Workflow Management System		
12.14.8. Workflow Status Report	List of workflows based on various filters	Status, User, User Group, Department, Division, Unit, Period
12.14.9. List of Users	List of all users	User, User Group, Department, Division, Unit, Period
12.14.9. Audit	List of all user activities performed with corresponding timestamps	User, User Group, Department, Division, Unit, Period

12.14.10.   For reports that include lists, provide support for all common sorting algorithms

12.14.11.   The table above does not include any ad hoc reports and printed output that can be generated in the course of navigating, managing, and filtering lists stored in the system

12.14.12.   Preferably include a report builder system or tool for ease of adding more reports in the future

12.14.13.   Preferably include support for aggregation, summation, totals, and sub-totals when applicable

12.14.14.   Modules should be capable of generating reports commonly generated by systems of the same type currently available in the market

12.15. Historical Records

12.15.1.   Include all in-scope data and documents that are readily available in digital format

12.15.2.   For in-scope data and documents not yet readily available in digital format, process and include data and documents covering one year of data inclusive of months that have already elapsed in the current calendar year

12.15.3.   Provide a means to add more historical records, data, and documents to the system in the future without requiring modifications to the application code

12.16. Project Management

12.16.1.   The project will adhere to the Agile approach to project management and software/systems development

12.16.2.   A change management process should be defined by the Consultant/Contractor at bidding time to provide for cases where requirements analyses lead to substantial deviations from the reference specifications. This should include details pertaining to change requests that require payment and those that do not. All changes must be approved by SEC.

12.16.3.   The Consultant/Contractor shall assign a Project Manager who will report weekly, or more frequently if requested by SEC, to the SEC Project Team on the progress of the project deliverables

12.16.4.   The Consultant's/Contractor's Project Manager will serve as both liaison and coordinator for the project

12.16.5.   The Consultant's/Contractor's Project Manager shall ensure that all project deliverables and milestones are met based on targets and accomplished in a timely manner.

12.16.6.   The Consultant/Contractor must provide a realistic work breakdown structure and Gantt chart with the goal of meeting the agreed upon timelines. Resources associated with each task must be indicated. Updates of this schedule must be provided together with the weekly status report.

12.16.7.   An initial activity breakdown must be provided at bidding time. This should include as much detail as necessary to demonstrate sound planning as well as capacity to achieve successful delivery. It is understood that this breakdown may change at project initiation after further requirements analysis is conducted.

12.16.8.   A bug fix is defined as a patch addressing a quality issue in the software. A change request is defined as a change in the features/functionalities of the Software that was not initially included in the scope. In case of disagreement over the nature of a request as being either a bug fix or a change request, SEC is the final decision maker on whether it is a change request or a bug fix. The Consultant/Contractor shall fix any bug without any cost to SEC, impediments to the rest of the project, or any pre-conditions.

13.   VOLUMETRICS

The volumetrics information provided in the following tables are merely estimates computed at the time of writing of this document. Considering the high likelihood of change occurring in terms of the number of potential users and volume of data prior to actual project implementation, the winning Consultant/Contractor is required to conduct a more thorough study to ensure the proper sizing and configuration of the final proposed system.

13.1. Main Data Sources

Table 4 Online Document Retrieval System

As of April 17, 2023	Corp. Related Docs	Exceptional Docs	Non-corp. Related Docs	Total
Number of Records	11,088,287	30,338	23,990	11,142,615

	Image Data Size	Data File Size
Size	25.43TB	4.9 GB

	2021	**2022**
Records Uploaded	896,853	722,752

Table 4.1 Electronic Simplified Processing of Application for Registration of Company

ESPARC	FILE COUNT	AVE. FILE SIZE	NO. FILES PER ANNUM		
			2021	**2022**	**2023**
APPLICATION FILES	54,866	548Kb	17,835	23,504	13,527
SIGNED DOCUMENTS	76,987	1.3Mb		51,893	25,094
PROOF OF PAYMENTS	5,446	740Kb	594	2,753	2,099

Table 4.2 Company Registration Encoding System

CORES	FILE COUNT	AVE. FILE SIZE	NO. FILES PER ANNUM			
			2020	**2021**	**2022**	**2023**
DIGITAL CERTIFICATES	48,886	212Kb	198	2,120	30,249	16,319

Table 4.3 Electronic Filing and Submission Tool (Submissions of Documentary Requirements)

Documentary Requirement	File Count	Size (MB)	Average Per File (KB)
Appointment of Officers	1,801	600	333
General Information Sheet	340,887	866,662	2,542
Special Form for Financial Statements	368	383	1,042
Sworn Statement for Foundations	712	1,282	1,800
Annual Financial Statement	108,938	677,310	6,217
Special Form for Financial Statements of Investment Companies and Publicly Held Companies	32	7	204
General Form for Financial Statements	15,927	6,962	437
Special Form of Financial Statements for Financing Companies	394	304	772
Special Form for Financial Statements of Broker Dealer	29	6	192
Special Form for Financial Statements of Investment Houses and Underwriters of Securities	7	2	332
Special Form of Financial Statements for Lending Companies	1,266	625	493
Special Form of Interim Financial Statements for Lending Companies	3,777	2,501	662
Special Form of Interim Financial Statements for Financing Companies	1,342	1,434	1,069

Table 4.4 i-View

Format	Current Size	Estimated Growth in Size Per Year (MB)

| Oracle 9i | 3 GB (estimated) | 2,000 |
| Doc images Multi-TIFF | 15 TB | |

13.2. Users

Table 5

| Module	Est. Total	Est. Concurrent	Est. Growth Per Annum
Document Management System	1,500	1,000	20%
Workflow Management System	1,500	1,000	20%

13.3. Electronic and Filing and Submission Tool (eFAST) Registrants & Userbase

Offices	Activated	Archived	Declined	On-Hold	Pending	Verified	Total
Bacolod E.O.	369	2	397	448	102	4,976	6,294
Baguio E.O	799	7	393	482	190	2,641	4,512
Cagayan De Oro E.O.	560	5	337	568	162	3,001	4,633
Cebu E.O.	772	26	1,612	1,438	202	13,108	17,158
Davao E.O.	989	11	821	834	165	8,525	11,345
Iloilo E. O.	287	3	281	512	114	2,674	3,871
Legazpi E.O.	260	10	270	304	60	1,767	2,671
Main Office	18,809	277	11,305	9,683	4,624	61,651	106,349
Tarlac City E.O.	2,336	39	1,611	1,376	556	9,788	15,706

Zamboanga E.O.	137	2	91	203	41	1,076	1,550
(Not Specified)		3,038	20,701		13,656		37,395
Grand Total	**25,318**	**3,420**	**37,819**	**15,848**	**19,872**	**109,207**	**211,484**

NOTE: Total userbase of eFAST is expected to scale up to match the userbase of the existing Online Document Retrieval System which has recorded around 410,000 active and 303,000 inactive corporations.

2023
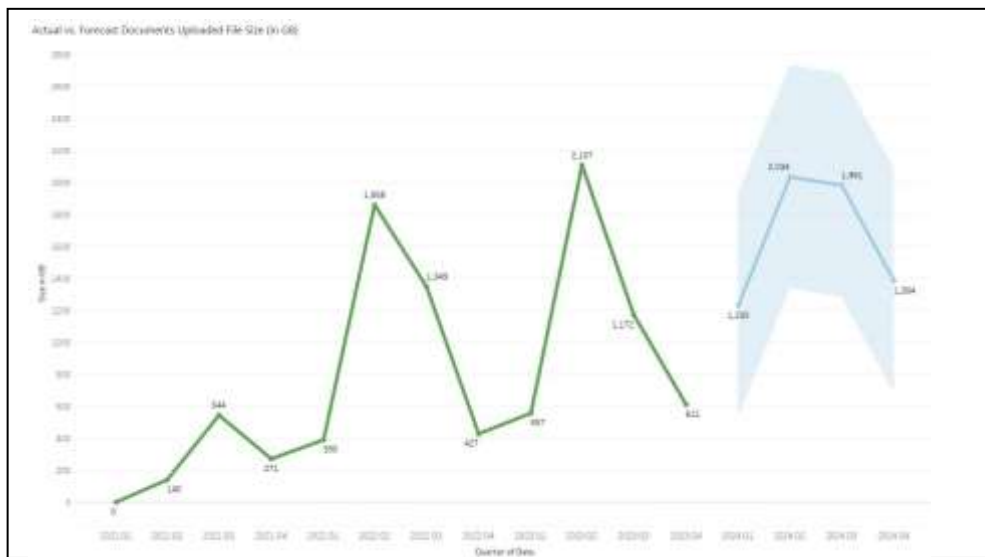
Utilization and 2024 Projected Storage Requirements of eFAST

13.4. Compliance Monitoring Performed in a Year

Type of Entity	No.
CRMD and EOs	
Domestic Corporations, Foreign Corporations and Multinational Companies	50,649
MSRD	
Securities Brokers and Dealers (Head Office)	148
Dealers in Government Securities	47
Stock Transfer Agents	22
Underwriters of Securities	12
Investment Company Advisers	11
PLCs	265
Accredited Surety Companies	7
Exchanges	2
Clearing House	1
Securities Depositories	2
ETF	1
SROs	3
Registrars of Qualified Buyers	20
Operator of Alternative Trading System	1
Investment Houses	28
Mutual Fund Distributors	10
Registered Issuers of (Unlisted Securities)	11
CGFD	
Mutual Funds or Investment Companies	74

Issuers of Proprietary and Non-Proprietary Securities	95
ETF	1
Public Companies	37
Financing Companies	828
Lending Companies	3,486
Foundations	12,112
Microfinance NGOs	32
Publicly listed companies (corporate governance compliance only)	283
Issuers of Unlisted Securities (corporate governance compliance only)	36
Accredited Institutional Training Providers	11
Total	**68,235**

13.5. Cases Acted Upon in a Year (EIPD)

Violations	No. of Cases
Insider Trading	1
Unauthorized Sale of Securities	75
Ponzi and Pyramiding Schemes	54
Submission of Falsified Reports	2
Ultra Vires Acts Committed in Violation of the Corporation Code of the Philippines	14
Violations of PD 902-A	27
Total	**173**