



Bids and Awards Committee

REQUEST FOR QUOTATION (RFQ) No. 2017- 033

The Securities and Exchange Commission (SEC), through its Bids and Awards Committee (BAC), will undertake an **Alternative Method of Procurement through Negotiated Procurement** for the items stated below, in accordance with **Section 53.9 Small Value Procurement** of the Revised Implementing Rules and Regulations of Republic Act. No. 9184.

The SEC hereinafter referred to as “the Purchaser”, now requests submission of a price quotation for the subject below:

APP Ref.	PR No.	Description	Approved Budget for the Contract (ABC) inclusive of VAT
Supplemental APP 2017-1	201704082	Management Consultancy Services for SEC Capability Building and Collaboration Program Please see attached Terms of Reference (Attachment 3)	Php 950,000.00

Interested suppliers are required to submit the following documents:

1. *Valid Mayor's Permit*
2. *Professional License/Curriculum Vitae*
3. *Proof of PhilGEPS Registration*
4. *Latest Income/Business Tax Return*
5. *Omnibus Sworn Statement (Attachment 2)*

SEC Condition of Sale:

1. *Delivery Schedule: upon receipt of approved Contract/NTP*
2. *Bid Validity: Sixty (60) calendar days from submission of bids*

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

Any alterations, erasures, or overwriting shall be valid only if they are signed or initialed by the bidder or his/her duly authorized representative.

Submission of duly signed Price Proposal Form (Attachment 1) and eligibility documents should not be later than **10:00 A.M. of October 13, 2017** at the Procurement Division, 3rd Floor, Secretariat Building, PICC Complex, Pasay City. Open submission may be done manually or via email at bacsecretariat@sec.gov.ph or through Facsimile No. 818-5330.

The penalty for late deliveries is one tenth (1/10) of one (1) percent of the cost of the unperformed portion for every day of delay. The maximum deduction shall be ten percent (10%) of the contract price. Once the cumulative amount of liquidated damage reaches ten percent (10%) of the contract price, the procuring entity shall rescind the contract without prejudice to other courses of action and remedies open to it.

The SEC reserves the right to reject any and all bids, declare a failure of bidding, or not award the contract in accordance with Section 41 of RA 9184 and its IRR, without thereby incurring any liability to the affected bidder or bidders.


EMMANUEL Y. ARTIZA
Chairman, BAC

PRICE QUOTATION FORM

Date: _____

The Bids and Awards Committee
 c/o Procurement Division
 3rd Floor, Secretariat Building,
 PICC Complex, Pasay City

Sir/Madam:

After having carefully read and accepted the terms and conditions in the Request for Quotation, hereunder is our price quotation for the item/s identified below:

Item no.	Article and Descriptions	Qty	Unit price	Total Price (VAT Inclusive)
1	Management Consultancy Services for SEC Capability Building and Collaboration Program Please see attached Terms of Reference (Attachment 3)	1 lot	P _____	P _____

AMOUNT IN WORDS: _____

The above-quoted price is inclusive of all costs and applicable taxes

Very truly yours,

AUTHORIZED REPRESENTATIVE:

Signature : _____
 Printed Name : _____
 Date : _____
 Company Name : _____
 Contact no. : _____

Omnibus Sworn Statement

REPUBLIC OF THE PHILIPPINES)
 CITY/MUNICIPALITY OF _____) S.S.

I, *[Name of Affiant]*, of legal age, *[Civil Status]*, *[Nationality]*, and residing at *[Address of Affiant]*, after having been duly sworn in accordance with law, do hereby depose and state that:

1. **Select one, delete the other:**

If a sole proprietorship: I am the sole proprietor of [Name of Bidder] with office address at of *[Name of Bidder] [address of Bidder]*;

If a partnership, corporation, cooperative, or joint venture: I am the duly authorized and designated representative of *[Name of Bidder]* with office address at *[address of Bidder]*;

2. **Select one, delete the other:**

If a sole proprietorship: As the owner and sole proprietor of *[Name of Bidder]*, I have full power and authority to do, execute and perform any and all acts necessary to represent it in the bidding for *[Name of the Project]* of the *[Name of the Procuring Entity]*;

If a partnership, corporation, cooperative, or joint venture: I am granted full power and authority to do, execute and perform any and all acts necessary and/or to represent the *[Name of Bidder]* in the bidding as shown in the attached *[state title of attached document showing proof of authorization (e.g., duly notarized Secretary's Certificate issued by the corporation or the members of the joint venture)]*;

3. *[Name of Bidder]* is not "blacklisted" or barred from bidding by the Government of the Philippines or any of its agencies, offices, corporations, or Local Government Units, foreign government/foreign or international financing institution whose blacklisting rules have been recognized by the Government Procurement Policy Board;

4. Each of the documents submitted in satisfaction of the bidding requirements is an authentic copy of the original, complete, and all statements and information provided therein are true and correct;

5. *[Name of Bidder]* is authorizing the Head of the Procuring Entity or its duly authorized representative(s) to verify all the documents submitted;

6. **Select one, delete the rest:**

If a sole proprietorship: I am not related to the Head of the Procuring Entity, members of the Bids and Awards Committee (BAC), the Technical Working Group, and the BAC Secretariat, the head of the Project Management Office or the end-user unit, and the project consultants by consanguinity or affinity up to the third civil degree;

If a partnership or cooperative: None of the officers, directors, and controlling stockholders of *[Name of Bidder]* is related to the Head of the Procuring Entity, members of the Bids and Awards Committee (BAC), the Technical Working Group, and the BAC Secretariat, the head of the Project Management Office or the end-user unit, and the project consultants by consanguinity or affinity up to the third civil degree;

If a corporation or joint venture: None of the officers, directors, and controlling stockholders of *[Name of Bidder]* is related to the Head of the Procuring Entity, members of the Bids and Awards Committee (BAC), the Technical Working Group, and the BAC Secretariat, the head of the

Project Management Office or the end-user unit, and the project consultants by consanguinity or affinity up to the third civil degree;

7. *[Name of Bidder]* complies with existing labor laws and standards; and
8. *[Name of Bidder]* is aware of and has undertaken the following responsibilities as a Bidder:
 - a) Carefully examine all of the Bidding Documents;
 - b) Acknowledge all conditions, local or otherwise, affecting the implementation of the Contract;
 - c) Made an estimate of the facilities available and needed for the contract to be bid, if any; and
 - d) Inquire or secure Supplemental/Bid Bulletin(s) issued for the *[Name of the Project]*.
9. I did not give or pay, directly or indirectly, any commission, amount, fee, or any form of consideration, pecuniary or otherwise, to any person or official, personnel or representative of the government in relation to any procurement project or activity.

IN WITNESS WHEREOF, I hereunto set my hands this _____ day of _____, 20____
at _____, Philippines. _____

SUBSCRIBED AND SWORN TO before me this _____ day of _____, 20____, affiant
exhibiting to me his/her _____ *(Government issued ID name, number and validity
date)* _____

(Notary Public)

Until _____
PTR No. _____
Date _____
Place _____
TIN _____

Doc. No. _____

Page No. _____

Book No. _____

Series of _____

Bidder's Representative/Authorized Signatory

[JURAT]

TERMS OF REFERENCE

Procurement of a Learning Service Provider for the Securities and Exchange Commission's Organization-wide Team Building in 2017

I. Project Objective

This project seeks to increase the knowledge of the SEC personnel on the foundational elements of capability-building (aka competency) and collaboration (aka silo-busting). The project specifically intends to increase the appreciation of the workforce as the most valuable asset of the agency that delivers the expected performance of the agency as a public service organization. This project serves as a strategic intervention at a time when workforce development and intra-agency cooperation are critically becoming important in response to the mounting public demands for the agency to do much more with less and to do better smarter.

Put simply, this project is all about making our people work better and getting them to work with each other better as well.

II. Project Description

This project involves the hiring of an external consultant to conduct an organization-wide capability-building and collaboration program that will deliver the expected results indicated below:

1. Increased appreciation for the workforce as the linchpin of organizational performance, productivity and effectiveness;
2. Augmented capability-building activities that covers communication, critical thinking, versatility and social adaptability as competencies that enhance an individual employee performance in the workplace based on actual agency learning requirements; and
3. Improved collaboration across levels and units through silo-busting.

III. Scope of Work

The consultant, referring to the learning service provider, is expected to perform the following:

1. Design a two-day Commission-wide capability-building and collaboration training program based on the general parameters to be given by the Learning Resource and Information Division (LRID) of the Human Resource and Administrative Department

The consultant may be guided by the objectives of the training program for the participants:

Capability-Building:

- Explain the relationship of professional enrichment with strategic alignment with the corporate vision and strategy;

- Demonstrate the ability to develop pre-identified competencies that are most significant in improving functionality, productivity and effectiveness.

Collaboration:

- Help forge a social consensus on the value of organizational citizenship and its precedence over sub-organizational identities and its attendant demand to weave a web of informal relationships across levels and units; and
- Manage the risk of existing silos within the organization and at the same time leverage the benefits thereof.

Course content and methodology

Insofar as the objectives should dictate content, the training should have an underpinning conceptual framework that shall provide structured learning exercises with elements of gamification, applied learning exercises and group dynamics on the following areas, viz:

On capability-building (aka competency development)	On collaboration (aka silo-busting)
<p style="text-align: center;">COMMUNICATION</p> <p>Oral communication and written communication need enhancement not only in terms of the technical skill of articulation that characterize them but also in terms of the quality of thinking underpinning them. After all, communication is the lifeblood of intra-organizational relationships as well as of extra-organizational ones.</p>	<p style="text-align: center;">SYSTEMS THINKING</p> <p>It is imperative that everyone in the organization should see things in the same way. Figuratively and literally speaking. Everyone should have a common operating picture – to which everyone, in the course of doing work, should subscribe and maintain a clear line of sight. Systems thinking requires alignment with this this common operating picture – and by implication, understanding that everyone has a partial yet critical stake in it that affects, and is affected by, other’s.</p>
<p style="text-align: center;">CRITICAL THINKING</p> <p>This competency goes beyond acquiring analytical prowess for problem-solving purposes insofar as it requires irrepressible inquisitiveness to do things better, to imagine and design alternatives and workarounds.</p>	<p style="text-align: center;">RELATIONSHIP MANAGEMENT ACROSS LEVELS AND UNITS</p> <p>An organization is a social system, and as such, relationships between and among employees, between and among management and rank and file, between and among superiors, peers, and subordinates have to be well-</p>

	maintained. The quality of relationships, after all, defines, to a large extent, the workplace culture, which influences the level of effectiveness of collective goal attainment by the entire organization.
<p>VERSATILITY (COGNITIVE)</p> <p>Characterized by openness to perpetual learning, this competency allows employees to assume different roles seamlessly on demand and can perform whichever role flawlessly. Not to be confused with multi-tasking, versatility is all about being a walking Swiss-knife of sorts; and employees who are versatile can pinch-hit for others, compensate for operational disruptions and bridge the divide between various social groups and 'silos' within the organization.</p>	<p>COLLECTIVE IDENTITY</p> <p>Organizational citizenship is necessary to preserve morale and esprit de corps, and the community of employees needs to have this strong identification with the organization to the extent that its workplace behavior is inspired by (1) the socially-prescribed outputs and outcomes that the organization is mandated to deliver and (2) the values that the organization officially stands for.</p>
<p>SOCIAL ADAPTABILITY</p> <p>Personal effectiveness of individual employees is anchored on how well they can relate to, deal with, and work with, others. In the contemporary workplace, hardly any work of significance is done by lone wolves; and for work to be done and done well, the principles of complementation and supplementation, of teamwork and good interpersonal relations have to be observed.</p>	<p>CUSTOMER-CENTRICITY IN AID OF INSTITUTIONAL BRANDING</p> <p>Being a public sector institution that is heavily engaged in frontline service delivery, the organization – ie the SEC – should subscribe to the gospel of customer-centricity; it exists to serve and its entire constellation of services and the supporting systems and processes should be designed to maximize customer experience. And subscription to this gospel – in actual practice over time – is what defines the institutional reputation of the organization.</p>

2. Conduct the training program on 14 and 15 November 2017 (Tuesday and Wednesday) at a venue to be provided by the SEC.
3. Manage the dynamics between and among different categories of participants (the blend of executives, senior management, junior management, technical, associate staff, contract of service personnel and representatives of the Extension Offices).
4. Submit a Terminal Report with recommendations to the SEC management (copy furnished the LRID) within 60 days after the conduct of the program.

5. Conduct follow-through activities as post-training engagement to determine whether or not the program objectives have been met.

IV. Duration

Pre-Training (Fika-han)

A half-day fika-han spearheaded by the LRID with one (1) representative from the LSP to serve as resource person and observer will be conducted one (1) week before the training. The intent of this activity is to sell the training to formal and informal leaders among the employees. It seeks to condition the minds of the participants to prepare themselves for the organization-wide event and allows the LSP to profile the participants and manage the expectations and apprehensions thereof.

Actual Training

The implementation of the Capability-Building and Collaboration Program will run for two (2) consecutive days in the specified dates in November 2017. Each day of the program will start at 8:00 in the morning and end at 5:00 in the afternoon. The start of program on the first day will be preceded by a briefing of facilitators and joint secretariat staff whereas the end of it shall be bookended by a debriefing of the same personnel the second day.

Post-Training

A half-day joint preliminary assessment session with the LSP will be arranged a week after the conclusion of the actual training to determine the achievement of the project objectives.

V. Target Participants

For the two-day training, the total number of participants is expected to reach 463. This figure will include officials, associates, and representatives from the Extension Offices, Satellite Offices including contract of service personnel (COSP) in the Head Office. Below is the Table corresponding to the detailed number of the target participants:

Department	Regular	COSP
Office of the Chairperson and Commissioners	31	0
Office of the Commission Secretary	6	0
Office of the General Counsel	9	7
Office of the General Accountant	16	3
Enforcement and Investor Protection Department	41	3
Markets and Securities Regulation Department	37	1
Corporate Governance and Finance Department	46	6
Company Registration and Monitoring Department	71	23
Information and Communications Technology Department	43	14
Economic Research and Training Department	16	8
Human Resource and Administrative Department	30	5
Financial Management Department	27	9

Cebu Extension Office	2	0
Iloilo Extension Office	2	0
Davao Extension Office	2	0
Cagayan De Oro Extension Office	1	0
Baguio Extension Office	1	0
Legaspi Extension Office	1	0
Zamboanga Extension Office	1	0
Tarlac City Extension Office	1	0
Total	384	79

VI. Deliverables

1. Training program design and the conduct for 2 days thereof
2. Conduct of "fika-han"
3. Master copy of hand-outs
4. Documentation of the program proceedings
5. Certificate of Completion for the participants
6. Joint secretariat work
7. Post-evaluation and Terminal Report
8. Knowledge transfer to LRID personnel subject to applicable limitations prescribed by law or imposed by the LSP

VII. Minimum Qualifications of the consultant/learning service provider

1. Proven experience, competence and expertise in designing and conducting a 300- to 400-participant training program as indicated in the profile of the company (proof required).
2. Ability to provide 10-12 facilitators possessing advanced knowledge in organization development especially on culture-building, team-building and silo-busting (proof required).
3. Ability to provide expert facilitators with a track record in the conduct of similar trainings in government agencies (proof required).
4. Proven experience in the use of the latest structured learning exercises and applied learning modalities with elements of gamification (proof required).

VIII. Criteria for Evaluation of Prospective Consultants

Criterion	Weight (%)
1. Experience and capability of the consultant	30%
2. Quality of personnel	60%
3. Plan of approach and methodology	10%
Total	100%

IX. Obligations/Duties and Functions

A. Consultant/Learning Service Provider

1. The consultant shall meet with the LRID to discuss matters related but not limited to the (a) problems discerned via assessments done and (b) expected results of the program.
2. The consultant shall provide the company profile and a profile of their facilitators.
3. The consultant shall provide the venue requirements (floor plan), table set-up and seating arrangements, and the required training equipment and supplies and materials during the days of the training at least two (2) weeks before the conduct of the program.
4. The consultant shall conduct the "fika-han" to promote the program to selected employees of the Commission in coordination with the LRID.
5. The consultant shall provide the master copy of the hand-outs one week before the conduct of the program. If not able to provide on time, they shall take the responsibility of photocopying the hand-outs to be distributed to the participants on the first/second day of the program.
6. The consultant shall provide 50% of the secretariat staff needed for the administration before and during the training exercise.
7. The consultant shall run an evaluation survey at the end of the program.
8. The consultant shall attend a half-day joint preliminary assessment session to be arranged by the LRID a week after the conduct of the program
9. The consultant shall submit the Terminal Report with recommendation 60 days after the conduct of the program.
10. The consultant shall conduct follow-through sessions three (3) months after the conduct of the program to reinforce the prescribed learning during the training exercise.

B. Securities and Exchange Commission

1. The SEC, through the LRID, shall provide the data required by the consultants for their proper assessment of the perceived problems and challenges experienced by the SEC.
2. The SEC shall provide the venue and its table and seating arrangements, the required training equipment, sound system, and training supplies and materials two (2) weeks before the conduct of the training. SEC shall ensure that the floor plan and other required facilities of the consultant have been communicated and coordinated accordingly with the venue provider.
3. The SEC shall assist the consultant in the conduct of the "fika-han" to enable the consultant in determine the profile and expectations of the participants.
4. The SEC shall prepare the individual hand-outs for the participants if the master copy is provided one (1) week before the conduct of the program.
5. The SEC shall provide 50% of the secretariat staff before and during the training exercises.
6. The SEC shall provide the meals for the consultants/facilitators and the participants for the two- (2-) day training program. It shall provide a work space/station for the resource person/facilitators, if necessary.
7. The SEC shall administer its own program evaluation at the end of the program.

VIII. Intellectual Property

The intellectual property of materials remains with the consultant/learning service provider. The results of the products arising from the engagement shall belong to the SEC.

IX. Confidentiality

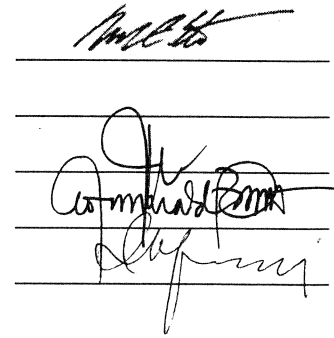
The training program shall not be shared and disclosed with other entities. Any information thereon shall be kept confidential.

X. Price Quotations

For the two-day training, the price quotation for the learning service provider should not exceed NINE HUNDRED FIFTY THOUSAND PESOS (P950,000). The price quotation should be inclusive of 12% VAT and all other applicable taxes and charges. Price validity shall be for 90 calendar days.

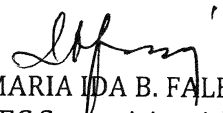
Approved:

Chairman	Asst. Director Nolivienne C. Ermitaño
Financial Member	Asst. Director Leonora S. Tandoc
Technical Member	Asst. Director Jernel R. Macatangay
Technical Member	Atty. Romuald C. Padilla
Technical Member	Maria Ida B. Falejo




Handwritten signatures on horizontal lines. The first signature is at the top, followed by a blank line, then a signature that appears to be 'Romuald C. Padilla', and finally a signature that appears to be 'Maria Ida B. Falejo'.

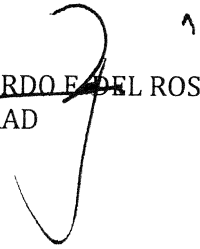
Prepared and submitted:


MARIA IDA B. FALEJO
SEC Supervising Administrative Officer

Noted:


NOLIVIENNE C. ERMITAÑO
Assistant Director
Learning Resource and Information Division
HRAD

Approved:


ATTY. GERARDO E. DEL ROSARIO
Director, HRAD