

## **NOTICE FOR NEGOTIATED PROCUREMENT (Small Value Procurement-Individual Consultant)**

**DSWD NNP No. 20-GOP-SVC-003**

### **“HIRING OF RISK MANAGEMENT CONSULTANT”**

(PR No. 01-20001-PR-2020-06-00137)

1. The **Government of the Philippines (GOP)**, through the **Policy Development and Planning Bureau (PDPB) Current Appropriations Funds**, of the **Department of Social Welfare and Development (DSWD)**, intends to apply the sum of **Five Hundred Thousand Pesos (PhP500,000.00)** being the Approved Budget for the Contract (ABC) as payment for the **“Hiring of Risk Management Consultant”** (DSWD NNP No. 20-GOP-SVC-003).
2. The Department’s Strategic Risks Assessment and Risk Treatment Planning is one of the major management activities of the DSWD to promote Risk Management in the organization. The objective of this is to assess strategic risks and develop the related Risk Treatment Plan that will address those identified strategic risks affecting its strategy. This project will be the integration of Risk Management technology to the Department’s strategic plan. The specific objectives of the activity are as follows:
  - To identify, assess and evaluate significant risks to the implementation of the DSWD strategy;
  - To assess existing mitigating controls as the basis for the development of appropriate risk treatment measures;
  - To develop the Risk Treatment Plan to address those identified significant risks to the strategy;
  - To improve organizational risk maturity and capacities on risk management towards the development of a Risk Management Framework, Risk Policies and eventually the institutionalization of an Enterprise Risk Management (ERM).
3. **The Consultant should meet the following qualifications:**
  - a. Has any recognized international certifications on Risk Management or Risk Assurance such as Certified Internal Auditor (CIA), Certified Risk Management Assurance (CRMA) and Certificate in International Risk Management (CIRM) or any equivalent expertise.
  - b. Has minimum experience and expertise on Risk Management, Corporate Governance and Risk Assurance not lower than five (5) years
  - c. Has been a member or affiliate of any professional organization related to Risk Management, Risk Assurance and Corporate Governance.
4. **Scope of Work and Expected Outputs:**

In the course of the engagement, the Risk Management (RM) Consultant is expected to deliver the following tasks along with other tasks as may be reasonably requested by DSWD:

- a. **Facilitate the Risk Assessment and Risk Treatment Planning Activities. These activities include:**
  - i. Developing activity design for the Risk Assessment and Risk Treatment Planning on-line workshop.



- ii. Facilitating Risk Assessment and Risks Treatment Planning Workshop with the DSWD Executive Committee (EXECOM) and Management Committee (MANCOM).
- iii. Reviewing and finalizing the Department Risks Register, Risks Profile and Risk Treatment Plan after the conduct of the workshop.

**b. Facilitate Control Self-Assessment (CSA). This includes:**

- i. Designing of the Control Self-Assessment (CSA) Framework.
- ii. Facilitating the CSA workshop to identify management key controls of the organization and provide inputs and recommendations for the enhancement of control design and control processes.

**c. Capacitate the Office of Strategy Management and Management Division on Risk Management and Internal Audit Service for Assurance and Consulting Services to RM**

- i. Provide coaching, advice and recommendations to the Office of Strategy Management (OSM), Financial Management Service-Management Division (FMS-MD) and Internal Audit Service (IAS) on Risk Management.
- ii. Developing Capacity Building Plan for OSM, IAS and MD along RM implementation.

**5. Major Outputs:**

The following outputs are expected from the RM Consultant:

- a. Risks Register and Risks Profile
- b. Risk Treatment Plan
- c. Control Self-Assessment Framework
- d. Control Self-Assessment Report
- e. Capacity Building Plan for Risk Management

- 6. In consideration with the consulting services required, payment of the consultant shall be made in accordance to the following schedule:

Tranche	Deliverables	Percentage of the Total Contract Price (TCP)
1st	<ul style="list-style-type: none"> <li>• Risks Register and Risks Profile</li> <li>• Risk Treatment Plan</li> </ul>	50%
2nd	<ul style="list-style-type: none"> <li>• Control Self-Assessment Framework</li> <li>• Control Self-Assessment Report</li> <li>• Capacity Building Plan for Risk Management</li> </ul>	50%
<b>Total :</b>		<b>100%</b>

The Department shall pay to the Consultant the Total Contract Price (TCP) inclusive of all applicable taxes. The contract duration shall be **two (2) months** commencing upon issuance of Notice to Proceed (NTP).

- 7. This project shall be procured using Section 53.9 (Negotiated Procurement-Small Value Procurement) of the 2016 Implementing Rules and Regulations of Republic Act No. 9184 or the Government Procurement Reform Act and pursuant to the following criteria and qualification:

Criteria	Percentage (Points)
<b>1. Professional Expertise:</b> Has any Certification on Risk Management, Risk Assurance, Governance and Control such as Certification in International Risk Management (CIRM), Certification in Risk Management	<b>30%</b>



Assurance (CRMA), Certification in Internal Audit (CIA). This will also include post-graduate studies in the field of risk management, risk assurance, control, compliance and governance.	
<b>2. Practice and Exposure:</b> Has the experience and expertise in Risk Management, Governance, Compliance Review, Risk Assurance not lower than five (5) years. This will include actual consultancy engagement, capacity building trainer or facilitator, and resource person. <ul style="list-style-type: none"><li>• Eight (8) to Ten (10) years of experience = 50%</li><li>• Six (6) to Seven (7) years of experience = 40%</li><li>• Five (5) of experience = 30%</li><li>• Less than Five (5) years of experience = 0%</li></ul>	<b>50%</b>
<b>3. Professional Affiliation:</b> Membership to any professional organization related to risk management, risk assurance and governance	<b>20%</b>
<b>Total</b>	<b>100%</b>

**Passing Rate: 80%**

8. The DSWD now invites interested individual consultants to submit the following:
- i) Expression of Interest (Application) highlighting the personal attributes, qualities, skills, knowledge and significant outcomes with the qualification requirements;
  - ii) Comprehensive Curriculum Vitae (CVs);
  - iii) Financial Proposal Form (Annex A);
  - iv) Omnibus Sworn Statement (Annex B) – as condition for an award of contract;
  - v) PhilGEPS Registration Number;
  - vi) BIR Certificate of Registration;
  - vii) Certifications issued by qualified institutions and/or authorities

The required documents shall be submitted at the address below or through email at [quotations@dswd.gov.ph](mailto:quotations@dswd.gov.ph) not later than **05:00 p.m. of 10 August 2020**.

9. The Consultant shall be required to issue Official Receipt (OR) as acceptable evidence of receipt of payment for disbursements.

**THE CHAIRPERSON**

Bids and Awards Committee  
c/o BAC Secretariat  
Ground Floor Matapat Building,  
DSWD Central Office,  
IBP Road, Constitution Hills, Quezon City  
Telefax No.: (02) 8951-7116  
Trunkline No.: (02) 8931-8101 loc. 122 to 124

Very truly yours,

**FELICISIMO C. BUDIONGAN**  
Undersecretary and Chairperson,  
Bids and Awards Committee



## Annex A

### Financial Proposal

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DSWD NNP No.: 20-GOP-SVC-003

<b>Lot No.</b>	<b>Particulars</b>	<b>Quantity</b>	<b>Total Contract Price</b> <i>(including all applicable taxes, amount in Philippine Peso)</i>
<b>1</b>	<b>Hiring of Risk Management Consultant</b>	<b>1-lot</b>	

Name of Consultant: \_\_\_\_\_

Signature: \_\_\_\_\_

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



## Annex B

### OMNIBUS SWORN STATEMENT

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REPUBLIC OF THE PHILIPPINES)  
CITY/MUNICIPALITY OF \_\_\_\_\_) S.S.

#### AFFIDAVIT

I, \_\_\_\_\_ (name of affiant), of legal age,  
\_\_\_\_\_ (civil status), \_\_\_\_\_ (nationality) and residing at  
\_\_\_\_\_ (address), after having been duly sworn in accordance  
with law, do hereby depose and state that:

1. As individual consultant, I have full power and authority to do, execute and perform any and all acts necessary to participate, submit the bid/proposals, and to sign and execute the ensuing contract/purchase order for \_\_\_\_\_ (name of project) of the Department of Social Welfare and Development (DSWD);
2. That I am 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;
3. Each of the documents submitted in satisfaction of the requirements is an authentic copy of the original, complete, and all statements and information provided therein are true and correct;
4. That I am authorizing the Head of the Procuring Entity or its duly authorized representative(s) to verify all the documents submitted;
5. That I am not related to the Head of the Procuring Entity (HOPE), members of the Bids and Awards Committee (BAC), the Technical Working Group (TWG), 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;
6. That I shall comply with existing labor laws and standards;
7. That I am aware of and has undertaken the following responsibilities:
  - a. Carefully examine all of the Notice of Negotiated Procurement;
  - b. Acknowledge all conditions, local or otherwise, affecting the implementation of the Contract/Purchase Order;
  - c. Made an estimate of the facilities available and needed for the project, if any; and
  - d. Inquire or secure Supplemental/Bid Bulletin(s) issued for the \_\_\_\_\_ (name of project).
8. That 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 have hereunto set my hand this \_\_\_ day of \_\_\_\_\_, 2020 at \_\_\_\_\_, Philippines.

\_\_\_\_\_  
(Authorized Representative/Signatory)

**SUBSCRIBED AND SWORN** to before me this \_\_\_ day of \_\_\_\_\_, 2020 at \_\_\_\_\_, Philippines. Affiant is personally known to me and was/were identified by me through competent evidence of identity as defined in the 2004 Rules on Notarial Practice (A.M. No. 02-8-13-SC). Affiant exhibited to me his/her \_\_\_\_\_ [insert type of government identification card used], with his/her photograph and signature appearing thereon, with No. \_\_\_\_\_ and his/her ID No. \_\_\_\_\_ issued on \_\_\_\_\_ at \_\_\_\_\_.

Witness my hand and seal this \_\_\_ day of \_\_\_\_\_, 2020.

**NAME OF NOTARY PUBLIC**

Serial No. of Commission \_\_\_\_\_  
Notary Public for \_\_\_\_\_ until \_\_\_\_\_  
Roll of Attorneys No. \_\_\_\_\_  
PTR No. \_\_\_\_\_  
IBP No. \_\_\_\_\_

Doc. No. \_\_\_\_\_  
Page No. \_\_\_\_\_  
Book No. \_\_\_\_\_  
Series of 2020