

REQUEST FOR PROPOSAL
(Small Value Procurement-Individual Consultant)

HIRING OF CONSULTANT FOR THE STRATEGIC RISKS ASSESSMENT AND RISK TREATMENT PLANNING

DSWD RFP No. 21-GOP-SVP-IC-011
(PR No. 2021070150)

1. The Republic of the Philippines, through the **Office for Strategy Management (OSM)– Current Appropriation 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 Consultant for the Strategic Risks Assessment and Risk Treatment Planning (DSWD RFP No. 21-GOP-SVP-IC-011)”**
2. The project aims to access strategic risks and develop the related Risk Treatment Plan that will address those identified strategic risks affecting the strategy. 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 and risk indicators to track progress of risk mitigation;
 - To develop the Risk Treatment Plan to address those identified significant risks to the strategy; and
 - To review, streamline and document priority processes necessary to deliver the strategy towards the attainment of breakthrough goals of the Department.

3. Scope of Work:

The consultant will be required to do the following tasks as part of the Strategic Assessment and Risk Treatment Planning:

1. **Facilitate the Strategic Risks Assessment and Risk Treatment Planning Workshop.** The RM Consultant shall develop an activity design for the RM Workshop. The RM Consultant shall facilitate the conduct of risks assessment and risk treatment planning workshops with the EXECOM, MANCOM and other identified participants. The RM Consultant shall review and finalize the Strategic Risks Register, Risk Profile and Strategic Risk Treatment Plan after the conduct of the workshops.
2. **Facilitate process review, streamlining and documentation of priority risk areas.** The RM Consultant will capacitate and guide Risk Management Office Staff

- or designated Technical Working Group in the conduct and completion of the activity.
4. The Consultant is expected to come up with the following deliverables and timelines, and shall undertake the following task:

Major outputs of the consultant are as follows:

1. Inception Report
2. Strategic Risk Assessment and Treatment Planning Completion Report. This will include Strategic Risks Profiles, Risk Indicators and Risk Treatment Plan
3. Process Review and Documentation Report
4. After Activity and Engagement Report

Institutional Arrangements

To successfully realize the objectives of this engagement, the RM Consultant shall report to the Head of the Office for Strategy Management (OSM) and work closely with OSM Team.

1. The RM Consultant shall:
 - a. Deliver the expected outputs of the project.
 - b. Coordinate with the OSM and other concerned entities regarding the requirements during the tenure of this engagement.
 - c. Prepare and submit a detailed work plan during the initial stage of the project and a project completion report once all deliverables are submitted and accepted by DSWD.
2. The Office for Strategic Management shall:
 - a. Deliver the expected outputs of the project.
 - b. Coordinate with the OSM and other concerned entities regarding the requirements during the tenure of this engagement.
 - c. Prepare and submit a detailed work plan during the initial stage of the project and a project completion report once all deliverables are submitted and accepted by DSWD.

The RM Consultant is not authorized to enter another engagement or assume any obligation, financial or otherwise, on behalf of and/or in the name of DSWD, nor to make any warranty or representation on behalf of DSWD. The RM Consultant shall not be entitled to conclude any contract or agreements on behalf of or in the name of DSWD. The RM Consultant shall not be held liable for any damage resulting from the execution of the present engagement. In case targets are not met for reasons that are not directly attributable to the RM Consultant nor the DSWD must not be faulted for such.

5. Payment shall be made upon acceptance and/or approval by the Department of the various outputs/deliverables according to the following schedule:

| Payment Tranches | Activities | Deliverables | Timeline of Submission | Percentage |
|-------------------------------------|---------------------------|---|--|-------------------|
| 1 st Tranches of Payment | Inception Report | Submission and approval of inception report within one (1) month after signing of NTP | 1 st month | 15% (PHP75,000) |
| 2 nd Tranches of Payment | Strategic Risk Assessment | Upon Approval of Strategic Assessment and Risk Treatment Planning Completion Report | 3 rd -4 th month | 40% (PHP200,000) |
| 3 rd Tranches of Payment | Risk Treatment Planning | Upon Approval of Process Review and Documentation Report After Activity and Engagement Report | 5 th -6 th month | 45% (PHP225,000) |
| TOTAL: | | | | 500,000.00 |

The outputs of the consultant will be subjected to evaluation metrics before proceeding to the next step. Only the work outputs/deliverables found acceptable shall be paid.

In the event of unsatisfactory performance, DSWD reserves the right to terminate the contract. In case of partially satisfactory performance, such as serious delays causing the negative impact on meeting the contract objectives, low quality or insufficient depth and/or scope of the assignment completion, DSWD is entitled to decrease the payment by a one-tenth of one percent (0.1%) per day deduction in payment for the covered work output/deliverable, except if satisfactorily justified.

- 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:

| Criteria | Rating |
|--|-------------|
| <p>1. Has the experience and expertise in working with Department of Social Welfare and Development, National Government Agencies, Local Government Units, Academe and Private Organizations on Enterprise Risk Management in consultant capacity</p> <p>Five (5) years or more of experience – 40% Three (3) to four years of experience – 35% One (1) to two (2) years of experience – 25% Zero experience – 0%</p> | 40% |
| <p>2. Has 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</p> <p>Eight (8) years or more of experience – 35% Six (6) to Seven (7) years of experience- 30% Five (5) years of experience – 25% Zero experience – 0%</p> | 30% |
| <p>3. Preferably with professional certification related to risk management such as Certified Internal Auditor (CIA) / Certified Risk Management Assurance (CRMA) / Certified Risk Manager (CRM) or any related professional certification in finance, data management, information management, research and others.</p> <p>With certification related to risk management – 25% With professional certification – 20% Without professional certification – 15%</p> | 30% |
| TOTAL | 100% |

The passing rate/score is **Seventy-Five Percent (75%)**

7. The DSWD now invites interested individual applicants to submit the following:
- a. Expression of Interest (Application) highlighting the personal attributes, qualities, skills, knowledge and significant outcomes with the qualification requirements;
 - b. Curriculum Vitae (CV) (with TOR or diploma, proof of experiences and trainings);

- c. Financial Proposal (Annex A);
 - d. **Notarized** Omnibus Sworn Statement (Annex B)
 - e. BIR Certificate of Registration; and
 - f. PhilGEPS Registration Number
8. The required documents shall be submitted at the address below or through email at quotations@dswd.gov.ph not later than **05:00 p.m. of 24 September 2021**.
 9. The project duration is **six (6) months** from the receipt of Notice to Proceed.
 10. 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 Bids and Awards Committee Secretariat
Procurement Management Service
DSWD Central Office
IBP Road, Constitution Hills. Quezon City
Facsimile No.: (02) 951 7116
Telephone Nos.: (02) 931 8101 to 07 local nos. 122, 123 and 124



RENE GLEN O. PAJE
Undersecretary and Chairperson
Bids and Awards Committee



Annex A

Financial Proposal

RFP No.: 21-GOP-SVP-IC-011

| Particulars | Quantity | Total Contract Price <i>(including all applicable taxes, amount in Phil. Peso)</i> |
|--|-----------------|--|
| Hiring of Consultant for the Strategic Risks Assessment and Risk Treatment Planning | 1 | |

Name of Consultant: _____

Signature: _____

Date: _____

Annex B

Omnibus Sworn Statement (Revised)
[shall be submitted with the Bid]

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

AFFIDAVIT

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

1. [Select one, delete the other:]
[If a sole proprietorship:] I am the sole proprietor or authorized representative of [Name of Bidder] with office address at [address of Bidder];
[If a partnership, corporation, cooperative, or joint venture:] I am the duly authorized and designated representative of [Name of Bidder] with office address at [address of Bidder];
2. [Select one, delete the other:]
[If a sole proprietorship:] As the owner and sole proprietor, or authorized representative of [Name of Bidder], I have full power and authority to do, execute and perform any and all acts necessary to participate, submit the bid, and to sign and execute the ensuing contract for [Name of the Project] of the [Name of the Procuring Entity], as shown in the attached duly notarized Special Power of Attorney;
[If a partnership, corporation, cooperative, or joint venture:] I am granted full power and authority to do, execute and perform any and all acts necessary to participate, submit the bid, and to sign and execute the ensuing contract for [Name of the Project] of the [Name of the Procuring Entity], as shown in the attached [state title of attached document showing proof of authorization (e.g., duly notarized Secretary's Certificate, Board/Partnership Resolution, or Special Power of Attorney, whichever is applicable)];
3. [Name of Bidder] is not "blacklisted" or barred from bidding by the Government of the Philippines or any of its agencies, offices, corporations, or Local Government Units, foreign government/foreign or international financing institution whose blacklisting rules have been recognized by the Government Procurement Policy Board, **by itself or by relation, membership, association, affiliation, or controlling interest with another blacklisted person or entity as defined and provided for in the Uniform Guidelines on Blacklisting;**
4. Each of the documents submitted in satisfaction of the bidding requirements is an authentic copy of the original, complete, and all statements and information provided therein are true and correct;
5. [Name of Bidder] is authorizing the Head of the Procuring Entity or its duly authorized representative(s) to verify all the documents submitted;
6. [Select one, delete the rest:]
[If a sole proprietorship:] The owner or sole proprietor is not related to the Head of the Procuring Entity, members of the Bids and Awards Committee (BAC), the Technical Working Group, and the BAC Secretariat, the head of the Project Management Office or the end-user unit, and the project consultants by consanguinity or affinity up to the third civil degree;
[If a partnership or cooperative:] None of the officers and members of [Name of Bidder] is related to the Head of the Procuring Entity, members of the Bids and Awards Committee (BAC), the Technical Working Group, and the BAC Secretariat, the head of the

- Project Management Office or the end-user unit, and the project consultants by consanguinity or affinity up to the third civil degree;
[If a corporation or joint venture:] None of the officers, directors, and controlling stockholders of *[Name of Bidder]* is related to the Head of the Procuring Entity, members of the Bids and Awards Committee (BAC), the Technical Working Group, and the BAC Secretariat, the head of the Project Management Office or the end-user unit, and the project consultants by consanguinity or affinity up to the third civil degree;
7. *[Name of Bidder]* complies with existing labor laws and standards; and
 8. *[Name of Bidder]* is aware of and has undertaken the responsibilities as a Bidder in compliance with the Philippine Bidding Documents, which includes:
 - a. Carefully examining all of the Bidding Documents;
 - b. Acknowledging all conditions, local or otherwise, affecting the implementation of the Contract;
 - c. Making an estimate of the facilities available and needed for the contract to be bid, if any; and
 - d. Inquiring or securing Supplemental/Bid Bulletin(s) issued for the *[Name of the Project]*.
 9. *[Name of Bidder]* did not give or pay directly or indirectly, any commission, amount, fee, or any form of consideration, pecuniary or otherwise, to any person or official, personnel or representative of the government in relation to any procurement project or activity.
 10. **In case advance payment was made or given, failure to perform or deliver any of the obligations and undertakings in the contract shall be sufficient grounds to constitute criminal liability for Swindling (Estafa) or the commission of fraud with unfaithfulness or abuse of confidence through misappropriating or converting any payment received by a person or entity under an obligation involving the duty to deliver certain goods or services, to the prejudice of the public and the government of the Philippines pursuant to Article 315 of Act No. 3815 s. 1930, as amended, or the Revised Penal Code.**

IN WITNESS WHEREOF, I have hereunto set my hand this _____ day of _____, 2021
at _____, Philippines.

[Insert NAME OF BIDDER OR ITS AUTHORIZED REPRESENTATIVE]

[Insert signatory's legal capacity]

Affiant

[Jurat]

[Format shall be based on the latest Rules on Notarial Practice]