

TERMS OF REFERENCE

FOR THE PROCUREMENT OF CONSULTANCY SERVICES ON THE MAINTENANCE OF THE ISO 9001:2015 QUALITY MANAGEMENT SYSTEM (QMS) OF THE DEPARTMENT OF TOURISM FOR FY 2022 THROUGH EARLY PROCUREMENT ACTIVITIES (EPA)

1. BACKGROUND

Pursuant to Executive Order No. 605 series 2007 “Institutionalizing the Structure, Mechanisms, and Standards to implement the Government Quality Management Program”, all government agencies are directed to adopt a QMS certifiable to ISO 9001 in the delivery of its priority government services.

In 2021, DOT undertook expansion of its ISO 9001:2015 Certification covering the Central Office and thirteen (13) Regional Offices namely, Regions 1, 2, 4A, 4B, 6, 7, 8, 9, 10, 11, 12, CAR, and NCR. The certification includes the following scopes: (1) Accreditation of Tourism Enterprises, Monitoring and Enforcement to Tourism Enterprises and (2) Tourism Industry Training and Development Service.

For CY 2022, the DOT’s certification will cover the remaining Regions 3, 5, and 13. The DOT will also focus on continuous improvement of its services to satisfy and exceed client satisfaction.

In view thereof, there is a need to engage the services of a Consultancy Firm who will provide expert knowledge throughout the DOT QMS project stages. The consultancy firm shall conduct review of DOT’s processes, trainings, coaching sessions, capacity building, and other activities to ensure the objective and benefit from an efficient ISO 9001:2015 QMS implementation.

2. REQUIREMENTS, SCOPE, COVERAGE AND DELIVERABLES

The DOT is in need of a Consultancy Firm to provide professional, technical and consultancy services in order to enhance its QMS as compliance to ISO 9001:2015. Furthermore, the consultancy firm shall capacitate DOT Officials and employees through trainings, coaching, and other activities for the maintenance of QMS and Annual Third Party Audit. The requirements are as follows:

2.1. Company Profile

- 2.1.1.** The Consultancy Firm must have successfully led at least 25 government agencies and private companies within the last three (3) years, for the establishment of QMS Certification/Re-certification to ISO 9001:2015.
- 2.1.2.** Must be an independent consultancy firm and does not have any affiliation with any Certification Body, a notarized sworn statement must be submitted by the bidder.

- 2.1.3. Must have experience in developing and establishing an Online Document Control System. List of completed Online Document Control System projects must be submitted.
- 2.1.4. Must be duly ISO 9001:2015 certified organization at the time of opening of bids.

2.2. Profile and Composition of Team

2.2.1. Assign a Lead Consultant with the following qualifications and responsibilities:

- 2.2.1.1. Must have passed a Lead Auditor Course conducted by a Training Service Provider traceable to Training Provider & Examiner Certification Scheme (TPECS) within the last three (3) years.
- 2.2.1.2. Must have attended at least one (1) International training of any ISO related Standard within the last four (4) years.
- 2.2.1.3. Must have also attended three (3) additional trainings related to the International Standard and Legal Laws to maintain his/her competency as Lead consultant for the last three (3) years at the time of the opening of bids.
- 2.2.1.4. Must have at least twenty (20) years of work experience as lead consultant and/or trainer engaged in consulting, training and establishing a Quality Management System for certification to ISO 9001 Standard
- 2.2.1.5. Must assign at least four (4) consultants as team members with at least two (2) assigned as full-time consultants.

2.2.2. The assigned team members shall have the following qualifications:

- 2.2.2.1. At least five (5) years of work experience as consultant and/or trainer engaged in establishing a Quality Management System for certification to ISO 9001 Standard and at least two (2) other ISO Standards such as Health, Safety, and Environment Management System as these are timely for the Pandemic and is related to the DOT Accreditation and Training processes.
- 2.2.2.2. Must have attended at least one (1) International training of any ISO related Standard within the last four (4) years.
- 2.2.2.3. Must have also attended two (2) additional trainings to other ISO Standards within the last four (4) years to maintain their competency as consultant.

2.3. Consultancy Services

2.3.1. Ensure the successful ISO 9001:2015 Certification of the three (3) additional Regional Offices namely, Regions 3, 5, and 13 and/or additional scope (if applicable).

2.3.2. Must provide technical assistance and consultancy services the existing DOT ISO Certified Offices namely DOT Main Office, Regions 1, 2, 4A, 4B, 6, 7, 8, 9, 10, 11, 12, CAR, and NCR. The Consultancy firm shall also ensure the successful ISO Re-Certification of the DOT.

Ascertain implementation of relevant activities and provide policy support for the implementation of required documented information of the Quality Management System and adopted by the DOT.

2.3.3. Check and/or provide advice, whenever applicable, on the consistency of the Quality Manual, Quality Procedures, and other documentation requirements to be prepared /updated by the DOT with the ISO 9001:2015 Standard and other legal laws such as, but not limited to the Republic Act 11032 or the Ease of Doing Business and Efficient Government Service Delivery Act of 2018.

2.3.4. Check and/or provide advice, whenever applicable, on the online development control center's compliance on the ISO 9001:2015 Standard

2.3.5. Review the existing work/documents prepared by the DOT such as Quality Manual, Quality Procedures, Context of the Organization, Risk Assessment Registry, Opportunities Action Plan, Quality Objectives Monitoring, and other reportorial requirements and submit the reviewed documents based on the agreed timeline.

2.3.6. Must provide technical assistance to DOT during its Third Party Audits and validation audits, if applicable such as, but not limited to, how to answer audit questions and how to arrange offices to be acceptable to the auditors.

2.3.7. Selected Consultant shall render deliverables (QMS Work Plan) within the agreed timeline.

2.3.8. Lead consultant and/or Team Members shall strictly report to DOT Main Office and/or Regional Office for a minimum of four (4) man-days per month physically or virtually thru online platforms in order to guide the DOT in checking the totality of the QMS readiness. To monitor attendance of Lead consultant and/or Team Members, terminal reports shall be submitted to the end user at least three (3) days after the activity.

The Consultancy Firm shall provide the following services necessary for the continuous development of the DOT's ISO 9001:2015 Quality Management System:

Description of Activities	Location	Tentative Implementation	Tentative Duration	Minimum No. of Consultants	Deliverables and deadline of submission (when applicable)
1. Evaluate and analyze the gaps in DOT's current QMS documentation, implementation, and knowledge as well as results from the Re-Certification Audit	DOT Main Office and Regional Offices	5 days after the issuance of the Notice to Proceed and approval of the Contract	3 Man-Days	2	Gap Analysis Report (5 days after the conduct of Gap Analysis)
2. Conduct a Learning Needs Assessment on the DOT's implementation of the QMS	DOT Main Office and Regional Offices	7 days after the conduct of the Gap Analysis	2 Man-Days	3	Leaning Needs Assessment Report (5 days after the conduct of LNA)
3. Provision of necessary documentation coaching sessions such as but not limited to Aligned Documents, online document control center, and other ISO 9001:2015 requirements	DOT Main Office and Regional Offices	5 days after the Leaning Needs Assessment	4 Man-Days per consultant	4	Terminal Report (3 days after the conduct of the activity)
4. Facilitate the updating of Quality Manual and Management System procedures operational requirements, work instructions, flowchart and forms, if applicable	DOT Main Office and Regional Offices	5 days after the updating of the QMS Aligned Documents	1 Man-Day	2	Updated Quality Manual (3 days)
5. Assist the Internal Audit Team in development and preparation of Annual Audit Plan, Internal Audit Checklist, conduct of actual IQA (issuance of NC, if any), assessment of corrective actions to address the nonconformities, and preparation of IQA Report.	DOT Main Office and Regional Offices	July and November 2022	4 Man-Days per consultant	3	Annual Audit Plan, IQA Reports, CAR Registry, Minutes of the Meeting (3 days)
6. Conduct of QMS Trainings	DOT Main Office and Regional Offices	March to June 2022	Refer to table 2.4	Refer to table 2.4	Training kits/material (5 days before the training), training report (3 days after each batch), Training

Description of Activities	Location	Tentative Implementation	Tentative Duration	Minimum No. of Consultants	Deliverables and deadline of submission (when applicable)
					Certificates (2 weeks)
7. Assist in the conduct of Management Review and coaching on the finalization of Management Review Report.	DOT Main Office and Regional Offices	Based on the schedule of the Management Review Meeting	2 Man-Days	2	Management Review Report (3 days)
8. Conduct Systems Audit prior to Third Party Audit and identify areas for improvement.	DOT Main Office and Regional Offices	1 month prior to 2 nd Third Party Audit	5 Man-Days per consultant	5	Systems Audit Report (3 days after the audit)
9. Assist the DOT in the entire duration of Third-Party Audit activities such as, but not limited to, review Third Party Audit results, assist in correcting non-conformities, and conduct of TPA validation audit, if applicable	DOT Main and Regional Offices	November 2022 or depending on the agreed schedule with the TPA	4 Man-Days	2	Terminal Report (3 days after the TPA)
10. Assist in rectifying the NC during the Re-certification audit if any	Main and Regional Offices	November 2022 or depending on the agreed schedule with the TPA	2 Man-Days	2	Acceptance of the response to NC
11. Surveillance and acceptance of Re-Certification of the DOT covering 10 Regional Offices and Central Office	DOT Main and Regional Offices	November 2022	1 Man-Day	2	Successful result of the 3 rd party audit thru issuance of Attestation Certificate
12. ISO 9001:2015 Re-Certification of at least 3 (three) additional regional offices and/or coverage/scope	DOT Main and Regional Offices	November 2022	1 Man-Day	2	ISO Certificate

2.4. Training Programs

TITLE OF TRAININGS	Estimated Number of Batches	Estimated number of Participants per Batch
ISO 9001:2015 Awareness Training	3	50
Effective Management Review	1	50
Root Cause Analysis Training	3	50
Refresher Course for ISO 9001:2015 Internal Audit Training	1	50
Corrective Action Request Training	1	30
Training for New Internal Quality Auditor	1	50

- 2.4.1.** Ensure the conduct of relevant training programs in accordance with the ISO 9001:2015 Standard and other legal laws (e.g. Republic Act 11032 or the Ease of Doing Business and Efficient Government Service Delivery Act of 2018).
- 2.4.2.** Must ensure that the team members are consistent with the module, teaching method, and information transfer to the end-user.
- 2.4.3.** Conduct of trainings, consultations, and other activities through physical, online, or hybrid format depending on the agreement of DOT and consultancy firm.
- 2.4.4.** Number of training participants and timelines shall be determined by the DOT.
- 2.4.5.** The conduct of training to be facilitated should be amenable to a virtual or hybrid/face-to-face set-up, subject to the agreement of the DOT and the consultant.
- 2.4.6.** The Consultant may propose other relevant trainings depending on their assessment to the QMS implementation of the DOT.
- For online trainings, the training modules, duration, and strategies must be appropriate for virtual set-up (e.g., duration of trainings must be at most 4 hours per day, workshop activities must be interactive and engaging).
- 2.4.7.** Must provide soft copy of training kits/materials at least five (5) days before the activity.
- 2.4.8.** Provision of names of participants who completed the training at least two (2) days after each training and provision soft and hard copies of certificates to participants at no additional cost to the DOT at least two (2) weeks after DOT's confirmation of names of participants.

2.5. Other Deliverables

- 2.5.1. Submission of topics and/or agenda for meetings at least three (3) days before the scheduled meeting to support the conduct of said meeting.
- 2.5.2. Provision of training reports including the comments of participants at least 3 days after each batch of training.
- 2.5.3. For on-site conduct of activities, they must shoulder airfare, accommodation, and meal expenses (if applicable) for activities covered in their methodology and/or plan of action for the defined areas of training and consultancy job. Payment will depend on the actual expenses incurred for on-site visits based on the submitted breakdown of expenses.
- 2.5.4. In cases of remote audit, online meetings and other activities, video conferencing platforms must accommodate more than 100 participants.
- 2.5.5. The subscription expenses must be shouldered by the Consultancy Firm.
- 2.5.6. Trainings and other activities may be requested outside the scope and methodology if deemed necessary by the DOT.

2.6. Other Requirements

- 2.6.1. Company Profile
- 2.6.2. Consultancy Firm's ISO 9001:2015 Certificate

3. PROJECT DURATION: UNTIL 31 DECEMBER 2022

4. AWARD OF CONTRACT

Notwithstanding the mandatory procurement timelines provided in Section 37 of RA No. 9184, Procurement Projects undertaken through EPA may be awarded upon approval and effectivity of the GAA, reenacted budget, appropriations ordinance, corporate budget or loan agreement, as the case may be.

5. PROJECT INVESTMENT/ APPROVED BUDGET FOR THE CONTRACT (ABC):

The Consultancy Firm shall be paid the amount of **Two Million One Hundred Ninety Six Thousand Pesos (Php2,196,000.00)** based on the Approved Indicative Annual Procurement Plan (APP) and National Expenditures Program (NEP) for FY 2022.

Tranches	Deliverables/Requirements to support the processing of payment
30% of the total contract cost after the completion of the Gap Analysis, Learning Needs Assessment conduct of ISO 9001:2015 Awareness Training, Effective Management Review, Refresher Course for ISO 9001:2015	<ul style="list-style-type: none">- Gap Analysis Report- Learning Needs Assessment Report- Training Certificates, training reports, modules for the conduct of the ISO 9001:2015 Awareness

Tranches	Deliverables/Requirements to support the processing of payment
Internal Audit Training and completion of the required documented information such as review and propose revisions on the Quality Manual, Quality Procedures, Aligned Documents and other ISO 9001:2015 Standard operational requirements, forms, if needed	Training, Effective Management Review, Refresher Course for ISO 9001:2015 Internal Audit Training <ul style="list-style-type: none"> - Updated Quality Manual (if applicable) - Updated Procedures (if applicable)
20% of the total contract cost after the conduct of the Root Cause Analysis Training, Training for New Internal Quality Auditors, and 1 st Internal Quality Audit and 1 st Management Review for FY 2022.	<ul style="list-style-type: none"> - Training Certificates, training reports and modules for the conduct Root Cause Analysis Training, Training for New Internal Quality Auditors, and Corrective Action Request Training. - 1st Internal Quality Audit Report - Reviewed Corrective Action Requests and/or CAR Control Registry - 1st Management Review Report for FY 2022
30% of the total contract cost after the conduct of the Systems Audit and 2 nd Internal Quality Audit and Management Review, verification and closure of the nonconformities, completion of the revised QMS aligned documents based on the audits conducted, if necessary.	<ul style="list-style-type: none"> - Systems Audit Report - 2nd Internal Quality Audit Report - Reviewed Corrective Action Requests and/or CAR Control Registry - Terminal reports on the coaching sessions conducted in updating the QMS Aligned Documents - CAR Response and action plans acceptable to the Certification Body (if applicable) - 2nd Management Review Report for FY 2022
20% of the total contract cost after the completion of the ISO 9001:2015 requirements for the Third Party Audits such as, but not limited to the and 2 nd Management Review Report for FY 2022 and successful ISO Re-Certification of the DOT and certification of three (3) additional Regional Offices.	<ul style="list-style-type: none"> - 2nd Management Review Report - Attestation Certificate of the DOT (if applicable) - ISO 9001:2015 Certificate of Regions 3, 5, and 13. - Renewed ISO 9001:2015 Certificate of the 13 Regional Offices covered by the DOT's certification - CAR Response and action plans acceptable to the Certification Body (if applicable)

5.1. If the man-days will exceed, no additional cost shall be charged to the DOT, as long as the activities are within the scope and deliverables set forth between the DOT and winning bidder.

5.2. Consultant shall submit Terminal Reports and other requirements requested by the end-user, if applicable prior to the processing of payment.

6. Contact Persons



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