



Annex A.

**TERMS OF REFERENCE**  
**for the PROCUREMENT OF SERVICES OF ISO CERTIFYING BODY**  
**to provide Certification Audit for the issuance of ISO 9001:2015 Certificate for the Quality Management System (QMS) of the Kalinga State University (KSU)**

**I. PURPOSE**

The purpose of this Terms of Reference (TOR) is to engage the services of a Certifying Body that will conduct assessment and audit of the Admission and Registration Services under the Office of the Registrar, Guidance and Testing Office, and College of Criminal Justice Education QMS for certification to ISO 9001:2015 Standard, until the time for recertification audit.

**II. BACKGROUND**

In line with the need for government agencies to improve quality in their operations and service delivery, Executive Order No. 605: *Institutionalizing the Structure, Mechanisms and Standards to Implement the Government Quality Management Program (GQMP)*, was issued on February 23, 2007 to all departments and agencies of the executive branch, including all Government-Owned and/or Controlled Corporations (GOCCs), Government Financial Institutions (GFIs), AND State Universities and Colleges (SUCs) to enhance public sector efficiency and customer satisfaction.

The Philippine Development Plan (PDP) 2017-2022 strengthens compliance to E.O. No. 605 to enhance and sustain government performance in the delivery of quality services by upgrading the Government Quality Management Systems (QMS) to be more client- and citizen-oriented and driving agencies towards performance excellence to boost citizens' trust in government. Thus, GQMP is considered a tool and among the priorities to ensure people-centered, clean and efficient governance.

In 2018, the Kalinga State University (KSU) has successfully posted in its Transparency Seal, the QMS Documentation subject for validation of the Government Quality Management Committee (GQMC). The QMS implementation was supported by series of trainings conducted by the DAP starting June to December 2018.

With the aim to render excellent service and continuously improve performance, KSU will pursue certification of its QMS for the Admission and Registration Services, one of its core services, using ISO 9001:2015 Standard.

**III. CERTIFICATION BODY PROFILE MINIMUM REQUIREMENTS**

<b>PROFILE</b>	<b>MINIMUM</b>
1. Local experience in ISO 9001 certification	3 years
2. Number of domestic non-government companies with active certification for ISO 9001:2015	20 clients
3. Auditors/Assessors years of experience	3 years
4. Number of government agencies, GOCCs, and/or SUCs with active certification for ISO 9001:2015	10 agencies

**IV. SCHEDULE OF REQUIREMENTS**

<b>ITEM</b>	<b>DESCRIPTION</b>	<b>DELIVERABLE</b>	<b>DELIVERY SCHEDULE</b>
<b>2018</b>			
1	Conduct of Pre-Audit	Pre-Audit	Within three (3) working days upon receipt of Notice to Proceed
2	Submission of an Audit	Audit Plan	Within five (5) working days upon receipt of Notice to Proceed
3	Completion of Stage 1 Audit and Submission of Stage 1 Audit Report	Stage 1 Audit Report	Within four (4) calendar days upon submission of Audit Plan to the KSU



4	Completion of Stage 2 Audit and Submission of Stage 2 Audit Report	Stage 2 Audit Report	Not later than seven (7) calendar days after the submission of Stage 1 Audit Report, if without observations
5	Issuance of ISO 9001:2015 Certificate to KSU	ISO 9001:2015 Certificate or Audit Attestation	Within fifteen (15) calendar days from receipt of Stage 2 Audit Report without non-conformities; or in case of non-conformities, within seven (7) calendar days from the submission by the KSU QMR of the corrective plan that is determined by the Certification Body (CB) as compliant
<b>2019</b>			
6	Completion of 1 <sup>st</sup> Year Surveillance Audits, and Submission of 1 <sup>st</sup> Year Surveillance Audit Report	1 <sup>st</sup> Year Surveillance Audit Report	In accordance with the surveillance program issued by the CB which should not be later than 12 months from the last day of the conduct of the Stage 2 Audit
<b>2020</b>			
7	Completion of the 2 <sup>nd</sup> Year Surveillance Audits, and Submission of 2 <sup>nd</sup> Year Surveillance Audit Report	2 <sup>nd</sup> Year Surveillance Audit Report	In accordance with the surveillance program issued by the CB which should not be later than 12 months from the last day of the conduct of the 1 <sup>st</sup> Year Surveillance Audit

**Note:** Delivery Schedule may be adjusted in cases of force majeure or fortuitous event as described in government procurement rules and regulations or in other justifiable circumstances subject to the approval of the QMR.

## V. TECHNICAL SPECIFICATIONS

ITEM/DESCRIPTION	BIDDER'S STATEMENT OF COMPLIANCE
The <b>Certification Body</b> is, at the minimum, a Department of Trade and Industry – Philippine Accreditation Office (DTI-PAO) Accredited Certification Body with PNS ISO/IEC 17021-1:2015 to provide Quality Management Systems (QMS) certification to ISO 9001:2015.	
The Certification Body shall conduct ISO 9001:2015 Certification Audit of the KSU QMS being implemented by Functional Groups/Divisions/Units in the agency and issue the corresponding Certificate for the purpose:  Services for Students' Admission and Registration: <ol style="list-style-type: none"> <li>1. Office of the Registrar;</li> <li>2. Guidance and Testing Office; and</li> <li>3. College of Criminal Justice Education.</li> </ol>	
The <b>Certification Body</b> shall have adequate technical and management capability in conducting the audit with at least three (3) years' experience in the Philippines.	
The <b>Certification Body</b> shall have at least twenty (20) ISO 9001:2015 certifications awarded to non-government (private) companies active as of quotation date.	
The <b>Certification Body</b> shall have at least ten (10) ISO 9001:2015 certifications awarded to government agencies, GOCCs, and/or SUCs active as of quotation date.	
The <b>Certification Body</b> shall have the capacity to deploy a team composed of at least two (2) key experts (a lead auditor and a member of the audit team), and one (1) key expert (member of the audit team)	
The <b>Certification Body</b> shall provide auditors/assessors with at least three (3) years' experience in ISO audits.	
The <b>Certification Body</b> shall include in their quotation the travel and hotel accommodation expenses of the auditor to be deployed to KSU.	
The <b>Certification Body</b> shall submit documents as stated in Annex B. Schedule of Requirements, together with their quotation.	



The <b>Certification Body</b> shall coordinate with the KSU Quality Management Representative (QMR) on all matters relating to contract implementation.	
The <b>Certification Body</b> or any person/entity connected to the KSU certification audit shall maintain strict confidentiality of the final audit results and shall disclose the same only upon clearance of the KSU President or its QMR.	
The Certification shall, within fifteen (15) days from the end of contract, turn over to the KSU QMR all documents pertaining to the implementation of this project, such as, but not limited to, answer sheets, pending documentary requests within its custody or control or within custody or control of any person/entity operating on its behalf.	

## VI. DOCUMENTARY REQUIREMENTS

Four (4) Certified True Copy of each of the following documents are required to be submitted together with the RFQ duly filled-out and Bidder's Statement of Compliance to the Terms and Conditions.

1. PhilGEPS Registration Certificate with Annexes or PhilGEPs Registration Number;
2. CY 2018 Mayor's/ Business Permit or its equivalent document for EEZ areas;  
**Note:** For individual practitioners, only the BIR Certificate of Registration shall be submitted in lieu of Mayor's/Business Permit.
3. Professional License and Curriculum Vitae; and
4. Duly signed statement of the prospective bidder (OMNIBUS SWORN STATEMENT).

## VII. EXPERTISE REQUIRED/CERTIFICATION TEAM

1. The certifying body shall provide its company profile highlighting related projects, scope of works, and implementation methodology. Curriculum Vitae of the proposed certification team shall also be submitted.
2. In order to avoid conflict of interest, certification bodies that have provided quality management system consulting services or site-specific auditor training within the prior two (2) years to a particular group/unit within the agency, shall not be contracted as a certification body for the agency.  
**Note:** Consulting refers to the provision of training on QMS documentation development, or assistance with implementation of quality management systems to a specific organization. Trainings that are open to the public, not organization specific, and held at a public forum is not considered as consulting.
3. The certifying body shall include in the proposal the audit activities and a procedure for client appeals. If resolutions on good terms for disputes between the agency and the certification body cannot be made, the agency shall be afforded the right to lodge appeals about the decisions of the audit team through the accreditation body. Independently from this, the legal path is open to both parties.
4. All information reviewed and recorded by the certification body audit team would be treated in the strictest confidence at all times. A confidentiality agreement shall be made during award of contract for this purpose.
5. The certifying body shall adhere to the agreed scope of work/deliverables which were prior approved by the DAP and agency's selection committee.
6. The certifying body audit team shall provide a full report of the audit consistent with the content of the approved scope of work/deliverables to the agency at the end of the conduct of audit unless otherwise agreed by the DAP and the agency.
7. The certifying body should be accredited by the Philippine Accreditation Bureau for the relevant scope of the agency. Audit Teams shall satisfy the following:
  - a. Consist of qualified auditors to conduct audits in the name of certification body,

**Note:** The audit team may use external experts on the specified QMS process scope, as necessary.



- b. At least one team member shall have relevant public sector specific experience for all relevant ISIC codes, which apply to the scope of certification at that site,
  - c. No member of the audit team should have provided consultancy for the agency in two (2) years prior to the audit,
  - d. Replacement of any team shall require prior written approval from the DAP and the agency.
8. The certifying body audit team shall abide with the auditing principles, terminologies and guidelines as specified in the ISO 19011:2018 - Guidelines for quality and/or environmental management systems auditing.

**VIII. SCOPE OF WORK:**

The Certifying Body is expected to provide the following services:

- |   |  |
|---|--|
| Certification Audit<br>(Dec 2018)                               | → Prepare and submit audit plan  |
| Issuance of ISO<br>9001:2015 Certificate<br>(valid for 3 years) | → Conduct Certification Audit (Stage 1 and 2); and<br>→ Prepare and submit audit report detailing observations, opportunities for improvement and any non-conformity to ISO 9001:2015 standards or on documented procedures. |

**IX. ENGAGEMENT FEE:**

Cost of engagement of the certifying body shall be based on the International Agreement Forum Mandatory Document (IAF MD 5:2015) Determination of Audit Time of Quality and Environmental Systems, and Certification of Multiple Sites Based on Sampling (IAF MD 1:2007). Payments shall be based on the completion of the following activities as evidenced by the submission and acceptance of the required deliverables for the identified business process.

- Certification Audit (PHP 250,000)
- Issuance of ISO 9001:2015 certificate valid for three (3) years

Cost of logistics, such as transportation and accommodation (as necessary), shall be shouldered by the Kalinga State University or the Certifying Body.

**X. BENEFICIARY AGENCY INFORMATION**

- |   |   |
|---|---|
| Name of Agency<br>Number of Personnel Covered by QMS<br>Process Scope<br>Full Scope<br>Site Scope | : Kalinga State University<br>: 46-65<br>: Certification of Admission and Registration Services by the ISO Certifying Body<br>: Certification of Admission and Registration Processing Services under the following Offices:<br>1. Registrar’s Office;<br>2. Guidance and Testing Office; and<br>3. College of Criminal Justice Education.<br>: Kalinga State University Main Campus, Purok 6, Bulanao, Tabuk City, Kalinga |
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**Note:** *New application to ISO 9001:2015 certification.*

I hereby certify to deliver all the Requirements and comply with all the above Terms of Reference.

\_\_\_\_\_  
 Name of Company/Bidder

\_\_\_\_\_  
 Signature Over Printed Name  
 of Representative

\_\_\_\_\_  
 Date