

## TERMS OF REFERENCE

**For the Engagement of Services of a Certifying Body to  
Provide Certification Audit for the Initial Issuance of ISO 14001:2015  
Environmental Management Systems (EMS) Certification with integration to  
the current ISO 9001:2015 Quality Management System (QMS) of the  
Environmental Management Bureau - Cordillera Administrative Region**

### 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 EMB-CAR's Environmental Management System for initial certification to ISO 14001:2015 integrated with the existing ISO 9001:2015.

### 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) and Government Financial Institutions (GFIs) 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 (GQMS) to be more client- and citizen-oriented and driving agencies towards performance excellence to boost citizen trust in government. Thus, GQMP is considered a tool and among the priorities to ensure people- centered, clean and efficient governance.

Quality Management System (QMS) is as an extensive system meant to document important processes and procedures and facilitate the implementation of these procedures to achieve high-quality outputs that align with a company's/ goals and objectives. ISO 9001:2015, the international standard specifying requirements for quality management systems, is the most prominent approach to quality management systems. While some use the term "QMS" to describe the ISO 9001 standard or the group of documents detailing the QMS, it actually refers to the entirety of the system.

ISO 14001 sets out the criteria for an environmental management system. It helps organizations improve their environmental performance through more efficient use of resources and reduction of waste, gaining a competitive advantage and trust of stakeholders. It maps out a framework that an organization can follow to set up an effective environmental management system. ISO 14001 is an internationally agreed standard that sets standards

concerns about improving its system of production, management, and operations as a way to better control its environmental impacts. ISO 14001:2015 is the new version of ISO certification for environmental management system that proposes an increasingly strategic approach to environmental management. ISO 14001:2015 is a revision of ISO 14001 that introduces a number of changes from previous versions. ISO 14001:2015 is a certification that aims to provide the organization a structure for its EMS to ensure that all operational processes are consistent, effective and will achieve its environmental objective. The ISO 14001:2015 revisions include incorporating a required high-level structure, using mandatory definitions, and incorporating common standards requirements and clauses. The 10 major areas of impact of the 2015

- Expansion in EMS coverage and scope
- Required interactions with external parties
- New requirements for leadership engagement
- Expanded legal compliance requirements
- Need for risk-based planning and controls
- New documentation requirements
- Expanded operational control requirements
- Changes in competence and awareness requirements
- Impacts on the internal audit program
- Increased certification costs

Memorandum Circular No. 2020-1 dated June 2, 2020, Guidelines on the Grant of performance-Based Bonus (PBB) for Fiscal year 2020 under Executive Order No. 80, s. 2012 and Executive Order No. 201, s.2016. Item 5.5 Support to Operations (STO) Targets – a. Initial Certification/Recertification of the agency's Quality Management System (QMS) covering at least one (1) critical frontline service or core process as mandated under its existing pertinent laws.

For the ISO 9001:2015 QMS certification, it must be issued by any of the certification bodies (CBs) accredited by the International Accreditation Forum (IAF) members. Preferably, the CB is accredited by the Philippine Accreditation Bureau under the Department of Trade and Industry, which is an IAF member and the recognized national accreditation body in the Philippines pursuant to Executive Order No. 802, s.2009 or any other IAF member currently active within the Forum.

### **III. OBJECTIVE**

The overall objective of the engagement is to provide independent confirmation of the EMB-CAR's compliance with internationally recognized standard: ISO 14001:2015, the following objectives shall be achieved.

Specifically, is expected to contribute to the attainment of the primary objective:

1. To prepare the EMB-CAR towards ISO certification to ensure alignment of the value proposition to the overall goals of the client/s and that consultant will fully understand the client's requirements, we follow a series of requirements gathering activities prior to the actual engagement
2. To conduct initial audits (Stage 1 and 2) of EMB-CAR's EMS based on ISO 14001:2015 Standard as integrated to the current ISO 9001:2015 Certification; and issuance of and 14001:2015 Certificate

#### **IV. SCOPE OF WORK**

The service provider shall conduct ISO 14001:2015 Certification Audit of the EMB-CAR QEMS being implemented by all the Services/Offices and issue the corresponding Certificate for the purpose:

The Certification procedure to be used is that of Single Site Certification. The following site and offices shall be covered by the audit procedure:

##### **EMB CAR REGIONAL OFFICE**

- a. Office of the Regional Director**
  - Communication Processes
  - Legal Services Unit
  - Planning and Information Services Management Unit
  - Laboratory Services
- b. Environmental Monitoring and Enforcement Division:**
  - Ambient Monitoring Section
  - Water and Quality Management Section
  - Chemical and Hazardous Waste Section
  - Solid Waste Management Section
- c. Clearance and Permitting Division**
  - Environmental Impact Assessment Section
  - Air and Wastewater Permits Section
  - Chemical and Hazardous Wastes Section
- d. Finance and Administrative Division**
  - Finance Section
  - Admin Section
  - Information Unit

## **V. CLIENT'S RESPONSIBILITY**

On behalf of EMB-CAR, the Quality and Environmental Management Representative (QEMR) or his duly designated representative, shall evaluate the quality of work delivered by the Certifying Body based on this TOR to ensure the quality and relevance of work being conducted, and based on this, shall issue a written project acceptance/approval, retention, or discontinuance.

The following comprise the general expectations from EMB-CAR, as client:

1. Prior to any execution of activities related to this Terms of Reference, the EMB-CAR Quality and Environmental Management Structure shall convene a meeting between the representatives of the Certifying Body and the EMB -CAR focal persons to be assigned to handle this project. A close anchoring and monitoring of all the activities as indicated herein shall be undertaken by the QEMR;
2. The QEMR and the ISO Core Team Secretariat shall be responsible for providing technical assistance for the project. They shall closely coordinate with the representatives of the Certifying Body in the conduct of the audit and other related certification activities, including monitoring of the progress of the various tasks;
3. The QEMR, Internal Audit Team and ISO Core Team Secretariat shall cooperate in the conduct of audit activities, ensuring that the process owners and concerned officials and staff are available on the scheduled dates of audits. For any request for change or cancellation of schedule, however, at least a one (1) week notice shall be given and the said change/ adjustment shall be made based on mutual agreement by both parties.

## **VI. CERTIFYING BODY'S RESPONSIBILITY**

The Certifying Body shall provide information that indicates experience, educational/ training qualifications and capacity to undertake the work outlined herein, within the specified timelines. As part of this, the consultant is expected to provide an indication of public EMS-related engagements, as well as EMS certification audit engagements that are currently committed, ongoing or completed. This will be considered in the assessment of the Certifying Body's EMS-related qualification.

The Certifying Body undertakes to perform the Audit with the highest standards of professional and ethical competence and integrity.

The following are the general expectations from the Certifying Body:

1. Commitment to treat with utmost confidentiality, all information and materials gathered and used relating to this engagement or the Client's business or operations;
2. Preparation of the Certification or Surveillance Audit Plan, as the case may be, with schedule of activities for the entire duration of the engagement. The representatives from the Certifying Body shall coordinate with the QEMR through the ISO Core Team Secretariat regarding any changes on the dates of audit schedules or any delay in the activities related to ISO certification;
3. Provision of information on any conflicts of interest and proposed approach to the resolution thereof; and
4. The duly authorized representative of the Certifying Body shall submit an audit report after conducting the certification audit, as the case may be, on mutually agreed schedules.

## **VII. CERTIFYING BODY'S QUALIFICATION REQUIREMENTS**

The Certifying Body shall show proof or sample work to support the following qualification requirements:

### **A. Qualification and Competencies**

1. The Certifying Body must be duly accredited by the Department of Trade and Industry- Philippine Accreditation Bureau (DTI-PAB) or any other IAF member with PNS ISO/IEC 17021-1:2015 to provide QMS certification to 14001:2015. Furthermore, the Certifying Body shall have a locally SEC or DTI registered office accredited to either the DTI-PAB or an international accreditation body;
2. The Certifying Body must have the following:
  - a. Minimum of five (5) years of experience in conducting ISO MS audits/certification; and
  - b. Minimum of 5 ISO MS government certification projects conducted.
3. The Certifying Body shall field a team (1 lead auditor and 1 member of an audit team) with the following qualifications:

Criteria for Technical Evaluation	Qualifications
<u>Lead Auditor</u>	<ul style="list-style-type: none"> <li>• Degree relevant to the job</li> <li>• At least five (5) similar projects (that is, ISO MS Certification for government institutions); and at least 5 relevant projects (that is, ISO MS Certification for private companies)</li> </ul>
<u>Audit Team Members</u>	<ul style="list-style-type: none"> <li>• Degree relevant to the job</li> <li>• At least three (3) similar projects (that is, ISO MS Certification for government institutions); and at least 1 relevant project (that is, ISO MS Certification for private companies).</li> </ul>

**B. Documentary Requirements/Submissions**

Interested firms are required to submit one (1) original and one (1) copy of the following in three (3) separate sealed envelopes or thru electronic mail:

**1. Eligibility Requirements:**

- a. DTI-PAB or equivalent certification/accreditation;
- b. SEC/DTI registration;
- c. Mayor's/Business permit issued by the city or municipality where the principal place of business of the prospective bidder is located, or the equivalent document for Exclusive Economic Zones or Areas. In cases of recently expired Mayor's/Business permits, it shall be accepted together with the official receipt as proof that the bidder has applied for renewal within the period prescribed by the concerned local government unit. Provided, That the renewed permit shall be submitted as a post qualification requirement in accordance with Section 34.2 of the IRR of RA 9184;
- d. PhilGEPS registration certificate/number;
- e. Statement of the consultant specifying its nationality and confirming that those who will actually perform the service are professionals;
- f. Income/Business Tax Returns; and
- g. Revised Omnibus Sworn Statement (use Form A).

## **2. Technical Proposal:**

1. List of ongoing and completed certification projects (use Forms B and C);
2. Curriculum Vitae of the proposed certification audit team with audit relevant this project (use Form D for required details);
3. Certificate of satisfactory service from at least one (1) of its government clients on delivering quality output on time;
4. Complete and clear scope of work and implementation methodology, team composition and tasks (use Form E),
5. Time schedule for personnel (use Form F), and;
6. Activity work schedule (use Form G).

## **3. Financial Proposal: Financial Proposal Forms 1 to 1 (see attached)**

### **For Manual Submission:**

The envelopes shall be properly marked as "Eligibility Requirements – Original", "Technical Proposal – Original" and "Financial Proposal – Original" and shall bear the name of the procurement and the Consultant. All envelopes marked original shall be enclosed in a single envelope marked "Original Submission" and shall bear the name of the procurement and the Consultant. The same shall be done for Copies 1-3.

### **For Electronic Submission:**

Proposal and other documents required shall be in pdf file format to be classified under 3 folders, namely:

1. Eligibility Documents,
2. Technical Proposal, and
3. Financial Proposal

and shall be sent to [gso.embcar@gmail.com](mailto:gso.embcar@gmail.com)

## **C. Evaluation and Selection Criteria**

Evaluation Procedure. Pursuant to RA No. 9184 and its Revised IRR, the proposals shall be evaluated using Quality-Cost Based Evaluation (QCBE), at 70% (Technical Proposal) and 30% (Financial Proposal) allocation ratio;

Selection Criteria. The Certifying Body must attain a hurdle rate of 70% based on the following set of selection criteria for Technical Proposal with their corresponding weight assignment:

Criteria for Technical Evaluation	Weight
A. Applicable Experience and Track Record of the Certifying Body 1. Years of experience in conducting ISO QMS audits/certification; and – 15 pts 2. ISO QMS government certification projects. – 15 pts	30%
B. Qualification of Consultants/Audit Team: 1. Education and Training – 30 pts. 2. Experience in auditing for ISO QMS certification – 20 pts	50%
C. Plan of Approach and Methodology: 1. Substance of the Proposal – 8 pts. 2. Completeness of the Proposal – 6 pts. 3. Clarity of Methodologies and Approaches – 6 pts.	20%
Total	100%

#### VIII. DURATION OF ENGAGEMENT AND APPROVED BUDGET FOR THE CONTRACT (ABC)

The services of the Certifying Body will be engaged for sixty (60) days. The project is expected to commence upon receipt of the Notice to Proceed.

The ABC is **Two Hundred Fifty Thousand Pesos (P250,000.00)** inclusive of all taxes and other charges imposed under applicable laws. Fare, accommodation and meals (except during scheduled engagements with this Office) shall be shouldered by the Certifying Body.

#### IX. DELIVERABLES AND TERMS OF PAYMENT

- The Service Provider shall provide the following documents:

Activity	Output	Timeline
a. Preparation of certification audit plan for acceptance and approval of the QEMR	Stage 1 Audit Plan Stage 2 Audit Plan	Within 7 days from receipt of Notice To Proceed
b. Conduct of certification audits and written advice for completion of Stage 1 and 2 Audits	Stage 1 Audit Report Stage 2 Audit Report	Within 1 month from receipt of NTP
c. Preparation of Stage 1/Stage 2 Audit Reports		
d. Issuance of ISO 14001:2015 certificate	ISO 14001:2015 certificate	Within 60 calendar days from receipt by EMB-CAR of the Stage 2 Audit



		Report without non-conformities. In case there is/are non-conformity(ies), submission by QEMR of the corrective/preventive plan as determined compliant by the Certifying Body
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2. The service provider must issue a billing statement and proof of deliverables/ means of verification before the processing of any payment.

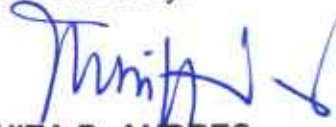
Activity/Deliverable	Payment
a. After certification audit and Issuance of ISO 14001:2015 certificate valid for Three (3) years	50%
b. After 1st Year Surveillance Audit	25%
c. After 2 <sup>nd</sup> Year Surveillance Audit	25%

3. Each payment shall be supported by a Certificate of Satisfactory Service based on the work rendered comprising the actual outputs as certified by the Certifying Body and duly accepted by the QEMR or his authorized representative.

Prepared by:

  
**LAURETA A. WAKAT**  
 Spvg. Administrative Officer

Recommended by:

  
**ELDELINITA D. ANDRES**  
 Chief, FAD

Certification of Fund Availability:

  
**ELVIE P. CAYAT**  
 Administrative Officer IV  
 (Budget Officer)

Approved By:

  
**MA. VICTORIA V. ABRERA**  
 Regional Director