



## REQUEST FOR QUOTATION

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

RFQ No.: \_\_\_\_\_

Name of Company : \_\_\_\_\_

Address : \_\_\_\_\_

Name of Store/Shop : \_\_\_\_\_

Address : \_\_\_\_\_

TIN : \_\_\_\_\_

PhilGEPS Registration Number (required prior to award): \_\_\_\_\_

The **Small Business Corporation (SBCorp)**, through its Bids and Awards Committee (BAC), intends to procure **Technical Consultant for Compliance Risk Assessment and Management** in accordance with **Section 53.9** of the 2016 revised Implementing Rules and Regulations of Republic Act of 9184.

Please quote your **best offer** for the item/s described herein, **subject to the Terms and Conditions** provided at the last page of this RFQ. Submit your quotation duly signed by you or your authorized representative not later than **November 21, 2024 at 10:00am**. A copy of your **Latest Business/Mayor's Permit, Philgeps Registration, Notarized Omnibus Sworn Statement\*, BIR 2303 and Professional License/Curriculum Vitae** is also required to be submitted along with your quotation/proposal.

For any clarification, you may contact us at telephone no. (02) 5328-1100 to 10 local 1734 or email address at [bac@sbcorp.gov.ph](mailto:bac@sbcorp.gov.ph) [jbperez@sbcorp.gov.ph](mailto:jbperez@sbcorp.gov.ph);

  
**Rowena G. Betia**  
BAC Chairperson

### INSTRUCTIONS:

1. Accomplish this RFQ correctly and accurately.
2. Do not alter the contents of this form in any way
3. All technical specifications are mandatory. Failure to comply with any of the mandatory requirements Will disqualify your quotation.
4. Failure to follow these instructions will disqualify your entire quotation.

*\*Submit certified-true-copy of Secretary's Certificate in case of a corporation, partnership, or cooperative; or Special Power of Attorney of all members of the joint venture giving full power and authority to its officer to sign the OSS and do acts to represent the Bidder.*

After having carefully read and accepted the Terms and Conditions, I/we submit our quotation/s for the item/s as follows:

<b>Procurement of (Name of Item/s to be procured)</b>	
<b>TECHNICAL SPECIFICATIONS (detailed)</b>	<b>REMARKS</b>
<p style="text-align: center;"><b>TERMS OF REFERENCE</b></p> <p><b>Job Title:</b> Technical Consultant - Compliance Risk Assessment and Management</p> <p><b>Job Description:</b></p> <p>Small Business Corporation (SB Corporation) is seeking for a highly-skilled and experienced Technical Consultant who specializes in developing a dynamically-responsive and distinctively-appropriate Compliance Framework and Enterprise-wide Risk Assessment and Management Program for the Corporation as a government financial institution.</p> <p>The primary responsibilities of the consultant will include providing advisory and directly participating in the development of Compliance Risk Assessment and Management guidelines relative to the Republic Act (RA) 9160 Anti-Money Laundering Act of 2001, as amended, RA 10168 The Terrorism Financing Prevention and Suppression Act of 2012, Manual of Regulations for Non-Bank Financial Institutions (MORNBFI), other applicable issuances by the Bangko Sentral ng Pilipinas, Commission on Audit and other regulatory agencies.</p> <p><b>Key Responsibilities:</b></p> <ol style="list-style-type: none"> <li>1. Advise in the implementation SB Corporation's Money Laundering and Terrorist Financing Prevention Program to ensure the adoption of industry as well as international best practices, among others. Said service shall include assessment and testing of SB Corporation's Risk Management systems, procedures, and controls to identify areas of improvement and mitigate potential risks.</li> <li>2. Review and enhance SB Corporation's Compliance policies and procedures to ensure its alignment with the Code of Ethics and Corporate Risk Management policies and regulations. This endeavor shall include the assessment of existing policies and providing of recommendations necessary to create new policies and/or enhance existing ones to tailor the needs of SB Corporation's and its evolving business model.</li> </ol>	

3. Serve as resource person for SB Corporation's Board of Directors and/or Board officers on the Republic Act (RA) 9160 Anti-Money Laundering Act of 2001, as amended, RA 10168 The Terrorism Financing Prevention and Suppression Act of 2012, Manual of Regulations for Non-Bank Financial Institutions (MORNBFI), other applicable issuances by the Bangko Sentral ng Pilipinas, Commission on Audit and other regulatory agencies. Promote a strong risk culture and raise deeper sense of compliance and risk awareness among SB Corporation's personnel.
4. Create and develop guidelines and tools for Compliance Risk Assessment and Testing that will identify and evaluate potential and actual risks associated with regulatory laws/issuances. This undertaking must determine the overall corporate likelihood of non-compliance, impact of compliance risk events, and provide recommendations to the Office of the Chief Compliance Officer and Enterprise Risk Management Group on how to install control measures to mitigate the risks effectively and conduct awareness training for the implementation of said tools.
5. Determine possible policy gaps and other causes of delay in SB Corporation's timely submission of regulatory reports and documentations related to compliance.
6. Provide guidance in the development of the SB Corporation's Risk Appetite statement, review of the use of SB Corporation's Risk Control Self-Assessment (RCSA), identify gaps and potential compliance risks.
7. Assist in any incident response and management efforts in case of suspected or actual anti-money laundering incidents. Help develop incident management frameworks and protocols to address incidents, conduct investigations, and prevent future occurrences.

**Qualifications:**

- Bachelor's degree in a relevant field (e.g., Risk Management, Compliance, Finance, or related disciplines); preferable with relevant Master's degree
- With at least 10 years of experience in enterprise-wide risk-based assessment methodologies and management, focusing on

anti-money laundering and regulatory compliance within a regulated financial institution, at least 5 years must be gained from a government financial institution/regulatory body.

- Preferably with professional certifications such as Certified Anti-Money Laundering Specialist (CAMS) or Certified Risk Management Professional (CRMP), Corporate Ethics and Compliance Risk Management (CECM).
- In-depth knowledge of Anti-Money Laundering and Terrorism Financing Prevention and Suppression regulations, Manual of Regulations for Non-Bank Financial Institutions (MORNBF1) and issuances by the Bangko Sentral ng Pilipinas, Commission on Audit and other regulatory agencies, industry guidelines, and best practices.
- Strong analytical skills, attention to detail, and the ability to assess complex situations and provide practical recommendations.
- Excellent communication and presentation skills to deliver training, provide guidance, and collaborate with stakeholders.
- Ability to work independently and collaboratively within a team environment.
- Proven experience conducting assessments, audits, testing and developing policies and procedures.
- Proficiency in relevant software and tools for compliance risk assessment and management.

This is an exciting opportunity for a highly-motivated and talented individual to contribute to our institution's risk management framework and ensure compliance with applicable laws, rules and regulations.

We invite you to apply and become a valuable team member if you possess the required skills and expertise.

**Documentary Requirements:**

- 1) Mayor's/Business Permit
- 2) PhilGEPS Registration
- 3) Professional License/Curriculum Vitae (Consulting Services)
- 4) Notarized Omnibus Sworn Statement
- 5) BIR 2303

**Terms of Payment:** Payment of 25% of the contract price upon completion of the following deliverables:

**End of 1<sup>st</sup> month:**

Deliverables:

Assessment Report covering:

- Review and advise on the implementation of SB Corporation's Money Laundering and Terrorist Financing Prevention Program
- Review and Enhancement of the SB Corporation's Compliance policies and procedures
- Recommendations for the creation of new policies or enhancement of existing ones to tailor the needs of SB Corporation
- Determination of policy gaps and causes of delay on the submission of regulatory reports

**End of 2<sup>nd</sup> month:**

Deliverables:

- Guidelines and Tools for Compliance Risk Assessment and Testing
- Guidelines on the Development of the SB Corporation's Risk Appetite Statement and review of its Risk Control Self-Assessment (RCSA)
- Development of Incident Management Frameworks and Protocols

**End of 3<sup>rd</sup> month:**

Deliverables:

- Accomplishment Report on the conduct of training for the implementation of the tools developed and guidance and assistance provided on the installation of control measures and effective mitigation of risks
- SB Corporation's Acceptance of the guidelines, tools, framework/protocols developed

<p><b>End of 4<sup>th</sup> month:</b></p> <p>Deliverables:</p> <p>Report on the Compliance Risk Assessment on SB Corporation</p>	
<b>DELIVERY REQUIREMENT</b>	
a) 1 lot	
b) Four (4) months contract	
c) Refer to Terms of Payment in the TOR (check payment)	

**FINANCIAL OFFER:**

Please quote your **best offer** for the item below. Please do not leave any blank items. Indicate “0” if item being offered is for free.

<b>PROCUREMENT OF (name of item/s to be procured)</b>			
Quantity (A)	Description/Brand/Model (B)	Unit Price (C)	Total Offered Quotation (A x C)
<b>Php360,000.00 Tax Inclusive</b>			In words _____  In figures: _____

**TERMS AND CONDITIONS**

1. Bidders shall provide correct and accurate information required in this form.
2. Bidders may quote for any or all the items.
3. Price quotation/s must be valid for a period of thirty (30) calendar days from the date of submission.
4. Price quotation/s, to be denominated in Philippine peso, shall include all taxes, duties and/or levies payable.
5. Quotations exceeding the Approved Budget for the Contract (ABC) shall be rejected.
6. Award of contract shall be made to the lowest quotation (for goods and infrastructure) or, the highest rated offer (for consulting services) which complies with the minimum technical specifications and other terms and conditions stated herein.
7. Any interlineations, erasures or overwriting shall be valid only if they are signed or initialed by you or any of your duly authorized representative/s.
8. The item/s shall be delivered according to the requirements specified in the Technical Specifications.
9. The SBCorp shall have the right to inspect and/or to test the goods to confirm their conformity to the technical specifications.

10. In case of two or more bidders are determined to have submitted the Lowest Calculated Quotation/Lowest Calculated and Responsive Quotation, the SBCorp shall adopt and employ “draw lots” as the tie-breaking method to finally determine the single winning provider in accordance with GPPB Circular 06-2005.
11. Payment shall be made after delivery and upon the submission of the required supporting documents, i.e, order slip and/or billing statement, by the contractor. Our Government Servicing Bank, i.e, the Land Bank of the Philippines, shall credit the amount due to the contractor’s identified bank account not earlier than twenty four (24) hours, but not later than forty-eight (48) hours, upon receipt of our advice. Please note that the corresponding bank transfer fee, if any, shall be chargeable to the contractor’s account.
12. Liquidated damages equivalent to one tenth of one percent (0.1%) of the value of the goods not delivered within the prescribed delivery period shall be imposed per day of delay. The SBCorp shall rescind the contract once the cumulative amount of liquidated damages reaches ten percent (10%) of the amount of the contract, without prejudice to other courses of action and remedies open to it.

Office Telephone No. \_\_\_\_\_

Signature over Printed Name

Mobile No. \_\_\_\_\_

Position/Designation

Email address: \_\_\_\_\_