

PHILIPPINE BIDDING DOCUMENTS

Procurement of
**CONSULTING
SERVICES**

Government of the Republic of the Philippines

**Fifth Edition
October 2016**

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***Section I. Request for Expression of
Interest***

**REQUEST FOR EXPRESSION OF INTEREST FOR
HIRING OF CONSULTANCY SERVICES FOR THE CONDUCT OF
EXTERNAL SPOT CHECK OF THE PANTAWID PAMILYANG
PILIPINO PROGRAM OPERATIONS (SPOT CHECK 2018)**

**REI No. GOP/18-DSWD-001
(PR No. 2018 020449)**

1. The **Department of Social Welfare and Development (DSWD) – Pantawid Pamilyang Pilipino Program** through the **Calendar Year (CY) 2018 Government Appropriations Act (GAA)** intends to apply the sum of **Six Million Eight Hundred Twenty-Five Thousand Five Hundred Sixty Pesos and Forty Centavos (PhP 6,825,560.40)** being the Approved Budget for the Contract (ABC) to payments under the contract for **Hiring of Consultancy Services for the Conduct of External Spot Check of the Pantawid Pamilyang Pilipino Program Operations**. Bids received in excess of the ABC shall be automatically rejected at the opening of the financial proposals.
2. The **DSWD** now calls for the submission of eligibility documents for **Hiring of Consultancy Services for the Conduct of External Spot Check of the Pantawid Pamilyang Pilipino Program Operations (Spot Check 2018)**. Eligibility documents of interested consultants must be duly received by the BAC Secretariat on or before **29 June 2018 at 1:00PM** at the **Bids and Awards Committee (BAC) Secretariat, Ground Floor, Matapat Building, IBP Road, Constitution Hills, Quezon City**. Applications for eligibility will be evaluated based on a non-discretionary “pass/fail” criterion.
3. The Spot Check is a rapid monitoring and evaluation instruments that seek to determine quality, effectiveness and efficiency of program implementation. DSWD regularly conducts Spot Checks with the aim to assess the following:
 - a. Field Operations (registration, updating, focused-group discussion (FGD), compliance verification, payout, grievance handling, etc.);
 - b. Program design and policies;
 - c. Service performance of institutional partners; and,
 - d. Beneficiaries’ awareness of program policies and features.

Regular conduct of Spot Check is aimed to provide the program management information to:

- a. Make program design adjustment decisions;
- b. Make implementation adjustment decisions; and,
- c. Modify and update policies and guidelines

In terms of results framework, spot check serve as the monitoring and evaluation (M&E) instrument for the inputs, activities, outputs of the program. As need arises, the spot check could be used to some extent to determine how the program is doing in terms of achieving immediate, lower-level outcomes.

More details on the services are provided in the Terms of Reference (TOR) for the project.

4. Interested bidders may obtain further information from the **DSWD, through the BAC and its Secretariat** and inspect the Bidding Documents at the address given below during **08:00 A.M. to 05:00 P.M., Mondays to Fridays**.
5. A complete set of Bidding Documents may be acquired by interested Bidders on **21 June 2018** from the address below.

It may also be downloaded free of charge from the website of the Philippine Government Electronic Procurement System (PhilGEPS) and the website of the Procuring Entity, provided that Bidders shall pay the applicable fee for the Bidding Documents not later than the submission of their bids.

6. The BAC shall draw up the short list of consultants from those who have submitted Expression of Interest, including the eligibility documents, and have been determined as eligible in accordance with the provisions of Republic Act 9184 (RA 9184), otherwise known as the “Government Procurement Reform Act”, and its Implementing Rules and Regulations (IRR). The short list shall consist of **Three (3)** prospective bidders who will be entitled to submit bids. The criteria and rating system for short listing are:

Criteria	Rating Scheme	Percentage
Qualification of Key Personnel (40%)		
Key Personnel has appropriate and relevant postgraduate degree/s	<ul style="list-style-type: none"> ▪ Has relevant Master’s and Doctorate Degree = 100 pts. ▪ Has relevant Master’s Degree only = 80 pts. ▪ Has postgraduate degree but not relevant = 50 pts. <p style="text-align: center;">Relevant postgraduate degrees are Economics, Sociology, Political Science, Psychology, Demography, Population Studies, Public Health, Development Studies, Statistics, Development Management, Anthropology</p>	10%
Key Personnel has at least ten (10) years of relevant professional experience as survey team leader/manager	<ul style="list-style-type: none"> ▪ More than 12 years of experience in survey management and/or survey research = 100 pts. ▪ Ten (10) to Twelve (12) years of experience = 90 pts. ▪ Less than Ten (10) years of experience = 0 pt. 	15%
Key Personnel has experience in managing process evaluation, spot check surveys, rapid assessments, and writing reports on such	<ul style="list-style-type: none"> ▪ Has managed process evaluation and rapid assessment, spot check and authored study reports on such = 100 pts. ▪ Has managed process evaluation, rapid assessment, spot check = 90 pts. ▪ Has co-authored study reports process evaluation, rapid assessment, spot check = 60 pts. 	15%
Experience and Capacity of the Firm (60%)		

Years of experience working in conducting surveys	<ul style="list-style-type: none"> ▪ More than Ten (10) years of experience in conducting surveys = 100 pts. ▪ Eight (8) to Ten (10) years of experience in conducting surveys = 90 pts. ▪ Less than Eight (8) years of experience in conducting surveys = 70 points 	30%
Number of completed surveys in the last five (5) years	<ul style="list-style-type: none"> ▪ More than Six (6) completed surveys = 100 pts. ▪ Five (5) to Six (6) completed surveys = 90 pts. ▪ Less than Five (5) completed surveys = 70 pts. 	30%

The passing score is 65%.

7. Bidding will be conducted through open competitive bidding procedures using non-discretionary “pass/fail” criterion as specified in the IRR of RA 9184.

Bidding is restricted to Filipino citizens/sole proprietorships, cooperatives, and partnerships or organizations with at least sixty percent (60%) interest or outstanding capital stock belonging to citizens of the Philippines.

8. The Procuring Entity shall evaluate bids using the **Quality Based Evaluation (QBE)** procedure. The criteria and rating system for the evaluation of bids shall be provided in the Instructions to Bidders.
9. The contract shall be completed within **twenty-eight (28) weeks from the receipt of the Notice to Proceed (NTP)**.
10. The **DSWD** reserves the right to reject any and all bids, declare a failure of bidding, or not award the contract at any time prior to contract award in accordance with Section 41 of RA 9184 and its IRR, without thereby incurring any liability to the affected bidder or bidders.
11. For further information, please refer to:

THE CHAIRPERSON

Bids and Awards Committee-I
c/o Bids and Awards Committee Secretariat
Ground Floor, DSWD Central Office
IBP Road, Constitution Hills, Quezon City
Facsimile No.: (02) 931 6139
Telephone Nos.: (02) 931 8101 to 07 local 122 or 124

(Original Signed)
FLORITA R. VILLAR
Undersecretary and
Bids and Awards Committee-I Chairperson

Section II. Eligibility Documents

1. Eligibility Criteria

- 1.1. The following persons/entities shall be allowed to participate in the bidding for Consulting Services:
 - (a) Duly licensed Filipino citizens/sole proprietorships;
 - (b) Partnerships duly organized under the laws of the Philippines and of which at least sixty percent (60%) of the interest belongs to citizens of the Philippines;
 - (c) Corporations duly organized under the laws of the Philippines and of which at least sixty percent (60%) of the outstanding capital stock belongs to citizens of the Philippines;
 - (d) Cooperatives duly organized under the laws of the Philippines; or
 - (e) Persons/entities forming themselves into a joint venture, *i.e.*, a group of two (2) or more persons/entities that intend to be jointly and severally responsible or liable for a particular contract: Provided, however, That Filipino ownership or interest thereof shall be at least sixty percent (60%). For this purpose, Filipino ownership or interest shall be based on the contributions of each of the members of the joint venture as specified in their JVA.
- 1.2. When the types and fields of Consulting Services involve the practice of professions regulated by law, those who will actually perform the services shall be Filipino citizens and registered professionals authorized by the appropriate regulatory body to practice those professions and allied professions specified in the **EDS**.
- 1.3. If the Request for Expression of Interest allows participation of foreign consultants, prospective foreign bidders may be eligible subject to the conditions stated in the **EDS**.
- 1.4. Government owned or –controlled corporations (GOCCs) may be eligible to participate only if they can establish that they (a) are legally and financially autonomous, (b) operate under commercial law, and (c) are not attached agencies of the Procuring Entity.

2. Eligibility Requirements

- 2.1. The following eligibility requirements, together with the Eligibility Documents Submission Form, shall be submitted on or before the date of the eligibility check specified in the Request for Expression of Interest and Clause 5 for purposes of determining eligibility of prospective bidders:
 - (a) Class “A” Documents –

Legal Documents

- (i) PhilGEPS Certificate of Registration and Membership in accordance with Section 8.5.2 of the IRR, except for foreign bidders participating in the procurement by a Philippine Foreign Service Office or Post, which shall submit their eligibility documents under Section 24.1 of the IRR, provided, that the winning Consultant shall register with PhilGEPS in accordance with Section 37.1.4 of the IRR or the other required eligibility documents provided in the EDS;

Technical Documents

- (ii) Statement of the prospective bidder of all its ongoing and completed government and private contracts, including contracts awarded but not yet started, if any, whether similar or not similar in nature and complexity to the contract to be bid, within the relevant period provided in the **EDS**. The statement shall include, for each contract, the following:
 - (ii.1) the name and location of the contract;
 - (ii.2) date of award of the contract;
 - (ii.3) type and brief description of consulting services;
 - (ii.4) consultant's role (whether main consultant, subconsultant, or partner in a JV)
 - (ii.5) amount of contract;
 - (ii.6) contract duration; and
 - (ii.7) certificate of satisfactory completion or equivalent document specified in the **EDS** issued by the client, in the case of a completed contract;
 - (iii) Statement of the consultant specifying its nationality and confirming that those who will actually perform the service are registered professionals authorized by the appropriate regulatory body to practice those professions and allied professions in accordance with Clause 1.2, including their respective curriculum vitae.
 - (iv) Comprehensive Curriculum Vitae of Key Personnel.
- (b) Class "B" Document –

If applicable, the Joint Venture Agreement (JVA) in case the joint venture is already in existence, or duly notarized statements from all the potential joint venture partners in accordance with Section 24.1(b) of the IRR of RA 9184.

- 2.2. The eligibility requirements or statements, the bids, and all other documents to be submitted to the BAC must be in English. If the eligibility requirements or statements, the bids, and all other documents submitted to the BAC are in foreign language other than English, it must be accompanied by a translation of the documents in English. The documents shall be translated by the relevant foreign government agency, the foreign government agency authorized to translate documents, or a registered translator in the foreign bidder's country; and shall be authenticated by the appropriate Philippine foreign service establishment/post or the equivalent office having jurisdiction over the foreign bidder's affairs in the Philippines. The English translation shall govern, for purposes of interpretation of the bid.
- 2.3. Prospective bidders may obtain a full range of expertise by associating with individual consultant(s) and/or other consultants or entities through a JV or subcontracting arrangements, as appropriate. However, subconsultants may only participate in the bid of one short listed consultant. Foreign Consultants shall seek the participation of Filipino Consultants by entering into a JV with, or subcontracting part of the project to, Filipino Consultants.

3. Format and Signing of Eligibility Documents

- 3.1. Prospective bidders shall submit their eligibility documents through their duly authorized representative on or before the deadline specified in Clause 5.
- 3.2. Prospective bidders shall prepare an original and copies of the eligibility documents. In the event of any discrepancy between the original and the copies, the original shall prevail.
- 3.3. The Eligibility Documents Submission Form shall be signed by the duly authorized representative/s of the Bidder. Failure to do so shall be a ground for the rejection of the eligibility documents.
- 3.4. Any interlineations, erasures, or overwriting shall be valid only if they are signed or initialed by the duly authorized representative/s of the prospective bidder.

4. Sealing and Marking of Eligibility Documents

- 4.1. Prospective bidders shall enclose their original eligibility documents described in Clause 2.1, in a sealed envelope marked "ORIGINAL – ELIGIBILITY DOCUMENTS". Each copy thereof shall be similarly sealed duly marking the envelopes as "COPY NO. ___ - ELIGIBILITY DOCUMENTS". These envelopes containing the original and the copies shall then be enclosed in one single envelope.
- 4.2. The original and the number of copies of the eligibility documents as indicated in the **EDS** shall be typed or written in ink and shall be signed by the prospective bidder or its duly authorized representative/s.
- 4.3. All envelopes shall:

- (a) contain the name of the contract to be bid in capital letters;
- (b) bear the name and address of the prospective bidder in capital letters;
- (c) be addressed to the Procuring Entity's BAC specified in the **EDS**;
- (d) bear the specific identification of this Project indicated in the **EDS**; and
- (e) bear a warning "DO NOT OPEN BEFORE..." the date and time for the opening of eligibility documents, in accordance with Clause 5.

4.4 Eligibility documents that are not properly sealed and marked, as required in the bidding documents, shall not be rejected, but the bidder or its duly authorized representative shall acknowledge such condition of the documents as submitted. The BAC shall assume no responsibility for the misplacement of the contents of the improperly sealed or marked eligibility documents, or for its premature opening.

5. Deadline for Submission of Eligibility Documents

Eligibility documents must be received by the Procuring Entity's BAC at the address and on or before the date and time indicated in the Request for Expression of Interest and the **EDS**.

6. Late Submission of Eligibility Documents

Any eligibility documents submitted after the deadline for submission and receipt prescribed in Clause 5 shall be declared "Late" and shall not be accepted by the Procuring Entity. The BAC shall record in the minutes of submission and opening of eligibility documents, the Bidder's name, its representative and the time the eligibility documents were submitted late.

7. Modification and Withdrawal of Eligibility Documents

7.1. The prospective bidder may modify its eligibility documents after it has been submitted; provided that the modification is received by the Procuring Entity prior to the deadline specified in Clause 5. The prospective bidder shall not be allowed to retrieve its original eligibility documents, but shall be allowed to submit another set equally sealed, properly identified, linked to its original bid marked as "ELIGIBILITY MODIFICATION" and stamped "received" by the BAC. Modifications received after the applicable deadline shall not be considered and shall be returned to the prospective bidder unopened.

7.2. A prospective bidder may, through a letter of withdrawal, withdraw its eligibility documents after it has been submitted, for valid and justifiable reason; provided that the letter of withdrawal is received by the Procuring Entity prior to the deadline prescribed for submission and receipt of eligibility documents.

7.3. Eligibility documents requested to be withdrawn in accordance with this Clause shall be returned unopened to the prospective bidder concerned. A prospective bidder that withdraws its eligibility documents shall not be permitted to submit

another set, directly or indirectly, for the same project. A prospective bidder that acquired the eligibility documents may also express its intention not to participate in the bidding through a letter which should reach and be stamped by the BAC before the deadline for submission and receipt of eligibility documents.

8. Opening and Preliminary Examination of Eligibility Documents

- 8.1. The BAC will open the envelopes containing the eligibility documents in the presence of the prospective bidders' representatives who choose to attend, at the time, on the date, and at the place specified in the **EDS**. The prospective bidders' representatives who are present shall sign a register evidencing their attendance.

In case the submitted eligibility envelopes cannot be opened as scheduled due to justifiable reasons, the BAC shall take custody of the said envelopes and reschedule the opening on the next working day or at the soonest possible time through the issuance of a Notice of Postponement to be posted in the PhilGEPS website and the website of the Procuring Entity concerned.

- 8.2. Letters of withdrawal shall be read out and recorded during the opening of eligibility documents and the envelope containing the corresponding withdrawn eligibility documents shall be returned unopened to the withdrawing prospective bidder.

- 8.3. The eligibility documents envelopes and modifications, if any, shall be opened one at a time, and the following read out and recorded:

- (a) the name of the prospective bidder;
- (b) whether there is a modification or substitution; and
- (c) the presence or absence of each document comprising the eligibility documents vis-à-vis a checklist of the required documents.

- 8.4. The eligibility of each prospective bidder shall be determined by examining each bidder's eligibility requirements or statements against a checklist of requirements, using non-discretionary "pass/fail" criterion, as stated in the Request for Expression of Interest, and shall be determined as either "eligible" or "ineligible." If a prospective bidder submits the specific eligibility document required, he shall be rated "passed" for that particular requirement. In this regard, failure to submit a requirement, or an incomplete or patently insufficient submission, shall be considered "failed" for the particular eligibility requirement concerned. If a prospective bidder is rated "passed" for all the eligibility requirements, he shall be considered eligible to participate in the bidding, and the BAC shall mark the set of eligibility documents of the prospective bidder concerned as "eligible." If a prospective bidder is rated "failed" in any of the eligibility requirements, he shall be considered ineligible to participate in the bidding, and the BAC shall mark the set of eligibility documents of the prospective bidder concerned as "ineligible." In either case, the BAC chairperson or his duly designated authority shall countersign the markings.

9. Short Listing of Consultants

- 9.1. Only prospective bidders whose submitted contracts are similar in nature and complexity to the contract to be bid as provided in the **EDS** shall be considered for short listing.
- 9.2. The BAC shall draw up the short list of prospective bidders from those declared eligible using the detailed set of criteria and rating system to be used specified in the **EDS**.
- 9.3. Short listed consultants shall be invited to participate in the bidding for this project through a Notice of Eligibility and Short Listing issued by the BAC.

10. Protest Mechanism

Decision of the Procuring Entity at any stage of the procurement process may be questioned in accordance with Section 55 of the IRR of RA 9184.

Section III. Eligibility Data Sheet

Eligibility Data Sheet

Eligibility Documents	
1.2	The project may use combination of quantitative and qualitative methods of data collection, which means survey as well, as in-depth individual and group interviews will be implemented depending on the kind of data needed. However, household survey is prescribed as the primary form of data collection because quantitative data can be processed and analyzed with relative ease.
1.3	No further instructions.
2.1(a)(i)	<p>Prospective bidders may still submit their Class “A” Eligibility Documents, to wit:</p> <ul style="list-style-type: none"> a. Registration Certificate from Security and Exchange Commission (SEC) for Corporations, Department of Trade and Industry (DTI) for Sole Proprietorships or Cooperative Development Authority (CDA) for Cooperatives; b. Valid Mayor’s/ Business Permit or its Equivalent Document; c. Valid Tax Clearance; and d. Audited Financial Statements stamped “received” by the Bureau of Internal Revenue (BIR) or its duly accredited and authorized institutions, for the preceding calendar year, which should not be earlier than two (2) years from bid submission. <p>Or</p> <p>If the prospective bidder is already registered in the PhilGEPS under Platinum category, their Certificate of Registration and Membership in lieu of their uploaded file of Class “A” Documents must be submitted, or a combination thereof.</p> <p>In case the bidder opted to submit their Class “A” Documents, the Certificate of PhilGEPS Registration (Platinum Membership) shall remain as post-qualification requirements to be submitted in accordance with Section 34.2 of the 2016 Revised IRR of RA 9184.</p>
2.1(a)(ii)	The statement of all ongoing and completed government and private contracts shall include all such contracts within the last Five (5) years prior to the deadline for the submission and receipt of eligibility documents.
2.1(a)(ii.7)	No further instructions.
4.2	Each prospective bidder shall submit one (1) original and one (1) copy of its eligibility documents.

4.3 (c)	Bids and Awards Committee-I Ground Floor, DSWD Central Office IBP Road, Constitution Hills, Quezon City Facsimile No.: (02) 931 6139 Telephone Nos.: (02) 931 8101 to 07 local 122 or 124														
4.3 (d)	REI No. GOP/18-DSWD-001 Hiring of Consulting Services for the Conduct of External Spot Check of the Pantawid Pamilyang Pilipino Program Operations (Spot Check 2018)														
5	The address for submission of eligibility documents is: BIDS AND AWARDS COMMITTEE-I Bids and Awards Committee-I Ground Floor, DSWD Central Office IBP Road, Constitution Hills, Quezon City The deadline for submission of eligibility documents is <i>29 June 2018 at 1:00PM</i>														
8.1	The place of opening of eligibility documents is at <i>Legal Service, 4th Floor, Matapat Building, Department of Social Welfare and Development, Batasan Complex Constitutional Hills, Quezon City.</i> The date and time of opening of eligibility documents is on <i>29 June 2018 immediately after the deadline of the submission of Eligibility documents.</i>														
9.1	Similar contracts shall refer to goods or services of the same nature and complexity as the subject matter of the project being procured.														
9.2	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 35%; text-align: center;">Criteria</th> <th style="width: 45%; text-align: center;">Rating Scheme</th> <th style="width: 20%; text-align: center;">Percentage</th> </tr> </thead> <tbody> <tr> <td colspan="3" style="text-align: center;">Qualification of Key Personnel (40%)</td> </tr> <tr> <td style="vertical-align: top;">Key Personnel has appropriate and relevant postgraduate degree/s</td> <td style="vertical-align: top;"> <ul style="list-style-type: none"> ▪ Has relevant Master's and Doctorate Degree = 100 pts. ▪ Has relevant Master's Degree only = 80 pts. ▪ Has postgraduate degree but not relevant = 50 pts. <p style="margin-left: 20px;">Relevant postgraduate degrees are Economics, Sociology, Political Science, Psychology, Demography, Population Studies, Public Health, Development Studies, Statistics, Development Management, Anthropology</p> </td> <td style="vertical-align: top; text-align: center;">10%</td> </tr> <tr> <td style="vertical-align: top;">Key Personnel has at least ten (10) years of relevant professional experience as survey team leader/manager</td> <td style="vertical-align: top;"> <ul style="list-style-type: none"> ▪ More than 12 years of experience in survey management and/or survey research = 100 pts. ▪ Ten (10) to Twelve (12) years of experience = 90 pts. ▪ Less than Ten (10) years of experience = 0 pt. </td> <td style="vertical-align: top; text-align: center;">15%</td> </tr> </tbody> </table>			Criteria	Rating Scheme	Percentage	Qualification of Key Personnel (40%)			Key Personnel has appropriate and relevant postgraduate degree/s	<ul style="list-style-type: none"> ▪ Has relevant Master's and Doctorate Degree = 100 pts. ▪ Has relevant Master's Degree only = 80 pts. ▪ Has postgraduate degree but not relevant = 50 pts. <p style="margin-left: 20px;">Relevant postgraduate degrees are Economics, Sociology, Political Science, Psychology, Demography, Population Studies, Public Health, Development Studies, Statistics, Development Management, Anthropology</p>	10%	Key Personnel has at least ten (10) years of relevant professional experience as survey team leader/manager	<ul style="list-style-type: none"> ▪ More than 12 years of experience in survey management and/or survey research = 100 pts. ▪ Ten (10) to Twelve (12) years of experience = 90 pts. ▪ Less than Ten (10) years of experience = 0 pt. 	15%
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Note: Only the Curriculum Vitae of the Spot Check Project Manager shall be evaluated using the above criteria for qualification of key personnel.

Section IV. TERMS OF REFERENCE

TERMS OF REFERENCE

Conduct of External Spot Check of the Pantawid Pamilyang Pilipino Program Operations (Spot Check 2018)

I. BACKGROUND

A. Brief History and Description

In February 2008, the Philippine government launched the *Pantawid Pamilyang Pilipino Program*, its own version of Conditional Cash Transfer (CCT) program that provides cash grants to poor household in exchange for their compliance with conditionalities related to investing in human capital development specifically on the health and education of children.

Piloting of *Pantawid Pamilya* began in 2007, with 6,000 household beneficiaries in four pilot municipalities and two cities in the Philippines. In response to the financial crisis, the government decided to accelerate the expansion of the program to assist over 300,000 beneficiary households in 2008 in 148 municipalities and 12 cities (in 30 provinces). The program expanded further since then and has covered as many as 4,595,367 households in 2015 in all region and provinces, involving 99.5% of all cities/municipalities, and 99.06% of all barangays. By the end of October 2017, the program is serving 4,352,367 households.

As a social protection program, Pantawid Pamilya helps reduce the vulnerabilities of the poor households through the provision of cash grants that serve both as financial incentive as well as financial support that can help tide over their short-term basic consumption needs. Ultimately, the program aims to break the intergenerational cycle of poverty by encouraging parents to ensure that their children would stay healthy and attain more years of education so that when these children grow up they would have greater chances of becoming more productive and obtain decent paying jobs.

The program covers only households that have been identified as poor in the DSWD's National Household Targeting System for Poverty Reduction or Listahanan and have children 18 years old and below or pregnant members at the time of the Listahanan household assessment. The exemption to this rule are the Modified CCT (MCCT) families who are equally poor but were not able to participate in the first round Listahanan household assessment. For each household, a maximum of three (3) children under 18 years old are monitored for compliance with education conditionality.

B. Conditionalities and Benefits

Health Grants. The health grant is aimed at promoting healthy practices, improving nutritional status of young children, and increasing use of health services. Poor households with children 0 to 18 years old and/or pregnant women receive Php500.00 per month (for every month of the year). The health transfer requires that households fulfill the following conditionalities:

1. All children under age 5 follow the Department of Health (DOH) protocol by regularly visiting the health center or rural health unit;
2. Pregnant women attend health centers or rural health units for health services according to DOH protocol;
3. All school-aged (6-14)¹ children comply with the de-worming protocol at primary schools;
4. All grantees (mothers) and/or their spouses attend Family Development Sessions (FDS) at least once a month.

Family Development Session or FDS is an adult learning session that is conducted every month among parent groups comprised of 25 – 35 CCT grantees. Topics discussed focus mainly on responsible and effective parenting, women’s and children’s rights, child protection, maternal health, early childhood care and development, home management, family relations, self-empowerment and community involvement.

In 2016, the program started piloting Youth Development Sessions or YDS for the adolescent members of beneficiary households. High school children are encouraged to attend YDS, which is an afterschool activity, but their attendance are not tied to the provision of cash grants.

Education Grants. Poor households eligible for the education grant are those with children age 3-18 years old. The education transfer is Php300.00 per child per month for children in elementary school and Php500.00 for children in high school for a period of 10 months/year, up to a maximum of three children. Grantees will receive the education transfer for each child as long as they are enrolled in a primary or secondary school and attending 85 percent of the school days every month.²

In addition to these core set of benefits, in 2017 CCT households have also started receiving rice subsidy in cash worth Php600.00 whenever they comply with either education or the set of applicable health conditionalities.

Households with children 0-18 years old will receive both health and education grants in one payment on a bi-monthly basis as long as the conditionalities are met. Household are entitled to receive these benefits until their youngest monitored child turns 19 years old or graduates from high school, whichever comes first.

C. CCT Program Operations

Beneficiary Updates System (BUS) – Update system facilitates the registration of beneficiary households and reporting of any updates/changes in status of beneficiary households from the

¹ The deworming conditionality only applies to children 6- 14 years old.

² This translates into no more than 3 days of unjustified school absence per month.

initial information in the beneficiary database or family roster, such as changes in the number of children in the beneficiary households and status of schooling Information that has implications on payments are updated through a standard form.

Compliance Verification System (CVS) – Verification of compliance is a set of procedures to collect data from schools and health centers regarding the status of beneficiary compliance to the conditionalities. All schools and health centers where beneficiary households are registered are required to submit bimonthly reports of non-compliance and non-attendance by beneficiaries. Compliance verification data becomes the basis for the payment and non-payment of CCT grants.

Grievance Redress System (GRS) – The Grievance Redress System facilitates the capture and resolution of grievances. It is intended to provide a venue for beneficiaries and the public to file their queries and complaints. Monitoring of these queries and complaints will guide the NPMO and other actors to understand the status of program implementation and will allow them to systematically address these complaints.

Payment System – Benefits provision is based on the households' verified compliance with program conditionalities, except for the initial cash grant which is not yet tied with compliance. DSWD prepares the CCT payroll and transmits it to the Land Bank of the Philippines which is the sole disbursing arm of the program. Beneficiaries receive their grants either through ATM with their cash cards or face-to-face through local payouts conducted by Land Bank's payment conduits.

D. Phases of Program Implementation

The implementation of the Pantawid Pamilya follows an 8-step cycle:

- 1) Selection of target areas;
- 2) Supply side assessment;
- 3) Selection of household beneficiaries;
- 4) Registration and validation of beneficiaries;
- 5) Preparation of the household/family registry;
- 6) Release of the initial cash grant;
- 7) Verification of compliance; and
- 8) Release of the second and succeeding cash grants.

Steps 1 to 3 cover the selection of target areas and households (demand side) based on the assessments of their eligibility, as well as of service providers (supply side). These are primarily the responsibilities of DSWD-Project Management Offices (PMOs) and Field Offices (FOs).

Steps 4 to 6 focus on engaging the prospective households from registration to the release of the initial cash grant, all of which are undertaken by the DSWD in close coordination with the appropriate Local Government Units (LGUs).

Steps 7 to 8 cover the cyclical process of verifying compliance with conditionalities and the initial release of cash grants and succeeding payments.

Additional steps include beneficiary updating of household data and capturing and resolution of grievances at any point within the implementation cycle.

II. OBJECTIVES

Objectives of the External Spot Checks

Spot check is rapid monitoring and evaluation instruments that seek to determine quality, effectiveness and efficiency of program implementation. DSWD regularly conducts Spot Checks with the aim to assess the following:

- Field operations (registration, updating, FDS, compliance verification, payout, grievance handling, etc.)
- Program design and policies
- Service performance of institutional partners
- Beneficiaries' awareness of program policies and features

Regular conduct of Spot Checks is aimed to provide the program management information to:

- Make program design adjustment decisions
- Make implementation adjustment decisions
- Modify and update policies and guidelines

In terms of results framework, spot check serves as the monitoring and evaluation (M&E) instrument for the inputs, activities, outputs of the program. As need arises, the spot check could also be used to some extent to determine how the program is doing in terms of achieving immediate, lower-level outcomes.

III. METHODOLOGY

Spot check may use a combination of quantitative and qualitative methods of data collection, which means surveys as well as in-depth individual and group interviews will be employed depending on the kind of data needed. However, household survey is prescribed as the primary form of data collection because quantitative data can be processed and analyzed with relative ease.

A. Sampling Design

The target number of respondent households is around 1,000 and will come from 4 provinces/NCR districts, 8 cities/municipalities, and 16 barangays selected from the three island clusters of Luzon, Visayas, Mindanao and the National Capital Region (NCR). The beneficiaries will include both

RCCT and MCCT households. Aside from beneficiaries, regional and municipal program staff, as well as representatives of program partners (LGU, DepEd, Land Bank) will also be interviewed. Below is an indicative sample breakdown.

Specifics	Sample Requirement	Sub-Total
<i>Geographic Coverage</i>		
Provinces	4	4
Municipalities/Cities	8	8
Barangays	16	16
<i>Number of Interviews</i>		
Beneficiary Households (Regular CCT HHs = 900; Modified CCT HHs = 100)	1,000	1,000
Parent Leaders	1 to 2 per barangay	16 – 32
Pantawid Pamilya RPMO Staff [Regional Compliance Verification Officer (RCVO); 1 Regional Beneficiary Data Officer (RBDO); Regional Grievance Officer (RGO); Regional IT Officer; Regional Financial Analyst; and 3 Encoders]	8 per region	32 (minimum)
Mayor / Vice Mayor / City or Municipal Social Welfare and Development Officer (C/MSWDO)	1 per municipality/city	8
Municipal/City Roving Bookkeepers (MRB/CRB)	2 per municipality/city	8 – 16
City/Municipal Link (C/MLs) o LGU Links	2 per municipality/city	8 – 16
Social Welfare Assistant (SWA)	1 per municipality/city	8
Elementary Schools	1-2 per barangay	16 – 32
High Schools	1-2 per municipality/city	8 – 16
Rural Health Unit (RHU)	1 – 2 per municipality/city	8 – 16
Barangay Health Station/Center (BHS)	1 per barangay	16

Land Bank (local servicing branch officer or local Land Bank-hired conduit)	1 per municipality	6
Philippine Veterans Bank servicing branch officer	1 per municipality	2
Indicative Total Number of Interviews		1,200 (maximum)

IV. FOCUS OF SPOT CHECK 2018

For this 14th round of spot check (Spot Check 2018), the following aspects of program implementation will be given priority and special focus.

1. **Pilot payout of Philippine Veterans Bank (PVB) in Abra and Leyte** – Aside from Land Bank of the Philippines (LBP), the DSWD has recently tapped the Philippine Veterans Bank (PVB) to augment in the conduct of on-site payouts in Abra and Leyte in December 2017. This spot check will serve as first independent assessment of PVB’s performance as disbursing agent.
2. **Cross-checking of Beneficiary Tracking Report (BTR) data on reasons for non-compliance** – The BTR contains information on why beneficiaries failed to meet the 85% class attendance, avail the required appropriate health center service, and attend FDS. Though collected regularly, BTR data has never been systematically verified. The NPMO would want to know how similar or different the report on non-compliance would be if captured by a third party through this spot check.
3. **Targeting** – Targeting refers to the identification of poor households, one of two eligibility characteristics to become CCT beneficiaries. There has been ongoing attempts to reassess the living conditions of the beneficiary household to see whether some can already be recommended to be transitioned out as they may no longer be considered as “poor.” This spot check aims help in that direction.
4. **Review of LBP operations** – There have been several issues lately with Land Bank such as payout cancellations, delayed liquidation, delayed reporting of non-moving accounts, and still pending conversion of cash cards into EMV cards. This spot check would want to know to how and why these are happening, and how LBP is addressing these issues on the ground.
5. **Service satisfaction with City/Municipal Links, Education partners, Health Facility partners, LGU officials, and Land Bank including their conduits** – In addition to surfacing verifiable operations issues and challenges, this spot check will capture the beneficiaries’ subjective assessment, their level of satisfaction with the service of

implementing partners along a more standardized set of key performance indicators for each partner agency.

6. **Technical assistance and coordination between the National Program Management Office (NPMO) and the Regional Program Management Office)** – This spot check will assess, for the first time, coordination issues between the national and regional offices that are possibly affecting program implementation. This spot check will assess how well new policies and instructions are being communicated, coordinated, and operationalized in actual field work, as well as assess the quality of technical service the NPMO is giving to the RPMOs.

V. TEAM COMPOSITION

Spot Check Project Manager

The Spot Check Project Manager is appointed by the Consulting firm. The Project Manager will head the Project Team and is in charge of: (a) taking lead in all activities related to the Spot Checks; (b) providing his/her team with technical guidance throughout the preparation, implementation, analysis and report writing processes; (c) leading and conducting the analysis of data; (d) being the main author of the final report; and (e) presenting the finding and recommendations to DSWD. S/he is also in charge of the day-to-day program management and shall report progress and/or problems on the implementation of the survey, such as delays in the fielding of activities and other essential logistical problems, to the DSWD Spot Check coordinator. S/he shall make all efforts to overcome these problems to ensure the progress of field activities.

Spot Check Fieldwork Manager

The Spot Check Field Manager will support the Project Manager for the daily coordination of survey execution, and for the hiring, training and coordination of Field Teams and Data Entry Teams. The Field Manager is expected to provide on-site coaching on agreed upon research protocols and questionnaire implementation. S/he shall manage the schedules of the field teams and ensure that the interviews, sample replacement, and back checks are being conducted in a timely manner. S/he shall be the focal person in charge of ensuring quality of data collection through thorough supervised and direct field data editing.

Field Teams

The Field Teams are recruited and trained by the Project Manager and the Fieldwork Manager. Each team will conduct the interviews and other data collecting activities. Each field team is responsible for fieldwork in the sample municipality. While the team composition is left to the Consultant to decide, a typical Field Team should, at the very least, consist of a team leader (i.e., field supervisor) and a number of field enumerators. The Consultant is encouraged to recommend additional supervisory team members such as a regional supervisor who oversees the work of a number of field teams.

It is recommended that the Field Team include specific enumerators that are assigned and trained on household questionnaires, school and health facility/unit questionnaires. It is up to the Consultant to decide whether to form separate field teams of enumerators conducting household interviews and enumerators conducting interviews at facilities or have combined teams. Apart from enumerators for household, health facility, and school questionnaires, the senior experienced staff shall ideally conduct interviews to Regional Field Office, Municipal LGU, Municipal Roving Bookkeepers, and Municipal Links/LGU Links.

Data Processing Manager

The Data Processing Manager shall be in charge of the development of the data encoding program, training of encoders and other auxiliary data processing personnel. S/he shall closely supervise the encoding, organizing, and cleaning of spot check data and s/he is also expected to document the data processing work done and write the encoder manual and data dictionary.

Data Encoding Team

The Data Encoding Team is recruited and trained under the responsibility of the Project Manager and Fieldwork Manager. Field-level data encoding (simultaneous with data collection) is highly recommended, although detailed logistic planning is required for ensuring appropriate hardware (laptops, etc.), power outages, security, and protection against viruses. Nevertheless, it is left to the Consultant to decide the location of data encoding (in the field, at the regional level or in Manila), if the Consultant opts for a decentralized data encoding, the Consultant must present the measures for ensuring quality control of data encoding. The data encoding team is in charge of verifying incoming hard copy data from the field, checking the accuracy of data received (such as respondent's identification and linkages among questionnaires), coding all open-ended and "other" responses. Team composition is left to the Consultant to decide.

VI. SCOPE OF WORK AND DELIVERABLES and TIMETABLE

The project duration will be 28 weeks starting upon the receipt of the project's Notice to Proceed (NTP). The major activities are outlined and described below.

1. Organizational Meeting

Upon contract signing, the Consultant and DSWD will meet to discuss the overview of the project and level off expectations between the two parties. During the organizational meeting the DSWD and Consultant will finalize institutional arrangements, agree on the indicative schedule of activities that will require the participation of DSWD during the data contract implementation, and identify contact persons from each end.

2. Writing of Spot Check Inception Report

Within **two (2) weeks** upon receipt of Notice to Proceed (NTP), the Consultant will submit Inception Report, which will lay out the following:

- Team composition and recruitment plan
- Indicative schedule and location of training sessions; including composition of training teams, agenda, logistical details and reporting arrangement to the DSWD Spot Check Coordinator
- Expected duration of survey implementation and work plan for Field Teams
- Expected date and duration of Data Encoding and Cleaning activities, including delivery dates of the different datasets
- Expected date of deliverables

Most of the above items will be discussed during contract negotiation and organizational meeting. The work plan will be updated by the Project Manager according to the progress of data collection and data processing activities. Any modification of the survey shall be reported to the DSWD Spot Check coordinator.

3. Review, Pretest and Finalization of Questionnaires

The Spot Check questionnaires will be developed by the Project Manager with the assistance of the DSWD Spot Check Coordinator. The Project Manager will review the draft questionnaires to be provided by the DSWD during the organizational meeting and will be in charge in the follow-through tasks including pretest, revision and finalization of the questionnaires up to the actual fieldwork.

The pretest is to be conducted in a municipality proximate or similar in characteristics to the Spot Check areas and will be conducted after the submission of the development of the first draft of questionnaires and prior to the Training of Trainers. A feedback and clearing session may be participated by the Project Manager and DSWD Spot Check Coordinator to discuss experiences during the pretest and approve revisions in the draft questionnaires and manual.

The questionnaires are expected to be revised based on the inputs from the pretest, Training of Trainers (TOT) and during the development of the data encoding program.

4. Preparation of Enumerators' Manual

The Project Manager and Fieldwork Manager are responsible for finalizing the manual. The DSWD will provide the manual of previous spot checks for reference of the Consultant and may provide additional background information on the project and additional instructions if necessary. The final manuals must be discussed and agreed by the DSWD Spot Check Coordinator. The Project Manager and Fieldwork Manager are responsible for reproducing adequate number of copies prior to the training.

5. Training field teams

The Project Team is expected to conduct trainings of the field supervisors, data encoders, field validators and field enumerators prior to the actual conduct of data collection. The following trainings are recommended to be conducted:

Field Test Training – the Project Manager will conduct training of the field supervisors who will administer the pretest of questionnaires

Training of Trainers (TOT) - The Project Manager shall conduct the Training of Trainers (TOT) prior to the Field Interviewers' Training. It is expected that clarifications, issues and concerns on the data gathering tool and other fieldwork-related concerns are well explained during the TOT. It is also hoped that all guidelines/ instructions during TOT will be cascaded in the local training.

Field Interviewers' Training (FIT) – The FIT will be conducted right before the actual data collection. The participants in the TOT are expected to be the resource persons for the FIT.

Since the Spot Check involves issues that are program specific, the DSWD Spot Check Coordinator will serve as resource persons in the Field Test Training and Training of Trainers (TOT).

The Project Team is in charge of printing all necessary instruments to perform training and fieldwork activities.

6. Development and Finalization of Data Encoding Program

The Project Team and Project Team Manager are responsible for developing and finalizing the Data Encoding Program. The Data Encoding Program must use industry standard software and must be programmable to create checks for quality control of data encoding. The data encoding program should be finalized prior to the actual data collection.

7. Implement fieldwork

During fieldwork, team supervisors will report to the Project Manager on progress and/or difficulties faced. The location of field teams at each point in time during the data collection is important to be identified. In the case of emergencies such as natural disasters or other unfavorable conditions, any necessary rescue operations or emergency procedures should be put into effect. In addition, location information is also necessary for planning field supervisions. Important problems related to substance (survey instruments) should be conveyed to the DSWD Spot Check Coordinator.

Spot Check field activities are expected to commence immediately after the Field Interviewers' Training (FIT). The Consultant should plan carefully the arrangements for travel (especially travel in areas with difficult geographical terrain) and perform ocular visits of the areas in advance to make necessary preparations and scouting of

headquarters/lodging. Communications are likely to be problematic, and the Consultant should plan ahead for such logistical difficulties.

As much as possible, all accomplished questionnaires must be reviewed by the enumerators and the supervisors on the day the interview was conducted. Supervisors must highlight incomplete data or inconsistencies in data and enumerators must correct them, by revisiting the respondent.

During the fieldwork, the Project Team will provide progress report of data collection bi-weekly to DSWD. In areas where network signal is problematic or not available, the Project Team may not provide progress report to the DSWD provided that they submit their report as soon as they are able to access stable network signal.

In the case of emergencies, such as those due to natural disasters or other unfavorable conditions, any necessary rescue actions should be put into operation by the Project Team. If unanticipated disasters occur in the sample barangay prior to the Field Team's visit, the Field Teams are required to report promptly to the Project Team. The Project Team must report to the DSWD Spot Check Coordinator. DSWD is expected to advise the Field Teams, through the Project Team, how to proceed.

8. Data Encoding and Cleaning

The Data Encoding and Cleaning Team are required for conducting field/office data validation of questionnaires received from the Field Teams and entering the data into the data encoding program. As a data quality assurance measure, the Data Encoding and Cleaning Team is expected to perform "double data entry" or entry of same data by different data encoders, followed by matching of the two encoded datasets, verification and data cleaning. However, if the Consultant will not conduct double data entry, alternative quality control measures must be presented. The data encoders are also responsible to code responses to "other" categories but DSWD may provide technical assistance if necessary.

To conduct these tasks, members of the data encoding team shall participate in the training on survey questionnaires (i.e. TOT or FIT), and other trainings on data encoding, verification and cleaning after double entry. The Project Manager will decide when to start coding activities; however, it is recommended that it begin as soon as 50 percent of data has arrived.

Data Encoding Supervisors must conduct cleaning of data verified and cleaned by the data encoders. S/he must ensure that unique identifiers of observations in the dataset are indeed unique, household identifier codes are consistent with the *Pantawid Pamilya* beneficiary household codes, and all data sets are linkable with consistent geographic codes using Philippines Standard Geographic Codes (PSGC).

The final dataset submitted to the DSWD Spot Check Coordinator shall be in original format of the encoding software used as well as in STATA and CSV format.

9. Spot Check Report

In addition to the abovementioned deliverables, the Consultant shall submit the Final Spot Check Report to the DSWD with the following parts.

Part 1: Main Findings – This consist of the main findings and results of spot checks. The analysis must consist of cross-tabulations and triangulation of data particularly for payments, compliance verification, and updates management. Therefore, data from households, health facilities and schools, and payments must be linked and analyzed.

Part 2: Fieldwork Assessment – This should be a brief report of the field experiences of the Project Team during data collection that will discuss program related anecdotes and observations, special incidents, lessons learned, suggestions for improvement, assessment of data quality, and assessment of incomplete and missing data.

The outline of the report should be discussed and agreed by the Project Manager and The DSWD Spot Check Coordinator. Secondary data collected during the fieldwork should be sent along with the final report.

10. Presentation of Findings to DSWD and other stakeholders

Upon completion of the project, the Consultant is also expected to present the spot check findings to the DSWD management and technical staff and/or other stakeholders. The venue and schedule of the presentation will be discussed and coordinated by the DSWD Spot Check Coordinator.

The above deliverables will be submitted in accordance to the project timetable below:

Week	Activity	Output	Payment Tranche
*	Contract Signing	-	
*	Organizational Meeting	-	
*	Issuance of Notice to Proceed	-	
1-2	Writing of Inception Report	Inception Report and detailed Work Plan	20%
3-6	Review, Pretest and Revision of Questionnaires	Pretested Version of Questionnaires and Enumerators' Manual	

Week	Activity	Output	Payment Tranche
7	Training of Trainers	TOT Version of Questionnaires and Enumerators' Manual	
8	Revision of Questionnaire based on TOT	Fieldwork Version of Questionnaires and Enumerators' Manual	30%
9	Fieldworkers' Training	Training Report and Final Enumerators' Manual	
10	Development of Data Encoding Program		
11		Data Encoding Program	
12-17	Data Collection, Encoding and Cleaning	Weekly Progress Report of Fieldwork	
18-23		Final Electronic Data (with data dictionary)	20%
24-25	Analysis and report writing	Draft Main Findings Report submission to DSWD	
26-28	Revision of Main findings report based on Comments from DSWD	Submission of Final Main Findings Report to DSWD	30%
(TBD)	Presentation of findings to DSWD and other stakeholders		

VII. OTHER CONTRACTUAL OBLIGATIONS

Data Properties

All primary data collected during the contract is the property of DSWD. The use of primary data without the consent of DSWD is strictly prohibited, until data embargo is lifted and data set is made public. The main findings reports must not be made public until and unless the DSWD explicitly approves the publication of the main findings reports. The Consultant shall store filled-out survey instruments and supporting materials for a one-year period and the DSWD has the right to access them at any time during that period.

Reconfirmation and/or Changes in sample sites due to adverse circumstances

Final selection of sites shall be reconfirmed during contract negotiation phase by DSWD. If adverse circumstances become apparent *prior to the teams' visits*, Regional Supervisors are to report immediately to the Project Team and DSWD Spot Check Coordinators. The latter will approve replacement of one municipality with the reserve municipality.

Insurance

It is the responsibility of the Consultant to provide insurance to the Project Team and all fieldworkers. Given the extent of traveling required for the program, it is strongly recommended that all workers be covered by travel and/or health insurance throughout the duration of the fieldwork.

VIII. PAYMENT SCHEDULE

Payment will be made upon acceptance by the DSWD of the various reports listed:

1 st Payment: 20%	Upon submission and DSWD's acceptance of inception report
2 nd Payment: 30%	Upon submission and DSWD's acceptance of final questionnaires and enumerators' manual
3 rd Payment: 20%	Upon submission and DSWD's acceptance of final encoded electronic data
4 th Payment: 30%	Upon submission and DSWD's acceptance of Final Spot Check Report

RECOMMENDED KEY PROFESSIONAL STAFF AND FIELD TEAM QUALIFICATIONS

A. Proposed Key Professionals Qualifications

The minimum required credentials of key professional staff are:

- 1. Spot Check Project Manager:** Has Master's Degree, post-baccalaureate degree or equivalent with 10+ years of relevant professional experience as a survey team leader; direct experience managing and leading a survey team and overseeing large-scale household surveys; strong background in public policy or government service delivery in the Philippines is preferred.
- 2. Field Work Manager:** Has Bachelor's Degree with 5+ years of relevant experience as survey field supervisor; solid background in survey research or considerable experience in supervising research projects that involve numerous research participants/respondents; strong project management skills with proven competence in negotiation and in dealing with LGU officials.
- 3. Data Processing Manager:** Has Bachelor Degree with 5+ years of relevant experience as data cleaning supervisor/data entry operator; highly skilled in developing or customizing data entry applications; knowledgeable in the use of spreadsheets, statistical, and database softwares, especially CPro, Stata, and SPSS; highly skilled in data cleaning activities such as data verification, look-up and coding.

B. Proposed Field Team Personnel Qualifications

1. Field Supervisor

Qualifications:

- Bachelor's degree
- At least 3 years' experience in survey research (preferably household surveys)
- Solid knowledge and skills on survey implementation
- Has working knowledge of survey data processing

2. Field Enumerator

Qualifications:

- College level or higher
- At least 6 months experience in conducting surveys
- Good survey and/or qualitative interview skills

3. Data Encoder/cleaner

Qualifications:

- College level or higher
- At least 3 months experience in encoding survey data