REPUBLIC OF THE PHILIPPINES
PUBLIC-PRIVATE PARTNERSHIP CENTER

PPP Center
Quality Management System Manual

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1. INTRODUCTION

The Public-Private Partnership Center (PPPC) Quality Management System (QMS) Manual has been formulated in line with the Center's goal to become an ISO certified organization.

This QMS Manual lays out the relevant policies of the day-to-day operations of the Center. It is also a consolidation of the established business process and services offered to all of the Center's stakeholders.

This QMS Manual, together with the relevant documents attached hereto aims to:

1) Describe the basic elements of the QMS of the PPPC and serve as reference in its operation and continual improvement;
2) Serve as reference and guide for all the units of the PPPC to consistently deliver timely and quality public service to its clients and partners; and
3) Inform the external stakeholders of the PPPC's QMS and enable them to observe the QMS being maintained at the Center.

Consistent with the goal of continual improvement, this manual is subject to further development and regular review. The controlled copy of this manual is maintained in an online platform managed by the ISO Steering Committee.

2. DEFINITION OF TERMS AND ACRONYMS

Terms	Definitions
Amended BOT Law	Republic Act 6957 amended by Republic Act 7718.
Executive Order No. 8 series of 2010	Signed on September 9, 2010, it reorganized and renamed the BOT Center into the Public-Private Partnership Center of the Philippines. Under EO 8, the PPP Center is now an attached agency of the National Economic and Development Authority (NEDA).
Executive Order No. 136, series of 2013	Signed on May 28, 2013, it amended certain sections of EO 8 and created the PPP Governing Board (PPPGB). The Board was created to act as the overall policy-making body for all PPP related matters, including the Project Development and Monitoring Facility (PDMF). The PPPC reports directly to the PPP Governing Board and acts as its secretariat.
NEDA Board	It is the country's premier social and economic development planning and policy coordinating body. The Board is composed of the President as chairman, the Secretary of Socio-Economic Planning and NEDA Director-General as vice-chairman, and the following as members: the Executive Secretary and the Secretaries of Finance, Trade and Industry, Agriculture, Environment and Natural Resources, Public Works and Highways, Budget and Management, Labor and Employment, and Interior and Local Government.
Public-Private Partnership	Public-Private Partnership (PPP) can be broadly defined as a contractual agreement between a Government implementing agency and a private firm targeted towards financing, designing, implementing and operating infrastructure facilities and services. It aims for optimal risk allocation between the parties, minimizing life cycle cost, while realizing project objectives.
PPPC - Strategic Performance Management System (SPMS)	It is the Civil Service Commission (CSC) approach to output-based performance evaluation being implemented by the PPPC, in line with Civil Service Commission Memorandum Circular No. 6, s. 2012.

Acronym	Full Text
ADB	Asian Development Bank
Amended BOT Law	Amended Build-Operate-and-Transfer Law
CDTA	Capacity Development Technical Assistance
EO 8	Executive Order No. 8 series of 2010
EO 136	Executive Order No. 136 series of 2013
GFI	Government Financial Institutions
GOCC	Government-Owned and Controlled Corporations
IA	Implementing Agency
ICC	Investment Coordination Committee
IRR	Implementing Rules and Regulations
LGU	Local Government Unit
ManCom	Management Committee
NEDA	National Economic and Development Authority
NGA	National Government Agency
PDMF	Project Development and Monitoring Facility
PPP	Public-Private Partnership
PPPC	Public-Private Partnership Center
QMS	Quality Management System
RFP	Request for Proposal
RMP	Risk Management Plan
SPMS	Strategic Performance Management System
SUC	State Universities and Colleges
TWG	Technical Working Group

3. PPPC PROFILE

3.1 Creation of the PPP Center

The BOT Center, by virtue of the EO 8, was renamed the PPP Center and was transferred as an attached agency of the Department of Trade and Industry to the National Economic and Development Authority.

3.2 Mandates of the PPP Center

The PPPC is provided the following mandates pursuant to EO 8, and EO 136:

a) Conduct project facilitation and assistance to the national implementing agencies, including government corporations, and Local Government Units (LGUs) in addressing impediments or bottlenecks in the implementation of PPP programs and projects;
b) Provide advisory services, technical assistance, trainings and capacity development to agencies/LGUs in PPP project preparation and development;
c) Recommend plans, policies and implementation guidelines related to PPP in consultation with appropriate oversight committees, implementing agencies, LGUs and the private sectors;
d) Manage and administer the Project Development and Monitoring Facility (PDMF), formerly known as the Project Development Facility (PDF) established as a revolving fund under EO No. 44 (s. 2002).
e) a revolving fund to be known as the Project Development and Monitoring Facility for the preparation of business case, pre-feasibility and feasibility studies and tender documents of PPP programs and projects;
f) Monitor and facilitate the implementation of the priority PPP Programs and Projects of the agencies/LGUs which shall be formulated by respective agencies/LGUs in coordination with the NEDA Secretariat;
g) Establish and manage a central database system of PPP Programs and Projects;
h) Recommend improvements to timelines in processing PPP programs and project proposals, and monitor compliance of all agencies/LGUs;
i) Prepare reports on the implementation of the PPP programs and projects of the government for submission to the President at the end of each year; and,
i) Perform such other functions which may be critical in expediting and implementing effectively the PPP Programs and Projects of the Government.

3.3 PPP Center's Vision

"The Center shall serve as the champion of public-private partnerships for the country's inclusive growth and sustainable development."

3.4 PPP Center's Mission

"The Center shall facilitate and optimize public-private partnerships in the country for the delivery of public infrastructure and other development services."

3.5 PPP Center's Core Values

1. **Professionalism.** We commit to provide fast, reliable, efficient, competent and effective services that adhere to the principles of good governance and genuine public service.

2. **Passion for Excellence.** We are dedicated to consistently deliver timely and the best quality of public service and to ensure efficient and effective implementation of public-private partnerships in the country.

3. **Pro-activeness.** As prime movers in public-private partnerships in the country, we strive to achieve positive results through dynamic processes that are anchored on the principles of transparency and accountability.

4. **Client-Orientation.** We intend to foster long-term partnerships that will enable clients to meet their public-private partnership targets. We will continuously innovate on our processes to maintain an investment climate where our partners could operate on a level-playing field.

3.6 PPP Center's Strategy

The PPPC's Strategic Objective is "Maging sulit na sulit ang PPP para sa Pilipinas." It is linked to the Center's Vision and Mission and it drives the key result areas of the PPPC as well as the quality objectives of the Center (also known as the PREXC Indicators and Targets) and of the concerned Services (also known as work and financial plans). The external change drivers, which can affect the Center's strategy, shall be assessed as part of the annual strategic planning. These strategy elements are tied together and shown in the following PPPC Strategy House.

Change Drivers:
0-10 Point Socio-Economic Agenda, Ambisyon Natin 2040, Independent Foreign Policy, Opening up of economy to foreign investors, Unsolicited proposals, Hybrid policy, LGU projects, Climate Change/Resiliency, Budget reforms, Innovation/Technological advancements, and Ease of Doing Business Act

Vision
The Center shall serve as the champion of public-private partnerships for the country's inclusive growth and sustainable development.

Mission
The Center shall facilitate and optimize public-private partnerships in the country for the delivery of public infrastructure and other development services.

Quality Policy
We commit to facilitate and optimize PPPs in the country for the delivery of public infrastructure and other development services.
We shall deliver reliable, efficient, competent and effective services under the principles of good governance, transparency and accountability.
We will continually improve our Quality Management System to provide the highest quality of service to our stakeholders and to promote the well-being of our employees.

2016 – 2022 Strategic Objective
"Maging sulit na sulit ang PPP para sa Pilipinas"

2016 – 2022 Key Result Areas

Lessons from past successes and failures implemented	Capabilities of all concerned institutions matched requirements	Efficient and effective processes implemented	Reforms in legal and policy frameworks adopted	Projects delivered as per expectations

Quality Objectives

Figure 1 Strategy House

3.7 Annual Strategy Planning

The PPPC shall conduct its Strategic Planning on an annual basis. In doing so, the Center shall identify external factors that may affect its strategy, assess the accomplishment of the current year's PREXC Indicators and Targets, review the risk assessment matrix, and plan for the next set of PREXC Indicators and Targets.

It shall be the role of the PPPC's Management Committee (ManCom) supported by the Corporate Planning and Development Division (CPDD) to ensure the implementation of the Center's Strategic Plan. The Management Committee consists of the Executive Director, Deputy Executive Directors and the Service Directors.

3.8 Key Stakeholders

The stakeholders of the PPPC and their priority requirements:

STAKEHOLDERS	IDENTIFIED PRIORITY REQUIREMENTS
Implementing Agencies - National Government Agencies - Government-owned-and controlled corporations - Government financial institutions - State Universities and Colleges - Local Government Units	• Technical assistance in developing and implementing critical infrastructure and other development projects • Up-to-date information on PPP projects and policies
Private Sector	• Information on the Philippine PPP program, pipeline of projects and scope of projects • Efficient transactions in procurement of PPP projects
Local Capacity Building Institutions	• Provision of training and assistance in updating expertise and support in marketing training services.
Oversight agencies, regulators, development partners and foreign embassies	• Compliance to statutory and regulatory requirements • Timely and accurate information on the status and progress of PPP projects • Assistance in addressing PPP projects' issues and concerns
PPP Governing Board	• Policy formulation on PPP matters
Approving bodies - NEDA Board - Investment Coordination Committee (Technical Board and Cabinet Cluster) - Regional Development Council	• Inputs for projects that requires approval
Consultants	• Fair and timely feedback on output • Timely payment on the services provided
Policymakers - House of Representatives - Senate	• Timely and accurate information on the details, issues and status of PPP projects • Timely and accurate information on the status and progress of PPP projects
Media	• Up-to-date information on PPP projects via press releases, press conferences, etc.
Suppliers	• Timely release of payment upon acceptance of deliverables
General Public	• Satisfactory public service by ensuring smooth delivery of PPP projects and by providing up-to-date information on PPPs.

STAKEHOLDERS	IDENTIFIED PRIORITY REQUIREMENTS
	• Proper public consultation on the acceptability of PPP projects
PPPC Employees	• Employees welfare • Delivery of PPPC's strategy and KPIs • Reputation of the PPPC

3.9 PPP Center Quality Policy

The PPPC commits to provide quality Service to the public and all of its stakeholders. Such commitment shall be continuously upheld and continuously improved.

The Center's quality policy was approved on October 20, 2017:

"We at the Public-Private Partnership Center commit to facilitate and optimize PPPs in the country for the delivery of public infrastructure and other development services.

We are dedicated to consistently deliver reliable, efficient, competent and effective services that adhere to the principles of good governance, transparency and accountability.

We commit to continually improve our Quality Management System to provide the highest quality of service to our stakeholders and to promote the well-being of our employees."

To cultivate awareness and understanding among PPPC Officials and Employees, the Center's Vision, Mission, Quality Policy and Scope Statements are displayed in conspicuous areas within the Center. These are also being recited during the flag raising ceremony which is held every first Monday of the month.

3.10 Organizational Structure

The PPPC comprises of six (6) Services organized as follows:

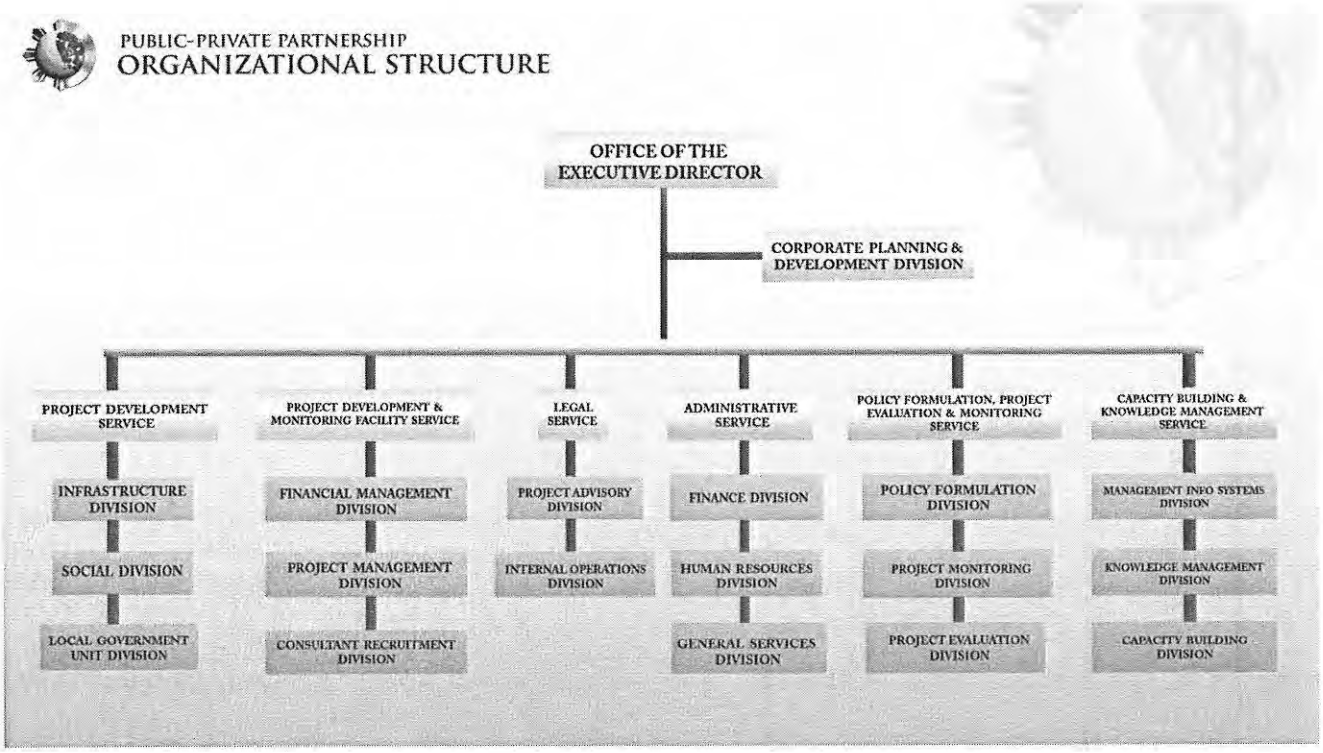


Figure 2 PPP Center Organizational Structure

For purposes of enhancing efficiency in managing the Services, Special Order No.19 Series of 2017 was created assigning the direct supervision of Services to the following:

a. Executive Director
   - Legal Service
   - Policy Formulation Division
   - Corporate Planning and Development Division

b. Deputy Executive Director
   - Project Development Service
   - Project Development and Monitoring Facility Service

c. Deputy Executive Director
   - Project Evaluation and Monitoring Service
   - Capacity Building and Knowledge Management Service
   - Administrative Service

Apart from being attached to the NEDA, the PPP Center reports to the PPP Governing Board, the policy making body for PPP matters. As per EO 136, the PPP Governing Board comprises of the following:

Chairperson:	Secretary of Socio-Economic Planning
Vice-Chairperson:	Secretary of Finance
Members:	Secretary of Budget and Management
	Secretary of Justice
	Secretary of Trade and Industry
	Executive Secretary
	Private Sector Co-Chairman of the National Competitiveness Council

3.11 Functions of PPP Center Services

3.11.1 Office of the Executive Director

Takes the lead role in overseeing and ensuring the effective implementation of the Center's mandates and strategies, supported by two Deputy Executive Directors and the Corporate Planning and Development Division (CPDD).

3.11.2 Corporate Planning and Development Division

Under the direct supervision of the Executive Director, the CPDD takes the lead in developing, implementing and monitoring the PPP Center's Strategic Plan. It is also the division responsible for conducting annual planning, mid-year and year-end assessments of the Center. Moreover, it serves as technical secretariat to the Management Committee, Performance Management Team and the ISO Steering Committee.

3.11.3 Project Development Service (PDS)

In the course of project development, the PDS provides facilitation, advisory, and technical assistance to various implementing agencies in the process of evaluation, formulation, development, structuring, and packaging of PPP projects to ensure that infrastructure projects go through the proper selection, preparation and bidding process.

As PPP projects undergo intense scrutiny with various approving bodies, the PDS, in close collaboration with the implementing agencies, assists in the preparation and review of transaction documents, negotiation of PPP proposals, review of technical assumptions and market assessment, securing of approval from relevant approving government bodies, and conduct of the procurement process.

3.11.4 Project Development & Monitoring Facility Service (PDMFS)

The PDMFS has the responsibility to screen, evaluate, and process applications for PDMF support through its Project Management Division; monitor and ensure availability and efficient utilization of the PDMF funds through its Financial Management Division; manage consultants and consulting service contracts, and leads in consultant selection through its Consultant Recruitment Division.

The PDMF Service also acts as the secretariat to the PDMF Committee.

3.11.5 Legal Service (LS)

As the legal arm of the PPP Center, the Service plays a significant role in rendering responsive and insightful legal advice and assistance in the course of project development in all projects in the PPP pipeline to ensure that all transactions, project documents, and organizational processes are legally sound and strictly compliant with legal requirements. The LS also assesses potential litigation arising from contract variations and other related operational policy concerns. In conducting legal research and studies, the LS also monitors various laws, administrative issuances, court decisions, and other legal issuances relative to PPP.

In delivering legal support in aid of the smooth operations of the PPP Center, the LS also provides legal opinion and advice on contacts, documents and other legal matters significant to its operations and processes.

3.11.6 Administrative Service (AdS)

In sustaining the operations of the PPP Center, the AdS provides general administration, support, and coordination services to ensure and promote effective and cost-efficient systems, procedures, and practices through human, financial, and physical resource management.

3.11.7 Policy Formulation, Project Evaluation & Monitoring Service (PFPEMS)

With the end goal of strengthening the PPP policy environment, the PFPEMS shall take steps in identifying, formulating, recommending, and advocating policy procedures and guidelines, reviews, studies and researches, and reforms on the numerous policy issues and bottlenecks for the development, appraisal, implementation, and monitoring and evaluation of PPP projects and contracts in consultation with appropriate oversight committees, implementing agencies, and the private sector.

The PFPEMS also facilitates the appraisal and approval of PPP projects by the Investment Coordination Committee (ICC) and the National Economic and Development Authority (NEDA) Board.

In contract monitoring of PPP projects for implementation, the PFPEMS renders its technical, financial, and legal advisory assistance and intervention to various issues and concerns in coordination among the implementing agencies, winning concessionaire and its contractors, and the independent consultant to ensure that contractual milestones and obligations are observed by all parties.

3.11.8 Capacity Building & Knowledge Management Service (CBKMS)

Working hand in hand with national government agencies and departments, government-owned-and controlled corporations, and local government units, the CBKMS provides capacity building activities to implementing agencies, such as project identification and selection, development, preparation, procurement, and implementation, to ensure a sustainable pipeline of properly-prepared PPP projects.

As a knowledge center on PPPs, the Service provides timely, reliable, and accurate information and promotes the agenda of the PPP Program through various media, and establishes networks and institutional linkages with various organizations involved in PPPs. With its ICT infrastructure, the CBKMS manages and maintains a knowledge management (KM) portal and its components as a strategic KM tool for an accurate and updated, detailed and comprehensive IT implementation strategy.

4. OPERATIONAL CONTROL AND SUPERVISION

4.1 PPP Center Top Management

The Top Management consists of the Executive Director and the Deputy Executive Directors.

The following are the roles and responsibilities of the PPPC Top Management:

a. Assigns responsibility and authority for all activities related to the QMS
b. Ensures QMS performance
c. Ensures that reporting on the QMS performance is conducted, such as:
   i. Customer satisfaction and feedback from stakeholders;
   ii. Extent to which quality objectives have been met;
   iii. Audit results;
   iv. Nonconformities and corrective actions;
   v. Monitoring and measurement results;
   vi. Report on Change Management, as applicable; and
   vii. Performance of external providers

d. Ensure that the Center's vision and mission and quality policy remain to be relevant
e. Determines the strategic objective(s) and cascades them to the entire organization
f. Approves the annual quality objectives (PREXC Indicators and Targets of the Center and the work and financial plans of the Services)
g. Approves the composition of the QMS Internal Audit Team

4.2 PPP Center Management Committee (ManCom)

The ManCom consists of the Top Management and the Service Directors.

The following are the roles and responsibilities of the ManCom:

a. Conducts monthly team meetings
b. Conducts regular Management Review
c. Conducts special meetings as needed

4.3 Supervisory and Operational Controls

4.3.1 PPP Center ISO Steering Committee

The ISO Steering Committee is composed of the Executive Director, the two (2) Deputy Executive Directors and Chief of Corporate Planning and Development Division with the following functions:

a. Define the Center's policies and guidelines, as appropriate, on the formulation, approval, implementation and monitoring of unit policies relative to the Center's Quality Management System and ISO certification initiatives;
b. Evaluate and approve the need for and outputs of external consultants and experts relative to all required works in establishing the Center's Quality Management System and securing and maintaining the relevant ISO certification for the organization;
c. Monitor and address, as appropriate, implementation issues of the Center's ISO Certification initiative and Quality Management System;
d. Identify and create sub-committees and working groups as may be required; and
e. Develop its internal rules, procedures and policies to govern the proper discharge of its functions.

4.3.2 PPP Center Quality Manager

The Head of the Corporate Planning and Development Division acts as the Quality Manager.

The following are the roles and responsibilities of the Quality Manager:

a. Monitor the quality objectives that have been established by each Service Unit;
b. Reports achievement or non-achievement of the Quality Objectives to ISO Steering Committee;
c. Communicate with customers (both internal and external) on quality matters/issues;
d. Maintains a record of all quality issues raised;
e. Selects and recommends the Internal Audit Team to top management;
f. Plans the schedules of Internal Audits;
g. Provides overall direction to the IA Team;
h. Determines the non-conformity and corrective action processes; and
i. Ensures the proper Corrective Actions are made.

4.3.3 PPP Center ISO Core Team

The ISO Core Team serves as the working group enabling the Services and the Center to complete the requirements in developing and implementing an ISO-Certifiable QMS. The ISO Core Team is headed by the Quality Manager.

The ISO Core Team members have the following roles and responsibilities:

a. Identify interested parties of the QMS and determine their requirements;
b. Prepare process flow charts or process maps for all the processes identified;
c. Maintain the process integration flow of the QMS in their respective Services;

d. Assist in the Service Director in determining the risks and opportunities that can affect service conformance;
e. Prepare the Risk Management Plan (RMP);
f. Monitor and evaluate the RMP periodically;
g. Ensure that the services performed meets customer requirements, through inspection or by any other means; and
h. Submit reports, results of RMP evaluation and results of inspection to the QMS Manager.

4.3.4 Internal Audit Team

The Internal Audit Team is tasked to do the following:

a. Prepares, coordinates and implements the audit plan which shall be reviewed by the ISO Steering Committee;
b. Identifies the necessary resources for managing audit plan;
c. Provides inputs during management review regarding audit finding; and
d. Monitors and maintains records of implementation of corrective and preventive actions for non-conformance found during audits.

5. PPP Center QMS Scope and Process Model

5.1 PPP Center QMS Scope

The scope of the PPPC's QMS includes technical assistance and advisory services during development, structuring, evaluation, and monitoring of projects; policy formulation; capacity building; and knowledge management; with the assistance of the various support services of the Center.

Exclusions:

Clause 8.3 Design and development of products and services
This clause is not included since the Center is only involved in the provision of services for implementing agencies but does not perform any design function.

5.1.1 Project Development

Project Development pertains to the process of arriving at a technically feasible, economically viable, and bankable project that meets the objectives set by an implementing agency. The technical assistance of the PPPC includes the following:

1. Preparation of the Project Concept Note
2. Conduct of Pre-Feasibility Studies
3. Providing Consultants and Advisors for the conduct of Feasibility Studies through the Project Development and Monitoring Facility
4. Review of Feasibility Studies
5. In connection with Unsolicited Proposals, assist IAs in reviewing such proposals
6. Preparation of Project Evaluation Forms required by the approving body

5.1.2 Project Structuring

Project Structuring is a subset of Project Development. It is the process of determining the most suitable combination of:

1. Scope of private sector participation
2. Financing structure
3. Contractual arrangement
4. Risk allocation
5. Government undertakings

that would make a project bankable yet acceptable to the approving body.

The technical assistance that could be provided by the PPPC is in guiding IAs on the process and in providing consultants through the PDMF.

5.1.3 Project Evaluation

Project Evaluation is the process of assessing the technical feasibility, the economic viability, the financial viability, the bankability of a PPP project, and the compliance of the proposed project structure and project terms with existing laws and policies.

The PPPC conducts the above process as part of its role as a member of the Technical Board of the Investment Coordination Committee.

5.1.4 Project Monitoring

Project Monitoring takes place during the implementation phase of a project, specifically, after the awarding of the PPP contract. The progress of the contracting parties' compliance with contractual obligations and the delivery of their respective outputs are monitored and reported. Also reported are issues affecting the progress of the project and the actions to be taken to address those issues.

The PPP Center can assist IAs in setting up a Project Monitoring System using the Project Monitoring Framework and Protocols issued by the PPP Governing Board.

5.1.5 Policy Formulation

Policy Formulation starts with the identification of issues in implementing PPPs that can be addressed through the promulgation of appropriate policies. Issues are identified by reviewing past PPP projects and by obtaining feedback from IAs and other stakeholders.

5.1.6 Capacity Building

The PPP Center institutionalized a capacity building program that would promote an environment conducive to the promotion of PPP as a viable option for projects.

Capacity Building includes trainings, internships and briefings to build the competencies of implementing agencies in project development, project structuring, project evaluation and project monitoring.

5.1.7 Knowledge Management

The PPPC provides knowledge products to assist PPP practitioners and to capture best practices and lessons learned from past PPP projects. These knowledge products include case studies, articles and reference materials.

5.1.8 Support Services

5.1.8.1 Planning and Performance Management Support

The planning and performance management support being provided to the core processes of the PPPC through the CPDD include:

1) Provision of assistance in developing quality objectives (also called work and financial plans) that are aligned to the organizational objectives and goals; and

2) Monitoring of the first semester and annual accomplishments, and of the quarterly physical report of operation of the Center and of the different Services.

5.1.8.2 Administrative Support

The administrative support services being provided to the core processes of the PPPC through the ADS include:

1) Provide financial services including financial planning and budgeting preparation, budget execution, financial control and technical assistance on financial management; and

   Provide accounting services including recording of accounts, bookkeeping, analysis, reconciliation of accounts, and preparation of financial reports.

2) Provide services in the areas of recruitment, personnel movement, awards and incentives, employee relations, welfare and benefits, career development, personnel discipline, health and safety;

3) Provide general support services in the areas of records and communication, property, supply and equipment maintenance, utilization and disposal, transport and services, general utility and housekeeping, building and office facilities maintenance, procurement services, and security services;

5.1.8.3 Legal Support

The legal support services being provided to the core processes of the PPPC through the Legal Service include:

1) Rendering of responsive and insightful legal advice and assistance in the entire lifecycle of all projects in the PPP pipeline to ensure that all

transactions, project documents and processes are legally sound and strictly compliant with legal requirements;

2) Assessment of potential litigation arising from contract variations and capacitates the Center to deal with legal matters;

3) Monitoring of various laws, administrative issuances, court decisions, and other legal issuances relative to PPP; and

4) Renders legal advice in the formulation, review and improvement of PPP policies, implementing rules and regulations, as well as other related operational policy concerns;

5) Provision of legal opinion and advice on contracts, documents and other legal matters significant to the Center's operations and processes.

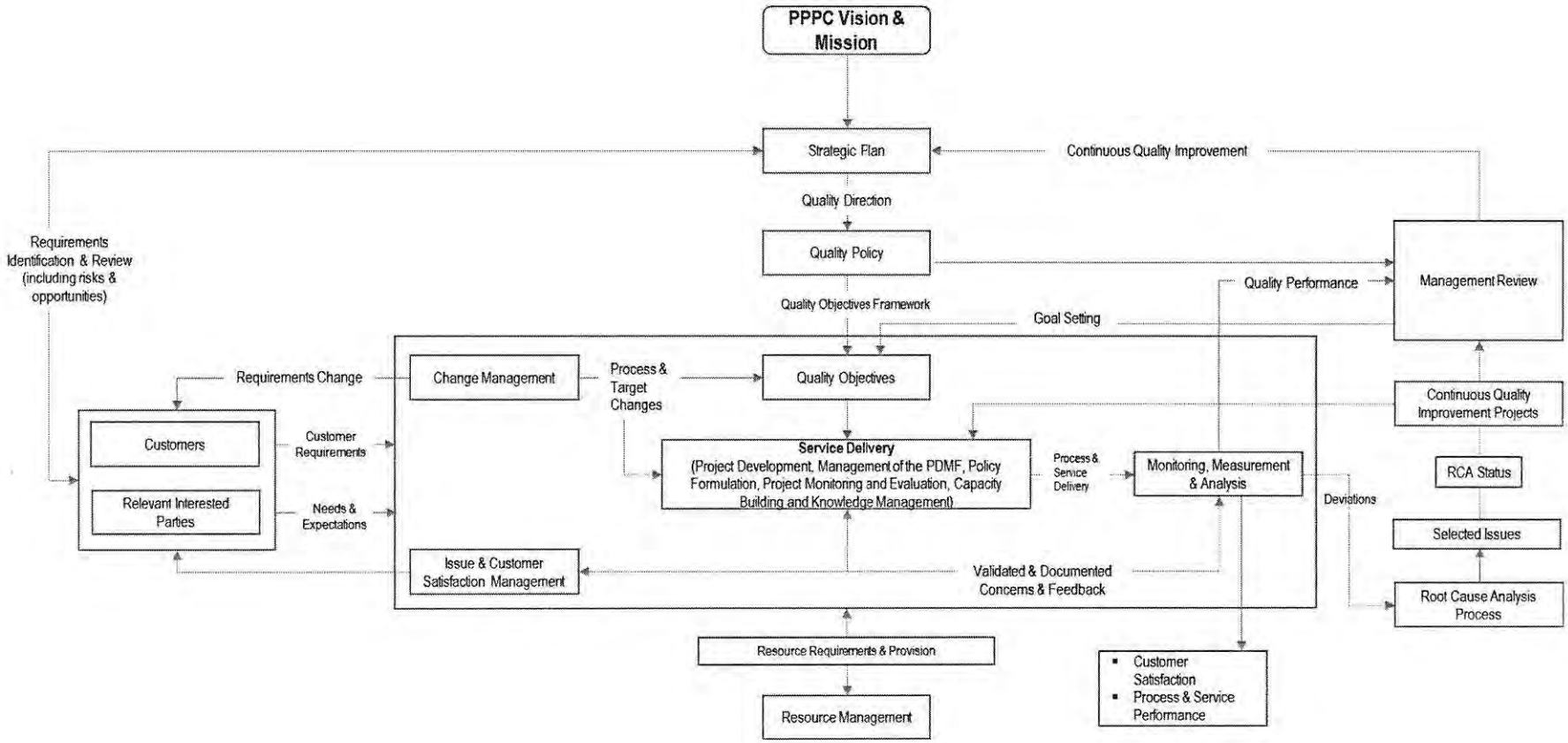
5.1.8.4 Information and Communications Technology Support

The Information and Communications Technology (ICT) Support being provided to the core processes of the PPPC through the Management Information System Division includes, among others, the managing and maintenance of a knowledge management (KM) portal and its components as a strategic KM tool for an accurate and updated, detailed and comprehensive IT implementation strategy.

5.2 PPP Center Process Model

The PPPC's Process Model (Figure 3) adopts the plan, do, check, act framework. The PPPC achieves continuous quality improvement in its operations by: 1) Planning of quality objectives; 2) Execution of work plans functions and of objectives; 3) Regularly monitoring of performance against plans and targets; and 4) Gathering feedback from its stakeholders.

The results of the feedback from stakeholders are then provided to concerned Services as input in improving their operations. It is also discussed by the ManCom during the Management Review.


PPPC Vision & Mission
Strategic Plan
Continuous Quality Improvement
Quality Direction
Quality Policy
Quality Performance
Management Review
Requirements Identification & Review (including risks & opportunities)
Quality Objectives Framework
Goal Setting
Requirements Change
Change Management
Process & Target Changes
Quality Objectives
Continuous Quality Improvement Projects
Customers
Customer Requirements
Service Delivery
(Project Development, Management of the PDMF, Policy Formulation, Project Monitoring and Evaluation, Capacity Building and Knowledge Management)
Process & Service Delivery
Monitoring, Measurement & Analysis
RCA Status
Relevant Interested Parties
Needs & Expectations
Deviations
Selected Issues
Issue & Customer Satisfaction Management
Validated & Documented Concerns & Feedback
Root Cause Analysis Process
Resource Requirements & Provision
Customer Satisfaction
Process & Service Performance
Resource Management

6. Types and Control for External Service Providers

To assist the PPPC in achieving its commitments to all of its stakeholders, it engages the services of consultants and constantly being served by numerous suppliers of goods in the form of office supplies and equipment and other materials.

Control and management for these - from identification of the needed consultancy services and engagement to procurement and management to ensure delivery of quality service and goods, following established procedures.

6.1 Consultancy

The Center engages consultants to assist in completing projects and activities requiring expertise not present in its roster of personnel. For engagements funded by the Center, procedures as outlined in RA 9184 or Civil Service Commission (CSC) rules and regulations are followed. For engagements funded by the Asian Development Bank (ADB) Capacity Development Technical Assistance (CDTA), ADB procurement guidelines is being followed.

Please refer to ADB's guidelines for recruiting consultants (https://www.adb.org/sites/default/files/institutional-document/33431/pai-204.pdf)

The Terms of Reference outlining the deliverables and key milestone activities form part of the consultancy contract which regularly monitored by identified personnel or the concerned group in the PPP Center. To further ensure quality in the outputs of consultants, milestone payments is also practiced.

6.2 Goods

Supply of goods for the Center follows the procedures as outlined by RA 9184 and the Administrative Service internal procedures, while ADB procurement guidelines is used for those funded by said development partner. These procedures include detailed steps in ensuring quality through inspection prior to final acceptance.

Goods, as defined in RA 9184, refer to all items, supplies, materials, and general support services, including non-personal or contractual services, such as security or janitorial services. Further, this excludes consulting services and infrastructure projects.

7. ANNEXES

7.1 Planning Process and Determination of Quality Objectives

The quality objectives are expressed in terms of the following:

1. PREXC Indicators and Targets. PREXC stands for Program Expenditure Classification. It reflects the link between strategies, budgets and results and facilitates the monitoring and evaluation of performance of a government agency

2. Work and financial plans.

   The Services are responsible in defining work and financial plans that support the PREXC indicators and targets. Work and financial plans are incorporated in the personnel commitment forms as prescribed in the Strategic Performance Management System (SPMS). See Section 7.4 for more details on the SPMS.

Quality objectives and the degree to which these are achieved shall be regularly monitored and reported to the Center's Management and ISO Steering Committee through the CPDD.

Consistent with the Center's SPMS and ISO Steering Committee policy, unit heads and their corresponding overseeing Top Management (i.e. Deputy Executive Director) are responsible in monitoring performance of all units and personnel under their supervision.

7.1.1 QMS Planning Process and Documents

As primary input to the Center's establishment of its Quality Management System (QMS), all relevant inputs are gathered to ensure the success of the system.

The development of its QMS and as part of its planning framework, the Center, through its annual assessment and planning activities, conduct the following:

1. Participation to the NEDA-wide assessment and planning activities;
2. Environmental scanning to include, among others, top-level directives, recent policy issuances, formal correspondences and requests, meetings and discussions with concerned individuals and organizations; and
3. Available information from partner institutions and organizations e.g. academe, other government organizations and the private sector

   Following the Center's Strategic Performance Management System (SPMS) and this manual, the Center conducts its annual planning and assessment activities. From top-level alignment of its vision and mission to formulation of strategic plan and the translation or identification of detailed

Service Delivery or unit plans, the Center adheres to the principles of an effective QMS.

Regular monitoring and validation shall be implemented to ensure costumer requirements are fulfilled and needed changes are implemented for continuous improvement of the system.

7.2 List of Internal and Externally-Generated References/Documents Necessary for the Effective Planning and Operations of the QMS

List of Generated Documents for the Implementation of PPPC QMS

Source of Document: Quality Management System

Title of Document/Form	Document Code	Effectivity Date	Revision Number
1. Manual			
1.1 Quality Management System Manual	PPPC MAN-18-01	November 20, 2018	01
2. **Procedures**			
1.1. Control of Non-conformity and Corrective Action Procedure	PPPC PRCD-18-01	May 8, 2018	00
1.2. Internal Audit Procedure	PPPC PRCD-18-02	May 8, 2018	00
1.3. Management Review Procedure	PPPC PRCD-18-03	May 8, 2018	00
1.4. Risk Assessment and Controls Procedure	PPPC PRCD-18-04	May 8, 2018	00
1.5. Control of Documents	PPPC PRCD-18-05	May 8, 2018	00
1.6. Handling Complaints	PPPC PRCD-18-06	May 8, 2018	00
1.7. Change Management	PPPC PRCD-18-07	May 8, 2018	00
2. Forms			
2.1. Internal Quality Audit Plan	PPPC FORM-18-04	May 8, 2018	00

Title of Document/Form	Document Code	Effectivity Date	Revision Number
2.2. Corrective Action Notice Form	PPPC FORM-18-05	May 8, 2018	00
2.3. Corrective Action Report Form	PPPC FORM-18-06	May 8, 2018	00
2.4. Internal Quality Audit Report	PPPC FORM-18-07	May 8, 2018	00
2.5. Change Request Form	PPPC FORM-18-08	May 8, 2018	00
2.6. Document Request Form	PPPC FORM-18-09	May 8, 2018	00
2.7. Document Tracking Form	PPPC FORM-18-10	May 8, 2018	00
2.8. Risk Assessment Matrix Form	PPPC FORM-18-11	May 8, 2018	00

7.3 Mechanisms for Determining Customer Satisfaction and Feedback

The PPPC provides for mechanisms on the solicitation of customer feedbacks in a number of ways to ensure that quality Services are provided at a timely manner. Suggestion and feedback boxes are stationed at the Center's reception area. Complete details of concerned technical personnel and officials are also made available in the Center's official website.

A procedure on handling complaints provides the collection and logging of feedback from clients and determination of appropriate solutions to address the cause of the negative feedback. This also includes providing clients with updated information on the action taken regarding the feedback.

The Center's Services also solicit feedback from their respective clients with corresponding tools and evaluation process which is discussed in the Service's respective Operations Manuals.

7.4 Monitoring of Services, Divisions and Individual Performance through the Strategic Performance Management System (SPMS)

The SPMS is a standard performance management system prescribed by the Civil Service Commission and described in the handbook, PPP Center SPMS. The PPP Center adopts a semestral rating period. However, if there is a need for shorter or longer period, the minimum appraisal period shall be at least ninety (90) days or three (3) months, while the maximum shall not be longer than one (1) year.

7.5 Managing Changes in the Organization

In terms of the Center's plans and programs, changes shall be anchored on the need to satisfy commitments and adapt to change or shift in policy directly affecting the delivery of its mandate.

As part of the Centers' QMS, a Change Management Plan shall be followed wherein the following principles are adhered to:

Identification: Proposed improvements (need for change) are welcome from every member of the organization.

Validation. Through in-depth analysis and stakeholder engagement, proposed changes are to be presented to and validated and approved by the respective heads of units concerned and the ISO Steering Committee for changes involving the entire Center.

Strategy. The means to effect the change and the responsible unit or personnel shall be a critical part of the system. These shall be clearly defined.

Implementation and Evaluation. The strategy shall be implemented by all those concerned and evaluated for its effectiveness and the positive contribution it has made to the system and the Center.

7.6 Operations Procedure

The Service Operations Manual lays out the guidelines in effectively performing and completing the core processes/ area of operations of each of the PPPC Services.

The controlled copy of the manuals is maintained in an online platform managed by the ISO Steering Committee.

7.7 Tools, forms, templates, guidelines or procedures for the following processes:

7.7.1 Control of Documented Information

Control of Documents

The Center has a procedure on the control of documented information relating to the Center's QMS. This includes the creation, review, approval, revision, registration and distribution of documents.

Control of Records

The PPPC has established a handbook on Recordkeeping Policies and Procedures, which serves as a definitive source of instructions and guidance on the basic principles of sound records and information management applicable to the types and nature of records and the functions of the Records and Archives Unit of the PPPC.

The handbook provides guidelines on how to: (a) designate authority for the implementation of a centralized files plan for all recordkeeping activities and phases of the records management program; (b) clarify the responsibilities and functions of records management in the PPPC; (c) establish uniform applications and practices, office-wide, in the creation, processing, maintenance, retention, destruction, and preservation of records; (d) guide designated records custodians responsible for the custody and safekeeping of documents and records, with the end in view of bringing about efficiency, effectiveness, promptness, accuracy and economy in the delivery of records management services.

Please refer to PPPC's Recordkeeping Policies and Procedures Handbook.

7.7.2 Internal Audit for QMS

The Internal Audit determines the Center's degree of continued conformance to ISO 9001:2015 standards and serves as a tool in ensuring that the organization's QMS is effectively implemented and maintained.

The audit is done according to a procedure (Internal Audit Procedure) and is based on Internal Audit plans that evaluate the effectiveness and efficiency of the Center's management and operations. The Internal Audit shall be done at least once a year.

7.7.3 Control of Non-Conforming Outputs and Corrective Action

The PPPC has defined the procedure for identifying, documenting and analyzing non-conformities pertaining to the Center's outputs as prescribed under the QMS processes. This is also utilized in mitigating the impact of identified non-conformities by implementing appropriate corrective actions.

The PPPC, in maintaining its QMS, will be able to eliminate actual and potential deficiencies by proactively investigating its non-conformities and implementing actions to prevent or manage future occurrence.

Please refer to PPPC's procedure for the implementation of the Control of Non-Conforming Outputs and Corrective Action.

7.7.4 Management Review

The PPPC has defined the procedure for management review, which requires the Top Management to determine and evaluate the implementation of its QMS, the need for change for the system's improvement as well as the alignment of the policies and objectives with the strategic direction of the Center.

The management review of the Center shall be done once a year or more, if appropriate.

Please refer to PPPC's procedure for the implementation of the Management Review.

7.7.5 Risk Assessment and Controls

The PPPC has defined the procedure for the conduct of risk assessment, which covers the overall process of risk identification, risk analysis and risk evaluation. The risk assessment provides understanding of the Center's risks, their causes, consequences (severity) and probabilities (likelihood). The result of risk assessment serves as input to decisions on: a) whether an activity should be undertaken; b) how to maximize opportunities; c) whether risks need to be treated; and d) prioritizing risk treatment options.

The Center can also conduct stakeholders' consultation activities to gather all the concerns and inputs.

The gathered inputs are systematically processed and inputted in the Center's Risk Assessment Matrix. The risk-based approach ensures that plans and targets and the quality objectives of the Center are achieved.

The Center's planning process shall include risk identification and the appropriate initiatives to ensure crafted plans consider the impact of these risks and how these shall be managed.

Action plans are formulated annually following the Center's Strategic Performance Management System (SPMS). The Center's QMS is guided and complemented by the SPMS in the areas of planning, commitment-setting and management of expected deliverables from the organization down to the individual.

To ensure attainment of goals, delivery of set targets and determine any needed amendment to the QMS and plans of the Center, regular mid and year-end assessments are conducted. These activities enable the organization and the different units (Services to Divisions to individuals) to objectively 1) determine the extent to which targets and commitments were achieved and 2) ability to continue delivering the commitments at expected quality and 3) recommend any appropriate measures such as catch-up plans or changes in the initially identified targets.

Action plans and the corresponding programs, projects and activities (PAPS) are determined by the concerned units following the strategic direction provided by the Management. The matrix of risks shall include the identification of both the impact and required treatments or mitigating measures to manage said risks and address all of the projected impact on the organization and attainment of its quality objectives.

Please refer to PPPC's procedure for the implementation of the Risk Assessment and Controls.