






Quality Management System Manual

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1 Introduction


The Public-Private Partnership Center (PPPC) Quality Management System (QMS) Manual and its attached documents aims to:

1. Describe the basic elements of the PPPC's QMS;
2. Serve as reference on the development of materials at the operations level pertaining to the implementation of the QMS; and
3. Inform the stakeholders on 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 regular review and amendment. The online controlled copy of this manual is maintained in the PPP Center Knowledge Hub (<https://projectdatabank.ppp.gov.ph/documentcenter/>) and managed by the ISO Steering Committee Secretariat. Controlled hard copy is maintained by the Records Officer of the General Services Division (GSD).

2 Definition of Terms and Acronyms

<u>Terms</u>	<u>Definitions</u>
PPP Code	Also known as Republic Act 11966, this law serves as the unified framework for PPPs in the Philippines and supersedes the Amended BOT Law, NEDA Joint Venture Guidelines, and local PPP codes, among others.
Amended BOT Law	Republic Act 6957 as 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 PPPC of the Philippines. Under EO 8, the PPPC is now an attached agency of the National Economic and Development Authority (NEDA)

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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 (PPP GB). 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 GB 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 (IA) and a private firm targeted toward 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.



<u>Acronym</u>	<u>Full Text</u>
1. ADB	Asian Development Bank
2. BOT	Build-Operate-Transfer
3. CSC	Civil Service Commission
4. FS	Feasibility Study
5. IA	Implementing agency
6. ICC	Investment Coordination Committee
7. ICT	Information and Communications Technology
8. IRR	Implementing Rules and Regulations
9. JV	Joint Venture
10. KM	Knowledge Management
11. KPI	Key Performance Indicator
12. LGU	Local Government Unit
13. MANCOM	Management Committee
14. NEDA	National Economic and Development Authority
15. PDF	Project Development Facility
16. PDMF	Project Development and Monitoring Facility
17. PPPGB	Public-Private Partnership Governing Board
18. PPPC	Public-Private Partnership Center
19. PREXC	Program Expenditure Classification
20. QMS	Quality Management System
21. RAM	Risk Assessment Matrix
22. RFP	Request for Proposal
23. SPMS	Strategic Performance Management System
24. TAA	Technical Assistance Agreement
25. TOR	Terms of Reference

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3 PPPC Profile


3.1 Creation of the PPPC

The Build-Operate-Transfer (BOT) Center, by virtue of the Executive Order (EO) No. 8, series of 2010, was renamed the Public-Private Partnership Center of the Philippines and was transferred as an attached agency of the Department of Trade and Industry (DTI) to the National Economic and Development Authority (NEDA). In December 2023, the PPPC was institutionalized through the enactment of Republic Act No. 11966 or the Public-Private Partnership Code of the Philippines.

3.2 Powers and functions of the PPPC

Pursuant to Republic Act No. 11966 and its Implementing Rules and Regulations (IRR), the PPPC's mandates are as follows:

- a. Assist Implementing Agencies in identifying, prioritizing, developing, and maintaining a pipeline of PPP Projects;
- b. Provide project advisory services and technical assistance to Implementing Agencies, Approving Bodies, and other oversight agencies in all PPP-related matters, and act as a procurement agent upon the request of the Implementing Agency, in accordance with Section 156 of the PPP Code IRR;
- c. Facilitate the appraisal and approval of PPP Projects by the ICC and the NEDA Board;
- d. Review PPP Contracts pursuant to Section 8(a) of the Code and Section 80 of the PPP Code IRR;
- e. Require the submission of PPP Project documents including executed PPP Contracts, and any subsequent amendment or supplement thereto, including settlement agreements, entered into by Implementing Agencies, notwithstanding the confidentiality clauses that are stipulated therein;
- f. Provide regular monitoring and status reports on the implementation of the PPP Program and all PPP Projects entered into by Implementing Agencies, including potential public interest concerns and violations of the PPP Code, to the Office of the President, the Congress of the Philippines, and relevant oversight committees and agencies, and publish the same in the official website of the PPP Center unless otherwise prohibited by existing laws, rules, and regulations;
- g. Serve as the central repository of all PPP Project information;
- h. Develop the capacities of Implementing Agencies, Approving Bodies, PPP units referred to in Section 28 of the PPP Code and Title III,

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Chapter 1 of the PPP Code IRR, and other relevant stakeholders on PPPs;


- i. Promote and market the PPP Program and PPP Projects, in collaboration with other government investment promotion agencies;
- j. Recommend plans, policies, and implementation guidelines related to PPPs, in consultation with appropriate oversight committees or agencies, Implementing Agencies, private sector, and other relevant stakeholders;
- k. Draft policy matter opinions for approval by the PPP Governing Board in response to requests by government agencies and private entities;
- l. Issue non-policy matter opinions relating to PPPs;
- m. Ensure sustainability of the implemented PPP Program and PPP Projects through monitoring, documenting, and sharing the lessons learned and best practices to Implementing Agencies, Approving Bodies, oversight committees or agencies, and other relevant stakeholders;
- n. Advise and assist Implementing Agencies and oversight agencies in developing and periodically updating an organizational development plan that will enable them to competently perform their functions under the Code and this IRR; and recommend to the DBM the appropriate structure of a PPP unit referred to in Title III, Chapter 1 of the PPP Code IRR, including the standards of training, qualification, and compensation for necessary personnel under these organizational development plans;
- o. Manage and administer the Project Development and Monitoring Facility (PDMF) as provided in Section 26 of the PPP Code and Title XIX of the PPP Code IRR;
- p. Manage and administer the PPP Risk Management Fund as provided in Section 27 of the PPP Code and Title XX of the PPP Code IRR;
- q. Act as Secretariat to the PDMF Committee and the PPP Governing Board; and
- r. Perform such other functions as may be necessary to achieve the objectives and purposes of the Code and this IRR.

3.3 PPPC's Vision

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

3.4 PPPC's Mission

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

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3.5 PPPC'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 PPPs in the country.
3. **Pro-activeness.** As prime movers in PPPs 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 PPP targets. We will continuously innovate our processes to maintain an investment climate where our partners can operate on a level playing field.

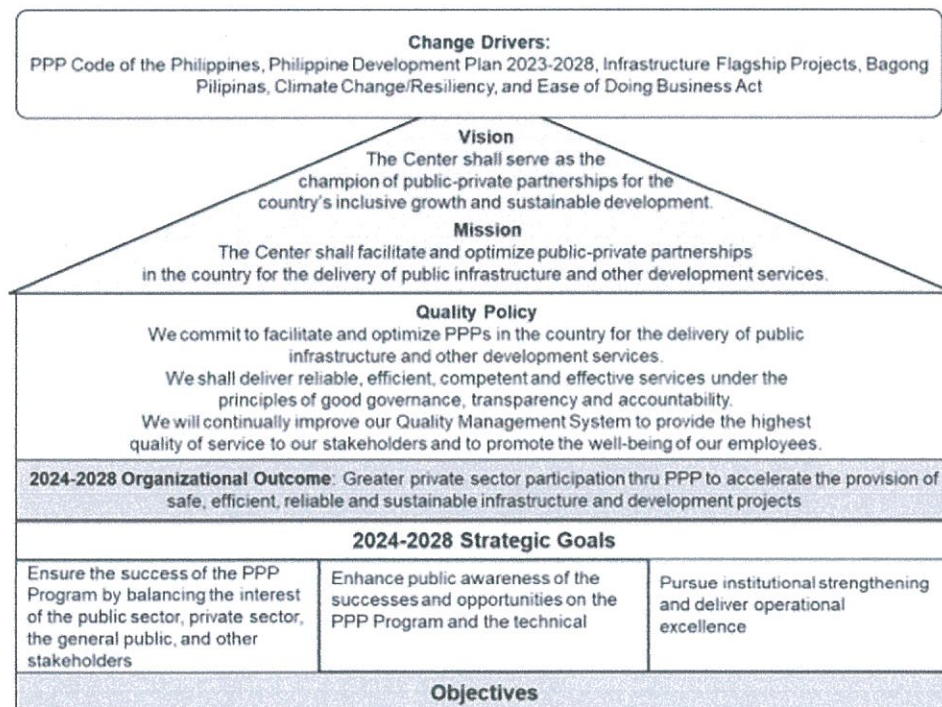
3.6 PPPC's Strategy

The PPPC's overall strategy is periodically updated, generally once during a Presidential administration. For the period of 2024-2028, the PPPC's strategy is focused on the attainment of three overall strategic objectives:

1. **Strategic objective 1: Ensure the success of the PPP program by balancing the interests of the public sector, private sector, the general public, and other stakeholders.**
 - a. Ensure the progression of PPP Projects.
 - b. Draft and secure approval for the necessary policy issuances relevant to the PPP program.
 - c. Provide inputs to PPP policy initiatives of other institutions.
 - d. Ensure the development of well-prepared and complete PPP project study and documentation that will allow the approving body to objectively assess the project.
 - e. Determine completeness of unsolicited proposals pursuant to the PPP Code and its IRR.
 - f. Assist the approving authority in its evaluation of PPP projects and ensure compliance of the approval process.
 - g. Ensure compliance and completeness of the bid/ tender documents to relevant rules and regulations.
 - h. Monitor contractual obligations and manage risks so that PPP projects are implemented as expected, and in the process, document lessons learned

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- i. Capacitate implementing agencies and other stakeholders in PPPs.
2. **Strategic objective 2: Enhance public awareness of the successes and opportunities on the PPP Program and the technical expertise of the PPPC.**
 3. **Strategic objective 3: Pursue institutional strengthening and deliver operational excellence.**
 - a. Sustain the delivery of learning, development, and growth interventions for PPPC employees.
 - b. Ensure judicious and accountable utilization of resources
 - c. Deploy capacity development programs in an effective and strategic manner
 - d. Harness resources to support the PPP knowledge needs of the Center and its stakeholders
 - e. Provide reliable, accessible, and secure IT infrastructure, systems, connectivity, and access to data
 - f. Sustain high client satisfaction through responsive internal and external processes
 - g. Secure external resources and support to complement institutional capacities
 - h. Ensure the least legal risk while promoting successful project and organizational outcome




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Figure 1. Strategy House

3.7 Annual planning

Consistent with government practices on performance management, the PPPC shall conduct annual planning. During the planning activities, the Services shall identify internal and external factors that may affect its strategy, assess the accomplishment of the current year’s quality objectives, , plan for the next set of quality objectives and review the risk assessment matrix. Performance review is done during mid-year and year-end planning.


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 annual plans. The MANCOM consists of the Executive Director, Deputy Executive Directors (DED), and Service Directors.

3.8 Key Stakeholders

STAKEHOLDERS	REQUIRED FROM PPPC
1. Approving bodies as provided under the Republic Act No. 11966 (e.g., NEDA Board, NEDA ICC Cabinet Committee, Heads of Implementing Agencies, <i>Sanggunians</i>)	<ul style="list-style-type: none"> • Technical inputs and sound recommendations that will enable them to decide on the project in a responsible and timely manner.
2. Consultants	<ul style="list-style-type: none"> • Relevant and timely feedback on required outputs. • Timely payment for services rendered.
3. General public	<ul style="list-style-type: none"> • Smooth delivery of PPP projects. • Timely and responsive updates on information concerning PPP projects • Appropriate responses to issues concerning PPP projects. • Proper public consultation on the acceptability of PPP projects



STAKEHOLDERS	REQUIRED FROM PPPC
<p>4. Implementing Agencies (IAs)</p> <ul style="list-style-type: none"> • National Government Agencies (NGAs) • Government-owned-and controlled corporations (GOCCs) • Government financial institutions (GFIs) • State Universities and Colleges (SUCs) • LGUs 	<ul style="list-style-type: none"> • Timely and responsive technical assistance in developing and implementing PPP projects • Up-to-date information on PPP projects and policies
<p>5. Local capacity-building institutions</p>	<ul style="list-style-type: none"> • Technical training and assistance and support in marketing training services.
<p>6. Media</p>	<ul style="list-style-type: none"> • Accurate, responsive, and updated information on PPP projects via press releases, press conferences, social media posts, and other means of information dissemination.
<p>7. Oversight agencies, regulators, and development partners</p>	<ul style="list-style-type: none"> • Compliance with statutory and regulatory requirements. • Timely and accurate information on the status and progress of PPP projects. • Assistance in addressing PPP projects' issues and concerns.
<p>8. PDMF Committee</p>	<ul style="list-style-type: none"> • Administrative and technical support on the evaluation of PDMF applications • Properly evaluated PDMF applications
<p>9. Legislature</p> <ul style="list-style-type: none"> • House of Representatives • Senate 	<ul style="list-style-type: none"> • Timely, accurate, and responsive inputs on all PPP-related matters.
<p>10. PPP Governing Board (PPPGB)</p>	<ul style="list-style-type: none"> • Well-researched and well-written policy proposals for consideration of the Board.

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STAKEHOLDERS	REQUIRED FROM PPPC
	<ul style="list-style-type: none"> Timely raising of issues concerning PPPs that need Board action.
11. PPPC employees	<ul style="list-style-type: none"> Policies that balance employee welfare with the attainment of PPPC's mandates. Maintenance of PPPC reputation as a competent and respected professional organization.
12. Private sector	<ul style="list-style-type: none"> Timely and fair response to private sector concerns regarding the PPP program in general and specific PPP projects. Maintenance of an efficient and fair procurement process.
13. Suppliers	<ul style="list-style-type: none"> Timely release of payment upon acceptance of deliverables

3.9 PPPC Quality Policy


The PPPC commits to providing 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 and remains unmodified as of this Manual's updating:

"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."

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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

Pursuant to Section 24 of the PPP Code of the Philippines, the PPPC shall report directly to the PPPGB and shall be attached to NEDA for the purposes of policy and program coordination.

The PPPC is composed of seven Services as shown in the image below. Following the enactment of the PPP Code, the PPPC is undergoing a gradual reorganization process and is awaiting DBM’s approval of an organizational expansion proposal.

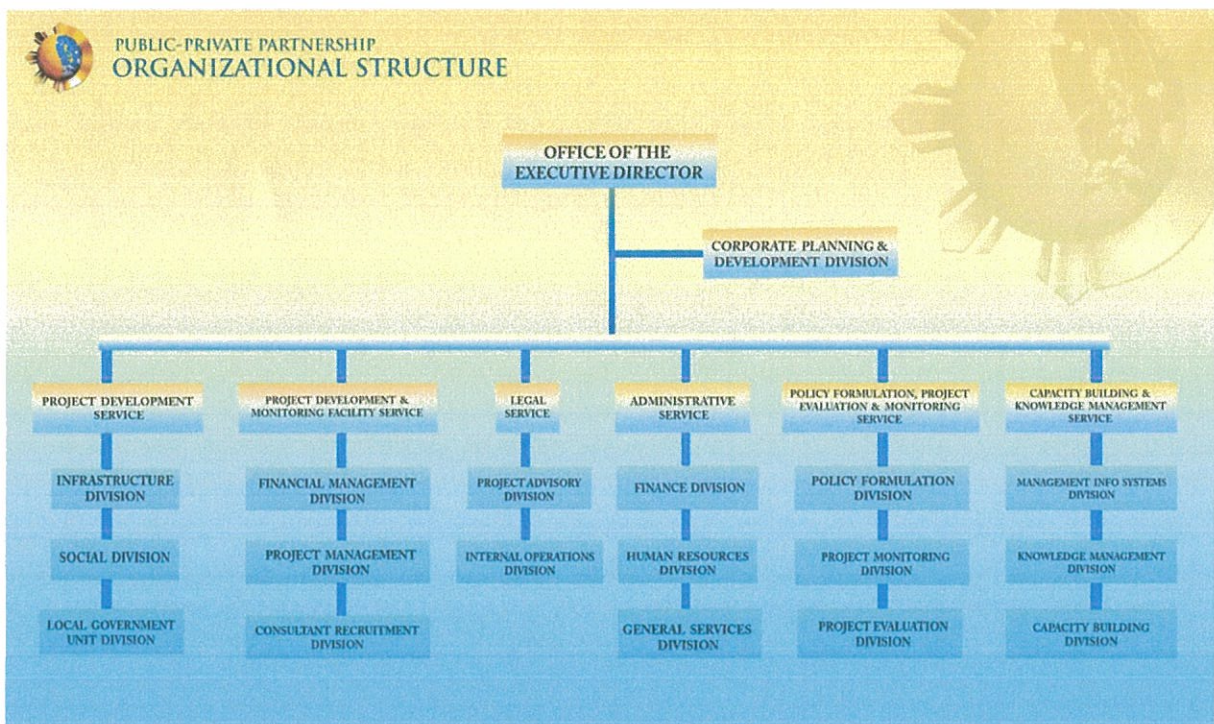



Figure 2. PPP Center Organizational Structure

The administrative and technical supervision of the top management over the various Services of the PPPC is defined under Office Circular No. 010, series of 2023. The following are the arrangements under the said Circular:

1. The Executive Director shall directly supervise the technical tasks of the Project Development Service and the management and administration of

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the capacity building program of the Capacity Building Division of the Capacity Building and Knowledge Management Service (CBKMS).

2. The Executive Director and Deputy Executive Director 1 shall jointly supervise the Corporate Planning and Development Division.
3. The Deputy Executive Director 1 shall supervise the Administrative Service, Project Development and Monitoring Facility Service, and the Management Information System Division of CBKMS.
4. The Deputy Executive Director 2 shall supervise the Policy Formulation, Project Evaluation, and Monitoring Service (PFPEMS), the Legal Service, and the Knowledge Management Division of the CBKMS.

3.11 Functions of PPPC Services

3.11.1 OED

Headed by the Executive Director, with the support of the two Deputy Executive Directors, the OED takes the lead role in overseeing and ensuring the effective implementation of the Center's mandates and strategies.


3.11.2 CPDD

The CPDD assists the top management in setting the PPPC's strategic direction and implementing effective performance management. It is also the division responsible for facilitating the annual planning activities. Moreover, it ensures the implementation of an effective quality management system (QMS) and also serves as the technical secretariat to the Management Committee and Performance Management Team (PMT).

3.11.3 PDS

The PDS extends facilitation, advisory, and technical assistance to various implementing agencies during the project development (i.e., project conceptualization and approval) and procurement stages (i.e., bidding/competitive challenge and award). The specific tasks undertaken by the PDS include, among others:

- i. preliminary assessment of the project's viability for PPP implementation, including potential for PDMF support;
- ii. review of project concepts and proposals to be presented and discussed with the concerned IAs/LGUs;
- iii. assistance in the actual conduct of bidding (i.e. pre-qualification processes, evaluation of bids, contract review, etc.) or overall

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- management of the bidding process;
- iv. identification and provision of solutions for or management of various technical, financial, legal, and contractual issues and challenges related to project development, approval, and implementation; and
- v. review and finalization of draft contracts and other bidding documents (e.g. RFP instructions to Bidders, etc.)

PDS also assists:

- vi. PDMFS in reviewing PDMF-supported project documents (e.g. PDMF Application Forms, Technical Assistance Agreements (TAAs), Terms of Reference (TOR) of consultants, FS, interim report, etc.);
- vii. PFPEMS in reviewing policy-related documents, project approval documents directly submitted to the ICC, and in project monitoring activities;
- viii. CBKMS as a resource person during capacity building activities, and;
- ix. other internal and external clients, as the need arises.

3.11.4 PDMFS

The PDMFS manages and administers the PDMF, a funding mechanism available to implementing agencies for developing well-structured and bankable PPP projects and ensuring effective monitoring of project implementation.


Furthermore, the PDMFS screens, evaluates, and processes applications for PDMF support. It is in charge of consultant selection and thereafter, management of consultants and consulting service contracts, and monitoring the availability and efficient utilization of the Fund. The PDMFS also acts as the Secretariat of the PDMF Committee.

3.11.5 LS

The LS provides legal advice and assistance to ensure that all transactions, project documents, and processes, are legally sound and compliant. The LS also assesses potential litigation arising from contracts, letters, and other documents, and capacitates the PPPC to deal with such legal matters.

In conducting legal research and studies, the LS monitors various laws, administrative issuances, court decisions, and other legal issuances relative to PPP. Further, the LS renders legal advice in the formulation, review, and improvement of PPP policies and IRRs, as well as other related policy concerns.

3.11.6 ADS

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The ADS is tasked to ensure efficient and judicious utilization of human, physical, and financial resources of the PPPC. It shall:

- i. formulate, implement, and update on a continuing basis, a comprehensive and integrated human, financial, and physical resources management program;
- ii. provide services in the areas of recruitment, personnel movement, awards and incentives, employee relations, welfare and benefits, career development, personnel discipline, and health and safety;
- iii. provide general support services in the areas of records and communication, property, supply and equipment maintenance, utilization and disposal, transport services, general utility and housekeeping, building and office facilities maintenance, procurement services, and security services;
- iv. provide financial services including financial planning and budget preparation, budget execution, financial control, and technical assistance on financial management; and
- v. provide accounting services including recording of accounts, bookkeeping, analysis, reconciliation of accounts, and preparation of financial reports.


3.11.7 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 research, 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 reviews and evaluates the proposed PPP projects which are submitted to the ICC for approval, and subsequently to the NEDA Board for confirmation, as necessary.

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 with 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 CBKMS

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Working hand-in-hand with national government agencies and departments, GOCCs, and LGUs, the CBKMS provides capacity-building activities to IAs, focusing on 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. CBKMS also 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 comprehensive IT implementation strategy.

4 Operational control and supervision


4.1 PPPC Top Management

The Top Management consists of the Executive Director and the DEDs, who shall have the following roles and responsibilities:

- a. Assigns responsibilities 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. Ensures that the Center's vision, mission, and quality policy remain 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 Internal Audit Team

4.2 PPPC MANCOM

The MANCOM consists of the Top Management and the Service Directors. The following are the roles and responsibilities of the MANCOM:

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- a. Convene regularly within agreed intervals (either once or twice a month depending on scheduling availability) for meetings to discuss pressing concerns, major Service updates, and issues that need to be resolved;
- b. Conduct regular Management Review; and
- c. Conduct special meetings as needed.

In the case of MANCOM meetings, the attendees may not be limited to MANCOM members. Division Chiefs and other relevant personnel who are not MANCOM members may also participate in the meeting, as needed.

4.3 Supervisory and Operational Controls

4.3.1 PPPC ISO Steering Committee


The ISO Steering Committee is composed of the Executive Director, the two DEDs, and the Chief of CPDD, with the following functions:

- a. Define the Center's policies and guidelines, as appropriate, on the formulation, approval, implementation, and monitoring of policies relative to the Center's QMS and ISO certification initiatives;
- b. Evaluate and approve the outputs of external consultants and experts relative to all required works in establishing the Center's QMS 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 QMS;
- 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 PPPC Quality Manager

The Head of the CPDD acts as the Quality Manager, with the following responsibilities:

- a. Monitor the quality objectives that have been established by each Service Unit;
- b. Report achievement or non-achievement of the quality objectives to the ISO Steering Committee;
- c. Communicate with customers (both internal and external) on quality matters or issues;
- d. Maintain a record of all quality issues raised;
- e. Select the members of the Internal Audit Team and recommend the same to top management;

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- f. Plan the schedules of Internal Audits;
- g. Provide overall direction to the Internal Audit Team;
- h. Determine the non-conformity and corrective action processes that should be undertaken; and
- i. Ensure that the proper Corrective Actions are made.

4.3.3 PPP Center ISO Core Team

The ISO Core Team, headed by the Quality Manager, 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 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 the Service Director in determining the risks and opportunities that can affect service conformance;
- e. Prepare the Risk Assessment Matrix (RAM);
- f. Monitor and evaluate the RAM periodically; and
- g. Ensure that the services performed meet customer requirements, through inspection or by any other means.

4.3.4 Internal Audit Team


The Internal Audit Team is tasked to do the following:

- a. Prepare, coordinate, and implement the audit plan which shall be reviewed by the ISO Steering Committee;
- b. Identify the necessary resources for managing the audit plan;
- c. Provide inputs during management review regarding audit findings; and
- d. Monitor and maintain records of implementation of corrective and preventive actions for non-conformance found during audits.

5 PPPC QMS Scope and Process Model

5.1 PPPC QMS Scope

The scope of the PPPC's QMS includes the provision of technical assistance

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and advisory services during the 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 7.1.5.2 Measure traceability

This clause is not included since there is no measuring equipment being utilized by the Center to monitor or measure a process.

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 IA. The technical assistance of the PPPC includes the following:

- a. preparation of the Project Concept Note
- b. conduct of pre-feasibility studies
- c. provision of consultants and advisors for the conduct of FS through the PDMF
- d. review of FS
- e. assistance to IAs in reviewing unsolicited proposals
- f. 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:

- a. scope of private sector participation;
- b. financing structure
- c. contractual arrangement;
- d. risk allocation; and
- e. government undertakings

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

5.1.3 Project evaluation

Project evaluation is the process of assessing the technical, economic, and financial viability, the bankability of a PPP project, and the compliance of the

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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 ICC.

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 being monitored and reported to relevant stakeholders. The issues affecting the progress of the project and the actions to be taken to address those issues are likewise being reported.

The PPPC assists IAs in setting up a Project Monitoring System using the Project Monitoring Framework and Protocols issued by the PPP GB.

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 PPPC 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 that build the competencies of IAs in project development, structuring, evaluation, and 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

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the core processes of the PPPC through the CPDD include:

- a. Provision of assistance in developing quality objectives (also called work and financial plans) that are aligned to the organizational objectives and goals; and
- b. Monitoring of the semesterly 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:

- a. services in the areas of recruitment, personnel movement, awards and incentives, employee relations, welfare and benefits, career development, personnel discipline, and health and safety;
- b. 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;
- c. financial services including financial planning and budgeting preparation, budget execution, financial control and technical assistance on financial management; and
- d. accounting services including recording of accounts, bookkeeping, analysis, reconciliation of accounts, and preparation of financial reports.

5.1.8.3 Legal support

The legal support services being provided to the core processes of the PPPC, through the LS, include:

- a. legal advice and assistance to ensure that all transactions, project documents, and processes are legally sound and compliant with legal requirements;
- b. assessment of potential litigation arising from contracts, letters, and other documents and capacitating the Center to deal with legal matters;
- c. monitoring of various laws, administrative issuances, court decisions, and other legal issuances relative to PPP; and
- d. legal advice in the formulation, review, and improvement of PPP policies, IRR, as well as other related policy concerns.

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 (MISD) includes, among others, the managing and maintenance of a KM portal and its components. The KM portal is being used as a strategic KM tool for an accurate and comprehensive IT implementation strategy.

5.2 PPPC Process Model

The PPPC’s Process Model (Figure 3) adopts the plan, do, check, act (PDCA) framework. The PPPC achieves continuous quality improvement in its operations by: 1) planning quality objectives; 2) executing work plans and objectives; 3) regularly monitoring of performance against plans and targets; and 4) gathering feedback from its stakeholders.

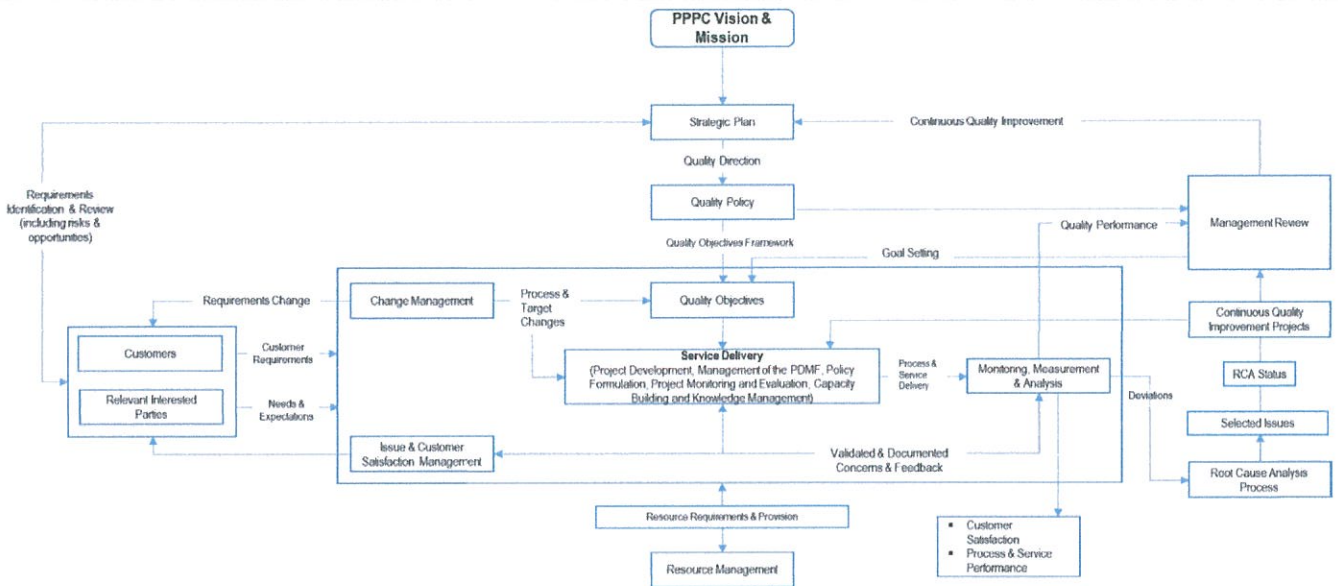



Figure 3: PPPC process model

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

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5.3 Planning process and determination of quality objectives

The quality objectives are expressed in terms of the following:

1. **Program Expenditure Classification (PREXC) Indicators and Targets.**
PREXC reflects the link between strategies, budgets, and results, and facilitates the monitoring and evaluation of the performance of a government agency.
2. **Work and financial plans.** The Services are responsible for defining the 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 SPMS. Services should ensure alignment with quality objectives in the preparation of work and financial plans.

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. DED) are responsible for monitoring the performance of all units and personnel under their supervision.


5.4 QMS planning process and documents

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

As part of PPPC's planning framework, the following activities are being conducted through annual assessment and planning activities:

- a. Participation in NEDA-wide assessment and planning activities;
- b. 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
- c. Gathering of available information from partner institutions and organizations (e.g., academe, other government organizations and the private sector)

Following the PPPC SPMS and this manual, the PPPC conducts its annual planning and assessment activities. From top-level alignment of its vision and mission, to formulation of strategic and annual plan and the translation or identification of detailed Services' plans, the PPPC adheres to the principles

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of an effective QMS.

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

5.5 Monitoring of services, divisions, and individual performance through the SPMS

The SPMS is a standard performance management system prescribed by CSC and enforced through an Office Circular (PPPC SPMS Guidelines). The PPPC adopts a bi-annual 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.

6 Types and controls for external service providers


To assist the PPPC in achieving its commitments to all of its stakeholders, PPPC engages the services of consultants, suppliers of office supplies and other related equipment and materials, and contracted personnel.

Control and management for these – from identification and engagement of the needed consultancy services and contracted personnel to procurement and management to ensure delivery of quality service and goods — follow established procedures as shown below.

6.1 Consultancy

The PPPC engages consultants to assist in completing projects and activities requiring expertise not present in its roster of personnel. For engagements funded by the PPPC, procedures outlined in the RA 9184 and CSC rules and regulations are being followed. For engagements funded by the Asian Development Bank (ADB) Capacity Development Technical Assistance (CDTA), the ADB procurement guidelines are being followed (<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 is regularly monitored by identified personnel or the concerned group in the PPPC. To further ensure quality in the outputs of consultants, milestone payments is also practiced.

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6.2 Goods

Supply of goods for the PPPC follows the procedures outlined in the RA 9184 and the ADS internal procedures, while ADB procurement guidelines are 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. This excludes consulting services and infrastructure projects.

6.3 Contract of Service

The PPPC engages the services of individuals on a Contract of Service arrangement for a specific period to rationalize the workload of PPPC units and carry out duties currently not being performed by regular PPPC employees. All contracted personnel are hired by the PPPC in compliance with the guidelines set by the Civil Service Commission, Commission on Audit, and the Department of Budget and Management.

Submission of accomplishment reports and certification from supervisors on the provision of satisfactory services are among the means to monitor the performance of contracted personnel.

7 Annexes


7.1 Forms, templates, guidelines, or procedures for the following processes:

7.1.1 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.

The Control of Non-conformity and Corrective Action procedure of the

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PPPC is detailed in the Common Procedures Manual.

7.1.2 Internal Audit

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

The audit is conducted according to procedure and is based on Internal Audit plans prepared by the Internal Audit Team that evaluate the effectiveness and efficiency of the PPPC’s management and operations. The Internal Audit shall be done at least once a year.

The procedure for Internal Audit of the PPPC is detailed in the Common Procedures Manual.

7.1.3 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 PPPC. The management review of the PPPC shall be done once a year or as appropriate. The procedures for Management Review of the PPPC is detailed in the Common Procedures Manual.


7.1.4 Risk assessment

The PPPC has defined the procedure for the conduct of risk assessment. The risk assessment entails the identification and analysis of the PPPC’s risks, their root causes, consequences (impact), and probabilities (likelihood), and the determination of required risk treatments as applicable.

The risk-based approach ensures that quality objectives, plans, and targets of the PPPC are achieved.

The PPPC’s Center-wide Risk Assessment Matrix shall be regularly updated by the Corporate Planning and Development Division, in coordination with the Services involved in the delivery of the PREXC commitments. This RAM shall be focused on the PPPC’s PREXC commitments.

The Risk Assessment procedure of the PPPC along with the prescribed template is detailed in the Common Procedures Manual.

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7.1.5 Control of documented information

7.1.5.1 Control of documents

The PPPC 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.

The procedure on Control of Documents is detailed in the Common Procedures Manual.

7.1.5.2 Control of records

The PPPC has established a Recordkeeping Policies and Procedures handbook, 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 office-wide uniform applications and practices, in the creation, processing, maintenance, retention, destruction, and preservation of records; and
- 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.

The Recordkeeping Policies and Procedures Handbook of the PPPC is detailed in the Physical Resources Management and General Services Operations Manual.

7.1.5.3 Feedback and Complaints Mechanism

The PPPC provides mechanisms for the solicitation of customer feedback and complaints in several ways (e.g., drop box, PPPC website, e-mail, and phone calls) to ensure that quality services are provided in an

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efficient and timely manner. The Feedback and Complaint Mechanism procedure is detailed in the Common Procedures Manual.

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

7.2 Service Operations Manual

The Service Operations Manuals lay out the guidelines in effectively performing and completing the core processes/area of operations of each Service.