

TERMS OF REFERENCE

FOR THE ENGAGEMENT OF A CERTIFYING BODY TO PROVIDE CERTIFICATION AUDIT FOR THE ISSUANCE OF ISO 9001:2015 CERTIFICATE AND SURVEILLANCE AUDITS FOR THE QMS OF ALL SCHOOLS, RO AND HEAD OFFICE OF UCEP

I. PROJECT WORK DETAILS:

The purpose of this Terms of Reference (TOR) is to engage the services of a Certifying Body that will conduct assessment and audit of UCEP QMS for certification to ISO 9001:2015 Standard, together with the cycle of surveillance audits until the time for re-certification audit.

II. BACKGROUND

UCEP Bangladesh is a non-governmental organization which provides second chance education to out of school children and Decent Work to youth & adults through Technical Vocational Education & Training (TVET) and Skill Development. UCEP has a special focus on Social Inclusion & therefore gives priority to female, children & youth from poor and underprivileged families.

In line with the need for government agencies to improve quality in their operations and service delivery, Executive Order No. ???: Institutionalizing the Structure, Mechanism and Standards to Implement the Quality Management System (QMS), was issued dated ?? to the board of member to ensure efficiency and customer satisfaction. However, UCEP is required to acquire certification for ISO 9001:2015 for its full scope.

For UCEP, we are aiming for ISO certification of the entire process which is considered to be one of the core processes relative to our mandate. We are now proceeding with the bidding for the procurement of a qualified ISO certifying body that will conduct the necessary audit services leading to certification to ISO 9001:2015

III. OBJECTIVE

The overall objective of the engagement is to conduct certification audit and issue the corresponding Certification and conduct the required Surveillance Audits. Specially, the objectives are: (1) to conduct initial audits (Stage 1 and 2) of UCEP's QMS based on the ISO 9001:2015 Standard and issue the certification and (2) to conduct surveillance audits within a two-year period after UCEP's 9001:0215 QMS gains certification.

IV. SCOPE OF WORK

The Certification and Surveillance Audits shall cover the UCEP's QMS, in particular, HO, all regional offices and all schools. The Said Third Party Certification Audit shall involve the following activities:

1. Pre-Audit and Certification is required
 - A Pre-Audit is required

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- Certification for 3 years cycle including 2 annual surveillances audit
- 2. Conduct ISO 9001:2015 Certification Audits of UCEP's QMS, as follows:
 - a. Stage 1 Audit- ISO 9001:2015 QMS adequacy and readiness review; and
 - b. Stage 2 Audit- ISO 9001:2015 QMS Implementation audit.
- 3. Issue ISO 9001:2015 Certificate to UCEP's QMS upon satisfactory compliance to the Standard and Certification requirements;
- 4. Conduct at least two surveillance audit every year for two consecutive years after the Issuance of Certificate to maintain UCEP' QMS Certification.
Additional Inputs to scope of certification audit:
 - 1. Total number of personnel complement involved in the certification audit is less than 800.
 - 2. UCEP has one HO, five regional offices, ?????

V. CLIENT'S RESPONSIBILITY

On behalf of UCEP, the Quality Management Representative (QMR) or his duly designated representative, with the assistance of the ISO Consultant, shall evaluate the quality of work delivered by the Certifying Body based on this TOR to ensure the quality and relevance of work being conducted. Based on this, the QMR shall issue a written project acceptance/approval, retention, or discontinuance. The following comprise the general expectations from UCEP's, as client:

- 1. Prior to any execution of activities related to this Terms of Reference, the UCEP's Quality Management Process Owners shall convene a meeting with the representatives of the Certifying Body. A close anchoring and monitoring of all the activities as indicated herein shall be undertaken by the OMR;
- 2. The QMR and the QMS Committee head shall be responsible for providing technical assistance to the project. They shall closely coordinate with the representative of the Certifying Body in the conduct of the audit and other related certification activities, including monitoring of the progress of related tasks;
- 3. The QMR, Internal Auditor/s and the QMS Committee head shall cooperate in the conduct of audit activities, ensuring that the process owners and concerned officials and staff are available on the schedule dates of audits. For any request for change or cancellation of schedule, however, the said change/adjustment shall be made based on mutual agreement by both parties; and

VI. CERTIFYING BODY'S RESPONSIBILITY

The Certifying Body undertakes to perform the Audit with the highest standards of professional and ethical competence and integrity. The following are the general expectations from the Certifying Body;

- 1. Commitment to treat with utmost confidentiality, all information and materials gathered and used relating to this engagement or the Client's business or operations;
- 2. Preparation of the Certification or Surveillance Audit Plan, as the case may be, with schedule of activities for the entire duration of the engagement. The representatives from the Certifying Body

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shall coordinate with the QMR through the QMS Committee head regarding any changes on the dates of audit schedules or any delay in the activities related to ISO certification;

3. Adherence to certification or surveillance audit schedule/appointment and any changes or adjustments of schedules as may be agreed upon For any request for change or cancellation of schedule, however, at least a one (1) week notice shall be given and the said change/adjustment shall be made based on mutual agreement by both parties.;
4. Provision of information or any conflicts of interest and proposed approach to the resolution thereof;
5. The duly authorized representative of the Certifying Body shall submit an audit report after conducting the certification audit and surveillance audits, as the case may be, on mutually agreed schedules; and
6. Issue Certification to ISO 9001:2015 of UCEP upon compliance with the certification requirements.
7. Conduct of at least two (2) surveillance audits within the period of certification of UCEP QMS to 9001:2015 Standard not more than one (1) year for the first and more than two (2) years after for the second audit, respectively. The Certifying Body shall continue to perform the necessary tasks at no additional cost to UCEP other than the amount provided in this TOR, until the time for application to ISO 9001:2015 re-certification.

VII. CERTIFYING BODY'S QUALIFICATION REQUIREMENTS

A. Qualification and Competencies

1. The Certifying Body must be duly accredited by UKAS.
2. The Certifying Body must possess the following: a) Minimum of five (5) years of experience in conducting ISO QMS audits/certification.
3. The Certifying Body shall field a team of Lead auditor and auditors with the following qualifications:

Team Member	Qualifications
Lead Auditor	<ul style="list-style-type: none">• Minimum Master Degree Holder from a reputed university.• At least Twenty-five (25) audit experience as lead auditor
Audit Members	<ul style="list-style-type: none">• Minimum Bachelor Degree holder from a reputed university.• At least ten (10) audit experience as auditor.

B. Documentary Requirements/Submissions

Interested firms are required to submit, as appropriate, as follows:

1. Eligibility Requirements:

- a. Trade License
- b. Copy of Memorandum if the firm is a limited company

2. Technical Proposal:

- a. Statement of the prospective bidder of all its ongoing and completed projects, including contracts awarded but not yet started, if any, whether similar or not similar in nature and

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complexity to the contract to be bid, within the relevant period provided. The statement shall include, for each contract, the following:

- i. The name and location of the contract;
- ii. Date of award of the contract;
- iii. Type and brief description of certification services;
- iv. Contract duration;

3. Financial Proposal:

The quotation should be stated simply on a lump sum contained in a sealed letter (Note: Please see letter template on RFQ) addressed to the following:

Managing Director
UCEP
Address:

The four envelopes, one (1) original and three (3) copies, each containing the Eligibility Requirements and Financial Proposal, should be submitted to the following:

?????????????
?????????????

C. Evaluation and Selection Criteria

- 1. Only the financial proposals of those bidders who have complied with the eligibility and technical requirements will be opened;
- 2. The bidder who submits the lowest quotation will be declared the winner

VIII. DURATION OF ENGAGEMENT AND APPROVED BUDGET FOR THE CONTRACT

The services of the Certifying Body will be engaged from the time the **NTP** (Notice to proceed) is issued in 2020 up to the time the second surveillance audit has been accomplished in 2020. The Approved Budget for the Contract is ??? incl of all taxes and other charges imposed under applicable laws,

IX. DURATION OF ENGAGEMENT AND APPROVED BUDGET FOR THE CONTRACT

The services of the Certifying Body will be engaged from the time the second surveillance audit has been accomplished in 2020. The Approved Budget for the Contract is ????? incl of taxes and other charges imposed under applicable laws.

X. DELIVERABLES AND TERMS OF PAYMENT

- 1. The following services and outputs will be expected from the Certifying Body to be submitted/delivered to UCEPS with the timelines specified below and based on the agreed general Work Plan:

Activity	Output	Timeline
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a. Submission of Draft Certification audit plan	Stage 1 Audit Plan (Draft) Stage 2 Audit Plan (Draft)	Within 10 Calendar days upon CB's receipt of the Notice to Proceed (NTP)
b. Conduct Certification Audits	Stage 1 Audit Plan Conducted Stage 2 Audit Plan Conducted	Within 1 week from the approval of audit plan. Immediately after stage 1 audit
c. Submission of Audit Reports	Stage 1 Audit Report Stage 2 Audit Report	Two days after stage 1 audit Two days after stage 2 audit
d. Issuance of ISO 9001:2015 certificate	ISO 9001:2015 Certificate	Within Month 3 upon receipt of NTP
e. Conduct of two (2) surveillance audits and confirmation of ISO 9001:2015 certificate within Year 1 and Year 2	Annual surveillance audits, plans, procedures, schedules and reports: 1 st Surveillance Audit 2 nd Surveillance Audit	Within Year 1 after the certification Within Year 2 after the Certification

Notes: * Changes in the project schedule shall be allowed subject to UCEP approval. ** Subject to satisfactory results of assessment audit.

2. Payment shall be made in the four (4) installment upon completion of each of the following milestones and submission of the required deliverables:

Activity/Deliverable	Payment
a. Before Stage 1 audit	a. 30%
b. After Certification Audit but before issuance of ISO 9001:2015 Certificate valid for 3 years	b. 30%
c. Before Surveillance Audit for the 1 st Year (within 7 days after confirmation of audit schedule)	20%
d. Before Surveillance Audit for the 2 nd Year (within 7 days after confirmation of the audit schedule)	20%

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