## Executing Agency Consulting Recruitment
### Submission 1: Shortlisting of Consulting Firms and Request for Proposals (QCBS/QBS/FBS/LCS)

### Part A [To be completed by the Executing Agency]

<table>
<thead>
<tr>
<th>Loan/Grant (Country) (No.): Title</th>
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</table>

Name of Executing Agency (EA):

Report Submitted by:
- Name: ____________________________________________
- Signature: _________________________________________
- Designation: _______________________________________

Date Submitted: __________________________

Date of EA Consultant Selection Committee-Shortlisting (CSC-SL) Meeting: _________________

### Checklist of Attached Documents (For 1st Review):

- Attachments:
  - Attachment 1: Latest Uploaded Procurement Plan [Procurement plan must be within a year and for each loan, not MFF. Attach approval memo for individual changes in the procurement plan]
  - Attachment 2: Budget for consulting services including details of provisional sums and contingency
  - Attachment 3: Longlist of Consulting Firms
  - Attachment 4: Narrative Evaluation Criteria (NEC) [EA to prepare the NEC. Provide weights for each criterion in the summary evaluation sheet and detailed information on how to apply these weights and, if necessary, to distribute them to sub-criteria in NEC.]
  - Attachment 5: Draft Request for Proposals (RFP) with Terms of Reference (TOR), Data Sheet, Summary and Personnel Evaluation Sheets [and Draft Contract]
  - Attachment 6: Copy of Previous Communications with OSFMD Procurement Specialist related to items covered by this Submission Document (if any)
  - Attachment 7: Minutes of EA CSC-SL Meeting
  - Attachment 8: Updated Consultant Recruitment Activities Monitoring (CRAM) Sheet [Project Unit to update CRAM sheet in Consulting Services Reference (Lotus Notes) before submitting this Submission 1 review to LCU. Indicate in the CRAM the reasons for any delay, and remedial action taken.]

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1 The appropriate templates can be downloaded from the ADB website in the following link: [http://www.adb.org/site/business-opportunities/operational-procurement/consulting/documents](http://www.adb.org/site/business-opportunities/operational-procurement/consulting/documents). Include the Attachment: Grounds for Disqualification of an Expert.
Names of EA CSC Members*: List the names of members according to ministry/department/agency and designation in a table format. Please provide additional rows in the table below, if required.

<table>
<thead>
<tr>
<th>Name</th>
<th>Ministry/Department/Agency</th>
<th>Designation</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

* Is there any consultant in the EA’s CSC Meeting?  [ ] Yes  [ ] No

If Yes, please state whether potential or actual conflict of interest exists.1

1. EOI s via CMS-CSRN (30 days)  [ ] Yes  [ ] No

   Date of Posting: ________________

   Deadline of EOI Submission: ________________

   [For reduced period of advertisement (less than 30 days) or waiver of advertisement, please attach the formal approval]

2. Number of EOI s Received: ________

3. Advance Action?  [ ] Yes  [ ] No

4. Retroactive Financing?  [ ] Yes  [ ] No

   (If yes, please attach the document approving retroactive financing)

5. Loan Approval Date: ________________

6. Loan Effective Date: ________________

7. Loan Closing Date: ________________

8. Estimated Contract Duration (in months): ________

9. Budget for this consulting services: US$ ________________  [ ] Estimated  [ ] Maximum

10. Shortlisting:2  [ ] International Shortlist  [ ] National Shortlist *

   * (Please attach document approving the national shortlisting)

11. Method of Selection:  [ ] FBS  [ ] LCS  [ ] QBS  [ ] QCBS

12. (For QCBS) Quality Cost Ratio:  [ ] 80:20  [ ] 70:30  [ ] 90:10

   Document/s to support quality-cost ratio of 70:30 or 90:10: ________________________________

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1 The EA should confirm that the consultant in the EA’s CSC Meeting does not have any ongoing business associations (whether direct or indirect) with any of the firms in the shortlist.

2 The same requirements for ordinary selection still apply to national shortlisting except geographic spread as waived in the Guidelines on the Use of Consultants by ADB and Its Borrowers, para. 2.9.
13. **Shortlisting criteria**: [Apply the following criteria for the shortlisting of consulting firms for loan/grant projects]:
   (i) Eligibility
   (ii) Management competence
   (iii) Technical competence
   (iv) Geographic spread (for international assignments)
   * Additional criteria should have ADB’s prior approval.

a) __________________________________________________________

b) __________________________________________________________

c) __________________________________________________________

14. **Proposed Shortlist:**

<table>
<thead>
<tr>
<th></th>
<th>Firm Name (Full Name not Acronym)/ Country of Incorporation</th>
<th>Nature of Association (Indicate if the firm is Lead, JV Partner, or Sub-consultant)</th>
<th>Nature of Organization [Indicate if Private Consulting Firm, State-Owned (SOE) or NGO]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Firm 1</td>
<td>Lead</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td></td>
<td>Firm 2</td>
<td>JV Partner / Sub-consultant</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td></td>
<td>Firm 3</td>
<td>JV Partner / Sub-consultant</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>2.</td>
<td>Firm 1</td>
<td>Lead</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td></td>
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<td>Private / SOE / NGO</td>
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<tr>
<td></td>
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<td></td>
<td>Firm 3</td>
<td>JV Partner / Sub-consultant</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>4.</td>
<td>Firm 1</td>
<td>Lead</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td></td>
<td>Firm 2</td>
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<tr>
<td>5.</td>
<td>Firm 1</td>
<td>Lead</td>
<td>Private / SOE / NGO</td>
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<td></td>
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<td></td>
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<td>6.</td>
<td>Firm 1</td>
<td>Lead</td>
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<td>Firm 3</td>
<td>JV Partner / Sub-consultant</td>
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</tr>
</tbody>
</table>

a) Six (6) firms with wide geographic spread (no more than 2 firms from any 1 member country, and at least 1 firm from developing member country). If No, justification/s for proposed shortlist: __________________________________________________________

b) Checking of Conflict of Interest [in accordance with the Guidelines on the Use of Consultants by ADB and Its Borrower (CG)]:
   i) Conflict between consulting activities [CG 1.11(a)]  ☐ Yes ☐ No
   ii) Conflict among consulting assignments [CG 1.11(b)]  ☐ Yes ☐ No

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1 Corporations or companies must be incorporated in an ADB Member Country. Partnerships or non-corporations must be duly registered or legally established in an ADB Member Country. These include universities, institutions, public sector organizations, and NGOs.
iii) Relationship with borrower’s staff [CG 1.11(c)]

Yes   No

If Yes, state relationship & whether potential or actual conflict of interest exists. ____________
____________________________________________________________________________

c) Did any of the shortlisted firms participate in upstream assignment such as PPTA or other assignment regardless of financing source from which the firm may derive an unfair competitive advantage to this assignment? [RFP Section 2 (ITC), para. 4, Data Sheet 4.1, and CG 1.12]

Yes   No

If yes, state the name of the firm and complete RFP Data Sheet 4.1.
____________________________________________________________________________

15. Proposed Modifications on Contract Forms:

[Revision/s for additional provision/s or deletion of certain provision/s in the General Conditions of the Contract (GCC) is not permissible. Instead, the Project Unit should advise the EA to incorporate revision/s through the Special Conditions of Contract (SCC) and changes should be reviewed by the Office of the General Counsel (OGC) prior to Submission 1.]

State proposed revision/s and attach OGC’s review in this Submission 1 document.
____________________________________________________________________________

16. Type of Contract to be used:   ☐ Time-Based   ☐ Lump-Sum
Part B [ADB Comments on EA’s Submission]

1. **Comments on Part A:**
   a) 
   b) 
   c) 

2. **Shortlisting Criteria:**
   a) 
   b) 
   c) 

3. **Shortlist:**
   a) 
   b) 
   c) 

4. **Narrative Evaluation Criteria (NEC):**
   a) 
   b) 
   c) 

5. **Request for Proposals (RFP):**
   a) **Section 1: Letter of Invitation (LOI):**
      i) 
      ii) 
      iii) 
      iv) 
   b) **Section 2: Data Sheet:**
      i) 
      ii) 
      iii) 
      iv) 
   c) **Summary and Personnel Evaluation Sheets (SES and PES):**
      i) 
      ii) 
      iii) 
      iv)
d) **Section 7: Terms of Reference (TOR):**

i) _______________________________________________________________________

ii) _______________________________________________________________________ 

iii) _______________________________________________________________________

iv) _______________________________________________________________________ 

e) **Special Conditions of Contract (SCC):**

i) _______________________________________________________________________

ii) _______________________________________________________________________ 

iii) _______________________________________________________________________

iv) _______________________________________________________________________ 

6. **Other Issues:**

a) ____________________________________________________________________________

b) ____________________________________________________________________________

c) ____________________________________________________________________________

7. **Advance Reminders for Submission 2 Review:** *Please refer to the Guide in Reviewing Submission 2 for detailed instructions.*

a) In reference to SRFP Section 1, LOI, para. 7(a), the Project Unit should request the EA to secure a confirmation of withdrawal in writing from a shortlisted firm if the EA did not receive its proposal on the submission.

b) Copy of confirmation of withdrawal from the Consultant should be attached in Submission 2. Unless the status of shortlisted Consultants which were not evaluated is clarified with evidence, ADB will not be able to process Submission 2.

c) EA should confirm approval if there is a change (dropping/removal or addition) in the original association with reference to Section 1, LOI, paras. 4 and 7(b).

d) EA must ensure that the firm that submits the proposal is the same legal entity that submitted the EOI. If the proposal received has a different legal entity from the shortlisted one, the proposal should be rejected. This also applies when a parent company, a group of firm, a subsidiary, or a local affiliate of the shortlisted firm submits the proposal.

e) The EA should ensure that evaluation is conducted taking into account the issues on disqualification (see “*Grounds for Disqualification of an Expert*” – attachment to SES/PES).

f) If there is an expert proposed by multiple firms for the same position, the EA should evaluate the expert in accordance with the CV. This may result in uniform rating for the said expert if the same CV is used or otherwise different ratings if the CVs submitted by the firms for the expert were different.

g) If there is more than 1 expert proposed by the firm for 1 position, the lowest rating among the experts evaluated should be applied and reflected in the PES/SES.
8. **Anticorruption Sanction/Terrorism Lists and Performance Evaluation Report (PER) Checking:**

   a) Any of the shortlisted firms (including their Joint Venture Partner/s or Sub-consultant/s) in ADB Anticorruption Sanction Lists and Terrorism Lists? □ Yes □ No
   If Yes, state the name of the consulting firm/s: _____________________________________

   b) PER of the firms in the shortlist (including their Joint Venture Partner/s or Sub-consultant/s) checked? (Attached as Appendix 1) □ Yes □ No
   [Note: Results of PER Checking (Appendix 1) should be retained with the Project Unit]

   c) External ADB auditor included in the shortlist? □ Yes □ No
   If Yes, please obtain clearance from OAI before proceeding.

9. **Checking of Conflict of Interest [in accordance with the Guidelines on the Use of Consultants by ADB and Its Borrowers (CG)]:**

   a) Conflict between consulting activities [CG 1.11(a)] □ Yes □ No
   b) Conflict among consulting assignments [CG 1.11(b)] □ Yes □ No
   c) Conflict with concerned OSFMD/Project Unit Specialists [CG 1.11(c)] □ Yes □ No

   If Yes, state relationship & whether potential or actual conflict of interest exists: __________________________________________

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**Reminders for the Project Unit**

1. Subject to Section F of PAI 2.05, upon receipt of the EA’s Submission 1, the Project Unit ensures that the EA submitted complete documents required (Checklist of Attached Documents) in the submission form before immediately forwarding an electronic copy of the submission to OSFMD-LCU (see PAI 2.05, paragraph 14).

2. The Project Unit should assist the EA to obtain and use the latest version of the Standard RFP without modification or omission of the standard provisions.

3. The Project Unit should ensure that the submission is consistent with the latest/updated procurement plan.

4. The Project Unit will send an updated CRAM sheet to the EA for its monitoring of the recruitment activities.

5. The Project Unit will send to OSFMD a request for posting the shortlist in the ADB website with the following information:
   - the names of the shortlisted firms;
   - the name of the EA and its contact details listed in LFIS/GFIS ALS704 under the EA Loan Address section; and
   - the RFP date.

6. The Project Unit will convey the above decisions and recommendations to the EA.
Note: When OSFMD review is required, the Project Unit Officer signs the review document after the OSFMD Officer signs it.

Approved: [ ] Yes [ ] No

Approved by:

Signature above Printed Name
Director, Project Unit / Country Director, Resident Mission
(Please sign as applicable)

Date

Disclaimer: The review and approval of this submission document is conducted independently and must not serve as a precedent for future reviews.

Distribution:
Country Director / Director (Project Unit) / (Project Unit Specialist)
OSFMD-LCU