Part A [To be completed by the Executing Agency]

<table>
<thead>
<tr>
<th>Name of Executing Agency (EA):</th>
<th>_____________________________</th>
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</thead>
<tbody>
<tr>
<td>Report Submitted by:</td>
<td></td>
</tr>
<tr>
<td>Name:</td>
<td>______________________________</td>
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<tr>
<td>Signature:</td>
<td>______________________________</td>
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<td>Designation:</td>
<td>______________________________</td>
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<tr>
<td>Date Submitted:</td>
<td>______________________________</td>
</tr>
<tr>
<td>Date of EA Consultant Selection Committee-Expressions of Interest (CSC-EOI) Evaluation Meeting:</td>
<td>______________________________</td>
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</table>

Checklist of Attached Documents (For 1st Review): In case of succeeding reviews, please attach only the information or documents requested in the latest review.

<table>
<thead>
<tr>
<th>Attachment 1: Latest Uploaded Procurement Plan</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Procurement plan must be within a year and for each loan, not MFF. Attach approval memo for individual changes in the procurement plan]</td>
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</tbody>
</table>

| Attachment 2: Budget for consulting services including details of provisional sums and contingency | Yes | No |

| Attachment 3: Longlist of Consulting Firms | Yes | No |

| Attachment 4: Expressions of Interest (EOI)¹ and Evaluation Criteria² | Yes | No |
| [EA to prepare the EOI evaluation criteria. EA to provide weights for each criterion in the evaluation sheet for EOI and detailed information on how to apply these weights and, if necessary, to distribute them to sub-criteria.] |

| Attachment 5: Duly Filled EOI Evaluation Sheet³ for all EOIs Submitted | Yes | No |

| Attachment 6: Narrative Evaluation Criteria (NEC) ⁴ | Yes | No |
| [EA to prepare the NEC for Biodata Technical Proposal (BTP). 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 7: Draft Request for Proposals (RFP) with Terms of Reference (TOR), Data Sheet, Summary and Personnel Evaluation Sheets for BTP⁴ and Draft Contract | Yes | No |

| Attachment 8: Copy of approval for CQS selection method if not stated in the RRP/Procurement Plan | Yes | No |

| Attachment 9: Copy of Previous Communications with OSFMD Procurement Specialist related to items covered by this Submission Document (if any) | Yes | No |

| Attachment 10: Minutes of the EA CSC-EOI Evaluation Meeting | Yes | No |

¹ EOI standard template 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). This may be modified to match requirements.

² Management competence criterion includes nomination and very brief background & experience of firm’s director responsible for this assignment, and, if applicable, the rationale for proposed Joint Venture Partnership/Sub-consulting.

³ Evaluation sheet for EOs in MExcel format can be obtained from ADB Project Unit upon request.

⁴ The template for BTP 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 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.

1. **EOIs 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 EOIs 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 (not exceeding US$200,000):** US$ ______________

   Justification in special case where budget exceeds US$200,000: ____________________________

   ____________________________________________________________________________

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.
10. **Result of EOI Evaluation:**

   **Note:** EA to list the names of 3 consulting firms with highest ranked EOIs including the country and scores in the table below.

<table>
<thead>
<tr>
<th>Firm Name (Full Name not Acronym)/Country of Incorporation</th>
<th>Score</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. Firm 1</td>
<td></td>
<td>Lead</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>Firm 2</td>
<td></td>
<td>JV Partner / Sub-consultant</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>Firm 3</td>
<td></td>
<td>JV Partner / Sub-consultant</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>2. Firm 1</td>
<td></td>
<td>Lead</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>Firm 2</td>
<td></td>
<td>JV Partner / Sub-consultant</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>Firm 3</td>
<td></td>
<td>JV Partner / Sub-consultant</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>3. Firm 1</td>
<td></td>
<td>Lead</td>
<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>Firm 2</td>
<td></td>
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<td>Private / SOE / NGO</td>
</tr>
<tr>
<td>Firm 3</td>
<td></td>
<td>JV Partner / Sub-consultant</td>
<td>Private / SOE / NGO</td>
</tr>
</tbody>
</table>

   a) 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 [ ]
   
   iii) Relationship with borrower’s staff [CG 1.11(c)]
      Yes [ ]  No [ ]

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

   b) 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.
      ____________________________________________________________________________

11. **Name of the Consulting Firm/Country with the Highest EOI Score:** ____________________________________________________________________________

12. **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.**

13. **Type of Contract to be used:** [ ] Time-Based  [ ] Lump-Sum

---

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.
Part B [ADB Comments on EA’s Submission]

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

2. **EOI Evaluation Criteria:**
   a) 
   b) 
   c) 

3. **Result of EOI Evaluation:**
   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) 
   b) **Section 2: Data Sheet:**
      i) 
      ii) 
      iii) 
   c) **Summary and Personnel Evaluation Sheets (SES and PES):**
      i) 
      ii) 
      iii) 
   d) **Section 7: Terms of Reference (TOR):**
      i) 
      ii) 
      iii)
e) **Special Conditions of Contract (SCC):**
   
   i) _______________________________________________________________________
   
   ii) _______________________________________________________________________
   
   iii) _______________________________________________________________________  

6. **Other Issues:**

   a) __________________________________________________________________________

   b) __________________________________________________________________________

   c) __________________________________________________________________________  


8. **Anticorruption Sanction/Terrorism Lists and Performance Evaluation Report (PER) Checking:**

   a) Is the consulting firm with the highest EOI score (including its Joint Venture Partner/s or Sub-consultant/s) in ADB Anticorruption Sanction Lists and Terrorism Lists? Yes No

   b) PER of the consulting firm with the highest EOI score (including its Joint Venture Partner/s or Sub-consultant/s) checked? (Attached as **Appendix 1**)

   [Note: Results of PER Checking (Appendix 1) should be retained with the Project Unit]

   c) Is the consulting firm an external ADB auditor? 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: _______________

**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 completed all documents required 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 RFP without modification or omission of the standard provisions.

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

4. The Project Unit will convey the above decisions and recommendations to the EA.
Prepared by:

______________________________
Signature above Printed Name
Project Unit

______________________________
Date

Endorsed:  □ 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