

**Procurement Support Service
for
Japanese ODA Loan Projects
(Countries other than
Southeast Asian Region)**

Annual Report FY2011

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March 2012

Japan International Cooperation Agency

Global Group 21 Japan, Inc.

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List of Acronyms and Abbreviations

| | |
|------------|--|
| DD | Detailed Design |
| DJB | Delhi Jal Board, India |
| DTCB | Dhaka Transport Coordination Board, Bangladesh |
| EOI | Expression of Interest |
| ER | EOI Evaluation & Short List Report |
| FS | Feasibility Study |
| GG21 | Global Group 21 Japan, Inc |
| GNCTD | Government of National Capital Territory of Delhi, India |
| GTCL | Gas Transmission Company Limited, Bangladesh |
| ITC | Instructions to Consultants |
| JICA | Japan International Cooperation Agency |
| LOI | Letter of Intent |
| METROREX | Societatea Comerciala de Transport cu Metroul Bucuresti (S.A), Romania |
| NWPGCL | North-West Power Generation Company, Bangladesh |
| ODA | Official Development Assistance |
| PGCB | Power Grid Company of Bangladesh Limited, Bangladesh |
| PHED | Public Health Engineering Department of the State Government of Rajasthan, India |
| PMU | Project Management Unit |
| PQ | Prequalification |
| QBS | Quality Based Selection |
| QCBS | Quality and Cost Based Selection |
| REOI | Request for Expression of Interest |
| RFP | Request for Proposals |
| SV | Supervision |
| TANTRANSCO | Tamil Nadu Transmission Corporation Limited, India |
| TOR | Terms of Reference |

1. Introduction

1.1 Background

In order to ensure impartiality and transparency of the consultant selection process and to facilitate Borrowers/Executing Agencies of Japanese Official Development Assistance (ODA) loan to accelerate such process, Japan International Cooperation Agency (JICA) has started to conduct Procurement Support Services since 2009. The service provides workshops and hands-on training to the Borrowers/Executing Agencies.

Global Group 21 Japan, Inc. (herein after referred to as "GG21") was contracted in June 2011 for the services for the period from June 2011 to March 2013. Under the contract, the services are mainly targeted the projects for which the estimated cost of consulting services exceeds Yen 500 million. GG21 undertakes to assist Borrower/Executing Agencies of JICA ODA loan by; a) explaining "Guidelines for the Employment of Consultants under Japanese ODA Loans" (Consultants Guidelines), b) providing support for preparing "Request for Proposals" (RFP) and c) giving guidance on technical and financial evaluation of consultants' proposals.

1.2 Terms of Reference (TOR) of Procurement Specialist

Procurement Specialists engaged under the contract between JICA and GG21 specifically;

- ◆ draw up a brief inception report that describes the implementation strategy and plan for the assignment;
- ◆ undertake an interactive procurement workshop for relevant staff of Executing Agency;
- ◆ assist the Executing Agency in the evaluation procedure for the Consultants' Services, and preliminary planning of their activities in respect of proposal evaluation for Consultants' Services
- ◆ Submit a Field Operation Report to JICA following the mission, highlighting achievements made, outstanding actions for the Executing Agency and JICA, and a risk assessment of the procurement process.
- ◆ Submit an Annual Report to JICA at the end of every fiscal year.

This report highlights main activities conducted during the first fiscal year covering the period from July 2011 to March 2012 and suggests some points that should be considered for further acceleration of consultant selection process.

2. Highlights of Activities during the first year of service

2.1 Field operations conducted

Field operations were conducted for eleven projects in four countries and four procurement specialists. were involved (Annex 1). During Field operations, interactive workshops on Consultants Guidelines were made. The summary of questions and responses during the workshops are included in each of the Field Operation Reports. Below is the gist of main issues discussed.

2.2 Uganda

Procurement support services were provided for the following two projects:

- A) Upgrading of Atiak-Nimule Road Project;
- B) Construction of a New Bridge Across River Nile at Jinja Project.

Quality and Cost Based Selection (QCBS) is applied for the project A, and Quality Based

Selection (QBS) is the method for the project B. The procurement conditions for supervision (SV) consultant service was general untied for both projects.

For the Project A, at the request of the Uganda National Road Authority (UNRA), JICA had provided information on consultants for making Short List. UNRA, however, decided to send Request for Expression of Interest (REOI) before preparing the Short List of consultants. During the first Field Operation in July 2011, a draft EOI Evaluation & Short List Report (ER) was reviewed and commented by the Procurement Specialist. During the second Filed Operation in February 2012, assistance was provided on evaluation of technical proposals submitted by the shortlisted consultants. The following steps have to be taken to complete the process of consultant employment:

- To complete technical proposal evaluation and to submit an evaluation report to JICA for review and concurrence.
- To open financial proposals.
- To determine the first ranked consultant by adding weighted technical and financial scores and send an evaluation report to JICA for review and concurrence.
- To undertake contract negotiation with the first ranked consultant.
- To sign the agreed contract and send it to JICA for review and concurrence.
- In case the process takes time, to extend validity of proposals so that contract negotiation will be completed before expiration of validity.

Serious risks were not identified in the above process except for possible delay in proposal evaluation due to insufficient time secured for each evaluator for completing the evaluation work. Management of UNRA recognizes this risk and, therefore, should make utmost efforts to avoid such delay.

For the Project B, a review and comments were made on the draft TOR of SV consultant during the first Field Operation. When the 2nd Field Operation started, UNRA had already sent to JICA a Short List of Consultants for JICA's review, and was in the process of RFP preparation. Thus, the Procurement Specialist reviewed the draft RFP, made comments and explained them to UNRA staff in charge (Mr. Jonathan Tugume) before the wrap-up meeting on February 10.2012. The major comments made on the draft RFP were:

- ✓ When using JICA Sample Documents, the project specific modifications should be made only through: i) Letter of Invitation; ii) Data Sheet; iii) Terms of Reference; iv) Special Conditions of Contract, while no modifications should be made to: v) Instructions to Consultants; vi) General Conditions of Contract; vii) Standard Forms.
- ✓ When QBS is applied, Man Months should be indicated as "estimated", not as "minimum" as is the case of QCBS.
- ✓ Blanks of Special Conditions of Contract should be filled out to the extent possible prior to RFP issuance.

The immediate need for the Project B (Bridge Project) is:

- To complete drafting of RFP and send it to JICA for review and concurrence.

For this, time constraint of the key staff would be the major risk for delay.

The 3rd Field Operation may be considered before Technical Proposal Evaluation of the Bridge Project as was agreed upon during the 1st Field Operation. To this end, UNRA and JICA would discuss regarding appropriate timing of the Operation and its TOR.

2.3 Romania

The target project is the Bucharest International Airport Rail Access Link Project. The Executing Agency on behalf of the Romanian Government is Societatea Comerciala de Transport cu Metroul

Bucaresti (METROREX S.A, hereinafter referred to as “METROREX”). The overall Project includes construction works, track works, electrical works, rolling stock and signaling and includes provision for consulting services for design and construction supervision.

By the time of Field Operation, five consulting firms have been short-listed. The Consultant will be selected by Quality Based Selection (QBS). As for the contract form, Lump-Sum Contract will be applied for Section B¹ of the TOR, and Time-Based for Section C² of TOR. Both Technical and Financial Proposals was expected to be submitted at the same time, on September 30, 2011.

Under these circumstances, once general interactive workshops on Consultants Guidelines were over, practical simulations for proposal evaluation, scoring in particular, and for preparation of evaluation report and contract negotiation were made. With regard to contract negotiation, main focus was on negotiable and non-negotiable items.

According to the JICA, the contract for the consulting services was concluded in December 2011.

2.4 India

Two Field Operations were conducted.

2.4.1 November 2011 Mission

The first mission for Rajasthan Forestry and Biodiversity Project Phase II was conducted in November 2011.

The Executing Agency on behalf of the Government of India is the Project Management Unit (PMU) of the Rajasthan Forest Department (hereinafter referred to as “PMU”). The Project scope includes afforestation, biodiversity conservation, livelihood improvement, institutional capacity development and also includes provision for consulting services for project management.

Practical sessions for proposal evaluation and preparation of evaluation report was not needed, as the PMU had already been briefed by the previous procurement specialist from Crown Agent and had well studied the relevant JICA guidelines. They also had similar experience of evaluating NGO proposals related to the project. Thus, there was no question during the workshop, except for the practical way to determine the amount of the Net Evaluated Financial Proposal. The way to calculate such amount, however, is shown in the JICA Guide for Evaluation Procedure for Procurement of Consultant and further details can be discussed only after receiving the proposals, technical and financial. Thus, no further discussion could be made.

The Procurement Specialist recommended that the proposal evaluation be conducted in a “retreat”, in an isolated circumstance such as a hotel room, in order to enable the members of evaluation committee to concentrate on evaluation work.

As for the contract negotiation, the Procurement Specialist suggested the PMU to take account of negotiable and non-negotiable items as explained during the workshop and of the consistency between the quality and the price of services.

With respect to the contract management, it was recommended that the PMU assign sufficient number of staff concerned and should maintain a good relationship with the consultants, based on mutual trust.

2.4.2 February 2012 Mission

The second field operation was conducted from February 28 to March 8, 2012, covering following projects;

- A) West Bengal Forest and Biodiversity Conservation Project
- B) Tamil Nadu Transmission System Improvement Project

¹ Preparatory activities of execution and designing works

² Activities during the works execution & supervision period

- C) Delhi Water Supply Improvement Project
- D) Rajasthan Rural Water Supply and Fluorosis Mitigation Project

A) West Bengal Forest and Biodiversity Conservation Project

The Executing Agency on behalf of the Government of India is the Project Management Unit (PMU) of the West Bengal Forest Department. The Project includes the component of afforestation, biodiversity conservation, community mobilization, institutional capacity development and consulting services for project management.

Because Japanese ODA Loan has not been extended to the Executing Agency of the Project and it was the first Field Operation for Procurement Support Services for the Project, the Procurement Specialist covered JICA Guidelines for Employment of Consultants and preparation of RFP including procedures of evaluation.

The Procurement Specialist first approached to explain main points of JICA Guidelines for employment of consultants closely related at the time of selection of consultants and preparation of RFP on the first day.

The practical advice and guidance on the way to prepare RFP was done on the second day. The advice was made for preparation of Letter of Invitation, data sheet for Instruction to Consultant, TOR of consulting services and Special Condition of Contract. Since the Executing Agency has few experience of preparation of RFP or similar documents, the active queries in many areas were made.

On the 3rd day, the explanation and exercise on preparation of evaluation criteria and practical way of evaluation was carried out. Since some of the high-ranked officials who would become the member of Evaluation Committee were available on the day, two officials attended the workshop in order to obtain firsthand explanation on the evaluation procedures.

B) Tamil Nadu Transmission System Improvement Project

The Executing Agency on behalf of the Government of India is Tamil Nadu Transmission Corporation Limited (hereinafter referred to as the "TANTRANSCO"). The Project includes the component of construction of substations, construction of transmission lines and consulting services for supervision of construction of 400kv underground transmission lines.

Because Japanese ODA Loan has not been extended to TANTRANSCO and it was the first Field Operation for Procurement Support Services for the Project, the Procurement Specialist covered JICA Guidelines for Employment of Consultants and preparation of RFP including procedures of evaluation. In addition, the explanation on JICA Guidelines for Procurement and Sample Bidding Documents were made by the request of TANTRANSCO, because the procurement of some packages for construction of transmission lines was scheduled to be started shortly.

The Procurement Specialist at first explained main points of JICA Guidelines for employment of consultants closely related at the time of selection of consultants and preparation of RFP on the first day.

The practical advice and guidance on the way to prepare RFP was done in the morning of the second day. The advice was made for preparation of Letter of Invitation, data sheet for Instruction to Consultant, TOR of consulting services and Special Condition of Contract. In the afternoon session of the second day, the explanation and exercise on preparation of evaluation criteria and practical way of evaluation was carried out. The participants of the afternoon session seemed to learn the practical way of evaluation by simulation exercise using the work sheet prepared by the Procurement Specialist.

On the 3rd day, the seminar on JICA Guidelines for Procurement was made.

Though it is the first Japanese ODA Loan for TANTRANSCO, the most queries from the participants were relevant, partly because TANTRANSCO had experience of conducting public procurement.

C) Delhi Water Supply Improvement Project

The Executing Agency on behalf of the Government of India is the Delhi Jal Board (hereinafter referred to as "DJB") of the Government of National Capital Territory of Delhi (hereinafter referred to as GNCTD). The project includes improvement of water treatment plants, installation of supervisory control and data acquisition (SCADA), new transmission mains, distribution pipes as well as replacement of the old ones and consulting services for review of the feasibility study, preparation of detailed project reports and tender documents, tender assistance and construction supervision.

Because Japanese ODA Loan has not been extended to DJB and it was the first Field Operation for Procurement Supporting Services for the Project, the Procurement Specialist conducted a one-day seminar with eight participants on JICA Guidelines for Employment of Consultants and preparation of RFP documents including overall picture of consultant employment process, basic principles, proposal evaluation procedures, preparation of RFP documents such as an invitation letter, instruction to consultants, data sheet, terms of reference and special conditions of contract.

Majority of the participants possessed adequate knowledge and experiences of consulting services to understand the matters covered in the seminar. In addition, a two-day hands-on training with the same participants of the seminar was conducted with respect to preparation of RFP documents including an invitation letter for proposal submission, data sheet, terms of reference and special conditions of contract.

The materials produced during the training were expected to be used as guidance notes in the process of finalizing RFP documents for the project taking account of experiences of the Yamuna Action Program which had been implemented also by DJB under JICA funding.

D) Rajasthan Rural Water Supply and Fluorosis Mitigation Project (Nagaur)

The Executing Agency on behalf of the Government of India is the Public Health Engineering Department of the State Government of Rajasthan (hereinafter referred to as "PHED"). The project includes construction works of raw water pump houses, reservoirs, water treatment plants, transmission and distribution pipes, installation of Supervisory Control and Data Acquisition (SCADA) and consulting services for review of various designs, preparation of detailed project reports and tender documents, tender assistance and construction supervision.

Because Japanese ODA Loan has not been extended to PHED and it was the first Field Operation for Procurement Support Services for the Project, the Procurement Specialist conducted a one-day seminar with four participants on JICA Guidelines for Employment of Consultants and preparation of RFP documents including overall picture of consultant employment process, basic principles, proposal evaluation procedures, preparation of RF documents such as an invitation letter, instruction to consultants, data sheet, terms of reference and special conditions of contract.

In addition, an one-and-half-day hands-on training with three core participants was conducted with respect to preparation of an invitation letter for expression of interest, an invitation letter for proposal submission, data sheet, terms of reference and special conditions of contract. As a result, preparation of documents for expression of interest and request for proposal progressed a lot.

Nevertheless, it should be noted that two core staff who were expected to play a key role in consultant selection for the project acquired, during the seminar and hands-on training, sufficient knowledge necessary for performing their duties, while understanding of other participants was not satisfactory and, therefore, further guidance would be needed for those staff members.

2.5 Bangladesh

Procurement support services was conducted for the following three projects from Jan.21 to Feb.3, 2012.

A) National Power Transmission Network Development Project

B) Bheramara Combined Cycle Power Plant Development Project

C) Dhaka Mass Rapid Transit Development Project

Importance of a fair and impartial selection process was emphasized in the seminar as a special topic.

For the Project A, the Executing Agency on behalf of the Bangladesh Government is Power Grid Company of Bangladesh Limited (hereinafter referred to as "PGCB"). The project includes construction works and consulting services for construction supervision. The Project B has two components; 1) Bheramara Combined Cycle Power Plant and Associated Facilities and 2) Rehabilitation of the Gas Transmission SCADA System. The Executing Agencies on behalf of the Bangladesh Government is North-West Power Generation Company Limited (hereinafter referred to as NWPGL) for Component 1) and Gas Transmission Company Limited (hereinafter referred to as GTCL) for Component (2). The project includes consulting services for construction supervision of both components as well.

For the Projects A and B, the Procurement Specialist focused on preparation of 1st draft of RFP and REOI documents through interactive workshops and discussions to meet the deadline to submit 1st draft RFP on January 29 and January 25, 2012 respectively, the deadline mentioned in the Minutes of Discussion of JICA appraisal team. To save time and to ensure the completion of draft RFP, Procurement Specialist prepared the self-written preliminary draft of 1st draft of RFP to support their efforts. Accordingly, working-level staff of PGCB and GTCL almost completed the first draft RFP to some extent. However, there was no enough time to finalize the evaluation criteria of EOI and RFP, though provisional evaluation criteria were formulated. As a result, the submission of first draft RFP (including the approval from Managing Director) was delayed in both cases.

It is expected that PGCB and GTCL submit 1st draft RFP and EOI documents to JICA as soon as possible.

For the Project C, the Executing Agency on behalf of the Bangladesh Government is Dhaka Transport Coordination Board (DTCB).

The Project covers the following components.

- 1) General Consulting Services (GC)
- 2) Institutional Development Consulting Services (IDC) and
- 3) Resettlement Assistance Consulting Services (RAC)

Procurement Specialist focused on preparation of 1st draft of RFP and REOI documents through interactive workshops and discussions to meet the deadline to submit 1st draft RFP on February 2 2012. To save time and to ensure the completion of draft RFP, the Procurement Specialist prepared the self-written preliminary draft of 1st draft of RFP for each of three components to support their efforts.

However, submission of 1st draft RFP of GC was missed to meet the deadline. DTCB staff is now making best efforts to submit 1st draft RFP and EOI documents concerning GC to JICA as soon as possible. Unfortunately, preparation of draft RFP for RAC and IDC was left. Depending on its needs, draft RFP on consulting services for RAC and IDC will be completed in the next mission.

(Note) TOR of Procurement Specialist stipulated in Procurement Support Contract is to give an explanation of Guidelines and to give guidance for drafting RFP. However, on the other hand, each EA is requested to submit first draft of RFP to JICA on the final day of two-and-a-half- day workshop. To attain this request, the Procurement Specialist was compelled to support making draft RFP with own hands as a tentative draft for discussion to save time.

It is believed, however, that with close monitoring by JICA Bangladesh Office and with support from a certain type of experts, including Procurement Specialist (as required), these delays or risks can be mitigated through capacity development activities in DTCB. Therefore, the Procurement

Specialist would like to express following few observations.

- (1) Institutional reinforcement and capacity development of DTCCB is the most essential first step.
- (2) Preparation of three different RFP of GC, RAC and ID are now considered to attain simultaneously as described in Time-bound Action Plan of MD. But, under present capacity of DTCCB, GC part should be separately implemented from RAC and ID consulting services.
- (3) Experienced and practical in-house experts/consultants who can make comprehensive technical judgment and procurement preparation should be assigned with fledgling DTCCB, so that DTCCB may attain time-bounded Action Plan of MD.

3. Challenges and recommendations

3.1 Challenges

Common problems are observed for the projects supported, e.g. the staff in charge of preparation of RFP and evaluation of proposal is engaged in routine works, and thus, they are unable to concentrate on such tasks. This is the main cause of the delay in the selection process of consultants.

The fundamental solution of this problem is to increase the number of relevant staff within the Executing Agency. This, however, will need time and budget. Immediate solutions need to be sought out.

3.2 Recommendations

JICA might consider following options. These options are not mutually exclusive. They can be implemented in parallel and simultaneously.

(Option A)

JICA might consider dispatch of a long-term expert(s) to provide guidance to the relevant staff through daily hands-on training.

(Option B)

JICA office in the recipient country contracts with locally available qualified experts and let them support consultant selection process. They may be assigned in the relevant division of Executing Agency as in-house consultants.

(Option C)


The period of field operations by the GG21 procurement specialist might be made longer to ensure the preparation of relevant documents, e.g. RFP and proposal evaluation report.

Annex 1: Field Missions conducted between July 2011 and March 2012

| Country and Project | Assigned specialist and Period | Main Focus other than general workshop on JICA Guidelines for the Employment of Consultants under Japanese ODA Loans |
|--|--|--|
| <u>Uganda</u> A) Upgrading of Atiak-Nimule Road Project B) Construction of a New Bridge Across River Nile at Jinja Project | 1 st Mission Yoshitaro FUWA July 2-17, 2011 2 nd Mission Teruyuki TANABE Feb.4-12, 2012 | (Project A) ● Review and comments on draft evaluation report on EOI for SV consultancy (Project B) ● Review and comments on draft TOR of SV consultant ● Assistance on EOI and short list preparation (Project A) ● Assistance on evaluation of technical proposals for SV consultancy service (Project B) ● Review and comments on draft RFP of SV consultant |
| <u>Romania</u> Bucharest International Airport Rail Access Link Project | Yoshitaro FUWA Sept. 18-23, 2011 | ● Practical simulations for proposal evaluation, scoring in particular, preparation of evaluation report and contract negotiation |
| <u>Serbia</u> The Flue Gas Desulphurization Construction Project for Thermal Power Plant Nikola Tesla | Shunro Kageyama Oct. 3, 2011 | The guidance for evaluation procedures for employment consultants and for reporting to JICA for its concurrence was held in Tokyo. |
| <u>India</u> Rajasthan Forestry and Biodiversity Project Phase II | Yoshitaro FUWA Nov. 26-30, 2011 | (The EA was well informed of the JICA procedures) |


| Country and Project | Assigned specialist and Period | Main Focus other than general workshop on JICA Guidelines for the Employment of Consultants under Japanese ODA Loans |
|---|---|---|
| <u>Bangladesh</u> A) National Power Transmission Network Development Project B) Bheramara Combined Cycle Power Plant Development Project C) Dhaka Mass Rapid Transit Development Project | Shunro KAGEYAMA Jan.21-Feb.3, 2012 | (Project A) ● Assistance in drafting REOI, RFP and preparation of evaluation criteria for SV consultancy technical proposal (Project B) ● Assistance in drafting REOI, RFP and preparation of evaluation criteria for SV consultancy technical proposal on Component (B) (Project C) ● Assistance in drafting REOI, RFP and preparation of evaluation criteria for evaluating technical proposal for the General Consulting Services (GC) and preparation of draft RFP on RAC and IDC components |
| <u>India</u> A) West Bengal Forest and Biodiversity Conservation Project B) Tamil Nadu Transmission System Improvement Project C) Delhi Water Supply Improvement Project D) Rajasthan Rural Water Supply and Fluorosis Mitigation Project | Rentaro TAMAISHI (A & B) Teruyuki TANABE (C & D) Feb.27-Mar.9, 2012 | (All the Projects) ● Assistance in drafting, RFP and preparation of evaluation criteria for evaluating technical proposal (Project B) ● Seminar on JICA Guidelines for Procurement and Sample Bidding Documents |

Annex 2: Proposal Evaluation (Consultants): Procedures and Practice for QCBS

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Rajasthan Forestry and Biodiversity
Project Phase II

Proposal Evaluation (Consultants):
Procedures and Practice for QCBS
Nov. 2011


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Key Procurement Principles and Evaluation of
Proposals


- Key Procurement Principles - A Reminder
 - Main Considerations in Selection
 - Conflicts of Interest
 - Overview of Selection Process
 - Communications during Proposal Phase

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- Evaluation of Proposals
 - Eval. of Technical Proposals (to be conducted by JICA)
 - Eval. of Financial Proposals
 - Combined Evaluation and Final Score (to be conducted by JICA)
- Composition and Functions of Evaluation Committee
- How Evaluation Criteria work - a reminder
- How Scoring System works - a reminder (Grades and Ratings)
- Defining the Grades - practical work related to actual procurement process
- Key Elements of the Evaluation Report


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Key Procurement Principles
- a reminder

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Main Considerations in Selection

- Quality
- Efficiency
- Transparency
- Non-discrimination among eligible consultants for contracts

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Competence/Impartiality

- Essential that consultants possess required competence for proper project execution
- Essential that consultants be impartial
 - To ensure that goods, works and services for projects are suitable and their cost reasonable
 - To ensure that designs and specifications in no way limit JICA's requirements regarding competitive bidding

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Corrupt or Fraudulent Practice

- Consultants and Borrowers must observe highest ethical standard in procurement and execution of contracts financed by JICA
- If JICA determines that the highest-ranked consultant has engaged in corrupt or fraudulent practice in competing for the contract, it will:
 - reject the proposal evaluation results
 - recognize a consultant as ineligible (for a determined period) to be awarded contracts funded by JICA
- This provision already included in Letter of Invitation and to be included in resulting contract

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Conflicts of Interest

- Provision at Section 2.6.5 (paragraph 2) of the Guidelines, which states:
 - Consulting firms providing consulting services for the preparation related to procurement for or implementation of a project, and any of their associated affiliates (including parent firms), shall be disqualified from seeking in any other capacity in the same project, other than a continuation of the firm's earlier consulting services.
- This provision also applies to consultants who tend or temporarily second, their personnel to firms which are engaged in consulting activities for the preparation related to procurement for an implementation of the project. If the personnel would be involved in any capacity in the same project.

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Following rules shall be followed in general:

| Example | Configuration | Rule | KEY |
|-----------|----------------------|---------------|---|
| Example 1 | X X X C D X | NOT permitted | A Solely or solely and severally liable for entire contract |
| Example 2 | A B X C D | NOT permitted | A Subcontractor or association member (not liable for entire contract) |
| Example 3 | A B X C D X | Permitted | |

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Evaluation of Technical Proposals

- QCBS - firms to submit technical and financial bids in separate sealed envelopes at the same time - financial bids to remain sealed until technical evaluation is completed
- QBS - only highest-ranked consultant (following proposal evaluation) can be asked to submit a financial proposal

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Establishment and Organization of Evaluation Committee

- Crucial for a fair and objective proposal evaluation
- Need not be experts, but should at least have some knowledge of areas related to project
- The Committee Members must maintain highest standards of integrity during process - no communications with shortlisted consultants from appointment until contract award (except where official clarifications related to the proposal are sought)
- Independent observer can be allowed to participate in Evaluation Committee meetings - if Borrower lacks expertise to carry out evaluation, consider hiring an independent consultant to assist

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Evaluation Committee: key functions (QCBS)

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    graph TD
      A[Setting Evaluation Criteria] --> B[Opening of Technical Proposals]
      B --> C[Evaluation of Technical Proposals]
      C --> D[Final Report of Technical Proposal (to be submitted by JICA)]
      D --> E[Final Opening of Financial Proposals]
      E --> F[Evaluation of Financial Proposals & Ranking of Proposals]
      F --> G[Final Evaluation Report (to be submitted by JICA)]
  
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Evaluation Criteria for Technical Proposals

| Criteria | Points | Percentage |
|--|----------|------------|
| 1. Qualification of the Consultants Use of a short list and selection of the final consultant by the JICA | 30 (30%) | 30% |
| 2. Technical Understanding of the Assignment Adequacy of proposed approach, methodology and work plan | 30 (30%) | 30% |
| 3. Experience and record of past projects Experience of the consultant in the field | 30 (30%) | 30% |
| 4. General Conditions Availability, availability experience, type of past projects, length of the project | 20 (20%) | 20% |
| 5. Propriety Adequacy of personnel in the staff to be assigned to this project | 10 (10%) | 10% |
| 6. Facility with language and conditions of staff in the field Facility with language and conditions of staff in the field | 10 (10%) | 10% |

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Optional Evaluation Criteria

- Additional criteria may be applied depending on the nature of the assignment, such as:
 - **Suitability of transfer of knowledge**
 - Suitability of training programs
 - **Support facilities and organization**
 - Including support resources at Head Office
 - **Proposal presentation**
 - Overall quality of the presentation of the proposal

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Evaluation Criteria - Experience of the Consultants

- Experience having been already taken into account when drawing up the Short List, no more than 20 points in total should be allocated
- Importance will vary according to the type of consulting services to be provided, e.g.
 - If services are to be provided in very challenging and risky environments, ensure the selected consultants have proven experience in similar environments
 - Very complex projects demand that the selected consultants can demonstrate they have successfully implemented similar projects

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Evaluation Criteria - Adequacy of Methodology and Work Plan

- This criterion needs to be carefully evaluated - It is key factor
- 20-50 points
- Subcriteria should include the following:
 - Technical Approach and Methodology
 - Work Plan
 - Organization and Staffing

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Evaluation Criteria - Qualifications and Competence of Staff

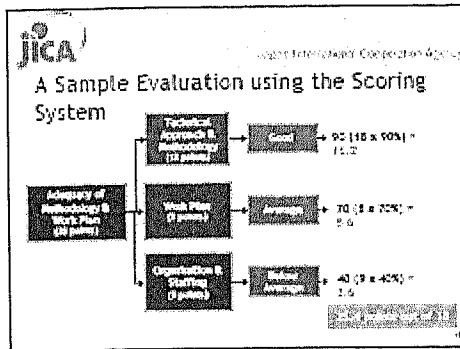
- Experience and record of staff members proposed to be evaluated, based on qualifications and experience in their curriculum vitae (CVs)
- Recommended that:
 - Only "key" staff members (those conducting essential elements of the assignment) to be evaluated
 - Staff members with relatively minor roles are not be evaluated, otherwise the relative importance of the "key" staff members will be diminished
- Weight/percentage of points depends on role and/or expertise required in assignment - Team Leader/Project Manager should be given more weight than the others

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How does the Scoring System work?

- Recommended that a rating scale of the level of responsiveness is divided into discrete grades and agreed by the Evaluation Committee prior to evaluation:

| Grade | Percentage Rating |
|---------------|-------------------|
| Poor | 0% |
| Below Average | 40% |
| Average | 70% |
| Good | 90% |
| Excellent | 100% |



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Completion of Evaluation of Technical Proposals

- Results are detailed in an evaluation report, including:
 - Summary technical evaluation sheet
 - Evaluation sheets for staff members of each consultant

| Consultants | No. 1 | | No. 2 | |
|--|--------------|-------------|--------------|-------------|
| | Agency Score | Staff Score | Agency Score | Staff Score |
| 1 Agency of the proposed approach, methodology and methodology | 15 | 16.2 | 23.8 | |
| 2) Technical Approach and Methodology | 18 | 90 | 16.2 | 70 |
| 3) Work Plan | 8 | 70 | 5.8 | 40 |
| 4) Evaluation and Staffing | 7 | 40 | 3.6 | 90 |

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- ### Evaluation of Financial Proposals
- Firms which have secured the minimum qualifying technical score will be advised of the location, date and time for opening of the financial proposals
 - Financial proposals are opened publicly in the presence of firms' representatives who choose to attend
 - The following details are announced and recorded:
 - Name of the firms
 - Technical quality scores
 - Proposed prices

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Financial Proposals Evaluation

| Proposal No. | Agency Score | Staff Score | Agency Score | Staff Score |
|--------------|--------------|-------------|--------------|-------------|
| 1 | 15 | 16.2 | 23.8 | |
| 2 | 18 | 90 | 16.2 | 70 |
| 3 | 8 | 70 | 5.8 | 40 |
| 4 | 7 | 40 | 3.6 | 90 |

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- ### Determining Financial Score
- The Lowest NEFP is given a maximum score of 100 points
 - To be used as a basis to calculate the scores of the other financial proposals
 - The financial score for each proposal is inversely proportional to its NEFP
 - The higher the NEFP, the lower the financial score

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- ### Financial Scores
- The scores are computed as follows:
 - NEFP of the lowest priced proposal = 100 points
 - Each other NEFP = $100 \text{ points} \times \frac{\text{NEFP of the lowest priced proposal}}{\text{NEFP of the proposal under consideration}}$

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Financial Score: Example

- NEFP of lowest priced proposal = JPY 102 mil.
- NEFP of 2nd lowest priced proposal = JPY 107.5 mil.
- Financial score of the lowest priced NEFP = 100 points
- Financial score of the 2nd lowest priced NEFP =

$$100 \text{ points} \times \frac{\text{JPY } 102 \text{ million}}{\text{JPY } 107.5 \text{ million}} = 94.884 \text{ points}$$

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Ranking of Proposals

- Total score is obtained by weighting and adding the technical and financial scores, which determines the ranking of the proposals
- Weight for cost should take into account
 - The complexity of the assignment
 - The relative importance of quality
- It shall normally be 30%
- Relative weight to be given to quality and cost will be agreed by JICA and the Borrower in the appraisal

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Ranking of Proposals: Example

| | |
|---|---------------------------|
| Weight for quality: 70% | Weight for cost: 30% |
| Technical Score | NEFP of lowest priced |
| Consultant No 1: (T) 85,000 points | NEFP of 2nd lowest priced |
| Consultant No 2: (T) 90,790 points | |
| Financial Score | |
| Consultant No 1: (F) 94,884 points | |
| Consultant No 2: (F) 100,000 points | |
| Total Score | |
| Consultant No 1: 85,000 points x 70% + 94,884 points x 30% = 87,733 points | |
| Consultant No 2: 90,790 points x 70% + 100,000 points x 30% = 94,634 points | |

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Contract Negotiations

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Contract Negotiations

- Outline of Negotiation Procedures
 - Invite the highest-ranked consultant to enter into negotiations, after JICA's concurrence on the final evaluation report
 - If no agreement reached on a contract within a reasonable time, the Borrower terminates negotiations with first consultant and invites the second-ranked consultant - JICA to be consulted first
 - Borrower prepares minutes

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What can be negotiated: Technical/Contractual?

- TOR and technical proposal should not be substantially altered by negotiations
- Staff assigned and major works shall not be materially modified to meet the budget (GL3.11)
- These elements should be clarified in negotiations:
 - Scope of work
 - Technical approach
 - Work plan and schedule
 - Organization and personnel
 - Deliverables
 - Counterpart staff and facilities
 - Special Conditions of Contract

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What can be negotiated - Financial?

- When QCBS is used, proposal unit rate for remuneration shall not be altered, since they have been factors in the selection process

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What can be negotiated: Financial?

- These negotiations should be reasonable to keep consistency between the quality and price of the services
- Should include clarification of the consultant's tax liability in the country
 - RFP states that consultant is liable for payment of local taxes
 - Local tax amounts should be excluded from the financial proposal, but discussed at contract negotiations and applicable amounts included in the contract

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Negotiation Minutes

- Ensure that both parties have some understanding to what has been agreed
 - Take accurate minutes of proceedings
 - Both parties to initial these prior to closure of negotiations

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Information to be made Public

- JICA may decide to make public
 - Names of consultants which submitted proposals
 - Technical points assigned to each consultant
 - Overall ranking of the consultants
 - Name and address of successful consultant awarded contract
 - Award date
 - Contract amount
- Borrower is responsible for ensuring that the above information is available to JICA at the appropriate time (e.g. RFP and contracts)

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Confidentiality of Procurement Process

- No information relating to the proposal evaluation and recommendations concerning awards should be communicated to any persons not officially concerned with the process until a contract award is made, unless required by law

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The Contract

- Both parties' interests should be adequately protected by the detail contained in the contract
- General Conditions of Contract (contained within the RFP) must not be altered under any circumstances
- Special Conditions of Contract is where amendments of, and supplements to, clauses in the General Conditions of Contract are defined

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The Contract

- Key clauses are:
 - Scope of the Project and of the Consulting Services
 - Duration of Contract
 - Conditions relating to Termination of Contract
 - Responsibilities of the Parties (definition of consultant's JV or association with "joint and several" or "sole" responsibility)
 - Contract Amount (usually time-based payments)
 - Description of Consultant's Costs and Fees (man-months, rates and direct costs, contingencies - usually 5-10% of contract amount, price adjustment)

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The Contract (2)

- Key clauses (continued)
 - Currency in which Costs and Fees are to be Expensed (usually Japanese Yen, but other International Trading currencies as permitted, e.g. US\$ or Euro)
 - Conditions and Methods of Payment (Advance, Interim and Final payments)
 - Ownership and Disposal of Equipment
 - Services to be provided by the Borrower
 - Privileges and Immunities of the Consultant (e.g. tax)
 - Serious Offences (need to report to Borrower and JICA)

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The Contract (3)

- Key clauses (continued)
 - Reports (scope, number, type and frequency)
 - Consultants
 - Modifications (such as staff changes)
 - Force Majeure (conditions which would release consultant, procedures and both parties' rights and obligations)
 - Termination (upon performance or non-payment by borrower to consultant, notification periods)
 - Settlement of Disputes (procedures and arbitrating institution)
 - Applicable Laws
 - Language (Japanese, English, French or Spanish)

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Contract Management

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What is Contract Management?

- The central aim of contract management is to obtain the services agreed in the contract and achieve value for money through an effective management process
- This involves, among others, developing and maintaining trust and a good working relationship between the Borrower and the consultant

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Benefits of Effective Contract Management

- Improved control of the consultant
- better performance of the contract
- increased opportunity to achieve value for money
- satisfactory provision of the contracted service
- achievement of the transactional objective
- providing a service to the end user's satisfaction
- contributing to achievement of organization's goals

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Contract Management

- The foundations for contract management are established in the stages of the procurement process **before** contract award, e.g.
 - required service levels
 - scheduling of services
 - pricing mechanisms
 - performance indicators/benchmarks
 - communication channels/lines of reporting

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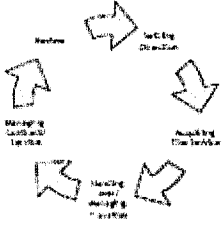
Approach to Contract Management

- Good contract management goes beyond the agreed terms of the contract. It is about resolving tensions and issues and building relationships based on trust and mutual understanding to achieve benefits for both parties ("win-win")
- Old style approach - formal; potentially adversarial
- New style approach - integrated and consensual; requiring a range of interpersonal skills



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Contract Management Lifecycle



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Contract Management Lifecycle

- Setting direction – policies/objectives/PM
- Agreeing the scope – evaluation of bids/establishing quality measures/contract negotiations
- Handing over/managing transition – asset transfer/knowledge transfer/business changes
- Managing contract/service – service delivery/contract administration/relationship management
- Review – lessons learnt/review of performance

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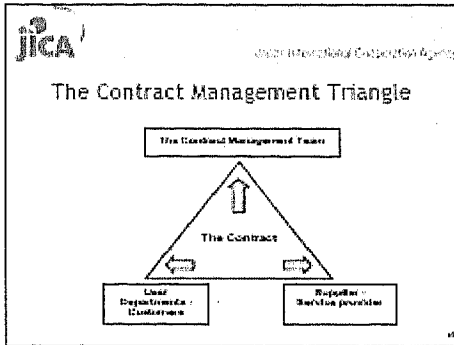
Contract Mobilisation

- Borrower's external responsibilities:
 - Appoint counterpart staff where necessary
 - Inform other stakeholders of the commencement of the assignment
 - Obtain any other data or information required for the assignment

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Contract Mobilisation

- Internal Responsibilities:
 - Appoint a counterpart Project Manager
 - Prepare office space, vehicles and other facilities and supplies
 - For large assignments, constitute a project steering committee
 - Establish steering or monitoring arrangements
 - Make other arrangements as agreed in contract negotiations



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- ### Managing Service Contracts
- There are 5 key elements in the effective management of contracts:
 - Managing service delivery
 - Managing the relationship
 - Administering the Contract
 - Managing changes
 - Defining and Maintaining Roles and responsibilities

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- ### 1. Managing Service Delivery
- 2 principal aspects of a service contract for a Borrower to check:
 - the service is delivered on time, to specification and quality standards
 - the costs of the service are no higher than anticipated

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- ### Managing Service Delivery
- There are a number of areas that a contract manager or team has to supervise in order to achieve successful delivery of the contracted service:
 - service level management
 - measuring quality
 - value for money
 - management of risk
 - operations continuity

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- ### Managing Service Delivery
- Service level management is the process of ensuring that the service is provided in accordance with the performance indicators in the contract
 - To satisfy the Borrower, the service provider has to balance cost and quality of services to ensure the Borrower the expected value for money

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- ### Managing Service Delivery
- In addition to assessing the volumes and levels of service performance, quality must also be checked
 - Measuring quality of service delivery requires the establishment of a series of quality measures, e.g.
 - reliability
 - end-user satisfaction
 - applicable standards

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Managing Service Delivery

- Value for money is the optimum combination of service cost and quality to meet the end-users requirements
- A key objective for the contract management team is to ensure that the contract continues to provide value for money over the life of the contract

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Managing Service Delivery

- Risk management is a discipline for identifying and controlling all risks that may affect the current or future delivery of a service
- It allows to analyse risks that may affect the procurement of services and to develop appropriate mitigating strategies

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Managing Service Delivery

- Operational continuity - a major issue that faces contract managers or contract management teams is the impact of a service failure or interruption of services on the organisation
- This requires contingency planning which, ideally, should be a joint responsibility agreed between the Borrower and the service provider

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2. Managing the Relationship

- Three key factors for success in developing the relationship between the Borrower and the service provider or consultant are:
 - mutual trust and understanding
 - openness and excellent communications
 - joint approach to managing delivery

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Managing the Relationship

Managing the relationship comprises a set of responsibilities/activities that may be assigned to an individual (smaller contracts) or to a team (larger contracts) i.e.

- communication
- culture
- dealing with problems

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Managing the Relationship

- Primary levels of communication for a service contract are:
 - Operational: end users/technical support staff
 - Business: contract manager/relationship manager for both parties
 - Strategic: senior management/board of directors

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Managing the Relationship

- Inevitably, problems will arise with managing the contract and the way in which these are resolved will determine the level of success
- Therefore the following are required:
 - agreed procedures for problem solving, both for the Borrower and for the service provider
 - Problem solving by higher level stakeholders, if necessary

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3. Administering the Contract

- The relationship between Borrower and service provider, implementation of procedures and operation of administrative functions, through:
 - Proper maintenance of contractual documents
 - Change control
 - Management reporting

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Administering the Contract

- Maintaining contract documentation up to date is an important activity and provides the framework for contract management:
 - procedures for proper filing system need to be established
 - document management principles applied
 - new service descriptions or service levels introduced, if there are contract changes

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Administering the Contract

- Changes to services may have an impact on service delivery, performance, cost and value for money and management of this process is an important activity
- Accordingly, a standard change control procedure is required that will apply to all changes and responsibility for authorising changes must be defined

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Contract Administration

- The requirements for reporting to may include:
 - service performance (progress) reports
 - staff management information
 - report of identified problems to be resolved, if any

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5. Managing Change

- Contract management needs to accommodate change flexibly.
- Drivers for change can be:
 - evolving organisational requirements
 - organisational restructuring
 - developments in technology
 - economic trends
 - changes in legislation
- A properly managed change process can be a good opportunity to improve the level of service

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Managing Change

- Amending a contract affects the scope and, possibly, the viability of the services contract and inevitably there are implications of change for both parties
- If change reduces the scope of the contract there is a risk that economies of scale will decline
- If the scope is increased the Borrower must ensure it continues to receive value for money from the contract

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Managing Change

- There are four basic types of change which challenge contract managers:
 - changes to performance metrics
 - changes to service functionality
 - changes to service infrastructure
 - changes to workload
- Changes will need to be agreed with the service provider and JICA, if the contract needs to be substantially modified.

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6. Defining and Maintaining Roles and Responsibilities

- The Borrower and the service provider both need contract management teams, which may include:
 - senior manager
 - contract manager
 - relationship manager
 - end user
- In some cases roles and responsibilities may vary according to the organisation
- Importance to define levels of delegated authority

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Dispute Resolution

- Forms of dispute resolution:
 - negotiation - conferring to reach an agreement
 - conciliation - negotiation requiring reconciliation (JICA)
 - mediation - negotiation with the intervention of a mediator
 - arbitration - judicial determination of a dispute
 - ADR/ADR - form of judicial mediation undertaken by a skilled arbitrator
 - litigation - arbitration conducted through a court of law

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Completion of Services

- Discussion and agreement on exit strategy with consultant
- Commencement of handover to counterpart staff if necessary
- Draft Final Report submitted
- Draft report reviewed and comments submitted to consultant
- Final report submitted and passed to JICA for concurrence
- Final invoices paid

**SAMPLE FORM OF TECHNICAL EVALUATION
REPORT**

Preface

Consultants¹ employed by Borrower/Executing Agency of Japan International Cooperation Agency (JICA) are to be hired according to the JICA's Guidelines for Employment of Consultants under Japanese ODA Loans ("Consultants Guidelines"). The Consultants Guidelines specify the Borrower's obligation to submit a technical evaluation report of consultants' proposals for JICA's concurrence, prior to opening the financial proposal.

This document sets out the format of a sample evaluation report. It is provided the Project Management Unit (PMU) of the Rajasthan Forestry Department (RFD) to facilitate the evaluation of consultants' technical proposals.

The evaluation must be in accordance with the criteria spelled out in the Request for Proposal and carried out by qualified evaluators.

Technical Proposal Evaluation Report

For

Rajasthan Forestry and Biodiversity Project Phase II

Date

Project Monitoring Unit

¹ This is a Sample Form adapted for QCBS based consultants selection adopted from the World Bank - Sample Form of Evaluation Report, Selection of Consultants, October 1999.

The evaluation report includes two sections:

Section I A Short Report Summarizing the Findings of the Technical Evaluation;

Section II Technical Evaluation Report;

Annexes:

Annex I Individual Evaluations;

CONSULTANT EVALUATION REPORT

Country [insert: name of country]

Project Name [insert: project name]

Loan Agreement No. [insert: loan number]

Title of Consulting Services [insert: title]

Date of Submission [insert: date]

Section I. Technical Evaluation Report—Text

1. Background
 Include a brief description, content, scope, and objectives of the services. Use about a quarter of a page.
2. The Selection Process (Prior to Technical Evaluation)
 Elaborate on information provided in Form EA.
 Describe briefly the selection process, beginning with the advertising (if required), the establishment of the shortlist, expressions of interest, and withdrawals of firms before proposal submissions. Describe major events that may have affected the timing (delays, complaints from consultants, key correspondence with the JICA, Request for Proposal (RFP), extension of proposal submission date, and so on).

Use about one-half to one page.

3. Technical Evaluation
 Describe briefly the meetings and actions taken by the evaluation committee, formation of a technical evaluation team, outside assistance, evaluation guidelines, justification of submissions and associated weightings as indicated in the Request for Proposal; relevant correspondence with the JICA; and compliance of evaluation with RFP.

Present results of the technical evaluation scores and the award recommendations.

Highlight strengths and weaknesses of each proposal (most important part of the report).

- (a) **Strengths:** Experience in very similar projects in the country; quality of the methodology; proving a clear understanding of the scope of the assignment; strength of the local partner; and experience of proposed staff in similar assignments.
- (b) **Weaknesses:** Of a particular component of the proposal; of a lack of experience in the country; of a low level of participation by the local partner; of a lack of practical experience (experience in studies rather than in implementation); of staff experience compared to the firm's experience; of a key staffer (e.g., the team leader); of a lack of responsiveness; and of

Contents

| | |
|--|----|
| Section I. Technical Evaluation Report—Text | 5 |
| Section II. Technical Evaluation Report—Forms | 7 |
| Form IA. Technical Evaluation - Basic Data | 8 |
| Form IB. Evaluation Summary | 11 |
| Form IC. Individual Evaluations—Comparative | 12 |
| Section III. Annexes | 13 |
| Annex I (a) Individual Evaluations | 14 |
| Annex I (a) Individual Evaluations—Key Personnel | 15 |

Section II. Technical Evaluation Report—Forms

Comments on individual evaluators' scores (discrepancies).

Items requiring further negotiations.

Use up to three pages.

Form IA. Technical Evaluation—Basic Data

Form HB. Evaluation Summary—Technical Scores Ranking

Form IC. Individual Evaluations—Comparison (Average Scores)

Form IIIA. Technical Evaluation - Basic Data

2.1 Method of selection: Quality and Cost-Based Selection (QCBS)

2.5 Shortlist:
 (a) name(s) of firm(s) (mark domestic firms and firms that had expressed interest) _____
 1 _____
 2 _____
 3 _____
 4 _____
 5 _____
 6 _____

(b) Submission to JICA for concurrence _____
 Date _____

(c) JICA's concurrence _____
 Date _____

2.6 Request for Proposals:
 (a) submission to JICA for concurrence _____
 Date _____

(b) JICA's concurrence _____
 Date _____

(c) issuance to Consultants _____
 Date _____

2.7 Amendments and clarifications to the RFP (describe, if any) _____

2.8 Contract:
 (a) Time-Based
 Yes _____ No _____
 Price adjustment: Yes _____ No _____

2.9 Pre-proposal conference:
 (a) minutes issued _____
 No

2.10 Proposal submission:
 (a) two envelopes (technical and financial proposal) _____
 Yes
 (b) original submission _____
 Date _____
 (c) extensions(s) _____
 Yes: Date _____ Time _____
 No _____

2.11 Submission of Financial Proposal
 Location _____

2.12 Opening of Technical Proposals by selection committee
 Date _____ Time _____

2.13 Number of proposals submitted _____

2.14 Evaluation committee:
 Members' names and titles (normally three to five) _____
 1 _____
 2 _____
 3 _____
 4 _____
 5 _____

2.15 Proposal validity period (days):
 (a) original expiration date _____
 Date _____ Time _____
 (b) extension(s), if any _____
 Date _____ Time _____

2.16 Evaluation Criteria sub-criteria:
 (a) Consultants' experience
 (i) _____
 Weight _____
 (ii) _____
 Weight _____

(b) Methodology
 (i) _____
 Weight _____
 (ii) _____
 Weight _____

(c) Personnel
 (i) Key Personnel:
 (A) _____
 Weight _____
 (B) _____
 Weight _____
 (C) _____
 Weight _____

(ii) Non-key Personnel
 (A) _____
 Weight _____
 (B) _____
 Weight _____
 (C) _____
 Weight _____

Form IIB. Evaluation Summary

Technical Scores/Ranking

| Consultant's names | [Insert name of Consultant 1] | [Insert name of Consultant 2] | [Insert name of Consultant 3] | [Insert name of Consultant 4] |
|--------------------|-------------------------------|-------------------------------|-------------------------------|-------------------------------|
| Criteria | Scores | Scores | Scores | Scores |
| Experience | | | | |
| Methodology | | | | |
| Proposed staff | | | | |
| Total score* | | | | |
| Rank | | | | |

a. Proposals scoring below the minimum qualifying score of [number] points have been rejected.

2.17 Technical scores by Consultant Minimum qualifying score _____

| Consultant's names | Technical scores |
|--------------------|------------------|
| 1. | |
| 2. | |
| 3. | |
| 4. | |

2.18 Evaluation report (s) submitted to HCA for concurrence _____ Date _____

Section III. Annex

- Annex I. Individual Evaluations
- Form V Annex I(i). Individual Evaluations
- Form V Annex I(ii). Individual Evaluations—Key Personnel

Form IIC. Individual Evaluations—Comparison

| Consultants' Names | <i>[Insert name of Consultant 1]</i> | <i>[Insert name of Consultant 2]</i> | <i>[Insert name of Consultant 3]</i> | <i>[Insert name of Consultant 4]</i> |
|--------------------|--------------------------------------|--------------------------------------|--------------------------------------|--------------------------------------|
| Criteria | | | | |
| Experience | A C | AV ^a | B D | |
| Methodology | | | | |
| Key staff | | | | |
| Training | | | | |
| Local input | | | | |
| Total | | | | |

a. A, B, C, and D = scores given by evaluators. AV = average score, see Annex I(i).

Annex 4: Sample Form of Final Evaluation Report

| Content: | |
|--|---|
| Introduction | 1 |
| 1. Technical Issues by Consultant | 2 |
| 2. Financial Evaluation Report—Award Recommendation—T&E | 3 |
| Financial Evaluation Report—Award Recommendation—Furnish | 4 |
| Annexes | 5 |

SAMPLE FORM OF FINAL EVALUATION REPORT¹

SELECTION OF CONSULTANTS

Rajasthan Forestry and Biodiversity Project Phase II
(Loan Agreement No. _____)

Date

Project Monitoring Unit

¹ This is a Sample Form adapted for QCBS based consultant selection adopted from the World Bank Sample Form of Evaluation Report Selection of Consultants, October 1999.

Introduction

Pursuant to the Loan Agreement No. _____ between the Government of India (GOI) and Japan International Cooperation Agency (JICA) for the Rajasthan Forestry and Biodiversity Project Phase II (the Project), the Project Monitoring Unit (PMU), acting on behalf of the GOI, has conducted the technical evaluation of proposals submitted by (a) short-listed consultant. The technical evaluation report was submitted to JICA and was conducted by the date on [Date].

The PMU has opened the financial proposals on [Date].

Below is the result of financial evaluation to which the JICA comments is sought.

1. Technical scores by Consultant
Minimum qualifying score _____

| Contributor's name | Technical scores |
|--------------------|------------------|
| 1 | |
| 2 | |
| 3 | |
| 4 | |

2. Financial Evaluation Report—Award Recommendation—Text
(The text will follow)

- (a) any issue faced during the evaluation, such as difficulty in obtaining the exchange rates to convert the price into the common currency used for evaluation purposes.
- (b) adjustments made to the prices of the proposals, mainly to ensure consistency with the technical proposal, and determination of the evaluated price.
- (c) any related problems.
- (d) award recommendation, and
- (e) any other important information.

There are no other issues to be taken into account in the financial evaluation (where applicable are)

Financial Evaluation Report—Award Recommendation—Forms

- Form A. Financial Evaluation—Basic Data
- Form B. Adjustment—Currency Conversion—Evaluated Prices
- Form C. QCBS—Contract Technical/Financial Evaluation—Award Recommendation

Form A. Financial Evaluation—Basic Data

| | | |
|---|--|-------------|
| 4.1 Public opening of financial proposals (a) Names and proposal prices (marks/Consultant that awarded public opening) | Date _____ | Time _____ |
| | 1 | |
| | 2 | |
| | 3 | |
| 4.2 Evaluation committee members' names and tasks (if not the same as in the technical evaluation) | | |
| | | |
| | | |
| | | |
| 4.3 Methodology (format) for evaluation of cost (QCBS only; cost is applicable) | Weights inversely proportional to cost | |
| | Date _____ | |
| 4.4 Submission of final technical/financial evaluation report to JICA | Date _____ | |
| | Consultant name | Final price |
| 4.5 QCBS (a) Technical/financial and final scores (Quality-Based technical scores only) | Technical scores | Final price |
| | | |
| (b) Award recommendation | | |

Form C. QCBS—Combined Technical/Financial Evaluation—Award Recommendation

| Consultants' names | Technical Evaluation | | | Financial Evaluation | | Combined Evaluation | |
|----------------------|--|--|----------------|---------------------------------------|--------------------------------------|-----------------------------|------|
| | Technical scores S(t) | Weighted scores $S(t) \times 0.8^3$ | Technical rank | Financial scores ¹ S(f) | Weighted scores $S(f) \times F^2$ | Scores $S(t) T + S(f) F$ | Rank |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| Award recommendation | To highest combined technical/financial score. Consultant's name: _____ | | | | | | |

¹ As per RFP

² See Form B

Form B. Adjustments—Currency Conversion—Evaluated Prices²

| Consultants' Names | Proposals' prices ^a | | Adjustments ^b | Evaluated price(s) | Conversion to currency of evaluation ^c | | Financial scores ^d |
|--------------------|--------------------------------|----------------|--------------------------|--------------------|---|------------------------------------|-------------------------------|
| | Currency | Amounts (1) | (2) | (3) = (1) - (2) | Exchange rate(s) ^e (4) | Proposals' prices (5) = (3)/(4) | (6) |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |

- a. Comments, if any (e.g., exchange rates); three foreign currencies maximum, plus local currency.
- b. Arithmetical errors and omissions of items included in the technical proposals. Adjustments may be positive or negative.
- c. As per RFP.
- d. 100 points to the lowest evaluated proposal; other scores to be determined in accordance with provisions of RFP.
- e. Value of one currency unit in the common currency used for evaluation purposes, normally the local currency (e.g., US\$1 = 30 rupees). Indicate source as per RFP.

² For Quality-Based, Qualifications, and Single-Source, fill out only up to column 3.

Annex I Minutes of Public Opening of Financial Proposals

Annex I

Minutes of Public Opening of Financial Proposals

Annex II Miscellaneous Annexes-A1-Etc

NOTES

It is noted that during the course of the discussion in the proposal opening session, the proposal price, financial technical notes, and any details that the Client or its structure may consider appropriate.

[All attendees were given the Minutes]

Miscellaneous Annexes—Ad Etc

Annex II

