

## **APPENDIX 4.21 ELECTRONIC SUBMISSION OF CONSULTANCY PROPOSALS ON REMOVABLE MEDIA**

1. This Appendix describes procedures promulgated originally in WBTC No. 31/2001 for electronic submission of Expressions of Interest, and Technical and Fee Proposals for consultancies under the purview of the Engineering and Associated Consultants Selection Board (EACSB). The relevant paragraphs from the original circular are basically subsumed hereunder.

### **Definitions**

2. In this Appendix, unless the context otherwise requires-

- (a) "Consultant" means a consultant included in the longlist for EOI or the shortlist for T&F.
- (b) "Digital Signature" means a digital signature as defined in section 2 of the Electronic Transactions Ordinance (Cap. 553) satisfying the requirements stipulated in section 6 of that Ordinance. "Digitally Signed" should be interpreted accordingly.
- (c) "EOI" means the Expression of Interest.
- (d) "Electronic Invitation Package" (or "EIP") means a collection of electronic files containing
  - (i) the Invitation Documents issued for an Invitation; or
  - (ii) the Invitation Addendum.
- (e) "Electronic Proposal Package" (or "EPP") means a collection of electronic files containing the EOI or T&F submitted for an Invitation.
- (f) "Invitation" means an invitation for EOI's or T&F issued in accordance with the EACSB Handbook.
- (g) "Invitation Addendum" means a set of documents and its attachments issued before the submission closing date and time to amend the invitation documents.

- (h) "Invitation Documents" means the documents issued for inviting submission of EOI or T&F, including
- (i) the invitation to submit EOI or T&F and other documents issued together with it; and
  - (ii) Invitation Addenda.
- (i) "Managing Department" means the department responsible for managing a consultancy under the purview of the EACSB.
- (j) "Organisational e-Cert" means a digital certificate issued under the name of an organisation by a recognised certification authority as defined under section 2 of the Electronic Transactions Ordinance (Cap. 553).
- (k) "T&F" means the technical proposal and fee proposal.

### Background

3. As outlined in WBTC no. 17/2001, the e-procurement of consultancy services is implemented in two phases as agreed by the Working Group on E-Procurement of Consultancy Services.

4. The first phase which is the electronic dissemination of invitation document was implemented on 17 September 2001 through the promulgation of the WBTC no. 17/2001.

5. The second phase which is the electronic submission of EOI's and T&F's on removable media is covered in WBTC No. 31/2001 and subsumed in this Appendix.

### Policy

#### **Invitation for EOI or T&F**

6. All proposals, whether in the form of EPP or hard copy format, shall be checked and assessed on an equal basis. The Managing Department shall include the following paragraph in the invitation letter for EOI or T&F:-

"You may make your submission in either electronic format or hard copy format. If part of the submission is made in both electronic and hard copy formats, the electronic format shall prevail over the corresponding hard copy format. If you elect to make your submission in electronic format, the

documents for your proposal shall be prepared and submitted in accordance with Annex [1]- Requirements for Submission of Proposal in Electronic Format. All proposals, whether submitted in electronic format or in hard copy format, will be evaluated on an equal basis."

7. The "Requirements for Submission of Proposal in Electronic Format" in Annex 1 shall be attached to the invitation letter.

### **Preparation and Submission of EOI or T&F**

8. Consultants who elect to submit their proposal in electronic format shall prepare the EPP in accordance with the "Requirements for Submission of Proposal in Electronic Format" in Annex 1.

9. All electronic files contained in the EPP shall be Digitally Signed by the Consultant. Organisational e-Cert used for the purpose of applying Digital Signatures shall be issued under the name of the Consultant and shall be valid as at the submission closing date and time for the EOI or T&F.

10. Consultants shall package the EPP and submit the proposal in accordance with the instructions contained in the invitation letter.

### **Handling of EPP**

11. The EACSB will release the EPP on fee proposal to the Managing Department for evaluation upon completion of the technical assessment.

### **Assessment of EOI and T&F**

12. For documents for fee proposal, two sets of printouts shall be submitted together with the EPP. For documents for technical proposal or expression of interest, printouts may optionally be submitted together with the EPP. All printouts shall be clearly stamped "PRINTOUT" and duly signed by the Consultant. The signed printouts shall not be used for assessment unless there are problems in using the files in the EPP.

13. Managing Departments should preserve the contents of the EPP. No alteration to the electronic files of the submissions is allowed. To avoid any inadvertent changes or damage made to the EPP, the following measures shall be adopted in handling the EPP –

- (a) CD-ROM/DVD-ROM drive which is NOT capable of writing or re-writing data on CD/DVD media shall always be used to read the EPP.
- (b) A Duplicate CD-ROM/DVD-ROM copies of the EPP shall be made and used for the purpose of proposal evaluation. The original EPP shall not be used as far as possible.

14. Managing Departments should check the validity of electronic files submitted in the EPP as follows-

- (a) All files have been Digitally Signed by the Consultant.
- (b) The Digital Signatures are generated by an Organisational e-Cert of the Consultant.
- (c) The Organisational e-Cert corresponding to the Digital Signatures is valid as at the submission closing date and time for the EOI or T&F.

The list of recognized certificates is available at OGCIO's website:  
[www.ogcio.gov.hk/en/regulation/eto/ca/rec\\_certs](http://www.ogcio.gov.hk/en/regulation/eto/ca/rec_certs)

15. If an electronic file in the EPP cannot be opened properly for viewing and printing by following the Consultant's instructions given in the EPP, that file shall be deemed as missing from the EPP unless a signed printout of that file has been included in the submission. The Consultant shall be notified in writing that –

- (a) an electronic file is deemed as missing from the EPP if the file cannot be opened properly by following the Consultant's instructions given in his EPP; or
- (b) a signed printout of an electronic file submitted by the Consultant will be used for evaluation notwithstanding that the electronic file cannot be opened properly by following the Consultant's instructions given in the EPP.

### **Preparation of Consultancy Agreement**

16. The consultancy agreement shall be prepared using the printouts of the required documents contained in the EIP and/or EPP, and the signed printouts of the submission only

if the corresponding electronic files cannot be opened properly, in accordance with the EACSB handbook.

17. . The retention and destruction of EPP's shall be handled in the same manner as proposals submitted in hard copy.

## Annex [A]<sup>2</sup>

### Requirements for Submission of Proposal in Electronic Format

**The following requirements apply if the proposal is made in electronic format.**

1. In this Annex, unless the context otherwise requires-
  - (a) "Digital Signature" means a digital signature as defined in section 2 of the Electronic Transactions Ordinance (Cap. 553) satisfying the requirements stipulated in section 6 of that Ordinance. "Digitally Signed" should be interpreted accordingly.
  - (b) "Editable File" means an electronic file which is stored in file formats that are editable using mainstream computer applications for office automation and computer-aided drafting.
  - (c) "Image File" means an electronic file which is stored in file formats that capture the printed image of the document.
  - (d) "Electronic Proposal Package" (or "EPP") means the collection of the electronic files containing the proposal submitted for this invitation.
  - (e) "Organisational e-Cert" means a digital certificate issued under the name of an organisation by a recognised certification authority as defined under section 2 of the Electronic Transactions Ordinance (Cap. 553).
2. EPP shall be submitted on CD-ROM media complying with ISO 9660:1988 or DVD-ROM media to ISO 13346:1995 standards. All CD-ROMs/DVD-ROMs should be clearly labelled or marked to indicate the agreement number, the name of the consultant, and the disk number if more than one CD-ROM/DVD-ROM is submitted. Each CD-ROM/DVD-ROM shall have a "README.doc" file in the root directory prepared in Word Format and Digitally Signed. This file shall contain at least the following information:
  - (a) general guidance on the use of the electronic files in the EPP (e.g. the file naming convention, directory structure of the CD-ROM/DVD-ROM, software name and version for viewing the file);

- (b) a list of all documents submitted in the EPP with the following information-
    - (i) brief description of the contents of the document; and
    - (ii) disk number (if the submission contains more than one CD-ROM/DVD-ROM) and filename with full path information for the Editable File and/or the Image File;
  - (c) information on the proper setting for viewing, editing, and printing the electronic files, including, without limitations-
    - (i) the printer to be used for printing the files;
    - (ii) the paper sizes;
    - (iii) requirements for special fonts; and
    - (iv) any special printing instructions;
  - (d) detailed instructions for viewing other type of electronic information or visualisation not covered in paragraph 8 of this Annex.
3. EPP shall be submitted in duplicate. The original and duplicate set of EPP shall be clearly stamped "ORIGINAL" and "DUPLICATE" respectively on the CD-ROM/DVD-ROM labels.
  4. The write once type CD/DVD media shall be used for the preparation of EPP. For the avoidance of doubt, re-writable CD/DVD media shall not be used. The CD-ROM/DVD-ROM shall be logically closed such that no subsequent change can be made to the EPP.
  5. CD-ROM/DVD-ROM shall be properly packed and protected to avoid physical damage during the submission process.
  6. If the invitation requires the submission of fee proposal and technical proposal, EPP shall be split into two parts, which shall be stored and submitted in separate

CD-ROMs/DVD-ROMs. One set of CD-ROMs/DVD-ROMs, clearly marked "Fee Proposal", shall contain documents as specified in the Guidance for the Preparation of Fee Proposal and shall be submitted in the "Fee Proposal" envelope. The other set of CD-ROMs/DVD-ROMs, clearly marked "Technical Proposal", shall contain the documents as specified in the Guidance for the Preparation of Technical Proposal and shall be submitted in the "Technical Proposal" envelope.

7. All electronic files in the EPP shall be Digitally Signed. Organisational e-Cert issued under the name of the Consultant shall be used for the purpose of applying digital signatures. The Organisational e-Cert corresponding to the Digital Signatures must be valid as at the submission closing date and time for the expression of interest or the technical proposal and fee proposal.
8. (a) The following data formats shall be used for preparing documents in electronic form:-

| <i>Type of Document</i>   | <i>Editable File</i>                                 | <i>Image File</i>              |
|---|--|--------------------------------|
| Text documents  | Word   | Portable Document Format (PDF) |
| Schedules (except the manning schedule) or documents in tabular form      | Excel;<br>Word                                       | PDF                            |
| Drawings  | <i>(Procurement Department to define and insert)</i> | PDF                            |
| Building Information Modeling (BIM)                                       | <i>(Procurement Department to define and insert)</i> | PDF                            |
| Other types of documents, including scanned documents or scanned drawings | Not Applicable                                       | PDF                            |
| Manning schedule  | ISO/IEC 29500:2008 format (.xlsx)                    | PDF                            |

The data formats and associated versions of documents/files to be adopted in the EPP should adhere to the latest OGCIO Interoperability Framework which can be downloaded from the OGCIO website: -

[https://www.ogcio.gov.hk/en/our\\_work/infrastructure/e\\_government/if/interoperability\\_framework.html](https://www.ogcio.gov.hk/en/our_work/infrastructure/e_government/if/interoperability_framework.html)



- (b) If more than one file format are specified, files need to be provided in one of the specified formats only.
  - (c) Files prepared in the above format shall not be compressed using file compression programmes and shall not contain any computer instructions, including but not limited to,
    - (i) computer viruses; and
    - (ii) macros, scripts and fields that depend on the execution environment and the execution of which will cause changes to the electronic file itself or the information system displaying the electronic record.
- 9. Electronic files may be submitted in Editable File format or in Image File format or in both type of formats, except that the manning schedule shall be submitted in Editable File format. If both type of formats are submitted, the contents of Editable File and Image File of a document should be identical. If there are discrepancies, the Image File shall prevail.
- 10. As the conversion of drawing files to PDF format may slightly distort the scale of the drawing elements, line scales in both horizontal and vertical directions should be included in drawings files to enable correction factors to be made to compensate for distortion.
- 11. For documents for fee proposal, two sets of printouts shall be submitted together with the EPP. For the manning schedule in the technical proposal, printout shall be submitted for each Assessment Panel member together with the EPP. For documents for technical proposal (except the manning schedule) or expression of interest, printouts may optionally be submitted together with the EPP. All printouts shall be clearly stamped “PRINTOUT” and duly signed by the Consultant. The signed printouts shall not be used for assessment unless there are problems in using the files in the EPP.
- 12. If other type of electronic information, for example, visualisation or modelling, not covered in paragraph 8 above is submitted with the proposal, software necessary for viewing the information shall be supplied with the submission. The software provided must be free of virus and can be run in mainstream PC

under Windows operating environment. Necessary licence to use the software must be provided free of charge to the Government for viewing the information. Detailed instructions on setup, usage and removal of the software provided must be included in the submission.

13. Electronic file including the README.doc of the EPP submission shall be deemed as missing from the EPP if that electronic file cannot be opened properly or does not comply with paragraph 7 and/or paragraph 8(b), unless the hard copy of that file has been submitted in the submission.