

## APPENDIX 3.10 REFERENCE PROCEDURES FOR ONE-STAGE CONSULTANTS SELECTION

The reference procedures for the one-stage consultants selection process are set out in this Appendix.

2. Following the requirements in Section 3.1.3.1, the managing departments may adopt a one-stage consultants selection process as described in the following procedures:

- a) The managing department shall, before inviting Technical and Fee Proposals, submit to the EACSB/DCSC (i) the marking scheme (see **Annex I to Appendix 3.10 and Appendix 3.4B**), Technical and Fee weighting, notional value for additional Services, and the List of Consultants of EACSB selection criteria<sup>(1)</sup> to be invited for endorsement and (ii) the draft Brief & related documents for comment. The sample memo for first submission to EACSB/DCSC is given at **Appendix 3.2A**;
- b) Upon EACSB/DCSC's endorsement in principle in paragraph (a), the managing department shall invite Technical and Fee Proposals (sample invitation letter for Technical and Fee Proposals is given at **Appendix 3.4A**) from normally not fewer than 6 consulting firms<sup>(2)</sup> (based on the endorsed selection criteria) as well as through open invitation, i.e. by posting the one-stage invitation on the website of the managing department (sample notice of inviting submission of Technical and Fee Proposals ~~through to be posted on~~ internet is given at **Appendix 3.3A**). The number of pages of Technical Proposals shall normally be limited to 12 (Option 1) or 20 (Option 2) (see **Annex I to Appendix 3.10**). The consulting firms shall be required to declare that they meet the selection criteria (with supplementary proof, as stated/required by the managing department where necessary) as in the open invitation for EOI of a conventional two-stage consultants selection process;
- c) The Assessment Panel shall assess Technical Proposals of consulting firms who meet the selection criteria. Upon completion of the assessment of the Technical Proposals, the Assessment Panel shall obtain the Fee Proposals<sup>(3)</sup> of normally the top four ranking consulting firms with the highest technical marks those consultants that are considered technically capable of undertaking the assignment from the Secretary of EACSB to conduct the combined score assessment of the Technical and Fee Proposals in accordance with DEVB TC(W) No. 2/2016 and No. 5/2018 and its subsequent updates (if any) as in the stage 2 of a conventional two-stage consultants selection process to determine which consulting firm should be recommended for award of the consultancy.
- d) The managing departments shall then proceed with the "Stage 2 EACSB/DCSC Submission" according to the procedures given in Section 3.12 of the EACSB Handbook to complete the consultants selection exercise.

**Note:**

(1) ~~When determining the selection criteria~~List of Consultants of EACSB to be invited, the Assessment Panel shall make reference to DEVB TC(W) No. 5/2018 and its subsequent updates (if any)~~those criteria adopted for establishing the longlist in a conventional two-stage consultants selection process. Some examples of criteria being adopted in the conventional longlisting process are: minimum experience requirement of the consultant; minimum qualification and experience requirements of core personnel of the consultant's project team; consultant's status, e.g. under specified category or categories; minimum resource/technical capability requirements; etc.~~ Unless otherwise agreed with DEVB beforehand, the procuring departments shall seek comments from DEVB on the packaging of the consultancies which are to be procured by following the EACSB procurement procedures before direct invitation for T&F Proposal.

(2) The initial list of consulting firms to be invited for submission of Technical and Fee Proposals shall be submitted together with the selection criteria in the first submission mentioned in paragraph 4(b) for the EACSB/DCSC's reference. The managing department shall provide explanation/justification in their first submission for the EACSB's consideration where less than 6-10 consulting firms are to be invited (For cases in which there is no appropriate Service Category of consultants under the List).

~~(3) In case there are more than one submission attaining the 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup> or 4<sup>th</sup> highest technical marks, the Fee Proposals of all these submissions shall be opened for combined score assessment. The remaining submissions with Fee Proposals unopened shall however not be considered in the combined score assessment even upon identification of non-conforming Fee Proposals among the opened Fee Proposals.~~

(4~~3~~) The managing department shall follow the general principles given in the EACSB Handbook. In case of discrepancies or inconsistencies between this Appendix and the Sections referred to, the provisions of this Appendix shall prevail for the one-stage consultants selection process.

**ANNEX I to APPENDIX 3.10 GUIDELINES ON PREPARATION OF  
MARKING SCHEME, ~~TECHNICAL  
PROPOSALS AND TECHNICAL & FEE  
WEIGHTING~~**

**~~(A)~~ Guidelines on Preparation of Marking Scheme**

The managing department shall follow the guidelines given below when preparing a marking scheme for Technical Proposals:

1. The marking scheme and the limit on page/number of Technical Proposals (and attached document) invited under “Option 1” and “Option 2” are given in the following tables:

Marking Scheme		
Assessment Criteria	Option 1	Option 2
Consultant's Experience	5%-10%*	5%-10%*
<del>Response to the Brief</del>	<del>0%-10%</del>	<del>5%-15%</del>
<del>Approach to Cost Effectiveness and Sustainability</del>	<del>0%-20%</del>	<del>10%-25%</del>
<del>Methodology &amp; Work Programme</del>	<del>0%-20%</del>	<del>20%-30%</del>
Innovation and Creativity	5%-10%	5%-15%
Staffing	30%-35%	25%-35%
Past Performance		
- Past Performance of the consultant	10%-20%	10%-20%
- Past Performance of sub-consultants	0%-10%+	0%-10%+
<del>Additional Aspects:</del>		
<del>— Response to Brief —</del>	<del>0% -10%</del>	<del>5% -15%</del>
<del>— Approach to Cost Effectiveness and Sustainability —</del>	<del>0% -20%</del>	<del>10% -25%</del>
<del>— Methodology &amp; Work Programme —</del>	<del>0% -20%</del>	<del>20% -30%</del>

*\* For major tunnel projects with envisaged difficult geological and ground conditions, or major projects with high risks of scope changes and project complexities, the top mark of “10” could be adopted so as to place a greater weight for consultants' experience and knowledge on local geotechnical conditions and risk management for difficult complex conditions and changes.*

*+ Regarding the assessment of past performance of sub-consultants in Technical Proposals, the Assessment Panel shall observe the requirements given in Section 3.5.2 of the EACSB Handbook.*

Limits on Page/Number		
Submissions	Option 1	Option 2
Technical Proposals	12 pages	20 pages
Appendices (excluding curriculum vitae) <del>(see Section (B) 4(a), (b) &amp; (c) below)</del>	<del>30-20</del> pages	30 pages
Curriculum Vitae <del>(see Section (B) 4(d) below)</del>	2 pages/staff	2 pages/staff
Total number of Figures/Drawings attached to Technical Proposals	12 nos.	20 nos.

2. An officer at D2 or above level (normally, the chairperson of Assessment Panel) shall recommend which option to be adopted. For consultancies requiring intensive technical input, “Option 2” ~~(i.e. with additional aspects)~~ is considered more appropriate.

3. The marks to be allocated to each section of the Technical Proposal shall be within the range indicated in the above table and shall amount to 100%. The Assessment Panel shall pre-determine the marks to be allocated to each section and sub-section of the Technical Proposal.

4. The marking scheme shall be endorsed by the EACSB/DCSC prior to inviting Technical and Fee Proposals.

## **(B) Guidelines on Preparation of Technical Proposals**

~~Consulting firms are encouraged to use electronic format in submitting their proposals. They are nevertheless free to choose the format (i.e. paper or CDROM). The Technical Proposal shall be limited to 12 or 20 pages in length. It shall be inexpensively bound and shall be of A4 size. The appendices (excluding curriculum vitae) attached to Technical Proposals shall be limited to 30 pages in length whilst the page limit on curriculum vitae is 2 pages per staff. The figures/drawings attached to Technical Proposals shall also be limited to 12 or 20 pages and their size shall not exceed [A3].~~

~~Technical Proposals exceeding the page limit shall not be considered. For submissions with font size, format, number of page of appendices and number of figures/drawings not conforming to the requirements specified above, marks shall be deducted from the overall Technical Mark.~~<sup>(Note 1)</sup>

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### **1. Consultant's Experience**<sup>(Note 6)</sup>

1.1 ~~Relevant experience and knowledge~~<sup>(Note 7)</sup>

### **2. Staffing**<sup>(Note 6)</sup>

2.1 ~~Staff organisation chart with highlights on the efficiency and effectiveness of the organisation;~~

2.2 ~~Relevant experience (including design constructability and risk management — where applicable) and qualifications of key staff~~<sup>(Note 7)</sup>;

2.3 ~~Responsibilities and degree of involvement of key staff; and~~

2.4 ~~Adequacy of professional and technical manpower input~~<sup>(Note 8)</sup>.

### **3. Innovation and Creativity**<sup>(Note 3 and Note 6)</sup>

3.1 ~~Particular design aspects/issues/requirements (as identified and specified by the departments); and~~

3.2 ~~Particular construction aspects/issues/requirements (as identified and specified by the departments).~~

### **4. Additional Aspects**

4.1 ~~Response to the Brief~~<sup>(Notes 4 and 6)</sup>

(a) ~~Understanding of objectives;~~

(b) ~~Identification of key issues;~~

(c) ~~Appreciation of project constraints and special requirements; and~~

(d) ~~Presentation of design approach and ideas (in regard to aspects such as general arrangement, layout, functionality, green measures, heritage conservation, aesthetics and overall appearance where appropriate).~~

4.2 ~~Approach to Cost Effectiveness and Sustainability~~<sup>(Note 6)</sup>

(a) ~~Examples and discussion of past projects to demonstrate the consulting firm's will, ability and physical measures to produce cost effective, energy efficient and environmentally friendly solutions which are applicable to the project; and~~

(b) ~~Approach to achieve cost-effectiveness (including life-cycle costs vis-à-vis initial project cost), energy efficiency and environmental friendliness on this project.~~

4.3 ~~Methodology and Work Programme~~<sup>(Note 6)</sup>

(a) ~~Technical approach to enable delivery of the project practicably having regard to~~

~~the reasonable time required and other technical constraints vis-à-vis the project requirements (including construction methods to facilitate mechanization, prefabrication and other productivity enhancements where appropriate, especially where they can reduce manpower demands of trades of acute labour shortage);~~  
~~(b) Health & safety and environmental issues to be addressed in delivering the project;~~  
~~(c) Work programme with highlights to demonstrate ways to expedite the programme where practicable, to deal with programme constraints and interfaces, and to level and reduce the resources peak; and~~  
~~(d) Arrangements for contract management and site supervision including a proposed system of monitoring site supervision.~~

~~5. Appendices <sup>(Note-1)</sup>~~

- ~~(a) Relevant projects completed in the past 5 years, in table form;—~~  
~~(b) Current projects, listing total and outstanding cost and duration (table) and staff expertise and deployment (table);—~~  
~~(c) Manning schedule (without any indication of cost); and~~  
~~(d) Brief curriculum vitae (CV) for key staff. <sup>(Note-2)</sup>~~

~~Note:~~

~~(Items 1-5 to be included in the above Guidelines on Preparation of Technical Proposals)~~

- ~~1. For submissions with appendices, figures and drawings exceeding the specified limits, one(1) mark shall be deducted from the overall Technical Mark for each of such extra page/number. Furthermore, one(1) mark shall be deducted from the overall Technical Mark if the submission is not conforming to the submission formats specified in the invitation documents for Technical and Fee Proposals.~~
- ~~2. For submission in paper format, consulting firms may provide the staff CV in separate softcopy format.~~
- ~~3. The assessment of Section 3 will be based on incorporation of new concepts and innovative ideas (including innovative and creative applications of existing technologies, materials and systems).~~
- ~~4. For sub-sections 4.1(b) and 4.1(c), merits will be given to key/special issues, constraints/risks and requirements additional to those set out in the brief. If no additional key/special ones are identified and appreciated, a “Fair” grading at most should be given.~~
- ~~5. Although “PAST PERFORMANCE” is one of the criteria in the Marking Scheme, Consulting firms are not required to include any details regarding their past performance in the Technical Proposals as this criterion will be marked in accordance with DEVB TCW No. 3/2016.~~

~~(Items 6-9 for departments' reference only in the preparation of the above Guidelines)~~

- ~~6. State the marks to be allocated to each main section and sub-section.~~
- ~~7. It is considered that experience and knowledge of the consultants and their staff in risk management and local ground conditions are beneficial for the delivery of projects involving substantial underground works, such as major tunnel project, hence these aspects should be made sub-sections in the marking scheme where applicable.~~
- ~~8. This sub-section should carry 7-12% of the overall marks.~~
- ~~9. Texts in italics are for departments' reference only and should be omitted or suitably amended in the Guidelines on Preparation of Technical Proposals.~~