

APPENDIX 3.19 INTERNAL CHECKLIST FOR EACSB SUBMISSION

Government Departments' Internal Checklist for EACSB Submission

Agreement No. and Title: _____

Department: _____ Date of EACSB Meeting: _____

A. General

	Item (Reference clause in EACSB Handbook / Reference Technical Circulars)	Yes	No	Remark
1.	Check if the submission is in accordance with the required format. (3.3.1)	<input type="checkbox"/>	<input type="checkbox"/>	
2.	State the authority to employ consultants, and availability of funds or approval given for invitation of EOI/T&F Proposals not adopting parallel tendering. (1.3, 1.4 and FC No. 3/2020)	<input type="checkbox"/>	<input type="checkbox"/>	
3.	State officers' declarations on conflicts of interest (actual, potential and perceived), and if there is any, state what remedial actions have been taken. (3.4.4)	<input type="checkbox"/>	<input type="checkbox"/>	
4.	State any non-standard/special requirements in the tender document/supplementary agreement/supplementary brief with advice sought from DEVB and/or LAD(W) where appropriate. (3.3.1)	<input type="checkbox"/>	<input type="checkbox"/>	
5.	State any key recommendations given in case legal advice has been obtained to assist departments in dealing with consultants' submissions.	<input type="checkbox"/>	<input type="checkbox"/>	
6.	Ensure appendices to the draft Brief except general layout plans should not be included and check if the submission is printed on double sides as far as possible. (3.3.1)	<input type="checkbox"/>	<input type="checkbox"/>	

B. Stage 1 - Shortlisting Stage

	Item (Reference clause in EACSB Handbook / Reference Technical Circulars)	Yes	No	Remark
1.	State assessment panel's decisions on the choice of appropriate Category(ies) and Group(s) and if notice of EOI posted on the internet. (Section 3.1.1 of the Guidelines promulgated under DEVB TCW No. 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	
2.	State, if there is deviation from the bidding restriction, approval of the Head of Department is obtained. (Section 2.3.3 of the Guidelines promulgated under DEVB TC(W) No. 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	
3.	State, if IDC arrangement is adopted, the controlling officer's satisfaction with the use of it. (4.1.4)	<input type="checkbox"/>	<input type="checkbox"/>	
4.	Check the listing status and the records of suspension and major noticeable events (serious default or non-performance) for consultants and their sub-consultants in the CNPIS and whether they are (i) under suspension from bidding at the deadline for EOI submission, (ii) suspended from bidding after the deadline for EOI submission, or (iii) reported with serious default or non-performance. (DEVB TCW No. 2/2016, 3/2016 and 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	Refer to Item I of Annex I
5.	Check the shortlisting criteria against the EACSB's guidelines, the arithmetic of technical marks in Summary of Assessment on EOI and the recommended short list of consultants. (3.5.3, 3.6.1 and Appendix 3.1A of EACSB Handbook and Section 3.3 of the Guidelines promulgated under DEVB TCW No. 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	
6.	Check if the composition of assessment panel (AP) is in line with the EACSB's guidelines and departmental own guidelines. (App. 3.6)	<input type="checkbox"/>	<input type="checkbox"/>	

	Item (Reference clause in EACSB Handbook / Reference Technical Circulars)	Yes	No	Remark
7.	Check the minutes for proper recording of mark adjustment, diverged marks and negative assessment. (3.5.3)	<input type="checkbox"/>	<input type="checkbox"/>	
8.	Include the proposed Marking Scheme, Technical/Consultancy Fee/Fee Quality weighting as recommended by the AP, and state any deviation from the standard ones and the justifications. (3.3.1 and 3.6.2 of EACSB Handbook and Section 3.2 and 3.3 of the Guidelines promulgated under DEVB TCW No. 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	
9.	State DEVB's endorsement and LAD(W)'s legal vetting if any non-standard SCE or Schedule of Fees clause is proposed. (4.5)	<input type="checkbox"/>	<input type="checkbox"/>	
10.	Check the draft Brief for inclusion of all standard clauses and where appropriate some drawings, specifying the key scope of study/design clearly, limits of PII for different types of assignments, key dates and programme, schedule of deliverables, number of external meetings, clear description of services for procurement and supervision of ground investigation works/reimbursable items where required, submission of manpower input, etc. (4.7 and Appendix 3.8 to the Guidelines promulgated under DEVB TCW No. 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	
11.	Check the draft Brief against inclusion of secretarial services for meetings and preparation of PDS/TFS/Panel/PWSC submissions. (4.7)	<input type="checkbox"/>	<input type="checkbox"/>	
12.	Check if the SCE "phases subject to incorporation" is required and used, then (i) state the reasons/justifications for adopting the clause for various phases; and (ii) include in the draft Brief the required time table for various phases. (4.22)	<input type="checkbox"/>	<input type="checkbox"/>	
13.	If reimbursable item(s) is/are proposed, (i) state the reasons why the arrangement is more suitable; and (ii) state the value and details; and (iii) check the allowed limit of value. (4.11)	<input type="checkbox"/>	<input type="checkbox"/>	
14.	Check payment schedule in the Schedule of Fees (endorsed by an officer of D2 or above) and state any deviations from standard structure and the justifications. (4.6.1)	<input type="checkbox"/>	<input type="checkbox"/>	
15.	State the consultants' comment/feedback on the draft Brief and Schedule of Fee during EOI and corresponding actions taken. (4.6.1.6)	<input type="checkbox"/>	<input type="checkbox"/>	
16.	Check if the list of sub-consultants is complete.	<input type="checkbox"/>	<input type="checkbox"/>	
17.	Check the submission to ensure its full coverage of those required contents and alignment with the sample. (3.6.2)	<input type="checkbox"/>	<input type="checkbox"/>	

C. Stage 2 - Nomination Stage

	Item (Reference clause in EACSB Handbook / Reference Technical Circulars)	Yes	No	Remark
1.	State any change of sub-consultants and corresponding assessment by AP. (3.8.4)	<input type="checkbox"/>	<input type="checkbox"/>	
2.	State any comments from shortlisted consultants on the tender documents and department's response. (3.9)	<input type="checkbox"/>	<input type="checkbox"/>	
3.	State any refinement to payment schedule approved by HoD. (4.6.1.6)	<input type="checkbox"/>	<input type="checkbox"/>	
4.	Check the listing status and the records of suspension and major noticeable events (serious default or non-performance) for consultants and their sub-consultants in the CNPIS and whether they are (i) under suspension from bidding at the deadline for T&F submission, (ii) suspended from bidding after the deadline for T&F submission, or (iii) reported with serious default or non-performance. (DEVB TCW No. 2/2016, 3/2016 and 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	Refer to Item II of Annex I
5.	Check arithmetic in the calculations of technical marks and the combined technical and fee assessment.	<input type="checkbox"/>	<input type="checkbox"/>	

	Item (Reference clause in EACSB Handbook / Reference Technical Circulars)	Yes	No	Remark
6.	Vetting the minutes of assessment panel meeting on items requiring attention, like any amendments of grades, deliberation on marks differing by two grades or more among panel members, why the consultant is still technically capable even if panel members have given negative comment/poor grades, and proper record of perceived strengths and weaknesses of each technical proposal discussed by the assessment panel. (3.10)	<input type="checkbox"/>	<input type="checkbox"/>	
7.	State any correction made to the fee proforma or manpower input in technical proposal and any adjustment to the technical marks resulting from any proposed staff of any consultant not meeting the minimum qualification and/or experience requirements and from overloading checking. Provide the correspondences exchanged with the consultant(s) concerned. (3.10 and Section 3.6 of the Guidelines promulgated under DEVB TCW No. 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	
8.	State the result and provide details of checking on the Specified Percentage Range requirement of -10% to +40% on staff rates in lump sum fee and those for additional Services (3.11 and DEVB TCW No. 2/2016)	<input type="checkbox"/>	<input type="checkbox"/>	
9.	Compare the lump sum fee and staff rates of recommended bid with those of other bidders, pre-tender estimate and other assignments of similar nature / scale. Check against any unreasonably low bid, including the lump sum fee and any unreasonable rates, including staff rates in lump sum fee, staff rates for additional Service and RSS on-cost rates. Make enquiry to the consultant concerned and seek justifications with positive proof for any prima facie unreasonably low bid. State the recommendation with justifications. (3.11.5, ETWB TCW No. 8/2003 and DEVB TCW No. 2/2016)	<input type="checkbox"/>	<input type="checkbox"/>	
10.	State HoD's approval obtained for any proposed rejection of unreasonably low bid. (3.11.5 and ETWB TCW No. 8/2003)	<input type="checkbox"/>	<input type="checkbox"/>	
11.	Check against the expiry of the validity period, and extend if necessary. (3.8.3(d))	<input type="checkbox"/>	<input type="checkbox"/>	
12.	Check if the final recommendation of award is in order. For any disqualification of bids, provide detailed justifications and deliberations.	<input type="checkbox"/>	<input type="checkbox"/>	
13.	Check if funds are adequate for award. (1.4)	<input type="checkbox"/>	<input type="checkbox"/>	
14.	Check the submission to ensure its full coverage of those required contents and alignment with the sample. (3.12)	<input type="checkbox"/>	<input type="checkbox"/>	

D. Prior to Award of the Consultancy [To be completed by procuring department after EACSB Stage 2 approval is obtained and before the award of the consultancy]

	Item	Yes	No	Remark
1.	Check if consultants to be awarded for the consultancy are eligible for appointment. (Para. 4(ii), Appendix 3.12 of the Guidelines promulgated under DEVB TCW No. 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	

E. Submission for direct selection of a single consultant for fee negotiation and /or increase in fee ceilings for additional services

	Item (Reference clause in EACSB Handbook / Reference Technical Circulars)	Yes	No	Remark
1.	State the justifications for direct selection (3.15) or for proposed negotiation with the original consultant. (3.17(b))	<input type="checkbox"/>	<input type="checkbox"/>	
2.	Check if appropriate estimate of manpower and whether prevailing market rates to be adopted. (5.3.3)	<input type="checkbox"/>	<input type="checkbox"/>	
3.	Check whether the proposed extension of consultancy scope is within the approved scope of the project. (3.17)	<input type="checkbox"/>	<input type="checkbox"/>	

	Item (Reference clause in EACSB Handbook / Reference Technical Circulars)	Yes	No	Remark
4.	Include Supplementary Brief and Schedule of Fees, where appropriate. (3.17(c) & (d))	<input type="checkbox"/>	<input type="checkbox"/>	
5.	Include a brief account of expenditures incurred, including (i) a full list of previously approved items, (ii) current approved limits under EACSB & SPR, (iii) calculations to illustrate the increase in ceiling required, and (iv) a list of additional Services which are anticipated at the time of submission. (3.17)	<input type="checkbox"/>	<input type="checkbox"/>	
6.	State if Controlling Officer's agreement has been sought for seeking the Board's any retrospective approval of variations. (8.2.9)	<input type="checkbox"/>	<input type="checkbox"/>	
7.	Check the submission to ensure its full coverage of those required contents and alignment with the sample. (3.17)	<input type="checkbox"/>	<input type="checkbox"/>	
8.	State, if there is deviation from the bidding restriction, approval of the Head of Department is obtained. (Section 2.3.3 of the Guidelines promulgated under DEVB TC(W) No. 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	
9.	Check the listing status and the records of suspension and major noticeable events (serious default or non-performance) for consultants and their sub-consultants in the CNPIS and whether they are (i) under suspension from bidding at the deadline for T&F submission, (ii) suspended from bidding after the deadline for T&F submission, or (iii) reported with serious default or non-performance. (DEVB TCW No. 2/2016, 3/2016 and 5/2018)	<input type="checkbox"/>	<input type="checkbox"/>	Refer to Item III of Annex I

Completed by -

Endorsed by -

Signature: _____

Signature: _____

Name: _____

Name: _____

Post/Office: _____
(Rank not lower than Senior Professional)

Post/Department: _____
(Rank not lower than D1 level)

Date: _____

Date: _____

Note:- This above checklists are not exhaustive. Project officers should ensure that their submissions should comply with the latest requirements in the EACSB Handbook, SPR and relevant circulars.

Checking for Listing Status of EACSB Consultants

(Reference clause in Appendix 3.12 to the Guidelines, unless otherwise stated, is given in []).

I. Stage 1 – Shortlisting Stage

	Item	Yes	No	Remark
1.	Check if consultants to be invited for EOI Submission are eligible for bidding at the time when EOI Submission is invited. [Para. 1(i)]	<input type="checkbox"/>	<input type="checkbox"/>	
2.	Check if consultants are eligible for bidding at the time when EACSB Stage 1 approval is sought. [Para. 2(ii)]	<input type="checkbox"/>	<input type="checkbox"/>	
3.	Check if any sub-consultants proposed in the EOI submission are eligible for bidding at the time when EOI Submission is closed. [Para. 2(iv) & Para. 1(ii)]	<input type="checkbox"/>	<input type="checkbox"/>	

II. Stage 2 – Nomination Stage

	Item	Yes	No	Remark
1.	Check if consultants to be invited for submission of T&F Proposal are eligible for bidding at the time the submission is invited, applicable to one-stage selection process only. [Para. 3(i)]	<input type="checkbox"/>	<input type="checkbox"/>	
2.	Check if consultants are eligible for bidding or is found having serious default or non-performance at the time when EACSB Stage 2 approval is sought. [Para. 3(ii) & (vi)]	<input type="checkbox"/>	<input type="checkbox"/>	
3.	Check if any sub-consultants proposed in the T & F Proposal are eligible for bidding at the time when submission of T&F Proposal is closed. [Para. 3(ii)]	<input type="checkbox"/>	<input type="checkbox"/>	

III. Submission for direct selection of a single consultant for fee negotiation

	Item	Yes	No	Remark
1.	Check if consultants to be awarded for the consultancy are eligible for appointment. [Para. 4(ii)]	<input type="checkbox"/>	<input type="checkbox"/>	

Note:

- i. For the purpose of this checklist, consultant/sub-consultant are eligible for bidding/appointment when the consultant/sub-consultant have the listed Group status for type of assignment/sub-consulting service concerned following Section 2.3 of the Guidelines promulgated under DEVB TC(W) No. 5/2018 at the time of consideration.
- ii. The above checklists may not be exhaustive. Project officers should ensure that their submissions should comply with the latest requirements in the EACSB Handbook, SPR and relevant circulars.