

Please read
the contents
carefully

(Revised Sept 2001)

INSTRUCTIONS ON PREPARATION OF TECHNICAL PROPOSALS

(Appendix 2 to Letter of Invitation for Consulting Services Proposal)

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Asian Development Bank

INSTRUCTIONS ON PREPARATION OF TECHNICAL PROPOSAL

I. INTRODUCTION

1. Your technical proposal should demonstrate your firm's capability and approach for carrying out the task set forth in the **Terms of Reference (TOR)** through the proposed personnel with clear understanding of the technical assistance (TA) requirements. The TOR is provided in Appendix 1.
2. The "**Guidelines on the Use of Consultants by Asian Development Bank and Its Borrowers**" require that consultants providing consulting services financed by the Bank must be engaged from a Bank member country. As a minimum requirement, your firm and your associated firm(s), if any, must be registered in the consulting business or business covering consulting service in a Bank member country. Current Bank members are listed on the last page of this appendix.
3. Depending on the nature and the size of the assignment, the Bank may opt to request you to submit a **full technical proposal** or a **simplified technical proposal**. It is important to check the **Data Sheet** in Appendix 1 to find out what type of technical proposal you are required to submit.
4. The following table summarizes the contents and the maximum number of pages that are expected for the two types of technical proposal (A page means a printed side of a paper sheet).

	Full Technical Proposal	Simplified Technical Proposal
Contents	Page Limit	Page Limit
Cover Letter	Maximum two (2) pages excluding necessary attachment.	Maximum two (2) pages excluding necessary attachment.
Experience of the Firm	<ul style="list-style-type: none"> - Maximum two (2) pages introducing the firm or consortium's background and general experience. - Plus maximum twenty (20) projects presented in the format of Form A to illustrate the firm or consortium's relevant experience. - No promotional material should be included. 	Not required.
General Approach and Methodology, Work Program and Personnel Schedule	Maximum fifty (50) pages including charts and graphs.	Maximum ten (10) pages including charts and graphs.
Personnel	No limit, but preferably should not exceed five (5) pages for each expert's bio-data.	Maximum five (5) pages of bio-data for each expert.
Comments on TOR	No limit, but be concise and to the point.	Not required.
Counterpart staff and Facilities	Maximum two (2) pages.	Not required.

5. Please be aware that submitting the wrong type of technical proposal may result in its rejection, and that the maximum number of pages as indicated in the table should not be exceeded as otherwise a penalty will be imposed in the evaluation of the proposal.
6. The technical proposal should be prepared in **English**.

II. CONTENTS OF THE PROPOSAL

A. Cover Letter

7. Your technical proposal should have a **cover letter** signed by a person with authorization from the board of directors or management of your firm. The cover letter should state association arrangements, if any, with attachment of necessary document(s) issued by your associated firm(s) certifying such arrangements. In addition, associated firms should provide information on their firms if they are not registered in the Bank's DACON.

8. Please note that, (i) if you combine the functions of consultants with those of contractors/equipment suppliers; or (ii) if you are associated with or affiliated to a contractor or manufacturer; or (iii) if you are owned by a contractor or a manufacturing firm with departments or design offices offering services as consultants, you should include relevant information on such relationships along with a statement in the cover letter of your technical proposal to the effect that you will limit your role to that of a consultant and disqualify yourself and your associates/affiliates from work in any other capacity on any future project within the next five years¹ that may emerge from the present assignment (including bidding on any part of the future project). The contract with the consultant selected to undertake this assignment would contain an appropriate provision to that effect.

9. You are required to include a statement in the cover letter that if your firm is invited to submit a financial proposal after conclusion of the technical proposal evaluation, you will submit your financial proposal in the Bank's standard format and the financial proposal will be supported by all the necessary supporting documents required. Please see the **Instructions on Preparation of Financial Proposals** (Appendix 3).

B. Experience of the Firm (*This section is not required for a simplified technical proposal*)

10. The background, organization, and general experience of your firm and of any consulting firm with which you will be associated for the purpose of providing the services for this TA should be presented succinctly. Experience with similar projects being carried out or completed within the last ten (10) years in similar geographical areas, especially in Asia, should be demonstrated in the format of **Form A**. Information should be provided only on those projects for which your firm was legally contracted by the client as a corporate entity or as one of the major companies within a consortium. Assignment(s) completed by individual experts working privately or through other firms cannot be claimed as the experience of your firm, or that of your associate(s), but can be claimed by the individuals themselves in their bio-data. You should be prepared to substantiate the claimed experience by providing contractual or other evidence as proof if so requested by the Bank any time prior to, or if selected, during contract negotiations. The information contained in Form A should be

¹ Subject to adjustment by the Bank in special cases.

concise and relevant to the TA, and the number of projects in the proposal (including information on all associate firms) should be limited to twenty (20). The proposal should not contain any company promotional material.

C. General Approach and Methodology

11. Describe, in a concise, complete, logical, and creative manner, how your team will carry out the services to meet all the requirements of the TOR. In a full technical proposal, your proposed approach and methodology should be supported with discussions of your understanding of the TA objectives and your assessment of the TA preferably through a site visit. In a simplified technical proposal, detailed discussions on objectives and assessment of the TA are not required, and you should make the best use of the limited pages on approach, methodology, and work program. The number of pages covering this section and the next one (work program and personnel schedule) should be limited to fifty (50) for a full technical proposal and ten (10) for a simplified technical proposal.

D. Work Program and Personnel Schedule

12. Present your work program in a clear and logical sequence supported by:
- (i) a graphical presentation of the work activities (bar graph/Gantt chart) with indication of the responsibilities of the team members for these activities;
 - (ii) a personnel schedule indicating clearly the estimated duration in terms of person-months (separately indicated for work at the home office and in the field) and the probable timing of the assignment of each team member (including domestic consultants, if required) using the format shown in **Form B**;
 - (iii) an organization chart indicating relationships among the consultants; the Executing Agency; the Bank; and, if any, other parties or stakeholders involved in the TA.

E. Personnel

13. The name, age, nationality, background, employment record, and professional experience of each expert to be assigned for providing the proposed services, with particular reference to the kind of experience required for the TA, should be presented in the bio-data format provided in **Form C**. In addition, to ensure compliance of the information concerning proposed experts, a summary table of information on the experts should be prepared based on the format provided in **Form D**.

14. **The proposed experts must be nationals of the Bank member countries.** In filing the employment record, the name of the expert's client should not be filled in as an employer, as it may cause confusion in making a proper judgment on the expert's employment status. The Bank requires that each expert certify that the bio-data that refers to that expert is correct. The experts themselves should sign the certifications of bio-data. Under special circumstances, the Bank may accept a senior officer of the firm signing the bio-data on behalf of an expert. However, should the firm be ranked first, copy(s) of the bio-data signed by the expert(s) concerned must be submitted to the Bank prior to commencement of contract negotiations. If you are invited to submit a simplified technical proposal, the bio-data of each expert should be limited to five pages. Please note that the need to provide address and fax/e-mail of experts in the bio-data of experts is not considered

mandatory. In cases where consulting firms/organizations are prevented to provide such information by prevailing laws in their country, or if firms have other valid reasons not to comply with the completion of this item, there will be no negative impact on the evaluation of the expert.

15. **Clearance from the Bank should be sought through the Consulting Services Division prior to including former Bank staff in the team proposed for the execution of the TA.** This is an important requirement as the Bank has certain internal rules such as a minimum period of twelve (12) months since retirement/resignation, no previous direct involvement in matters related to the TA, and satisfactory performance during the previous service with the Bank. In addition, no close relatives of current Bank staff should be proposed for engagement.

16. Certain TAs require international consultants to work together with domestic consultants as a team. **Please check the TOR: if domestic consultancy is required, your technical proposal should also include domestic consultants as a part of your team.** Your firm is free to associate with any domestic consultant(s) that you consider suitable for the services required for this project and you may seek the assistance of the EA in identifying suitable domestic consultants. A list of domestic consultants, which the Bank believes, could provide part of or all of the services required are included in the Project Data Sheet (Appendix 1). Please note, however, that the Bank does not claim this list to be comprehensive nor does the Bank assume any responsibility in connection with your choice of domestic consultants.

17. **Domestic consultants must be nationals of the TA recipient country.** The Bank discourages the recruitment of employees of governments of developing member countries (DMCs) to work in their own countries. However, should it become necessary to select such government employees to work in their own countries, the individuals' engagement must have the consent of the DMC government and evidence must be produced (such as certificate from the appropriate legal authority) that no law, regulation, or policy of the DMC government prohibits such engagement and that they would be on leave without pay from their official positions with full-time availability to undertake the assignment. Employees of the recipient DMC government should not be engaged to work in their own ministries, departments, or agencies; they should not be engaged to perform work in ministries, departments, or agencies outside their own that require in effect the same work, job, or day-to-day activities as they would be carrying out in their own ministries, departments, or agencies. Former employees of the recipient DMC government may be engaged to undertake work for the TA in their former ministries or departments or agencies only if they had retired/resigned at least twelve (12) months before the submission of the proposal.

18. **In proposing personnel to be assigned for the required services, alternative candidates should not be proposed for any position.** However, in instances when alternates are nevertheless proposed, only the candidate with the lowest evaluation rating will be considered for the purposes of evaluation. Also, since the selection will be undertaken on a competitive basis, the Bank will not entertain requests to change the personnel proposed after the submission of the technical proposals. The Bank therefore reserves the right to immediately consider appointment of the next-ranked proposal if substitutions of personnel, other than any requested by the Bank, have become necessary in the first-ranked proposal. An exception will be made in case of a significant delay arising in the planned commencement of services indicated in the **Data Sheet** of Appendix 1, under the condition that the proposed substitute have equivalent or better qualification and experience than the original candidate.

19. **It is important to note that a zero rating will be given to a proposed expert if he/she:**

- (i) is not a national (determined from the passport the expert holds or other equivalent legal document in the case of domestic consultants in certain countries who do not have passports) of a member country of the Bank; or

- (ii) is proposed for a domestic consultant position but is not a citizen of that country; or
- (iii) failed to state his/her current nationality in the bio-data submitted in the technical proposal; or
- (iv) is a former Bank staff not meeting the requirements described in para. 15; or is a close relative of current Bank staff; or
- (v) is a government official of the Executing Agency for the TA or a former official of the same who retired/resigned less than twelve (12) months prior to the time of proposal submission; or
- (vi) the bio-data with the required statement of certification provided in the standard format in Form C was not signed.

F. Comments on the Terms of Reference (*This part is not required if you are invited to submit a simplified technical proposal*)

20. Provide comments, if any, on the TOR to improve performance in carrying out the assignment. Innovativeness will be appreciated in consideration of workable suggestions that could improve the quality/effectiveness of the TA.

G. Counterpart Staff and Facilities (*This part is not required if you are invited to submit a simplified technical proposal*)

21. Give your requirements for counterpart staff, office space, transportation, equipment, local counterpart support, etc. that would be needed for carrying out the proposed services.

III. EVALUATION OF THE TECHNICAL PROPOSAL

22. The selection of the firm to be invited for contract negotiations with the Bank for the proposed services will be based on a comparison of experience of the firm(s) including the lead firm(s) and their associated firm(s), if any; the quality and suitability of the approach and work program; and the experience and qualification of the personnel to be assigned (both technical and managerial). Note that higher ratings will be given to experts from the lead firm and the associated firm(s) if any, who are full-time regular employees¹. A full-time employee is defined as an expert who has been employed by a firm as regular/permanent staff continuously for more than twelve (12) months prior to the date when the proposal is submitted.

¹ Please check the criteria to be used in the evaluation of technical proposals in appendix 1.

23. A technical proposal may not be considered for evaluation in any of the following cases:

- (i) the firm that submitted the proposal or one of its associated firms belongs to one of the cases described in para. 8 above and failed to make a proper statement to that effect in the cover letter;
- (ii) the firm that submitted the proposal or one of its associated firms to be involved in this assignment was found not to be originating from a Bank member country;
- (iii) the technical proposal was submitted in the wrong format; for instance, a full technical proposal was submitted when the Bank required a simplified technical proposal;
- (iv) the technical proposal includes cost of the services; or
- (v) the technical proposal reached the Bank after the submission date specified in the Project Data Sheet of Appendix 1 without evidence that the proposal was delivered to a courier service with sufficient lead time.

FORM A

MAJOR WORK DURING LAST TEN YEARS THAT BEST ILLUSTRATES QUALIFICATIONS

Please provide information only on a project for which your firm was legally contracted by the client as a corporate entity or as one of the major companies within a consortium.

Project Name:		Country:
Project Location within Country:		Professional Staff Provided by your Company: No. of Staff:
Name of Client:		No. of Person-Months:
Start Date (Month/Year):	Completion Date: (Month/Year)	Approx. Value of Services:
Name of Associated Firm(s), if any:		No. of Person-Months of Professional Staff Provided by Associated Firm(s):
Name of Senior Staff (Project Director/Coordinator, Team Leader) Involved and Functions Performed:		
Detailed Narrative Description of Project:		
Detailed Description of Actual Services Provided by your Company:		

Firm's Name: _____

FORM C

BIODATA FORMAT TO BE SUBMITTED WITH PROPOSAL

1. PROPOSED POSITION FOR THIS PROJECT :
2. NAME : (Family Name) (Given Name) (Middle Name)
3. DATE OF BIRTH :
4. NATIONALITY :
5. PERSONAL ADDRESS :
TELEPHONE NO. :
FAX NO. :
E-MAIL ADDRESS :
6. EDUCATION :
(The years in which various qualifications were obtained must be stated)
7. OTHER TRAINING :
8. MEMBERSHIP IN PROFESSIONAL SOCIETIES :
9. COUNTRIES OF WORK EXPERIENCE :
10. LANGUAGE & DEGREE OF PROFICIENCY :
11. DETAILED TASKS ASSIGNED : WORK UNDERTAKEN THAT BEST ILLUSTRATES CAPABILITY TO HANDLE THE TASKS ASSIGNED.
(In this column, list tasks one by one and support each task by project experience in the right hand side column.) (In this column, list project name, location, year, position held, i.e., Team Leader, Hydrologist, Agricultural Economist, etc. and exact duties rendered and time spent on each project.)
12. EMPLOYMENT RECORD : (Starting with present position, list in reversed order every employment held and state the start and end dates of each employment.)

FROM : TO

EMPLOYER : (Clearly distinguish your "employer" as an employee of the firm from a "client" for whom you have worked as a consultant or an adviser.)

POSITION HELD AND DESCRIPTION OF DUTIES :
13. CERTIFICATION (Please follow exactly the following format. Omission will be seen as noncompliance)

I, the undersigned, certify that (i) I am not a former ADB Staff or if I am, I have retired/resigned from ADB for more than twelve (12) months ago; (ii) I am not a close relative of ADB personnel; and (iii) to the best of my knowledge and belief, this biodata correctly describes myself, my qualifications, and my experience. I understand that any willful misstatement described herein may lead to my disqualification or dismissal, if engaged.

I have been employed by [name of the firm] continuously for the last (12) months as regular full time staff (indicate yes or no in the following boxes):

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

SIGNATURE :
DATE OF SIGNING : Day / Month / Year

ADB MEMBER COUNTRIES

AFG	Afghanistan
AUS	Australia
AUT	Austria
AZE	Azerbaijan
BAN	Bangladesh
BEL	Belgium
BHU	Bhutan
CAM	Cambodia
CAN	Canada
PRC	China, People's Republic of
COO	Cook Islands
DEN	Denmark
FIJ	Fiji Islands, Republic of
FIN	Finland
FRA	France
GER	Germany
HKG	Hong Kong, China
IND	India
INO	Indonesia
ITA	Italy
JPN	Japan
KAZ	Kazakhstan
KIR	Kiribati
KOR	Korea, Republic of
KGZ	Kyrgyz Republic
LAO	Lao People's Democratic Republic
MAL	Malaysia
MLD	Maldives
RMI	Marshall Islands
FSM	Micronesia, Federated States of
MON	Mongolia
MYA	Myanmar
NAU	Nauru, Republic of
NEP	Nepal
NET	Netherlands
NZL	New Zealand
NOR	Norway
PAK	Pakistan
PNG	Papua New Guinea
PHI	Philippines
SAM	Samoa
SIN	Singapore
SOL	Solomon Islands
SPA	Spain
SRI	Sri Lanka
SWE	Sweden
SWI	Switzerland
TAJ	Tajikistan
TAP	Taipei, China
THA	Thailand
TON	Tonga
TUR	Turkey
TKM	Turkmenistan
TUV	Tuvalu
UKG	United Kingdom
USA	United States
UZB	Uzbekistan
VAN	Vanuatu
VIE	Viet Nam