



# Guidelines and Procedures on The Use of Consultants 亚洲开发银行 聘用咨询指南与程序

ADB Resident Mission in the PRC  
亚行驻中国代表处

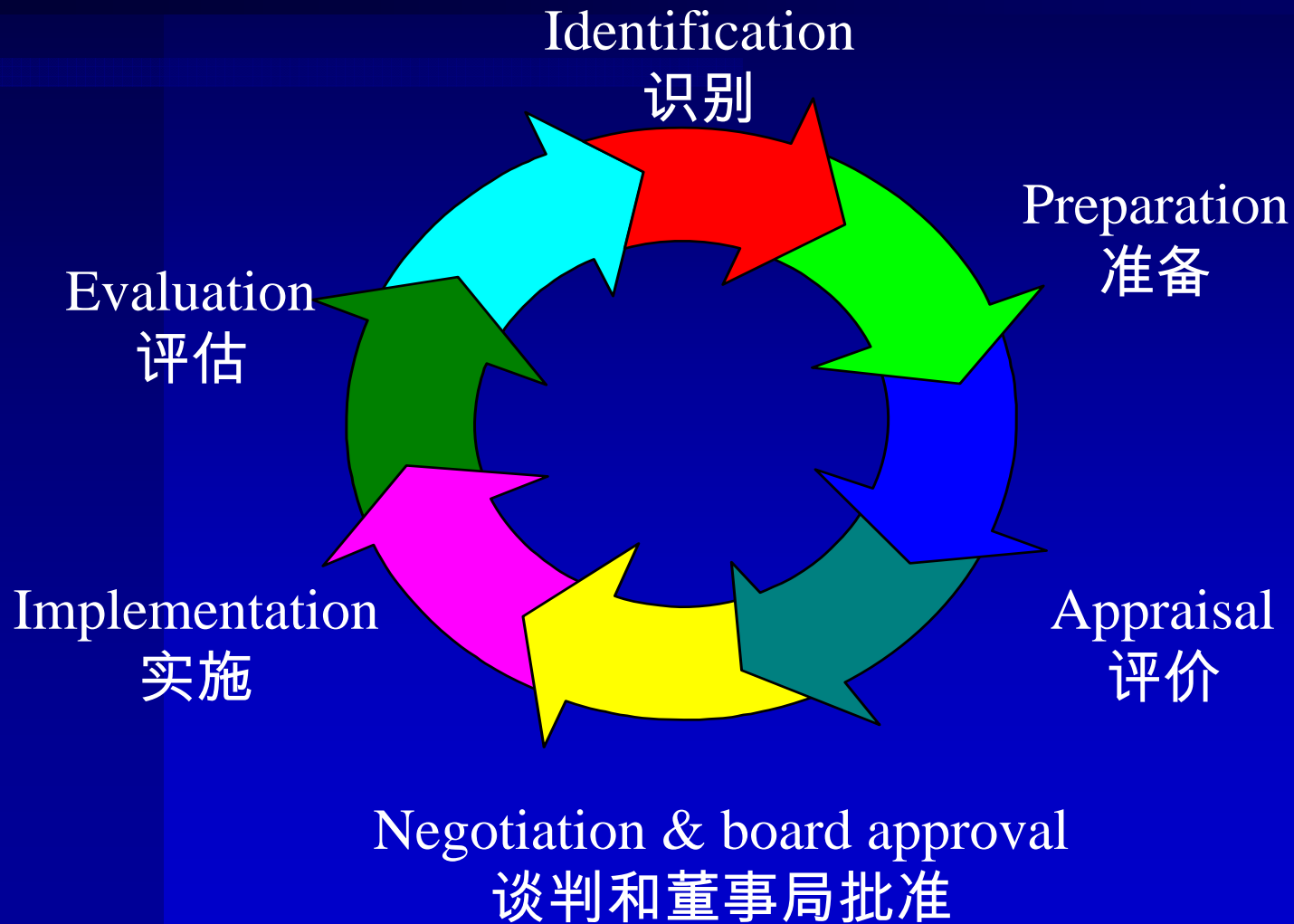
# Overview 概述

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聘用个人咨询

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- Essentials of the Guidelines  
亚行指南的要点
- Consultant Selection Committee (CSC)  
咨询专家选择委员会



# Introduction 介绍 The Project Cycle 项目周期





## Introduction 介绍

### Types of Consultants 咨询专家的类型

- TA consultants 技术援助咨询
- **Loan consultants 贷款项目咨询**
- Staff consultants 职员咨询
- Training consultants 培训咨询
- Resource persons 资源专家

All (except resource persons) may be firms/organizations or individuals

所有咨询专家 ( 除去资源专家 ) 均可为公司/机构或个人



## Introduction 介绍

# Consultant Selection 咨询专家的选择

### Principles 原则

- Competitive - shortlists geographically balanced  
竞争性 - 考虑地理区位平衡的短名单
- Fair, defined process 公平，使用确定的程序
- Transparent 透明

### Recruiting Loan Consultants - main features 贷款项目聘用咨询专家 - 主要特点

- Follows ADB's Guidelines on the Use of Consultants  
遵循亚行聘用咨询指南
- No quota for shortlisted firms  
对列入短名单的公司无递交建议书的限额
- EA's CSC selects the consultant  
由执行机构的CSC选择咨询专家
- ADB approves the main steps in the recruitment process.  
亚行批准主要程序



## Introduction 介绍

# Essentials of the Guidelines 指南的要点

- Ensure maximum efficiency and economy in the preparation, construction and operation of projects and related activities  
在项目的准备、施工和运行及其它相关行为中最大限度保证效率性和经济性
- Technical qualifications of consultants are the most important criteria in selection 技术资格是最重要的选择条件
- Used for all selections when ADB finances/administers the consulting services  
对所有的亚行出资/管理的咨询服务项目均适应
- Only nationals/firms of ADB member countries are eligible to work as consultants 只有亚行成员国的国民具有资格
- **ADB selects TA consultants, borrowers select loan consultants**  
亚行选择技术援助项目的咨询，借款人选择贷款项目的咨询
- ADB promotes the consulting industry in DMCs  
亚行鼓励/促进发展中成员国的咨询业
- Anticorruption policy 反贪污政策



# Introduction 介绍

## Consultant Selection Committee (CSC)

### 咨询专家选择委员会

Members might include: 委员会成员包括：

- representative of EA 执行机构的代表
- representative of concerned ministries 相关部委的代表
- beneficiaries of the project (optional) 项目的受益人（可选）
- lawyer (optional) 律师（可选）

CSC's Role: 委员会的任务：

- Approve invitation documents 批准邀请文件
- Approve technical proposal evaluation criteria 批准技术建议书的评估条件
- Prepare short list of 5 to 7 firms 准备短名单（5~7家公司）
- Evaluate & rank proposals 对建议书进行评估和排名



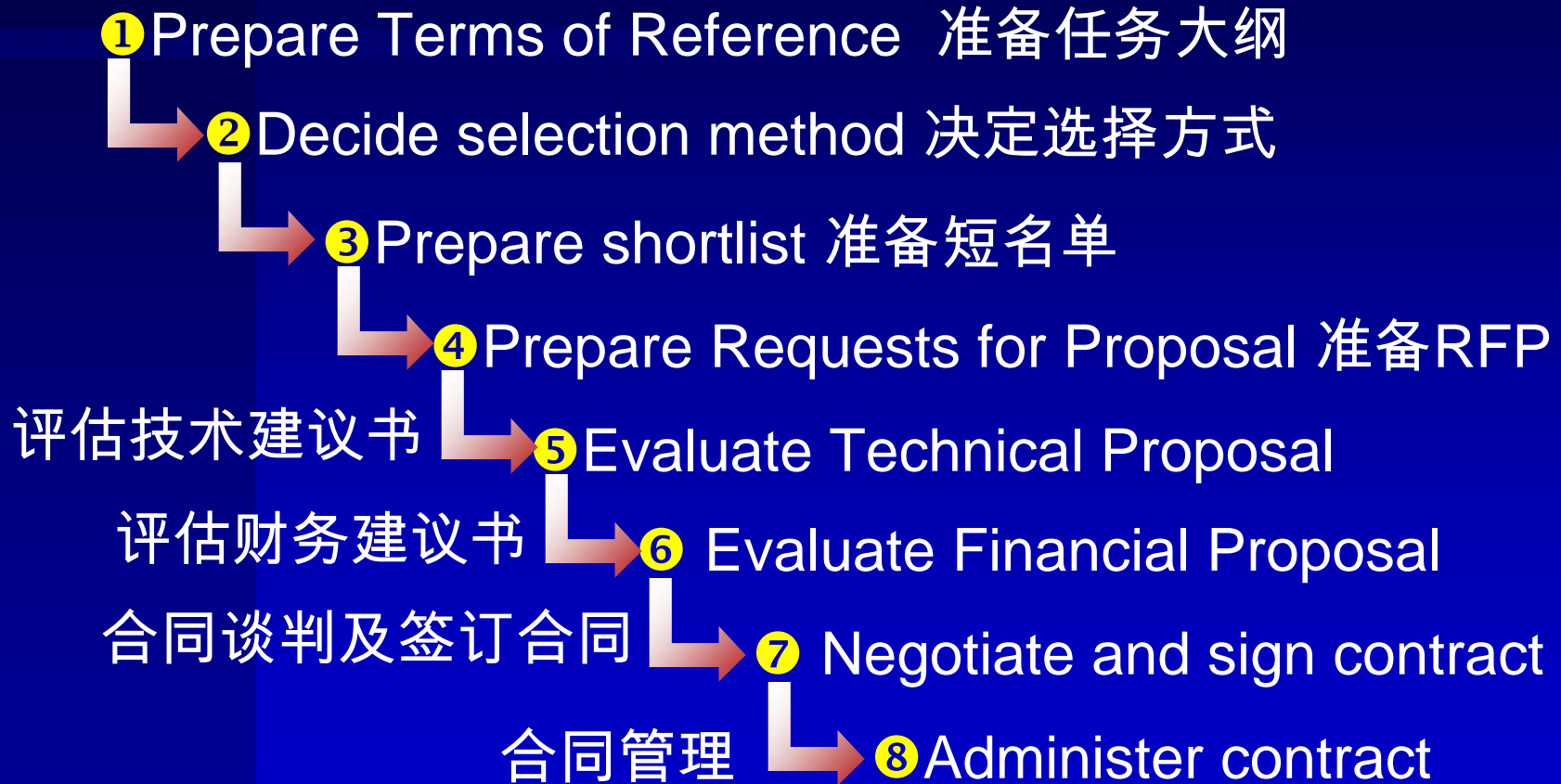


## Recruiting Consulting Firms 聘用咨询公司 Recruitment notice 征聘通知

- Must place recruitment notice on ADB's website for 30 days before shortlisting  
必须在列短名单之前将通知公布在亚行的网站上30天
- Notice describes assignment in detail, including TOR  
通知应具体描述工作任务，包括任务大纲



# Recruiting Consulting Firms 聘用咨询公司 Procedures 程序





# 1. Terms of Reference (TOR) 任务大纲

## Structure 结构

- Background information 背景资料
  - this describes the project sector and project setting 行业和项目的情况
- Detailed tasks 具体任务
- Objectives and outputs 目标和成果

## Major contents (for Loan Projects) 主要内容 ( 贷款项目 )

- Objectives 目标
- Scope of work 工作范围
- Implementation arrangements 实施安排
- Start date and duration 开始日期和期限
- Indicative personnel schedule 人员计划
- Inputs - activities/tasks, person-months, expertise  
投入 – 活动，人月，专业技能
- outputs – reports 成果：报告



# A Sample TOR (Loan Project) 任务大纲范例 ( 贷款项目 )

## Terms of Reference For Consulting Services for XXX Project

- I. Background
- II. Project Summary
- III. Implementation Arrangement
- IV. Objectives and Scope
- V. Cost Estimate
- VI. Terms of Reference for Project Consulting Services
  - (i) General
  - (ii) Activities
  - (iii) Skills, Expertise and Qualifications of Consultants
    - A. International Consultants
    - B. Domestic Consultants
    - C. Consultant's Staffing Inputs (Man Months)
  - (iv) Facilities to be provided by the EA and IA
  - (v) Reporting Schedule and Reporting Requirements
  - (vi) Schedule of Payments

## 2. Selection methods 选择的方法

- Quality and cost based selection (QCBS)  
基于质量和成本的选择
- Quality based selection (QBS)  
基于质量的选择
- Direct selection 直接选择
  - used only in exceptional circumstances when not using competitive method is justified  
仅用于特殊情况：  
当有充足的理由证明可以不使用竞争的方法

**QCBS is the preferred selection method**  
**优先使用QCBS**



## 2. Selection methods –QCBS 选择的方法 - QCBS

- Based on quality and cost of services 基于质量和成本
- Two proposals in separate envelopes 两个建议书分置于两个信封
  - technical proposal 技术建议书
  - financial proposal 财务建议书
- Both proposals received at the same time 两个建议书同时收到

### Key steps 关键步骤

- Evaluate technical proposals 评估技术建议书
  - qualifying score 750 out of 1000 points  
在总分1000分中取得750分即合格
- Publicly open financial proposals of technically qualified consultants  
对于技术建议书合格的咨询公开打开财务建议书
- Evaluate financial proposals 评估财务建议书
- Rank proposals **fixed percentages**  
建议书排名 ( 固定的百分比 )
  - technical score 80% 技术建议书占80%
  - financial score 20% 财务建议书占20%



## 2. Selection methods –QBS 选择的方法 - QBS

- Based only on quality of technical proposals  
仅基于技术建议书的质量
- Only ask for technical proposals initially  
初始时只要求提交技术建议书
- After technical evaluation, ask first ranked firm for financial proposal  
评估技术建议书之后，要求排名第一公司提交财务建议书

### Applicability: 适用性

- When scope of work is difficult to define in detail because of:  
当难以具体定义工作范围时，原因：
  - Complexity 复杂性
  - need for an innovative solution 需要创新的解决方法
  - alternative methodologies may be used, so difficult to compare financial proposals  
可能会使用其它备选的方法，所以难以比较财务建议书
- When using QBS, must justify in Project Document  
使用QBS必须在项目文件中说明充足的理由



## 2. Selection methods –QBS 选择的方法 - QBS

### Key steps 关键步骤

- Evaluate and rank technical proposals (out of 1,000 points)  
对技术建议书进行评估和排名 (总分1000分)
- Ask first ranked firm for financial proposal  
要求排名第一公司提交财务建议书
- Negotiate contract with first ranked firm  
与排名第一的公司进行合同谈判

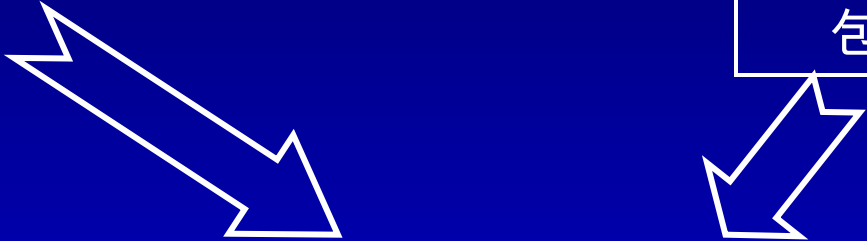




### 3. Prepare Shortlist 准备短名单 Longlist 长名单

- List of firms that may be suitable to provide the services  
适合提供服务的公司的清单

- Firms must be incorporated in an ADB member country  
公司必须在亚行成员国成立
- Include all firms that expressed interest  
包括所有表达意向的公司



**long list**  
**(15-20 firms)**  
**长名单**  
**( 15-20公司 )**



# 3. Prepare Shortlist 准备短名单 Longlist 长名单

- List of firms that may be suitable to provide the services  
适合提供服务的公司的清单



- Firms must be incorporated in an ADB member country  
公司必须在亚行成员国成立
- Include all firms that expressed interest  
包括所有表达意向的公司

贷款项目无限额



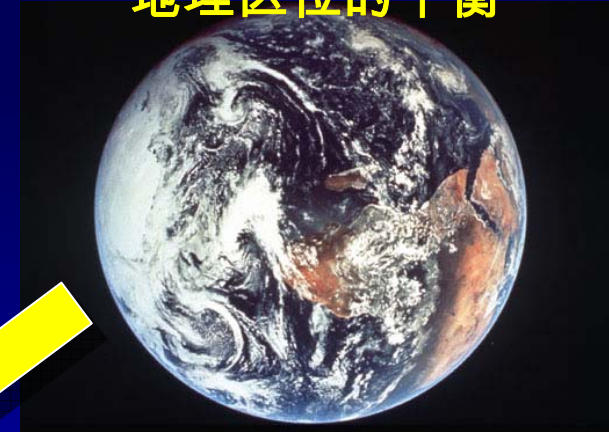
- A firm is limited to competing no more than 3 times a year for TAs over \$500,000.
- No quota for shortlisted firms for loan projects



# 3. Prepare Shortlist 准备短名单

## CSC Shortlisting

geographic balance  
地理区位的平衡



Shortlisting Criteria  
进入短名单的条件

Long list  
(15-20 firms)  
长名单

Shortlist  
短名单  
(5-7 firms)

previous Performance  
以往成绩

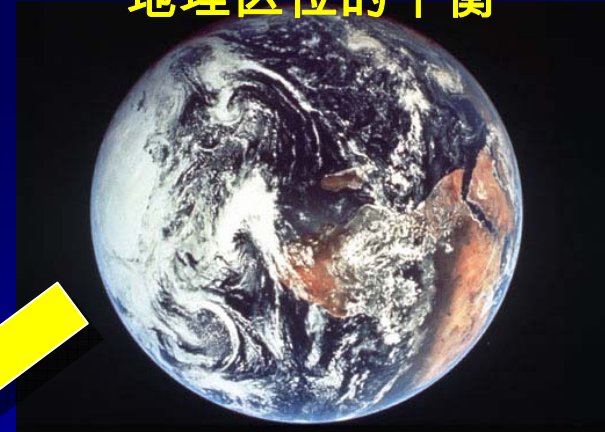
Same procedure for QCBS and QBS 相同的程序



# 3. Prepare Shortlist 准备短名单

## CSC Shortlisting

geographic balance  
地理区位的平衡



**Shortlisting Criteria**  
进入短名单的条件

- Experience similar projects  
类似项目的经验
- Experience similar places  
在类似项目所在地的经验
- Other factors  
其它因素

**Long list**  
(15-20 firms)  
长名单

**Shortlist**  
短名单  
(5-7 firms)

previous  
Performance  
以往成绩

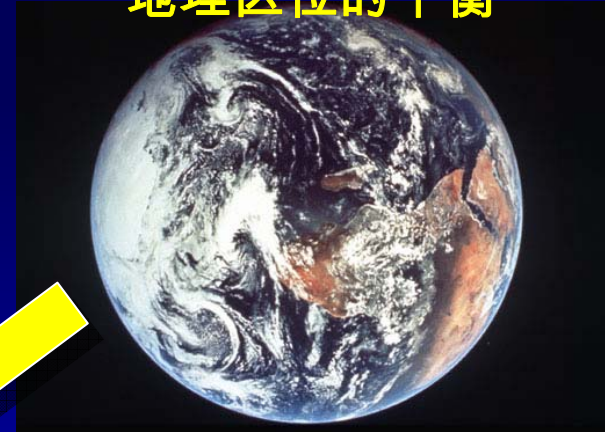
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# 3. Prepare Shortlist 准备短名单

## CSC Shortlisting

geographic balance  
地理区位的平衡



**Shortlisting Criteria**  
进入短名单的条件

- Experience similar projects  
类型项目的经验
- Experience similar places  
在类型项目所在地的经验
- Other factors  
其它因素

**Long list**  
(15-20 firms)  
长名单

**Shortlist**  
短名单  
(5-7 firms)

previous  
Performance  
以往成绩

• Not more than one firm from any country  
任何国家不超过一个公司

• At least one firm from each region, including DMCs, if possible  
如果可能，每个地区至少有一个公司 (含DMCs)

Same procedure for QCBS and QBS 相同的程序



## 4. Request for Proposal (RFP) 建议书征询文件

### Purpose 目的

- Instructions to consultants 咨询专家须知
  - selection method 选择的方法
  - preparing the technical proposal 准备技术建议书
  - preparing the financial proposal 准备财务建议书
- Information for consultants 其它信息
  - evaluation criteria 评估条件
  - terms of reference 任务大纲
  - data sheet 数据表



## 4. Request for Proposal (RFP)建议书征询文件 Contents 内容

- Letter of Invitation 邀请函
- Instruction to Consultants incl. Data Sheet and Evaluation Criteria 咨询专家须知
- Technical Proposal Standard Form 技术建议书标准格式
- Financial Proposal Standard Form 财务建议书标准格式
- Background Instruction and Terms of Reference 背景资料 and 任务大纲
- Standard Form of Contract 合同标准格式
- List of ADB Member Countries 亚行成员国清单



## 4. Request for Proposal (RFP)建议书征询文件 Data Sheet 数据表

- General information 一般资料
  - client's name and contact details 雇主名称和联系细节
  - selection method 选择的方法
  - type of technical proposal 技术建议书的类型
- Budget 预算
- Provisional amounts 暂列金额
- Contingency 不可预见费
- Proposal validity period 建议书有效期
- Currency conversion details 货币转换细节
- Taxation details 缴税细节





# 4. Request for Proposal (RFP) 建议书邀请

## Types of Technical Proposals 技术建议书种类

- **Biodata proposals (BTP) 21 days** 个人资料建议书 21天
  - biodata, workplan, personnel schedule 个人资料，工作计划，人员配置
  - contracts of \$500,000 or less, direct selection, detailed TOR  
合同额等于或低于50万美元，直接选择，详细的任务大纲
- **Simplified proposals (STP) 35 days** 简化建议书 35天
  - contracts over \$500,000, detailed TOR, QCBS  
合同额大于50万美元，详细的任务大纲，QCBS
- **Full proposals (FTP) 45 days** 完整建议书 45天
  - contracts over \$1 million, outline TOR, QBS  
合同额大于1百万美元，任务大纲提纲，QBS

These three types are used for both TAs and loans  
此三种建议书均可用于贷款项目和技术援助项目

**Approximate target time** from shortlisting to signing of contract:  
从准备短名单到签订合同的大约日期：

- |                        |          |         |      |
|------------------------|----------|---------|------|
| • biodata proposals    | 95 days  | 个人资料建议书 | 95天  |
| • simplified proposals | 105 days | 简化建议书   | 105天 |
| • full proposals       | 115 days | 完整建议书   | 115天 |



## 4. Request for Proposal (RFP) 建议书邀请 Technical Proposals – Contents 技术建议书内容

	Full	Simplified	Biodata
Experience of the Firm	Y Max 20 Project Sheets	N	N
Methodology Work program Personnel Schedule	Y Max 50 pages	Y Max 10 pages	Only personnel schedule required
Personnel	Y	Y	Y
Comments on TOR	Y	N	N
Counterpart Support	Y Max 2 pages	N	N



# 4. Request for Proposal (RFP) 建议书邀请

## Technical Proposals - evaluation criteria 技术建议书评估标准

Weight	Full	Simplified	Biodata
Experience of the Firm 公司的经验	100-200	--	--
Methodology , Work program , Personnel Schedule 方法、工作计划和 人员配置计划	200-400	300	100 for personnel schedule only 仅对人员配 置计划
Personnel 人员	500-700	700	900



## 4. Request for Proposal (RFP) 建议书邀请

### Technical Proposals - evaluation criteria 技术建议书评估标准

- Experience of the Firm  
公司的经验\*
  - Methodology , work program , personnel schedule  
方法、工作计划和人员配置计划
  - Personnel  
人员
- Experience in similar projects  
类似项目的经验
  - Experience in the region  
该区域的经验
  - Other factors  
其它因素

\*Only evaluated for full technical proposals  
仅针对完整建议书



## 4. Request for Proposal (RFP) 建议书邀请

### Technical Proposals - evaluation criteria 技术建议书评估标准

- Experience of the Firm  
公司的经验\*
- Methodology , work program , personnel schedule  
方法、工作计划和人员配置计划
- Personnel  
人员

- Understanding of objectives \*  
对目标的理解
- Methodology 方法
- Work program 工作计划
- Person-months requirement  
人月的要求
- Innovation\* 创新性
- Counterpart support\* 对应支助
- Presentation 表达

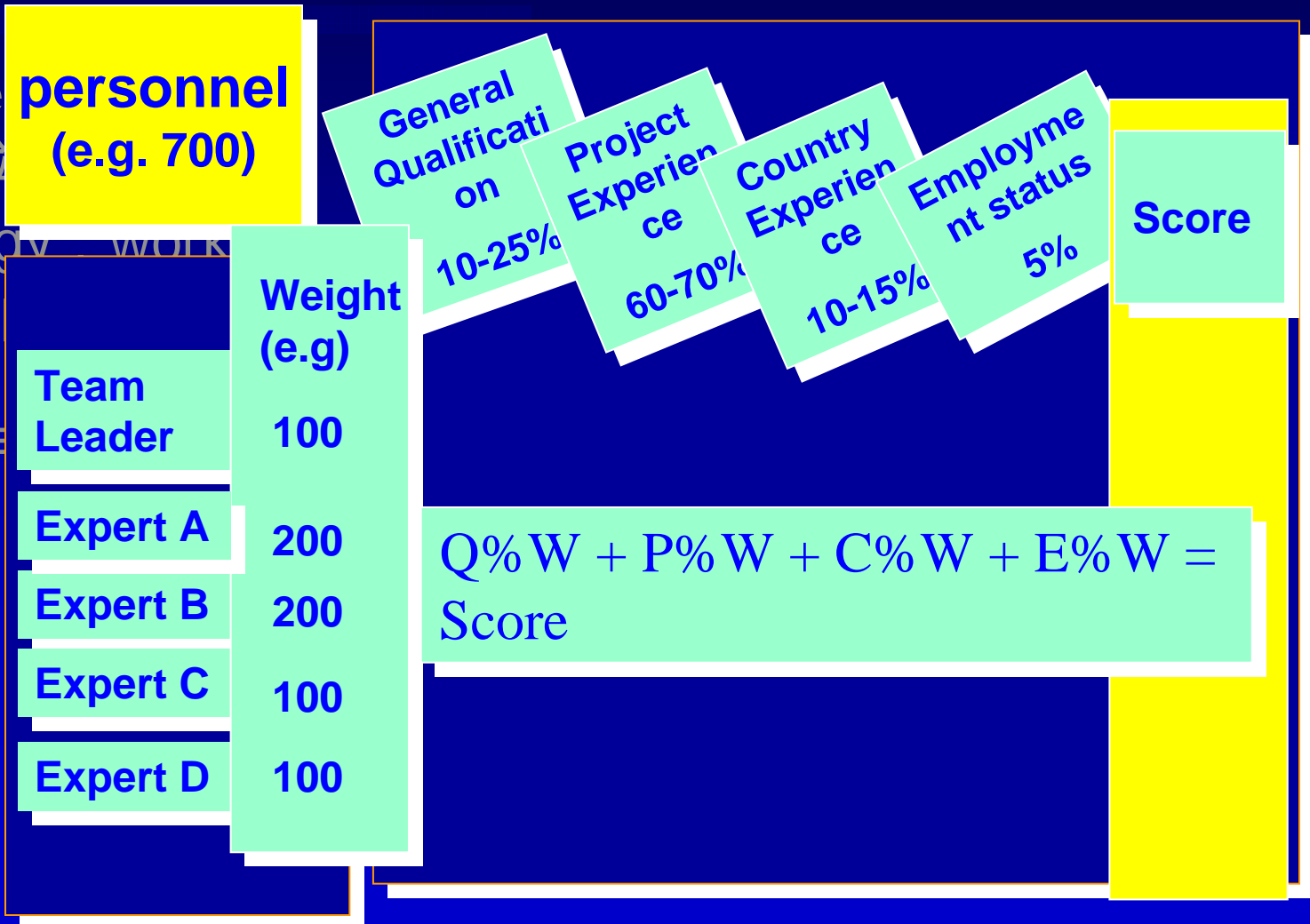
\*Only evaluated for full technical proposals  
仅针对完整建议书



# 4. Request for Proposal (RFP) 建议书邀请

## Technical Proposals - evaluation criteria 技术建议书评估标准

- Experience 公司的经验
- Methodology 方法、工作配置计划
- Personnel 人员





# 5. Evaluating Technical Proposals

## Technical Evaluation Scores

### 评估技术建议书 - 打分标准

#### QCBS

- excellent 100%  
优秀
- very good 90%  
非常好
- above average 80%  
高于平均水准
- average 70%  
平均水准
- below average 50%  
低于平均水准
- non-complying 0%  
不合格

(marks must be chosen from these and not in between)  
(分数只能是上列分数，不可取其它数值)

#### QBS

- excellent 90-100%  
优秀
- very good 80-89%  
非常好
- above average 70-79%  
高于平均水准
- below average 0- 69%  
低于平均水准

(marks may be any whole numbers)  
(分数可取任何整数)



## 5. Evaluating Technical Proposals Procedure 评估技术建议书 - 程序

- Evaluate using the criteria in RFP sent to shortlisted firms  
使用发送给进入短名单的公司的RFP中明列的条件进行评估
- All CSC members must agree with the final decision or the decision is referred to more senior staff  
所有评审委员会的成员必须都同意最终决定，否则将决定呈交更高级官员
- Maintain confidentiality  
维护保密性





## 5. Evaluating Technical Proposals

### Contents 评估技术建议书 - 评估内容

- Firm's experience  
公司经验
- Methodology  
方法
- Work program  
工作计划
- Personnel  
schedule  
人员配置
- Innovation  
创新性
- Presentation 表达
- Personnel 人员



## 5. Evaluating Technical Proposals

### Contents 评估技术建议书 - 评估内容

- **Firm's experience**  
公司经验
  - **Methodology**  
方法
  - **Work program**  
工作计划
  - **Personnel schedule**  
人员配置
  - **Innovation**  
创新性
  - **Presentation** 表达
  - **Personnel** 人员
- Relevant projects by the international firm(s)  
国际公司承担过的相关项目
    - Number, size/value, leading roles?, how many inputs provided? in similar geographical areas and similar social-economic conditions?  
数量, 大小, 领导角色? 多少投入? 处于类似的地理区域和类似的社会经济条件?
  - Do the associated firms have relevant project experience and the capacity to provide local support?  
其所属的公司是否有相关项目的经验、是否有提供当地支持的能力?



## 5. Evaluating Technical Proposals

### Contents 评估技术建议书 - 评估内容

- Firm's experience 公司经验
- Methodology 方法
- Work program 工作计划
- Personnel schedule 人员配置
- Innovation 创新性
- Presentation 表达
- Personnel 人员

- Comprehensive 全面
  - covers all the aspects and components in the TOR? 包括在TOR中的所有方面和组成部分
- Innovative 创新
  - suggests new concepts, fresh ideas? 是否建议新的概念和设想
- Accurate 准确
  - shows a correct understanding of ADB's policy in the area and sector? 对亚行政策有正确的理解
- Practical 实际
  - too academic, ambitious or difficult to implement? 是否过于学术化、过于艰巨或难以实施?



## 5. Evaluating Technical Proposals

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- Firm's experience 公司经验
- Methodology 方法
- Work program 工作计划
- Personnel schedule 人员配置
- Innovation 创新性
- Presentation 表达
- Personnel 人员

- Consistent 一致性
  - is it consistent with the methodology? 与方法一致？
- Logical 逻辑
  - is it logically sound? 逻辑合理？
- Clear 清楚
  - are the main milestones, inputs, outputs, and the responsibilities of the key personnel clear? 主要里程碑、投入、成果和关键人员的责任是否明确清楚？



## 5. Evaluating Technical Proposals Contents 评估技术建议书 - 评估内容

- Firm's experience 公司经验
- Methodology 方法
- Work program 工作计划
- Personnel schedule 人员配置
- Innovation 创新性
- Presentation 表达
- Personnel 人员

- Consistent 一致性
  - consistent with the work program? 与工作计划一致？
- Compliant 适合
  - comply with the implementation arrangements? 符合实施的安排？
- Reasonable 合理
  - require extra money or resources for unjustified purposes? 对无充足理由的目的是否需要额外的金额和资源？

## 5. Evaluating Technical Proposals

### Contents 评估技术建议书 - 评估内容

- Firm's experience  
公司经验
- Methodology  
方法
- Work program  
工作计划
- Personnel  
schedule  
人员配置
- Innovation  
创新性
- Presentation 表达
- Personnel 人员

- Are any aspects of the methodology innovative or does it just mechanically follow the TOR?  
使用的方法是否具有创新性或者是否只是机械地遵循TOR?
- Are there any constructive comments on the TOR?  
对TOR是否有建设性的意见?

(Only Full Technical Proposal have specific points allocated for this category)

(仅用于当完整技术建议书规定了此项内容时)



## 5. Evaluating Technical Proposals

### Contents 评估技术建议书 - 评估内容

- Firm's experience  
公司经验
- Methodology  
方法
- Work program  
工作计划
- Personnel  
schedule  
人员配置
- Innovation  
创新性
- Presentation 表达
- Personnel 人员

- Easy to read? 易读?
- Clear? 清楚?
- Good physical presentation? 提交的成果表达得好?

## 5. Evaluating Technical Proposals

### Contents 评估技术建议书 - 评估内容

- Firm's experience 公司经验
  - Methodology 方法
  - Work program 工作计划
  - Personnel schedule 人员配置
  - Innovation 创新性
  - Presentation 表达
  - Personnel 人员
- Must be nationals of an ADB member country 亚行成员国国民
  - No current EA officials 非在职执行机构官员
  - Other government employees 其他政府雇员
    - are discouraged 不鼓励
    - must have letters that they are on leave without pay from their government jobs and will be available full time 必须有文件证明他们在无薪离任和可以全时工作
  - No age limit, but older experts may be required to produce medical certificates 无年龄限制，但年长的专家须提供健康证明





## 5. Evaluating Technical Proposals Contents 评估技术建议书 - 评估内容

- Firm's experience 公司经验
- Methodology 方法
- Work program 工作计划
- Personnel schedule 人员配置
- Innovation 创新性
- Presentation 表达
- Personnel 人员

- General qualifications 一般资格
  - minimum a relevant bachelor degree 至少拥有学士学位
- Experience in similar assignments 相关经验
  - minimum 5 years 至少5年
  - number of relevant projects? 相关项目的个数
- Experience in the country or overseas 在该国家或海外的经验
  - international consultants worked in the country or the region? 国际专家是否曾在该国或该地区工作过？
  - speak the local language? 是否可以讲当地语言？
  - local consultants worked overseas/or with international organization and able to speak English? 当地专家是否曾在海外或与国际机构工作过？是否可以讲英语？



## 5. Evaluating Technical Proposals Contents 评估技术建议书 - 评估内容

- Firm's experience 公司经验
- Methodology 方法
- Work program 工作计划
- Personnel schedule 人员配置
- Innovation 创新性
- Presentation 表达
- Personnel 人员
- Employment status 雇用状态
  - points for regular full time staff of the firm 对该公司的全职职员
- Certification 证书
  - the expert or an authorized senior officer of the firm must sign the statement of certification (format provided in the RFP) 证书必须由专家或经该公司授权的高级官员签字
  - if an officer signs and the firm is selected, the expert must still sign before the negotiations 如果某官员已签字且该公司被选中，咨询专家仍然必须在谈判之前签字



## 5. Evaluating Technical Proposals

### Non responsive proposals 未做出响应的建议书

- The lead firm or an associate is associated with a contractor/supplier/manufacturer and didn't make the required statement  
领导地位的公司或者合营的公司是承包商/供货商/制造商合伙人，并且未做出所要求的陈述
- The lead firm or an associate is not registered in an ADB member country  
领导地位的公司或者合营的公司不是在亚行成员国注册
- Submission of wrong type of technical proposal  
呈交的技术建议书的类型错误
- The technical proposal includes costs 技术建议书包含成本
- The technical and financial proposals are not in separate sealed and marked envelopes 技术建议书和财务建议书未分置在不同的密封且盖章的信封里
- Receipt of proposals after the deadline  
呈交建议书时间超过了期限



## 6. Evaluating Financial Proposal

### QCBS-Public opening 评估财务建议书 - 公开开封

- Consultants submit financial proposals in electronic format on CD and in a hard copy  
以光盘电子板和硬拷贝方式提交
- Format provided for downloading on  
格式在亚行网站下载 <[www.adb.org](http://www.adb.org)>
- Invites the technically qualified consultants for the public opening  
仅邀请技术建议书合格的咨询提交
- Read out technical scores and prices  
宣读技术分数和价格



## 6. Evaluating Financial Proposal QCBS procedure 评估财务建议书

Checks for: 检查 :

- Commercial compliance  
符合商务条款
- Accurate arithmetic  
准确的计算
- Consistent with  
technical proposals  
符合技术建议书

Adjustments 调整

Scoring 打分



## 6. Evaluating Financial Proposal QCBS procedure 评估财务建议书

Checks for: 检查 :

- Commercial compliance  
符合商务条款
- Accurate arithmetic  
准确的计算
- Consistent with  
technical proposals  
符合技术建议书

Adjustments 调整

Scoring 打分

- Consistent with the requirements in the RFP or data sheet?  
与RFP或基本数据单的要求一致?
  - validity period 有效期
- No conditions or restrictions?  
没有条件或限制?
- Total price within the budget?  
总价格在预算内?



## 6. Evaluating Financial Proposal QCBS procedure 评估财务建议书

Checks for: 检查 :

- Commercial compliance  
符合商务条款
- Accurate arithmetic  
准确的计算
- Consistent with  
technical proposals  
符合技术建议书

Adjustments 调整

Scoring 打分

- Checks the arithmetic ,  
makes necessary corrections  
算数检查 , 并做必要的纠正
- Provisional sums and  
contingency the same as in  
the data sheet? 暂列  
金额和不可预见费与数据单  
中所列相同 ?



## 6. Evaluating Financial Proposal QCBS procedure 评估财务建议书

Checks for: 检查 :

- Commercial compliance 符合商务条款
- Accurate arithmetic 准确的计算
- Consistent with technical proposals 符合技术建议书

Adjustments 调整

Scoring 打分

- Checks consistency with the firm's technical proposal , makes necessary corrections  
检查是否与技术建议书一致，并做必要的纠正





## 6. Evaluating Financial Proposal QCBS procedure 评估财务建议书

Checks for: 检查 :

- Commercial compliance  
符合商务条款
- Accurate arithmetic  
准确的计算
- Consistent with  
technical proposals  
符合技术建议书

Adjustments 调整

Scoring 打分

- Make adjustments and corrections in the manner described in the RFP  
按照RFP中的规定进行调整和纠正
- Must not introduce factors not mentioned in the RFP  
不允许引入在RFP中未提及的考虑因素



## 6. Evaluating Financial Proposal QCBS procedure 评估财务建议书

Checks for: 检查 :

- Commercial compliance 符合商务条款
- Accurate arithmetic 准确的计算
- Consistent with technical proposals 符合技术建议书

Adjustments 调整

Scoring 打分

- Gives the lowest priced proposal the maximum financial score of 1000 points  
给最低标价的建议书以最高的财务分数1000分
- Calculates scores of the other financial proposals using the formula  
其它财务建议书的分数用公式计算 :

$$P = (\text{lowest price} / \text{price of } P) \times 1000$$

(P is the proposal being ranked)

其它建议书价格 =

$$(\text{最低价格} / \text{该建议书价格}) \times 1000$$



## 6. Evaluating Financial Proposal Final ranking 最终排名

Final scores = 80% technical + 20% financial  
最终分数 = 80% 技术 + 20% 财务

### Submission of Evaluation and Ranking Report for ADB's Approval 向亚行提交评估及排名报告

- Details of technical and financial proposals  
技术建议书和财务建议书细节
- Technical evaluation 技术评估
- Financial evaluation 财务评估
- Ranking of proposal 建议书排名
- EA's recommendation 执行机构的建议



# 7. Contract Negotiations 合同谈判

## Forms of Contract: 合同格式

- Time-based Contracts 基于时间的合同
- Lump Sum Contracts 总价合同
- Other Contracts 其它类型的合同

## Contract Components 合同构件

- Agreement 协议书
- General Conditions 通用条款
- Appendix A TOR 任务大纲
- Appendix B staffing schedule 人员配置计划
- Appendix C cost estimate 估价
- Appendix D specific assurances 特定的保证



## 7. Contract Negotiations 合同谈判

### QCBS technical 技术方面

- Finalize the technical details 完成技术细节
  - TOR 任务大纲
  - timing of work 工作时间表
  - counterpart facilities 对应的设施
- QCBS -negotiators must not substantially change the TOR or quality requirements because price was a selection factor  
QCBS - 由于价格是一个选择因素，谈判人不允许对TOR或质量要求做实质性更动
- QBS –may change TOR within limits  
QBS - 在一定限度内可更改任务大纲



## 7. Contract Negotiations 合同谈判

### QCBS financial 财务方面

- Do not negotiate rates for experts' remuneration and out-of-pocket expenses  
咨询专家的报酬和现金支付费用的费率不可协商
- Minor adjustments allowed to quantities of inputs and expenses 对有关费用的数量可以进行微小的调整
- Finalize expenditure covered by provisional sums  
最终确定暂列金额所含的支出内容
- Finalize contract contingency  
最终确定合同的不可预见费
- Finalize contract 合同定案

## 7. Contract Negotiations 合同谈判

### QBS and direct selection QBS和直接选择

- Agenda similar to QCBS except that all financial terms are negotiated  
除可以协商财务条款之外其它与QCBS相同

### Treatment of taxes 税务的处理

- ADB loans should not finance local taxes or duties  
亚行贷款不可用于当地税项和关税
- The government should either exempt or reimburse the consultant  
支付或者免征税或者偿还该款项给咨询
- If government does not agree with either of above, the contract and the request for payment submitted to ADB must **show the tax as a separate item**, to make sure that ADB does not pay it  
如果政府不同意以上两种方式，递交给亚行的合同和支付请求必须将税项单独注明，并确保亚行不对此进行支付



# Submissions to ADB 向亚行递交的文件

## Loans QCBS

1. shortlist and RFP  
短名单和RFP
2. evaluation of technical proposals  
技术建议书评估
3. evaluation of financial proposals and final ranking  
财务建议书评估和最终排名
4. draft contract  
合同草案
5. signed contract  
签订的合同

## Loans QBS

1. shortlist and RFP  
短名单和RFP
2. evaluation of technical proposals and ranking  
技术建议书评估和排名
3. draft contract 合同草案
4. signed contract  
签订的合同





## 8. Contract Administration 合同管理

Consultant's Mobilization 咨询专家的动员

Progress Payments 进度支付

Contract Variations 合同变更

Performance Evaluation 对执行的情况进行评估



## Recruiting Individual Consultants - Loans 聘用个人咨询 - 贷款项目

- EA prepares TOR with help from ADB  
执行机构在亚行的协助下准备TOR
- EA lists qualified candidates with help from ADB  
执行机构在亚行的协助下列出具有资格的候选人名单
- EA ranks and makes non-committal inquiry about first candidate's availability  
执行机构排名，并对排名第一的候选人是否可以聘用进行不承担义务的询问
- EA submits details to ADB for approval  
执行机构将相关细节递交亚行审批
- EA negotiates with the selected expert and signs agreement  
执行机构与被选择的专家谈判并签订合同
- EA sends contract to ADB for records  
执行机构将合同递交亚行备案



# Recruiting individual consultants Ranking 聘用个人候选人 - 排名

- Factors considered in ranking  
排名的考虑因素
  - Academic qualifications 20%  
学术资历
  - Experience in similar projects 70%  
类似项目的经验
  - Experience in similar places 10%  
类似地点的经验

- More delegation to EAs with proven capacity  
更多地授权给有能力的执行机构
- New selection methods  
新的选择方法
- Contracting Arrangement  
合同安排

- More delegation to EAs with proven capacity  
更多地授权给有能力的执行机构
- New selection methods  
新的选择方法
- Contracting Arrangement  
合同安排

- Standard submission to ADB:  
Shortlisting, evaluation and final ranking of proposals, and at Contract negotiations  
呈交亚行审批的标准时间点：制作短名单，评估和最终的建议书排名，合同谈判



- EAs with solid capacity to make submissions only at:

- Shortlisting stage
- Overall evaluation stage

有能力的执行机构仅在如下阶段呈交亚行审批：

- 制作短名单阶段
- 总体评估阶段

- More delegation to EAs with proven capacity  
更多地授权给有能力的执行机构
- **New selection methods**  
新的选择方法
- Contracting Arrangement  
合同安排

- QCBS, QBS and Single-source Selection



**Fixed-budget Selection:**  
依据固定预算的选择方法

- Simple, precisely defined, fixed budget  
简单、明确定义的任务，固定的预算
- Proposal exceeding the indicated budget are rejected; the highest-ranked technical proposal within the stipulated budget is selected  
财务建议书超过预算则拒绝；在预算内且技术建议书最高排名者被选择



**Least-cost Selection:**  
依据最小成本的选择方法

- Very small assignment of a routine nature  
非常小的常规性任务
- Technical with less than minimum qualifying mark are rejected; the proposal with lowest price is selected  
技术建议书小于最低合格分数者被拒绝；财务建议书最低价者被选择

- More delegation to EAs with proven capacity  
更多地授权给有能力的执行机构
- **New selection methods**  
新的选择方法
- Contracting Arrangement  
合同安排

- QCBS, QBS and Single-source Selection

**NEW** Fixed-budget Selection:  
依据固定预算的选择方法

**NEW** Least-cost Selection:  
依据最小成本的选择方法


**NEW** Consultants' Qualifications Selection:  
依据咨询资质的选择方法

- highly specialized expertise needed; recruitment time is critical and assignment is short-term  
需要非常专业的技能；时间非常重要且是短期的任务

**NEW** Commercial Practices:  
依据商业实践的选择方法

- loan on-lents by a financial intermediary to private sector enterprises or autonomous commercial enterprises in public sector  
用于金融中介机构将贷款用与私人企业或者公共部门中自主经营的公司

- More delegation to EAs with proven capacity  
更多地授权给有能力的执行机构
- New selection methods  
新的选择方法
- Contracting Arrangement  
合同安排

- Time-based Contracts  
基于时间的合同
- Lump Sum Contracts 总价合同
- Other: Cost plus fixed fee, Percentage fee  
其它合同：成本加固定费用，百分比费用
-  Retainer and/or Contingency (Success) Fee Contract  
聘金加/或不可预见费（成功费）合同
  - For preparing companies for sales or mergers of firms, e.g. privatization operations  
准备公司的出售或者公司的合并，如私有化



- More delegation to EAs with proven capacity  
更多地授权给有能力的执行机构
- New selection methods  
新的选择方法
- Contracting Arrangement  
合同安排

- Time-based Contracts  
基于时间的合同
- Lump Sum Contracts 总价合同
- Other: Cost plus fixed fee, Percentage fee  
其它合同：成本加固定费用，百分比费用
- Retainer and/or Contingency (Success) Fee Contract  
聘金加/或不可预见费（成功费）合同



- Indefinite Delivery Contract (Price Agreement)  
不确定成果的合同（价格协议）

- Need “on-call” specialized services, but extent and timing cannot be defined in advance  
需要随时待命的专业服务，但任务内容和时间无法预先确定



- Performance-based Contract  
基于任务成果的合同



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# Thank You! 谢谢

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