

**Expressions of Interest Evaluation Report and Recommendation for Award of Contract (ICS)**

**Individual Consultant Selection**

**July 2023**

# *Preface*

***1.*** *This guide is not part of the report. It should not appear in the report submitted to the Caribbean Development Bank (CDB). Similarly, notes to the Recipient[[1]](#footnote-1) in italics throughout are also not to be included in the report termed “Expression of Interest [EOI] - Evaluation Report – Individual Consultant Selection [ICS] [[2]](#footnote-2) - summarized as* ***EER-ICS.***

***2****. The EER-ICS provides guidance in compliance with the “Procurement Policy for Projects Financed by CDB* ***(Policy)****, dated November 2019, the “Procurement Procedures for Projects Financed by CDB”* ***(Procedures),*** *dated January 2021, the Guidance Note for Evaluating Expressions of Interest and Proposals for Consulting Services[[3]](#footnote-3) and related CDB Standard Procurement Document (****SPD****) mentioned below. Defined terms and acronyms in the EER-ICS are, where applicable, the same as those in the Procedures, aforementioned guidance note and SPD.*

***3****. Unless otherwise agreed with CDB, Recipients shall use CDB’s SPD for the Request for Expression of Interest – Individuals, available from the CDB website:* [*https://www.caribank.org/work-with-us/procurement*](https://www.caribank.org/work-with-us/procurement)*.*

***4.*** *The Contract for use with the ICS (lump-sum/time-based) will be based on the Recipient’s standard, where CDB has accepted such standard, or another form acceptable to CDB. In all instances, unless otherwise agreed by CDB, CDB’s Eligibility, and Governance and Integrity requirements (Procedures, Sections 4 and 5 shall be integrated into the form of Contract used.*

***5.*** *The ICS method[[4]](#footnote-4) can be open or limited competition or Direct Selection (DS)[[5]](#footnote-5), geographically encompassing national, regional, or international Consultants.*

***6****. It is expected that the EER-ICS will be used by Recipients to:*

* *Facilitate the evaluation of EOIs.*
* *Obtain, where required, the subsequent CDB’s No Objection (NO) of the EOI evaluation results and proceed to open contract negotiations with the selected Consultant.*
* *Use Annex 1 as a template to record the results of contract negotiations and contract award details and, where required, to seek CDB’s prior NO to the draft Contract.*
* *Where the award is subject to CDB’s post review, the completed EER-ICS, Annex I, and any other documentation will be retained for CDB’s possible examination.*

***7.*** *Recipients should study the EER-ICS, including the guidance, during project preparation to reflect requirements in the REOIs and assess the managerial and administrative conditions needed for the evaluation and the process for the award of Contract.*

***8.*** *CDB staff are available to explain any aspects of the EER-ICS. Where required, the employment of experienced consultants to help with evaluations is permitted, and, where allowed by the Financing Agreement, related fees may be paid from CDB financing.*

**Expressions of Interest Evaluation Report and Recommendation for Award of Contract (ICS)**

**Individual Consultant Selection**

Name of Project:

Project No.:

Contract Name:

Identification Number:

Date of Submission:

**Letter of Transmittal**

*Where the evaluation report and contract award are subject to CDB’s prior review/No objection (NO)[[6]](#footnote-6), two Letters of Transmittal shall be sent to CDB from the Recipient ministry, department, or agency responsible for communications with CDB. The letters should be sent to the CDB Operations Officer responsible for the project.*

*The first Letter of Transmittal shall seek NO for the evaluation results and on receipt to enter negotiations with the recommended Consultant. It shall include the EER-ICS complete with any attachments. Conclusions should be highlighted and offer any additional information that would help to expedite review by CDB. In addition, any unresolved or potentially contentious issues or items for negotiation should be highlighted.*

*The second Letter of Transmittal shall seek NO for contract award and accompany Annex I and the draft Contract with the Consultant[[7]](#footnote-7).*

*If the Contract is subject to CDB’s post review, the EER-ICS, Annex I, and all supporting documentation shall be retained in the Recipient’s project files for future consideration by CDB.*

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##### **Section I. Evaluation Report—Text**

|  |  |
| --- | --- |
| **1. Background** | *Include a brief description, context, scope, and objectives of the Consulting Services.* |
| **2. The Selection Process** | *Briefly describe the Selection Method, including the rationale for the choice of:*   * *Open, Limited, or DS[[8]](#footnote-8)* * *National, Regional, or International*   *Add results and number of Expressions of Interest (EOIs) received[[9]](#footnote-9).* |
| **3. Technical Evaluation** | *Briefly describe (i) the formation of a technical evaluation committee (EC) as required in Procedures Paragraph 6.37: (ii) meetings and actions taken by the EC[[10]](#footnote-10): (iii) outside assistance, if any; (iv) evaluation guidelines; (v) details of and justification for criteria/sub-criteria and (vi) associated weightings used;(vii) comments on individual evaluators’ scores (discrepancies).*  *Identify any EOIs found nonresponsive at preliminary evaluation (refer and attach Form IIB) and provide a summary of reason(s) for each, and list names of consultants in Table 1.*  Table 1 Summary of Evaluation of Nonresponsive EOIs   |  |  | | --- | --- | |  | **NAME OF CONSULTANT** | | 1. |  | | 2. |  | | 3. |  | | 4. | list all Consultants |   *Summarise the results of the detailed evaluation as follows:*   * *Attach Forms IIA, B, C, D, and E.* * *Highlight strengths and weaknesses of the three highest scored Consultants[[11]](#footnote-11) and any issues to be considered in contract negotiations.* * *Present the results of the technical evaluation: scores and the award recommendation of the highest scored Consultants as shown in Table 2:*   Table 2 Summary of Evaluation of responsive EOIs   |  |  |  | | --- | --- | --- | |  | **NAME OF CONSULTANT** | **TECH SCORE** | | 1. |  |  | | 2. |  |  | | 3. |  |  | | 4. | List all Consultants scored |  |   **Respectfully Submitted by the Evaluation Committee[[12]](#footnote-12)**   |  |  |  |  | | --- | --- | --- | --- | | **Name** | **Organisation/**  **Position** | **Date** | **Signature** | |  |  |  |  | |  |  |  |  | |  |  |  |  | | I confirm that the technical evaluation was conducted in full compliance with the CDB’s Procurement Procedures. All members of the Evaluation Committee have certified no conflict of interest in accordance with Procedures, Paragraph 6.37.  Chairperson’s Name:  Signature: Date: | | | |   *The target is to have at least three qualified Consultants to evaluate (Procedures, Paragraph 8.39(a)).* ***If less than three, then CDB prior NO is required.***  *If following the evaluation, it becomes clear that the highest scored Consultant can only be hired via a firm, then before starting negotiations, per Procedures Paragraphs 8.36 and 8.39(b),* ***CDB prior NO is required.***  *If insufficient responsive EOIs are received, or all are found nonresponsive, the Recipient may wish to cancel the REOI (obtaining CDB’s prior NO, where required) and reissue with applicable modifications and/or approach CDB for a recommendation of Consultants and/or consider Firms (subject to the parameters in Procedures. Paragraphs 8.37 and 8.38) known to have consultants or staff that meet the required criteria.* |

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## Form IIA. Technical Evaluation - Basic Data[[13]](#footnote-13)

|  |  |
| --- | --- |
| 2.1 Name of country:  Name of Project: |  |
| 2.2 Client/Recipient:   1. name 2. address, phone, email |  |
| 2.3 Financing Agreement:  (a) number  (b) date of effectiveness  (c) terminal disbursement date  (i) original  (ii) revised | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Click or tap to enter a date.  Click or tap to enter a date.  Click or tap to enter a date. |
| 2.4 Type of assignment (pre-investment, preparation, or implementation) and a brief description of services |  |
| 2.5 "CDB Prior Review Required/NO"[[14]](#footnote-14) | Choose an item. |
| 2.6 (a) General Procurement Notice (GPN) submission to CDB for NO where required[[15]](#footnote-15)  (b) CDB’s no-objection | Click or tap to enter a date.  Click or tap to enter a date. |
| 2.7 GPN   1. first issue date 2. latest update | Click or tap to enter a date.  Click or tap to enter a date. |
| 2.8 Selection scope and type of REOI:   1. Geographic range 2. Competition 3. Type of Contract | Choose an item.  Choose an item.  Choose an item. |
| 2.9 REOI publications:   1. publication in United Nations Development Business (UNDB) 2. publication in national newspaper(s)   *If Yes (complete the table)*   1. publication in a national website(s)   *If Yes (add the date of publication and duration)*   1. publication on CDB website(s) | Choose an item.  Choose an item.   |  |  | | --- | --- | | **Name(s) of newspaper(s)** | **Publication date(s)** | |  |  | |  |  | |  |  | |  |  |   Choose an item.  Click or tap to enter a date. Duration\_\_\_\_\_\_\_\_\_  Choose an item. |
| 2.10 REOI Submission.   1. Original 2. Extended 3. Recorded times of receipt of EOIs[[16]](#footnote-16) | |  |  |  | | --- | --- | --- | | **Consultant** | **Date** | **Time** | |  |  |  | |  |  |  | |  |  |  | |  |  |  | |
| 2.11 Number of EOIs received | Click or tap to enter a date.  Time:\_\_\_\_\_\_\_\_\_\_\_\_\_\_  Click or tap to enter a date.  Time:\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 2.12 Date EER-ICS submitted to CDB for NO, if required | Click or tap to enter a date. |

## Form IIB. Preliminary Examination Summary

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Consultant’s names | *[Insert name of Consultant 1][[17]](#footnote-17)* | *[Insert name of*  *Consultant 2]* | *[Insert name of Consultant 3]* | *[Insert name of*  *Consultant 4]* |
| 1. Governance[[18]](#footnote-18) | Y/N | Y/N | Y/N | Y/N |
| 1. Eligibility[[19]](#footnote-19) | Y/N | Y/N | Y/N | Y/N |
| 1. *Meets/does not meet Pass/Fail criteria[[20]](#footnote-20)* 2. *Qualifications* 3. *Technical Experience* 4. *Other experiences* 5. *Availability* | Y/N  Y/N  Y/N  Y/N | Y/N  Y/N  Y/N  Y/N | Y/N  Y/N  Y/N  Y/N | Y/N  Y/N  Y/N  Y/N |
| Proceed to detailed evaluation | Y/N | Y/N | Y/N | Y/N |

*Add any comments here or on separate sheets that support the decisions above.*

**Form IIC - Technical Scores/Ranking[[21]](#footnote-21)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Consultants’ names |  | *[Insert name of Consultant 1]* | *[Insert name of Consultant 2]* | *[Insert name of Consultant 3]* | *[Insert name of Consultant 4]* |
| Criteria[[22]](#footnote-22) | Maximum  Score | Scores[[23]](#footnote-23) | Scores | Scores | Scores |
| 1. *Qualifications* |  |  |  |  |  |
| 1. *Technical Experience* |  |  |  |  |  |
| 1. *Other experiences* |  |  |  |  |  |
| 1. *Availability* |  |  |  |  |  |
| **Total score** |  |  |  |  |  |
| **Rank[[24]](#footnote-24)** |  |  |  |  |  |

## Form IID - Evaluations for each Individual Consultant

Consultant’s name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | Evaluators | | | | |  |
| Criteria/Sub-Criteria | Maximum Scores | 1 | 2 | 3 | 4 | 5 | Average Scores |
| ***1. Qualifications*** |  |  |  |  |  |  |  |
| * *Academic[[25]](#footnote-25)* |  |  |  |  |  |  |  |
| * *Professional* |  |  |  |  |  |  |  |
| * *Licenses, etc.* |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| ***2. Technical Experience*** |  |  |  |  |  |  |  |
| * *Direct to the assignment* |  |  |  |  |  |  |  |
| * *Duration/amount in years* |  |  |  |  |  |  |  |
| * *Level of contribution [lead/team member/etc.]* |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| ***3. Other experiences*** |  |  |  |  |  |  |  |
| * *Local conditions/language* |  |  |  |  |  |  |  |
| * *Administrative systems* |  |  |  |  |  |  |  |
| * *Knowledge of the organisation of the assignment* |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| ***4. Availability*** |  |  |  |  |  |  |  |
| * Time available |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| **Total** | **100** |  |  |  |  |  |  |
|  | | | | | | | |

## Form IIE Individual Evaluations

Consultant’s Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Criteria/Sub-Criteria[[26]](#footnote-26) | Maximum Scores | General  score | Relevant to the consulting assignment | Total Marks  (100) |
| ***1. Qualifications*** |  | 30%[[27]](#footnote-27) | 70% |  |
| * *Academic* |  |  |  |  |
| * *Professional* |  |  |  |  |
| * *Licenses, etc.* |  |  |  |  |
|  |  |  |  |  |
| ***2. Technical Experience*** |  | NIL | 100% |  |
| * *Direct to the assignment* |  |  |  |  |
| * *Duration/amount in years* |  |  |  |  |
| * *Level of contribution [lead/team member/etc.]* |  |  |  |  |
|  |  |  |  |  |
| ***3. Other experiences*** |  | NIL | 100% |  |
| * *Local conditions/language* |  |  |  |  |
| * *Administrative systems* |  |  |  |  |
| * *Knowledge of the organisation of the assignment* |  |  |  |  |
|  |  |  |  |  |
| ***4. Availability*** |  | NIL | 100% |  |
| * *Time available* |  |  |  |  |
|  |  |  |  |  |
| **Total** |  |  |  |  |

*Add comments here to support the criteria level score and identify the strengths and weaknesses of the EOI.*

Name of Evaluator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_

**ANNEX I - CONTRACT AWARD**

1. *Upon the Recipient’s internal approval to award, consistent with EER-ICS[[28]](#footnote-28), and NO by CDB where required, Contract award can proceed with the selected Consultant as follows:*
2. *Informing the Consultant of the negotiating process, including if contract agreement cannot be reached, the Recipient may open negotiations with the next highest scored Consultant or restart the REOI process, or develop alternatives in the case of DS.*
3. *To aid negotiations, ask the Consultant to prepare a concise methodology, a workplan (level of effort and schedule of deliverables), and costs.*
4. *Conducting negotiations as required and concluding a Contract (as detailed in item 4 below) or discontinuing the process as noted in item a) above.*
5. *The results of the above should be summarized in this Annex and reflected in the Contract and where CDB’s NO is required for Contract award, or steps described in a) where negotiations were not successful, submitted with the second “Letter of Transmittal” in EER-ICS. For documents for DS, refer to the footnote.*
6. *Where the award is subject to a post review, the completed Annex 1, Contract, and EER-ICS will form part of the documentation retained for CDB’s possible examination.*
7. *The intent of this Annex is not to duplicate information included in the proposed Contract [to be attached here] with the Consultant. However, the following should be included in the Annex:*
8. Name of Consultant:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
9. Method of Selection: Open: Y/N; Limited: Y/N; Direct Selection: Y/N.
10. Evaluation results: *[insert Table 1 from EER-ICS or for DS Forms IIA and B].*
11. Contract type: Time based Y/N; Lump Sum Y/N; Other Y/N. Price adjustment Y/N.
12. Budget amount:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
13. Attached Contract that must address key terms and conditions *[[29]](#footnote-29)*:
14. *Where material changes have been made to the TOR approved by CDB, these details should be described here. Then upon internal approvals of the Annex and CDB NO, where required, a Contract award can be made.*

*In situations where contract negotiations prove unsuccessful the relevant information should be detailed here, and a proposal made to open negotiations with the next highest scored Consultant [refer to Table 1 EER-ICS].*

*If CDB prior NO is required, then this must be obtained via this Annex that includes the details of the failed negotiations. CDB’s NO must be received before the Recipient formally ends negotiations with the first Consultant and opens such with the next Consultant. Once approvals/NO are obtained then, the Recipient should proceed in accordance with Procedures, Paragraphs 6.85 and 8.41, and open negotiations with the next highest scored Consultant. The results of negotiations shall be reflected in a new Annex I and, together with the proposed Contract, follow the same procedure/approvals as outlined here for the first selected Consultant.*

1. Submitted for CDB NO, where required – *Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*
2. CDB NO received – *Date:*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. *“Recipient” refers here to the entity which signed the Financing Agreement with CDB who may be represented by an implementing or executing agency, and which may also be called the “Client”.*  [↑](#footnote-ref-1)
2. *The term Consultant(s) in this document refers to individuals. Sole proprietorships shall be deemed as equivalent to an individual consultant. In accordance with Procedures Paragraph 8.36, “When qualified, Individual Consultants are unavailable or cannot sign a Contract directly with a Recipient due to a prior agreement with a Firm, the Recipient may invite Firms to provide a qualified individual Consultant for the assignment”.*  [↑](#footnote-ref-2)
3. https://www.caribank.org/sites/default/files/publication-resources/220411%20Guidance%20Note%20for%20Evaluation%20of%20Consulting%20Services%20.pdf [↑](#footnote-ref-3)
4. *The CDB maintains a register of consultants that Recipients can access through contacting CDB.* [↑](#footnote-ref-4)
5. *For DS, CDB’s NO of the selection of the individual Consultant to enter contract negotiations with is obtained via the NO of the Procurement Plan detailing the requisite information. Consequently, the Recipient will bypass the first step of seeking NO for the EOI evaluation results and will open negotiations with the selected Consultant, in accordance with Annex I attached here. Nevertheless, Annex I should be accompanied by relevant information from Section I and Forms IIA to IIE, applicable to confirming or clarifying key contract technical and financial terms.*  [↑](#footnote-ref-5)
6. *See Paragraphs 5.04 -5.07 and 8.36, 8.39, 8.40 and 8.42 of the Procedures.* [↑](#footnote-ref-6)
7. *For DS only the second Letter is required and shall include noted information in Section I and Forms IIA*

   *through E plus Annex I and the Contract.* [↑](#footnote-ref-7)
8. *For DS refer Procedures Paragraphs 8.39(c) and 8.42. CDB’s prior NO is required to contract using the Direct Selection Method and this prior NO is obtained via the Procurement Plan – refer Procedures, Paragraph 8.43.*  [↑](#footnote-ref-8)
9. *Refer Procedures Paragraph 8.39(a) requiring an explanation and CDB NO where less than three (3) qualified Consultants were obtained.*  [↑](#footnote-ref-9)
10. *This would include the results of the preliminary evaluation [Form IIB].* [↑](#footnote-ref-10)
11. *This is required should satisfactory negotiations not be achieved with highest scored consultant – refer Procedures, Paragraphs 6.85 and 8.41*  [↑](#footnote-ref-11)
12. *Where a group or team was used to conduct the review of a DS evaluation, then this form can be used.* [↑](#footnote-ref-12)
13. *For DS only applicable sections to be completed i.e., 2.1 through 2.4 and 2.7.* [↑](#footnote-ref-13)
14. "Where the answer is "no" the response to points below referring to CDB's NO should be "not applicable." [↑](#footnote-ref-14)
15. *A GPN is not required for DS or where geographic range of openly advertised REOIs is limited to the national market. REOIs openly advertised regionally or internationally should be captured in the GPN.* [↑](#footnote-ref-15)
16. *Refer Procedures, Paragraphs 8.03 and 8.04, while related to EOIs from Firms the provisions can apply to EOIs from individual Consultants. Late EOIs can be accepted unless the evaluation is complete.* [↑](#footnote-ref-16)
17. *If an Individual Consultant is only available from a firm the* ***evaluation is made of the individual, not the firm*** *– refer Procedures, Paragraphs 8.36 and 8.37.* [↑](#footnote-ref-17)
18. *Refer Procedures Section 5 Paragraphs 5.17 – 5.20, 5.25-27 and 8.41.*  [↑](#footnote-ref-18)
19. *Refer Procedures Section 4*  [↑](#footnote-ref-19)
20. *These are examples only and criteria and sub-criteria applicable to the Consulting Services must be developed by the Recipient. Preliminary examination of EOIs determines if the Consultants meet the Recipient’s thresholds for each criterion. Those EOIs that qualify go to the evaluation stage [Form IIC] where the applicable criteria are scored.* ***For DS it would be expected that this examination would have been conducted at the time of the selection of the Consultant. Nevertheless, Recipients are encouraged to recheck, as appropriate, during contract negotiations.****.*  [↑](#footnote-ref-20)
21. *For DS, the scoring in Forms IIC through IIE is not required. However, it may be necessary to assess an EOI submitted by the sole Consultant against appropriate criteria for points of negotiation or clarification.* [↑](#footnote-ref-21)
22. *Examples only for criteria – Recipients to develop criteria and sub criteria suitable to the specific consultancy and reflect in the REOI.* [↑](#footnote-ref-22)
23. *Take Average Scores from Form IID* [↑](#footnote-ref-23)
24. *See Procedures, Paragraph 8.38 that further defines the evaluation process of Individual Consultants’ EOIs.* [↑](#footnote-ref-24)
25. *Criteria and sub criteria, maximum of three. Those shown here are examples only. Recipients shall develop such criteria and sub criteria that are appropriate to the specific consultancy, and which reflect the requirements stated in the REOI to ensure that only factors that should be addressed by the EOIs of the Consultants are considered.* [↑](#footnote-ref-25)
26. *Criteria and sub criteria, maximum of three; those shown here are examples only. Recipients shall develop such that are appropriate to the specific consultancy and reflect in the REOI to ensure that consultant’s EOIs address.* [↑](#footnote-ref-26)
27. *Example rating only. Pass/Fail criteria should not be addressed here but in Form IIB.*  [↑](#footnote-ref-27)
28. *For DS see Letter of Transmittal, Section I and Forms IIA to IIE of what accompanies this Annex.* [↑](#footnote-ref-28)
29. *Unless otherwise agreed with CDB, the Recipient should use its standard Contract (lump-sum/time-based) where CDB has accepted such standard, or another form acceptable to CDB provided key terms and conditions are fully addressed, as applicable.*  [↑](#footnote-ref-29)