

Notice of Inviting Expression of Interest through Internet

19 September 2018

Agreement No. CE 48/2018 (HY) Improvement of Lion Rock Tunnel – Investigation

Interested consultants are invited to express interest in undertaking the above consultancy.

2. Consultants should fulfil and declare that they have met the following longlisting criteria for their submissions to be considered further:

The consultants shall have at least the prescribed number of professional staff in Hong Kong in the following service categories:

| Service Category | Minimum number of professional staff in Hong Kong |
|---|---|
| S1 - General Civil Engineering | 4 |
| S2 - Geotechnical Engineering/Geology | 2 |
| S4 - Water Supply, Hydraulics and Hydrology | 2 |
| S5 - Structural Engineering | 1 |
| S7 - Tunnel Engineering | 1 |
| S8 - Traffic Engineering/Transportation | 2 |
| S9 - Highway Engineering/Bridges | 2 |
| S11 - Environmental Studies | 1 |
| S14 - Project Management | 2 |

3. Interested consultants may obtain an Electronic Invitation Package (“EIP”) in the context of Works Bureau Technical Circular (“WTBC”) No. 17/2001 for the consultancy by contacting the following officers of Highways Department:

| <u>Name</u> | <u>Post</u> | <u>Telephone No.</u> | <u>Fax. No.</u> |
|-------------------|-----------------|----------------------|-----------------|
| Mr. Bond C P CHOW | Senior Engineer | 2762 3508 | 2714 5289 |
| Mr. W K LO | Engineer | 2762 3570 | 2714 5289 |

4. The scope of this assignment, which is expected to commence in February 2019, is indicated in the attached copy of the draft Brief given in **Annex A** of the EIP. The EIP contains the following documents:

- (a) Draft Brief (**Annex A** of EIP);
- (b) Draft Schedule of Fees (**Annex B** of EIP);
- (c) Requirements for Submission of Proposal in Electronic Format (**Annex C** of EIP);

- (d) Licence Conditions for Electronic Invitation Packages (**Annex D** of EIP);
- (e) Assessment Criteria and Weightings and Composition of Assessment Panel (**Annex E** of EIP);
- (f) Initial List of Qualified Consultants Approached for this assignment (**Annex F** of EIP);
- (g) Requirements of ISO 9000 Certification (**Annex G** of EIP); and
- (h) Reply Slip for Acknowledgement of Receipt of Invitation Letter.

5. If you are interested in this assignment, please reply by hand to Project Manager / Major Works, Highways Department for the attention of Chief Engineer 3/Major Works, at **3/F, Homantin Government Offices, 88 Chung Hau Street, Homantin, Kowloon** before **12:00 noon on 5 October 2018 (Friday)** by submitting **eight** sets of documents containing the following information in a maximum of **six** A4 pages with a minimum font size of 12 in “Times New Roman” font type:-

- (a) your appreciation of the key requirements and constraints/risks;
- (b) your approach and strategy to meet the requirements of the assignment;
- (c) previous relevant experience both in Hong Kong and elsewhere;
- (d) an indication of key staff likely to be employed for the assignment (together with attachments showing their curriculum vitae and an organization chart of the study/project team as necessary);
- (e) an indication of sub-consultants to be employed (which should include all individual academic institutions, specialists, advisors, experts and the like proposed to be externally engaged to provide the Services under the Agreement, and all references to “sub-consultants” in this notice should be construed accordingly); and
- (f) your comments on the draft Brief given in **Annex A** of the EIP and the draft Schedule of Fees given in **Annex B** of the EIP.

6. Please note that no attachments, except attachments for the curriculum vitae of the key staff likely to be employed on the consultancy (**limited to 2 pages in A4 size per staff**) and the organization chart of the study/project team (**limited to 1 page in A3 size**) as mentioned above, should be included in your submission. The Expression of Interest (EOI) submission including the attachments shall be inexpensively bound and printed on both sides. **Late submissions or submissions containing pricing information shall not be considered.** For exceedance of the specified number of pages of EOI submission and attachments or inclusion of attachments other than curriculum vitae and organization chart, 1 mark per page shall be deducted from the overall score and all these exceeded pages shall be discarded prior to the assessment. Also, 1 mark shall be deducted from the overall score for non-compliance with the specified format such as the page size, font size, or double-sided printing.

7. Your reply shall be submitted in sealed envelope(s) clearly indicating your company’s name and the assignment reference (i.e. Agreement No. CE 48/2018 (HY)) and marked “Restricted (Contract)”.

8. You may make your submission in either electronic format or hard copy format. If part of the submissions is made in both electronic and hard copy formats, the electronic format shall prevail over the corresponding hard copy format. If you elect to make your submission in electronic format, the documents for your proposal shall be prepared and submitted in accordance with **Annex C** of the EIP - Requirements for Submission of Proposal in Electronic Format. All proposals, whether submitted in electronic format or hard copy format, will be evaluated on an equal basis. Notwithstanding paragraph no. 16 in WBTC No. 31/2001, the EOI in either format shall be submitted directly to this Office at the address given in this notice.

9. The electronic documents for preparing your submission are listed in Schedule 2 to the Licence Conditions for the EIP (**Annex D** of the EIP). You will be deemed to have accepted these conditions if you use the documents listed in Schedule 2.

10. If a black rainstorm warning signal or tropical cyclone signal No. 8 or above is hoisted between 9:00 am and 12:00 noon on the above deadline, the deadline will be extended to 12:00 noon on the following working day. Saturday is not counted as a working day.

11. The assessment criteria and weightings for marking the EOI submitted by consultants and the composition of the Assessment Panel are given in **Annex E** of the EIP.

12. If you are a limited liability company, then you are required to submit documentary proof that the majority of the voting power in meetings of the company shall be held by directors who are consulting engineers (or equivalent professionals of associated professions).

13. Your attention is drawn to Environment, Transport and Works Bureau Technical Circular (Works) (“ETWB TCW”) No. 18/2005 regarding the requirements on the avoidance of conflicts of interest and debarring.

14. You are also required to declare any involvement or interest if it is considered by you to be in real or apparent conflict with the duties to be performed for this consultancy. Any involvement or interest declared would be carefully considered but would not automatically bar you from being further considered in the selection process.

15. For information, the Assessment Panel has agreed that for this assignment, the past performance of sub-consultants will be assessed in the EOI stage and the Technical and Fee Proposal stage.

16. The initial list of qualified consultants approached for this assignment is given in **Annex F** of the EIP for your information. Based on the response received, normally four suitable firms will be shortlisted for submission of technical and fee proposals. However, you should note that the Government is not bound to invite technical and fee proposals from any of these consultants expressing an interest.

17. No consultants are permitted to submit more than one bid for the same agreement. For the avoidance of doubt, consultants who submit a bid in their own name and a bid in the name of an un-incorporated joint venture/partnership (with the consultants concerned as a participant/partner) will be considered as having submitted two bids. Consultants (these must be consulting firms to be eligible for being considered for this consultant selection exercise) having linkages to each other, e.g. subsidiaries, parent or sister companies are not allowed to bid on the same agreement. Only one firm among such consultants, as the case may be, should be allowed to submit EOIF for a consultancy agreement. You are thus required to declare any linkage with other consultants on the above list. The existence of a holding-subsiary relationship shall be determined in accordance with the provisions in Sections 13 to 15 of the Companies Ordinance (Cap 622), "Sister companies" shall mean all companies which are subsidiaries of or otherwise belonging to the same holding company. Consultants having linkages should sort out among themselves before submitting any EOIF.

18. For the purpose of this "no linkage" requirement, an academic institution and any separate entities/companies formed by the same academic institution or any of its current staff, or any two of such entities/companies (whether formed by the same staff or not), shall be regarded as "linked". An academic institution, and all such entities/companies formed by it or any of its current staff (whether by the same staff or not), shall be allowed to submit only one EOI for the same consultancy agreement. You are also required to declare any such linkage with other consultants on the above list, if applicable. An entity/company is regarded as formed by the academic institution or its staff if the latter is a partner/shareholder or a director of the former, whether or not the latter is a founding partner/subscriber when the entity/company was formed. However, the "no linkage" rule does not apply to "linked" consulting firms (including academic institutions) who bid as sub-consultants only for any agreement.

19. Failure to observe the requirements stated in paragraphs 17 and 18 shall render all related EOI submitted null and void and any such submission shall not be considered.

20. The consultants appointed in the early stage consultancy is a potential bidder, but all the information which was made available to that consultants and all the advice which the consultants have provided and which is relevant to the procurement of this consultancy will be equally made available to all potential consultants upon request.

21. The requirements for ISO 9000 certification are set out at **Annex G** to this notice.

22. Please note that where the consultants are non-resident corporation or, where the consultants are un-incorporated joint venture or partnership or sole proprietorship, any one of the participants or partners or the sole proprietor is a non-resident, the Government shall withhold a percentage equivalent to the prevailing Hong Kong Special Administrative Region (hereinafter referred to as Hong Kong) profits tax rate applicable to un-incorporated and incorporated business at the time the Services are rendered (the current rates being 15% for un-incorporated business and 16.5% for incorporated business for the year of assessment of 2017/2018) of any fee payable to the consultants, whether by way of lump sum, instalments or discounted payments, but exclusive of any reimbursement of expenses, if any, in respect of the Services performed/provided in Hong Kong for the settlement of Hong Kong profits tax chargeable on the fee. Any balance representing the excess of fees so withheld in the basis period of the year of assessment over the consultants' tax liability for that year will be returned to the consultants without interest within a reasonable time upon final determination and settlement of their tax liabilities.

23. Where the consultants are non-resident corporation or, where the consultants are un-incorporated joint venture or partnership or sole proprietorship, any one of the participants or partners or the sole proprietor is a non-resident, should they be awarded the consultancy, such data (including but not limited to their names, nature of engagement, consultancy period, consultancy fee, correspondence address (both local and overseas) and the amount of tax withheld) will be notified/provided to the Inland Revenue Department for tax assessment and collection purposes.

24. "Non-resident" means in the case of an individual, one who maintains a place of abode outside Hong Kong; and in the case of a corporation, one which is not incorporated in Hong Kong.

25. Consultants shall declare their resident status or the sole proprietor's resident status in their consultancy proposals. If the consultants are un-incorporated joint venture or partnership, the consultants must declare the resident status of each and every participant or partner thereof. A sample declaration letter is given in ETWB TCW No. 34/2004.

26. Your attention is also drawn to ETWB TCW No. 3/2005 regarding the novation of consultancy agreement. Consultants who have requested for novation of consultancy agreements pursuant to the provision in the circular would not be invited to bid for or be awarded any further consultancies. Similarly, bids submitted by consultants who engage such a consultant as a sub-consultant would not be considered.

27. For the avoidance of doubt, the following submissions shall not be counted against the limit of six A4 size pages as described in paragraph 5 above:

| Submissions to be returned to this Office | | Relevant paragraphs in this notice |
|--|--|---|
| (a) | Declaration of meeting of the longlisting criteria | 2 |
| (b) | Documentary proof in relation to voting power if you are a limited liability company | 12 |

| | | |
|-----|--|-----------|
| (c) | Declaration of any involvement or interest in real or apparent conflict with the duties to be performed for this consultancy | 14 |
| (d) | Declaration of any linkage with other consultants on the initial list of qualified consultants approached | 17 and 18 |
| (e) | Necessary documents to comply with the Requirement of ISO 9000 certification | 21 |
| (f) | Declaration of resident status | 25 |

28. Please note that documents of unsuccessful consulting firms will be destroyed three months after the date the Agreement has been awarded and signed.

29. Please note that this invitation is made before the necessary funds for the consultancy have been approved. The Government reserves the right to cancel this consultant selection exercise for not having the necessary funds approved or for any other reason, in which case you will accordingly be notified. It should be noted that the Government will not be responsible for the reimbursement of any cost incurred by you for the preparation of the submission.

END of NOTICE