



SELECTION OF CONSULTANT

REQUEST FOR PROPOSAL

RFP No: WCFCB/CS/10621/2020

**CONSULTANCY SERVICES FOR THE DESIGN AND SUPERVISION OF
THE RENOVATION WORKS AT THE TRADE FAIR AND SHOW
GROUND STANDS**

FOR

WORKERS' COMPENSATION FUND CONTROL BOARD

Issued on: SEPTEMBER 2020

TABLE OF CLAUSES

PART I.....	1
Section 2. Instructions to Consultants and Data Sheet	3
A. General Provisions	3
1. Definitions.....	3
2. Introduction.....	5
3. Conflict of Interest	5
4. Unfair Competitive Advantage	6
5. Corrupt and Fraudulent Practices.....	6
6. Eligibility	6
B. Preparation of Proposal	8
1. General Considerations	8
2. Cost of Preparation of Proposal	8
3. Language.....	8
4. Documents Comprising the Proposal.....	9
5. Only One Proposal	9
6. Proposal Validity	9
7. Extension of Validity Period.....	9
8. Clarification and Amendment of RFP	10
9. Preparation of Proposal – Specific Considerations.....	11
10. Technical Proposal Format and Content.....	11
11. Financial Proposal.....	12
C. Submission, Opening and Evaluation	12
12. Submission, Sealing, and Marking of Proposal	12
13. Confidentiality	14
14. Opening of Technical Proposal.....	14
15. Proposal Evaluation	14
16. Evaluation of Technical Proposal	15
17. Financial Proposal for QBS	15
18. Public Opening of Financial Proposal (for QCBS, FBS, and LCS methods).....	15
19. Correction of Errors	16
20. Taxes	16
21. Conversion to Single Currency	16
22. Combined Quality and Cost Evaluation	17
D. Negotiations and Award.....	18
23. Negotiations	18
24. Conclusion of Negotiations.....	19
25. Award of Contract.....	19
E. Data Sheet.....	20

Section 3. Technical Proposal – Standard Forms	27
1. Checklist of Required Forms	27
2. Form TECH-1	28
3. Form TECH-2	30
4. Form TECH-3	32
5. Form TECH-4	33
6. Form TECH-4	34
7. Form TECH-5	35
8. Form TECH-6	36
Section 4. Financial Proposal - Standard Forms	41
Section 5. Eligible Countries	51
Section 6. Bank Policy – Corrupt and Fraudulent Practices	53
Preface	71
I. Form of Contract	73
II. General Conditions of Contract	77
A. GENERAL PROVISIONS	77
2. Relationship between the Parties	78
3. Law Governing Contract	78
4. Language	78
5. Headings	78
6. Communications	78
7. Location	79
8. Authority of Member in Charge	79
9. Authorized Representatives	79
10. Corrupt and Fraudulent Practices	79
B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT	79
11. Effectiveness of Contract	79
12. Termination of Contract for Failure to Become Effective	80
13. Commencement of Services	80
14. Expiration of Contract	80
15. Entire Agreement	80
16. Modifications or Variations	80
17. Force Majeure	80
18. Suspension	81
19. Termination	82

C. OBLIGATIONS OF THE CONSULTANT	84
20. General	84
21. Conflict of Interests.....	85
22. Confidentiality	86
23. Liability of the Consultant	86
24. Insurance to be Taken out by the Consultant.....	86
25. Accounting, Inspection and Auditing	86
26. Reporting Obligations	87
27. Proprietary Rights of the Client in Reports and Records.....	87
28. Equipment, Vehicles and Materials	87
D. CONSULTANT’S EXPERTS AND SUB-CONSULTANTS	88
29. Description of Key Experts.....	88
30. Replacement of Key Experts	88
31. Removal of Experts or Sub-consultants.....	88
E. OBLIGATIONS OF THE CLIENT	88
32. Assistance and Exemptions.....	88
33. Access to Project Site.....	89
34. Change in the Applicable Law Related to Taxes and Duties	89
35. Services, Facilities and Property of the Client.....	90
36. Counterpart Personnel.....	90
37. Payment Obligation	90
F. PAYMENTS TO THE CONSULTANT.....	90
38. Contract Price.....	90
39. Taxes and Duties.....	90
40. Currency of Payment	90
41. Mode of Billing and Payment	91
42. Interest on Delayed Payments.....	92
G. FAIRNESS AND GOOD FAITH.....	92
43. Good Faith	92
H. SETTLEMENT OF DISPUTES	92
44. Amicable Settlement.....	92
45. Dispute Resolution.....	92

Attachment 1: Government’s Policy – Corrupt and Fraudulent Practices.....	93
III. Special Conditions of Contract	95
IV. Appendices.....	105
Appendix A – Terms of Reference	105
Appendix B - Key Experts.....	105
Appendix C – Breakdown of Contract Price	105
Appendix D - Form of Advance Payments Guarantee	109

PART I

Section 1. Letter of Invitation

RFP No: WCFCB/CS/10621/2020: CONSULTANCY SERVICES FOR THE DESIGN AND SUPERVISION OF THE RENOVATION WORKS AT THE TRADE FAIR AND LUSAKA SHOW GROUND STANDS

1. The WORKERS' COMPESATION FUND CONTROL BOARD (WCFCB) has allocated funds from the 2020 Budget and intends to apply the funds to eligible payments under the contract for which this Request for Proposals (RFP) is issued. Payments by WCFCB will be made only at the request of the Authorized Representative, and will be subject, in all respects, to the terms and conditions of the Contract.
2. WCFCB now invites proposals to provide the following consulting services (hereinafter called "Services"): **Request for proposals for design and supervision of the renovation works at the Trade Fair and Lusaka Show Ground Stands.**
3. This Request for Proposals (RFP) is open to all eligible **Local** Consultants.
4. Interested Consultants have to pay a non-refundable fee of **K500.00** cash or bank certified cheque as participation fee, proof to be submitted with the proposal.
5. It is not permissible to transfer this invitation to any other firm that has not eligibly obtained the solicitation document.
6. A firm will be selected under **Quality and Cost Based Selection** procedures and in a Full Technical Proposal (FTP) format as described in the solicitation document.
7. The Consultant should provide proof of establishment and legal registration of their business under the Laws of Zambia.
8. The RFP includes the following documents:
 - Section 1 -Letter of Invitation
 - Section 2 -Instructions to Consultants and Data Sheet
 - Section 3 -Full Technical Proposal (FTP) -Standard Forms
 - Section 4 -Financial Proposal -Standard Forms
 - Section 5 -Eligible Countries
 - Section 6 -Government's Policy -Corrupt and Fraudulent Practices
 - Section 7 -Terms of Reference
 - Section 8 -Standard Forms of Contract (Lump-Sum)
9. Further information may be obtained from the office of the Procurement & Supplies Manager, Workers' Compensation Fund Control Board, on the 4th floor, Compensation House, Corner Broadway and Moffatt Roads, Ndola.

10. The RFP in sealed envelopes, should be addressed to the Procurement & Supplies Manager Workers' Compensation Fund Control Board on the 4th floor, Compensation House, Corner Broadway and Moffatt Roads, P.O Box 71534, Ndola. However, electronic submission of Request for Proposals is not permitted.
11. The Request for Proposal (RFP) bound and clearly marked "**Request for proposals for design and supervision of the renovation works at the Trade Fair and Lusaka Show Ground Stands**" shall be deposited in the tender box situated at the reception, Compensation House in Ndola on or before Friday 30th October 2020 at 10:30 hours local time.
12. The Closing Date for the receipt of Request for Proposals is **Friday, 30th October 2020 at 10.30 hours** local time and any Request for Proposal received after the time and date stipulated above will not be accepted.
13. The Request for Proposals will be opened immediately thereafter in the presence of bidder's representatives who choose to attend.

HOWEVER TELEGRAPHIC AND/OR ELECTRONIC OFFERS WILL NOT BE ACCEPTED

Bidders should pay attention to the following

Item No.	Description of Item	Date
	Date of Publication of Tender	Tuesday 29th September 2020
1	Date and Time of commencement of issuing the Request for Proposal (RFP)	Wednesday 30th September 2020 at 10:00 hours
2	Date of Site Visit and Venue of Site Visit	Friday, 9th October 2020 at the Trade Fair stand in Ndola.
		Tuesday, 13th October 2020 at 10:00 hours at the show Ground stand in Lusaka
3	Last Date and Time for receipting of bids at WCFCB (Address as given above)	Friday 30th October at 10:30 hours in Ndola
4	Date and Time of opening of bids	Friday 30th October 2020 at 10:30 hours opening of bids is immediately after closing

Secretary – Procurement Committee
For Commissioner and Chief Executive Officer

Section 2. Instructions to Consultants and Data Sheet

A. General Provisions

1. Definitions

- (a) “Affiliate(s)” means an individual or an entity that directly or indirectly controls, is controlled by, or is under common control with the Consultant.
- (b) “Applicable Regulations” means the Public Procurement Regulations, Statutory Instrument N^o. 63 of 2011 governing the selection and Contract award process as set forth in this RFP.
- (c) “Applicable Law” means the Laws of Zambia and any other instruments having the force of law in Zambia as they may be issued and in force from time to time.
- (d) “Client” means the Procuring Entity or implementing agency that signs the Contract for the Services with the selected Consultant.
- (e) “Consultant” means a legally established professional consulting firm or an entity that may provide or provides the Services to the Client under the Contract.
- (f) “Contract” means a legally binding written agreement signed between the Client and the Consultant and includes all the attached documents listed in its Clause 1 (the General Conditions of Contract (GCC), the Special Conditions of Contract (SCC), and the Appendices).
- (g) “Data Sheet” means an integral part of the Instructions to Consultants (ITC) Section 2 that is used to reflect specific country and assignment conditions to supplement, but not to over-write, the provisions of the ITC.
- (h) “Day” means a calendar day.
- (i) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or Joint Venture member(s).
- (j) “Government” means the government of the Republic of Zambia, any Procuring Entity or the relevant approvals authority as defined in the Public Procurement Act of 2008.
- (k) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of

more than one Consultant where one member has the authority to conduct all business for and on behalf of any and all the members of the JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.

- (l) “Key Expert(s)” means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose CV is taken into account in the technical evaluation of the Consultant’s proposal.
- (m) “ITC” (this Section 2 of the RFP) means the Instructions to Consultants that provides the shortlisted Consultants with all information needed to prepare their Proposal.
- (n) “LOI” (this Section 1 of the RFP) means the Letter of Invitation being sent by the Client to the shortlisted Consultants.
- (o) “Non-Key Expert(s)” means an individual professional provided by the Consultant or its Sub-consultant and who is assigned to perform the Services or any part thereof under the Contract and whose CVs are not evaluated individually.
- (p) “Proposal” means the Technical Proposal and the Financial Proposal of the Consultant.
- (q) “RFP” means the Request for Proposal to be prepared by the Client for the selection of Consultants, based on the SRFP.
- (r) “SRFP” means the Standard Request for Proposal, which must be used by the Client as the basis for the preparation of the RFP.
- (s) “Services” means the work to be performed by the Consultant pursuant to the Contract.
- (t) “Sub-consultant” means an entity to whom the Consultant intends to subcontract any part of the Services while remaining responsible to the Client during the performance of the Contract.
- (u) “TORs” (this Section 7 of the RFP) means the Terms of Reference that explain the objectives, scope of work, activities, and tasks to be performed, respective

responsibilities of the Client and the Consultant, and expected results and deliverables of the assignment.

2. Introduction

2.1 The Client named in the **Data Sheet** intends to select a Consultant from those listed in the Letter of Invitation, in accordance with the method of selection specified in the **Data Sheet**.

2.2 The shortlisted Consultants are invited to submit a Technical Proposal and a Financial Proposal, or a Technical Proposal only, as specified in the **Data Sheet**, for consulting services required for the assignment named in the **Data Sheet**. The Proposal will be the basis for negotiating and ultimately signing the Contract with the selected Consultant.

2.3 The Consultants should familiarize themselves with the local conditions and take them into account in preparing their Proposal, including attending a pre-proposal conference if one is specified in the **Data Sheet**. Attending any such pre-proposal conference is optional and is at the Consultants' expense.

2.4 The Client will timely provide, at no cost to the Consultants, the inputs, relevant project data, and reports required for the preparation of the Consultant's Proposal as specified in the **Data Sheet**.

3. Conflict of Interest

3.1 The Consultant is required to provide professional, objective, and impartial advice, at all times holding the Client's interest's paramount, strictly avoiding conflicts with other assignments or its own corporate interests, and acting without any consideration for future work.

3.2 The Consultant has an obligation to disclose to the Client any situation of actual or potential conflict that impacts its capacity to serve the best interest of its Client. Failure to disclose such situations may lead to the disqualification of the Consultant or the termination of its Contract and/or sanctions by ZPPA.

3.2.1 Without limitation on the generality of the foregoing, and unless stated otherwise in the **Data Sheet**, the Consultant shall not be hired under the circumstances set forth below:

a. Conflicting activities

- (i) Conflict between consulting activities and procurement of goods, works or non-consulting services: a firm that has been engaged by the Client to provide goods, works, or non-consulting services for a project shall be disqualified from providing consulting services resulting from or directly related to those goods, works, or non-

consulting services. Conversely, a firm hired to provide consulting services for the preparation or implementation of a project shall be disqualified from subsequently providing goods or works or non-consulting services resulting from or directly related to the consulting services for such preparation or implementation.

b. Conflicting assignments

- (ii) Conflict among consulting assignments: a Consultant (including its Experts and Sub-consultants) or any of its Affiliates shall not be hired for any assignment that, by its nature, may be in conflict with another assignment of the Consultant for the same or for another Client.

c. Conflicting relationships

- (iii) Relationship with the Client's staff: a Consultant that has a close business or family relationship with a professional staff of the Procuring Entity (or of the Client, or of implementing agency, or of a recipient of a part of the Government's financing) who are directly involved in any part of (i) the preparation of the Terms of Reference for the assignment, (ii) the selection process for the Contract, or (iii) the supervision of the Contract, may not be awarded a Contract, unless the conflict stemming from this relationship has been resolved in a manner acceptable to the Government throughout the selection process and the execution of the Contract.

4. Unfair Competitive Advantage

4.1 Fairness and transparency in the selection process require that the Consultants or their Affiliates competing for a specific assignment do not derive a competitive advantage from having provided consulting services related to the assignment in question. To that end, the Client shall indicate in the **Data Sheet** and make available to all shortlisted Consultants together with this RFP all information that would in that respect give such Consultant any unfair competitive advantage over competing Consultants.

5. Corrupt and Fraudulent Practices

5.1 The Government requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in Section 6.

5.2 In further pursuance of this policy, Consultant shall permit and shall cause its agents, Experts, Sub-consultants, sub-contractors, services providers, or suppliers to permit the Government to inspect all accounts, records, and other documents relating to the submission of the Proposal and contract performance (in case of an award), and to have them audited by auditors appointed by the Government.

6. Eligibility

6.1 The Government permits consultants (individuals and firms, including Joint Ventures and their individual members) from all

countries to offer consulting services for Government-financed projects.

6.2 Furthermore, it is the Consultant's responsibility to ensure that its Experts, joint venture members, Sub-consultants, agents (declared or not), sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by the Government.

6.3 As an exception to the foregoing Clauses 6.1 and 6.2 above:

a. Sanctions

6.3.1 A firm or an individual sanctioned by ZPPA in accordance with Sections *sixty-five*, *sixty-six* and *sixty-seven* of the Public Procurement Act of 2008 and regulations 162 to 167 of the Public Procurement Regulations of 2011, shall be ineligible to be awarded a Government-financed contract, or to benefit from a Government-financed contract, financially or otherwise, during such period of time as ZPPA shall determine. The list of debarred firms and individuals is available at the electronic address specified in the **Data Sheet**.

b. Prohibitions

6.3.2 Firms and individuals of a country or goods manufactured in a country may be ineligible if so indicated in Section 5 (Eligible Countries) and:

- (a) as a matter of law or official regulations, the Government prohibits commercial relations with that country, provided that Cooperating Partners involved are satisfied that such exclusion does not preclude effective competition for the provision of Services required; or
- (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Government prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

c. Restrictions for Government-owned Enterprises

6.3.3 A statutory corporation or body or company in which Government has a majority or controlling interest shall be eligible only if they meet the provisions of Section 34 of the Public Procurement Act of 2008.

To establish eligibility, the government-owned enterprise or institution should provide all relevant documents (including its charter) sufficient to demonstrate that it meets the

provisions of Section 34(2) of the Public Procurement Act of 2008.

d. Restrictions for public employees

6.3.4 Government officials and civil servants of Zambia are not eligible to be included as Experts in the Consultant's Proposal unless such engagement does not conflict with any employment or other laws, regulations, or policies of Zambia, and they:

(i) are on leave of absence without pay, or have resigned or retired;

(ii) are not being hired by the same agency they were working for before going on leave of absence without pay, resigning, or retiring

(in case of resignation or retirement, for a period of at least 6 (six) months, or the period established by statutory provisions applying to civil servants or government employees in Zambia, whichever is longer. Experts who are employed by the government-owned universities, educational or research institutions are not eligible unless they have been full time employees of their institutions for a year or more prior to being included in Consultant's Proposal.; and

(iii) their hiring would not create a conflict of interest.

B. Preparation of Proposal

1. General Considerations

1.1 In preparing the Proposal, the Consultant is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.

2. Cost of Preparation of Proposal

2.1 The Consultant shall bear all costs associated with the preparation and submission of its Proposal, and the Client shall not be responsible or liable for those costs, regardless of the conduct or outcome of the selection process. The Client is not bound to accept any proposal, and reserves the right to annul the selection process at any time prior to Contract award, without thereby incurring any liability to the Consultant.

3. Language

3.1 The Proposal, as well as all correspondence and documents relating to the Proposal exchanged between the Consultant and the Client, shall be written in **English**.

- 4. Documents Comprising the Proposal**
 - 4.1 The Proposal shall comprise the documents and forms listed in the **Data Sheet**.
 - 4.2 If specified in the **Data Sheet**, the Consultant shall include a statement of an undertaking of the Consultant to observe, in competing for and executing a contract, the Client country's laws against fraud and corruption (including bribery).
 - 4.3 The Consultant shall furnish information on commissions, gratuities, and fees, if any, paid or to be paid to agents or any other party relating to this Proposal and, if awarded, Contract execution, as requested in the Financial Proposal submission form (Section 4).
- 5. Only One Proposal**
 - 5.1 The Consultant (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture in another Proposal. If a Consultant, including any Joint Venture member, submits or participates in more than one proposal, all such proposal shall be disqualified and rejected. This does not, however, preclude a Sub-consultant, or the Consultant's staff from participating as Key Experts and Non-Key Experts in more than one Proposal when circumstances justify and if stated in the **Data Sheet**.
- 6. Proposal Validity**
 - 6.1 **The Data Sheet** indicates the period during which the Consultant's Proposal must remain valid after the Proposal submission deadline.
 - 6.2 During this period, the Consultant shall maintain its original Proposal without any change, including the availability of the Key Experts, the proposed rates and the total price.
 - 6.3 If it is established that any Key Expert nominated in the Consultant's Proposal was not available at the time of Proposal submission or was included in the Proposal without his/her confirmation, such Proposal shall be disqualified and rejected for further evaluation, and may be subject to sanctions in accordance with Clause 5 of this ITC.
- 7. Extension of Validity Period**
 - 7.1 The Client will make its best effort to complete the negotiations within the proposal's validity period. However, should the need arise, the Client may request, in writing, all Consultants who submitted Proposal prior to the submission deadline to extend the Proposal' validity.
 - 7.2 If the Consultant agrees to extend the validity of its Proposal, it shall be done without any change in the original

Proposal and with the confirmation of the availability of the Key Experts.

7.3 The Consultant has the right to refuse to extend the validity of its Proposal in which case such Proposal will not be further evaluated.

b. Substitution of Key Experts at Validity Extension

7.4 If any of the Key Experts become unavailable for the extended validity period, the Consultant shall provide a written adequate justification and evidence satisfactory to the Client together with the substitution request. In such case, a replacement Key Expert shall have equal or better qualifications and experience than those of the originally proposed Key Expert. The technical evaluation score, however, will remain to be based on the evaluation of the CV of the original Key Expert.

7.5 If the Consultant fails to provide a replacement Key Expert with equal or better qualifications, or if the provided reasons for the replacement or justification are unacceptable to the Client, such Proposal will be rejected.

c. Sub-Contracting

7.6 The Consultant shall not subcontract the whole of the Services.

8. Clarification and Amendment of RFP

8.1 The Consultant may request a clarification of any part of the RFP during the period indicated in the **Data Sheet** before the Proposal' submission deadline. Any request for clarification must be sent in writing, or by standard electronic means, to the Client's address indicated in the **Data Sheet**. The Client will respond in writing, or by standard electronic means, and will send written copies of the response (including an explanation of the query but without identifying its source) to all shortlisted Consultants. Should the Client deem it necessary to amend the RFP as a result of a clarification, it shall do so following the procedure described below:

8.1.1 At any time before the proposal submission deadline, the Client may amend the RFP by issuing an amendment in writing or by standard electronic means. The amendment shall be sent to all shortlisted Consultants and will be binding on them. The shortlisted Consultants shall acknowledge receipt of all amendments in writing.

8.1.2 If the amendment is substantial, the Client may extend the proposal submission deadline to give the shortlisted Consultants reasonable time to take an amendment into account in their Proposal.

8.2 The Consultant may submit a modified Proposal or a modification to any part of it at any time prior to the proposal submission deadline. No modifications to the Technical or Financial Proposal shall be accepted after the deadline.

9. Preparation of Proposal – Specific Considerations

9.1 While preparing the Proposal, the Consultant must give particular attention to the following:

9.1.1 If a shortlisted Consultant considers that it may enhance its expertise for the assignment by associating with other consultants in the form of a Joint Venture or as Sub-consultants, it may do so with either (a) non-shortlisted Consultant(s), or (b) shortlisted Consultants if permitted in the **Data Sheet**. In all such cases a shortlisted Consultant must obtain the written approval of the Client prior to the submission of the Proposal. When associating with non-shortlisted firms in the form of a joint venture or a sub-consultancy, the shortlisted Consultant shall be a lead member. If shortlisted Consultants associate with each other, any of them can be a lead member.

9.1.2 The Client may indicate in the **Data Sheet** the estimated Key Experts' time input (expressed in person-month) or the Client's estimated total cost of the assignment, but not both. This estimate is indicative and the Proposal shall be based on the Consultant's own estimates for the same.

9.1.3 If stated in the **Data Sheet**, the Consultant shall include in its Proposal at least the same time input (in the same unit as indicated in the **Data Sheet**) of Key Experts, failing which the Financial Proposal will be adjusted for the purpose of comparison of proposal and decision for award in accordance with the procedure in the **Data Sheet**.

9.1.4 For assignments under the Fixed-Budget selection method, the estimated Key Experts' time input is not disclosed. Total available budget, with an indication whether it is inclusive or exclusive of taxes, is given in the **Data Sheet**, and the Financial Proposal shall not exceed this budget.

10. Technical Proposal Format and Content

10.1 The Technical Proposal shall not include any financial information. A Technical Proposal containing material financial information shall be declared non-responsive.

10.1.1 Consultant shall not propose alternative Key Experts. Only one CV shall be submitted for each Key Expert position. Failure to comply with this requirement will make the Proposal non-responsive.

10.2 Depending on the nature of the assignment, the Consultant is required to submit a Full Technical Proposal (FTP), or a Simplified Technical Proposal (STP) as indicated in the **Data Sheet** and using the Standard Forms provided in Section 3 of the RFP.

11. Financial Proposal

11.1 The Financial Proposal shall be prepared using the Standard Forms provided in Section 4 of the RFP. It shall list all costs associated with the assignment, including (a) remuneration for Key Experts and Non-Key Experts, (b) reimbursable expenses indicated in the **Data Sheet**.

a. Price Adjustment

11.2 For assignments with a duration exceeding 18 months, a price adjustment provision for foreign and/or local inflation for remuneration rates applies if so stated in the **Data Sheet**.

b. Taxes

11.3 The Consultant and its Sub-consultants and Experts are responsible for meeting all tax liabilities arising out of the Contract unless stated otherwise in the **Data Sheet**. Information on taxes in Zambia is provided in the **Data Sheet**.

c. Currency of Proposal

11.4 The Consultant may express the price for its Services in the currency or currencies as stated in the **Data Sheet**. If indicated in the **Data Sheet**, the portion of the price representing local cost shall be stated in the national currency.

d. Currency of Payment

11.5 Payment under the Contract shall be made in the currency or currencies in which the payment is requested in the Proposal.

C. Submission, Opening and Evaluation

12. Submission, Sealing, and Marking of Proposal

12.1 The Consultant shall submit a signed and complete Proposal comprising the documents and forms in accordance with Clause 10 (Documents Comprising Proposal). The submission can be done by mail or by hand. If specified in the **Data Sheet**, the Consultant has no option of submitting its Proposal electronically.

12.2 An authorized representative of the Consultant shall sign the original submission letters in the required format for both the Technical Proposal and, if applicable, the Financial Proposal and shall initial all pages of both. The authorization shall be in the form of a written power of attorney attached to the Technical Proposal.

12.2.1 A Proposal submitted by a Joint Venture shall be signed by all members so as to be legally binding on all members, or by an authorized representative who has a

written power of attorney signed by each member's authorized representative.

12.3 Any modifications, revisions, interlineations, erasures, or overwriting shall be valid only if they are signed or initialed by the person signing the Proposal.

12.4 The signed Proposal shall be marked "ORIGINAL", and its copies marked "COPY" as appropriate. The number of copies is indicated in the **Data Sheet**. All copies shall be made from the signed original. If there are discrepancies between the original and the copies, the original shall prevail.

12.5 The original and all the copies of the Technical Proposal shall be placed inside of a sealed envelope clearly marked "**TECHNICAL PROPOSAL**", "[Name of the Assignment]", reference number, name and address of the Consultant, and with a warning "**DO NOT OPEN UNTIL [INSERT THE DATE AND THE TIME OF THE TECHNICAL PROPOSAL SUBMISSION DEADLINE].**"

12.6 Similarly, the original Financial Proposal (if required for the applicable selection method) shall be placed inside of a sealed envelope clearly marked "**FINANCIAL PROPOSAL**" followed by the name of the assignment, reference number, name and address of the Consultant, and with a warning "**DO NOT OPEN WITH THE TECHNICAL PROPOSAL.**"

12.7 The sealed envelopes containing the Technical and Financial Proposal shall be placed into one outer envelope and sealed. This outer envelope shall bear the submission address, RFP reference number, the name of the assignment, Consultant's name and the address, and shall be clearly marked "**DO NOT OPEN BEFORE** [insert the time and date of the submission deadline indicated in the Data Sheet]".

12.8 If the envelopes and packages with the Proposal are not sealed and marked as required, the Client will assume no responsibility for the misplacement, loss, or premature opening of the Proposal.

12.9 The Proposal or its modifications must be sent to the address indicated in the **Data Sheet** and received by the Client no later than the deadline indicated in the **Data Sheet**, or any extension to this deadline. Any Proposal or its modification received by the Client after the deadline shall be declared late and rejected, and promptly returned unopened.

13. Confidentiality

13.1 From the time the Proposal are opened to the time the Contract is awarded, the Consultant should not contact the Client on any matter related to its Technical and/or Financial Proposal. Information relating to the evaluation of Proposal and award recommendations shall not be disclosed to the Consultants who submitted the Proposal or to any other party not officially concerned with the process, until the publication of the Contract award information.

13.2 Any attempt by shortlisted Consultants or anyone on behalf of the Consultant to influence improperly the Client in the evaluation of the Proposal or Contract award decisions may result in the rejection of its Proposal, and may be subject to the application of prevailing sanctions procedures.

13.3 Notwithstanding the above provisions, from the time of the Proposal' opening to the time of Contract award publication, if a Consultant wishes to contact the Client or ZPPA on any matter related to the selection process, it should do so only in writing.

14. Opening of Technical Proposal

14.1 The Client's evaluation committee shall conduct the opening of the Technical Proposal in the presence of the shortlisted Consultants' authorized representatives who choose to attend (in person, or online if this option is offered in the **Data Sheet**). The opening date, time and the address are stated in the **Data Sheet**. The envelopes with the Financial Proposal shall remain sealed and shall be securely stored with a reputable public auditor or independent authority until they are opened in accordance with Clause 23 of the ITC.

14.2 At the opening of the Technical Proposal the following shall be read out: (i) the name and the country of the Consultant or, in case of a Joint Venture, the name of the Joint Venture, the name of the lead member and the names and the countries of all members; (ii) the presence or absence of a duly sealed envelope with the Financial Proposal; (iii) any modifications to the Proposal submitted prior to proposal submission deadline; and (iv) any other information deemed appropriate or as indicated in the **Data Sheet**.

15. Proposal Evaluation

15.1 Subject to provision of Clause 15.1 of the ITC, the evaluators of the Technical Proposal shall have no access to the Financial Proposal until the technical evaluation is concluded and approved.

15.2 The Consultant is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under Clause 12.7 of this ITC. While

evaluating the Proposal, the Client will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposal.

16. Evaluation of Technical Proposal

16.1 The Client's evaluation committee shall evaluate the Technical Proposal on the basis of their responsiveness to the Terms of Reference and the RFP, applying the evaluation criteria, sub-criteria, and point system specified in the **Data Sheet**. Each responsive Proposal will be given a technical score. A Proposal shall be rejected at this stage if it does not respond to important aspects of the RFP or if it fails to achieve the minimum technical score indicated in the **Data Sheet**.

17. Financial Proposal for QBS

17.1 Following the ranking of the Technical Proposal, when the selection is based on quality only (QBS), the top-ranked Consultant is invited to negotiate the Contract.

17.2 If Financial Proposal were invited together with the Technical Proposal, only the Financial Proposal of the technically top-ranked Consultant is opened by the Client's evaluation committee. All other Financial Proposal are returned unopened after the Contract negotiations are successfully concluded and the Contract is signed.

18. Public Opening of Financial Proposal (for QCBS, FBS, and LCS methods)

18.1 After the technical evaluation is completed and has been approved, the Client shall notify those Consultants whose Proposal were considered non-responsive to the RFP and TOR or did not meet the minimum qualifying technical score (and shall provide information relating to the Consultant's overall technical score, as well as scores obtained for each criterion and sub-criterion) that their Financial Proposal will be returned unopened after completing the selection process and Contract signing. The Client shall simultaneously notify in writing those Consultants that have achieved the minimum overall technical score and inform them of the date, time and location for the opening of the Financial Proposal. The opening date should allow the Consultants sufficient time to make arrangements for attending the opening. The Consultant's attendance at the opening of the Financial Proposal (in person, or online if such option is indicated in the **Data Sheet**) is optional and is at the Consultant's choice.

18.2 The Financial Proposal shall be opened by the Client's evaluation committee in the presence of the representatives of those Consultants whose proposal have passed the minimum technical score. At the opening, the names of the Consultants,

and the overall technical scores, including the break-down by criterion, shall be read aloud. The Financial Proposal will then be inspected to confirm that they have remained sealed and unopened. These Financial Proposal shall be then opened, and the total prices read aloud and recorded. Copies of the record shall be sent to all Consultants who submitted Proposal.

19. Correction of Errors

19.1 Activities and items described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, and no corrections are made to the Financial Proposal.

**a. Time-Based
Contracts**

19.1.1 If a Time-Based contract form is included in the RFP, the Client's evaluation committee will (a) correct any computational or arithmetical errors, and (b) adjust the prices if they fail to reflect all inputs included for the respective activities or items in the Technical Proposal. In case of discrepancy between (i) a partial amount (sub-total) and the total amount, or (ii) between the amount derived by multiplication of unit price with quantity and the total price, or (iii) between words and figures, the former will prevail. In case of discrepancy between the Technical and Financial Proposal in indicating quantities of input, the Technical Proposal prevails and the Client's evaluation committee shall correct the quantification indicated in the Financial Proposal so as to make it consistent with that indicated in the Technical Proposal, apply the relevant unit price included in the Financial Proposal to the corrected quantity, and correct the total Proposal cost.

**b. Lump-Sum
Contracts**

19.2 If a Lump-Sum contract form is included in the RFP, the Consultant is deemed to have included all prices in the Financial Proposal, so neither arithmetical corrections nor price adjustments shall be made. The total price, net of taxes understood as per Clause ITC 25 below, specified in the Financial Proposal (Form FIN-1) shall be considered as the offered price.

20. Taxes

20.1 The Client's evaluation of the Consultant's Financial Proposal shall exclude taxes and duties in Zambia in accordance with the instructions in the **Data Sheet**.

**21. Conversion to Single
Currency**

21.1 For the evaluation purposes, prices shall be converted to a single currency using the selling rates of exchange, source and date indicated in the **Data Sheet**.

**22. Combined Quality
and Cost Evaluation**

**a. Quality- and
Cost-Based
Selection (QCBS)**

22.1 In the case of QCBS, the total score is calculated by weighting the technical and financial scores and adding them as per the formula and instructions in the **Data Sheet**. The Consultant achieving the highest combined technical and financial score will be invited for negotiations.

**b. Fixed-Budget
Selection (FBS)**

22.2 In the case of FBS, those Proposal that exceed the budget indicated in Clause 14.1.4 of the **Data Sheet** shall be rejected.

22.3 The Client will select the Consultant that submitted the highest-ranked Technical Proposal that does not exceed the budget indicated in the RFP, and invite such Consultant to negotiate the Contract.

c. Least-Cost Selection

22.4 In the case of Least-Cost Selection (LCS), the Client will select the Consultant with the lowest evaluated total price among those consultants that achieved the minimum technical score, and invite such Consultant to negotiate the Contract.

D. Negotiations and Award

23. Negotiations

23.1 The negotiations will be held at the date and address indicated in the **Data Sheet** with the Consultant's representative(s) who must have written power of attorney to negotiate and sign a Contract on behalf of the Consultant.

23.2 The Client shall prepare minutes of negotiations that are signed by the Client and the Consultant's authorized representative.

a. Availability of Key Experts

23.3 The invited Consultant shall confirm the availability of all Key Experts included in the Proposal as a pre-requisite to the negotiations, or, if applicable, a replacement in accordance with Clause 12 of the ITC. Failure to confirm the Key Experts' availability may result in the rejection of the Consultant's Proposal and the Client proceeding to negotiate the Contract with the next-ranked Consultant.

23.4 Notwithstanding the above, the substitution of Key Experts at the negotiations may be considered if due solely to circumstances outside the reasonable control of and not foreseeable by the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall offer a substitute Key Expert within the period of time specified in the letter of invitation to negotiate the Contract, who shall have equivalent or better qualifications and experience than the original candidate.

b. Technical negotiations

23.5 The negotiations include discussions of the Terms of Reference (TORs), the proposed methodology, the Client's inputs, the special conditions of the Contract, and finalizing the "Description of Services" part of the Contract. These discussions shall not substantially alter the original scope of services under the TOR or the terms of the contract, lest the quality of the final product, its price, or the relevance of the initial evaluation be affected.

c. Financial negotiations

23.6 The negotiations include the clarification of the Consultant's tax liability in Zambia and how it should be reflected in the Contract.

23.7 If the selection method included cost as a factor in the evaluation, the total price stated in the Financial Proposal for a Lump-Sum contract shall not be negotiated.

23.8 In the case of a Time-Based contract, unit rates negotiations shall not take place, except when the offered Key Experts and Non-Key Experts' remuneration rates are much higher than the typically charged rates by consultants in similar contracts. In such case, the Client may ask for clarifications and, if the fees are very high, ask to change the rates after consultation with ZPPA.

The format for (i) providing information on remuneration rates in the case of Quality Based Selection; and (ii) clarifying remuneration rates' structure under Clause 28.8 above, is provided in Appendix A to the Financial Form FIN-3: Financial Negotiations – Breakdown of Remuneration Rates.

24. Conclusion of Negotiations

24.1 The negotiations are concluded with a review of the finalized draft Contract, which then shall be initialed by the Client and the Consultant's authorized representative.

24.2 If the negotiations fail, the Client shall inform the Consultant in writing of all pending issues and disagreements and provide a final opportunity to the Consultant to respond. If disagreement persists, the Client shall terminate the negotiations informing the Consultant of the reasons for doing so. After having obtained approval, the Client will invite the next-ranked Consultant to negotiate a Contract. Once the Client commences negotiations with the next-ranked Consultant, the Client shall not reopen the earlier negotiations.

25. Award of Contract

25.1 After completing the negotiations the Client shall obtain approval to the negotiated draft Contract, if applicable; sign the Contract; publish the award information as per the instructions in the **Data Sheet**; and promptly notify the other shortlisted Consultants.

25.2 The Consultant is expected to commence the assignment on the date and at the location specified in the **Data Sheet**.

Instructions to Consultants

E. Data Sheet

A. General	
ITC Clause Reference	
2.1	<p>Name of the Client: Workers' Compensation Fund Control Board</p> <hr/> <p>Method of selection: Quality and Cost Based Selection as per</p> <p>Applicable Regulations: Regulations 77 to 105 of the Public Procurement Regulations of 2011 available on http://www.ppa.org.zm</p>
2.2	<p>Financial Proposal to be submitted together with Technical Proposal: Yes</p> <p>The name of the assignment is: Consultancy services for the design and supervision of the proposed renovation works at the Trade Fair and Show ground stands</p>
2.3	A pre-proposal conference will be held: N/A
2.4	<p>The Client will provide the following inputs: Terms of Reference (TORs) to facilitate the preparation of the Proposal: Information relevant to the services required.</p>
6.3.1	<p>A list of debarred firms and individuals is available at: http://www.ppa.org.zm</p>
B. Preparation of Proposal	
10.1	<p>The Proposal shall comprise the following:</p> <p><u>For FULL TECHNICAL PROPOSAL (FTP):</u> 1st Inner Envelope with the Technical Proposal: (1) Power of Attorney to sign the Proposal (2) TECH-1 (3) TECH-2 (4) TECH-3 (5) TECH-4</p>

	<p>(6) TECH-5 (7) TECH-6</p> <p>AND</p> <p>2d Inner Envelope with the Financial Proposal (if applicable):</p> <p>(1) FIN-1 (2) FIN-2 (3) FIN-3 (4) FIN-4 (5) Statement of Undertaking (if required under Data Sheet 10.2 below)</p>
10.2	<p>Statement of Undertaking is required Yes</p>
11.1	<p>Participation of Sub-consultants, Key Experts and Non-Key Experts in more than one Proposal is permissible Not permissible</p>
12.1	<p>Proposal must remain valid for 90 calendar days after the proposal submission deadline on Friday, 30th October 2020.</p>
13.1	<p>Clarifications may be requested no later than 7 days prior to the submission deadline.</p> <p>The clarification requests must be received by close of business on or before Friday, 23rd October 2020</p>
14.1.1	<p>Shortlisted Consultants may associate with</p> <p>(a) non-shortlisted consultant(s): No</p>
15.2	<p>The format of the Technical Proposal to be submitted is: FTP</p> <p>Submission of the Technical Proposal in a wrong format may lead to the Proposal being deemed non-responsive to the RFP requirements.</p>
16.2	<p>A price adjustment provision applies to remuneration rates: No</p>
16.3	<p>Information on the Consultant's tax obligations in Zambia can be found at <i>Zambia Revenue Authority</i></p>
16.4	<p>The Financial Proposal shall be stated in the following currencies:</p>

	The Financial Proposal should state local costs in Zambian Kwacha: Yes
C. Submission, Opening and Evaluation	
17.1	The Consultants shall not have the option of submitting their Proposal electronically. No
17.4	The Consultant must submit: (a) Technical Proposal: (b) Financial Proposal:
17.7 and 17.9	<p>The Proposal must be submitted no later than: Date: Friday, 30th October 2020 Time: 10:30 local time</p> <hr/> <p><i>Insert marking of :Do not open before Friday, 30th October_2020, 10:30 hours</i></p> <p>The Proposal submission address is: Commissioner, Workers' Compensation Fund Control Board, Compensation House, Corner Broadway/Moffat Roads, P. O Box 71534, Ndola, Zambia</p>
19.1	<p>An online option of the opening of the Technical Proposal is offered: No</p> <p>The opening shall take place at: Street Address: Broadway/Moffat Roads Floor, room number: 4th Floor City: Ndola Country: Zambia</p> <p>Date: same as the submission deadline indicated in 17.7. Time: 10:30hrs</p>
19.2	In addition, the following information will be read aloud at the opening of the Technical Proposal N/A
21.1 [for FTP]	<p>Criteria, sub-criteria, and point system for the evaluation of the Full Technical Proposal are: CRITERIA</p> <p>A. Preliminary responsiveness</p> <p>I. Signed Proposal submission form by representative with Power of attorney</p>

	<p>II. Bid securing declaration for a period of one(1) year signed by the representative with Power of attorney</p> <p>III. Certificate of Incorporation/Registration</p> <p>IV. Valid 2020 ZRA Tax Clearance Certificate in order to be considered compliant from country of origin</p> <p>V. Valid 2020 Workers' Compliance Certificate</p> <p>VI. Valid 2020 NAPSA Compliance Certificate</p> <p>VII. Proposal validity period of 90 days</p> <p>VIII. Written Power of Attorney/letter of authorization of the signatory of the Bid to commit the Bidder. The full names and specimen signature of the appointed person committing the bid must be provided. The full names, designations and signatures of the appointing authorities must be clearly indicated on the Power of Attorney.</p> <p>IX. Litigation status from an independent Legal practitioner (Please Note that self-authored Litigation status will not be accepted): Information regarding any litigation or arbitration, current or during the last five years, resulting from contracts completed or under execution by the Bidder.</p> <p>X. Proof of purchasing the solicitation document</p> <p>XI. Joint Venture agreement. Where a bid is submitted as a Joint Venture, all the parties to the Joint Venture should sign the JV agreement. Further, all parties participating in a JV will be required to submit (attach); Valid 2020 Tax Clearance Certificate, Certificate of incorporation, Litigation Status from an independent legal practitioner</p>
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	<p>B. Mandatory Requirements</p> <ul style="list-style-type: none"> i. Consultant will be expected to comprehensively comply with the Terms of Reference (TORs) as attached. ii. Detailed Description of the approach, methodology and work plan for performing the assignment. Refer to Form Tech 4 iii. Work schedule and planning for deliverables. Refer to Form Tech 5 iv. Team Composition, Key experts input and attach dated and signed Curriculum Vitae (CV) in the format give in form Tech 6. v. The CVs should be signed by both the proposed staff and the Authorized representative. vi. Consultant/firm must provide a description of similar assignments vii. Consultant/firm must provide experience in design, development and implementation of similar completed assignments in the last three years <p style="text-align: right;"><u>Points</u></p> <p>(i) Specific experience of the Consultant related to the assignment: 20</p> <p>(ii) Adequacy of the proposed work plan and methodology in responding to the Terms of Reference: 30</p> <ul style="list-style-type: none"> a) <i>Methodology and approach</i> 10 b) <i>Proposed work plan</i> 10 c) <i>Understanding of the Terms of Reference</i> 10 <p>(iii) Qualifications and competence of the Key staff for the assignment 40</p> <ul style="list-style-type: none"> a) <i>Project manager (Team Leader)</i> 25 b) <i>Other Key Staff</i> 15
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	<p>(iv) National Participation Assignments 10</p> <p>Total points for the two criteria: 100</p> <p>.....</p> <p>The minimum technical score (St) required to pass is: <u>75</u></p>
23.1	An online option of the opening of the Financial Proposal is offered: No
25.1	For the purpose of the evaluation, the Client will exclude: (a) all local identifiable indirect taxes such as sales tax, excise tax, VAT, or similar taxes levied on the contract's invoices; and (b) all additional local indirect tax on the remuneration of services rendered by non-resident experts in Zambia. If a Contract is awarded, at Contract negotiations, all such taxes will be discussed, finalized (using the itemized list as a guidance but not limiting to it) and added to the Contract amount as a separate line, also indicating which taxes shall be paid by the Consultant and which taxes are withheld and paid by the Client on behalf of the Consultant.
26.1	<p>The single currency for the conversion of all prices expressed in various currencies into a single one is : <u>Zambian Kwacha</u></p> <p>The official source of the selling (exchange) rate is: <u>Bank of Zambia</u></p> <p>The date of the exchange rate is: <u>Friday, 30th October 2020</u></p>
27.1 (QCBS only)	<p>The lowest evaluated Financial Proposal (Fm) is given the maximum financial score (Sf) of 100.</p> <p>The formula for determining the financial scores (Sf) of all other Proposal is calculated as following:</p> <p>$Sf = 100 \times Fm / F$, in which "Sf" is the financial score, "Fm" is the lowest price, and "F" the price of the proposal under consideration.</p> <p>The weights given to the Technical (T) and Financial (P) Proposal are: T = <u>80</u> and P = <u>20</u></p> <p>Proposal are ranked according to their combined technical (St) and financial (Sf) scores using the weights (T = the weight given to the Technical Proposal; P = the weight given to the Financial Proposal; T + P = 1) as following: $S = St \times T\% + Sf \times P\%$.</p>
	D. Negotiations and Award

28.1	<p>Expected date and address for contract negotiations: Date: November 2020 Address: Workers' Compensation Fund Control Board, Compensation House, Corner Broadway/Moffat Roads, P. O Box 71534, Ndola, Zambia</p>
30.1	<p>The publication of the contract award information following the completion of the contract negotiations and contract signing will be done as following: www.workres.com.zm and letter to participating Consultant</p> <p>The publication will be done within 7 days after the contract signing.</p>
30.2	<p>Expected date for the commencement of the Services: Date: December 2020</p>

Section 3. Technical Proposal – Standard Forms

{Notes to Consultant shown in brackets { } throughout Section 3 provide guidance to the Consultant to prepare the Technical Proposal; they should not appear on the Proposal to be submitted.}

CHECKLIST OF REQUIRED FORMS

Required for FTP or STP (v)		FORM	DESCRIPTION	Page Limit
FTP	STP			
v	v	TECH-1	Technical Proposal Submission Form.	
“v” If applicable		TECH-1 Attachment	If the Proposal is submitted by a joint venture, attach a letter of intent or a copy of an existing agreement.	
“v” If applicable		Power of Attorney	No pre-set format/form. In the case of a Joint Venture, several are required: a power of attorney for the authorized representative of each JV member, and a power of attorney for the representative of the lead member to represent all JV members	
v		TECH-2	Consultant’s Organization and Experience.	
v		TECH-2A	A. Consultant’s Organization	
v		TECH-2B	B. Consultant’s Experience	
v		TECH-3	Comments or Suggestions on the Terms of Reference and on Counterpart Staff and Facilities to be provided by the Client.	
v		TECH-3A	A. On the Terms of Reference	
v		TECH-3B	B. On the Counterpart Staff and Facilities	
v	v	TECH-4	Description of the Approach, Methodology, and Work Plan for Performing the Assignment	
v	v	TECH-5	Work Schedule and Planning for Deliverables	
v	v	TECH-6	Team Composition, Key Experts Inputs, and attached Curriculum Vitae (CV)	

All pages of the original Technical and Financial Proposal shall be initialled by the same authorized representative of the Consultant who signs the Proposal.

FORM TECH-1

TECHNICAL PROPOSAL SUBMISSION FORM

{ Location, Date }

To: [Name and address of Client]

Dear Sirs:

We, the undersigned, offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and our Proposal. [Select appropriate wording depending on the selection method stated in the RFP: “We are hereby submitting our Proposal, which includes this Technical Proposal and a Financial Proposal sealed in a separate envelope” or, if only a Technical Proposal is invited “We hereby are submitting our Proposal, which includes this Technical Proposal only in a sealed envelope.”].

{If the Consultant is a joint venture, insert the following: We are submitting our Proposal a joint venture with: {Insert a list with full name and the legal address of each member, and indicate the lead member}. We have attached a copy {insert: “of our letter of intent to form a joint venture” or, if a JV is already formed, “of the JV agreement”} signed by every participating member, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture.

{OR

If the Consultant’s Proposal includes Sub-consultants, insert the following: We are submitting our Proposal with the following firms as Sub-consultants: {Insert a list with full name and address of each Sub-consultant.}

We hereby declare that:

- (a) All the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification by the Client and/or may be sanctioned by ZPPA.
- (b) Our Proposal shall be valid and remain binding upon us for the period of time specified in the Data Sheet, Clause 12.1.
- (c) We have no conflict of interest in accordance with ITC 3.

- (d) We meet the eligibility requirements as stated in ITC 6, and we confirm our understanding of our obligation to abide by the Government’s policy in regard to corrupt and fraudulent practices as per ITC 5.
- (e) *[Note to Client: Only if required in ITC10.2 (Data Sheet 10.2), include the following: In competing for (and, if the award is made to us, in executing) the Contract, we undertake to observe the laws against fraud and corruption, including bribery, in force in the country of the Client.]*
- (f) Except as stated in the Data Sheet, Clause 12.1, we undertake to negotiate a Contract on the basis of the proposed Key Experts. We accept that the substitution of Key Experts for reasons other than those stated in ITC Clause 12 and ITC Clause 28.4 may lead to the termination of Contract negotiations.
- (g) Our Proposal is binding upon us and subject to any modifications resulting from the Contract negotiations.

We undertake, if our Proposal is accepted and the Contract is signed, to initiate the Services related to the assignment no later than the date indicated in Clause 30.2 of the Data Sheet.

We understand that the Client is not bound to accept any Proposal that the Client receives.

We remain,

Yours sincerely,

Authorized Signature {In full and initials}: _____

Name and Title of Signatory: _____

Name of Consultant (company’s name or JV’s name): _____

In the capacity of: _____

Address: _____

Contact information (phone and e-mail): _____

{For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached}

FORM TECH-2 (FOR FULL TECHNICAL PROPOSAL ONLY)

CONSULTANT’S ORGANIZATION AND EXPERIENCE

Form TECH-2: a brief description of the Consultant’s organization and an outline of the recent experience of the Consultant that is most relevant to the assignment. In the case of a joint venture, information on similar assignments shall be provided for each partner. For each assignment, the outline should indicate the names of the Consultant’s Key Experts and Sub-consultants who participated, the duration of the assignment, the contract amount (total and, if it was done in a form of a joint venture or a sub-consultancy, the amount paid to the Consultant), and the Consultant’s role/involvement.

A - Consultant’s Organization

1. Provide here a brief description of the background and organization of your company, and – in case of a joint venture – of each member for this assignment.
2. Include organizational chart, a list of Board of Directors, and beneficial ownership

B - Consultant’s Experience

1. List only previous similar assignments successfully completed in the last *Five (05)* years.
2. List only those assignments for which the Consultant was legally contracted by the Client as a company or was one of the joint venture partners. Assignments completed by the Consultant’s individual experts working privately or through other consulting firms cannot be claimed as the relevant experience of the Consultant, or that of the Consultant’s partners or sub-consultants, but can be claimed by the Experts themselves in their CVs. The Consultant should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if so requested by the Client.

Duration	Assignment name/& brief description of main deliverables/outputs	Name of Client & Country of Assignment	Approx. Contract value (in US\$ equivalent)/ Amount paid to your firm	Role on the Assignment
{e.g., Jan.2009–Apr.2010}	{e.g., “Improvement quality of.....”: designed master plan for rationalization of; }	{e.g., Ministry of, country }	{e.g., US\$1 mill/US\$0.5 mill }	{e.g., Lead partner in a JV A&B&C }
{e.g., Jan-May 2008 }	{e.g., “Support to sub-national government.....” : drafted secondary level regulations on..... }	{e.g., municipality of....., country }	{e.g., US\$0.2 mil/US\$0.2 mil }	{e.g., sole Consultant }

FORM TECH-3 (FOR FULL TECHNICAL PROPOSAL)

COMMENTS AND SUGGESTIONS ON THE TERMS OF REFERENCE, COUNTERPART STAFF, AND FACILITIES TO BE PROVIDED BY THE CLIENT

Form TECH-3: comments and suggestions on the Terms of Reference that could improve the quality/effectiveness of the assignment; and on requirements for counterpart staff and facilities, which are provided by the Client, including: administrative support, office space, local transportation, equipment, data, etc.

A - On the Terms of Reference

{improvements to the Terms of Reference, if any} N/A

B - On Counterpart Staff and Facilities

{comments on counterpart staff and facilities to be provided by the Client. For example, administrative support, office space, local transportation, equipment, data, background reports, etc., if any} N/A

FORM TECH-4 (FOR FULL TECHNICAL PROPOSAL ONLY)

DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN IN RESPONDING TO THE TERMS OF REFERENCE

Form TECH-4: a description of the approach, methodology and work plan for performing the assignment, including a detailed description of the proposed methodology and staffing for training, if the Terms of Reference specify training as a specific component of the assignment.

{Suggested structure of your Technical Proposal (in FTP format):

- a) Technical Approach and Methodology
 - b) Work Plan
 - c) Organization and Staffing }
- a) **Technical Approach and Methodology.** {Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TORs), the technical approach, and the methodology you would adopt for implementing the tasks to deliver the expected output(s), and the degree of detail of such output. Please do not repeat/copy the TORs in here. }
- b) **Work Plan.** {Please outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and tentative delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing your understanding of the TOR and ability to translate them into a feasible working plan. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule Form. }
- c) **Organization and Staffing.** {Please describe the structure and composition of your team, including the list of the Key Experts, Non-Key Experts and relevant technical and administrative support staff. }

FORM TECH-4 (FOR SIMPLIFIED TECHNICAL PROPOSAL ONLY)

DESCRIPTION OF APPROACH, METHODOLOGY, AND WORK PLAN FOR PERFORMING THE ASSIGNMENT

Form TECH-4: a description of the approach, methodology, and work plan for performing the assignment, including a detailed description of the proposed methodology and staffing for training, if the Terms of Reference specify training as a specific component of the assignment.

{Suggested structure of your Technical Proposal}

- a) **Technical Approach, Methodology, and Organization of the Consultant's team.**
{Please explain your understanding of the objectives of the assignment as outlined in the Terms of Reference (TOR), the technical approach, and the methodology you would adopt for implementing the tasks to deliver the expected output(s); the degree of detail of such output; and describe the structure and composition of your team. Please do not repeat/copy the TORs in here.}
- b) **Work Plan and Staffing.** {Please outline the plan for the implementation of the main activities/tasks of the assignment, their content and duration, phasing and interrelations, milestones (including interim approvals by the Client), and tentative delivery dates of the reports. The proposed work plan should be consistent with the technical approach and methodology, showing understanding of the TOR and ability to translate them into a feasible working plan and work schedule showing the assigned tasks for each expert. A list of the final documents (including reports) to be delivered as final output(s) should be included here. The work plan should be consistent with the Work Schedule Form.}
- c) **Comments (on the TOR and on counterpart staff and facilities)**
{Your suggestions should be concise and to the point, and incorporated in your Proposal. Please also include comments, if any, on counterpart staff and facilities to be provided by the Client. For example, administrative support, office space, local transportation, equipment, data, background reports, etc.}

FORM TECH-5 (FOR FTP AND STP)**WORK SCHEDULE AND PLANNING FOR DELIVERABLES**

N°	Deliverables ¹ (D-..)	Months											
		1	2	3	4	5	6	7	8	9	n	TOTAL
D-1	{e.g., Deliverable #1: Report A												
	1) data collection												
	2) drafting												
	3) inception report												
	4) incorporating comments												
	5)												
	6) delivery of final report to Client}												
D-2	{e.g., Deliverable #2:.....}												
n													

- 1 List the deliverables with the breakdown for activities required to produce them and other benchmarks such as the Client's approvals. For phased assignments, indicate the activities, delivery of reports, and benchmarks separately for each phase.
- 2 Duration of activities shall be indicated in a form of a bar chart.
3. Include a legend, if necessary, to help read the chart.



FORM TECH-6 (FOR FTP AND STP)

TEAM COMPOSITION, ASSIGNMENT, AND KEY EXPERTS' INPUTS

N°	Name	Expert's input (in person/month) per each Deliverable (listed in TECH-5)										Total time-input (in Months)			
		Position		D-1		D-2		D-3		D-...		Home	Field	Total
KEY EXPERTS															
K-1	{e.g., Mr. Abbbb}	[Team Leader]	[Home]	[2 month]		[1.0]		[1.0]							
			[Field]	[0.5 m]		[2.5]		[0]							
K-2															
K-3															
n															
											Subtotal				
NON-KEY EXPERTS															
N-1			[Home]												
			[Field]												
N-2															
n															
											Subtotal				
											Total				

1 For Key Experts, the input should be indicated individually for the same positions as required under the Data Sheet ITC21.1.

- 2 Months are counted from the start of the assignment/mobilization. One (1) month equals twenty two (22) working (billable) days. One working (billable) day shall be not less than eight (8) working (billable) hours.
- 3 “Home” means work in the office in the expert’s country of residence. “Field” work means work carried out in Zambia or any other country outside the expert’s country of residence.

 Full time input
 Part time input

FORM TECH-6 (CONTINUED)

CURRICULUM VITAE (CV)

Position Title and No.	{e.g., K-1, TEAM LEADER}
Name of Expert:	{Insert full name}
Date of Birth:	{day/month/year}
Country of Citizenship/Residence	

Education: {List college/university or other specialized education, giving names of educational institutions, dates attended, degree(s)/diploma(s) obtained}

Employment record relevant to the assignment: {Starting with present position, list in reverse order. Please provide dates, name of employing organization, titles of positions held, types of activities performed and location of the assignment, and contact information of previous clients and employing organization(s) who can be contacted for references. Past employment that is not relevant to the assignment does not need to be included.}

Period	Employing organization and your title/position. Contact info for references	Country	Summary of activities performed relevant to the Assignment
[e.g., May 2005-present]	[e.g., Ministry of, advisor/consultant to... For references: Tel...../e-mail.....; Mr. Hbbbbbb, deputy minister]		

Membership in Professional Associations and Publications:

Language Skills (indicate only languages in which you can work): _____

Adequacy for the Assignment:

Detailed Tasks Assigned on Consultant's Team of Experts:	Reference to Prior Work/Assignments that Best Illustrates Capability to Handle the Assigned Tasks
{List all deliverables/tasks as in TECH- 5 in which the Expert will be involved}	

Expert's contact information: (e-mail, phone.....)

Certification:

I, the undersigned, certify that to the best of my knowledge and belief, this CV correctly describes myself, my qualifications, and my experience, and I am available to undertake the assignment in case of an award. I understand that any misstatement or misrepresentation described herein may lead to my disqualification or dismissal by the Client, and/or sanctions by ZPPA.

{ day/month/year}

Name of Expert

Signature

Date

{ day/month/year}

Name of authorized
Representative of the Consultant
(the same who signs the Proposal)

Signature

Date

Section 4. Financial Proposal - Standard Forms

{*Notes to Consultant* shown in brackets { } provide guidance to the Consultant to prepare the Financial Proposal; they should not appear on the Financial Proposal to be submitted.}

Financial Proposal Standard Forms shall be used for the preparation of the Financial Proposal according to the instructions provided in Section 2.

- FIN-1 Financial Proposal Submission Form
- FIN-2 Summary of Costs
- FIN-3 Breakdown of Remuneration, including Appendix A “Financial Negotiations - Breakdown of Remuneration Rates” in the case of QBS method
- FIN-4 Reimbursable expenses

FORM FIN-1
FINANCIAL PROPOSAL SUBMISSION FORM

{ Location, Date }

To: [Name and address of Client]

Dear Sirs:

We, the undersigned, offer to provide the consulting services for [Insert title of assignment] in accordance with your Request for Proposal dated [Insert Date] and our Technical Proposal.

Our attached Financial Proposal is for the amount of {Indicate the corresponding to the amount(s) currency(ies)} {Insert amount(s) in words and figures}, [Insert “including” or “excluding”] of all indirect local taxes in accordance with Clause 25.1 in the Data Sheet. The estimated amount of local indirect taxes is {Insert currency} {Insert amount in words and figures} which shall be confirmed or adjusted, if needed, during negotiations. {Please note that all amounts shall be the same as in Form FIN-2}.

Our Financial Proposal shall be binding upon us subject to the modifications resulting from Contract negotiations, up to expiration of the validity period of the Proposal, i.e. before the date indicated in Clause 12.1 of the Data Sheet.

Commissions and gratuities paid or to be paid by us to an agent or any third party relating to preparation or submission of this Proposal and Contract execution, paid if we are awarded the Contract, are listed below:

Name and Address of Agents	Amount and Currency	Purpose of Commission or Gratuity
<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>

{If no payments are made or promised, add the following statement: “No commissions or gratuities have been or are to be paid by us to agents or any third party relating to this Proposal and Contract execution.”}

We understand you are not bound to accept any Proposal you receive.

We remain,

Yours sincerely,

Authorized Signature {In full and initials}: _____

Name and Title of Signatory: _____

In the capacity of: _____

Address: _____

E-mail: _____

{For a joint venture, either all members shall sign or only the lead member/consultant,
in which case the power of attorney to sign on behalf of all members shall be attached}

FORM FIN-2 SUMMARY OF COSTS

Item	Cost			
	{Consultant must state the proposed Costs in accordance with Clause 16.4 of the Data Sheet; delete columns which are not used}			
	<i>{Insert Foreign Currency # 1}</i>	<i>{Insert Foreign Currency # 2, if used}</i>	<i>{Insert Foreign Currency # 3, if used}</i>	<i>{Insert Local Currency, if used and/or required (16.4 Data Sheet)}</i>
Cost of the Financial Proposal				
Including:				
(1) Remuneration				
(2) Reimbursables				
<u>Total Cost of the Financial Proposal:</u> {Should match the amount in Form FIN-1}				
Indirect Local Tax Estimates – to be discussed and finalized at the negotiations if the Contract is awarded				
(i) {insert type of tax e.g., VAT or sales tax}				
(ii) {e.g., income tax on non-resident experts}				
(iii) {insert type of tax}				
<u>Total Estimate for Indirect Local Tax:</u>				

Footnote: Payments will be made in the currency(ies) expressed above (Reference to ITC 16.4).

FORM FIN-3 BREAKDOWN OF REMUNERATION

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for the calculation of the Contract's ceiling amount; to calculate applicable taxes at contract negotiations; and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This Form shall not be used as a basis for payments under Lump-Sum contracts

A. Remuneration _____								
No.	Name	Position (as in TECH-6)	Person-month Remuneration Rate	Time Input in Person/Month (from TECH-6)	{Currency # 1- as in FIN-2}	{Currency # 2- as in FIN-2}	{Currency# 3- as in FIN-2}	{Local Currency- as in FIN-2}
	Key Experts							
K-1			[Home]					
			[Field]					
K-2								
	Non-Key Experts							
N-1			[Home]					
N-2			[Field]					
	Total Costs							

Appendix A. Financial Negotiations - Breakdown of Remuneration Rates

1. Review of Remuneration Rates

- 1.1. The remuneration rates are made up of salary or a base fee, social costs, overheads, profit, and any premium or allowance that may be paid for assignments away from headquarters or a home office. An attached Sample Form can be used to provide a breakdown of rates.
- 1.2. If the RFP requests submission of a technical proposal only, the Sample Form is used by the selected Consultant to prepare for the negotiations of the Contract. If the RFP requests submission of the financial proposal, the Sample Form shall be completed and attached to the Financial Form-3. Agreed (at the negotiations) breakdown sheets shall form part of the negotiated Contract and included in its Appendix D or C.
- 1.3. At the negotiations the firm shall be prepared to disclose its audited financial statements for the last three years, to substantiate its rates, and accept that its proposed rates and other financial matters are subject to scrutiny. The Client is charged with the custody of government funds and is expected to exercise prudence in the expenditure of these funds.
- 1.4. Rate details are discussed below:
 - (i) Salary is the gross regular cash salary or fee paid to the individual in the firm's home office. It shall not contain any premium for work away from headquarters or bonus (except where these are included by law or government regulations).
 - (ii) Bonuses are normally paid out of profits. To avoid double counting, any bonuses shall not normally be included in the "Salary" and should be shown separately. Where the Consultant's accounting system is such that the percentages of social costs and overheads are based on total revenue, including bonuses, those percentages shall be adjusted downward accordingly. Where national policy requires that 13 months' pay be given for 12 months' work, the profit element need not be adjusted downward. Any discussions on bonuses shall be supported by audited documentation, which shall be treated as confidential.
 - (iii) Social Charges are the costs of non-monetary benefits and may include, inter alia, social security (including pension, medical, and life insurance costs) and the cost of a paid sick and/or annual leave. In this regard, a paid leave during public holidays or an annual leave taken during an assignment if no Expert's replacement has been provided is not considered social charges.
 - (iv) Cost of Leave. The principles of calculating the cost of total days leave per annum as a percentage of basic salary is normally calculated as follows:

$$\text{Leave cost as percentage of salary} = \frac{\text{total days leave} \times 100}{[365 - w - ph - v - s]}$$

Where w = weekends, ph = public holidays, v = vacation, and s = sick leave.

Please note that leave can be considered as a social cost only if the Client is not charged for the leave taken.

- (v) Overheads are the Consultant's business costs that are not directly related to the execution of the assignment and shall not be reimbursed as separate items under the Contract. Typical items are home office costs (non-billable time, time of senior Consultant's staff monitoring the project, rent of headquarters' office, support staff, research, staff training, marketing, etc.), the cost of Consultant's personnel not currently employed on revenue-earning projects, taxes on business activities, and business promotion costs. During negotiations, audited financial statements, certified as correct by an independent auditor and supporting the last three years' overheads, shall be available for discussion, together with detailed lists of items making up the overheads and the percentage by which each relates to basic salary. The Client does not accept an add-on margin for social charges, overhead expenses, etc. for Experts who are not permanent employees of the Consultant. In such case, the Consultant shall be entitled only to administrative costs and a fee on the monthly payments charged for sub-contracted Experts.
- (vi) Profit is normally based on the sum of the Salary, Social costs, and Overheads. If any bonuses paid on a regular basis are listed, a corresponding reduction shall be made in the profit amount. Profit shall not be allowed on travel or any other reimbursable expenses.
- (vii) Away from Home Office Allowance or Premium or Subsistence Allowances. Some Consultants pay allowances to Experts working away from headquarters or outside of the home office. Such allowances are calculated as a percentage of salary (or a fee) and shall not draw overheads or profit. Sometimes, by law, such allowances may draw social costs. In this case, the amount of this social cost shall still be shown under social costs, with the net allowance shown separately.

UNDP standard rates for the particular country may be used as reference to determine subsistence allowances.

Sample Form

Consultant:
Assignment:

Country:
Date:

Consultant's Representations Regarding Costs and Charges

We hereby confirm that:

- (a) the basic fees indicated in the attached table are taken from the firm's payroll records and reflect the current rates of the Experts listed which have not been raised other than within the normal annual pay increase policy as applied to all the Consultant's Experts;
- (b) attached are true copies of the latest pay slips of the Experts listed;
- (c) the away- from- home office allowances indicated below are those that the Consultant has agreed to pay for this assignment to the Experts listed;
- (d) the factors listed in the attached table for social charges and overhead are based on the firm's average cost experiences for the latest three years as represented by the firm's financial statements; and
- (e) said factors for overhead and social charges do not include any bonuses or other means of profit-sharing.

[Name of Consultant]

Signature of Authorized Representative

Date

Name: _____

Title: _____

**Consultant's Representations Regarding Costs and Charges
(Model Form I)**

(Expressed in {insert name of currency*})

Personnel		1	2	3	4	5	6	7	8
Name	Position	Basic Remuneration Rate per Working Month/Day/Year	Social Charges ¹	Overhead ₁	Subtotal	Profit ²	Away from Home Office Allowance	Proposed Fixed Rate per Working Month/Day/Hour	Proposed Fixed Rate per Working Month/Day/Hour ¹
Home Office									
Client's Country									

{* If more than one currency is used, use additional table(s), one for each currency}

1. Expressed as percentage of 1
2. Expressed as percentage of 4

FORM FIN-4 BREAKDOWN OF REIMBURSABLE EXPENSES

When used for Lump-Sum contract assignment, information to be provided in this Form shall only be used to demonstrate the basis for calculation of the Contract ceiling amount, to calculate applicable taxes at contract negotiations and, if needed, to establish payments to the Consultant for possible additional services requested by the Client. This form shall not be used as a basis for payments under Lump-Sum contracts

B. Reimbursable Expenses								
N°	Type of Reimbursable Expenses	Unit	Unit Cost	Quantity	{Currency # 1- as in FIN-2}	{Currency # 2- as in FIN-2}	{Currency# 3- as in FIN-2}	{Local Currency- as in FIN-2}
	{e.g., Per diem allowances**}	{Day}						
	{e.g., International flights}	{Ticket}						
	{e.g., In/out airport transportation}	{Trip}						
	{e.g., Communication costs between Insert place and Insert place}							
	{ e.g., reproduction of reports}							
	{e.g., Office rent}							
							
	{Training of the Client's personnel – if required in TOR}							
Total Costs								

Legend:

“Per diem allowance” is paid for each night the expert is required by the Contract to be away from his/her usual place of residence. Client can set up a ceiling.

Section 5. Eligible Countries

In reference to ITC6.3.2, for the information of shortlisted Consultants, at the present time firms, goods and services from the following countries are excluded from this selection:

Under the ITC 6.3.2 (a): _ none

Under the ITC 6.3.2 (b): _ none

Section 6. Bank Policy – Corrupt and Fraudulent Practices

(this Section 6 shall not be modified)

“Fraud and Corruption

1.23 It is the Government’s policy to require that Procuring Entities (including beneficiaries of Government funds), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Government-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. In pursuance of this policy, the Government:

(a) defines, for the purposes of this provision, the terms set forth below as follows:

- (i) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party¹;
- (ii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation²;
- (iii) “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party³;
- (iv) “coercive practices” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party⁴;

¹ For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

² For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

³ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

⁴ For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

- (v) “obstructive practice” is
 - (aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Government investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or
 - (bb) acts intended to materially impede the exercise of the Government’s inspection and audit rights;
- (b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- (c) will declare mis procurement and cancel the portion of the funds allocated to a contract if it determines at any time that representatives of the Procuring Entity or of a recipient of any part of the proceeds were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation of the contract in question, without the Procuring Entity having taken timely and appropriate action satisfactory to the Government to address such practices when they occur, including by failing to inform the Government in a timely manner they knew of the practices;
- (d) will sanction a firm or an individual at any time, in accordance with prevailing sanctions procedures, including by publicly declaring such firm or individual ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Government-financed contract, and (ii) to be a nominated⁵ sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Government-financed contract.

⁵ A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant’s proposal for the particular services; or (ii) appointed by the Borrower.

SECTION 7: TERMS OF REFERENCE

TERMS OF REFERENCE

FOR

CONSULTANCY SERVICES FOR THE DESIGN AND SUPERVISION OF THE RECONSTRUCTION OF TRADE FAIR STAND IN NDOLA AND SHOWGROUND STAND IN LUSAKA

1.0 BACKGROUND

- 1.1.** WCFCB has funds for consultancy services for the design and supervision of the construction of the Trade Fair and Lusaka Showground stands.

2.0 OBJECTIVES

- 2.1** The objective of the consultancy services is to carry out the detailed design of the modification of the stands and to provide technical and financial supervision in order to ensure that the construction works are carried out in accordance with the terms of the contract and to the satisfaction of the Board.
- 2.2** The consultant shall be appointed Architect/Engineer as defined in the contract documents for Works.

3.0 SCOPE OF WORKS

- 3.1** The preferred firm shall provide detailed designs and supervision of construction of the modernisation of the Trade Fair and Lusaka Showgrounds stands.
- 3.2** The modified modernised Trade Fair Stand shall consist among other facilities of :
- a) Modern Exhibition Space for show casing products and services
 - b) The Courtesy room to accommodate at least 15 people
 - c) Separate toilets for gents and ladies
 - d) Kitchenette
 - e) Store room
- 3.3** The modernised Showgrounds Stand shall consist of among other facilities :
- a). Modern Exhibition Space for show casing products and services
 - b) The Courtesy room to accommodate at least 15 people
 - c) Separate Toilets for Ladies and gents

Outside of the shows the stands will be used as office space to accommodate the regional offices: MBO's self-contained office, reception, open plan office space to accommodate at least 8 people, conference room to accommodate atleast 12 people and a registry room

- 3.4 The design should incorporate a provision of fencing off the stands from adjacent stands.**

4.0 EXISTING STRUCTURES

4.1.0 TRADE FAIR STAND NDOLA

- 4.1** There are five independent structures on site. The first structure houses the reception area, the second is the structure housing the exhibition room, the third structure serves as a holding room, the fourth is the Courtesy room and fifth structure houses the toilets. These structures sit on approximately 550sqm of land. The frontage is fenced off with 2.0m high and 8.6m perimeter aluminium partitions. The rear and southern sides have a perimeter fence of blockwork 30m in length and 1.0m high. Landscape is in an enclosure of 0.4m high dwarf wall and about 120sqm is lined with concrete pavers. The structures are demarcated by 1.5m high pan brick wall.
- 4.2** The reception structure is of pan bricks circular in shape with 150mm concrete roofing lined with water proofing membranes, one entrance and about 9.6sqm floor area.
- 4.3** The Exhibition room is made of part pan bricks in rectangular shape and a portion of glass wall that is in semi-circular shape with a steel column at the apex as support. The roof is made of iron sheets with one steel beam as rafter and the rest wooden rafters and particle boards as ceiling. The floor is tiled with ceramic tiles covering approximately 70sqm of floor area. The exhibition has two access timber doors.
- 4.4** The Holding room is of pan bricks circular in shape with 150mm concrete roofing lined with water proofing membranes, two access doors, tiled with ceramic tiles covering about 8sqm floor area.
- 4.5** The Courtesy room is made of pan bricks and has four sides with one side semi-circular in shape with a steel column at the apex as support. The roof is made of a mix of asbestos sheets and iron sheets with one steel beam as rafter and the rest wooden rafters and particle boards as ceiling. The floor is tiled with ceramic tiles covering approximately 30sqm of floor area. The courtesy room has one access timber door.
- 4.6** The structure housing the toilets is of pan bricks circular in shape with 150mm concrete roofing lined with water proofing membranes, one access door, tiled with ceramic tiles covering about 8sqm floor area.
- 4.7** Water supply and sanitation services are from Kafubu Water and Sanitation Company. There is a water tank and steel stand on site. Electricity is from Zesco.

4.2.0 SHOWGROUNDS STAND LUSAKA

- 4.2.1 The site has the total building area of approximately 100 m² in brick work plastered internally with a combination of flat single slope and concrete roof.
- 4.2.2 The plot is approximately **380m²** in size within the Showgrounds.
- 4.2.3 Office for Manager Branch Operation, inclusive of toilet and small reception area is approximately **54m²**
- 4.2.4 Open plan office for housing Properties (01), Benefits (01), Rehabilitation (01), Safety (01), Debt Management (02), Finance (01), Corporate Office (01) approximately 38m²
- 4.2.5 Circular outbuilding as toilet approximately 8m²
- 4.2.6 The site is connected to Lusaka water and Sanitation, serviced by manholes leading to a single septic tank and soak away.

5 SERVICES TO BE PROVIDED BY THE CONSULTANT

- 5.2 The Consultant shall provide design details and supervise construction works as described herein including the provision of qualified and experienced personnel, management, co-ordination and efficient execution of the services.
- 5.3 The Consultant is to supervise the works and approve materials and the workmanship of the works. This shall be done in co-operation and consultation with Workers Compensation Fund Control Board. The Consultant shall have no authority to relieve the Contractor of any of his duties or obligations under the Contract. Neither work entailing delays, change of original scope, and change of original quality standard or any extra payment by the Client shall be ordered by the consultant without the authority of the Board

5.4 Responsibilities of the Consultant

- 5.4.2 The principal responsibilities of the consultant shall be to carry out all responsibilities of the ARCHITECT/ENGINEER under the Contract including, but not limited to:

5.4.2.1 Detailed Design

- 5.4.2.1.1 Perform all necessary **surveys** and **design** needed to produce **technically acceptable** design plans and specifications suitable for the construction of the Trade Fair and Showgrounds Stands for the Board. The detailed engineering design and specifications shall be based on the general drawings (for/ construction in accordance with the Zambian Building departments standards and design documents)

- 5.4.2.1.2 Prepare the bill of quantities with work quantity estimates to be used for tendering. The reference number of the Technical Specifications for individual pay/work items concerned shall be clearly stated

5.4.2.1.3 Update the standard technical specifications by providing “Specifications of Particular Application” to the extent necessary to reflect the needs of construction works. Particular attention should be given to including provisions for the environmental mitigation measures. Technical Specification shall be so constituted that the work method, required quality and measurement method shall be clearly defined for each of the pay/work items in the Bill of Quantities

5.4.2.1.4 Prepare a report which will contain, and not limited to:

5.4.2.1.4.1 Water & Storm drainage,

5.4.2.1.4.2 Material investigations and sources,

5.4.2.1.4.3 Design drawings (Location Map; Site layout; floor plans, elevations and roof plans; Standard cross sections; Fence details; Outdoor lighting details; Landscaping details),

5.4.2.1.4.4 Electrical, Telephone and I. T. Net work systems or installation, water reticulation, Sewer waste drainage system, Air condition system.

5.4.2.1.4.5 Environmental assessment if applicable

5.4.2.1.4.6 Furnish the client with complete bidding documents including instruction to bidders, detailed engineering plans and drawings, standard technical specifications, specifications of particular applications, model contract, design concepts, special conditions of contract, and bills of quantities

5.4.2.1.4.7 Assist the client in the tendering process, evaluation of tenders, contract negotiations and the award of contract.

6 Supervision of Works

6.2 Objectives

6.2.2 The objective is to provide technical and financial supervision in order to ensure that the construction works are carried out in accordance with the contract and to the satisfaction of the Board.

6.3 Services to Be Provided By the Consultant

6.3.2 The Consultant shall provide supervisory services as described hereinafter including the provision of qualified experienced personnel, management, co-ordination and efficient execution of these services.

- 6.3.3 The Consultant is to supervise the works and approve materials and the workmanship of the works. This shall be done in co-operation and consultation with the Client and the Consultant shall have no authority to relieve the Contractor of any of his duties or obligations under the Contract.

6.4 Responsibilities of the Consultant

- 6.4.2** The principal responsibilities of the consultant shall be to carry out all responsibilities of the ARCHITECT/ENGINEER under the contract including and not limited to:

- 6.4.2.1 Review up-front the contract documents and make necessary recommendations to the Client for correction, if any inappropriateness, inefficiency, error, omission, fault or other defect in the engineering design and drawings of or specification for the works are recognized, in order that the Consultant shall take full responsibility of the contract documents
- 6.4.2.2 Issuing Order to Commence to the Contractor
- 6.4.2.3 Authorizing the Contractor's subletting parts of the Works
- 6.4.2.4 Explaining and/or adjust ambiguities and/or discrepancies in the Contract's Documents
- 6.4.2.5 Approving the Contractor's working drawings and if necessary to issue further drawings and/or give instructions to the Contractor
- 6.4.2.6 Approving or disapproving the Contractor's superintendence, key personnel, construction program, proposed method of working, plant and equipment, land to be occupied, materials and/or sources of materials
- 6.4.2.7 Testing of materials and completed works and approval or rejection of the same
- 6.4.2.8 Monitoring and appraising works progress, and with the prior approval of the Client ordering suspension of works, and authorizing extension periods for works completion, if warranted by the issuance of a variation
- 6.4.2.9 Issuing variation orders, evaluate variations, fixing rates for un-priced work after obtaining prior approval of the Client and make recommendations to the Client regarding alternatives
- 6.4.2.10 Review the Contractor's payment applications and issue and approve interim certificates for payment to the Contractor and certifying works completion or parts thereof

-
- 6.4.2.11 Inspecting the works during the whole construction period and two weeks at the beginning and two weeks at the end of Defects Liability Period and issuing the Defects Liability Certificate
 - 6.4.2.12 Carrying out all the Architect's duties as specified in the contract within the limitations expressed above
 - 6.4.2.13 Advising the Client on all matters concerning claims of request for extension of time and claims for additional costs from the Contractor and making recommendations thereon, including possible recourse to Adjudication or Arbitration
 - 6.4.2.14 Advice, assistance and services related to any litigation or arbitration related to the conduct of the works
 - 6.4.2.15 Design modifications related to the works
 - 6.4.2.16 All technical advice or services related to the works
 - 6.4.2.17 Review all claims

6.5 Qualification(s) of Consultants

- 6.5.2 Proven experience in design and supervision of similar assignments for over 5 years
- 6.5.3 Appropriate skills for Team members accompanied by detailed Curriculum Vitae (CVs) and years of experience in similar field
- 6.5.4 Adequacy of the proposed work plan and methodology in responding to the Terms of Reference
- 6.5.5 Key Experts' Qualifications and Competence for the assignment:
 - 6.5.5.1 Position K-1: Team Leader; Minimum Degree in Architecture
 - 6.5.5.2 Position K-2: Minimum degree in Civil Engineering, Structural Engineering or Construction Engineering or similar Qualifications
 - 6.5.5.3 Position K-3: Minimum degree in Electrical Engineering
 - 6.5.5.4 Position K-4 Minimum degree in Quantity Surveying or Equivalent
- 6.5.6 All Key Experts must be registered with respective Professional Bodies

6.6 Work Programme

6.6.2 The Consultant shall:

- 6.6.2.1 Review the programme submitted by the Contractor for the execution of the Works to establish whether the methods, arrangements, order and timing of the activities are realistic and coherent in relation to the conditions pertaining on Site. In particular, the Consultant shall examine the relative timing of drainage and pavement works to ensure that, as far as is practicable, all drainage works are completed in advance of surfacing operations
- 6.6.2.2 Identify from the approved programme the information needed by the Contractor for the execution of the works and ensure that such information is made available to the Contractor in a timely manner. The requirement for detailed drawings and information related to the drainage works should be given adequate consideration.

6.7 Surveying, Setting out and Measurements

6.7.2 The Consultant shall:

- 6.7.2.1 Check all alignment and elevation control provided by the Contractor
- 6.7.2.2 Check all setting out of the works undertaken by the Contractor
- 6.7.2.3 Compile necessary field measurements and calculate quantities of materials incorporated in the works.

6.8 Conferences and Liaison

6.8.2 The Consultant shall:

- 6.8.2.1 Arrange a schedule of progress meetings, site inspections and other job conferences as required and notify those expected to attend. In arranging these meetings, he is expected to maintain and circulate minutes thereof
- 6.8.2.2 Maintain liaison with the contractor principally through the Contractor's superintendents, and assist them in understanding the construction contract drawings and documents.

6.9 Review of Work, Rejection of Defective Work, Inspection and Tests

6.9.2 The Consultant shall:

-
- 6.9.2.1 Conduct on-site observation of the work in progress to determine if the work is proceeding in accordance with the contract schedule, and that the completed work conforms to the contract specifications
 - 6.9.2.2 Inform the contractor when work is to be corrected or rejected or to be uncovered for observation, or special testing, inspection or approval
 - 6.9.2.3 Verify that all laboratory and field tests are carried out as required and that the contractor maintains adequate records thereof
 - 6.9.2.4 Accompany visiting inspectors representing public or other agencies having jurisdiction over the project, and record the outcome of these inspections and report as appropriate
 - 6.9.2.5 Verify that selection and use of materials is in accordance with the specifications. Establish procedures, criteria, and oversee testing to verify the quality of the materials
 - 6.9.2.6 Suggest or review and approve substitute materials when necessary. Estimate the cost of such materials and make appropriate adjustments in the specifications.

6.10 Interpretation of Construction Contract Documents

6.10.2 The Consultant shall:

- 6.10.2.1 Issue in good time additional details and drawings necessary for the proper execution of the contract
- 6.10.2.2 Render interpretations necessary for the proper execution and progress of work, with reasonable promptness and in accordance with agreed time limits
- 6.10.2.3 Render written decisions within a reasonable time, on all claims, disputes and other matters in question relating to the execution or progress of work or the interpretation of the contract documents.

6.11 Modifications

6.11.2 The Consultant shall:

- 6.11.2.1 Consider and evaluate the contractor's suggestions for modifications in drawing or specifications and report them to the Client with recommendations
- 6.11.2.2 Examine contractor's proposals for changes in construction and provide recommendations to the Client for approval when changes affect cost. Changes which do not affect cost or quality may be approved on-site and

recorded in the monthly progress reports. Such changes shall be effected by written orders issued by the Consultant

- 6.11.2.3 Prepare any further design and drawings necessary for the information of the contractor to enable him to carry out the Works. In particular, the Consultant shall issue all instructions related to the works for which the Contract contains only provisional items.

- 6.11.2.4 **Site Meeting Reports**

- 6.11.2.4.1 Site meetings reports shall be prepared and submitted monthly.

- 6.11.2.5 **Accident Reports**

- 6.11.2.5.1 A report of the circumstances of any significant accidents occurring on the site shall be forwarded to the Client with all due dispatch.

- 6.11.2.6 **Claims and Extension of Time Reports**

- 6.11.2.6.1 A report detailing the ARCHITECT assessment of all claims notified by the Contractor shall be prepared and submitted to the Client.

- 6.11.2.7 **Final Report**

- 6.11.2.7.1 Upon completion of the contract, the Consultant shall prepare a Final Report, which shall highlight all major points of interest that arose during the contract. The report will also include the summary of the type, quality, quantities and sources of materials used on the project; contractor's plant and personnel; problems encountered and solutions employed; changes in design and specifications and the reasons therefore; a breakdown of the final cost item by item; a summary of variation orders and expenditures of provisional sums and contingency sums.
 - 6.11.2.7.2 Three (3) copies of Final Report shall be submitted in "Draft" prior to the Consultant's demobilization after issuing the Defects Liability Certificate, and the report shall be finalized within one month of receiving formal comments from the Client. Five (5) copies of the Final Report shall be submitted within 30 days after receipt of the said comments.

6.12 Payment Certificates

6.12.2 The consultant shall review monthly interim payment applications submitted by the Contractor in accordance with the conditions of contract and upon approval forward five copies of the approved payment certificates plus all supporting measurement sheets and supporting documentation within two weeks of receipt from the Contractor with recommendations regarding payment to the Client, who will approve them and send to the Co-ordinator for checking and payment. The certificate shall detail the actual quantities of work items completed to date compared with the total billed quantity for each item together with the contract unit rates for each work item, materials on site, details of day works, price adjustments, any other payments to which the contractor may be entitled to under the contract, and deductions for retentions and advance repayments.

6.13 Completion of Construction

6.13.2 The Consultant shall:

- 6.13.2.1 Inspect the works in the company of representatives of the Client, the Co-ordinator, the Contractor and the Sub-contractor, if any, prior to handing over of any section of the works
- 6.13.2.2 Prepare a final snag list of items to be completed or replaced together with a time schedule for remedying of the same
- 6.13.2.3 Verify that all items on the final snag list have been completed or corrected
- 6.13.2.4 Prior to the commencement of the Defects Liability period for any section, provide written affirmation that the works have been completed in accordance with the requirements of the contract, plans and specifications, and issue a Taking-Over Certificate.

6.14 Defects Liability Period

- 6.14.2 The ARCHITECT will provide on-site supervision of the Contractor's operations for the first month of the Defects Liability Period corresponding to the last section of the project accepted as completed
- 6.14.3 During this period outstanding construction matters will be finalized to the extent possible, and the As-Built drawings completed
- 6.14.4 During the remaining 5 months of the Defects Liability Period corresponding to the last section of the project accepted as substantially completed, the Consultant will be responsible for monitoring the Contractor's operations and for issuing any required certificates.

6.15 Final Completion of Works

6.15.2 Defects Liability Certificate

- 6.15.2.1 Immediately prior to the expiration of the Defects Liability Period for any section of the works for which a Taking-Over Certificate has been issued, the Consultant shall in the company of the Client, the Co-ordinator and the Contractor inspect the said section and provide written affirmation that the works have been completed and maintained in accordance with the contract, and issue a Defects Liability Certificate for the section.

6.15.3 Final Statement

- 6.15.3.1 Upon receipt from the Contractor within 56 days of the issue of the Defects Liability Certificate for the last section for which the defects liability period has expired, the Consultant shall prepare in co-operation with the Contractor the Final Account for the contract.

6.15.4 As-Built Drawing

- 6.15.4.1 The As-Built drawings shall be submitted one month after the substantial completion of the works 2 No. bound sets in A3 size, and a further 2 No. bound sets A1 size, together with 2 No. sets of both A3 and A1 softcopies in formats approved by client shall be provided.

7 LIMITATION ON CONSULTANT'S AUTHORITY

- 7.2 The Consultant shall not authorize any deviation from the construction contract document or approve any substitute materials and equipment, which involve extra expenditure or potential time extensions without the written approval of the Client.

8 SERVICES TO BE PROVIDED BY THE CLIENT

- 8.2 The Client will provide for and assure the cooperation of the Government ministries, departments, local authorities and other agencies as required for carrying out the work, liaison as necessary for this purpose, and will give the consultant access to all work related information.

The Client will assign an Officer from Property and Communications and Customer services Department to be attached to the project and work with the Consult

STANDARD FORM OF CONTRACT

Consultant's Services

Lump-Sum

Contents

PART I	1
Section 1. Letter of Invitation	1
Section 2. Instructions to Consultants and Data Sheet.....	3
A. General Provisions	3
1. Definitions.....	3
2. Introduction	5
3. Conflict of Interest	5
4. Unfair Competitive Advantage	6
5. Corrupt and Fraudulent Practices.....	6
6. Eligibility	6
B. Preparation of Proposal	8
7. General Considerations	8
8. Cost of Preparation of Proposal	8
9. Language	8
10. Documents Comprising the Proposal.....	9
11. Only One Proposal	9
12. Proposal Validity.....	9
13. Clarification and Amendment of RFP.....	10
14. Preparation of Proposal – Specific Considerations.....	11
15. Technical Proposal Format and Content.....	11
16. Financial Proposal	12
C. Submission, Opening and Evaluation	12
17. Submission, Sealing, and Marking of Proposal	12
18. Confidentiality	14
19. Opening of Technical Proposal.....	14
20. Proposal Evaluation	14
21. Evaluation of Technical Proposal	15
22. Financial Proposal for QBS	15
23. Public Opening of Financial Proposal (for QCBS, FBS, and LCS methods)....	15
24. Correction of Errors	16
25. Taxes	16
26. Conversion to Single Currency	16
D. Negotiations and Award.....	18
E. Data Sheet.....	20
Section 3. Technical Proposal – Standard Forms.....	27

Section 4. Financial Proposal - Standard Forms	41
Section 5. Eligible Countries	51
Section 6. Bank Policy – Corrupt and Fraudulent Practices	53
Section 7. Terms of Reference	55
Preface.....	71
I. Form of Contract.....	73
II. General Conditions of Contract	77
A. GENERAL PROVISIONS	77
2. Relationship between the Parties	78
3. Law Governing Contract.....	78
4. Language.....	78
5. Headings	78
6. Communications	78
7. Location	79
8. Authority of Member in Charge	79
9. Authorized Representatives	79
10. Corrupt and Fraudulent Practices.....	79
B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT.....	79
11. Effectiveness of Contract.....	79
12. Termination of Contract for Failure to Become Effective.....	80
13. Commencement of Services	80
14. Expiration of Contract.....	80
15. Entire Agreement	80
16. Modifications or Variations	80
17. Force Majeure	80
18. Suspension	81
19. Termination.....	82
C. OBLIGATIONS OF THE CONSULTANT	84
20. General.....	84
21. Conflict of Interests.....	85
22. Confidentiality	86
23. Liability of the Consultant	86

24. Insurance to be Taken out by the Consultant	86
25. Accounting, Inspection and Auditing	86
26. Reporting Obligations	87
27. Proprietary Rights of the Client in Reports and Records	87
28. Equipment, Vehicles and Materials	87
D. CONSULTANT’S EXPERTS AND SUB-CONSULTANTS	88
29. Description of Key Experts	88
30. Replacement of Key Experts	88
31. Removal of Experts or Sub-consultants	88
E. OBLIGATIONS OF THE CLIENT	88
32. Assistance and Exemptions	88
33. Access to Project Site	89
34. Change in the Applicable Law Related to Taxes and Duties	89
35. Services, Facilities and Property of the Client	90
36. Counterpart Personnel	90
37. Payment Obligation	90
F. PAYMENTS TO THE CONSULTANT	90
38. Contract Price	90
39. Taxes and Duties	90
40. Currency of Payment	90
41. Mode of Billing and Payment	91
42. Interest on Delayed Payments	92
G. FAIRNESS AND GOOD FAITH	92
43. Good Faith	92
H. SETTLEMENT OF DISPUTES	92
44. Amicable Settlement	92
45. Dispute Resolution	92
Attachment 1: Government’s Policy – Corrupt and Fraudulent Practices	93
III. Special Conditions of Contract	95
IV. Appendices	105
Appendix A – Terms of Reference	105
Appendix B - Key Experts	105

Appendix C – Breakdown of Contract Price105

Appendix D - Form of Advance Payments Guarantee109

Preface

1. The standard Contract form consists of four parts: the Form of Contract to be signed by the Client and the Consultant, the General Conditions of Contract (GCC), including Attachment 1 (Government's Policy – Corrupt and Fraudulent Practices); the Special Conditions of Contract (SCC); and the Appendices.
2. The General Conditions of Contract, including Attachment 1, shall not be modified. The Special Conditions of Contract that contain clauses specific to each Contract intend to supplement, but not over-write or otherwise contradict, the General Conditions.

CONTRACT FOR CONSULTANT'S SERVICES

Lump-Sum

**Project Name: CONSULTANCY SERVICES FOR THE DESIGN AND SUPERVISION
OF THE RENOVATION WORKS AT THE TRADDE FAIR AND
SHOW GROUND STANDS**

Contract No. WCFCB/CS/10628/2020

between

WORKER'COMPENSATION FUND CONTROL BOARD

[Name of the Client]

and

[Name of the Consultant]

Dated: _____

I. Form of Contract

LUMP-SUM

(Text in brackets [] is optional; all notes should be deleted in the final text)

This CONTRACT (hereinafter called the “Contract”) is made the *[number]* day of the month of *[month]*, *[year]*, between, on the one hand, *[name of Client or Recipient]* (hereinafter called the “Client”) and, on the other hand, *[name of Consultant]* (hereinafter called the “Consultant”).

*[If the Consultant consist of more than one entity, the above should be partially amended to read as follows: “...(hereinafter called the “Client”) and, on the other hand, a Joint Venture (name of the JV) consisting of the following entities, each member of which will be jointly and severally liable to the Client for all the Consultant’s obligations under this Contract, namely, *[name of member]* and *[name of member]* (hereinafter called the “Consultant”).]*

WHEREAS

- (a) the Client has requested the Consultant to provide certain consulting services as defined in this Contract (hereinafter called the “Services”);
- (b) the Consultant, having represented to the Client that it has the required professional skills, expertise and technical resources, has agreed to provide the Services on the terms and conditions set forth in this Contract;
- (c) the Client has received funds from the *[insert source of financing]*; toward the cost of the Services and intends to apply a portion of the proceeds to eligible payments under this Contract, it being understood that (i) payments by the Client will be made only at the request of the Authorized Representative and upon approval by the Controlling Officer or Chief Executive Officer; (ii) such payments will be subject, in all respects, to the terms and conditions of the Contract, including prohibitions of withdrawal from the funds for the purpose of any payment to persons or entities, or for any import of goods, if such payment or import is prohibited by the decision of the United Nations Security council taken under Chapter VII of the Charter of the United Nations; and (iii) no party other than the Client shall derive any rights from the Contract or have any claim to the proceeds;

NOW THEREFORE the parties hereto hereby agree as follows:

1. The following documents attached hereto shall be deemed to form an integral part of this Contract:
 - (a) The General Conditions of Contract;

- (b) The Special Conditions of Contract;
- (c) Appendices:

- Appendix A: Terms of Reference
- Appendix B: Key Experts
- Appendix C: Breakdown of Contract Price
- Appendix D: Form of Advance Payments Guarantee

In the event of any inconsistency between the documents, the following order of precedence shall prevail: the Special Conditions of Contract; the General Conditions of Contract, including Attachment 1; Appendix A; Appendix B; Appendix C; Appendix D. Any reference to this Contract shall include, where the context permits, a reference to its Appendices.

2. The mutual rights and obligations of the Client and the Consultant shall be as set forth in the Contract, in particular:
 - (a) the Consultant shall carry out the Services in accordance with the provisions of the Contract; and
 - (b) the Client shall make payments to the Consultant in accordance with the provisions of the Contract.

IN WITNESS WHEREOF, the Parties hereto have caused this Contract to be signed in their respective names as of the day and year first above written.

For and on behalf of *[Name of Client]*

[Authorized Representative of the Client – name, title and signature]

For and on behalf of *[Name of Consultant or Name of a Joint Venture]*

[Authorized Representative of the Consultant – name and signature]

[For a joint venture, either all members shall sign or only the lead member, in which case the power of attorney to sign on behalf of all members shall be attached.]

For and on behalf of each of the members of the Consultant *[insert the Name of the Joint Venture]*

[Name of the lead member]

[Authorized Representative on behalf of a Joint Venture]

[add signature blocks for each member if all are signing]

II. General Conditions of Contract

A. GENERAL PROVISIONS

1. Definitions

1.1. Unless the context otherwise requires, the following terms whenever used in this Contract have the following meanings:

- (a) “Applicable Regulations” means Public Procurement Regulations, Statutory Instrument N^o. 63 of 2011.
- (b) “Applicable Law” means the Laws of Zambia and any other instruments having the force of law in Zambia, as they may be issued and in force from time to time.
- (c) “Client” means the Procuring Entity or implementing agency that signs the Contract for the Services with the Selected Consultant.
- (d) “Consultant” means a legally-established professional consulting firm or entity selected by the Client to provide the Services under the signed Contract.
- (e) “Contract” means the legally binding written agreement signed between the Client and the Consultant and which includes all the attached documents listed in its paragraph 1 of the Form of Contract (the General Conditions (GCC), the Special Conditions (SCC), and the Appendices).
- (f) “Day” means a working day unless indicated otherwise.
- (g) “Effective Date” means the date on which this Contract comes into force and effect pursuant to Clause GCC 11.
- (h) “Experts” means, collectively, Key Experts, Non-Key Experts, or any other personnel of the Consultant, Sub-consultant or JV member(s) assigned by the Consultant to perform the Services or any part thereof under the Contract.
- (i) “Foreign Currency” means any currency other than the currency of Zambia.
- (j) “GCC” means these General Conditions of Contract.
- (k) “Government” means the government of Zambia.
- (l) “Joint Venture (JV)” means an association with or without a legal personality distinct from that of its members, of more than one entity where one member has the authority to conduct all businesses for and on behalf of any and all the members of the

JV, and where the members of the JV are jointly and severally liable to the Client for the performance of the Contract.

- (m) “Key Expert(s)” means an individual professional whose skills, qualifications, knowledge and experience are critical to the performance of the Services under the Contract and whose Curricula Vitae (CV) was taken into account in the technical evaluation of the Consultant’s proposal.
- (n) “Local Currency” means the currency of Zambia.
- (o) “Non-Key Expert(s)” means an individual professional provided by the Consultant or its Sub-consultant to perform the Services or any part thereof under the Contract.
- (p) “Party” means the Client or the Consultant, as the case may be, and “Parties” means both of them.
- (q) “SCC” means the Special Conditions of Contract by which the GCC may be amended or supplemented but not over-written.
- (r) “Services” means the work to be performed by the Consultant pursuant to this Contract, as described in Appendix A hereto.
- (s) “Sub-consultants” means an entity to whom/which the Consultant subcontracts any part of the Services while remaining solely liable for the execution of the Contract.
- (t) “Third Party” means any person or entity other than the Government, the Client, the Consultant or a Sub-consultant.

2. Relationship between the Parties

2.1. Nothing contained herein shall be construed as establishing a relationship of master and servant or of principal and agent as between the Client and the Consultant. The Consultant, subject to this Contract, has complete charge of the Experts and Sub-consultants, if any, performing the Services and shall be fully responsible for the Services performed by them or on their behalf hereunder.

3. Law Governing Contract

3.1. This Contract, its meaning and interpretation, and the relation between the Parties shall be governed by the Applicable Law.

4. Language

4.1. This Contract has been executed in **English**, which shall be the binding and controlling language for all matters relating to the meaning or interpretation of this Contract.

5. Headings

5.1. The headings shall not limit, alter or affect the meaning of this Contract.

6. Communications

6.1. Any communication required or permitted to be given or made pursuant to this Contract shall be in writing in the language specified

in Clause GCC 4. Any such notice, request or consent shall be deemed to have been given or made when delivered in person to an authorized representative of the Party to whom the communication is addressed, or when sent to such Party at the address specified in the **SCC**.

6.2. A Party may change its address for notice hereunder by giving the other Party any communication of such change to the address specified in the **SCC**.

7. Location

7.1. The Services shall be performed at such locations as are specified in **Appendix A** hereto and, where the location of a particular task is not so specified, at such locations, whether in the Government's country or elsewhere, as the Client may approve.

8. Authority of Member in Charge

8.1. In case the Consultant is a Joint Venture, the members hereby authorize the member specified in the **SCC** to act on their behalf in exercising all the Consultant's rights and obligations towards the Client under this Contract, including without limitation the receiving of instructions and payments from the Client.

9. Authorized Representatives

9.1. Any action required or permitted to be taken, and any document required or permitted to be executed under this Contract by the Client or the Consultant may be taken or executed by the officials specified in the **SCC**.

10. Corrupt and Fraudulent Practices

10.1. The Government requires compliance with its policy in regard to corrupt and fraudulent practices as set forth in **Attachment 1** to the GCC.

a. Commissions and Fees

10.2. The Client requires the Consultant to disclose any commissions, gratuities or fees that may have been paid or are to be paid to agents or any other party with respect to the selection process or execution of the Contract. The information disclosed must include at least the name and address of the agent or other party, the amount and currency, and the purpose of the commission, gratuity or fee. Failure to disclose such commissions, gratuities or fees may result in termination of the Contract and/or sanctions by ZPPA.

B. COMMENCEMENT, COMPLETION, MODIFICATION AND TERMINATION OF CONTRACT

11. Effectiveness of Contract

11.1. This Contract shall come into force and effect on the date (the "Effective Date") of the Client's notice to the Consultant instructing the Consultant to begin carrying out the Services. This notice shall confirm that the effectiveness conditions, if any, listed in the **SCC** have been met.

- 12. Termination of Contract for Failure to Become Effective** 12.1. If this Contract has not become effective within such time period after the date of Contract signature as specified in the **SCC**, either Party may, by not less than twenty two (22) days written notice to the other Party, declare this Contract to be null and void, and in the event of such a declaration by either Party, neither Party shall have any claim against the other Party with respect hereto.
- 13. Commencement of Services** 13.1. The Consultant shall confirm availability of Key Experts and begin carrying out the Services not later than the number of days after the Effective Date specified in the **SCC**.
- 14. Expiration of Contract** 14.1. Unless terminated earlier pursuant to Clause GCC 19 hereof, this Contract shall expire at the end of such time period after the Effective Date as specified in the **SCC**.
- 15. Entire Agreement** 15.1. This Contract contains all covenants, stipulations and provisions agreed by the Parties. No agent or representative of either Party has authority to make, and the Parties shall not be bound by or be liable for, any statement, representation, promise or agreement not set forth herein.
- 16. Modifications or Variations** 16.1. Any modification or variation of the terms and conditions of this Contract, including any modification or variation of the scope of the Services, may only be made by written agreement between the Parties. However, each Party shall give due consideration to any proposal for modification or variation made by the other Party.
- 16.2. In cases of substantial modifications or variations, the prior written consent of ZPPA is required.
- 17. Force Majeure**
- a. Definition** 17.1. For the purposes of this Contract, “Force Majeure” means an event which is beyond the reasonable control of a Party, is not foreseeable, is unavoidable, and makes a Party’s performance of its obligations hereunder impossible or so impractical as reasonably to be considered impossible under the circumstances, and subject to those requirements, includes, but is not limited to, war, riots, civil disorder, earthquake, fire, explosion, storm, flood or other adverse weather conditions, strikes, lockouts or other industrial action confiscation or any other action by Government agencies.
- 17.2. Force Majeure shall not include (i) any event which is caused by the negligence or intentional action of a Party or such Party’s Experts, Sub-consultants or agents or employees, nor (ii) any event which a diligent Party could reasonably have been expected to both take into account at the time of the conclusion of this Contract, and avoid or overcome in the carrying out of its obligations hereunder.

17.3. Force Majeure shall not include insufficiency of funds or failure to make any payment required hereunder.

b. No Breach of Contract

17.4. The failure of a Party to fulfill any of its obligations hereunder shall not be considered to be a breach of, or default under, this Contract insofar as such inability arises from an event of Force Majeure, provided that the Party affected by such an event has taken all reasonable precautions, due care and reasonable alternative measures, all with the objective of carrying out the terms and conditions of this Contract.

c. Measures to be Taken

17.5. A Party affected by an event of Force Majeure shall continue to perform its obligations under the Contract as far as is reasonably practical, and shall take all reasonable measures to minimize the consequences of any event of Force Majeure.

17.6. A Party affected by an event of Force Majeure shall notify the other Party of such event as soon as possible, and in any case not later than fourteen (14) calendar days following the occurrence of such event, providing evidence of the nature and cause of such event, and shall similarly give written notice of the restoration of normal conditions as soon as possible.

17.7. Any period within which a Party shall, pursuant to this Contract, complete any action or task, shall be extended for a period equal to the time during which such Party was unable to perform such action as a result of Force Majeure.

17.8. During the period of their inability to perform the Services as a result of an event of Force Majeure, the Consultant, upon instructions by the Client, shall either:

- (a) demobilize, in which case the Consultant shall be reimbursed for additional costs they reasonably and necessarily incurred, and, if required by the Client, in reactivating the Services; or
- (b) continue with the Services to the extent reasonably possible, in which case the Consultant shall continue to be paid under the terms of this Contract and be reimbursed for additional costs reasonably and necessarily incurred.

17.9. In the case of disagreement between the Parties as to the existence or extent of Force Majeure, the matter shall be settled according to Clauses GCC 44 & 45.

18. Suspension

18.1. The Client may, by written notice of suspension to the Consultant, suspend all payments to the Consultant hereunder if the

Consultant fails to perform any of its obligations under this Contract, including the carrying out of the Services, provided that such notice of suspension (i) shall specify the nature of the failure, and (ii) shall request the Consultant to remedy such failure within a period not exceeding thirty (30) calendar days after receipt by the Consultant of such notice of suspension.

19. Termination

19.1. This Contract may be terminated by either Party as per provisions set up below:

a. By the Client

19.1.1. The Client may terminate this Contract in case of the occurrence of any of the events specified in paragraphs (a) through (f) of this Clause. In such an occurrence the Client shall give at least thirty (30) calendar days' written notice of termination to the Consultant in case of the events referred to in (a) through (d); at least sixty (60) calendar days' written notice in case of the event referred to in (e); and at least five (5) calendar days' written notice in case of the event referred to in (f):

- (a) If the Consultant fails to remedy a failure in the performance of its obligations hereunder, as specified in a notice of suspension pursuant to Clause GCC 18;
- (b) If the Consultant becomes (or, if the Consultant consists of more than one entity, if any of its members becomes) insolvent or bankrupt or enter into any agreements with their creditors for relief of debt or take advantage of any law for the benefit of debtors or go into liquidation or receivership whether compulsory or voluntary;
- (c) If the Consultant fails to comply with any final decision reached as a result of arbitration proceedings pursuant to Clause GCC 45.1;
- (d) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days;
- (e) If the Client, in its sole discretion and for any reason whatsoever, decides to terminate this Contract;
- (f) If the Consultant fails to confirm availability of Key Experts as required in Clause GCC 13.

19.1.2. Furthermore, if the Client determines that the Consultant has engaged in corrupt, fraudulent, collusive, coercive or obstructive practices, in competing for or in executing the Contract, then the Client may, after giving fourteen (14) calendar

days written notice to the Consultant, terminate the Consultant's employment under the Contract.

b. By the Consultant

19.1.3. The Consultant may terminate this Contract, by not less than thirty (30) calendar days' written notice to the Client, in case of the occurrence of any of the events specified in paragraphs (a) through (d) of this Clause.

- (a) If the Client fails to pay any money due to the Consultant pursuant to this Contract and not subject to dispute pursuant to Clause GCC 45.1 within forty-five (45) calendar days after receiving written notice from the Consultant that such payment is overdue.
- (b) If, as the result of Force Majeure, the Consultant is unable to perform a material portion of the Services for a period of not less than sixty (60) calendar days.
- (c) If the Client fails to comply with any final decision reached as a result of arbitration pursuant to Clause GCC 45.1.
- (d) If the Client is in material breach of its obligations pursuant to this Contract and has not remedied the same within forty-five (45) days (or such longer period as the Consultant may have subsequently approved in writing) following the receipt by the Client of the Consultant's notice specifying such breach.

c. Cessation of Rights and Obligations

19.1.4. Upon termination of this Contract pursuant to Clauses GCC 12 or GCC 19 hereof, or upon expiration of this Contract pursuant to Clause GCC 14, all rights and obligations of the Parties hereunder shall cease, except (i) such rights and obligations as may have accrued on the date of termination or expiration, (ii) the obligation of confidentiality set forth in Clause GCC 22, (iii) the Consultant's obligation to permit inspection, copying and auditing of their accounts and records set forth in Clause GCC 25, and (iv) any right which a Party may have under the Applicable Law.

d. Cessation of Services

19.1.5. Upon termination of this Contract by notice of either Party to the other pursuant to Clauses GCC 19a or GCC 19b, the Consultant shall, immediately upon dispatch or receipt of such notice, take all necessary steps to bring the Services to a close in a prompt and orderly manner and shall make every reasonable effort to keep expenditures for this purpose to a minimum. With respect to documents prepared by the Consultant and equipment and materials furnished by the Client, the Consultant shall

proceed as provided, respectively, by Clauses GCC 27 or GCC 28.

**e. Payment
upon
Termination**

19.1.6. Upon termination of this Contract, the Client shall make the following payments to the Consultant:

- (a) payment for Services satisfactorily performed prior to the effective date of termination; and
- (b) in the case of termination pursuant to paragraphs (d) and (e) of Clause GCC 19.1.1, reimbursement of any reasonable cost incidental to the prompt and orderly termination of this Contract, including the cost of the return travel of the Experts.

C. OBLIGATIONS OF THE CONSULTANT

20. General

**a. Standard of
Performance**

20.1 The Consultant shall perform the Services and carry out the Services with all due diligence, efficiency and economy, in accordance with generally accepted professional standards and practices, and shall observe sound management practices, and employ appropriate technology and safe and effective equipment, machinery, materials and methods. The Consultant shall always act, in respect of any matter relating to this Contract or to the Services, as a faithful adviser to the Client, and shall at all times support and safeguard the Client's legitimate interests in any dealings with the third parties.

20.2. The Consultant shall employ and provide such qualified and experienced Experts and Sub-consultants as are required to carry out the Services.

20.3. The Consultant may subcontract part of the Services to an extent and with such Key Experts and Sub-consultants as may be approved in advance by the Client. Notwithstanding such approval, the Consultant shall retain full responsibility for the Services.

**b. Law
Applicable to
Services**

20.4. The Consultant shall perform the Services in accordance with the Contract and the Applicable Law and shall take all practicable steps to ensure that any of its Experts and Sub-consultants, comply with the Applicable Law.

20.5. Throughout the execution of the Contract, the Consultant shall comply with the import of goods and services prohibitions in Zambia when

- (a) as a matter of law or official regulations, the Government prohibits commercial relations with that country; or
- (b) by an act of compliance with a decision of the United Nations Security Council taken under Chapter VII of the Charter of the United Nations, the Government prohibits any import of goods from that country or any payments to any country, person, or entity in that country.

20.6. The Client shall notify the Consultant in writing of relevant local customs, and the Consultant shall, after such notification, respect such customs.

21. Conflict of Interests

21.1. The Consultant shall hold the Client's interests paramount, without any consideration for future work, and strictly avoid conflict with other assignments or their own corporate interests.

a. Consultant Not to Benefit from Commissions, Discounts, etc.

21.1.1 The payment of the Consultant pursuant to GCC F (Clauses GCC 38 through 42) shall constitute the Consultant's only payment in connection with this Contract and, subject to Clause GCC 21.1.3, the Consultant shall not accept for its own benefit any trade commission, discount or similar payment in connection with activities pursuant to this Contract or in the discharge of its obligations hereunder, and the Consultant shall use its best efforts to ensure that any Sub-consultants, as well as the Experts and agents of either of them, similarly shall not receive any such additional payment.

21.1.2 Furthermore, if the Consultant, as part of the Services, has the responsibility of advising the Client on the procurement of goods, works or services, the Consultant shall comply with the Applicable Regulations, and shall at all times exercise such responsibility in the best interest of the Client. Any discounts or commissions obtained by the Consultant in the exercise of such procurement responsibility shall be for the account of the Client.

b. Consultant and Affiliates Not to Engage in Certain Activities

21.1.3 The Consultant agrees that, during the term of this Contract and after its termination, the Consultant and any entity affiliated with the Consultant, as well as any Sub-consultants and any entity affiliated with such Sub-consultants, shall be disqualified from providing goods, works or non-consulting services resulting from or directly related to the Consultant's Services for the preparation or implementation of the project, unless otherwise indicated in the SCC.

c. Prohibition of Conflicting Activities

21.1.4 The Consultant shall not engage, and shall cause its Experts as well as its Sub-consultants not to engage, either directly or indirectly, in any business or professional activities

that would conflict with the activities assigned to them under this Contract.

d. Strict Duty to Disclose Conflicting Activities

21.1.5 The Consultant has an obligation and shall ensure that its Experts and Sub-consultants shall have an obligation to disclose any situation of actual or potential conflict that impacts their capacity to serve the best interest of their Client, or that may reasonably be perceived as having this effect. Failure to disclose said situations may lead to the disqualification of the Consultant or the termination of its Contract.

22. Confidentiality

22.1 Except with the prior written consent of the Client, the Consultant and the Experts shall not at any time communicate to any person or entity any confidential information acquired in the course of the Services, nor shall the Consultant and the Experts make public the recommendations formulated in the course of, or as a result of, the Services.

23. Liability of the Consultant

23.1 Subject to additional provisions, if any, set forth in the SCC, the Consultant's liability under this Contract shall be provided by the Applicable Law.

24. Insurance to be Taken out by the Consultant

24.1 The Consultant (i) shall take out and maintain, and shall cause any Sub-consultants to take out and maintain, at its (or the Sub-consultants', as the case may be) own cost but on terms and conditions approved by the Client, insurance against the risks, and for the coverage specified in the SCC, and (ii) at the Client's request, shall provide evidence to the Client showing that such insurance has been taken out and maintained and that the current premiums therefore have been paid. The Consultant shall ensure that such insurance is in place prior to commencing the Services as stated in Clause GCC 13.

25. Accounting, Inspection and Auditing

25.1 The Consultant shall keep, and shall make all reasonable efforts to cause its Sub-consultants to keep, accurate and systematic accounts and records in respect of the Services and in such form and detail as will clearly identify relevant time changes and costs.

25.2 The Consultant shall permit and shall cause its Sub-consultants to permit, the Government and/or persons appointed by the Government to inspect the Site and/or all accounts and records relating to the performance of the Contract and the submission of the Proposal to provide the Services, and to have such accounts and records audited by auditors appointed by the Government if requested by the Government. The Consultant's attention is drawn to Clause GCC 10 which provides, inter alia, that acts intended to materially impede the exercise of the Government's inspection and audit rights provided for under this Clause GCC25.2 constitute a prohibited practice subject to

contract termination (as well as to a determination of ineligibility under ZPPA's prevailing sanctions procedures.)

**26. Reporting
Obligations**

26.1 The Consultant shall submit to the Client the reports and documents specified in **Appendix A**, in the form, in the numbers and within the time periods set forth in the said Appendix.

**27. Proprietary Rights
of the Client in
Reports and
Records**

27.1 Unless otherwise indicated in the **SCC**, all reports and relevant data and information such as maps, diagrams, plans, databases, other documents and software, supporting records or material compiled or prepared by the Consultant for the Client in the course of the Services shall be confidential and become and remain the absolute property of the Client. The Consultant shall, not later than upon termination or expiration of this Contract, deliver all such documents to the Client, together with a detailed inventory thereof. The Consultant may retain a copy of such documents, data and/or software but shall not use the same for purposes unrelated to this Contract without prior written approval of the Client.

27.2 If license agreements are necessary or appropriate between the Consultant and third parties for purposes of development of the plans, drawings, specifications, designs, databases, other documents and software, the Consultant shall obtain the Client's prior written approval to such agreements, and the Client shall be entitled at its discretion to require recovering the expenses related to the development of the program(s) concerned. Other restrictions about the future use of these documents and software, if any, shall be specified in the **SCC**.

**28. Equipment,
Vehicles and
Materials**

28.1 Equipment, vehicles and materials made available to the Consultant by the Client, or purchased by the Consultant wholly or partly with funds provided by the Client, shall be the property of the Client and shall be marked accordingly. Upon termination or expiration of this Contract, the Consultant shall make available to the Client an inventory of such equipment, vehicles and materials and shall dispose of such equipment, vehicles and materials in accordance with the Client's instructions. While in possession of such equipment, vehicles and materials, the Consultant, unless otherwise instructed by the Client in writing, shall insure them at the expense of the Client in an amount equal to their full replacement value.

28.2 Any equipment or materials brought by the Consultant or its Experts into Zambia for the use either for the project or personal use shall remain the property of the Consultant or the Experts concerned, as applicable.

D. CONSULTANT'S EXPERTS AND SUB-CONSULTANTS

- 29. Description of Key Experts** 29.1 The title, agreed job description, minimum qualification and estimated period of engagement to carry out the Services of each of the Consultant's Key Experts are described in **Appendix B**.
- 30. Replacement of Key Experts** 30.1 Except as the Client may otherwise agree in writing, no changes shall be made in the Key Experts.
- 30.2 Notwithstanding the above, the substitution of Key Experts during Contract execution may be considered only based on the Consultant's written request and due to circumstances outside the reasonable control of the Consultant, including but not limited to death or medical incapacity. In such case, the Consultant shall forthwith provide as a replacement, a person of equivalent or better qualifications and experience, and at the same rate of remuneration.
- 31. Removal of Experts or Sub-consultants** 31.1 If the Client finds that any of the Experts or Sub-consultant has committed serious misconduct or has been charged with having committed a criminal action, or shall the Client determine that Consultant's Expert of Sub-consultant have engaged in corrupt, fraudulent, collusive, coercive or obstructive practice while performing the Services, the Consultant shall, at the Client's written request, provide a replacement.
- 31.2 In the event that any of Key Experts, Non-Key Experts or Sub-consultants is found by the Client to be incompetent or incapable in discharging assigned duties, the Client, specifying the grounds therefore, may request the Consultant to provide a replacement.
- 31.3 Any replacement of the removed Experts or Sub-consultants shall possess better qualifications and experience and shall be acceptable to the Client.
- 31.4 The Consultant shall bear all costs arising out of or incidental to any removal and/or replacement of such Experts.

E. OBLIGATIONS OF THE CLIENT

- 32. Assistance and Exemptions** 32.1 Unless otherwise specified in the SCC, the Client shall use its best efforts to:
- (a) Assist the Consultant with obtaining work permits and such other documents as shall be necessary to enable the Consultant to perform the Services.
 - (b) Assist the Consultant with promptly obtaining, for the Experts and, if appropriate, their eligible dependents, all necessary entry

and exit visas, residence permits, exchange permits and any other documents required for their stay in the Client's country while carrying out the Services under the Contract.

- (c) Facilitate prompt clearance through customs of any property required for the Services and of the personal effects of the Experts and their eligible dependents.
- (c) Issue to officials, agents and representatives of the Government all such instructions and information as may be necessary or appropriate for the prompt and effective implementation of the Services.
- (d) Assist the Consultant and the Experts and any Sub-consultants employed by the Consultant for the Services with obtaining exemption from any requirement to register or obtain any permit to practice their profession or to establish themselves either individually or as a corporate entity in Zambia according to the applicable law in Zambia.
- (e) Assist the Consultant, any Sub-consultants and the Experts of either of them with obtaining the privilege, pursuant to the applicable law in Zambia, of bringing into Zambia reasonable amounts of foreign currency for the purposes of the Services or for the personal use of the Experts and of withdrawing any such amounts as may be earned therein by the Experts in the execution of the Services.
- (f) Provide to the Consultant any such other assistance as may be specified in the SCC.

33. Access to Project Site

33.1 The Client warrants that the Consultant shall have, free of charge, unimpeded access to the project site in respect of which access is required for the performance of the Services. The Client will be responsible for any damage to the project site or any property thereon resulting from such access and will indemnify the Consultant and each of the experts in respect of liability for any such damage, unless such damage is caused by the willful default or negligence of the Consultant or any Sub-consultants or the Experts of either of them.

34. Change in the Applicable Law Related to Taxes and Duties

34.1 If, after the date of this Contract, there is any change in the applicable law in Zambia with respect to taxes and duties which increases or decreases the cost incurred by the Consultant in performing the Services, then the remuneration and reimbursable expenses otherwise payable to the Consultant under this Contract shall be increased or decreased accordingly by agreement between the Parties hereto, and corresponding adjustments shall be made to the Contract price amount specified in Clause GCC 38.1

- 35. Services, Facilities and Property of the Client** 35.1 The Client shall make available to the Consultant and the Experts, for the purposes of the Services and free of any charge, the services, facilities and property described in the Terms of Reference (**Appendix A**) at the times and in the manner specified in said **Appendix A**.
- 36. Counterpart Personnel** 36.1 The Client shall make available to the Consultant free of charge such professional and support counterpart personnel, to be nominated by the Client with the Consultant's advice, if specified in **Appendix A**.
- 36.2 Professional and support counterpart personnel, excluding Client's liaison personnel, shall work under the exclusive direction of the Consultant. If any member of the counterpart personnel fails to perform adequately any work assigned to such member by the Consultant that is consistent with the position occupied by such member, the Consultant may request the replacement of such member, and the Client shall not unreasonably refuse to act upon such request.
- 37. Payment Obligation** 37.1 In consideration of the Services performed by the Consultant under this Contract, the Client shall make such payments to the Consultant for the deliverables specified in **Appendix A** and in such manner as is provided by GCC F below.
- F. PAYMENTS TO THE CONSULTANT**
- 38. Contract Price** 38.1 The Contract price is fixed and is set forth in the **SCC**. The Contract price breakdown is provided in **Appendix C**.
- 38.2 Any change to the Contract price specified in Clause 38.1 can be made only if the Parties have agreed to the revised scope of Services pursuant to Clause GCC 16 and have amended in writing the Terms of Reference in **Appendix A**.
- 39. Taxes and Duties** 39.1 The Consultant, Sub-consultants and Experts are responsible for meeting any and all tax liabilities arising out of the Contract unless it is stated otherwise in the **SCC**.
- 39.2 As an exception to the above and as stated in the **SCC**, all local identifiable indirect taxes (itemized and finalized at Contract negotiations) are reimbursed to the Consultant or are paid by the Client on behalf of the Consultant.
- 40. Currency of Payment** 40.1 Any payment under this Contract shall be made in the currency(ies) of the Contract.

41. Mode of Billing and Payment

41.1 The total payments under this Contract shall not exceed the Contract price set forth in Clause GCC 38.1.

41.2 The payments under this Contract shall be made in lump-sum installments against deliverables specified in **Appendix A**. The payments will be made according to the payment schedule stated in the **SCC**.

41.2.1 Advance payment: Unless otherwise indicated in the **SCC**, an advance payment shall be made against an advance payment bank guarantee acceptable to the Client in an amount (or amounts) and in a currency (or currencies) specified in the **SCC**. Such guarantee (i) is to remain effective until the advance payment has been fully set off, and (ii) is to be in the form set forth in **Appendix D**, or in such other form as the Client shall have approved in writing. The advance payments will be set off by the Client in equal portions against the lump-sum installments specified in the **SCC** until said advance payments have been fully set off.

41.2.2 The Lump-Sum Installment Payments. The Client shall pay the Consultant within sixty (60) days after the receipt by the Client of the deliverable(s) and the cover invoice for the related lump-sum installment payment. The payment can be withheld if the Client does not approve the submitted deliverable(s) as satisfactory in which case the Client shall provide comments to the Consultant within the same sixty (60) days period. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated.

41.2.3 The Final Payment .The final payment under this Clause shall be made only after the final report have been submitted by the Consultant and approved as satisfactory by the Client. The Services shall then be deemed completed and finally accepted by the Client. The last lump-sum installment shall be deemed approved for payment by the Client within ninety (90) calendar days after receipt of the final report by the Client unless the Client, within such ninety (90) calendar day period, gives written notice to the Consultant specifying in detail deficiencies in the Services, the final report. The Consultant shall thereupon promptly make any necessary corrections, and thereafter the foregoing process shall be repeated.

41.2.4 All payments under this Contract shall be made to the accounts of the Consultant specified in the **SCC**.

41.2.4 With the exception of the final payment under 41.2.3 above, payments do not constitute acceptance of the whole

Services nor relieve the Consultant of any obligations hereunder.

42. Interest on Delayed Payments

42.1 If the Client had delayed payments beyond fifteen (15) days after the due date stated in Clause GCC 41.2.2 , interest shall be paid to the Consultant on any amount due by, not paid on, such due date for each day of delay at the annual rate stated in the **SCC**.

G. FAIRNESS AND GOOD FAITH

43. Good Faith

43.1 The Parties undertake to act in good faith with respect to each other's rights under this Contract and to adopt all reasonable measures to ensure the realization of the objectives of this Contract.

H. SETTLEMENT OF DISPUTES

44. Amicable Settlement

44.1 The Parties shall seek to resolve any dispute amicably by mutual consultation.

44.2 If either Party objects to any action or inaction of the other Party, the objecting Party may file a written Notice of Dispute to the other Party providing in detail the basis of the dispute. The Party receiving the Notice of Dispute will consider it and respond in writing within fourteen (14) days after receipt. If that Party fails to respond within fourteen (14) days, or the dispute cannot be amicably settled within fourteen (14) days following the response of that Party, Clause GCC 49.1 shall apply.

45. Dispute Resolution

45.1 Any dispute between the Parties arising under or related to this Contract that cannot be settled amicably may be referred to by either Party to the adjudication/arbitration in accordance with the provisions specified in the **SCC**.

II. General Conditions

Attachment 1: Government’s Policy – Corrupt and Fraudulent Practices

(the text in this Attachment 1 shall not be modified)

“Fraud and Corruption

1.23 It is the Government’s policy to require that Procuring Entities (including beneficiaries of Government funds), consultants, and their agents (whether declared or not), sub-contractors, sub-consultants, service providers, or suppliers, and any personnel thereof, observe the highest standard of ethics during the selection and execution of Government-financed contracts [footnote: In this context, any action taken by a consultant or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, to influence the selection process or contract execution for undue advantage is improper.]. In pursuance of this policy, the Government:

(a) defines, for the purposes of this provision, the terms set forth below as follows:

- (i) “corrupt practice” is the offering, giving, receiving, or soliciting, directly or indirectly, of anything of value to influence improperly the actions of another party⁶;
- (ii) “fraudulent practice” is any act or omission, including misrepresentation, that knowingly or recklessly misleads, or attempts to mislead, a party to obtain financial or other benefit or to avoid an obligation⁷;
- (iii) “collusive practices” is an arrangement between two or more parties designed to achieve an improper purpose, including to influence improperly the actions of another party⁸;

⁶ For the purpose of this sub-paragraph, “another party” refers to a public official acting in relation to the selection process or contract execution. In this context “public official” includes World Bank staff and employees of other organizations taking or reviewing selection decisions.

⁷ For the purpose of this sub-paragraph, “party” refers to a public official; the terms “benefit” and “obligation” relate to the selection process or contract execution; and the “act or omission” is intended to influence the selection process or contract execution.

⁸ For the purpose of this sub-paragraph, “parties” refers to participants in the procurement or selection process (including public officials) attempting either themselves, or through another person or entity not participating in the procurement or selection process, to simulate competition or to establish prices at artificial, non-competitive levels, or are privy to each other’s bid prices or other conditions.

- (iv) “coercive practices” is impairing or harming, or threatening to impair or harm, directly or indirectly, any party or the property of the party to influence improperly the actions of a party⁹;
- (v) “obstructive practice” is
 - (aa) deliberately destroying, falsifying, altering, or concealing of evidence material to the investigation or making false statements to investigators in order to materially impede a Government investigation into allegations of a corrupt, fraudulent, coercive, or collusive practice; and/or threatening, harassing, or intimidating any party to prevent it from disclosing its knowledge of matters relevant to the investigation or from pursuing the investigation, or
 - (bb) acts intended to materially impede the exercise of the Government’s inspection and audit rights;
- (b) will reject a proposal for award if it determines that the consultant recommended for award or any of its personnel, or its agents, or its sub-consultants, sub-contractors, services providers, suppliers, and/or their employees, has, directly or indirectly, engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices in competing for the contract in question;
- (c) will declare misprocurement and cancel the portion of the funds allocated to a contract if it determines at any time that representatives of the Procuring Entity or of a recipient of any part of the proceeds were engaged in corrupt, fraudulent, collusive, coercive, or obstructive practices during the selection process or the implementation of the contract in question, without the Procuring Entity having taken timely and appropriate action satisfactory to the Government to address such practices when they occur, including by failing to inform the Government in a timely manner they knew of the practices;
- (d) will sanction a firm or an individual at any time, in accordance with prevailing sanctions procedures, including by publicly declaring such firm or individual ineligible, either indefinitely or for a stated period of time: (i) to be awarded a Government-financed contract, and (ii) to be a nominated¹⁰ sub-consultant, supplier, or service provider of an otherwise eligible firm being awarded a Government-financed contract.

⁹ For the purpose of this sub-paragraph, “party” refers to a participant in the selection process or contract execution.

¹⁰ A nominated sub-consultant, supplier, or service provider is one which has been either (i) included by the consultant in its proposal because it brings specific and critical experience and know-how that are accounted for in the technical evaluation of the consultant’s proposal for the particular services; or (ii) appointed by the Borrower.

III. Special Conditions of Contract

[Notes in brackets are for guidance purposes only and should be deleted in the final text of the signed contract]

Number of GC Clause	Amendments of, and Supplements to, Clauses in the General Conditions of Contract
1.1(b) and 3.1	The Contract shall be construed in accordance with the laws of the Republic of Zambia.
6.1 and 6.2	<p>The addresses are:</p> <p>Client: WORKERS' COMPENSATION FUND CONTROL BOARD CORNER OF MOFFAT/BROADWAY NDOLA Attention: <u>Ms. Chileshe P. Mulenga</u> E-mail (where permitted): <u>cmulenga@workers.com.zm</u> Consultant : _____ _____ Attention : _____ Facsimile : _____ E-mail (where permitted) : _____</p>
8.1	<p><i>[If the Consultant consists only of one entity, state "N/A";</i> <i>OR</i> <i>If the Consultant is a Joint Venture consisting of more than one entity, the name of the JV member whose address is specified in Clause SCC6.1 should be inserted here.]</i></p> <p>The Lead Member on behalf of the JV is _____ _____ <i>[insert name of the member]</i></p>
9.1	<p>The Authorized Representatives are:</p> <p>For the Client: Chileshe P. Mulenga – Manager Properties</p> <p>For the Consultant: [name, title] _____</p>
11.1	The effectiveness conditions are the following: <i>the signing and witnessing of the contract by both parties thus confirming acceptance</i>
12.1	Termination of Contract for Failure to Become Effective: the time period shall be three(3) months from the date of execution of contract

	<p>The time period shall be _____ <i>[insert time period, e.g.: four months]</i>.</p>
13.1	<p>Commencement of Services: upon execution of the contract</p> <p>The number of days shall be _____ <i>[e.g.: ten]</i>.</p> <p>Confirmation of Key Experts' availability to start the Assignment shall be submitted to the Client in writing as a written statement signed by each Key Expert.</p>
14.1	<p>Expiration of Contract:</p> <p>The time period shall be _____ <i>[insert time period, e.g.: twelve months]</i>.</p>
21 b.	<p>The Client reserves the right to determine on a case-by-case basis whether the Consultant should be disqualified from providing goods, works or non-consulting services due to a conflict of a nature described in Clause GCC 21.1.3</p> <p>Yes _____ No _____</p>

23.1	<p>No additional provisions.</p> <p><i>[OR</i></p> <p>The following limitation of the Consultant's Liability towards the Client can be subject to the Contract's negotiations:</p> <p>"Limitation of the Consultant's Liability towards the Client:</p> <p>(a) Except in the case of gross negligence or willful misconduct on the part of the Consultant or on the part of any person or a firm acting on behalf of the Consultant in carrying out the Services, the Consultant, with respect to damage caused by the Consultant to the Client's property, shall not be liable to the Client:</p> <p style="padding-left: 40px;">(i) for any indirect or consequential loss or damage; and</p> <p style="padding-left: 40px;">(ii) for any direct loss or damage that exceeds [insert a multiplier, e.g.: one, two, three] times the total value of the Contract;</p> <p>(b) This limitation of liability shall not</p> <p style="padding-left: 40px;">(i) affect the Consultant's liability, if any, for damage to Third Parties caused by the Consultant or any person or firm acting on behalf of the Consultant in carrying out the Services;</p> <p style="padding-left: 40px;">(ii) be construed as providing the Consultant with any limitation or exclusion from liability which is prohibited by the [insert "Applicable Law", if it is the law of Zambia, or insert "applicable law in Zambia", if the Applicable Law stated in Clause SCC1.1 (b) is different from the law of Zambia].</p> <p><i>[Notes to the Client and the Consultant: Any suggestions made by the Consultant in the Proposal to introduce exclusions/limitations of the Consultant's liability under the Contract should be carefully scrutinized by the Client and discussed with ZPPA prior to accepting any changes to what was included in the issued RFP.</i></p> <p><i>The Consultant's liability should never be limited for loss or damage caused by the Consultant's gross negligence or willful misconduct.</i></p> <p><i>ZPPA does not accept a provision to the effect that the Client shall indemnify and hold harmless the Consultant against Third Party claims, except, of course, if a claim is based on loss or damage caused</i></p>
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	<i>by a default or wrongful act of the Client to the extent permissible by the laws of Zambia.]</i>
24.1	<p>The insurance coverage against the risks shall be as follows:</p> <p><i>[Delete what is not applicable except (a)].</i></p> <p>(a) Professional liability insurance, with a minimum coverage of _____ <i>[insert amount and currency which should be not less than the total ceiling amount of the Contract];</i></p> <p>(b) Third Party motor vehicle liability insurance in respect of motor vehicles operated in Zambia by the Consultant or its Experts or Sub-consultants, with a minimum coverage of <i>[insert amount and currency or state “in accordance with the applicable law in Zambia”];</i></p> <p>(c) Third Party liability insurance, with a minimum coverage of <i>[insert amount and currency or state “in accordance with the applicable law in Zambia”];</i></p> <p>(d) employer’s liability and workers’ compensation insurance in respect of the experts and Sub-consultants in accordance with the relevant provisions of the applicable law in Zambia, as well as, with respect to such Experts, any such life, health, accident, travel or other insurance as may be appropriate; and</p> <p>(e) insurance against loss of or damage to (i) equipment purchased in whole or in part with funds provided under this Contract, (ii) the Consultant’s property used in the performance of the Services, and (iii) any documents prepared by the Consultant in the performance of the Services.</p>
27.1	<i>[If applicable, insert any exceptions to proprietary rights provision_____]</i>
27.2	<p><i>[If there is to be no restriction on the future use of these documents by either Party, this Clause SCC 27.2 should be deleted. If the Parties wish to restrict such use, any of the following options, or any other option agreed to by the Parties, could be used:</i></p> <p>The Consultant shall not use Workers’ Compensation .documents and software for purposes unrelated to this Contract without the prior written approval of the Client.</p>

32.1 (a) through (e)	<i>[List here any changes or additions to Clause GCC 35.1. If there are no such changes or additions, delete this Clause SCC 35.1.]</i>
32.1(f)	<p>Assistance to be provided by the Client:</p> <p><i>a) Work in accordance with the agreed project plan</i></p> <p><i>b) Arrange to provide data as necessary</i></p> <p><i>c) Respond to queries as quickly as possible informing the Consultant of any anticipated or un foreseen delays</i></p> <p><i>d) provide comments on the Consultant's reports within agreed timescales</i></p>
38.1	<p>The Contract price is: _____ <i>[insert amount and currency for each currency as applicable] [indicate: inclusive or exclusive]</i> of local indirect taxes.</p> <p>Any indirect local taxes chargeable in respect of this Contract for the Services provided by the Consultant shall <i>[insert as appropriate: "be paid" or "reimbursed"]</i> by the Client <i>[insert as appropriate: "for" or "to"]</i> the Consultant.</p> <p>The amount of such taxes is _____ <i>[insert the amount as finalized at the Contract's negotiations on the basis of the estimates provided by the Consultant in Form FIN-2 of the Consultant's Financial Proposal.</i></p>
39.1 and 39.2	<p><i>[ZPPA leaves it to the Client to decide whether the Consultant (i) should be exempted from indirect local tax, or (ii) should be reimbursed by the Client for any such tax they might have to pay (or that the Client would pay such tax on behalf of the Consultant)]</i></p> <p>The Client warrants that <i>[choose one applicable option consistent with the ITC 16.3 and the outcome of the Contract's negotiations (Form FIN-2, part B "Indirect Local Tax – Estimates"):</i></p> <p><i>If ITC16.3 indicates a tax exemption status, include the following: "the Consultant, the Sub-consultants and the Experts shall be exempt from"</i></p> <p><i>OR</i></p> <p><i>If ITC16.3 does not indicate the exemption and, depending on whether the Client shall pay the withholding tax or the Consultant has to pay, include the following:</i></p>

	<p>“the Client shall pay on behalf of the Consultant, the Sub-consultants and the Experts,” OR “the Client shall reimburse the Consultant, the Sub-consultants and the Experts”]</p> <p>any indirect taxes, duties, fees, levies and other impositions imposed, under the applicable law in Zambia, on the Consultant, the Sub-consultants and the Experts in respect of:</p> <ul style="list-style-type: none"> (a) any payments whatsoever made to the Consultant, Sub-consultants and the Experts (other than nationals or permanent residents of Zambia), in connection with the carrying out of the Services; (b) any equipment, materials and supplies brought into Zambia by the Consultant or Sub-consultants for the purpose of carrying out the Services and which, after having been brought into such territories, will be subsequently withdrawn by them; (c) any equipment imported for the purpose of carrying out the Services and paid for out of funds provided by the Client and which is treated as property of the Client; (d) any property brought into Zambia by the Consultant, any Sub-consultants or the Experts (other than nationals or permanent residents of Zambia), or the eligible dependents of such experts for their personal use and which will subsequently be withdrawn by them upon their respective departure from Zambia, provided that: <ul style="list-style-type: none"> (i) the Consultant, Sub-consultants and experts shall follow the usual customs procedures of Zambia in importing property into Zambia; and (ii) if the Consultant, Sub-consultants or Experts do not withdraw but dispose of any property in Zambia upon which customs duties and taxes have been exempted, the Consultant, Sub-consultants or Experts, as the case may be, (a) shall bear such customs duties and taxes in conformity with the regulations of Zambia, or (b) shall reimburse them to the Client if they were paid by the Client at the time the property in question was brought into Zambia.
41.2	<p>The payment schedule:</p> <p>N/A</p>

41.2.1	<p><i>[The advance payment could be in either the foreign currency, or the local currency, or both; select the correct wording in the Clause here below. The advance bank payment guarantee should be in the same currency(ies)]</i></p> <p>The following provisions shall apply to the advance payment and the advance bank payment guarantee:</p> <ol style="list-style-type: none"> (1) An advance payment [of <i>[insert amount]</i> in foreign currency] [and of <i>[insert amount]</i> in local currency] shall be made within <i>[insert number]</i> days after the receipt of an advance bank payment guarantee by the Client. The advance payment will be set off by the Client in equal portions against [list the payments against which the advance is offset]. (2) The advance bank payment guarantee shall be in the amount and in the currency of the currency (ies) of the advance payment. (3) The bank guarantee will be released when the advance payment has been fully set off.
41.2.4	<p>The accounts are:</p> <p>for foreign currency: <i>N/A.</i></p> <p>for local currency: <i>[insert account].</i></p>
42.1	<p>The interest rate is: <i>Bank of Zambia ruling rates from 30 days after issue of invoice to date of payment</i></p>
45.1	<p><i>[In contracts with foreign consultants, the Government requires that the international commercial arbitration in a neutral venue is used.]</i></p> <p>Disputes shall be settled by arbitration in accordance with the following provisions:</p> <ol style="list-style-type: none"> 1. <u>Selection of Arbitrators.</u> Each dispute submitted by a Party to arbitration shall be heard by a sole arbitrator or an arbitration panel composed of three (3) arbitrators, in accordance with the following provisions: <ol style="list-style-type: none"> (a) Where the Parties agree that the dispute concerns a technical matter, they may agree to appoint a sole arbitrator or, failing agreement on the identity of such sole arbitrator within thirty (30) days after receipt by the other Party of the proposal of a name for such an appointment by the Party who initiated the proceedings, either Party may apply to Zambia Institute of Arbitrators for a list of not fewer than five (5) nominees and,

	<p>on receipt of such list, the Parties shall alternately strike names therefrom, and the last remaining nominee on the list shall be the sole arbitrator for the matter in dispute. If the last remaining nominee has not been determined in this manner within sixty (60) days of the date of the list, <i>Zambia Institute of Arbitrators</i> shall appoint, upon the request of either Party and from such list or otherwise, a sole arbitrator for the matter in dispute.</p> <p>(b) Where the Parties do not agree that the dispute concerns a technical matter, the Client and the Consultant shall each appoint one (1) arbitrator, and these two arbitrators shall jointly appoint a third arbitrator, who shall chair the arbitration panel. If the arbitrators named by the Parties do not succeed in appointing a third arbitrator within thirty (30) days after the latter of the two (2) arbitrators named by the Parties has been appointed, the third arbitrator shall, at the request of either Party, be appointed by <i>Zambia Institute of Arbitrators</i></p> <p>(c) If, in a dispute subject to paragraph (b) above, one Party fails to appoint its arbitrator within thirty (30) days after the other Party has appointed its arbitrator, the Party which has named an arbitrator may apply to the <i>Zambia Institute of Arbitrators (b)]</i> to appoint a sole arbitrator for the matter in dispute, and the arbitrator appointed pursuant to such application shall be the sole arbitrator for that dispute.</p>
	<p>2. <u>Rules of Procedure.</u> Except as otherwise stated herein, arbitration proceedings shall be conducted in accordance with the rules of procedure for arbitration of the United Nations Commission on International Trade Law (UNCITRAL) as in force on the date of this Contract.</p> <p>3. <u>Substitute Arbitrators.</u> If for any reason an arbitrator is unable to perform his/her function, a substitute shall be appointed in the same manner as the original arbitrator.</p> <p>4. <u>Nationality and Qualifications of Arbitrators.</u> The sole arbitrator or the third arbitrator appointed pursuant to paragraphs 1(a) through 1(c) above shall be an internationally recognized legal or technical expert with extensive experience in relation to the matter in dispute and shall not be a national of the Consultant's home country <i>[If the Consultant consists of more than one entity, add: or of the home country of any of their members or Parties]</i> or of</p>

	<p>the Government's country. For the purposes of this Clause, "home country" means any of:</p> <ul style="list-style-type: none"> (a) the country of incorporation of the Consultant [<i>If the Consultant consists of more than one entity, add: or of any of their members or Parties</i>]; or (b) the country in which the Consultant's [or any of their members' or Parties'] principal place of business is located; or (c) the country of nationality of a majority of the Consultant's [or of any members' or Parties'] shareholders; or (d) the country of nationality of the Sub-consultants concerned, where the dispute involves a subcontract.
	<p>5. <u>Miscellaneous</u>. In any arbitration proceeding hereunder:</p> <ul style="list-style-type: none"> (a) proceedings shall, unless otherwise agreed by the Parties, be held in [<i>select a country which is neither Zambia nor the Consultant's country</i>]; (b) the <i>English</i> language shall be the official language for all purposes; and (c) the decision of the sole arbitrator or of a majority of the arbitrators (or of the third arbitrator if there is no such majority) shall be final and binding and shall be enforceable in any court of competent jurisdiction, and the Parties hereby waive any objections to or claims of immunity in respect of such enforcement.

IV. Appendices

APPENDIX A – TERMS OF REFERENCE

[This Appendix shall include the final Terms of Reference (TORs) worked out by the Client and the Consultant during the negotiations; dates for completion of various tasks; location of performance for different tasks; detailed reporting requirements and list of deliverables against which the payments to the Consultant will be made; Client's input, including counterpart personnel assigned by the Client to work on the Consultant's team; specific tasks or actions that require prior approval by the Client.]

Insert the text based on the Section 7 (Terms of Reference) of the ITC in the RFP and modified based on the Forms TECH-1 through TECH-5 of the Consultant's Proposal. Highlight the changes to Section 7 of the RFP]

.....

APPENDIX B - KEY EXPERTS

[Insert a table based on Form TECH-6 of the Consultant's Technical Proposal and finalized at the Contract's negotiations. Attach the CVs (updated and signed by the respective Key Experts) demonstrating the qualifications of Key Experts.]

.....

APPENDIX C – BREAKDOWN OF CONTRACT PRICE

[Insert the table with the unit rates to arrive at the breakdown of the lump-sum price. The table shall be based on [Form FIN-3 and FIN-4] of the Consultant's Proposal and reflect any changes agreed at the Contract negotiations, if any. The footnote shall list such changes made to [Form FIN-3 and FIN-4] at the negotiations or state that none has been made.]

When the Consultant has been selected under Quality-Based Selection method, also add the following:

“The agreed remuneration rates shall be stated in the attached Model Form I. This form shall be prepared on the basis of Appendix A to Form FIN-3 of the RFP “Consultants’ Representations regarding Costs and Charges” submitted by the Consultant to the Client prior to the Contract’s negotiations.

Should these representations be found by the Client (either through inspections or audits pursuant to Clause GCC 25.2 or through other means) to be materially incomplete or

inaccurate, the Client shall be entitled to introduce appropriate modifications in the remuneration rates affected by such materially incomplete or inaccurate representations. Any such modification shall have retroactive effect and, in case remuneration has already been paid by the Client before any such modification, (i) the Client shall be entitled to offset any excess payment against the next monthly payment to the Consultants, or (ii) if there are no further payments to be made by the Client to the Consultants, the Consultants shall reimburse to the Client any excess payment within thirty (30) days of receipt of a written claim of the Client. Any such claim by the Client for reimbursement must be made within twelve (12) calendar months after receipt by the Client of a final report and a final statement approved by the Client in accordance with Clause GCC 45.1(d) of this Contract. ”/

Model Form I
Breakdown of Agreed Fixed Rates in Consultant's Contract

We hereby confirm that we have agreed to pay to the Experts listed, who will be involved in performing the Services, the basic fees and away from the home office allowances (if applicable) indicated below:

(Expressed in [insert name of currency])*

Experts		1	2	3	4	5	6	7	8
Name	Position	Basic Remuneration rate per Working Month/Day/Year	Social Charges ¹	Overhead ¹	Subtotal	Profit ²	Away from Home Office Allowance	Agreed Fixed Rate per Working Month/Day/Hour	Agreed Fixed Rate per Working Month/Day/Hour ¹
Home Office									
Work in Zambia									

1 Expressed as percentage of 1

2 Expressed as percentage of 4

* If more than one currency, add a table

Signature

Date

Name and Title: _____

APPENDIX D - FORM OF ADVANCE PAYMENTS GUARANTEE

[See Clause GCC 41.2.1 and SCC 41.2.1]

Bank Guarantee for Advance Payment

_____ *[Bank's Name, and Address of Issuing Branch or Office]*

Beneficiary: _____ *[Name and Address of Client]*

Date: _____

ADVANCE PAYMENT GUARANTEE No.: _____

We have been informed that _____ *[name of Consultant or a name of the Joint Venture, same as appears on the signed Contract]* (hereinafter called "the Consultant") has entered into Contract No. _____ *[reference number of the contract]* dated _____ with you, for the provision of _____ *[brief description of Services]* (hereinafter called "the Contract").

Furthermore, we understand that, according to the conditions of the Contract, an advance payment in the sum of _____ *[amount in figures]* (_____) *[amount in words]* is to be made against an advance payment guarantee.

At the request of the Consultant, we _____ *[name of bank]* hereby irrevocably undertake to pay you any sum or sums not exceeding in total an amount of _____ *[amount in figures]* (_____) *[amount in words]*¹ upon receipt by us of your first demand in writing accompanied by a written statement stating that the Consultant are in breach of their obligation under the Contract because the Consultant have used the advance payment for purposes other than toward providing the Services under the Contract.

It is a condition for any claim and payment under this guarantee to be made that the advance payment referred to above must have been received by the Consultant on their account number _____ at _____ *[name and address of bank]*.

The maximum amount of this guarantee shall be progressively reduced by the amount of the advance payment repaid by the Consultant as indicated in copies of certified monthly statements which shall be presented to us. This guarantee shall expire, at the latest, upon our receipt of the monthly payment certificate indicating that the Consultant has made full repayment of the

¹ The Guarantor shall insert an amount representing the amount of the advance payment and denominated either in the currency(ies) of the advance payment as specified in the Contract, or in a freely convertible currency acceptable to the Client.

amount of the advance payment, or on the __ day of _____, 2____,² whichever is earlier. Consequently, any demand for payment under this guarantee must be received by us at this office on or before that date.

This guarantee is subject to the Uniform Rules for Demand Guarantees, ICC Publication No. 458.

[signature(s)]

Note: All italicized text is for indicative purposes only to assist in preparing this form and shall be deleted from the final product.

² Insert the expected expiration date. In the event of an extension of the time for completion of the Contract, the Client would need to request an extension of this guarantee from the Guarantor. Such request must be in writing and must be made prior to the expiration date established in the guarantee. In preparing this guarantee, the Client might consider adding the following text to the form, at the end of the penultimate paragraph: “The Guarantor agrees to a one-time extension of this guarantee for a period not to exceed [six months][one year], in response to the Client’s written request for such extension, such request to be presented to the Guarantor before the expiry of the guarantee.”