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APPENDIX – 1: Interview Guide Line – Employer

Date:

General Information

1. Name (Optional):
2. Organization (Optional):
3. Role in this Organization:
4. Experience in Road Projects:

    4.1. Experience in Unsolicited Projects:

5. How did you prepare the Request for Qualification (RFQ) in this project proposal?
6. If there were more adequate responses to the Request of Qualification (RFQ), how did you prepare the Request for Proposals (RFP)?
7. What were the key reasons for submitting an unsolicited proposal for this particular project?
8. How long did it take from the submission of project proposal to the awarding of contract?

Risk related Information

1. What were the main risks faced by you in developing the preliminary project proposal for this project?

    1.1. Who were responsible parties for handling the risk for preliminary project proposal of this project?

    1.2. What was the risk handling techniques used at this project?

2. How did you carry out the review of project proposal?
3. How were the factors you consider to accept or reject the project proposal in review stage?

4. Once the project was accepted, what was the time allocation for the review of project proposal?

5. How did you consider the collaboration of other institution to review of project proposal?

6. What were the main risks associated in the project review stage of this project?

   6.1 Who were the responsible parties for handling the risk for review work of this project proposal?

   6.2 What was the risk handling techniques used in this stage of the project?

7. What were the main risks associated with funding for this project?

   7.1 Who were the responsible parties for handling the risk for funding of this project?

   7.2 What was the risk handling techniques used at this stage of the project?

8. Were there any other risks related to the pre contract stage of this project?

   8.1. Who were the responsible parties for handling the risk for any other matters of this project?

   8.2. What were the risk handling techniques used in this project?

9. How did you identify the quality measures in stages of project proposal?

   9.1 Who were the responsible parties for handling the risk for quality measures work of this project?

   9.2 What were the risk handling techniques used in this project?

APPENDIX – 2: Interview Guide Line – Contractor

General Information

1. Name (Optional):
2. Organization (Optional):
3. Role in this Organization:
4. Experience in Road Projects:

    4.1 Experience in Unsolicited Projects:

5. How did you prepare the Request for Qualification (RFQ) in this project proposal?
6. If there were more adequate responses to the Request of Qualification (RFQ), how did you prepare the Request for Proposals (RFP)?
7. What were the key reasons for submitting an unsolicited proposal for this particular project?
8. How long did it take from the submission of project proposal to the awarding of contract?

Risk related Information

1. Once a project is selected what are the main factors you consider in preparing the preliminary unsolicited road project proposal?
2. What did you determine the scope of work for this particular project proposal?
3. Once a scope of work is determined, how did you consider the project period of unsolicited road project proposal?
4. Can you briefly explain the stages you went through from project inception to the awarding of contract?

    4.1. How did you develop the preliminary description of the project proposal for this particular project?

    4.2. What was the level of details provided in this preliminary project proposal?

5. Can you identify any key risks involved to prepare the project proposal in this project?

    5.1. Who were the responsible parties for handling the risk in that stage?

    5.2. What were the risk handling techniques used in this project?

6. What were the main risks associated with funding for this project?

    6.1 Who were the responsible parties for handling the risk for funding of this project?

    6.2 What were the risk handling techniques used at this stage of the project?

7. How did you identify the quality measures in stages of project proposal?

    7.1 Who were responsible parties for handling the risk for quality measures work of this project?

    7.2 What was the risk handling techniques used in this project?

APPENDIX -3: Interview Transcript Sample of Case Study – Employer

Date:

General Information

1. Name (Optional):
2. Organization (Optional): RDA
3. Role in this Organization: Deputy Director/Quality Control Manager
4. Experience in Road Projects: 25 Years

   4.1. Experience in Unsolicited Projects: 05 years

5. How did you prepare the Request for Qualification (RFQ) in this project proposal?

   Commonly attended to prepare RFQ in unsolicited road project. Considered the previous experience of the contractor, technical and financial capacity, Grade of ICTAD, funding facilities granted by the local bank.

6. If there were more adequate responses to the Request of Qualification (RFQ), how did you prepare the Request for Proposals (RFP)?

   Not attended but the following facts were considered to prepare the RFP.*Submission of form of RFP,* Technical and Financial proposal,*Project Period,*Design proposals with relevant typical drawings,*Preliminary site inspection and investigation report,*feasibility study report,*Economical and physical advantages for the nation,*Public interest and Environmental impact due infrastructure development work,

7. What were the key reasons for submitting an unsolicited proposal for this particular project?

   Upgrading the existing road to link the National road network, Facilitate the infrastructure development in rural area, Developing the tourism industry in this area, Developing the Agriculture and irrigation facilities

8. How long did it take from the submission of project proposal to the awarding of contract?

   Approximately 03 months

Risk related Information

1. What were the main risks faced by you in developing the preliminary project proposal for this project?

   Scope changes due to site conditions, Quantity variation due to scope changes, Insufficient BOQ items in Original BOQ, Schedule of work of Master Work programme, Delay caused by authorities, exceeding the original contract sum, dealing with utility agencies

   1.1 Who were responsible parties for handling the risk for preliminary project proposal of this project?

   Scope changes – Employer/ Contractor, Quantity variation – Contractor, Insufficient BOQ items in Original BOQ – Contractor, Schedule of Work – Contractor, Delay caused by authorities – Employer

   Project Period – Employer/Contractor, Dealing with utility agencies – Employer/contractor

   1.2 What were the risk handling techniques used at this project?

   Scope changes- Allocating additional funds from the Line Ministry – Employer (Risk Retention), Limiting the scope of work to allocate within the Contract Sum – Employer (Risk Mitigation)

   Quantity variation/ Insufficient BOQ items in Original BOQ - Requesting Variations – Contractor (Risk Transfer)

   Schedule of Work- Coordinating relevant authority and apply prior approvals- Employer (Risk Mitigation), Preparing the required preliminary site investigation report – Contractor (Risk Mitigation)

   Delay Caused by authorities- Requesting interest payments –Contractor (Risk Transfer), - Paying interest payments or deducting liquated damages – Employer (Risk Retention)

   Project period – Minimizing uncomplete activities within project period – Employer (Risk Retention), - Requesting Extension of time – Contractor (Risk Transfer)

   Dealing with utility agencies, Employer – Communicate the work programme in advance (Risk Transfer)

   Contractor – Coordinating the prepare estimate and payments on time (Risk Mitigation)

2. How did you carry out the review of project proposal?

   Not attended. PC of line Ministry had been done the review work. Geometric and pavement designs were arranged with respective divisions of RDA

3. How were the factors you consider to accept or reject the project proposal in review stage?

   Not attended.

4. Once the project was accepted, what was the time allocation for the review of project proposal?

   Approximately 02 months.

5. How did you consider the collaboration of other institution to review of project proposal?

   According to the previous information of the line ministry, the various originations were participated to review work namely, Dept. of Irrigation Central Environmental Authority, Dept. Of Agriculture, National Water Supply & Drainage Board, Dept. Of wild life, Dept. of Forest etc.

6. What were the main risks associated in the project review stage of this project?

   Referring the previous details available from the Line Ministry records, the main risks associated in the project review stages namely, Inadequate information of Project Proposal

   Submission of unsatisfactory typical drawings and design details

   Insufficient time frame to detail investigation and evaluate the reports with project proposal

   6.1 Who were the responsible parties for handling the risk for review work of this project proposal?

   Employer/ Contractor

   6.2 What was the risk handling techniques used in this project?

   Reconsider the information of project proposal- Employer (Risk Mitigation)

   Compare the BOQ items of Engineer estimate and Contractor estimate – Employer (Risk Avoidance)

   Submitting accurate details and Information –Contractor (Risk Mitigation)

7. What were the main risks associated with funding for this project?

   Exceeding the Contract sum due to extra works due to under estimate of the BOQ of project Proposal

   7.1 Who were the responsible parties for handling the risk for funding of this project?

   Employer and Contractor

   7.2 What were the risk handling techniques used at this stage of the project?

   Contractor -Resubmit the revised BOQ and Variation to extra funds (Risk Transfer)

   Employer -submit detail report with revisited BOQ to SCAPC through the PC of line Ministry for allocating additional funds (Risk Retention)

8. Were there any other risks related to the pre contract stage of this project?

   Not known but PC had to determine the Project period with available resources in rural area of this project

   - Who were the responsible parties for handling the risk for any other matters of this project?

     Contractor: Consider sufficient preliminary site investigation to prepare the project proposal

     Employer – Consider the proposal BOQ amount to adequate the completion of work within the period of Contract

   - What were the risk handling techniques used in this project?

     Contractor - Submit adequate details and data for redesign work (Risk Mitigation)

     - Submit variations and request extension of time for any changes of original proposal(Risk Avoidance)

     Employer – Requesting to revised the BOQ and scope changes to adequate the BOQ amount for any variation work (Risk Mitigation)

     - Requesting the additional amount for variation work from the Line Ministry (Risk Transfer)

- Determine the limitation of project scope of work up to original contract sum (Risk Mitigation)

9 How did you identify the quality measures in stages of project proposal?

Determine the adequate provisions of Original BOQ

9.1 Who were the responsible parties for handling the risk for quality measures work of this project?

Employer

9.2 What were the risk handling techniques used in this project?

Employer – Deployed adequate technical staff to apply the quality control techniques throughout the project work (Risk control)

APPENDIX: 4 Interview Transcript Sample of Case Study – Contractor

Date:

General Information

1. Name (Optional):
2. Organization (Optional): Private Organization
3. Role in this Organization: Deputy General Manager (Quality)
4. Experience in Road Projects: 15 years
   4.1 Experiences in Unsolicited Projects: 4 Years
   4.2 Project (Optional:
5. How did you prepare the Request for Qualification (RFQ) in this project proposal?
   Submitting the similar experience of road project
   Submitting the line of credit facilities provided by the funding agency (Local Bank)
6. If there were more adequate responses to the Request of Qualification (RFQ), how did you prepare the Request for Proposals (RFP)?
   The Request for Proposal prepared with,
   The length of the proposed road, preliminary investigation report of feasibility study, Hydrological, typical cross sections & drawings, scope of work, Cash draw down of the project period and Bill of Quantities
7. What were the key reasons for submitting an unsolicited proposal for this particular project?
   The project was Class A road of National road list.
   The capability of construction work was gained the upgrade of the institution in construction industry.
   The adequate resources and techniques were deployed to implement the construction work in specified project period.
8. How long did it take from the submission of project proposal to the awarding of contract?
   Approximately 03 months

Risk related Information

1. Once a project is selected what are the main factors you consider in preparing the preliminary unsolicited road project proposal?

   Considered the project period with considering schedule of work specified in master work programme

   Prepared the all preliminary design details to submit the design report for tentative design drawings and pavement design

   Prepared procurement of resources plan

2. How did you determine the scope of work for this particular project proposal?

   Considered the field investigation report and typical cross sections

   Identified the rehabilitation and improvement required the existing road with proposed design parameters

3. Once a scope of work is determined, how did you consider the project period of unsolicited road project proposal?

   Considered the length of the road and the rehabilitation the existing & proposed structures of the road

4. Can you briefly explain the stages you went through from project inception to the awarding of contract?

   Submitted the project proposal

   Submitted the technical proposal with the letter of funding facilities from local banks and capabilities to construction work to secretary of the Line Ministry

   Submitted the details and any classification to project committee of Dept. of Public Finance

   Project committee submitted their recommendation to standard Cabinet Appointed Procurement Committee of office of the Cabinet Ministers

   Obtained cabinet approval

   Signed loan agreement with bank and RDA Issue a letter of accept ion by RDA

   4.1. How did you develop the preliminary description of the project proposal for this particular project?

      Identified the advantages to rehabilitation and improvement of the project

Importance to development of road network for infrastructure facilities of the area

Identified the locations of resources supply to project work

Identified the project staff and equipment to implement the project

Identified the construction of structures and prepare the detail investigation report for design work

Identified external organization to involvement of the construction stage to prepare the schedule of work

Considered the public request for development work and Environmental issues for improvement work.

4.2. What was the level of details provided in this preliminary project proposal?

Conceptual design report ant typical cross section were used to prepare the preliminary project proposal

The BOQ was prepared on the preliminary investigation report and scope of work

5. Can you identify any key risks involved to prepare the project proposal in this project?

Possession of site to initiate the section of road

Structural & Pavement Design changes due to site condition

Changes of Project period due to extension of time and quantity variations

Procurement of resources with the schedule of work plan

Time frame to discuss the public and environmental issues

Discussion with relevant organization and explained any objection to the draft project proposal

5.1. Who were the responsible parties for handling the risk in that stage?

Employer, Contractor and relevant organizations

5.2. What were the risk handling techniques used in this project?

Possession of site – Employer (Risk Mitigation)

Design Changes – Contractor (Risk Mitigation)

- Employer (Risk Mitigation)
- Engineer (Risk Mitigation)

Public Issues – Contractor (Risk Mitigation)

- Employer (Risk Mitigation)

Project period -Employer (Risk Retention/Risk Transfer)

Contractor (Risk Retention/Risk Transfer)

6. What were the main risks associated with funding for this project?

   Capability to select the funding facilities from local banks

   Obtained the treasury guarantee to funding facilities

   6.1 Who were the responsible parties for handling the risk for funding of this project?

   Employer/ Contractor

   6.2 What were the risk handling techniques used at this stage of the project?

   Employer – Request required amount of particular project from the treasury (Risk Mitigation)

   Contractor – Provide adequate liabilities to obtain funding facilities from the bank (Risk Mitigation)

7. How did you identify the quality measures in stages of project proposal?

   Provided the adequate provision of quantities and items in BOQ

   7.1 Who were the responsible parties for handling the risk for quality measures work of this project?

   Quality control techniques implemented and monitored by the Employer

   7.2 What was the risk handling techniques used in this project?

   Quality measures implemented with qualified staff with equipment in frequently to maintain the necessary standard of quality work with reference to specifications.