

Highways Department

HQ/GN/02

Guidelines for Checking Submissions of Consultants

1. Background

As recommended by the Independent Commission Against Corruption (ICAC), the staff of this Department should adopt a consistent approach in performing their duties related to consultant management in order to reduce the chance of disparity of treatment. In this connection, this document provides principles for checking the submissions prepared by the consultants.

2. Definition of Submissions

Submissions are documents prepared and provided by the consultants during the course of consultancy agreements.

3. Definitions and Extent of Checking

The extent of checking consultants' submissions shall be divided into four levels, namely none check, face check, spot check and full check. The levels of checking to the submissions would be determined based on their relevance to the scopes of consultancies, importance to the final products, as well as financial implication. They are defined as follows:

3.1 Level 1 - None Check

No checking should be required for this category of submissions. Items which have no direct relation with the scope of the consultancy or the performance of the consultants should be included in this category. They include but not limited to:

Business publication

Promotion materials

*** 委員會秘書附註：本文件只備英文本。**

Reference materials for other projects

3.2 Level 2 - Face Check

This is a broad but not detailed check (i.e. "on its face" - basically if it looks right, it is right). Items which are related to the scope of the consultancy, but do not require the response of this Department should be included in this category. They include but not limited to:

Correspondence to other Government Departments or third parties

Progress reports

Minutes of meeting

Survey information

3.3 Level 3 - Spot Check

This is a detailed check on specific areas or items selected by the liaison officer (i.e. a narrow, but detailed check), which should be carried out if a Face Check is considered not adequate. Items which are within the scope of the consultancy, and require the response or comments of this Department should be included in this category. They include but not limited to:

Implementation programmes

Site investigation results and interpretation

Impact assessment reports (EIA, TIA, DIA, EM&A Manual, etc.)

Design deliverables (Design Memorandum, Geotechnical Design Submission, etc)

Design calculations and drawings

Reports on implementation strategy, tendering strategy, interface issues, etc

Prequalification documents

Tender documents & Bills of Quantities;

Contract documents;

Project presentation materials (Brochure, Fact Sheet, Video/VCD);

Operation and Maintenance Manual;

Correspondence to Managing Department

Technical Notes, Working Group Papers, Recommendations etc.

3.4 Level 4 - Full Check

This is a complete, detailed check covering the whole of the consultants' works in connection with the specific task. Items which are vital to the quality of products, or necessary for the fulfillment of statutory procedures, or directly related to financial matters should be included in this category. They include but not limited to:

Gazette plans

Tender assessment report

Invoices of consultancy fees or reimbursable items

The levels of checking for the submissions which have not been mentioned in the above lists should be determined by individual project team.

4. Implementation and Follow-up

4.1 The guidelines shall be implemented with immediate effect.

4.2 Should any queries arise from using the guidelines, or any suggestions for enhancement please contact AMR/SM of MWPMO who shall coordinate with relevant office for a reply, or update the guidelines if necessary.