

Office Order

No. INKEL/MD/00/2022/1453

Dated: 22nd April 2022

Sub: Standard Operating Procedure for implementing Projects sponsored by KIIFB on PMC Mode – Criteria for evaluating efficiency in implementation of Projects - Directions issued for Strict Compliance – regarding.

KIIFB has issued detailed guidelines on the criteria adopted to evaluate the performance of SPVs. There are five major criteria under which several minor criteria are described. Adherence to these guidelines is essential as these criteria not only will ensure a better ranking for INKEL but will also help us standardise project implementation that will bring in uniformity and efficiency in operations. Therefore, it is hereby ordered that, these detailed instructions, mentioned under each of the criteria shall be strictly followed by all the concerned officers – both site engineers and individuals responsible in the Head office. The performance of officers will be based on adherence to these guidelines for their continuance, increment and promotion in the organisation.

CATEGORY-I :

Adequacies in the internal system & practices and core competencies to carry out the project execution following PWD/CPWD manual and procedures:

Pre-approval Stage:**2. There are three criteria (C) under this category:**

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| C1- | Preliminary Engineering Study: Investigation, Survey precision, Environmental requirements, Estimate correctness, BOQ provisioning, Compliance of KIIFB Guidelines. |
| C2- | Quality of DPR submitted, Punctuality in preparation and completion of appraisal queries. |
| C3- | Drawing preparation , Design accuracy (Economy/ Efficiency/ Safety) |

Action plan to be followed meticulously in INKEL:

- DPR to include all required information mentioned in section 3 of the Annexure to GO ref: G.O.(Ms) No.69/2018/Fin dated Thiruvananthapuram 24/02/2018
- Project Execution Document (PED) to be developed in line with KIIFB requirements.
- Strong communication loop with Project End User-detailed and frequent discussions with record keeping.
- Conduct detailed analysis of Utility Shifting, demolition requirements with the support of owner agencies concerned.
- Specifications to be clear and detailed for all Purchases / Supply and installation of Machinery/ equipment, Purchase Orders .
- Timely submission of clarifications/rectification to Technical Appraisal Report of KIIFB (within 10 days).



- g. Submit preliminary report for any land acquisition requirement upon obtaining AS, containing the exact requirement of land (location, area, estimated acquisition rates and survey numbers, where available) along with the project components.
- h. Necessary Geo-tech investigation and survey should be done based on proposed project layout. Drawings should be developed accordingly. Requirement of any earth retaining structures to be analysed at the time of Geotech survey.
- i. Stability certificate should be obtained from relevant Department in case SCOW includes vertical expansion of building(s) during this stage.
- j. Design to be compliant with KMBR/KPBR/ NBC and other statutory provisions.

Post Approval Stage:

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| C 4- Prepare Estimate for Technical Sanction and its adequacy |
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Action Plan to be followed in INKEL:

- a. Initiate action for TS within 7 days of receiving the approval of Financial Sanction from KIIFB
- b. To avoid missing items, Estimate should be prepared:
 - i. Using template BOQ set for each category of work e.g. schools, hospitals etc. (The templates should be reviewed and updated at least yearly with set revision numbers). BOQ can have divisions (CSI master format,... etc may be referred).
 - ii. Lesson learnt to be collected and incorporated from PMs of similar executed/under execution projects (*An in house Survey form to be developed*)

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| C 5-TS Authority competency and decision making quality |
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Action plan to be followed in INKEL:

Since INKEL doesn't have an independent TS Committee, the member representing INKEL in TS shall make the case of INKEL stronger with data and convince the TS to decide on merits. Delay in TS finalizing the decisions will be seen as lapse on the side of the INKEL member in the Committee.

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| C 6- Non-compliance in obtaining various clearances from the government and concerned departments |
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Action plan to be followed in INKEL:

- a. The statutory clearance requirements such Building Permit, Fire, MOEF, etc.. as identified and stated in the DPR/contract provisions should be followed up and obtained.
- b. A schedule for obtaining the statutory permits/clearances should be prepared during DPR stage itself, for adherence.

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| C 7- | Adherence to tendering procedures and bid document preparation according to PWD/CPWD/KIIFB stipulations & Contract initiation, timely agreement execution with contractor. |
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Action Plan to be followed in INKEL:

- Preparation of a timeline chart for activity-from Contract initiation to Award, categorized for projects < INR 5cr, up to INR.100 Cr, > INR.100cr and to be approved by Management. Any deviation/stretch to the timeline to be approved by MD.
- Contracting strategy including splitting of packages and timeline for each package to be developed upfront at the time of Preliminary Engineering Study itself.
- Incorporate lessons learnt from Site Teams in new tender conditions (PMs to identify and advise contract shortfalls and difficulties in execution to the Contracts Team on occurrence and mandatorily at end of Contract.
- Ensure using of stamp papers purchased from the state only and no undervalue stamps to execute agreements with the contractors.
- Maintain updated log of all contracts-live and expired.
- Standard Bidding Documents for public works shall be used to tender KIIFB funded works.
- Time for Completion, Expiry of PB, Insurance to be closely monitored at Site to ensure it does not lapse.
- Systematic and proactive steps to ensure that issuance of work orders, execution of agreements and site handovers to the contractors are being carried out promptly.
- Tenders to be floated only after availability of hindrance free site.
- Proactive monitoring for completing Utility shifting, demolition works etc if work already awarded.
- Funding Agency (KIIFB) procedure outline to be included as an annexure, along with the tender.

CATEGORY II:

Internal quality management system leading to execution of work with checks and balance

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| C 8- Adherence to PED, Quality of the work |
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Action Plan to be followed in INKEL:

- Field laboratory should be functional at Site and well equipped as per Contract requirements.
- Maintain updated Site Order Book, Material Registers, Drawing Register..etc. as per CPWD/Kerala PWD manual.
- Copy of Contract, NIT, and Soil Investigation report should be available at Site.
- Display boards as per approved format should be kept at prominent places
- Project to be handed over to End User only after Performance Inspection by KIIFB.
- Penal conditions in contract should not be overlooked.

- g. Adequate supervision at site should be ensured by PM especially during rebar laying, concreting etc... to ensure work is executed as per codal provisions and specifications.
- h. Relevant GFC drawings should be issued to Contractor and available at Site prior to work execution.
- i. ISI marked/approved materials only to be used in Works.
- j. Up-to- date Inspection register should be maintained at Site

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| C 9- Existence of internal quality management systems |
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Action Plan to be followed in INKEL:

- a. Copy of Quality Assurance Manual must be available at Sites
- b. QA/QC measures such as availability of MAR, MIR, test results at required frequency, cube register, material register should be updated and maintained at Site.
- c. Checklist of required documentation at Site will be shared from HO and Quarterly Internal audit must be conducted at Site by RCM for compliance.

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| C 10- Safety measures in execution phase |
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Action Plan to be followed in INKEL:

- a. Ensure required PPE for Contractor personnel as per Contract
- b. Safety measures such as barricading at openings/ trenches, Site fencing, Toolbox talks, Evacuation Plan, First Aid at Site should be enforced at Site.
- c. Prohibit labour dwelling in building(s) under construction. Compliance to contract provisions regarding Labour accommodations should be ensured.
- d. General housekeeping at Site should be enforced.

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| C 11- Compliance to the Field Observation Sheet & Observation memo/Inquiry report, etc. |
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Action Plan to be followed in INKEL:

- a. All FOS shall be replied with seven (7) days of Issue.
- b. TON/OMs should be replied within (7) days. All replies furnished after this period should be enquired by GM (P)/CE and adequate measures taken.
- c. Points raised by KIIFB Resident Engineers during Site Visit shall be addressed and conveyed to the Resident Engineer, the next day itself as far as possible.
- d. General points raised by KIIFB should be shared with all RCMs for information and compliance.

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| C 12- Engagement of project management tools |
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Action Plan to be followed in INKEL:

- a. Software such as MSP to be used for scheduling.
- b. Biweekly update of PMAS must be done.

- c. PFMS upload should be up-to-date for the relevant stage. Any hindrances faced should be raised to the concerned promptly by emails and resolved.

C 13- Adoption of effective dispute resolution mechanism:

Action Plan to be followed in INKEL:

- a. Proceedings on Grievance Redressal Mechanism in INKEL, issued by MD dated 14-02-2022 must be complied.
- b. Log of the disputes raised by Contractor, action taken and status to be maintained and appraisal to be included as part of the progress review meeting with CE/MD.

CATEGORY III:

Staff structure and competency / policy initiatives and capacity building

C 14- Technically qualified staff availability

Action Plan to be followed in INKEL:

Ensure minimum SPV staff deployment as per KIIFB circular

C 15- Non-technical staff availability

Action Plan to be followed in INKEL:

Document Controller to be deployed in Major Projects

C 16- Workers availability and documentation of the details of workers (both natives and inter-state)

Action Plan to be followed in INKEL:

Ensure availability of Site Organization Chart, Muster Roll, EPF, ESI, Labour Licence of Contractor at Site

C 17- Providing technical training to employees

Action Plan to be followed in INKEL:

- a. Yearly Performance appraisal and gap analysis for all staff by immediate supervisors
- b. Need based training as per the tentative training schedule for the Fiscal Year.

CATEGORY IV:

C 18- Frequent transfer of officers

Action Plan to be followed in INKEL:

Company policy will be to have the tenure of Site staff, especially of senior personnel, to be coterminous with the project duration.

C 19 - Inter departmental issues

Action Plan to be followed in INKEL:

CE will convene meetings to sort out interdepartmental issues

CATEGORY V:

C 20- Physical Progress of Work

Action Plan to be followed in INKEL:

- a. Strict maintenance of updated Hindrance Register at Site.
- b. Maintain the muster roll for Contractor's personnel at Site at all times. Daily labour strength as per the approved schedule of work should be displayed at the work site.
- c. Site Lab facility of Contractor to be verified against Contract conditions along with Calibration status at Site, frequently to ensure adherence to standards and contract conditions.
- d. Maintain a register for movement of contractor's equipment.
- e. Communicate with the nodal officer at the Head Office on Daily work achieved, planned work for next day, pending requirement from HO for an effective coordination.
- f. EOT to be processed proactively along with necessary PB, Insurance renewals. Audit of work bills.
- g. Fortnightly review with CE for deviations/variations, if any, identified during the project implementation. It should be documented and approvals for the same should be obtained based on the Work Manual being followed and the KIIFB Funding procedures.
- h. Ensure strong communication loop with Administrative department.
- i. Physical milestone to be achieved should be reviewed in detail on the day it is assigned to be achieved. This review should be conducted irrespective of the fact whether the physical milestone is achieved or not. If not achieved, mitigation measures should be discussed and finalized in the review meeting.
- j. Monthly Progress review meeting (1st Monday of the Month) with CE prior to which Site Office shall sent brief report highlighting -Work Status, Planned Vs actual physical Progress& Financial status percentage, Bottlenecks/Issues, Target for next month, Claims, Major quantity deviations, scope change requirements, catchup plan from Contractor for schedule slippage/revised schedule in line with Contract, status of PMAS update.
- k. Ensure correct biweekly update of KIIFB PFMS

C 21- Financial Progress of Work

Action Plan to be followed in INKEL:

- a. Develop software for Bill preparation by Contractor in line with KIIFB requirements.
- b. Any previous bill directions from KIIFB should be complied with.

- c. Bills to be submitted to KIIFB with Physical progress certification, compliance to OMs issued by KIIFB, Confirmation on TS authority approval on Extra/deviated Items (refer KIIFB order dated 02/04/2020). Bills should be processed within the time stipulated in Contract/10 days of its receipt from Contractor with complete documentation; else it should be returned promptly stating reasons.

THESE INSTRUCTIONS SHALL BE FOLLOWED SCRUPULOUSLY WHILE IMPLEMENTING PROJECTS.


MANAGING DIRECTOR

To
Chief Engineer
Head of Departments
All concerned