

## SECTION 40

### LOSSES OR DAMAGES OF/TO STORES

#### Booking of Stores

40.1 Definite and clear instructions are required to be given in the indent/order with regard to mode of despatch and consignee's address, which are very necessary for correct and intact delivery of the stores. To avoid losses and damages to Stores in transit, the following information should be as detailed as possible as not to leave any loophole for any dispute or misinterpretation at a later stage :-

- (i) Consignee's Postal & Telegraphic address.
- (ii) Station of dispatch (Railway region should be clearly indicated).
- (iii) Whether to be booked by Goods Train, Passenger train, quick transport service of Railway.
- (iv) Whether to be booked at Owner's risk or Rail risk.
- (v) Whether it should be covered by transit risk insurance.

40.2 Where for booking of goods, by rail or road an enhanced risk is provided, additional charges above those prescribed for the booking of goods at Owner's risk rate being in the nature of insurance charges, such additional expenditure for booking goods at Railway risk shall be incurred as per power delegated.

40.3 In cases, where there is only one set of rates for carriage of goods by rail and there are no alternative Owner's risk rates, such charges are treated as freight charges. Air lifting of stores should be resorted to only in rare cases of extreme urgency in consultation with the Internal Financial Advisers.

#### Taking Delivery of Consignment

40.4 The consignee is responsible for verifying at the time of taking delivery from the railway Authorities that the stores have been received intact without loss or damages. When stores are despatched in full wagon loads, consignees should verify that the seals of the wagon are intact. If the seals are found tampered with or broken, delivery should be taken in presence of responsible Railway Officials. If there is evidence of loss or damages, necessary certificates to that effect should be obtained from the appropriate Railway Officials before taking delivery. The loss or damage should in every case, be promptly reported to the Suppliers (Contractor, Purchase Officer, who place the order, as well as to the Pay and Accounts Officer, responsible for payment for the stores), as otherwise the consignee will be deemed to have accepted the Stores. In any event, the consignee should not before checking and verifying the stores, give a receipt certificate to the supplier. Railway receipts for consignment of materials should be endorsed in favour of the stores keeper or Junior Engineer or any other responsible officer of the department who should personally take delivery of Government Stores and hand them over to the carriage contractor.

40.5 Where due to any practical difficulties it is not possible to deploy any departmental officer for keeping a watch on the arrival of consignment and to take delivery thereof after completing formalities and it is intended to endorse, the Railway Receipts in the name of the carriage Contractor, a condition for obtaining an additional security in the shape of bank guarantee should be stipulated in the tenders for carriage of materials. The amount of the security in

the shape of bank guarantee should be 10% (ten percent) of contract amount and this will be in addition to the normal cash security deposit recoverable from the contractor's bill as per usual terms of agreement. This condition will apply to all annual carriage contracts and can also be applied even for such contracts which may extend over a long period but less than a year.

40.6 Specimen draft conditions to be incorporated in tender documents for such works is as per Annexure I. This may be adopted with suitable changes, if required, to suit local conditions.

40.7 While endorsing the Railway Receipts in favour of cartage contractors in such contracts where requisite bank guarantee has been received, the undernoted form of endorsement may be adopted and the consignee should suffix his dated signature over his stamp showing designation etc.

“Please hand over the material to

Shri.....

whose signature is attested below”.

#### Losses/Damages in Transit

40.8 Whenever the losses or damages occur in transit, the responsibility for the same varies according to the circumstances of each case and the terms of contract. In the case of contracts, stipulating delivery F.O.R. station of destination, the contractor is liable for any loss or damage that may occur in transit and to make good the same by replacement free of charge at destination or accept deduction from his bill for the quantity lost or damaged in transit.

40.9 In the case of contracts stipulating delivery, F.O.R. station of despatch if the suppliers have agreed to the Indentor's conditions that they will be responsible until the stores contracted for are received in good condition at the destination, the responsibility rests with them as in para 40.8 above.

40.10 In cases, however, where the suppliers do not agree to take responsibility for loss or damage in transit, the goods pass to the name of the consignee as soon as the same are accepted by the Railway Administration for carriage, the Railway acting as a bailee. Thereafter, the supplier is ordinarily not responsible for any loss or damage to goods that may occur enroute, if he has been able to book the goods in a railworthy condition under a clear receipt without any adverse remarks as to the condition of the goods or the packing.

40.11 The goods are to be despatched by clear RR only. However, in cases, where goods are despatched under a “Said to contain” receipt, the supplier shall be fully responsible for loss in transit. The consignee should incorporate a certificate on the Receipt Certificate, in the Inspection Certificate or Firms Invoice on the following lines:

“Consignment's was/were despatched under clear/said to contain Railway Receipts at Railway/Owner's risk”.

40.12 For shortages/ damages in respect of consignments despatched under clear Railway Receipt at Railway risk, the suppliers will not be responsible. The consignee will take up the matter with the carrying Railways for direct settlement. If the claims are rejected by the carriers the Indentor/Consignee will have to bear the loss. The concerned Pay and Accounts Officer will make full payment for the quantity despatched.

40.13 Full details in respect of deficiencies and breakages etc. which are clearly attributable to the carriers should be shown against paragraph 3(a) of the Receipt Certificate portion of Form DGS & D 84 and the consignee should prefer a formal claim against the carrier for the loss or damages. The Pay and Accounts Officer shall send a copy of the consignee's report to the Purchase Officer. No deduction will be made on this account from the suppliers' bill if the stores are booked against clear R/Rs and the suppliers are not responsible for breakages/losses in transit.

40.14 For shortages/damages in consignment despatched either under said to contain Railway receipt or at owner's risk, the Pay and Accounts Officers will make necessary recoveries on the basis of remarks incorporated by the consignees on the Receipt Certificate.

40.15 In cases where consignees do not exhibit particulars mentioned in the Receipt Certificates mentioned above or where the suppliers get balance 10%/5%/2% payment without consignees receipt certificate the Pay and Accounts Officer will assume that the R/Rs were clear and that no recoveries were to be looked for and/or effected by him.

40.16 In doubtful cases, in which it is not possible to fix the responsibility definitely on the supplier or the carrier, the deficiency, breakage etc. together with the amount recoverable should be indicated against paragraph 3 of the Receipt Certificate to enable the Pay and Accounts Officer to make necessary recoveries. If it is found later on, that the supplier is not responsible, a refund will be made to him and the consignee asked for write off the amount.

40.17 The bill for the recovery of compensation in case of losses or damages in transit in the case of contracts placed on F.O.R. station of despatch basis should in all cases, where the carrier has been found responsible, be prepared against the carrier by the consignee and not by Purchase Officers. Any compensation recovered from the Railway will be credited to Government if it is held that supplier is not liable to loss or damage. If the supplier is held liable and the value is recovered from him, any amount recovered from the railway will be paid to the supplier.

40.18 In cases where breakages, losses are frequent in respect of consignment despatched by a particular firm, the Inspection Wing, will investigate the same and furnish the report to the Suppliers Directorate concerned who will take further action on the merits of each case.

40.19 Claims on the Railway should be made by the consignee within 6 months of the receipt of the stores at destination or otherwise it will be time-barred under the Railway Act. Once a claim is made within 6 months on the Railway Administration, a case against the Railway may be filed in the Railway Claims Tribunal, where it is decided to pursue a claim in spite of its rejection by the local Railway Authorities.

Annexure - I

(Refer Para 40.6)

#### DRAFT SPECIMEN ADDITIONAL CONDITIONS

1. The Contractor or his duly authorised agent shall collect the Railway receipts, duly endorsed in his favour, from the office of the EE/AE/JE on all working days and give proper acknowledgement thereof.

2. The Contractor shall also give a pre-receipted unstamped receipt for the materials mentioned in each railway receipt.

3. The Contractor shall be fully responsible for the safe custody of the materials after taking delivery from the railways till the time and materials are delivered to the authorised representative of the Deptt. The Contractor shall submit an irrevocable bank guarantee for Rs. .... in favour of the President of India within ten days of the date of written order to commence work, to cover the losses which may result due to delay in taking delivery, pilferage or deterioration in the quality of materials while in the custody of the Contractor. This Bank guarantee shall be in addition to the Security Deposit to be deducted under the terms of the agreement and released on satisfactory completion of work. The Railway receipts will be handed over to the Contractor only after he has submitted the bank guarantee in the manner as specified above and the Contractor will be responsible for all demurrage, wharfage and other losses which the Government may sustain on account of delay in furnishing the Bank Guarantee. The Government will be entitled to recover amount of such losses from the dues of the Contractor.

CONTRACTOR      EXECUTIVE ENGINEER

## SECTION 41

### SALES TAX

41.1 The Sales Tax shall be paid to the seller of goods if under the terms of supply order it is payable in addition to the price of the goods.

41.2 Sales tax is not leviable in respect of stores/materials issued by the Department from their stores to contractors.

41.3 Where the Divisions are registered consumers with the local Sales Tax Commissioner, they are permitted to give Form "D" with the supply orders and are exempted from payment of the Sales Tax at general rate. In such cases concessional rate of Sales Tax is charged.

41.5 Provisions of Delhi Sales Tax on Works Contracts' Act, 1999 may be followed for contracts for which tenders have been received prior to 1.12.99 and the contractors may be reimbursed in accordance with Clause 38 of the general conditions of contract for CPWD Works, 1998. Details are at Annexure I.

### ANNEXURE - I

#### DELHI SALES TAX ON WORKS CONTRACTS ACT, 1999

1. Delhi Sales Tax on Works Contracts' Act 1999 came into force with effect from 1.12.99. In this connection this office circular No. CSQ/SE/C & M/Dels T/435 dated 14.12.99 may be referred to where in it was enjoined upon all concerned that the provisions of the said Act may be strictly followed for contracts for which tenders received prior to 1.12.99 and the contractors may be reimbursed in accordance with Clause 38 of the general conditions of contract for CPWD Works, 1998.

2. Complaints have been received in this Directorate from certain contractors and associations that the provisions of the above Act are not being followed by some E.Es and they are not being reimbursed, the amount deducted from their bills towards works contract tax, on contracts for which tenders received prior to 1.12.99 and also the amount paid by them to the Sales Tax authorities. In this connection, a copy of the circular No. CST/DC/WCC/2000-2001/4602-4613 dated 29.11-2000 issued by the Commissioner of Sales Tax, New Delhi is enclosed for guidance. The following further clarifications are issued :—

2.1 Department's liability to reimburse to the contractor the amount of sales tax deducted/paid under the Act is applicable, under clause 38 of the Standard Contract Document, only in respect of contracts for which tenders received prior to 1.12.99. Even in such cases, the liability is only to the extent of the tax applicable on the portion of work executed after 1.12.1999.

2.2 The department has no liability to reimburse tax deducted/paid in the case of Contracts for which tenders received on or after 1.12.99.

2.3 In both cases i.e. contracts for which tenders received before 01.12.99, and on or after 01.12.99, the contractor has the option for total tax deduction at source at the rate of 4% as composition amount or to opt for 2% deduction at source and subsequent assessment. The contractor has to file an affidavit with the contract awarding agency giving his option.

2.4 Only on contracts for which tenders received before 1.12.99 if a contractor chooses the first option, the composition amount of 4% deducted will be reimbursable as stated in (2.1) above. If he chooses the second option, he will be entitled for refund, as stated in (2.1) above, of 2% deducted at source and also any further tax which he may be required to pay or paid as balance of the tax due after assessment. Such reimbursement will be made on production of proof of payment. In case total tax payable after assessment is found to be less than 2% deducted at source, the excess amount shall be returned by or recovered from the dues of the contractor for which necessary undertaking shall be obtained at the time of reimbursement of 2%.

2.5 Other instructions contained in the Act and circular dated 29.11.2000 shall be followed strictly by the Executive Engineers.

3. All Executive Engineers are requested to comply and follow these instructions so as to avoid complaints from contractors and their Associations.

OFFICE OF THE COMMISSIONER OF SALES TAX  
BIKRI KAR BHAWAN, I.P. ESTATE, NEW DELHI  
WORKS CONTRACT CELL

No. CST/DC/WCC/2000-2001/4602-4613 Dt.29/11/2000

CIRCULAR

Consequent upon the enactment of Delhi Sales Tax on Works Contract Act, 1999 on 1st Dec., 1999, all the contractors carrying out the business of execution of Works Contract came in the ambit of the new Act. Since this Act was introduced for the first time in Delhi, there were certain problems in its implementation. In order to bring about more transparency hassle free compliance and to make it more user friendly, following simplifications are introduced in the implementation of the Delhi Sales Tax Act and Works Contract Act, 1999.

1. That all the contractors doing Govt. contracts including Corporate Bodies, Cooperative Societies etc., shall be treated as a special category of 'Govt. contractors'.

2. All the Govt. contractors will be allowed the facility of getting their total tax liability of Work Contract Tax deducted at source by giving them option for such deduction. This will be purely optional for the contractors. This will be given in writing to the Contract Awarding Agency.

3. The Govt. Contractors would give a copy of this consent to the Works Contract Cell. This information will entitle the contractors for composition.

4. The contractee in such case would be authorised to deduct 4% as composition amount instead of 2% as TDS from all payments made to the contractor. This tax would be deposited by the Contract Awarding Agency in the nationalised banks in favour of Commissioner, Sales Tax.

5. In all such contracts where any contractor awards or appoints a sub contractor to execute the job, the Principal Contractor will exercise this option and the Contract Awarding Agency would deduct tax at source @4% from the payments being made to the Principal Contractor and the Principal Contractor will not deduct tax from the payment made to the sub contractor. The responsibility in such a case would be of the principal contractor and his sub contractor would be bound by his option of TDS of 4% at source.

6. Since the sub contractor's liability of tax deposit would be taken care of by the principal contractor they will also be entitled for composition scheme and consequent summary assessment provided they are only taking sub contracts and are a registered contractor.

7. All the Govt. contractors who opt for total tax deduction at source would be entitled for the composition scheme and would be exempt from the production of STCC i.e. Sales Tax Clearance Certificate. The contract awarding agencies will take an affidavit from such Govt. Contractors to this effect that they are only doing Govt. Contracts and have opted for the scheme of composition of tax and total tax deduction at source @4% for their works.

8. All such Govt. contractors going in for the scheme of composition would be considered for summary assessment wherein they will not be required to produce their books of accounts.

9. For such Govt. Contractors who opt for the composition scheme the scheme of filling of annual returns is being contemplated to avoid frequent trips to the departments.

10. During the course of execution of works contract, some of the Govt. Contractees issue certain material to the contractors such as cement, iron and steel etc., for use in Works Contract. Deduction on account of such goods shall be given as per provisions of clause 5 (6) of the Act in case the contractor has not taken the value of these goods in his bill. In all such cases where the value of the material issued to the contractors is taken in the bill of the contractor, these deductions would not be allowed and total value of the bill would be taken into consideration for calculating the tax liability under the composition scheme.

Sd/-

(P.K. Tripathi)

Commissioner of Sales Tax



## SECTION 42

### RECEIPT OF STORES

42.1 All materials received should be examined, counted or measured when delivery is taken. The record of the detailed count/ weightment or measurement should be kept in the goods receipt sheets (Form CPWA 8-A) and the total number of quantity should be simultaneously entered in the Bin Card (Form CPWA 8) where maintained.

42.2 In case of Tools and Plant, the items should be brought on Form CPWA 13 with complete details. For items of Plant and Machinery, detailed History Sheets in prescribed form should be completed forthwith and recorded carefully.

42.3 Coupon Books (duly numbered) will be obtained from the authorised Petrol Pump Dealer and kept in safe custody. Whenever Petrol/Diesel etc. is required to be drawn JE/AE/EE who has been authorised to fill the coupon will fill the same in triplicate. Two copies of the coupon will be given to the petrol pump dealer who after issuing the material will return one copy to the paying authority along with the bill.

42.4 All stores of sundry nature, particularly sanitary fittings, electrical fittings, and spares etc. should be allotted an alphabetical and numerical number according to the standards and sizes available and the same should be indicated accordingly in the registers and on racks where these are kept. Similarly stocks of pipes and steel of different kinds and sizes should also be allotted a distinguishing alphabetical and numerical number to facilitate maintenance of accounts.

## SECTION 43

### SAFE CUSTODY OF STORES

43.1 The Executive Engineer is responsible to ensure that proper arrangements are made throughout the Division for the safe custody of stores and for their protection from deterioration and fire.

43.2 The stores will be under the strict supervision and vigilance of a Junior Engineer who will be particularly responsible for the safe custody of stores.. At the end of each day the locks of the stores should be properly sealed by the storekeeper in the presence of chowkidar and entered in the register. At the time of change of duty, proper handing over/taking over should be done by signing the register. The store keeper should seal the locks when he closes the godown at the end of the day carefully and examine the seal before opening the godown next time to see that the seal has not been tampered with. If he finds that the seal has been tampered with in his absence, he should at once bring this fact to the notice of the higher authorities for reporting the matter to the Police. In the absence of Storekeeper, Junior Engineer will discharge such functions.

43.3 On the occurrence of any loss, action against the person concerned with the upkeep of stores should be taken promptly so as to avoid delay in obtaining evidence against persons responsible for the loss.

## SECTION 44

### ISSUE OF STORES

#### Preparation of Indents

**44.1** Materials should be issued on receipt of indent on specific Form CPWA 7. The indent book for drawing materials should be kept in safe custody in the Office of Assistant Engineer. The indents shall be signed by the JE/AE for transaction within Division and also by Executive Engineer for inter-Division transactions.

**44.2** A register to keep a watch on the issue of materials for works, with reference to quantities specified in the agreements should be maintained by the Assistant Engineer in the form prescribed in CPWA 35 (Appendix...37..) to avoid excessive issue of materials to contractors and to keep a watch over the issues. In this register a record of the materials drawn for use on works done departmentally may also be kept if considered necessary by the Assistant Engineer. The Executive Engineer should arrange to get the indent examined to see that the issues are roughly correct. For detailed check of the quantities issued, it is the responsibility of the Assistant Engineer to ensure that the materials are not issued in excess of the quantities actually required.

**44.3** Indents are to be handed over to the contractor or his authorised representative to receive the stores from the stores/Central Stores.

#### Issue of Material from Central Stores

**44.4.** The following procedure should be followed for drawal of materials from stores:

(i) The indent books should be machine-numbered and kept in stock by the Executive Engineer, In-charge of Central Stores. He issues these indent books stamped with the stamp of his office to the various indenting Divisions and only the indents issued from such books are accepted by the Central Stores Divisions.

(ii) The Executive Engineer in charge of the work is required to send three sets of the specimen signatures of the Junior Engineer and Assistant Engineer in charge of the work at the work site and that of the work Assistant, if any, authorised by the Executive Engineer for receiving stores in the Junior Engineer's absence, duly attested by him to the Central Stores. One set there of will be kept by the Junior Engineer security and the other two sets will be in the Office under the personal custody of the Assistant Engineer (Indents) and Executive Engineer, Central Stores Division. The specimen signature of the EE shall be attested by the outgoing EE. For new Division, it is to be done by the SE.

(iii) The signatures of the contractors or their authorised Agents to whom the materials are required to be issued are attested by the Asstt. Engineer and the indent is countersigned by the Executive Engineer of the indenting Division.

(iv) The Contractors are required to obtain identity photopasses for themselves or their authorised agents, duly attested by the Executive Engineer of the Indenting Divisions and of the Central Stores Division. On the photopass or identity card, the name of the work, for which the contractor or his agent is authorised to draw the materials is mentioned and the contractor or his agent is allowed to draw materials only for that work.

(v) While sending the photographs of the Contractors or their authorised agents for drawal of the materials from the Central Stores, the following certificate should be recorded by the Executive Engineer of the Indenting Division :—

Shri ..... whose signature and photograph are attested by me is an authorised agent of Messers ..... The indent placed on the Central Stores in the name of the above mentioned contractors for the works being carried out by them under this Division may please be honoured and the materials handed over to the authorised representative, i.e. Shri ..... His photograph duly attested and his specimen signatures are given underneath.

(vi) The authorisation letter with identity cards duly signed and attested should be sent through the authorised Junior Engineer of the Division in a closed cover in the name of the Executive Engineer, Central Stores Division so that there may be no change or tampering with the original identity card etc.

(vii) The indent shall be presented at the Central Stores within 15 days of EE signing the same.

(viii) The EE shall have the option to send advance payment for every indent or a lump sum advance for 2-3 months.

**44.5** The Assistant Engineer (Indents) in the Central Stores Division, New Delhi exercises the following checks before giving issue order on the indents :—

(a) Signatures of the Executive Engineer and Assistant Engineer are tailed with their specimen signatures available in the Central Stores Division.

(b) Signatures of the Contractor's authorised agent or Junior Engineer incharge of the work duly attested by the Assistant Engineer on both sides of the indent are verified.

(c) Attested photographs of the Contractor or his authorised agent who is authorised to sign the indents exist in the Central Stores Division and it is seen that materials are issued only to such persons whose photographs exist in the Central Stores Division.

**44.6** The Assistant Engineer (Indents) then prepares list of all the indents received and duly passed for issue of materials during the course of the day for each stores section separately and forwards the same to respective Junior Engineers of the different stores for issuing the materials.

**44.7** At the stores Depot when the indents are presented by the Junior Engineer or contractor or his authorised agent, the Junior Engineer incharge of Stores verifies :—

(i) That a particular indent is shown in the list received from the Assistant Engineer (Indents) and that the particulars mentioned in the indent tally with those in the list.

(ii) The indent shall lapse if the materials are not taken delivery within week of the order of AE (Indent).

(iii) That the signatures of the Assistant Engineer (Indent) on the issue order tally with his specimen signatures in the records of the Junior Engineer.

**44.8** The Junior Engineer in charge of Stores should put his signature on both sides of the indent in token of having issued the materials and on this authority the gate-pass is prepared in triplicate. The gate-passes are signed by the Junior Engineer in charge of the Stores after the delivery of the materials taken. The gate-pass in triplicate is handed over to the contractor or his authorised agent who makes over the original copy to the Junior Engineer Security on duty and the other two copies to the Junior Engineer in charge of the work at the site of the work along with materials. The Junior Engineer in charge of the work signs the gate pass in token of having received the materials correctly, retains duplicate copy, for his record and returns the triplicate through the carting agent to the Junior Engineer Security to enable him to watch that the material issued has been correctly received at destination. The Junior Engineer should sign and write his full name and put his stamp. In case of his absence, the gate pass may be receipted by his authorised representative i.e. Work Assistant who will receive the material, sign and write his full name on the triplicate copy, along with name, of the gate pass on behalf of the Junior Engineer. If the gate pass is not received back in two days, the indenting EE should be informed by the Stores. For outstations, suitable time shall be fixed as per actual situation.

**44.9** The signatures of the Junior Engineer incharge of the work at the site of work (or his Work Assistant representing him) on the gate pass should be checked at the end of the day with his specimen signatures and any doubtful case should be reported to the Executive Engineer, Central Stores Division immediately.

**44.10** Divisional Officers should ensure that the materials to be issued to a contractor for work are handed over by the Departmental Officers only to those of his representatives who have valid power of attorney or authorisation to receive materials on behalf of the contractor.

**SECTION 45**  
**DISPOSAL OF SURPLUS STORES**

**Excessive Stocking of Stores**

**45.1** The Divisional Officers should not store for long the materials which are likely to deteriorate within a short time. Some of the materials which are likely to deteriorate within a short time are mentioned below :—

1. Cement
2. Timber and Ply-wood
3. Tars and Bitumen
4. Paints
5. Distempers
6. Oils
7. Spirit
8. Caustic Soda
9. Bleaching Powder
10. Disinfectants

**45.2** If such materials are indented for or ordered, these should be used on work as early as possible and surplus quantity, if any, may be disposed off under the orders of the Competent Authority as per powers delegated in Appendix-I.

**Transfer to other Divisions/Departments**

**45.3** All articles of stock (excluding tools and plants) which are not likely to be required during the following twelve months, should be reported to the Divisional Officer who will, if necessary, take the Superintending Engineer's order as to their disposal. Since the materials which are surplus are liable to deterioration, if kept unnecessarily, and also involve an avoidable expense on chowkidars etc. and locking up of capital, it is most essential that such materials should be disposed off either by sale or transfer to other Divisions where these are required.

**Disposal of Surplus Stores**

**45.4** Superintending Engineers in CPWD have full powers to issue orders regarding the manner in which particular stores which have already been declared surplus or unserviceable by the competent authority are to be disposed off. This disposal can be either by public auction or through sealed quotations. The question as to who should supervise or conduct the auction will be decided by the Superintending Engineer.

**45.5** The commission which should ordinarily not exceed 5% may be allowed to the auctioneer, not being departmental Officer, but no commission can be allowed on private sales. In all such cases recovery should be effected in cash in advance.

**45.6** No public stores should be sold otherwise than by public auction, without the permission of the SE.

**45.7** Rules for departmental auction of surplus and unserviceable stores are contained in Appendix 38.

**45.8** When stores are sold by auction, a responsible Officer not below the rank of AE/AEE should attend and record the final bids, in order to enable the sale account rendered by auctioneer to be checked. The proforma in which this record is to be maintained is given at Appendix 39.

## SECTION 46

### LOSSES ON STORES AND THEIR WRITE OFF

#### Unserviceable Stores

**46.1** When stores of any kind become unserviceable, a report thereof should be made in CPWA Form No. 18. This should be done at once on discovery of the facts.

**46.2** In case of Survey Reports of Stores valued above Rs. Fifteen lacs, the certificate that materials proposed to be survey reported are really unserviceable should be recorded by the Superintending Engineer concerned after inspection of the Stores. In the case of survey reports below this amount which are within the competence of Chief Engineer/DGW the certificate should be given by the Executive Engineer, while in the case of survey reports within the competence of Superintending Engineer, the certificate should be given by the Assistant Engineer concerned.

**46.3** All losses of stock should be immediately reported to the next higher authority as well as to the Audit Officer and the Accounts Officer even when such loss has been made good by the party responsible for it. Petty cases involving losses need not be reported to the Audit Officer/Accounts Officer unless there are in any case, important features which need detailed investigation and consideration. The losses on stock should be immediately investigated and steps taken to obtain the sanction of the competent authority for their write off, if necessary.

**46.4** In the case of serious losses, the Divisional Officer, should hold a departmental enquiry and record the evidence and his findings thereon, including findings as regards the responsibility and culpability of the persons concerned.

**46.5** The procedure regarding write off of irrecoverable losses relating to contracts placed by the Directorate General of Supplies and Disposals is explained below :—

(i) In respect of purchase and inspection of stores arranged through the DGS&D, Inspection Wing of Supplies and Disposals Directorate act as agents who utilise their services. The gains or losses, if any, are to go to the indentors account and money if any, accruing by way of compensation, liquidated damages, etc. are credited to the indentors concerned. Similarly losses too, if any, arising out of such contracts are also debitable to the indentors.

(ii) On their part, the Supplies and Disposals Directorate take care to avoid losses. They investigate all such cases and take steps to recover loss if any, as far as possible.

They take appropriate departmental action against the defaulting officers if it is found that loss has been caused by delinquency, on their part.

(iii) If, however, it is not possible to recover a loss, it is debited to the indenter.

(iv) Sanction letters are issued by the Director General of Supplies and Disposals within his powers which is Rs.2500/- in any individual case, and beyond this limit, by Department of Supply. The head of account to which the loss is debitable is indicated in the sanction letter.

(v) Such sanctions enable the Audit Officer of the DGS&D :

(a) to regularise the amounts recovered and kept under objection in his books.

(b) to make payments to the suppliers of the amounts withheld from their bills, and

(c) to raise debits for the amount involved against the Accounts Officer of the Indenter/Consignee.

(d) A copy of the sanction letter is also endorsed to the indenter/consignee who is to issue a similar sanction for writing off such losses to regularise his stores accounts.

**46.6** It is not open to the Indenting Ministry to raise the question of the liability for the loss, once the Associated Finance of the Department of Supply has accepted that there is no escape from the loss. There is, however, no objection to the indenting Ministries being associated in the matter of departmental action to be taken against delinquent officials.

**Powers to Write Off**

**46.7** The powers of various authorities with regard to the sale, disposal and write off of stores, are as delegated (Appendix-I).

**46.8** The authority issuing orders under Appendix-I should, after the disposal of stores of which value accounts are kept, determine and intimate to the Audit/Accounts Officer concerned the net amount to be written off to the final head (MH 2059 PW Minor Works-Losses on Stock).

## **SECTION 47**

### **STOCK TAKING**

**47.1** The Executive Engineer are to have stock taken through out their Division at least once a year. It is not necessary that all the stocks of a Division or even of a Sub-Division, should be checked and counted at the same time, but the date on which articles are taken stock of should be entered in the stores returns. Stores should be counted by an Officer not below the rank of Assistant Engineer who is not the custodian, the ledger keeper or the accountant of the stores.

**47.2** Verification should be made in the presence of the authority responsible for the custody of the stores or of a person deputed by him. If such an authority fails to be present during physical checking of stores or fails to depute a person, the verifications should be carried out in the presence of another Officer, not in charge of the stores.

**47.3** The results of all verifications of stock should be reported to the Divisional Officer for orders, but as soon as a discrepancy is noticed, the book balance must be set right by the verifying Officer, treating surplus as a receipt and a deficit as an issue, with a suitable remark.

**47.4** The shortages and damages, as well as unserviceable stores, should be reported immediately to the authority competent to write off the loss.

**47.5** The verification of road metal and materials charged direct to works will be done in the manner prescribed in paras 47.1 to 47.4 above.

**47.6** Apart from the stock, dismantled materials stores and materials at site account are also to be checked in the same manner every year and certificates recorded in the registers.

**47.7** In case of Tools and Plants, the stock taking should be done every six months ending 31st March and 30th September in the same manner as stated above and certificates of physical verification recorded thereon.

**47.8** The report about the required stock taking and physical verification and certification thereof should be reported immediately to the Superintending Engineer.



**CHAPTER V**  
**SECTION 48**  
**BUDGET**

**General**

**48.1** Budget is the Annual Financial Statement of all transactions of the Central Government in and outside India, including estimated receipts and expenditure, occurring during the year in which the statement is prepared as well as during the ensuing year.

**Definitions**

**48.2** The estimates of the current financial year, which are based on the actual transactions recorded till the time of their preparation and the transaction anticipated for the rest of the year are termed as "Revised Estimate". The estimates for the ensuing financial year are termed as "Budget Estimates/Schedule of Demands".

**48.3** The instructions about the procedure for the preparation of the Budget Estimates/Schedule of Demands, Revised Budget Estimates are issued by the Budget Division of Ministry of Finance in their annual budget circular.

**Budget Authority**

**48.4** DG(W) is the "Budget authority" for the preparation and submission to the Government the budget estimates relating to Central Public Works Department.

**Consolidated Fund of India**

**48.5** All revenues received by Government, loans raised by it, and also its receipts from recoveries of loans granted by it from the Consolidated Fund. All expenditure of Government is met from the Consolidated Fund, as authorised by the appropriate legislature.

**Demand for Grants**

**48.6** The estimates of expenditure from the consolidated fund as are required to be voted by the Lok Shaba are submitted in the form of Demands for Grants. Separate demand for each of the major services is presented e.g. demand for Public Works, Demand for Housing and Urban Development, etc. Each Demand normally includes the total provisions required for a service, that is, provisions on account of revenue expenditure, capital expenditure, grants to States and Union Territories and also loans and advances relating to the service.

**New Services & New Instrument of Services**

**48.7** "New Services" refers to expenditure arising out of a new policy decision, not brought to the notice of Parliament earlier. Likewise, relatively large expenditure arising out of important expansion of an existing activity is treated as a "New Instrument of Service". No expenditure can be incurred from the Consolidated Fund of India on a "New Service"/"New Instrument of Service" without prior approval of Parliament through a Supplementary Grant.

**Recoveries**

**48.8** Certain classes of receipts, like payments made by one department to another and receipts of capital projects or schemes are taken in reduction of the expenditure of the receiving department. "Recoveries" shown for this purpose should be those from other Ministry/Departments of Central Government and in respect of expenditure met from reserve funds in the Public Account. Recoveries from State Government and from Non-Government Organisations are treated as revenue receipts and should not be shown as "Recoveries" but included in the estimates of revenue receipts.

### **Appropriation Bill**

**48.9** As soon as the Lok Sabha passes the grants, a bill is introduced to appropriate money out of the Consolidated Fund of India to meet the following :

- (a) The grants so made by the Lok Sabha; and
- (b) The expenditure charged on the Consolidated Fund of India but not exceeding in any case the amount shown in the statement previously laid before Parliament.

### **Vote of Account**

**48.10** Normally, the process of detailed consideration of the Demands for grants is completed only by the first week of May. To enable Government to carry on its normal activities from 1st April till such time as the Appropriation Bill is enacted a "Vote on account" is obtained from Parliament through an Appropriation (Vote on account) Bill.

### **Finance Bill**

**48.11** The proposals of Government for levy of new taxes, modification of the existing tax structure or continuance of existing tax structure beyond the period approved by Parliament are submitted to Parliament through the Finance Bill.

### **Final Budget**

**48.12** Final budget is required to be submitted to the Government by 15th February each year. It is to be based on the expenditure actually incurred for the months till 31st December and assessment of anticipated expenditure during the remaining three months till 31st March, taking into account tempo of the progress of the works in progress and the posts in existence and filled. Any modifications in the requirements thereafter will be considered as "Surrenders of Anticipated Savings" or "Applications for Supplementary Grants" by re-appropriations.

### **Heads of Account**

**48.13** The budget is prepared under various Heads of Account depending upon the nature of expenditure. Different Heads of Account are controlled by different Ministries/Departments.

### **Budget Heads of CPWD**

#### **1. Main Heads:**

## **2. Other Heads**

**48.14** Apart from the above heads, the Central PWD also deals with the budget of various other Ministries for which there are different Major heads/Minor heads. In such cases, the Budget Estimates and Revised budget etc. should be sent to the respective Ministries with copies endorsed to the Min. of Urban Development. The estimated expenditure for these kinds of works is shown separately under each such head of accounts as indicated by the concerned Ministry in the expenditure sanction accorded for the work.

**48.15** Expenditure on account of Departmental charges, wherever leviable in respect of other Departments, is to be treated as 'Voted'.

### **Preparation of Budget for CPWD**

**48.16.1** Budget estimates (including Revised Estimates) for works etc. should be prepared in the forms prescribed by the Ministry of Urban Development. For non-plan expenditure the Estimates should be submitted before 31st October. For plan expenditure, Annual Plan allocations by Planning Commission and their communication to Ministries/Departments concerned determine the time schedule.

**48.16.2** Proposals for Revised Estimates for current year and Budget estimates for ensuing year in respect of Revenue Section (Works) in Demand for Public Works and Demand for Housing and Urban Development may be prepared in the following manner.

**48.16.3** All expenditure estimates will be entered on a Gross basis and recoveries in reduction of expenditure exhibited thereunder.

**48.17 Heads of Account:** The demands for Revenue items will be shown under major Head "2059-Public works" in Demand for Public Works and Major Head "2216 Housing" in Demand for Housing and Urban Development. While all non-residential works will be shown under Major Head "2059 Public Works" all residential works will be shown under Major Head "2216 Housing". The sub-heads/Units of Appropriation under these Major Heads will be as exhibited in the Book of Demands for the current year.

**48.18 Direction and Administration and Construction:** Proposals for "Direction and Administration", "Construction", "Public Works Workshop", "Machinery and Equipment", etc. under Major Head "2059" may be prepared after taking into account the work load, yardstick laid down and the actual "Machinery and Equipment" required. For "Major Works" and "Minor Works", the Schedules showing items for individual works are to be enclosed.

**48.19 Maintenance and Repairs:** The following instructions may be followed for submission of proposals for provisions for "Maintenance and Repairs".

- (a) The Central Public Works Department have laid down scales of expenditure for maintenance and repairs of building. The "Plinth area" of the building and the expenditure required to be incurred as per the scale may be indicated in a separate Schedule (Schedule I).
- (b) The amount required to be paid as "Salary" and "Allowances" to the departmental staff engaged for repairs and maintenance may be shown separately (Schedule-II).
- (c) Cost of materials required for maintenance and repairs should be shown separately (Schedule-III).
- (d) The amount required for special repairs to specified buildings, may also be shown separately (Schedule IV).

**48.20 Suspense:** In the case of proposals relating to suspense head "Stock" a working sheet containing the following information should accompany the proposals:

- (a) Stock holding at the beginning of the year.
- (b) Value of stock expected to be purchased during the year.
- (c) Value of stock expected to be issued during the year.
- (d) Value of expected stock holding at the end of the year, and
- (e) Percentage of stock holdings based on the above data.

**48.21 Rents, Rates and Taxes:** The following information may be supplied in respect of each.

**48.22 Lease charges:**

- (a) The accumulation of arrears for previous years, and
- (b) The likely commitment for the current year.

Ministries/Departments prepare proposals for "NEW" construction projects to be included in the Budget Grants of Ministry of Urban Development. These proposals are to be furnished in the proforma (MIS/B-I). [See Annexures I & II].

**48.23** All expenditure connected with the satisfaction of decrees of the Courts is to be treated as 'Charged' expenditure. The payments made in satisfaction of Court decrees etc., in the following cases will not, however, be treated as 'charged' expenditure.

- (a) (i) Payment of awards under Land Acquisition Act.
- (ii) Payment of compensation under the Workmen's Compensation Act, 1923.
- (iii) Payment of awards by Arbitrators under Arbitration and Conciliation Act, 1996.
- (iv) Payment by Arbitrators under Industrial Disputes Act, 1947.

- (b) Payments involving refunds of revenue and security deposits lodged by the contractor and kept in the Public Accounts.

**48.24** In case of (a) above the payments should be made out of the voted portion of the grants. In respect of (b) the payments should be treated as refunds of revenue and adjusted as deduction from the respective heads, provided the original recoveries were treated as receipts and adjusted under the receipt heads of accounts. Where, however, the recourses were adjusted, as deductions from expenditure, the refunds of such recoveries under the orders of the Court etc. should be treated as 'Charged expenditure'.

**48.25** Refunds of security deposits should be debited to 'Public Accounts' if the same is kept in that account. On the other hand, if the deposit has been forfeited, the refund should be treated as 'charged expenditure'.

**48.26** In cases, where an appeal is filed against the decrees in the lower court and the decretal amount is deposited in the court as security for staying the execution of decree, the same should be kept initially as a 'Deposit' in the Public Accounts. Later on, if the amount is refunded as a result of court's order, then the expenditure will be charged in accordance with para **48.23** and **48.24**.

**48.27** In case of deposit works, awards should be charged to the work in all cases (whether deposit balances are available or not) and adjustments in accounts made later on.

**48.28** Where decrees/awards are normal feature, Ministries/Departments may include provisions for likely payments during a year on the basis of the past trends and other information available with them at the time of framing the estimates. If this provision proves inadequate, it may be supplemented by a Supplementary Appropriation or in the case of an immediate payment, by an advance from the Contingency Fund of India.

**New construction projects, projects other than Ministry of Urban Development**

**48.29.1** The schedules to be prepared are to incorporate new construction projects to be executed by the Central Public Works Department under Major Head "4059-Capital outlay on Public Works" in Demand No.93-Public Works for General Office administrative and other non-residential buildings relating to General Services and under Major Head "4216-Capital Outlay on Housing" in Demand No.0250-Housing and Urban Development for Government Residential Buildings. Projects/Works of Purely functional nature are to be included under the respective "Functional Heads" in Demand No.93 Public Works.

**48.29.2** No outlay for civil works (residential and non-residential buildings) should be proposed before land is actually made available and requirements of the buildings have been finalised by the Administrative Ministry concerned.

**48.29.3** The new works proposals, after complying with the above requirements, should be sent to the concerned Chief Engineer, CPWD, with two copies to the DG (Works), by the 31st August, every year.

**48.29.4** The Director General (Works) will scrutinise the proposals and forward his findings to the Ministry of Urban Development by 30th September, of every year.

**48.29.5** Ministry of Urban Development will, thereafter, convene a meeting of the Works priority Board by the 15th October. The Chief Engineer, CPWD and representatives of the administrative ministries proposing the works would be represented in the meeting. The recommendations of the Works priority Board would form the basis for preparing the Annual Plan proposals/Budget estimates of the next financial year.

**48.29.6** Thereafter, the concerned Ministries/Departments would approach the Planning Commission for necessary outlays for civil works in respect of these schemes.

**48.29.7** Simultaneously, they will also take steps to issue administrative approvals and expenditure sanctions for the new works for which plan/non plan outlays have been cleared by the Works priority Board.

**48.29.8** The schedules are to be prepared for (i) Projects where Expenditure Sanctions have already been issued (Part A) and (ii) Projects where Expenditure Sanctions have not so far been issued but where need for the work has been approved in principle by the competent authority (Part B) separate statements for Plan Residential, Non-Plan Residential, Plan non Residential and Non-Plan Non-Residential works are to be prepared for each part, the works being grouped zone-wise for each category. Ministries/Departments may give preference to the works where land is already available. Where provision proposed is for only purchase of land, the total cost of the project (cost of land, construction and machinery, if any) may be indicated in consultation with the CPWD so as to clearly establish whether the provisions of "New Service/New Instrument of Service" are attracted. All works may be arranged in order of their priority.

**48.29.9** Purchase of land for construction of office and residential buildings is to be provided for separately under the relevant Demands. Provisions are also to be proposed separately for Residential and non Residential works under the respective major Heads and these are not to be clubbed together as a single item.

### **Works-in-Progress**

**48.30** The Revised Estimates for Current year and Budget Estimates for ensuing year, in respect of Capital Works in progress under Demand for Public Works and Demand for Housing and Urban Development are to be prepared giving the following details for the works, under each Chief Engineer separately.

- (i) Name and Location of the work.
- (ii) Estimated cost of the work.
- (iii) Expenditure incurred upto March of the Previous year.
- (iv) Budget Estimates for Current year.
- (v) Expenditure incurred upto the given month of current year.
- (vi) Revised Requirements during the Current year.
- (vii) Detailed reasons for variations, if any, between (iv) and (vi).
- (viii) Totals of (iii) and (vi).
- (ix) Requirements for the Ensuing year.
- (x) Reasons for variations, if any between (vi) and (ix).
- (xi) Stage of completion of work at the end of the given month of the current year.

**48.31.1** Separate schedules should be prepared for Residential Plan, Residential Non-Plan, Non-Residential plan and Non Residential Non Plan works costing more than Rs.50 lacs each. Similar statements may also be prepared for works costing less than Rs. 50 lacs and for which lump sum amounts are provided in the schedules for works costing

more than Rs. 50 lacs. The works may be arranged in the manner as they appear in the Detailed Demand for Grants of the current year. Departmental charges should be shown in one lump sum under each Major Head. Abstracts of each schedule should also be added.

**48.31.2** The provision for "Civil and Electrical" portions of works should be shown together by Zonal Offices of CPWD: No new works costing Rs.50 lacs or more should be taken in hand or included in the proposals for Revised Estimates unless prior and specific approval of Parliament to the works has been taken by the Department concerned. In the case of works included in the list of works costing less than Rs.10 lacs each, no expenditure is to be incurred if it is found that the work is likely to cost Rs.50 lacs or more. The Chief Engineers may include token provisions, both in the Revised Estimates and in the Budget Estimates, for works provided for in the original budget but on which no expenditure has been incurred for any reason whatsoever, and the Ministries/Departments concerned should be informed of the positions, unless the works have been finally dropped by the Ministry concerned.

### **Plan works**

**48.32** Separate schedule should be prepared for "Plan and Non Plan" items of works. In respect of plan works, the following details should invariably be furnished:-

- (a) The category of the plan items must be clearly indicated, viz. whether Central Plan/Central Sponsored Plan/State/Union Territories Plan. Provision for expenditure on Central or Centrally sponsored Plan, even in UTs, should be included under the approved Head, in the relevant Demand for the Ministry/Department and not in the Area Demands for Union Territories (Ministry of Home Affairs).
- (b) The particular head of Development (as approved by the Planning Commission) under which a plan item is categorized must be indicated at the appropriate place on the relevant statement of estimates. This is particularly important, as the plan provision under each group and sub-head are arranged according to heads of Development in schedule 1 to the Demands for grants which shows the provision for plan expenditure included in each Demand.
- (c) The schedule of works, complete in all respects may be forwarded, so as to reach this Ministry by the 31st October, positively through their integrated Finance Divisions.
- (d) In the case of plan items, the Chief Engineers should forward relevant extracts of the provisions proposed to be made in the B.E. Ensuing year, for works in progress alongwith provision for Departmental charges, to the Ministries/Departments concerned so that those Ministries/Departments can take these provisions into account while preparing their Annual Plan proposals and obtaining allocation therefor from the Planning Commission. The Chief Engineers should ensure that the provision proposed for works in progress is intimated to the Ministries concerned, latest by 15th October.

In the case of plan works, the Ministries/Departments should, at the time of communicating the provision allocated by Planning Commission for civil works retain with them provision required by them for works of special nature.

**48.33** The demands should be confined to those works only which have received administrative approval in cases where such approval is required.

**48.34** For "Minor Works" and "Maintenance and Repairs" chargeable to the Major head "2059 Public Works" and "2216 Housing-Government Residential Buildings" and for works above Rs.1 lacs and below Rs.5 lacs chargeable to the Major head "2059-Public Works Construction" or "2216 Housing Government Residential Building Construction" lump sum demands should be provided justifying the total demand for each work/sub-head. Such demands should be based on realistic assessment of the expenditure likely to be incurred during the current financial year.

**48.35** In cases where such lump sum provisions are made for plan or non-plan schemes detailed justification should be given in support of the demands made.

### **Demand for Establishment**

**48.36** The estimates of the funds required under the Head "Salaries" in the Budget will be framed on the basis of trends over the preceding three years, taking into account other relevant factor like changes in rates of pay, allowances, number of posts and their filling and the economy instructions issued by the Ministry of Finance from time to time.

The Heads of Departments are to furnish the details of posts included in these estimates in order to furnish the statement showing the "Estimated strength of establishment" and provisions therefor to be appended to the detailed demands for grants (Refer Appendix 44).

**48.37** Provisions for posts lying vacant for a long time should not be made in full but only for the period these are likely to be filled up with detailed justification and the reasons for non filling for periods in question. Care should be taken to exclude provisions for employees on deputation or otherwise absent. Provision in the budget Estimates may, however, be made for vacant posts where the Director General (Works)/Chief Engineer certifies that the filling up of the posts is essential for maintaining the efficiency of the Organisation.

**48.38** The demand under "Establishment" is shown in all cases under Sub-heads (1) Salary, which includes (a) Salary of Officers, (b) Salary of Staff, (2) Allowances (Other than Travelling allowances), (3) Wages, (4) Travelling Allowances.

**48.39** Details of provision under "Establishment" should show the estimated strength in the previous, current and ensuing years on 1st March for officers by each category/type of all posts of staff such as Supervisory staff, Assistants, Clerks, etc. and group "D" establishment. The estimated number of officers should indicate designation of each post and strength for which provision is made in the budget Estimates and Revised Estimates.

These estimates should be shown distinctly (as there are separate object heads of expenditure for grants-in-aid contributions and subsidies), Grants-in-aid to recreation clubs, including those functioning in their subordinate offices in Delhi, will be included in the Demand of the CPWD. So will be the case in regard to provision for subsidy to departmental canteens.

### **Revenue Estimates**

**48.40.1** The Central PWD being an expenditure Department, does not deal with the revenue portion of the budget except in respect of miscellaneous receipts occurring in discharge of the departmental functions under the Heads of Accounts "059 Public Works" and "0216 Housing". The receipts generally, comprise of rents of land and buildings, licence fee, sale of tender forms, sale of flowers, fruits, grass, vegetables and wood etc. from compounds of premises or the premises where such produce is Government property, supervision charges on sales of stock profits on revaluation of stores, samples on stock verification, unclaimed balances under "Purchases" recovery of percentage charges i.e. establishment etc. in respect of works done for other Governments, local bodies, private parties etc. lapsed deposits and fines, confiscated/forfeited deposits, which do not represent required to be submitted in Appendix 41 by 30th November every year to the FA and CAO of CPWD.

**48.40.2** Estimates of rent recoveries adjustable under Major head "0216" in respect of Government accommodation, will be furnished by the Controller of Accounts, Ministry of Works and Housing except where a Department has separate pool of accommodation (e.g. Delhi and other Union territory, Administrations, Indian Meteorological Department, and the Central Board of Direct Taxes and Central Board of Excise and Customs etc.) of which rent receipts although adjustable under the major head 0216 are not passed on to the Director of Estates, Ministry of Works and Housing. Apart from the Controller of Accounts Ministry of Works and Housing, one, the Accounts Officers of Departments maintaining such separate pool of accommodation should

furnish estimates of "Licence fee" receipts direct to the Budget Division along with the estimates of other revenue receipt in Form at Appendix 41.

**External Assistance in the shape of materials, equipment and other commodities received from foreign Governments without involving any cash in flow or outflow-Accountal and Budget provisions**

**48.40.3** The value of material, equipment and other commodities received from foreign countries as aid without involving any cash inflow or outflow should be taken as a receipt under major head "0606-Aid Materials and Equipment". When the materials and equipment are allocated for use by Government Departments, the debit under the Major head 3606 should be relieved by a deduct entry by per contra debit to the functional Major head. This deduct entry under the Major head 3606 would be outside the scope of the grant and shown below the line, giving full particulars in the Detailed Demands for grants. Accordingly budget provision should also be made in the appropriate functional head to accommodate the debit transferred from Major Head 3606. These estimates (RE and BE) are required to be submitted in the form at Appendix 42.

**48.40.4** Estimates of interest receipts and loan repayments in respect of categories with which the CPWD is concerned are also required to be submitted to the FA & CAO, (CPWD) in Form at Appendix 43 along with other revenue estimates, by 30th November.

**Revised Budget**

**48.41** Revised Estimates give the requirements for the current financial year vis-a-vis the demands made for the items of work in the previous Schedule of Demands/Budget Estimates submitted last year. The reasons for variations between the two are to be recorded, wherever required. This statement (Appendix 40) should include the items carried forward from the last year to indicate separately items for regrant of lapsed items, new items if any, approved or likely to be approved for execution during the current financial year. In all cases, administrative approvals accorded or likely to be accorded during the current financial year should be indicated against each item.

**48.42** While making provision in the Revised Budget for the current financial year, proper assessment of progress of the works for which the funds are required has to be made.

**48.43** The creation of Office Units and sanction to staff posts will mainly depend upon these figures. The yardsticks generally adopted for set up of Executive office units i.e. Executive Engineers etc. are mainly based on the approved work load norms. Only 1/4th of the amount of the work carried by local bodies for CPWD should be considered for work load factor. Where indents are placed on DGS&D and orders are placed by them, only 1/4th of the amount of work should be considered. This factor would not apply to cases where orders are placed by CPWD officers on Rate Contract etc.

**48.44** Demands for grants are presented in thousands of amounts for Rs. 500/- and less deleted and amounts of Rs. 501/- to 999/- rounded to next 1,000/- rupees.

**48.45** No money shall be withdrawn from the Consolidated Fund of India except under appropriations made by law. The appropriation bill, when passed by the Parliament, serves as an authority for spending the public funds for the objects/destination of the voted/charged grants/appropriations.

**ANNEXURE - I**

(Reference-Para 48.22)

MIS/B-I

**PLAN/NON-PLAN RESIDENTIAL/NON-RESIDENTIAL**

Due date		
Actual date of receipt	Ministry	of
.....		
	Department	of
.....		



STATEMENT GIVING DETAILS OF NEW PROJECTS FOR WHICH BUDGET PROVISION IS  
PROPOSED IN MAJOR HEAD ..... UNDER DEMAND NO. .... OF  
MINISTRY OF URBAN DEVELOPMENT

(**Note:** Please see instructions below)

**Instructions**

1. The statement should include all new projects which are proposed to be assigned to the CPWD for construction and for which provision is required to be made in the Demand controlled by the Ministry of Urban Development. The statement should exclude any continuing project on which expenditure had been incurred in the previous year.
2. It is possible that not all the projects can be accommodated by the Ministry of Urban Development in its budget due to overall constraints such as capacity of the CPWD and budgetary restrictions. Projects should, therefore, be arranged in the order of their urgency.
3. Estimated cost in Col. 2 should relate only to the portion to be executed by the CPWD for which provision is needed in the budget of the Urban Development Ministry.
4. Information relating to actual/anticipated dates of reaching various stages (Col. 3-6) of Part B should be based on the reports from the concerned CPWD authorities. Where no such information has been received, the entry "not known" should be recorded in the relevant column.
5. Due date for this statement will be that prescribed by the Ministry of Urban Development each year for submission of Budgetary Proposals affecting Demands controlled by that Ministry.
6. Separate statement for (i) Plan-residential, (ii) Plan Non-Residential, (iii) Non-Plan Non-residential and (iv) Non-Plan Residential may be submitted.

## **SECTION 49**

### **SAVINGS, EXCESSES AND SUPPLEMENTARY DEMANDS**

#### **Surrenders of Savings**

**49.1** During the course of the financial year, it may be found that the expenditure under some of the sub-heads is likely to be less than the provision in the budget owing to one or more of the following reasons :—

- (i) Actual postponement of expenditure.
- (ii) Normal savings due to economy.
- (iii) Normal savings due either to original overestimating or to the usual administrative causes e.g. casualties, non-receipt of A/A and E/S, non-availability of site, slow progress, non-availability of Arch. Drawings, non-receipt of sanction from client Deptt., Objection from Min. of Defence etc.

**49.2** All anticipated savings noticed in a grant or allotment have to be surrendered by the Executive Engineer concerned to his Superintending Engineer/Chief Engineer sufficiently in advance before the close of the financial year. The surrenders should be made immediately the savings are foreseen without waiting till the end of the year unless these are required to meet increased expenditure under some other unit or units which can definitely be foreseen at that time.

No savings are to be held in reserve for meeting possible excesses in future.

#### **Supplementary Demands**

**49.3** Expenditure for which no provision has been made in the original budget estimates for the current year cannot normally be incurred. If either owing to (i) an unforeseen emergency, or (ii) underestimating or insufficient allowance for factors leading to the increase in expenditure, excess expenditure on a particular item of the budget estimate is inevitable, action may be taken for submission of an application for allotment of additional funds by re-appropriation or supplementary grant, where it is not possible to get funds by re-appropriation.

#### **Appropriation of Accounts**

**49.4** All the grants are made in accordance with the sanctions accorded by the Parliament in the budget/other Sessions. As required by provisions of Article 114-116 of the Constitution, Appropriation Accounts relating to the expenditure brought into account during a financial year is required to be submitted to the Parliament. The Appropriation Account, thus, compare the total grants (Original, supplementary, etc.) made by the Parliament for any particular purpose with the actual expenditure incurred by Government on that purpose. While making such comparison, explanations should be given in the Appropriations Accounts for the variations between the final grant and the actual expenditure under each sub-head, whether excesses or savings.

The sub-heads in respect of which reason for variations both savings and excesses are required to be included are as follows:

- (a) If the variation in a sub-head exceeds Rs. Fifty lacs.  
All variations both savings and excesses, irrespective of the percentage which the variation bears to the sanctioned provision (Original or Supplementary, or both taken together).
- (b) If the variation in a sub-head does not exceed Rs. Fifty lacs.
  - (i) Where the variation is an excess.  
All cases in which the excess exceeds 10% of the total sanctioned provision or Rs.5 lacs, whichever is higher. The total sanctioned provision in this clause means the original provision (if there is no supplementary provision) supplementary provision (if there is no original provision) and original and supplementary provision taken together if exist.
  - (ii) Where the variation is a saving.

All cases in which the saving exceeds 10% of the original provision or Rs. 5 lacs, whichever is higher, if in that sub-head there is no supplementary provision in a sub-head either with or without any original provision, all cases, in which the saving exceeds 10% of the supplementary provision will be included.

- (c) If the grant/appropriation as a whole has been exceeded (i.e. where excess has occurred in any of the four segments viz. voted revenue, voted capital, charged revenue and charged capital).  
Only such sub-heads as involve an excess of over Rs. One lac each, may be picked up. If, however, there is no individual sub-head involving an excess of over Rs. One lac, sub-heads which mainly account for the overall excess may be included. Of course, the criteria laid down in (a) and (b) (ii) will also be followed.

### **Re-appropriation**

**49.5** In such cases allotments under other detailed heads inside the primary unit of appropriation should be examined with the object of discovering probable savings and effecting transfer with the sanction of the competent authority, if necessary.

**49.6** If such provision of funds from within the primary unit of appropriation is not possible, the whole grant must be examined in order to see whether savings exist under other units of the appropriation. A transfer of fund from one primary unit of appropriation to another such unit may then become necessary. Such a transfer is termed "re-appropriation" and can be sanctioned only by the competent authority.

Re-appropriation of funds shall be made only when it is known or anticipated that the appropriation for the unit from which funds are to be transferred will not be utilised in full or that savings can be effected in the appropriation for the said unit.

All re-appropriation orders are issued with reference to unit of appropriation in the detailed demands or grants.

**49.7** The Executive Engineer, while submitting application for re-appropriation, should take into account the above and submit his proposals stating if the re-appropriation is possible within his own budget in the Division. In case it is not possible in the Division, the Superintending Engineer/Chief Engineer will take into account over all picture of the appropriations controlled by him and seek/order re-appropriation accordingly, wherever necessary and possible.

**49.8** Transfer of funds within one primary unit of appropriation under the same grant and involving two or more zones does not amount to re-appropriation and does, therefore, not attract the provisions of Rule 18 of the Delegation of Financial Powers Rules, 1978 because Appropriation Accounts are prepared on the basis of the total grant under a particular primary unit of appropriation in all the CPWD Zones.

### **Restrictions on Appropriations/Re-appropriations**

**49.9** Funds shall not be appropriated or re-appropriated in the following cases:

- (i) To meet the expenditure which has not been sanctioned by an authority competent to sanction it.
- (ii) To meet votable expenditure if the fund provided is for Charged expenditure and *vice-versa*.
- (iii) Funds of charged expenditure of one grant or appropriation to another grant or appropriation.
- (iv) To meet expenditure on a new service not contemplated in the budget as approved by the Government.
- (v) From "Plan" schemes to "non plan" schemes shall not be made.
- (vi) For any work, which has not received administrative approval and expenditure sanction.
- (vii) From or to the "Suspense Head" relating to Public Works.
- (viii) If the appropriated amount exceeds the amount approved or sanctioned for that work by the permissible limit of excess.

- (ix) From the primary unit "Major Head" to any other Unit without the previous consent of the Finance Ministry.

**49.10** Save with the previous consent of the Min. of Finance, no re-appropriation should be made for a new work costing Rs. Ten lacs. or above, but less than Rs. Fifty lacs. Any work not provided for in the budget, which will cost Rs. Fifty lacs or more should not be undertaken without obtaining the specific approval of Parliament or an advance from the Contingency Fund of India.

**49.11** The transfer or reallocation funds between different schemes, provision for which is made in the same primary unit of appropriation does not constitute re-appropriation and as such the concurrence of Min. of Finance is not necessary for such a transfer of reallocation.

Re-appropriation within revenue head in the budget between Major Works/Minor Works, Tools and Plants etc. is permissible.

Re-appropriation can be authorised at any time before, but not after the expiry of the financial year to which such grant or appropriation relates. All such order must be communicated to the Accounts Officer/Audit Officer concerned, before the 31st of March of the year.

**49.12** Subject to the above, the authorities mentioned in paras 49.13 to 49.15 hereunder may order re-appropriations from any primary unit of appropriation to any other such unit within and between major heads by the Grants for "Public Works" and "Housing and Urban Development" so long as they are covered by one grant and provided:

- (a) That no re-appropriation shall be made to meet any expenditure on unsanctioned works costing not more than Rs. Fifty lacs, subject to requirements of new service/new instrument of service.
- (b) That no re-appropriation shall be made from or to the Units "Major Works", "Minor Works", "Maintenance and Repairs" and "Tools and Plants" and involving both revenue and capital provisions.
- (c) That unanticipated credits, i.e. credits not provided for in the budget or in excess of the amounts included therein, which are accounted for as minus expenditure, shall not be re-appropriated to any work.

### **Powers to Re-appropriate**

**49.13** The DG (W) has full powers and he is empowered to re-delegate the powers subject to the condition that the limits of expenditure laid down for any particular house or houses is not exceeded. No power shall, however, be re-delegated in respect of

- (a) Creation of posts
- (b) Write off of losses
- (c) Re-appropriation of funds exceeding 10 percent of the original budget provision for either of the primary units of appropriation or sub-heads i.e. the primary unit or sub-head from which the funds are being re-appropriated or the primary unit or sub-head to which the funds are to be re-appropriated, whichever is less.

Delegation of powers should not be done to Non-Gazetted Officers.

**49.14** The Chief Engineers have been delegated powers as below:-

- (a) Re-appropriation of the funds available as savings from one major work to another work for which provision has been made in the budget allotment of the respective Chief Engineer, subject to the ceiling within the expenditure sanction for the latter work.
- (b) Reallocation of funds from one area to another under the same sub-head of the budget grant within the subject allotment at the disposal of the Chief Engineer.

**49.15** The Chief Engineers cannot exercise these powers in cases, where re-appropriation of funds is involved from one zone to another zone.

### **Supplementary Grant**

**49.16** When savings are not available or re-appropriation is not possible, it must be seen whether special economies can be effected under other sub-heads. If this also is not possible, it will have to be considered whether the expenditure can be postponed or whether an application for a supplementary grant should be made. Normally an application for supplementary grant is not entertained unless the anticipated excess is due to a cause beyond the control of the authority concerned and the funds cannot be found by legitimate postponement of expenditure for which provision already exists.

**49.17** The Supplementary Estimates arise, in spite of every care taken to include in the budget all possible payment which will have to be made during the financial year, owing to one or more of the following causes:—

- (i) Preparation of annual estimates some months before the commencement of the financial year.
- (ii) Fluctuating nature of the services.
- (iii) Change (s) of policy or programmes that may occur during the year.
- (iv) Under estimating or insufficient allowance for factors leading to the growth of expenditure.
- (v) Other un-foreseen causes. and
- (vi) Expenditure upon some New Service not contemplated in the Annual Financial Statement of the year.

**49.18** While submitting Supplementary Estimates for grants or funds under Article 115 of the Constitution, full facts leading to the demand being made and details of the work with specific mention about administrative approval expenditure sanction etc. "Plan scheme" and "New Service" etc. should be described to enable the higher authorities to ensure that there is adequate justification for placing it before the Govt. for allotment of funds. The application (s) for such Demands should be made to the Ministry as soon as a contingency arises. Supplementary Demands for Grants are presented at every session of the Parliament by the Ministry of Finance, if so decided by them.

**49.19** When a Department fails to take a supplementary grant before the close of the financial year, either through misapprehension or because it ascertained the fact of a deficit too late to do so, it has to be termed as "Excess Grant". In such cases, grant of such excess amounts should be obtained in the following year and at the earliest practicable moment after the excess is established, for its regularisation under Art. 115 of the Constitution through the Ministry.

## **SECTION 50**

### **DISTRIBUTION OF GRANTS**

#### **Allotment of Funds**

**50.1** After the budget grants are approved by the Parliament, the Ministry distributes the sanctioned funds, where necessary, among the concerned Heads of Deptts. as controlling and disbursing officers subordinate to it according to their demands. The whole or a part of the provision under primary unit as sanctioned may be placed at the disposal of a controlling or disbursing officer or the primary unit may be broken into a number of secondary units and the provision under any of these, wholly or in part, placed at his disposal. He, in turn, may out of the funds placed at his disposal, allot funds for expenditure on a specific item or a group of items. The distribution of budget provision by/to the Head of Deptt./Subordinate offices shall be informed to PAOs for check against allocation.

**Note:** No cognizance will be taken by the Audit officer and/or the Accounts Officer, as the case may be, of any distribution of appropriation among specific items or groups of items which may be made by a disbursing officer for purpose of control over expenditure and no such distribution needs, therefore, be intimated to them.

**50.2** While preparing detailed statement showing the distribution of the funds, the following points should receive attention of the budget authorities.

- (i) The statement should show the distribution of the final allotments by Circles or Divisions or both and by primary and secondary units of

appropriation to cover a number of individual items or works. It should also contain an abstract of the charges by the prescribed sub-heads.

- (ii) Specific allotment should be made for each individual major work.
- (iii) Lump-sum appropriations may be made for minor works (Deptt./Division wise) and repairs or maintenance.
- (iv) Provision for voted and non-voted (charged) items should be shown separately.
- (v) The amounts and details of the allotment intimated by the Ministry should be strictly adhered to and on no account altered.

**50.3** The distribution statement, when issued, should be regarded as the authorised programme of expenditure. Any change required therein, during the course of the year, should be dealt with under the Rules of re-appropriation, referred to in preceding section.

### **Review of Grants**

**50.4** The DG(W)/ADG/CEs should review every month the progress of expenditure against the funds placed at their disposal from time to time. They should submit to the Ministry early in December of each year, separate statements for each major head showing the anticipated savings or excesses under the various units of appropriation. These statements should include only such items as are beyond the powers of appropriation and re-appropriation of their authority and should be prepared separately for voted and non voted expenditure.

**50.5** While preparing such statements, all adjustments that can reasonably be foreseen should be taken into account and it should be ensured that the revised forecast of expenditure against the appropriation is as accurate as possible. This, however, does not preclude subsequent changes, which cannot be foreseen at the time of review being effected. All applications for such subsequent modifications requiring the orders of the Government should be submitted sufficiently in advance so as to reach the Ministry by 15th February of each year.

**50.6** To ensure effective control of the expenditure against the appropriations made, a quarterly review of the expenditure is conducted until the end of September and thereafter every month till the month of January.

**50.7** Where the progress of expenditure is not even and upto the required standard timely warnings may be issued.

### **Control of Expenditure**

**50.8** A constant watch is required to be kept on variations so that as soon as it becomes clear that the funds are likely to be in excess or in short, action can be taken to surrender the savings or to obtain sanction for re-appropriation or a Supplementary Grant. In order to maintain proper control over the expenditure, a record of liabilities and commitments that have been or will be made or incurred against the budget allotments in his jurisdiction should be maintained by the Divisional Officers in Liability Registers Form GFR (6), wherein progressive accounts of all outstanding liabilities should be indicated. The liability Register facilitates preparation of correct estimates of expenditure.

**50.9** During the closing of a financial year, there is generally a tendency to utilise the unspent budget provision, which may be considerable, if a proper watch has not been kept over the monthly progress of expenditure. As a result of this, there is a rush of expenditure, popularly known as the "March Rush". It is against the interest of the State that money should be spent hastily or in an ill considered manner just to avoid lapse of budget grant. A rush of expenditure is therefore regarded as a breach of financial regularity and should be avoided. It is for more in the public interests to surrender funds, which cannot be profitably utilised, so that the same are diverted to other objects which could otherwise have to be held in abeyance for want of money.

**50.10** Whenever grants have not been utilised to the full extent for valid reasons, e.g. non-drawal of arrears of pay for want of sanction or non-completion of the transactions

relating to purchase of stores in spite of all efforts made to conclude them, the Government, will consider proposals to provide funds for the items in question by means of supplementary grants in the ensuing year. There is, thus, no reason for the authorities concerned to try to spend all the surplus funds at their disposal, merely to avoid their lapses.

## **SECTION 51**

### **RECONCILIATION OF ACCOUNTS**

**51.1** The Head of the Department and the Accounts Officer are jointly responsible for the reconciliation of the figures given in the accounts maintained by the Head of the Department with those appearing in the Accounts Officer's books. The reconciliation should be made monthly, the initial responsibility resting with the Accounts Officer. The detailed procedure for reconciliation of expenditure incurred by Direct Demanding Officers (DDOs) including cheque drawing, Direct Demanding Officers (Divisional Officers) and appearing in the books of Pay and Accounts Officers has been explained in succeeding paras.

**51.2** The reconciliation need not be very close. Its extent should be determined by the following considerations:—

- (a) that the accounts figures finally published will be those maintained by the Accounts Officers; and
- (b) that the main object of the reconciliation is to ensure that the departmental accounts are sufficiently accurate to render possible an efficient departmental control of expenditure.

**51.3** It has been decided after consultation with Comptroller and Auditor General of India that the following procedure will be followed by the departmental Officers and the Pay/Principal Accounts Officers:—

- (i) Direct Demanding Officers (DDO's) will continue to maintain the bill register in form TR 28A and note all bills presented for payment to the PAO in it. On receipt of cheques from PAO against bills presented, necessary note would be made in the Register including retrenchments, if any.
- (ii) After the compilation of accounts of a month are over, the PAO's should furnish to each Direct Demanding Officer including cheque drawing Direct Demanding Officers (i.e. Divisional Officers) an extract from the Expenditure control register etc. indicating the expenditure relating to the grants controlled by him classified under the various major, minor and detailed heads of accounts. The statements from May to March shall also contain progressive figures.
- (iii) Each Direct Demanding Officer and every Controlling Officer and Head of Departments, in respect of his own expenditure, from the portions of the grant/appropriation allotted/retained to/ with him, shall maintain a separate Register in Form GFR 9, for each minor or sub-head of account with which he is concerned. In this Register, shall be entered the necessary particulars of the charges drawn on each bill under the appropriate primary unit and detailed head.

**51.4** In respect of bills presented/paid by PAO, necessary particulars of token No./date or Vr. No./date as intimated by PAO, as the case may be, shall be entered.

The Division Officers shall have the particulars of relevant Sl. No. Given in the Bill Register, TR 28A, entered/indicated in the Register in GFR-9.

On receipt of extracts of expenditure from PAO each Direct Demanding Officer shall compare the details of expenditure, excluding book adjustments, with expenditure worked out in the Register-GFR 9: (the Direct Demanding Officer shall also enter separately the expenditure advised by PAO through book adjustments in this Register) and would furnish certificate of agreement on or before the last day of the following

month of such expenditure to the PAO or explain to him the discrepancies, if any, for settlement.

Simultaneously, the Direct Demanding Officer would furnish on the 3rd of next month, to his Controlling Officer, such expenditure as per Register in GFR-9, who would have it noted in Register in GFR 11/GFR 12 (for Heads of Departments) respectively. The Controlling Officers should maintain a Broadsheet in Form GFR 10 to watch the receipt of such statement from Direct Demanding Officers.

**51.5** The CCA, MOUD, would furnish to the DG(W), a monthly statement of expenditure (duly consolidated) in the prescribed proforma vis-a-vis the budget provisions under various heads of accounts. The Head of Department i.e. the DG(W) would have such expenditure compared with that consolidated by Directorate in Form No.GFR 12 and have the discrepancies, if any, between the two investigated/settled.

**51.6** The Head of Department would furnish a quarterly certificate to the PAO, MOUD certifying the correctness of the figures for the quarter by 15th of the second following month after the end of the quarters, April-June, July-September, October-December and January-March.

**51.7** The Head of Department/Controlling Officer should ensure that the Direct Demanding Officers carry out the reconciliation regularly and in a systematic manner and furnish necessary certificates and returns to the Controlling Officer/Head of the Department in time.

The Divisional Officers as Cheque drawing Direct Demanding Officers and other Direct Demanding Officers getting funds from PAO would maintain record of expenditure in the Register in Form GFR 9. SEs/SE(P)s/CEs as Controlling Officers of the Divisional Officers/Circles respectively would be responsible for timely reconciliation by Direct Demanding Officers/Divisional Officers by maintaining as Controlling Officer records of expenditure in Form GFR 11.

The CEs/DG(W) as Heads of Departments would maintain consolidated Zone-wise and grant-wise records, i.e. Major Head, Minor Head, Sub-Head-wise of the expenditure in Form GFR 12. The final reconciliation of expenditure for the purposes of Actuals vis-a-vis unit of appropriations as compiled by PAO CPWD (DGW) would be effected between figures of Directorate General of Works and the PAO, CPWD (DGW).

**51.8** A Grant or Appropriation shall be utilised to cover the charges, including the liabilities, if any, of the past years, to be paid during the financial year or to be adjusted in the accounts of the financial year for which such Grant or Appropriation is sanctioned. Such charges can be authorised by competent authority, any time before, but not after, the expiry of the financial year. Any unspent balance shall lapse and shall not be available for utilisation in the following year.



## **SECTION 52**

### **REGULARISATION OF EXCESS**

#### **Avoiding Excesses**

**52.1** Excesses over voted grants and appropriations and surrenders reflect on the effectiveness of control over expenditure.

**52.2** In cases where the schemes are not fully worked out at the budget stage and a realistic estimate of the likely expenditure during the year is not found possible, provision for preliminary expenses and immediate requirements need only be included in the budget as far as possible subject to review later on during the financial year on the basis of progress made in the planning of and sanction of the schemes.

**52.3** Apart from the realistic estimation of the budget, adequate steps should be taken for effective control over the progress of expenditure against the sanction grants including expenditure on account of book adjustments and payments for procurement of stores, supplies and services.

#### **Sanctions to Regularise Excesses**

**52.4** A statement in Form No.8 should be prepared annually for submission to the Ministry by the end of December every year to show the causes of excesses and savings under different sub-heads along with reasons why steps were not taken in time to surrender the savings or to obtain necessary funds to cover the excesses before the end of the financial year. Separate statements should be prepared for each grant.

**52.5** If the grant, has been exceeded, sanction should be obtained to the excess from the Ministry of Finance in case of non voted expenditure or from the Parliament in the case of voted expenditure.

As voted and charged portions as also the revenue and capital sections of a Grant/Appropriation are distinct and re-appropriation inter se, is not permissible, an excess in any one portion or section is treated as an Excess in the Grant/Appropriation.

**52.6** Excess in the demands as a whole requires regularisation by the Public Accounts Committee, which generally take a serious view of such excess and insists upon satisfactory explanations from the Departments concerned.

**52.7** Similarly savings and surrenders should also be avoided. The Public Accounts Committee takes serious view of the same as in case of excess. Large savings are indicative of loose budgeting in the sense that these prove the inability of the Department to spend usefully the funds to the extent anticipated.

**CHAPTER VI**  
**SECTION 53**  
**CHIEF TECHNICAL EXAMINER'S ORGANISATION**

**Functions**

**53.1** The Chief Technical Examiner's Organisation is the technical wing of the Central Vigilance Commission. The Chief Technical Examiner's Organisation Conducts inspections of works of CPWD from the Vigilance angle on its own or a complaint being received by/referred to them. The inspections can be carried out by them for works of any magnitude, both in respect of original and repair works.

**Returns**

**53.2.1** In order to facilitate selection of work for inspection, a quarterly return has been prescribed for submission to them giving the list of works in progress. These returns are to be consolidated for each Zone and sent by the CEs to CTE. The returns are required on separate sheet-circle wise indicating clearly the name and address of Engineer-in-Charge under whose charge the work is being got executed. The Quarterly Progress Reports are to include all civil works where accepted/tender value exceeds Rs. One crore, electrical works exceeding Rs. Fifteen lacs and horticulture works exceeding Rs. Two lacs and these are to be submitted on separate sheets for civil, electrical and horticultural works. These returns are required to be submitted for quarters ending March, June, September and December. (Proforma of the return is enclosed as Annexure 1).

**53.2.2** Quarterly statements for stores and purchase contracts valuing above Rs. Two crores are also required to be sent to the CTE organisation. The scope of supply contracts (including imports) shall include the value of materials/components, the installation and commissioning charges, where applicable. (Proforma of statement is enclosed in Annexure 2).

**53.3** In order to ensure timely submission of these returns to CTE so as to reach them by 15th of succeeding month of the quarter, the following procedure/drill shall be strictly followed.

- (i) EEs shall send the returns to their SEs by 5th of the succeeding month of the quarter to which the report pertains.
- (ii) SEs shall send 3 copies of consolidated report to CEs by 7th of the succeeding month.
- (iii) CEs shall send the return to CTE by 12th of the month.

The returns shall cover works of magnitude as specified above and not of lower values.

No endorsement/return shall be sent by EE or SE direct to CTE. CTE shall get the returns only from CEs concerned.

Apart from the above quarterly return, no other return is to be submitted by the Officers to CTE (Unless specifically asked for). The returns of completion of works, work order, muster roll, copies of NITs etc. are not to be sent to CTE as a matter of routine, unless specifically asked for, in particular case.

**Inspection by CTE**

**53.4** Intimation regarding the inspection/examination of works by CTE is sent by him to EE concerned with a copy to SE well in advance. In order to enable the inspection to be carried out properly, various documents relevant to the work are generally asked for by CTE to be kept ready to site. A list of such documents is given in Annexure 3. Any how, this list is not exhaustive/comprehensive. Any other record considered relevant for inspection can be called by them.

**53.5** The inspection reports are sent by CTE to the EE concerned, which EEs shall reply within period mentioned in the letter. Any how matter of serious nature or such

matters pertaining to sanctions of estimates, NITs acceptance of tenders etc. dealt by higher officers, may be referred by CTE for replies directly by the higher officers.

In respect of such paras, EE shall send his comments if required by the higher Officers, to SE concerned and not directly to CTE.

**53.6** In order to expedite replies and settle the points and to ensure timely action, it is essential that the time limit fixed by CTE is strictly adhered by officers of CPWD at all levels. For keeping a proper watch in the disposal, the EE/SE/CE shall maintain a register in proforma given in Appendix 45.

#### **Recoveries of Overpayments pointed out by the CTE**

**53.7** Normally the recoveries of overpayments pointed out by the CTE should be made within a period of three months from the date of issue of memorandum by CTE. The overpayment arising out of the defects pointed out by the CTE should be promptly assessed and accepted by the Divisional Officer, whenever agreed to and the recoveries effected from the money due to the contractor either from the same work from the immediate running bill or from any other work or from the security deposit, if any, with the Director General (Works). In no case, action to recover the overpaid amount should be pending or be kept in abeyance on account of the case being before the arbitrator. Action in term of the award can be take after the award is received and accepted by the competent authority. Recoveries/adjustment of the amount in question should, in no case, be effected by debiting the amount to Misc. Works Advance. In order that the recoveries of overpayment pointed out by CTE are promptly effected, a register of overpayments pointed out by the CTE Organisation and subsequent recoveries effected should be maintained by the Divisional Officer in proforma given at Appendix 46.

**53.8** Although the inspection of CTE is a part of the contract, yet the CTE is not a party to the contract, no reference should be made to his inspections/examinations of works in any correspondence made with the Contractor. Notice for rectification of defects, recoveries to the made etc. shall be issued by the Engineer-in-Charge, who is the party to the contract, acting for and on behalf of the President of India.

## ANNEXURE - 1

(Reference Para 53.2.1)  
STATEMENT SHOWING THE QUARTERLY PROGRESS OF ORIGINAL WORKS FOR  
QUARTER ENDING MARCH/JUNE/SEPT/DECEMBER .....

Civil Works costing	Rs. One crore & above.
Electrical Works costing	Rs. Fifteen lacs & above.
Horticulture Works costing	Rs. Two lacs & above.

## ANNEXURE - 3

(Reference Para —53.4)  
LIST OF DOCUMENTS CONSIDERED ESSENTIAL FOR INSPECTIONS BY CTE AND WHICH  
MAY BE CALLED FOR EXAMINATION OF WORK

- (1) (a) Press Cuttings, including extended dates, if any
  - (i) For prequalification of Architects/Consultants.
  - (ii) For prequalifications of Contractors.
  - (iii) Call of tenders.
- (b) Register of sale of tenders,
- (c) Register of opening of tender.
- (2) File giving reference to Financial sanction and approval of competent administrative authority-Preliminary estimate.
- (3) Copy of Detailed Estimate and its Technical Sanction by competent technical authority.
- (4) Approved N.I.T. (Notice Inviting Tenders) in original.
- (5) Rejected tenders and comparative statements for :
  - (a) Selection of Architects/Consultants.
  - (b) Short-listing or prequalification of tenders.
  - (c) Other tenders.
- (6) Justification statement and corresponding notings in support of tender/offer accepted.
- (7) Details of negotiations, if any, made before acceptance of tenders.
- (8) Original contracts with consultant/contractor.
- (9) Guarantee Bonds etc. towards security for work, machinery/mobilisation advance etc. including extension of validity.
- (10) Insurance policies for work, materials, equipment, men etc. including extension of validity.
- (11) Guarantees for water tightness, termite proofing etc.
- (12) Standard specifications.
- (13) Standard Schedule of Rates.
- (14) Drawings Architectural and structural.
- (15) All connected Measurement Books, level books, field books and lead chart.
- (16) All Running Account Bills with all connected statements/vouchers etc.
- (17) Statement showing details of check of measurements by Superior Officers-Copies of orders laying down such requirements.
- (18) Materials at site accounts/dismantled materials record.
- (19) Site order Books/Texts records/Log Books.
- (20) Details of Extra/substituted items and of Deviated Quantities being executed considered for execution in the work alongwith Analysis of Rates.
- (21) Hinderance Register.
- (22) Office corespondence files and inspection notes, if any, issued by Inspecting Officers.
- (23) Complaint records, if any.
- (24) Any other documents relevant to the works.

## **SECTION 54**

### **QUALITY CONTRTOL AND TECHNICAL AUDIT WING**

#### **Introduction**

**54.1** An independent quality assurance and Technical audit wing works under the Director General (Works). The Quality Assurance activity, in order to be truly effective has to ensure a progressively improved and uniform quality of the finished work. Experience gained over years indicate that "Process Control" is essential in building construction to ensure that the work in different phases is executed in a manner predetermined and laid down in specifications. In order to achieve the above, the prerequisites cover among other things, availability of adequately manned and equipped agency for exercising quality control, periodical appraisal of quality and system of feed back for effecting possible improvements.

#### **Quality Control System of the Department**

**54.2.1** In the Quality Control system of the Department, the Field Engineers-in-charge of execution have to adopt the relevant Quality Control measures to ensure the desired quality of work.

**54.2.2** The direct responsibility for ensuring proper quality of work as per approved specifications and for achieving designed life of the building rests with the construction team i.e. EE, AE & JE. The SE shall be over all responsible for management of Quality System and Procedures for works under his charge. For this purpose a QA team headed by AE(QA) has been provided to assist him. The powers of acceptance of sub-standard work delegated to the SE should be used sparingly and under exceptional circumstances. The Chief Engineer shall periodically review and monitor the Quality Control System.

**54.2.3** Independent Quality Assurance set up which keeps a watch on the effectiveness/adequacy of quality control measures at site and also provides guidance to the field engineers comprises of the following:—

- (i) QA wings in each region under ADG of the region.
- (ii) Core Wing at the Directorate under CE (CSQ).

#### **Organisational Set Up of Quality Control Personnel**

**54.3** The implementation of Quality Control in the field will require close co-operation among the three agencies namely (a) field engineers (b) the Construction Agency and (c) The Quality Assurance Team at Circle level.

#### **Construction Staff and Engineer-in-Charge**

**54.4** The broad responsibilities of the Engineer-in-charge will be as under :—

- (i) To ensure that materials duly approved by the competent authority are used in the work.
- (ii) Wherever necessary the Ex.Engineer shall approve the sources for respective materials.
- (iii) Samples of materials should be approved by EE and signed by him and contractor and preserved till end of the project.
- (iv) Samples of various materials, fittings to be used shall be approved well in advance before placing orders and displayed at sites of works with make and name of the manufacturer/supplier.
- (v) Before taking up the finishing work, full scale sample should be prepared for large scale repetitive items, such samples should be approved by EE. Some examples are:
  - (a) Frames and shutters for door windows
  - (b) Water supply, drainage and sanitary lines and fittings
  - (c) External and Internal finishing
  - (d) Flooring including levels and slopes and dado

- (e) Electrical switch board/electrical fittings/points
  - (f) Door/window fittings
  - (g) Kitchen
  - (h) Sample quarter for Residential areas
  - (i) Sample unit like corridors, toilet, room in case of non-residential areas.
  - (j) Various types of service pipes
  - (k) AC ducts/AC Grills
  - (l) Window Grills with or without Coolers & ACs
  - (m) False ceiling
  - (n) Fire fighting pipes and fittings, conduit networks, including cable ducts and cable galleries
  - (o) Shafts.
- (vi) To ensure that all laboratory tests as laid down in the specifications are carried out at appropriate time and materials failing to conform to the required specifications are promptly rejected and removed from site.
  - (vii) As far as practicable, all tests on materials will be carried out at the construction site in a field laboratory, which will be set up under the control of the Executive Engineer. At least one lab should be established in each division. The equipment for such field laboratories may be purchased directly charging their cost to the work. A Junior Engineer of the division with aptitude for testing should be selected by the Executive Engineer for manning the laboratory. He should be given training in the Central Laboratory to familiarize with the various tests and then placed in charge of the field laboratory. A typical list of equipment and instruments which may be procured for a field Laboratory are given in annexures 1 and 2. Results of routine tests carried out in the field laboratory will be promptly communicated simultaneously to the Engineer-in-Charge and the Quality Control Team functioning at the Circle level. The Junior Engineer-in-Charge of the field laboratory will be responsible for carrying out tests correctly and for timely communication test results to authorities mentioned above.
  - (viii) Although testing of materials is a very important requirement for quality control, often testing is not carried out by AE/JE at site till the lapse is pointed out by an inspecting officer. It is essential that the officers who have to get the work executed at site should be aware of the various tests required to be carried out during the progress of work and should be adequately prepared for the same before the actual work starts. A Consolidated test register duly signed by EE on each page should be issued from the Division Office soon after the award of work.
  - (ix) It will be convenient for the EE to keep a watch over regular testing of materials while making payment at the stage of each running bill. For this purpose, a proforma as given in Annexure-3 may be prescribed. The first five columns of the proforma should be filled by the AE/JE and checked by EE in advance and copies as required made thereof. The remaining columns will be filled by AE/JE with each running bill and checked by EE before making payment.
  - (x) Samples for tests are taken mostly by JEs or some by AEs. Samples for 10% of mandatory tests should be collected by EE. 10% of the field tests should be got done by EEs in their presence.
  - (xi) To ensure that the Quality Control Procedures as may be laid down by the Core Cell, are strictly adhered to by all construction staff.
  - (xii) A Guard File shall be maintained at all work site with copies of all inspection reports to-date, whether these be of AE(QA), regional QA units/QA Core Wing, EE, SE or CE.
  - (xiii) Inspection Register, Site Order book , Record of tests, Hindrance Register, etc. should be put up for entries and review to every inspecting officer.

- (xiv) The Inspecting Officers of the rank of SE and above shall not confine themselves only to review of progress, co-ordination and general matters but shall inspect the work from quality control aspects.
- (xv) The EE & SE should invariably review and sign the Guard File of earlier inspections, inspection register, Site Order Book, Registers of tests carried out, Hindrance register etc.
- (xvi) The EEs should ensure that AEs and JEs as well as contractor's supervisors in-charge are fully aware of specifications for any new/fresh items of work to be taken up in the next two weeks. AEs/JEs/Supervisors should ensure that this important aspect is not overlooked. Senior officers should guide the subordinates for execution of specialised/selected items to avoid common defects.
- (xvii) Check list.  
As and when any important item is taken up for execution, JE/AE should go through the specifications and make a check list. This check list should be got approved from EE. The important items inter-alia include foundation including reinforcement and shuttering, brickwork, cast-in-situ mosaic flooring, doors & windows, plumbing i/c water supply pipe lines, roof treatment, earth-filing etc.  
Sample check lists for items of concrete for raft, columns/beams/slabs, water supply lines, brick work and plastering are enclosed as Annexure 4 for guidance.
- (xviii) In buildings one of the serious problems is dampness and leakage. EEs shall ensure that necessary tests are carried out for proper slopes of canopies, chajjas, terracing, drainage arrangements, water tightness of expansion joints, joints in the W/S, drainage and sanitary works before these are covered/concealed and also ensure rectification of defects noticed and certify the rectification carried out.
- (xix) EEs shall ensure availability of the required test equipments for field tests as well as an updated copy of specifications and copies of Agreement at sites of works.

#### **Quality Control Team at Circle Level**

**54.5** The Quality Assurance Team with Superintending Engineer of the circle as its head will comprise the Assistant Engineer (along with his J.E. for laboratory work) whose main job is quality assurance.

- (a) In order that the role of the AE (QA) is effective in the process of Quality Control, the following points are essential :—
  - (i) The periodicity of visit of works should be such that the process control at various stages is possible.
  - (ii) There should be minimum delay between inspection of work and communication of inspection information to Field formation.
  - (iii) The AE(QA) should carry out his tasks in a work that relates operationally to the quality specifications and standards laid down for the work and to the control actions that can be applied to the construction process. Thus the AE(QA) should assess those aspects which are important to the overall quality of the finished work.
  - (iv) The data received from AE(QA) should be analysed and organised to evaluate significant facts not only about the finished work but also about the process leading to it.
  - (v) The analysed and organised data should be presented to the Field Formation in a form that enables them to see immediately its significance for control and necessary action.

**54.6** The functions of Quality Assurance Team at Circle level are as under :

- (i) Every AE(QA) should Carry out minimum 10 visits to works every month.
- (ii) In pre-dominantly construction division, where maintenance works exists, at least 10% of such visits should be of maintenance works.

- (iii) AE(QA) should prepare his programme and take approval of SE. The programme should be sent to site in advance of inspection.

**54.7** Following norms have been decided for inspection to be carried out by the AE(QA) of the Circle Office :

- (i) Construction works costing normal at least acceptance powers of tender by SE or more Each work to be inspected three times during currency
- (ii) Construction works costing less than the at least normal acceptance powers of tenders by SE but more than or equal to the normal acceptance powers of tenders by EE (Strengthened Division) Each work to be inspected twice during currency.
- (iii) Maintenance works at least once. Each work to be inspected

**54.8** During periodical visits, efforts of the AE(QA) should be directed at:

- (a) to check the quality of materials used in the work.
- (b) In respect of the quality of the finished items also, random checks shall be applied by the AE(QA), with the help of handy instruments like Impact Hammer, penetrometer, moisture meter etc.
- (c) The AE(QA) shall also carry out a systematic check on the field test carried out by the Field staff during the progress of the work. This is to be with particular reference to the mandatory tests laid down in the CPWD Specification. In case of any abnormal test results coming to his notice, the AE(QA) with the approval of SE shall send samples of such items to the laboratory for repeat tests.
- (d) The AE(QA) is to also provide guidance to the field staff in case of any problem relating to routine field tests.
- (e) Finally, on the basis of these observations with regard to the quality of works, general adherence to the quality control procedure and the standard of progress, he shall submit an overall assessment report in the form at Annexure-5 to the Superintending Engineer of the Circle. Superintending Engineer shall complete the part V of the report with minimum delay.  
AE(QA) will then send the report to the Executive Engineer concerned, simultaneously endorsing copy to AE in charge as well as SE(TLCQA) of the Region [To SE(QA) for New Delhi Region, BFR & IBB Works]. In the case of works accepted by Chief Engineer, a copy of the Inspection Report is to be endorsed to Zonal CE also.
- (f) The report of the AE(QA) while being comprehensive should be simple and clear so that when communicated to the field formation, the control actions, necessary become evident.
- (g) In case any new technology or material is being used at a site and if any defect is noticed during site inspections, AE(QA) shall send a report to the CE(CDO) and TAD(Cell).

#### **Action by SE on AE (QA) Report**

**54.9** Based on the report of the AE(QA), the Superintending Engineer shall assess the following:—

- (i) The general standard of quality of the work at the particular site. This assessment is to be based on the regularity of the routine tests carried out in the field and general adherence to the quality control procedures.
- (ii) The life of the building likely to be achieved, vis-à-vis the designed life.



- (iii) Remedial action required to avoid defects of the nature mentioned in the Inspection Report.

**54.10** Where the quality of work is not found satisfactory, the SE shall take necessary corrective measures to rectify the defective work and to ensure that the designed life of the building is achieved.

**54.11** The Superintending Engineer shall also utilise these periodical reports to identify the construction agencies which tend to produce bad quality of works persistently. The performance of such agencies should be watched in different works in the Circle and the Superintending Engineer should initiate action for ultimate removal of such agencies from the approved list of contractors.

**54.12** Similarly, an opinion can be formed about the performance of various construction teams i.e. the different Construction Division and the staff working under them from these inspection reports. In the event of poor standard of performance in particular Division, necessary measures may be taken for effecting better supervision by the field staff.

**54.13** All replies furnished by the Executive Engineer on the reports of AE(QA) of the Circle as well as replies to the Superintending Engineer's comments on the same shall be kept in view for future inspections by Superintending Engineer as well as his AE(QA) and any infirmities and discrepancies suitably brought to notice of the concerned Officers.

**54.14** The Circle Level quality control team shall exercise technical audit in respect of all divisions under the circle every year. During the technical audit, preferably the bills finalised during the last six months should be checked.

#### **Regional Q.A. Units and their Functions**

**54.15** Quality Assurance work in various regions are being looked after by Regional QA Units headed by SE(TLCQA) of the region.

**54.16** The Regional QA units shall follow the guidelines and norms relating to Quality Systems and Procedures as laid down by the Quality Assurance Core Wing from time to time. These Regional QA units shall function under control of ADGs, who shall be fully responsible for effective quality assurance in their Region. However, CE(CSQ) shall also inspect works in the Regions, on behalf of DG(W) to see the effectiveness of Quality Assurance as well as cases referred to him by SE(TLCQA)/CE/ADG.

#### **The Role and Functions of Q.A. Units under SE(TLCQA) in the Region**

**54.17** In general the Q.A. Units shall exercise the role for management of Quality Systems & procedures to achieve and sustain Quality of works executed by the CPWD and to offer necessary guidance to the field units in this regard.

**54.18** Major Functions assigned to Q.A. Units are as under :

- (i) To carry out inspection of original works costing more than the SE's power of acceptance of tenders in general and maintenance works (including functioning of Enquiry Offices) from Quality Assurance angle on selective basis, Q.A. Units may also inspect any work irrespective of its value at its discretion.
- (ii) In selecting works for inspection, their uniqueness, complexities and special characteristics, if any, shall be kept in view. For effective quality assurance any major work shall be inspected 3 to 4 times during the progress of the work at various stages. Each Q.A. Unit headed by EE shall visit minimum three works per month out of which at least 25% works shall be maintenance/special repair works.
- (iii) To carry out comprehensive examination & technical audit of at least one division per zone in a year, for works costing more than Rs. One Crore. Such examination shall encompass all aspects of the work right from the requisition stage till its completion and payment of final bill.
- (iv) To provide guidance in setting up laboratories at various stations/work sites.

- (v) To review the performance of new materials and techniques introduced in the Department from time to time on the basis of the field inspections.
- (vi) To convey observations regarding Electrical works having bearing on the planning and execution of Civil works to the appropriate Unit in Electrical Wing.
- (vii) To inspect any work or carry out investigations and enquiries with regard to quality related aspects assigned by the A.D.G. concerned/D.G.W.
- (viii) To submit quarterly reports in brief to ADG covering :—  
List of major works inspected, common defects/deficiencies observed in the work and highlight of the functioning of the regional Q.A. set up.

### **The Core Wing & its Functions**

**54.19** The Core Wing shall have the over-all responsibility of constantly reviewing the existing quality assurance procedure and updating it on the basis of feed back from Quality Assurance Teams.

**54.20** It shall carry out the functions of Regional Q.A. Unit for works under all ADGs, under whom no SE(QA)/TLCQA is posted. Presently, QA core wing will look after works under ADG(S&P), ADG(TD) ADG(Border) and Enginner-in-Chief,Delhi PWD. In addition, it shall perform following other functions :

- (i) To deal with policy issues pertaining to Total Quality Management System (TQM) for the C.P.W.D. as a whole.
- (ii) To review the existing procedures regularly on the basis of feed back from regional units and to issue guidelines/instructions to ensure uniformity, consistency and reliability in implementation of quality System and Procedures in the department.
- (iii) To lay down norms/guidelines for periodic inspection and effective functioning of Q.A. Units in the Regions/Quality Control teams at Circle level.
- (iv) To keep itself update with modern testing equipments and methods and disseminate information in this regard to all concerned in the Department.
- (v) To review the existing tolerance limits and to lay down the tolerance limits in respects of finished items, for which such limits are not specified in C.P.W.D. Specifications. Such tolerance limits will be fixed based on the accumulated experience of various works.
- (vi) To issue guidelines/instructions for assigning accountability for different items of works.
- (vii) To carry out investigations & enquiries with regard to quality related aspects for specific works or any other functions assigned by CE(CSQ)/concerned ADGs/DGW.

### **Calendar of Returns**

**54.21** To enable the functioning of Core Wing as well as the Quality Assurance team at the Circle Level the information as detailed below is to be furnished by the Divisions and the Circles

- (a) To be submitted by Divisions to Circle office
  - (i) Quarterly statement of works in progress in respect of all works of acceptance power of CE and above. As on 31st March, 30th June, 30<sup>th</sup> September and 31st December every year as per proforma at Annexure 6.
  - (ii) Quarterly statement of works of acceptance power of SE, as per proforma at Annexure 6.
  - (iii) Copy of Award letters for works of acceptance powers of Chief Engineers and above [to be sent to respective QA (Core Wing)/Regional (TLCQA) Unit.]
- (b) To be submitted by Circle Office to the Core Wing/Regional QA Unit

- (i) Quarterly statement showing the progress of original works of acceptance power of CE and above, as on 31st March, 30th June, 30th September and 31st December every year (As per proforma at Annexure 6).

### **Issue of Inspection Reports by Core Wing/Regional TLCQA Units**

**54.22.1** During the inspection Q.A. Unit will prepare the necessary observations based on the proforma as enclosed as Annexure-7.

**54.22.2** After finalisation of report, EE(QA) should sign and send the report to the concerned EE, simultaneously enclosing copies to concerned CE & SE. A copy of the report will also be endorsed to ADG of Region by Regional TLCQA unit and to CE (CSQ) by Core Wing.

**54.22.3** Any point considered serious enough to be brought to the specific notice of the concerned SE/CE will be intimated by SE(QA)/CE(CSQ) of the region, through a separate letter by name in addition to the normal report .

**54.22.4** Where some observation paras have been brought to the notice of the SE/CE, they should send their comments/replies after personal inspection in case the work is located at the same station/headquarter. For outside works, SE/CE can take the assistance of AE(QA)/SE(P&A) in order to ensure that the replies are sent within 4 weeks from the date of receipt of Inspection Reports/letters from SE(QA)/CE(CSQ). The practice of SE/CE's only drawing attention to the replies of EEs/SEs is not desirable. A close watch will be kept and in the event of any default, CE(CSQ) shall write to the concerned SE/CE. If still no reply is received within a fortnight, the matter shall be referred to the CE(Vig) endorsing copy to concerned ADG also presuming that they have no comments to offer.

**54.22.5** Notwithstanding the above, serious irregularities/defaults, over-payment, shortages, frauds like wrong certification or wrong report of rectification of defects etc. may be referred to CE(Vig.) immediately by CE(CSQ).

**54.22.6** Where the general quality of works in a Section/Sub-division/Division are found largely sub-standard, CE(CSQ) shall write to ADG(S&P) for consideration of transfer of JE/AE/EE from the site. When the transfer is done on this basis, the JE/AE/EE shall be declared unfit for field posting, subject to review after a minimum period of three years.

**54.22.7** For EE/SEs who do not respond to the QACW letters/reminders in a constructive/positive manner, the CE(CSQ) shall forward a brief note to the Chief Engineer concerned for suitably incorporating the remarks in the Annual Performance Report/Annual Confidential Report of the concerned officer.

### **Action in Divisions on the Inspection Report of Core Wing/Regional QA unit**

**54.23** As soon as the inspection report is received from Core Wing/Regional QA Unit, the same should be immediately brought to the notice of the AE and JE in charge of the work.

**54.24** The following further actions should be taken:—

- (a) The various observations involving the Contractor's work or any other obligation of the contractor shall be brought to the notice of the contractor through the site order book.
- (b) The work should be checked up for defects similar to the ones observed, at other locations and all such findings also brought to the notice of the contractor suitably as above. It should be ensured that similar defects do not recur in further work.
- (c) Wherever the defects are rectifiable, action should be taken for their rectification simultaneously ensuring that such works are not placed in a position beyond rectification. No further work shall be done at that location till defects are rectified.
- (d) For items of observations not involving the contractor's work/obligations, the EE shall ensure that due actions are taken in time.

- (e) Wherever any para is referred to SE/CE, EE should send an action taken report to SE on priority.
- (f) The EE concerned shall take action on the observations and send compliance on rectification of defects/deficiencies to the QA Unit within a period of 4 weeks from the date of receipt of the Inspection Report.

#### **Action in Circle Office on Inspection Reports of QA Units**

**54.25** On receipt of inspection report from QA Unit, Superintending Engineer should watch the compliance of the observation by the Executive Engineer and his AEs/JEs. Superintending Engineer should also ensure due action in Division on inspection reports and to ensure that replies to the inspection reports of Core Wing are sent expeditiously as per instruction as may be issued from time to time in this regard.

**54.26** On Paras referred to SE/CE by QA Wing, SE/CE shall not endorse the replies of the Executive Engineer as it is. They shall duly satisfy themselves about the same before sending comment/reply to the QA Wing.

**54.27** Further, action on similar lines as mentioned in paras 54.9 to 54.13, shall be taken by SE on the inspection reports of QA Wing.

**54.28** It is necessary that observations made by the Q.A. Units are attended to on priority and compliance reported. The SE(P&A) of the Zone shall be responsible to monitor the compliance of observations made by the Q.A. Units and bring cases to the notice of the CE for appropriate action where there is delay of more than 3 months.

**54.29** Chief Engineer should have regular quarterly review of pending Inspection Reports. Similarly review should be done at SE's level at monthly intervals.

#### **Responsibility for Quality**

**54.30** In respect of all works, the responsibility of various officers for checking of materials and workmanship of items of works shall be as given in Annexure-8. However, this does not absolve Junior Engineer and other officers of their responsibility to get the work executed as per specifications and provisions of Manual.

#### **Field Testing Laboratories**

**54.31** The salient functions of the Field Testing Laboratories have already been outlined while discussing the functions of the field formation in exercising control of quality. A list of field equipment for a typical field laboratory has been given in Annexures-1 & 2. The Superintending Engineer shall from time to time review functioning of these field testing laboratories and suggest ways and means of improving the standard of their performance in consultation with the Core Cell if necessary.

#### **Circle Level Testing Laboratories**

**54.32** These will be the second line of testing laboratories apart from carrying out routine tests of samples received from scattered works, for which independent field laboratory cannot be afforded. These laboratories may be placed under the charge of Ex. En.(P) in the Circle. Two Junior Engineers may be drawn from the existing establishment of the Circle for manning the testing personnel.. A list of testing equipment for a typical circle level laboratory is shown in Annexure 9.

#### **Central Laboratory**

**54.33** The Central Laboratory shall provide guidance in setting up the field level and circle level laboratories, both in respect of equipping them and training the testing personnel. These laboratories shall carry out confirmatory tests of samples collected by the AE(QA)/QA Units during routine inspections of various works at the site. Besides, calibration of equipment of field laboratory, is another task assigned to Central Laboratory.

[Reference para 54.4(vii)]

**LIST OF EQUIPMENT FOR FIELD TESTING LABORATORY****A. For Building Works**

1. Balances
  - (i) 7 kg. to 10 kg. capacity, Semi-Self indicating type-Accuracy 10 gm.
  - (ii) 500 gm. capacity, Semi-Self indicating type-Accuracy 1 gm.
  - (iii) Pan Balance- 5 kg. Capacity, accuracy 10 gm.
2. Ovens-Electrically operated, thermostatically controlled upto 110°C-Sensitivity 1°C.
3. Sieves : as per IS 460-1962.
  - (i) I.S. Sieves -450mm internal dia of sizes 100 mm, 80 mm, 63mm, 50 mm, 40 mm, 25 mm, 20 mm, 12.5 mm, 10 mm, 6.3 mm, 4.75mm complete with lid and pan.
  - (ii) IS Sieves- 200mm internal dia. (brass frame) consisting of 2.36mm, 1.18mm, 600 microns, 425 microns, 300 microns, 212 microns, 150 microns, 90 microns, 75 microns with lid and pan.
4. Sieve shaker capable of 200 mm and 300 mm dia sieves, manually operated with timing switch assembly.
5. Equipment for slump test- Slump Cone, Steel Plate, tamping rod, steel scale, scoop.
6. Dial gauges 25 mm travel- 0.01 mm/division. Least count -2nos.
7. 100 tonnes compression testing machine, electrical-cum manually operated.
8. Graduated measuring cylinders 200 ml capacity-3 Nos.
9. Enamel trays (for efflorescence test for bricks).
  - (i) 300 mm × 250 mm × 40 mm — 2 nos.
  - (ii) Circular plates of 250 mm dia — 4 nos.

**B. For Road Works**

1. Balances
  - (i) 7 kg to 10 kg capacity, semi-self indicating type, Accuracy- 10 gm.
  - (ii) 500 gm capacity, semi-self indicating type, accuracy-1 gm.
  - (iii) Chemical Balance, 100 gm capacity, Accuracy- 0.1 gm.
  - (iv) Pan Balance - 5 kg. capacity, with 10 gm accuracy.
  - (v) Platform scale- 300 kg capacity.
2. OVENS— Electrically operated, thermostatically controlled.
  - (i) Upto 200°C for Determination of loss on heating of bitumen.
3. SIEVES AS PER IS 460-1962.
  - (i) I.S. Sieves- 450 mm of internal dia of sizes 100 mm, 80mm, 63mm, 50mm, 40mm, 25mm, 20mm, 12.5mm, 10mm, 6.3mm, 1.75mm, complete with lid and pan.
  - (ii) I.S. Sieves- 200 mm internal dia (brass frame) consisting of 2.36mm, 1.18mm, 600 microns, 425 microns, 300 microns, 212 microns, 150 microns, 90 microns and 75 microns with lid and pan.
4. Sives Shaker capable for Shaking 200mm and 300mm dia sieves, electrically operated with timer.
5. Dial gauge
  - (i) 25mm travel — 0.01mm/division.
6. Load frame-5 tonnes capacity electrically operated with speed control.
7. Aggregate impact test, apparatus as per IS 2386-part IV-1963.
8. Compaction apparatus (Proctor) as per IS 2720-part VII-1974.
9. Modified ASHO compaction apparatus as per IS 2720-part-III-1974.
10. Sand pouring Cylinder with control funnel and tube complete as per IS 2720-part XXVIII-1974.
11. Sampling tins with rods 100mm dia × 50mm ht. 1/2kg capacity and miscellaneous items like moisture tins etc.

12. Constant temperature bath for accommodating bitumen test. Specimen electrically operated and thermostatically controlled.
13. Penetrometer with automatic time controller and with adjustable weight accessories and needles as per IS 1203-1958.
14. Oxllet extraction apparatus complete with extraction thimbles etc.
15. Laboratory mixer about 0.02 cu-meter capacity electrically operated with heating jacket.
16. Hubbard Field stability test apparatus complete.
17. Marshall compaction apparatus as per ASTM 1559-62T and complete with electrically operated leading unit compaction pedestal bearing head assembly dial micrometre and bracket for flow measurement load transfer bar, specimen mould (4 inch. dia) with base plate, Columns, mould (4 inch, dia) with base plate, collars, specimen extracted. Compaction hammer 4.53 kg (10lb)/457 mm (18inch) fall.
18. Distant reading thermometers.
19. Graduated cylinder 1000 ml. capacity.
20. Enamel tray.

[Refer para 54.4(vii)]

**FIELD TESTING INSTRUMENTS**

1. Steel tapes - 3 m
2. Vernier Calipers
3. Micrometer Screw 25 mm gauge
4. A Good quality plumb bob
5. Spirit level minimum 30 cms long with 3 bubbles for horizontal vertical
6. Wire gauge (circular type) disc
7. Foot rule
8. Long nylon thread
9. Rebound hammer for testing concrete
10. Dynamic penetrometer
11. Magnifying glass
12. Screw driver 30 cms long
13. Ball pein hammer, 100 gms
14. Plastic bags for taking samples
15. Moisture meter for timber
16. Earth Resistance tests: for Electrical Divisions
17. Meggar

[Reference Para 54.4 (xvii)]

**PART – A**

NAME OF WORK:

NAME OF CONTRACTOR:

AGREEMENT NO :

1. Date of Inspection
2. Location
3. Material used for concrete whether tested
  - (a) Sand Yes/No
  - (b) Coarse aggregate Yes/No
  - (c) Water Yes/No
  - (d) Admixture, if any Yes/No
4. Raft top level whether provided as per details Yes/No
5. Architectural/structural drawing correlated Yes/No
6. Whether location of construction joint has been discussed with EE & he has approved Yes/No
7. Cleaning over water proofing surface and construction joint done Yes/No
8. CC cover blocks of 60 mm, thickness provided (min 2 in one square metre area) Yes/No
9. Reinforcement placement as per relevant structural drawing checked Yes/No
10. Layout of columns as per relevant structural drawing checked Yes/No
11. Placement of shuttering plates and key board for proper construction joint with shuttering oil Yes/No
12. Cement slurry applied on construction joint before pouring of concrete Yes/No
13. Trained mason available Yes/No
14. Concreting to start from farthest point to nearest point with respect of weight batching plant Yes/No
15. Concrete mix has been designed Yes/No
16. Plasticiser being used Yes/No
17. Adequate number of Concrete Vibrators in working condition available Yes/No
18. Slump checked Yes/No
19. Sample cubes taken Yes/No
20. Signature of JE
21. Signature of AE/AEE
22. Signature of EE

**PART – B****CHECK LIST FOR COLUMNS/BEAMS/SLABS**

1. Date of Inspection
2. Drawing No.
3. Location
4. Whether materials used conform to relevant Specifications?
  - (a) Sand Yes/No
  - (b) Coarse Aggregate Yes/No
  - (c) Water Yes/No
  - (d) Admixture, if any Yes/No/NA
5. Whether structural drawings correlated with Architectural drawings? Yes/No
6. Whether the centre line of column/beams checked with reference to grid lines as per Architectural Drawings? Yes/No
7. Whether treatment of Expansion Joint, wherever required, is done? Yes/No
8. Whether cleaning, repairing and approval of shuttering plate, application of quality shuttering oil is done? Yes/No



- |  |        |
|--|--------|
| 9. Whether shuttering is in true plumb & vertical and properly done and maintained during concreting?  |        |
| Yes/No   |        |
| 10. Whether reinforcement detailing, there placement area as per structural drawings?  |        |
| Yes/No   |        |
| 11. Whether proper gauge binding wire is used and with full cross binding and tightening of reinforcement bars with stirrups?  | Yes/No |
| 12. Whether required minimum cover to reinforcement is maintained?   | Yes/No |
| 13. Whether stainless steel cramps, angle irons for holding stones and any holding arrangement for electrical/mechanical services placed in position as per requirement? | Yes/No |
| 14. Whether conduits for various electrical/mechanical/fire fighting/other services have been seen and approved by JE(E)/AE(E)?  | Yes/No |
| 15. Whether concrete of approved design mix within maximum permissible water cement ratio is used?   | Yes/No |
| 16. Whether admixture of good brand quality approved by Engineer-in-Charge is used?  | Yes/No |
| 17. Whether technical supervision at batching plant/mixer and at point of concreting done?   | Yes/No |
| 18. Whether concreting is placed within initial setting time of mixing?  | Yes/No |
| 19. Whether proper compaction with vibrator is done?   | Yes/No |
| 20. Whether the concreting has been done in a lift not exceeding 1.5 m?  | Yes/No |
| 21. Whether cubes as per requirement filled for testing?   | Yes/No |
| 23. Signature of JE  |        |
| 24. Signature of AE/AEE  |        |
| 25. Signature of EE  |        |
| POST CONCRETING:   |        |
| 26. Whether shuttering stripped off as per specification and laitance removed immediately thereafter?  | Yes/No |
| 27. Whether proper arrangement of curing and curing period maintained as per specifications?   | Yes/No |
| 28. Whether hacking of RCC surface by proper hacking tool for subsequent plastering/finishing is carried out ?   | Yes/No |
| 29. Signature of JE  |        |
| 30. Signature of AE/AEE  |        |
| 31. Signature of EE  |        |

**PART – C**  
**CHECK LIST FOR BRICK WORK**

- |  |        |
|--|--------|
| 1. Date of Inspection  |        |
| 2. Drawing No.   |        |
| 3. Location  |        |
| 4. Whether materials used conform to relevant Specifications and whether mandatory tests Done?   |        |
| (a) Sand   | Yes/No |
| (b) Bricks   | Yes/No |
| (c) Water  | Yes/No |
| 5. Whether structural drawings Co-related with Architectural drawings?   | Yes/No |
| 6. Whether the centre line of brick work checked with reference to grid lines as per Architectural Drawings?   | Yes/No |
| 7. Whether bricks soaked in water before use for sufficient period?  | Yes/No |
| 8. Whether queen closer are used at junction of walls?   | Yes/No |
| 9. Whether brick work is in true plumb and vertical and all layers truly horizontal?   | Yes/No |
| 10. Whether graduated wooden straight edge storey rod being used for keeping height of brick courses uniform?  | Yes/No |
| 11. Whether wall height being constructed in a day is being restricted to 1 m height?  | Yes/No |
| 12. Whether parts of wall left at different levels are raked back at an angle of 45 degrees or less with the horizontal? (Toothing is not to be permitted)                           | Yes/No |
| 13. Whether top courses of all plinths, parapets, steps and top of walls below floor and roof slabs laid with brick on edge? Whether marucona provided at corners in such brickwork? | Yes/No |
| 14. Whether thickness of joints in brickwork is kept 1 cm ± 20%?   | Yes/No |

- |   |        |
|---|--------|
| 15. Whether mortar of approved mix within maximum permissible water cement ratio is used?   | Yes/No |
| 16. Whether all horizontal and vertical joints are being filled?                            | Yes/No |
| 17. Whether proper arrangement of curing and curing period maintained as per specification? | Yes/No |
| 18. Whether date of work done written?  | Yes/No |
| 19. Signature of JE   |        |
| 20. Signature of AE/AEE   |        |
| 21. Signature of EE   |        |

**PART – D  
CHECK LIST FOR PLASTERING**

- |   |        |
|---|--------|
| 1. Date of Inspection   |        |
| 2. Drawing No.  |        |
| 3. Location   |        |
| 4. Whether materials used conform to Relevant specifications and whether Mandatory tests done?                        | Yes/No |
| 5. Whether surface cleaned of all loose mortar and efflorescence?   | Yes/No |
| 6. Whether all conduiting and electrical piping done?   | Yes/No |
| 7. Whether all doors, windows etc. fixed?   | Yes/No |
| 8. Whether all defects of brickwork/CC/RCC rectified?   | Yes/No |
| 9. Whether procuring of surface done?   | Yes/No |
| 10. Whether 2.5 m long aluminium straight edge and plumb bob being used to check verticality and evenness of surface? | Yes/No |
| 11. Whether 15 cm x 15 cm bunda at every 2 m horizontally and vertically being provided to serve as gauges?           | Yes/No |
| 12. Whether uniform groove provided at junctions of all plaster and ceiling plaster?                                  | Yes/No |
| 13. Whether mortar of approved mix within maximum permissible water cement ratio is used?                             | Yes/No |
| 14. Whether proper arrangement of curing and curing period maintained as per specifications?                          | Yes/No |
| 15. Whether date of work done written?  | Yes/No |
| 16. Signazture of JE  |        |
| 17. Signature of AE/AEE   |        |
| 18. Signature of EE   |        |

**PART – E  
CHECK LIST FOR WATER SUPPLY LINES**

- |  |        |
|--|--------|
| 1. Date of Inspection  |        |
| 2. Drawing No.   |        |
| 3. Location  |        |
| 4. Whether materials used conform to relevant Specifications and whether mandatory tests done?                   | Yes/No |
| 5. Whether plumber employed is licenced plumber or not?  | Yes/No |
| 6. Whether plan for piping system has been prepared and got approved?  | Yes/No |
| 7. Whether all pipes and fittings are ISI marked?  | Yes/No |
| 8. Whether a sample system has been prepared and got approved?   | Yes/No |
| 9. Whether clamps provided at specified spacing?   | Yes/No |
| 10. Whether pipe lines checked at required pressure before covering?   | Yes/No |
| 11. Whether weight of flushing pipe checked?   | Yes/No |
| 12. Whether flushing cistern is ISI marked and internally painted with bitumastic paint?                         | Yes/No |
| 13. Whether fittings like wash basin, sink pan, cistern, bib cock, stop cock, wheel valves, etc. are ISI marked? | Yes/No |
| 14. Whether PVC water storage tank is ISI marked? If not, whether sample sent for testing?                       | Yes/No |
| 15. Signature of JE  |        |
| 16. Signature of AE/AEE  |        |
| 17. Signature of EE  |        |

[Referred in para 54.8(e)]

**CENTRAL PUBLIC WORKS DEPARTMENT PROFORMA FOR QUALITY CONTROL INSPECTION  
PART – I**

1. General.
  - 1.1 Name of work.
  - 1.2 Division & Sub-Division.
  - 1.3 Inspecting Officer.
  - 1.4 Assisted by.
  - 1.5 Date of present inspection.
  - 1.6 Reference to memos of previous Inspection.
2. Particulars of work.
  - 2.1 Estimated cost put to tender.
  - 2.2 Tendered amount.
  - 2.3 Agreement No.
  - 2.4 Name of Contractor.
  - 2.5 Registration class of Contractor.
  - 2.6 Date of start of work.
  - 2.7 Due date of completion.
  - 2.8. % age progress of work at the time of inspection
3. Routine Quality Control.
  - 3.1 Quality control Aids.
    - 3.1.1 Is field staff equipped with:
      - (a) Copy of agreement with relevant specifications (detailed as well as special).
      - (b) Copy of preliminary estimate, detailed estimate and measurements.
      - (c) Uptodate Architectural as well as structural drawings.
      - (d) Testing facilities with the help of necessary field instruments/equipments (List of equipments available at site including level, theodolite etc. may be given).
4. Observations on quality of work after intensive inspection.

–Enumerate the defects/draw-backs/deficiencies noticed in the work sub-head-wise.

  - 4.1 Earthwork.
  - 4.2 Concretework.
  - 4.3 R.C.C. Work.
  - 4.4 Brickwork.
  - 4.5 Stonework.
  - 4.6 Steelwork.
  - 4.7 Flooring (Including marble work, if any).
  - 4.8 Roofing.
  - 4.9 Finishing.
  - 4.10 Miscellaneous.
  - 4.11 Services etc.
5. Quality and Testing of materials/Products.
  - 5.1 Comment on.
    - 5.1.1 Testing facilities available with the Deptt. at site.
    - 5.1.2 Testing facilities arranged with other Deptt./institution.
    - 5.1.3 Testing facilities further required to be arranged.
  - 5.2 Testing.
    - 5.2.1 Are all mandatory tests being carried out at the frequency mentioned in CPWD specification?
    - 5.2.2 No. of tests failed and approx. quantity rejected.
    - 5.2.3 General observations on tests, viz. erratic results, consistantly low or high results etc.

- 5.2.4 Follow up action taken on unsatisfactory results, with lapses in prompt follow up action.
- 5.2.5 Samples tested by ASW and their results (Samples should invariably be taken where materials/product at site does not appear to conform to the latest test results.
- 5.3 Is material/product of make borne on approved list of Deptt./ISI?
  - 5.3.1 Are tests carried out on materials/products (covered under 5.3) found satisfactory? If not, intimate results to Chief Engineer (CDO) for reconsideration of approval.
- 6. Comments on adequacy of resources employed by the Contractor at site for timely completion of work.

**PART – II  
TECHNICAL AUDIT**

- 1. General details of work.
  - 1.1 A/A & E/S Amount for the work and corresponding provision available for this work in the sanction.
  - 1.2 Amount of detailed estimate.
  - 1.3 Item rate/percentage rate/lumpsum Tender.
  - 1.4 No. of tenders received and tendered amount (Call of tender).
  - 1.5 Clause 12 percentage and applicable schedules.
  - 1.6 Authority accepting the tender.
  - 1.7 Justification for tender. Has proper evaluation been carried out of the condition, if any, given by the tenderers, while accepting the tender ?
  - 1.8 Is the detailed estimate technically sanctioned on the basis of complete set of architectural and structural drawings.
- 2. Deviation from plan/drawings.
  - 2.1 Deviations, if any.
  - 2.2 Reasons for deviation, financial implication and sanction of competent authority.
- 3. Deviation in quantites of items (Including Abnormally high/low rate items).
  - 3.1 Reasons for deviations.
  - 3.2 Sanction of competent authority for the deviation.
- 4. Extra and substituted items.
  - 4.1 Amount of items sanctioned so far.
  - 4.2 Justification of items (Proper or not).
  - 4.3 Sanction of competent authority.
  - 4.4 Any minus extra item paid? Detail the reasons.
- 5. Issue of materials.
  - 5.1 The theoretical consumption commensurate with the work executed and quantity lying at site.
  - 5.2 Check recovery memo from the last running bill/final bill and short recovery made, if any.
  - 5.3 Any material not stipulated issued.
    - 5.3.1 Sanction/approval of competent authority for such issue.
    - 5.3.2 Approval of rate under three rate formula.
  - 5.4 Machinery issued to contractor, if any.
    - 5.4.1 Details of recovery made for hire charges.
    - 5.4.2 Is recovery made commensurate with calculation of number of hours/days for which recovery should have been made.
- 6. Payment to Contractor.
  - 6.1 Amount of last bill paid to the Contractor.
  - 6.2 Normal frequency of payment.
  - 6.3 Test check of measurements by AE/EE.
  - 6.4 Part rates paid/justification for the same.
  - 6.5 Advances to contractor.
    - 6.5.1 Checking up of secured advance, if any with reference to materials lying at site.

- 6.5.2 Reasonableness of advance for unmeasured work.
- 6.5.3 Hypothecation of documents and safe custody of materials for which advance have been given.

**PART – III  
PROGRESS MONITORING**

- 1. System adopted at site for monitoring progress.
- 2. Percentages progress achieved vis-a-vis time given for completion.
  - 2.1 Steps taken to accelerate progress when short fall is noticed.
- 3. Any extension of time required? Are reasons for the same justified?
- 4. Co-ordination amongst various agencies involved in execution of work.
- 5. Constraints noticed in smooth progress of work and directions if any, received from EE/SE/CE to overcome them.

**PART – IV  
(RECOMMENDATION)**

- 1. Give specific recommendations for immediate attention of SE on.
  - 1.1 Improving quality control on specific items.
  - 1.2 Comments on items lagging behind for want to drawings, materials, decision etc.

AE (Quality Assurance)

To S.E.

**PART – V  
DIRECTION OF SE ON THE REPORT**

- 1. EE to improve quality of following items.
- 2. EE to issue notice to Contractor for rectification of following defects at ...../
- 3. EE to improve slow progress.
- 4. Directions, if any, for solving deadlocks/problems at site..
- 5. Further follow up action by AE(QA) on next inspection.

(Superintending Engineer)

To

AE(QA)

(Reference Para 54.22.1)

**PROFORMA FOR PREPARING OBSERVATIONS**

- 1.0 PARTICULARS OF WORKS
  - 1.1 (a) Name of work:
  - 1.1 (b) Description/scope of work:
  - 1.2 (a) Sub-Division & Name of AE:
    - (b) Division/Name of EE:
    - (c) Circle & Name of SE:
    - (d) Zone and Name of CE:
  - 1.3 Agency/Contractor:
    - (a) Name:
    - (b) Registration Class:
    - (c) Registration Number:
  - 1.4 Agreement No:
  - 1.5 Stipulated Date of Start:
  - 1.6 Stipulated time and date of completion:
  - 1.7 (a) Estimated cost put to tender:
  - (b) Schedule of rates applicable:
  - 1.8 Accepted tendered cost with overall percentage:
  - 1.9 Percentage progress at the time of inspection vis-a-vis expected as per contract and reasons for delay, if any:
  - 1.10 Inspecting Officer:  
(Name & Designation)
  - 1.11 Officers and Contractor present during inspection  
(Name & Designation)
  - 1.12 Date of Inspection & Number:
- 2.0 QUALITY CONTROL AIDS:
  - 2.1 Is site equipped with?
    - (a) Copy of Agreement:
    - (b) CPWD Specifications/along with (uptodate) Correction Slips:
    - (c) List of ISI marked/approved materials to be used:
    - (d) Guard File containing Inspection Reports of CTE/QCTA/ASW(QC)/CE/SE etc.
    - (e) Testing facilities to check conformance to acceptance criteria:
    - (f) QACW Circulars on Quality Control.
  - 2.2 Is field laboratory existing and well equipped?
- 3.0 DEPARTMENTAL PROCEDURE ASPECTS:
  - 3.1 Maintenance of Inspection Register
  - 3.2 Highlights of Inspections by CE, SE, AE(P) requiring compliance
  - 3.3 Are Test Registers maintained in standard forms?
  - 3.4 Are Test Registers reviewed by EE/SE with dates?
  - 3.5 Cement Register:
    - (a) Is Cement Store checked by AE/EE periodically as stipulated
    - (b) Comment on Cement Stock with reference to Cement Register:
  - 3.6 Site Order Book & Schedule of Defects:
    - (a) Is site Order Book properly maintained?
    - (b) Is the Site Order Book reviewed by EE and SE?  
(Mention details)
    - (c) Have timely notices been issued to the contractor with the Schedule of defects/damages and date of compliance?  
In case of failure to rectify defects/damages  
whether action under Clause 14/17 initiated?

4.0 PROCESS CONTROL ASPECTS:

- 4.1 Is soil investigation done? (give brief details)
- 4.2 Suitability of water for construction:
  - (a) What is the source of water?
  - (b) Has water been tested and approved by Engineer-in-Charge before construction?
  - (c) Has water been tested subsequently (i.e. after every 3 months) & found fit for use in works?
- 4.3 Are 10% (25% for concrete) of all samples for testing taken in presence of EE as per DG(W)'s OM No.28/7/86-WI(DG) Circular No. 9/87 dtd 1.9.1987 / 6.10.1987?
- 4.4 Are all mandatory tests carried out at stipulated frequency?
- 4.5 Are materials approved by Engineer-in-charge?  
If so, are samples available at site?
- 4.6 Are sample units/items completed and approved by EE before start of mass finishing work?
- 4.7 Specific control on RCC work like centering/shuttering, proportioning with boxes: mixing by full bag capacity hopper fed mixer: control of slump: placing/compaction with vibrator:
- 4.8 Any other particular comments on adequacy of process control:

5.0 SITE INSPECTION

- 5.1 Sub-head of work in progress and whether inspected

Whether in progress (If so, tick mark)	Whether inspected (If so, tick mark)	Location
---	---	----------

- (a) Earth work
- (b) Concrete work
- (c) RCC work
- (d) Brick work
- (e) Stone work
- (f) Marble work
- (g) Wood work
- (h) Steel work
- (i) Flooring
- (j) Roofing
- (k) Finishing
- (l) Internal Services
- (m) External Services
- (n) Road/pavement
- (o) Others (specify)

- 5.2 Checking of floor slope  
(Especially in Bath, WC, Kitchen, Terrace and Balcony etc.)
- 5.3 Whether dampness/leakages noticed?  
If yes, state locations and probable reasons
- 5.4 Samples collected by QC Core/Cell

6.0 SITE INSPECTION OF MATERIAL ASPECTS

(Keeping in view the requirements of contract specifications: BIS marked/CPWD approved products etc.)  
(Attach separate sheet, if required)

7.0 SITE INSPECTION OF WORKMANSHIP ASPECTS

(Attach separate sheet, if required).

8. TEST AUDIT OF RA BILL

(Indicate RA Bill No. gross amount, Vr. No. & date)

- 8.1 Whether Deviation in quantities noticed? If so, state reasons thereof
- 8.2 Sub-standard item:
  - (a) Whether notice was issued as specified in contract?
  - (b) Whether approval in principle was obtained from competent

- authority before acceptance of sub-standard work?
- 8.3 AHR/ALR items:
    - (a) Are reasons for deviations satisfactory?
    - (b) Sanction of competent authority
  - 8.4 Extra/substituted items:
    - (a) Are justification of items proper?
    - (b) Sanction of competent authority.
  - 8.5 Part Rates. Whether rates held-back are adequate?
  - 8.6 Comments on secured advance paid with reference to materials lying at site.
  - 8.7 Test Check by AE/EE
    - (a) Critical item
    - (b) Hidden items
    - (c) Extent (whether satisfactory?)

8.8 Any other observation      The observation made about quality of material and workmanship relate to only what could be randomly seen at locations specified EE and Supervisory staff shall thoroughly inspect the entire work for such defects as observed as well as for other defects and take suitable remedial measures properly.



**ANNEXURE - 8**

(Reference Para 54.30)

**RESPONSIBILITY FOR QUALITY**

	Works Costing	
	Above 30 lakhs	Upto 30 lakhs
<b>A. MATERIALS</b>		
(a) Sand, stone, metal & chips, bricks, ord. glass panes	JE & AE	JE
(b) Timber, paints, polish, door, shutters, windows, door/ window fittings, sanitary and water special glass panes	JE & AE	JE
(c) Marble, granite, kota stone and similar items	AE & EE	AE
(d) Cement and Steel	AE & EE	JE & AE
<b>B. ITEMS OF WORK</b>		
(a) Foundatiion upto plinth	AE & EE	JE & AE
(b) Brick masonry/stone masonry	JE & AE	JE
(c) Centring and shuttering excluding sunshades/shelves	AE & EE	JE & AE
(d) Reinforcmenet & RCC	AE & EE	JE & AE
(e) Structural steel work	AE & EE	AE
(f) Steel work	AE	JE & AE
(g) Aluminium work	AE & EE	JE & AE
(h) Wood work/Wood substitutes	AE & EE	JE & AE
(i) Flooring - CC, mosaic glazed/ceramic tiles	AE & EE	JE & AE
(j) Flooring & cladding - marble, granite, kota, sandstone etc.	AE & EE	AE
(k) Plastering, painting & polishing	JE & AE	JE
(l) Joints in pipes i/c testing, slopes in flooring i/c verandah, balcony, toilets, terrace	AE & EE	JE & AE
(m) Bitumen painting of roofs	JE & AE	JE
(n) Water proofing treatment	AE	JE & AE
(o) Fittings of doors/windows	AE	JE & AE
(p) False ceiling work	AE & EE	AE
(q) (i) Storage tanks	AE & EE	JE & AE
(ii) Sluice valves, fire hydrants	AE	JE & AE
(iii) CI/Hume pipes & specials and their lead caulked joints	AE & EE	JE & AE
(r) (i) Manholes i/c covers & frames	JE & AE	JE
(ii) CI Inspection bends & Chambers	JE & AE	JE
(s) General quality of work with particular reference to lines & levels/adherence to drawings and specifications & functionality	EE & SE	AE & EE
<b>C. Other important materials/items</b>	To be decided by	
authority	tender accepting	

(Refer in para 54.32)

**LIST OF EQUIPMENT FOR CIRCLE LEVEL LABORATORY**

1. General
  - (a) Balances:
    - (i) 7 kg. to 10 kg. capacity, semi self indicating types Accuracy 10 gram.
    - (ii) 500 gm capacity, semi self indicating type Accuracy 1 gm.
    - (iii) Pan balance 5 kg. capacity accuracy 10 gm.
  - (b) Ovens Electrically operated, thermostatically controlled upto 110°C sensitivity 1°C.
  - (c) Sieves as per IS 460-1962.
    - (i) IS Sieves – 450 mm internal dia of sizes 100 mm, 80mm, 63mm, 50mm, 40mm, 25mm, 20mm, 12.5mm, 10mm, 6.3mm, 4.75mm complete with lid and pan.
    - (ii) IS sieves – 200 mm internal dia (brass frame) consisting of 2.36 mm, 1.18 mm, 600 microns, 425 microns, 300 microns, 212 microns, 150 microns, 80 microns, 75 microns with lid and pan.
  - (d) Sieve shaker capable of taking 200 mm and 300 mm lid, sieves electrically operated with timing switch assembly.
  - (e) Equipment for slump test-Slump cone, steel plate, tamping rod, steel edge, trowel.
  - (f) Providing rings – complete with dial gauge and calibration charts.
    - (i) 250 kg. capacity.
    - (ii) 2000 kg. capacity.
    - (iii) 5 tonnes capacity.
  - (g) Dial gauges 25 mm travel – 0.01 mm/Division – 2 nos.
  - (h) Load frame 5 tonnes capacity electrically operated with speed control.
    - (i) 100 tonnes compression testing machine electrical cum manually operated.
2. Flush door shutter testing Apparatus:
  - (i) End Immersion test.
  - (ii) Knife test.
  - (iii) Glue adhesion test.
3. Terrazo tile testing apparatus:  
Abrasion testing machine with tile cutting machine varnier calliper.
4. Glazed Tile testing apparatus:
  - (i) Falling weight type impact testing equipment.
  - (ii) Auto clave for crazing test.
5. Aggregate impact test apparatus as per IS 2386 part IV 1963.
6. Los Angeles abrasion apparatus as per IS 2386 part IV 1973.
7. Compression apparatus (Projection) as per IS-2720 part VII 1974.
8. Modified ASHO compaction apparatus as per IS 2720 part III 1974.
9. Sand pouring cylinder with conical funnel and tap complete as per IS 2720 part XXVIII 1974.
10. Sampling tins with lids 100 mm dia x 50 mm height 1/2 kg capacity and miscellaneous items like moisture tins etc.
11. Laboratory CBR test equipment for conducting CBR test as per IS 2720 part XVI 1965 and consisting of following:
  - (i) CBR moulds 150 mm dia 175 mm ht, complete with collar base plate etc.
  - (ii) Tripod stands for holding dial gauge holder.
  - (iii) CBR plunger with settlement dial gauge holder.
  - (iv) Surcharge weight 147 mm dia 2.5 kg with central hole.
  - (v) Spare dice 148 mm dia 47.7 mm ht with handle.
  - (vi) Perforated plate (Brass).
  - (vii) Soaking tank for accommodating 5 CBR moulds each.

12. Constant temperature bath for accommodating bitumen test specimen, electrically operated and thermostatically controlled.
13. Gas stove with Gas cylinder or any other alternative arrangement for heating of specimen in laboratory.
14. Penetrometer automatic type adjustable weight arrangement and needles as per IS1203-1953.
15. Soxhlet extraction apparatus complete with extraction thimbles etc.
16. Laboratory concrete mixer about 0.025 cum capacity.
17. Hubbed field easability test apparatus complete.
18. Marshall compaction apparatus as per ASTM 1559-62T complete with electrically operated loading unit compaction pedestal bearing and assembly with dialmicrometer and bracket for flow measurement load transfer bar specimen mould (4 inch dia) with bar plate collars, specimen extraction compaction hammer 4.5kg (10.5 kg) 45 cm (18" pull).
19. Distant reading thermometer.
20. Glassware Graduated Jars, conical flask etc.
21. Enamel trays.
  - (i) 600 mm × 450 mm × 500 mm.
  - (ii) 450 mm × 300 mm × 40 mm.

## CHAPTER VII

### SECTION 55

D E P A R T M E N T A L I S A T I O N O F  
A C C O U N T S - A G S I N S P E C T I O N  
A N D  
I N T E R N A L A U D I T B Y C H I E F  
C O N T R O L L E R O F A C C O U N T S  
A T T A C H E D T O M I N I S T R Y  
( P E R T A I N I N G T O C P W D )

#### Departmentalisation of Accounts

**55.1** Under the scheme of Departmentalisation of Accounts, the financial Adviser, for and on behalf of Chief Accounting Authority (Secretary) shall be responsible inter alia for preparation of Annual Appropriation Accounts for the Demands for grants of his Ministry/Department, get it duly audited and submit it to the Controller General of Accounts (Ministry of Finance) duly signed by the Chief Accounting Authority.

**55.2** The CGA prepares annual accounts including summary civil Appropriation Accounts showing under the respective heads the annual receipts and disbursements for the purpose of Union Government and submits the same to CAG.

**55.3** The Controller and Auditor General of India, submits the Appropriation Accounts duly audited/certified, to the President for laying it before each House of Parliament. The comments on the regularity and propriety etc. of expenditure as are deemed necessary and proper by the Comptroller and Auditor General of India, as a result of the audit observations, are contained in his Audit Report on the Appropriation Accounts.

**55.4** The Divisional Officers and higher Officers should furnish the explanations as promptly as possible and ensure that these are concise, accurate and fully informative. The explanations should indicate with sufficient clarity whether a variation or financial irregularity could not have been foreseen.

**55.5** While submitting the Appropriation Accounts, the Divisional Officers, should take into consideration the facts that the Public Accounts Committee, while scrutinizing the Accounts, has to satisfy itself that :—

- (i) The monies shown in the accounts as having been disbursed were legally available for, and applicable to the services or purpose to which they have been applied or charged;
- (ii) The expenditure conforms to the authority which governs it; and
- (iii) Every re-appropriation has been made in accordance with the provisions made in this behalf under Rules framed by the Competent Authority.

#### Chief Accounting Authority

**55.6** The responsibility of compiling and keeping the accounts of the transactions rest with the Ministry and department under it.

**55.7** The Secretary to the Ministry shall be the Chief Accounting authority for all transactions of the Ministry and its departments and this responsibility is to be discharged by him through and with the assistance of Integrated Financial Adviser of the Ministry, who is to function for and on behalf of the Chief Accounting Authority.

**55.8** The functions to be performed by the Integrated Financial Adviser for and on behalf of the Chief Accounting Authority shall be the following in so far as this scheme is concerned:—

- (a) He will be responsible for the preparation of the budget of the Ministry and its departments in close coordination with the heads of departments concerned. He will be responsible for distribution of budget allotment among the various wings/departments of the Ministry and for control of expenditure.
- (b) He will be responsible for arranging payments to autonomous bodies, corporations, authorities etc.. towards Grants-in-aid, loans etc. as well as

- contributions to international bodies, as may be sanctioned by the Ministry.
- (c) He will arrange for making payments through the Pay and Accounts Offices (as well as departmental officers to whom cheque drawing powers will be delegated), of pay and allowances, office contingencies, miscellaneous payments, all admissible loans and advances to Government servants and their provident fund claims in accordance with the prescribed financial and treasury procedures.
  - (d) He will be responsible for consolidation of the accounts (compiled and rendered by the Pay and Accounts Office) for the Ministry as a Whole in accordance with the instructions issued by the Central Government and/or C.A.G. and for rendering of the accounts to such authority as may be prescribed by the Central Government in consultation with the C.A.G.
  - (e) He shall also be responsible on behalf of the Secretary for the preparation of Appropriation accounts for the grants controlled by the Ministry. These accounts will be got duly audited/certified by the Director of Audit Economic & Service Ministries, and submitted to Controller General of Accounts (Ministry of Finance) duly signed by the Chief Accounting Authority viz. the Secretary. The material needed for the preparation of Finance Accounts will also be furnished by him to the Controller General of Accounts.
  - (f) He will be responsible for organising a sound system of internal audit to ensure accuracy in accounting and efficiency of operation as part of the management.
  - (g) He will be responsible for introduction of an efficient system of management accounting best suited to the functional requirements of the Ministry and its departments.

#### **Accounts formation of Central PWD**

**55.9** The Accounts Formation concerning CPWD is under the control of Chief Controller of Accounts. This formation has been divided into a number of Pay and Accounts Officers, corresponding to different Zones in CPWD, Each Zonal P. & A.O. shall render compiled accounts in respect of its zone.

#### **Procedure regarding Accounts in respect of Divisional Offices**

**55.10** The Divisional Offices shall render compiled accounts to the Zonal Pay and Accounts Office, in whose jurisdiction they fall. These accounts shall be incorporated in the accounts compiled by Zonal Pay and Accounts Officer.

#### **Post Check by Accounts Officers**

**55.11** On receipt of the monthly compiled accounts from the Divisional Officers, post check of accounts and items will be carried out in respective Zonal Accounts Offices.

#### **Compilation of Accounts**

**55.12** On the basis of the list of payment/compiled accounts received from various Drawing and Disbursing Officers (enjoying cheque powers) Executive Engineers and the transactions occurring in the Zonal Pay and Accounts Office, the Zonal Pay and Accounts Officer will compile a consolidated monthly account in respect of the zone as a whole and render it to the Pr. & A. O. under Chief Controller of Accounts on dates as prescribed. The account will be prepared, according to major, minor and detailed heads of account, as well as according to budgetary units of appropriation for facilitating the compilation of Appropriation Accounts.

#### **Final Consolidation and Submission of Accounts**

**55.13** The Chief Controller of Accounts, Ministry of Urban Development will be responsible for the final consolidation of accounts for the entire Ministry and for overall coordination and control.

**55.14** The annual appropriation account will also be compiled by the principal accounts office and submitted to the Secretary through I.F.A. The appropriation accounts signed by the Secretary will be submitted to the Comptroller and Auditor General of India for audit certification.

### **CPWD Organisation**

**55.15** While in the case of the PAO, CPWD (DGW) and the payments made by the Zonal PAOs themselves, the compilation of the payments made should be done simultaneously, in the case of Divisional Officers the compiled accounts in respect of the Particular division should be sent by them so as to reach the Zonal PAO by 4th of the month following. While, also conducting the post check, the consolidation of accounts in respect of the particular Zone will be completed by the 7th of the succeeding month and sent to the Principal Accounts Office.

### **AG/Director of Audit Inspection**

**55.16** The Director of Audit/Accountant General, under whose jurisdiction a Division or Sub-Division is located, Checks the monthly accounts. He arranges for the Test Audit and local inspection of the initial accounts of the Divisional and Sub-Divisional Offices in order to verify the accuracy of the figures with reference to the original records and ensure proper up keep of the registers and records on the basis of which the accounts have been prepared and submitted to the Zonal PAO.

The Director of Audit, CW & M conducts local inspection of Divisions rendering accounts to Pay and Accounts Offices.

### **Central Audit**

**55.17** The monthly check of Divisional Monthly Accounts received in AG's Office is known as 'Central Audit'. The deficiencies found in the upkeep of the accounts are intimated to the Divisional Offices through Audit Notes. These contain all objections of a trivial nature and miscellaneous observations and enquiries etc. on minor matters, which the Executive Engineer is competent to deal with finally and which are not important enough to be brought to the notice of the higher authorities.

### **Inspection**

**55.18** The audit conducted during the inspection of a Divisional or Sub-Divisional Office is known as "Local Audit". Each Division and/or any of its Sub-Divisions is inspected once a year. The duration of such inspection of a Division by Audit is based on the works-load factor.

**55.19** The following revised norms are being followed for local audit of Public Works Divisions by inspection Parties, with effect from the Revised Estimates, 1982-83 and Budget Estimates, 1983-84.

Nature of Divisions/Offices	Working Party days
1	2
1. Survey, Investigation, Design, Research and Quality Control Divisions	5 days
2. Maintenance Public Works Division	6 days
3. Construction Division with Expenditure	
(i) Upto Rs.80 lacs	8 days
(ii) Above Rs.80 lacs & upto Rs.1.20 crores	10 days
(iii) Above Rs.1.20 crores & upto Rs.2crores	12 days

(iv) Above Rs.2 crores & upto Rs.2.50 crores	14 days
(v) Above Rs.2.50 crores & upto Rs.3 crores	15 days
(vi) Above Rs.3 crores	16 days
4. Chief Engineer's Offices	5 days
5. Superintending Engineers/Executive Engineer (P)	3 days
6. In case of Maintenance-cum-Construction Divisions the norms prescribed for construction Division will apply.	

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**55.20** The AG/DACW & M sends intimation in advance about, the specific dates on which the inspection would commence to the concerned Division. On receipt of such intimation, the Executive Engineer should arrange to keep all the relevant records and documents ready for the Inspection Party. Important documents like Service Books, Contract Agreements etc. should be produced only after obtaining the written requisition and acknowledgement from the Inspecting Officer. A list of various records usually examined during the local audit is given at Appendix 47.

**55.21** The Inspecting Officer is authorised to inspect any books and other relevant documents relating to transactions to which his duties in respect of the audit extend. It is, therefore, the responsibility of the Executive Engineer to produce to the Audit Officer all the initial accounts and other records promptly. Where some of the records cannot be produced owing to certain unavoidable circumstances, the Executive Engineer should satisfy himself with the reasons of their non-production. He should make special efforts to produce those records which were not produced to the Audit at the time of previous inspections. In case the Executive engineer is unable to produce some of the records, he should bring the fact to the notice of higher authorities for orders.

### **Inspection Reports**

**55.22** The results of the Local Audit are communicated through Inspection Report, which is drawn in three parts as below:—

Part I — It includes :—

- (a) Introduction.
- (b) Outstanding objections from previous reports. (in this part, all old outstanding objections are reproduced in full, every alternate year along with upto date position. This is done to bring the outstanding paras, pointedly to the notice of all concerned for facility of watch and expeditious disposal).

The old outstanding objections are to be replied separately through the respective old inspection reports, which should not be treated as closed till all the objections are settled.

- (c) Schedule of persistent irregularities.

Part II — Contains two sections "A" & "B" section "A" includes all important irregularities i.e. irregularities involving recoveries, questions of violation of principles, losses, etc. Section "B" contains irregularities, though not major, which the Audit wants to bring to the notice of higher authorities.

Part III — is a Test Audit Note containing minor irregularities to which a schedule is attached to show the items settled on the spot. The procedural irregularities in respect of which the Divisional Officer has given assurances for following the correct procedure in future are also noted in this Schedule.

(Although the Test Audit Note has been termed as Part III of the Inspection Report, the Test Audit Note objections are not included in the Inspection Report).

### **Removal of Objections**

**55.23** Once a transaction has been challenged by the Audit and entered in one or the other documents referred to in para 4.5.1 of the CPWA Code, the responsibility for having the objection removed and their prompt settlement will primarily devolve upon the Divisional Officer. An audit objection is usually removed by obtaining the requisite sanction, by making the necessary recovery, by correcting or completing the relevant account or voucher, or by furnishing the necessary documents of information, or by otherwise securing compliance with the provisions of a specified Rule.

**55.24** Audit Inspection Reports should be promptly dealt with by the Divisional Officers at the initial stage so that the contingency of reporting of any point or para to Public Accounts Committee does not arise due to the neglect or delay in reply. The following procedure is suggested for disposal of the Inspection Reports.

#### **Procedure in Divisional Office**

**55.25** The Inspecting Officer issues rough Audit Notes to the Division for verification of the factual accuracy of the objections taken by him during the course of inspection. These rough audit notes should not be dealt with in a casual manner. These should receive prompt attention and the replies thereto should be based on the personal knowledge of the Executive Engineer. Where necessary the explanation/reply of a subordinate should be passed on with the remarks after checking its correctness. Where the objection can be got settled by obtaining the requisite sanction, by making necessary recovery, by correcting or completing the relevant account or voucher, by furnishing the required documents or information or by otherwise securing compliance with provisions of a specific Rule, the Executive Engineer should endeavour to get these settled before the Inspecting Party leaves his Division.

#### **Discussions with Inspecting Officer**

**55.26** The draft inspection report is discussed with the Executive Engineer by the Inspecting Officer before submitting the same to the AG/DACW&M to explain his viewpoint especially in the case of objection contained in part II of the Report. The Executive Engineer should avail of this opportunity and should record his remarks against each para in specific and unambiguous terms thereby either accepting or refuting the factual accuracy of the objections/points raised by the Audit. This would help the Audit to appreciate the Department's point of view and may eventually be helpful in settling most of the objections in the initial stage itself. The remarks like 'Seen' "would be looked into" etc. should not be used, as these defeat the very purpose of a discussion.

**55.27** During the inspection, if certain important financial irregularities are noticed which prima facie would be considered in the Audit Office for being developed to the stage of draft para for the Audit Report, the same should be taken up immediately by the Executive Engineer for thorough examination. A chronological history of such cases should be recorded in a separate register and the connected documents/reports should be collected and kept in the personal custody of the Executive Engineer, so that such important cases are not lost sight of and effective and prompt action is taken from time to time. At the time of his transfer, the Executive Engineer should mention the upto date position of all such cases in his charge report.

#### **Settlement of Outstanding Objections**

**55.28** In the intimation memo about the inspection, Inspecting Officer mentions that the Executive Engineer should keep ready the replies to the outstanding paras in the pending Inspection Reports along with the relevant records for personal discussion with the Inspecting Officer for settlement of as many objections as possible. The old Inspection Reports should be discussed with the Inspecting Officer personally and results of such discussions should be recorded. This should not be left to the Accountant or other subordinates, as it would retard the chances of effecting settlement of the old outstanding objections. The objective should be to settle as many cases as possible.



**55.29** The Executive Engineer should take up the discussions relating to the items brought by the Inspecting Officer from the very start of the inspection. It is not advisable to postpone it to the fag end of the inspection, because very little time is left for holding any constructive effective and useful discussions and achieving the desired results of settling the objections on the spot. The records required for production to Inspection Party in connection with the old paras should be collected in advance and kept ready duly referenced and flagged. This will save a lot of time and irritation to the Audit Party.

### **Control Register**

**55.30** A Control Register should be maintained in the Divisional Office in the form given at Appendix 48, so as to keep watch on the disposal of the Inspection Reports. The following instructions should be followed :—

- (i) A separate page should be set apart for noting down the position of each Inspection Report.
- (ii) The Register should be closed every month with the abstract as shown in Appendix 49.
- (iii) The Register should be reviewed by the Executive Engineer every month. While submitting the Register the Accountant should record a certificate that reminders wherever due have been issued to the Assistant Engineer/Superintending Engineer/Chief Engineer.
- (iv) Following procedure should be followed with regard to indicating and calculating the number of paras/sub-paras of the inspection reports in Register :—
  - (a) The number of sub-paras in each para should be shown against the serial number of paras of the Report. A para having sub-para should be treated as one sub-para. Thus, it should show the number of items which require action.
  - (b) Any sub-para, dropped subsequently should be distinctly exhibited and the balance of their totals worked out.
  - (c) An abstract showing the position of sub-paras outstanding from time to time should be kept in the files of inspection reports as well.
- (v) The position of the sub-para outstanding from time to time as worked out in the Divisional Office Control Register should be reconciled with a similar Control Register maintained in the Audit Office. The items or objections recommended by the Inspecting Officer to the AG/DACW&M for being dropped should not be mistaken by the Divisional Officer as actually dropped. These continue to be outstanding in the Audit Office Control Register till the recommendations of the Inspecting Officer are accepted. The actual position of the outstanding paras should be watched by the Executive Engineer from subsequent rejoinders received from the Accountant General/Director Audit Commerce Works and Miscellaneous.
- (vi) The disposal of Audit Notes and Test Audit Notes should be watched through a Progress Register, which should be maintained in the same manner as laid down for the Control Register.

### **Time Limit for Disposal**

**55.31** The Audit Notes/Test Audit Notes are dealt with directly in the Divisional Office and should be returned to the Audit Office within a month from the date of their receipt. Similar time limit should be observed for Audit Notes received from P.A.Os.

**55.32** The Inspection Report (with one spare copy) is received from the Audit Office for reply and return (except first reply) through the Superintending Engineer. The replies to the original Inspection Report should reach the Audit Office within 8 weeks and to the subsequent rejoinders within 4 weeks from the date of their receipt in the Divisional Office.

### **Procedure in Circle Office**

**55.33** The Audit Offices sends an advance copy of the Inspection Report to the Superintending Engineer, with specific mention of important items concerning serious irregularities and lapses, requiring special attention and prompt action. The Superintending Engineer should take necessary steps to obtain the final settlement of the items, Where required, he should himself take up the items of the report with the higher authorities. He should keep the AG/DACW&M fully informed in respect of cases regarding which reports have been sent to Chief Engineer/DG(W)/Ministry. While transmitting replies to the Audit on the original Inspection Reports as well as Rejoinders, the Superintending Engineer should examine the explanation offered against each para by the Executive Engineer and express his independent opinion. Where the para envisages completion of the Divisional/Sub-Divisional records and submission of certain documents/records to the Audit, the Superintending Engineer should ensure that the needful is done by the Executive Engineer with the least possible delay.

### **Guidelines for Internal Audit of the Departmental Accounts Organisations issued by Controller General of Accounts**

**55.34** The scheme of departmentalisation of Union Government accounts provides for setting up of an efficient internal audit organisation to ensure both accuracy in accounts and efficiency in the operation of the accounts set up. Accordingly, internal audit organisations have been set up in most of the Ministries/Departments. The scope and function of the Internal audit organisation will depend on the nature of work, the number of subordinate offices, the strength of the establishment, nature and quantum of expenditure etc. Each Ministry/Department will, therefore, draw up a Manual of Internal Audit, specifying the duties and functions of the organisation with particular reference to the conditions prevailing the Ministry/Department. The guideline contained in the ensuing paragraphs will regulate the working of these organisations, but these are of a very broad nature and have to be supplemented by detailed instructions to be issued by each Ministry/Department.

### **Scope of Internal Audit**

**55.35** The Internal Audit Organisation will work under the Chief Accounting Authority or Financial Adviser of the Ministry/Department concerned. The Principal Accounts Office, the Pay and Accounts Office as well as the office of the D.D.O's in a Ministry/Department shall be within the jurisdiction of internal audit. This organisation shall also check initial accounts maintained in the executive offices with a view to ascertaining as to how far they are following the rules and regulations, systems and procedures regarding accounting the financial matters. The Internal Audit should, inter alia cover checking of all accounts records including those relating to fund accounts, loans and advances and records of physical verification of stores, equipments, tools and plants.

### **Duties of Internal audit**

**55.36** The duties of the internal audit organisation will inter-alia include the following:—

- (i) Study of accounting procedure prescribed for the department with a view to ensuring that they are correct, adequate and free from any defects or lacunae;
- (ii) Watch over the implementation of the prescribed procedure and the orders issued from time to time;
- (iii) Security and check of payments and accounting work of the accounting units;
- (iv) Investigation of important arrears in accounting and other connected records;
- (v) Coordination with other Ministries and C.G.A. regarding internal audit procedures;

- (vi) Periodical review of all accounts records;
- (vii) Pursuance/settlement of objections taken in test audit notes issued by statutory audit offices and other matter relating to statutory audit;
- (viii) To examine and report on points or irregularities brought to its notice by the Principal Accounts Officer/P.A.O's.

### **Procedure for conducting Internal Audit**

**55.37** The work relating to internal audit should normally be conducted by locally inspecting various units and offices and by 'on the spot' verification of accounts records. The work of the local inspection parties may be coordinated by a headquarter cell, depending upon the nature, number and size of the internal audit parties.

### **Quantum of Audit**

**55.38** An internal audit party should conduct a general review of all the accounts records maintained by an office since the last inspection or in case of new units, since the formation of the office. Apart from the general review, it should also conduct a detail check of accounts records of one month in a year to be selected by the Controller/Deputy Controller in-charge of internal audit. The percentage of bills/vouchers/cases etc. other than those pertaining to the accounts records of the selected month to be checked in detail by internal audit as part of the general review of the accounts of an office, will be left to the discretion of the head of the internal audit unit. The extent and nature of checks will include the following:—

- (a) Detailed scrutiny of accounts records required to be maintained in the Offices of D.D.O's;
- (b) Verification of payment and accounting procedures in the departmentalised system of accounts including procedures to be followed by cheque drawing DDOs, to see in particular that the scope and extent of pre check and post check by PAO's are adequate and that the procedures for maintenance of provident fund accounts, finalisation of pensions cases etc. are being duly observed;
- (c) Verification of the extent and frequency of control and checks exercised by the head of office, in order to locate any lacunae in procedures whereby frauds or defalcations may be possible either individually or in collusion. Where necessary, steps to remove such lacunae will be suggested;
- (d) Scrutiny of sanctioning and purchase procedures in the office inspected, so as to ensure that they are free from any defect or lacunae;
- (e) Checking of procedures in regard to disposal of assets to ensure that there exit adequate scrapping/condemning procedures;
- (f) Scrutiny of general office management procedure adopted by the heads of offices locally where these have financial and accounting implications so as to suggest tightening up administrative and financial control savings in expenditure of streamlining of account.

### **Nature of Checks to be exercised**

**55.39** Internal audit parties will inter-alia exercise the following checks during inspection of accounts records of various offices.

Cheque drawing (i.e. Divisional Officers), non-cheque drawing [i.e. SE's/CE's/DG(W)'s etc. DDOs.]

- (a) All accounts records required to be maintained, are maintained in the prescribed forms;
- (b) Payments made by the cheque drawing DDOs are in accordance with the rules and orders governing them, their arithmetical calculations are correct and the recoveries/deductions made from bills are in order; the list of payments accompanied by paid vouchers are sent every week by them as per instructions to the concerned PAO by the prescribed dates;

- (c) The instructions for the maintenance of cash books, contingent register, stock and stores accounts, log books and other accounts records are duly observed;
- (d) 'Account Payee' cheques (in favour of government servants and third parties, being payable only to the concerned payees) issued by PAO's after pre check of relevant bills, to DDOs are not being entered in the cash book maintained by them and that the delivery and acknowledgement of such cheques is being watched through a separate register required to be maintained for the purpose;
- (e) Pay fixations are correct;
- (f) The weekly accounts of receipts with duplicate copies of challans are being sent to the concerned PAO's;
- (g) Purchases are made as per rules and orders governing them where lowest quotations are not accepted, the reasons therefore are recorded;
- (h) All sub-vouchers pertaining to contingent charges not sent to the PAO along with contingent bills are available in office, or otherwise in order and have been properly cancelled;
- (i) GPF/CPF accounts of Group "D" employees are maintained properly;
- (j) The instructions for processing submission of pension cases to the concerned PAO are observed.

### **Checking of Receipts**

**55.40** While the Departmental authorities are primarily responsible to see that all revenue or other debts due to Government, are correctly and properly assessed, realised and credited to Government account, it would be necessary for Internal Audit to see that adequate regulations and procedures have been prescribed in a Department to secure an effective check on collection and accounting of all revenue receipts and funds and that such regulations and procedures are being followed correctly. It would also be necessary to ascertain the nature of checks exercised by the Departmental authorities to ensure prompt detection and investigation to irregularities, leakage or loss of revenue due to double refunds, refunds with reference to fraudulent and forged vouchers/challans or other types of commissions in the process of levy/collection of taxes in ordering refunds.

**55.41** In the Internal Audit of revenue receipts, the Internal Audit Party should *interalia* ensure following by such test checks as may be considered necessary:—

- (a) That the demands are realised promptly in the manner required by the Law or Act of Parliament and that no amount due to Government is left outstanding in its book without sufficient reasons;
- (b) That the collection and refunds are accounted for regularly and properly under the appropriate heads of accounts and that no sums are credited to Government by debit to a suspense head; Credit must follow and not precede realisation;
- (c) That proper safeguards exist to ensure that there is no willful omission or negligence to levy or collect taxes or to arrange for refunds wherever due;
- (d) That double refunds fraudulent or forged refund orders or other losses of revenue through fraud, default or mistake are promptly brought to light and investigated; and
- (e) That all revenue receipts collected by departmental officers are promptly remitted to the bank or the PAO, as the case may be and that the receipts as per their records are reconciled with those booked in Government accounts on the basis of receipted challans, in accordance with the prescribed procedure.

### **Programme for Internal Inspection**

**55.42** The programme for internal inspection for each of the parties will be chalked out by the internal audit organisation and got approved by the Controller/Deputy Controller in-charge of the internal audit. Timely intimation of the proposed visit of the inspection

party will be sent to all the officers concerned. A copy of the programme will also be forwarded to the PAO concerned.

### **Records documents to be made available to the Internal Audit Parties**

**55.43** The head of the office to be inspected will be advised of the dates of inspection well in advance. A list of records to be examined during internal audit shall also be prepared and sent to him along with the notice of inspection so that these are kept ready by him before the arrival of the party.

**55.44** The account records maintained by the Offices visited will be made available promptly to the internal audit parties.

**Note 1:** The payments made by a cheque drawing DDO during the selected month(s) will be verified by the internal audit party with reference to the counterfoils of cheques, copies of the bank scrolls, pay bill register or office copies of the paid vouchers available with the DDO. It will, therefore, not be necessary for the party to obtain original paid vouchers etc. from the PAO. However, in the case of payments of long term loans/advances etc. for which the bills are presented by him to the PAO for pre check and payment. The internal audit party shall obtain from the PAO, a list of all such payments made by him during month(s) selected for audit for the purpose of checking that the cheques/bank drafts marked 'accounts payee' had been made over to the correct payees and their acknowledgements obtained and that the cheques/bank drafts issued in favour of the cheque drawing DDO for arranging payment in cash had been entered in the cash book maintained by him.

During the internal inspection of the office of drawing and disbursing officers concerned, internal check parties shall, verify by referring to the vouchers etc. through which the short term advances were drawn that payment entries are made properly in the Pay Bill Register and that recoveries are being effected regularly from the Government servant concerned and check the correctness of the entries relating to 'transfers in' and 'transfers out' cases.

**Note 2:** In the case of DDO's without cheque drawing powers, the original paid vouchers for the month(s) selected for local audit would be required by the internal audit parties.

These should, therefore, be obtained by them from the PAOs. However, the lists of payments and cheques issued by the PAO/cheque drawing D.D.Os, in the case of payments for such D.D.Os, will not be required by internal audit parties and these need not be called for from the PAOs.

**Note 3:** The list of payments and paid vouchers will be furnished by the PAO to the parties promptly on receipt of necessary requisitions. A list showing particulars of discrepancies, defects or other irregularities, if any, noticed during the course of scrutiny of bank scrolls with reference to the related paid vouchers and cheques, remaining unsettled or any other important point requiring investigation may also be furnished by the PAOs to the internal audit parties for 'on the spot' examination and report.

**Note 4:** In case of Divisional Officers working on the public works system, the paid vouchers and other original records pertaining to the month(s) selected for audit shall similarly be sent by the PAO to the internal audit party. A record of paid vouchers furnished to/received back from internal audit will be maintained by the PAO in a register in the form in the Annexure 1. The register will be reviewed monthly and necessary action taken where the paid vouchers have not been received back. It will be the Inspecting Officer's responsibility to return the vouchers immediately after internal audit of the concerned office is completed.

**Note 5:** The above instructions will also be followed mutatis mutandis in the case of audit of DDO's Officers to be conducted by statutory audit parties.

### **Frequency of Internal Audit**

**55.45** The frequency of internal audit will obviously depend upon the strength sanctioned for internal audit organisation and the number of units to be inspected in a year. However, all efforts should be made to see that the inspection of all the offices within the jurisdiction of an internal audit organisation is done at-least once a year. The periodicity may be increased or decreased depending upon the nature of transactions, amount of expenditure incurred, state of arrears and the general health of account of a unit etc.

### **Drafting and Procedure for Submission of Inspection Reports**

**55.46** The inspection report should be recorded in polite language. Offensive or strong words, sarcastic language etc., should on no account figure in the report. No suppositions, assumptions or allegations should be included in the report. Only facts should be mentioned and inevitable conclusions drawn. There should be no reference to responsibility being fixed for any irregularity; it is for the administrative authorities to take action in the matter. The inspection report should be in two parts, Part I-Containing outstanding objections from the previous inspection and Part II-Irregularities noticed during the current audit/inspection.

**55.47** Routine errors of omission or commissions noticed during the course of inspection may be got rectified on the spot. Inspection reports should invariably be discussed with the heads of offices inspected and their comments, if any, suitably incorporated in the reports. Inspection reports should be issued after being vetted at the headquarters. One copy of the inspection report will be issued to the head of office inspected and one copy will be sent to the Principal Account Officer i.e. Chief Controller/Controller of Accounts. Important points should also be brought to the notice of FA/CCA by the head of Internal Audit Organisation. The progress of settlement of the points raised in the report should be watched by the Controller of Accounts/Dy. Controller of Accounts in charge of Internal Audit Organisation and all points outstanding should be reviewed at the time of the next inspection by the internal audit party.

### **Pursuance of Test Audit Notes issued by Statutory Audit**

**55.48** In order to keep a watch over the settlement of audit objections included in the Test Audit Notes issued by Statutory Audit Offices, the Internal Audit Organisation will maintain a register in the form in Annexure 2 setting apart separate folios for each D.D.O. The progress made towards the settlement of outstanding objections should be reviewed quarterly and appropriate action taken to ensure their speedy settlement. The compliance with the objections reported to have been made by D.D.Os, should be verified during next internal audit of the concerned office. The register will be produced to Statutory Audit Parties whenever asked for, for verification of settlement of the objections raised.

**CHAPTER VIII**  
**SECTION 56**  
**PUBLIC ACCOUNTS COMMITTEE**

**Constitution of Public Accounts Committee**

**56.1** The Public Accounts Committee is really a miniature Parliament/Legislature. It consists ordinarily of the representatives of different political parties of the Parliament/Legislature but the fundamental difference between the main Parliament/Legislature and this Committee is that while the former functions on party lines, the Public Accounts Committee functions strictly on non party lines. The reason for this is that this Committee is not concerned with the policies of the Government but with the executive functions of Government. The Committee is primarily a committee of Lok Sabha, with which some members of the Rajya Sabha are also associated. The term of office of Members of the Committee does not exceed one year.

**Scope of Functions**

**56.2** The functions of the Public Accounts Committee will be laid down by the Parliament/Legislature. The rules of business provide that the main function of the Committee is to consider the matters that are commented upon in the Audit Report by the Comptroller and Auditor General.

**56.3** The function of the Public Accounts Committee is to discharge the responsibility of exercising vigilance over the financial working of the Government. The functions of the Public Accounts Committee are limited firstly to see that proper sanction of Parliament/Legislature has been obtained for expenditure to be incurred, that it has been presented in proper form so as to enable the Parliament/Legislature to understand the implication of the expenditure, that at the end of the year the appropriations have been asked upon in the proper way and that if there are savings and excesses these are adequately explained.

**56.4** The Public Accounts Committee would see that the Administration has functioned with due wisdom, faithfulness and economy. For this purpose, it is necessary for the Public Accounts Committee to have the material to show exactly that these duties of the Government have been performed and the Audit Department supplies the Committee with the materials in the form of Audit Reports.

**56.5** In scrutinising the Appropriation Accounts and the Audit Report thereon, the Committee has to satisfy itself that:—

- (a) The moneys shown in the accounts as having been disbursed were legally available for and applicable to the service or purpose to which they have been applied or charged;
- (b) The expenditure conforms to the authority which governs it; and
- (c) Every re-appropriation has been made in accordance with the provisions made in this behalf under the rules framed by the competent authority.

**56.6** The Public Accounts Committee, before taking up consideration of the current year's Report, go over the past recommendations in which the Government has not taken action considered appropriate by the Committee. If in a particular case, an item appears year after year and the Department has not been giving satisfactory explanation, the Committee may appoint a small Sub-Committee who might ask the Government to submit all the relevant papers so as to enable the Committee to arrive at proper conclusion.

**56.7** If the Government direct or want a certain department to adopt a certain procedure and the officer does not comply with it, the Committee will bring to the notice of the Government through its report that the officer does not appear to have followed the procedure and the Government should make necessary investigation and take such disciplinary action as is considered necessary. In such cases of an item which is placed before the Public Accounts Committee and is under investigation by the Police

Department or is receiving attention of the Court of Law, the Public Accounts Committee will await the result of the Police investigation or judgement of the Court.

**56.8** It is the function of the Public Accounts Committee to ensure that the guilty, negligent, corrupt and inefficient Government servant does not escape punishment. The committee is not, however, concerned with the individual but with the system. The individual is employed by Government and the Public Accounts Committee cannot substitute itself for Government in the matter of punishment. But the Committee is certainly entitled to know what action has been taken on its recommendations.

### **Role of Comptroller and Auditor General**

**56.9** The role of Comptroller and Auditor General or his representative before the Public Accounts Committee and before the Executive is to explain the position fully, to give all aspects of the case, to point out whether a failure, if any, has occurred. It is then for the Public Accounts Committee to have an objective examination of the various points of view submitted by the Executive and by the Audit and come to a conclusion. The Comptroller and Auditor General does not influence the Committee in coming to those findings and it is quite possible that he may even hold somewhat different views on particular matter. But the Comptroller and Auditor General has still a role to play in the matter of drafting the report of the Public Accounts Committee because he is to assist the Committee in seeing that all the relevant facts have been brought out in the report.

### **Draft Audit Para**

**56.10** The Draft Audit Paras intended for inclusion in the Audit Report of a particular year to be taken and reviewed by the Public Accounts Committee in the end, are first taken up by the Head of Audit Office demi-officially with the Secretary of the concerned Ministry for communicating Ministry's comments/acceptance, if any of the facts stated in the draft paragraph. The copies of such paras along with 'key' statements are simultaneously endorsed to the Head of Department concerned.

**56.11** The comments/acceptance of the Ministry are required to be intimated to Audit as expeditiously as possible and invariably within a period not exceeding six weeks. If no reply is sent within this prescribed period of six weeks, the paragraph as prepared by Audit is treated as final and included in the Audit Report.

### **Action required to be taken in Zonal/Circle/Divisional Offices**

**56.12** Reports pertaining to existing or likely audit objections and draft audit paragraphs are required to be shown to the Director General (Works)/Chief Engineer in 'DAK' as per departmental instructions.

**56.13** As soon as draft para is received in the Chief Engineer's Office, a copy of the same should be endorsed to the Superintending Engineer/Executive Engineer concerned. The Superintending Engineer/Executive Engineer should communicate acceptance or otherwise of the facts and offer comments, if any, within a period not exceeding two weeks. The Superintending Engineer should also take immediate steps to prepare a chronological history of the case and collect the relevant records so as to make them instantly available to the higher authorities for perusal and verification. Where such collection of record is not considered feasible, the Superintending Engineer should keep a careful watch on the movement of such records. The custody of the record and movements of these records is required to be arranged till the Draft para is finally dropped or discussed in the Public Accounts Committee. In the event of the transfer of the Superintending Engineer/Executive Engineer, the list of such paras, with their chronological history and records connected therewith, should be passed on to the successor and a mention of this should be made in the handing over notes.

**56.14.1** To ensure expeditious disposal of the draft audit paras within the prescribed period of six weeks, a suitable register should be maintained in the Chief Engineers/Circle and Divisional Offices.



**56.14.2** In so far as the Central PWD is concerned, the recording of a certificate by the respective Chief Engineer to the effect that he has personally verified the explanations and facts mentioned in the Audit Para, would meet the purpose.

**56.15** The need on the part of all officers and staff dealing with audit objections and audit paragraphs to make sure that all statements made to Audit are factually correct cannot be over emphasised. All concerned should ensure that all facts and figures are carefully checked and verified before replies are sent to Audit, P.A.C., etc.

**56.16** The general convention is that the officer who submits a case is responsible for ensuring that the facts pertaining to the case are correct, whilst the officer within whose competence the decision falls must accept responsibility for the decision once he concurs in the proposals. This does not, however, mean that the officer who takes the decision or in the case where a statement of facts is made in response to Audit objection or Audit paras, the Officer who signs a communication, can be deemed to have no responsibility at all for seeing that the facts as stated or the reasons adduced are prima facie reasonable and correct.

**56.17** It is enjoined on all the officers of the Central PWD to ensure that all relevant files required for reference by Audit are made available to them with promptitude and expeditiously. Following instructions in this respect should be observed—

- (i) A subordinate authority shall afford all reasonable facilities to the Audit Officer/Accounts Officer, for the discharge of his function and furnish fullest possible information required by him for the preparation of any official account or report.
- (ii) A subordinate authority shall not withhold any information, books or other documents required by the Audit Officer/Accounts Officer.
- (iii) If the information, books or other documents or part thereof, are of a secret nature, these should be sent by name to the Audit Officer/Accounts Officer and he will deal with them in accordance with the standing instructions for handling and custody of such documents.

### **Production of Documents to Audit**

**56.18.1** Files required by Audit Officers should be readily made available to them without any apprehension that objections may be taken in audit merely based on contradictions in the views expressed in note by subordinate officials and higher authorities. If the contents of the file or any parts of it are 'Secret' or 'top Secret' the file may be sent personally to the Accountant General or the head of the Audit Office specifying this fact, who will then deal with it in accordance with the standing instructions for the handling and custody of such documents.

**56.18.2** If any Officer fails to produce the records etc. required by the Audit Department, disciplinary action may be taken against him.

### **Audit Report**

**56.19** If replies to draft paras are considered satisfactory these are dropped. If these are not considered satisfactory and need further probe, these are included in the Audit Report. The Administrative authorities should undertake a thorough scrutiny of the Audit Reports immediately on their receipt both in regard to verification of facts and figures mentioned therein and for initiating prompt action on the various points brought out in the reports. Whenever irregularities are mentioned in the Audit Report, action to rectify them should be taken in advance of their consideration by the Committee, so that the Committee are informed of the final position and not merely told that the matter would be looked into.

**56.20** In case, any discrepancy is noticed in the facts and figures mentioned in the Audit Reports, the same should be reported to the concerned Audit Officer immediately and should not be held up for being discussed in the PAC meeting. It should also be ensured prior to appearing before the PAC that the discrepancies pointed out to Audit have been duly taken notice of by the Audit, so that a complete picture is available to the committee as regards facts.

**56.21** The replies to the Committee's recommendations should be explicit and self-contained. In particular where remedial measures are called for, the details of action taken should be specifically spelt out. These should, in no case, be replied as 'Noted'.

**56.22** The following procedure should be ensured while furnishing replies to the Committee's recommendations:—

- (i) The replies should be furnished (with 40 copies) duly vetted by Audit and signed by the Secretary/Additional Secretary/Joint Secretary concerned.
- (ii) The replies to recommendations/observations should be framed with reference to the summary of recommendations as appear in the body of the Report showing the Summary of main conclusions/recommendations.

**56.23** It is essential to furnish the Committee, complete and correct information duly vetted by the Audit to enable them to come to correct conclusions.

### **Time Limit for Disposal of Audit Reports**

**56.24** A well thought out plan should be drawn for processing recommendations of the Committee as soon as a report is presented to the House. It should be possible to draft the replies on recommendations/observations within six months from the date the relevant PAC Report is presented to LoK Sabha. Replies be got vetted by the Audit within the next two months so that the final replies duly vetted could be sent to the Committee not later than six months of the date of presentation of the report to the Lok Sabha.

**56.25** Timely submission of Action Taken Notes on recommendations in the Reports of the Public Accounts Committee.

In order that Financial Advisers are able to discharge effectively their responsibility as 'focal point' to monitor timely submission of Action taken note on the recommendations of P.A.C., the following drill may be adopted by them with such modifications as may be considered necessary in individual cases:—

- (a) As soon as a report is received it should be gone through to spot out the recommendations marked jointly to one or more Ministries/Department. If there is any such recommendation, it should be determined by mutual consultation whether each Ministry/Department should submit Action Taken Notes separately or one single Action Taken Note should suffice and if so which Ministry/Department would be responsible for the same. Such decisions should be taken at sufficiently high level (Note below the level of Joint Secretary in any case).
- (b) Every endeavour should be made to finalise the Action Taken Notes within 4 months of the date of presentation of the Report to the Lok Sabha.
- (c) In respect of the recommendations on which Action Taken Notes are not finalised within 4 months, the Financial Adviser should submit a Report to the Secretary to his Ministry/Department so that the highest level is kept informed of the position.
- (d) During the 5th month, the Financial Adviser should convene inter/intradepartmental meeting of the concerned officers at such level as may be deemed necessary to ascertain the reasons for delay in finalising the Action Taken Notes, to remove the possible bottlenecks to cut short delays in prolonged correspondence.
- (e) If at the close of the fifth month of the presentation of the Report it is anticipated that submission of Final 'Action Taken Note' will not be possible within the remaining one month, the Ministry/Department shall be advised by the Financial Adviser to seek extension of time from the Lok Sabha Secretariat.
- (f) All communications addressed to Lok Sabha Sectt. regarding Action Taken Notes (Forwarding copies thereof and/or seeking extension of time) will be endorsed to the Ministry of Finance, Department of Expenditure (Monitoring Cell).
- (g) As regards the Action taken notes pending with the Audit for vetting, the Government is required to furnish action taken notes duly vetted by Audit within a period of six months unless the committee fixes another specific

time limit for furnishing the replies. It will become incumbent on the Ministry/Department concerned to seek any extension for furnishing vetted replies as may be required thereafter and for whatever reasons.

**56.26** Notwithstanding the normal limit of six months indicated above, in such of those cases, where the Committee desire to have a reply within a specific time limit, every endeavour should be made to ensure that replies duly vetted by Audit are furnished within that time limit.

#### **Presenting the case before the P.A.C.**

**56.27** It has always been the practice that the Secretary to the Government in the Department concerned invariably represent the Government in the meetings of the PAC. Generally speaking, the Secretary to the Government is not responsible for executive functions and accordingly he is able to take a more objective and detached view of the transactions that the Head of the Department is able to take. Head of the Department i.e. Director General (Works) and the Chief Engineers assist the Secretary with information whatever is considered necessary.

**56.28** If a particular officer who is representing the Department at the moment is not able to explain an item of expenditure fully, the most that the Committee could do is to suggest to him that he might obtain information from the officer who was in charge of the work. The Committee cannot go to the individuals because it is the Department which is to answer.

#### **Time Limit for Examination of a case by the P.A.C.**

**56.29** The Senior Financial Officers and Members of the Public Accounts Committee fix time limits for examination of points of each department. This time is devoted to important matters. In certain cases they form Sub-Committees to examine the specific important points relating to a Ministry/Department in details.

#### **Memorandum for P.A.C.**

**56.30** There are, however, other matters for which Administration itself is anxious to put its point of view. But because the time does not permit it to do so, it seeks permission to submit memoranda. These Memoranda are submitted to the P.A.C. through Audit so that the facts may be verified. On other occasions, during the course of discussion, some points might rise about which the witness is not particularly well informed. In that case also he is either asked by the Committee or he himself suggests that he would later on submit a note to the Committee explaining the point which at the moment is not in his knowledge.

**56.31** In order to ensure that there is no avoidable delay in complying with Committee's requests, highest priority should be accorded by all concerned to supply the information desired by the Public Accounts Committee. In case where compliance is likely to take more than a month, an interim reply apprising the Committee of the position should invariably be sent and such cases should be marked for scrutiny of pending lists.

#### **Audit Paras regarding Disciplinary Action taken against Officers responsible for Irregularities etc.**

**56.32** Draft audit paras after acceptance by the Ministry are incorporated in the Audit Reports and these come up for discussion in the Public Accounts Committee. The Ministry is often placed in an awkward position if it has to tell to the PAC that the disciplinary action is under consideration. The PAC will always insist on the finalisation of departmental enquiries and will like to know the punishment awarded. It has, therefore, been decided that all Vigilance Officers should, with the approval of the Head of Department etc. show them all files dealing with draft paras mentioning disciplinary action and that the Vigilance Officers should keep a close watch on the proceedings of

such cases. Highest priority should be given to the disposal of disciplinary cases mentioned in the draft audit paras.

### **Written Minutes of Important Meetings where Decisions are taken**

**56.33** The Public Accounts Committee has urged strict observance of the requirements of para 36(3) of the Central Secretariat Manual of Office Procedure (Eighth Edition).

**56.34** The above para envisages that whenever an inter-departmental meeting is convened, an agenda setting up clearly the points for discussion should be prepared and circulated in advance to the Department concerned and a record of the discussion should be prepared immediately after the meeting and circulated to the other Departments concerned setting the conclusions reached and indicating the Departments responsible for taking further action on each conclusion. A proper observance of this procedure would help to ensure prompt and effective action on the points which ought to be decided through interdepartmental discussion.

**56.35** Subordinate officers are expected to exercise the powers vested in them. Serious notice would be taken in cases where responsibility is shirked by Senior Officers.

### **Procedure for obtaining Legal Advice**

**56.36** The Public Accounts Committee have commented on a case involving the procedure for obtaining legal advice from the Ministry of Law, where the following unsatisfactory features were noticed:—

- (i) A second reference was made to the Ministry of Law on the point on which their opinion had been obtained earlier without mentioning the earlier opinion given by them. Further, the second opinion, which ran counter to the earlier opinion was given at a lower level.
- (ii) The normal practice of giving Audit an opportunity to present their views before a revised opinion is obtained from the Ministry of Law in cases arising out of Audit objection was not followed.

The Committee, have accordingly made the following recommendations:-

“There is another point the Committee would like to mention. The Board had in this case made a reference to the Ministry of Law for a second opinion without any mention of the earlier opinion given by that Ministry. This the Committee consider wrong in principle. Besides the second opinion, which ran counter to the first opinion, was from an Asst. Legal Adviser, while the first opinion was given by a Deputy Legal Adviser. The Committee would like to impress on Government the need to ensure that, where a second legal opinion is sought, it should specifically be sought from an official of a status higher than the official who gave the first opinion. In respect of matters included in the Audit Report, which are likely to come up before the Committee, it should also be ensured that Audit are given an opportunity to present their point of view before an opinion is sought from the Ministry of Law and are associated with any inter-Ministerial deliberation that might take place in this connection”.

In cases where a second legal opinion is sought on matters arising out of the audit objection, Audit should invariably be kept informed and given opportunity to present their points of view.

**PROFORMA-2**  
CENTRAL PUBLIC WORKS DEPARTMENT

No. CA/ Dated, the

To

.....  
.....

Subject:

Reference:

The following particulars in connection with the above may kindly be furnished to this office at an early date:—

- (1) Dimension of all boundaries and diagonals or angles sufficient to enable to draw out the complete site plan.
- (2) Position of all existing structures or/and permanent marks such as well, trees, paths, roads, drains may be clearly indicated on the plan together with their dimension, widths etc. Any of the above features to be retained may be shown on the plan.
- (3) Any structure existing within 20 ft. of the boundaries giving height of the same, also general buildings existing in the near vicinity giving their character, heights and purpose. The sizes of window and door openings, if any, of the structures abutting the site and their right of way and light etc. may be clearly mentioned.
- (4) All roads abutting the site together with their widths, berms and importance with regard to traffic etc.
- (5) All levels, if any, may be marked in relation to all existing roads (crown or road level).
- (6) Direction of north as also the general prevailing winds in the different parts of the year. Average rainfall during the year.
- (7) All services available in the localities, such as municipal sewers, water supply, its pressure in relation to height and electric supply together with their mains, if possible.
- (8) All local Municipal Bye-laws or layout schemes affecting the site particularly in relation to the set-beck lines on roads front, rear or side, total built-up area allowed and permissible height.
- (9) All local materials for construction together with their uses in local practice and mode of construction with regard to walling, roofing and general finishes.
- (10) Complete plans, elevation and section of the existing structures together with photographs and brief specification in case extension is desired to the same.
- (11) Any other information pertaining to nature of soil and its capacity, or zone falling in the seismic area etc. may be given.

NOTE: All information desired above may please be duly signed by the issuing Officer.

Architect

**PROFORMA 3-A**  
CENTRAL PUBLIC WORKS DEPARTMENT

No.            Dated, the

The Executive Engineer,  
.....

Name of the work:

Kindly furnish the following information for the above work as early as possible in order to enable this office to prepare preliminary estimate.

- (i) Name and nature of soil strata upto 3m to 3.5m where footings are to be founded. If black cotton or filled up soil is met with, depth of such soil.
- (ii) Approximate recommended depth of foundations.
- (iii) Approximate recommended bearing capacity of soil.
- (iv) Whether any special type of foundations are to be provided.
- (v) Sub-soil water level (Maximum and Minimum).
- (vi) Any existing building to be dismantled or telegraph or electric poles or cables or sewers to be shifted or thick jungle clearance to be done with rough details. Encroachment by foundations of the structures abutting our site, if any, may be indicated with sketches.
- (vii) Whether site required extensive levelling and if so, the cost with approximate details.
- (viii) Data regarding High flood levels in case area is liable to flooding.
- (ix) Details of external services:—
  - (a) Water mains: Whether they are available for our connections and if so, at what distance and or what size. If not, specify what type of well to be constructed (open well, etc. with size and depth) and the approximate cost of construction. In case of large requirement of water whether the local body will give adequate supply should be assured.
  - (b) Sewer mains: Whether they are available for our connection and if so, at what distance.
  - (c) Electric Mains:
  - (d) Road: Whether any approach road is to be constructed beyond that shown on site plan: if so, of what length? Give specification locally adopted and the rate per 10sqm. of road surface.
  - (e) Storm water drain and culverts: general arrangement of drainage: Any storm water drains required with approximate cost, number of culverts to be provided with approximate sizes.
- (x) Cost index with detailed calculations, leads of materials and reference to Schedule of rates applicable.
- (xi) Nearest Railway Station and distance of site from the Station.
- (xii) Whether any special provision are required due to special local conditions e.g. stone work instead of brick work, etc.

For SE(P)  
..... Zone, CPWD.

1. Copy to the Executive Engineer (Electrical) ..... Division ..... for intimating the amount required for external electrical services to be provided for in the preliminary estimate. The (prescribed percentage on the) amount should be given separately for connection to electric mains, sub-station equipment, pumping sets for water supply and its erection and street lighting, etc.  
If the provision required for internal electrical services will be different from the usual provision of 12.5% of the building cost, (or fixed amount) the additional rates should be given in a specific manner.
2. Copy to the EE(P), Electrical ..... Zone, for supplying the above information.

For SE(P)  
..... Zone, CPWD.

**PROFORMA 3-B**  
**CENTRAL PUBLIC WORKS DEPARTMENT**

No.                      Dated, the

The Executive Engineer,  
.....

Name of Work: .....

Kindly furnish the following information for the above work of Water Supply Scheme as early as possible in order to enable this office to prepare project estimate for the same.

1. (a) What is the area in acres to be served by the Scheme?  
(b) Present population to be catered for  
(c) Probable population after 20 years to be catered for  
(d) Per Capita water supply required by the sponsoring authorities or Municipal bye-laws.
2. (a) Site plan of the area for which water supply is required showing the buildings to be served with spot levels at 60m intervals. The plan should show the layout of the buildings, main roads, service roads, etc. and ground formation levels alongside of all roads shall be given at intervals of 60m.  
(b) If it is anticipated that any additional areas are to be covered in this scheme at any future date, these should be marked in the plan and the requirements given.
3. State if there is any existing filtered water supply in the area or in the vicinity. If so, furnish the following particulars:—
  - (i) A key plan showing the area to be served and the nearest main from which water is proposed to be tapped and the point of tapping.
  - (ii) State the size of the main and if it is adequate to cater for the additional supply required for the project.
  - (iii) Pressure available in the main at the proposed point of tapping and the reduced level of the main at this point.
4. If supply is to be taken direct from the storage reservoir, give the following details:—
  - (i) Site of the reservoir with reference to the site to be developed for water supply and distance from site.
  - (ii) Capacity of the reservoir.
  - (iii) Whether it is capable of meeting the extra demand in the worst summer?
  - (iv) Reduced level of the reservoir floor and depth of water in reservoir.
  - (v) Longitudinal sections of the proposed alignment of the main from the reservoir to the site with nature of soil and sub soil.
5. (a) If there is no water supply in the area, how do you propose to provide water supply:—
  - (i) From open or tube wells for smaller groups of buildings or colonies.
  - (ii) From any existing perennial sources of water supply, e.g. river, stream, canal etc. Give the details of dry weather and monsoon flow, low water level and RFL etc. Give details of weirs, if any required, for heading up water in the stream, arrangements for purification, location of intake well, filter beds, pumping station etc. Also give an index plan showing the recommended location of water works.  
(b) Indicate the size and depth of open or tubewells, expected supply per hour and approximate cost of the installations including cost of delivery main upto site.
6. In case storage or service reservoirs are required, possible location of reservoir to be indicated on an index plan alongwith the ground levels at the site. In case a high level reservoir is to be constructed local restriction regarding maximum heights due to proximity of air fields if any may be indicated.
7. Information about the quality of water available from the source and suggestions for treatment.

For SE(P)  
..... Zone, CPWD.

No.                      Dated, the

Copy to:—

1. The Executive Engineer (Electrical) ..... Division ..... for intimating the information in connection with the existing electric mains, their distance from the area, type of power available and adequacy of electric energy etc.
2. The Superintending Engineer ..... Circle, CPWD, for information.
3. The Superintending Engineer ..... Electrical Circle, CPWD, for information.

For SE(P)  
..... Zone, CPWD.

**PROFORMA 3-C**  
**CENTRAL PUBLIC WORKS DEPARTMENT**

No.                      Dated, the

To  
The Executive Engineer,  
.....

Name of Work:

Kindly furnish the following information for the above work of sewerage scheme of the area as early as possible in order to enable this office to prepare project estimate for the same.

1. (a) What is the extent of the area for which sewerage scheme is to be designed?  
(b) What is existing population?  
(c) What is the proposed ultimate density of population?  
(d) What is the per capita water supply?
2. Give a site plan of the whole area showing the existing and proposed buildings and other structures, spot levels at intervals of 60m. and ground formation levels alongside of all main and service roads (existing or proposed).
3. Is there any sewerage system in the area? If any, the following particulars should be furnished:
  - (a) Size of the nearest sewer and its distance from the site.
  - (b) Size of the nearest trunk sewer and its distance from the site.
  - (c) Whether the existing sewer is capable of taking the additional sewage from the site to be developed. If not, state alternative proposals for disposal of sewage.
  - (d) If the existing sewer is capable of taking the additional sewage, give "L" section of the sewer for a reasonable length showing the ILS, G.Ls., gradients and falls, if any, as well as position of manhole to which the proposed sewer from the colony to be developed may be conveniently connected.
  - (e) What is the level of sewage in the manhole reference to (d) above for peak discharge.
  - (f) A plan showing the layout of the branch or trunk sewer and proposals for the outfall sewer connecting to manhole with invert and ground levels.
4. Whether the proposed outfall sewer from the area to be developed will have to be designed to carry sewage from any other area also. If so, the additional areas to be served may be shown on the site plan giving their extents with the present and anticipated density of population.
5. (a) Whether a long outfall sewer is necessary, give a plan and longitudinal section of the proposed alignment showing the ground levels.  
(b) What is the nature of the soil and sub-soil along the proposed alignment?  
(c) State the ownership of the land through which the proposed alignment passes.  
(d) Are there any obstructions e.g. railway lines, drainage courses etc., on the alignment? If so, their nature and other relevant details may be given.
6. If there is no sewerage system in the area
  - (a) How do you propose to dispose of the sewage?
  - (b) A survey plan showing the likely location of the disposal works (septic tanks or other plants) may be furnished showing the prevailing direction of wind.
  - (c) How is the effluent proposed to be disposed off? If there is any natural water course in which the effluent is proposed to be discharged, the following particulars should be furnished:—
    - (i) Ordinary water level and H.F.L.
    - (ii) Specify if there are any objections to discharge the effluent into the water course or Nallah and if so, what alternative do you suggest?
  - (d) Nature of soil, i.e. whether it is absorbent or otherwise.
7. Any other information in connection with the sewage scheme.
8. Full particulars about any local rules and restrictions regarding sewage disposal.

For SE(P)  
..... Zone, CPWD.

No.                      Dated, the

Copy forwarded to :—

1. The Executive Engineer (Electrical) ..... Division ..... for furnishing the information in connection with the existing electric mains, their distance from the area, type of power available and adequacy of electric energy etc.
2. The Superintending Engineer ..... Circle, CPWD, for information.
3. The Superintending Engineer ..... Electrical Circle, CPWD, for information.



..... Zone, CPWD.

For SE(P)

**PROFORMA 3-D**  
CENTRAL PUBLIC WORKS DEPARTMENT

No.          Dated, the

To  
The Executive Engineer,  
.....  
.....

Name of Work:—

Kindly furnish the following information for the above work of Storm Water Drainage of the area as early as possible in order to enable this office to prepare project estimate for the same.

1. Give a survey plan of the area for which the Drainage system is to be designed showing the spot levels at intervals of 60m and proposed layout of roads and buildings. Formation levels of ground alongside of the roads and crown levels of roads may be given at intervals of 60m.
2. (a) If the area forms of part of a bigger catchment, a site and contour plan of the entire catchment area should be given.  
(b) If it is likely that drainage from the upper portion of the catchment enters the area now proposed to be developed, suggest measures to intercept the drainage or indicate the probable additional run off to be allowed for.
3. The maximum intensity of the rainfall in the area and its duration and the total annual rainfall.
4. Nature of the soil and vegetation in the area.
5. Full particulars of any natural water course or Nallah passing near the area, into which the area under consideration can be drained, together with the HFL in the storm water drainage. A plan showing the Nallah and “L” section of the Nallah showing the HFL for about 400 metres above and below the point where it is proposed to discharge the drainage into the Nallah may also be supplied.

For SE(P)  
..... Zone, CPWD.

No.          Dated, the

Copy forwarded to:—

1. The Executive Engineer (Electrical) ..... Division ..... for furnishing the information in connection with the existing electric mains, their distance from the area, type of power available and adequacy of electric energy etc.
2. The Superintending Engineer ..... Circle, CPWD, for information.
3. The Superintending Engineer ..... Electrical Circle, CPWD, for information.

For SE(P)  
..... Zone, CPWD.

**PROFORMA 3-E**  
CENTRAL PUBLIC WORKS DEPARTMENT

No.      Dated, the

To

The Executive Engineer,  
.....  
.....

Name of Work:

Kindly furnish the following information for the above work of development of the area as early as possible in order to enable this office to prepare project estimate for the same.

1. Survey plan of the area. The plan should show all local features such as existing structures, Nallahs, wells, drains, sewers, water mains, electric mains and cables, telegraph and electric poles, brick kilns, fields, ponds, trees, roads, culverts and bridges etc.
2. Contour plan of the area with spot levels taken at not more than 60m distances. If possible, the levels should be reduced with reference to GTS Bench Mark. Otherwise, full description of assumed R.L. of the Bench Mark should be given.
3. Index plan of the area showing places from where earth for filling the area, if necessary may be brought or where the earth obtained from cutting of the area should be disposed off.
4. Crown levels of all the adjoining roads, at suitable intervals.
5. Nature of soil surface as determined by visual inspections.
6. Nature of sub soil strata as determined by trial pits or trial bores at the rate of one pit or bore for every 20 acres or less. Cross sections of trial pits or bores should be suitably increased.
7. Details of water mains as existing indicating the distance, diameter, pressure in the water mains.
8. Details of existing sewer mains, if available, indicating distances, invert level, diameter and spare capacity of the sewer mains.
9. Details of existing storm water drains and culverts, indicating section of drains, slope, spare capacity, invert level etc. It should also be indicated if the area itself is a part of bigger catchment area and thus receives storm water from other areas. If so, full details should be given.
10. Cost index of the place with details calculations.
11. Data regarding High Flood Levels, in case area is subject to flooding or is lower than HFL.

For SE(P)  
..... Zone, CPWD.

Copy to:—

1. The Executive Engineer (Electrical) ..... Division ..... for furnishing the information in connection with the existing electric mains, their distance from the area, type of power available and adequacy of electric energy etc.
2. The Superintending Engineer ..... Circle, CPWD ....., for information.
3. The Superintending Engineer ..... Electrical Circle, CPWD ..... , for information.

For SE(P)  
..... Zone, CPWD.

**Appendix - 3**  
(REFERENCE PARA 4.5.1)

DEVELOPMENT

ANNEXURE TO MINISTRY OF URBAN

OM No.17020/2/86/W2 dt. 25th August, 1987

**REVISED SCALE OF PLINTH AREA**

Type	Pay Range	Area of Unit		Staircase/ circulation		Sleeping out balcony		Cycle/Scooter Shed/Garage		Remarks
		Sq. M.	Sq. ft.	Sq. M.	Sq. ft.	Sq. M.	Sq. ft.	Sq. M.	Sq.ft.	
I	(A) Upto Rs. 949/- Cycle shed 100%	34.00	365.00	5.00	54.00	7.45	80	2.50	27.00	
II	(B) Rs. 950-1499/- Cycle shed 100%	45.00	484.00	5.00	54.00	7.45	80	2.50	27.00	
III	(C) Rs. 1500-2799/- Scooter shed 100%	55.75	600.00	5.00	54.00	7.45	80	4.20	45.00	
IV	(D) Rs. 2800-3599/- Scooter shed 100%	83.60	900.00	5.00	59.00	7.60	84	4.20	45.00	
V	(E) Rs. 3600-4499/- (Garage) Main Unit	139.35	1500.00	6.00	65.00	9.85	106	20.90	225.00	75%
	Servants Qrs. Attached to the Main unit	18.60	200.00	4.50	50.00	—	—	—	—	
VI	(E1) Rs. 4500 and 100% (Garage) above Main unit	198.00	2200.00	6.00	65.00	11.00	118.00	20.90	225.00	
	One servant quarter	25.00	269.00	4.50	50.00	5.00	54.00	—	—	

**NOTE:**

1. These plinth area standards shall be applicable to the construction of residential accommodation in all places in India.
2. Plinth areas proposed above are on the wall thickness achieved with the standard brick size 9"×4-1/2"×3" (Normal). When standard size bricks are replaced by modular bricks (20 cm×10 cm×10 cm) in course of time the plinth areas specified above will not change. Where wall thickness has to be more for technical reasons, plinth areas may be suitably increased. In places where stone construction is more economical and is normally adopted, the plinth areas may be suitably increased to allow for additional thickness of walls. In areas, where standard size of brick is 10" an increase of plinth area to the extent of 4% in case of type I, II and III Qrs. and 2.5% in case of type IV, V and VI (D,E,E1),Qrs. will be allowed. In areas where local specifications permit use of thinner walls such as 'accra' walling or timber construction the plinth areas would be reduced suitably.
3. (a) Sleeping out balconies shall be provided in region of hot and dry climate and for construction which is more than two storeyed. In the case of regions with hot and humid climates, i.e. coastal regions where it is not customary to sleeping out during summer, sitting balconies with half of the areas stipulated above, shall be provided in lieu of sleeping out balconies in places other than Mumbai and Kolkata (for which reduced standard as indicated at 3(b) will apply). In regions of cold climate, viz. hill stations, glazed verandahs in lieu of sleeping out

balconies may be provided with the areas of sleeping out balconies. Where sleeping out balconies are provided, facility of use of terrace by occupants need not be provided.

- (b) The area of sitting out balconies in Mumbai and Kolkata will be 1.5 sq.mt.(16.15 sq.ft.) for type I, 2.5 sq.m. (26.90 sq.ft.) for type II, 3.50 sq.mt. (37.65 sq.ft.) for type III, 4.5 sq.mt. (49 sq.ft.) for type IV, 5.50 sq.mt.(60 sq.ft.) for type V and 6.5 sq.mt. (71 sq.ft.) for type VI(EI).
  - (c) Areas of sleeping and sitting out balconies may vary with the type design, depending on architectural and structural considerations. The areas stipulated in this statement are maximum that will be allowed.
  - (d) In hot and dry region, sitting out balconies may be provided for two storeyed construction.
4. In case of type I, II and III quarters, the standard plinth area may be exceeded upto 2% when found necessary on architectural consideration. This is to allow for some flexibility in architectural planning.
  5. In type V quarters, Car garages will be provided for 75% of the number of units to be constructed. Out of these, 1/3rd of the garages will be partitioned temporarily so as to provide scooter sheds for remaining 50% of the allottees. Provision in planning and layout should be made for construction of additional garages for cars to an extent of 25% of the number of residential units.
  6. In the case of double storied quarters, cycle or scooters sheds shall not be provided. Also no Scooter/Cycle sheds will be provided in Mumbai and Kolkata.
  7. In case of main buildings, areas for staircase/circulation are based on a stair width 3'-6". Where bye-laws require more width than this, areas to be provided will be increased suitably. For 4 feet wide stair, areas for stair case shall be 6.5 Sq.m.
  8. Where local bye-laws so require, additional area for fire escape staircase will be allowed.
  9. Sanitary pipe shafts open to sky, wherever provided, are not to be included within the standard plinth areas.
  10. Area required for services, such as garbage chutes, electric sub-station, pump room, etc. wherever necessary will be allowed over and above the standard plinth areas.
  11. In multi-storeyed flats, where lifts are necessary, additional areas over and above the standard plinth areas for the different types, will be allowed for the provision of one or more lifts and lift landings.
  12. In the case of construction of four storied and above, in places other than Mumbai and Kolkata, in respect of types I to IV, cycle/scooter sheds may be provided separately or one or more quarters on the ground floor may be earmarked for covered parking of cycles and scooters.
  13. Normally no deviation from the prescribed scales should be made but in case it is desired that any deviation is to be made, this can be done only in semi-urban and rural areas where only single storey construction is involved and proposal for such deviation should be sent to the Ministry of Urban Development for specific clearance.
  14. The public sector enterprises need not follow the scales prescribed by the Ministry of UD but may follow the scales prescribed by the Bureau of Public Enterprises.

**Appendix - 4**  
(Reference Para 4.10)

CPWD-1

CENTRAL PUBLIC WORKS DEPARTMENT

Estimate No. \_\_\_\_\_ for \_\_\_\_\_  
State \_\_\_\_\_ (Central PWD Code, Paragraph) \_\_\_\_\_  
Branch \_\_\_\_\_  
Division \_\_\_\_\_  
Name of work \_\_\_\_\_  
Fund \_\_\_\_\_  
Major Head \_\_\_\_\_  
Minor Head \_\_\_\_\_  
Detailed Head \_\_\_\_\_

**Note:** The entries against each of the above should be made in accordance with the classification prescribed in para 3.1.8 of CPWA Code.

Estimate framed by ..... Engineer ..... of  
the probable cost of .....

**REPORT**

**Appendix - 7**  
(Reference-Para 4.20)  
**PROFORMA - 1**  
**LEVELLING**

1. Name of Project
2. (a) Reference to administrative approval and expenditure sanction and their amounts.  
(b) Provision for levelling.
3. (a) Amount of detailed estimate  
(b) Rate per square metre in the detailed estimate and how does it compare with provision in administrative approval.

***Part I Engineering Appreciation***

4. (a) Total Area to be levelled  
(b) General description of site  
(c) Are there any low areas which may be left green or developed as lakes or ponds? If so, can earth for filling be made available from such development?
5. (a) Classification and nature of soil  
(b) Result of trial bores, if any.  
(c) Exact classification of the different strata, if rocky.  
(d) Possibility of blasting, keeping in view local bye laws and proximity of important buildings.  
(e) Has necessary credit for hard rock been allowed?
6. (a) Are the proposed formation levels such as cutting and filling balanced.  
(b) (i) Site from where earth is to be brought and its lead, in case of excess filling.  
(ii) Amount involved.  
(iii) Royalty payable, if any.  
(c) In case of excess cutting:  
(i) Site for the disposal of surplus earth  
(ii) Extra lead and amount involved  
(iii) Possibility of selling the earth
7. Levels of the adjoining sites, roads and buildings as compared to the site being levelled.
8. Do the proposed formation levels obstruct the existing natural drainage?
9. (a) Are any terraces proposed to economise on earth work?  
(b) If so, do the proposals have concurrence of Town Planner, Architect, Director of Horticulture?
10. Have the proposals for development/layout been approved by local authorities?

***Part II Materials***

11. Special T & P like heavy earth moving machinery needed for the execution of the project.

**PROFORMA - 2**  
**FILTERED WATER SUPPLY**

1. Name of the project
2. (a) Reference to administrative approval and expenditure sanction and their amounts.  
(b) Provision for ancillary works such as overhead reservoirs, pumps, etc.
3. (a) Amount of detailed estimate  
(b) Rate per sq. metre in the detailed estimate and how does it compare with provision in administrative approval.

**Part I-Engineering Application**

4. Area covered (Give details of areas covered if any, which have not been provided for in the A/A, future extension, etc.)
5. (a) Population  
(b) Basis of assessment.  
(c) Future increase
6. (a) Source of Water Supply  
(b) Has permission of the local body to tap water from their source been obtained?  
(c) Will sufficient quantity be available for areas under consideration?  
(d) Distance of the source from the periphery of the Scheme.  
(e) Brief description of the system of water supply from intake to the distribution stage.
7. (a) Rate of supply with break-up showing allowance for industrial, horticulture and other uses.  
(b) Is unfiltered water supply available?  
(c) If not what, and on what basis, provision has been made for extra water required for lawns, parks etc.
8. (a) Pressure available at source.  
(b) If required pressure is not available state proposals to augment it.
9. Design formula adopted, value of the co-efficient of rugosity adopted in design.
10. Layout of mains  
(a) Closed ring or tree type pattern with dead ends (Give reasons for choice).  
(b) Type of buildings and numbers of storeys recommended.  
(c) Minimum head available in the distribution system; and is it suitable?  
(d) Has minimum size of pipes required as per rule of the local body and Chief Fire Officer been provided?
11. Has the Chief Fire Officer been consulted with regard to the number of fire hydrants, their location and type.
12. Capacity and design particulars of overhead tanks, sumps, wells, pumps etc.
13. Has adequate provision of sluice valves, reflux valves, air valves, scour valves and public hydrants been made?
14. Have the lines been taken sufficiently deep to keep the air valve spindles flush with the ground level?
15. Has provision been made for laying the pipe or digging the trenches under sub-soil water level?
16. Is cutting through rock involved?
17. Has provision been made for crossing roads and nallahs, where necessary?
18. Are there any obstructions such as transmitting station, aerodrome, etc. which necessitate diversion?

**Part II Materials**

19. Requirements of different sizes/type of pipes and specials and method of procurement.
20. Requirements of pig lead.
21. Have requirements of pumps and accessories been determined in consultation with the Electrical Engineer? Give details.
22. Requirements of other materials/tools and plants.



**PROFORMA - 3**  
**UNFILTERED WATER SUPPLY**

1. Name of the project
2. (a) Reference to administrative approval and expenditure sanction and their amounts  
(b) Provision for unfiltered water supply  
(c) Provision for ancillary works such as overhead reservoirs, pumps, etc.
3. (a) Amount of detailed estimate  
(b) Rate per sq. metre in the detailed estimate and how it compares with provision in administrative approval.

**Part I-Engineering Appreciation**

4. Total area of development scheme
5. Area of grassy lawns.
6. Basis of working out requirement of water needed for horticultural purpose.
7. Source from which the unfiltered water is proposed to be tapped.
8. (a) Is the water suitable for horticultural purposes? Has this been ascertained from laboratory tests?  
(b) Degree of salinity if the water is saline.
9. If supply is proposed to be from existing unfiltered/filtered water mains  
(a) Have the mains got the capacity to supply the required quantity?  
(b) Is the pressure in the existing mains enough to serve the area.
10. If the source of supply is from wells/tube wells indicate:  
(a) Possibility of pumping from existing open wells; if any.  
(b) Feasibility of digging open wells.  
(c) Possibility of putting tube wells, if open wells are not suitable.  
(d) Exploratory work done earlier in the proximity of the area to determine feasibility of providing wells/tube-wells.
11. Have the development/layout proposals been approved by local authorities?
12. Formula adopted for designs, value of coefficient of rugosity adopted in designs.
13. Layout of mains:  
(a) Closed ring pattern or tree type with dead ends.  
(b) Reason for choice  
(c) Minimum head available in the distribution system and is suitable?  
(d) In case fire hydrants have been provided in unfiltered water lines, has the Chief Fire Officer been consulted with regard to the number of fire hydrants, their location and type.
14. Capacity and design particulars of overhead tanks, sump wells, pumps. etc.
15. Has adequate provision of sluice valves, reflux valves, air valves, scour valves been made?
16. Have the line been taken sufficiently deep to keep the sluice valves spindles flush with the ground level?
17. Has provision been made for laying the pipe line or digging the trenches under sub-soil water level?
18. Is cutting through rock involved?
19. Has provision been made for crossing road and nallahs, where necessary.
20. Are there any obstructions such as transmitting station, aerodrome, etc. which necessitate diversion?

**Part II Materials**

21. Requirement of different sizes/types of pipes and specials and method of procurement.
22. Requirement of pig lead
23. Have requirements of pumps and accessories been determined, in consultation with the Electrical Engineer? Give details.
24. Requirement of any other materials/tools and plants.

**PROFORMA - 4  
SEWERAGE**

1. Name of Project
2. (a) Reference to administrative approval and expenditure sanction and their amounts.  
(b) Provision for sewerage.  
(c) Provision for ancillary works such as pumps, sumps, pump houses connection to existing ducts, septic tanks, etc.
3. (a) Amount of detailed estimate.  
(b) Rate per sq. metre as per the detailed estimate and how it compares with provision in administrative approval.

**Part 1 Engineering Appreciation**

4. Area covered (Give details of areas covered, if any, which have not been provided for in A/A; future extensions, etc.)
5. (a) Population.  
(b) Basis of assessment.  
(c) Future increase.
6. Sewers
  - (a) Shape of Sewer
  - (b) Minimum size used
  - (c) Slopes adopted.
  - (d) Self cleansing velocity assumed and at what depth of flow.
  - (e) If self-cleansing velocity not possible, have flushing arrangements been made?
  - (f) Minimum velocity attained in the design.
  - (g) Is designed discharge three times the average discharge.
  - (h) Brief description of the system of sewerage.
  - (i) Design formula and the coefficient of rugosity adopted.
7. Manholes :
  - (a) Minimum depth of starting manholes.
  - (b) Types of manholes (rectangular, circular, arch type).
  - (c) Types of manhole covers used (whether heavy, medium, light) and principles governing their use.
  - (d) Has location of manhole been fixed on the consideration that :
    - (i) Each manhole should serve maximum number of plots.
    - (ii) Manholes provided at bends-change in diameter and gradients.
  - (e) Maximum distance between two manholes.
  - (f) Distance of vent shafts; has provision for these been made in the estimates?
  - (g) Has provision been made for drop connections?
  - (h) What is the maximum velocity in the sewer? (upto 2.44 meters per second avoids erosion of invert).
8. Disposal
  - (a) Arrangement for disposal of sewerage.
  - (b) Has permission of local body been sought if discharge is led into an existing sewer direct?
  - (c) Distance of the existing duct from the last manhole in the area.
  - (d) Do the invert levels permit connection to existing duct by gravity? If not, has provision been made for pumping the sewerage?
  - (e) If pumping is necessary :
    - (1) has provision been made for sumps, pumps, pump house and rising mains?
    - (2) is electricity available?
    - (3) is arrangement for prime mover in an emergency breakdown required?
  - (f) Details of sumps with regard to capacity, diameter.
  - (g) (1) Details of pumps with regard to capacity, horse power, type of pumps (vertical or horizontal) etc.  
(2) Efficiency factor assumed in the design of pumps.

- (h) Details of pump house, rising mains, etc.
  - (i) In case connection to existing duct has not been provided :
    - (1) has provision for septic tank, treatment plant, etc. been made?
    - (2) have soak pits or dispersion trenches been provided?
    - (3) What is the type of soil?
  - (j) Maximum and minimum depths below ground level of the ground water table.
  - (k) Arrangements for disposal of treated effluents.
  - (l) If sewers are to be laid in filling or across nallahs, have supports to firm ground been provided?
  - (m) Have sewers and water mains been planned on opposite sides of the road?
  - (n) Where sewers cross nallah, arrel etc. has the design been appropriately made?
  - (o) In case of stage development schemes or where delay in the procurement of equipment is anticipated, have temporary arrangement been made for disposal work?
9. (a) Has provision been made for concreting upto haunches or alround?  
 (b) if so, on what basis?
10. Is provision of excavation under sub-soil was necessary?
11. Has provision been made for laying concrete and sewers under sub-soil water?
12. Is cutting through rock involved?
13. Has provision been made for crossing roads and nallahs?

**Part II Materials**

- 14. Requirements of different types/sizes of pipes and specials.
- 15. Requirements of different types of manhole covers.
- 16. Have Requirements of pumps been determined in consultation with the Electrical Engineer?
- 17. Requirements of any other materials/tools and plants.

**PROFORMA - 5**  
**CITY ROADS**

1. Name of projects.
2. (a) Reference to administrative approval and expenditure sanction and their amounts.  
(b) Provision to cover the portion of work for which detailed estimate has been prepared.
3. Amount of detailed estimate.

**Part I Engineering Appreciation**

4. Reference to approval of the layout and alignment indicating inter-competent authority.
5. Justification for the choice of the alignment indicating inter-alia obligatory points.
6. (a) Standards to be followed for :
  - (i) Cross-section of the road (indicating number of lanes).
  - (ii) Class of road.(b) Have suitable road junctions and crossings been designed and provisions made in the estimate?
  - (c) Has provision been made for road signs?
7. Nature of subgrade and subgrade preparation suggested.
8. Earth works : cutting and filling balance, if not, what, is the :
  - (a) Quantity of surplus/deficit earth.
  - (b) Site and lead for disposal of surplus earth (in case of excess cutting).
  - (c) Source of obtaining earth required and lead (in case of excess fillings).
  - (d) Royalty payable, if any.
9. Methods and salient features of road crust.
10. (a) Soling  
(b) Wearing coat  
(c) Surface treatment.
11. (a) Cross section between building lines showing the hard crust edging (if any), berms provisions for future widening (if any), storm water drains and their outlets and other services both to be provided immediately and in the near future.  
(b) Existing services, if any.
12. Details of bridges including class of loading for which they have been designed, culverts and other structures provided.
13. Details of land acquisition.
14. Phasing of the project.
15. (a) Rate of cost
  - (i) per unit length for different types of roads.
  - (ii) per unit of the area developed.(b) (i) Total cost of the work.  
(ii) Comparison of total cost with respect to provision in preliminary estimate.

**Part II Materials**

16. Soling stone
  - (a) Total quantity.
  - (b) Name of quarry.
  - (c) Distance of quarry from site (Does scheduled rate for supply of soling stone indicate this lead? If not, has provision been made for extra lead?)
  - (d) Market rate at quarry.
  - (e) Prevalent carriage charges.
17. Stone ballast
  - (a) Total quantity.
  - (b) Name of quarry.
  - (c) Distance of quarry from site (Does schedule rate for supply of stone ballast indicate this lead?)
  - (d) Market rate at quarry.
  - (e) Prevalent carriage charges.



**PROFORMA - 6**  
**HORTICULTURAL WORKS**

1. Name of the project.
2. (a) Reference to administrative approval and expenditure sanction.  
(b) Amount provided for horticulture work.
3. Amount of detailed estimate.

***Part-I Horticulture Appreciation***

4. Brief scope of the work contemplated.
5. Total area of the development scheme.
6. Area of the garden/greenery.
7. Detailed landscape plan of the area quoting SA(TP)'s letter no. approving it.
8. Type of soil.
  - (a) Nature (i) Saline or Alkaline (ii) Full of kankar, Moorum or building rubbish.
  - (b) P.H. Value.
9. (a) Source of supply of earth if top soil is proposed to be replaced by good sweet earth.
  - (b) Site for dumping the replaced earth.
  - (c) Proposal, if any, to apply cowdung or fresh cowdung to 1.5m - 4.5m depth in case the soil is alkaline.
  - (d) Is the area duly levelled for the development of horticulture works.

***Part-II Drainage***

10. Is the drainage from roof provided in such a way as to drain off the flow of rain water on the back of the house and not on the lawn?
11. Are the levels and slopes of bajri paths and lawns suitably adjusted?
12. Do levels permit a slope in the lawns between 1/12 and 1/300?
13. Is a storm water drain available in the vicinity to catch rain water from the lawns?
14. Suggestions, if any, for improving drainage of lawns.

***Part-III Water Supply***

15. (a) Is the unfiltered water supply proposed to be tapped from existing unfiltered water mains?
  - (b) Is adequate supply of unfiltered water available?
  - (c) Are tube-wells proposed to be installed (It should be kept in mind that 3000 gallons of water per acre of green per day will be required).
16. Have unfiltered water mains and distributaries been laid and hydrants installed?

***Part-IV External Services***

17. Have all the external services including roads, storm water drains, sewerage and electric cables/wires been provided before horticultural works are taken up?

**PROFORMA - 7**  
**ELECTRICAL DISTRIBUTION LINES**

1. Name of Project
2. (a) Reference to administrative approval and expenditure sanction and their amounts.  
(b) Provision to cover the component part for which the detailed estimate has been prepared.
3. Amount of detailed estimate.

**Part-I Engineering Appreciation**

4. Brief specification of the system\*
5. Average rate per sq. metre of (i) detailed estimate. (ii) Preliminary estimate.
6. (a) Agency for execution  
(b) Departmental charges
7. Special T&P required.
8. (a) Is supply proposed to be taken from the existing L.T. Net-work of the supply authority ?  
(b) If yes, is element of cost of service connection taken in estimate, based on estimate from the supply authority ?  
\* (c) If L.T. supply not available, how is electric supply proposed to be obtained ?
9. Provision for future expansion and its extent.
10. Tariff (HT bulk, L.T. Bulk or retail L.T.) applicable.
11. In case of bulk supply, has provision been made for  
(a) Equipment ?  
(b) Buildings for sub-stations and switching stations?
12. Has architect been consulted for local switching of 11(b)?
13. Is stand-by required, if yes, has provision been made for it?
14. Statutory requirements of overhead or underground cables.
15. Details of phasing, if any, of different portions of work in consonance with the progress of civil work.
16. Special remarks, if any.

\* Give a brief description of the system as in the example below :-

“.....Supply is proposed to be taken from the L.T. feeders of the local electricity undertaking by means of over-head/underground line. The distribution is proposed to be carried out by over-head lines carried on PCC/Steel tubular/rail poles, Copper/Aluminium conductors of .....size will be run for the main roads and of/.....size on the other roads. For roads having a width of ..... metres the lines will be taken alongwith central verge with double armed brackets for lighting fixtures. For roads with a width of ..... metres, a staggered layout will be adopted. .... Also indicate the arrangements adopted for sectionalising and isolating portions of the net work for the purposes of maintenance and repairs”.

\* In case of composite lines carrying street light and L.T. distribution line, the basis of allocation of cost to street lighting and L.T. distribution lines should be given.

**PROFORMA - 8  
STREET LIGHTING**

1. Name of Project.
2. (a) Reference to administrative approval and expenditure sanction and their amounts.  
(b) Provision to cover the component for which this detailed estimate has been prepared.

**Part I- Engineering Appreciation**

3. Brief specification of the system.
  4. Average rate per square metre of (i) detailed estimate (ii) preliminary estimate.
  5. (a) Agency for execution.  
(b) Departmental charges.
  6. Special T&P required.
  7. Brief particular of source of power supply.
  8. Provision of future expansion and its extent.
  9. Tarrif applicable.
10. Phasing of different portions of the work in consonance with the progress of civil work.
11. Has the location of poles been decided in consultation with Director of Horticulture and the landscape architect?
12. Special remarks, if any.

@ Give a brief description of the system as in the example below:

“..... Incandescent High pressure mercury vapour/fluorescent lamps will be provided on... roads. The type of fittings shall be enclosed open/semi-open tubes and these will be suspended/fixed on brackets. The system of wiring will be with over-head copper/aluminium conductors of sizes/connection to poles will be given by means of underground cables of ...size and joints shall be provided in a suitable recess at the bottom of the poles. RCC/Steel tubular.....types poles will be used. For the major roads of widths.....poles will be located on the central verge with double arc brackets for the lighting fixtures. For minor roads, poles will be located in a staggered.....pattern with an average spacing of..... An average illumination of.....is arrived at on the main roads.

Also indicate scheme of controlling lights, i.e. switching equipment”.

In case of composite lines carrying street light and L.T. distribution lines, the basis of allocation of costs to street lighting and distribution lines should be given.

**Part II-Information Regarding Procurement of Materials**

Sl. No.	Principal items to be supplied by Govt. for use on the work	Available with central stores or to be indented on DGS&D	Items to be especially procured for the work. Details of procurement		Foreign Exchange required
			Sources	Time	
1	2	3	4	5	6

- N.B.**
1. For major and important items give full technical description of specification in column 2.
  2. For items to be imported, give a separate itemwise note on justification and the inescapability of expenditure on foreign exchange.
  3. If any special difficulty is likely to be encountered in procuring important materials, give a note suggesting steps that may be taken to overcome them.



**PROFORMA-9**  
**TOWN PLANNING AND HOUSING SCHEME**

(The following information should be available before a town planning scheme can be prepared)

1. Key plan of the area showing.
  - (a) Location of site in relation to adjoining land uses.
  - (b) Types of development on adjoining plots.
  - (c) Number of storeys (on adjoining plots).



**Appendix - 9**  
(Reference Para 7.50)

**PROFORMA FOR WRITE OFF OF LOST MBs**

1. Serial number of the MB
2. To whom issued.
3. The date on which the M.B. was lost.
4. Details of FIR lodged with the police.
5. From whose custody it was lost.
6. Detailed circumstances leading to its loss.
7. What efforts were made to trace the M.B.
8. By whom the last measurements were recorded.
9. Whether the measurements have been checked upto the required %age by the Superior Officer as required under the rules. If not why?
10. If any register is maintained to watch the movement of the M.B.
11. Whether the M.B. contained the details of any work for which payment has not been made or all the works have been finalised.
12. Whether any audit objection or contractors' dispute relating to the M.B. is pending and if so nature thereof and how it is proposed to settle up.
13. Whether work is susceptible of measurement again, if not, what are the basis on which the AE proposes to make final payment for the outstanding bills.
14. Whether the EE is satisfied that by writing of fresh measurements on the basis of other subsidiary record, if any, the Government will not be put to any loss and there will be no dispute from any quarter. If no, what steps be suggested to safeguard against any such shortcoming.
15. Details of disciplinary action taken against the persons responsible for the loss.
16. Details of remedial measures taken to avoid recurrence of such cases.
17. Any other remarks.

Executive Engineer  
..... Division, CPWD

**Appendix - 10**  
(Reference-Para 9.7)

**AUTHORITIES EMPOWERED TO PREPARE, VERIFY AND PASS THE BILLS**

Bills to be paid	Prepare	Authority competent to Examine or Verify	Pass for payment
1	2	3	4
1. Wages of labourers, Engineer current or arrears except those mentioned in item 2 below	Junior Engineer	Asstt. Engineer/ Asstt. Ex. Engineer	Executive
2. Unpaid wages removed from the Account of a work in respect of muster roll	Executive Engineer/ AE/AEE/JE	Executive Engineer/ AE/AEE/JE	Executive
3. Bills of work charged Engineer/AEE staff condition that of WC Staff appd. by authority checked Office.	Asstt. Engineer/AEE	Asstt. Engineer/AEE	Asstt. subject to employment in question is the competent and bill is pre- by the Divl.
4. Petty payments for work Holder. done or supplies made not exceeding Rs.150/-	Junior Engineer	Asstt. Engineer/AEE/JE if an Imprest holder	Imprest-
5. Running and final bills stationed away of contractors or supp-Qrs. liers involving work done the cash or supply made to the maintained by value of Rs.10,000/- and less, but exceeding Rs.150/- against agreement entered into by themselves.		Asstt. Engineer/AEE/JE	AE/AEE from Divl. Hd. Provided that book is him
6. Running and final bills		Asstt. Enigneer/AEE	Ex. Engineer





**Appendix - 13**  
(Reference para 12.2)

**STATEMENT SHOWING THE RATES OF DEPARTMENTAL CHARGES LEVIABLE ON  
CPWD WORKS EFFECTIVE FROM 1.6.84 AND THEIR BREAK-UP**

Objectives of Work	All Maintenance works and minor works costing up to Rs. One lac.	Constn. works costing up to Rs. Two crores	Constn. works costing bet- ween Rs. Two and Five crores	Constn. works costing more than Rs. Five crores
1	2	3	4	5
<b>(A) Establishment Charges</b>				
1. Preparation of preliminary sketches	½%	¼%	¼%	¼%
2. Preparation of detailed working drawings	1%	¾%	½%	¼%
3. Preparation of preliminary estimates	¼%	¼%	¼%	¼%
4. Preparation of detailed Estimates	½%	¾%	½%	¼%
5. Preparation of structural designs	1%	1%	¾%	¾%
6. Execution	19-¼ %	7-¾%	4-¾%	4-¼%
Total	22-½%	10-¾%	7%	6%
<b>(B) T &amp; P (Machinery Equipment)</b>	¾%	¾%	½%	½%
<b>(C) Audit and Account</b>	¼%	¼%	¼%	¼%
<b>(D) Pensionery</b>	¼%	¼%	¼%	¼%
	23-¾%	12%	8%	7%

**Notes:**

1. In the case of works for CGHS where architectural services are provided by Central Design Bureau of CGHS necessary rebate @ 1% has to be given in Estt. Charges.
2. The indicated rates of tools and plants are exclusive of the cost of special tools and plant, the cost of which will be charged to the estimate for the work.
3. The DDA will be allowed a rebate in the departmental charges on account of preparation of preliminary sketches, and detailed architectural drawings relating to their works as per the figures given in the break up of departmental charges.
4. No D.C. for Government works and those of autonomous bodies fully funded by Central Govt. are to be added while preparing P.E.
  - (i) This comes into force with effect from 27.9.2001.
  - (ii) The levy of D.C. on current works including those to be sanctioned will be governed as per provision in the sanctioned estimate.
  - (iii) It should be ascertained whether an Autonomous Body is fully funded or not by Central Govt. by obtaining a letter from the head of such an undertaking or from the head of finance department of the Undertaking that it is fully funded by the Govt.

**APPENDIX-14**  
(Reference para 12.16)

**DEPARTMENTAL CHARGES FOR COAL MINES WORKS**

For Works costing up to Rs. Two Lacs	For works costing more than Rs. Two Lacs
1. Preliminary Estimates $\frac{1}{4}$ per cent per cent on	$\frac{1}{4}$ per cent on first Rs. Two Lacs plus $\frac{1}{8}$ amount that exceed Rs. Two Lacs
2. Detailed Estimates $\frac{3}{4}$ per cent. cent on	$\frac{3}{4}$ per cent on first Rs. Two Lacs plus $\frac{1}{2}$ per amount that exceeds Rs. Two Lacs



**Appendix - 15**  
(Reference para 12.22)

**FEEES FOR CONSULTANCY SERVICES**

- |  |    |
|--|----|
| (a) Planning                           | 4% |
| (b) Construction Management            | 5% |
| (c) Visits of CPWD Officers from India | 1% |

For planning and designing work, the following charges shall be levied:

- |                                       |   |
|---------------------------------------|---|
| (i) Development of Master Plan        | Rs.3210/- per hectare                         |
| (ii) Architectural Plans and drawings | 3% for original work<br>1/2% for repetition   |
| (iii) Structural designs and drawings | 1% for original work.<br>1/2% for repetition. |

**Appendix - 16**  
(Reference para 15.12)

**STANDARD SCHEDULE OF CONTRACT PERIODS FOR BUILDINGS WORKS**

S. No.	Type of building	Contract period (in months) for total plinth area of buildings in all floors including basement					
		Upto 250 Sqm.	251 to 500 Sqm.	501 to 1000 Sqm.	1001 to 2500 Sqm.	2501 to 5000 Sqm.	Every additional 2500 Sqm.
1	SINGLE STOREYED LOAD BEARING STRUCTURES	4	6	8	10	11	1
2	SINGLE STOREYED FRAMED STRUCTURES	5	7	9	11	12	1

Extra for every additional storey (for load bearing as well as framed structures): 1.5 months

**Notes:**

1. This Schedule is applicable for works where construction of buildings of total plinth area upto 25,000 sqm. is involved. For bigger works, the NIT approving authority shall decide the contract period based on the merits of the individual case.
2. This schedule is to serve as a general guide for fixing contract periods for building works under normal conditions, in large cities like Delhi, Kolkata, Chennai etc. where the building trade is well organized. For small or out of the way places where normal facilities for construction of buildings may be lacking, contract periods should be fixed suitably after taking into consideration the local conditions, subject to a maximum increase in time period of 33-1/3 %.
3. When the contract period runs through monsoons, extra period may be allowed for the same on the assumption that progress during monsoons is about half of the progress in fair weather. For example in Delhi, where the monsoons last for about 2 months one month may be added, and in places like Kolkata and Mumbai, where monsoons last four months, two months may be added.
4. Where a basement is to be provided, an extra period of 3 to 4 months may be added depending on the extent of basement and depth of sub-soil water table.
5. This schedule takes into account the normal building specifications as per standard CPWD Plinth Area Rates. Extra period may be allowed for works having special features such as (i) domes, shells and coffered roofs, (ii) extensive stone work, stone veneering and sculpturing and (iii) special finishes and architectural feature.
6. In case of works consisting of number of small units, such as a group of residential quarters, scattered over a large area, an extra period of 1 to 3 months may be allowed depending on the number of units and their disposition.
7. When work is to be executed in congested areas and on small sites, the period may be suitably increased because of difficulties in storage of building materials.
8. This schedule takes into account about 3 months for foundations in the case of multi-storeyed buildings of five or more storeys. In case of buildings on piles, normally the work of the piles would be executed through a separate contract and the time required for the superstructure should be fixed by reducing the period determined on the basis of the schedule by about 3 months.
9. Contract periods for internal and external services should be fixed according to the programme for completion of the building taking into consideration the local conditions.
10. For particular cases of urgent nature or cases where completion period is fixed and cannot be postponed and cases of national importance, workable time period may be fixed preferably by holding a pre-bid conference with the prospective tenderers.

**Appendix - 17**

(Refer Para No. 16.2.3)

**DRAFT SPECIMEN OF PRESS NOTICE TO BE ISSUED AS A COMPOSITE  
ADVERTISEMENT**

“The E.E. .... Division, CPWD ..... invites on behalf of the President of India sealed item rate/percentage rate tenders from approved and eligible contractors of CPWD and those of appropriate list of ..... upto ..... on ..... for the following works at .....

S. No.	Name of work	Estimated cost	Earnest money	Time allowed	Last date of receipt of application and time	Time and date of opening of the tender
1.						
2.						
3.						

The earnest money should be deposited along with the tenders in the appropriate form as given in P.W.D. 6 attached with the tender documents.”

In case of two bid tender where financial bid and technical bid are framed separately or in such other cases the above specimen may be suitably modified before issue.

Any officer violating the above instructions particularly regarding observing the economy will make himself liable for disciplinary action and matter dealt with seriously. Issue of above instructions may be taken seriously by all concerned.

Attention is also drawn to the economy instructions given in para 16.2.4.

**Appendix - 18**  
(Para 16.5.2 & 16.5.7)

**CRITERIA FOR PRE-QUALIFICATION OF CONTRACTORS AND EVALUATION OF PERFORMANCE**

1. The criteria for pre-qualification to be inserted in Section-II (Information and Instructions for Applicants) and Section-III (Pre-qualification Information) of the Pre-qualification document and in the Press Notice shall be decided on the following lines:

**(A) Para 2(a) of the Invitation to pre-qualify, 7.1 of Section-II and Form 'B' of Section-III**

The 'month' shall be the month previous to the one in which the applications are invited.

**(B) Para 2(a) of the Invitation to pre-qualify and Column 7.1 of Section-II**

Experience of having successfully completed works during the last 7 years ending last day of the month previous to the one in which applications are invited:

Three similar completed works (at least one of them should be in Central Government/Central Autonomous Bodies/Central Public Sector Undertakings) costing not less than the amount equal to 40% of estimated cost put to tender,

Or

Two similar completed works, costing not less than the amount equal to 50% of the estimated cost put to tender

Or

One similar completed work of aggregate cost not less than the amount equal to 80% of the estimated cost.

"Similar nature of work" as proposed by the Chief Engineer shall be got approved from the ADG.

**(C) Para 2(b) of the Invitation to pre-qualify and 7.2 of Section-II**

Turnover: Average annual financial turn over on construction works should be at least 30% of contract value, during last 3 years ending 31<sup>st</sup> March of the previous financial year.

**(D) Para 2(c) of the Invitation to pre-qualify and 7.3 of Section-II**

Profit/loss: The date to be filled in this column should be 31<sup>st</sup> March of the previous financial year.

**(E) Para 2(d) of the Invitation to pre-qualify and 7.5 of Section-II**

Solvency certificate: The contractor should have a solvency of the amount equal to 40% of the estimated cost of the work.

**(F) Para 7.8 of Section-II**

Performance reports: The performance report of the contractor, to be obtained by him from client/EE in sealed cover and enclosed with the pre-qualification document, should be on Form 'D'. Before taking a final decision in the matter, the authority competent for pre-qualification or the evaluation committee constituted by him or any other representative of him, shall inspect the works of those applicants who otherwise pre-qualify or confidentially obtain reports from their client/EE.

**(g) Para 8.1.2 of Section-II**

Scoring Method for Evaluation: The scoring for evaluation mentioned in this column shall be done as given in Annexure-I. **This shall not to be made a part of the Pre-qualification document.**

2. For all works Pre-qualification criteria shall be based on above guidelines. However, for recorded reasons ADG may insert experience of particular categories of items like Stone Work, Metal False Ceiling, Basements, Form Works etc. as an additional Pre-qualification condition.
3. The above Pre-qualification criteria shall be applicable for normal Civil & Electrical Works in CPWD. For specialised works contained in section 17.3 of CPWD Works Manual, the Pre-qualification criteria shall be as under:
  - (a) Details and expertise should be appended with the applications for issue of tender papers by intending tenderers.
  - (b) Pre-qualification criteria should be indicated in the press notice and NIT for specialised items of works. The criteria may be decided by the officer approving the NIT.
  - (c) The Pre-qualification criteria could be either in monetary terms and/or in terms of quantum of work, as may be decided by the authority approving the NIT.
4. For recorded reasons ADG shall have powers to Pre-qualify the Contractors for any particular work irrespective of its monetary value.
5. The Department reserves the right to restrict the list of approved contractors if too many applications are received satisfying the basic PQ criteria. Approval of DG(W) will be necessary for further restricting the list of pre-qualified contractors, based on request from clients.

**ANNEXURE - I**

**CRITERIA FOR EVALUATION OF THE PERFORMANCE OF CONTRACTORS FOR PRE-QUALIFICATION**

<b>Attributes</b>		<b>Evaluation</b>
(A) Financial strength criteria	- 20 marks	(i) 60% marks for minimum eligibility
(i) Average annual turn over	- 12 marks	(ii) 100% marks for twice the minimum
(ii) Solvency Certificate	- 8 marks	criteria or more
		In between (i) & (ii) — on pro-rata basis
(B) Experience in similar class of works criteria	(20 marks)	(i) 60% marks for minimum eligibility
		(ii) 100% marks for twice the minimum
		criteria or more
		In between (i) & (ii) — on pro-rata basis

(C) Performance on works (40 marks)

Parameter	Calculation For points	Score	Maximum Marks
1. Time over Run (TOR)			25
	if TOR =	1.00      2.00      3.00	>3.50
(a) Without levy of compensation		25      20      10	0
(b) With levy of compensation		25      10      5	0
(c) Levy of compensation not decided		25      15      5	0

TOR = AT/ST, where AT = Actual Time; ST = Stipulated Time

**Note:** Marks for value in between the stages indicated above is to be determined by straight line variation basis.

2. Quality			15
	(i) Very Good	15	
	(ii) Good	10	
	(iii) Fair	5	
	(iv) Poor	0	

(D) Personnel and Establishment (Max. 10 marks)

	(i) Graduate Engineer	3 marks for each
Max. 4 marks	(ii) Diploma holder Engineer	2 marks for each upto
Max. 5 marks.	(iii) Supervisory/Foreman	1 mark for each upto

(E) Plant & Equipment (Max. 10 marks)

Max. 2 marks	(i) Hooper Mixer	1 mark for each upto
Max. 2 marks	(ii) Vibrator	1 mark for each upto
Max. 4 marks	(iii) Truck/Tippers	2 marks for each upto

800 sqm

(iv) Steel shuttering

2 marks for each upto

upto maximum 4 marks

(v) Pumps

Maximum 1 mark

(vi) Special Equipment (Marks to be fixed as per requirement).

**PRE-QUALIFICATION DOCUMENT FOR CPWD WORKS**

Press Notice  
Central Public Works Department  
**Invitation to Pre-Qualify**

1. The Executive Engineer ..... on behalf of the President of India invites pre-qualification applications from firms/contractors of repute for the following work:

S.No.	Name of work	Approx. cost	Period of completion
-------	--------------	--------------	----------------------

2. Contractors who fulfil the following requirements shall be eligible to apply. Joint ventures are not accepted.
- (a) Should have satisfactorily completed three works (at least one of them in Central Government/Central Autonomous Body/Central PSU) each costing Rs. .... or one work costing Rs..... of the following nature during the last seven years ending last day of the month .....  
.....
  - (b) Should have had average annual financial turn over of Rs. .... on construction works during the last three years ending 31st March .....
  - (c) Should not have incurred any loss in more than two years during the last five years ending 31st March .....
  - (d) Should have a solvency of Rs. ....
3. Desirous contractors may obtain pre-qualification document on request in writing from the Executive Engineer ..... on payment of Rs.250/- in cash, upto 3.30 PM on .....
4. Application for pre-qualification supported by prescribed annexures should be submitted in sealed envelope duly superscribed with the name of work and due date of opening. The applications will be received upto 3.00 PM on ..... and will be opened by the Executive Engineer or his authorised representative in his office on the same day at 3.30 PM.
5. If any information furnished by the applicant is found incorrect at a later stage, he shall be liable to be debarred from tendering/taking up of work in CPWD. The department reserves the right to verify the particulars furnished by the applicant independently.
6. The department reserves the right to reject any prospective application without assigning any reason and to restrict the list of pre-qualified contractors to any number deemed suitable by it, if too many applications are received satisfying the basic PQ criteria.

Executive Engineer

.....



**SECTION I**  
**BRIEF PARTICULARS OF THE WORK**

1. Salient details of the work for which pre-qualification applications are invited are as under:
- | S.No. | Name of work | Approx. cost | Period of completion |
|-------|--------------|--------------|----------------------|
|       |              |              |                      |
2. The work is situated at .....
3. General features and major components of the work are as under:
- (i)
  - (ii)
  - (iii)
  - (iv)
4. Work shall be executed according to General Conditions of Contract for Central P.W.D. Works available separately at printer's outlets. The applicant may obtain the address of the outlets from the Executive Engineer.

**SECTION II**  
**INFORMATION & INSTRUCTIONS FOR APPLICANTS**

- 1.0 General:**
- 1.1 Letter of transmittal and forms for pre-qualification are given in Section III.
- 1.2 **All information called for in the enclosed forms should be furnished against the relevant columns in the forms. If for any reason, information is furnished on a separate sheet, this fact should be mentioned against the relevant column. Even if no information is to be provided in a column, a "nil" or "no such case" entry should be made in that column. If any particulars/query is not applicable in case of the applicant, it should be stated as "not applicable". The applicants are cautioned that not giving complete information called for in the application forms or not giving it in clear terms or making any change in the prescribed forms or deliberately suppressing the information may result in the applicant being summarily disqualified. Applications made by telegram or telex and those received late will not be entertained.**
- 1.3 The application should be type-written. The applicant should sign each page of the application.
- 1.4 Overwriting should be avoided. Correction, if any, should be made by neatly crossing out, initialling, dating and rewriting. Pages of the pre-qualification document are numbered. Additional sheets, if any added by the contractor, should also be numbered by him. They should be submitted as a package with signed letter of transmittal.
- 1.5 References, information and certificates from the respective clients certifying suitability, technical know how or capability of the applicant should be signed by an officer not below the rank of Executive Engineer or equivalent.
- 1.6 The applicant may furnish any additional information which he thinks is necessary to establish his capabilities to successfully complete the envisaged work. He is, however, advised not to furnish superfluous information. No information shall be entertained after submission of pre-qualification document unless it is called for by the Employer.
- 1.7 Any information furnished by the applicant found to be incorrect either immediately or at a later date, would render him liable to be debarred from tendering/taking up of work in CPWD. If such applicant happens to be enlisted contractor of any class in CPWD, his name shall also be removed from the approved list of contractors.
- 1.8 The pre-qualification document in prescribed form duly completed and signed should be submitted in a sealed cover. The sealed cover superscribed "Pre-qualification document for ..... shall be received by the Executive Engineer, or his authorised representative upto 3.00 PM on ..... Documents submitted in connection with pre-qualification will be treated confidential and will not be returned.
- 1.9 **Prospective applicants may request clarification of the project requirements and pre-qualification document. Any clarification given by the Employer will be forwarded to all those who have purchased the pre-qualification document. No request for clarification will be considered after .....**
- 2.0 Definitions:**
- 2.1 In this document the following words and expressions have the meaning hereby assigned to them..
- 2.2 **Employer:** Means the President of India, acting through the Executive Engineer .....
- 2.3 **Applicant:** Means the individual, proprietary firm, firm in partnership, limited company private or public or corporation.
- 2.4 **"Year"** means "Financial Year" unless stated otherwise.

**3.0 Method of Application :**

- 3.1 If the applicant is an individual, the application shall be signed by him above his full typewritten name and current address.
- 3.2 If the applicant is a proprietary firm, the application shall be signed by the proprietor above his full typewritten name and the full name of his firm with its current address.
- 3.3 If the applicant is a firm in partnership, the application shall be signed by all the partners of the firm above their full typewritten names and current addresses or alternatively by a partner holding power of attorney for the firm. In the latter case a certified copy of the power of attorney should accompany the application. In both cases a certified copy of the partnership deed and current address of all the partners of the firm should accompany the application.
- 3.4 If the applicant is a limited company or a corporation, the application shall be signed by a duly authorised person holding power of attorney for signing the application accompanied by a copy of the power of attorney. The applicant should also furnish a copy of the Memorandum of Articles of Association duly attested by a Public Notary.

**4.0 Final Decision Making Authority.**

The employer reserves the right to accept or reject any application and to annul the pre-qualification process and reject all applications at any time, without assigning any reason or incurring any liability to the applicants.

**5.0 Particulars Provisional**

The particulars of the work given in Section I are provisional. They are liable to change and must be considered only as advance information to assist the applicant.

**6.0 Site Visit**

The applicant is advised to visit the site of work, at his own cost, and examine it and its surroundings to himself collect all information that he considers necessary for proper assessment of the prospective assignment.

**7.0 INITIAL CRITERIA FOR ELIGIBILITY FOR PRE-QUALIFICATION**

- 7.1 The applicant should have satisfactorily completed three works (at least one of them in Central Government/Central Autonomous Body/Central PSU) each costing Rs. .... or two works each costing Rs. .... or one work costing Rs. .... of the following nature during the last seven years ending last day of the month ..... For this purpose, 'cost of work' shall mean gross value of the completed work including the cost of materials supplied by the Govt./Client, but excluding those supplied free of cost. This should be certified by an officer not below the rank of Executive Engineer/Project Manager or equivalent.  
.....  
.....

- 7.2 The applicant should have had average annual financial turn over (gross) of Rs. .... on Civil/Electrical construction works during the last three years ending 31st March ..... This should be duly audited by a Chartered Accountant. Year in which no turnover is shown would also be considered for working out the average.

- 7.3 The applicant should not have incurred any loss in more than two years during the last five years ending 31st March ....., duly certified by the Chartered Accountant.

- 7.4 The bidding capacity of the contractor should be equal to or more than the cost of the work. The bidding capacity shall be worked out by the following formula:

**Bidding Capacity = A\*N\*2-B**

Where,

A = Maximum value of construction works executed in any one year during the last seven years taking into account the completed as well as works in progress.

N = Number of years prescribed for completion of work for which pre-qualification application has been invited.

B = Value of existing commitments and on going works to be completed during the period of completion of work for which pre-qualification has been invited.

- 7.5 The applicant should have a solvency of Rs. .... certified by his Bankers.
- 7.6 The applicant should own construction equipment as per list required for the proper and timely execution of the work. Else, he should certify that he would be able to manage the equipment by hiring etc. and submit the list of firms from whom he proposes to hire.
- 7.7 The applicant should have sufficient number of Technical and Administrative employees for the proper execution of the contract. The applicant should submit a list of these employees stating clearly how these would be involved in this work.
- 7.8 The applicant's performance for each work completed in the last 7 years and in hand should be certified by an officer not below the rank of Executive Engineer or equivalent and should be obtained in sealed cover.

**8.0 EVALUATION CRITERIA FOR PRE-QUALIFICATION**

- 8.1 For the purpose of pre-qualification, applicants will be evaluated in the following manner:

- 8.1.1 The initial criteria prescribed in para 7.1 to 7.5 above in respect of experience of similar class of works completed, bidding capacity and financial turn over etc. will first be scrutinised and the applicant's eligibility for pre-qualification for the work be determined.
- 8.1.2 The applicants qualifying the initial criteria as set out in para 7.1 to 7.5 above will be evaluated for following criteria by scoring method on the basis of details furnished by them.
- |  |                  |
|--|------------------|
| (a) Financial strength (Form 'A')  | Maximum 20 Marks |
| (b) Experience in similar nature of Work during last five years (Form 'B') | Maximum 20 Marks |
| (c) Performance on works (Form 'D')  | Maximum 40 Marks |
| (d) Personnel and Establishment (Forms "E" & "E-I")                        | Maximum 10 Marks |
| (e) Plant & Equipment (Form 'F')   | Maximum 10 Marks |
| Total  | 100 Marks        |

To pre-qualify, the applicant must secure at least sixty percent marks in criteria (a) & (b) above (i.e. Financial Strength & Experience in works of similar nature), fifty percent marks in each of the other criteria and seventy percent marks in aggregate.

The department, however, reserves the right to restrict the list of pre-qualified contractors to any number deemed suitable by it.

- 8.2 Even though an applicant may satisfy the above requirements, he would be liable to disqualification if he has:

- (a) made **misleading or false representation or deliberately suppressed the information** in the forms, statements and enclosures required in the pre-qualification document,
- (b) record of poor performance such as abandoning work, not properly completing the contract, or financial failures/weaknesses etc.

#### **9.0 FINANCIAL INFORMATION**

Applicant should furnish the following financial information:

Annual financial statement for the last five years (in Form "A").

#### **10.0 EXPERIENCE IN WORKS HIGHLIGHTING EXPERIENCE IN SIMILAR WORKS**

- 10.1 Applicant should furnish the following:

- (a) List of all works of similar class successfully completed during the last seven years (in Form "B").
- (b) List of the projects under execution or awarded (in Form "C").

- 10.2 Particulars of completed works and performance of the applicant duly authenticated/certified by an officer not below the rank of Executive Engineer or equivalent should be furnished separately for each work completed or in progress (in Form "D").

#### **11.0 ORGANISATION INFORMATION**

Applicant is required to submit the following information in respect of his organisation (in Forms "E" & "E-I").

- (a) Name & Postal Address, i/c Telephone & Telex Number etc.
- (b) Copies of original documents defining the legal status, place of Registration and principal places of business:
- (c) Names & Title of Directors and Officers to be concerned with the work, with designation of individuals authorised to act for the organisation.
- (d) Information on any litigation in which the applicant was involved during the last five years, including any current litigation.
- (e) Authorisation for employer to seek detailed references.
- (f) Number of Technical & Administrative Employees in parent company, subsidiary company and how these would be involved in this work (in Form "E-I").

#### **12.0 CONSTRUCTION PLANT & EQUIPMENT**

Applicant should furnish the list of construction plant and equipment including steel shuttering, centring and scaffolding likely to be used in carrying out the work. (in Form "F"). Details of any other plant & equipment required for the work (not included in Form F and available with the applicant may also be indicated.

#### **13.0 LETTER OF TRANSMITTAL**

The applicant should submit the letter of transmittal attached with pre-qualification document.

#### **14.0 TENDER SUBMISSION**

After evaluation of pre-qualification applications, a list of qualified agencies will be prepared. Thereafter, pre-qualified agencies only would be invited to submit tenders for the work.

#### **15.0 AWARD CRITERIA**

- 15.1 The employer reserves the right, without being liable for any damages or obligation to inform the applicant, to:

(a) amend the scope and value of contract to the applicant.

(b) reject any or all of the applications without assigning any reason.

15.2 Any effort on the part of the applicant or his agent to exercise influence or to pressurise the employer would result in rejection of his application. Canvassing of any kind is prohibited.

**SECTION III  
PREQUALIFICATION INFORMATION  
LETTER OF TRANSMITTAL**

From:

To

The Executive Engineer  
.....

Subject: Submission of pre-qualification application for the work of .....

Sir,

Having examined the details given in pre-qualification press Notice and pre-qualification document for the above work, I/we hereby submit the pre-qualification document and other relevant information.

1. I/ We hereby certify that all the statements made and information supplied in the enclosed forms A to F and accompanying statement are true and correct.
2. I/We have furnished all information and details necessary for pre-qualification and have no further pertinent information to supply.
3. I/We submit the requisite certified solvency certificate and authorise the Executive Engineer ..... to approach the Bank issuing the solvency certificate to confirm the correctness thereof. I/We also authorise Executive Engineer, ..... to approach individuals, employers, firms and corporation to verify our competence and general reputation.
4. I/ We submit the following certificates in support of our suitability, technical know how and capability for having successfully completed the following works:

Name of work

Certificate from

Enclosures.

Seal of applicant

Date of submission

Signature(s) of Applicant(s)

**FORM 'A'  
FINANCIAL INFORMATION**

- I. Financial Analysis - Details to be furnished duly supported by figures in balance sheet/profit & loss account for the last five years duly certified by the Chartered Accountant, as submitted by the applicant to the Income Tax Department (Copies to be attached).

**Years**

- (i) Gross Annual turn over on construction works.
- (ii) Profit/Loss

- II. Financial arrangements for carrying out the proposed work.

- III. The following certificates are enclosed:

- (a) Current Income Tax Clearance Certificate.
- (b) Solvency Certificate from Bankers of Applicant.

Signature Of Applicant(s)

Signature of Chartered Accountant with Seal

**FORM 'B'**  
**DETAILS OF ALL WORKS OF SIMILAR CLASS COMPLETED DURING THE LAST SEVEN**  
**YEARS ENDING LAST DAY OF THE MONTH .....**

S. No.	Name of work/ project and location	Owner or sponsoring organisation	Cost of work in crores	Date of commen- cement as per contract	Stipulated date of completion	Actual date of com- pletion	Litigation/Name pending/in progress with details*	Name and address/telephone number of officer to whom reference may be made
1	2	3	4	5	6	7	8	9

10

\*Indicate gross amount claimed and amount awarded by the Arbitrator.

Signature of Applicant(s)

**FORM 'C'**  
**PROJECTS UNDER EXECUTION OR AWARDED**

S. No.	Name of work/ project and location	Owner or sponsoring organisation	Cost of work	Date of commen- cement as per contract	Stipulated date of completion	Uptodate percent- age progress of work	Slow progress if any, and reasons thereof	Name and address/telephone number of officer to whom reference may be made
1	2	3	4	5	6	7	8	9

10

Signature of Applicant(s)

**FORM 'D'**  
**PERFORMANCE REPORT OF WORKS REFERRED TO IN FORM "B" & "C"**

1. Name of work/Project & Location
2. Agreement No.
3. Estimated Cost
4. Tendered Cost
5. Date of start
6. Date of completion
  - (i) Stipulated date of completion
  - (ii) Actual date of completion
7. Amount of compensation levied for delayed completion, if any.
8. Amount of reduced rate items, if any.
9. Performance Report
 

(1) Quality of work	Very Good/Good/Fair/Poor
(2) Financial soundness	Very Good/Good/Fair/Poor
(3) Technical Proficiency	Very Good/Good/Fair/Poor
(4) Resourcefulness	Very Good/Good/Fair/Poor
(5) General behaviour	Very Good/Good/Fair/Poor

Dated: Executive Engineer or Equivalent

**FORM "E"**  
**STRUCTURE & ORGANISATION**

1. Name & Address of the applicant
2. Telephone No./Telex No./Fax No.
3. Legal status of the applicant (attach copies of original document defining the legal status).
  - (a) An Individual
  - (b) A proprietary firm
  - (c) A firm in partnership
  - (d) A limited company or Corporation
4. Particulars of registration with various Government bodies (attach attested photocopy).
 

<b>Organisation/Place of registration</b>	<b>Registration No.</b>
1.	
2.	
3.	
5. Names and Titles of Directors & Officers with designation to be concerned with this work.
6. Designation of individuals authorised to act for the organisation.
7. Was the applicant ever required to suspend construction for a period of more than six months continuously after you commenced the construction? If so, give the name of the project and reasons of suspension of work.
8. Has the applicant, or any constituent partner in case of partnership firm, ever abandoned the awarded work before its completion? If so, give name of the project and reasons for abandonment.
9. Has the applicant, or any constituent partner in case of partnership firm, ever been debarred/black listed for tendering in any organisation at any time? If so, give details.
10. Has the applicant, or any constituent partner in case of partnership firm, ever been convicted by a court of law? If so, give details.
11. In which field of Civil Engineering construction the applicant has specialisation and interest?
12. Any other information considered necessary but not included above.

Signature of Applicant(s)

**FORM 'E-1'**  
**DETAILS OF TECHNICAL & ADMINISTRATIVE PERSONNEL TO BE EMPLOYED FOR THE WORK**

S. No.	Designation	Total Number	Number available for this work	Name	Qualifications	Professional experience and details of work carried out	How these would be involved in this work
1	2	3	4	5	6	7	8

Signature of Applicant(s)



**FORM 'F'**  
**DETAILS OF CONSTRUCTION PLANT AND EQUIPMENT LIKELY TO BE USED IN CARRYING OUT THE WORK**

S. Remarks No.	Name of Equipment			Nos.	Capacity or Type		Age	Condition	Ownership status			Current Location
									Presently owned	Leased	To be purchased	
1	2	3	4	5	6	7	8	9	10	11		

**Earth moving equipment**

1. Excavators (various sizes)

**Equipment for hoisting & lifting**

1. Tower crane
2. Builder's hoist

**Equipment for concrete work**

1. Concrete batching plant
2. Concrete pump
3. Concrete transit mixer
4. Concrete mixer (diesel)
5. Concrete mixer (electrical)
6. Needle vibrator (electrical)
7. Needle vibrator (petrol)
8. Table vibrator (elect./petrol)

**Equipment for building work**

1. Block making machine
2. Bar bending machine
3. Bar cutting machine
4. Wood thickness planer
5. Drilling machine
6. Circular saw machine
7. Welding generators
8. Welding transformers
9. Cube testing machines
10. M.S. pipes
11. Steel shuttering
12. Steel scaffolding
13. Grinding/polishing machines

**Equipment for road work**

1. Road rollers
2. Bitumen paver finishers
3. Hot mix plant
4. Spreaders
5. Earth rammers
6. Vibratory road rollers

**Equipment for transportation**

1. Tippers
2. Trucks

**Pneumatic equipment**

1. Air compressors (diesel)

**Dewatering equipment**

1. Pump (diesel)
2. Pump (electric)

**Power equipment**

1. Diesel generators

**Any other plant/equipment**

Signature of Applicant(s)

**Appendix - 19**  
(Reference-para 17.1.1)

**APPLICATION FORM**

To,  
The Executive Engineer,  
Division,

Subject: Purchase of Tender documents.

Sir,

\*I/We am/are registered with the CPWD as Class ..... contractor/contractors and our Registration No. is ..... It is certified that the said registration is valid as on date .....

2. \*I/We am/are not registered with CPWD.

3. \*I/We am/are registered contractors with MES/Railways/P&T/State PWD also. Particulars of the Authority, Class and tendered amount/limit upto which I/we am/are eligible to tender are furnished below:—

Authority	Class	Tendering Limit
-----------	-------	-----------------

It is certified (confirmed) that this registration/these registrations is/are valid as on date and we shall inform the department ourselves as soon as our registration expires or is cancelled/revoked.

The particulars of work done are furnished/enclosed (for State PWD contractors).

\*I/We request that permission may be granted to me/us for the purchase of tender document for the work of .....

Yours faithfully,

(Contractor)\*

(\*Strike out inapplicable portion)

**Appendix - 20**  
(Refer Para 34.1 & 17.3)

**RULES FOR ENLISTMENT OF CONTRACTORS FOR SPECIALIZED ELECT. JOB.**

Rules for Enlistment of Contractors in CPWD given in Appendix-34 for enlistment of contractors in Civil, Elect., Furniture, Horticulture and HVAC. Regarding enlistment of contractors for Specialized Elect. Jobs, i.e., DIESEL Generating Sets, Electrical Sub-stations, Lift/Elevators, Fire Alarm System and Fire Fighting Works, the rules and Annexures given in Appendix-34 shall be applicable.

The rules for Specialized Elect. Job shall be applicable from 01.12.2002 and shall supercede all Rules and Guidelines for approval of contractors for specialized elect. jobs. The contractors already approved on the basis of rules hitherto in force shall continue to enjoy the status equal to enlisted contractors of CPWD till the period of such approval including extension granted before coming into effect of these rules. However, in regard to all other matters and further revalidation of their approval enlistment, they shall be governed by these rules. Application received for enlistment upto 30.11.2002 shall be processed on the basis of existing rules.

1. Criteria required for enlistment in specialized elect. Jobs given in table enclosed.
2. For Inspection Team and Advisory Committee provision given in appendix-34 (Annexure-XI).
3. Contractor should submit an attested copy of valid electrical licence or an undertaking that he will strictly follow the Indian Electricity Rules 1956, while carrying out the electrical works, whichever is applicable.
4. The application for revalidation shall be processed as per procedure in appendix-34 except that the application for revalidation in specialized elect. jobs received upto 31.12.2002 shall however be accepted without any late fee

Diesel Generating Sets (D.G. Sets)	I	All over India DG(W)	Five Crore	Three works of not less than Rs. 50 lakhs each and each work should involve D.G. Sets of capa city not less than 250KVA and should be OEMand OEA of one or more reputed makes of engines and alternators	Solvency certificate of Rs. 1 Crore	One graduate Engineer (Electrical/Mechanical) having an experience of not less than three years or a Diploma (Electrical/Mechanical) qualified Engineer, with not less than seven years experience in the design, erection testing and commissioning of D.G. Sets	Rs.10,000
—do—	II	Region of CPWD ADG of Region	Fifty Lakhs	Three works of not less than Rs. 20 Lakhs each and each work should involve D.G. Sets of capacity not less than 100KVA and should be OEMand OEA of one or more reputed makes of engines and alternators	Solvency certificate of Rs. 50 Lakhs	One Graduate Engineer (Electrical/Mechanical) having an experience of not less than two years, or a Diploma (Electrical/Mechanical) qualified Engineer, with not less than five years experience in the erection testing and commissioning of D.G. Sets.	Rs.5,000
—do—	III	Zone of CPWD Chief Engineer of Zone For Delhi CE(E)	Ten Lakhs	Three works of not less than Rs. 4 Lakhs each and each work shall involve D.G. Sets of capacity not less than 30 KVA	Solvency certificate of Rs. 5 Lakhs	Firm desiring enlistment in this class should have an Engineering Office capable of preparing estimates and submitting bills <del>regularly for work reported</del> for in the contract. Their office should have sufficient technical personnel for preparing estimates and submitting tenders in an intelligent manner and for supervision of works.	Rs.1,000
5. Electrical Sub-Stations	I	All Ove India DG(W)	Five Crore	Three works of not less than Rs. 50 Lakhs each involving transformer capacity of not less than 1000 KVA in each work.	Solvency certificate of Rs. 1 Crore	One Graduate Engineer (Elect/Mech.) having an experience of not less than three years, or a Diploma (Elect/Mech.) qualified Engineer, with not less than seven years experience in the design,	Rs.10,000

					erection testing and commissioning of Sub-Stations.		
—do—	II	Region of CPWD ADG of Region	Fifty Lakhs	Three works of not less than Rs. 20 Lakhs each involving transformer capacity of not less than 500 KVA in each work	Solvency certificate of Rs. 50 Lakhs	One Graduate Engineer (Elect/Mech.) having an experience of not less than two years, or a Diploma (Elect/Mech.) qualified Engineer, with not less than five years experience in the erection testing and commissioning of Sub-Stations.	Rs.5,000
Lifts/ Elevators	I	All over India DG(W)	Five Crore	Three works of not less than Rs. 50 Lakhs each. The firms should be original manufacturer on the date of application and should be maintaining atleast 100 service centers should have maintenance centers atleast at 10 locations in India.	Solvency certificate of Rs. 1 Crore	One Graduate Engineer (Elect/Mech.) having an experience of not less than three years, or a Diploma (Elect/Mech.) qualified Engineer, with not less than seven years experience in the design, erection testing and commissioning of Lifts/Elevators.	Rs.10,000
—do—	II	Region of CPWD ADG of Region	Fifty Lakhs	Three works of not less than Rs. 20 Lakhs each. The firms should be original manufacturer on the date of application and should be maintaining atleast 50 service centers should have maintenance centres at least at 5 locations in India.	Solvency certificate of Rs. 50 Lakhs	One Graduate Engineer (Elect/Mech.) having an experience of not less than two years, or a Diploma (Elect/Mech.) qualified Engineer, with not less than five years experience in the erection testing and commissioning of Lifts/Elevators.	Rs.5,000
Fire Alarm System	I	All over India DG(W)	Five Crore	Three works of not less than Rs. 30 Lakhs each of fire Alarm System works	Solvency certificate of Rs. 1 Crore	One Graduate Engineer (Elect/Mech.) having an experience of not less than three years, or a Diploma (Elect/Mech.) qualified Engineer, with not less than seven years experience in the design, erection testing and commissioning of Fire Alarm System.	Rs.10,000
—do—	II	Region of CPWD ADG of Region	Fifty Lakhs	Three works of not less than Rs. 15 Lakhs each of fire Alarm System works	Solvency certificate of Rs. 50 Lakhs	One Graduate Engineer (Elect/Mech.) having an experience of not less than two years, or a Diploma (Elect/Mech.) qualified Engineer, with not less than five years experience in the erection testing and commissioning of Fire Alarm System.	Rs.5,000
Fire Fighting System	I	All over India DG(W)	Five Crore	Three works of not less than Rs. 20 Lakhs each of fire fighting System works	Solvency certificate of Rs. 1 Crore	One Graduate Engineer (Elect/Mech.) having an experience of not less than three years, or a Diploma (Elect/Mech.) qualified Engineer, with not less than seven years experience in the design, erection testing and commissioning of Fire Fighting System.	Rs.10,000
—do—	II	Region of CPWD ADG of Region	Fifty Lakhs	Three works of not less than Rs. 10 Lakhs each of fire fighting System works	Solvency certificate of Rs. 50 Lakhs	One Graduate Engineer (Elect/Mech.) having an experience of not less than two years, or a Diploma (Elect/Mech.) qualified Engineer, with not less than five years experience in the erection testing and commissioning of Fire Fighting System.	Rs.5,000

**Appendix - 21**  
(Reference-para 17.5)

**GUARANTEE BOND**

This agreement made this ..... day of one thousand nine hundred ..... between M/s ..... (hereinafter called the Guarantor of the one part) and the President of India (hereinafter called the Govt. of the other part).

Whereas this agreement is supplementary to the contract (hereinafter called the Contract) dated..... made between the Guarantor of the one part and Govt. of the other part, whereby the contractor, inter alia, undertook to render the Buildings and structures in the said contract recited completely Termite proof/water and leak proof.

And whereas the Guarantor agreed to give a guarantee to the effect that the said structure will remain Termite-proof for ten years to be reckoned from the date after the maintenance period prescribed in the contract expires.

During this period of guarantee the Guarantor shall make good all defects and for that matter, shall replace at his risk and cost such wooden members as may be damaged by termites and in case of any other defect being found he shall render the building termite proof at his cost to the satisfaction of the Engineer-in-charge and shall commence the works of such rectification within seven days from date of issuing notice from the Engineer-in-charge calling upon him to rectify the defects failing which the work shall be got done by the Department by some other Contractor at the Guarantor's cast and risk and in the latter case the decision of the Engineer-in-charge as to the cost, recoverable from the Guarantor shall be final and binding.

That if the Guarantor fails to execute the Anti-Termite treatment or commits breaches hereunder then the Guarantor will indemnify principal and his successors against all loss, damage, cost, expense or otherwise which may be incurred by him by reason of any, default on the part of the Guarantor in performance and observance of this supplemental agreement. As to the amount of loss and/or damage and/or cost incurred by the Government the decision of the Engineer-in-charge will be final and binding on the parties.

In witness whereof these presents have been executed by the Obligor ..... and by ..... for and on behalf of the President of India on the day, month and year first above written.

SIGNED, SEALED and delivered by OBLIGOR in the presence of—

- 1.
- 2.

SIGNED for and on behalf of THE PRESIDENT OF INDIA by ..... in the presence of—

- 1.
7.            2.

**Appendix - 22.**  
(Reference Para 18.4.1.1)

**TIME SCHEDULE FOR SCRUTINY OF TENDERS**

Sl. No.	Classification of Tenders	Maximum time allowed for scrutiny and disposal in days				CW Board (if concerned)
		AE	EE	SE	CE	
1	2	3	4	5	6	7
1	Tenders within the powers of AE to award	7	—	—	—	—
2	Tenders within the powers of EE to award	—	15	—	—	—
3	Tenders to be accepted by SE	—	5	15	—	—
4	Tenders to be accepted by CE	—	5	—	25	—
5	Tenders to be accepted by ADG/DG/CWABoard	—	5	—	20	20

**Note:** The time schedule given above relates to tenders other than lump-sum tenders. For the latter type of tenders, two days more may be allowed at each stage.

**Appendix - 23**  
(Referece-para 18.7.2)

**CENTRAL PUBLIC WORKS DEPARTMENT**  
..... **Zone**

**MEMO FORWARDING TENDERS TO CENTRAL WORKS BOARD**

1. Name of Work .....
2. Ref. to Adm. Approval and Expenditure Sanction
  - (i) Authority .....
  - (ii) No. & Date .....
  - (iii) Amount .....
  - (iv) Proportionate amount available for the work included in the present tender .....
3. Ref. to Tech. sanction
  - (i) Scope of work .....
  - (ii) Authority .....
  - (iii) No. & Date .....
  - (iv) Amount .....
4. Scope of work for which tenders have been called for, clearly indicating the items omitted from the sanctioned estimate and how the omitted items shall be executed.
5. Ref. to approval of N.I.T.
  - (i) Authority .....
  - (ii) No. & Date .....
  - (iii) Est. Amount put to tender .....
6. Ref. to publicity:
  - (i) Date on which notice inviting tenders was placed on notice board in Divisional Office .....
  - (ii) Date on which it was circulated to other offices .....
  - (iii) Name of Newspapers (with date) in which the Notice inviting tenders was actually advertised. ....
7. (i) The date and time at which tenders were due to be received in Divisional Office .....
- (ii) Postponed Date and time, if any .....
- (iii) Reasons for postponement .....
- (iv) Reference to publicity in regard to postponement of tenders .....
8. The date from which tenders were available for sale to contractors .....
9. Particulars of contractors to whom tenders were sold. Quote authority for issue of tenders to contractors not eligible to tender in remarks column.

Name of Contractor	Class in which registered	Department in which enlisted	Date of issue of tenders	Remarks
1	2	3	4	5

- (i) .....
- (ii) .....
- (iii) .....
- (iv) .....
- (v) .....
10. Opening of tenders
  - (i) Date and time at which tenders were due to be opened .....
  - (ii) (a) Date and time at which tenders were actually opened .....
  - (b) Name & Designation of Officer who actually opened the tenders .....
  - (iii) Names of contractors present at the time of opening of tenders .....

- (iv) Name and designation of any other person present .....
- (v) Have all the contractors, if not exempted, deposited earnest money in proper form? .....

11. List of persons who tendered for the job, with their tendered amount

Name of Contractor	Tendered amount percentage above or below	Net tendered amount after negotiations, if any.
1	2	3

- 12. Justified percentage as worked out by CE .....
- 13. Date on which validity/extended validity of tender of lowest expires .....
- 14. Important information
  - (i) Availability of site .....
  - (ii) Availability of stipulated materials .....
  - (iii) Approval to layout plan .....
  - (iv) Approval to bldgs. plans clearance from DUAC/Local body .....
  - (v) Comments on the capabilities of lowest tenderer including financial and technical resources .....
  - (vi) List of works in hand with lowest tenderer indicating the name of works tendered amount date of start stipulated period, progress made, and remarks .....
  - (vii) Is this the first call of tenders? If not, details of previous calls and results .....
  - (viii) Availability of funds .....
  - (ix) Justification .....
  - (x) Any other information\* .....
- 15. Reference to forwarding of tenders by the Executive Engineer to the Chief Engineer No. & date .....
- 16. Recommendations of the Chief Engineer .....

Chief Engineer  
 Shri .....  
 Secretary, Central Works Board,  
 U.O. No. ....

\*Details of tenders for similar works in the nearby area accepted in the past.



**Appendix - 24**  
(Reference-Para 21.8)

**GUARANTEE TO BE EXECUTED BY CONTRACTORS FOR REMOVAL OF DEFECTS  
AFTER COMPLETION IN RESPECT OF WATER PROOFING WORKS**

The Agreement made this ..... day of ..... Two thousand and ..... between ..... son of ..... of ..... (hereinafter called the Guarantor of the one part) and the PRESIDENT OF INDIA (hereinafter called Government of the other part).

WHEREAS THIS agreement is supplementary to a contract (hereinafter called the Contract) dated ..... and made between the GUARANTOR OF THE ONE part and the Government of the other part, whereby the Contractor, inter alia, undertook to render the buildings and structures in the said contract recited completely water and leak-proof.

AND WHEREAS GUARANTOR agreed to give a guarantee to the effect that the said structures will remain water and leak-proof for five years from the date of giving of water proofing treatment.

NOW THE GUARANTOR hereby guarantees that water proofing treatment given by him will render the structures completely leak-proof and the minimum life of such water proofing treatment shall be five years to be reckoned from the date after the maintenance period prescribed in the contract.

Provided that the guarantor will not be responsible for leakage caused by earthquake or structural defects or misuse of roof or alteration and for such purpose:

- (a) misuse of roof shall mean any operation which will damage proofing treatment, like chopping of firewood and things of the same nature which might cause damage to the roof;
- (b) alteration shall mean construction of an additional storey or a part of the roof or construction adjoining to existing roof whereby proofing treatment is removed in parts;
- (c) the decision of the Engineer-in-Charge with regard to cause of leakage shall be final.

During this period of guarantee the guarantor shall make good all defects and in case of any defect being found render the building water proof to the satisfaction of the Engineer-in-Charge at his cost and shall commence the work for such rectification within seven days from the date of issue of the notice from the Engineer-in-Charge calling upon him to rectify the defects failing which the work shall be got done by the Department by some other contractor at the GUARANTOR'S cost and risk. The decision of the Engineer-in-Charge as to the cost, payable by the Guarantor shall be final and binding.

That if Guarantor fails to execute the water proofing or commits breach thereunder then the Guarantor will indemnify the Principal and his successors against all loss, damage, cost, expense or otherwise which may be incurred by him by reason of any default on the part of the GUARANTOR in performance and observance of this supplementary agreement. As to the amount of loss and/or damage and/or cost incurred by the Government the decision of the Engineer-in-Charge will be final and binding on the parties.

IN WITNESS WHEREOF these present have been executed by the Obligor ..... and by ..... and for and on behalf of the PRESIDENT OF INDIA on the day, month and year first above written.

SIGNED, SEALED and delivered by OBLIGOR in the presence of—

- 1.
- 2.

SIGNED for and on behalf of THE PRESIDENT OF INDIA by ..... in the presence of—

- 1.

2.

**Appendix - 25**  
(Reference-para 22.7.1)

**FORM OF SUPPLEMENTARY AGREEMENT**

This Agreement made this day the ..... 20..... between ..... hereinafter called the First Party which expression shall include his heirs, executors and administrators/their successors and assigns and the President of India through hereinafter called the Second Party, which expression shall include his successors and assigns, shown as under :

- (1) That this Agreement shall be called as Supplementary Agreement to the Agreement No. .... relating to the construction of ..... entered into by the parties to this Agreement.
- (2) That WHEREAS the first Party has substantially completed the execution of the work described in and covered by the Agreement No. .... except the items mentioned in the Schedule annexed to this Agreement and whereas the items of the work mentioned in the Schedule annexed to this agreement cannot now be executed on account of non completion of the sanitary work, electric installation and some other work; and whereas both the parties are desirous that the items mentioned in the Schedule annexed to this Agreement should be executed by the First Party after the completion of the sanitary work, electric installation and some other work, it is hereby further agreed as under :
  - (a) That First Party shall and will execute the work covered by the items mentioned in the Schedule annexed to this Agreement at the rates and as per the terms and conditions of the original Agreement No. .... whatsoever called upon to do so by the Engineer-in-Charge, within a period of one year from the date hereof.
  - (b) That the First Party shall have absolutely no claim of whatsoever nature against the Second Party for doing the work mentioned in the Schedule annexed to this Agreement as required under clause (a) above, except that which he would be entitled to under the original Agreement No. ....
  - (c) That the First Party shall have to execute all the items which the Engineer-in-charge consider necessary.
  - (d) That the First Party shall start with the work of the remaining items mentioned in the Schedule annexed to this Agreement within ..... days from ..... on the receipt of a letter to the effect from the Engineer-in-Charge or from any date fixed in the said letter and shall complete the said work within the time fixed by the Engineer-in-Charge or as extended by him from time to time.
  - (e) That on the due execution and completion of this Agreement by the parties, the bill of the First Party in relation to the work already done by him under the Original Agreement No..... shall be provisionally finalized by the Second Party and payment on account, if any amount due, shall be made to the First Party provided that the Second Party shall have a right to retain such amount as is considered reasonable by him as a security for the execution of the work mentioned in the Schedule annexed to this Agreement and the Second Party shall have right to deal with the said amount of security as he thinks proper under the terms and conditions of the Original agreement. Further, on the due execution and original completion of this agreement, the First Party shall be entitled to claim back his security deposit relating to the work in question, subject to the right of the Second Party to retain such amount as he thinks reasonable as mentioned above soon after the maintenance period of three months or six months, as the case may be mentioned in clause of the original agreement, is over.
  - (f) That the final bill relating to the entire work under the two agreements shall be prepared after the completion of the entire work covered by Agreement No. .... and this Agreement.
- (3) Except as modified by this Agreement the said Agreement No. .... shall remain in full force and effect.

IN WITNESS WHEREOF THE ABOVE MENTIONED PARTIES HAVE PUT THEIR SIGNATURE ON THIS DAY THE .....

**Appendix - 26**  
(Reference-para 24.1)

**SAMPLE FORM FOR SITE ORDERS BOOK**

Name of work ..... Date of commencement/period for completion  
.....

Sl. No.	Remarks of the Inspecting Officer or contractor				Action taken and by whom	Remarks
	1	2	3	4		

**Appendix – 27**  
(Reference-para 25.6.4)

**CEMENT REGISTER**

Date of Receipt	Quantity received	Progressive total	Date of issue	Quantity issued	Items of work for which issued	Quantity returned at the end of the day	Total issues	Daily balance at hand	Contractor's initial	JE's initial	Remarks Asstt Engineer/ Executive Engineer at periodical checks
1	2	3	4	5	6	7	8	9	10	11	12

**Appendix - 28**  
(Reference-para 28.9)

**FORM OF APPLICATION BY THE CONTRACTOR FOR SEEKING EXTENSION OF TIME**  
**PART - I**

1. Name of Contractor
2. Name of work as given in the agreement
3. Agreement No.
4. Estimated amount put to tender
5. Date of commencement of work as per agreement
6. Period allowed for completion of work as per agreement
7. Date of completion stipulated in agreement
8. Period for which extension of time has been given previously :
  - (a) 1st extension vide EE's No.      Dated    Month    Days
  - (b) 2nd extension vide EE's No.      "        "        "
  - (c) 3rd extension vide EE's No.      "        "        "
  - (d) 4th extension vide EE's No.      "        "        "Total extension previously given.
9. Reasons for which extension have been previously given (Copies of the previous applications should be attached)
10. Period for which extension is applied for
11. Hindrances on account of which extension is applied for with dates on which hindrances occurred and the period for which these are likely to last.
  - (a) Serial No.
  - (b) Nature of hindrance
  - (c) Date of occurrence
  - (d) Period for which it is likely to last
  - (e) Period for which extension required for this particular hindrance
  - (f) Overlapping period if any, with reference to item.....
  - (g) Net extension applied for
  - (h) Remarks, if any.Total period on account of hindrances mentioned above ..... Month ..... Days
12. Extension of time required for extra work
13. Details of extra work and the amount involved:—
  - (a) Total value of extra work
  - (b) Proportionate period of extension of time based on estimated amount put to tender on account of extra work.
14. Total extension of time required for 11 & 12

Submitted to the Sub-Divisional Officer .....

Contractor

Dated

Signature                      of

**APPLIATION FOR EXTENSION OF TIME  
PART II**

(To be filled in by the Sub-Divisional Office)

1. Date of receipt of application from .....  
Contractor for the work of ..... in the Sub-Divisional Office.
2. Acknowledgement issued by S.D.O. vide his No. .... dated
3. Remarks of S.D.O. on the reasons given by the contractor are correct and what extension, if any, is recommended by him. If he does not recommended the extension, reasons for rejections should be given.

Divisional Officer Signature          of  
Dated

(To be filled in by the Executive Engineer)

1. Date of receipt in the Divisional Office.
2. Executive Engineer's remarks regarding hindrances mentioned by the Contractor.
  - (i) Serial No.
  - (ii) Nature of hindrance
  - (iii) Date of occurrence
  - (iv) Period for which hindrance is likely to last
  - (v) Extension of time applied for by the contractor
  - (vi) Overlapping period, if any, giving reference to items which overlap
  - (vii) Net period for which extension is recommended
  - (viii) Remarks as to why the hindrance occurred and justification for extension recommended.
3. Executive Engineer's recommendations. The present progress of the work should be stated and whether the work is likely to be completed by the date upto which extension has been applied for. If extension of time is not recommended, what compensation is proposed to be levied under Clause 2 of the agreement.

Engineer Signature          of          Executive  
Date

SE's recommendations  
Engineer Signature of Superintending  
Date

Chief Engineer's Recommendations Signature of Chief Engineer  
Date

**Appendix - 29**  
(Reference-para 28.15.1)

**PROFORMA FOR EXTENSION OF TIME**

To

Name.....

Address of the Contractor.....

.....

.....

Subject :

Dear Sir (s),

Reference your letter No. .... dated ..... in connection with the grant of extension of time for completion of the work .....

The date of completion for the above mentioned work is ..... as stipulated in the agreement dated the .....

Extension of time for completion of the above mentioned work is granted upto ..... without prejudice to the right of the Government to recover liquidated damages in accordance with the provision of Clause 2 of the said agreement dated the .....

Provided that notwithstanding the extension hereby granted, time is and shall still continue to be the essence of the said agreement.

Yours faithfully,

for and on behalf of the President of India

Engineer-in-Charge



**Appendix - 30**  
(Reference-para 28.20)

**PROFORMA FOR INTIMATING THE CONTRACTOR REGARDING LEVY OF  
COMPENSATION UNDER CLAUSE 2**

To

Name.....  
Address of the Contractor.....  
.....  
.....

Subject :—

Dear Sir(s),

The date of completion for the above mentioned work was ..... as stipulated in the agreement ..... (here give the number and date etc. of the agreement).

Extension of time for completion of the above mentioned work was granted by the Engineer-in-Charge upto ..... without prejudice to the right of the Government to recover liquidated damages in accordance with the provisions of Clause 2 of the said agreement.

In exercise of the powers conferred on me under Clause 2 of the agreement, I ..... the Superintending Engineer decide and determine that you are liable to pay Rs. .... as and by way of compensation as stipulated in Clause 2 of the agreement. The said amount of compensation is hereby levied on you for the period of ..... and at the rate of ..... as determined by me of the estimated cost of the work shown in the agreement and you are hereby called upon to pay the same to the Government within ..... (here mention the period) failing which the said amount shall be recovered by the Government from your security deposit lying with the Government.

Yours faithfully,

Superintending Engineer

**Appendix - 31**  
(Reference-para 29.1.3)

Bill Book of .....										Division for the year .....		
Sl. No. of item	Date of receipt	Name of Sub-Division to which the bill pertains	Name of work	Name of Contractor	Amount of the bill	Reference to M.B.			Date of preparation of bill by			
						No.	Page or Pages	Date of recording measurements				
the						A	B	C	S.D.O.			
1	2	3	4	5	6	7	8					
Date of completion of work if final bill	Date of last payment, if a running acctt. Bill	Signature of receiving Clerk in Division	Date on which cheque is drawn	Signature of the Cashier	Date of return of M.B. to Sub-Divn.	Ref. in each voucher No. and date	Initial of Divisional Acctt.	Remarks				
9	10	11	12	13	14	15	16	17				

**Appendix - 32**  
(Reference-Para 32.2)

**SHOW CAUSE NOTICE UNDER CLAUSE 3 OF THE AGREEMENT**

To

Dear Sir(s)

Sub: Agreement No. ....

**WHEREAS** it appears to the undersigned that by reason of your wrongful delay or suspension of work or slow progress, the work entrusted to you under the agreement referred to above will not be completed/has not been completed within the stipulated/extended date of completion.

Therefore, I, in exercise of the powers conferred on me by the aforesaid agreement, for and on behalf of the President of India hereby give you notice to show cause within ..... to my satisfaction why an action under sub-clause 3(a) and/or 3(b) and/or 3(c) of the above agreement will not be taken against you on account of the breach of contract on your part. Please note that in case no cause is shown by you within the stipulated period or the cause shown is not to my satisfaction, I shall take such actions against you as are contemplated under clause 3 and sub-clauses thereunder of the said agreement and/or other clauses thereof, without further notice.

Yours faithfully

(Designation)

For and on behalf of the President of India

**Appendix - 33**  
[Reference-Para 32.2]

**NOTICE ON FINAL ACTION UNDER CLAUSE 3 OF THE AGREEMENT**

To,

.....  
.....

Subject: Name of Work .....

Agreement No. ....

Dear Sir(s),

Whereas under Clause 3 of the aforesaid agreement the Engineer-in-charge shall have powers to take action under one or more of the sub-clause 3(a), 3(b) & 3(c) in the event of delay or suspension in the execution of the aforesaid work by the contractor so that in the opinion of the Engineer-in-Charge (which shall be final and binding) the Contractor will be unable to secure completion of the work by the stipulated/have already failed to complete the work by the extended\* date of completion whereas you have delayed/suspended the execution of the aforesaid work and as per the opinion of the undersigned, the Engineer-in-Charge (which is final and binding), you will be unable to secure completion of the work by the stipulated/have already failed to complete the work by the extended\* date of completion and, and whereas you were served with a show cause notice in this regard under this office No. .... date ..... which has not been replied to the satisfaction of the Engineer-in-Charge by the date specified in the show cause notice, therefore under powers delegated to me under sub-clause 3(a), 3(b) & 3(c) I ..... the Engineer-in-Charge for the aforesaid work under the aforesaid agreement, for and on behalf of the President of India, hereby.....

- (a) Determine/rescind the contract as aforesaid upon which determination/rescission your security deposit stands absolutely forfeited to the Government, and
- (b) Undertake to employ labour paid by the CPWD and to supply materials to carry out the work/part of the work debiting your accounts with the cost of the labour and the price of the materials (the amount of cost price certified by the Engineer-in-Charge shall be final and conclusive against you) and crediting your account with the value of work done in all respect in the same manner and at the same rates as if it has been carried out by yourself under the terms of your contract provided that if the expenses incurred by the department are less than the amount payable to you at your agreement rate, the difference shall not be paid to you, and/or
- (c) Take out such part of the work out of your hand, as remains unexecuted, for giving it to another contractor to complete the same in which case any expenses which may be incurred in excess of the sum which would have been paid to you if the whole work had been executed by you in terms of the agreement (the amount of excess certified in writing by the Engineer-in-Charge shall be final and conclusive) shall be borne and paid by you on demand/or may be deducted from any money due to you by Government under this contract or any other contract whatsoever or from security deposit or the proceeds of sales thereof or a sufficient part thereof as the case may be without prejudice to the right of the Government to realise said excess amount by suit or otherwise. You are also hereby served with notice to the effect that the work executed by you will be measured up on ..... for which you are asked to attend for joint measurement failing which the work will be measured by the department unilaterally in your absence and result of measurement will be final and will be binding on you.

This is without prejudice to Government's right to take action under any other clauses or sub-clauses of the agreement and to realise Government dues and losses and damages whatsoever under such clauses or sub-causes.

Yours faithfully,  
Engineer-in-Charge  
Executive Engineer  
..... Division.

for and on behalf of the President of India

\*Score out which is not applicable.

**Appendix - 34**  
(Refer para 34.1)

**RULES FOR ENLISTMENT OF CONTRACTORS IN CPWD, 2001**

**1.0 Title**

These rules shall be called the "Rules of Enlistment of Contractors in CPWD 2001" and shall come into force with effect from the 1st day of April, 2001.

**2.0 Short Title**

Hereinafter these rules shall be referred to as "Enlistment Rules 2001" for the sake of brevity.

**3.0 Repeal and Saving**

All rules regarding enlistment/revalidation of contractors in CPWD existing before coming into force of Enlistment Rules, 2001 are repealed. Notwithstanding such repeal, the contractors already enlisted on the basis of rules hitherto in force shall continue to enjoy the status of enlisted contractors of CPWD till the period of such enlistment, including revalidation/extension granted before coming into effect of the Enlistment Rules, 2001, expires. However, in regard to all other matters and further revalidation of their enlistment/revalidation, they shall be governed by the Enlistment Rules, 2001. Applications received for enlistment/revalidation upto 30th March, 2001 shall be processed on the basis of existing rules.

**4.0 Applicability**

Any Indian Individual, Sole Proprietorship Firm, Partnership Firm, Public Limited Company or a Private Limited Company is entitled to get enlistment as a contractor in CPWD under these Rules provided the eligibility criteria and other conditions are satisfied. The enlisted contractors have to abide by all the rules made herein and as amended from time to time during the currency of their enlistment.

4.1 No individual, or a firm having such individual as one of the partners, who is a dismissed government servant; or removed from the approved list of contractors; or demoted to lower class; or having business banned/ suspended by any government department in the past; or convicted by a court of law shall be entitled for enlistment.

4.2 No Engineer or any other official employed in Engineering or Administrative duties in the Engineering Department of the Government of India is allowed to work in the CPWD either as contractor or as employee of a contractor for a period of two years after his retirement from Government service unless he has obtained prior permission of Government of India to do so. Even after enlistment, if either the contractor or any of his employees is found to be a person who had not obtained the prior permission of Government of India as aforesaid, the name of the contractor shall be removed from the list of enlisted contractors.

4.3 A contractor is permitted to have enlistment in more than one category and under more than one enlistment authority but not in more than one class of the same category in CPWD.

4.4 A contractor is not permitted to have enlistment in more than one name.

4.5 A partner of a firm or a director of a company enlisted as a contractor, cannot be a partner/director in any other enlisted firm/company.

**5. Scope**

The enlistment of a contractor in CPWD shall only entitle him to be considered for issue of tender papers subject to the conditions laid down in each individual Notice Inviting Tenders. It shall not confer any right on him either to be necessarily issued the tender papers or for award of work.

**6. Enlistment Procedure**

6.1 The contractor shall have to submit the application in a prescribed form (Annexure-I) to the enlistment authority, complete with all documents as per Annexure II.

6.2 Incomplete applications and applications not accompanied with necessary documents are liable to be rejected.

6.3 Subject to the eligibility criteria and other conditions laid down in the Enlistment Rules, 2001, if the decision regarding enlistment is not conveyed within six months of date of receipt of application, for any reason not attributable to the contractor, a provisional enlistment for one year may be granted to the contractor. Such provisional enlistment may be cancelled without any notice if the contractor is found until for enlistment in the Department.

6.4 The enlistment authority shall have the right to independently verify the details furnished by the contractor and to get work done by the contractor inspected and/or to get such other reports as may be considered necessary.

6.5 If the establishment authority finds the contractor suitable for enlistment it shall issue the enlistment order and, otherwise, send a letter of rejection of the application to the contractor. The decision of the enlistment authority shall be final and binding on the contractor.

6.6 Notwithstanding above procedure, if the applicant contractor for Class V (Civil), Class-IV (Elect.) and Class-IV (Furniture) does not have the required experience, he shall be enlisted provisionally for one year during which he shall have to secure work of required magnitude to become eligible for regularisation of the enlistment. On satisfactory completion of the work his enlistment may be regularised for five years from the date of initial provisional enlistment depending upon his performance on the work. In case the contractor is not able to secure any work in CPWD during the year, his enlistment shall be cancelled and he shall be debarred from applying afresh for enlistment for three years.

#### **7. Period of enlistment**

The enlistment shall be valid for a period of five years. The enlistment can, however, be revalidated in accordance with rules in this regard. Each revalidation shall be for a period of five years from the date of expiry of the previous enlistment/revalidation. The enlistment shall be open to review by the enlistment authority and liable to termination, suspension or any other such action at any time if considered necessary by the enlistment authority, after issue of show cause notice.

#### **8.0 Categories and Classes**

The enlistment shall be done in the categories and classes mentioned in Table-1.

#### **9.0 Jurisdiction and Tendering Limits**

The jurisdiction in which contractors enlisted in various categories and classes shall be permitted to tender and the tendering limit upto which they shall be eligible to tender shall be as given in Table-1. Northern Region shall include Delhi Region also. The contractor shall be governed by the provisions existing at a particular point of time irrespective of when he was enlisted.

#### **10.0 Authorities for Enlistment**

Enlistment in different categories and classes shall be done by different authorities. These are identified in Table-1.

#### **11.0 Eligibility Criteria**

The contractors shall have to satisfy the minimum eligibility criteria specified in Table-1, before they can be considered for enlistment.

11.1 The criterion for experience shall be the completion of three or two works, as the case may be, of prescribed nature and magnitude executed on contract basis, during the last five years. The works should have been executed in the same name and style in which the enlistment is sought.

11.2 The financial soundness shall be judged on the basis of the solvency certificate or the working capital certificate, as the case may be, issued by the Bankers of the contractor on the format prescribed in Annexure-V. Such certificate shall be issued by a scheduled bank and shall be submitted, in original, in a bank sealed cover, addressed to the enlistment authority.

11.3 The criteria for the experience and financial soundness existing on the date of receipt of application by the enlistment authority shall be the governing criteria for the applicant. Table-1 indicates the criteria as at present.

#### **12.0 Enlistment Fee**

The contractor shall have to pay a non-refundable enlistment fee by crossed Demand Draft drawn in favour of the authority authorised by enlisting authority. For various categories and classes of enlistment, the fee is prescribed in Table-1. This fee is to be submitted along with application form to the enlisting authority.

#### **13.0 Income Tax Clearance**

The contractor shall produce a valid Income Tax Clearance Certificate (ITCC) along with his application for enlistment. After enlistment, he shall have to apply to the Income Tax department for issue of ITCC in the month of May every year and submit the same or an attested copy thereof to the enlistment authority by the end of June every year. Failure to submit the ITCC in this manner without any justifiable reason will render the contractor liable to be removed from the approved list of contractors. In case of partnership firms, the names of all the partners should be mentioned in the ITCC.

#### **14.0 Electrical Licence**

The contractors of Electrical Category shall have to produce valid electrical licence from the competent authority in the name of the contractor. They shall keep valid licence throughout the period of enlistment by getting it renewed at suitable intervals and submit an attested copy of the same to the enlistment authority after each renewal. For applying for tenders for a work in any state they shall have to possess electrical licence valid for that state.

### **15.0 Change in Constitution of Firm**

The contractor/firm shall not modify the existing partnership or enter into any fresh partnership without the prior approval of the enlistment authority. Such proposal, if any, shall be submitted in advance giving full details of the intended partnership/sole proprietorship along with the draft partnership deed/affidavit and documents as per Annexure-VI. Any change in status of the contractor as an 'Individual' or in constitution of the firm without prior approval of the enlistment authority will render the contractor/firm liable to be removed from the approved list of contractors.

15.1 If a firm is converted in two or more firms by any action of its partners, the new firm(s) or any separated partner(s) in his(their) individual/joint capacity shall have to apply for the enlistment afresh on the basis of work experience gained as a separate entity.

15.2 If new partners are taken in the firm, each new partner shall have to satisfy the eligibility conditions mentioned in Rule 4.0.

15.3 If the number of original partners of a firm reduces to less than half due to any reason including death of partner(s) the enlistment of the firm shall be withdrawn.

### **16.0 Change in Address**

(a) While applying the enlistment, the contractor should mention address of his Registered Office as well as Head Office, if different. All documents i.e. ITCC, Solvency Certificate, Electrical license etc. should bear one of the above addresses, otherwise the same shall not be accepted.

(b) The contractor shall intimate the change, if any, in any of the above addresses, in advance or maximum within one month of such change. Failure to do so may result in removal of his name from the approved list of contractors.

### **17.0 Near Relatives Working in CPWD**

Contractors whose near relatives are Divisional Accountant or Engineering Officers between the grades of Superintending Engineer and Junior Engineer (both inclusive) in the Central Public Works Department will not be allowed to tender for works if the circle responsible for award and execution of contract is the one where the near relative is working. For this purpose a near relative shall mean wife, husband, parents, grand parents, children, grand children, brothers, sisters, uncles, aunts, cousins and their corresponding in-laws.

### **18.0 Review of Approved List of Contractors**

The contractor shall be required to secure works of appropriate magnitude in CPWD during the revalidation/enlistment period. Contractors shall be liable to be weeded out for non-observance of enlistment rules. For this purpose the enlistment authority shall have the power to periodically review the approved list of contractors.

### **19.0 Revalidation of Enlistment**

The validity of initial enlistment of the contractor shall be as given in para 7.0. It shall, however, be revalidated on merits if desired by the contractor. Only the contractor who has secured at least one work of appropriate magnitude in CPWD, PWD (NCTD) or CCU of Ministry of Environment & Forest during the period of enlistment or last revalidation period of enlistment as the case may be, shall be considered for revalidation.

A work completed/secured as an associate contractor of the main contractor, to whom a composite contract was/had been awarded, shall also qualify for consideration of revalidation.

### **19.1 Application for Revalidation**

19.1.1 The contractor shall apply for revalidation of his enlistment in the prescribed form "Annexure VIII" alongwith all documents as per Annexure IX, so as to reach the enlistment authority at least 6 months before the expiry of his enlistment. The Revalidation application with all documents shall however be accepted upto the date of expiry of enlistment with late fee. The late fee in the manner prescribed above shall apply to the contractors whose date of expiry of enlistment is 1.1.2002 and beyond. For cases with expiry date earlier than 1.1.2002, the late fee shall not be charged so long the contractor has applied for revalidation upto the date of expiry of his enlistment.

19.1.2 In cases where the application is received after date of expiry of enlistment/revalidation, but within three months of expiry, the application can be accepted with double the late fee. Applications received, thereafter, shall not be accepted and contractor should apply for fresh enlistment, as per rules.

19.1.3 Late fee shall be Rs.10000/- for class I and Rs.5000/- for other classes. This is payable in the form of Demand Draft in favour of the authority, as authorised by enlisting authority.

19.1.4 On receipt of application for revalidation complete in all respect and with all necessary documents, provisional extension upto six months from the date of expiry of enlistment/date of issue of order, whichever is later, may be issued.

#### **20.0 Performance Reports**

20.1 The Contractor should fill the details of each of the work, of appropriate magnitude, secured by him during the last revalidation/enlistment period, in the proforma as given in Annexure VII.

20.2 The list should include all works secured by him during the above mentioned period. In case, the contractor hides any information, his revalidation will be liable to be cancelled.

20.3 The contractor should fill up the details in the proforma as given in Annexure-II, in duplicate. For each work, separate proforma should be filled. One copy of all the proformas should be given to the concerned Executive Engineer of the division, in which the work was executed and the acknowledgement obtained on the second copy of the proforma. This 2nd copy should then be submitted to the enlisting authority alongwith the application for revalidation.

20.4 The Executive Engineer should fill up the proforma and submit to the Enlisting Authority through his SE, within two weeks of receipt of proforma.

#### **21.0 Revalidation Procedure**

The revalidation shall be done on the basis of review of the performance of the contractor pertaining to the period of enlistment/revalidation. Cases shall be categorised and action taken as below:

(i) Category 'A' Enlistment of such contractors, who secure work(s) of appropriate magnitude during the period of enlistment/revalidation shall be considered for revalidation for a period of five years subject to evaluation of their performance.

(ii) Category 'B' Enlistment of contractors, who secured work(s) of appropriate magnitude recently in the final year of their enlistment, because of which the performance cannot be properly judged, shall be extended for one year for watching the performance and then revalidated for four years, if found satisfactory.

(iii) Category 'C' A contractor who could not secure any work during the enlistment period but submitted three or more tenders (out of which at least 2 tenders should be during the first four years of enlistment/revalidation) for works of appropriate magnitude shall be eligible for extension of enlistment for one year, provided he was among the three lowest tenderers in at least one work, so as to enable him to try to secure at least one work. After one year, he shall be regulated in the following manner:

(a) If he has not been able to secure any work of appropriate magnitude during the extended one year, his enlistment shall stand cancelled and he shall be entitled to apply for fresh enlistment only after one year of expiry of his extended enlistment.

(b) If he has secured at least one work of appropriate magnitude during the extended one year, he shall be granted extension of one more year so as to watch his performance. After this one year, when his performance report is available, the same shall be evaluated and if found satisfactory, the enlistment shall be revalidated for three years.

For the purpose of (iii) above, the contractor should submit certificate in original from the concerned Executive Engineer in the proforma as given in Annexure X.

#### **22.0 Contractor's Obligations**

The Contractor should fulfil all his obligations under these rules in time and manner as specified, failing which he shall be liable for the action as mentioned therein. Some of the obligations are summarised below:

(a) Prior approval shall be obtained from the enlisting authority before changing the constitution of the firm/company.

(b) Intimation of change of address should be given in advance or within one month.

(c) He should obtain valid electrical license for the state in which he wants to tender.

(d) He should secure at least one work of specified magnitude during the period of enlistment/revalidation.

(e) He shall abide by these rules.

(f) He should not indulge in unethical practices.

(g) He shall execute the works awarded to him strictly as per the terms and conditions of the contract and specifications.

#### **23.0 Disciplinary Actions**

The contractor shall have to abide by all the rules of enlistment and also by the terms and conditions of the contract and the Notice Inviting Tenders. He shall have to execute the works satisfactorily, on time and with good quality. The enlisting authority shall have the right to



demote a contractor to a lower class, suspend business with him for any period, debar him or remove his name from the approved list of contractors after issue of show cause notice. Decision of the department shall be final and binding on the contractor. The following actions of the contractor shall, in general, make him liable to disciplinary actions:

**23.1 Demotion to a lower class**

The contractor shall be liable to demotion to a lower class, by the enlisting authority, if he:

- (a) fails to execute a contract or executes it unsatisfactorily or is proved to be responsible for constructional defects; or
- (b) no longer has adequate equipment, technical personnel or financial resources; or
- (c) is litigious by nature; or
- (d) violates any important condition of contract; or
- (e) is responsible for a conduct which may justify his demotion to a lower class.

**23.2 Suspension of business**

The enlistment authority may suspend business with a contractor for indefinite period where, pending full enquiry into the allegations, the enlistment authority is prima facie of the view that the contractor is guilty of an offence in relation to business dealings which, when established would result in his removal/banning business and it is not considered desirable to entrust new works or continue business with the contractor.

**23.3 Removal from the approved list**

The name of the contractor may be removed from the approved list of contractors, by the enlisting authority, if he :

- (a) has, on more than one occasion, failed to execute a contract or has executed it unsatisfactorily; or
- (b) is proved to be responsible for constructional defects in two or more works; or
- (c) persistently violates any important conditions of the contract; or
- (d) fails to abide by the conditions of enlistment; or
- (e) is found to have given false particulars at the time of enlistment; or
- (f) has indulged in any type of forgery or falsification of records; or
- (g) changes constitution of the firm or Individual without prior approval of the enlistment authority; or
- (h) changes permanent address/business address without intimation to the enlistment authority; or
- (i) is declared or is in the process of being declared bankrupt, insolvent, wound up, dissolved or partitioned; or
- (j) persistently violates the labour regulations and rules; or
- (k) is involved in complaints of serious nature received from other departments which prima facie appear to be true; or
- (l) defaults in settlement of tax dues like income tax, Contract tax, sales tax, octroi duties etc.

**24.0 Revision of the Rules**

DG (W) CPWD may modify, add, delete and/or change any of the above rules and same shall be binding on all enlisted contractors.

**TABLE – 1**

Category	Class	Jurisdiction & Enlistment Authority	Tendering limit*	Past Experience of completed works in last 5 years	Financial Soundness	Engineering Establishment	T&P/Machinery	Enlistment Fee
1	2	3	4	5	6	7	8	9
Civil	I*	All over India DG(W)	Rs. 5 Crores	Three works of Rs. 60 lakhs each. At least two works should be building works For 'Roads only', at least two works should be road works.	Solvency certificate of Rs. 2 Crores	Two graduate engineers(C) with minimum experience of 3 years each. One diploma holders(C) with minimum 5 years experience.	Steel centring & Shuttering 3000 sqm.; Builder's hoist 2 nos. Concrete mixers of full bag capacity 5 Nos. Vibrators 10 nos. 'For Roads only' Hot mix plant of at least 30 Tonnes per hour capacity 1 no. Paver finishers 2 nos. Road rollers 5 nos. Trucks/Tippers 5 nos.	Rs.10,000
	II	Region of CPWD ADG of Region [For Delhi ADG(NR)]	Rs. 1 Crore	Three works of Rs. 25 lakhs each. At least two works should be building works. For 'Roads only', at least two works should be road works.	Solvency certificate of Rs. 60 lakhs	One graduate engineers(C) with minimum experience of 3 years each. One diploma holders (C) with 3 years experience.	Steel centring shuttering 2000 sqm. Concrete mixers of full bag capacity 3 nos. Vibrators 6 nos. For 'Roads only' Hot mix plant of at least 30 tonnes per hour capacity 1 no. Paver finisher 1 no. Road rollers 3 nos. Trucks/Tippers 3 nos.	Rs. 5,000
	III	Zone of CPWD Chief Engineer. [For Delhi CE(NDZ)III]	Rs. 40 lakhs	Three works of Rs. 10 lakhs each. At least one work should be building work.	Solvency certificate of Rs. 25 lakhs	One graduate engineer(C) with minimum experience of 3 years.	Steel centring shuttering 1000 sqm Concrete mixers of full bag capacity 2 nos. Vibrators 3 nos.	Rs.5,000
	IV	Zone of CPWD Chief Engineer [For Delhi CE(NDZ)III]	Rs. 15 lakhs	Three works of Rs. 3 lakhs each.	Solvency certificate of Rs. 10 lakhs	One diploma holder (C) with minimum experience of 3 years		Rs.1,000
	V	Circle of CPWD Superintending Engineer. [For Delhi SE(DCC)]	Rs. 5 lakhs	Two works of Rs.50,000 each of one work of Rs.1 lakh. See also Rule 6.0	Certificate for working capital of Rs. 50,000 for at least last six months.			Rs.1,000
Electrical	I	All over India DG(W)	Rs. 5 Crore	Three works of Rs.10 lakhs each. At least one work should be of internal electrification of buildings.	Solvency certificate of Rs. 50 lakhs	One graduate engineer (E/M) with minimum experience of 5 years. Two diploma holders (E/M) with minimum experience of 5 years	Steel/Aluminium ladder 1.5m to 8 m; Chase cutting machines, Torque wrench for nut/bolts Primary & secondary injection equipment, dielectric strength testing equipment, magnetic dial indicator for alignment; Conduit die set; Pipe vice; Bench vice; LT Meggar volts & HT Meggar 5000 volts; Tong Tester, Multi-meter, digital, capacitor & hand operated crimping machines. Earth tester, Portable drilling machine; Overhead conduit puller.	Rs. 10,000

						Test Bench for light fittings & MCB DB.		
conduit	II	Region of CPWD ADG of Region [For Delhi ADG(NR)]	Rs. 20 lakhs	Three works of Rs. 5 lakhs each. At least one work should be of internal electrification of buildigs.	Solvency certificate of Rs. 8 lakhs.	Two diploma holders(E/M) with minimum experience of 5 years	Steel/Aluminium ladder 15m in length, Conduit set, Pipe vice; Bench vice; LT Meggar 500 volts & HT Meggar 5000 volts; Tong Tester, Multimeter; Hydraulically operated & hand operated crimping machines. Earth tester; Portable drilling machine; Over-head	Rs. 5,000
500 crimp-	III	Elect Zone of CPWD Chief Engineer(EI) [For Delhi CE(E)II]	Rs. 7.5 lakhs.	Three works of Rs.2 lakh each.  At least one works should be of internal electrification of buildings.	Solvency certificate of Rs. 4 lakhs.		Conduit die set; Pipe vice; Bench vice; LT Meggar volts & HT Meggar 5000 volts; Tong Tester, Multi-meter; Hydraulically operated & hand operated	Rs.5,000
	IV	Elect Circle of CPWD Superintending Engineer (Elect) [For Delhi SE(DCEC)]	Rs. 3 lakh	Two works of Rs. 30,000 each or one work of Rs. 60,000. See also Rule 6.0	Certificate for working capital of Rs.25,000 for at least last six months.			Rs.1,000
Furniture	I	All over India DG(W)	Rs. 5 Crores	Three works of Rs. 5 lakhs each	Solvency certificate of Rs. 25 lakhs	Design and procurement of large buildings	Properly fitted workshop, paints, polish & other finishing equipment.	Rs.10,000
Furniture	II	Region of CPWD ADG of Region [For Delhi ADG(NR)]	Rs. 10 lakhs	Three works of Rs. 3 lakhs each	Solvency certificate of Rs. 8 lakhs		Properly fitted workshop paints, polish & other finishing equipment	Rs.5,000
	III	Zone of CPWD Chief Engineer [For Delhi CE(NDZ)III]	Rs. 5 lakhs	Three works of Rs. 1 lakh each	Solvency certificate of Rs. 4 lakhs		Property fitted workshop paints, polish & other finishing equipment	Rs.5,000
	IV	Circles of CPWD SuperintendingEngineer. [For Delhi SE(DCC)]	Rs. 1.5 lakh	Two works of Rs. 15,000 each or one work of Rs. 30,000. See also Rule 6.0	Certificate for working capital of Rs. 25,000 for at least last six months.			Rs.1,000
HVAC	I	All over	Rs. 5	Three works of	Solvency	Two graduate		Rs.10,000

	India	Crores	Rs. 75 lakhs each.	At least two works should be designed, installing, testing & commissioning of Central AC plant of capacity 100 TR or more in each case.	certificate of Rs. 1 Crore	Engineers (Mech.) with minimum experience of 5 years each out of which at least one should have experience of 10 years. Three diploma holders (Mech.) with minimum 10 years' experience each.	
	DG(W)						
	II	Region of CPWD	Rs. 75 lakhs.	Three works of Rs. 30 lakhs each. At least two works should be Central AC plant capacity 40 TR or more in each case.	Solvency certificate of Rs. 50 lakhs.	One graduate engineer (Mech.) with minimum experience of 5 year. Two diploma holders (Mech) with minimum 5 years' experience each.	Rs.5,000
		ADG of Region [For Delhi; ADG(NR)]					
	III	Elect. Zone of CPWD	Rs. 30 lakhs.	Three works of Rs.10 lakhs each pertaining to Central AC plants.	Solvency certificate of Rs. 15 lakhs.	Two diploma holders (Mech) with Minimum experience of 5 years	Rs.5,000
		Chief Engineer (Elect) [For Delhi CE(E)II]					
HVAC	IV	Elect. Zone of CPWD	Rs. 7.5 lakhs	Two works of original/operation/ maintenance nature of Rs. 2.5 lakhs each.	Solvency certificate of Rs. 5 lakhs.		Rs. 1,000
		Chief Engineer (Elect) [For Delhi CE(E)II]					
Horticulture	I	All over India	Rs. 5 Crores	Three works of Horticultural activity each costing Rs. 5 lakhs or more	Certificate for working capital of Rs. 1 lakh for at least last six months	One B.Sc. (Agriculture) graduate employee. Matador/open carrier, Tractor-cum-trailer, Power & manual Lawn-movers, Wheelbarrows, Rubber pipes, Power sprayers, Hand-crafts and all implements for day to day working and carriage. No T&P shall be issued by the deptt.	Rs. 5,000
		DG(W)					
	II	All over India	Rs. 15 lakhs	Three works of Horticultural activity each costing Rs. 3 lakhs or more.	Certificate for working capital of Rs. 50,000 for at least last six months.	All implements for day to day working and carriage. No T&P shall be issued by the deptt.	Rs. 2,000
		DG(W)					
	III	All over India	Rs. 5 lakhs	Three works of Horticultural activity each costing Rs.1 lakh or more.	Certificate for working capital of Rs. 20,000 for at least last six months.	All implements for day to day working and carriage. No T&P shall be issued by the deptt.	Rs. 1,000
		DG(W)					
Nursery	Delhi	Rs. 5 Crores	Should be in business for at least last three		Minimum average annual turnover of	All implements for day to day working. No T&P shall be issued by the deptt.	Rs. 5,000
	DG(W)						

years

Rs. 5 lakhs  
during last  
three years  
and minimum  
turnover of  
Rs. 3 lakhs in  
each of these  
years. At least  
one acre of  
land under  
plantation

of nursery.

\* Contractors desirous of executing only road works in these classes shall be enlisted in 'Civil Class-I (Roads only)' and 'Civil Class-II (Roads only)' category. All rules applicable to Civil category shall also apply to Civil (Roads only) category except the eligibility criteria for works experience & T&P/Machinery. Such contractors shall be eligible to tender only for road works. However, contractors enlisted in Civil category shall be eligible to tender for Building works as well as road works.

**CENTRAL PUBLIC WORKS DEPARTMENT  
APPLICATION FOR ENLISTMENT AS CONTRACTOR**

[The applicant should study carefully the Rules of Enlistment and the list of documents to be annexed with the application form before filling the form. Applications found deficient in any respect are liable to be rejected without any further correspondence]

CLASS	CATEGORY		
1. Name of applicant	Shri/M/s		
.....			
2. Nationality	Indian	Other	
3. Address			
Regd. Office	.....		
	.....		
Head Office	.....		
.....			
4. Telephone Number	-	Fax No.	-
5. Constitution	Individual	Sole Proprietorship Concern	
	Partnership Firm	Public Ltd. Company	
	Private Ltd. Company		
6. If partnership firm, names of the partners/ If Company, name of directors	1. ....		
	2. ....		
	3. ....		
	4. ....		
	5. ....		
	6. ....		
7. Is the individual/sole proprietor/any partner/directors of company:			
(a) Dismissed Government Servant	Yes	No	
(b) Removed from approved list of contractors	Yes	No	
(c) Demoted to a lower class of contractors	Yes	No	
(d) Having business banned/suspended by any government in the past	Yes	No	
(e) Convicted by a court of law	Yes	No	
(f) Retired engineer/official from engineering Department of Govt. of India within last two years	Yes	No	
(g) Director or partner of any other company/firm enlisted with CPWD or any other department	Yes	No	
(h) Member of Parliament or any State Legislative Assembly	Yes	No	
If answer to any of the above is 'Yes', furnish details on a separate sheet			
8. (a) Name of person holding power of attorney	.....		
.....			
(b) Nationality	Indian	Other	
(c) Liabilities			
9. Name of Bankers with full address	.....		
10. Place of business	.....		
11. Full time technical staff in applicant's employ:			
[(a) to (c) for Civil, Electrical & HVAC, (d) for Furniture & (e) for Horticulture]			Nos.
(a) Graduate engineers with minimum 5 years' experience			
(b) Graduate engineers with minimum 3 years' experience [excluding (a) above]			
(c) Diploma engineers with minimum 3 years' experience			
(d) Furniture/Furnishing Designers			
(e) Graduates in Agricultural Science			
12. Does the applicant have sufficient T&P, Machinery, Equipment and workshop as per requirements mentioned in the Enlistment Rules for the class & category applied for [Attach details on separate sheet]	Yes	No	
13. Does the applicant possess valid Electrical Licence [For Electrical]	Yes	No	
14. (a) Whether already enlisted with CPWD or any other department	Yes	No	
(b) If yes, give details:			
(i) Name of department	.....		

- (ii) Class of category .....
- (iii) Enlistment authority & address .....
- (iv) Enlistment No. & date .....
- (v) Date of validity .....
- (vi) Tendering limit .....

15. Is any person working with the applicant is a near relative of the officer/official of CPWD Yes  
No

[See Rule 18 of the Enlistment Rules] If yes, give details

16. Enlistment fee enclosed:

Draft No.	Date	Amount	Issuing Bank & Branch	Branch drawn upon	Authority in whose favour drawn
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17. Details of Works completed and in progress during the last 5 years (to be filled in proforma as given in Annexure III. This list should include all works whose gross amount of work done is more than the required magnitude for the class in which registration is required.

18. Certificates from clients in original as per proforma given in Annexure-IV for all eligible works.

19. Certificates:

- (i) I/We (including all partners) certify that I/We have read the Rules of Enlistment of Contractors in CPWD as amended upto date and shall abide by them.
- (ii) I/We certify that the information given above is true to the best of our knowledge. I/We also understand that if any of the information is found wrong. I am liable to be debarred.
- (iii) I/We certify that I/We will not get myself/ourselves registered as contractor(s) in the Department under more than one name.
- (iv) (a) I certify that I did not retire as an Engineer of Gazetted rank or as any Gazetted Officer employed on Engineering or Administrative duties in any engineering Department of the Government of India during the last two years. I also certify that I have neither such a person under my employment nor shall I employ any such person within two years of his retirement except with the prior permission of the Government. (For Individuals seeking enlistment in their own name).
- (b) We certify that none of the partners/Directors retired as an Engineer of Gazetted rank or as any Gazetted Officer employed on Engineering or Administrative duties in last two years. We also certify that we have neither under our employment any such person nor shall we employ any person within two years of his retirement except with the prior permission of the Government. (For partnership firms and limited companies).

(Strike out whichever is not applicable)

Signature(s) of applicant(s):

Name	Signature	Address
1. ....	.....	.....
2. ....	.....	.....
3. ....	.....	.....
4. ....	.....	.....
5. ....	.....	.....
6. ....	.....	.....

Date: .....

No. of documents attached

## DOCUMENTS ATTACHED FOR ENLISTMENT

S.No.	Document	Yes	No
1.	Proof of constitution (Sl. No. 5): (a) In case of sole proprietorship/HUF : an affidavit executed before a 1st Class Magistrate that the applicanta is the sole proprietor of the firm/Karta of HUF. (b) In case of partnership firm: (Submit attested copies) (i) Partnership deed attested by Notary Public (ii) Form "A" or equivalent form issued by Registrar of Firms (iii) Form "B" or equivalent form issued by Registrar of Firms (iv) Form "C" or equivalent form issued by Registrar of Firms (c) In case of Private/Public Ltd. Co. Article of Association duly attested by Notary Public.		
2.	Power of attorney, if any (Sl. No. 8), attested by Notary Public		
3.	Solvency certificate from scheduled bank in the proforma given in Annexure V. The certificate should be on the bank's letter-head and in sealed cover and shall be addressed to the concerned Enlistment Authority (Sl. no.9).		
4.	Technical Staff : (Sl. no. 11) (i) List of full time technical staff/Designers with qualification and experience of each. (ii) Attested copies of the degrees/diplomas of the technical staff/Designers. (iii) Declaration from the technical staff/Designers that they are employed with the applicant.		
5.	List of M/C, T&P, i/c steel centering & shuttering, possessed by the applicant. Full details and location of workshop including details of Machines & Equipment provided and proof of sufficient stock of materials as required for Furniture category (Sl. no. 12).		
6.	Attested copy of valid Electrical License (Sl. no.13).		
7.	Attested copy of Enlistment order (Sl. no. 14).		
8.	List of all near relatives working in CPWD, including their addresses (Sl. No. 15). See also Rule 18.0 of Enlistment Rule.		
9.	Demand Draft for Enlistment Fee (Sl. no. 16).		
10.	Original or attested copies of certificates for works done, from concerned clients, in proforma as given in annexure-IV.		
11.	Attested copies of award letters for works included in annexure-III.		
12.	Valid & attested copy of Income Tax Clearance Certificate.		



**Annexure - III**

**WORKS COMPLETED AND IN PROGRESS DURING THE LAST FIVE YEARS  
(INCLUDING ALL WORKS AWARDED)**

[Add additional sheets, if necessary]

S. No.	Name of work & Agreement No.	Date of Start	Date of Completion		Reasons for delay & compensation levied, if any	Tendered cost letion	Gross cost of comp-	Net amount received	Name, designation & complete address of the authority for whom the work was done
			Stipulated	Actual					

Annexure - IV

CLIENT'S CERTIFICATE REG. PERFORMANCE OF CONTRACTOR

Name & Address of the Client .....

Details of Works executed by Shri/M/s .....

- 1. Name of work with brief particulars
- 2. Agreement No. and date
- 3. Date of commencement of work
- 4. Stipulated date of completion
- 5. Actual date of completion
- 6. Details of compensation of levied for delay, if any
- 7. Tendered amount
- 8. Gross Amount of the work completed
- 9. Name and address of the authority under whom works executed
- 10. Whether the contractor employed qualified Engineer/Overseer during execution of work?
- 11. (i) Quality of work (indicate grading) Out Standing/V. Good/Good/Poor  
(ii) Amount of work paid on reduced rate basis, if any
- 12. (i) Did the contractor go for arbitration?  
(ii) If yes, total amount of claim  
(iii) Total amount awarded
- 13. Comments on the Capabilities of the contractor
  - (a) Technical Proficiency Out Standing/V. Good/Good/Poor
  - (b) Financial Soundness Out Standing/V. Good/Good/Poor
  - (c) Mobilisation of adequate T&P Out Standing/V. Good/Good/Poor
  - (d) Mobilisation of manpower Out Standing/V. Good/Good/Poor
  - (e) General behaviour Out Standing/V. Good/Good/Poor

**Note:** All Columns should be filled in properly.

“Countersigned”

Officer of the rank of  
Superintending Engineer  
or Equivalent

Signature of the Reporting  
Officer with Official Seal

**Annexure - V**

**FORM OF SOLVENCY CERTIFICATE FROM A SCHEDULED BANK**

This is to certify that to the best of our knowledge and information M/s/Sri .....  
..... having marginally noted  
address, a customer of our bank are/is respectable and can be treated as good for any engagement  
upto a limit of Rs. .... (Rupees  
.....). This certificate is issued without any guarantee or responsibility on the Bank or any of the  
officers.

(Signature)  
for the Bank

**Note:** In case of partnership firm, certificate to include names of all partners as recorded with the Bank.

**FORM OF WORKING CAPITAL CERTIFICATE FROM A SCHEDULED BANK  
(for Class V (B&R), Class IV (Elect.), Class IV (Firm), Hort. (All Classes))**

Certified that Shri/Smt./M/s  
..... S/o/W/o  
..... and resident(s) of  
.....  
has/have been maintaining a saving bank account/current account/fixed deposit account with this  
branch of bank since ..... and an amount not less than Rs.  
..... (Rupees  
.....) has been available to  
the credit in his/her/their account No. .... for the last six months.

For the Bank

Signature

**FOR CHANGE OF CONSTITUTION LIST OF DOCUMENTS/INFORMATION REQUIRED  
TO BE SUBMITTED**

**A. Document to be Submitted**

1. Copy of proposed partnership deed duly signed/proposed Memorandum of articles.
2. Attested copy/copies of valid ITCC(s) in respect of each proposed partner.
3. An undertaking sworn in before a 1st class Magistrate by all the partners to the effect that the new firm will take over all assets and liabilities.
4. Dissolution deed/consent of retiring partners/death certificate in case of death of a partner.

**B. Furnish the following details in respect of each Partner with whom contractor's firm want to enter into Partnership**

- (i) Whether he is enlisted with CPWD/MES/Railway/P&T/State PWD.
- (ii) Whether he is a dismissed Govt. servant.
- (iii) Whether he is a partner/director of any other firm enlisted with this Department/MES/Rly./P&T/State PWD.
- (iv) Whether he is member of Indian Parliament or State Legislature.
- (v) Whether his name has been blacklisted or removed from the approved list of contractors or demoted to lower class or orders banning/suspending business with him by any department in the past.
- (vi) Whether he is a dismissed/removed/retired Govt. servant within 2 years.
- (vii) Whether he has any relative working in CPWD, if yes, give details.
- (viii) Whether he has any civil or criminal case pending in any court in India, if yes, give details.

Signature of Contractor

**CONTRACTOR'S PERFORMANCE REPORT FOR WORKS COMPLETED OR UNDER EXECUTION, FOR REVALIDATION OF ENLISTMENT**

**PART I**

(To be filled in by the contractor)

- 1. Name of the contractor .....
- 2. Name of work .....
- 3. Agreement No. ....
- 4. Name of division in which the work was executed .....
- 5. Estimated cost put to tender .....
- 6. Tender cost .....
- 7. Gross amount of final bill/work done till date .....
- 8. Stipulated date of Start and Completion .....
- 9. Actual date of completion or percentage progress .....
- 10. Amount of compensation levied for delay, if any .....
- 11. Amount of reduced rate items, if any .....
- 12. Did the contractor go for arbitration .....
- 13. If yes, total amount claimed and amount awarded. ....

Signature of the contractor

**PART II**

(To be filled by the department)

**Note:** This performance report, duly completed by EE & SE, should be forwarded to enlistment authority within two weeks of its receipt from the contractor.

Certified that details given by the contractor in Part - I have been verified and found to be correct/have been corrected wherever necessary.

Signature of Executive Engineer

3. Quality of work (Please grade as Very Good/Good/Satisfactory/Poor):

(a) Grading by EE

Signature of EE with full designation

(b) Grading by SE

Signature of SE with full designation

**CENTRAL PUBLIC WORKS DEPARTMENT  
APPLICATION FOR REVALIDATION OF ENLISTMENT**

[The applicant should study carefully the Rules of Enlistment and the list of documents to be annexed with the application form before filling the form. Applications found deficient in any respect are liable to be rejected without any further correspondence]

CLASS	CATEGORY
1. Name of applicant	Shri/M/s .....
2. Nationality	Indian      Other
3. Address	
Regd. Office	.....
Head Office	.....
4. Telephone Number	-      Fax No. -
5. Constitution	Individual      Sole Proprietorship Concern Partnership Firm      Public Ltd. Company Private Ltd. Company
6. If partnership firm, names of the partners/ If Company, name of directors	1. .... 2. .... 3. .... 4. .... 5. .... 6. ....
7. (a) Name of person holding power of attorney	.....
(b) Nationality	Indian      Other
(c) Liabilities	
8. Name of Bankers with full address	.....
9. Place of business	.....
10. Full time technical staff in applicant's employ: [(a) to (c) for Civil, Electrical & HVAC, (d) for Furniture & (e) for Horticulture]	Nos.
(a) Graduate engineers with minimum 5 years' experience	
(b) Graduate engineers with minimum 3 years' experience [excluding (a) above]	
(c) Diploma engineers with minimum 3 years' experience	
(d) Furniture/Furnishing Designers	
(e) Graduates in Agricultural Science	
11. Does the applicant have sufficient T&P, Machinery, Equipment and workshop as per requirements mentioned in the Enlistment Rules for the class & category applied for [Attach details on separate sheet]	Yes      No
12. Does the applicant possess valid Electrical Licence [For Electrical]	Yes      No
13. (a) Details of enlistment with CPWD	
(i) Enlistment No. & date	.....
(ii) Date of validity	

14. Is any person working with the applicant is a near relative of the officer/official of CPWD Yes  
No

[See Rule 18 of the Enlistment Rules] If answer to above is yes, give details.

15. Details of CPWD Works completed and in progress (which were secured during the last 5 years) (to be filled in proforma as given in Annexure - VII. This list should include ALL works done whose gross amount of work done is more than the required magnitude for the class in which registration is required. Yes  
No

16. Certificates:

- (i) I/We (including all partners) certify that I/We have read the Rules of Enlistment of Contractors in CPWD as amended upto date and shall abide by them.
- (ii) I/We certify that I/We will not get myself/ourselves registered as contractor(s) in the Department under more than one name.
- (iii) I/We certify that the information given above is true to the best of our knowledge. I/We understand that if any information is found incorrect, our enlistment is liable to be cancelled.
- (iv) I/We certify that I/none of the partners/Directors retired as an Engineer of Gazetted rank or as any Gazetted Officer employed on Engineering or Administrative duties in last two years. We also certify that we have neither under our employment any such person nor shall we employ any person within two years of his retirement except with the prior permission of the Government.  
(Strike out whichever is not applicable).

Signature(s) of applicant(s):  
Name

Signature

Address

- |         |       |       |
|---------|-------|-------|
| 1. .... | ..... | ..... |
| 2. .... | ..... | ..... |
| 3. .... | ..... | ..... |
| 4. .... | ..... | ..... |
| 5. .... | ..... | ..... |
| 6. .... | ..... | ..... |

Date: .....

No. of documents attached

**Annexure - IX**

**DOCUMENTS ATTACHED FOR REVALIDATION**

S.No.	Document	Yes	No
1.	Attested copy of Power of attorney, if any		
2.	Solvency certificate in original from scheduled bank in the proforma given in the Enlistment Rules. The certificate should be on the bank's letter-head and in sealed cover and shall be addressed to the concerned Enlistment Authority.		
3.	Attested copy of valid Electrical License.		
4.	Attested copy of Enlistment order.		
5.	Attested copies of award letters for works included in annexure-III.		
6.	Attested and valid Income Tax Clearance Certificate.		
7.	Annexure VII with acknowledgement of EE.		



**Annexure - X**

**PROFORMA FOR GIVING CERTIFICATE FOR TENDERS SUBMITTED BY THE CONTRACTOR**

Sub: Revalidation of contractors as Class — ( ) in CPWD.

Certified that M/s. Shri  
..... have submitted  
tenders for the following works:

<u>Name of Work</u>	<u>Date of tender</u>	<u>Estimated cost put to tender</u>	<u>Position of tender</u>
---------------------	-----------------------	-------------------------------------	---------------------------

with full address and office seal

Signature of Executive Engineer

**For the purpose of clarification of the enlistment Rules, further provisions are made as under: Regarding Team for inspection of works and Advisory Committee:**

**1.0 RULE 6.0**

**1.1** Ordinarily, works executed by CPWD/PWD(DA)/Ministry of Environment need not be inspected.

**1.2 Inspection Teams**

The Inspection teams for inspecting the non-CPWD works of the contractor and furnishing their reports on quality of construction, workmanship etc. to the enlistment authorities shall be as follows:

- (a) For Class I :
  1. Chief Engineer of the Zone
  2. One Superintending Engineer as nominated by CE.
- (b) For Class II :
  1. Superintending Engineer of the circle
  2. One Executive Engineer as nominated by SE
- (c) For Class III, Class IV and Class V:
  1. Executive Engineer of the division
  2. One Assistant Engineer as nominated by EE.

**1.2 Advisory Committees**

The Advisory Committees shall assist the enlistment authority in scrutinising the cases, make recommendations regarding suitability of the contractor, evaluate annual performance reports of contractors, and advise the enlistment authority in weeding out of contractors and revalidation process. Such Advisory Committees shall be as follow:

<b>Enlistment Authority</b>	<b>Committee</b>
DG(W)	Chairman: ADG(TD) Member-Secretary: SE(C&M)  For Civil, Fur. & Hort. contractors: CE(CSQ) & any two officers of the rank of CE(C).  For Elect, HVAC and specialized Elect. Job contractors: CE(CSQ) & any two officers of the rank of CE(EI)
ADG(NR)	For Civil & Fur. contractors: CE(ODZ) – Chairman DW under ADG (NR), & any two officers of the SEs(C) rank.  For Elect, HVAC and specialized Elect. Job contractors: CE(E)NZ - Chairman SE(E)P(NZ) & any two officers of the SEs(E) rank.
ADG(WR)	For Civil & Fur. contractors: CE(WZ)I - Chairman DW under ADG(WR) & any two officers of the SEs(C) rank.  For Elect, HVAC and specialized Elect. Job contractors: CE(E)WZ -Chairman SE(E)P(WZ) & any two officers of the SEs(E) rank.
ADG(SR)	For Civil & Fur contractors: CE(SZ)I - Chairman DW under ADG(SR) & any two officers of the SEs(C) rank.  For Elect, HVAC and specialized Elect. Job contractors:

	CE(E)SZ - Chairman SE(E)P(SZ) & any two officers of the SEs(E) rank.
ADG(ER)	For Civil & Fur. contractors: CE(EZ)I -Chairman DW under ADG(ER) & any two officers of the SEs(C) rank.  For Elect, HVAC and specialized Elect. Job contractors: CE(E)EZ - Chairman SE(E)P(ER) & any two officers of the SEs(E) rank.
CE(Zone) (For Civil & Fur. Contractors)	SE(A)/SE(P), One SE(C), One EE(C)
CE(E)Zone (For Elect, HVAC & specialized Elect. Job contractors)	SE(A)E/SE(P)E, One SE(E), One EE(E)
SE(Circle) (For Civil & Fur contractors)	EE(A) of Circle, One EE( Civil Division), AE(P) of Circle
SE(E)Circle (For Electrical contractors)	EE(E)A of Circle, EE(E) of Electrical Division, AE(E)P of Circle.

**1.2.1** As a general rule, in stations where there are more than one CE or SE, CE of Zone-I or SE of Circle-I shall be the enlisting authority and Chairman of the Advisory Committee. However, ADGs shall, at their discretion nominate any other CE/SE as member of the Advisory Committee.

**1.3** As and when an application is received from contractor, the same should be scrutinised and if some documents/information is missing the application should be returned back to the contractor with reasons for rejection. Applications received by post or through messengers should be scrutinised and deficiencies to be intimated to the contractor and application returned in original, within one month. If all the documents are complete, an acknowledgement shall be issued to the contractor within one month of date of receipt of complete application.

**2.0 GENERAL**

Rules for enlistment of contractors in CPWD, 2001 are applicable from 1.4.2001. These rules are available in website [www.tenderhome.com](http://www.tenderhome.com). These can be downloaded from there. For further information, reference can be made to the following:

M/s Sugal Infotech Pvt. Ltd.  
6/35, W.E.A. Karol Bagh,  
New Delhi - 110005.  
Tel. No. 91-11-5765331/2  
Tel. Fax. 91-11-5748882  
email: [info@tenderhome.com](mailto:info@tenderhome.com)

**Appendix - 35**

(Reference-Para 35.8)

**CENTRAL PUBLIC WORKS DEPARTMENT**

No.

Dated, the ..... 20.....

Subject: In the matter of arbitration between ..... and Union of India, regarding the work ..... Agreement ..... No. ....

Whereas ..... has/have written to me vide his/their letter No. .... dated ..... that certain disputes have arisen between the above noted parties in respect of the above noted work. I ..... Chief Engineer, CPWD by powers conferred on me under Clause 25 of the said Agreement hereby appoint Shri ..... Arbitrator, Ministry of Urban Development, New Delhi as Sole Arbitrator to decide and make his award regarding

the claims/disputes by the Contractor, if any, however to their admissibility under clause 25 of the aforesaid agreement.

The \*\* amount of the claim(s) in dispute being Rs.1,00,000/-\* or above Rs.1,00,000/- the arbitrator shall give reasons for the award.

CHIEF ENGINEER

\*Score out what is not applicable.

Note\*\*: This para is to be omitted in cases where the amount of claim(s) is less than Rs.1,00,000/-.

To,

1. Shri  
Arbitrator.  
Ministry of Urban Development, NEW DELHI.
2. M/s ..... Contractor, with reference to his/their letter No. ....  
dated .....

Copy to:

1. Shri ..... S.E ..... Circle, CPWD, with reference to letter No. .... dated  
.....
2. Shri ..... E.E ..... Division, CPWD ..... with reference to his letter No.  
..... Dated .....

Arrangements may please be made to defend the case effectively. Legal assistance of the Counsel/SE(P) may be obtained where necessary.

Superintending Engineer/Executive Engineer should ensure that the bills of the contractors are finalised immediately, if not already done.

CHIEF ENGINEER

**Appendix - 36**  
(Reference-Para 35.15)

No. .... Dated, the..... 20.....

Subject: In the matter of Arbitration between:

..... Claimant

Vs

..... Respondent

Arbitration Case No. .... of .....

Whereas Shri ..... was appointed sole arbitrator by letter No. .... dated ..... in the above matter and whereas the aforesaid Arbitrator has been transferre/vacated his office on ..... I ..... Chief Engineer ..... (Zone) in exercise of my powers under clause 25 of the contract appoint Shri.....as the sole arbitrator to determine the disputes referred to the aforesaid arbitrator in accordance with the said clause 25. Shri ..... may start the proceedings from the stage at which the aforesaid arbitrator left off.

2. The amount of the claim in dispute being Rs.1,00,000/- and above, the arbitrator shall give reasons for the award in respect of each claim/dispute.

Chief Engineer

Copy to :

1. Shri ..... with the request to transfer the records of the case to Shri ..... at the earliest.
2. Shri ..... with the request to take over the records of the case from Shri ..... at the earliest.



**Appendix - 38**  
(Reference-Para 45.7)

The following rules shall be observed by the Departmental Officers while conducting Departmental auction for disposal of surplus stores and unserviceable materials :

**1. Publicity**

- (a) Wide publicity shall be given in all cases of auction of unserviceable materials and surplus stores. In cases of auction of stores valued at Rs.10,000/- or more (Reserve Price) publicity should invariably be given in the local English and Vernacular Press. In the important cases, auction notices should be published at least seven days ahead of the scheduled date of auction and also on the particular day of auction.
- (b) For all cases of auction registered notices shall be given to be local Registered Kabari Associations. These should be sent at least seven days in advance of the date of auction. In addition, the notice of auction may be endorsed to certain individuals, at the discretion of EE, if it is felt by him that it would be in the interest of the Government to do so.
- (c) Auction notices should invariably be endorsed to Sub-Divisions under the Divisions concerned and local Divisions for prominent display on the Notice Boards and also pasted on the Notice Board of the Division concerned as well as at the prominent place at the site of auction. In case auction is proposed to be conducted at stations other than Divisional Headquarters, notice for auction shall be sent to all Sub-Divisions as well as Offices of the State Departments for display on Notice Board. Record of notices sent to the Associations, individuals and offices, shall be properly maintained. Record of the dates on which they are pasted on the Notice Board of the Division etc. and the days they remain on the Notice board will also be kept. It will be the personal responsibility of the Head Clerk to watch that they remain on the Notice Boards till the date of auction.
- (d) Auction Notice should clearly indicate the particulars such as value of materials proposed to be disposed off by auction, conditions of auction, earnest money to be deposited and the time and date fixed for auction. It is also necessary to draw a set of detailed additional conditions depending on the materials proposed to be disposed off and also the locality in which the same is stored so that bidders may not prefer any claim due to misunderstanding or incorrect wordings provided in the contract documents.

**Inspection**

2. The materials to be auctioned should be properly stored and clearly stacked to enable proper inspection by the prospective bidders.

**Supervision**

3. Auctions shall be conducted in the presence of the Assistant Engineer-in-Charge. The Junior Engineer under whose supervision the materials have remained under custody will render all possible help to Assistant Engineer in discharging his duties and he will attend the auction. In case of auctions of stores the reserve price of which is more than Rs.50,000/- the auction will be supervised by the Executive Engineer concerned. In the case of auctions held at place outside the Sub-Divisional H.Qr. the auctions may be attended and final bids recorded by the JE provided the book value of the materials auctioned is not more than Rs.1000/-.

**4. Bid amount**

- (a) At the fall of hammer the highest bidder will be required to deposit in cash bid amount @ 25% of his bid money. Balance of the sale value shall be paid by the

buyer to the EE or his accredited representative after the acceptance of the bid within the time limits mentioned below:

- (i) In case bids which do not exceed Rs.5000/-, within 24 hours of the receipt of notice of the acceptance of the bid.
- (ii) In case of bids which exceed Rs.5000/-, within three days of receipt of notice of the acceptance of the bid.
- (b) The supervising Officer shall have the discretion to demand more than 25% of the bid money upto full amount of the bid, if considered necessary by him.
- (c) In case of bidder's failure to deposit the full bid money in time, the earnest money deposited by the bidder shall stand forfeited, the materials shall be re-auctioned. The name of defaulting bidders shall be intimated to CEs office for circulation to other Divisions, so that such bidders are debarred from bidding in future.

#### **Acceptance of Bid**

- 5. (a) The acceptance of the bid by the competent authority must be conveyed in writing (Registered AD) to the bidder as far as possible within five days from the date of auction. In case, the bid is to be accepted by SE it shall be conveyed within ten days.
- (b) It is not incumbent on officers of CPWD to out-right accept the highest bid, which can be rejected without assigning any reason to the bidder concerned, but he must record in writing his reasons for not accepting the same.

#### **Removal of Auctioned Materials**

- 6. (a) As far as possible, auctioned materials must be removed by the bidder within 3 days from the date of acceptance of bid. However, the materials will be allowed to be removed only after payment of bid money which will be accepted in cash or amount deposited by the bidder in branch of RBI/SBI and challan made over to CPWD. No cheques will be accepted under any circumstance.
- (b) As soon as the full amount of the bid money is made good by the prospective buyer, he would acquire his lien on the auctioned stores etc. and it will be his duty/responsibility to any damage done by way of pilferage, fire, or any other unforeseen calamity and no claim on this account shall be entertained.
- (c) The bidder will leave storage place of the material quite clean.
- (d) The materials will be removed from site in presence of the bidder himself or agent duly authorised by him in writing in this behalf.

#### **7. Records of Bids**

- (a) The Officer who supervised the conduct of auction, will maintain in his own handwriting, a complete record of all the bids offered by different bidders.
- (b) The scroll of bids will indicate the full description of the materials, reserve price, site, date and time of auction and will be signed by the Supervising Officer and at least two witnesses at the conclusion of the auction.
- (c) The bid sheet in triplicate should be signed simultaneously by the purchaser and the Supervising Officer.
- (d) The Supervising officer should send an immediate report about the auction to the next higher authority.

#### **8. Power to Accept the Bid**

Bids should be accepted by the Executive Engineer concerned. In case of bids below the reserve price the bids will be accepted by the next higher authority.





**Appendix - 40**

Form GFR7-1

PLAN

(Reference-Para 48.41)

**STATEMENT OF ACCEPTED ESTIMATES OF PLAN EXPENDITURE OF  
MINISTRY/DEPARTMENT OF .....**

\*1. Central plan

\*2. Centrally Sponsored Plan

\*3. U.T. Plan of ..... (Name of U. T.)

\*4. State Plan.

Revised Estimates, Current year

\*Please score out what is not applicable

(Amount in thousands of Rupees)

Head of Development Account of	Major Head of Account of	Number and title of Demand	Sub-heads and units of Appropriation in	Budget Estimates Current year			Revised Estimates Current year			Brief reasons for variations
				R	N	G	R	NR.E. and B.E.		
1	2	3	4	5	6	7	8	9	10	11

@ Total : Major Head .....

@ Total : Major Head .....

Grand

Total

@ Total under each Major Head to be struck separately.

G: Gross expenditure, R : Recoveries, if any, below the Demand, N: Net Expenditure

No.

Ministry/Department of

Dated, the

Forwarded, in (quadruplicate) to CAG, Ministry of Finance, Lok Nayak Bhawan, New Delhi.

Financial Adviser

For

**Appendix - 41**  
(Reference-Para 48.40)

**REVENUE RECEIPTS**

Ministry/Department/Union Territory :

Major Head

(In thousands of Rupees)

	FIRST MONTHS	LAST MONTHS	Total	
	Seven	Eight	Five	Four

**ACCOUNTS**

Third last year  
Second Last year  
Last year

**ESTIMATES**

Current year

Ensuing year

: Budget  
: Revised .....  
  
: Budget .....  
: Budget .....

Accounts 7 months			Accounts			Current year		Ensuing
Last year	Current year	Minor year	Third last year	Second Last year	Last year	Budget Estimate	Revised Estimate	

(Minor Head Wise) Explanation for increase/decrease

Signature.....  
Designation.....  
Date .....

**Appendix - 42**  
(Reference-Para 48.40)

Form GFR 5-A :

**ESTIMATES OF FOREIGN GRANTS CONCERNING  
THE ..... MINISTRY/DEPARTMENT OF .....**

(In thousands of Rupees)

Name of the grantor country/ body	Date of aid agreement received	Particulars of assis- tance to be	Total assistance expected	Receipt Major Head Year B.E.	Amounts to be provided in			Manner of utilisation of aid.*
					Current Year R.E.	Current Year B.E.	Ensuing	
1	2	3	4	5	6	7	8	9

Signature  
Designation  
Date

\* A brief note may be added indicating the project on which aid is to be utilised. In the case of material and equipment the relevant grant and expenditure Heads of Account under which (i) utilisation of material by Central Government Department/Projects, (ii) transfer of material to State, Union Territories and other Bodies will be adjusted and also whether the utilisation on transfer will be on Plan (State/UT/Centrally Sponsored or Central) or Non-Plan schemes should also be indicated. In cases where the aid material is proposed to be sold, the Receipt Major Head under which the proceeds will be credited should be indicated.

**Note:** Cash grants and assistance in the form of material and equipment should be indicated separately in Columns 3 to 8.

**Appendix - 43**  
(Reference-Para 48.40)

Form GFR 5-B

**ESTIMATES OF INTEREST RECEIPTS & LOAN REPAYMENTS**

Ministry/Department .....

(In thousands of Rupees)

INTEREST RECEIPTS		LOAN REPAYMENT			
B.E. Current year	R.E. Current year	B.E. Ensuing year	B.E. Current year	R.E. Current year	B.E. Ensuing year

1 \*\*Parties (Co-operatives,

Educational Institutions

\*displaced persons and  
other individual loanees  
except Government  
Servants)

2 \*\*Government Servants

---

Total

No. ....

Dated the .....  
.....Signature  
..... Designation

Ministry/Department .....

Forwarded, in duplicate, to the Ministry of  
Finance, Department of Economic Affairs,  
(Budget Division)

Estimates for each institution should be separately appended to the Annexure.

(\*\*Categories with which CPWD is concerned have only been included).

**Appendix - 44**  
(Reference-Para 48.36)

**DETAILED DEMAND FOR GRANTS ENSUING YEAR**

DEMAND NO. ....

Estimated strength of Establishment and provisions therefor.

Estimated strength as on 1st March

(In thousands or Rupees)					
Last year	Current year	Ensuing year Current year	Budget	Revised Current year Ensuing year	Budget
1.				Salary (a) Officers Indicate designation of each post and strength and provision therefor. (b) Staff Indicate types/ Categories of all posts and show in lump the estimated strength and provisions therefor  Total:	
2.				Allowances (other than Travel Expenses)	
3.				Wages	
4.				Travel Expenses	
				Total :	

**Appendix - 45**  
(Reference-Para 53.6)

**REGISTER OF OBSERVATION MEMOS RECEIVED FROM THE CHIEF TECHNICAL EXAMINER**

S.	No. & date of subsequent No. observation Memo.	Name of work and agreement No.	Name of contractor	Remarks regarding development and disposal
	1      2      3	4      5		

**Appendix - 46**  
(Reference-Para 53.7)

**REGISTER SHOWING OVERPAYMENT ASSESSED/POINTED OUT BY C.T.E.  
ORGANISATION AND SUBSEQUENT RECOVERIES EFFECTED**

Sl. No.	Ref. No. and date of agreement	Name of work and	Name of Contractor pointed out by CTE	Amount of over payment assessed/accepted by EE for recovery	Amount of over payment finally over payment	Actual date of recovery of	Remarks
1	2	3	4	5	6	7	8



1. Cash Book.
2. Cash Balance Report.
3. Register of Sale of tender forms.
4. Register of tender.
5. Cheque counterfoils and receipt books.
6. Remittances made into the Bank/Treasury.
7. Subsidiary Cash book.
8. Acquittance Rolls and T.A. Bills. Register of passed bills (CPWA 99) and Check Register of pay bills (CPWA 100).
9. Imprest Accounts.
10. Register of Contingencies.
11. Stock Accounts.
12. T&P Accounts.
13. Workshop Accounts.
14. Road Metal Accounts.
15. Manufacture Accounts.
16. Transfer Entries Books.
17. Registers of Property Accounts.
18. Register of Licence Fees of Land and Buildings.
19. Register of Immovable and Landed properties.
20. Register of Misc. Recoveries.
21. Register of C.T.E. Observations and Recoveries.
22. Register of Transfers Awaited.
23. Register of Misc. Sanctions.
24. Register of A.G./Adjustment Memos.
25. Register of Cash Settlement Suspense Accounts
26. Register of Deposits.
27. Register of Interest Bearing Securities.
28. Post Office Savings Pass Books.
29. Register of Purchases.
30. Register of Misc. Works Advances.
31. Schedule of Rates.
32. Register of Rates.
33. Register of Muster Rolls.
34. Log Books.
35. Records relating to works.
36. Workcharged Estt. Pay Bills/Pay Bill Register (TR28A).
37. Measurement Books.
38. Register of review of measurement books by the Divisional Accountant.
39. Standard Measurement Books.
40. Tenders and Comparative Statements.
41. Work Orders and Register of Work Orders.
42. Supply orders and Register of local purchases.
43. Contractors' Ledger.
44. Register of Contractors' Bills.
45. Works Abstract.
46. Register of Works.
47. Materials at Site Accounts.
48. Register of Sanctioned Estimates.
49. Service Books.
50. Work Charged Provident Fund Account.
51. G.P.F. Accounts of Group 'D' Staff.
52. Overtime Allowance claims.
53. Children Education Allowance claims.
54. Watchings of Actual.
55. Budget Estimates Surrender of unanticipated credits.
56. Incumbency's Register.
57. Register of Expenditure on Demolition, restoration etc.
  58. Rush of Expenditure during March.



**Appendix - 49**  
(Reference-Para 55.30)

**PROFORMA OF ABSTRACT OF THE CONTROL REGISTER TO BE MAINTAINED IN  
THE DIVISIONAL OFFICE**

Sl. No.	Period of Inspection Report		Outstanding at the beginning of the month		Added during the month		Dropped during the month		Balance at the end of the month		Remarks
	1	2	3	4	5	6	7	8	9		
	Paras		Sub-Paras	Paras	Sub-Paras	Paras	Sub-Paras	Paras	Sub-Paras		

**Appendix - 50**  
(Reference-Para 3.6.3)

**LETTER OF ACCEPTANCE OF DEPOSIT WORKS**  
(To be issued to the client Department)

To :

.....  
.....

Subject: Execution of Deposit Works.  
..... (Indicate name of Work)

The above work can be taken up by the CPWD as a Deposit work under Para 118-119 of CPWD Code, subject to the following:

1. Full estimated cost of the work as worked out by CPWD including departmental charges will have to be deposited by the client department before the work is taken up for execution. No interest will be paid by CPWD to the client department for such deposits.
2. The client department should hand over vacant possession of land/site to CPWD. CPWD may, if so required, take responsibility for demolition/disposal of existing buildings/structures.
3. CPWD does not bind itself to complete the work within the estimated cost. If additional funds are required, the same will have to be provided by the client department. Necessary revised estimate will be submitted as and when required.
4. Any dispute arising out of the operation of the contract(s) for the subject work will be subject to arbitration as provided for in the contract agreement. CPWD will defend the arbitration proceedings as best as it can and get the arbitrator's award examined by the appropriate authority. The decision of the competent authority in CPWD to accept the award or to challenge the same in a Court of Law will be binding on the client department.
5. Funds for making payment of all amounts which may be decreed by a Court of Law, Tribunal or by Award of an arbitrator in relation to the deposit work will be made available by the client department promptly irrespective of it not being a party before the Court, Tribunal or arbitrator. Such payments will be in addition to the payments made to the contractors for execution of work.
6. After receipt of A/A & E/S from the client department, the CPWD will prepare and submit various detailed architectural drawings and service plans to Local Bodies whose approvals are required before taking up the construction work. These Local Bodies are independent organizations and CPWD has no control over them. These Local Bodies take their own time for approving the Plans. The time required to get such approvals is not included in the time of construction indicated in the estimate. Although CPWD will make all efforts to get such approvals early, it may be necessary for the client department also to pursue with Local Bodies for early approval.
7. The CPWD has no funds of its own for investing in the work. The client should, therefore, ensure that adequate funds are available with CPWD for executing the work. In case the client department fails to provide funds as per requirements, it may be necessary for CPWD to suspend/abandon the work. In such eventuality, the client department shall be solely responsible for all the consequences arising out of such stoppage/abandonment of work including claims of contractors for compensation/damages.
8. The client department will help CPWD in — (a) providing site for labour huts for the contractors' labour free of cost, (b) providing free access to contractors' materials and labour to the site of work, (c) providing electricity connection for execution of work on payment of usual charges, and (d) sanction and release of load from the concerned Electricity Board/Authority.
9. CPWD may at its discretion allow the clients to deposit the funds in instalments. In such cases 33 1/3% of the estimated cost should be deposited as advance. Thereafter, expenditure incurred should be reimbursed in full through monthly bills. The initial deposit of 33 1/3% would be retained for adjustment against the last portion of the estimated expenditure.
10. In cases where funds are deposited in instalments, CPWD will not be responsible for any delay, damage, stoppage of work, claims of contractors for compensation/damages etc. due to non-receipt of funds in time.

You are requested to convey acceptance of the above to enable this office to proceed further.

Yours faithfully,

Executive Engineer

**Appendix - 51**  
(Reference-Para 4.30)

**ITEMS OF THE WORKS TO BE CARRIED OUT IN ADDITIONS AND ALTERATIONS**

1. Civil Side

- A. Items where 10% of the estimated cost is to be charged from allottees:
  - (i) Renovation of kitchen including breaking of chimney wherever existing, marble/kota stone on working platform, proper sink and drainage board, WGT in dado and renovation of shelves etc.
  - (ii) Renovation of toilet with marble flooring and white glazed tile dado including connected pipe work and chromium plated fittings.
  - (iii) Underground water tank/loft tanks including connected pipe work.
  - (iv) Wire-gauge shutters for doors/windows.
  - (v) Wash basin with looking mirror and glass shelves etc.
  - (vi) Provision of additional cup boards.
  - (vii) Creation of additional enclosed space by covering verandah etc.
  - (viii) Pelmets/curtain rods/grills in windows.
  - (ix) Provision of magic eye and other security related fixtures on entrance door/doors.
  - (x) Barbed wire fencing with iron gate around the quarters.
- B. Items where 20% of the estimated cost is to be charged from allottees:
  - (i) Bamboo Thattis.
  - (ii) Provision of collapsible shutters in the stair area.
- C. Items where 100% of the estimated cost is to be charged from allottees:
  - (i) Pavement of area around premises with suitable material in an approved manner.
  - (ii) Changing of Indian WC to European WC and vice-versa.
  - (iii) Change of flooring
  - (iv) Change in the type of finishing of walls with superior materials/paints.
  - (v) Change of colour scheme internally including painting etc.
  - (vi) Provision of partitions by split bamboos, chickenmesh, wood substitutes etc. inside the house and outside between house and servant quarters.
  - (vii) Provision of temporary sheds for car/scooter and also for pet animals.
  - (viii) Modifications in verandas by way of partitioning and addition/removal of doors/windows etc.

2. Electrical Side:

- A. Items where 10% of the estimated cost is to be charged from the allottees:
  - (i) Provision of additional power points/light points.
  - (ii) Provision of additional sockets for ACs (Industrial type).
  - (iii) Changing of light brackets.
  - (iv) Provision of flourescent tubes instead of incandescent lights.
  - (v) Provision of additional light points.
  - (vi) Provision of Additional Call bells, i/c Call bell point from main house to servant's quarters.
- B. Items where 100% is proposed to be charged from the allottees:
  - (i) Provision of additional ceiling fans/exhaust fans.
  - (ii) Provision of fancy light fittings.
  - (iii) Provision of additional compound lights and lights at gate pillars (except for Type VII & VIII).
  - (iv) Provision of flood lights surrounding the house.
  - (v) Provision of heaters/geysers/booster pumps i/c A/A in wiring and plumbing work.
  - (vi) Provision of compact flourescent lamps and fittings.
  - (vii) Changing of cable from feeder pillar to house, if required due to increased load in the house.

**CEILING LIMIT FOR ADDITION/ALTERATION WORKS TO BE CARRIED OUT FOR A PARTICULAR TYPE OF QUARTER DURING A YEAR**

Type of Quarters (Rupees)	Monetary ceiling
I 2900/-	
II 4000/-	
III 4000/-	
IV 10,500/-	
DI and DII Flats	21,700/-
CI and CII Flats	26,000/-
VII and VIII 39,000/-	