



# INTERNAL AUDIT REPORT ON ONGOING PROJECTS OF KWA

## FEBRUARY, 2022

### Overview

Some of the suggestions were made in the Internal Audit Report (IAR) for the period February to November 2021 regarding data visualization and hierarchical presentation of data in PASK for more focused usage of PASK, for timely project completion and to avoid audit objections in future. These suggestions are yet to be discussed and prioritized for implementation. In this report, those suggestions are tabulated in the form of a table showing the easiness/difficulty of implementation and the level of benefit obtained out of the same as well as the timeframe needed for them for the purpose of decision making.

Executive Engineer, IA Wing, KWA



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## **MONTHLY REPORT ON ONGOING KWA PROJECTS – FEBRUARY, 2022.**

**(Compiled by EE, Internal Audit Wing, KWA)**

### **Introduction**

For the purpose of decision making, the easiness of implementation and the benefit gained out of each suggestion put forward in previous IAR reports are presented in the abstract form below:-

Sl No	Suggestion	Easiness for Programing/ implementation	Easiness for data updating	Benefit	Benefit producing time	Reference
1	Document Shelf	Easy	Hard	high	slow	IAR Sept.2021 Page 8
2	Project Expenditure Register and Financial Progress	Easy	Easy	high	medium	IAR September, Page 9
3	Physical progress packages and project	Easy	Easy	medium	Fast	IAR September, Page 10
4	Risk based project review page	Medium	Medium	high	Medium	IAR August, page 8 -12
5	Different concerns for project review	Easy	Easy	High	Fast	
6	Package-wise Project co-ordination tool	Easy	easy	medium	fast	
7	project abstract Presentation	Easy	hard	high	slow	IAR February, 2021
8	Funding Agency-wise physical progress range chart	Easy	Easy	low	fast	IAR November 26, 27
9	Reorganise Hierarchical Dashboard	Medium	easy	high	immediate	This report
10	Project Implementation Plan	hard	hard	high	slow	IAR February, 2021
11	Create data authenticity in PASK	Easy	hard	high	medium	Do

### **1. Document Shelf**

One of the major reasons causing audit queries on project implementation is non-availability of the project related documents at the time of making payments. Especially,



RE sanctions, original sanctions given for the project etc. KWA is not able to settle most of the audit paras as these documents are not readily traceable in our offices.

*Document shelf, once prepared in PASK can be used as dependable reference resource for future as illustrated in Annexure 1.*

## **2. Project Expenditure Register and Financial Progress**

During the approval of final bill of packages, it is required to check whether on approval of the current bill, the total amount of expenditure made under the project will exceed the total AS amount of the project. It need to be verified whether the award amount of the package is exceeding or not and whether a supporting RE sanctioned document is available. There are many instances where total bills of Contractors passed exceeded AS amount without sanctioning Revised AS and invited severe criticism from the Board.

*In order to avoid above situation, Project Expenditure Register in PASK is a compulsory requirement. This register can be used to calculate the package financial progress and project financial progress, when the data is updated in the required fields (see Annexure 2).*

## **3. Physical progress of packages and projects**

Now physical progress of all packages and projects are individually submitted in PASK. But if the TS amount of all packages are completely made available in PASK, then rough estimate of the physical progress can be worked out in PASK itself from the physical progress of its packages. This will save time and avoid mismatch between actual physical progress and progress shown in PASK as illustrated in Annexure 3.

## **4. Risk based project Review Page in PASK**

Risk based review is a very effective tool for finding out the critical risks faced by ongoing projects and helping us to solve those risks before they cause irreversible delay or unproductive expenditure occurs in a project. Project review page shall contain the abstract progress of packages, Risk register and the Risk matrix in the same location to have a holistic view of the project and to helps to take timely decisions to avoid unproductive expenditure at an earlier stage itself. Pattern is shown in the Annexure 4 for reference.

## **5. Options to choose different concerns for project review**

Provision for an officer to conduct various types of reviews based on different priorities shall be made available in PASK, such as:

- Risk based review or
- Review of projects planned for completion during current financial year or
- Constituency-wise review or



- Division-wise review

## **6. Package-wise Project co-ordination tool**

Package-wise project coordination tool can be made useful for the purpose of knowing the number of ongoing packages in each physical progress range (ie. 0-10%, 10-20% etc., funding agency-wise), coming under each officer. This visualisation will help the concerned officer to push the packages from lower percentage of progress to higher and to identify any risks that are kept unrecorded in PASK and plan his project reviews accordingly. Sample visualisations are shown in Annexure 5.

## **7. Project abstract Presentation**

Project abstract presentation can be done based on the risk-wise category and the cost-wise category of the project.

*Sample tabular form is shown in Annexure 6.*

## **8. Funding Agency-wise physical progress range chart**

This chart visualises in which progress range is greater number of projects are there in a funding agency. This will help the concerned officials to push more projects from the peaks to next progress ranges by conducting prioritised reviews based on progress range. Some peaks can be justified by the recent approval of AS given under a funding agency and in such cases also possible planning can be done from such selection of projects from the peak of the charts.

*This can be presented in a manner similar to the one prepared for package-wise project coordination chart as shown in Annexure 5. By providing a filter for projects for selecting the projects planned for completion for the current calendar year or current financial year can display such projects which need priority.*

## **9. Re-organise Hierarchical Dashboard**

Dashboard of each officer is to be organised based on the actions he/she need to take related to project implementation.

*The details are presented in Annexure 7. Just by organising the available data and presenting it in an actionable form will give us a quick result and early project completion.*

## **10. Project Implementation Plan (PIP)**

Project implementation Plan is a very effective tool for project planning which forms the basis for comparison while project review is done and gaps if any found in the same shall be contributing to the project risk. This helps to verify the project progress and risk analysis systematically.



It will help a new official posted in a new office to clearly identify all the projects/packages/activities for which he/she is responsible and the dates at which he/she is expected to give relevant output to the project. This can be used for obtaining all activities “I am supposed to complete before a specific day” when one login to PASK. But this need a thorough planning after AS is obtained and also an approved Project Implementation Plan is to be sanctioned by the competent officer officially to create accountability and time bound results. Tools for easy reference like the time required for land acquisition, soil investigation, hydraulic/ structural design of components in ideal situations shall be kept approved by the competent authority. This will reduce the time required for planning/ preparation of PIP.

Based on the unique risks faced by the projects, provision shall be given to change the schedule as per the orders of competent authority based on records.

*Sample PIP is presented in Annexure 8.*

#### **11. Create Data Authenticity in PASK**

This is needed in future for making the data dependable for official verification for future use. Actions can be taken to verify and lock the authentic/certified data gradually.



### Annexure 1 - Document shelf

Since all the projects related documents are to be referred to by the officers at different levels, approved documents need to be systematically arranged inside each project.

**Table 6: Project related Document Table, to be systematically displayed in PASK**

SI No	Description	Sanctioned or not	GO/ Proceedings / Order /TS slip	Abstract of DER / PRICE Estimate	PRICE Estimate number
1	Administrative Sanction(Project)	YES	uploaded	upload here	type here
2	Revised AS(Project)	No	-	-	-
3	Deviation (Project)	No	-	-	-
4	Technical Sanction (Project TS)	No	-	-	-
5	Package-wise TS	Yes			
	Package A		Upload here	Upload here	type here
	Package B		Uploaded	Upload here	type here
	Package C		Upload here	Upload here	type here
6	Revised TS (Project)	No	-	-	-
7	Package-wise Revised TS	No			
	Package A		-	-	-
	Package B		-	-	-
	Package C		-	-	-
8	Estimate Re-casted				
	Package A	No	-	-	-
	Package B	No	-	-	-
	Package C	No	-	-	-
9	Revised Estimate (Package)	No	-	-	-
	Package A		-	-	-
	Package B		-	-	-
	Package C		-	-	-
10	Revised Estimate (Project)	Yes/No			

Documents uploaded in PASK shall be displayed in the format given in above table in the documents tab of PASK. Uploaded documents shall be visible in the table and empty cells should be seen as empty. For all the 9 items mentioned in the table except AS, provision to select yes/no shall be provided and the default shall be 'No'. Once an option is clicked 'Yes', then provision to upload document in the relevant cell can be activated.

For package-wise TS, when 'Yes' option is selected, then the list of the package codes shall be displayed below with relevant rows to upload the respective documents.



## Annexure 2 - Project Expenditure Register and Financial Progress

Though the Division offices have a clear picture about the up-to-date payments made, need for sanctioning the revised Estimate for packages and projects etc, while checking the payment eligibility for each bill in the head office, the total project expenditure status/data is not readily available for verification purpose. This may lead to irregular payments which may be noticed only at a later stage. In order to avoid such situations, it is necessary to keep an expenditure register inside PASK including all the financial details inside the register.

This register shall be displayed under a specific tab in PASK.

**Table 7: Project Expenditure status register to be systematically displayed in PASK**

Sl No	Project	TS amount /TS Provision	Award amount	Upto date Expenditure	Present Bill amount	Total	Check whether RE/ Revised AS is needed
1	Package A	10	9.8	7.5	4.6	12.1	Yes if (Total>Award Amount) else No
2	Package B	20	20.2	13.2	8.8	22	Yes if (Total>Award Amount) else No
2	Package C	30	30.7	23.89	4.8	28.69	Yes if (Total>Award Amount) else No
4	Others	17	-	19.06	7.5	26.56	
AS amount in Rs crore	80	77	60.7	63.65	25.7	89.35	Yes if (Total> AS) else No

At present, there is no provision in PASK to calculate the financial progress of project from the package-wise expenditure made. As the first step for the evaluation of financial progress of projects, TS provision of packages /TS amount of the package is to be submitted in the package data submission page in PASK.

**Table 8: Calculation of Financial progress of packages and Project to be included in PASK**

Sl No	Project components as per DER	TS provision in Rs crore	Expenditure in Rs. crore	Financial progress for package	Financial progress for the Project
1	Package - A	10	5	50.00%	
2	Package - B	20	13	65.00%	
3	Package - C	30	19	63.33%	
4	Others	17	8	47.06%	
AS Amount Rs in crore	80	77	45		56.25%

(45\*100/80)





### Annexure 3 - Physical progress of packages and projects

Physical progress of packages and projects are not matching in PASK for some of the projects. This is because the physical progress data of packages are updated by different officials at different times and it is not verified whether the project progress data is updated accordingly. In order to avoid this mismatch, it is advisable to update package physical progress alone in PASK and system should automatically update the physical progress of the project based on the package progress. This can be done by taking the weighted average of the physical progresses of the packages and considering the TS provisions of the Packages as corresponding weights.

**Table 9: Calculation of physical progress of project based on individual physical progress of packages**

Sl No	Project components as per DER	TS provision in Rs. crore	Physical progress of packages	Weighted sum of physical progress	Physical progress for the Project as weighted average
1	Package - A	10	30.00%	300	
2	Package - B	20	70.00%	1400	
3	Package - C	30	20.00%	600	
4	Others	17			
AS Amount in Rs. crore	80	77		2300.00	38.33%

$$(2300/(10+20+30))$$

Provision shall be given in PASK to upload the TS provision or the TS amount of all packages. Provision shall be given to submit the physical progress of packages alone. PASK need to calculate the project physical progress based on these data.

If the TS provision of all packages of a project are not submitted to PASK, till then, provision to submit the project physical progress of the projects shall not be disabled for that project, since it will lead to data loss.



### Annexure 4 - Risk based project Review Page in PASK

The project review page shall look as shown below, containing a project abstract at the top, Project Risk register below and the project risk matrix at the bottom.

PROJECT ABSTRACT (PROJECT CODE, FUNDING AGENCY, AS DATE: 23-10.2020)								
EXPECTED DATE OF COMPLETION - 10.10.2021, PHYSICAL PROGRESS:25 % FINANCIAL PROGRESS:20%								
Package	Scheduled			Actual		Variation of duration	Expected date of completion	Physical progress %
	Start Date	End Date	Duration	Start Date	Duration			
Package 1	01.01.2021	30.06.21	180 days	01.03.2021	190 days	5%	15.10.2021	20%
Package 2	01.01.2021	30.06.21	180days	02.04.2021	200 days	6%	20.10.2021	30%
Package 3	28.12.2020	30.06.21	180days	02.04.2021	200 days	10%	15.11.2021	25%
Package 4	01.01.2021	30.06.21	180 days	01.03.2021	190 days	5%	15.10.2021	10%
Package 5	01.01.2021	30.06.21	180days	02.04.2021	200 days	6%	20.10.2021	18%

PROJECT RISK REGISTER									
SI No.	Risk Number	Risk Description	Risk Assessment				Risk Owner	Status	Uploaded documents
			Cause	Consequence	Potential weightage of	Possible solution			
1	RCR001	P Road cut permission 2 xxx to yyy road from rrr junction to ddd (chainage 333 to 444) from PWD kkkk Executive Engineer	Road cut request was processed in time but the road work to elevate the road level started and thus the delay	This will affect the distribution to two zones of the project	5	Inter departmental co-ordination is needed for progress	AEE 1 Project Division	Details for communicating to PWD regarding the need for completion of the water supply project in time was submitted to the MD through CE for proper co-ordination actions.	Copies of letters to PWD
2	RCR002	P Road cut permission 3 mmm to nnn road from ddd junction to sss (chainage 333 to 444) from PWD ggg Executive Engineer	Road cut request delayed because permission to use land for construction of OHSR was delayed	This will affect the distribution to 3wards of KKK Grama Panchayat	5	No action from higher authorities needed	AEE 2 Project Division	possible to obtain the permission within a week	Nil
3	TPR001	P source feasibility 2 affected because Irrigation did not start the weir construction in time	Delay in starting the work by Irrigation Department	this will affect the whole project	5	Inter departmental co-ordination is needed. Or we may short-close the work to avoid unproductive expenditure.	SE/CE	works not started	letter given to Irrigation department
4	LPR001	P WP No. 11222 by 1 ddd in SSS Court.	Contractor is not willing to do the work	causes severe delay in project completion and cost recovery	3	arrange the work under risk and cost	AO with SE/DA with EE	Next sitting is on 00.00.2021 and favourable judgement is expected	Copy of WP and statement of facts given
5	APR001	P Design approval is 3 delayed from WASCON	Soil investigation Report showed changes in strata and hence redesign	two weeks delay in starting package 3	2	follow up	EE	EE PPD agreed to submit the revised design within 2 weeks.	Nil



PROJECT PHASE RISK MATRIX						Probability				
Risks	weir construction by irrigation	Land Acquisition	Railway Permission in Package 2	Local Protest in Package 3	Contractua l Agmt related	Common Occurren ce	Known to Occur	Could occur	Not Likely to Occur	Almost Impossibl e
Potential Consequences Catastrophic (5)	5	5	5			5	10	15	20	25
Major (4)						4	8	12	16	20
Moderate (3)					3	3	6	9	12	15
Minor (2)				2		2	4	6	8	10
Insignificant (1)						1	2	3	4	5

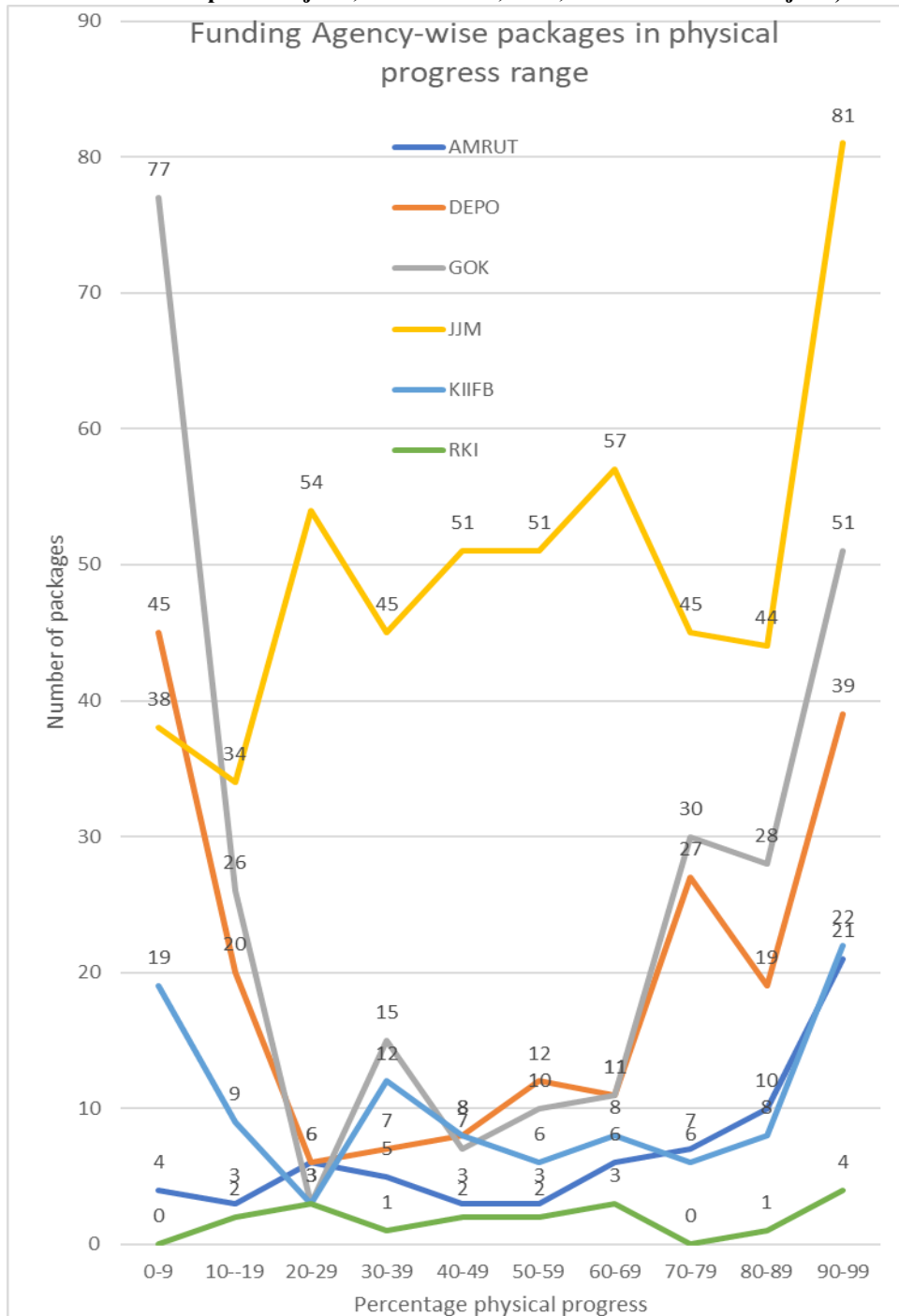
- In the Project Review page in PASK, expected date of completion shall be displayed along with package wise schedule and package wise actual progress so that the Project reviewing authority will get a clear picture of the project progress and the focus areas which need attention.
- While project Status updating is done from the field office, PASK will ask the present percentage of completion for each package and the date of submission of that percentage can be captured. Based on the date and % completion, actual duration of the package can be calculated by PASK and displayed in the Project review page as shown above.
- By using the calculated actual Duration expected date of completion of each package can be calculated by PASK and displayed in Package data.
- Since the focus is to be made for the timelines, the dates and durations shall only be displayed in the table and the underlined words in the above table shall be made to display the respective details, while placing the mouse over it.
- In the previous report on ongoing projects of KWA May 2021, it was suggested to provide options in PASK to submit the details of all the risks encountered by a project. Data entry pages for such details are being prepared now.
- The Project Risk Register shall contain all the risks identified for the project and shall be represented by the Unique Risk number inside the project. For assigning Risk Number, a three-letter risk code and the serial number representing the same kind of risk getting repeated inside the project can be used.
- Almost all of the risks faced by KWA projects can be kept under one of the Risks represented by the Risk codes which are already given in PASK and this can be used for Generating Risk number inside a project.



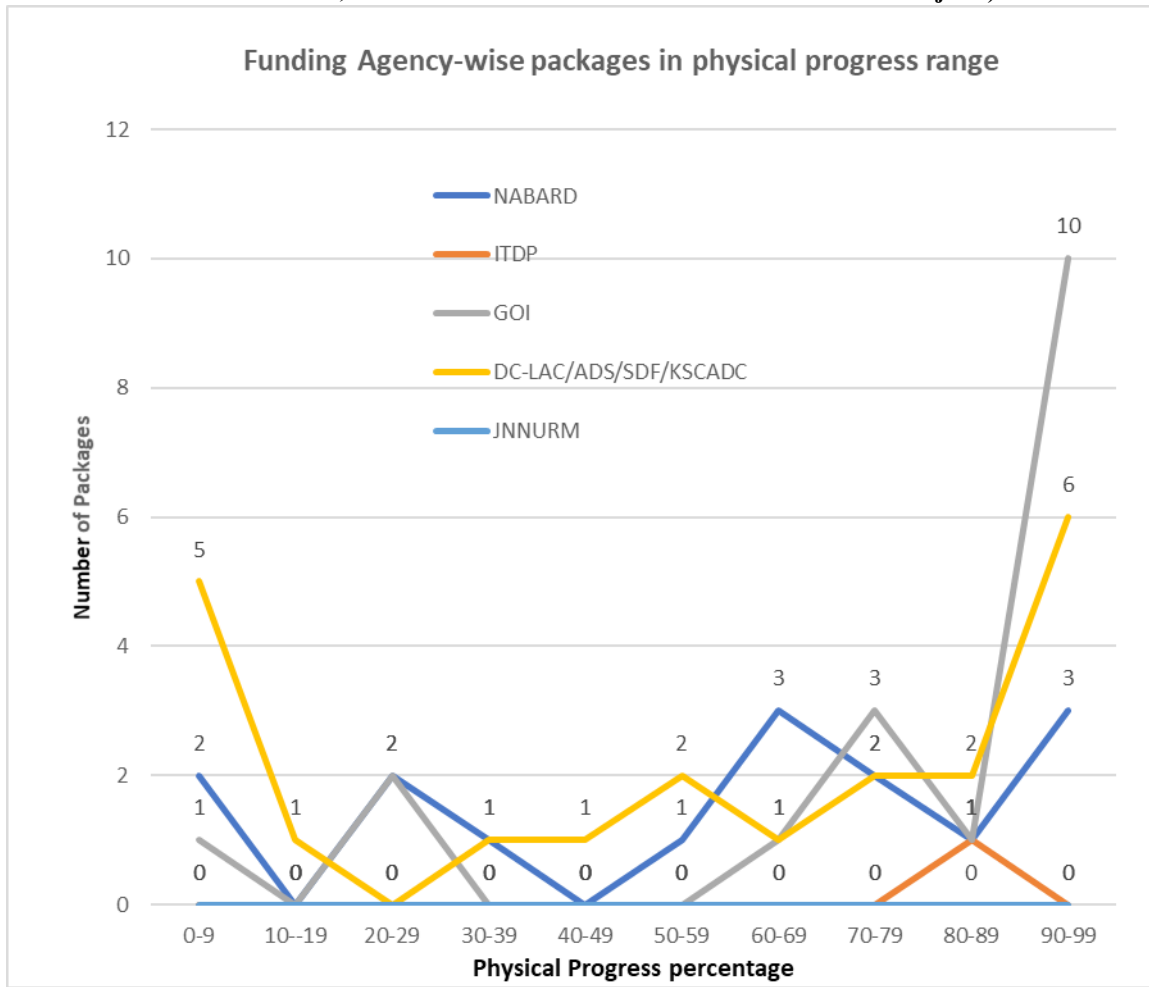
**Annexure 5 - Package-wise project co-ordination tool**

Package-wise project coordination tool in the form of the following chart can be made use in PASK.

**Chart showing funding agency -wise number of ongoing packages vs physical progress range (AMRUTH, Deposit Projects, GoK funded, JJM, KIIFB and RKI Projects)**



**Chart showing funding agency -wise number of ongoing packages vs physical progress range (NABARD, ITDP, DC-LAC/ADS/SDF/KSCADC and GoI funded Projects)**



Package-wise project co-ordination can be done with the help of PASK. For doing the same, it is suggested to present the funding agency-wise chart showing the number of packages in the defined physical progress range in the above format. This shall be presented after creating a new tab in the dashboard having the name 'Package-wise Project co-ordination'.

From the above chart, provision shall be made to see the list of the packages on clicking the numbers presented in the chart so that, the SE's or DCE's attention can easily be drawn to the higher number of packages in the same physical progress range. This may help to verify the risks caused in such packages and to do the risk analysis in PASK and keep regular attention on such risks.



### Annexure 6 - Project abstract presentation

The following format is suitable for the presentation of all KWA projects in the abstract form.

Sl No.	Category	Number of Projects												
		Completed	In Planning stage	Ongoing										
				Minor Projects (< Rs. 1 Crore)			Major Projects (>Rs. 1 Crore)							
				Targeted for completion in 2020-21			Targeted for completion in 2021-22							
				Total	With Risk		With Risk			Total	With Risk			
High	Significant	medium	High				significant	medium						
1	KIIFB													
2	AMRUTH													
3	State Plan													
4	NABARD													
5	RKI													
6	JJM													
7	Deposit Works													
8	Other Works													
9	JNNURM													
	Total	2503			1610		873 (roughly)							

It may be noted that this can be used only after the official representation of projects as in the planning state is made possible by relevant circulars. Procedures need to be set for the preparation and approval project Implementation Plan specific to each project which need long time for land acquisition or permissions before it enters the procurement stage.



## Annexure 7 - Reorganising hierarchical Dashboard

It is suggested that for the sake of simplicity and action oriented presentation, the hierarchical Dashboard shall contain the following alone. If an officer need to look to all projects of KWA, he/she may directly view it from the website.

### **My Dashboard**

- 1. My Pending Data Entry**
- 2. My Ongoing Projects**
- 3. My Packages of Ongoing projects**
- 4. My Bills**
- 5. My Project Risks**
- 6. My Risk Ownerships**
- 7. My Pending Bill Preparation**
- 8. My Pending Risk creation and Resolution**
- 9. My Reviews**
- 10. My Reports**

On clicking each of the above list, we may enter into the details as shown below.

#### **1. My Pending Data Entry**

This page shall contain projects, packages, bills and risks which are already created in PASK but their data entry has not done completely This page shall display the following table and the numbers in each cell may lead to the respective list which can be exported.

Sl No	My Data Entry in	Total Number	Total number of fields	No. of filled fields	No. of empty fields	Pending Percentage
1	My Projects	<u>250</u>	<u>3750</u>	<u>2678</u>	<u>1072</u>	<u>28.6</u>
2	My Packages	<u>310</u>	<u>5940</u>	<u>4300</u>	<u>1640</u>	<u>27.6</u>
3	My Bills	<u>20</u>	<u>200</u>	<u>110</u>	<u>90</u>	<u>45</u>
4	My Project Risks	<u>10</u>	<u>155</u>	<u>90</u>	<u>65</u>	<u>41.9</u>

New Risks or bills to be created cannot be presented in this list.

#### **2. My Ongoing Projects**

This page shall contain the following list, which can be clicked and details/charts viewed.

##### **1. My project Abstract**

This abstract shall be presented in the format shown in Annexure 6, containing the projects under the current officer.

##### **2. Funding Agency-wise Physical Progress**

Charts for the projects under the current officer, prepared similar to the one shown in Annexure 5 shall be presented here.

##### **3. Completion Plan**

- a. End of the current calendar Year**
- b. End of the current financial Year**



Chart with numbers in progress range can be displayed for the physical progress page. Under 'a' and 'b' of Completion plan, relevant expandable list in the following format shall be presented.

Sl No	Funding Agency	Project Code	Risk based category	Risk list	Risk owners	Action	Pending with
(1)	(2)	(3)	(4)	(1)	(2)	(3)	(4)
<b>1</b>	<b>KIIFB</b>	<b>3 no.s</b>					
		KIIFB3544	<b>High Risk</b>	OPR1443	AO Circle	Follow up	Contractor
		KIIFB5994	<b>Medium Risk</b>	OPR2543	DAM	Fund for RR	KWA
		KIIFB2939	<b>Low risk</b>	OTR1803	EE Proj	Discussion with MLA	other
<b>2</b>	<b>JJM</b>	<b>2 No.s</b>		APR5490	AE	Bill prep	KWA
		JJM68778	<b>Significant risk</b>	OPR1467	AEE1	Check measure	KWA
		JJM40098	<b>Low risk</b>	OPR1932	AEE2	Bill submit	Cont

Provision shall be made such that on clicking the underlined risk category of each project shall display their risk register so that quick view of all projects planned for completion during the year under the reviewer's jurisdiction can be made visible.

### 3. My Packages of Ongoing projects

This page shall contain the following list, which can be clicked and details/charts viewed.

#### 1. Funding Agency-wise Physical Progress

Charts for the packages under the current officer, prepared similar to the one shown in Annexure 5 shall be presented here.

#### 2. Completion Plan

##### a. End of the current calendar Year

##### b. End of the current financial Year

This can be prepared and presented in a similar manner to that of projects

Sl No	Funding Agency	Project Code	Risk list	Risk owners	Action	Pending with
(1)	(2)	(3)	(1)	(2)	(3)	(4)
<b>1</b>	<b>KIIFB</b>	<b>3 no.s</b>				
		<b><u>KIIFB3544P1</u></b>	OPR1443	AO Circle	Follow up decision from circle	KWA
		<b><u>KIIFB3544P2</u></b>				
		<b><u>KIIFB5994P1</u></b>	OPR2543	DAM	Fund for RR	KWA
		<b><u>KIIFB5994P2</u></b>				
		<b><u>KIIFB2939P1</u></b>	OTR1803	EE Proj	Discussion with MLA	other
		<b><u>KIIFB2939P2</u></b>				
		<b><u>KIIFB2939P3</u></b>				
<b>2</b>	<b>JJM</b>	<b>2 No.s</b>	APR5490	AE	Bill prep	KWA
		<b><u>JJM68778P1</u></b>	OPR1467	AEE1	Check measure	KWA
		<b><u>JJM40098P1</u></b>	OPR1932	AEE2	Bill submit	Contractor
		<b><u>JJM40098P2</u></b>				





Here packages are underlined. Provision shall be made such that on clicking the underlined package shall display their risk register so that quick view of all projects planned for completion during the year under the reviewer's jurisdiction can be made visible.

4. **My Bills** (details to be prepared based on the data related to bills, being acquired by the system)

5. **My Project Risks**

All project Risks related to the projects under the current officer shall be presented here in the following format.

Sl No	Risk Category	No of Risks	Risk owners to be assigned	Corr: No. of Projects	Corr: No. of Packages
1	APR	<u>151</u>	<u>28</u>	<u>26</u>	<u>32</u>
2	RCR	<u>220</u>	<u>53</u>	<u>30</u>	<u>42</u>
3	TPR	<u>129</u>	<u>12</u>	<u>20</u>	<u>34</u>
4	SPR	<u>152</u>	<u>28</u>	<u>28</u>	<u>32</u>
5	TCR	<u>224</u>	<u>54</u>	<u>38</u>	<u>42</u>
6	CRR	<u>125</u>	<u>11</u>	<u>21</u>	<u>29</u>
7	KOR	<u>158</u>	<u>28</u>	<u>28</u>	<u>32</u>
8	LRR	<u>220</u>	<u>59</u>	<u>32</u>	<u>42</u>
9	NCR	<u>126</u>	<u>12</u>	<u>21</u>	<u>37</u>
10	OPR	<u>220</u>	<u>58</u>	<u>37</u>	<u>49</u>
11	LPR	<u>125</u>	<u>13</u>	<u>21</u>	<u>41</u>

All the underlined numbers in the above table shall be able to show the corresponding list in an exportable format

6. **My Risk Ownerships**

All Project Risk Ownership assigned to the current officer shall be presented here in the following format.

Sl No	Project Code	Risk Code	Risk description	Action Entrusted	Date of giving ownership
1	<u>KIIF2944</u>	<u>KOR394</u>	Design approval	Follow up with WASCON	12.3.2022
2	<u>JJM4549</u>	<u>CRR289</u>	Rate increase request	Discussion with the contractor	28.03.2022
3	<u>GOK1099</u>	<u>OPR784</u>	PWD work being delayed	Discussion with PWD EE and contractor	2.04.2022
4	<u>DEPO3134</u>	<u>LPR573</u>	High court case pending	Discussion with the CLO	05.04.2022

7. **My Pending Bill Preparation**

1. For Projects

2. For Packages



Each of the above shall display the following expandable tables

1. For Projects

Sl No	Funding Agency	Project code	Physical progress %	Financial progress %	Gap	Pending Bill preparation amount (Approximate)
<b>1</b>	<b>KIIFB</b>	<b>2 no</b>				<b>134.43L</b>
	1	KIIFB3292	30%	19%	11%	73.24L
	2	KIIFB2309	28%	10%	18%	61.19
<b>2</b>	<b>JJM</b>	<b>1 No</b>				<b>35.89L</b>
	1	JJM3232	80%	40%	40%	35.89L

This table can be made expandable by clicking the funding agency name.

2. For Packages

Sl No	Funding Agency	Package code	Physical progress %	Financial progress %	Gap	Pending Bill preparation amount (Approximate)	AE in charge
	<b>KIIFB</b>	<b>5 no</b>				<b>134.43L</b>	
1	1	KIIFB3292P1	20%	11%	9%	13.24L	AE2
	2	KIIFB3292P3	18%	5%	13%	30.00L	AE5
	3	KIIFB3292P4	52%	22%	30%	40.00L	AE1
2	1	KIIFB2309P5	20%	10%	10%	50.00L	AE2
	2	KIIFB2309P7	38%	10%	28%	11.19L	AE5
	<b>JJM</b>	<b>1 No</b>				<b>35.89L</b>	
	1	JJM3232	80%	40%	40%	35.89L	AE3

## 8. My Pending Risk creation and resolution

Risks yet to be created in the system and managed properly can be identified from the following presentation in tabular form.

Sl No	% Variation in duration	Number of projects in each Category of Project			
		High	Significant	Medium	Low
1	<0%	25	64	33	35
2	0-25%	23	4	<u>6</u>	<u>6</u>
3	25-50%	10	<u>3</u>	<u>5</u>	<u>9</u>
4	50-75%	11	<u>15</u>	<u>4</u>	<u>7</u>
5	76-100%	5	<u>6</u>	<u>8</u>	<u>2</u>
6	>100%	10	<u>55</u>	<u>30</u>	<u>25</u>

Projects in columns shown as red can be checked whether all risks are submitted in PASK or not since they are all delayed projects. On mouse pointing the underlined columns, a list of the relevant projects shall be made visible. This list shall be made exportable for official use.



For the above presentation, provision to calculate the % variation of duration of projects shall be created in PASK using the planned duration and actual duration similar to the one done for packages.

## 9. My Review

This page shall give a filter to choose projects for review. Filter can provide

- Offices under me to choose (Subdivisions and Sections in case of EEs)
- Risk categories to choose (high risk projects, significant risk projects, medium risk projects and Low Risk Projects)
- Completion plan-wise (Targeted for Completion current calendar year, current financial year, next calendar year, next financial year)
- Constituency-wise
- Funding agency-wise (JIM, KIIFB, GOK, DEPOSIT, RKI etc)

**Updated Gap analysis** of different kinds already prepared for several reviews shall be attached to the relevant review pages for funding agency-wise reviews.

Whatever actions has been done during the last review shall be made visible in the review page of the respective project, along with the actions taken by the risk owners regarding the tasks assigned to them.

If after the last review, another review was done by any superior officer, the corresponding risk owners shall be visible for the current officer visible in a separate tab showing the review by superior officers for reference.

## 10. My Reports

1. My projects having no AS amount
2. My projects having zero packages
3. My packages having zero TS amount or TS provision
4. My projects having zero physical progress-to assess risks
5. My projects having 100% Physical progress -to follow up financial completion
6. My packages having zero physical progress-to assess risks
7. My packages having 100% physical progress -to follow up financial completion
8. My High Risk projects
9. My projects-delayed
10. My Projects for which Expected date of completion is missing
11. My Projects where document shelf is empty



## **Annexure 8 - Project Implementation Plan (PIP)**

One of the main reasons for delay of KWA projects is found to be low priority given for Project Planning. Once AS is issued for a project, it is viewed as ongoing project. Though project planning time is not officially allotted for new projects, focus is given for monitoring project progress immediately, without giving sufficient importance to the risks which may affect contractual agreement. (Land acquisitions needed prior to tendering, fund flow confirmation from finance wing of KWA). Time needed for site survey, soil investigation, structural design, prior to tendering is also most of the time neglected or given less importance. Proper Project Implementation Schedule showing the time when the projects need to start approaching other departments for permissions, approved time for starting tendering procedures and the officials who are responsible for the same as per delegated powers is not officially prepared and approved (and kept as an official record for reference) before starting implementation. Hence, when officials change due to promotions or transfers, project continuity is lost and it takes much time for the new personnel to be in track.

It is appropriate to provide an approved time for planning stage of each project where land acquisition, soil investigation, detailed design etc can be completed prior to the entry to contractual agreement. Initiating actions for permissions needed from other departments during planning stage can help in obtaining these permissions at the right time during implementation stage and to reduce time and cost overrun.

For all projects for which, AS is issued, a Project Planning Period is to be assigned/approved and such projects can be categorised as Projects under planning stage. A few standard formats for Project Implementation Schedule can be prepared for water supply Projects with all kinds of components, land acquisition needs and all kinds of permissions needed from other departments but differing in capacities of treatment plants and or service reservoirs. Utilising this standard format, Project Implementation schedule can be prepared by the TS issuing authority and got approved by of AS issuing Authority. Duration of planning time needed will be a part of this schedule and progress monitoring can be done based on this approved schedule. The activities to be done after finishing the works as per contract, trial run and commissioning of scheme, issuing completion certificate, collection of utilisation certificates for road restoration from PWD etc., handing over the scheme to the operation and maintenance Division etc. can be viewed as Project completion stage. All Revised estimate needs of the Projects are to be sanctioned and completion of the project is to be ensured before this completion period is over. The following Activities can be done in the planning stage

- b. Project Implementation schedule can be prepared by TS issuing authority (support of AEE in the office of the CE or PA to SE etc.) and got approved by the AS issuing authority / the head office if AS is from the Government (necessary entry shall be made in PASK also). If it is a deposit work or AS is issued form the Government, the office where the AS from outside KWA is received may approve and put the approved Project implementation schedule in PASK. It shall show time when the projects need to start approaching other departments for permissions, approved time for starting tendering procedures and the officials who are responsible for the same as per delegation of powers.



Sample Project Implemetation Schedule											
(To be prepared during the time of issue of TS)											
Sl No	Month	Jan-21	Feb-21	Mar-21	Apr-21	May-21	Jun-21	Jul-21	Aug-21	Sep-21	Oct-21
Project Planning Stage	Responsible official	Plannng Stage			Implementation stage						Completion
	land Acquisition joint inspection	SE									
	Site survey 3 Tanksites and WTP site	AE 1 Proj Div									
	Soil investigation 3 tank sites	AE 1 Proj Div									
	Structural Design OHSR 1		AEE 1 PPD								
	Structural Design OHSR 2		AEE 2 PPD								
	Structural Design OHSR 3		AEE 3 PPD								
	Railway Permission for Transmission Main		SE								
	PWD permission for Distribulsion Zone 1		EE Proj								
	Tender Document Package 1 WTP		AE 1 Project								
	Tender Document Package 2 OHSR		AE 2 Project								
	Tender Document Package 3 GLSR		AE 3 Project								
	tender publicity time Pacakge 1			SE							
tender publicity time Pacakge 2			SE								
tender publicity time Pacakge 3			SE								
Implementation stage	Tender finalisation time Package 1				CE						
	Tender finalisation time Package 2										
	Tender finalisation time Package 3										
	Implementation Package 1					EE AEE					
	Implementation Package 2										
	Implementation Package 3										
	Recording and bill preparation Package 1					AE 1					
	Recording and bill preparation Package 2					AE 2					
Recording and bill preparation Package 2					AE 2						
Sanctioning RE							SE	SE	SE		
Project Completion Stage	trial run and commissioning										EE
	Sanctioning all Revised Estimates										SE
	Final bill payment and closing packages										EE
	Utilisation certificate from PWD/Corporation										EE
	Completion Certificate										SE
hanading over to Operations Division										EE	
Purpose of Project Implementation schedule											
1. Avoid missing major risk factors at the planning and early stage of implementation (to avoid dead investment when we identify the risk at later s											
2. When a new official is posted in a position, he will be clear about his responsibilities at the particular point of time											

- c. Land acquisition can be completed in planning stage if sufficient time is allotted for it. Details (survey number and non-encumbrance certificate and other details) of the proposed land to be submitted to revenue department with intimation to the special officer Land Matters, KWA for speed up the issue of GO, Joint inspection, social impact study, preliminary notification, valuation, approval of valuation by SLEC chaired by Chief Secretary etc. These can be completed before entering into contractual agreement, if sufficiently scheduled these needs and monitored.
- d. Site survey, soil investigation, structural Design, preparation of tender documents etc. are to be completed in planning stage.
- e. Approaching other departments for permission, road restoration estimate etc. can be initiated, joint inspections and assessment of amounts for the same finalised. If it seems as a major risk, informed decision for stopping further expenditure on affected packages can be made earlier.
- f. Project Risk Identification to be done in planning stage. All possible risks that may come across during the project implementation shall be identified and preventive measures planned during planning stage itself. (details follows)

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