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No. A/87273/DGQA/ADM/RMD(CW)

Mar 2016

**MINISTRY OF DEFENCE**  
**DGQA/ADM/RMD(CW)**

**STANDARD OPERATING PROCEDURE (SOP) FOR**  
**PLANNING OF MAJOR WORKS**

1. A copy of SOP on Planning of Major Works duly approved by DGQA is forwarded herewith.
2. A soft copy of this SOP will also be put up on DGQA website. It is requested that establishments under your Dte may please be disseminated this SOP and instructed to strictly follow this SOP for processing major works with HQ DGQA.

**Encl** :- As above

(Amod Chandna)  
Lt Col  
Jt Dir(Works)

**DQA(A)**

**DQA(L)**

**DQA(V)**

**DQA(CV)**

**DQA(M&E)**

**DQA(CV), Cell**

**DQA(R&S), Cell**

**DIQA, Bangalore**

**DQA(S)**

**DQA(N)**

**DQA(EE)**

**DQA(WP)**

**DQA(R&S)**

**DQA(M&E), Cell**

**Internal**

PPS to Spl DGQA  
PPS to ADG(Adm)

- For perusal of Spl DGQA please.
- For perusal of ADG(Adm) please.

**Copy to :-**

OIC, SDCC

- You are requested to put up the SOP on DGQA website. A hard copy and soft copy is forwarded to you.

## **STANDARD OPERATING PROCEDURE (SOP) FOR PLANNING OF MAJOR WORKS FOR DGQA**

### **General**

1. The present system of processing of Works is based on Defence Works Procedure (DWP) - 2007. While relevant details are received, a few Dte/Establishments appeared to be apprehensive about applying the same while projecting their cases or subsequent processing/follow up.
2. The aim of formulating these instructions/SOP is to streamline and standardize the process of planning of Major Works in conformity with Defence Works Procedure (DWP)-2007 and further to earmark responsibilities at all levels so that majority of projected works as per Annual Works Maintenance Programme (AWMP) are finally sanctioned by various CFAs.

### **Shortcomings in processing of Works**

3. The following are the shortcomings in processing of the Works cases:-
  - (a) Establishments/Dtes forward a list of works without mandatory supporting documents like Statement of Case (SoC), Rough Indication of Cost (RIC) and Engineer Appreciation (EA) as per Para 22 of DWP.
  - (b) Establishments project large number of works ranging from 5 to 15 works without going into the necessity/ priority of each work.
  - (c) Some establishments are resorting to splitting of works.
  - (d) As the initial details are not worked out in consultation with MES, numerous special items (Are items not authorized or scaled as per Scales of Accommodation for Defence Services-2009), gross variations from planned cost and delayed mandatory documents are observed during approval stage.
  - (e) No parallel planning for next year/subsequent years is being done. Works for a Financial Year are generally planned at fag end of the previous Financial Year or even during the current Financial Year.
  - (f) Not more than 25% of works initially projected by some of the establishments are finally sanctioned. Further, establishments are also not able to process all works included in 'List of Approved Works'. Details of last 3 years are as given below:-

Year	Projected	Included in the Approved List	No of Works sanctioned
2013-14	269	197	64
2014-15	171	133	87
2015-16	181	156	74*

Note : \*74 Works have been accorded Adm Approval as on 07 Mar 2015.

(g) Some of the Board of Officers (BOO) are presently being ordered by establishments, which is in contravention of Para 23 of DWP (copy enclosed).

### **Powers of DGQA for Works**

4. Vide Ser No 23 of MoD letter No 62921/Delegation/DGQA/Adm/RMD/Budget/1798/D(QA) dated 25 Aug 2011, DGQA has been accorded the following powers in respect of Works:-

<b>Ser No</b>	<b>Type of work</b>	<b>Without IFA Concurrence</b>	<b>With IFA Concurrence</b>	<b>Remarks</b>
(a)	Authorised Work #	Rs 40 Lakhs	Rs 300 Lakhs	#As authorized in Scales of Accommodation (SoA) for Defence Services, 2009
(b)	Special Items *	Rs 4 lakhs	Rs 15 Lakhs	* All items not listed in SoA 2009 or for which no scales are laid down.

### **System of Processing of Works**

5. **Main Stages.** The process of planning of works has been categorized into five main stages and details of action taken at various levels are as given below :-

<b>Stage</b>	<b>Action</b>	<b>Responsibility</b>	<b>Remarks</b>
I.	Forwarding of Statement of Case (SoC) along with Rough Indication of Cost (RIC) and Engineer appreciation (where applicable) both prepared by MES, as per Para 22 of DWP	Establishment/ Directorate	- By Sep of Previous year i.e. by Sep 16 for FY 2017-18. - Ref Appx 'A' 'B' 'C' for SoC, Rough Indication of Cost (RIC) and Engineer Appreciation (EA) respectively.
II.	Finalisation of Approved list of Works for FY and according of Acceptance of Necessity (AON) at DGQA level. (Inclusion of approx 100-120 works in Approved list based on available MES resources, Manpower at Est, Dte and this HQ for processing of works)	HQ DGQA (Works)	By Dec of Previous year i.e. by Dec 2016 for FY 2017-18.

III.	<b><u>Board Proceedings to be ordered</u></b> by various HQ as given below (as per Para 23 of DWP)		
	(a) <b><u>MoD</u></b> : (i) Auth works > Rs 300 Lakhs (ii) Special Item > Rs 15 Lakhs.	HQ DGQA (Works)	Dec of previous year i.e. Dec 16 for FY 2017-18
	(b) <b><u>IFA(MAP)</u></b>  (i) <u>For all Auth Wks</u> :40 Lakhs to 300 Lakhs or above.  (ii) <u>For all Special Items</u> 04 Lakhs to 15 Lakhs.	Directorate	Dec of previous year
	(c) <b><u>DGQA Power Works</u></b>  (i) <u>Auth Works</u> < 40 Lakhs .  (ii) <u>Special Items</u> < 04 Lakhs	Establishment	Jun of FY for which AON accorded i.e. Aug 16 for FY 2016-17
IV.	Receipt of BPs, AEs and additional documents as required for all MOD/IFA works as per requirement of finance authorities at HQ DGQA.	Establishment/ Directorate	- By Mar of previous year i.e. Jun 16 for FY 2016-17 - Refer Appx 'D' for AEs - Refer Para 7 below for additional documents.
V.	Processing of works for sanction	HQ DGQA (Works)	By April onwards for Works accorded AON in Current year i.e. by Apr 16 for FY 2016-17.

**Note** : As per Para 22 and 39 of DWP, reproduced at Appx 'A' to this SOP, Engineer Appreciation is mandatory for all works costing more than Rs. 2 lakh. However, this document may be enclosed for new major Capital works ie New Works costing more than Rs. 25 lakhs which are to be processed at this HQ for seeking approval of DGQA/MOD as the Competent Financial Authority.

6. **Additional Documents Required for MOD/IFA power works.** As per delegation of financial powers, all authorised works costing more than Rs. 40 lakhs are required to be concurred by the IFA (MAP), before approval of concerned CFA can be accorded. In addition to documents already mentioned in table above at Stage I and Stage IV, the following additional documents, as applicable, are required to be submitted during Stage IV for such works :-

- (a) **Accommodation Statement Part I and II** incl PE of est(if applicable)
- (b) **Quarterly Forecast Return for Market Variation (MV) incld Notes**— which is issued every Quarter ending by Chief Engineer office and Difference in Cost of Stores (DCS).
- (c) **Market analysis (of Non SSR Rates)** To be duly countersigned by Competent Engineer Authority (CE/CWE/GE/AGE) in respect of rates taken by MES for items from Market or Assessed .

- (d) **Policy letter** If any policy letter is involved in the proposal. e.g. Authority for adding Service Tax or extra % for Night Working in Approximate Estimates(AEs) or in Rough Indication of Cost (RIC).
- (e) Administrative Approval in respect of rates taken from previous released works.
- (f) **Land Availability certificate** or NOC from Factory(if applicable)
- (g) **Area furniture rate list**(if applicable).
- (h) **Water and electricity availability certificate**(if applicable).
- (j) **Plinth area rates** for Married and Other Than Married (OTM) accommodation by GE duly supported by authority of MoD/ E-in-C's branch
- (k) **Special Repair (SR) Certificate by GE** that "No special repair of similar nature has been carried out in Building No \_\_\_ for ----- (name of proposed work) for the last five years and the repair cost is less than 50% of Building/asset cost."
- (l) **Restricted Area Certificate by HoE** In case in AE-II, the Total Cost includes rates for Restricted Area, a certificate to be issued by HoE that " ---- (Name of work) will be carried out in Restricted area" .
- (m) **Utilisation certificate by HoE** For Works involving Married Accommodation, Utilisation certificate by HoE that " It is certified that ----- (Name of Work) will be carried out in quarters occupied by DGQA Staff only".
- (n) **Layout or sketch or coloured photographs** (if felt necessary to support the projected case).
- (o) **Special Items** Those items for which no scales are laid down or not covered in Scales of Accommodation (SoA) for Defence Services 2009. e.g. **Aluminium doors/ windows are authorized in coastal region only.**  
For Plains : Same are to be taken as Special Item .  
The following points to be noted :-
- (i) Separate Statement of Case justifying why authorized items cannot be used and only Special Items are required.
- (ii) Separate Approximate Estimate II for Special Items to be given by MES Amount of same should be reflected in AE-I also.

7. **Merit of System.** Implementation of the system would have following merits :-

- (a) Works would be processed as per DWP-2007.
- (b) It would facilitate in proper utilization of funds for the current year and generating demand for next financial year.
- (c) It would limit/control number of audit objections.
- (d) Simultaneous planning for current and next financial year would be done.
- (e) It would ensure better utilization of available MES resources.

(f) Infrastructure needs of organization would be better met through maintenance of existing assets and provisioning of new works.

### **Conclusion**

8. These instructions have been prepared to enhance the efficiency of organization in planning of Major Works. In addition to laying down responsibilities at different stages of processing/demand of works, endeavor has been made to familiarize the Dte/establishments with DWP-2007 and amendments issued from time to time by E2(PPC),E-in-C's branch. These instructions will be followed for planning of all Major Works and any modification to these instructions may be done in sync with future amendments to Defence Works Procedure (DWP) on approval of DGQA.

9. This has approval of DGQA.

(Amod Chandna)  
Lt Col  
Joint Dir (Works)  
For DGQA

EXTRACT OF PARA 22 AND 39 OF DWP -2007

**IX DEMAND FOR PLANNING OF NEW WORKS**

**22.** Demands for new Major Capital works services will be submitted in the form of a Statement of Case to the Competent Financial Authority for consideration and approval. The Statement of Case will inter alia explain :-

(a) The need for and scope of the works proposed.

Whether besides construction works, the proposal project includes procurement / manufacture / installation / storage of new / special equipments or armaments, or setting up new operation related facility including special repair and maintenance of capital assets with which the civil works have to be integrated.

(b) The type of construction - authorized or special, permanent or temporary - required.

(c) The target date by which the completion of the proposed works are desired.

(d) The desired location and availability of land, if any.

(e) If land is not available, the time likely to be taken for obtaining the same and for site development, environment clearance, etc..

(f) Extent of enabling works and external services or utilities of preparatory nature required.

(g) Need for engaging an outside consultancy agency, if any, for the total project or any part thereof, viz., pre-and post-administrative approval planning, design, detailed engineering, project management, etc.

(h) A rough cost estimate in the format at **Appendix 'B'**.

(j) An Engineer appreciation in the format at **Appendix 'C'**.

**XVI Processing of Low Budgeted Works**

**39.** In case of Low Budgeted Works, i. e., original capital works costing more than Rs.2 lakh, **but less than Rs.15 lakh**, these works will be sanctioned by the CFAs after the Annual Low Budgeted Works Programme has been approved as per para 19 above and bulk allotments of funds for this purpose in the relevant financial year have been made to the respective CFAs. Board Proceedings can be dispensed with in case of Low Budgeted Works costing up to Rs.10 lakh, if so decided by the CFA. Administrative Approval in such cases will be based on consideration and approval of a Statement of Case as per Para 22 above by the CFA and Approximate Estimates as per Para 30 above.

Rough Cost Estimate

STATION –

NAME OF PROJECT

<u>S.No.</u>	<u>Item of Work</u>	<u>Basis of Calculation</u>	<u>Cost (Rs.)</u>	<u>Remarks</u>
(a)	(b)	(c)	(d)	(e)
1.	(a) Cost of land (b) Surveys and Soil Investigation (c) Site clearance and development including demolition			Basis will be Plinth Area Rates approved by MoD plus Add for Market Variation (MV) and difference in cost of stores.
2.	(a) Building (including internal services like water and electric supply etc.) (b) Air-conditioning & Refrigeration			
3.	Special items including cost of installation of equipment, plants, if any.			
4.	Furniture	At 5% of item 2(a)		
5.	External Services (rough cost of roads, water and electrical supply, sewage disposal and area drainage)	At 25% of item 2(a)		
6.	Arboriculture, if any			
7.	Consultancy, if any			
8.	Contingencies (3 % on items 1 to 6)			
9.	*Establishment (limited to 2% on items 1 to 6)			
10.	Add for works involving other agencies.		<b>Total</b>	

\*

NOTE:

For AEs for MoD Establishment works, establishment cost will not be included, however for deposit works it will be included.



**Format For Engineer Appreciation**

1. Board categories of works proposed-Married and / or OTM accommodation, workshop/storage facilities, roads, runways, utilities or any other construction facility.
2. Details of each category of works including size and nature of accommodation and scales and specifications proposed.
3. Type of constructions proposed-permanent / temporary, authorized / special.
4. Brief details of preparatory works or services required-site surveys and development, roads and communications, external services etc. and the rough cost thereof.
5. Time required for preparatory works before commencement of the main works.
6. In case of married accommodation, ---
  - (i) total number to be provided for - (rank-wise separately for single and married)
  - (ii) number to be accommodated by additions and alterations with purpose for which originally constructed --- -do-
  - (iii) number to be accommodated in new construction or in tent plinths or a combination of both (each indicated separately) with brief description i.e., permanent semi-permanent, prefabricated or temporary --- -do-
7.
  - (a) Type of construction for which A/As are to be done
  - (b) Brief description of original accommodation— Permanent, semi - permanent or temporary.
  - (c) Approximate area of buildings involved
  - (d) Brief description of A /A involved.

8. Are any special items of works involved including those which depart from approved scales of accommodation? If so, reasons for deviation, approximate quantities such as square footage of floors and costs separately.
9. Any new or special technical facility works or accommodation beyond approved or known scales/specifications required for which detailed study and cost-estimation has to be made? If so, details thereof.
10. Approximate storage, garage, etc. area to be provided (with brief description).
11. Approximate workshop area to be provided (with brief description).
12. Are any repairs required? If so, brief description of buildings to be repaired and nature of repairs required.
13. What external and internal services are required? Does any service exist? If so, extent thereof.
14. What repairs and/or additions and alterations are required to existing services ?
15. Does the site involve any unduly high expenditure on any service(s)?
16. Feasible target date of completion.
17. Time required for completion of various phases of the works in normal circumstances.
18. Special measures, if any, including adoption of special procedure under Para 55 of this DWP required for completing the project by the target date.
19. Is any consultancy, departmental or outside, required? If so, details thereof.
20. Nature of project management organization and staff required for planning and execution of the works.
21. Any other engineering / technical / management aspects of the project which require to be highlighted while planning, sanctioning or implementing the project.

Appendix 'D'

APPROXIMATE ESTIMATE

**PART - I** : Abstract of Cost

STATION

NAME OF PROJECT

BRIEF PARTICULARS OF WORK TO BE DONE.....

<u>Srl. No.</u>	<u>Items of Work</u>	<u>Cost</u>	<u>Remarks</u>
1.	Cost of Land		
2.	(a) Surveys and Soil Investigation		
	(b) Site Clearance and development		
3.	(a) Buildings (including internal water supply and electrical work)		
	(b) Internal Sanitation		
	(c) Air-conditioning & Refrigeration		
4.	Furniture		
5.	Special items of work (to be detailed in Part II)		
6.	External Services		
	(a) Roads		
	(i) Internal		
	(ii) Access		
	(b) Water Supply		
	(c) Electric Supply		
	(d) Sewage disposal		
	(e) Area Drainage		
7.	Arboriculture, if any		
8.	Consultancy, if any		
9.	Contingencies (3% on items 1 to 7 above)		
10.	Establishment Charges (limited to 2% on items 1 to 7 above)		
11.	Railway Works		-----
		Grand Total –	=====
a)	Time required for physical completion of works under normal circumstances from date of administrative approval		
b)	Time required for physical completion of works if carried out as per Para 55 of DWP		

N.B. - The items of work in this Project. The items may be varied as necessary for other projects.

## **PART - II**

Memorandum explaining Basis of Cost of Items in the Abstract of Cost  
(Part - I).

**N.B. (a)** Instructions for preparing this Memorandum will be issued by Engineer-in-Chief.

**(b)** In part I of the approximate estimate a note will be given against the provision for each item of work indicating the percentage added in part II for variation of rates.

**NOTE:** For AEs for MoD Establishment works, establishment cost will not be included, however, for deposit works it will be included.