



नेपाल सरकार
सङ्घीय मामिला तथा स्थानीय विकास मन्त्रालय
पूर्वाधार विकास महाशाखा
पूर्वाधार तथा प्रविधि विकास शाखा

सिंहदरवार, काठमाडौं

फोन नं.: ०१ - ४२००२०१

पत्र संख्या: - ०७३/७४

चलानी नं.: - १८१

मिति: - २०७३/११/०३

श्री जि.वि.स.को कार्यालय सवै ।
श्री जिल्ला प्राविधिक कार्यालय सवै ।
श्री नगरपालिका २१७

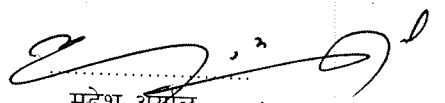
विषय: आन्तरिक प्राविधिक परिक्षण वारे ।

उपरोक्त विषयमा यस आर्थिक वर्ष २०७३/०७४ देखि स्थानीय निकायमा संचालित भौतिक पूर्वाधार विकास निर्माण सँग सम्बन्धित योजनाहरूको तोकिएको स्पेसिफिकेशन बमोजिमको गुणस्तर सुनिश्चितताका लागि आन्तरिक प्राविधिक परिक्षण गर्ने मिति २०७३/१०/२ को सचिव स्तरिय निर्णय अनुसार कार्य अगाडी बढाईएको व्यहोरा अनुरोध छ ।

परामर्शदाता छनोट गरी सम्बन्धित योजनाहरूको संलग्न सुचकका आधारमा योजनाहरूको आन्तरिक प्राविधिक परिक्षण हुने क्रममा रहेको हुदाँ योजना छनोट तथा कार्यान्वयन गर्दा सम्पादन गर्नु पर्ने प्रावधानहरू कार्यान्वयन गरेका रेकर्डहरू, ल्याव परिक्षणका रिपोर्टहरू व्यवस्थित रूपमा राखि आन्तरिक प्राविधिक परिक्षण गराउनु हुन समेत निर्देशानुसार अनुरोध छ ।

वोधार्थ तथा कार्याथ:-

श्री स्थानीय पूर्वाधार विकास तथा कृषि सडक विभाग, श्रीमहल पुलचोक, ललितपुर । आवश्यक सहजिकरणका लागि ।
श्री जि.वि.स.र नगरपालिकामा संचालित आयोजना तथा परियोजना समन्वय ईकाई कार्यालय सवै । आवश्यक सहजिकरणका लागि ।
श्री सुचना तथा विद्युतिय शाखा:- यस बमोजिमको पत्र मन्त्रालयको Web site मा राखिदिनुहुन ।


महेश अर्चाल
सिनियर डिभिजनल इन्जिनियर
सि.डि.ई.
इ.का.द.नं.-१४९० 'ए'

INTERNAL TECHNICAL AUDIT

BACK GROUND

More than 500 projects are implemented by district in each year of cost between 50 thousand to more than 5 corers. It is not practicable to conduct internal technical audit of the entire number of project. Based on these facts and make it more practicable projects are classified as per their size of the project to control the cost, time, quality and human resource utilized by the project.

AUDIT CLASSIFICATION

The primary focus of a technical audit varies on nature, type and somewhat depends on the project's stage of project development phase. In local level, there are small funded to large funded project implemented every year. Audit criteria for small and large project need to be varied accordingly. In local bodies funded project as per investment, the audit techniques shall be classified into three categories, which are following table

Class	Category
1	Investment cost less than 1million
2	Investment cost more than 1million and less than 6 million
3	Investment cost more than 6millionand less than 50 million

The Second Party (Internal) Audit, more than 50 million of investment cost, the audit should be carried out as Internal (Second) and Third Party audit with close coordination with Technical Audit Division of National Vigilance Centre Nepal to support for Third Party Technical Audit based on international best practices.

PROJECT SELECTION FOR INTERNAL TECHNICAL AUDIT

Projects to be audited shall be selected at random basis, but to cover at least 60 % of the projects from road projects and 40% from other projects (e.g. Building, water supply, irrigation and other infrastructure). Project shall be select minimum 15no. in a district and 10 no.in municipalities (in piloting phase). Also, the selection shall be made minimum 2 projects of each class.If number of project is less than required no. of project to be audited in any type of above classification than the remaining number of project is to be selected from other groups (type). Select minimum one project of each site incharge if no. of site in charge< no. of projects. The project should be selected both running and completed in equal ratio basis of cost and quantity.

Generally project is considered to be audited, when it is completed 30 to 40 percent of work progress of any stage of development. Project list and actual stage of development to be audited shall be prepared before inviting the bid for TA. Actual Project information shall be collected through telephone enquiry, site visit, progress report collection from concerned department, project office and other related offices.

Internal Technical Audit Indicators

S.N.	Internal Technical Audit Indicator	Means of Verification	Condition Expected	Condition found	Action to be taken to rectify NCR	Action taken to dispose NCR	Action Carried By
	Name of Project: Cost: Date of agent: Expected date of completion : U.C./Contractor name:						
A	Planning Phase						Name of Site In charge: Sign : Date
	Less than 1 million						
1	Was the project discussed with local people?						
2	Was the project low cost and labor based?						
3	Was the estimate prepared for the project?						
4	Was the estimate prepared in Nepali Language?						
5	Were any drawings or sketch prepared for the project?						
6	What was the basis of project selection?						
7	Were local construction materials preferred for the works?						
	Between 1 million – 6 million						
1	Follow Questionnaire of Less than 1 million						
2	Was Availability of approved Annual Program and budget allocation on webpage?						
3	Was Approved Annual Program?						
4	Were the drawings of project components prepared?						
5	Was overall estimate prepared?						

6	Was the project selected based for community or contract?						
Between 6 million – 50 million							
1	Follow Questionnaire of Between 1 million – 6 million						
2	What is the primary objective of the project?						
3	Was pre-feasibility/ feasibility study carried out?						
4	Was important feasibility indicators stated?						
5	Was project appraisal carried out?						
6	Was proper geodetic survey of the project area conducted?						
7	Were adequate technical investigations and design carried out?						
8	Does design address conditions of related MoFALD/DoLIDAR/Local Authority standards/ guidelines and review/checking process of various options of designs before final acceptance of a design option at the infrastructure Project?						
9	Is tender document prepared in accordance to the PPR-2064?						
10	Has Project Implementation Plan (PIP) been prepared?						
11	Has work schedule been prepared? What tool is exercised for supervision of the project?						
12	Was IEE/EIA carried out as per regulations and act?						
13	Has Environmental Management Action Plan (EMAP) been proposed? What is the implementation status of the EMAP?						
14	Were different tasks, like PIP/Project Procurement Plan, EMP, IEE, EIA and Material source exploration etc. completed within recommended time frame by the PPR-2064?						
B	Procurement Phase						

	Less than 1 million					
1	Was there adequacy of monitoring and supervision staff from the client?					
2	Was there overload of project to the staff?					
3	Was labor based projects contracted with users committee or not?					
	Between 1 million – 6 million					
1	Follow Questionnaire of Less than 1 million					
2	Was the project contract agreement made?					
3	Was quality assurance plan (QAP) prepared?					
4	Was lab tests proposed for the construction works?					
5	Was work schedule prepared?					
6	Was there any bank guarantee provision for the work?					
	Between 6 million – 50 million					
1	Follow Questionnaire of Between 1 million – 6 million					
2	Was approval of the Multi Year Procurement Master Plan and its update if needed?					
3	Were approval, updating and dissemination of the Procurement Plan?					
4	What type of procurement method adopted for selection of contractor?					
5	Did pre-qualification of the Contractor considered?					
6	Did pre-qualification criteria spell out weights for experience, capability and financial status of the Contractor as per PPR-2064?					
7	Was notice published in national daily?					
8	Did instruction to the bidders clearly specify process regarding opening, evaluation and recommendation of the bids?					
9	Did contract agreement take place within specified time after approval of bid?					

10	Was the required numbers of human resources, tools and equipment specific?					
C	Implementation Phase					
	Less than 1 million					
1	Did staff reach to the project site for monitoring and supervision?					
2	What was the frequency reach of staff to the project site?					
3	Was project performed as per work schedule?					
4	Was there time extension for the project? If yes, were there strong technical and other reasons for time lengthen?					
5	Was the overall performance of following major 3 activities/works is as per specification?					
5.1						
5.2						
5.3						
	Between 1 million – 6 million					
1	Follow Questionnaire of Less than 1 million					
2	Was Quality Assurance Plan (QAP) prepared? When was QAP submitted? What is the overall implementation status of it?					
3	Did contractor follow layout, work schedule, lab tests of materials?					
4	Did contractor follow the drawings provided by client? Was there any changes made? Who approved the change if any?					
5	What types of lab tests were conducted?					
6	Was quality control system consistent with QAP?					
7	Was there request for inspection of field verification?					
8	Was there maintained the instruction sheet, daily works outputs and site diaries?					
9	Was the overall performance of following major 5 activities/works is as per specification?					

9.1							
9.2							
9.3							
9.4							
9.5							
	Between 6 million – 50 million						
1	Follow Questionnaire of Between 1 million – 6 million						
2	Did the Contractor submit schedule as per contract and PPR-2064? When was it submitted?						
3	Were construction drawings prepared by contractor and given to employer for approval before construction? Who approved the construction drawings?						
4	Was provided the Performance security?						
5	Was provided the Bank guarantee against advance mobilization?						
6	Did the Employer pay advance payment for mobilization on time?						
7	Were the testing facilities available on site?						
8	Were test certificates checked before preparation of interim payment certificate (running bill)?						
9	Were measurement book maintained before preparation of interim payment certificate?						
10	Did the Contractor utilize advance money for intended purpose with adequate manpower and equipment?						
11	Does the project receive budget timely as planned? If not what were the reasons or constraints?						
12	What there Variation Orders (VOs)? What were the main reasons for issuing VO (technical, financial, environmental, etc.)?						
13	Were there budget over run? What are the reasons for the over run?						

14	Did project have any claims and outstanding contract matters during implementation stage?						
15	What were the reasons for such claims and outstanding matters?						
16	Did any litigation arise?						
17	Was there adequacy of materials testing equipment, lab test manuals and or guidelines?						
18	Was there adequacy of supervision staff from the client as well as the Contractor side?						
19	After work completion, was completion report, technical audit report, as built drawings submitted and public audit, media information, etc. performed?						
20	Was the overall performance of following major 10 activities/works is as per specification?						
20.1							
20.2							
20.3							
20.4							
20.5							
20.6							
20.7							
20.8							
20.9							
20.10							
D	Post implementation Phase						
	Less than 1 million						
1	Was public audit organized?						
2	Was work completion report submitted?						
3	Was overview report (Project report, monitoring report, technical report, social report) of the project submitted?						
4	Was there any provision for maintenance, regular and periodic?						

5	Were there any suggestions and correction plans incorporated for future?						
Between 1 million – 6 million							
1	Follow Questionnaire of Less than 1 million						
2	Does project have As-Built drawings prepared for completed works?						
3	Were As-Built drawings approved and countersigned by the project?						
4	Who is liable for maintenance works?						
Between 6 million – 50 million							
	Follow Questionnaire of Between 1 million – 6 million						
Name of Technical Auditor :				Name of Project Manager :			
Signature :				Signature :			
Date :				Date :			
Name of Project Manager :							
Sign :							
Date :							