



Office of RUDSICO, External Aided Project (RUIDP)

Rajasthan Urban Drinking Water Sewerage and Infrastructure Corporation Ltd (RUDSICO)

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Sub: Construction Management System: Circular – 8

Ref: Responsibilities of the designated agency/persons and Contractor under RUSDP.

The Contracts of Phase-III are based on the FIDIC gold book (i.e. Design, Build and Operate Projects 2008) conditions and have changes in contract conditions prevailing in earlier phases of RUIDP. It is therefore important that the Contract and its conditions should be read line to line by all the concerned stake holders for its execution in true spirit. The following guidelines are important for dealing with the Contract to delineate clarity in the responsibilities of the designated agency/officials:

1. As we are aware, GoR has undertaken a sector development program (SDP) with the loan assistance of Asian Development Bank (ADB). The SDP will support the GOR's reform agenda, and will play a demonstrative role for urban sector. The SDP comprises (i) a program, financed by a policy-based loan (selected towns are Bansawara, Mount Abu, Kota, Bikaner, Jhalawar, Udaipur, Sawaimadhopur), to support policy reforms, including institutional development and governance improvement in the urban sector in the state, and (ii) a project, financed by a project loan, to invest in water distribution network and sewerage systems in the six project cities in the state namely Pali, Tonk, Hanumangarh, Sri Ganganagar, Jhunjhunu, and Bhilwara.
2. Program Management, Design & Construction Supervision Consultant (PMDSC) is responsible consultants for project management, design & construction supervision in project loan towns. Project Support Consultant (PSC), is responsible consultants for construction supervision in program loan towns.
3. Employer's Representative (ER) - "Employer's Representative" (in practice it is also called as "Engineer" or "Engineer In-charge". The term "Engineer", as used in the Contract or somewhere else in other Contracts i.e. PMDSC etc., is synonymous to "Employer's Representative) means the person appointed by the Employer to act as the Employer's Representative for the purposes of the Contract and named as such in the Contract Data, or other person appointed from time to time by the Employer and notified to the Contractor under Sub-Clause 3.4 [Replacement of the Employer's Representative].
4. Responsibilities of Key Agencies: Most of the contracts have been awarded and works started on ground. Therefore, there is a need to review the responsibilities of key agencies given in the QAQC manual in line with the requirement in the running contracts under RUSDP and prevailing guidelines/practices.

Primary responsibility means; to initiate the required action in consultation with secondary responsible agency or any other concerned agency/ authority /stakeholders and get the task completed. Primary responsible agency is primarily responsible for completion of task; in such cases the agency shall initiate and will perform the required action.

Secondary responsibility/Review means; actively involved in the action proposed by primary responsible agency, monitor the same and also to work in close coordination with primary responsible agency so as to ensure the completion of task. Secondary responsibility does not

Circular 8: Responsibility of key agencies

mean that they are not responsible, in case of lapses the agency/official will not be absolved from the given responsibility. They are also responsible for any lapses occurred in the execution of works.

In view of above, responsibilities of Key Agencies for different tasks shall be as under:

1.	CONTRACT ADMINISTRATION AND CONSTRUCTION SUPERVISION GENERAL	PRIMARY REVIEW ADVISORY ROLE	ER PIU, project loan PMU
1.1	Service Improvement Plan (SIP) SIP components (part/full) with required designs, drawings & other documents in phased manner provided that no major variation in the contract.	Submission	Contractor
		Review, check & recommend	PMDSC/ PSC, if required
		Approval	PIU
1.2	Service Improvement Plan (SIP) Final cost estimate and other components substantiated with required documents in accordance to finalized design in SIP. Asset replacement plan, possible use of treated water etc. and any other components having policy decision, financial implication.	Submission	Contractor
		Review, check & recommend	PMDSC/PSC, if required
		Recommendation for approval to PMU	PIU
		Approval	PMU
1.3	Overall administration and management of the contracts including interpretation of the technical specifications and other contract documents as may be required;	To initiate and get it vetted by PIU/PMU, if required.	PMDSC/PSC for their respective towns
		Overall administration	PIU
		Advisory Role in specific issue referred by PIU	PMU
1.4	Review and revise construction drawings as may be necessary from time to time, either to suit site conditions, changes in construction strategy or changes in design, and provide clarifications / explanations on the designs and drawings to the contractor with in approved BOQ.	Submission	Contractor
		Review, check and recommend	PMDSC/PSC for their respective towns
		Approval	PIU
1.5	Giving level/ layout/ alignment and to ensure conformity with the quality requirements stipulated in the contract.	To ensure day to day inspection of site	PMDSC/PSC for their respective towns
		Overall monitoring	PIU
		Witness and verification as under:	
		AE/JE-PIU	100%
		Support Engineer	100%
		EE-PIU	30%
		SCE	50%
		ACM	30%
		SE PIU	5%
		DCM	5%, 3% & 2% in each town, in case of DCM is in-charge for one, two & three towns respectively.
1.6	Assess the adequacy of the inputs such as materials, labor and equipment provided by the contractor and the construction methods proposed and ensure that they are satisfactory with reference to the technical requirements, implementation schedule, environmental aspects, and safety of the works, project personnel, and general public welfare.	Primary assessment	PMDSC/PSC for their respective towns.
		Review	PIU

1.7	proper inventories and accounts are maintained of all dismantled materials, particularly for those materials which are to be re-used in the works;	Primary	PMDSC/PSC for their respective towns.
		Review	PIU
1.8	the work site is maintained in a neat, orderly and safe manner;	Primary Review	PMDSC/PSC PIU
1.9	any inconvenience to the public is minimized; and Payments are made to the Contractor in a timely manner.	Primary	PIU
		Secondary	PMDSC/PSC
1.10	Necessary assistance to solve any contractual dispute and sort out issues requiring external interdepartmental coordination, which has an overall obligation to ensure the successful implementation of the project, works.	Primary	PIU/PMU
		Secondary	PMDSC/PSC
1.11	providing continuous on-site supervision during construction and ensuring the safety of the works;	Primary Review	PMDSC/PSC PIU
1.12	supervising and monitoring the progress of the works, including identifying cause(s) of delays, determining remedial actions to correct such delays, and issuing instructions to contractors;	Primary	ER
		Review	PIU for project loan
1.13	the contractor fulfills his obligations under the contract and satisfactorily completes all contractual obligations and complies with all applicable statutes, regulations, contract conditions, specifications and instructions;	Primary	ER
		Review	PIU for project loan
1.14	the contractor completes the work within the scheduled time	Primary Review	PMDSC/PSC PIU
1.15	ensuring that Site Order Books, Daily Work Records, Labor, Material and Machinery Logs are properly maintained	Primary	PMDSC/PSC
		Review	PIU
1.16	Making test records and results available to the PMU for review and assessment	Primary Secondary	PIU PMDSC/PSC
1.17	acting on project issues and problems as they arise, and promptly issuing written instructions to the contractors to address the problems. To issue instruction for quality, other matters and issue notices under contractual provisions.	Primary	ER
		Review	PIU for project loan
1.18	ensuring that the contractor properly prepares the "As Built" drawings for the completed works;	Primary Review	PMDSC/PSC PIU
1.19	ensuring that the contractor prepares and submit Monthly Progress Report in the approved format and on time	Primary	PMDSC/PSC
		Review	PIU
1.20	developing and implementing efficient O&M procedures and practices for Project infrastructure ensuring the participation of Project Affected Persons (PAPs) in planning, implementation and monitoring of the slum up gradation component	Primary	PMDSC/PSC/ CAPC
		Review	PIU
2.0	QUALITY ASSURANCE AND INSPECTIONS	Primary Review Advisory	PMDSC/PSC PIU PMU
2.1	prepare a simplified Quality Control Manual for use of the field staff, and assist in providing on-the-job training to PIU and Contractor staff	Primary Review Advisory	PMDSC/PSC PIU PMU
2.2	Provide effective supervision of the works in order to ensure the quality and conformity with the standards and specifications prescribed in the contract	Primary	PMDSC/PSC for their respective town
		Review	PIU

2.3	Regular and frequent inspections of all work sites should be made to check the nature and quality of work being done, to verify the materials, equipment and labor engaged at the site, to review the quality control tests and test results, and to ensure that the work is being implemented in accordance with the approved standards and that the quality control procedures set forth under the contract are being followed. Any problems observed and recommended remedial actions are to be immediately notified to the PIU and PMU. The problems noted and actions taken or to be taken are to be recorded in the site order book and signed by PMDSC/PSC & PIU.	Primary Review	PMDSC/PSC for their respective town PIU
2.4	Witness all quality control sampling and testing done by the contractor. Compile and review all quality control data obtained from tests conducted by the contractor or by others and verify the accuracy of the test data by checking the procedures used in the field for sampling and testing of the materials and works. Carry out independent sampling and testing wherever considered necessary, or as may otherwise be required to check and verify the accuracy of the test results conducted by the contractor. Assess the test results and recommend on acceptance of the materials supplied and on the works completed. To ensure that proper records of the tests conducted are maintained.	Conducting Tests Primary Review Witness and verification as under: AE/JE-PIU Support Engineer EE-PIU Sr. Construction Engineer (SCE) ACM SE PIU DCM PMU	Contractor PMDSC/PSC PIU 50% 100% 30% 50% 30% 5% 5%, 3% & 2% in each town, in case of DCM is in-charge for one, two & three towns respectively. Random checking during visit to town
2.5	Periodic inspections on an as-required basis should be made jointly by the PMDSC/PSC Senior Engineer and PIU representative to inspect and accept interim work completion stages (i.e., completion of sub grade, sub base, base course, etc.) in order to permit the contractor to proceed with further works. All approvals should be entered into the site order book and signed by all parties, and no work on further stages should be permitted until the earlier stage work has been inspected and accepted. In the event that the work fails to meet the required standards, any removal and replacement or other remedial measures which may be required should be clearly explained along with a time schedule for completing such work.	Primary Review	PMDSC/PSC PIU
2.6	Joint final inspection(s) of the completed works of by PMDSC/PSC Senior Engineer, PIU and contractor, preparing a statement of exceptions for any works which may remain to be completed, approving and accepting the completed works, issuing the Certificate of Acceptance and making final payment to the contractors.	Primary Review	PMDSC/PSC PIU
2.7	Inspections of the completed works, ensuring that any defects in materials or workmanship are properly identified in a timely manner, and ensuring satisfactory maintenance of the works following completion as per contract.	Primary Review	PMDSC PIU

2.8	Participate in monthly inspections and site coordination meetings of PIU, PMDSC/PSC and Contractor for all works to review the overall progress and quality of the works, review the problems which may have arisen, the instructions which were issued to the contractor to address these problems and the contractor's compliance with these instructions, and to agree on any further actions which may be required to be taken to improve either the progress or quality of the works. The PMDSC/PSC shall be responsible to prepare the minutes of the site coordination meetings in order to maintain a permanent record of all agreements reached, instructions issued and actions to be taken. The Employer's representative will be solely responsible to issue any written instructions to the contractor.	Primary Secondary	PIU PMDSC/PSC
2.9	Provide certification on the quality of the works accomplished and included in the contractor's monthly progress billings, and on its conformity to the specifications and drawings, and recommend on acceptance of and payment for the completed works. If the consultant considers that any item of work or construction material is substandard or unacceptable, recommend that such work or supply of material be deducted from the progress payment or that payment be deferred until necessary rectifications are made by the contractor and provide a full written explanation of the deficiencies noted along with necessary supporting data, including test results, to the PIU as well as to the PMU. Recommend on remedial measures to be taken to bring the substandard work up to the necessary standard	Primary Review	PMDSC/PSC PIU
3.0	CONTRACT VARIATIONS	Proposal Approval	PMDSC/PSC PIU/ PMU as per SoP/rules
3.1	Make a monthly assessment of the progress and quality of the works and recommend to the PIU on any necessary variations to the contracts, including work programs, work procedures, inputs, safety, quality, variation orders, completion dates, and/or any other matters which may affect the timely and satisfactory completion of the work. Propose and present for approval any changes in the plans which may be deemed necessary, and indicate any effect such changes may have on the contract.	Proposal Review Approval	PMDSC/PSC PIU PIU or PIU to recommend to competent authority for approval
3.2	Examining and approval of all proposed variation orders or claims from the contractor for time extensions, extra compensation, or expenses or other similar matters, preparing variation orders and obtaining necessary approvals from PMU prior to issuance to the contractor where required.	Proposal submission Review Approval	Contractor ER PIU/PMU as per prevailing rules.
4.0	MEASUREMENT AND PREPARING BILLS AND PAYMENTS	Preparing Approval and Payment	PMDSC/PSC/PIU PIU
4.1	Conducting with contractor joint measurement of the works in the stipulated format for payment and ensuring timely approval and payment of the contractor's running bills. The PMDSC/PSC & PIU will provide certification on the quality of the works accomplished and included in the contractor's monthly progress billings, and on its conformity to the specifications and drawings. The measurements will	Preparation/ measurement of bills Jointly by Support Engineer & AE/JE Checking by: Sr. Construction Engineer (SCE) ACM	PMDSC/ PSC & PIU 50% 30%

	be entered by Support Engineer which will be checked/cross checked by JEN/AEN. The responsibility for quality, correct and accurate measurements is of ACM or Dy CM, PMDSC/PSC, subject to overall control of PIU head.	EE PIU	30%
		Checking by DCM (in case DCM is designated for the town)	5%, 3% & 2% in each town, in case of DCM is in-charge for one, two & three towns respectively.
		Checking by SE PIU (in case PIU is headed by SE)	5%
		Payment	PIU Head
4.2	Conducting with contractor joint measurement of the works for payment of Final Bills after satisfactory completion of works and payment as per the works contract provisions. The DSC & PIU will provide certification on the quality of the works accomplished and included in the contractor's monthly progress billings, and on its conformity to the specifications and drawings, and recommend on acceptance of and payment for the completed works. The responsibility for quality, correct and accurate measurement is of ACM or Dy CM, subject to overall control of SE-PIU.	Preparation/measure ment of bills.	Support Engineer & AE/JEn PIU- 100%
		Checking by SCE	50%
		Checking by ACM	30%
		Checking by EE PIU	30%
		Checking by DCM	10%
		Checking by SE PIU (in case PIU is headed by SE)	10%
		Payment	PIU Head
4.3	Record Measurement for such measurements which cannot be verified subsequently. The responsibility for quality, correct and accurate measurement is of ACM or Dy CM, subject to overall control of PIU Head.	Measurement and record	Support Engineer & AE/JE PIU- 100%
		Checking by: ACM & SCE	100%
		EE PIU	100%
		Checking by: DCM	10%
		SE PIU (in case PIU is headed by SE)	10%
4.4	Preparing necessary payment release order of security and payment thereof after completion of the defect liability period as per the contract. The ACM/Dy CM and PIU Head will provide a certificate regarding fulfillment of conditions related to defect liability period. The responsibility for quality, correct and accurate measurement is of ACM or Dy CM, subject to overall control of PIU Head.	Preparation and verification of bills	ACM & JE/AE PIU-100%
		Checking by: ACM or DCM	100%
		PIU Head	100%
		Payment	PIU Head
4.5	Passing of the bills for supplies received under the material procurement packages after due inspection and checking and payment thereof. The PMDSC/PSC and PIU will provide a certificate regarding full confirmation of the goods to the specifications and being in good condition. Physical verification of all supplies by PIU Head and ACM or Dy. CM is compulsory.	Preparation and Verification of bills	Support Engineer & AE/JE-PIU- 100%
		Verification & checking by: ACM or DCM	100%
		PIU Head	100%
		Payment	PIU Head
5.0	OTHER RESPONSIBILITIES		
5.1	Quality Assurance Plan (QAP)	Submission review & recommendation Approval Issuance to contractor	Contractor PMDSC/PSC PIU ER
5.2	Third Party Inspection of material	Either by PMDSC/PSC or PIU	PIU head to decide in consultation with consultant

5.3	Rectification of deficiencies pointed out by Third Party Quality Auditing agency	Jointly by PMDSC/PSC & PIU	PIU head to have overall control
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Note: (1) The above procedures are prepared with a view of ensuring a smooth action in various activities, which generally have an overlapping responsibility. They are only a clarification on the responsibilities as prescribed in the respective contract documents. In case of variance, the contract documents will precede over the above stipulations.

(2) Contractors are responsible for the execution of the works in conformance with the requirements of the contract documents.

(3) Indicated %age checking shall be required by the officials mentioned in the circular, in case of the position is existing in the town and the person is mobilized, otherwise it will not be required. For example, position of SCE is existing in the project loan towns only, therefore checking shall be required by SCE in project loan towns only. In case of program loan towns checking by SCE shall not be required. This shall be applicable for other positions also.

This circular shall be strictly abided by all the members of PIU, PMDSC, & Contractor & PSC.

(Dr. Preetam B Yashvant)
Project Director

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Date: 22.03.2018

Copy to following for information & necessary action:-

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1. PA to PD/Addl. PD/ FA/ CE/ ACE/SE-I/SE-II/SE-III/ POs/APOs, PMU, RUIDP, Jaipur
2. SE, PIU, Pali/Tonk/Sriganganagar/Jhunjhunu/Bhilwara/Hanumangarh/Kota
3. EE, PIU, Sawai Madhopur/ Bikaner/ Udaipur/ Jhalawar/ Mt. Abu/Banswara
4. Project Coordinator/Team Leader/Dy. CM/ACM, PMDSC/PSC _____
5. ACP, RUIDP, Jaipur to send by e-mail and put up the Guidelines on the website.

Addl. Chief Engineer