Government of Rajasthan
Office of Project Director
Rajasthan Urban Infrastructure Development Project
AVS Building, Jawahar Circle, JLN Marg, Jaipur - 302017
Tél No.: 141 2721966, Fax No.: 141 2721919,
email: mailruidp@gmail.com, mail.ruidp@rajasthan.gov.in
web site: www.ruidp.rajasthan.gov.in
No. F3 (201) (57)/RUIDP/PMU/Ph-III/CMS/11493
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Sub: Construction Management System: Circular – 2
Ref: Responsibilities of key agencies i.e. PIU, PMDSC & Employer’s Representative
under RUSDP.

In order to ensure smooth execution of Phase-III works, there is a need of proper “Contract
Administration and Implementation Arrangement” for which key responsibilities of
PMDSC & PIU are being defined as under:

1. Project Implementation Unit (PIU): PIUs established under RUSDP have key responsibilities as
under but not limited to:-

   a. SE, PIU will approve the service improvement plan (SIP) with all components with all
designs and drawings except asset replacement plan, possible use of treated water for
which he will submit the proposal to PMU for approval. Work plan and Final cost estimate in
accordance to finalized design in SIP will be submitted by PIU to PMU for its approval.

   b. Liaise and correspond with PMU & PMDSC to ensure timely & qualitative completion of the
Contracts in accordance to their objectives;

   c. PIU will be fully responsible for site management (i.e. safety measures, Implementation of
Resettlement Plan, Environmental Management Plan, Indigenous peoples plan,
Inconvenience to public, liaison with the District Administration etc.) and its Monitoring for
quality work at site as per work program of approved SIP and direction given time to time
from the PMU;

   d. To review and ensure that the decision of ER is in accordance to the Contract Agreement
and its conditions. In case of any ambiguity in the decision, the Employer (Head of PIU)
should immediately notify the ER for it and to request him to review his decision at the
earliest in writing and well with in the prescribed time mentioned in the Contract. The
Employer should immediately inform the TL, PMDSC and the PMU for the same, with
sufficient time to respond.

   e. To ensure utilization of Mobilization Advance, its payment and recovery;

   f. To ensure timely payments to the Contractor in accordance to the Contract agreement;

   g. To monitor that adequate safety measures at worksites are available, sign boards at
different work sites displaying with the requisite information related to the execution of
works and activities mentioning various components of activities specifically project cost,
duration etc. together with the benefits to be provided to the peoples;

   h. Approval of proposal submitted by ER for modification / change / revision in design &
drawings during execution;

   i. Approval of proposal submitted by ER for vendor approval/ QAP;

   j. Timely examination of Essentiality Certificate’s submitted by ER (for their quantity & vendor
in particular) and further submission to PMU with signature for further processing. Advance
copy to be sent through mail;

   k. Give certificate on quality and test results taking into account site inspections, witnessing of
field tests and checking of measurements done during the execution of work by PIU;

   l. Approval of variation as per SoP/contract agreement;

   m. Facilitate ER in collection of data from line department;

   n. Coordinate with line department and other agencies for obtaining required clearances for
Circular 2: Responsibility of key agencies
execution of project well in time to avoid delay in completion of project.

o. Attend district level meeting & assist the CLC in their review;

p. III party inspection of pre-dispatch material as per requirement/importance of the material;

q. Maintain subproject and contract-level accounting;

r. Review of annual disbursement projections prepared by PMDSC for their Contracts;

s. Disbursement application to ADB; and Safeguards plans and corrective action plans consistent with safeguard frameworks;

t. Responsible for redressal of public grievance & ensure that public inconvenience is minimal or no public inconvenience;

u. Monitoring the PMDSC (staff of field unit) for their role and responsibilities working in the project city, verifying their work sheets for payments, certification of PMDSC bills in accordance to PMDSC Contract for their town;

v. In case of non availability (demobilization / on long leave) of designated Employers representative, SE PIU will make necessary suitable arrangement from available staff of PMDSC in town and will inform to all the concerned.

2. Employer's Representative (ER): ER under RUSDP have key responsibilities as under but not limited to:-

a. Employer’s Representative will be solely responsible for implementation of the Contract in accordance to agreed SIP. He will be responsible for following task but not limited to;

b. Act proactively in getting submission of documents of SIP component from contractor & submit to PIU with recommendation/comment for approval. Any bottlenecks/hindrances should be resolved immediately.

c. To ensure day to day inspection of site for work in accordance to approved drawings with quality and specifications;

d. To Follow contract conditions in true spirit and decide the issues of the Contractor during execution in the prescribed time frame;

e. To monitor the daily progress and Report to the Employer / Principle Employer about the daily progress through proper project monitoring tool (Primavera Software).

f. TL, PMDSC will prepare a concise report of progress on each project and will submit to PMU on monthly basis;

g. Examination of credential and submission to PIU with recommendation for approval of Vendor’s for the materials / equipments to ensure best standards;

h. To issue to the Contractor (at any time), instructions and additional or modified Drawings; which may be necessary for the execution of the Works and the remedy of any defects, all in accordance with the Contract;

i. The Contractor shall only take instructions from the Employer’s Representative, or from an assistant to whom the appropriate authority has been delegated. If the contractor considers that any instruction of the Employers Representative does not comply with applicable laws or is technically impossible, he shall immediately notify the Employer’s Representative shall then either confirm or amend such instructions;

j. To keep record of instructions and the documents related to the individual works with scanned copies for future references in proper folder with a back up from start to Contract closure. Regular backup should also be updated in PMDSC & PMU preferably on fortnightly basis (In - charge package);

k. To ensure quality control measures are in place and are regularly monitored and witnessed for quality Assurance. In case of failure / quality concern, it should be immediately reported on mail to Contractor / Employer and follow up actions as per Contract;

l. Safety measures at worksite/workers.
m. To ensure implementation of Resettlement Plans, Environmental Management Plan and Indigenous Peoples Plan through the support of the PMDSC. PMDSC will prepare regular reports for further submissions on monthly basis for ADB compliances.

n. The Employer's Representative will perform all required action in matters related with time extensions & variation. He will prepare the document with justification and submit to PIU with recommendation. PIU shall take necessary action as per schedule of power / prevailing rules and to convey back the decision to Employer's Representative.

3. **PMDSC (field unit)** - have key responsibilities as under but not limited to:
   
a. To support ER in compliances of responsibilities as mentioned at para no. 2 to 6;
   
b. Scrutinize/checking and finalize the SIP in close coordination with contractor/PIU & submit to PIU with recommendation/comment for approval. Any bottlenecks/hindrances should be resolved immediately.
   
c. Regular site visits during execution for ensuring correctness of procedures and ensure full compliance with technical specifications, QAQC manual, and other important technical, financial and administrative parameters;
   
d. Supervise the execution of works contracts as Employer's Representative, monitor the contract implementation; review and approve contractors work and resource mobilization plan; monitor construction methods and quality control; certify that the quality of works conforms to the technical specification, drawings; assess the adequacy of the contractor's input materials, labor, and construction methods; furnish all revisions and detailed drawings as necessary during the continuance of the contract; attend third party inspections as necessary etc.;
   
e. Safety measures at worksite/workers.
   
f. Prepare measurements for completed and in progress works, and certify bills and submit to PIU with certificate on quality, quantity of work and test results taking into account site inspections and checking of measurements done during the execution;
   
g. Examine the contractor's claims for the time extension, costs compensation, etc., and prepare recommendation for approval by the executing agency and/or implementing agency;
   
h. Check installation & commissioning of electromechanical equipment and carry out tests on installation and trial run for the completed facilities;
   
i. Monitor the preparation of as-built drawings by the contractors;
   
j. Quantity analysis of material for Essentiality Certificate for getting Excise benefit;
   
k. Submit the proposal with recommendation to PIU for approval of vendor;
   
l. Examinations of EC submitted by contractor and submit to PIU with signature on EC by ER for further processing;
   
m. Timely foresee the hindrances and bottlenecks, so as to facilitate, smooth and time-bound functioning of the Contract;
   
n. ER shall issue to the Contractor (at any time) instructions and additional or modified Drawings which may be necessary for the execution of the Works and the remediying of any defects, all in accordance with the Contract. Accordingly proposal will be submitted to PIU for approval & will convey to contractor after approval.
   
o. ER of the respective towns should fix specific responsibility to each ACM / Support Engineer by issuing specific order;
   
p. To ensure utilization of Mobilization Advance at field and proposed to PIU for its payment & recovery;
   
q. To ensure payments to the Contractor in accordance to the Contract agreement;
   
r. Preparing annual disbursement projections;
   
s. Safeguards plans and corrective action plans consistent with safeguard frameworks to PIU;
4. Joint site visit by contractor. ER (PMDSC) & PIU shall be made on weekly basis and prepare an inspection note which will include specifically focus and contain the following issues:

a. Certification on completed work (as on date) for Quality standards with reference to technical specifications.

b. Certification on adequate safety precautions during execution of works.

c. Certification on Tests carried out / witnessed at site are in line with the required specifications.

d. Execution of work with reference to approved construction drawings.

e. Site management - Man power, material, equipments, site record, entry of measurements in MB, functioning of testing laboratory etc. are at acceptable level.

f. Status of hindrances, if any with responsibility i.e. w.r.t. Handing over the site, Shifting of utilities (identification & implementation), issue of construction drawings etc.

g. Issues pending with line agencies- utility shifting, approvals, sanctions, land acquisition etc. and their agreed timelines for clearances.

h. Listing of Variations, likely to occur and comment on their requirement and processing.

i. Payment of executed items to the Contractor & utilization of mobilization advance.

j. Physical progress status, efforts for earliest completion.

k. Progress status in comparison to commitments of the firm, work plan & SIP.

l. Delay and compensation event if any during the period.

m. Any other issues / comments.

The ER shall prepare the minutes of these joint inspections on the day itself duly signed by Contractor, ER (PMDSC) & SE, PIU and should be sent to Contractor, PIU, PMDSC and PMU through mail.

This circular should be abided by all the members of PMU, PIU and PMDSC.

No. F3 (201) (57)/UIDP/PMU/Ph-III/CMS/11494-99

Copy to following for information & necessary action:-

1. Addl. PD/ Financial Advisor/CE (WS)/ SE(WS)/ SE(WW)/SE-IV, PMU, UIDP, Jaipur
2. SE/ EE, PIU-RUSD, UIDP (Concerned ULBs)
3. POs/APOs, PMU, UIDP, Jaipur
4. Project Coordinator/Team Leader/Dy. CM/ACM, PMDSC
5. Team Leader, CAPC, Jaipur
6. ACP, UIDP, Jaipur to send by e-mail and put up the Guidelines on the website.

(Dr. Preetam B Yashvant)
Project Director
Date: 5.10.2016

Superintending Engineer-IV

Circular 7: Responsibility of key agencies