MINISTRY OF DEFENCE
DGQA/ADM/RMD (CW)

STANDARD OPERATING PROCEDURE (SOP) FOR
PLANNING OF MAJOR WORKS

1. Please refer this HQ note no. A/87273/DGQA/Adm/RMD/CW dated 22 May 2012.

2. Standard Operating Procedure (SOP) for Planning of Major Works duly approved by DGQA, has been forwarded to all directorates vide above mentioned letter.

3. A copy is forwarded for your perusal and records please.

Encl : As above

TS to DGQA - For perusal of DGQA please.
PS to Spl DGQA - For perusal of Spl DGQA please.
PS to ADGQA (Adm) - For perusal of ADGQA (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

1. Please refer following notes:-
   (a) This HQ note No.A/87237/DGQA/2012-13/ADM/RMD(CW) dated 19 Oct 2011.
   (b) This HQ note No. A/87237/DGQA/2012-13/ADM/RMD(CW) dated 02 Dec 2011.
   (c) This HQ note No. A/87237/DGQA/2012-13/ADM/RMD(CW) dated 15 Dec 2011.

General

2. Present system of processing of works was found to be at variance with Defence Works Procedure. It was observed from records that in past, documents were being properly processed as Defence Works Procedure (DWP). However, over a period of time, system has been diluted at all levels. Therefore, detailed instructions to streamline the Planning of Works, in conformity with Defence Works Procedure – 2007, were issued by this HQ vide above mentioned notes. While relevant details were received from some Dte / Establishment, a few Dte/Establishments appeared to be apprehensive about the suggested methodology due to following reasons:-
   (a) It would result in duplicity of efforts.
   (b) It would delay sanctioning of works.
   (c) MES would not cooperate in preparation of the requisite documents.

Aim

3. 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.

Demerits of Present System

4. The following are the demerits of present system:-
   (a) Establishments/Dtes forward a list of works without mandatory supporting documents like Statement of Case (SOC), Rough Cost and Engineer Appreciation 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, 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:-

<table>
<thead>
<tr>
<th>Year</th>
<th>Projected</th>
<th>Included in the Approved List</th>
<th>No of works processed by Est/Dte</th>
<th>No of Works sanctioned</th>
</tr>
</thead>
<tbody>
<tr>
<td>2009-10</td>
<td>282</td>
<td>236</td>
<td>80</td>
<td>72</td>
</tr>
<tr>
<td>2010-11</td>
<td>500</td>
<td>82</td>
<td>50</td>
<td>47</td>
</tr>
<tr>
<td>2011-12</td>
<td>450</td>
<td>95</td>
<td>59</td>
<td>54</td>
</tr>
</tbody>
</table>

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

**System of Processing of Works**

5. **Main Stages.** As per new system, 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 :-

<table>
<thead>
<tr>
<th>Stage</th>
<th>Action</th>
<th>Responsibility</th>
<th>Remarks</th>
</tr>
</thead>
</table>
| I     | Forwarding of Statement of Case (SOC) alongwith Rough Cost Estimates and Engineer appreciation (where applicable) both prepared by MES, as per Para 22 of DWP | Establishment/ Directorate | - By Sep of Previous year ie Sep 12 for FY 2013-14.  
- Ref Appx ‘A’ ‘B’ ‘C’ for SOC, Rough Cost and Engineer Appreciation respectively. |
<p>| II    | Finalisation of Approved list of Works for Fy ie conveying ‘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 Nov of Previous year ie by Nov 12 for FY 2013-14                   |
| III   | Board Proceedings to be ordered by various HQ as given below (as per Para 23 of DWP) | HQ DGQA (Works)         | Dec of previous year ie Dec 12 for FY 2013-14                           |
|       | - MOD (Works)                                                          |                         |                                                                         |</p>
<table>
<thead>
<tr>
<th></th>
<th>IFA Works</th>
<th>Directorate</th>
<th>Dec of previous year</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>DGQA Power Works</td>
<td>Establishment</td>
<td>Dec of previous year</td>
</tr>
</tbody>
</table>
| 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 ie Mar 12 for Fy 2013-14  
- Refer Appx ‘D’ for AEs  
- Refer Para 7 below for additional documents. |
| V | Processing of works for sanction | HQ DGQA (Works) | By April of Current year ie by Apr 13 for Fy 2013-14 |

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

   (a) Accommodation Statement Part I and II.

   (b) Quarterly return for Market Variation (MV) and Difference in Cost of Stores (DCS).

   (c) Market analysis in respect of rates taken from previous released works.

   (d) Policy letter, if any, involved in the proposal.

   (e) Administrative Approval in respect of rates taken from previous released works.

   (f) Land Availability certificate.

   (g) Area furniture rate list.

   (h) Water and electricity availability certificate.

   (j) Plinth area rates for married and Other Than Married (OTM) accommodation.

7. **Merit of New System.** Implementation of new 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.

**Implementation of New System**

8. **Fy 2012-13.** New system shall be implemented from this financial year ie Fy 2012-13. DGQA has given his consent to process the documents for preparation of ‘List of Approved Works’ by May 2012 for this year.

9. **Fy 2013-14 Onward.** The Dte/Establishment should start parallel action and details as per Stage I should be forwarded to this HQ by Sep of previous year.

**Conclusion**

10. 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 concerned Paras of DWP. 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.

11. This has approval of DGQA.

[(MKS Yadav)]
Col
Director (Works)
For DGQA

No A/87237/DGQA/ADM/RMD(CW) dated 22 May 2012
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’.

(i) 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**

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

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

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.
## APPROXIMATE ESTIMATE

### PART – I: Abstract of Cost

**STATION**

**NAME OF PROJECT**

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

<table>
<thead>
<tr>
<th>Srl. No.</th>
<th>Items of Work</th>
<th>Cost</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Cost of Land</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>(a) Surveys and Soil Investigation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(b) Site Clearance and development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td>(a) Buildings (including internal water supply and electrical work)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(b) Internal Sanitation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(c) Air-conditioning &amp; Refrigeration</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Furniture</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td>Special items of work</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(to be detailed in Part II)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.</td>
<td>External Services</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(a) Roads</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(i) Internal</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(ii) Access</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(b) Water Supply</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(c) Electric Supply</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(d) Sewage disposal</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>(e) Area Drainage</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7.</td>
<td>Arboriculture, if any</td>
<td></td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td>Consultancy, if any</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9.</td>
<td>Contingencies (3% on items 1 to 7 above)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10.</td>
<td>Establishment Charges (limited to 2% on items 1 to 7 above)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>11.</td>
<td>Railway Works</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**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.

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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.