



DZONGKHAG ADMINISTRATION, SAMDRUPJONGKHAR

A GUIDELINE FOR MONITORING

THE EXECUTION OF CAPITAL ACTIVITIES

2022

First edition

འཆར་སྟེན།

དགའ་སྤྱོད་དང་མཐུན་འབྲེལ་ཐོག་ དཔལ་འབྱོར་གོང་འཕེལ་དང་རང་བཞིན་གནས་སྟངས་ དེལ་ས་རང་ལུགས་ལམ་སྲོལ་དང་ལྗན་པའི་ རང་གིས་རང་ལངས་ཚུགས་པའི་
རྫོང་ཁག།

VISION

A self-reliant Dzongkhag co-existing in peace and harmony with enhanced socio-economic standards, rich natural resources and cultural heritage

དམིགས་ལུལ།

རང་བཞིན་གནས་སྟངས་དང་ རང་ལུགས་ལམ་སྲོལ་དང་མཐུན་སྟེ་ གྲོང་གསེབ་གོང་འཕེལ་དང་ ས་གནས་གཞུང་གོང་འཕེལ་གཏང་ནི།

MISSION

To enhance rural livelihood with good local governance in line with culture and environment

FORWARD

The success of our Dzongkhag depends on how efficiently we execute and achieve the set plan targets. However, we seem to be facing some challenges in meeting these targets, particularly with capital activities. To address this issue, the Dzongkhag administration has developed a monitoring guideline to provide clear direction and streamline the entire project process, from start to finish.

By following this guideline, I am confident that all sectors will be able to accomplish their individual work plans, and ultimately, we will achieve our annual performance agreements, which I sign on behalf of the Dzongkhag with the Honourable Prime Minister. As the primary function of the Dzongkhag is to render prompt and efficient services to the public and serve *Tsa-wa-sum*, completing our jobs efficiently and on time is crucial to achieving this goal.

With the monitoring guideline now in place, I am optimistic that we can work our way towards becoming the best-performing Dzongkhag. I look forward to your cooperation and unwavering support as we strive to improve our performance and better serve our community.

Tashi Wangmo

DZONGDAG

Background

The Dzongkhag administration developed a monitoring guideline in 2018, based on various existing rules, regulations, and guidelines. However, inadequate implementation was observed due to several reasons. As time and situations have changed, it is necessary to review the guideline and ensure its implementation to strengthen the system.

This monitoring guideline emphasizes the role of sector heads and monitoring committees at various levels in overseeing the implementation of capital activities in the Dzongkhag. Its purpose is to improve the monitoring system and resolve implementation issues or problems promptly. A sound monitoring system/guideline is crucial to ensure that plans and programs executed by various sectors contribute towards achieving the Dzongkhag's overall objectives and benefit the public.

Purpose of the guideline

This monitoring guideline serves several purposes, as with any other guidelines. Firstly, its primary objective is to standardize the monitoring and reporting system on the implementation of plans and programs throughout the Dzongkhag. Secondly, it aims to facilitate the engineers and the Dzongkhag/Dungkhag/Gewog monitoring committees to conduct regular monitoring to ensure that the activities/projects are completed on schedule. Thirdly, and most importantly, the guideline aims to enhance the effectiveness and efficiency of the Dzongkhag/Dungkhag/Gewog in executing plans and programs.

STRATEGIES

One of the main indicators to measure the success of the Dzongkhag is the implementation of capital activities and the provision of quality infrastructure to the public. Therefore, the Dzongkhag must put in place some strategies for efficient implementation of capital activities such as;

1. Execution of capital activities shall be prioritized based on the following:
 - o Urgent need for the facilities/services;
 - o Location of activities (activities in far-off places shall be started as early as possible);
 - o Budget allocation for activities (activities with higher budget allocation shall be started as early as possible);
2. The Sectors/Dungkhags/Gewogs shall submit the tentative list of activities to be executed in the next financial year to the engineering sector by **September** of the current financial year.
3. Engineering sector shall, upon receipt of the tentative list of activities from Sectors/Dungkhags/Gewogs perform site visit to carry out feasibility study prior to the initiation of the preparation of drawing, design and estimates.
4. The Dzongkhag engineering sector shall complete planning, preparation of drawing, design and estimates for capital activities of the coming financial year by **February** of the current financial year and by the end of **September**, tendering, evaluation, and awarding of works shall be completed to kick-start the actual execution of works by **October**. Unless the work is spilled over to the next fiscal year, it shall be completed in all respects by the **Mid of June**.
5. A coordination meeting shall be conducted in the second week of July to discuss and plan the implementation of annual capital activities. All the engineers, sector heads, Gups, and GAOs shall attend the meeting.
6. The contractor must prepare a work plan and submit it to the Dzongkhag administration during the signing of the contract agreement. Site engineers shall plan their site visit based on the work plan submitted by the contractor.
7. Timely monitoring shall be carried out and put up to the Dzongkhag Tender Committee (DTC) if there are issues that merit DTC's immediate decision/action.
8. Carry out quarterly review of the status of capital activities.

ROLES AND RESPONSIBILITIES OF SECTOR HEADS

Successful and efficient implementation of capital works requires better coordination among different stakeholders. Lack of coordination poses serious hitches in the implementation of the plans & programs. Therefore, the following modalities, roles, and responsibilities shall be followed strictly;

SL.	Sector Heads	Core Responsibilities
1	Planning Officer	<p>As a leading sector, the planning officer shall play a pivotal role in facilitating and coordinating the implementation of capital activities. As such, the planning officer shall;</p> <ul style="list-style-type: none"> o Initiate coordination meetings amongst sectors, engineers, Gups, and GAOs at the beginning of each Financial Year to discuss and prepare annual plans & programs. o Maintain an up-to-date list of approved capital activities of Dzongkhag for each financial year. o Keep a record of the implementation status of the capital activities. o As mandated by GNHC, prepare and submit a quarterly progress report. o Coordinate and facilitate preparation of Dzongkhag/Sectors/Gewogs APA. o Monitor implementation of Dzongkhag/Sectors/Gewogs APA. o Review and report the progress of Dzongkhag/Sectors/Gewogs APA. o Compile and maintain up-to-date information on FYP for midterm review.
2	District Engineer	<p>Timely execution and successful completion of works will be determined by the efficiency of the DES. Therefore, DE as the head of the DES must play a critical role in ensuring the timely execution of all the capital works in close coordination with all the engineering staff. The DE shall inter alia, carry out the following:</p>

		<ul style="list-style-type: none"> o Distribute work to engineers on time, who will, in turn, prepare a work plan for execution; o Facilitate and supervise engineers in carrying out surveys, planning, preparation of estimates, drawings & designs, preparation of tender documents, and tendering of capital works based on the work plan prepared by each site engineer; o Carry out on-site supervision and monitoring of works of engineers on regular basis; o Provide appropriate technical support and supervision to engineers and ensure that the site engineers execute the work efficiently with due diligence; o Liaise with the relevant sector heads for seamless execution of the works;
3	Finance Officer	<p>The Finance officer shall ensure;</p> <ul style="list-style-type: none"> o Timely release of funds based on the BRF submitted by the sectors; o Timely payment of bills as per the Service Delivery Standard (SDS) in place; o To inform sectors of any changes or recent developments taking place regarding the financial matters; o To facilitate budget re-appropriations as per the FRR;
4	Concerned Sectors/Gewogs	<p>Sector heads/Gewogs shall take full ownership of the capital activities and ensure that they are properly implemented. Sectors/Gewogs shall;</p> <ul style="list-style-type: none"> o Prioritize the capital activities based on the availability of resources; o Ensure that the pre-implementation formalities such as obtaining clearances & others from the relevant stakeholders are completed before awarding of works; o Hand over the construction sites to the contractor on time in close coordination with the concerned site engineer;

		<ul style="list-style-type: none"> o Inform end-users to submit weekly report as per the format issued by Dzongkhag/Dungkhag/Gewog administration; o Carry out periodic monitoring, prepare and submit a report; o Liaise with Accounts Officer, DE, and Site Engineers for seamless implementation and completion of works including mobilization of funds to meet the shortages; o Submit sectors/Gewogs' work plan for capital works to the engineers along with the background history of the project/activities within the July month; o Wherever possible, provide training/training budget to engineers; o Provide budget for procurement of necessary engineering tools; o Involve concerned engineer in the work-related seminars/meetings/workshops & trainings; o Facilitate transportation for engineers wherever possible;
5	Head of the agency	<ul style="list-style-type: none"> o The Head of the Agency shall devote time to discuss capital activities with Planning Officer, DE, and Sector Heads from time to time. o Shall provide feedback and guidance on matters of importance vis-à-vis capital activities.

MONITORING OF CAPITAL WORKS

For the effective and efficient execution of capital activities, Dzongkhag Administration, Samdrupjongkhar shall carry out monitoring on regular basis through the institution of various levels of monitoring with the objective to;

1. Ensure timely execution and completion of works;
2. Ensure provision of quality infrastructure through proper execution of works;
3. Provide support to engineers and contractors;
4. Strengthen the monitoring system in the Dzongkhag/Gewogs;

SL	Levels of Monitoring	Core Responsibilities
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1	Sector Heads	<p>Monitoring by the sector heads especially the District Engineer (DE) is indispensable. He/she shall carry out the overall technical and physical progress monitoring of all the projects/activities from time to time. For that matter, he/she shall institute a mechanism that helps foster coordination/review meetings with engineers and report the status of activities to the administration on monthly basis.</p> <p>Sector heads must take full ownership of the capital activities, and monitor the same as frequently as possible. Whenever the Sector heads make a field visit to Gewogs for any other programs, monitoring of capital activities should be a very important part of the program and submit the observation report (if any) to the Dzongkhag administration (as per the format attached as annexure – 1) for necessary action and follow up.</p>
2	Gewog Administration	<p>In line with the Local Government Rules and Regulations 2012, the Gewogs must form a Monitoring Committee with the Gup as a Chairman to carry out the monitoring of all the construction activities executed by Gewogs and Dzongkhag administration. The committee shall submit monitoring report to the Dzongkhag administration on a monthly/quarterly basis as per the format attached as annexure -1.</p>
3	Dungkhag Administration	<p>Dungkhags shall institute a monitoring committee Chaired by Drungpa to monitor the execution of projects/activities within the jurisdiction of the Dungkhag including Gewogs and submit report on a monthly/quarterly basis as per the format attached as annexure -1.</p>
4	Community Monitoring & Assessment Committee (CMAC)	<p>As per the directives of the Department of Local Governance (DLG) and in close consultation with the entire Gewogs, the Dzongkhag administration instituted</p>

		<p>Community Monitoring and Assessment Committee (CMAC) in all the Gewogs mainly to;</p> <ul style="list-style-type: none"> o Encourage community participation in monitoring the implementation of development activities in their respective community/chiwogs/villages; o Inculcate the sense of community ownership and make them responsible and accountable in the implementation of the development activities; o Ensure the provision of quality infrastructure through regular and sustained monitoring by the CMAC; o Ensure that the projects/activities being executed in the Gewogs/chiwogs/villages benefit the community; o Support contractors and engineers in the seamless execution of works; <p>The CMAC members comprised of five <i>Goshey Nyenshey</i> from each chiwogs including the chiwog Tshogpas. They are trained on basic knowledge & skills of monitoring by the Dzongkhag administration with the support from DLG.</p> <p>In order to strengthen the function of CMAC, the Dzongkhag/Dungkhag/Gewog administration shall play a pivotal role in supporting them. The Dzongkhag/Dungkhag/Gewog shall inform the contractors during the award of the contract that his/her work shall be monitored by the CMAC in addition to the other levels of monitoring committees and if possible, ask for the presence of at least three CMAC members during the award of contracts so that they are well acquainted with each other.</p>
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		The CMAC shall submit monitoring report to Gewog/Dungkhag/Dzongkhag as per the format attached as annexure – 3 (Checklist)
5	Dzongkhag Monitoring Committee (DMC)	<p>The Dzongkhag Monitoring Committee shall consist of the following;</p> <ol style="list-style-type: none"> 1. Dasho Dzongdag – Chairman 2. Dzongrab – Member Secretary 3. Planning Officer – Member 4. District Engineer – Member 5. Accounts Officer – Member 6. Concerned Sector Heads – Member <p>The Dzongkhag Monitoring Committee (DMC) shall be the apex body and responsible for the overall monitoring of the entire activities being executed in the Dzongkhag, Dungkhags, and Gewogs. The core responsibilities of the DMC shall be to;</p> <ul style="list-style-type: none"> o Ensure effective & efficient execution and completion of projects/activities; o Identify and debottleneck implementation problems/issues; o Provide instructions and feedback for reprioritization and adjustment of plans & programs; o Review status/progress of Dzongkhag & Gewog plan activities; o Strengthen the monitoring system at all levels;

MODUS OPERANDI FOR MONITORING

- o The chairman shall plan a monitoring schedule in consultation with the concerned sector heads/DE/or based on reports received about the projects/activities;
- o A minimum of three committee members shall visit the site and the concerned site engineers must accompany the team;
- o The committee shall visit the site without informing the contractor;

- o The concerned site engineer accompanying the team shall carry a copy of BoQ and other basic equipment;

REPORTING AND FOLLOW-UP MECHANISM

- a. The Monitoring Committee shall prepare and submit a report to the Head of the Organization (as per the format attached as annexure – 1) with a copy to the relevant sector heads and District Engineer;
- b. District Engineer (DE) shall, in writing instruct the site engineers to implement the recommendations made by the DMC;
- c. The committee shall further follow up with the DE/relevant sector heads to ensure that the recommendations made are implemented;

REVIEW OF THE IMPLEMENTATION STATUS OF ACTIVITIES

Rationale:

The sectors are mandated to execute multiple plans & programs in every financial year to realize the overall objectives & goals of the Dzongkhag. The successful execution of the plans & programs demands a proper planning, coordination, supervision, and timely review of their status. Without these, efficient execution of capital activities and provision of quality infrastructure to the public would be a challenging task. As such, it is of utmost importance for the Dzongkhag to review the implementation status of the activities monthly/quarterly mainly to;

- o Keep track of sector plans & programs;
- o Identify the implementation issues/problems and resolve them on time;
- o Institute the review & update mechanism to keep update of overall plans & programs on regular basis;

SECTOR PRESENTATION

As an important strategy for the review of the implementation status of the sectors' plans & programs, each sectors mentioned below shall make a presentation as per the format provided below:

SL	Sectors	Implementation status/Progress
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1	Planning Unit	o Briefly present overall implementation status of Dzongkhag's annual plans & programs including Dzongkhag APA.
2	Engineering Section	o Briefly present overall implementation status of Dzongkhag/Dungkhags/Gewogs capital works.
3	Finance	o Briefly present on the status of overall financial progress, Budget re-appropriation/adjustment done including the status of Finance section APA.
4	Education	o Detail presentation on the implementation status of education sector annual plans & programs including sector APA
5	Agriculture	o Detail presentation on the implementation status of education sector annual plans & programs including sector APA
6	Livestock	o Detail presentation on the implementation status of Livestock sector annual plans & programs including sector APA
7	Health	o Detail presentation on the implementation status of Health sector annual plans & programs including sector APA
8	Religion & Culture	o Detail presentation on the implementation status of Religion & Culture sector annual plans & programs including sector APA

I. Presentation format to be used for reporting progress of capital activities

SL	Name of the work & location	Appr. budget	Cost estimate	Contract amount	Start date	End date	Quarter 1		Deviation (if any)
							Phy. Ach.	Fin. Ach.	

II. Presentation format to be used for reporting progress of non-capital activities

SL	Name of the activity & location	Appr. Budget (in million)	Qty/No .	Quarter 1		Remarks
				Phy. Ach.	Fin. Ach.	

NON-COMPLIANCE TO THE GUIDELINE

It shall be the onus of all the implementing entities (Sectors/Gewogs/Dungkhag) to abide by, practise and uphold this guideline. Non-compliance to the guideline shall be dealt as per the existing laws of the land.

CONCLUSION

One of the main indicators to measure the success of the Dzongkhag is the implementation of capital activities and the provision of quality infrastructure to the public. Therefore, the Dzongkhag must put in place some strategies for effective and efficient implementation of capital activities.

As St. Anthony said, “Action speaks louder than words”, implementing strategy is important as it is the critical actions that move a plan from a document that sits on the shelf to actions that drive business growth. A good strategy without proper implementation is like no strategy at all. Therefore, as discussed and agreed by all the stakeholders, a rigorous effort from all concerned is a must to ensure that this strategy is implemented well.

Implementing strategy well will certainly help our Dzongkhag to be proactive and increase its operational efficiency by setting up a clear sense of direction. This will lead to the realization of our set targets and improve performance. Of course, without the concerted and coordinated efforts of all the stakeholders, the achievement of set targets would be in vain. Therefore, to ensure that this strategy is adopted, implemented and followed by the relevant implementers, it shall be kept dynamic.

Annexure - 1

MONITORING REPORT FORMAT FOR CONSTRUCTION WORK

Name of Work:

Name of the contractor:

Name of the firm:

Contract amount:

Contract duration:

Date of site visit:

Particulars	Requirement as per the contract document	Available at Site	Action taken/Remarks
I. MANPOWER			
1.1. Foreign Worker			
1.2. Bhutanese Worker			
1.3. Skilled Worker			
1.4. Engineer			
1.5. Project Manager			
1.6. Supervisor			
II. MACHINERIES			
2.1. Concrete mixer			
2.2. Vibrator			
2.3. Tipper Truck			
2.4. Excavator			
2.5. Back Hoe			
2.6. Paver			
2.7. Grader			
2.8. Hot Mix Plant			
2.9. Guage Box			
III. MATERIALS			
3.1. Cement			

3.2. Sand			
3.3. PPGI sheet			
3.4. MS Tubular Section			
3.5. Granite tiles			
3.6. Plumbing Materials			
3.7. Electrical Materials			
IV. DOCUMENTS			
BoQ, site order book, copy of contractors' work plan etc.			

General Observations:

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Name of the monitoring officer(s):

Designation:

Signature:

***Comments of the end-user (if any):**

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Name of the end-user:

Designation:

Signature:

Countersigned by:

Name of the Contractor/representative:

Signature:

SITE INSPECTION REPORT FORMAT FOR ENGINEERS

Name of Work:

**Name of the
contractor:**

Name of the firm:

Contract amount:

Contract duration:

Date of site visit:

S L	Particulars	Observation at Site	Action taken	Remarks
1				
2				
3				

Name of the site engineer:

Designation:

Signature:

***Comments of the end-user (if any):**

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Name of the end-user:

Designation:

Signature:

Countersigned by:

Name of the Contractor's representative:

Signature:

Annexure – 3

MONITORING REPORT FORMAT FOR CMAC MEMBERS

སེམས་འཇུག་མི་གི་དོན་ལུ་ ལྷ་རྩོག་སྒྲུ་གི་སྒྲིག་བཀོད།

Name of Work: ལཱ་གི་མིང།

Name of the contractor: ལག་འབག་པ་གི་མིང།

Name of the firm: ཚོང་སྡེ་གི་མིང།

Contract amount: ལག་འབག་མ་དངུལ།

Contract duration: ལག་འབག་དུས་ཚོད།

Date of site visit: ས་གནས་ལྷ་སྒྲོར་གྱི་སྤྱི་ཚེས།

Particulars/ གནད་དོན	Available at Site ས་གནས་ ནང་ཡོད་པ་མེད་པ།	Remarks བློ་གསལ།
I. MANPOWER མི་སྡེ་བས།		
1.1. Foreign Worker ཕྱི་མི་ལས་མི།		
1.2. Bhutanese Worker འབྲུག་མི་ལས་མི།		
1.3. Skilled Worker ལག་ཕྱུལ་ཅན་གྱི་ལས་མི།		
1.4. Engineer བཅོ་དཔོན།		
1.5. Project Manager ལས་འགུལ་འཛིན་སྐྱོང་པ།		
1.6. Supervisor ལྷ་རྩོག་པ།		
II. MACHINERIES འཕྲུལ་ཆས།		
2.1. Concrete mixer ཕྱི་འདས་སྐྱོར་འཕྲུལ།		
2.2. Vibrator ཟེར་འཕྲུལ།		
2.3. Tipper Truck རྩོམ་འཕྲུལ།		
2.4. Excavator ས་ཁྱོད་འཕྲུལ་འཕྲོར།		

2.5. Back Hoe ས་ཤོ་སྐྱུ་འཁོར།		
2.6. Paver ལམ་རྩོག་ཞིབ་འཁོར།		
2.7. Grader སྐྱུ་ཚད་འཕུལ་འཁོར།		
2.8. Hot Mix Plant ཚ་སྦྱར་འཕུལ།		
2.9. Guage Box ཚད་འཇལ་སྦྱོམ།		
III. MATERIALS ཚཆས།		
3.1. Cement ཕྱི་ས།		
3.2. Sand རྩེ་ས		
3.3. PPGI sheet བི་ཕི་ཇི་ཨ་འེ་ཁེ་བས།		
3.4. MS Tubular Section ཞེ་ཞེ་ས་སྦྱ་གུ་ཡོད་པའི་རུ་ས་བྲ།		
3.5. Granite tiles རྩོ་ཁ་ཅན་གུ་ཇ་ལེབ།		
3.6. Plumbing Materials རྒྱུང་ཚཆས།		
3.7. Electrical Materials རྒྱུ་མེ་ཚཆས།		
IV. General observations: སྦྱིར་བཏང་མཐོང་འཆར།		

Name of the members: འཕུས་མི་གི་མིང།

1.....

Signature: རྟགས།.....

2.....

Signature: རྟགས།

3.

Signature: རྟགས།

Countersigned by: མཉམ་རྟགས་བཀོད་མི།

Name of the Contractor/representative: ལག་འབག་པ་ཡང་ན་ འཕུས་མི་གི་མིང།

Signature: ཉགས།