NORTHERN RAILWAY

Headquarters Office
Baroda House
New Delhi.

No. 98-G/M-SOP/A: Works Matters/2024-25 **Dated**:-02.09.2024

All PHODs, CAO/Const., CAO/FOIS
All DRMs, Northern Railway
Officers Incharge, All Rly. Workshops
& other Extra Divl. Offices, Northern Railways
Sr.DFM of all Divisions & WAOs of all Workshops,
FA&CAO/F&G, Constn. and B&B.
Dy.FA&CAO-I, Dy.FA / FX, Baroda House, New Delhi.
Principal Director of Audit, Baroda House, New Delhi.

Correction Slip No. 15 on Part-A: Works Matters.

SUB:- Amendment in Model SOP 2018 (NR) (Part-A: Works Matters), Inclusion of important administrative Notes to the SOP in Item No. 1,2,4,6A & Annexure E (for projects/works under PH-53 & PH-16)

General Manager, Northern Railway in consultation with finance has accorded approval for inclusion of important administrative Notes to the SOP in Item No. 1, 2, 4, 6A & Annexure E in NR-Model SOP-2018. The correction slip No. 15, dated: 02.09.2024 is enclosed as **Annexure**.

Existing powers on Part-A:Works Matters available on railnet NR's web page: http://10.2.2.19 are being updated by this office, therefore, the relevant item of Works Matters existing in Model SOP 2018, may please be amended as per **Annexure**.

DA/As above

(Ganjan Bhardwaj)
Dy. General Manager (G)

'ANNEXURE'

CORRECTION SLIP No. 15, (Important Administrative Notes to the SOP in Item No. 1, 2, 4, 6A & Annexure E of PART- A: WORKS MATTERS); on NR-Model SOP-2018, Dated:- 02.09.2024

S.No.	Nature of Powers	PHOD/CHOD /HOD	DRM/ADRM/ SAG	Divisional Officers, Extra Divisional Officers & Officers in Headquarters	REMARKS
1	2	3	4	5	6
1.	To accord administrative approval to (A) Lump sum 1. Works Plan Heads: (i) Passenger & Other Railway user's Amenities (PH 53), Traffic Facilities PH 16, Track Renewal PH 31, Bridges PH 32, RSW –& L/Cs (Road Safety Works - Level Crossings) PH-29,	<u>PHOD/CHOD</u> Up to Rs.2.5 Cr.	<u>DRM</u> up to Rs. 2.5 Cr	Nil	*Authority*: 1. Railway Board's Letter no F(X)II-2015/PW/7 dated 12-06-2017 2. 2017/Trans/01/Policy dtd 18.10.2017 3. Finance Concurrence required 4. *In terms of Ltr No. 2017/Trans/01/Policy dtd 18.10.2017. 5. Railway Board's letter No. 2020/CE-IV/ROB/155 dated 11.11.2020 6. Railway Board's Letter No. 2017/CE-I/WP/2018-19/1 Pt. dated 27.10.2022 (GM's may devise suitable mechanism for the communication of Umbrella Provision to DRMs for *'DRMs Priority Works'* costing up to Rs. 10 Crore). 7. Railway Board's Letter No. 2022/F(X)II/PW/6 dated 22/11/2022 8. Railway Board's Letter No. 2022/F(X)II/PW/6 dated 01/03/2023 9. Railway Board Letter No. 2022/F(X)II/PW/6 dated 21/04/2023 10. Railway Board Letter No. 2022/F(X)II/PW/6 dated 20/02/2024 11. Railway Board Letter No. 2023/I&Trans. Cell/SOP-Pt A/Works/PH 16 & PH 53 dated 16.02.2024
	(i) (a) Road Safety Works–(ROB/RUB) PH-30	<u>PHOD/CHOD</u> Up to Rs. 1 Cr.	<u>DRM</u> up to Rs. 1 Cr	Nil	
	(ii) S&T (Signaling and Telecommunication) Works (PH 33) Other electrical works including TRD works (PH-36), Traction Distribution Works (PH-37) Workshops including Production Unit (PH-42), Staff Welfare (PH-51) Amenities for staff (PH-52)* Other Specified Works – PH- 64 Training/HRD (PH-65) including works related to CTIs Note: Delegation of Powers to DRMs for sanction of works under lump-sum instead of Umbrella works : Rs. 2.5 Cr in PH-16, 29, 33, 36, 42, 51, 53 & 64 vide Railway Board's letter No. 2022/F(X)II/PW/6 dated 01/03/2023 & 21/04/2023.	Rs. 1 Crore	<u>DRM</u> Rs. 1 Crore (PH-33, 36, 42, 51 & 64 up to Rs. 2.5 Cr.) <u>CWM (in SAG)</u> Rs. 2.5 Cr. for PH-42 only <u>DRM</u> Rs. 20 lakhs in each case for existing Railway Schools, Institutes, Officers Club, Rest Houses and Holiday Homes and CMD / DRM - Rs. 20 lakhs in each case for existing Railway Hospitals & Dispensaries.	Nil	

Note for Item 1(A)-1:

1. Lump Sump Grant (LSG) will be distributed by PCE in consultation with plan head coordinator and approval of GM. Total LSG not to be exceeded.
2. Proper guidelines will be issued by respective PHODs to all Branch Officers for adequate scrutiny of the proposals, fixing priority of work, margin to propose new works etc.
3. Monthly reports in specified format to be submitted by divisions to HQ to ensure close monitoring.
4. The powers delegated to PHODs/ DRMs/ CWMs are subject to availability of adequate permissible cost under each plan head for consideration of any proposal. Permissible cost is to be worked out as follows. Permissible Cost i.e., PC = {Ceiling (C) X Norms (N)} – Throw Forward (TF), C = The lump sum grant allocated to a particular Division. If grant is yet to be allocated, the grant of the previous year can be taken as the ceiling till the actual grant is allocated. N = Likely period of completion of works as per the norms stipulated by the Board for PWP. TF = Throw forward of ongoing works under each Plan Head.
5. a) For Divisional Officers - Administrative approval shall be obtained by the Sr.DEN/Co-ordination of the division for item no. 1(A). On administrative approval, the Sr.DEN/Coordination shall be responsible for the publication of the DRM's MINI LAW BOOK. It shall be seen at the time of according administrative approval that administrative approval is not accorded for more than PC (Permissible Cost) available to the DRM under a particular plan head. Any item of work that features in the MINI LAW BOOK for 2 years or more without sanction of the detailed estimate must be dropped from the MINI LAW BOOK.

   b) For Headquarters Officers - Administrative approval shall be obtained by the CE/P&D for item no. 1(A). All the items of work proposed to be included in the LAW BOOK should have been concurred by the divisional Finance and approved by the DRM. On administrative approval, the CE/P&D shall be responsible for the publication of the LAW BOOK. It shall be seen at the time of according administrative approval that administrative approval is not accorded for more than PC (Permissible Cost) available to the GM. To calculate PC, above formula will be used with 'Ceiling' = budgetary ceiling available to the GM minus budgetary ceiling delegated to the DRMs, under a particular plan head and the TF= throw forward under that plan head for works sanctioned by GM. Any item of work that features in the LAW BOOK for 2 years or more without sanction of the detailed estimate must be dropped from the LAW BOOK.
6. Whenever any work originally included under category of lump sum works is subsequently found to cost more than the power of authority who sanctioned it, fresh sanction of higher authority has to be obtained as per the current sanctioning power.

7. **Approval to projects/works under PH 53 and PH 16** shall be based on Initial report (on justification, scope, including abstract layout/ design/ drawings, and outcomes) furnished by the User Authority mentioned against the plan-head.

Plan-head (PH)	User Authority
PH-53	Commercial Branch (PHOD/CHOD and /or Sr DCM/DCM in-charge)
PH-16	Operating Branch (PHOD/CHOD and / or Sr DOM/DOM in-charge)

S.No.	Nature of Powers	PHOD/CHOD /HOD	DRM/ADRM/ SAG	Divisional Officers, Extra Divisional Officers & Officers in Headquarters	REMARKS
1	2	3	4	5	6
2.	Technical sanction to sub estimate/detailed estimates/ revised estimates for all the works including those sanctioned by higher authorities (GM/Railway Board etc.) (A) Works itemized in the works programme/RSP/M&P/LAW/LSWP/Mini Law/Deposit/Composite Works (chargeable to both Railways and party)				
	(i) All works in (A) above except RSP and M & P items and chargeable to Capital, Capital Fund, RRSK, Depreciation Reserve Fund, Development Fund, and Open Line Works Revenue.	CAO (C) in HAG Up to Rs. 500 Cr. AGM Upto to Rs.500 Cr. PHODs/CHODs Upto Rs. 100 Cr. SAG Upto Rs. 50 Cr.	DRM- Upto Rs 75 Cr. ADRM Upto Rs. 50 Cr. CWM in SAG Upto Rs. 75 Cr.	SG/JAG Upto Rs. 25 Cr.	*Authority:* 1. Para-703 of Engg. Code. 2. Item No. 40(1) (a & b) & 40(2) of GM's delegation. 3. Board's letters No. F(X)II-2006/PW/17 dated 04-12-2006 & 24.05.2007. 4. Board's letter No. F(X)II/2015/PW/7 Dt. 12/06/2017 5. Board's Letter No. 2018/TF/Civil/Works dtd. 12/06/2018 6. Railway Board Letter No. 2023/I&Trans. Cell/SOP-Pt A/Works/PH 16 & PH 53 dated 16.02.2024
	For any Deposit Work: Administrative approval is required as per item 1 (C) above before any survey, planning/execution of the work. Regarding Composite works (involving Railway and Deposit works both), the administrative approval of the Railway portion of the work is limited up to the values specified in Item 1(A) above.				
	Note for item 2(A)-(1): 1. Associate Finance vetting is necessary. 2. For open line works, costing more than Rs. 500 Cr., vetting by PFA and for construction works costing more than Rs. 500 Crores vetting by Fa & CAO/Construction is required for obtaining personal sanction of GM. 3. Excess over the abstract cost for works shall be governed by Item 3 of SOP (Works matters) 4. Detailed estimate may be prepared in the initial stage by taking services of a consultant wherever required. Change in scope may be done only on account of change of technology or change in local conditions but not due to change in planning/layout. All the existing provisions will be retained [Authority: RB Ltr. No. 2017/Trans/01/Policy dt. 18.10.2017]. 5. Deposit works are defined in accordance with para 1843 of IR Code of Engineering Department. The method of execution is also defined therein. The limit of variation by 20% due to reasons other than escalation etc may not be applicable for Deposit Works. Sanction, execution and variations in these Deposit works shall be made by the Railway administration in consultation with the sponsoring authority bearing the cost of the deposit works, within the broad guidelines provided in IR Code of Engineering Department and Model SOP. Revised detailed estimate should however be within the powers of the sanctioning authority (Authority: RB Ltr. No 2017/Trans/01/Policy dated: 08-02- 2018) 6. *(for Projects/Works under PH 53 and PH 16):* Detailed Estimate/ Sub-estimate/ revised Estimates would be routed through the User Authority along with detailed layout/ design/ drawings w.r.t. Initial Report mentioned in the Note No. 7 for item 1 (A) of Part- A on works Matters of MSOP-2018.				

S.No.	Nature of Powers	PHOD/CHOD /HOD	DRM/ADRM/ SAG	Divisional Officers, Extra Divisional	REMARKS
1	2	3	4	5	6
4	Material Modification in works estimated to cost at least Rs 2.5 Cr. And above.	PHODs Upto Rs. 50 lakhs. SAG Upto Rs. 25 lakhs.	Upto Rs. 25 lakhs.	Nil	*Authority:* 1 Para-1110 of Engg. Code and Item No. 49 of GM's delegation. 2 Board's letters No. F(X)II-2006/PW/17 dated 18-10-2006 3 Railway Board Letter No. 2023/I& Trans. Cell/SOP-Pt A/Works/PH 16 & PH 53 dated 16.02.2024
	Notes for Item 4 1. Finance concurrence is necessary. 2. Subject to a ceiling of 20% of original estimated cost. 3. For Material modification estimated to cost more than Rs. 50 Lakhs but below Rs. 2.5 Crores, personal sanction of GM with PFA/FA& CAO(C)'s concurrence is required. The excess over the revised cost of the estimate does not go beyond the General Manager's powers. 4. **(for Projects/Works under PH 53 and PH 16) :** a material modification review report shall be furnished by the User Authority mentioned against the plan-head in Note No. 7 of item 1 (A) of Part- A on works Matters of MSOP-2018. In Works/Projects that have part/ sub-works being executed by other departments, e.g. major part may pertain to Civil while sub/part works are being executed by S&T or Electrical, material modification report shall cover a review of all such part/sub works.				

<table>
<tr><th>S.No.</th><th>Nature of Works</th><th>Important Administrative Notes of the SOP
(Authority: Railway Board Letter No. 2023/I& Trans. Cell/SOP-Pt A/Works/PH 16 & PH 53 dated 16.02.2024)</th></tr>
<tr><td>6-A Add.</td><td>Works Management/ Administration (After Signing of Contracts)</td><td>
I. GoI's Manual on Procurement of Works (June 2022) requires, (para 6.1.2 therein) that "a system of project monitoring for each work shall be prepared before start of the work and same shall be available at site of work". "Deadlines or contractual milestones should be set up". "The work shall be monitored on a quarterly/monthly basis by the Works committee and a status report will be submitted" emphasizing "the use of proper project management tools" to enable the works management team "to collaboratively monitor the physical & financial progress of the contract against the planned physical & financial schedule".

Milestone based collaborative review at Works-in-progress/completion stages.

II. For PH 53 (Customer Amenities) & PH 16 (Traffic Facilities) a list of all the works-in-progress at a Station would be well displayed and kept updated by the works contract executing authority at the Station (SM/SS office and / or location as directed).

III. IT based project/works monitoring: For PH 53 & 16, the works contracts executing authority shall provide, for every work/project item, an access to IRPSM/works dashboard for monitoring by the User Authority.

IV. For PH 53 & 16, the works contracts executing authority and the user authority shall draw a works-in-progress report at the following minimum milestones and submit to DRM/CAO/GM. Works/Projects that have part/sub-works being executed by other departments, milestone based collaborative reviews would include participation of all the works executing authorities and the user authority.

<table>
<tr><td>Plan-heads (PH)</td><td colspan="3">Mile-stones in terms of financial progress</td></tr>
<tr><td rowspan="2">PH 16 & PH 53</td><td>1st</td><td>2nd</td><td>3rd</td></tr>
<tr><td>3 months from award/commencement to 5%</td><td>50% to 55%</td><td>85% to 90%</td></tr>
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Asset handing-over/taking-over and Works Closure Report.

V. For PH 53 & 16: the works contract executing authority shall draw the completion/reconciliation report after final asset handing-over / taking- over report by the User Authority on whose initial / revised report the work/project was sanctioned.

VI. Works/Projects that have part estimates / sub-works being executed by other departments, completion / closure report of all such part-estimates/ sub-works shall be drawn, before drawing final closure report of the entire Work/Project. It is advisable that the works executing authority while drawing their individual contract closure report may on behalf of the User Department (as works executing authority) keep in view para 6.7.3 of GoI's Manual on Procurement of Works (June 2022)
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Annexure E

(Reappropriation)

Annexure 'E(i)'

A) General:

1. Re-appropriations should be done in exceptional cases only and when is known/anticipated that the work from which funds are being re-appropriated will not be utilized in full or if savings can be effected in the appropriation/outlay for the work.
2. All re-appropriations shall be processed for sanction of GM/Railway Board by the concerned nodal department/branch based on the recommendation of the user department/branch. Prior Concurrence of Associate Finance is required in all cases. For re-appropriations sanctioned at Zonal Railway level, FA&CAO (Budget) would issue sanction memoranda duly reflecting changed funds position through Budget VPN (Virtual Private Network).
3. All re-appropriation proposals should be accompanied by details as per the Performa annexed in ' **Annexure-E (ii)'.**
4. Funds cannot be re-appropriated to a work not having administrative approval and technical sanction of competent Authority.
5. Amount re-appropriated to any work shall not exceed the sanctioned cost of that work.
6. Once funds are diverted from any work through re-appropriation, it renders the work as lowest in priority for that financial year and funds cannot be restored to the work during the financial year. Hence temporary/reverse re-appropriation cannot be resorted to. **Authority: Rly. Board Lr.No.2015-B-174 dated 04.12.15**.
7. Since both itemized works as well as lumpsum provision for works costing below Rs.2.50 Crs. each are Pink Book items, Re -appropriation between/among them is permitted. **Authority: Rly. Board Lr.No.2011-B-174 dated 09.12.2015.**
8. For Projects/Works under PH-53 and PH-16, re-appropriation shall be routed through the User Authority. *(Railway Board Letter No.2023/I& Trans. Cell/SOP-Pt A/Works/PH 16 & PH 53 dated 16.02.2024*

This has the approval of General Manager/NR
CS No. 15, Issued vide Dy.GM/G Letter No. 98-G/M-SOP/A: Works Matters/2024-25, dated 02.09.2024

(Gunjan Bhardwaj)
Dy. General Manager (G)