



नेपाल सरकार
राष्ट्रिय सतर्कता केन्द्र
सिंहदरबार, काठमाडौं ।

प्राविधिक परीक्षण सम्बन्धी सूचना-०५
सिलवन्दी प्रस्ताव आव्हानको सूचना
(प्रकाशित मिति : २०८०/०१/...)

यस केन्द्रबाट चालु आ.व. २०७९/०८० को वार्षिक स्विकृत कार्यक्रम अनुसार दोस्रो पूल सुधार तथा संभार आयोजनाहरु (BIMP-II) को प्राविधिक परीक्षण कार्य गनुपर्ने भएकोले ईच्छुक इजाजत प्राप्त प्राविधिक परीक्षक / फर्मबाट Expression of Interest (Eoi) माग गरीएको छ । विस्तृत सूचनाको लागि यस केन्द्रको वेभसाइट www.nvc.gov.np मा हेर्न हुन र थप जानकारीको लागि यस केन्द्रको प्राविधिक परीक्षण तथा अनुगमन महाशाखामा (फोन नं. ०१-४२००३५०, ४२११९४८) सम्पर्क राख्न हुन समेत जानकारी गराइन्छ ।

राष्ट्रिय सतर्कता केन्द्र

Request for Expression of Interest

(Consulting Services-Individual)

**Government of Nepal
National Vigilance Center**

Date: 21 April 2023

Name of Project: Second Bridges Improvement and Maintenance Program (BIMP-II) Contract

Identification No:-NVC/TA/BIMP-II/2079/080 (01-17)

Name of the Donor Agency World Bank.

Donor Loan/Credit/Grant No.....

1. Government of Nepal (GON) has received financing from the World Bank toward the cost of Second Bridges Improvement and Maintenance Program (BIMP-1) (Program") and intends to apply part of the proceeds for consulting services
 2. The consulting services (the Services") include technical audits of various bridge contracts executed under the program through NVC certified technical auditors. The National Vigilance Center (NVC) intends to apply a portion of this financing to eligible payments under the Contract for which this Expression of Interest is invited.
 3. The National Vigilance Center now invites Expression of Interest (EOI) from eligible "Consultants" to indicate their interest in providing the Services. Interested Consultants should provide detailed curriculum vitae (CV) providing information demonstrating that they have the required qualifications and relevant experience to perform the Services. The shortlisting criteria are academic qualification and experiences relevant to the assignment. It is mandatory that the Consultant must have received the Technical Auditor's Training conducted by the NVC.
 4. Expressions of interest may also be submitted by firms to provide qualified individual consultants. However, the selection shall be based solely on the individual consultant's qualification, firm's experience shall not be considered.
 5. The attention of interested Consultants is drawn to Section III of the Procurement Regulations for IPF Borrowers July 2016, revised November 2020 (Procurement Regulations"), setting forth the World Bank's policy on conflict of interest. A Consultant will be selected in accordance with the Individual Consultant's Selection method set out in the Procurement Regulations.
 6. Maximum three contract packages may be awarded to shortlisted each Technical Auditor on the rank wise negotiation basis.
 7. interested eligible consultants or Individuals may obtain further information and Terms of Reference at National Vigilance Center, Singhdurbar, Joint Secretary of Technical and Monitoring Division (TAMD), Phone 01-4200350,01-4211948 during office hours on or before or client's website nvc.gov.np.
 8. Expressions of Interest shall be delivered in a written form along with a detailed resume to the address below (in person, or by mail, or by e-mail) not later than 15th day from the first publication date of the notice
- National Vigilance Center,
Attn: Joint Secretary of Technical and Monitoring Division (TAMD) Singhdurbar,
Tel: 01-4211948
E-mail: nvc_tamd@gmail.com
- In case the last date of obtaining and submission of the EOI documents happens to be a holiday, the next working day will be deemed as the due date but the time will be the same as stipulated.

S.N.	Contract Package	Project Name	District	Reference Code for STEP	Pradesh No.
1	NVC/TA/BIMP-II/2079/080-01	Jugedi Khola Bridge, Chitwan (BBPCU-DB-33701132-076/77-02)	Chitwan	NP-NVC-355732-CS-INDV	3
2	NVC/TA/BIMP-II/2079/080-02	Trisuli river Bridge, Nuwakot (BBPCU-DB-33701134-076/77-025 (Re))	Nuwakot	NP-NVC-355843-CS-INDV	3
3	NVC/TA/BIMP-II/2079/080-03	Lipe Khola Bridge, Sindhuli / Makwanpur (MBHPD /337011084/DB/076/77-001)	Sindhuli / Makwanpur	NP-NVC-355845-CS-INDV	3
4	NVC/TA/BIMP-II/2079/080-04	Bhutaha Khola Bridge, Sindhuli / Makwanpur (MBHPD/337011084 /DB/076/77-001)	Sindhuli / Makwanpur	NP-NVC-355846-CS-INDV	3
5	NVC/TA/BIMP-II/2079/080-05	Khaira Jhora Bridge , Udayapur (MBHPD /337011084/DB/076/77-003)	Udayapur	NP-NVC-355848-CS-INDV	1
6	NVC/TA/BIMP-II/2079/080-06	Daale Khola Bridge, Morang (MBHPD/337011084/DB/076/77-005)	Morang	NP-NVC-355851-CS-INDV	1
7	NVC/TA/BIMP-II/2079/080-07	Mugu Khola Bridge, Morang (MBHPD/337011084/DB/076/77-005)	Morang	NP-NVC-355852-CS-INDV	1
8	NVC/TA/BIMP-II/2079/080-08	Hachuwa Khola Bridge, Morang (MBHPD /337011084/DB/076/77-007)	Morang	NP-NVC-355853-CS-INDV	1
9	NVC/TA/BIMP-II/2079/080-09	Saune Khola Bridge, Morang (MBHPD/337011084/DB/076/77-007)	Morang	NP-NVC-355854-CS-INDV	1
10	NVC/TA/BIMP-II/2079/080-10	Solty 1 Khola Bridge, Morang (MBHPD/337011084/DB/076/77-011)	Morang	NP-NVC-355856-CS-INDV	1
11	NVC/TA/BIMP-II/2079/080-11	Solty 2 Khola Bridge, Morang (MBHPD/337011084/DB/076/77-011)	Morang	NP-NVC-355857-CS-INDV	1
12	NVC/TA/BIMP-II/2079/080-12	Mikiku Khola Bridge, Morang (MBHPD/337011084/DB/076/77-011)	Morang	NP-NVC-355858-CS-INDV	1
13	NVC/TA/BIMP-II/2079/080-13	Sano Nete Khola Bridge, Jhapa / Illam (MBHPD/337011084 /DB/076/77-014)	Jhapa / Illam	NP-NVC-355861-CS-INDV	1
14	NVC/TA/BIMP-II/2079/080-14	Thulo Nete Khola Bridge, Jhapa / Illam (MBHPD /337011084/DB/076/77-014)	Jhapa / Illam	NP-NVC-355862-CS-INDV	1
15	NVC/TA/BIMP-II/2079/080-15	Gangate Khola Bridge, Jhapa / Illam (MBHPD /337011084/DB/076/77-015)	Jhapa / Illam	NP-NVC-355863-CS-INDV	1
16	NVC/TA/BIMP-II/2079/080-16	Chaiju Khola Bridge, Illam (MBHPD/337011084/DB/076/77-017)	Illam	NP-NVC-355864-CS-INDV	1
17	NVC/TA/BIMP-II/2079/080-17	Bagdwar Khola Bridge, Illam (MBHPD/337011084/DB/076/77-017)	Illam	NP-NVC-355865-CS-INDV	1



Government of Nepal
National Vigilance Centre
Technical Audit and Monitoring Division
Singhdurbar, Kathmandu, Nepal

Term of Reference
For
Procurement of Technical Auditing Services
For

.....
.....

(Implementation Stage)

Contract Identification No:-NVC/TA/~~RUP~~^{RUP}~~BIMP~~-II/2079/080-.....
~~अ BIMP अ~~

Address:
National Vigilance Centre
Technical Audit and Monitoring Division

Singhdurbar, Kathmandu, Nepal
Telephone: 977 -1-4200350, 977-1-4211948
977-1-4200400 (Fax)

April, 2023



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SECTION 1:-TERMS OF REFERENCE

Terms of Reference for Consulting Services for Technical Audit of

Contract Package No: - NVC/TA/...../2079/080-.....

Name and Location of Project.....

1.0 Background

National Vigilance Centre (NVC) was established according to article 37 of Corruption Control Act, 2059 and functioning as article 38 of the same. NVC plays preventive and vigilant role in order to promote good governance by creating fair economic discipline, moral ethics and transparency. It is under direct supervision and control of the Prime Minister of Nepal. The center especially focuses on the preventive and promotional activities on public services.

For strengthening governance in infrastructure project, Technical Audit & Monitoring Division (TAMD) of NVC is continuously carrying out Technical Audit (TA) of several projects since F/Y 2060/061. TA is a systematic and independent process for obtaining evidence and evaluating this objectively to determine the extent to which needs or expectations are fulfilled. It is the process of maintaining and ensuring the quality of public investment projects through the assessment of time, cost, quality and prevailing rules and regulations. TA can be performed on all public sector projects in planning & design, procurement, implementation and post implementation stage. As per prevailing policy and laws of Government of Nepal, NVC has mandated to train the Technical Auditors and carry out technical audit of the infrastructure projects implementing by different Ministries, Departments and Authorities.

2.0 Project Area Information

The salient features of the project are as shown in the annex A.

3.0 Objectives of Technical Audit

The primary objective of the TA is the assessment of the technical aspects of the project. This will enable the Government of Nepal and concerned agency to enhance the overall performance of the project. Following are the objectives expected by the conduction of TA:

- To improve infrastructure quality and value
- To assure application of prevailing norms, rules & regulation, standard , guidelines
- To assure Transparent, cost effective procurement of goods, works and services
- To analyze critically about project quantity, cost variations and claims
- To analyze project schedule and activities
- To control over annual maintenance expenditure
- To increase project life with decreased life cycle costs
- To aware and alert about Potential defects in the project
- To provide suggestions and feedback to project and implementing agencies



4.0 Study Methodology

The methodology to be adopted requires identification of benchmarks in reference to legal requirements to complete the project. Such legal requirements are the benchmarks or standards. They are required to be adopted/implemented and complied. Those requirements areas per Public Procurement Act (PPA) 2007, Public Procurement Regulation (PPR) 2007, Financial Acts and Regulations (FAR), Directives from Public Procurement Monitoring Office (PPMO), Standard Bid Documents, Design Standards, Approved Contract Documents including Contract Agreement, Design & Drawings, Specifications, Environmental and Social Management Framework (ESMF), approved Plan & Policy, related act & regulation guidelines of concerned agency/project etc. other relevant documents related to specific project could be bills of quantities (BoQ), construction schedules and milestones, quality assurance plan (QAP), quantity control system, quality control test results, interim certificates, procurement report, initial environmental examination report, social assessment report/action plan including resettlement action plan, deed transfer record, record of training conducted, environmental management action plan, safety report/action plan, social and environmental progress and monitoring reports, other relevant documents etc.

Compliance to the legal requirements shall be considered "meeting the standard" and any deviation from compliance shall be considered "the non-compliance" or "not meeting the standard".

The methodology suggested includes two approaches. Firstly, it is to carry out a desk-study/review of relevant project information and other documents including legal requirements. On the basis of such study, the Technical Auditor shall develop a comprehensive audit plan, audit criteria and identify relevant benchmarks/ standards. The audit plan comprising standards should be proposed for approval to the NVC. Once audit plan is approved, it shall be extended with verification tools including audit check list including compliance and non-compliance checklist, audit questionnaire, field visit plan, etc. The overall audit plan should also be proposed for approval to the NVC. Secondly, the Auditor shall supplement with a detailed field check and verification on the on-going project by collecting sample tests results (if required), conducting meetings/ interviews with important stakeholders. Where warranted, a detailed probing or investigation could be also carried out by the Auditor. Overall, it should reflect the basic objective of technical audit. Preparation of a comprehensive report and giving presentation in the NVC should be also part of the methodology as well as scope of services.

5.0 Scope of Technical Audit

Scope of technical audit service is to conduct Technical Audit of

Name of the project....

Component of project....

Stage of project.....

District/ Address/Location.....

The scopes for technical audit have been divided into two stages: (1) process compliance auditing and (2) auditing of non-compliance with detail analysis and reporting. The scopes are focused on the followings; however they are not limited to the suggested below:

5.1 Process Compliance Auditing:

The process compliance auditing is to find out whether planning & design/Procurement/implementation/post implementation process complied with GON rules and regulations, standards, guidelines, norms set or not.

(A) Planning & Design Process

- Availability of project plan, approved Annual Program and budget allocation
- Identification and assessment of needs
- Compliance with standards/guidelines/ESMF in project design
- Review/checking process of various options of designs before final acceptance of a design
- Cost estimates and its relevance linked to Departmental cost schedules and norms
- Approval process of competent authorities
- Soil investigations and use of the investigation results in the design process.
- Any grievances linked to the particular project/work and its handling
- Execution of EIA/IEE and other relevant study report
- Evidence of erection of sign board(s) and its accuracy

(B) Procurement Process

- Approval of the Multi Year Procurement Master Plan and its update
- Approval, updating and dissemination of the Procurement Plan
- Wide publicity and fair access and cost effective transparent process
- Actual procurement timeline vs. the Planned Procurement timeline
- Nomination of Procurement Focal Point
- Actual procurement process and decisions (including grievances and dispute resolutions) vs Public Procurement Act (2007) and Regulations provisions

(C) Progress, Contract Management and Quality

- Completion of the contract and milestones vs the original completion date and milestones.
- Formulation and activities of the Project Management Team at Divisions/Projects
- An assessment of the following:
 - Bank guarantees against advance mobilization,
 - Performance security,
 - Insurances and
 - Contract Price Adjustments (CPAs);
 - Work programs, quality assurance plan and its implementation,
 - Resource (labour /materials/ equipment) stock/balance and mobilization / demobilization plan, list of key personnel at the site, and calibration of laboratory equipment,
 - Records linked to (a) quarry opening, quarry operation and rehabilitation plan, (b) borrow pits, their operation and rehabilitation plan, (c) spoil disposal locations and their rehabilitation plan;
 - Field verification linked to (a) request for inspection, (b) instruction sheet, and (c) daily works outputs and site diaries.;
 - Field verification of availability of materials testing equipment, lab test manuals and or guidelines, record keeping, qualified/skilled personals, etc.;
 - Field verification of (a) work drawing (b) workmanship (c) trial testing of materials, (d) testing of laboratory equipment, (e) tests results including in site lab and outside lab tests (f) photographic evidences
 - Payment certificates including certified material test results;
 - Time extensions, quantity and rate variations, and issuance of work orders
 - claims and their Engineers determination and Office of Auditor General (OAG) audit observations, responses and % of audit objection clearance
 - Load tests, Completion/Taking over Certificates, Defect Liability Certificates, Final Clearance Certificates, As-built Drawings and handing-over of project/works.

- GRM report for responses made to public grievances/complaints/ suggestions on civil works contracts and their quality;

(D) Social and Environmental Management

- Records on social screening including IEE, RAP, and SAP and environmental screening including (Environment Management Action Plan) EMAP, EIA and others Safety Plan
- Compliance monitoring results on above action plans during project implementation
- Adherence to the Environmental and Social Management Framework (ESMF) in managing social and environmental issues

(E) Operation process

- Benefit evaluation and monitoring
- Cost effectiveness operation, sustainability and functionality of project
- Lesson learned

5.2 Auditing of compliance/non-compliance with detail analysis and reporting:

The analytical auditing is to carry out holistic analysis of the non-compliances and their cause and effect in overall. The report should be significant for future similar projects as a “lesson learn”. Few examples are given below

Ad-hoc planning and budgeting may result from a number of factors including: non-fulfillment of obligations by the employer including unable to adopt established planning tool and unable to cope with external factors such as unjustified political pressure, lack of accountability to standards, guidelines etc.

Cost overrun may result from a number of factors including: inadequacy of survey and investigation at design stage, inadequacy of design, irrelevant or unwarranted work variation, additional works, price escalation, contractor’s claims etc.

Time overrun may result from number of factors, including: non-fulfillment of obligations by the employer, non-fulfillment of obligations by the consultant, frequent design alteration, change in the scope of work, force majeure, contractor's schedule-related negligence, quality assurance plan not complying with the work program, resource constraints, additional works, labour problems, litigation, change in government regulations etc.

Poor quality may be attributable to inadequacy of quality control including testing facilities (room, lab test equipment, calibration of equipment, lab test manuals and or guidelines, record keeping etc.) absence of qualified personals in laboratory, inadequate supervision, contractor's negligence, absence of or weak monitoring by employer etc.

Claims, Disputes and Litigation cases may arise from inadequate technical investigations, non-fulfillment of obligations by the employer, non-fulfillment of obligations by the consultant, ambiguity or incompleteness of the conditions of contract, change in government regulations, force majeure, trade union activities, unexpected archeological findings or similar unanticipated conditions etc.

Design changes during construction may be attributed by inadequacy of survey and investigation at design stage, not adopting standard specified for geotechnical, structural and hydrology, absence or inadequate wider discussion within Departments and Consultants for selection of best options, absence of field verification after design completed etc.

Grievances could be the results of many other factors including social and environmental factor, poor quality of works etc.

The scope of Technical Audit mainly depended on the stage of project at which TA is supposed to perform

6.0 Auditors Competency:

Technical Auditor is fully responsible for completion of entire assignment.

Qualification and competency of Technical Auditor is as follow

Professional Key Personnel	Minimum General Experience after Bachelor Degree in Engineering	Minimum Specific Experience after Bachelor Degree in Engineering	Minimum Academic Qualification Required	Training Required
Technical Auditor	10 yrs	5yrs	Bachelor Degree in Engineering	Technical Auditor's Training conducted by NVC

7.0 Reporting Requirements

Technical Audit Final Report shall be prepared in prescribed format (ANNEX C) given by TAMD/NVC. Report prepared without following the given format will not be accepted by TAMD/NVC. Draft and Draft Final report shall follow the same format.

- a. The auditor shall submit **two Copies** Inception Report along with **Audit Plan** and **Work Schedule** within one week from the commencement of contract. The Auditor shall take approval of Inception Report from Technical Audit and Monitoring Division before field/site visit. The inception report shall be based on desk study of particular contract package and its scope of works.
- b. Technical Audit and Monitoring Division in NVC shall monitor the auditor's activities in the field as per the audit plan and work schedule.
- c. **The photographs should be all in color postcard size and clearly seen evidence for NCR and other photographs with suitable captions in A4 page at Draft, Draft Final and Final Report.**
- d. **Two copies** of Draft Report shall be submitted within 4 weeks from the date of contract commenced. Report submitted after the given deadline, shall not be entertained except in uncontrolled situation.
- e. **Three** copies of Draft Final Report shall be submitted incorporating all comments from NVC within 5 days of letter of issue. After the submission of Draft final report auditor should attempt presentation of the findings in presence of NVC /TAMD official's along with concern stakeholders.
- f. **Six** copies of Final report shall be submitted within 7th week by incorporating all comments during presentation. An electronic **copy of the technical audit report along with all supporting documents, audit questionnaire, check list, photographs, NCR etc should be included in pen drive** shall be submitted with final hard copy reports.

- g. The Technical Auditor must submit original NCR sheets and original audit Questionnaires in one of the final Reports and label the final report "ORIGINAL" on the cover of the report.
- h. The Technical Auditor must submit opening and closing meeting minute, field visit verification sheet (**Annex D**) with photographs showing the Auditor/Expert's presence in the meeting of each field visit.
- i. NCR format provided in Annex – B shall be strictly followed while submitting the audit report to NVC. The incomplete and improperly filled NCR sheet shall case rejection of whole Technical Audit report.
- j. S-curve & Earned Value Analysis shall be included in Technical Audit Report.
- k. All Audit Questionnaires should be filled and signed by Project Manager. Original copies must be submitted in the Final Report.

8.0 Presentation

Technical Audit Report Presentation shall be made by Auditor as scheduled by TAMD/NVC. If, Auditor fails to make presentation in given schedule, TAMD/NVC will not be responsible for reschedule. If presentation found unsatisfactory and fails to address comment raised by participants, Technical Auditor shall make next presentation in coordination with TAMD/NVC. Technical Auditor unable to make new presentation or fail to fulfill the requirement, his/her report may not be accepted. Technical Auditor/Firm shall be responsible for arrangement of logistic and refreshments during report Presentation as scheduled by TAMD/NVC.

9.0 Payment

The first initial payment of 60% of agreed amount shall be paid after approval of submitted Draft final report in NVC. Remaining amount of 40% of agreed amount shall be paid as soon as the Final report is submitted with incorporation of all the comments from the TAMD/NVC on presentation and accepted by National Vigilance Centre. Final payment shall be made only after final bills identified as such, have been submitted by the Technical Auditor/Firm and approved by the TAMD/NVC.

10.0 Liability

Submission and acceptance of the final report does not relieve the Technical Auditor/ Firm from the responsibility for the authenticity and correctness of the field data, analysis and conclusions. The Technical Auditor/ Firm shall be responsible if any discrepancy is found in the site data or analysis presented in the report during submission and presentation of report.

Article 1 Organization and personnel

1.01 Time schedule of the field and office works

Time schedule of the office works and field works have to be submitted to the National Vigilance Center at the time of **signing of the Agreement.**

Article 2 Payment to the Technical Auditor/ Firm

2.01 Payment to Technical Auditor/ Firm

National Vigilance Center shall pay to the Technical Auditor/ Firm in respect of the work done and/or as provided in the Contract.

2.02 Mode of Billing and Payment

First payment

The first initial payment of 60% of agreed amount shall be paid after approval of submitted Draft final report in NVC.

Final Payment

Remaining amount of 40% of agreed amount shall be paid as soon as the Final report is submitted with incorporation of all the comments from the TAMD/NVC on presentation and accepted by National Vigilance Centre.

Final payment under this Article shall be made only after final bills identified as such, have been submitted by the Technical Auditor/ Firm and approved by the TAMD/NVC.

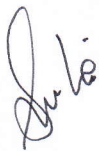
2.03 Taxes

The Technical Auditor/ Firm is responsible for paying the necessary taxes as in force in the country.

Article 3 Reports

3.01 Reports

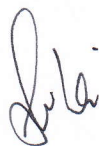
The Technical Auditor/Firm shall submit report to the National Vigilance Center as mentioned in ToR.



ANNEX - A:-SALIENT FEATURES OF THE PROJECT

..... (Project Budget Head)

- 1) Project Name :-.....
- 2) Location :-.....
- 3) Distance from the District Headquarter :-
- 4) District :-.....
- 5) Cost Estimate (Rs.) :-
- 6) Date of Contract :-.....
- 7) Bid Approval Date :-.....
- 8) Contract Agreement Date:-
- 9) Work Order Date :-.....
- 10) Project Completion Date :-.....
- 11) Name and Address of the Contractor :-.....
- 12) Cost of the Contract (Rs.)
 - i. First Contract Cost:-.....
 - ii. Variation :-
 - iii. Total Cost of the Contract :-
- 13) Bill of Payment (Rs.) :-
- 14) Project Progress :-
 - i. Physical Progress:
 - ii. Financial Progress:
- 15) Client of the Project :-
- 16) Name and Address of the Technical Auditor/ Firm :-.....
- 17) Supervisory Office :.....
- 18) Supervisor :-
 - i.
 - ii.
 - iii.
- 19) Stage of the Project :-
 - i. Implementation Stage
- 20) Investor of the Project :-
 - i. Government of Nepal :-
 - ii. Foreign Loan :-
 - iii. Grant :-



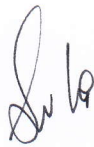
ANNEX :-B FORMAT FOR NON-CONFORMANCE REPORT (NCR)

NON-CONFORMANCE REPORT (NCR) NO.:		DATE:
PROJECT NAME:		
WORK DESCRIPTION:		
LOCATION:		
DETAIL OF NON-CONFORMANCE (CONTINUE ON SEPARATE SHEET IF NECESSARY)		
CONDITION EXPECTED: -		
CONDITION FOUND:-		
----- TECHNICAL AUDITOR	----- SIGNATURE	----- DATE
ROOT CAUSES: WHY DID THIS NON-CONFORMANCE OCCUR? (CONTINUE ON SEPARATE SHEET IF NECESSARY)		
----- PROJECT MANAGER(NAME)	----- SIGNATURE	----- TECHNICAL AUDITOR
----- SIGNATURE	----- SIGNATURE	----- DATE
PROPOSED DISPOSITION: ACTION TO BE TAKEN TO RECTIFY THE NON-CONFORMANCE (CONTINUE ON SEPARATE SHEET IF NECESSARY)		
i).....		
ii).....and so on		
Action to be taken by date		
----- PROJECT MANAGER(NAME)	----- SIGNATURE	----- TECHNICAL AUDITOR
----- SIGNATURE	----- SIGNATURE	----- DATE
RECURRENCE PREVENTION MEASURE: (WHAT MUST BE DONE TO ENSURE NON-CONFORMANCE IS NOT REPEATED)		
ACTION AS FOLLOWS TO REDUCE RISK OF RECURRENCE: (CONTINUE ON SEPARATE SHEET IF NECESSARY)		
----- TECHNICAL AUDITOR	----- SIGNATURE	----- DATE
CONFORMANCE OF DISPOSITION: (THIS AND THE FOLLOWING SECTIONS TO BE RETURNED TO THE NVC BY IMPLEMENTING AGENCY)		
THIS CONFIRMS COMPLETION OF THE DISPOSITION WORK ORDERED IN NCR No.		
----- PROJECT MANAGER(NAME)	----- SIGNATURE	----- COMPLETION DATE
MINISTRY OR DEPARTMENTAL CONFIRMATION OF RECURRENCE MEASURE: (THIS SECTION NEEDS TO BE RETURNED TO THE NVC)		
THIS CONFIRMS IMPLEMENTATION OF THE RECURRENCE PREVENTION MEASURE FROM NCR No.		
----- SECRETARY OR DEPARTMENTAL CHIEF (NAME AND DESIGNATION)	----- SIGNATURE	----- DATE





ANNEX –C TECHNICAL AUDIT REPORT FORMAT



[Title/Cover Page]

Government of Nepal
National Vigilance Center
Singadurbar, Kathmandu, Nepal

Technical Audit Report of

.....
(Insert Name of Project and package/component of audit)

Name of Project client:

Contract Package No: NVC/TA/.../2079/80-.....

(.....stage)

Representative Photo of project/ Technical
Audit Team

Submitted by:

Technical Auditor: Er.

.....[Insert firm name]

Address:

Tel. / Fax No. :

Mobile:,Email:.....

(.....Insert Month and Year of submission)



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A handwritten signature in the bottom center of the page.

Acknowledgement/Foreword

Auditors' Declaration : (should be included in Final Report) in following format,

To

National Vigilance Center

Technical Audit and Monitoring Division

Singadurbar, Kathmandu

Subject: Final Declaration

Contract No : Name and location of project:

I/We declare that,

Received, understood and reviewed the comments, feedbacks, suggestions (on Draft and Draft Final report) from NVC/TAMD and participants of report presentation session at NVC.

Incorporated all appropriate comments, feedbacks and suggestions in preparing Final Report.

The entire assignment and Final Report is prepared and completed by myself/ourselves as per requirements of contract documents, Technical Audit standards and with full professional ethics.

I/We will bear full professional responsibility of submitted Final Report.

Technical Auditor

Expert

Signature

Signature

Name

Name

NEC Regd. No:

NEC Regd. No:

Mobile No:

Mobile No:

Email:

Email:

Date:

Date:

Endorsed by: (Authorized person/representative from Firm)

Signature:

Name:

Designation:

Registration Number of professional society, if applicable:

Full correspondence Address:

Telephone:

Email:

Mobile:

Firm seal/stamp:

Date:

- i. Abbreviation/Acronyms (in alphabetic order)
- ii. Executive summary

Executive Summary should such that the busy executive /policy level administrators can understand and make decision effectively for further action)

NCR in given tabulated format shall be included in NCR

NCR No	Condition Expected	Condition found	Root cause	Proposed disposition	Reoccurrence preventive Measures	Deadline for correction/disposition	Remarks

- iii. Salient feature of Project

Table of content

Chapter 1- Introduction

1.1 Introduction of National Vigilance Center and Technical Audit

1.2 Project Background



1.3 Package description, organization and rationale of Audit

1.4 Technical Audit Team and schedule

Team:

Technical Auditor:

Expert:

Schedule:

Activities	Date/duration	Remarks
Desk study		
Field Work		
Office Work		
Presentation		

1.5 Scope of Technical Audit

Chapter 2-Methodology

This section includes all the process and procedures followed actually after contract sign for TA and until the final report submission in acceptable version. Package specific logical flow chart, and all the steps/activities should be mentioned objectively based on particular package. The steps and activities should have direct related and linkages with the Audit scope, audit checklist and questionnaire, compliance check, drawing conclusion and recommending.

The methodology shall include the detailed description of following activities at least and all the activities, methods applied during audit.

2.1 Desk study:

Collection of documents and discussion with officials in center office

Preparation if audit plan, check list questionnaire etc.

Study and review of documents at project office and preparation of supplementary checklist and questionnaires.

2.2 Field work:

Opening meeting

Collection of additional documents and records of the project site.

Discussion with project officials, stakeholders and project site.

Project field visit and inspection of project site

Discussion with project official and stakeholders at project site

NCR identification

Closing meeting

2.3 Office Work:

Preparation and submission of draft report

Receiving and addressing comments/feedbacks from TAMD/NVC and submission of Draft final report

Presentation and adjustment of comments/feedback from presentation and preparation of final report and final report submission

2.4 Others, if any

Chapter 3-Evidence collection, comparison and evaluation

Audit check list and questionnaire are prepared with the Audit scope and these all information should be compared and evaluated individually in proper way. Such comparison should be presented in appropriate format. The evaluation should be made in objectively, clearly and more significantly as far as possible.

Chapter 4- Audit Findings, Analysis and Non-compliances reports

This section includes analyzes and summarizes the Audit findings in proper format with the significance of results and indication of information received from the Technical Audit. This section includes subjective and objective analysis as well. The NCRs should be inserting in this section in defined format fulfilling the all requirements. NCR shall be supported with the appropriate and clear photographs attached in annex citing properly.

Chapter-5 Conclusion and Recommendation

Conclusion of Technical Audit report should be clear and specific based on audit findings and it should give the reflection of total Technical Audit of the package. The recommendation section should be synthesized

and presented in such a way that it would be instructed project and its higher authority for project improvement and correction of mistakes found. The recommendation should be audit package specific, clear and specific. However, some of policy related, programme structure related and operational issues related to project and package may be included.

Annex

- List of person meeting and visiting offices during audit
- Audit Check list(Desk study and field study)
- Audit Questionnaire
- Audit Photographs
- Minutes (Opening and closing meetings)
- Field visit Endorsement letters
- Project documents with list and separator (copy of necessary and important documents only)

In addition to these documents, Technical Auditor is suggested to compile additional supporting documents collected during audit process, shall be compiled in separate volume as report preparation and presentation references. This volume shall not be necessarily submit to TAMD/NVC.

Q

[Handwritten signature]

Government of Nepal
National Vigilance Centre
Singhdurbar, Kathmandu

ANNEX –D FIELD VERIFICATION FORMAT

FIELD VISIT VERIFICATION FOR TECHNICAL AUDITOR

**National Vigilance Centre
Technical Audit and Monitoring Division
Singhdurbar Kathmandu**

Technical Audit of (Project Name).....

Technical Audit Contract Package No:.....

Name of Technical Auditor.....

Field Visit Dates (YYYY/MM/DD) : From To.....

Field Visit accompanied by Project staff:

1. Name.....Designation.....Phone no.....
2. Name.....Designation.....Phone no.....
3. Name.....Designation.....Phone no.....
4. Date of Opening Meeting..... Date of Closing Meeting.....

Remarks from Project Chief/Office Incharge:

.....
.....
.....
.....

Technical Audit field visit endorsed by:

Project Chief/Office Incharge

Name.....

Position.....

Signature.....

Office Name..... Date:

Office Seal.....

(This form shall be fill up by concern Project Chief/Office In-charge and technical auditor shall submit the original copy along with report.)

