

Drainage Services Department
Technical Circular No. 3/2002

Follow-up actions on Technical Audit Reports

Introduction

DSD Technical Circular (DSDTC) No. 4/2000 sets out the departmental procedures and guidelines to deal with the necessary follow-up actions arising from a technical audit report (TAR). These procedures and guidelines need to be updated as a result of the promulgation of the Works Bureau Technical Circular No. 15/2002. DSDTC No. 4/2000 is hereby superseded and cancelled by this DSDTC which takes immediate effect.

Scope

2. The procedures and guidelines set out in this DSDTC shall apply to all technical audits conducted for DSD contracts which include civil engineering works, electrical and mechanical works, and maintenance term contracts.

Action after receipt of TAR

3. After a technical audit is conducted by SE/CA on a contract, a TAR will be prepared within 2 weeks. This will be issued to DD of DS via the responsible AD with a copy to the CE concerned and AS(TS)1 of WB. Within 3 weeks upon the issue of the TAR, the CE concerned should respond to the points raised in the TAR. This should be in the form of a memo to DD of DS via the responsible AD with a copy to SE/CA. As a general guideline, the contents of the memo should include, but not limited to, the follow information:-

- (a) Clarification to the non-conformities identified in the TAR,
- (b) Confirmation that action has been taken where rectification can be implemented immediately,
- (c) An action plan outlining the steps to be taken with target dates, where rectification can only be implemented in time or in stages (such as supervision deficiencies, inspection procedures, testing procedures, etc.).

4. Depending on the nature of the non-conformities, DD of DS may give further directions on the follow-up actions to be taken including any progress reporting on the implementation of action plans. When the rectification measures identified in any action plan have been fully implemented, the CE shall confirm to DD of DS via the responsible AD completion of the plan with a copy to SE/CA.

5. CEs should critically review the audit findings and take follow-up actions with a view to rectifying the non-compliance, avoiding recurrence and make necessary improvement as the case may be. For cases where the defaulting parties are clearly identified, the responsible AD should recommend to DD of DS the necessary sanctions against the defaulting parties, e.g. reflecting the cases in the contractors' or the consultants' performance reports, or taking appropriate disciplinary actions against the personnel involved. DD of DS shall decide on any actions to be taken.

Annual review of technical audits

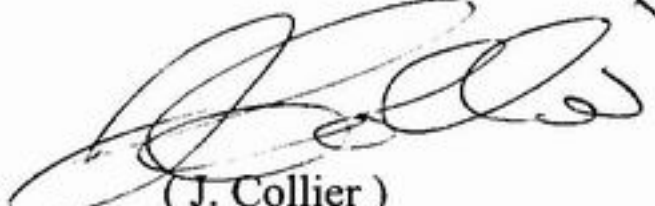
6. At the beginning of each calendar year, CEs should submit a review report to SE/CA on the technical audits carried out for the contracts under their purview in the previous year for a consolidated report to WB. CEs should report the common non-compliances identified, the follow-up actions taken, the programme and progress of the follow-up actions if they have not yet been completed at the time of reporting, the sanctions taken or the reasons for no sanctions taken as the case may be. The review report should be submitted by the end of January of the respective year.

Application

7. The above procedures apply equally to in-house as well as consultants managed contracts. In the latter case, the response to TAR in para 3 should be prepared by the consultants, and submitted to DD of DS via the responsible AD with copy to SE/CA. The response by the consultants should be agreed/endorsed by the concerned CE.

Enquiries

8. Enquiries on this circular should be directed to the Senior Engineer/Contract Adviser.


(J. Collier)
Director of Drainage Services

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Note 3 : Officers who have consultancy agreements in hand are requested to inform their consultants,