

# **CHAPTER-VI**

## **MONITORING AND EVALUATION**



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*The monitoring at the Apex level was inadequate as the Board did not conduct periodical meetings to discharge its functions. Lack of continuity of the Board meetings impacted the follow-up on the decisions taken in previous meetings. The Board is yet to establish a robust quality assurance mechanism to ensure the quality of works executed by the implementing agencies and has not undertaken any impact assessment of its works. Further, a framework for facilitating public participation in monitoring of its works through social audits is also not available.*

Monitoring and Evaluation procedures ensure efficient utilisation of resources and realisation of planned outputs and outcomes within the expected timeframes. As Board works are executed through multiple implementing agencies, it is imperative to have a robust and effective monitoring and evaluation system.

#### 6.1 Lack of monitoring at Apex level

According to Clause 10 of the Board Order 2013, the Board was to notify its annual calendar of meetings in advance and meet quarterly.

Audit observed that the Board did not conduct meetings regularly. As against the four quarterly meetings in a year, the Board met only twice during the years 2015-16 to 2017-18. As the Board was not in existence during the years 2019-20 to 2020-21, no deliberations were made during the period.

Audit also observed that there was insufficient follow-up on the decisions taken by the Board in its meetings. It was observed that though the Board decided to implement the following interventions, it was not included in the action plans for implementation.

Name of the project/proposal	Objective
NEET and CET Training	To ensure the selected BPL Government PU college students can avail of the latest and high quality training through well trained and qualified subject specialists at subsidised rates to achieve success in the competitive exams
Establishment of Information Knowledge Hub	To create awareness among the people of the region especially youths and farmers wherein all the information required for the public in the field of education, employment and agriculture sectors are provided.
English Language Training Lab	To train the Teachers of primary and high schools in the Kalyana Karnataka Region for teaching of English language.

The Government stated (July 2022) that Board developed the Hykasoft software Application for monitoring the progress of works. Audit considers that the use of Board's internally developed HykaSoft Application is a good practice

The Hykasoft is a web-based application to collect the details of the developments works approved by the Board and entrusted to implementing agencies for execution. The Hykasoft facilitates capturing different stages and activities of these works. The system is developed using the business knowledge and understanding of the internal staff of the Board. The Hykasoft application is developed and maintained by the IT team of the Board (KKRDB) as per the Board requirements. We were informed that Board's Hykasoft was continuing to evolve and at the time of audit, the Board was pursuing further initiatives aimed to improve the Hykasoft application software.

However, audit is of the view that Board could strengthen the Hykasoft application resolving the gaps in the data captured as illustrated below:

- (1) Out of the 3,731 cancelled works, reasons for cancellation of works was not available for 980 works. The date of cancellation of works was not available for 562 works.
- (2) The information regarding change of works was not available.
- (3) The details of expected work start date, actual work start date, expected work completion date, actual work completion date, handing over details were not available for majority of the works. During the period between 2013-14 and 2020-21 out of the 24,308 works a total of 19,520 works were shown as completed by the board as of June 2021. However, the data on scheduled completion dates and the actual completion dates were available in Hykasoft only for 4,387 works impairing its ability to assist in the monitoring of execution of works.
- (4) Out of the 601 sampled works, the following discrepancies were noticed.
  - (i) For 47 works, plan approval date is later than the administrative approval indicating that administrative approval is granted before plan approval.
  - (ii) For 92 works, administrative approval date is later than the technical approval.
  - (iii) For 100 works, technical approval date is later than the tender notification date.
  - (iv) For 15 works, tender notification date is later than the tender approval date.
  - (v) For 29 works, tender approval date is later than the work order approval date.
  - (vi) For seven works, work order approval date is later than the work completion date.
- (5) Out of 19,520 completed works, the details of third party inspections were not available for 6,900 works during the period 2013-14 to 2019-20.

## 6.2 Non-preparation of Quality Assurance/Control Plans

The Board did not prepare a Quality Assurance/Control Plan for implementation of various works/projects. In the absence of defined quality control parameters, the quality of the works executed by the implementing agencies were not ascertainable.

Audit also observed that the implementing agencies which were entrusted with the works of the Board did not formulate the Quality Assurance Plan<sup>22</sup>(QAP), which ensures quality of work at each stage of execution. The Third Party Agency appointed by the Board for quality inspection of works also failed to insist for QAP by the implementing agencies. In the absence of monitoring mechanism for ensuring quality of works executed audit was not in a position to derive assurance on the quality of works executed by the Board, through implementing agencies.

The Government replied (July 2022) that henceforth it would prepare a quality assurance / control manual for implementation of various works / projects.

### 6.2.1 Non-conducting of quality test of materials by implementing agencies

The implementing agencies/organisations/contractors who execute works are required to conduct the quality tests of material at all stages of execution, in field laboratories as well as designated quality test laboratories. Further, the third-party agency was to inspect and certify the quality of material used on the work as well as stability of the construction on completion of work. The engineers concerned were also to monitor execution of quality work by the contractors.

However, Audit observed that the quality tests were not conducted on the materials by the implementing agencies during the different stages of construction *i.e.*, before construction, during construction and after construction. The implementing agencies stated that they did not conduct the quality tests separately as the Board had appointed a third party for conducting these tests.

The Government also stated (July 2022) that it had appointed the third Party consultant who would ensure quality test of works entrusted to the implementing agencies.

Reply is not acceptable as independent third party inspection is only a complimentary activity and the third party appointed by the Board conducted tests only after completion of each stage of execution and final completion of the work. This cannot replace the specified quality checks expected from the contractors and the implementing departments. Neither the implementing agencies nor the third party ensured the quality of material brought to site before construction and during construction of works by the contractors.

<sup>22</sup> Indian Road Congress (IRC: SP:112-2017 and IRC: SP:57-2000) specifies that the organisations which execute road projects, should prepare a Quality Assurance Plan incorporating the aspects of quality specified in the IRC before construction of the road work.

### 6.3 Evaluation of works

Evaluation is the periodic, retrospective assessment of works that might be conducted internally or through external independent agencies to review the progress of the works/projects and to identify weak areas in planning and implementation, so as to provide a mid-course correction. It was observed that evaluation /impact assessment of any of the works/projects implemented by the Board was not conducted during the period 2016-17 to 2020-21.

The Government stated (July 2022) that it would take necessary action for evaluation/impact assessment of works / projects implemented by the Board.

### 6.4 Social Audit

Social audit is the examination and assessment of a programme/scheme conducted with the active involvement of people and comparing official records with actual ground realities. Social Audit is a powerful tool for social transformation, community participation and Government's accountability. The works undertaken under Board funds were not subjected to social audit.

***Recommendation 9: The Board should ensure a clear and robust monitoring structure is in place for ensuring quality of works.***

***Recommendation 10: The Board should prepare Quality Assurance and Quality Control plans to ensure quality at all stages of execution of works. The Board should establish a framework for Social Audit.***

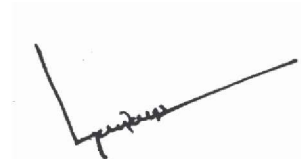
***Recommendation 11: The Board should ensure the compliance to the provisions of Clause 10 of the Board Order 2013 regarding the conduct of meetings.***



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