



ANNUAL PERFORMANCE REPORT 2020

Ministry of Water Supply

Annual Performance Report for the year 2020

Ministry of Water Supply

Expenditure Head No 166

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Chapter 01 - Institutional Profile/Executive Summary

1.1 Introduction

General Assembly of the United Nations has established the Sustainable Development Goals (SDGs) in 2015 and it is envisaged to fulfill them by year 2030. Under this, specific targets have been set for a number of fields such as poverty, peace, and justice, economic growth, gender equality & environment and the sixth goal of SDG is to ensure access to safe drinking water and sanitation equally to global level by year 2030.

In line with the Sustainable Development Goals of the United Nations and with the aim of building up a Clean Environment, Education for all, Healthy Nation, and mitigating poverty, the Policy Statement of “Vistas of Prosperity and Splendor” has been published. Simultaneously, according to the Sixth Goal of the SDGs, it has been planned to provide access to safely managed water for the entire citizen by year 2025.

In order to achieve the target of “water for all” as per the government policy statement on drinking water sector, the present government has identified that the institutional framework should be strengthened and accordingly by the Extra Ordinary Gazette Notification No. 2187/27 dated 09.08.2020 the State Ministry of Rural and Regional Drinking Water Supply Development Projects and the Cabinet Minister of Water Supply were established.

At present, pipe borne water supply has been provided for 53.14% of the population and standardized drinking water supply and distribution encouraging private & government investments, improvement of the infrastructure facilities relevant to disposal of sewerage, expansion of the maintenance & Capacity, maintaining the existing water supply and water transmission systems with a higher standard, supply of water as to cover up all the households of the country have been included in the scope of the Ministry.

With the outlook of achieving the objective “providing safe drinking water for all” through piped network, 3 strategies have been launched as short term, medium term and long term by the National Water Supply and Drainage Board. Completion of the ongoing projects, capacity enhancement and expansion of service areas through new projects have been integrated within this.

1.2 Vision, Mission, Objectives of the Institution

➤ Vision

Safe drinking water and safe sanitation for all.

➤ Mission

Sustainable and affordable safe drinking water supply and safe sanitation facilities through environmentally friendly resource protection solutions.

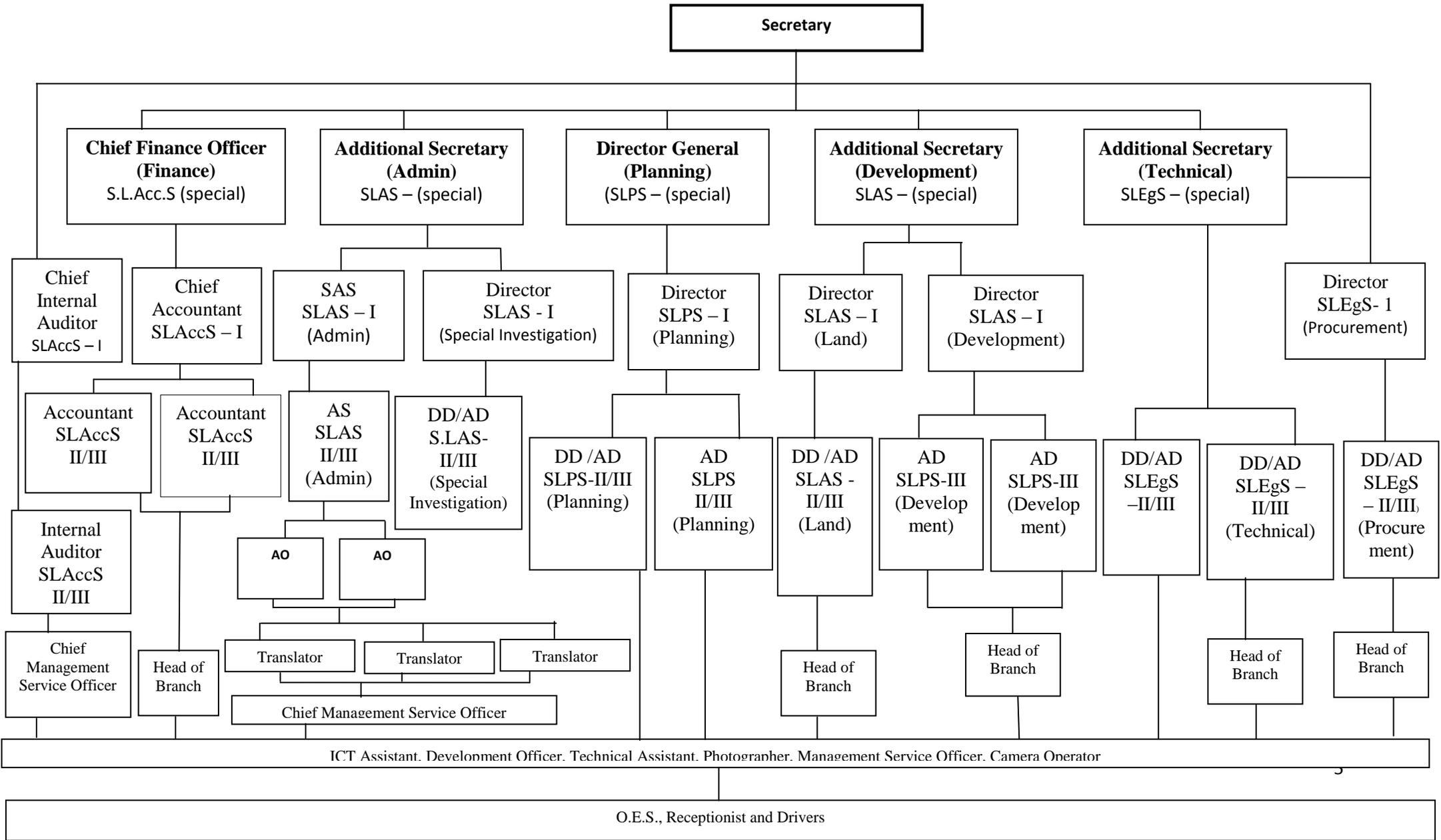
➤ Objectives of the Institution

- Assure access to provide safe and adequate drinking water facilities to the entire population.
- Ensure adequate and equitable sanitation for all.

1.3 Key Functions

- Formulating policies relevant to the subject of Water Supply.
- Implementation of projects under the National Budget allocations.
- Formulating, implementing, monitoring and evaluating the policies, programmes and projects, related to subjects & functions of National Water Supply & Drainage Board and Water Resources Board.

1.4 Organizational Chart



1.5 Institutions/Projects coming under the Ministry

- i. National Water Supply and Drainage Board
- ii. Water Resources Board
- iii. Water Supply and Sanitation Improvement Project (WaSSIP)
- iv. China Sri Lanka Research Grant Project

1.6 Details of the Foreign Funded Projects

Se. No.	Name of the Project	Donor Agency	Project Duration	Estimated Cost of the Project (Rs. Mn.)
01	Anuradhapura North Water Supply Project – Phase I	JICA	March 2013 September 2021	11,515.00
02	Anuradhapura North Water Supply Project – Phase II	JICA	May 2018 June 2024	27,196.00
03	Kalu ganga water supply expansion project – 1	JICA	December 2020 May 2026	55,338.00
04	Greater Colombo Water and Wastewater Management Improvement Investment Programme- I	ADB	June 2013 June 2021	14,560.00
05	Greater Colombo Water and Wastewater Management Improvement Investment Programme -II	ADB	June 2014 October 2022	13,917.00
06	Greater Colombo Water and Wastewater Management Improvement Investment Programme -III	ADB	November 2016 October 2022	7,232.00
07	Improvement of the Ambatale Water Supply System and Energy Saving Project	AFD	June 2016 December 2022	13,000.00
08	Jaffna Killinochchi Water Supply & Sanitation project	ADB	February 2011 December 2023	35,881.49
09	Kelani Right Bank Water Supply Project	France Agricole Bank	January 2017 November 2020	32,700.00
10	Greater Matale Water Supply Project	CACIB - France	February 2017 August 2021	31,453.00
11	Gampaha Attanagalla & Miniuwangoda Water Supply Project	China Development Bank	February 2017 February 2022	33,060.00

Se. No.	Name of the Project	Donor Agency	Project Duration	Estimated Cost of the Project (Rs. Mn.)
12	Polgahawela, Pothuhera, Allawwa Integrated Water Supply Project	Exim Bank of India	March 2017 June 2021	20,207.80
13	Aluthgama Mathugama Agalawatta Integrated Water Supply Project	Exim Bank of India	March 2017 June 2021	32,278.00
14	Kandy North Pathadumbara Integrated Water Supply project	China Development Bank	August 2019 August 2022	51,324.25
15	Hemmathagama Water Supply Project	ING Bank - Netherland	December 2018 August 2022	17,541.32
16	Katana Water Supply Project	China Development Bank	April 2018 March 2021	11,794.86
17	Thambuththegama Water Supply Project	China Development Bank	July 2018 December 2022	16,166.28
18	Replacing of Transmission and Distribution Mains from Orugodawatta to Kaduwela	Uni Credit Bank – Austria	September 2018 September 2021	10,793.00
19	Deduru Oya Water Supply Project	Exim Bank of Korea	December 2016 February 2021	10,227.00
20	Anamaduwa Integrated Water Supply Project	Spain	February 2017 May 2021	8,625.17
21	Kirama Katuwana Water Supply Project	Uni Credit Bank – Austria	January 2019 August 2021	2,776.00
22	Ruwanwella Water Supply Project	EDCF Korean Bank	December 2019 March 2022	6,291.00
23	Kandy City Waste Water Management Project	JICA	July 2010 December 2021	22,588.00
24	Sanitation & Hygiene Initiative for Towns (SHIFT) Project in South West of Sri Lanka	AFD	June 2016 June 2022	17,664.95
25	Expansion of Pipe Borne Sewer Coverage to Moratuwa and Ekala	SIDA	July 2016 December 2025	16,073.00
26	Water Supply and Sanitation Improvement Project	World Bank	December 2015 March 2022	25,675.00
27	China Sri Lanka Research Grant Project	Ministry of Commerce -China	November 2016 December 2021	2,830.00

Chapter 02 - Progress and the Future Outlook

➤ Progress as at 31.12.2020 on the Budget Allocation 2020

Se. No.	Project/Programme	Allocation Rs.Mn (2020)	Financial Progress as at 31.12.2020		Unaccounted Amount Rs.Mn (2020)
			Rs.Mn	%	
MINISTRY OF WATER SUPPLY					
1	Dankotuwa Water Supply Scheme	87.22	31.93	36.61	
2	Matara Short Term Improvement	154.32	94.30	61.11	
3	Improvement of Bandarawela Water Supply Scheme	71.10	39.53	55.60	
4	Utility Shifting	171.91	113.08	65.78	
5	Acquiring Lands	408.46	289.55	70.89	
6	WASH knowledge & Skills Dev of Teachers & Frontline Healthcare workers (UNICEF)	3.10	0.72	23.23	
7	Billing for Government Schools & Sacred City Water Supply	50.00	22.85	45.70	
Sub Total		946.11	591.96	62.57	
8	Water Supply & Sanitation Improvement Projects	6,200.99	5,883.34	94.88	
9	China Sri Lanka Grant Research Project	241.28	164.27	68.08	
Sub Total		6,442.27	6,047.61	93.87	
Ministry of Water Supply Total		7,388.38	6,639.57	89.87	
NATIONAL WATER SUPPLY & DRAINAGE BOARD (NWSDB)					
10	Project for Enhancement of Operational Efficiency and Assets Management Capacity of RSC (Western South) NWS&DB	17.82	7.88	44.22	
11	For the ongoing Water Supply and Sewerage Projects	66,384.46	57,178.27	86.13	484.66
12	Foreign Finance Associated Local Costs of NWS&DB Borrowed Projects	1,380.95	1,065.66	77.17	
NWSDB Total		67,783.23	58,251.81	85.94	
WATER RESOURCES BOARD					
13	Water Resources Board	8.40	6.53	77.74	
Grand Total		75,180.01	65,382.57	86.97	

➤ **Sectoral Achievement & Targets**

No.	Performance Indicators	Unit	2020	
			Target	Achievement
1	Access to Safe Drinking Water	% of Population	91.7	93.2
2	Access to Pipe Borne Water	% of Population	55.0	53.14
3	New Water Supply Connections	No.	143,503	122,733
4	Access to Piped Sewerage	% of Population	2.25	2.06
5	Non- Revenue Water			
	Colombo City	%	41.0	39.21
	Island wide	%	25.3	24.63

Source: National Water Supply & Drainage Board

➤ **Special Achievements**

1. Developing the Corporate Plan 2020-2025 through a consultative process.
2. Completion of water supply and sanitation projects.
 - 03 large scale water supply projects, 03 local bank funded projects and 01 small and medium scale project have been completed during the year 2020, resulted in 76,882 new water connections and 50,000 service upgrades.
 - 100 projects have been completed through Water Supply and Sanitation Improvement Project and 53,498 number of water connections have been provided.
3. Initiating a novelty approach for implementing the water supply projects and programmes. Institutionalizing the innovative approaches in the corporate plan, targets have been identified for 100% piped water supply by 2025 and formulated strategies for the same.

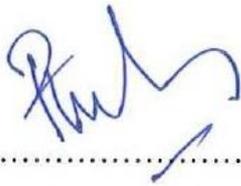
4. Use of information and communication technology for customer service.
5. A total number of 81,947 water samples have been tested under the programme of testing the water quality of tube wells and Dug wells, Rural Water Supply Schemes in such way to cover the entire 25 districts.

➤ **Challenges**

- As allocation of Provisions have been done in parts for the year 2020 through the Vote on Account, formulation of the Annual Action Plan was unable to carry out at once and due to that planning could not be carried out systematically for the allocation of Provisions for each project.
- Problems were arisen in systematic implementation of projects due to Covid -19 pandemic.
- Interruptions occurred to the implementation of projects and operational activities as officers carried out duties from home as per the Health Guidelines.
- Unable to achieve physical and financial targets as per the Annual Action Plan.

➤ **Future Goals**

- Providing 100% pipe borne water coverage by the year 2025.
- Providing 100% hygienic sanitation facilities by the year 2030.
- Preventing the wastage of water in pipe-borne water supply and in the distribution of water.



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CAO/AO/Head of the Institution

Dr. (Eng.) Priyath Bandu Wickrama
Secretary

Ministry of Water Supply
No. 35, "Lakdiya Madura", New Parliament Road,
Pelawatta, Battaramulla.

Chapter 03 - Overall Financial Performance for the year ended 31st December 2020

3.1 Statement of Financial Performance

ACA-F

Statement of Financial Performance
for the period ended 31st December 2020

Rs.

Budget (2020)	Note	Actual		
		2020	2019	
- Revenue Receipts				
		-	-	
-	Income Tax	1	-	} ACA-1
-	Taxes on Domestic Goods & Services	2	-	
-	Taxes on International Trade	3	-	
-	Non Tax Revenue & Others	4	-	
-	Total Revenue Receipts (A)		-	
Non-Revenue Receipts				
2,166,788,223	Treasury Imprests	2,183,670,099	11,250,130,157	ACA-3
-	Deposits	52,900,868	18,974,296	ACA-4
3,200,000	Advance Accounts	29,314,597	7,170,634	ACA-5/5(a)
-	Other Receipts	-	-	
2,169,988,223	Total Non Revenue Receipts (B)	2,265,885,564	11,276,275,087	
2,169,988,223	Total Revenue Receipts & Non Revenue Receipts C = (A)+(B)	2,265,885,564	11,276,275,087	
Less: Expenditure				
Recurrent Expenditure				
77,297,000	Wages, Salaries & Other Employment Benefits	5	77,050,628	} ACA2 (ii)
53,379,000	Other Goods & Services	6	52,623,959	
182,040,000	Subsidies, Grants and Transfers	7	182,039,261	
-	Interest Payments	8	-	
21,000	Other Recurrent Expenditure	9	8,000	
312,737,000	Total Recurrent Expenditure (D)	311,721,848	188,371,100	

Capital Expenditure				
1,751,000	Rehabilitation & Improvement of Capital Assets	10	1,571,660	5,257,749
774,840	Acquisition of Capital Assets	11	443,308	3,980,928
68,995,999,160	Capital Transfers	12	491,208,978	41,418,273,773
205,483,000	Acquisition of Financial Assets	13	355,188	21,292,015
360,000	Capacity Building	14	-	421,132
6,463,195,000	Other Capital Expenditure	15	64,891,388,234	7,207,671,497
75,667,563,000	Total Capital Expenditure (E)		65,384,967,368	48,656,897,094
	Main Ledger Expenditure (F)		254,559,120	50,870,274
-	Deposit Payments		244,631,232	41,273,715
	Advance Payments		9,927,888	9,596,559
75,980,300,000	Total Expenditure G = (D+E+F)		65,951,248,336	48,896,138,468
(73,810,311,777)	Imprest Balance as at 31stDecember 2020 H= (C-G)		(63,685,362,772)	(37,619,863,381)

ACA2
(ii)

ACA4
ACA-
5/5 (a)

3.2 Statement of Financial Position

ACA-P

Statement of Financial Position

As at 31st December 2020

		Actual	
	Note	2020 Rs.	2019 Rs.
Non-Financial Assets			
Property, Plant & Equipment	ACA-6	383,450,126	383,147,117
Financial Assets			
Advance Accounts	ACA-5/5(a)	18,007,491	18,622,619
Cash & Cash Equivalents	ACA-3	-	434,532
Total Assets		401,457,617	402,204,268
Net Assets / Equity			
Net Worth to Treasury		12,814,600	5,168,689
Property, Plant & Equipment Reserve		383,450,126	383,147,117
Rent and Work Advance Reserve	ACA-5(b)	-	-
Current Liabilities			
Deposits Accounts	ACA-4	5,192,891	13,453,930
Imprest Balance	ACA-3	-	434,532
Total Liabilities		401,457,617	402,204,268

Detail Accounting Statements in above ACA format Nos.1 to 6 presented in pages from 11 to 13 and Notes to accounts presented in page 16 are integral parts of these Financial Statements. The Financial Statements have been prepared in complying with the Generally Accepted Accounting Principles whereas most appropriate Accounting Policies are used as disclosed in the Notes to the Financial Statements and hereby certify that figures in these Financial Statements, Notes to accounts and other relevant accounts were reconciled with the Treasury Books of Accounts and found to in agreement.

Chief Accounting Officer
Name : Dr. (Eng.) Priyath B. Wickrama
Designation: Secretary
Date: 2021.05.20

Accounting Officer
Name:
Designation:
Date:

Chief Financial Officer/Chief
Accountant/Director (Finance)/
Commissioner (Finance)
Name: C. Abeysooriya
Date: 2021.05.20

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C. Abeysooriya
Chief Accountant

Ministry of Water Supply
No. 35, "Lakdiya Medura", New Parliament Road,
Pelawatta, Battaramulla.

3.3 Statement of Cash Flows

Statement of Cash Flows
for the Period ended 31st December 2020

	Actual	
	2020 Rs.	2019 Rs.
<u>Cash Flows from Operating Activities</u>		
Total Tax Receipts	-	-
Fees, Fines, Penalties and Licenses	-	-
Profit	-	-
Non-Revenue Receipts	-	-
Imprest Received	2,183,670,099	9,799,183,154
Total Cash generated from Operations(a)	2,183,670,099	9,799,183,154
<u>Less - Cash disbursed for:</u>		
Personal Emoluments & Operating Payments	129,639,747	181,760,002
Subsidies & Transfer Payments	539,261	533,444
Expenditure incurred on other Heads of Expenditure	6,723,504	2,065,537
Finance Costs - Imprest Settlement to Treasury	2,378,366	-
Total Cash disbursed for Operations(b)	139,280,878	184,358,983
NET CASH FLOW FROM OPERATING ACTIVITIES(C)=(a)-(b)	2,044,389,221	9,614,824,171
<u>Cash Flows from Investing Activities</u>		
Interest	-	-
Dividends	-	-
Divestiture Proceeds & Sale of Physical Assets	-	-
Recoveries from On Lending	-	-
Recovery of advances	5,843,298	300,745
Total Cash generated from Investing Activities (d)	5,843,298	300,745
<u>Less - Cash disbursed for:</u>		
Purchase or Construction of Physical Assets & Acquisition of Other Investment	1,849,937,553	9,656,840,856
Advance Payment	8,564,602	6,950,109
Total Cash disbursed for Investing Activities(e)	1,858,502,155	9,663,790,965
NET CASH FLOW FROM INVESTING ACTIVITIES(F)=(d)-(e)	(1,852,658,857)	(9,663,490,220)
NET CASH FLOWS FROM OPERATING & INVESTMENT ACTIVITIES (g)=(c) + (f)	191,730,364	(48,666,049)

Cash Flows from Financing Activities

Local Borrowings	-	-
Foreign Borrowings	-	-
Grants Received	-	71,400,000
Deposits Received	52,900,868	18,974,296
Total Cash generated from Financing Activities(h)	52,900,868	90,374,296
<u>Less - Cash disbursed for:</u>		
Repayment of Local Borrowings	-	-
Repayment of Foreign Borrowings	-	-
Change in Deposit Accounts and Other Liabilities	244,631,232	41,273,715
Total Cash disbursed for Financing Activities(i)	244,631,232	41,273,715
NET CASH FLOW FROM FINANCING ACTIVITIES (J)=(h)-(i)	(191,730,364)	49,100,581
Net Movement in Cash (k) = (g) -(j)	-	434,532
Opening Cash Balance as at 01st January	-	434,532
Closing Cash Balance as at 31st December	-	-

3.4 Notes to the Financial Statements

➤ Notes relating to the Financial Performance Statement for the year ended 31.12.2020

Note	Expenditure	166-01-01	166-01-02	166-01-03	166-02-04	166-02-05	166-02-07	166-02-13	Total
Recurrent Expenditure									
5	Wages, Salaries & Other Employment Benefits	5,153,686	71,896,942	-	-	-	-	-	77,050,628
6	Other Goods & Services	4,357,501	48,266,458	-	-	-	-	-	52,623,959
7	Subsidies, Grants & Transfers		182,039,261	-	-	-	-	-	182,039,261
8	Interest Payments			-	-	-	-	-	-
9	Other Recurrent Expenditure		8,000	-	-	-	-	-	8,000
Total Recurrent Expenditure (D)		9,511,187	302,210,661	-	-	-	-	-	311,721,848
Capital Expenditure									
10	Rehabilitation & Improvement of Capital Assets	400,000	1,171,660	-	-	-	-	-	1,571,660
11	Acquisition of Capital Assets	317,120	126,188	-	-	-	-	-	443,308
12	Capital Transfers	-	491,208,978	-	-	-	-	-	491,208,978
13	Acquisition of Financial Assets	-	355,188	-	-	-	-	-	355,188
14	Capacity Building	-	-	-	-	-	-	-	-
15	Other Capital Expenditure	-	-	6,056,219,296	591,234,963	51,260,891,842	5,917,378,423	1,065,663,709	64,891,388,234
Total Capital Expenditure (E)		717,120	492,862,014	6,056,219,296	591,234,963	51,260,891,842	5,917,378,423	1,065,663,709	65,384,967,368
	Total Expenditure	10,228,307	795,072,675	6,056,219,296	591,234,963	51,260,891,842	5,917,378,423	1,065,663,709	65,696,689,216

3.5 Performance of the Revenue Collection

Rs. , 000

Revenue Code	Description of the Revenue Code	Revenue Estimate		Collected Revenue	
		Original	Final	Amount (Rs.)	as a % of Final Revenue Estimate
20.02.01.01	Rent of Government Buildings and Houses	591	-	18	-
20.02.02.99	Interest - Other	650	500	648	130
20.03.99.00	Sales and fees - Other	700	2,000	21,237	1,062
20.06.02.01	Sale of Capital Assets - Vehicles	-	-	7,129	-
20.06.02.02	Sale of Capital Assets - Other	-	-	15	-

3.6 Performance of the Utilization of Allocation

Rs. , 000

Type of Allocation	Allocation		Actual Expenditure	Allocation Utilization as a % of Final Allocation
	Original	Final		
Recurrent	307,337	312,737	311,722	100%
Capital	75,667,563	75,667,563	65,384,967	86%

3.7 In terms of F.R. 208 allocations granted to this Department/District Secretariat/Provincial Council as an agent of the other Ministries/Departments

Rs. , 000

Serial No.	Ministry/ Department Which Received Allocation	Purpose of the Allocation	Allocation		Actual Expenditure	Allocation Utilization as a % of Final Allocation
			Original	Final		
1	State Ministry of Rural and Regional Drinking Water Supply Projects Development		-	5,556	5,556	100%
2	Ministry of Public Service Provincial Councils and Local Government	Payment of graduate salaries	-	1,120	912	81%
3	Ministry of Urban Development, Coast Conservation, Waste Disposal and Sanitation	Payments relevant to City Planning projects	-	331,275	306,308	92.46%

3.8 Performance of the Reporting of Non-Financial Assets

Rs. , 000

Assets Code	Code Description	Balance as per Board of Survey Report as at 31.12.2020	Balance as per financial Position Report as at 31.12.2020	Yet to be Accounted	Reporting Progress as a %
9151	Building and Structures		-		
9152	Machinery and Equipment		383,450		
9153	Land		-		
9154	Intangible Assets		-		
9155	Biological Assets		-		
9160	Work in Progress		-		
9180	Lease Assets		-		

3.9 Auditor General's Report

Auditor General's Report is attached. (Annex I)

Chapter 04 – Performance indicators

4.1 Performance indicators of the Institute (Based on the Action Plan)

Specific Indicators	Actual output as a percentage (%) of the expected output		
	100%- 90%	75%-89%	50%- 74%
Safe Drinking Water Coverage	100		
Pipe Borne Water Supply Coverage	96.61		
Percentage of Non-revenue Water for the whole Island	97.35		
Pipe Borne Sewerage Coverage	91.56		

Chapter 05- Performance of the achieving Sustainable Development Goals (SDG)

5.1 Indicate the Identified respective Sustainable Developments Goals

Goal / Objective	Targets (2020)	Indicators of the achievement	Progress of the Achievement to date		
			0% - 49%	50% - 74%	75%-100%
Providing safe drinking water for all by 2030	Pipe Born Water Coverage 55%	% of Population			96.61%
	Safe Drinking Water Coverage 91.7%	% of Population			100%
Providing safe sanitation facilities for all by 2030	Access to Piped Sewerage 2.25%	% of Population			91.56%

5.2 Achievements and challenges of the Sustainable Development Goals

The National Water Supply and Drainage Board implemented number of strategies during the year 2020 for increasing the pipe borne water coverage. Actions were taken to increase the percentage water coverage through strategies such as Enhancement of the quantity and quality of existing water treatment plants, expansion of the new water distribution networks, and implementation of projects to reduce quantitatively the Non-Revenue Water gradually, implementation of new water projects in the areas where there is no water coverage. Under the “Praja Jala Abhimani” Programme of the Department of National Community Water Supply, rural water coverage was increased through improving the existing Community Water Projects & implementing the existing Community Water Projects and by implementing new community water projects.

Under the objective of providing sanitation for all, problems has arisen as financial provisions are not allocated for providing sanitation facilities for the people of low income level, Estate Community and in urban settlements.

Chapter 06 - Human Resources Profile

6.1 Cadre Management

	Approved Cadre	Existing Cadre	Vacancies / (Excess)**
Senior	27	18	9
Tertiary	5	2	3
Secondary	72	60	12
Primary	34	28	6
Total	138	108	30

6.2 ** Briefly state how the shortage or excess in human resources has been affected to the performance of the institute

As the approved cadre has not been completed, vacancies exist. Hence there is a shortage of human resources exist and as it is not in a significant level, it has not been affected on the performance of the Ministry to carry out its duties to a satisfactory level.

6.3 Human Resources Development

Se. No.	Name of the Program	No. of staff trained	Duration of the program	Total Investment (Rs.)		Nature of the Program (Local/ Foreign)	Output/Knowledge Gained
				Local	Foreign		
01	Scientific, thrifty and safe driving for local trained drivers	01	02 days	3500.00		Local	Drivers Attention were focused on scientific facts to be followed when driving and on frugal driving
02	Master's Degree Course (Accountant – Projects)	01	02 years	193,500.00		Local	Studying Financial Economics in Mastery
03	Master's Degree Course (Director – Procurement)	01	02 years	103,500.00		Local	Master's Degree in Construction Law and Dispute Resolution
04	Certificate Course in Wholesale Control, Good Organization and Supply and Supply Water Management – Construction Equipment Training Center (CETRAC)	01	05 days	18,000.00		Local	Obtaining Basic knowledge on identifying duties in Institutional warehousing, warehouse control and troubleshooting problems in storage and maintaining required documents.
05	Awareness Training Programme for Public Officers on Establishment Code 2020 – Phase 1	01	02 days	-		Local	Gaining an understanding on Salaries, General Conduct of Public Officers, Discipline, and Recruitment procedures when maintaining personal files of the Public Servants.
06	No Foreign Trainings.						

Chapter 07– Compliance Report

No.	Applicable Requirement	Compliance Status (Complied/Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
1	The following Financial statements/accounts have been submitted on due date			
1.1	Annual financial statements	Complied		
1.2	Advance account of public officers	Complied		
1.3	Business and Manufacturing Advance Account (Commercial Advance Account)	Not Applicable		
1.4	Stores Advance Accounts	Not Applicable		
1.5	Special Advance Accounts	Not Applicable		
1.6	Others	Not Applicable		
2	Maintenance of books and registers (FR 445)			
2.1	Fixed assets register has been maintained and updated in terms of Public Administration Circular 267/2018	Complied		
2.2	Personal emoluments register/ Personal emoluments cards has been maintained and updated	Complied		
2.3	Register of Audit queries has been maintained and updated	Complied		
2.4	Register of Internal Audit reports has been maintained and updated	Complied		
2.5	Prepared all the monthly account summaries (CIGAS) and submitted to the Treasury on due date	Complied		
2.6	Register for cheques and money orders has been maintained and updated	Complied		
2.7	Inventory register has been maintained and updated	Complied		
2.8	Stocks Register has been maintained and updated	Complied		
2.9	Register of Losses has been maintained and updated	Complied		

No.	Applicable Requirement	Compliance Status (Complied/Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
2.10	Commitment Register has been maintained and update	Complied		
2.11	Register of Counterfoil Books (GA – N20) has been maintained and update	Complied		
3	Delegation of functions for financial control (FR 135)			
3.1	The financial authority has been delegated within the institute	Complied		
3.2	The delegation of financial authority has been communicated within the institute	Complied		
3.3	The authority has been delegated in such manner so as to pass each transaction through two or more officers	Complied		
3.4	The controls has been adhered to by the Accountants in terms of State Account Circular 171/2004 dated 11.05.2014 in using the Government Payroll Software Package	Complied		
4	Preparation of Annual Plans			
4.1	The annual action plan has been prepared	Complied		
4.2	The annual procurement plan has been prepared	Complied		
4.3	The annual Internal Audit plan has been prepared	Complied		
4.4	The annual estimate has been prepared and submitted to the NBD on due date	Complied		
4.5	The annual cash flow has been submitted to the Treasury Operations Department on time	Complied		

No.	Applicable Requirement	Compliance Status (Complied/Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
5	Audit queries			
5.1	All the audit queries has been replied within the specified time by the Auditor General	Complied		
6	Internal Audit			
6.1	The internal audit plan has been prepared at the beginning of the year after consulting the Auditor General in terms of Financial Regulation 134(2)) DMA/1-2019	Complied		
6.2	All the internal audit reports has been replied within one month	Not Complied	Some Audit Queries issued by the Internal Audit Division have not been answered within a month.	Inform all the officers to reply to each Internal Audit Report within a month and if not provide an interim answer expeditiously and inform all the responsible officers in that regard at the meetings of the Audit and Management committees.
6.3	Copies of all the internal audit reports has been submitted to the Management Audit Department in terms of Sub-section 40(4) of the National Audit Act No. 19 of 2018	Complied		
6.4	All the copies of internal audit reports has been submitted to the Auditor General in terms of Financial Regulation 134(3)	Complied		

No.	Applicable Requirement	Compliance Status (Complied/Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
7	Audit and Management Committee			
7.1	Minimum 04 meetings of the Audit and Management Committee has been held during the year as per the DMA Circular 1-2019	Not Complied	Due to the curfew was in effect from March to 6 th June 2020 the second quarterly meeting was unable to hold on the due date and due to COVID epidemic the requirements of holding 4 Audit and Management Committee meetings; one meeting per quarter, have been waived as per the letter No. DMA/AMCM/2020/54 and dated 02.06.2020 and hence only 3 meetings have been conducted during year 2020.	
8	Asset Management			
8.1	The information about purchases of assets and disposals was submitted to the Comptroller General's Office in terms of Paragraph 07 of the Asset Management Circular No. 01/2017	Complied		
8.2	A suitable liaison officer was appointed to coordinate the implementation of the provisions of the circular and the details of the nominated officer was sent to the Comptroller General's Office in terms of Paragraph 13 of the aforesaid circular	Complied		
8.3	The boards of survey was conducted and the relevant reports submitted to the Auditor General on due date in terms of Public Finance Circular No. 05/2016	Complied		
8.4	The excesses and deficits that were disclosed through the board of survey and other relating recommendations, actions were carried out during the period specified in the circular	Complied		
8.5	The disposal of condemn articles had been carried out in terms of FR 772	Complied		

No.	Applicable Requirement	Compliance Status (Complied/Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
9	Vehicle Management			
9.1	The daily running charts and monthly summaries of the pool vehicles had been prepared and submitted to the Auditor General on due date	Complied		
9.2	The condemned vehicles had been disposed of within a period of less than 6 months after condemning	Complied		
9.3	The vehicle logbooks had been maintained and updated	Complied		
9.4	The action has been taken in terms of F.R. 103, 104, 109 and 110 with regard to every vehicle accident	Complied		
9.5	The fuel consumption of vehicles has been re-tested in terms of the provisions of Paragraph 3.1 of the Public Administration Circular No.30/2016 of 29.12.2016	Complied		
9.6	The absolute ownership of the leased vehicle logbooks has been transferred after the lease term	Not Complied	No leased vehicles	
10	Management of Bank Accounts			
10.1	The bank reconciliation statements had been prepared, got certified and made ready for audit by the due date	Complied		
10.2	The dormant accounts that had existed in the year under review or since previous years settled	Complied		
10.3	The action had been taken in terms of Financial Regulations regarding balances that had been disclosed through bank reconciliation statements and for which adjustments had to be made, and had those balances been settled within one month	Complied		
11	Utilization of Provisions			
11.1	The provisions allocated had been spent without exceeding the limit	Complied		

No.	Applicable Requirement	Compliance Status (Complied/Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
11.2	The liabilities not exceeding the provisions that remained at the end of the year as per the FR94(1)	Not Complied	Although working within the Provision limit on the vouchers presented during the year 2020, as there are some vouchers that are received during year 2021 also which are relevant to year 2020, when those are taken into consideration there are instances that don't conform to this clause.	
12 Advances to Public Officers Account				
12.1	The limits had been complied with	Complied		
12.2	A time analysis had been carried out on the loans in arrears	Complied		
12.3	The loan balances in arrears for over one year had been settled	Not Applicable		
13 General Deposit Account				
13.1	The action had been taken as per F.R.571 in relation to disposal of lapsed deposits	Complied		
13.2	The control register for general deposits had been updated and maintained	Complied		
14 Imprest Account				
14.1	The balance in the cash book at the end of the year under review remitted to TOD	Complied		
14.2	The ad-hoc sub imprests issued as per F.R. 371 settled within one month from the completion of the task	Complied		
14.3	The ad-hoc sub imprests had not been issued exceeding the limit approved as per F.R.371	Complied		
14.4	The balance of the imprest account had been reconciled with the Treasury books monthly	Complied		
15 Revenue Account				
15.1	The refunds from the revenue had been made in terms of the regulations	Complied		

No.	Applicable Requirement	Compliance Status (Complied/Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
15.2	The revenue collection had been directly credited to the revenue account without credited to the deposit account	Complied		
15.3	Returns of arrears of revenue forward to the Auditor General in terms of FR 176	Complied		
16 Human Resource Management				
16.1	The staff had been paid within the approved cadre	Complied		
16.2	All members of the staff have been issued a duty list in writing	Complied		
16.3	All reports have been submitted to MSD in terms of their circular no.04/2017 dated 20.09.2017	Complied		
17 Provision of information to the public				
17.1	An information officer has been appointed and a proper register of information is maintained and updated in terms of Right To Information Act and Regulation	Complied		
17.2	Information about the institution to the public have been provided by Website or alternative measures and has it been facilitated to appreciate / allegation to public against the public authority by this website or alternative measures	Complied		
17.3	Bi- Annual and Annual reports have been submitted as per section 08 and 10 of the RTI Act	Complied		
18 Implementing citizens charter				
18.1	A citizens charter/ Citizens client's charter has been formulated and implemented by the Institution in terms of the circular number 05/2008 and 05/2018(1) of Ministry of Public Administration and Management	Complied		

No.	Applicable Requirement	Compliance Status (Complied/Not Complied)	Brief explanation for Non Compliance	Corrective actions proposed to avoid non-compliance in future
18.2	A methodology has been devised by the Institution in order to monitor and assess the formulation and the implementation of Citizens Charter / Citizens client's charter as per paragraph 2.3 of the circular	Complied		
19 Preparation of the Human Resource Plan				
19.1	A human resource plan has been prepared in terms of the format in Annexure 02 of Public Administration Circular No.02/2018 dated 24.01.2018.	Complied		
19.2	A minimum training opportunity of not less than 12 hours per year for each member of the staff has been ensured in the aforesaid Human Resource Plan	Not Complied	Inability to participate due to Corona Epidemic situation existing within the country and insufficiency of provisions for Training opportunities.	Once the provisions are obtained actions will be taken to provide training opportunities.
19.3	Annual performance agreements have been signed for the entire staff based on the format in Annexure 01of the aforesaid Circular	Complied		
19.4	A senior officer was appointed and assigned the responsibility of preparing the human resource development plan, organizing capacity building programs and conducting skill development programs as per paragraph No.6.5 of the aforesaid Circular	Complied		
20 Responses Audit Paras				
20.1	The shortcomings pointed out in the audit paragraphs issued by the Auditor General for the previous years have been rectified	Complied		