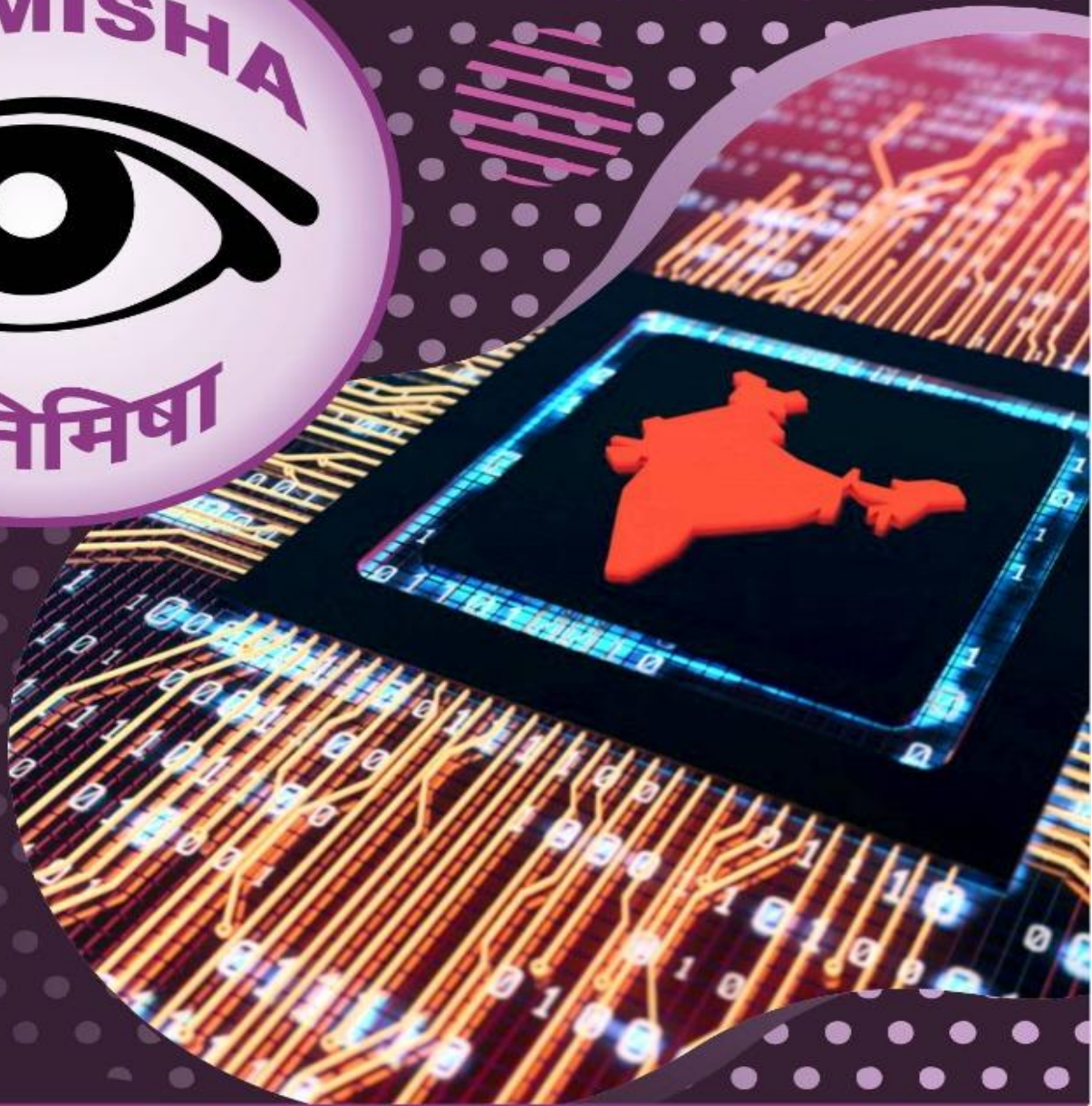




दक्षिण मध्य रेलवे South Central Railway



अंक/No.

53

सतर्क भारत, समृद्ध भारत
Vigilant India, Prosperous India

सतर्कता बुलेटिन

VIGILANCE BULLETIN
2020



गजानन मल्लया
GAJANAN MALLYA



भारत सरकार Govt. of India
रेल विभाग Ministry of Railways

महाप्रबंधक
दक्षिण मध्य रेलवे
रेल निलयम, सिकंदराबाद - 500 025
General Manager
South Central Railway
Rail Nilayam, Secunderabad - 500 025



MESSAGE

This year Vigilance Awareness Week is being observed from 27th October to 2nd November, 2020 with the theme “**Vigilant India, Prosperous India**”.

I congratulate the Vigilance Department for bringing out the 53rd edition of Vigilance Bulletin with Case Studies and Articles relevant to the theme. I am happy to note that for the first time the bulletin is being published as e-bulletin. This is in keeping with the commitment that South Central Railway has for leveraging technology and observing precautions during the Covid-19 pandemic.

I hope the Vigilance Bulletin will be helpful in generating awareness amongst all the Railway Employees regarding various irregularities which are being committed and also guide them in devising improvements in the prevailing systems and practices to prevent such lapses.

Railways are continuously undertaking simplification of rules and procedures which ensures more transparency and empowers individual officials while making them accountable. We must all strive towards perfecting the quality of output of all our work and at the same time avoid delays. This will be possible if each of us takes full responsibility of the work assigned to us, avoiding shortcuts and having respect for the extant rules and procedures. Only then will we be able to contribute meaningfully to the prosperity of our nation.

I wish all success for the observance of Vigilance Awareness Week.


(Gajanan Mallaya)

बी.बी. सिंह आईआरएसईई
अपर महाप्रबंधक
B.B. SINGH IRSEE
Additional General Manager



दक्षिण मध्य रेलवे
South Central Railway
प्रधान कार्यालय, रेल निलयम्
Headquarters, Rail Nilayam
सिकंदराबाद (टी.एस.)
Secunderabad - 500 025. (T.S.)



MESSAGE

I am happy to note that Vigilance Awareness Week is being observed from 27th October to 2nd November, 2020 with the theme "**Vigilance India, Prosperous India**".

The corruption in any public organization leads to leakage of revenue and also severely damages its image as a service provider. Transparency in administration and easy accessibility of information can minimize the menace of corruption.

Vigilance department on South Central Railway is doing good work in both complaint investigation and conducting preventive checks. The emphasis is more on preventive vigilance and as such several system improvements are being suggested as a outcome of these investigations.

I am sure that the articles and case studies presented in this online Bulletin will help the officials to eliminate irregularities in day to day working.


(B. B. Singh)

Ramesh Kumar Jha
Principal Exec. Director(Vig.)
&
Chief Vigilance Officer



भारत सरकार
रेल मंत्रालय, (रेलवे बोर्ड)
रेल भवन, नई दिल्ली-110001
GOVERNMENT OF INDIA
MINISTRY OF RAILWAYS
(RAILWAY BOARD)
RAIL BHAVAN, NEW DELHI-110001

Message

The Central Vigilance Commission observes the Vigilance Awareness Week each year to emphasize the significance of probity and integrity in public life. The theme chosen this year by Commission **"Vigilant India, Prosperous India (Satark Bharat, Samriddh Bharat)"** is very relevant as corruption crumbles the vital functions of the country.

Vigilance Organisation of Ministry of Railways endeavours to promote integrity, transparency and accountability in public life with the ultimate objective to bring about improvements in governance.

The observance of such events helps in developing awareness about the consequences of corruption and educating the public to create a corruption free society. While observance of mass awareness, Covid-19 prevention guidelines besides adopting economy measures issued by Ministry of Finance should be strictly adhered.

We will make every effort to promote integrity and eradicate corruption with the active support and participation of all stakeholders. I do believe that public participation plays a very crucial role in combating corruption and in nation building. Outreach activities for dissemination of anti-corruption measures and stressing the necessity of Vigilant India would lead to Prosperous India.

Publication of special E-edition of Vigilance Bulletin on this occasion would really help in spreading awareness amongst all Railwaymen and go a long way in making corruption-free India.


19/10/20
(Ramesh Kumar Jha)

चंद्रिमा रॉय
वरिष्ठ उप महाप्रबंधक एवं
मुख्य सतर्कता अधिकारी
CHANDRIMA ROY
Senior Deputy General Manager &
Chief Vigilance Officer



दक्षिण मध्य रेलवे
SOUTH CENTRAL RAILWAY
महाप्रबंधक का कार्यालय
General Manager's Office
सिकंदराबाद (टी.एस.)
Secunderabad - 500 025. (T.S.)



FOREWORD

As per guidelines given by the CVC and Railway Board, South Central Railway is observing Vigilance Awareness Week from 27th October to 2nd November, 2020. The theme this year is *Vigilant India, Prosperous India*. The 53rd edition of the annual South Central Railway Vigilance Bulletin *Animisha* is being brought out to commemorate this week. For the first time e-edition of the Bulletin is being published which would be uploaded on the official website so that it is readily available to all throughout the year.

As this year's theme very aptly indicates, every citizen has to exercise vigilance to lead the country onto the path of prosperity. It becomes all the more important in these challenging pandemic times to use our limited resources most judiciously for the correct purposes, as the economy has slowed down substantially. Active participation of all employees is needed to eradicate corruption from the organization.

It has been the endeavour of Vigilance Department of South Central Railway to include in this bulletin, articles related to vigilance and case studies on irregularities found in different areas of Railway working which we hope will help spread vigilance awareness amongst all railway employees and sensitize them about the menace of corruption. I would like to express my thanks to all those who have contributed articles for this bulletin. We would also welcome suggestions to improve the working of the Vigilance Department of South Central Railway.


(Chandrima Roy)
Sr. Deputy General Manager

टिप्पणी

इस बुलेटिन का प्रयोजन पूर्ण रूप से दिशा-निर्देश देना है और यह केवल सरकारी उपयोग के लिए है तथा इसे किसी भी सरकारी संदर्भ में प्राधिकारी के रूप में उद्धृत न किया जाए और न ही किसी अदालत में प्रस्तुत किया जाए, जब कभी आवश्यक हो इस विषय पर मूल आदेशों को देखा जाए

NOTE

This Bulletin is purely for the purpose of providing guidelines and is intended for official use only and should not be quoted as authority in any official reference or produced in a court.

A reference, whenever necessary, should always be made to the original orders on the subject.

Contents

SRNo	Description	Page No
1.	खुशियां - विक्रम गुप्ता, मुख्य अभियंता	8
2.	Fighting Corruption : The Battle Starts Within - <i>B.RaviChander, Addl. Div.Railway Manager/G/SC</i>	9
3.	Essentials in Quality Execution of OHE work from Vigilance Perspective - <i>Sahitya Kumar Gupta, Chief Vigilance Officer/S&T</i>	10
4.	सजग सतर्कता - ए. के. सिंह, प्रमुख विद्युत अभियंता (निर्माण)	14
5.	How Corruption affects the progress of a country - <i>Sri S Ramesh Babu, Dy.Chief Vigilance Officer/Traffic</i>	15
6.	Being Vigilant in Public Procurement - <i>Sri Ankur Srivastava, Dy.Chief Vigilance Officer/Stores</i>	20
7.	Personal Integrity and Organizational Culture - <i>Sri C N Deevan Reddy, Dy.Chief Vigilance Officer/Personnel</i>	24
8.	Preventive Vigilance to combat Corruption in Railways - <i>B. Ramakrishnan, Dy.Chief Vigilance Officer/Accounts</i>	26
9.	Doubtful? Or Beyond Doubt! - <i>Ram Babu Vavilapalli, Sr.DOM/GNT</i>	29
10.	Preventive To Participative : The Way Forward - <i>Y Srinivas, DEN/Bridges/HYD</i>	32
11.	Vigilant Citizen: An Imperative of Modernity - <i>Sandeep Kumar, Works Manager, Carriage Workshop</i>	34
12.	A Stitch in Time Saves Nine Lives - <i>B.Phani Vinayak Rao CVI/Accounts</i>	36
13.	Greed- Cause for all Tribulations - <i>Vanitha S Kumar, CVI/Personnel</i>	38
14.	Virus of Corruption::Vigilance Cure - <i>R. Laxminarayana, CVI/Accounts</i>	40
15.	Building Public Perception on Indian Railways - <i>V Yagneswaran, CVI/Traffic</i>	42
16.	Vigilance Case Studies <ul style="list-style-type: none"> ➤ Accounts ➤ Electrical ➤ Mechanical ➤ S&T ➤ Engineering ➤ Personnel ➤ Stores ➤ Traffic 	45 47 48 49 51 55 58 60

खुशियां

❖ विक्रम गुप्ता
मुख्य अभियंता

खुशियां हम ढूढ़ते हैं,
महंगी मोटरकारों में,
आलीशान बंगलों में,
दौलत के बाजारों में।

खुशियां हम खोजते हैं,
नशे की दुकानों में,
मदिरा के प्यालों में,
पांच सितारा पकवानों में।

खुशियां तो बसती हैं,
अपने ही तन-मन में,
प्रकृति के हर रंग में,
हर पल, हर क्षण में।

खुशियां तो मिलती हैं,
प्यार बरसाने में,
मिलने मिलाने में,
हंसने - हंसाने में।

खुशियां तो आती हैं,
ईश्वर के वंदन से,
मर्यादित जीवन से,
सादगी, प्रेम, संयम से।

खुशियां तो डरती हैं,
झगड़ालू मानव से,
ईर्ष्या की दृष्टि से,
लालच के दानव से।

खुशियों को पा लेना,
है सचमुच बहुत सरल,
खुद उलझाते खुद को,
बस यही एक मुश्किल।

खुशियों के ये चंद भेद,
किसे समझ नहीं आते,
जानते हैं हम सब,
बस धारा में बह जाते।

Fighting Corruption – The Battle Starts Within

❖ **B.RaviChander**
ADRM/G/SC

What ails our country? It has all the natural resources, man power, cultural values and ethos, yet it has poverty, illiteracy and poor socio economic development. One reason that comes across is that “everyone in our country knows what to do but not able turn ideas into actions”.

Acting decisively is not a simple task. Situations arise every second, where one ends up taking right or wrong decisions. The difficulty level of making a decision increases with the number of variables that have to be factored in, apart from the limitations in knowledge and information. The individual who has to take the decision is indeed operating in an unenviable situation. One does take wrong decision at times and learn from it. In fact, very often, learning how to do a job comes only ‘hands on’. To commit an error is indeed human.

In a perfectly understanding environment, persons will not hesitate to make decisions and to act on it. The increased levels of transparency and activism at various levels however, have posed challenges to the decision makers. It is definitely a major factor that weighs in the thoughts and action of the decision makers and unfortunately leads to a status quo approach. After all, how does one differentiate between genuine errors of judgment from the deliberate or corrupt ones?. Hence somehow ideas are not being implemented. This vacuum therefore creates and allows corruption to grow.

In such a scenario, turning ideas into action requires persons with integrity. What is integrity? An old Tamil phrase comes to my mind for defining a person with integrity, Which roughly translates as, a person with integrity has erect posture, gait, straight vision, fearless principled living... Such values make an individual strong and competent.

One such individual was the father of our nation. His autobiography “My experiments with truth” illustrates living with integrity. It shows that the character of an individual is built not only by the sturdy bricks provided to him/her by birth but also by the brittle ones picked up on experience. It is mostly these brittle ones which define the “make or break” of an individual’s integrity.

Every child is born equal but only some are able to become Mahatma. To maintain integrity, one has to have a clear mind as well as thought processes. Such a quality can be obtained only by training once mind. Momentary clarities in thought have to be converted into consistent ones. Such consistencies will enable one to act without fear. Such acts will enable our country to weed out corruption and bring improvement in all spheres of life. Thus the first battle against corruption is the one within.

Essentials in Quality Execution of OHE work from Vigilance Perspective

❖ **Sahitya Kumar Gupta**
Chief Vigilance Officer/S&T

Indian Railway is one of the largest rail networks in the world. The Indian trains primarily run on electricity or diesel. Over a period of time, Railway electrification has constantly increased in the past decades and large numbers of the Electrification work are either under progress or sanctioned or in process of sanction, in order to cover almost all sections with electrification in the next few years. The advantage of electrification is Lower emissions and lower operating cost besides improving the safety, capacity and speed significantly, compared to the trains on Diesel operation.

In Railway electrification works, Mast foundation is vital safety item. The mast foundation should be capable to support the vertical load of mast, bending moment due to static and dynamic load of OHE. Foundation design mainly depends on Soil and other conditions prevailing at the location. There are certain masts at which OHE contact wire is terminated thus requiring anchor mast to balance the anchoring load. Therefore, if proper cares are taken during the execution of mast foundation work, it will significantly improve the safety & reliability of train operation and will result saving in terms of frequently incurring expenditure on replacement/ repair of the mast foundation before completing its codal life.

During the preventive vigilance checks conducted on mast foundation work of OHE, various irregularities / discrepancies are observed at field level execution as well in the contract documents. It is also observed that there is no proper awareness amongst field supervisors especially on various paras of **IS:456-2000** and **IS:516-1959**, relevant to the mast foundation. Therefore, keeping its importance into consideration, the few relevant paras of IS:456-2000 and IS:516-1959, suggestions, guidelines/ instructions available, **on mast foundation during execution of OHE work**, are summarized as under:

1. Foundation design mainly depends on Soil and other conditions prevailing at the location. Therefore, required grades (e.g. M10, M15, M20) for foundation concrete and core concrete of mast, to be casted in the work, should be clearly defined in the contract, taking various factors into consideration & as per extant guidelines in this regard.
2. For judging the acceptability of material, quality of concrete and the method of work in the mast foundation work, we observe the provisions of the “Indian Standard Code of Practice for plain and reinforced concrete, **IS:456-2000**.”
3. **PROPORTIONS FOR NOMINAL MIX CONCRETE:-** Para 9.3 & Para 9.3.1 of the IS:456-2000 provides the proportions for nominal mix concrete for various grades. **For M10 grade concrete mix** (most common grade for mast foundation

concrete), the ratio of cement to aggregate (including sand) should be **50:480 i.e., 1 : 9.60.**

4. **Sampling frequency of mix concrete for testing:-** Para 15.1 of IS:456-2000 provides, samples from fresh concrete shall be taken and cubes shall be made, cured and tested at 28 days. Para 15.2 of the IS:456-2000 provides the random sampling procedure shall be adopted to ensure that each concrete batch shall have reasonable chance of being tested. The minimum frequency of sampling of concrete shall be as under:

Quantity of concrete in the work m ³	No. of Samples
1-5	1
6-15	2
16-30	3
31-50	4
51 and above	4 Plus one additional sample for each additional 50m ³ .

NOTE:

At least one sample shall be taken from each shift to cover all the batches of concrete. Para-15.3 of IS:456-2000 stipulate that three test specimens shall be made for each sample for testing at 28 days. Additional samples also to be taken to determine the strength of concrete at 7 days.

5. **Methods of tests on strength of concrete of foundation:-** All tests should be carried out in accordance with **IS:516-1959** or its latest version as detailed under:
- Size of the test specimen should be of cubical shape of 15 cm X15 cm X15 cm
 - Test specimens should be kept at site for $24 \pm \frac{1}{2}$ hours from the time of adding the water to the dry ingredients.
 - Marking of the specimens for later identification.
 - Storing in clean water after 24 hours curing until they are transported to the testing laboratory.
 - Sending to testing laboratory well packed and not less than 24 hours before the time of test etc.
6. For identification at later stage, Test specimens should be **marked suitably with km no./mast no. & date.**
7. After removing the specimen from the moulds, cube should be stored either in core of the foundation from where the sample is taken or at other designated place at site in access of the Railway officials duly following the contractual provision.

8. **Test result of the sample:- Para 15.4 of IS:456-2000** provides that the test result of sample shall be average of strength of 3 specimens. The individual variation should not be more than $\pm 15\%$ of the average. If more, the test result of the sample is invalid.

IS:456-2000 provides the compressive strength of 15 cm cube at 28 days of mix concrete. The value of compressive strength is specified for M10 as 10N/mm^2 , for M15 as 15N/mm^2 & M20 as 20N/mm^2 . **Lab result of mix concrete should fulfill the required compressive strength of mix concrete accordingly.**

9. Normally, Mast erection should be carried out only after receiving the test result of cubes from the recognized lab as per the contract.
10. Record of collection of the specimens of mix concrete with date & location should be maintained at site under joint signature of Railway & contractor's Engineer. Subsequent details like date of sending the cubes from site, to the designated place and date of sending specimens to laboratory should also be maintained.
11. Record of **Cement consumption** & its invoice copies and **Ballast 40 mm sieve analysis test reports** should be maintained at site and to be produced to the inspecting officials when asked.

12. Maintenance of DPRs:

- (a) Dimensions should be recorded along with the volume of the concrete of the mast foundation,
- (b) Railway Engineer (at the level of supervisor) and Firm's Engineer should sign all the copies of DPR in original.
- (c) DPRs with printed sr. no. should be maintained & to be updated regularly.

12. **Accounting of released material in OHE work:-** Accountal of the released material (in replacement / modification work of OHE), along with the DMTR particulars to be ensured before recording the measurements. Details of DMTR particulars should be mentioned in the Bill copy against concerned schedule items.

While preparing the tender document, necessary stipulations should be incorporated in the contract for clarity to Railway field supervisor and Contract agencies, in order to ensure proper quality in execution of the work.

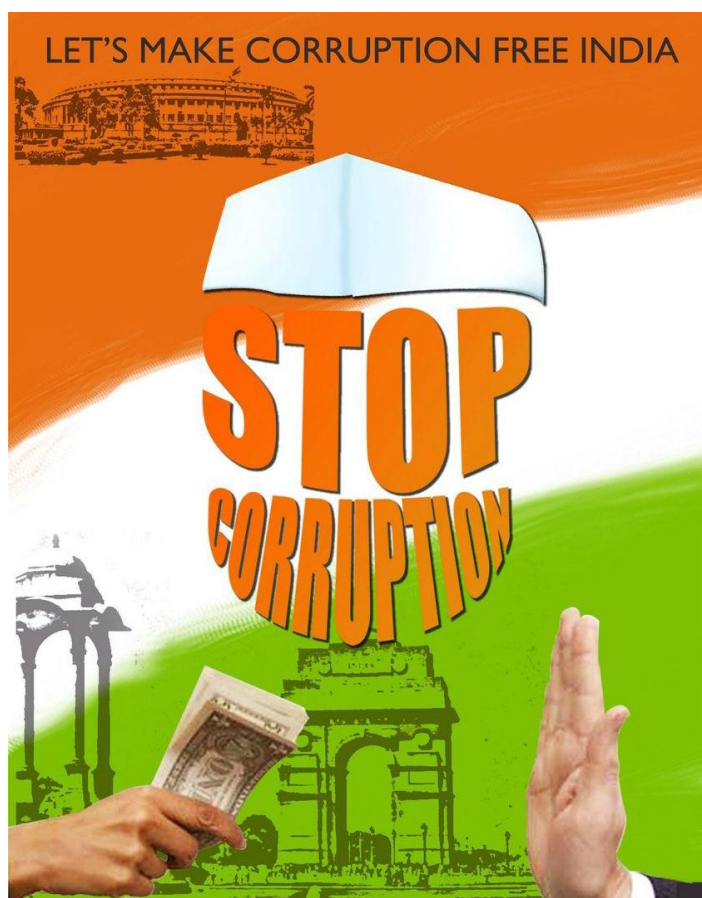
While executing the work at site, In-charge SSE should ensure the compliances of relevant provisions of **IS:456-2000, IS:516-1959**, contract document and ensure the maintenance of all relevant records including records as detailed under para 10 to 12 above and **Site Order Book**.

If we ensure the compliances of all laid down procedure, follow specifications and contractual provisions and always vigilant in our area of work, we can create the quality assets, which will definitely be helpful in overall growth & development of

our nation. By this way, we will be contributing in making our country more prosperous, duly fulfilling the very objective of the theme of VAW-2020 i.e.,

“Satark Bharat, Samriddh Bharat- (Vigilant India, Prosperous India)”.

Jai Hind, Jai Bharat



सजग सतर्कता

@अक्स

ए. के. सिंह

प्रमुख विद्युत अभियंता (निर्माण)

चाहते हैं गर सुकूँ दिल में
तो दूर रहना होगा हम सब को
भ्रष्टाचार के झंझावात से
बिना वजह की खुराफात से
हिन्दू मुस्लिम की कहानी से
नफरतों की दीवानगी से

क्यों न सजग सतर्क
जीवन शैली अपनाएं हम
कर्मठता को गले लगाकर
लोलुपता दूर भगाये हम

सुनना पड़ेगा दिल की
करना नहीं होगा मन की
सजग सतर्क नहीं रहेगें तो
जीवन में फिसल जायेगें
संत जन मुस्कुराकर
बढ़कर आगे निकल जायेगें

लोगों की काली करतूतों को
जन गण में पहुंचाने से
राम राज्य फिर से आएगा
हम सबके सतर्क हो जाने से

How Corruption affects the progress of a country

❖ **Sri S Ramesh Babu**

Dy.Chief Vigilance Officer/Traffic

There is no single, comprehensive, universally accepted definition of corruption. When the negotiations of the United Nations Convention against Corruption began in early 2002, one option under consideration was not to define corruption at all but to list specific types or acts of corruption. Some of the more commonly encountered forms of corruption are considered below.

Types of corruption

Bribery is probably the most common form of the meaning of "corruption". The "benefit" in bribery can be virtually any inducement: money and valuables, company shares, inside information, sexual or other favours, entertainment, employment or, indeed, the mere promise of incentives. Specific types of bribery include:

- Influence-peddling in which public officials or political or Government insiders peddle privileges acquired exclusively through their public status, for example access to or influence on Government decision-making.
- Offering or receiving improper gifts, gratuities, favours or commissions in exchange for services.
- Bribery to avoid liability for taxes or other costs. Officials of revenue collecting agencies, such as tax authorities or customs, are susceptible to bribery.
- Bribery in support of fraud. Payroll officials may be bribed to participate in abuses such as listing and paying non-existent employees ("ghost workers").
- Bribery to avoid criminal liability. Law enforcement officers, prosecutors, judges or other officials may be bribed to ensure that criminal activities are not investigated or prosecuted or, if they are prosecuted, to ensure a favourable outcome.
- Bribery in support of unfair competition for benefits or resources. Public or private sector employees will be bribed to ensure that contracts are made with the party that is paying the bribe and on favourable terms. In some cases, where the bribe is paid out of the contract proceeds themselves as a "kickback" or secret commission.
- Private sector bribery. Corrupt banking and finance officials are bribed to approve loans that do not meet basic security criteria and cannot later be collected, causing widespread economic damage to individuals, institutions and economies.
- Bribery to obtain confidential or "inside" information undermining national security and disclosing industrial secrets. Inside information is used to trade unfairly in stocks or securities.

- A donation made with the intention or expectation that the party will, once in office, favour the interests of the donor over the interests of the public is tantamount to the payment of a bribe. Donations may be in the form of direct cash payments, giving of goods or services or intangible contributions favouring the political party involved.
- In the context of corruption, embezzlement, theft and fraud involve the taking or conversion of money, property or valuable items by an individual who is not entitled to them but, by virtue of his or her position or employment, has access to them. For example, an official who takes and sells part of a relief donation or a shipment of food or medical supplies would be committing theft or embezzlement; an official who induces an aid agency to oversupply aid by misrepresenting the number of people in need of it is committing fraud.

Impact of corruption

In the words of Kofi Annan former secretary general UNO, corruption is an insidious plague that has a wide range of corrosive effects on societies. It undermines democracy and the rule of law, leads to violations of human rights, distorts markets, erodes the quality of life and allows organized crime, terrorism and other threats to human security to flourish. This evil phenomenon is found in all countries—big and small, rich and poor—but it is in the developing world that its effects are most destructive. The impact of corruption on a society is elaborated here.

- On the political front, corruption is a major obstacle to democracy and the rule of law. Democratic system, offices and institutions lose their legitimacy when they are misused for private advantage. It is extremely challenging to develop accountable political leadership in a corrupt climate.
- Economically, corruption depletes national wealth. Corrupt politicians invest scarce public resources in projects that will line their pockets rather than benefit communities. Corruption also hinders the development of fair market structures and distorts competition, which in turn deters investment.
- Under conditions of corruption, funding for education, health care, poverty relief, and elections and political parties' operating expenses can become a source of personal enrichment for party officials, bureaucrats and contractors. Social programmes and the redistributive potential of political systems suffer accordingly.
- Environmental degradation is another consequence of corrupt systems. From mining, to logging, to carbon offsets, companies across the globe continue to pay bribes in return for unrestricted destruction.
- People lose trust in leaders, in public institutions and sometimes even in society and ethics itself when they see corruption is widespread and corrupt people are not getting punished. Public frustration and the sense that corruption is widespread can in turn pave the way for citizens themselves to take part in corrupt transactions.
- Macro economic stability may be undermined by loss of government revenue and excessive spending. This can happen through corruption in tax and customs departments, through debt incurred when the scrutiny of finance ministries and central banks is bypassed, through contracts that are awarded to high-cost

bidders or without competitive tendering, and through the general erosion of expenditure control.

- Corruption can have a negative effect on foreign investment. Where corruption is large and systemic, investment may be concentrated in extractive industries in which operations can be enclave, or in light manufacturing or trading operations that can be relocated if corruption costs become unbearable.
- Small entrepreneurs may be affected in many developing and transition economies. Corruption increases the costs of doing business, that small firms bear a disproportionately large share of these costs, and this prevents firms from growing.

Remedies

Corruption is an intractable problem. Like diabetes, it may not be possible to root out corruption completely at all levels but it is possible to contain it within tolerable limits. There is no one universal solution to tackle corruption. It has to be dealt by multiple ways.

INSTITUTION BUILDING

- Establishing specialized anti-corruption agencies which will be independent and exclusively work against corruption.
- System of Auditors and audit institutions - Audits can cover, inter alia, legal and financial issues, ensuring conformity with established standards or reviewing the performance of institutions and individuals. Audits work through transparency and that their real power resides in the fact that most audit reports are made public.
- Institution of Ombudsmen - As many complainants will not know or suspect the presence of corruption, the ombudsman can play an important role in determining this and referring such a case to an anticorruption agency or prosecutor for further action.
- Strengthening judicial institutions - Training in professional competence and integrity, as well as the development or review of a judicial code of conduct and informal discussions on ethical, substantive and procedural issues all form part of the process of strengthening the judiciary.
- Civil service reforms to strengthen service delivery - Responsiveness, accountability and transparency are a must for a clean system. Bureaucracy, the backbone of good governance, should be made more citizen friendly, accountable, ethical and transparent.
- Establishing National anti-corruption commissions, institutions like Central Vigilance Commission, Lokpal, Lokayukta etc.
- Strengthening local governments - local governments should be backed by adequate transfer of a basket of financial grants and tax handles, and they are given staff so that they have the necessary wherewithal to carry out their responsibilities. Above all, local governments are to report primarily to their voters, and not so much to higher level departments.

- Electoral reforms – Funding of elections is at the core of political corruption. Electoral reforms are crucial in this regard. Several reforms like State funding of election expenses for candidates; strict enforcement of statutory requirements like holding in-party elections, making political parties get their accounts audited regularly and filing income-tax returns; denying persons with criminal records a chance to contest elections, should be brought in.
- More and more courts should be opened for speedy & inexpensive justice so that cases don't linger in courts for years and justice is delivered on time.

SITUATIONAL PREVENTION

- Disclosure of assets and liabilities by public officials
- Authority to monitor public sector contracts - a specialized authority might be created to monitor key contracts and transactions in areas where corruption is widespread.
- Curbing corruption in the procurement process- to combat corruption in procurement, the most powerful of which is currently public exposure and the advances made in online procurement via the Internet
- Reducing procedural complexity - If user surveys show that obtaining a permit is overly time-consuming, the bureaucracy in question should be studied and lack of efficiency, excessive complexity and unpredictability of administrative procedures should be identified and for implementing administrative reforms.
- Reducing and structuring discretion - Structuring discretion to take account of rules and criteria for decision-making, transparency and effective review mechanisms will reduce opportunities for corruption
- The use of positive incentives to improve employee culture and motivation

SOCIAL PREVENTION

- Access to information - Increasing public access to information is a powerful mechanism of accountability, enabling civil society to oversee the State.
- Strengthening Public complaints mechanisms - citizens must be kept informed about how and where to report corrupt behaviour and, for that purpose, it may be necessary to establish new channels or simplify existing ones.
- Mobilizing civil society through public education and awareness-raising - The public should learn not to pay bribes, to report corrupt incidents to the authorities, not to sell their vote etc
- Non government organisations should work in coordination with people and Government for prevention of illegal activities. They should devise and plan innovative strategies and methods against corruption. For example a non profit organisation called *Janaagraha* launched a website www.ipaidabribe.com where people are encouraged to share their encounters with corrupt officials (and honest officials) anonymously. Hence the website provides a snapshot of bribe occurrences in a city. It promises to use them to argue for improving governance systems and procedures, tightening law enforcement and regulation and thereby reduce the scope for corruption in obtaining services from the government.

- Role of social media and internet - there may be several ways in which social media and internet affect corruption. For instance, internet and social media provide a quick yet cheap means of communication. Many of us have been subject to paying bribe to government officials at some point or the other, for example, for a driver's license, passport clearance or to the traffic police. However, not all such stories can be in the newspapers. Facebook and Twitter allow us to reach a large audience who may empathise with us.
- Role of Religious institutes - People show very strict adherence to their faith and belief. Religion speaks to its adherents about right and wrong, good and bad. For most of people the first and foremost moral guide is their own religion. They try to adopt the teachings of their spiritual leaders in day to day life. Hence, involving religious institutions as a tool against corruption will be productive.
- Value education - Parents and teachers should inculcate moral values in children. Practice is more persuasive than preaching. Teacher should not only teach morals in value education period but they should inculcate values in pupils by correlating value education with various subjects and activities. Elders should set themselves as a models of good behaviour. Children should be taught to do the basic things like helping the parents in daily chores, doing home work on their own, not cheating in exams, following the rules etc

Conclusion

If we look at the ranking of India given by Transparency International in the last 5 years it varied from 76 to 81 out of 180 countries. We have the Laws, institutions, agencies in place to deal with corruption. Still we are faring badly compared to the many western countries. It shows that we still require to bring more reforms in some areas like political and judicial systems and implement the existing laws strictly. Apart from this many points discussed in social prevention like participation of NGOs, creating awareness among public, bringing value based education, using social media for exposing corruption etc will definitely help in reducing corruption in India. Once that happens then we can see an India which is prosperous and influential in the world.

Being Vigilant in Public Procurement

❖ **Sri Ankur Srivastava**
Dy.Chief Vigilance Officer/Stores

“Eternal Vigilance is the Price of Liberty”

-Thomas Paine

This year's theme for the Vigilance Awareness Week, “Vigilant India, Prosperous India” very aptly recognizes the crucial importance of vigilance in achieving national development and prosperity. As the theme clearly implies, just a unit or department acting vigilantly would not suffice. The whole nation has to become vigilant, if we are to attain this goal.

In this article, we focus on how officials related with procurement functions can be “vigilant” in their sphere of activity. First of all, we must have a clear understanding of what is meant by Vigilance. Stated simply, Vigilance implies having a good understanding of the matters that create risks of unethical activities. Particularly in case of procurements, we must know:

1. What are the kinds of unethical behaviour commonly seen in procurements.
2. What are the activities in procurement process where a risk of unethical behaviour exists.
3. What are the tell-tale signs that should raise a suspicion of unethical behaviour

The United Nations Procurement Practitioners' Handbook has a wealth of insights on matters related to ethics in procurement and can be a useful guide for procurement officials in public domain including railways. In the next sections, we present answers to the above three questions, basing primarily on the UN handbook.

What kinds of Unethical Behaviours are commonly seen in procurements

Broadly, there are four main types of risks to ethical procurements which we have to be alive to:

(a)Conflict of interest: It is possible in some situations that a person who is part of the decision-making process may stand to gain or lose in personal capacity from the outcome of the decision. Even for a well-meaning individual, there always exist the possibility of unintentional biases influencing his decision. Therefore, in such cases, it is vitally important that all procurement officials must identify any potential conflict of interest that they may have in the subject matter. Moreover, if such a conflict of interest is identified, the officer must be recused from decision making in the case, regardless of the fact that he may otherwise be very ethical. In other words, exclusion on grounds of conflict of interest should be made without any reference to the integrity or otherwise of the official.

Interestingly, while there are clear guidelines issued by CVC on declaration of no conflict of interest in Tender committees, similar provisions are not clearly spelt out at other stages of procurement like indenting, budgeting etc. It may therefore be a good idea to include such stipulations so that potential conflicts of interest can be ruled out in a more comprehensive manner.

(b) Fraud: Fraud means the intentional misrepresentation or concealment of material facts so as to induce another party to take a decision to his or her detriment. A fraud by the supplier is the most obvious example. However, we may also see a fraud perpetrated by the procuring official against his or her own employer, or even a buyer defrauding the supplier for personal gains. No doubt a vigilant organization is a pre-requisite for identifying such ethical misconducts. However, systemic interventions like better transparency, which allows a free flow of information and probity, which increases the possibility of detection of frauds can go a long way in reducing possibility of fraud.

(c) Corruption: The unethical behaviour that we are most painfully aware of, it is the giving, offering, receiving or soliciting of favours with a view to influence the decision taken by public official. The offer may be voluntary or even coercive. Identifying cases of corruption is notoriously difficult and in most cases there will only be indirect evidences that raise the suspicion of corrupt practice. Awareness of such evidences is of crucial importance and discussed separately in para 4.0 below.

(d) Collusion: Last, but not the least, there is the possibility of collusion amongst the suppliers themselves to avoid competition in the selection process. This results in cartel formation, artificially high prices and un-competitive division of markets.

What are the Areas of Activity where risk relating to ethics in procurement process exists

The UN handbook has provided an exhaustive listing of areas with potential risk of unethical conduct exists. While we may be fairly conversant with the broad areas where such possibility exists, it is nevertheless worthwhile to go through this comprehensive as a reminder for now, and a ready reckoner for later, as to where “vigilance” must be exercised. The prominent areas of risk are presented below:

Areas with risk of Unethical Conduct	Explanation and examples
Budgeting	Fraud and corruption must be paid for from somewhere. Lack of proper budgetary control, for example when all funds are not allocated to a specific purpose, can provide the necessary funds.
Sanctioning	Without regular audits and strict management controls, there are opportunities for fraudulent use of a person's own levels of authority, or of misusing someone else's.
Need Assessment	Requirements can be invented or falsified. There can be deliberate over ordering or cases of allowing inventory to dwindle so that emergency orders at a higher price will have to be processed.

Specification development	Specifications can be written to favour a specific supplier. Clarifications on specifications can be provided to one of the invitees only during the tendering process.
Evaluation criteria	Evaluation criteria can be written, or amended, after receipt of offers to favour a particular supplier.
Pre-qualification	This process can be used to limit the field of competition to give a favoured supplier an advantage.
Invitation to tender/sourcing	This process can be used to give the illusion of competition where it does not really exist by inviting tenders from companies who are known to be unsatisfactory, or by not sending out complete specifications to all tenders at the same time etc.
Offer evaluation	Fraud at this stage occurs mainly when objective evaluation criteria have not been agreed in advance. It can also occur where technical staff is able to use their specialist knowledge to mislead other members of the evaluation team.
Negotiation	Favoured suppliers can be assisted or given useful information during negotiations.
Contract award	There are opportunities for fraud by the supplier either through deliberately fraudulent acts or through buyer incompetence.
Post award changes to specifications	This allows suppliers to increase profits, particularly when awarded the contract on an attractively low offer price.
Goods receipt	Examples are: Allowing under-deliveries of goods or non-performance to specifications, or drafting false goods inward notes;
Invoice certification	Deliberate overcharging, backdating orders to allow benefit from price changes, paying twice, failing to insist on or monitor retentions.
Decentralized procurement organization	In decentralized organizations the responsibilities are delegated to a large number of people, and it is difficult for the central procurement function to exercise total control and to be aware of what is going on in the decentralized units. Although decentralisation can often improve efficiency and reduce costs, it can also increase the risks of corruption.

What acts should raise suspicion of unethical conduct in procurements

As already mentioned, in most cases of unethical conduct, it may not be possible to easily obtain direct evidence for such behaviour. It is therefore important to be sensitive to the following typical signs that should alert us to a possibility of unethical conduct.

- deviations from correct procedures
- poor record keeping

- missing files
- poor or no separation of duties (for example, the same person issues the order and approves the payment)
- poor control (for example, only one person signs a contract)
- buyer's extravagant life style
- buyer's frequent absence from the office
- excessive entertaining by suppliers
- resistance to audit
- reluctance to delegate
- excessive secrecy
- dictatorial management style
- unnecessary meetings with suppliers
- not allowing other staff to deal with certain suppliers
- established suppliers' reluctance of entering competitive tendering
- supplier cartels.

Most cases will in-fact exhibit multiple such signals and a vigilant oversight should definitely be able to identify these tell-tale signs of unethical conduct.

Conclusion

Being vigilant in procurement functions requires a heightened awareness, caution and circumspection by all procurement officials. It is hoped that the conceptual categorization detailed above would provide a framework for the readers, especially those dealing with public procurements, to reflect on their own acts and assess those of others, and thereby help them in keeping up the vigil against unethical conduct in their field of work.



"Time is money - order more clocks."

Personal Integrity and Organizational Culture

❖ **Sri C N Deevan Reddy**

Dy.Chief Vigilance Officer/Personnel

"In the end you should always do the right thing even if it's hard."

- **Nicholas Sparks**

Integrity is defined as the quality of being honest and having strong moral principles that you refuse to change. At the individual level, integrity is more than ethics; it is all about the character of the individual. It is those characteristics of an individual that are consistently considerate, compassionate, transparent, honest, and ethical. The characteristic of trust is closely associated with integrity. While the definition may seem vague, we characterize individuals with integrity as individuals that we can count on to do consistently what is "right" and what is expected of them. They are reliable and predictable in dealing with others and with issues, and they are defenders of what is fair, just, and acceptable.

Integrity is the recipe for success, as without integrity no individual can be successful. Such individuals with integrity will not twist facts for personal advantage; they are willing to stand up for and defend what is right; they will be careful to keep promises; and they can be counted on to tell the truth. Indeed integrity is the foundation of leadership in organizations and it involves a careful balance between respect and responsibility. However integrity sometimes is inferred differently by different people and set to vary based upon circumstances resulting in lasting impact on organizations.

In his discussion on individual and corporate values, James H. Quigley, Global CEO of Deloitte, once emphasized the critical role of trust in the professional success of an individual. He states: "Simply put, those who bend rules are not considered trustworthy, and without trust an individual's value is severely diminished. Without trust and confidence, markets do not function, and value is destroyed." Quigley goes on to note the critical importance of integrity and character in the workplace. Lacking trust, competencies are meaningless. Individuals who are not trustworthy will not be given opportunities or responsibilities, and they will not be wanted as team members by clients or other employees. Therefore professionals who have worked with personnel who lacked integrity talk about the inability to count on individuals to do what they have said they would do, environments where the focus has gone from clients to protecting oneself, and where leaders are unwilling to live by the values that they publicly espouse.

At the organizational level, integrity refers to the culture, policies, and leadership philosophy. A culture of integrity has to start at the top and be seen in the conduct and activities of the executives. Hence it is essential that the leadership of the organization must develop a consensus around shared values. This development of shared values improves the work environment and productivity. It strengthens personal effectiveness,

corporate loyalty, and ethical behavior. It fosters team work, corporate pride and consensus. Also organizations that have these values outperform other firms by a wide margin in terms of revenue growth and profitability.

In the present market climate across the globe individuals are searching for an employer with similar values. This match will be a key factor in one's ability to grow professionally and gain experience. Organizations with a culture of integrity can offer support to employees through colleagues and processes in place; consultation with other is seen as strength rather than a weakness, and supports a work-life balance as it reduces job stress, balances one's perspective, and contributes to job satisfaction. When individual has "trust" in his dealings with an organization it is usually because the leadership of the organization has created a culture of integrity. One believes that the relationship with the organization will be predictable, reliable, and consistent in meeting the needs and requirements.

High integrity organizations are characterized as organizations that are collaborative, constructive, innovative, transparent, with high employee morale, valued stakeholders loyalty, and strong partnerships. In contrast, the characteristics of low integrity organizations is seen in the form of high employee turnover rates, Lack of trust, honesty, transparency, broken promises, Disrespect such as officers disparaging colleagues or a category of employees, buck-passing - others are blamed for problems, unexpected financial events occurring, reluctance to put policies and procedures into written format, exaggeration of leadership accomplishments, and limited board access to information, officers, and employees.

It can be reasonably inferred that high integrity organizations can build stronger teams and create value. Also studies have shown that organizations with a culture of integrity tend to have governance systems with higher external ratings and higher quality of earnings. They tend to be good places to work, competitive in their markets, and provide higher, more predictable returns to stakeholders.

Therefore integrity is a prerequisite to personal success and for developing leadership skills. Individuals that have integrity build trust in their relations with others; they become valued as friends, colleagues, mentors, and supervisors. They are respected and counted on to do what is right. They are able to balance respect and responsibility, and they are able to share their values with others.

Similarly at the organizational level, it takes individuals of integrity to develop a consensus around shared values. They will be able to discuss these values openly as well as live the values they espouse. As this consensus builds, the organization develops a culture of integrity. This culture impacts the interpersonal relationships within the organization and creates a highly valued work environment. Employees are motivated and creative, take pride in their work, and enjoy their coworkers. This culture of integrity impacts the actions and policies of the leadership team and ultimately quality of the corporate governance system and citizen charter bringing a holistic positive change.

Preventive Vigilance to combat Corruption in Railways

❖ **B. Ramakrishnan**

Dy.Chief Vigilance Officer/Accounts

Transparency international which advocates corruption free world in the fight for the social and economic justice, peace and security publishes every year a **Corruption Perception Index (CPI)** and which ranks countries by perceived level of public sector corruption as determined by expert assessment and opinion survey. As per its latest report of 2019 it ranks 180 countries on a scale 100 (Very Clean) to “0” (Highly corrupt). India is ranked 80 with a score of 41 and it is same as China. In 2012 India was ranked 94 with 36 marks thus showing an improvement in the year 2019.

In South Asia, Bhutan is ranked 25 with 68 marks, Sri Lanka is ranked 93 with 38 marks, Nepal is ranked 113 with 34 marks, Pakistan is ranked 120 with 32 marks and Bangladesh is ranked 146 with 26 marks. Also US is ranked 23 with 69 marks. In the world, Denmark is perceived as the cleanest country with 87 marks followed by Finland, New Zealand, Sweden and Singapore. IMF study has also indicated that curbing corruption has led to increase in tax revenue and reduced waste thus improving the overall public trust in the government. A country in top 25% in terms of control of corruption collected 2.75% of GDP more than a country in the lowest 25%

Some of the steps taken by Government of India in past few years to combat corruption and improve probity and accountability inter alia include the following:

I. Systemic improvements and reforms to provide citizen friendly services like -

- a) Disbursement of welfare benefit directly to the citizen through direct benefit transfer initiative.
- b) Implementing e-Tendering in public procurement and also e-Auction.
- c) Introduction of e-Governance and simplification of procedure and systems.
- d) Introduction of government procurement through government e-Market place (GeM).
- e) Introduction of online probity portal which gives information regarding review under FR-56 J,
Cases for sanction for prosecution, implementation of rotational transfer policy etc.

II. Government has also discontinued interview in recruitment of Group “B” and Group “C” cadre etc.

Indian Railways has also adopted a package of measure to eliminate/reduce corruption and promote transparency by the concept called Preventive Vigilance. Preventive Vigilance measure can be broadly categorized as:

- a. Simplification and standardization of rules

- b. Leveraging technology
- c. Automation
- d. Business process re-engineering
- e. Transparency
- f. Accountability
- g. Control and supervision
- h. Early detection of mis-conduct

- i. Time bound and effective punitive action
- j. Providing necessary infrastructural facilities
- k. Training and awareness
- l. Conducive work environment
- m. Awareness among public
- n. Inculcating moral values

III. Vigilance Department conducts Preventive Checks as part of Preventive Vigilance and has identified many areas for scrutiny. Some Important areas of Preventive Check in Accounts & Medical Departments are as under -

Accounts Department:

- a) Ensuring no Undue delay in passing of all types of bills and strictly follow FIFO method as per extant rules and procedures.
- b) Internal check of all claims and recoveries scrupulously and protecting the financial interest of Railway.
- c) Ensuring the compliance of instructions issued by the competent authority from time to time with regard to cash transactions.
- d) Prompt raising and recovery of bills on all railway dues.
- e) Ensure that the access allowed to the authorized users of IPAS & other Computer-based applications is not misused and confidentiality of passwords is maintained.
- f) Party Masters in IPAS are sanitized periodically to prevent making payments to wrong parties.
- g) Ensure that all sanctions are clear, definite and without any ambiguity.
- h) Staff working in sensitive seat has to be rotated regularly as per extant rules.

Medical:

- a) Ensure that standards in supply of drugs are maintained.
- b) All sub-standard drugs have to be replaced promptly as per P.O conditions.
- c) Appropriate action has to be taken for efficient utilization of Drugs nearing date of expiry.
- d) Medical indents are regulated in order to ensure that inventory is efficient keeping in view the past consumption without blocking the railway finance.

- e) Railway Board's instructions issued in respect of constitution of Medical Board for ME and PME are strictly complied with.
- f) Ensure quality of food & water are maintained as per prescribed standards.
- g) Ensure scrutiny of referral bills, supply bills, diet charges and recovery towards treatment of non-railway patients scrupulously to prevent revenue leakage.
- h) Staff working in sensitive seat has to be rotated regularly as per extant rules.

To conclude, every public servant must act as a vigilance officer for achieving the objectives of vigilance in its true spirit so as to protect the financial interests of the organization which in turn will contribute to good governance and help in placing the nation on the top of the list of corruption free countries.



**Go slow on that promise that
you will wipe out corruption, Sir.
The staff is overhearing what
you are saying and there will be
trouble, Sir,**

Doubtful? Or Beyond Doubt!

❖ **Ram Babu Vavilapalli**
Sr.DOM/GNT

It is a strange world of people. Quite a big chunk of them have split personalities viz., insider and outsider. The insider is dark and secretive. He is always vigilant as to whether anybody is watching him. Being power hungry, pleasure-seeking and materialistic, he is intensely manipulative. His wish list is endless.

On the other hand, the outsider is open and visible to the public. He is adept at window-dressing with a cosmetic appearance. He behaves in the manner the public wants him to be. He acts smart and amenable to the rules of civilized conduct. No profession and no sphere of human existence is an exception to this dualism in human conduct.

We often see the leaders promising big time in elections while the real intentions of some of them are highly opaque. Many surveys indicate that the competitive populism in electoral politics ultimately throws some states into a debt trap while the propellers grow to become rich.

The entrepreneurs are no exception. Creation of false perception through prime time commercials about products and services, massive CSR campaigns with vested interests, election funding etc constitute the double persona of the corporate entities.

Government official is supposed to be the repository of public trust and institutionalized confidence. However more often we find them breaching it in practice without any stigma of infamy. Many job seekers try to present their Curriculum Vitae as rosy as possible without caring for the truth. Once they gain employment, they form part of that entity and influence its work culture. Sports persons achieve sublime glory and experience free-fall from the peak of their careers after being tested positive in dope tests.

The realm of spirituality and its preachers are supposedly the torch bearers of ethics and values in human life. But this domain also is not an exception too, and we find umpteen examples of preachers poisoning the very nectar of spirituality with impunity. Can there be a better trait of emotion about a nation than patriotism? But traitors are not less in number.

But, why do they do it?

Integrity is the single most important trait of human character. Majority perception is that it is easier said than done. Such perception is mainly based on the notion that being honest is less remunerative. Instant gratification is the strongest magnetic spell that

entices the weakness of human beings. The lure of power and pleasure of richness engulf the will of the people.

In the corridors of darkness, power of wrong overpowers the might of right. The margin between the right and the wrong is enormous in theory but very thin in practice especially for those who compromise with their conscience.

Many people consider the popular perception as a standard and hence attach no guilt to be dishonest. It is the very reason why corruption breeds more corruption. Increasing perception of acceptability of dishonesty increases the incidence of graft. It is very dangerous and eventually ensures the decay of such society on the weight of its own rotten conscience.

Is integrity a scarce trait?

As a young man, I had an occasion to meet a legislator of our area and since then started observing him closely. He is single tongued and always walked his talk. He took up the cause of public good out of his own will. No citizen of the area ever complained of any dearth of endeavor on his part in fulfilling the promises he made to the public. Also he did never succumb to the pulls and pressures of various vested interests. Over the period, the process of electoral politics has changed. He was soon out of power as he failed to suit the competitive politics. Ever since, many legislators changed but the man with single tongue only is remembered in our area. His family is always held in high esteem.

There are legions of policy makers who stuck to the oath of public service. The past is replete with innumerable examples of such people from politics and administration. Some may have attained glory in the popular media and others may have faded as unsung heroes. Surely, they all have fulfilled their life's purpose.

There are corporates which contributed their might to rebuild this nation from the darkness of colonialism. Ones like TATAs have created a separate realm of ethical conduct and behavior and evinced confidence in every generation of Indians about honest way of living.

Integrity as a way of life

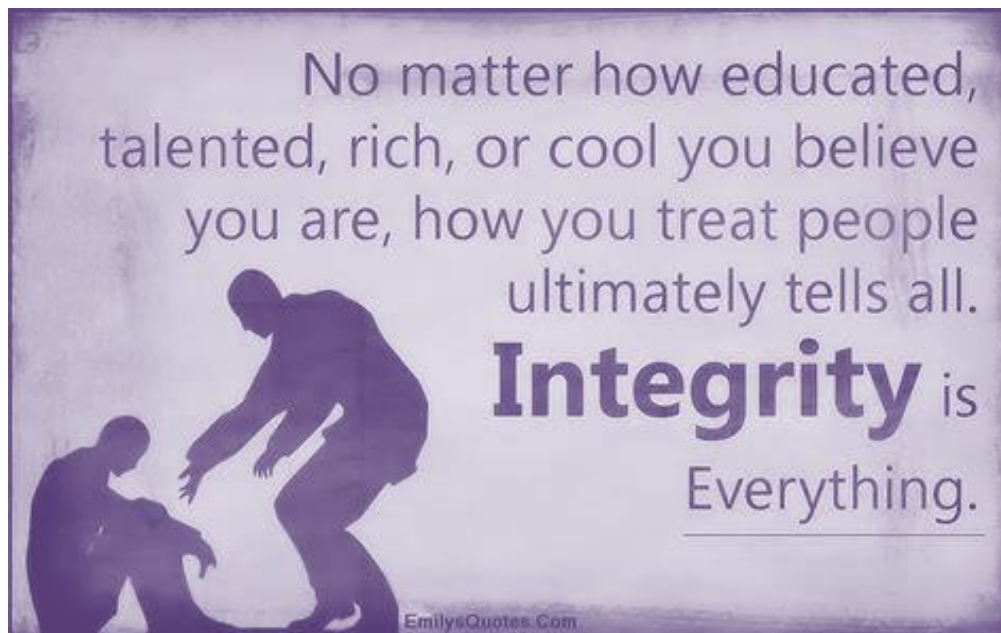
Integrity is neither a discipline to study about nor a vocational course to learn about. It is a way of life. The power of self control (*atma nigraha shakti*) is the greatest gift to mankind. It can be a panacea for all human vices if practiced in true spirit.

Self control cannot be practiced in fragments. It has to be embraced as a way of life. You want to be fit and healthy, you want to be simple, you want to respect the women and their rights, you want to be honest, and as such the wish list goes on and on. But you hardly want to practice self control on the sources that fulfill your dreams.

The control on intake of food likes including what, when and how to take such foods can keep you away from the doctor. Control on impulsive buying of materialistic things makes you peaceful and simple. Self control on sensual pleasures makes you a good human being. Control on desire for instant gratification and love for attaining the meaning of life make you divine.

There should not be any confusion between, what one is required to do and what he is doing. One should not be doubtful either how much right is right or whether righteousness changes spatially and temporally. Similarly one should not be doubtful about whether one can have a dark insider while having an aspiring bright outsider at the same time.

Integrity should be beyond doubt. It is non-negotiable.



Preventive To Participative : The Way Forward

❖ Y Srinivas

DEN/Bridges/HYD

Sustained attention a simple to construe synonym is what I call vigilance to be. A natural instinctive definition for this omnipresent in all can be seen when we: seek direction from someone in a new locality, look for best quality product with longer life and reasonable cost available in market or ensuring daily consumables to be fresh and hygienic. This instinct when professionally practised puts one on the path of vigilance.

Over the years the concept of vigilance has garnered the attention of many scholars and researchers who have toiled to conceptualize its theories. The first ever systematic study was done by Norman Macworth famously known as “**Macworth Clock Experiment**”. The Macworth clock similar to analog clock but with only seconds hand was used for vigilance performance analysis of radar operators belonging to British Air Force in World War II. The experiment was to detect the irregular jumps i.e. signals of seconds hand which otherwise moves systematically. It was observed the participant's detection rate reduced with passing time, termed as “Vigilance decrement” or simply “signal detection accuracy”

Vigilance decrement is defined as “deterioration in the ability to remain vigilant for critical signals with time, as indicated by a decline in the rate of the correct detection of signals”. This is universally agreed that vigilance decrement falls with time and mechanisms to enhance are much needed to ensure efficacy. Persistent efforts have been made by researchers to find ways to enhance vigilance decrement. Of the many available enhancement techniques the following techniques can be seen in our system, which when seen and implemented would surely beacon us to light.

- 1) Study by Donald et al 2012 “**Signal Injection Or Increased Signal Probability**”: It was observed in experimental studies, observers who got artificial identical alarm before a target signal to be observed performed better compared to observers who didn't. This proves that injection of an artificial perceptually identical to genuine targets stimulates the observer to not miss the target signal and remain vigilant.

Personal reflection, pragmatic approach and preventive vigilance: 3P Signal injection can be used for vigilance enhancement.

- a) *Personal reflection or reflection of self* is the simplest yet significant signal when perceived will pave way for perfection. Releasing the intended purposeful existence of you in the organisation and the potential difference you could make is first towards it.
- b) *A pragmatic approach* seeking advice of seniors or experienced subordinates would go a long way in taking practical and right decisions.
- c) *Preventive vigilance* : “Prevention is better than cure” a well-known profound line says it all about preventive vigilance. Otherwise misunderstood signal, preventive vigilance in true spirit educates the stakeholders and inhibits the

unwarranted actions. When perceived in this manner, vigilance as an aid to detect the target signal, preventive vigilance would evolve into being “participative vigilance”- a much superior checkmate.

- 2) **“Practice and knowledge of results”**: In an experimental study, when new observers were put on sentry duty at border, the ones who knew the importance of them protecting the border and its prominence in national security proved to be more vigilant. In similar lines when an individual is made aware of his work outcomes and its value addition to system and nation at large would better perform.

Direction in this regard can be drawn from Oil India Company which has two modules 1) *Keep In Touch*: to keep its current employees abreast with latest happenings 2) *Catch Them Young*: to train its new recruits before they enter the organisation. The vigilance awareness programmes organised by Indian Railways belong to the category of keep in touch while the catch them young part is where we need to concentrate.

A new recruit when joins the organisation, afresh with academic knowledge mostly lack practical awareness and possible ways in which things can go wrong posing an obstacle for his deliverance. The training institutes currently have no modules which educate new recruits about case studies in specific which would have longer impact. Introduction of a course in training institute curriculum with practical case studies would be the way forward in this direction.

- 3) **“Optimism Or Pessimism”**: Optimism Or Pessimism lying at extreme opposites of attitude dimension, are proven to critically affect vigilance decrement. It was seen that observers when optimistic about their work perform better, which is universally known evolution of mankind.

It should be the effort of every individual in an organisation to create a conducive environment for employee freedom and rewarding the righteous could be two simple ways of invoking optimism.

With this contemplation of enhancement techniques we may conclude that

“Optimistic about future,
with the right knowledge, practice
timely induced stimulating signals “

is the way forward in re-phrasing preventive vigilance to participative vigilance.

P.S: Vigilance control device (VCD) in train doesn't cannot to all drivers falling asleep but would avert one in million case of probable collision.

VIGILANT CITIZEN: AN IMPERATIVE OF MODERNITY

❖ **Sandeep Kumar**
Works Manager, Carriage
Workshop, Lallaguda

Indian Armed Forces, under their training structure, maintain an Honesty Barometer Room (HBR) in all platoons of Trainee Officers (Platoons are the places of communal residence for officers). Groceries are kept without any attendant in HBR. Trainees may pick up the item as per their need & drop off the corresponding amount in an open money-drawer. Nobody, I emphasize - nobody monitors or keeps a vigil on this transaction. The only Vigilance in the picture is the Cadet's ethical conduct & inner conscience. Not to say, the HBR register projects a very high reading of honesty in a person (through extrapolation of the difference between the MRPs & collected revenue. Lower the difference, Higher the Honesty)

The point is subtle. When vigilance becomes code of personal conduct of every citizen (the way it happens in platoons), the honesty rises automatically. Vigilance must be that quintessential element of Collective Common on which the whole edifice of Society should rests.

As the famous saying goes, "**Eternal Vigilance is the price of freedom.**" But Freedom from what? It is freedom from corruption, it is freedom from oppression, it is freedom from crime, it is freedom from inefficiency and ultimately freedom from irregularity. Freedom is a treasure hard- earned through constant manoeuvre & reconnaissance of neighborhoods, institutions, organizations and surroundings.

Vigilance is often misconstrued as a negative or pessimistic behaviour. While Vigilance can be aptly be characterized as **Yam** of Ashtanga Yoga against the **Niyam** of the same. Vigilance is not an academic construction of modernity; rather it is inseparable cultural construct of our Society. The opportunity cost of Vigilance is too high to be ignored.

Neighborhood-Watch schemes in certain states in The USA are a telling tale of how vigilance aids in the maintenance of law-&-order. These Neighborhood-Watch Organizations keep an eye on Speeding Vehicles, Public Nuisance Creators & various other things which when left unattended can create havoc for authorities.

Modern society is reshaping in many ways and at a pace incomprehensible to most of us. Nature of crime & criminals is evolving with every passing second. In the same spirit, architecture of vigilance has to be reshaped to meet the challenges. Exposure of Citizen to mostly unregulated Social Media & e-platforms has become a worrisome trend. Off late, cases have sprung up where misinformation & disinformation has resulted in untoward incidents. Financial Crimes are nothing new to us, but the asymmetric potential of disruption that e-platforms provide to an individual, warrants a deeper attention and introspection.

Corruption, however, still is & will be the single biggest cause of worry for our Country. Despite our effort of finding a cure for this ailment, corruption has only increased and has morphed beyond recognition and become a way of life. It's akin to a malignant tumor which is infecting every cell of this nation.

Vigilance in modern times can never be completely delegated & entrusted to institutions, but have to rely on the participation of individuals & their constant monitoring of surrounding environment. But it's easier said than done. The pertinent question at hand is that how should a country chart its modern course of Vigilance?

RTI has given power in the hands of people to question authorities but many find it too cumbersome to use. Social Media in its better avatar has filled the gap between Governors and the Governed. If used wisely, the same Social Media can become a powerful weapon against Corruption. **IEC** (information, education, communication) is the first point-of-departure. Sections of society (Children/Parents/Guardians) have to be educated & sensitized as regarding importance of Vigilance. Initiatives like Neighborhood-Watch have to be encouraged. Administrators/Officers within organizations & institutions must ensure the environment of fearless reporting.

Vigilance is a scale-dependent event. Unless the citizenry creates the bedrock of Vigilance, no administration can fill the humongous gap from the top. Absence of Vigilance has done us enough damage to further it even a day. Vigilance is a preventive therapy & Prevention is better than cure. Together we can create the utopian high-scoring Honesty Barometer Societies right there in our Surroundings.



STOP CORRUPTION

A STITCH IN TIME SAVES NINE LIVES

❖ **B.Phani Vinayak Rao**

CVI/Accounts

Indian population currently is 1,383,271,092(17.7%) of the total world population. In 2012, around 170 million people (12.4%) of India's population lived in poverty. According to Global MPI 2020, India is ranked 62nd among 107 countries (with MPI score of 0.123 and 27.91% headcount ratio) based on the National Family Health Survey 4 (2015/16) data measuring each year, the complexities of poor people's lives, individually and collectively using key dimensions - health, education, and standard of living to determine the incidence and intensity of poverty experienced by a population. MPI identifies how people are being left behind across three key dimensions comprising indicators - Nutrition, Child mortality, Years of schooling, School attendance, Cooking Fuel, Sanitation, Drinking water, Electricity, Housing, Assets. People who experience deprivation in a minimum of 1/3rd of those weighted indicators fall under the category of poor multi-dimensionally.

This being an onerous task to bring India on the path of growth, development, prosperity and to realise the true potential as a country.

The major impediment being Corruption, as India is ranked 80/180 in corruption perception index 2019 (Transparency International Org).

Corruption affects the development of a nation, reducing the Government's income thereby creating inequalities in distribution of income and wealth. Awareness among public if generated about evil of corruption would prevent leakage of revenue, build trust and further development. Corruption needs to be treated like a disease as it permeates all activities, sections of a society and prevention is better than cure.

Preventive vigilance comes into play before any act of corruption takes place. The system itself, through internal checks and balances, can ensure that acts of corruption do not take place. It is important to create awareness among Government Departments, Institutions and general public to implement preventive measures effectively, so that transparency and accountability can be maintained in governance and corruption eliminated at each microscopic level.

Public awareness which is being disseminated through traditional media channels and programmes can also explore newer avenues like Private Radio channels, Mobile Applications which are easily accessible to the technology savvy youth of this country making up 34.33% share of the total population of India. Youth are the most important and dynamic segment of the population in any country and is believed that developing countries having large population of youth, could see tremendous growth, provided they invest in young people's education, health while also protecting and guarantying their rights. The youth are the harbingers of Change as with their young minds would bring in fresh and innovative ideas including leadership,

innovations, skills for the future development of a country. Therefore, it is imperative that future of the country lies in the steps taken in the present, thereby harnessing the true Potential and bringing Prosperity to the Nation.



Greed- Cause for all Tribulations

❖ **Vanitha S Kumar**
CVI/Personnel

These recent times of pandemic has acted as an eye-opener for many in realising the gluttony of the greediest species that has walked this planet. But still there are the majority in this genus that are yet to reach the state of comprehension owing to their indifference towards other species around.

The greed of the human race can be gauged by the amount of devastation that is being caused in fulfilling its perpetual desires with no concern towards the fellow beings or the other species that also have equal rights on the resources of this planet. If, for a moment, we assume that the whole of this tyrannical species is wiped off the face of this planet, then what would happen? The planet would flourish there will be no pollution of any kind, so as to say, all the flora will be thriving to be in its best form and the fauna will be free to move around in total freedom and experience the independence which they were deprived of.

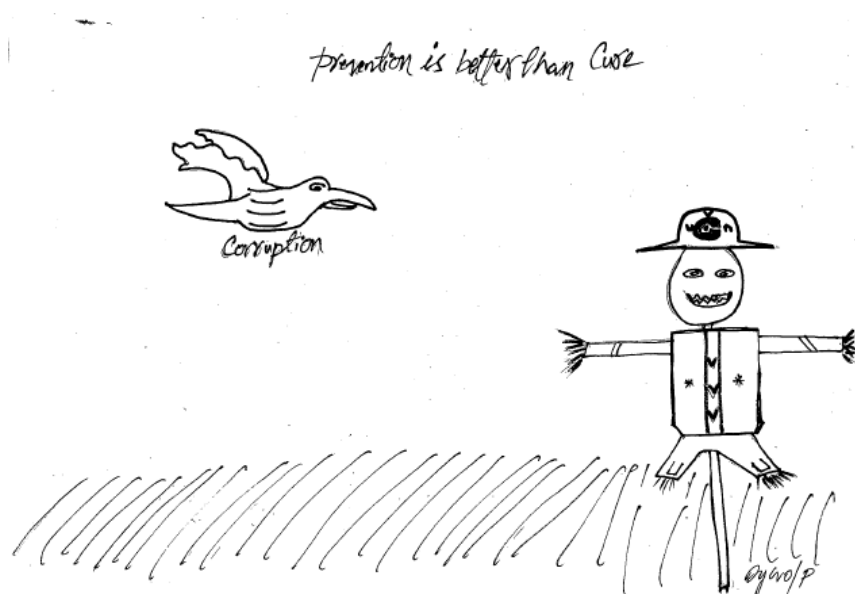
Talking of greed, it will not be out of place to reminisce the short story by Leo Tolstoy "How Much Land Does a Man Require?" on a man who, in his greed for acquiring land, loses everything, including his own life.

Although the short story was written in the year 1886, it is relevant even today. So the story goes as follows - A peasant, who is the central character of the story thinks that if he had plenty of land, he shouldn't fear the devil, which the devil takes as a challenge. The devil decides that he would give the peasant lots of land and then take everything away from him. So the devil gives him many opportunities to acquire fertile lands and the peasant unaware of the plot goes on amassing land. Ultimately, after buying and selling a lot of fertile and good land, he comes in contact with an ethnic group who own huge land. The deal that they offers was that for a sum of one thousand roubles, one can walk around as large an area as one can, starting at daybreak, marking the way. If only one returns to the starting point by sunset, all the land the route encloses will be his, but if one does not reach the starting point, he will lose the thousand roubles and gets no land too. The greedy peasant starts at daybreak and stays out as late as possible, marking out land until just before the sun sets. Toward the end, he realizes he is far from away the starting point and runs back as fast as he can and arrives at the starting point just as the sun sets, but exhausted from the run, drops down dead. The question in the title of the short story finds its answer by the fact that the peasant who in his greed to amass large piece of land drop dead of exhaustion and is buried in a mere six feet long grave.

The above moral which is as obvious as the rising of the sun, is being missed out by many of us, and has become the root cause of many vices including the one which we combat day in and day out- Corruption. If , we human beings wake up to this enlightenment and differentiate between need and greed then the days ahead that dawns will be towards a better world in which all the living beings co-exist in harmony.

This is not an unattainable feat, it is just that we need to realise that we are just a mere part of this whole cosmos. The moment we realise this then we become inclusive. To be more specific, when we know that the trees around us inhale what we exhale and the vice versa, we see the leaves as part of our lungs out there and we are no longer perceived as separate entity. When we take in this concept then no one needs to preach us not to cut trees. I was taught that if we want to grow flowers or fruits it cannot be done by merely chanting flowers or fruits but by working hard in mud and water while sowing seeds. The end result will be flowers and fruits. Similarly we cannot eradicate the vices especially corruption by preaching but by making our fellow beings to understand the nature of their very existence. Just grasp the truth that no one specie in this whole creation is a separate entity but a part of the entire cosmos. When we realise this then it will be clear that corruption also is one of those evils that is self-destructive.

Take inspiration from the farmers who share their best seeds with their neighbours. They know that wind always spreads the pollens and the wind pollinates their fields to makes the seeds grow. To make sure that their crop is good they have to make sure that the pollens from their neighbour's fields are also as good as theirs, if not better. This is the secret of life.



Virus of Corruption:Vigilance Cure

❖ R. Laxminarayana
CVI/Accounts

What is Vigilance:

The word '*vigilance*' means alertness, watchfulness or circumspection. Preventive vigilance signifies continuous watchfulness to prevent happening of any untoward incidents with adverse financial implications on the organization.

Why Vigilance:

The vision of vigilance is to attain high levels of system integrity by creating awareness, developing commitment and probity at all levels. The vision is also to inculcate a sense of alertness, awareness, and widespread compliance with systems and procedures in the daily functions of the organization right up to the grassroots level by acting as a catalyst to eliminate system weaknesses. In this process it is important to initiate necessary steps to educate the stake holders of the organization about the need of practicing vigilance so as to safeguard their confidence and commitment. Also it is important to adopt necessary practices to generate a passion to achieve the highest ethical and professional standards, upholding the integrity and dignity of the organization.

Classification of Vigilance: Vigilance is both preventive vigilance and punitive vigilance. Preventive vigilance is the stage one vigilance. Where preventive vigilance fails, the second stage punitive vigilance will enter.

The approach of vigilance is based on an age old saying of "Prevention is better than Cure". Preventive vigilance is a continuous process of spanning the entire life of the organization rather than one time exercise to enhance the sense of values and ethics among the individuals by reducing the chances of frauds and malfeasance with a goal to reach a situation like Zero non-compliance and Zero frauds. This is achieved through taking proactive measures with in time such as creating a sense of belongingness, inculcating an ingrained habit of alertness among employees, bringing in the best practices and procedures in to play within the organization and promoting system integrity and transparency.

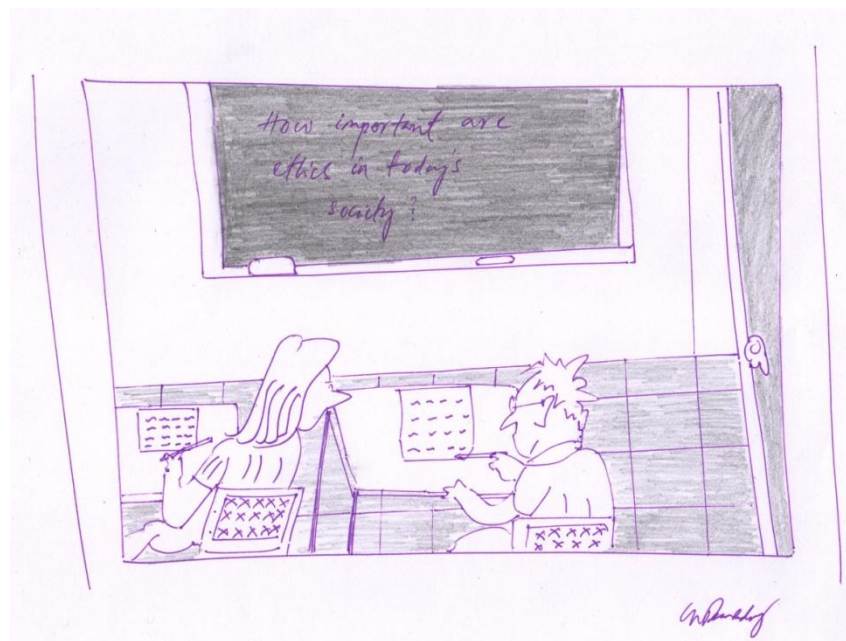
In these present days, we find almost all organizations (particularly governmental organizations) are effected with a virus of frauds and corruption which are infecting not only financial health but also structural health of the organizations. If this virus is not detected and cured in time, it will push the entire organization on to the ventilators and we know very well what will happen next. Therefore there must be some tool to detect

and cure the virus to protect the organization from going onto the ventilators, and that tool is “Vigilance”.

“Preventive Vigilance” is the immunity tool to fight against the virus of frauds and corruption and prevent from spreading further. The formula the Preventive vigilance adopts to keep away from this virus is to follow the SOP of honesty, Integrity, sincerity, accountability and transparency.

“Punitive Vigilance” is a curing tool which is a bitter pill to a patient infected with fraud and corruption. If the pill is not administered to the virus infected patient of fraud and corruption in time, the virus will multiply amongst the patients. The level of infection of this virus is of low, moderate and acute. Mild to serious treatment like counseling, minor penalizing and major penalizing in accordance with the level of infection of corruption is given. Similarly, the vaccination of inculcating good ethics and moral values will be effective in arresting the menace of corruption virus.

This virus has already become epidemic. Active participation of every citizen and every public servant in vigilance is the need of the hour and also the fight against this epidemic to safeguard the financial health of all organizations that are funded from public money.



Building Public Perception on Indian Railways

❖ V Yagneswaran
CVI/Traffic

Indian Railways is “the lifeline of the nation”. Daily around 25 Million passengers travel by trains. In the public eyes are we delivering the goods and services without any grouse and glitches?.

In order to improve transparency and to provide quality service, Indian Railways by leveraging technology has brought significant changes in its business model. Finally, what matters the most is the man behind the machine. It is the frontline staff who shoulders the responsibility in deliverance of services. They serve as the good will ambassadors of the Indian Railways. They play a significant role in improving the public perception and can take it to new heights of transparent, noteworthiness and quality of deliverance of services.

Probity and integrity in public life are the pillar stones on which the organization has to be built. Any erosion of this pillar leads to the crumbling of the organization. India is a populous country coupled with poverty and illiteracy. It's the poor who suffer the most in availing the services. It should be the earnest endeavor of all government servants to ensure that the last person also receives his due share in the same spirit and tempo as others have received. The cardinal principle for building public perception is by following ethical standards and positive attitude.

ETHICAL STANDARDS: Ethical standards are an important part of an organization's culture. They establish the parameters of behavior by the employees with the public as well as within the organization. Ethical standards can be followed through behavior modeling and also by adopting the following aspects in our decision making process.

- 1) **Integrity:** Every employee must avoid placing themselves under any obligation to people or organisations which might inappropriately influence them in their work. They should **not** act or take decisions in order to gain financially or other material benefits for themselves, their family, or their friends.
- 2) **Objectivity:** Every employee must act and take decisions impartially, fairly and on merit and without discrimination or bias. Information should not be withheld from the public unless there are clear and lawful reasons for doing so.
- 3) **Accountability:** Every employee must follow the business rules and procedures meticulously and scrupulously. They are accountable for their decisions and actions and must submit themselves to public scrutiny.
- 4) **Leadership:** Every employee should promote and robustly support openness and be willing to challenge poor behaviour wherever it occurs.

BUILD POSITIVE ATTITUDE: A positive attitude makes us happier and more resilient. Also it improves our relationships, and it even increases our chances of success in any endeavor. The following helps us building a positive attitude in our daily life.

1. **Smile and be happy:** Smiling will give you an instantaneous attitude boost. Instead of waiting for external things to make you happy, be happy and make others happy.
2. **Accept responsibilities:** Responsibility is a skill. Choose your own behavior, actions and words. At any moment your behavior can be that of a victim or of a creator. Hence shifting from victim-mode to creator-mode is to take responsibility.
3. **Focus On the Good.** In order to have a positive attitude, focus on the good. Focus on the good in yourself, the good in your life, and the good in others.
4. **Learn from mistakes:** No one is perfect. Everyone experiences failure in multiple contexts, at multiple jobs and with multiple people. Instead of focusing on failure, think about what you're going to do next time. Learn to turn your failure into a lesson.
5. **Limit Your Complaints:** When we complain we are saying negative things about a person, place, or event. Constantly complaining leads to a bad attitude. So stop complaining and start looking for solutions or accept what cannot be changed.
6. **Pursue a hobby (Singing, Juggling Yoga etc ;):** Hobbies are leisure activities. Having hobbies will keep our brain engaged and can be a creativity outlet. Hence pursuing a hobby can free us from social isolation, keeps our body exercised, reduces stress and brings positivity in our life.

In any service sector deficiencies do creep in due to various reasons which are manmade or be Act of God. Rail users do accept certain failures, but what they expect is the timely course correction, and above all a transparent and quality service. Thus it is the collective efforts of the employees to improve public perception on Indian Railways, where public can avail services with ease and share the joy and experience of seamless services.

Case Studies

Accounts

Case Study – 1

In the investigation of a complaint for non-payment of supplier bill the following irregularities are observed.

- The Bill Drawing office has selected a wrong bank account other than which is furnished by the agency in its bill while forwarding the bill to accounts in IPAS.
- In accounts office Internal Check, Bank Account Number of the beneficiary was not verified with Bank Account Number furnished on the Bill/invoice by the agency. The Wrong Bank Account Number forwarded by the executive in IPAS was simply carried forward as result Payment was made to wrong Bank Account Number pertaining to other agency.
- In IPAS Bill forwarding module of Bill Drawing Office, only one level of check is provided. Only Bill Clerk alone is able to forward the bill to account without any counter check by OS and bill signing officer unlike in accounts where there are three levels of Clerk, Sr. Section Officer and Accounts Officer.
- In IPAS, More than one party master was created in the name of one agency with same Bank Account Number and with different bank account numbers.

Accounts was advised for:

- Sanitization of Party Masters to eliminate such multiple Party Masters.
- To advise CRIS for improvement in IPAS Module so that selection of Beneficiary Account (by bill drawing office) should be on **Bank Account Number** furnished in the Bill/Invoice instead of **only on Party Name**.

Case Study – 2

In a preventive check conducted on thrust area “Memorandum of Differences” the following irregularities are observed:

- On Sanction Memorandum, the name and designation of the signatory was not appended below the signature which will give scope for fraudulent Memorandums by the unauthorized official.
- The revised rates of House Rent [Railway Board letter No.F(X)I-2002/11/2 dated 11.03.2019] are not implemented in most of the Divisions resulting into short recovery of House Rent.
- Test Checks should be done by Supervisory Staff and Accounts Officers scrupulously as per codal provisions and instructions issued by Railway Board from time to time. In most of accounting units Test Check Registers are not maintained.

Divisions and units have been advised to:

- Strengthening the internal check
- Review and recover the revised House Rent.
- So far Rs.32,68,071/- have been recovered as arrears of revised house rent.

Case Study – 3

In Preventive check conducted checks on thrust area of MOD from the data base of IPAS, it is observed that employees were allowed to draw leave encashment for more than one time in a leave encashment **Block Period** of 2016 to 2018 and 2018 to 2020 in contravention to Railway Board letters No.F(E)III/2008/LE-1/1 dated 02.02.2011, LetterNo.RBE No.141/2014 dated 15.12.2014 and No.RBE No.48/2017 dated 16.05.2017 which resulted in overpayment to the tune of **Rs. 31,74,025/-** in 167 cases. Further in 93 cases amounting to **Rs.18,80,485/-** the claims are doubtful and which requires clarification to establish as double payment.

All Divisions and units were advised to review and recover the overpayments.

Electrical

Case Study -1

Claim of running allowances for performing non-running duties by non- drafted running staff:- During few of the preventive checks conducted in Crew Lobbies over SCR, it was observed that non-drafted running staff performing the stationary duties in their HQ, such as stationary posts in crew lobby, TLC & offices, attending RC/G&SR & PME etc., were claiming the running allowances at the rate of 120 km/day against 30% of the basic pay applicable for the day as per para 907 of IREM Vol.I Chapter-9. As per the RB Ltr. No.E.(P&A)/II-83/RS/10, dated.21.9.98, the drivers drafted to perform stationary duties e.g:- power controllers/crew controllers are eligible for allowances of 120 km/day. Based on the vigilance advice, CEE/Plg & Operations has issued letter vide no.TP.115/Misc, dtd.03.08.2020 to follow strictly the Para 907 of IREM Vol-I Chapter IX, with regard to payment of running allowances for non-drafted running staff, working in stationary posts/duties.

Case Study -2

Quality check on mast foundations in OHE works:- During a check conducted on the work of OHE mast foundation, it was observed that Cube testing of all the batches of concrete of mast foundation, were not carried out. As per the IS:456-2000 specification, at least one sample shall be taken from each shift in order to ensure that all the batches of concrete are tested. Other irregularities were also observed with respect to poor maintenance of DPRs of foundations like - not signing all original copies of DPR, DPRs without date & signature of Railway supervisors, maintaining manual DPR no., etc. Further, finishing/shape/muffing of few of the foundations were found poor. On advice of the vigilance, deficiencies got rectified, duly penalising the agency and concerned in-charge supervisor was taken up under DAR for the lapses. Instruction issued by the executive to ensure to take at least one sample from each shift of concrete batch as per IS:456-2000 (Para 15.2.2).

Case Study -3

Unrealistic estimation of quantities:- During the preventive check conducted on contract works of mobile charging points in coaches, it is observed that three tenders of the subject work were awarded for total 17650 nos.of mobile charging points during the period from 2016 to 2018 by one of the unit, based on the requirement of two divisions and a workshop. However, while executing the work, it was observed that against estimated quantity of 17650 nos.of mobile charging points in all 3 contracts of the subject work, only 7927 nos. (44.91%) of the mobile charging points were provided, resulted likely saving of 55.09% and further no coaches were leftover to execute the work. It was observed that estimates for the subject works were prepared by the three units without mentioning and maintaining the details of coaches where work has to be executed. Tenders were also called without working out the coach wise requirement and without taking into account the provisions available in on-going running contract.

Based on this, it was advised that the details of locations should be mentioned while preparing the detailed estimate. Further, where more than one division/unit are involved in preparation of the estimate/ calling the tender, HQ or any one of the unit should be nominated for overall coordination and to maintain all the relevant data/details, to avoid duplication in estimate/ tenders and hence to avoid infructuous expenditure.

Mechanical

Case Study -1

Pending Warranty Claims in Wagon Depots:- During Preventive Check conducted on pending warranty claims in one of the wagon Depots in a division, it was found that the warranty claims of the various items e.g:- EM pads, PU pads, CC pads, Coupler body and Knuckles etc., were pending for last many years including pending claims of year 2009. On further details, it was observed that many correspondences were made by the executives with the concerned firms, but many firms were not responding. Total pending claims of the pending items worked out to Rs.63 Lakhs (apprx). After Vigilance check, Rs.6 Lakhs has been realised and Rs.57 Lakhs (approx) yet to be realized. In a similar check in another wagon depot, pending warranty claims to the tune of Rs.29 Lakhs (apprx) were worked out. Though executives are corresponding with the respective firms periodically, a proper system is not there to follow up the pending cases. Executive advised to effect recoveries against these pending claims as per the RB letter no.2000/RS (G)/379/2, dtd.07.08.2015 followed by the RB letter no.2000/RS (G)/379/2, dtd.18.01.2018.

Case Study -2

Logical conclusion of a contract:- Preventive Check was conducted on a closed file of a contract work of Distribution of linen bed rolls in nominated trains, to check whether the contract was concluded logically or not. As the number of staff to be deployed is between 10 to 20 nos., the contractor had to pay ESI contribution to the contract labor. Contractor had also to ensure the payment of minimum wages to contract staff as per the Minimum wages prescribed. It was, however, observed that contractor did not make ESI contribution for the contract staff, instead contractor has taken a group insurance policy for Rs.2974/- on behalf of contract staff and was submitting along with subsequent bills. Also, payment of the wages was paid less compare to the specified minimum wages.

On vigilance advice, an amount of Rs.1,30,432/- against ESI and amount of Rs.48,459/- against difference in wages deducted from the contractor's bills of the other ongoing contracts. DAR action was taken against the concerned bill passing official for not ensuring mandatory conditions with advice to counsel concerned SSEs.

Case Study -3

Irregularities in execution of station cleaning contract work:- During preventive checks conducted in a station cleaning contract work at one of the stations, various irregularities were observed for not deploying the cleaning machines as per the contract, not deploying the qualified staff as per the contract, non-availability of the specified chemicals, not supplying the TABs for online feedback, shortfalls in tools & implements, not maintaining the prescribed record etc. On advice of the vigilance, penalty of Rs.1,15,700/- was deducted from the contractor's bills and Recoded Warning recommended to the in-charge supervisors.

S&T

Case Study -1

Irregularity in changing the inspection authority from RDSO/RITES to Consignee:- During the preventive check conducted on a tender scrutiny in one of the unit, it is found that as per tender document uploaded in IREPS, Inspection authority for supply of few of the items was published as RDSO/RITES, but in contract agreement, the inspection authority was changed to Consignee. Executive replied that while preparing the tender document, the inspection clause was erroneously mentioned. Executive was advised to deduct 1% inspection against all these items. It is advised to ensure the approval of competent authority and to ensure the deduction of inspection charge, whenever the inspection authority needs to be changed from RDSO/RITES to consignee for any of the reason. Proper system should put in place duly counselling the concerned staff in this regard.

Case Study -2

Irregularity in execution and processing the bills in AMC contract:- During the vigilance check conducted on execution of AMC of S&T items in one of the divisions, it was observed that as per LOA of the AMC, recording of MB was to be done by respective field Supervisors & officers. It was, however, observed that field SSEs were only certifying the invoice copies and based on which the bills were being processed by Divisional Authorities, without recording the measurements as a part of systematic deficiency. It is, therefore, advised that (a) MB should be recorded for all the contract works including AMCs. (b) MB should be recorded by the nominated supervisors and officers in the LOAs/contracts (c) Concerned OS, while processing the bill, should also verify the recording of measurement by respective officials, as per the nomination in LOAs/contracts.

Other lapses were also observed e.g., not maintaining the log book for failures as per the contract and for not imposing penalty for delay in restoration of a failure beyond stipulated period as per the contract. All concerned officials were recommended to issue with “recorded warning” with advice to impose the penalty under intimation to the vigilance.

Case Study -3

Irregularity in inspection of the material by consignee:- During the vigilance check conducted in one of the store unit, it was found that against the schedule supply of switch board cable of 0.6mm dia, the agency has supplied the switch board cable 0.5 mm dia. The consignee has accepted the material based on the delivery challans, without physically verifying the size of the cable. “Recorded Warning” issued to the stores in charge for the lapses and Cable got replaced by

the agency. Physical verification of items such as size, weight etc., should be verified before accepting the material.

Case Study -4

System improvement on supply and installation of exothermic weld materials in contract works:- During few of the vigilance checks conducted in supply and installation of exothermic weld material for the track circuit applications, deficiencies were observed with respect to

- (a) delay in installation of the material, (b) material supplied and installed at site without store accountal, and (c) non-availability of working instructions / training manuals, laboratory test report etc. **Based on the vigilance advice, system improvement has been issued by PCSTE/SC** duly covering (a) Inspection of exothermic weld materials by RDSO/RITES irrespective of the value of material,
- (b) ordering the material when site is ready for installation for the optimal result,
- (c) accounted in store and thereafter issuing for installation at site,
- (d) submitting jointly signed statement by SSE in-charge and contractor agency, indicating number of bonds utilized station/location-wise (IBS, LC etc) & track circuits wise along with MB & bill copy, (e) to ensure all conditions as stipulated under Spec. IRS:S-103/2004 for welding material for track circuit applications.**(PCSTE/SC letter No.SCR-HQOSNT(TEND)/9/2019 (E- 22648) dtd.22.7.2020).**

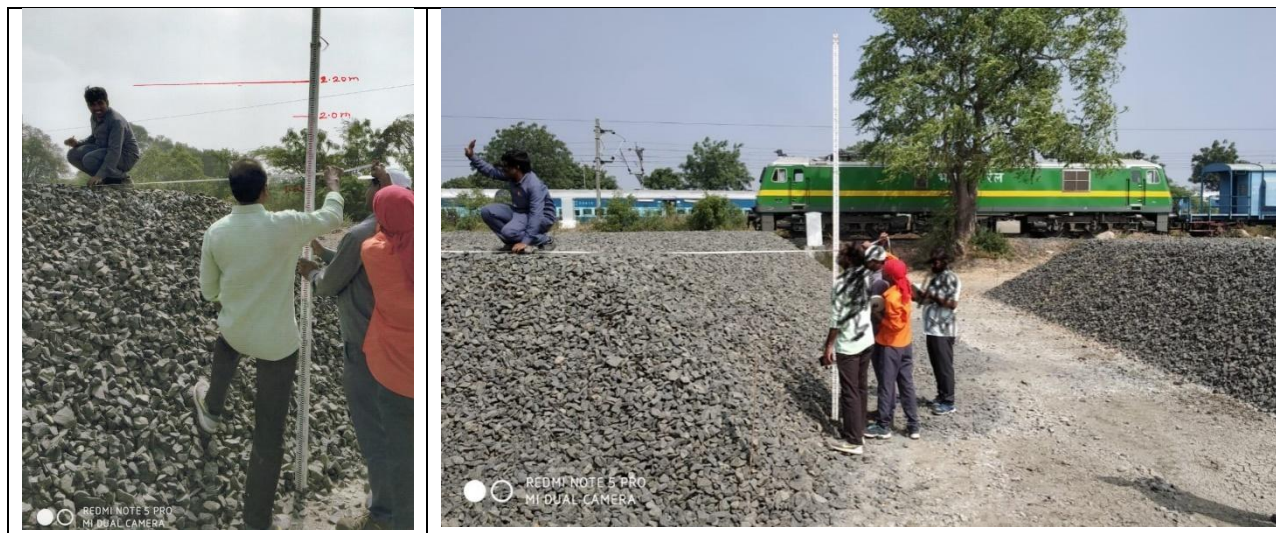
Engineering

Case Study -1

During a preventive check in one of the Ballast depot it is observed over the supply of ballast and stacking 50mm gauge hard and durable machine crushed stone ballast that the measurements were recorded by SSE/P.Way for CC-1 to 9 & CC-11 and the same was test checked 100% by ADEN. The measurements towards CC-10 bill were taken by ADEN. The initial and final levels for the ballast stacks in the zone were taken and signed by MB recording official, ADEN in respective level book pages along with Agency's representative. And during vigilance check it is found that there is a large variation in measurements recorded for four (04) out of six ballast stacks in the MB to the measurements of ballast stacks actually available at Site during the day of joint vigilance check. Immediately vigilance advised concerned Sr.DEN to cross check the measurements recorded by ADEN and further during the Sr.DEN's check also it is found that the measurements recorded in MB by ADEN are substantially excess than the measurements available at Site, and the measurements checked by Vigilance and Sr.DEN measurements are almost tallying, establishing about 35% excess quantity recorded in MB than the quantity available at ground and paid **inflated measurements for the four stacks to the tune of 2322.073 Cum amounting to Rs.21,87,718/-** (Rupees Twenty one lakh Eighty seven thousand Seven hundred and eighteen only).

As per engineering **code Para no.1321**, "*all payments for work or supplies are based on the quantities recorded in the measurement books, it is incumbent on the person taking the measurements to record the quantities clearly and accurately*".

During further scrutiny it is found that the MB recording Official has recorded the Ballast stack height upto 2.20mts as against available 1.5 to 1.6mts, failing to adhere to the guidelines of the Ballast specifications IRS-GE-1 issued by RDSO, vide Para no.4.1, where in the height of the ballast stack **shall not be more than 2.0m**. The concerned SSE/Drg also did not raise during technical check and allowed to pass the bill.



It is further found that Sr.DEN being a next higher officer to MB recording officer(ADEN) has not conducted mandatory test check towards CC-10 measurements as per RB's ltr. no.92/CE.J/CT/48, Dt.27/10/92 that measurements recorded by an authority should invariably be test-checked by the next higher authority, further the Sr.DEN has failed to conduct prescribed test checks during the execution of agreement for four consecutive bills including the CC-10& 11, violating PCE/SC guidelines dated 20/3/2018 which stipulates every alternate bill to be test checked by Sr.DEN. Vigilance cases registered against concerned officials.

CASE STUDY -2

During one of the CVC referred complaint investigation it is revealed that E-Tenders for the subject work was called under TWO packet system for an estimated cost of **Rs.17,37,10,079/-**. It is observed that 04 offers were received.

It is observed that TWO of the offerers have withdrawn their offer just one day before TC meeting stating some unconvincing reasons.

The First packet was evaluated by JAG TC and from the TCP it is observed that the TC members have taken cognizance of withdrawn letters and opined that since the TWO offerers have resiled from the offer, their offers are not evaluated.

It is observed from the TCP dt 12/2/2018 (signed by members on 19.2.18 & 21.2.18) that TC opined that the technical Bid submitted by the TWO offerers Firm- C and Firm -D are found suitable as per the Eligibility criteria prescribed for the subject tender (Both technical and financial) and recommends to accept the techno commercial bid (Packet -I) and to open the Packet -II (Financial Bid) of the TWO tenderers.

It is observed that Packet -II of the subject tender opened and following are the quoted value of the TWO tenderers.

Offer position	Name of the Offerer	Estimated value	Quoted value
L-1	Firm -C	Rs.17,37,10,079/-	Rs.23,92,33,561/-
L-2	Firm-D		Rs.24,65,26,254/-

Further evaluation of subject tender has been done by SA grade Tender committee since the value of quoted rate in the opened tenders is more than 20 Crores.

The SAG TC after one round of negotiations recommended to award the tender to Firm-C for a value of **Rs. 23,74,61,209/-** with a restriction in rates for future comparison and TC recommendations were accepted by TAA (in HAG).

As cases of withdrawal of tender offer may happen due to promise, inducement, threat, collusion, malpractices etc and in order to ensure finalization of tender in a fair, transparent and equitable manner the tender committee should have established that the withdrawn tenderers are not the lowest offerers by opening all the tenderer's bids i.e., both packets and then decided the fate of the tender to prevent the cartel formation.

In the present case, it is revealed during vigilance scrutiny that all the four bids received are valid, and out of which 02 offerers have withdrawn before finalisation of tender. JAG TC have abruptly given cognizance to the withdrawal offers and left those two offers without evaluation leaving the credentials which decides the eligibility of the offerand recommended to open the other TWO offers only during technical evaluation itself. Owing to this act of TC, the tender was awarded to **FIRM-C** at higher rates by the subsequent higher level, SAG Tender Committee.

Further investigation was carried out in the aspect of withdrawal of offers in consultation with RB vigilance and CRIS. In this regard, all the four offers (Two packets) submitted by the tenderers in the subject tender are opened in consultation with CRIS reveals that withdrawn tenderers i.e., **FIRM-A and FIRM-B are the L-1 & L-2 respectively** for which evaluation has not been done by the JAG TC and recommended for evaluation of only the other two tenderers i.e., L-3, Firm-C & L-4, Firm-D and the SAG TC carried forward the irregularity without dealing the tender de novo. Here, the irregularity is clearly established on the part of entire TC members and TAA in evaluation of the subject tender.

Following are the financial bids of the participated tenderers:

S.No	Name of the tenderer	Quoted value in Rs.	Position of the tenderer
1	FIRM-A	22,04,26,682.23	L-1
2	FIRM-B	23,62,35,086.45	L-2
3	FIRM-C	23,92,33,561.62	L-3
4	FIRM-D	24,65,26,284.85	L-4

After opening of the financial bid, it is evident that the offer FIRM-A (withdrawn offerer) is the lowest offerer with a value of Rs.22,04,26,682.27/-, whereas the subject tender was awarded in favour of FIRM-C, who stood as L-3 for a value of Rs.23,74,61,209.70/- thereby a huge difference amounting to Rs.1,70,34,500/- (One Crore Seventy Lakhs Thirty Four Thousand Five Hundred) is found and otherwise L-3 has been made L-1 due to incorrect decision by all the TC members and respective TAAs. As the L-1 has withdrawn the offer, the tender should have been discharged and gone for retendering as per CVC guidelines, avoiding cartel formation.

In terms of the CVC letter No.98/ORD/1, dt.24-8-2000 with regard to withdrawal of offer by the lowest tenderer, “if L-1 party backs out, there should be retendering in a transparent and fair manner”.

From the above, it is quite evident that cartel formation has taken place among the bidders of the subject tender and the TC members have knowingly evaluated the tender leaving the TWO technically eligible offers in the pretext of non availability of guidelines leaving the spirit of understanding of CVC guidelines under subject issue against the interest of railway administration is the irregularity committed by the respective TC members and TAAs.

Further as per RB guidelines the tender was not evaluated de novo by the SAG TC members vide letter no.72/W1/CT/12(P) dated.11/12/1981 over the subject of dealing of tenders by Higher level tender committee, which clearly mentions that, *“the higher level tender committee must deal with the case as one entity and not piece-meal, so that the tender case as a whole may be examined de novo”*

Thus, it is established that all the tender committee members and respective TAAs have failed by considering **ineligible tenderer against CVC guidelines and RB guidelines.**

DAR action of Major penalty is proposed by CVC in its first stage advice against all the officials of the TC who dealt the subject tender.

Personnel

Case Study -1

Compassionate Ground Appointment:

On source information that CGA in favour of an employee who was working in one of the workshops of SCR was manipulated a detailed investigation was done and following facts came to the fore front-

- i) An employee while working in the Stores department in a workshop of South Central Railway has expired on 16.11.2017, while his wife predeceased on 14.04.2017. His younger son was already appointed in the same workshop on 26.05.2011 against Act Apprentice quota and regularised as Helper-II and was presently working as Tech-I. As per Service Record and SSC certificate his D.O.B is 12.07.1990.
- ii) The elder son of deceased employee has submitted an application for CGA directly to ChS&WI. His case was processed for settlement and WI report was submitted to confidential section for processing of CGA.
- iii) Confidential section put up the case with in a day for CG appointment and with the approval of competent authority and due process he was appointed as Tech-III in the same workshop on 26.04.2018
- iv) It is observed that Aadhar cards of all family members and other related documents were submitted to ChS&WI to process the settlement the date of birth of the candidate (elder brother) is recorded as 1990 and that of younger brother also as 1990. Also as per SSC certificates date of birth of elder brother is 04.04.1990 and younger brother is 12.07.1990. The age gap between the brothers is 3months 08 days only, which is not possible. It was also observed that CG applicants (elder son) name is neither available in Medical card, ID card of deceased employee nor in the latest family declaration dated 27.01.2009 which was submitted by the ex-employee though he was below 21 years at that time.
- v) It appeared that while processing for CGA the ChS&WI deliberately ignored the latest family declaration dated. 27.01.2009 submitted by the deceased employee, wherein elder son name was not available though he was below 21 years of age. On subsequent investigation by vigilance, it was found that the reason for not including his elder son in 2009 family declaration by the late employee is that his age was beyond 21 years, as, as per his actual date of birth i.e 04.04.1987(21 yes 09 months 03 days).

- vi) ChS&WI processed the CG case based on the Xerox copy of family declaration dated. 04.01.2002, i.e 15 years back despite a recent copy of family declaration being available. Also corrections were made with white fluid or other means on the Xerox copy of family declaration dated 04.01.2002. It was clearly looking that the year of birth of younger brother was “90” in which the “0” was overwritten as “1” and made it to look as 91.This was done with an intention to maintain a age gap between both the brothers, so that CGA can be offered to the elder son.
- vii) It is observed from pass ledgers (G.P.22) of the years 2013, 2014, 2015 and 2016, date of birth of younger son of late employee was mentioned as 12.07.1990.
- viii) Vigilance verified ID card of deceased employee dated. 11.07.2001, in which family details are available with joint photograph of family. The said ID card was signed by the then WPO in that the date of birth of elder son was mentioned as 04.04.1987 and date of birth of younger son is mentioned as 12.07.1990.
- ix) The vigilance visited the school where the elder brother studied and obtained a true copy of Transfer Certificate for verification. It is observed that, the date of birth of the elder son who was offered CG appointment is actually 04.04.1987(Forth April Nineteen Hundred eighty-seven). It was also mentioned in the TC that, he failed in S.S.C public exams which were held in March 2002.He left the school on 27.03.2002. Subsequently he has passed the SSC examination in the year March 2009 as a private candidate. He appeared the SSC examination through another School and there he manipulated his date of birth as 04.04.1990 from 04.04. 1987.
- x) During the vigilance inquiry both the brothers agreed that they declared wrong date of births in the annexures of settlement papers of their father as guided by the ChS&WI as 04.04.1990 and 12.07.1991 instead of 04.04.1987(elder brother) and 12.07.1990 (younger brother) for gainful employment of elder brother and to match with the date of births in SSC certificate.
- xi) ChS&WI wilfully suppressed these facts from higher ups in WI report and declared wrong D.O.Bs and submitted a manipulated xerox copy of family declaration of the year 2002 to process CG appointment in favour of elder son.

ChS&WI, and both the brothers are issued with SF-5, while the dealer of confidential section who processed the case with in one day without proper verification and OS Pass section were issued with recorded warning.

Case Study -2

Child Care leave:

A preventive check was conducted on irregularities in drawal of salary on account of CCL where wages were being drawn in contravention to extant rules in a division and the following facts were found -

- Railway Board had amended the certain CCL rules vide Lr No.E(P&A)I-2019/CPC/LE-2, dt.23.04.2019, and circulated under RBE No.64/2019, wherein it has emphasized that during the period of child care leave a female railway servant and a single male railway servant shall be paid 100% of the salary for the first 365 days and at 80% of the salary for next 365 days. This amendment has retrospective effect, i.e., from 14.12.2018.
- Based on above amendment in CCL rules, divisions/workshops/units have to review such cases, where female employees/single male employees availed more than 365 days on or after 14.12.2018 and recovery of overpayment to be made wherever applicable.
- However, during the vigilance check it was noticed divisions/workshops/units have not taken any initiation to review such cases and recover overpayment, though more than one year passed since the issuance of instructions. The concerned dealing officials were advised to work out the overpayment involved in the cases where CCL was availed beyond 365 days on or after 14.12.2018 by the employees and to start recovery immediately.
- As a result Rs.61899/- was recovered and credited to Railway account and Rs.1,84,599/- was advised for recovery. PCPO was advised to issue guidelines in this regard.

Stores

Case Study -1

Non-connection of documents submitted by L1 firm in the tender:-

On a complaint based investigation regarding LTs floated by one of the unit ,the following lapses were noticed in the re-tender:-

After tender opening, the concerned OS of LP section had failed to connect all the documents uploaded by L1 firm in the re-tender cases before the file is put-up to the purchase officer. The purchase officer also failed to check all the documents of L1 firm before recording his acceptance in the said tender cases. As a result, the L1 offer, which was otherwise eligible, could not be considered for placement of order.

Case Study -2

Submission of fake authorization certification by a firm for getting the orders in Rlys:-

During the preventive check in the one of the stores depot on the received supplies, it was noticed that firm 'X' got orders by submitting suspicious authorization certificates from Germany based OEM while submitting their bid for the tendered item. Subsequently firm had supplied the materials along with similar import documents against the orders placed. A reference was made to OEM's representation office in India to confirm the genuineness of submitted documents. In turn, OEM's Head office in India replied that 'X' firm had submitted fake authorization and import documents. The supplies received against the Po were also got tested in co-ordination with the OEM's representation office and they were also found to be spurious. Accordingly the said material was rejected by the consignee and suitable action has been recommended against the errant firm.

Case Study -3

Supply of sub-standard materials by a firm using 'ISI' mark:-

On a complaint based investigation, a check was conducted in one of the stores depots on the received supplies of ISI marked Aluminium Welding cable. During the investigation, the cable was cut at the both ends as well as in the middle duly taking one meter length each and the weight was measured. It was observed that weight of the Aluminium conductor cable per meter length was in conformity with PO specifications near the ends of the cable. However, the weight was found substantially deficient in samples taken away from the ends. Even the number of strands was substantially reduced which showed that this reduction has been intentionally done. Therefore material was rejected by the consignee under warranty. Suitable action for blacklisting of the firm has been recommended and simultaneously, M/s.BIS/Delhi (authority for

granting ISI mark) has also been advised to take necessary action on the firm for indulging malpractices in manufacturing the materials using 'ISI' mark. M/s.RITES/Delhi was advised to take action on Inspecting Engineer for the lapses committed during the inspection.

Case Study - 4

Restriction of Brands/Makes in Purchase:

In one of the divisions, a Preventive Check was conducted on purchase for the procurement of the material 'Tool Kits. The indent and tender description mentioned 4 brands as the only acceptable brands. In this regard it was observed that the brands/makes mentioned in the tender were given in the Budgetary quotation of one of the likely suppliers which have been copied verbatim in the requisition. Further, other reputed brands available in the market were not included. even though these other brands were considered in other units of S.C.Railway and also other zonal Railways. This showed that the indent was prepared without any market survey and brands mentioned by one of the likely supplier in their budgetary quotation had been copied verbatim in the indent which shows lack of care

In this case, the concerned official also took the plea that he had no option left but to adopt brands from budgetary quotation due to urgency and also to avoid delay. However, a scrutiny of case revealed that this argument is specious and the case was pending for many months with the official without any action. In this case, because of unreasonable restriction of brands, the tool kit set has been purchased at more than double the price as compared to the price obtained in other zonal Railways. The indent approving officer as well as the purchase officer also could not check this aspect while processing the case. Suitable administrative action has been advised on the concerned officials.

<<>>

Traffic

Case study 1

Brief of Case: A preventive check was conducted based on source information that the reservation Clerk at a station is not generating Tatkal tickets for passengers standing in queue.

During the check it was noticed that ECRC manning the PRS counter was holding three confirmed Tatkal tickets on his hand. On close scrutiny of the 03 confirmed tatkal tickets with the applications held, it was noticed that there was only two applications for the three confirmed tatkal tickets. At this juncture an applicant standing 4th in the queue claimed that out of the three Tatkal tickets, two confirmed tatkal tickets belongs to him and submitted the application for the already generated tatkal ticket on the plea that it was returned for correction. On scrutiny of the applications it was noticed that the names of applicants were different, when questioned the applicant on the discrepancy he stated that he will not give any statement and does not need those two tickets and left the counter. With regard to the remaining one tatkal confirmed ticket, there was no applicant at the counter. Thus the reservation clerk was working in contrary to the instructions issued under CCM/SC Commercial circular No. 182/2011. Staff was taken up under DAR.

Case study 2

Brief of case: Based on a complaint, investigation was done on booking of Granite stones on this railway.

The records of Granite loading from Granite loading stations were checked for investigation. On scrutiny of records it was noticed that 17 Railway receipts were generated before the validity date of the transit pass. Thus the staff has permitted loading even before the date of validity of transit pass. On further scrutiny of records it was also noticed that on 02 occasions the loading party has submitted loading details in excess of the transit pass quantity. On both the occasion the goods staff has issued RR in excess of the transit pass permitted quantity. A quantity of 12 and 03 granite blocks was allowed to be loaded in excess of the transit pass permitted quantity which is irregular. This is contrary to the procedure order of Board's instructions issued under letter No. TCR/1078/2010/11 dated 23.11.2010. Staff was taken up under DAR.

Case Study 3

Brief of Case: During a preventive check in a coal siding having Preweighbin loading system, it was noticed that detention charges (at prevailing rate of demurrage charge) were not being collected for rakes undergone load adjustment.

Reasons cited by siding people:- as the excess load is being adjusted under the Chute of pre-weighbin system within free time, **hence** detention charges are not collected. When asked how much time they take to adjust load they stated it takes 10-15 minutes. To check the veracity of party's claim, loading data was extracted from the pre-weighbin system and decrypted it.

During analysis of loading data it was found that loading duration of each Wagon was approximately 2 minute and the time gap between Batch Down time of excess loaded Wagon and Batch Down time of next Wagon was also less than 3 minutes , (there should be minimum 12 minutes gap if load adjustment done in 10 minutes), it was also found **that** there was hardly a gap of 5 seconds between Batch Down time of excess loaded wagon and Batch up time of next wagon. Based on this it was concluded that excess load was adjusted not under the chute during loading but after completion of loading/ release of the rake.

Further checked if detention charges collected for the Rakes in which 59th wagon or last Wagon found excess, as the loading completion time of last wagon is treated as release time of the rake, and it was found that for those rakes also no detention charges were collected. Detention charges for rakes underwent load adjustment from March 2017 was calculated and raised 45 lakhs as undercharges.

Case study-4

Brief of Case: based on a source information a preventive check was conducted on leased Parcels in VPU/VPD by Train No.18645 east coast express

During preventive check conducted on leased VPU/VPD by Train No.18645 east coast express, parcels were checked and found two carton boxes containing inflammable mini gas cylinders (50 numbers) booked as General Goods. These are not permitted to load as per Para 34.4 of CLCP FM circular No.06 of 2014. As per para 34.6 of the same policy an amount of Rs.52, 500/- has been raised and realized towards fine and a case was registered under section 163 of Indian Railway act 1989. Subsequently lease contract was also terminated by the competent authority duly forfeiting the Security Deposit of Rs.72,86,141/-.

Case study -5

Brief of Case: Re weighment of freight train loaded and weighed at IACM EIMWB (private) and detected with over loaded and 12 wagons were load adjusted.

Based on the Railway Board instructions vide Bd Lr No. TC-I/2019/109/3 dated 25/07/2019; During a re weighment of freight train loaded with "REDMUD" (SAND) Ex-IACM RNC Div of SER to UCLJ of GTL Div of SCR at CHZ of SC Division railway weighbridge and found Thirty Five (35) wagons were found with over load, The said rake was initially weighed at IACM EIMWB (private) and detected with over load and 12 wagons were load adjusted. It was observed that, in the 1st weighment Gross weight was 4973.2T and it was 5300.4T in 2nd weighment. An excess load of 407.2T was found in the rake and all the 12 wagons which were load adjusted earlier were again found excess. As per Rates Circular No.19/2012, dt.23.7.12 & Para No. 4.3 (iii) of RATE MASTER CIRCULAR/WEIGHMENT/2014/0 dated 11/07/2014, Rs.85,86,856/- has been realized towards freight under charges and penalty

Case Study – 6

Brief of Case: Manipulation of Earnings in Parking Contract during Departmental Management:

At a major station, a Parking Contract was awarded for a period of 3 years. After operating for 1 year contractor had requested for termination. Consequent upon termination,

- Tender was floated on 07/12/2018 and only one bidder (who had opted for pre-termination) participated who quoted 27% less than RP. Hence the tender was discharged.
- Parking was managed departmentally for 5 days from 21/01/19 to 25/01/19.
- After that parking contract was allotted on Quotation (The contractor who opted for termination was the lone applicant) for three months from 26/01/18 to 25/04/18.
- On completion of the quotation, Parking Contract was managed departmentally for more than two months from 26/04/19 to 02/07/19.
- Tender was floated again on 13/05/2019 and only one bidder (who had opted for pre-termination) participated who quoted 27% less than RP. Hence the tender was discharged.
- Again it was allotted on Quotation for three months for the 2nd time (The contractor who opted for termination was again the lone applicant) from 03/07/19 to 02/10/19.
- On completion of quotation period, Parking Contract was again managed departmentally from 03/10/19 to 08/11/19.
- Tender was again floated on 16/08/2019, this time two bidders participated. The tender was finalized at that time.
- Mean while the parking contract was allotted on Quotation for three months for the 3rd time (The contractor who opted for termination was again the lone applicant) from 09/11/19 to 08/02/2020.

Observations during the Vigilance Check:

Vigilance check was conducted when the parking lot was managed by Department for the 3rd time. However the ground reality was that the parking lots are being managed by private staff (i.e., staff of old contractor who had opted for termination). Even though there were instructions to CTI/AWB & CCI/AWB from the office of the SrDCM/NED to manage the parking lots at AWB Station by department, the instructions were ignored and managed the parking lots by private staff by CCI/AWB.

- Accounts of day wise collection at the parking lots are not being maintained. Hence there is no sanctity for the remittance made on the daily basis by the CCI.
- Machine printed tokens are being issued at the premium and normal parking lots during departmental management. Machines used to generate tokens unable to give the day wise summary of the collections. Hence there is no sanctity for the remittance made on the daily basis by the CCI.
- There is a huge difference noticed in the day wise collection and remittance during the departmental management, lead to the leakage of railway revenue.

CCI was taken up under DAR with Major Penalty Charge sheet.

Case study -7

Brief of Case: Irregularities in the implementation of commercial publicity contract.

During the scrutiny of commercial publicity contract pertaining to a division it is noticed that the contract awarded for a period of 5 years and was terminated for not paying the License fees for the last half year. However it is noticed that from the Commencement of the contract there was many irregularities.

1. Security deposit which is supposed to be collected before commencement of contract was collected after 192 days of the commencement of the contract and the penal charges were not collected till the termination of contract. The penalty for delay payment of SD is arrived to Rs 48479/-
 2. The obliteration charges @ 5% of the last annual LF was not collected i.e Rs 83042/-
 3. The Licensee was awarded additional area in due course in the 1st year of contract and the corresponding Proportionate LF and the penalty was not collected from the 2nd year till the termination of the contract. The accrued amount is Rs 25,73,090/-.
 4. The LF for the successive years was delayed and the penalties were not collected Rs 15,216/-
 5. The last half year LF of Rs. 6,92,020 was not collected and it was terminated almost at the end of the tenure by forfeiting SD of Rs.3,46,276.
- it was advised to take up the Concerned staff under DAR and to organize sessions on contract management for the staff dealing contracts.

Case study - 8

Brief of Case: Irregularities in the utilisation of Station Imprest cash.

Based on source information a check was conducted on the utilisation of Station Imprest cash at a station. During the investigation some irregularities were noticed.

1. Station manager had submitted fake bills to the Railway Administration towards the expenditure incurred for station cleanliness.
2. During investigation it is revealed that the Station manager had produced the bills in the name of few shops where the bills were not issued by those shops.
3. Upon inquiry with the shops these bills submitted by Station manager were traced to be fake and fabricated.
4. He had procured blank bills from a known person and he himself had written the items and the amount particulars on these blank bills and appended his sign on them.
5. It is noticed that Station manager himself had written the various items and the price which were claimed to be used for station cleaning purpose in his own handwriting and it was similar in all the bills.
6. Some of the bills submitted by the Station manager to the Railway in the name of the shop which is not in existence.
7. He had claimed the money in the name of the items necessary of cleaning purpose and on an Average Rs 1600/- was falsely claimed per month. Station manager had been submitting the fake bills from 2017-2019.

It was advised to take up the employee under DAR and recover the amount from him.

**The main purpose of life
is to live rightly,
Think rightly,
Act rightly.**



To prevent evil is the great end of government, the end for which vigilance and severity are properly employed.

When good people in any country cease their vigilance and struggle, then evil men prevail.

True prosperity is the result of well-placed confidence in our selves and our fellow man.

