



दक्षिण मध्य रेलवे South Central Railway

75
आज़ादी का
अमृत महोत्सव

75
Azadi Ka
Amrit Mahotsav



अंक/No.

54



स्वतंत्र भारत @ 75: सत्यनिष्ठा से आत्मनिर्भरता
Independent India @ 75: Self Reliance with Integrity

सतर्कता बुलेटिन | VIGILANCE BULLETIN

2021



गजानन मल्लया
GAJANAN MALLYA



सत्यमेव जयते
भारत सरकार Govt. of India
रेल मंत्रालय Ministry of Railways

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MESSAGE

The theme for this year's Vigilance Awareness Week, being observed from 26th Oct'21 to 1st Nov'21, is "Independent India @ 75: Self Reliance with Integrity". In the 75 years of independence, Indian Railways has played a vital role in the economic and social development of the nation helping it to forge ahead towards the goal of self reliance. Remote areas have been connected and uninterrupted and cost-effective movement of passengers and goods across the country has been ensured. Even during the COVID pandemic days, Railways continued to serve as the lifeline of the nation, reaching essential commodities including food grains, vegetables and oxygen, to all parts of the country.

South Central Railway is constantly striving to bring transparency and quality in all its activities. While Vigilance Department helps in promoting these two by spreading awareness and suggesting ways to improve working systems, each of us is also responsible for ensuring this by exercising due vigilance in all our work. The CVC decision to give wide publicity to the details of PIDPI (Public Interest Disclosure and Protection of Informers) complaints will lead to better reporting of corrupt activities without fear of persecution and enable the administration to take corrective measures.

I am happy that the Vigilance Department of South Central Railway is continuing the tradition and coming out with this 54th edition of Vigilance Bulletin on the occasion of Vigilance Awareness Week – 2021. I am sure the articles and case studies in this bulletin would guide and motivate all railway men to adopt a life of integrity and commitment. Various activities will be conducted by Vigilance department of South Central Railway with the aim of spreading awareness about ideas of Self Reliance and Integrity during the Vigilance Awareness week 2021. I wish them success in their endeavours and hope that the observance of Vigilance Awareness Week would give an opportunity to all South Central Railway employees to reflect upon their role, and rededicate themselves to the honourable task of building a completely Self-reliant India.

(Gajanan Mallya)

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MESSAGE

I congratulate Vigilance Department of South Central Railway for coming out with this 54th edition of Vigilance Bulletin – “Animisha” on the occasion of Vigilance Awareness Week – 2021. This yearly bulletin gives railway employees a deeper comprehension of Vigilance. The case studies discussed prove useful to them for understanding the common mistakes made and improving their working.

South Central Railway is observing the Vigilance Awareness Week from 26th Oct to 1st Nov 2021 on the theme ***Independent India @ 75: Self Reliance with Integrity.*** A great deal of progress has been made towards self reliance during the 75 years of independence. But, there is still much to do and many pitfalls on the way. It is easy to get lost in the dark jungle of temptations and coercions. Only the strength of our character can hold us in good stead and stop us from deviating from our path. Integrity is a very important pillar of our character. We have to devise processes and systems so that integrity is encouraged, nurtured and allowed to bloom from **within** the person. Self reliance becomes meaningless if it is not associated with integrity.

South Central Railway has taken number of initiatives in developing and implementing e-platforms to bring in efficiency as well transparency in the system. The latest in this series being implementation of Hospital Management Information System (HMIS) pan SCR.

It is heartening to see that Vigilance department of South Central Railway has planned a slew of participative events including painting and essay writing competitions for school/college children and railway families, sensitization programs for vendors, contractors as well as for railway employees, etc, with the objective of spreading awareness about integrity and self-reliance.

I sincerely hope that these efforts will bear fruit and help us eradicate the scourge of corruption from our country making it totally self-reliant.


(Arun Kumar Jain)



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MESSAGE

Central Vigilance Commission is celebrating Vigilance Awareness Week from 26th October to 01st November, 2021 with the theme "Independent India @ 75: Self Reliance with Integrity; स्वतंत्र भारत @75: सत्यनिष्ठा से आत्मनिर्भरता" in a move towards commemorating 75 years of India's Independence. Accordingly, like every year Indian Railways will also carry out celebrations with the motive to weed out corruption and ensure integrity in public life.

Fight against corruption is not the sole responsibility of Vigilance organization but requires all out efforts from every Railway employee. Without complete commitment and devotion, it is not possible to fight corruption successfully. Therefore all the Railwaymen must make a united effort to root out corruption from the system. During the occasion, I would also like to mention that special emphasis to technology may be given to spread awareness about malice of corruption as well as to make our system more effective and efficient thus bringing more accountability and transparency.

Indian Railway is organizing the Vigilance Awareness Week in a motivated environment with a passion to sensitize the common man against the menace of corruption. Special efforts on following issues are being taken.

- i) Encouraging all for taking e-pledge by visiting the website.
- ii) Conduct of workshops/sensitization programs on policies/procedures.
- iii) Use of organizational website for dissemination of employees/customer-oriented information and to make available avenues for redressal of grievances, systemic improvements and good practices adopted.
- iv) Wide publicity to complaints under PIDPI (Public Interest Disclosure and Protection of Informers).
- v) Extensive use of social media platforms, bulk SMS/e-mails. WhatsApp etc. for spreading awareness.

I strongly believe that observance of Vigilance Awareness Week by following the measures suggested by CVC will assist all Railway employees to work in the right direction and to fight against corruption. With this, I extend heartiest congratulation to all those associated in this drive.

With heartfelt good-wishes


(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
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FOREWORD

South Central Railway is observing Vigilance Awareness Week from 26th October to 1st November, 2021 on the theme "**Independent India @ 75: Self Reliance with Integrity; स्वतंत्र भारत@75: सत्यनिष्ठा से आत्मनिर्भरता**". On this occasion Vigilance Department of South Central Railway is bringing out the 54th edition of the Vigilance bulletin "**Animisha**". As started in the previous year, the Bulletin is being issued in an e-Edition and would be available on South Central Railway website.

On South Central Railway, the objective of Vigilance Department is to make Vigilance a preventive and participative process and promote high ethical standards. We lay emphasis on leveraging of technology for improving transparency in administration. In this endeavour several e-initiatives have been introduced, like providing Vigilance Position of employees online, sharing all system improvements on the official SCR website, monitoring genuineness verification of complaints through a special application, etc.

In Railways, the quality of the work being done is of utmost importance. While frequent inspections to monitor the quality, ensure mid-course corrections, it is very essential to study and analyse the systems and processes to attack the problem at the root-level. In this Bulletin, we have presented several case studies relating to Vigilance Department which have resulted in system improvements. We hope that these articles explaining the background for suggesting such system improvements would enable the readers to understand the lapses that can be made and also avoid recurring genuine mistakes having Vigilance angle.

I look forward to valuable and constructive suggestions from the readers.


(Chandrima Roy)

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.

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आखिर क्यों

❖ विक्रम गुप्ता
मुख्य अभियंता

मैं सच्चा
तुम सच्चे,
फिर झगडा क्यों

मैं झूठा
तुम झूठे
फिर अखरा क्यों

खुला मैदान
सब भागो,
फिर पकडा क्यों

मैं सुंदर
तुम सुंदर,
फिर नखरा क्यों

सब्जी,रोटी ,
चावल,दाल ,
फिर बकरा क्यों

भरा पेट,
सब आराम,
फिर घपला क्यों

Precautions to be taken in AMC of S&T equipment and Passenger Amenities items from Vigilance perspective

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

AMC of various modern S&T equipment/Passenger amenities items like EI, IPIS (CIB/TIB etc.), IPS, Data-logger, MSDAC, UFSBI etc., is being given in large scale. Main purpose of such AMCs is to keep our equipment in healthy condition and also to minimize the down time during any failure of such equipment. However, during the vigilance checks, various irregularities are observed in processing, execution and recording the measurements of AMCs. Therefore, in order to sensitize the officers/staff in this regard, few important relevant points are summarized in this article, which will be useful in handling the AMC works.

Estimation:-

- Equipment proposed to be included under AMC, **should not be under Warranty**. This is much relevant, when AMC is being processed first time for that equipment.
- There **should not be over estimation** of the quantities. Estimated quantity of Items/Modules/Sub modules etc, to be covered under AMC, should be as per the site requirement, duly taking details from field SSEs in writing, if required.
- Estimated **rates should be very well justified**.

Tender Schedule:- Tender schedule of AMC is vital important document. If our tender conditions are well defined and unambiguous, we can prevent a lot of irregularities and contractual disputes.

Few relevant points are as under:-

- Check list & frequency/schedule of AMC visit should be clearly defined in the contracts. **Periodicity should be consistent throughout the tender document**.
- **Spares requirement** (various cards/modules etc.) should be well defined (station wise, if required) & same to be available under the custody of Railways.
- Requirement of AMC Engineer/Engineers and their HQ location should be defined in AMC. **AMC Engineer should have competency Certificate issued by OEM**, which should cover the Training imparted to AMC Engineer in Maintenance, Troubleshooting, programming etc.
- **Major failure**(where system working is affected) and **Minor failure**(where system working is not affected but failure needs to be attended to ensure

reliability/redundancy), should be clearly defined in AMC duly stipulating their time of restoration.

- Penalty clause should be available in AMCs, whenever,
 - Restoration of Major/ Minor failures exceed stipulated time.
 - Firm fails to attend scheduled maintenance visit or there is delay in attending the scheduled visit.
 - AMC Engineers are not available at site or they are not competent enough to handle the equipment under AMC.
 - Spares (cards/modules etc.) are not provided as per AMC by the contract agency.
 - In addition to above, any other penalty if required by the executive, on case to case basis, should also be incorporated in AMC contract.
- Different quantum of penalties needs to be adopted depending on the type of S&T system. Also the penalty should be substantial enough to compel the firm to promptly conduct the maintenance visits & attend the failure.
- Above stipulations & penalty provisions should also be incorporated in various works contracts of EI, MSDAC, BPAC, UFSBI, IPIS etc. where after commissioning of the works, the maintenance & warranty period is also stipulated.

Tendering Work:-

- Due procedure with regard to single tender with OEM's should be followed as per provisions of MODEL SOP' 2018. It is however important to note that whenever AMC tender (of value up to Rs. 50 lakhs) is being invited through open tender, **no Technical and financial credentials are required for tenders having value up to Rs. 50 Lakh.** (Ref: SI.No.10.4 of the GCC' July 2020 & Note 9 under S.No.5 (A) (i), Part A, Works Matters of Model SOP 2018).
- Level of TC is based on lowest valid offer. Level of TCP (Tender committee composition & accepting authority) for single tender should be at least one step higher.
- LOA should be issued within validity period of the offer.
- In LOA/Contract, there should be clear nomination of SSEs/Officers, responsible for recording MB.

Execution of AMC& Recording of Measurements:-

- Copy of detailed LOA/Contract of AMC should be invariably to be made available with field SSE & officer in-charge.
- MB should be recorded for all **AMC works. Payment should not be made only based on certification of invoice copies by SSEs, without recording the MB.**
- MB of AMCs should be recorded by respective field SSEs & Officers as per LOA/Contract nomination. SSE, who has recorded the MB, is personally responsible to ensure the quality of the execution of the work as per the contract for the entire measurements (i.e.100%) recorded by him. Same is applicable for the officer who has done the prescribed test check, as applicable to him.
- Log of the failures should be maintained along with date& time of occurrence of failuresand rectifications details. While recoding the measurements, penalty should be worked out for delay in restoration beyond the stipulated time and same should be proposed for deduction by concerned SSE.
- Scheduled maintenance visit/ Failure visits should certified **at the level of minimum inspector grade.**
- SSE should maintain the record of all deficiencies, like not maintaining the working spares by the contractor, delay/missing AMC visits, not deputing the competent Service Engineer etc. SSE should propose the penalty as per contract, against all such lapses, at the time of recording the MB.
- Whenever, there is the provision of imparting training to Railway staff by the OEM's in Contract, same should be utilized, preferably at the beginning of the contract.

If these points are taken into consideration, we can prevent a lot of vigilance related irregularities in AMC works, duly improving the reliability of S&T equipment& Passenger amenities items, which will ultimately provide an efficient& effective Railway system.

It is equally important that, we have to work on developing our own **Expert Group** to take care of these modern equipment and slowly switchover to ARC, to minimize the expenditure on account of large number of AMCs. This point is also relevant in context of theme of this year's Vigilance Awareness Week- 2021 i.e Independent India @75: **Self Reliance with Integrity.**

Jai Hind, Jai Bharat !!!

सत्यनिष्ठा से आत्मनिर्भरता

@अक्स

ए. के. सिंह

प्रमुख विद्युत अभियंता (निर्माण)

आत्मनिर्भर बनने के
अनगिनत तरीके हो सकते हैं
कुछ अच्छे तो कुछ खराब
सरीके भी हो सकते हैं
आत्मनिर्भर बना जा सकता है

चोरी कर के
घोटाले कर के
डकैती डाल के
खुद बिक के या फिर
किसी को बेच के
रिश्वत ले के या फिर
रिश्वत दे के
किसी को सता के
किसी को रुला के
व्यभिचार कर के या फिर
व्यभिचार करा के
झूठे बोल बोल के
झूठे वादे कर के
खुद की नज़रों में गिर के
अपना ईमान बेच के

मगर क्या
इस आत्मनिर्भरता से हमें हर्ष होगा
क्या गर्व से सीना हमारा चौड़ा होगा
क्या रात में हम चैन से सो सकेगें
क्या अकेले में खुद से बातें कर सकेगें
अनैतिक रास्ते
प्रचलित और सुगम होते हैं
नीतिपूर्ण रास्ते
लम्बे सुनसान और दुर्गम होते हैं
मंज़िल तक तो कैसे भी पहुँचा जा सकता है

एक दूसरे को समझ कर भाई चारा बढ़ा कर
भी तो आत्मनिर्भर बना जा सकता है
सत्यनिष्ठा तो एक गूढ़ आदत है
थोथले पन से दूर
दिखावेपन से दूर
समायी हुई रग रग में
अड़िग निड़र एवं निर्भीक
चरित्र की परकाष्ठा
सरल भाषा में
सत्यनिष्ठा दर्शाती है
एकरूपता
मन, बचन, गुण और कर्मों में
हाँ केवल और केवल एकरूपता
अगर
सत्यनिष्ठा अपनाकर
आत्मनिर्भरता पायी जायेगी
दिन दूनी रात तरक्की होगी
मानवता भी बच जायेगी
माना
राह कठिन है ये पथ थोड़ा पथरीला होगा
रख विश्वास खुद पे परिणाम अलबेला होगा

Prevention of Corruption (Amendment) Act, 2018

❖ **B. Ramakrishnan**

Dy.Chief Vigilance Officer/Accounts

Parliament passed the Prevention of Corruption (Amendment) Bill, 2018 in July 2019 which includes insertion of a new section 17A. This amendment intends to enhance transparency and accountability of Government. The following are the provisions and amendments in the Act, which can be divided into 5 categories:-

1) Bribery (Undue advantage derived as gratification other than legal remuneration)

Earlier, there were no specific provisions except as abetment but under the amendment, giving a bribe is now an offence punishable by 7 years prison term except in case one is forced to give a bribe. However, it should be reported within 7 days.

2) Criminal Misconduct

Earlier, misconduct used to cover offences including taking bribe, habitually getting anything free or at a concession, obtaining pecuniary advantage for oneself or for another without public interest. Under the amendment act, criminal misconduct will now included two offences –

- a) Misappropriating property entrusted to the Banker
- b) Acquiring assets disproportionate to the known sources of income

3) Pre-investigation approval

Now, a Police Officer will have to obtain prior approval of Competent Authority or Government to begin investigation. However, the same does not apply when the accused is caught red-handed.

4) Sanction for Prosecution

A Sanction for Prosecution is needed for prosecuting former officials for offences done while in office. The decision on sanction request is to be made within 3 months, which can be extended by a month.

5) Forfeiture of Property

This section was introduced for the special Court to attach and confiscate property which was earlier done under 1944 Ordinance through Civil Court.

DoPT vide its circular no.428/07/2021-AVD.IV(B) dated 3.9.2021 has issued a Standard Operating Procedure for processing of cases under Section 17A of the Prevention of Corruption Act, which provides for –

- Stage-wise processing of information received by a Police Officer
- Specifying the rank of a Police Officer to seek prior approval under Section 17A in respect of different categories of public servants
- Consideration of the proposals under Section 17A of the Act by the Appropriate Government or Authority

- Laying down of single window procedure to specify receipt stage of the proposal; and
- Check List for submitting proposals under Section 17A

Summary

- The criminal misconduct provisions intends to protect public servant from being wrongly prosecuted for official decisions
- The amendment also intends to empower the public to refuse to give a bribe with provision of punishment for those who willingly offer bribe to Government Officials
- Earlier, sanction was regulated under PC Act for Serving officers only, but now Sanction for IPC offences cover both serving as well as retired officials.
- Forfeiture of property is believed to help avoid a fresh procedure to confiscate property obtained through corruption and enable court conducting Trial to do itself.
- Earlier there was no provision in the Act for pre-investigation approval. But, a similar rule was stuck down by the Supreme Court.
- This will be applicable prospectively only and will not apply to the previous cases already booked under PC Act of 1988.



Whistle Blower Protection in India

❖ **Ankur Srivastava**

Dy.Chief Vigilance Officer/Stores

Government is a behemoth which engages in myriad activities that silently go on, day and night and across the length and breadth of the country. It is virtually impossible that an outsider will be able to comprehend, let alone monitor them all. What to us is a simple fair price shop, is actually a huge procurement and logistics machinery working behind the scenes to support the public distribution. A simple train journey, when looked closely, dovetails into big divisions carrying out varieties of works: purchase, maintenance, ticketing, fueling etc. These organizations, though in the background, might easily be spending thousands of crores of taxpayer's money. These agencies operate in a non transparent environment, away from the public gaze, and cloaked with complicated procedures that will frustrate any attempts of scrutiny. It is fairly easy in such a situation, and indeed common, for some officials in these organizations to collude with interested parties, giving unfair advantage to them in return for undue gratification, and get away with it as there is no public oversight in their day to day working.

...Unless, of course, there is a well meaning insider who is ready to come out and spill the beans.

Uptill a few years ago, the odds were stacked heavily against such whistle blowers. As it is, there was no personal benefit for the whistle blower in the first place. To add to that, by making a disclosure, he or she was exposing himself to the “revenge” of the corrupt, who could go to any length to protect themselves and their interests...And government was not obliged to help. It was a definite lose-lose situation for the informant.

The cases of Sri Satyendra Dubey, an honest engineer who highlighted corruption in road projects and Sri Shanmughan Manjunath, who tried to prevent malpractice in petrol pumps were eye openers. The murders of these two righteous men showed the glaring inadequacy of the prevailing system and lent an air of urgency to the need of providing protection to the whistle blowers. It is in this context, that the Government of India notified the Public Interest Disclosure and Protection of Informers Resolution (PIDPI), 2004, which gave powers to Central Vigilance Commission to act on disclosures made by whistle blowers.

The PIDPI resolution has been a game changer. The highest body dealing with corruption in government, the Central Vigilance commission (CVC) has been made directly responsible for handling disclosures under this scheme. It still requires the informant to furnish his identity to the “designated authority” i.e. the Central Vigilance

commission, but at the same time, it casts a duty upon the commission not to reveal the identity. Thus, the PIDPI scheme balances the need of protection to the genuine informant and the need of protection to an honest public servant against frivolous complaint.

The resolution acknowledges that there may be cases where the content of the disclosure itself may reveal the identity of the informant, and therefore it specifically provides that such complaints shall not be acted upon unless the informant has no objection to the same.

Several other provisions are also available in PIDPI resolution for the protection of the informants, eg.

- Duty has also been cast upon the Head of the Department/Organisation to keep the identity of the informant secret, if he comes to know of it.
- If the informant feels he is being victimised, he may approach the CVC seeking redress. CVC has authority to give suitable directions to the concerned public servant or the public authority, and
- If CVC is of the opinion that the complainant or the witness needs protection, it can issue appropriate directions to the concerned Government authorities
- The resolution also authorises CVC to take appropriate action against any person or agency which reveals the identity of the informant against CVC's instructions

The substantive provisions of PIDPI resolution have subsequently been incorporated in the Whistle Blower's Protection Act 2011 (yet to be notified). In addition, now the Chief Vigilance Officers of Ministries under the Central Government have also been included as Designated Agencies. However, CVC continues to monitor the progress of complaints under PIDPI process, thereby ensuring direct oversight by the apex body.

The PIDPI resolution (and subsequently the Whistle Blower's Act) have given due importance to the protection of informant and it is reasonable to expect that it will reduce, if not remove, the fear of persecution from the minds of individuals. Indeed, hundreds of applications are now being received every year under the PIDPI process, which indicates the efficacy of this scheme.

At the same time, it would be wrong to say that nothing more is required. While the resolution authorises Designated Agency to give directions to Central Government to protect the individual, the nature and extent of protection that shall be afforded is not very clear. Considering the lack of established systems and, in general, lack of capacity in most government branches, there is always a possibility of the protection given being too little, too late.

A dedicated machinery under direct control of CVC, with trained personnel and set protocols for handling such cases, may instill more confidence in the minds of the informants.

Also, the Act recognises possibility of vexatious disclosure of identity and victimisation of informant, but the only remedy provided is by way of directions by the Designated Agency. It is suggested that treating such acts as a criminal offence may act as an effective deterrent, and thereby lend more credibility to the safeguards provided.

Many more suggestions have been put forth on various aspects of the Act and from various quarters, and they should be welcome, for any legislation is a living organism and needs to evolve to survive and be relevant. But, there is no denying the fact that with the PIDPI resolution in place, the next whistle blower can have the assurance that he will not be punished for having done a noble act for his society.

Quick DOs and DONTs for Complaint Under PIDPI Resolution

DOs:

- Send complaints in closed envelope super-scribed “***Complaint under the Public Interest Disclosure***”
- Send only to Designated Agencies (CVC or CVOs of Ministries)
- Draft carefully so that the content does not give clue as to the identity.
- Approach Designated Agency if you are being victimised or feel the need for protection

DONTs

- Send anonymous/pseudonymous complaints. They will not be acted upon.
- Send to several authorities. Such complaints are not treated as PIDPI complaints.
- Enter into further correspondence. It may reveal your identity.
- Send motivated/vexatious complaints. Punitive action may be taken.

“YOUR IDENTITY WILL NOT BE REVEALED UNDER PIDPI PROCESS”



Preventive Vigilance and personal Integrity

❖ **Shifali Kumar**

Dy.Chief Vigilance Officer/Traffic

Indian Railways Vigilance Manual defines Preventive Vigilance as the adoption of a package of measures to improve systems and procedures to eliminate/reduce corruption, promote transparency and ease of doing business. Preventive vigilance involves systematic improvements which besides reducing corruption also lead to better operational results. It is a tool of management and Good governance and hence is the job not only of the vigilance organization.

Any organization /department should strive towards system improvements in the form of more reliance on technology, reducing manual interactions by providing single window systems, providing more tools at the hands of the users, customers as well as staff to have access to the need-based information. This will not only help in streamlining the processes but also lead to effective check on any malpractices.

Any vigilant action whether preventive or otherwise can be completely successful only if all members of the organization as well society have high standards of personal integrity. Corruption can-not flourish if a society stops glorifying malpractices in its organizations along with having an enabled investigating agency and a strong judiciary. These three aspects are available but alas, in a distorted manner in the Indian context.

India as a society is divided in the names of religion, culture and practices. We have strong allegiances towards our state, caste and community. This leads to favouritism, lack of responsibility and finally lack of answerability. A person can get away with the biggest crimes, provided there is a “*Mai-baap*” in a higher position. The story where a young man fights against all odds of the time with his flexed muscles, avenges the bad deeds of a money-sucking villain and finally emerges as a hero are good to be seen in movies. In reality, God-Father culture is ingrained to a great extent in the society.

Our investigating agencies are tools in the hand of the governments of the day to witch hunt so called wrong-doings of the previous governments. Our judicial processes are so long that- ‘justice delayed is justice denied’ seems to be more and more relevant with each passing day. The recent pandemic has massively added to this pendency.

Considering all these deficiencies which mainly arise from lack of infrastructure, lack of equal opportunities to all and large gap between rich-poor strata of society, it is all the more important to have a vigilant society with high values of personal integrity in order to check corruption and lead the country to the standards of growth that it deserves.

Personal integrity is defined as having strong morals or values and following those principles in both your words and actions. Living with Integrity means you uphold your values no matter the situation or who is watching. Personal integrity is important for a lot of reasons, but it mostly boils down to it being the right thing to do. When you have integrity, you're committed to doing the right thing, no matter what. A fringe benefit of having high integrity is that a person is more likely to feel content in life since they know what their values and priorities are and aren't afraid to take action to pursue them. At the workplace, personal integrity means following the organisation policies, respecting the co-workers, taking accountability of your mistakes and speaking about any malpractices.

Clearly, by following high standards of personal integrity each employee can act as a tool of preventive vigilance in an organization which is also the goal that vigilance organizations strive for. Finally as human rights activist and author Desmond Tutu said- "The Price of Freedom is Eternal Vigilance".



Some thoughts for better deliverance

❖ **G.V. Prasad Rao**
Dy. CE & Secy to PCE

Vigilance Awareness Week is an exercise which is religiously done once every year. The purpose being sensitize people on the issues of corruption and unethical practices. But, we need to question ourselves why we need such awareness programmes. An answer to this would be that it is not that we need to dwell on the subject of corruption and unethical practices which are noticed or detected and are generally related to monetary transactions. These incidences which involve monetary discrepancies are the end-product of unethical practices. It is not enough, for us to educate people, enlighten people on the end-products. But, it would be more appropriate for the system as a whole to concentrate on the root cause of corruption which basically evolves from unethical practices.

Unethical practice is nothing but deterioration in culture at the work place. This unique culture which is predominantly available in central govt./state govt./public sector undertakings is a mindset which has its roots in the British system of governance.

The attitude of any public servant has always been that, I am –

- a) Unquestionable;
- b) Unaccountable;
- c) In a secure job;
- d) Above the law;

Such a mindset which originated in the top hierarchy has slowly and steadily progressed down the line right upto the lowest category of public servant.

This attitude in the public sector needs to be shaken up with a jolt. People working in public posts need to be brought to their senses that they are accountable, and questionable and that they are being watched.

This attitude in many offices wherein delay in dealing with files is rampant; and officials find ways and means and methods to justify their sluggishness which needs to be tackled to improve the unethical practices. As the saying goes – “justice delayed is justice denied”.

The very purpose of delaying decisions serves no purpose and statistically if probed it is rarely found that staff dealing with policy matters/proposals/sanctions rarely clear files on time and there is no evidence that these officials are counselled. How

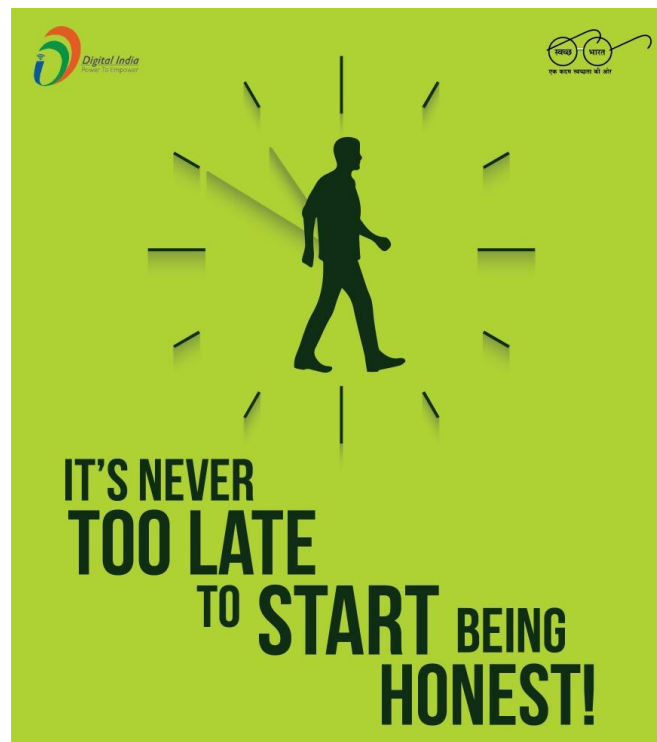
many times are such persons/officials counselled on record to trace the habitual offenders.

Any office in the government sector, if probed will find innumerable number of audit paras and observations. What would be reason for replies being delayed to these objections/observations? Somewhere in the corner of a file lies the fact that there have been some unethical practices which have been adopted. Therefore, no one is interested to put his pen on paper. This very culture of delaying files, postponing decisions needs to be reprimanded at the highest level without exception. Unless this stand is taken, issues of corruption leading to monetary exploitation will continue.

A drive needs to be organized, first to sensitize people; second to counsel the people and third to penalize them for repeated offences.

I don't recommend that staff need to be removed from service, as such practices would only hurt the dependent members and not the wrongdoer himself and the next wrongdoer would educate himself and create an alibi. It would be appropriate to hurt the wrong doer personally rather than his dependents. This can be done by reducing his LAP/LHAP, privileges associated with his post like withdrawal of transport facilities, HRA facilities or making him work for extra hours without O.T. etc.

Unethical practice is a much bigger evil which needs to be addressed first. The need of the hour is to tackle unethical practice which is the breeding platform for all other ailments existing in the hierarchy.



Points to ponder - few key areas in personnel front

❖ **B Srinivas Rao**

Sr.Vigilance Officer/Personnel

1. Selections/Promotions:

- Proper maintenance of Roster- avoid writing with pencil in roster register.
- Future adjustment of vacancies should be ensured while making next fresh assessment of vacancies.
- Selection Procedure should be spelt clearly in the notification.
- Clear Instructions to Paper Setting & Evaluating Officer to be given and ensure to adhere strictly.
- DAR/Vigilance clearance to be obtained before finalization of the panel and subsequently while issuing office order especially when promotion order is issued against anticipated vacancies at later date.
- All relevant instructions should be conveyed to the candidates including about negative marking and multiple bubbling.
- Invigilators to ensure candidates having proper relieving letter with photograph and specimen signature while attending for the selection examination.

2. Fake educational/caste certificate:

- Immediately after the appointment verification of caste certificate should be undertaken as community of such candidates are considered provisionally, strictly it should be adhered. Of late complaints are coming almost at the fag end of service of an employee upon caste certificates.

3. Compassionate Ground Appointments:

- Ensure genuineness of all the relevant documents submitted by the dependant family member.
- Establishment of relationship with ex. Rly.employee so as to avoid impersonation.
- Verification of educational certificates before appointment.

4. Attendance:

- Alternation in the attendance registers without counter signature of competent authority.
- Attendance mentioned in the register is not tallying with the musters sent for drawl of bills to be cross verified by S&WI on their visit to stations/ units.

5. Leave:

- Irregular brought forward of leave balance, authentication of leave balance to be ensured.
- Proper accountal of CCL to be pasted in SR.

- Non recording of entries of absent/leave/sick/EOL in the leave card.

6. Notice of Imposition of Punishments:

- Non implementation of punishments in the IPAS.
- Non recording of punishment entries in the SR, resulting in granting promotions while undergoing penalty. Standardization of entries in SR.
- Partial implementation of punishments resulting less recovery from salary.

7. Recruitment:

- Ensure verification of Relevant certificate, i.e., Sports, Scouts & Guides, Cultural etc., on which the recruitment was made before appointment. Relevant service Bond also to be ensured wherever applicable.

8. DAR:

- Proper drafting of charge sheet with relevant article of charges without any ambiguity.
- Irrelevant witnesses/documents should be avoided in Annexure III & IV
- The imposition of penalty w.r.t the level of charges (SF-5 & SF-11).
- The recording of statement should have clear signatures of deponent, witnesses & IO during the enquiry.
- At every level of enquiry the scope of natural justice should be adhered by following given timelines.

9. Sexual Harassment:

- Ensure no railway servant shall indulge any demoralizing activity in the premises of work place with a woman employee
- Ensure to prevent the sexual harassment to any woman employee

10. Railway Quarters:

- Sub-letting of railway quarters to be avoided
- Over stay in railway quarters without permission
- Non recovery of damage charges. Avoid multiple allotment of quarters, recovery of rent should be done as per the allotment order.

11. Payment of TA:

- Allowing of TA in the salary bill for more than 15 days without ensuring the sanction of competent authority
- Non ensuring the involvement of TA for cross movements.

12. Immovable/Movable properties:

- The sources declared by the staff/officers should be supported with clear documentary evidences towards the transactions taken place
- The noting of transactions is required not only at the time of acquisition but also at the time of disposal. Violation attracts D&A procedure.

13. APARs

- It is vital documents required for promotion all relevant columns to be checked properly as filled in by the reporting, reviewing and accepting authority.
- The initiation of the APAR and other relevant authorities to be adhered properly.

14. MACP

- While granting MACP refusal of promotion if any to be verified.
- The absent period should be taken into consideration while granting the MACP and to defer the period accordingly.
- The DAR clearance as on the crucial date of consideration to be obtained.
- SR & Leave record should be verified before granting MACP.

15. Settlement/Secondary family pension:

- Substantial Documentary evidences to be ensured which proves the establishment of relationship and the dependency upon the ex.Railway employee.
- Non employment and no-remarriage documents to be kept in view.
- Store debit/DAR/Vigilance clearance are essential.



Independent India @75: Self Reliance with Integrity

❖ B.Phani Vinayak Rao

CVI/Accounts

“अपिशाकंपचानस्यसुखंवैमघवनगृहे।
अर्जितंस्वेनवीर्येणनव्यपाश्रित्यकञ्चन॥”

{ Meaning -O Maghvan, even he is happy who cooks only little leaves (for his food) earned by his own efforts without having to depend on others.}

(Source: Mahabharata VanaParva 193.29)

A country is said to be Self-Reliant when it is not only economically independent, but also when it can exhibit inner confidence based on its cultural heritage, making its own decisions and not dependent on any economic, political blocks of countries, recognizes, manages its dependence, its standing visualizing itself based on its innate potential in the comity of Nations.

A country like India, which was under the British Empire rule for nearly 350 years, unshackled itself as a Nation on 15 August, 1947 was very poor and illiterate having been severely impoverished by its colonial rulers, suffered a tragic partition but had chosen “Democracy” as way of Life for its citizens, again odds and competitive politics, India in 1947 had a population of 340 million with literacy rate of 12% and GDP at 2.7 Lakh Crores (3% of the World's Total GDP) with agriculture sector contributing half of the GDP producing 50 Million tonnes of food grains.

During its journey, it had to fight four wars with neighbours for its Integrity, been a victim of proxy-war in the erstwhile state of Jammu & Kashmir and insurgency in North East regions, had to tackle Naxalism and separate state and other agitations in different parts of the country.

India's 74 years of existence as a sovereign independent nation is a miracle with multitudes of diversities like climate, religion, caste, creed, sect, region, language, culture and cuisine.

With a population of 1.27 billion India is the world's second most populous country. It is the seventh largest country in the world with an area of 3.288 million sq.kms. It has a long coastline of over 7,500 kms. India is a diverse country where over 22 major languages and 415 dialects are spoken. With the highest mountain range in the world, the country is home to vast agro-ecological diversity. Worth \$ 2.1 trillion, India is touted to be the world's third largest economy after the US and China.

As of 2018, India's GDP was at 147.79 lakh crore (7.74% of world's total GDP). Now the Country is producing 250 million tonnes, the agricultural sector is accounting for only 16% of the GDP. India is the 2nd most populous country. India is now the largest producer of **pulses** in the world, and the biggest **milk** producer, also one of the largest producers of **rice**, **wheat**, **sugarcane**, **cotton**, and **groundnuts**, as well as the second-largest **fruit** and **vegetable** producer. This signifies the immense shift from an agri-based to industrial economy. A country apart from socio-political dimensions has the economic development dimensions (like per-capita income, literacy rate, school and college education attainment, access to drinking water and electricity, access to medical facilities, job opportunities) to define itself as developing or developed. HDI by the United Nations is an average of three components, income, life expectancy and literacy, with India HDI rank in 2019 of 131 out of 189 and in the IMR, the country is having 30 as the number of deaths of children under 1 year of age.

With a large population which continues to increase at a fast pace, India has many challenges to face to develop its rural and urban areas. India stands in 2021 at 131 (out of 189) in Human Development Index, 139 (out of 149) in world happiness index, 46 in Globalisation index, 148 (out of 193) in %age of women in parliament, 121st in Economic Freedom Index.

Azadi Ka Amrit Mahotsav or India@75 campaign launched by the Government of India in 2021 to celebrate the 75th Independence Day. India is the 5th Largest (Nominal GDP) Economy and the Government of India has set an export target of \$400 Trillion for 2021-2022 with having achieved 38% of the target by the end of August 2021. India exported the following top 5 commodities 1) Petroleum products 2) Gems & Jewellery (3) Other cereals (4) Man-made yarn (5) Cotton yarn & fabrics. Other exports included were engineering goods valued at 5.6 Trillion Indian Rupees – products made from Iron & Steel, Non-ferrous metals, Industrial machinery and Automobiles along with spice, tea, coffee, tobacco in agriculture. Top Imports were (1) Oil (2) Precious stones (3) Electronics (4) Heavy Machinery (5) Organic Chemicals (6) Plastics (7) Animal & Vegetable oil (8) Iron & Steel. The Country is an exporter of Software Services but is also trying to be self reliant in defence and space and other areas by becoming an Aatma Nirbhar Bharath. The Prime Minister of India had announced a Rs. 20 lakh crore economic package under the 'Aatma Nirbhar Bharat Abhiyaan', to aid our country out of the Coronavirus crisis.

Covid-19 had impacted the MSME's having impact on the overall economic growth & employment, with 90% facing challenges pertaining to liquidity, labour, raw materials & logistics. Free Trade Agreements (FTA's) with UAE, Israel, EU, UK, Australia and Canada are being signed to provide more market access to MSME's. India had administered 94 crore doses of covid-19 vaccine as on 11.10.21.

Indian Railways which is the Life Line of the Indian Nation is contributing its efforts in nation building by exporting 3000 HP Locomotives, steel coaches, DEMU coaches , electric locomotives to Africa and Metro Coaches to Canada and Australia and indigenous Train Collision Devices(TCAS-“Kavach”) with global standards to Overseas markets.

World Trade Organisation is seeing a brighter global merchandise trade outlook for the year 2021 thereby India growth prospects are likely to get a boost ahead of China. AtmaNirbhar Bharat has a spring in its step, confident in its stride, but miles to cover...striving with a vision to emerge as a modern, Vibrant Nation. When India speaks of becoming self-reliant, it doesn't advocate a self-centred system. In India's self-reliance; there is a concern for the whole world's happiness, cooperation and peace.



Corruption and Prevention

❖ **R. Laxminarayana**

CVI/Accounts

In philosophical or theological terms, corruption is the abuse of bestowed power or position to acquire personal benefits. In moral terms, corruption per se is breaking the normal order for a personal gain. Not only bribery and doing undue favour, but jumping of a traffic signal, breaking the queue while boarding a public conveyance, and all other similar acts of an individual to be ahead of others is also a morally corrupt practice. Many might have done some or the other deed knowingly or unknowingly but they are tantamount to a morally corrupt practice.

It is peculiar to observe that some people in the modern society are looking for personal gain in each and every act they get involved. It is not that this character did not exist in the past civilizations, but it has become so eminent in recent times and growing at an alarming rate, which has become a threat to our society. This character has not been inherited from the forefathers biologically, but from elsewhere. And when we go into deep, it becomes apparent that we have inherited this from our surroundings - the materialistic society impounded by the scarcity of resources, in accord with the inherent greed and the vicious pleasure to be ahead of others. When we go back a few decades, the corruption was not so much heard off. The reason may be that then the needs of people were much limited than today. Those fortunate enough, accumulated their earnings to get hold of a two-wheeler and graduated to either an Ambassador or a Fiat. Common man, although had a dream to own a motor driven conveyance, never really felt the pressure, as most people around did not possess one.

Statutory bodies have made legislations and many organisations have initiated number of programmes to curb corruption, but “a genuine change must first come from within the individual”. Thus the onus of getting rid of this corruption lies with every one wishing to see the society free from corruption. As an individual, each one must be able to accept the circumstances we are in and stop looking at our surroundings and compete with them. We have to be happy with whatever we are gifted with, due to our hard work and endurance. It does not mean that one should stop dreaming for prettier things in life, but we must accept what life has bestowed on us and continue exhibiting the endurance we all have. If we really want to eradicate corruption and make corruption free society, we have to change ourselves we have to develop a zero tolerance attitude towards corruption. It is up to every citizen to take a call against corruption otherwise our society will never improve for the better future generation.

Awareness Series on PIDPI

❖ **K. Venkatesh**
CVI/Traffic

Sharma	Hi Guptaji how are you ?
Gupta	Don't ask Sharmaji. I am very much disturbed, I am unable to digest working atmosphere and the corruption going on in my work place. I have made a lot of written complaints on the corruption activities going on at my work place and the officials indulging the in corruption, But no action is being taken on them.
Sharma	No Guptaji, every complaint received on corruption will be investigated. Have you written your name and address in the complaint.
Gupta	No, why is it required.?
Sharma	Yes, it is required. Anonymous/Pseudonymous (Fake/False) complaints are often made to trouble honest officials performing their duties. So, as per CVC guidelines, no action is taken on anonymous/pseudonymous complaints.
Gupta	What is this anonymous/pseudonymous complaints ?
Sharma	Anonymous complaint means the complaint that does not bear the name and address of the complainant; Pseudonymous Complaint means the complaint which does not bear the full particulars of the complainant or is unsigned or is not subsequently acknowledged by a complainant On both type of complaints no action/ investigation will be undertaken.
Gupta	If I mention my name, the concerned officials will know it and target me / create problem in my work.
Sharma	There is a solution for that too. If you want to keep your identity confidential you can make complaint through PIDPI.
Gupta	What is PIDPI ?
Sharma	Any person who wants to make complaint under PIDPI can directly send the complaint to the Designated Agency in Railway Board (PED/Vigilance) or the CVC. In Railway Board/CVC after verification of genuineness of the complaint /complainant, the complaint will be forwarded to the concerned zone to carry out the investigation after removing the name and address of the complainant.
Gupta	What are the guidelines for lodging PIDPI Complaints ?
Sharma	<u>GUIDELINES FOR LODGING PIDPI COMPLAINT:</u> 1. The complaint should be in a closed/ secured envelope and should be addressed to PED/Vigilance or Secretary, Central Vigilance Commission.

	<ol style="list-style-type: none"> 2. The envelope should clearly be inscribed with “Complaint under the Public Interest Disclosure” or “PIDPI” 3. The complainant should give his/her name and address in the beginning or end of complaint or in an attached letter. The name and address should NOT be mentioned on the envelope 4. Only complaints pertaining to employees of the Central Government or of any corporation established by or under any Central Act, Government companies, societies or local authorities owned or controlled by the Central Government fall under the jurisdiction of the Commission. Personnel employed by the State Governments and activities of the State Governments or its Corporations etc. will not come under the purview of the Commission 5. Complaints should be sent via post only. Complaints received through emails, Complaint Management Portal or any other electronic medium will not be entertained 6. In order to protect identity of the person, the Commission will not issue any acknowledgement and the whistle-blowers are advised not to enter into any further correspondence with the Commission in their own interest. The Commission assures that, subject to the facts of the case being verifiable, it will take the necessary action, as provided under the Government of India Resolution mentioned above 7. The complaints should have vigilance angle and should not be for grievance redressal. 8. PIDPI complaints should not include details that identify the complainant. If the inclusion of such details is unavoidable then a normal complaint may be lodged in the CVC portal <p>Circulars and letters on PIDPI are available on the website of the Central Vigilance Commission and may be referred to for further details.</p> <p>Commission can also take action against complainant for making motivated/vexatious complaints under this resolution.</p>
Gupta	<p>Sharmaji, conversation with you on complaints relating to corruption, the procedure followed while dealing complaints and guidelines for lodging complaints under PIDPI have enlightened me on various aspects involved while dealing with complaints. This information will be very useful to any person who wants to lodge complaints on corruption/corrupt officials. Thank you very much Sharmaji, for your valuable information.</p>
Sharma	<p>Your are welcome Guptaji.</p>

स्वतंत्र भारत – आत्मनिर्भर भारत

❖ डी.रजनी, वरि.अनुवादक
सवारी डिब्बा कारखाना, लालागुडा

स्वतंत्र भारत देश हमारा
सुंदर भारत देश हमारा
आत्मनिर्भर देश बनाएं
भ्रष्टाचार मुक्त राष्ट्र बनाएं।

इसपर विचार हम सबको करना
आगे देश को हमें लेकर चलना
देश का हम जो सपना देखें
साकार उसे कर लेना सीखें।

आत्म विश्वास खुद में जगाएं
आत्मनिर्भर भी बन जाएं
सत्यनिष्ठा से उसे हम पाएं
हर क्षेत्र में उसे फैलाएं।

चाहे ज्ञान-विज्ञान का क्षेत्र हो
या कला-संस्कृति की हो बात
इतिहास के पन्नों में
हर दिशा की हवाओं में ।

स्वतंत्र भारत ही स्वर्ण भारत है।
आत्मनिर्भर भारत ही अतुल्य भारत है।

System Improvements

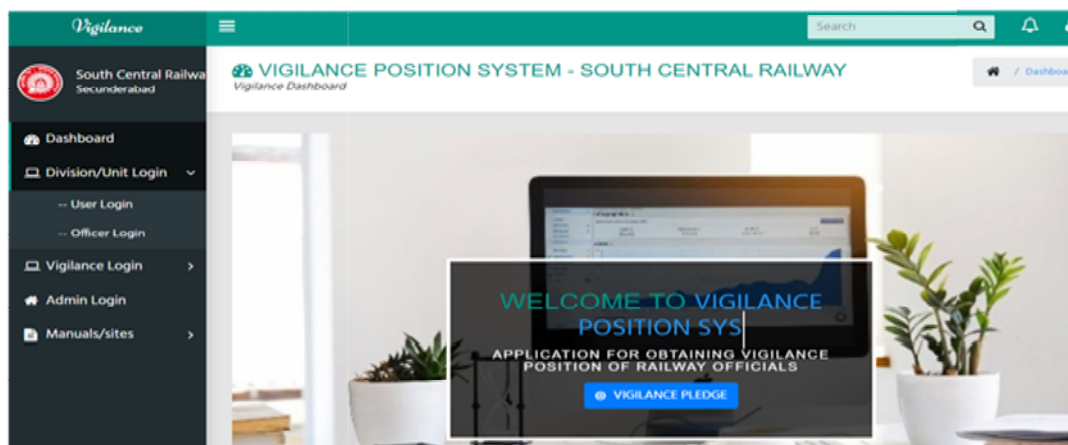
List of System Improvements Suggested by Vigilance

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1. System Improvement on Online System for providing Vigilance Clearance

- a) **Brief Description:-** A system of providing online Vigilance clearance for the officials (Gazetted & Non-gazetted) of SCR has been adopted w.e.f.Jan-2021. Following are the salient features of the system:
- a. In-house application (Software Module) has been developed. Separate Logins are provided for the officials of Divisional / Unit and Vigilance.
 - b. Division / Unit send online request for the officials requiring vigilance status, in prescribed format, to the vigilance department.
 - c. The data in the same format is retrieved by the nominated Vigilance Official. Thereafter, Inward Number is provided and vigilance status is obtained from IRVINS by mapping the information received from user, without the need of feeding the details of the individual employees.
 - d. The Vigilance Status so obtained, is sent online to the concerned Vigilance Officer, who checks & signs the letter using his **Digital Signature Certificate (DSC)** and uploads the same on the system which is then visible to the respective Division / Unit.
 - e. Reports are also available at all levels i.e., pending requests, replies sent etc.

Link : <http://10.51.15.231:90/vigil>



- b) **Background :-** Existing process of providing Vigilance Status for Officials of South Central Railways was being done manually (i.e. receiving and processing on physical letters) which caused significant delays, particularly in the dispatch of letters. In addition, earlier system was time consuming since information of individual employees had to be fed in the IRVINS to find out the vigilance status of respective employees. Errors in details like PF number of employees were also noticed which necessitated returning the requests to units causing further delays.

- c) **Implementation** :- Online System for providing vigilance status of the railway officials in S.C.Railway has been developed in-house with existing resources without incurring any additional expenditure and successfully implemented w.e.f. Jan-2021.
- d) **Impact and Benefits** :-Following are the key benefits of the above system.
- a) Sending and receiving the letter physically from Divisions/ Units is completely eliminated. This reduces the paper &printing cost and TA/DA of staff involved earlier in dispatch of letters.
 - b) Providing vigilance clearance is now faster since entire process (including receiving and sending the letters) is done digitally. Delays in dispatch are completely eliminated.
 - c) Time taken to extract the vigilance status from the IRVINS is same regardless of the number of employees. It reduces the time substantially, when vigilance status need to be provided for large numbers of the employees at a time.
 - d) It has enhanced the accuracy of DATA, since manual intervention is eliminated and correctness of data is checked at the entry stage in division/unit itself, obviating any need for returning requests for correction of such errors.
 - e) It has increased accountability and transparency, since the system tracks the pendency with each officials from end to end.
- e) **Potential for Replicability** :- It can be replicated across the other zones of Indian Railway and even in other Government organization.

2. System Improvement on Uniformity in Software requirement and Tender Schedule of EIMWB (Mechanical)

- a) **Brief Description:-** Based on the irregularities observed during the various PCs conducted on maintenance of Electronic In-Motion Weigh Bridges (EIMWBs), following system improvement was issued in Mechanical department.
- The weigh bridge software should not have options like **Delete, Edit, Erase or Export** rake weightment. This aspect needs to be checked during AMC schedule by OEM firms representative and departmental staff jointly.
 - A penalty clause should be included in AMC contract for delay in attention of AMC schedule visit by the OEM firm's service engineer.
 - Certification by legal metrology department once in a year and JA grade/SS officers' joint checks should be planned well in advance and to be conducted as per due dates.
 - Reference test wagons should be formed with gross weight 90T, 70T, 50T and 40T for calibration of EIMWBs.

- b) **Background:-** During the preventive checks conducted on EIMWBs, it was observed that software of EIMWBs were having some unwanted features like **“Erase of particular rake data”, “Erase of all rake information”** (In Rice Lake Weighing Systems), **Edit & Delete (Record) & Rake delete options** (In Digital Weighing Systems) etc. As per Para-5.13 of STR of EIMWB, March 2016, issued by RDSO, weightment records will be normally preserved for about 6 months & system should not permit any alteration of records after weightment is completed.

In execution of AMC contracts, there was a considerable delay in attending scheduled AMC visit of EIMWB's by OEMs. There was no penalty clause for delay in attending scheduled quarterly AMC visit. Calibration of EIMWB was being done with 5 reference wagons of weight as per earlier norms (i.e., Empty wagon, 40, 50, 60 & 80 tons), instead of revised weights of 5 reference wagons (i.e., Empty wagon, 40, 50, 70 and 90 tons) as per latest RB letter No.2004/DEV.CELL/IDEI/3, Dt.1.2.13 in one of the division.

- c) **How the vigilance risk has been reduced as a result of system improvement:** Manipulation of weightment data will be eliminated, if there is no such option of EDIT & DELETE the weightment data of rake, available in software of EIMWBs.
- d) **Implementation:-** System Improvement was implemented vide PCME letter No.249/Plg/WB Policy/409/Vol.V, Dt.3.1.2019, in Mechanical deptt. of SCR.
- e) **Impact and Benefits:-** Revenue leakage will be arrested. By incorporating the suitable penalty clauses in contract, maintenance of EIMWB will proper and will ultimately improve the reliability of the asset.
- f) **Suggestion about other areas where the improvement can be utilized:-** It can be implemented in other Railways, wherever required.

3. System Improvement on Outsourcing Contracts for incorporation of Penalty Clause for not providing Bio-metric attendance system & Compliance of EPF & ESI contributions for contract labour (Mechanical)

- a) **Brief Description:-** Based on the irregularities during the PCs on execution of House Keeping contract works, the following system improvement was issued in Mechanical Deptt.
- Incorporation of penalty clause for not ensuring Biometric Attendance of the staff during the currency of contract in outsourcing contract works like OBHS, CTS, House-keeping, Coach/Station Cleaning, Security, Maintenance etc. **"A penalty of Rs.1000/- per shift where Bio-metric attendance is not taken for the contract staff"**.
 - Compliance of EPF & ESI Contributions for Contract Labour and payment of minimum wages by the contractor to be ensured. This includes wages through bank payments, cross verification of EPF/ESI statements submitted by the contractor to ensure the genuinity / reflecting data of contract labour with respect to the payment of EPF/ESI contribution etc. **All Sr.DME/Sr.DEnHM shall ensure these issues before passing the bills.**
- b) **Background:-** Outsourcing contract works like House-keeping, Cleaning, Maintenance etc., are labour intensive activities, which are not tangible at later stage unlike other contractual activities. Therefore role of Biometric attendance system is very crucial for such contract works. During the Vigilance checks, it was observed that, at present, the clause for providing Biometric attendance system was available in such outsourcing contracts, but penalty clause was not available when contractor fails to provide the same.

Observations were also made w.r.t non-availability of proper system to verify the genuineness of Bank payment of wages to contract staff & genuineness of EPF & ESI statements submitted by the contractor with EPFO/ESIC websites before processing contractor's bills/reimbursement etc.

3. **How the vigilance risk has been reduced as a result of system improvement:-** Biometric attendance of contractor staff will eliminate any sort of manipulation in attendance of contract staff. Suitable penalty clause in this regard will compel the contractor to ensure biometric attendance of contract staff.
4. **Implementation:-** System Improvement was implemented vide PCME's letter No.249/Plg/WB/ Policy/409/Vol.V, Dt.17.6.2019 in Mechanical deptt. of SCR.
5. **Impact and Benefits:-** Quality of the work will improve. Social obligations with regard to payment of minimum wages and EPF & ESI contribution to the contract staff will be ensured.
6. **Suggestion about other areas where the improvement can be utilized:-** It can be implemented in other Railways also, wherever not done so far.

4. System Improvement for incorporating penalty clauses in AMC of S&T equipments

- a) **Brief Description:-** Based on the various irregularities in AMC contract of S&T equipments, following system improvement for incorporating the suitable penalty clauses in AMC contracts has been issued in S&T Department.
- To incorporate suitable penalty clause for missing AMC visit or delay in conducting scheduled AMC visit beyond stipulated time. Check list & frequency/schedule of AMC visit to be clearly defined in the contracts.
 - AMC Engineer should have competency Certificate issued by OEM. OEM competency certificate should cover the Training imparted to AMC Engineer in Scheduled Maintenance, Troubleshooting of various types of failures by simulating them, programming, if any etc. Suitable penalty clause shall be available in contract, if required nos. of AMC Engineers are not available at site or they are not competent enough to handle the equipment under AMC.
 - Spares requirement (various cards/modules etc.) in the AMC contract should be well defined (station wise, if required) and same to be available under the custody of Railways. In case, the spares are not available, suitable penalty clause should be available in AMC for missing particular card/module etc.
 - Major and minor failures should be clearly defined in the contract. Major failure means, failures where system working is affected. Minor failure means, failures where system working is not affected but failure needs to be attended to ensure reliability/redundancy of system. Quantum of penalty should be stipulated clearly for both types of major and minor failures whenever restoration of such failures exceeds stipulated time.
 - Location of Headquarters of AMC engineer should be defined in AMC. Further, the escalation matrix for the failure should also be provided by the contractual agency.
 - Various S&T equipments are being entered into AMC and hence different quantum of penalty provisions need to be adopted depending on type of system/equipments, requirement of their availability and type of failure (Major/Minor). Further quantum of penalty incorporated in AMC should be substantial enough so that it compels the firm to promptly conduct the scheduled preventive maintenance and time of restoration of any failure is also minimal.
 - In addition to above, any other penalty if required by the executive, on case to case basis, may also be incorporated in AMC contract.
 - Above penalty provisions should also be incorporated in various works contracts of electronic equipment (eg:- EI, MSDAC, BPAC, UFSBI, IPIS, CCTV etc.) which are covered under maintenance period/warranty period. Penalty, if any, shall be recorded in the register and shall be communicated at each instance of occurrence to Agency, and same shall be ensured to be deducted from the final bill/ SD amount of the works contract. The frequency of maintenance schedule by

competent service engineer and stipulated time duration to attend the major/minor failure along with relevant penalty clauses as applicable for maintenance period and warranty period should be clearly stipulated in such contracts.

- b) **Background:-** During the PCs conducted on AMC of S&T equipments in various units of SCR, it was observed that contractor did not carry out the scheduled maintenance / there was a substantial delay in conducting these schedules. Penalty could not be imposed on the contractor for these lapses since there was no penalty clause in the contracts. Firm was supposed to maintain some set of the spares at the stations, however, there was no penalty clause in the contracts, when contractor fails to keep spares cards/modules. Major and minor failures wherever applicable, were not defined in contract and there was no clarity on imposition of quantum of penalty on major & minor failures.
- c) **How the vigilance risk has been reduced as a result of system improvement:-** By the above detailed guidelines on AMC contracts, there will be more transparency in the system. The malpractices in terms of not maintaining spares and not attending schedule visits/failures in time, will be reduced.
- d) **Implementation:-** System improvement has been issued by PCSTE vide letter No.SG/36/AMC/Record, Dtd.19.9.2019 and implemented in S.C.Railway.
- e) **Impact and Benefits:-** Incorporating these clauses shall ensure the preventive maintenance of equipments in time & also restoration of failure promptly, which will ultimately improve reliability of S&T equipments and hence efficient train operation.
- f) **Suggestion about other areas where the improvement can be utilized:-** The above policy guidelines can be replicated across the other zones of Indian Railway, wherever required.

5. System Improvement on releasing SD after completion of maintenance & Warrantee period in S&T Contracts

- a) **Brief Description:-** System Improvement was issued to ensure **completion of warranty period before releasing the Security Deposit (SD)** in S&T Contracts, in addition to completion of maintenance period. Para-16(2)(i) of GCC stipulates the Refund of Security Deposit after completion of maintenance period. While implementing this, completion of warranty has also to be ensured before releasing the SD, in addition to the maintenance period. Also, Warranty period of the equipment will commence after commissioning of the work. Further, the period of Warranty & maintenance and releasing SD shall be consistent in the entire document of that contract.
- b) **Back Ground:-** The EIs contract work of S&T have the maintenance period as well as warranty period (ranging 12 to 36 months as per the tender conditions). Para-16(2)(i) of GCC stipulates the Refund of Security Deposit after completion of maintenance period. Vigilance observed that retaining the SD till completion of warranty (in addition to the maintenance period) of equipment will compel the contractor to carry out repair / replacement of failed equipments promptly. It is also observed that different-different warrantee periods were mentioned in the tender document (e.g. at one place of the contract, the warrantee period of EI was mentioned as 36 months, whereas at other place of the same contract, it was mentioned as 18 months). Also, the commencement of warrantee & maintenance was also not clear in some contracts (e.g: at some places of contract, it commences from date of commissioning of the work, whereas at another place of the same contract, it commences from the date of completion of work).
- c) **How the vigilance risk has been reduced as a result of system improvement:-** Inconsistency with regard to time period related to releasing SD and Warranty in the same contract may result financial loss to Railway, since agency will insist to comply the contract conditions favourable to him. Also ambiguous contract conditions may also lead to arbitration etc., resulting the wastage of precious time of administration & financial implications to Railways. Above System Improvement will address these issues.
- d) **Implementation:-** System Improvement was implemented vide PCSTE's letter No.SCR-HQ0SNT(TEND)9/2019(e22648), dtd.4.2.2020 in S&T deptt. of SCR.
- e) **Impact and Benefits:-** Retaining the SD till completion of warranty (in addition to the completion of maintenance period) of equipment will be helpful **to compel the contractor to carry out repair / replacement of failed equipment promptly** during warrantee period. No need to give AMC till completion of Warranty period as per the contract.
- f) **Suggestion about other areas where the improvement can be utilized:-** It can be implemented in other Railways also.

6. System Improvement on ensuring proper testing, accountal and installation of exothermic welding materials in S&T installation

1. **Brief Description:-** Based on irregularities in supply & installation of exothermic material, System Improvement was issued in S&T Deptt. as under:
 - Inspection of exothermic weld materials by RDSO/RITES irrespective to the value of material.
 - Ordering the material when site is ready for installation for the optimal result.
 - Accountal of the material in store and thereafter issuing to site for installation irrespective to whether covered under supply or labour portion of the contract.
 - Returning unutilized / unused quantity of exothermic welding material, wherever applicable, to Railway Stores.
 - Submitting jointly signed statement of SSE and Contractor indicating no. of bonds utilized station / location-wise (IBS, LC etc) & track circuits wise along with MB and bill copy.
 - SSEs to ensure various documents like Training manual / working instructions for the user, laboratory test report etc., as stipulated under Para-5 of IRS:S-103/2004. All conditions as stipulated under Spec.IRS:S-103/2004 for welding material for track circuit applications should be ensured.
2. **Back Ground:-** During the PCs conducted on S&T contract work, involving supply and installation of exothermic weld materials, it was observed that material was supplied with consignee inspection directly at site (i.e., without accountal in store). Further, the material was ordered much before the site was ready for installation, causing the material lying in the Store unutilized for a long time. Such material has its shelf life.
3. **How the vigilance risk has been reduced as a result of system improvement:** Inspection by RITES/RDSO will prevent the malpractices by firms by supplying substandard material. Accountal of material in store will also prevent any malpractices in supply of such materials.
4. **Implementation:-** System Improvement was implemented vide PCSTE's letter No.SCR-HQOSNT (TEND)/9/2019 (E-22648), dtd.22.7.2020 in S&T deptt. of SCR.
5. **Impact and Benefits:-**Third party (RDSO/RITES) inspection of material will ensure the quality of the supplied material. Ordering the material when site is ready for installation, will ensure the optimal result, since exothermic material has its shelf life. This will ultimately improve the reliability and safety of signaling system.
6. **Suggestion about other areas where the improvement can be utilized:-** It can be implemented in other Railways also.

- a) **Brief Description:-** In order to ensure the proper inspection of material by the consignee, and uniformity in conducting and issuing consignee inspection certificate of material under works contracts / store, a unified format for proper inspection of material issued, which includes (i) item no. & description of material, (ii) Quantity as per schedule (iii) Quantity passed (iv) Signature of the officer in charge and supervisor etc. (Proforma enclosed). This will ensure proper inspection of material by the in-charge supervisor and the officer.
- b) **Background:-** During the PCs in store depots, it was observed that there was no uniformity in issuing Consignee Inspection Certificate for material inspected by consignee. These consignee inspection certificates did not have the various relevant details like Item No. as per schedule, Quantity as per Schedule, Quantity Passed, etc. in proper format. Even few of these certificates were not signed by In-charge Officer, who inspected the material.
- c) **How the vigilance risk has been reduced as a result of system improvement:-** Proper inspection of material by SSE & in-charge officer, will ensure transparency and accountability of the material. It will also reduce any sort of malpractices in supply of sub-standard material.
- d) **Implementation:-** System Improvement was implemented vide PCEE's letter No.E/207/6/P/HQ, Dt.17.4.2019, in Electrical deptt. of SCR.
- e) **Impact and Benefits:-** Proper consignee inspection of material will ensure the quality of material supplied and hence will improve the safety and reliability.
- f) **Suggestion about other areas where the improvement can be utilized:-** It can be implemented in other Railways, wherever felt necessary.

Unified Inspection Certificate of Material

1 Contract/PO No & Date :
 2 Name of Work /Item :
 3 Firm/ Contractor Name & Address :
 4 Indenter :
 5 Consignee :
 6 Item / Store Received Date :
 7 Date of Inspection :

8 Certified that the item /stores noted below have been inspected and the results of the inspection are as under:

Sl.No.	Item No as per schedule	Description of material	Unit	Qty as per Agt.	Qty already passed	Qty now offered for inspection	Qty. Now Passed	Result of Inspection	DMTR Sl.No & Date	Remarks if any

Note: 1. Test certificates of OEM/ Accredited laboratory shall be ensured wherever applicable. Further the details of checking/ testing done by consignee wherever applicable should also be enclosed.
 2. Gaurantee / Waranty should also be ensured while conducting the inspection by Consignee.

Name, Designation of Custodian of Stores _____
 Name, Designation of Inspecting Supervisor _____
 Name, Designation of Inspecting Officer _____

8. System Improvement on inclusion of check list of acceptable make of parts / equipments for RMPUs of AC coaches in CMC contractual work (Electrical)

- a) **Brief Description:-** In order to ensure the compliance of guidelines of RDSO and uniformity of contractual conditions in **RMPU maintenance contracts of AC coaches**, following conditions should be incorporated in future contracts.

- A check list on details of part/makes to be used in RMPU of AC coaches as per annexure – 1 of RDSO specification to be included in contract. This check list should be jointly signed by authorized contract supervisor & in-charge SSE duly indicating the details of parts/ makes used by contractor against each item during POH/maintenance and shall be submitted along with the bills.
- Parts of RMPU/components being used shall be as per acceptable makes of equipments as per RDSO specification. Proof of purchase/invoice copy from RDSO approved firm/OEM or their authorized dealers as prescribed in this annexure - 1 of RDSO specification shall be submitted along with supply of materials”.

In this connection, Annexures 1 of specification No.ELPS/SPEC/ AC/03(Rev.2) May 2009 & RDSO/PE/SPEC/AC/0061-2005 (Rev1) may be referred. The latest/revised RDSO approved specification & makes in the future contracts may be ensured from time to time.

- b) **Background:-** During the PCs on CMC of RMPUs work in two divisions, it was observed that, **in the contract work of one division**, firm did not submit the Invoice copy / proof of purchase for fresh Air-filters and Return Air Filters for the large quantity of material and material was accepted & provided for POH activity of AC coaches, against the contractual conditions. **Similarly, in the contract of another division**, it was observed that condition of submission of Invoice copy / proof of purchase for item replaced in POH activity was not available in the contract, and hence the SSE did not ensure the Invoice copy / proof of purchase of large Nos.of fresh air filters & returns air filters, used during POH.

As the POH of RMPU of AC Coaches is important activity, since it involves replacement / repair of various safety related items like condenser / blower fan motors, filters, thermostat, cable, relays etc., and hence, genuineness of such material is to be ensured before using in coaches. RDSO has also given specifications on RMPU vide spec. No.ELPS/SPEC/AC/03/Rev.2, May'2009 or latest for conventional coaches and RDSO spec No.RDSO/PE/SPEC/AC/0061-2005(Rev.1) for LHB variant coaches. In this spec., RDSO has specified the acceptable make of equipments for 32 items for conventional coaches & 37 items for LHB variant AC coaches, used during POH / maintenance of RMPU of AC Coaches. The vital items like condenser / blower, fan motors, various cables, air filters (fresh & return), thermostat etc., should be of as per RDSO approved makes.

- c) **How the vigilance risk has been reduced as a result of system improvement:-** By the above detailed guidelines in contract work of CMC of RMPUs of AC coaches, there will be clarity and transparency in the system. The

malpractices like not supplying the genuine parts as per RDSO recommendations etc. shall be eliminated.

- d) **Implementation:-** System improvement has been issued by PCEE vide letter No.E/227/TL&AC/4/61/RMPU/Vol.XI, Dt.16.12.2019 and implemented in S.C.Railway.
- e) **Impact and Benefits:-** It will improve the reliability of system and premature failures will be reduced, thereby resulting financial saving in long run. There will clarity to SSEs and Contract agencies regarding the details of work to be performed during execution of contract.
- f) **Suggestion about other areas where the improvement can be utilized:-** The above policy guidelines can be replicated across the other zones of Indian Railway, wherever required.

9. System Improvement on Warranty claims of Electrical items:

- a) **Brief Description:-** Based on the irregularities on warranty claims of large nos. of failure of LED fittings, system improvement is issued for electrical items as under:
- Contract should have conditions such as:-
 - Penalty clause on failure & warranty / guarantee obligations.
 - Non-erasable Screen printing of Agt. No., DOI & warrantee on items/materials.
 - Inspection of material as per format issued by PCEE office, where inspection is not covered by RITES.
 - Credit value for the released fittings, wherever applicable, to be included in future contracts. It shall be decided by the tender schedule approving authority.
 - Major depot in Division to be nominated as nodal depot for collecting warranty replacement position from the entire section and raising the complaint to respective firm for repair/replacement.
 - The repair/ replacement of failed item under warranty shall be done at respective user depot by the firm under intimation to the nodal depots.
 - After completion of warranty and while releasing the SD, Sr.DEE shall ensure penalty for non-compliance of warranty.
- b) **Background:-** 35000 LED fittings were procured through two POs during the year 2018-19. Further, 24690 LED fittings were distributed to various field units. During the PCs conducted, it was observed that 18.15% of these LED fittings were failed within a short period of few months. The failed LEDs were not replaced by respective firms for a long period (>6 Months).
- Further, during the PCs on works contract of LEDs, observations were made such as, contract agreement no., date of installation (DOI) & warrantee details were not marked/screen printed on LEDs. No penalty clause was available in contracts for not attending the defective/failed LED's and for delay in replacement. No guidelines were available with SSEs on action to be taken on released working electrical fittings, causing huge stagnation in store units etc.
- c) **How the vigilance risk has been reduced as a result of system improvement:** By the above detailed guidelines on **Warranty claims of Electrical items**, there will be transparency in the system with regard to under warranty failures and any sort of malpractices in this regard will be reduced.
- d) **Implementation:-** System improvement was issued by PCEE vide letter No.E/207/6/P/HQ, Dtd.19.3.2020 and implemented in S.C.Railway.
- e) **Impact and Benefits:-** Warranty claim can be made promptly through a nominated official in a division. Supplier/ contractor will be more attentive to arrange repair/replacement due to penalty clauses in Contracts. Financial saving on account of repair of failed equipment under warranty, will be avoided. Railway will get credit values from Released fittings.
- f) **Other areas where the improvement can be utilized:-** The above policy guidelines can be replicated across the other zones of Indian Railway.

10. System Improvement on Policy Guidelines on casting of OHE foundations (Electrical)

a) **Brief Description:** During the various checks on OHE works, vigilance department has identified the need for improvements in area of casting OHE foundations and cube test for OHE foundations, to bring the quality in execution of the work, clarity and uniformity in various stipulations in contract and proper awareness into the system in this regard. Accordingly, Policy guidelines on subject issue, has been issued by the Electrical deptt in S.C.Railway w.e.f.31.03.2021. Following are the **salient features of policy guidelines**:

- i. OHE foundations will be casted as per IS:456-2000 & IS:516-1959. However, the frequency of sampling of cube testing shall be as, 2 samples for 1st 50 cu.m of concrete (One sample comprising 3 cubes, will be subjected to compression test after 7 days and another sample after 28 days) and further one sample (comprising 3 cubes- subjected to compression test after 28 days) for each additional 50 cu.m. of concrete used for OHE foundation.
- ii. Size of the cube shall be 15cm x 15cm x 15cm. Specimens on cubes shall be inscribed with location details from where the concrete of the cube test is collected.
- iii. The test cubes should be placed in the core of the foundations till test is carried out or till grouting of the mast is done. Testing of the concrete cubes should be done at NABL accredited Pvt. Lab/Govt.College/Govt Institutions. If sample fails in cube test, new foundation shall be re-casted in their place.
- iv. Maintenance of Daily Progress Report (**DPRs**)- DPRs should be a bound book serially numbered & details of contractor printed on it. Foundation **dimensions** along with volume of foundation (including nos. of bags of cement used, quantity of fine & coarse aggregate) to be available in DPR of each foundation.
- v. Record of foundation cube test, **with locations of sample collected** should be maintained for entire volume of concrete work. Contractor's representative to be in possession of **Cement consumption** register and **sieve analysis test reports**.
- vi. Required grade (eg.M-10, M-15, M-20 etc) for foundation concrete and core concrete of the masts should be ensured by the in-charge official at site.
- vii. In-charge official of Railway should ensure the return of the material by the contractor, issued on loan to him, before clearing the bills. Separate ledger of the material received/issued to the contractor should be maintained by him.
- viii. All released materials (for replacement /modification work) to be accounted before processing the bills.

b) **Background:-** Based on the various irregularities observed during the preventive checks on OHE work, it was observed that there was very poor awareness with

regard to conduct the cube test of concrete mix. Detailed guidelines/procedure were not available in the contracts. Record of maintenance of Daily progress report (DPRs) and other related records were not proper. Since, quality of the OHE mast foundations is very vital to ensure safety of the train operation and for long reliability of the asset. Hence need was felt to issue the policy guidelines in this regard.

- c) **How the vigilance risk has been reduced as a result of system improvement:-** Incorporating the detailed policy guidelines and method of test for strength of concrete being used for OHE foundations, in tenders/contract, will bring transparency in the system and any sort of manipulations with regard to quality of OHE foundations shall be reduced.
- d) **Implementation:-** Policy guidelines and practices for casting of OHE foundations and cube test for foundations, has been issued by PCEE vide letter No.E.219/TRD/Circular/Vol.III, Dtd.31.3.2021 and implemented in S.C.Railway.
- e) **Impact and Benefits:-** Incorporating the detailed policy guidelines and method of test for strength of concrete being used for OHE foundations, in the related tenders/contract, will bring clarity, uniformity and proper awareness in the system, which will ultimately ensure the quality execution of the work and safety of train operation. Increased reliability will reduce the cost of maintenance in long run.
- f) **Suggestion about other areas where the improvement can be utilized:-** The above policy guidelines can be replicated across the other zones of Indian Railway.

11. System improvement on Procurement of cables (Electrical)

- a) **Brief Description:-** The cables supplied under works contract & NS indent, **where inspecting authority is consignee**, the specified conductor resistance value shall be checked by the respective consignee with the help of calibrated meter by NABL accredited lab. Values so obtained, shall be recorded in the consignee inspection certificate and any deviation shall be brought to the notice of B.O. for corrective action. The measuring meter / instrument shall be get calibrated with NABL accredited lab from time to time. Further, the test report from OEM's for all consignee inspected cables shall be ensured by the respective consignees.

RITES QA Division has also issued instructions that the Inspecting Engineer of the RITES, shall take **few test specimens by taking the entire drum length of cable while carrying out their inspection**, as suggested by the S.C.Railway Vigilance.

- b) **Background:-** During a PC conducted on quality of 03 types of the power cables (4Core 25 Sq.mm, 4Core 50 Sq.mm & 4Core 120 Sq.mm) at stores depot, the conductor resistance values were found much more than the specified value as per the IS 8130:1984. These cables were pre-inspected by the RITES & the values recorded in RITES IC were within the specified limits of IS. After the vigilance checks, Joint inspections were carried out by the RITES, Firms & Railway, in presence of Vigilance and all 03 types of the cables were failed. Hence all these 3 types of the cables were rejected by Railway.
- c) **How the vigilance risk has been reduced as a result of system improvement:** By taking **few test specimens of entire drum length of cable by RITES inspecting officials**, the possibility of manipulation of cable parameters at middle of the cable drum by cable manufactures, will reduce. By checking the cable resistance by the consignee, any sort of manipulation/ sub-standard supply of material will reduce.
- d) **Implementation:- Implemented** vide PCEE letter No.E.227/CEGE/SIM/1/2021, Dt.27.5.2021 in Electrical deptt. of SCR.
- e) **Impact and Benefits:-** Reliability of cable and safety of Railway system will improve, due to good quality of the cable. It will also result the financial saving since premature replacement of the cable will reduce.
- f) **Suggestion about other areas where the improvement can be utilized:-** It can be implemented in other Railways also.

12. System Improvement on identification of Contractors in the line of KYC (Commercial)

a) Brief Description:

A Tea stall contract was awarded in favour of Shri Raghavendra Upadhaya in the year 1969 at a station. The licensee Shri K Raghavendra Upadhaya passed away in the year 2005. His cousin Shri K Ramachandriah Upadhaya impersonating as licensee was running the contract and signing all correspondence and agreements with Railway department as KR Upadhaya.

As a system improvement, it was suggested to maintain database of all contractors with contract particulars and photo IDs' with their specimen signature, similar in the line of **KYC on** every extension/renewal.

b) Background:

In the Railway Board issued Catering Policy provision for renewal of catering contract exists, on fulfilling of the prescribed terms and conditions.

c) How the vigilance risk has been reduced as result of system improvement:

Promotes fair opportunities, transparent system and checks manipulation.

d) Implementation:

Accepted by PCCM/SCR and implemented over this Railway.

e) Impact and benefits:

Malpractice if any can be checked and promotes transparency.

f) Suggestion about other areas where the improvement can be utilised:

Similar system can be followed in all Earning contracts.

13. System Improvement issued on receipt of Drug Analysis Reports (Medical)

- a) **Brief Description:-** Based on the Vigilance advice, PCMD has issued a System Improvement advising CDSCO & other testing agencies to send the drug analysis reports directly to HoD of the Health Unit with a copy to PCMD's Office rather than the Pharmacist from whom the samples have been collected.
- b) **Background:-** The samples of drugs are collected from Pharmacists of various Railway Hospitals by Drug Inspectors of State and Central Agencies like CDSCO. The report on the Quality Control of drugs was directly given to the Pharmacist. But it was seen that no action was being taken even if some substandard drugs are supplied to the Railway Hospital and the Quality Reports were lying with the Pharmacist. Drug Procurement Policy regarding supply of substandard drug issued by Railway Board vide letter No. 2014/RS(G)/779/13 dated 4.6.2018 specifically wherever the firm would be asked to replace the substandard batch by another batch, while replacing the batch, the firm will also submit drug analysis report of a third party Lab declaring the new batch as standard one along with the firm's own analysis report.
- c) **How the vigilance risk has been reduced as a result of system improvement:-** The quality analysis reports are directly being received by PCMD's Office who in turn are forwarding the reports to various CMSs of the divisions advising to take necessary action against erring firms either to replace the substandard drug or affect recovery as per the Purchase Order condition.
- d) **Implementation:-** PCMD vide his letter No. MD/69/Drug Analysis/Vol.IV dated 27.11.2020 has addressed the Director/CDSCO to directly send the drug analysis reports directly to PCMD's Office.
- e) **Impact and Benefits:-** Ensured that no substandard drugs are given to the Patients and they are replaced / recovered by the erring firm.
- f) **Suggestion about other areas where the improvement can be utilized:-** Nil

14. System Improvement in issuance of Card Passes in favour of office bearers of recognized trade unions (Personnel)

a) **Brief Description:**

Railway Board vide their letter No.E(LR)III/97/UTF/2 dated 30.04.1997 have decided to issue two card passes in favour of the divisional office bearers of the recognised union each containing names of two office bearers, instead of four name in one card pass. Despite the above instructions, it has been noticed by the Vigilance department in one of the divisions that one DCP was issued in favour of four office bearers of one of the trade unions and the said DCP was renewed from time to time. Further one of the office bearers whose name was included in the said card pass was retired on attaining the age of superannuation but the said card pass was extended even after his superannuation which has resulted in extending the pass facility beyond his date of superannuation which is irregular.

In order to prevent such irregularities, System Improvement was issued by PCPO as per that the date of Retirement of the Office Bearer of Trade Union shall be taken from the General Secretary/Divisional Secretary whenever card pass is sought/renewal for card pass is sought by the organization and shall be mention in DCP. Further, it is also advised to ensure whether the service of the office bearer has been extended beyond his/her superannuation or otherwise. It also instructed to adhere to the Board's instructions in issuing two card passes to the divisional office bearers of the recognised trade unions each containing name of the two office bearers instead of four names in one card pass.

- b) **Background of the existing system:** The card passes issued in favour of the divisional office bearers of the recognised unions are being renewed from time to time on the strength of request submitted by the Divisional secretary of the trade union with the endorsement of OS/PNM. Date of retirements of the office bearers was neither mentioned by the divisional secretary in his request nor did Ch.OS/Pass section verify the date of birth before renewal of validity of the DCP, resulting in extending the pass facility beyond the date of superannuation. Therefore in order to avoid such system failures in future, the above System Improvement is suggested.
- c) **How the vigilance risk has been reduced as a result of system improvement:** By implementing the above System Improvement, the vigilance risk has been reduced in misusing of the card passes issued in favour of the divisional office bearers of the recognised unions beyond their date of superannuation.

- d) **Implementation:** PCPO/SC has issued the System Improvement on the above subject vide letter No.P(R) 473/X dated 22.04.2021 for adhering by all the divisions and workshops over South Central Railway.
- e) **Impacts and benefits:** By implementing the above system improvement, the irregularities of the above nature will not recur.
- f) **Suggestion about other areas where the improvement can be utilized:** Nil

15. System Improvement on verification of genuineness of sports certificates for recruitment against Sports (Personnel)

a) Brief Description:

- (i) On receipt of applications for recruitment against Talent/Scouting, the genuineness of the sports certificates produced by the sportspersons must be got verified with the concerned Sports Board/Authority through a Welfare Inspector before offering appointment.
- (ii) In the case of open advertisement quota, since the applications are in large number, the scrutiny committee consisted for recruitment purpose will initially assess the genuineness of the sports certificates/ achievements produced by the candidates and the provisionally eligible candidates shall be called for Trial duly obtaining a declaration from these candidates that their appointment will be subject to obtaining genuineness of their sports achievements /certificates from the concerned Sports Authority/Board.
- (iii) After conducting the Trials, the genuineness of the sports achievements/certificates of the candidates qualified in the trials in various sports/games according to the vacancies notified against each sport/game, will be verified with concerned Sports Authority/Board. On receipt of the same, the selection proceedings of the Recruitments Committee will be put up to the competent authority for approval.
- (iv) In both the above cases (Talent Scouting as well as Open Advertisement) offer of appointment will be sent to those candidates who fulfil all the requirements for appointment against sports quota including the genuineness of the Sports certificate/achievements certified Sports Authority/Board.
- (v) While accepting the papers of candidates for appointment against Sports quota recruitment, Divisions/Units should ensure that the above formalities have been complied with in the cases allotted to their Divisions/Units.

b) Background of the existing system:

- (i) As per extent instructions of Railway Board, recruitment of sportspersons against Sports quota is to be done annually by the Zonal Railways by means of Talent Scouting as well as Open Advertisement quota.
- (ii) On an investigation of a complaint regarding the genuineness of a sports certificate by the vigilance department, it was noticed that the genuineness of the sports certificates was not verified with the concerned Sports Authority/Board before giving the offer of appointment to the qualified candidates. It is observed that there is no uniform practice of getting verified the academic/sports certificates by the divisions before issuing office order and hence, vigilance suggested to make necessary system improvement.

- c) **How the vigilance risk has been reduced as a result of system improvement:**
Due to implementation of system improvement all divisions have adapted uniform procedure i.e. verifying the sports certificates from the issuing authority before offer of appointment is issued in recruitment under Talent Scouting as well as Open Advertisement quota.
- d) **Implementation:** Sr.DPO's/WPO's/Extra Divisional Officers of all Divisions/Units have been advised to follow procedure adopted in the said letter to avoid irregularities in recruitment of sportspersons against sports quota in Railways.
- e) **Impact and benefits:** Due to above system improvement all divisions adopted uniform procedure in recruitment against Talent/Scouting and Unnecessary complaints and court cases reduced due to streamlined system.
- f) **Suggestion about other areas where the improvement can be utilised.** This can be done for recruitment of Scouts & Guides and cultural quota also.

16. System Improvement on allotment of negative marks for double/multiple bubbling in OMR scripts in all LDCE/GDCE selections (Personnel)

a) Brief Description:

- i. During preventive checks conducted by Vigilance Department it has been noticed that negative marks are not deducted for multiple bubbling by the candidates in the OMR scripts and suggested that multiple bubbling by the candidates in OMR scripts should be treated at par with the wrong answers and $\frac{1}{3}$ marks is to be deducted.
- ii. System improvement was given that, Double/multiple bubbling by candidates in the OMR scripts for promotional examinations should be treated as wrong answer. While negative marks are not to be deducted in regular selections where panel is arranged in the order of seniority from those qualified as per RBE No 194/2019, double/multiple bubbling for a question by candidates in OMR scripts in all LDCE/GDCE selections should be treated as a wrong answer and negative mark(s) deducted.

b) Background of the existing system:

- i. Vide Railway Board's RBE No. 196/2018 (SC No. 212/2018) introducing 100% objective paper for promotional examination with negative marking for in correct answers One third of the marks allotted for each question to be deducted for wrong answers.
- ii. Subsequently, Railway Board in their RBE No.194/2019 (SC No.159/2019) have decided that there will be no negative marking in selections against departmental quota where panel is arranged in the order of seniority from those qualified. Concept of negative marking @ $\frac{1}{3}$ mark for a wrong answer is to be followed for selections including LDCE/GDCE where panel is arranged in the order of merit.
- iii. There were no clear guidelines for allotment of negative marking @ $\frac{1}{3}$ mark for double/ multiple bubbling for a question by candidates in OMR scripts at par with the wrong answers in promotional examinations.
- iv. It is observed in one division that negative marks were not deducted for multiple bubbling by the candidates in OMR scripts of LDCE selection, resulted in excess marks and one candidate declared as passed by awarding 50 marks instead of 49.67 which is not pass mark for the said post.

c) How the vigilance risk has been reduced as a result of system improvement:

Due to implementation of system improvement all divisions have adopted uniform procedure in conducting departmental examinations and concept of deducting negative marking @ $\frac{1}{3}$ mark at par with wrong answer for selections including LDCE/GDCE selections.

d) Implementation: Sr.DPO's/WPO's/Extra Divisional Officers of all Divisions/Units have been advised to follow procedure laid down in the said letter for awarding

negative marks in departmental promotional examinations to avoid irregularities and same is adopted by the all the divisions, workshops.

- e) **Impact and benefits:** Due to above system improvement, all divisions adopted uniform procedure in awarding negative marks in departmental in promotional examinations, which has also reduced unnecessary complaints and court cases.
- f) **Suggestion about other areas where the improvement can be utilized:** Nil.

17. System Improvement in Tender Floating Procedure (Stores)

a) Brief Description:

- a. A minimum time limit of 7 days is suggested for other than advertised tenders to allow sufficient time for participation by potential tenderers
- b. Guidelines suggested for handling tenders with opening time lesser than the period of 21 days prescribed for advertised tenders.

b) Background:- In the existing system, a minimum time of 21 days for floating advertised tenders has been prescribed. However, no clear instructions could be found for minimum time for other than advertised tenders. It was observed that many units were floating tenders as “open tenders” in IREPS but with tender opening time of as low as 3-4 days. In the absence of any clear guideline such short period tenders were being floated as a matter of routine without any oversight. Some complaints were also received in this context stating that adequate time was not provided to firms to participate in tenders.

Further, In some cases, it was observed that rules applicable to advertised tenders were used while handling such “open tenders”.

c) How the vigilance risk has been reduced as a result of system improvement:

- a. By imposing a minimum time limit for floating other than advertised tenders in normal course ensures that adequate time is given to the vendors to participate to allow competitive prices.
- b. To cater to exigencies and urgent requirements, provisions made to allow tenders to be floated with shorter opening times with the approval of a sufficiently senior officer to ensure oversight over such tenders.
- c. By issuing clear guidelines on handling of such tenders, it was ensured that purchase officers do not erroneously adopt the procedures available for advertised tenders to all the “open tenders” of IREPS.

d) Implementation:- The Suggestion was implemented & issued vide PCMM's letter No.S.348.Vig.Preventive Check.21, Dt.20.8.2021.

e) Impact and Benefits:- The new system will provide clear guidelines to purchase units while processing other than advertised tenders.

f) Suggestion about other areas where the improvement can be utilized:- This system improvement can also be adopted by other railways for stores purchases.

18. System Improvement on Purchasing through L1 purchase mode on GeM (Stores)

- a) **Brief Description:-** Suggested that L1 mode of purchase should be adopted only in cases of urgency with reasons to be recorded in writing.
- b) **Background:-** Government e-Marketplace provides three modes of purchase, viz: Direct purchase, L1 purchase and Bid/RA. In particular, L1 purchase mode is available for procurement upto Rs. 5 Lakhs. The GeM terms and conditions however mention that Bid/Ra should be preferred mode of purchase even for values below Rs. 5 lakhs.

It was observed that L1 purchase mode was being adopted by some purchase officers as a matter of routine. A study of the working of the system also revealed that there is a possibility of fair competition being defeated and firms being unduly benefitted through L1 purchase mode.

- c) **How the vigilance risk has been reduced as a result of system improvement:** With the suggested system in place, L1 purchase mode will not be used as a matter of routine to ensure fair competition for purchases made on GeM.
- d) **Implementation:-** System Improvement was implemented & issued vide PCMM's letter No.S.348.Vig.Preventive Check/19, Dt.07.01.2021.
- e) **Impact and Benefits:-** The suggested system will allow fair competition while purchasing items on GeM.
- f) **Suggestion about other areas where the improvement can be utilized:-** This system improvement can also be adopted by other railways for purchases on GeM.

19. System Improvement on Maintenance of Bill Register (Stores)

- a) Brief Description:** Suggested that Bill register be maintained and all bills received should be entered immediately on receipt.
- b) Background:-** In the existing system, bills received by depots and other executive units being maintained do not have a homogenous format and some important information is not being recorded in some units. In particular, in most cases, the bills are not being recorded on receipt, but only when they have been passed and being forwarded to associate finance for payment. As a result, there is no clear record of pending Bills, because of which it is easy to lose sight of long pending bills.

Some complaints were indeed received where delay in bill passing was noticed and the same could not be monitored because of lack of any record of pending bills.
- c) How the vigilance risk has been reduced as a result of system improvement:** By registering bills immediately on receipt, it is ensured that all pending bills can be monitored and necessary action taken.
- d) Implementation:-** System Improvement was implemented & issued vide PCMM's letter No.S.348.Vig.Preventive Check/19, Dt.25.06.2020.
- e) Impact and Benefits:-** It is expected that the revised system will allow a review of pending bills by controlling officers, thereby avoiding possibility of undue delay in bills. The records will also make a check on allegations of undue delays possible in subsequent audit.
- f) Suggestion about other areas where the improvement can be utilized:-** The suggested system improvement can be adopted for other units and in other railways.

20. System Improvement issued on Financial Eligibility Criteria in Tenders (Engg)

a) Brief Description:

As per the tender conditions, total contract amount received during the last three financial years and in the current financial year upto the date of tender opening should be a minimum of 150% of advertised tender value. In support of this, the Tenderer has to submit either of the following two documents –

- (i) Certificate from Govt./Private Organization
- (ii) Certified Audited Balance Sheet & Profit and Loss A/c from Chartered Accountant and
- (iii) Annual Turnover Certificate in Form 'F'

There was no clarity with regard to the Contract Amount whether it constitutes Contractual Receipts of Works Contracts or Stores Supply Contracts or both. Audited Balance Sheet and Profit & Loss A/c do not disclose whether the contract amount is of works contract or stores supply contract or both.

On the advice of Vigilance, PCE has issued a System Improvement clarifying that contractual payments constitute “Receipts from contracts executed from Govt./Govt. bodies/PSUs/Pvt organization reflected in Audited Balance Sheets in P&L account) and included **18 digit UDIN (Unique Document Identification No.) to be generated by CAs for any documents certified / attested by them** duly modifying the Form 'F' i.e. Annual Turnover Certified to be issued by the Chartered Accountant.

- b) Background:-** A Preventive Check revealed that one of the firms (involved in a CBI Case) has included the amount received from fake bills, refund of SD/EMD payments in the Annual Turnover showing as contractual payments in order to qualify in the Financial Eligibility Criteria and to get the contract. PCE was advised to issue Clarification to all concerned on the Financial Eligibility Criteria to avoid ambiguity in evaluation of offer. The Contractual receipts were adopted as per ONLY Bank Statement in the Annual Turnover Certificate issued by the Chartered Accountant. The tender was awarded based on the affidavit submitted by the Tenderer.
- c) How the vigilance risk has been reduced as a result of system improvement:-** The scope of wrong certification by the Chartered Accountant will be prevented by insisting upon the UDIN No. and adopting the annual turnover from the Audit Balance and P&L A/c instead of Bank Statement.
- d) Implementation:-** PCE vide letter No.W.496/Policy/Vol.IX dated 19.5.2021.
- e) Impact and Benefits:-** Prevents awarding of contracts to ineligible tenderers.
- f) Suggestion about other areas where the improvement can be utilized:-** This can be Replicated in all Zonal Railways.

21. System improvement to have uniform and safe design for structural designs and drawings of building works (Engineering)

- a) **Brief Description:** System improvement is issued to have uniform and safe design for structural designs and drawings of building works.
- i. In case of simple and minor buildings, structural designs may be done at field Dy.CE office itself.
 - ii. For buildings upto G+1 storey without any complexity, structural designs shall be got done from private design consultants, got proof checked by any government engineering college / NIT / IIT, if found necessary and shall be approved by field Dy.CE.
 - iii. In the case of buildings upto G+1 storey with complexity and buildings above G+1 storey, structural design shall be got done from private design consultants, got proof checked by any Government engineering college / NIT / IIT and the same shall be sent to Headquarter design section for scrutiny and approval of the competent authority.
- b) **Background of the existing system:** It is noticed during preventive check that different practices are being followed in the Construction organisation in deciding the approvals for structural designs of buildings. The designs done from outside and adopting it without any approval from headquarters
- c) **How the vigilance risk has been reduced as a result of system improvement:-** Promotes safe & transparent system for getting approvals of structural designs done by outsourced agencies.
- d) **Implementation:-** Accepted by CAO/C/SCR and implemented over this railway.
- e) **Impact and Benefits:-** Discrepancies if any in outsourced structural designs can be checked and promotes safety of the structure.
- f) **Suggestion about other areas where the improvement can be utilized:-** Similar system can be followed in all other drawings of other structures.

Case Studies

Accounts

Case Study – 1

Irregularities in Tenders (Financial Eligibility Criteria) :

- A Preventive Check was conducted on tenders, which revealed that a firm has fraudulently got the Contract by misrepresenting the facts and deceived the Tender Committee by including unqualified amount (fraud money, refund of SD) in the annual turnover for the purpose of qualifying in the financial eligibility criteria. Tender committee awarded the contract to the firm as it was L1 without verification of the credentials of the documents submitted by the tenderer as per Railway Board Letter No.2017/Trans/012/Policy dated 08.02.2018 which adopts affidavit-based system of credential verification.
- PC revealed the Chartered Accountant has certified the Profit & Loss A/c and Balance Sheet and also issued Annual Turnover Certificate based on **ONLY** the Bank Statement submitted by the said L-1 and no other documents
- Verification of Bank Statement revealed that the fraud amount and released Security Deposit amount received by him was included in the Annual Turnover to qualify in the Financial Eligibility Criteria
- **Para 6** of the Affidavit submitted by the L-1 along with the tender clearly states that “ I/We declare that the information and documents submitted along with the tender by me/us are correct and I/we fully responsible for the correctness of the information and documents, submitted by us” and
- **Para 8** states - “If the certificate submitted by us are found to be false/forged or incorrect at any time after award of the contract it will lead to termination of the contract along with forfeiture of EMD/SD and Performance Guarantee besides any other action provided in the contract including banning of the business of five years on entire Indian Railways.”
- DRMs of concerned divisions have been advised to initiate action as per the Para 8 of the Affidavit duly enclosing legal opinion on the matter, which states –
- **Legal Opinion**
“since the tenderer by submitting incorrect statements and attachments in proof of the qualification requirements and further affirming that the information and documents submitted along with the tender are correct and the tenderer is fully responsible for the correctness of the information and documents, amounts to fraud played on the Railway to obtain the Contract. Hence, the clauses in the Affidavit can be invoked against the tenderer ”
- **Action taken**
 - The divisions had issued Show Cause Notices duly invoking the Paras of the Affidavit as brought out.

- In one division, Hon'ble High Court has allowed the Interim Application permitting the L-1 to execute the work. However, the bills of the said work will be paid to the Petitioner subject to outcome of this Writ Petition.
- In another division, Hon'ble High Court has disposed off the WP by directing the administration to consider his representation.
- A Proposal for suspension of Business with the firm has been sent to Railway Board with the approval of Competent Authority as per extant rules.

Case Study – 2

Irregularity in GST Neutralization :

In one of the divisions, for the work executed during pre-GST period, VAT was not recovered from the bills as per the agreement resulting in overpayment to the extent of Rs.1,92,745/-.

Further, for the work executed during the post-GST period, GST Neutralisation was paid to the contractor. In calculation sheet of the GST Neutralisation, the pre-GST tax liability of the contractor is taken as "NIL".

It was stated that the agreement is purely supply of manpower and not involving any supply of materials hence VAT is not applicable. However, in terms of FA&CAO/G letter No.AXP/Service Tax dated 15.12.2016 Man Power Supply (hiring) and Service Portion of execution of works contracts is liable for Service Tax.

In terms of Para 5 of JPO Order No.01/2017, the tax liability of the contractor before implementation of GST is to be reckoned irrespective of whether the same was actually paid or not. In terms of Para 8.5(d) the tax liability of the contractor before implementation of GST shall be worked out taking into all stipulated taxes in force before GST implementation including prevalent service tax.

The above aspect was not taken into account by the Division, thus resulting into overpayment of Rs.5,28,764/-. Vigilance have advised the division to recover the overpayment made in the GST neutralisation .

Medical

Case Study – 1

Case Study on Medical Examination of a Candidate under Compassionate Ground Appointment :

- A Preventive Check was conducted in one of the divisions on thrust area identified by RB (initial medical examination) wherein –
- Application of ward of a Trackman (deceased) was processed for appointment under CG for a Gr.D post
- DRM approved the appointment to the post of Asst. Pointsman
- Sr.DPO has directed for Medical Examination under Aye-Two category
- DMO(ME) has declared him Unfit in Aye-Two, Aye-Three and Bee-One having the Candidate failed in Ophthalmic Examination and Fit in Bee-Two
- (Ishihara, EGL, Evidence of Contact Lens, Evidence of PCIOL- Failed)
- Despite that Memorandum was issued by O/o Sr.DPO appointing him as Asst. Pointsman on CG stating to have been found fit in Aye-Two & Below
- Vigilance has advised the Division to immediately withdraw the appointment under safety category and post him suitably as per his medical standards and extant rules.

Action Taken

- Based on vigilance observation his appointment as APM was withdrawn and now posted as “Helper in power lighting wing of Electrical Dept.”
- Also DRM has ordered to initiate D&AR action against the concerned staff responsible for the irregularity.
- A system improvement has been issued by PCPO/SC streamlining the procedure for CG appointment including the above observations made by Vigilance on Medical Examination.
- Disciplinary action has been taken on staff responsible for the above irregularities by the concerned department.

Case Study – 2

Irregularities in Initial Medical Examination:

- Constitution of Medical Boards was envisaged in Railway Board's letter No. 2014/H/5/8(Policy) dated 7.7.2017.
- RB while issuing these instructions have endorsed "arising out of Vigilance enquiries in certain cases of ME and appeals, whole issue has been re-examined and in supersession of all previous letters on the subject matter, following instructions are issued"
- RB's letter dated 7.7.2017 w.r.t. Constitution of Medical Board –

CMO/CMS/MD/ACMS In-charge will constitute a Three Member Medical Committee consisting of -

(1) a Specialist in the concerned field of deficiency other than the initial medical examiner. However, if the specialist is not available within the Unit / Division / Production Unit, a Senior Doctor not below JAG would be nominated in place of a Specialist

(2) Any medical officer other than the one who has conducted the first medical examination not below the rank of DMO

(3) Any senior medical officer not below JAG
- As against these instructions, the nominated Medical Board in one of the divisions consisted of 1 DMO and 2 ADMOs or 2 DMO & 1 ADMO

Thus, following Violations observed –

- No Ophthalmologist is a Member even though the candidate is found unfit in the Initial Medical Exam due to Ophthalmic disorder
- When Specialist is not available, the two other members present on the Medical Board are below JAG
- Medical Examiner is an ADMO (below DMO)
- When a Specialist is not available in the division, cases are not being referred to CH/LGD for Ophthalmologist's opinion

This improper Medical Board dilutes the process of basic medical examination for evaluating physical fitness

Other Irregularities

- No dates were mentioned on any of the Correspondences available on file (could not ascertain when medical board was constituted, conducted, certificates issued etc.)
- In one case, Medical Board in their finding have recorded that "Binocular Vision (BV)" is Absent for a Candidate. BV Absent disqualifies the candidate

for Aye-One, Aye-Two, Aye-Three, Bee-One, Bee-Two (Para 512 (5) of IRMM 2000). Instead of disqualification, the Candidate was declared Fit in Aye-Three

Action Taken

- Suitable guidelines have been issued by PCMD to all the divisions to instructing to strictly follow RB's guidelines in constituting Divisional Medical Boards for Initial Medical Examination.

Case Study – 3

Irregularities in conducting PME :

PME was conducted after 6 years & 9 months against the stipulated 4 years as per Para 514 (A) of IRMM-2000 for an ALP.

- Clarification was given by Sr.DEE/Tr of the division stating that the particular ALP was on stationary duty and was not posted as LP(M) owing to non filling up of the vacancy.
- It is reiterated that even though staff are being utilized in stationary duties, they have to undergo PME as per stipulated time laid down as per Para 514(A) of IRMM.

COMPLAINTS ON ASKING TO REMIT EXTRA MONEY BY REFERRAL HOSPITALS

- Employees referred to empanelled Hospitals have been complaining of Hospital demanding to remit extra money for implants
- As per the Agreement clause, the difference in cost of treatment and procedure have to be borne by Patient if the Patient opts for higher class than admissible under extant rules
- A written declaration to the effect should be taken before such change is carried out and the amount can be directly collected by the Hospital. This should be indicated distinctly in the Bill raised in the interest of transparency.
- Vigilance Observations
 - Neither the Referral Hospital are taking written declaration from the Patient / Representative nor indicating the difference in cost distinctly

in the Referral Bill as required in the Agreement. Thus, violating the Agreement clause

- Therefore, it is suggested that the following should be ensured -
 - The Carton of the implant should be attached with the referral bill; and
 - The gross amount of the implant, the amount to be billed to Railways and the net excess amount to be collected from the Patient directly by the Hospital should invariably be indicated in the referral bill as per the agreement

Case Study – 4

Substandard Drugs:

A PC was conducted wherein it was observed that substandard drugs were supplied by some of the suppliers as certified by CDSCO/ Hyderabad. It was also observed that no action has been taken by CH/LGD towards replacement / recovery of these drugs as per the PO conditions. Therefore, PCMD is being advised to affect recoveries to the tune of Rs.7,14,009.94 apart from taking action on the staff responsible for such lapses along with suggestion of system improvement in this regard.

Action Taken

- The complete amount has been recovered from erring firms from their pending bills.
- As suggested by Vigilance, a system improvement was issued by PCMD.
- CDSCO is sending their Drug Analysis reports directly to PCMD's office for further action instead of sending in the name of the Pharmacist who is having over the samples which facilitates recovery / replacement of the drug.
- Staff responsible have been taken-up under D&AR Rules.

Case Study – 5

Irregularities in Procurement of Medicines:

A Preventive Check was conducted on the procurement of medicines in IREPS and the following observations are made: -

- 1) E-tender enquiries for procurement of Budesonide 1 mg Respules (PH No. 21061) for a quantity of 1500 nos was sent to a firm registered with Railway Board as per the indent placed by the Consignee. There was no offer twice. In the third instance, a single offer was received from a firm who has quoted a rate of Rs.16.67 + 12% GST per respule. But, the brand offered was Budecort 0.5 mg. which is of lower strength with PH No.21061
- 2) Earlier, a PO was issued to a firm for supply of Budesonide 1 mg 2 ml Respule with PH No. 21061 at a basic rate of **Rs.7.49 + GST extra** and another PO on the same firm for supply of Budesonide 0.5 mg. with PH No.21057 at a rate of **Rs.5.74 + GST extra**.
- 3) The concerned Stores Officer has not obtained technical suitability from Medical Department and issued a PO for supply of Budecort 0.5 mg. respule @ **Rs.16.67 + GST extra** and for the rate justification LPR of 1 mg. (PH No.21061) at a basic rate of **Rs.7.49 + GST extra** was taken and not the LPR of 0.5 mg @ **Rs.5.74 + GST extra (PH No. 21057)** which was actually procured. The rate was justified stating that it is 20% less compared to MRP and accepted due to COVID-19. But even in Contracts for Local Purchase entered into by Railway Hospital, a discount of 30.51% on medicines is being given by the Firms. In this case, it can be seen that the rate at which the drug was procured was 190% higher compared to the rate at which it was procured two months earlier (**Rs.16.67 against Rs.5.74**).
- 4) Technical suitability has been obtained after more than two months from the date of receipt of supplies by the concerned Stores Officer

Thus, a drug of lower strength has been procured at a higher rate without a revised indent from Medical department having financial implication. The officer was advised to be more careful in future being small value procurement.

Engineering

Case Study – 1

Irregularity in execution of safety related track work:

- 1.0 A preventive check was conducted over the work of **–Proposed safety related track maintenance of track in one of the ADEN subdivision. It is found that** measurements were recorded for Item no. 18021100- Lifting of track..etc.. for a total quantity -15883 nos of sleepers which amounts to (15883nos X Rs.10.50 X @Rate (+) 250.9%) - **Rs.585201/-** has been paid to the agency. And another SSE/P.Way same subdivision has recorded **measurements for the same item** 15102nos of sleepers **to a tune of** (15102nos X Rs.10.50 X @Rate (+) 250.9 %) **Rs.556425/-** and paid.
- 2.0 On perusal of site records maintained by Concerned SSE/P.Ways by vigilance it is revealed that no such records of having the work executed at site are maintained towards the Lifting of track.. etc and on verification of respective locations at site also it is found that no such lifting of track work is executed.
- 3.0 On further scrutiny of records and clarification from officials concerned dealt the subject agreement work it is revealed that, NO such lifting of track work was executed at site and SSEs stated that to cover up works done which were not available in subject work, the item of lifting of track work was recorded and paid.
- 4.0 Further the work under item 18020901- “Through packing of Point and crossings etc for a quantity 1 in 8.5- etc” was recorded for a total of 18 points (1 in 8.5) and on scrutiny of records it is revealed that, only 4 months back same points were attended and recorded for payment and paid, on clarification from concerned SSE/P.Way it is stated that **by over look the measurements are repeated** for payment, which amounts to (18 X 1259.60 x @(+) 250.9%) Rs. 79558.85/-, which is not due to the agency.
- 5.0 *In Both of the SSE/P. Way units a net amount of (5,85,201/- + 5,56,425/-) Rs.11,41,626/- against the measurements towards the item no. 18021100- Lifting of track etc., and Rs. 79,558.85/- towards excess recording of points packing, were paid excess to the contract agency towards the inflated measurements. Recovery was proposed by vigilance and same is recovered from agency bills.*
- 6.0 *Concerned SSE/P. Ways were taken up under MINOR penalty DAR action.*

Case Study – 2

Irregularity in execution of blanketing work :

- 1.0 A preventive check conducted over the work of – Through formation treatment by Moorum blanketing in one of the ADEN **sub-divisions**, the total value of **agreement is Rs.9,04,11,531/-**.
- 2.0 As per the agreement the description of item no-561070 is *“Providing blanketing material in layers for rehabilitation work of existing railway bad formation under block with contractors blanketing material of approved quality and confirming to RDSO latest guidelines for earth work duly supplying of blanketing material obtained from approved quarries outside railway limits ”*.
- 3.0 It is found that measurements for the work of Moorum blanketing has been recorded vide CC-2 for a total quantity of **25413.74** cum by Concerned SSE/P.Way and the same measurements were test checked by ADEN. An amount of **Rs.2,06,85,513.67/-** was paid to the agency towards the blanketing item under CC-2 measurements.
- 4.0 It is observed that the executive have sent the blanketing samples only once before starting the work to SML/SC lab and later on during entire execution of work up to CC-III measurements, test certificates were obtained from PRIVATE LABS.
- 5.0 During preventive check Blanketing material samples were collected and sent for testing at SML/SC Lab (Railway Lab) and the test results of blanketing material received were found **unsuitable for blanketing work. And the details are as follows**

Location	Grain size analysis			Consistency limits			Cu	Cc	IS classification of soil	Remarks
	Clay & silt	sand	Gravel	LL	PL	PI				
Ch 300/740 LHS	31.39	49.92	18.69	49	33.19	15.81	365.47	1.12	SC	Coarse grained soil with clayey sand
Ch 300/850 LHS	27.71	44.13	28.16	49	33.19	15.81	555.93	1.33	SC	Coarse grained soil with clayey sand

It is observed that the clay and silt part is varying from 27.71 to 31.39 % against 12%, Liquid limit is 49 which should not be > 35, and plasticity index is 15.81 which should not be more than 10 as per RDSO specifications and agreement conditions and specifications as per the guidelines issued by RDSO.

- 6.0 It is also found that the site executives have not maintained register towards field tests for quality (blanketing material suitability) at site and without conducting the field tests substandard quality of blanketing material work has been executed, recorded and allowed payment to the agency.

There by It is established that **SSE/P.Way** has recorded measurements towards the substandard quality of blanketing material for a quantity of **25413.740 M³ resulting in an undue payment of (25413.740 X Rs.365 X @ (+) 123%) Rs 2,06,85,513.67/- to the agency violating Para 121(a) of IRWM i.e., Execution of Works. And the ADEN** without ensuring the quality of material as per RDSO GE:G1 specification, conducted test check and allowed the measurements for payment and violated Para 107 (a) of IRWM.

- 7.0 It is observed that not even a single sample **(Except at the initial acceptance test)** was sent to GEO Technical Engineering Lab, S .C Railway, Secunderabad either during collection of material or during the execution of formation treatment / before recording measurements for the work. And completely relied upon Private Lab certificates towards quality aspect, And the most of the work was carried out during LOCKDOWN period. Site executives stated that due to availability of traffic blocks work was executed.
- 8.0 Subsequent to vigilance check an amount of **Rs 47.60 Lakhs has been recovered** from agency bills towards poor quality work considering the executed earthwork as **SQ2.**

Electrical

Case study - 1

Supply of poor quality cables to Railways:

Irregularities observed: - During a vigilance check conducted in store depot on 21.12.20 & 28.1.21 on quality of power cables (4Core 25Sq.mm, 4Core 50Sq.mm & 4Core 120Sq.mm), conductor resistance values of cables were found much more than the specified value as per the IS 8130:1984. These cables were pre-inspected by the RITES. and the conductor resistance values recorded in RITES IC were within the specified limits of IS 8130:1984. After the vigilance checks, Joint inspections were carried out by the RITES, Firms & Railway, in presence of Vigilance official and all 03 types of the cables were failed. Conductor resistance values recorded during the joint inspection in Railway depot were as under:

Type of cable	Measured values during Joint inspection	Specified values as per IS 8130:1984
4core 25 sq.mm	1.7010 to 1.9676 Ω/km	1.20 Ω /km
4core 50 sq.mm	1.6944 to 1.9049 Ω/km	0.641 Ω /km
4core 120 sq.mm	0.5040 to 0.5429 Ω/km	0.253 Ω /km

Action taken: Following action is taken on above irregularity.

- All 3 types of the cables are rejected by the Railway. An amount of **Rs.7,40,598/-** has been recovered from two firms and an amount of **Rs.2,05,667/-** is under recovery from one firm.
- DAR action (Minor penalty) is initiated against **three Inspecting Engineers of RITES**, who inspected & certified the cables, based on the Railway advice.
- RITES QA Division has issued instruction that the Inspecting Engineer of RITES, shall take **few test specimens by taking the entire drum length of cable while carrying out their inspection**, as suggested by S.C.R Vigilance.
- System improvement is issued by PCEE that- Cables being procured through works contract & NS indent, where inspecting authority is consignee, the specified conductor resistance value shall be checked by the respective consignee with the help of calibrated meter by NABL accredited lab and Values so obtained, shall be recorded in the consignee inspection certificate. Any deviation shall be brought to the notice of B.O. for corrective action.
- BIS has been advised for necessary action against these 3 firms for supplying sub-standard materials to the Railways.

Case study - 2

Irregularities in execution of contract works of General services of Electrical:

Irregularities observed: - During preventive check conducted on contract work of shifting/modification of Power line crossings, following irregularities were observed:

- Dimensions of MS channels & angles used for DP (double pole) structure were measured less than the specified dimensions as per the contract. However SSE has recorded the measurements of this item for 04 nos. of DP structure as 1.6MT (i.e as per the dimensions stipulated in contract) against the actual measurement of this item as 0.8MT at site, resulting excess measurement of 0.8MT.
- MS channels & angles of DP structure were painted with Aluminum coat only against the stipulated 2 coats of Red oxide & 1 coat of Aluminum paint.
- The concrete foundation of pole of DP structure was measured at site as 500mmX500mmX750mm with total volume of foundation as 0.1875 Cu.M. Whereas in MB, concerned SSE has recorded the volume per pole as 0.730 Cu.m, resulting excess measurement of 0.5425 Cu.m per pole.
- Earth resistance values were not measured and painted at site.

Action Taken: Following action is taken on above irregularities.

- DAR action (SF-11) has been initiated against the in-charge SSE.
- An amount of **Rs. 46,302/-** has been proposed to be deducted for recording excess measurement for 04 nos. of DPs by 0.8 MT & an amount **Rs. 29,717/-** for excess measurements of concrete foundations of 22 poles by 11.93Cu.m (22 Pole X 0.5425 Cu.M per pole), from next bill of the contractor.
- Executive has been advised to ensure the technical suitability of the work done so far where deviations are observed, in addition to the recovery from the contract agency. Further, all the works should be done as per the stipulation in the contract.

Case study - 3

Irregularities in execution of outsourcing contract of Running Room:

Irregularities observed: - During vigilance check conducted on outsourcing contract of a Running Room, following irregularities were observed.

- Contract agency had not installed new RO plant after commencement of work as per the contract, instead agency supplied the water bottles as per requirement. Penalty was not imposed by the in-charge SSE for not installing the new RO plant.
- As per the tender condition, Expenditure toward the LPG cylinders was a variable component and was to be paid as per the actual. It is however observed from 5th bill that, payment was made for full quantity of 120 cylinders for 2 months, even though only 19049 nos. of meals were prepared against the schedule quantity of 25200 nos. of meals (@ 210 meals /cylinder), thus caused the excess payment of LPG cylinders.
- Further, the original LPG bills as proof of purchase of commercial gas were not submitted by the contract agency and in-charge SSE did not ensure this.

Action Taken: Recovery of Rs. Rs.97,290 /- has been made towards the excess payment of 71 cylinders and for not installing the RO plant. Concerned CCC has been issued with **Recorded warning** for not ensuring the compliances of contractual conditions.

Mechanical

Case Study - 1

Irregularities in execution of station cleaning contract work:

Irregularities observed: During a Vigilance check conducted on execution of Mechanised Cleaning contract work for a station, following irregularities were observed:

- The in-charge HI has certified the bills without ensuring the ESI & EPF contribution for contract staff by the contractor and without ensuring the record of muster and wages of the contract staff along with the monthly bills.
- Deficiencies were observed with regard to less deployment of manpower, machines not working, cleaning not attended, insufficient tools, not providing the chemicals and non-transportation of the garbage by the contract agency.

Action taken: Following action has been taken on the above irregularities.

- DAR action (**Minor Penalty**) has been taken against the concerned Health Inspector.
- Executive has proposed to impose the penalty against these various lapses from the final bill of the contractor.

Case Study - 2

Irregularities in Contract work of Maintenance of Fire Extinguishers:

Irregularities observed: - During a vigilance check conducted on 9.12.20 on contract work of maintenance of Fire extinguishers over a division, it was observed that, SSEs have certified the quantities of work (DCP-5KG, 10 Kg, 22.5 kg & 75 Kg fire extinguishers) executed during CC-1 bill, without ensuring the return of released materials against these executed quantities and bill of the contractor was processed.

Action Taken: The value of released material of Rs.85,000/- has been proposed for recovery from the next bill of the contractor. Further, DAR action (Minor Penalty) is also initiated against the two concerned SSEs, who have certified the executed quantities of CC1 bill of this contract.

Case Study - 3

Irregularities in Tender finalisation (Below 50 Lakhs):

Irregularities observed: During the PC conducted on tender scrutiny of a tender below 50 Lakhs, following irregularities were observed:

- a) Open tender for a work pertaining to the Mechanical Deptt, was invited for tender value of Rs.37.4 Lakh with **tender notice period of less than 21 days**. However, the tender was accepted directly by JA grade officer (TAA) in favour of lowest eligible financial offer at (-10%). As per RB's letter no.2017/CE-1/CT/9 Dtd.11.9.17 under Para-1.1.2 & Annx. A of part A of Model SOP 2018, for the tenders value up to & including Rs.50 Lakhs, **direct acceptance is not allowed, if tender notice period is less than 21 days** & such tenders to be dealt by the appropriate TC.
- b) SSE/Tender took the approval of SAG officer (In-charge of the Workshop) for calling the tender for 14 days' notice period without routing this file through the in-charge JAG officer of the tendering work of Mechanical section (TAA for the subject tender). Also SSE did not explicitly mention about this approval of short tender notice period, while putting up the tabulation statements of offers to this JAG officer (TAA).
- c) Account deptt. has also vetted the LOA of the subject work and ignored this aspect of tender notice period of less than 21 days. Initially, finance has given concurrence for inviting tender for 14 days notice period.
- d) Tender was called with validity of offer as 90 days, against the stipulated validity of offer as 20 days, in violation to instructions as per transformation cell letter on Process reform in Works contract, vide Lr. no. 2017/Trans/01/policy dtd. 8.2.18.

Action Taken: Suitable action was taken against all responsible officials including Minor Penalty DAR action against SSE/Tender & Recorded Warning against the concerned SSO/Finance.

S&T

Case study - 1

Irregularities in execution of AMC of Train/Coach indication board:

During a Preventive check conducted on AMC of Passenger Amenities works at one of the station on 23.12.20, following irregularities were observed:

- Schedule Qty of Control console for TADB/CGDBs was estimated **04 nos.** against the actual requirement of **2 no.** at site and Schedule Qty of CGDBs was estimated **100 nos.** against the requirement of **96 nos.** at site for 2 years AMC.
- Log of the failures was not maintained as per prescribed format by SSE. Rectification date & time of failures were not recorded at few occasions as under.

Failure date &Time	Type of failure	Rectified date & time	Delay
8.12.20 Time not mentioned	All CGDBs on PF-2 not working.	Date not mentioned clearly.	Not mentioned
14.12.20 Time not mentioned		Till date of check, failure not rectified.	Failure continuing

- Scheduled maintenance visit/ Failure visits were not certified by the inspector (minimum at JE level) as per the contract.
- SSE did not maintain the details of working spares and details of training imparted to operating/S&T staff as per Technical conditions of the contract.
- Anti-virus software was not loaded in the Centralized Control console. 1KVA UPS for control console unit was not working.

Action Taken:-Following action has been taken on the above irregularities.

- Concerned SSE/Tele has been issued with **“Recorded Warning”** for various irregularities committed on his part of recklessness towards his duties.
- Deficiency got attended. A Penalty for an amount of **Rs.30,000/-** has been worked out by SSE for delay in restoration of the failure by the contract agency and is proposed to be levied from the contractor's bill.
- Executive has been advised to ensure to assess the estimated quantity as per the site requirement duly counseling the concerned dealing staff in this regard.

Case study - 2

Irregularities in maintenance contract of CCTV surveillance cameras:

Irregularities observed: - During a Vigilance check conducted on 13.12.20 on maintenance contract of CCTV Surveillance system at a station, following irregularities were observed in **execution of the contract**.

- Spare materials in working condition, were not kept with in-charge SSEs by contract agency.
- Service Engineer/ Technicians were not posted at designated stations in contract by the contract agency. Complaint Escalation matrix was not provided by the contract agency.
- Contract agency did not impart the Training to railway official on basic maintenance and first line of fault rectification.

Further, **in contract document** of the subject work, ambiguities/discrepancies were observed with regard to the maintenance visits and defining critical/non-critical failures as under:

- At one place of the contract, the AMC is a **Non-Comprehensive**, whereas at another place it is **Comprehensive** AMC.
- At one place of the contract, Periodicity of the cameras is prescribed **Monthly**, whereas at another place, it is **Quarterly**.
- At one place of the contract, failure of a Camera is a Major Failure & to be attended within 4 Hrs, whereas at another place, failure of **few cameras** is Minor Failure and to be attended in 24 Hrs.

Action Taken: - Following action has been taken on the above irregularities.

- The contract has been terminated since agency failed to comply contract conditions and was not turning up for the scheduled maintenance work.
- Executive has been advised to frame the tender conditions to avoid any such ambiguities as observed during the vigilance checks to avoid any contractual disputes.

Stores

Case study - 1

Supply of materials more than MRP in Stores Deptt:

- Based on a Complaint based investigation regarding supply of materials more than the MRP, a check was conducted in one of the Diesel Stores Depot of SCRly in connection with the supply of 'Stage-1 filters'.
- During the check, it was noticed that the material was received from M/s.X. The said material was inspected by consignee and technically found suitable. However, Two random samples were collected from the existing stocks and observed that MRP on these packages were found to be Rs.11,000/- where as the AIR in the PO is Rs.12,608.30/-.
- As per IRS conditions Para 0300 ,Sub Clause (a): The price quoted by the Contractor ***shall not be higher than the lowest price charged by the Contractor for stores of the same nature, class or description to a private purchaser***, domestic or foreign, as well as purchaser Governments. Sub Clause (b): provides that ***if the price quoted is higher than the price usually charged from a private purchaser for the stores of same nature the contractor will specifically mention this fact in his tender giving reasons for quoting higher prices***. If he fails to do so or makes any mis-statement, ***it shall be lawful for the purchaser to revise the price at any stage so as bring it in conformity with sub clause (a)*** or to terminate the contract and forfeit the Security Deposit. Hence, this is a clear violation of IRS conditions of contract vide sub clause(b).
- Similar issue had also come to light earlier for another similar item ie., loco filters. It is also observed that representation of rates being above MRP was received by purchase officer too but no decisive action could be taken on the matter.
- Therefore a system improvement was suggested to sensitize all the purchase officers while dealing the tenders related to filters of different types used in locomotives/EMUs/DEMUs etc ,a special tender condition may be added for firm to indicate the MRP of the item in India, as fixed by the manufacturer/importer. Alternatively, possibility of obtaining product and MRP catalogue every year from such manufacturers may be explored.

- Further depot officials were also sensitized, while handling receipt of any material, the receiving officials must check the MRP, if any, printed on the product/packaging and in case such MRP is lower than the All Inclusive Rate in the PO, the same may immediately be brought to the notice of the depot officer and the concerned purchase officer.

Case study - 2

Over-assessment of quantities in non-stock purchases:-

During a Preventive Check conducted on the non-stock procurements in one of the divisional stores unit, it was noticed that an NS indent was placed by a consignee for procurement of 8nos of an instrument, each costing Rs.2.5 lakhs, which is required for testing of OHE and required to be run (fixed on top of a locomotive) in all sections, once in six months. Further noticed that already this unit has purchased one unit and is kept as buffer/spare stock. However, on scrutiny and clarifications obtained from the consignee, it revealed that the quantity indented was not a reasonable assessment of requirement. Excess quantities thus received were diverted to other needy units as per the HQrs instructions. Consignee was advised & warned to ensure realistic estimation of quantities at the time of indenting to avoid excess procurement there by blocking of railway revenue.

Case study - 3

Irregularities noticed in GeM purchases:-

- During a preventive check, irregularities were identified in procurements made over GeM platform, wherein terms and conditions laid down in GeM were not being followed, including purchasing of items in inappropriate/wrong categories, splitting of quantities and buying exclusively through L1 mode of purchase against established practice and guidance in GeM terms. Other irregularities were also noticed like advancing the procurement before the scheduled date of initiation, not considering past purchases when calculating quantity requirement, inconsistent methods of rate justification(resulting in high rates getting accepted etc)
- To plug the above deficiencies, following system improvement was suggested:-
 - (i) Direct Purchase/L1-purchase on GeM is to be resorted in case of urgencies only. For this purpose, the urgency has to be certified as per the extant provisions available for certification of urgency in case of single offers received against LT/BT tenders.
 - (ii) Purchase officer should also record cogent reasons for not processing the case through RA/Bidding before processing for purchase through Direct/L-1 purchase mode on GeM.
- GeM/NDLS was also advised to take necessary action on the firms for violation of GeM terms & conditions regarding offering products in inappropriate category.

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Traffic

Case study - 1

Mechanised Cleaning Contract :

- PC conducted on cleaning contract awarded for a cluster of 3 stations over SC Division.

Irregularities Found:

- Forged bank documents were submitted in token of payment of wages to staff through bank.
- However from the statements of supervisor and labour, wages were paid in cash.
- Cleaning Equipment (electrical wet & dry vacuum cleaner) though found available at the stations, it is not being used. Recharges made to Prepaid Energy Meters substantiate the same.
- Rs.3.29 Lakhs was quoted towards cost of protective gear. However, during the check no protective gears were found.
- Bills not submitted as per billing cycle, which is monthly.
- Two bills were submitted for the contract (Till the date of check): From 01.04.18 to 31.12.18 and From 01.01.19 to 31.10.19.
- Contract expired on 31.03.20

Action taken:

SD and Bank Guarantee (approx 12 lakhs) deposited by contractor is forfeited.

Case Study 2

Non Levy Of Detention Charges:

- PC conducted on Pre-weigh bin loading system of Goods Siding in SC Division.
- Its is observed that the pre weigh bin is integrated with FOIS.
- As per weighment advice certain wagons are found overloaded, party stated that load adjustment was done within the free time.

Irregularities Found:

- Only PCLA (penal charge for load adjustment) of Rs. 5000/- per excess loaded wagon is collected. Detention charges were not being levied.
 - Pre weigh bin, weighment data was collected from the system and verified. The data reflects Batch-up & Batch-Dn timings indicating the loading start and completion timing of each wagon. The wagon Batch-Up time is within seconds of Batch-Dn timing of previous wagon. This substantiates that the load adjustment is **not** done within the free time.
 - On scrutiny it was found that detention charges for 620 rakes were not collected.
 - Undercharges of Rs. 65 Lakhs is raised.
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Case Study - 3

Granite Traffic:

- **Background:** Hon'ble MP (Lok Sabha) Karimnagar Shri Bandi Sanjay Kumar has addressed a complaint to Hon'ble Minister of Railways on 31.07.2019.
- **Allegations in the complaint:**
 - Irregularities in transportation of Granite block through goods train to shipyard harbour and sea ports by submitting categorical documentary proofs of quarry agencies.
 - There is a concerted effort of State Government and Granite owners to cover up their illegal mining activity further to evade penalties and taxes.
- **METHOD OF INVESTIGATION**
 - Checks were conducted to ascertain whether the due procedure stipulated under Railway Board Ltr No.TCR/1078/2010/11 dated 23/11/2010 and the JPO issued by Secunderabad Division while transporting the Granite blocks by Railways is being followed or not.
 - Scrutiny of Railway receipts with its corresponding documents of 03 loading stations of Granite blocks viz. Karimnagar, Gangadhara and Uppal for the period from Jan 2019 to Sep 2019 were conducted.

- **IRREGULARITIES**

- Discrepancy noticed in Transit Passes issued by Assistant Director of Mines and Geology/Karimnagar wherein the old balance blocks were inflated at Karimnagar Station. In Gangadhara Station, additional blocks were found to be added to the mentioned quantity of the permit proforma.
- Further it was noticed that in two rakes Granite Blocks were loaded in excess of the transit pass permitted quantity.
- For few rakes found non-collection of Transit passes before commencement of loading and non-submission of monthly statements to Mining Authorities, as per Rly Board Procedure order.
- Railway Board procedure order stipulates, indents would be accepted by Railways only if forwarding note has been duly validated by the Authorised official of Mining Authority. However, with the introduction of e-Demand customers are indenting online and later submitting the validated Forwarding Note to SM/CGSR.

- **ACTION TAKEN**

- Divisions were advised to instruct the concerned staff to strictly follow the procedure order given by Railway Board. The same has been complied by Divisions.
- Copy of the investigation report was submitted to the Director, State Vigilance and Mines and Geology for necessary action.
- 3 no. of staff responsible for the irregularities were taken up under DAR.
- Railway Board has addressed the issue of e-Demand by notifying Addendum-II to RMC /e-RD dated 30.06.2020 wherein customer has to upload the scanned copy of allotment letter at the time of registration of e-Demand.
- This arrangement to continue till the FOIS is interlinked with the State Government's system.

Case study - 4

Vehicle parking contract:

Irregularities found:

- Parking contract of a station has expired on completion of its contract period i.e. on 01.02.21.
- Sr DCM has advised CTI/Stn to run parking stand departmentally by utilising ticket checking staff.
- In a preventive check, it was noticed that parking stand was **not** run departmentally.
- CTI/STN in connivance with the old contractor allowed to run the parking stand by the staff of old contractor from 02.02.21.
- Ticket checking staff were deployed only in paper but practically the stand was run by the staff of old contractor.
- When checked the remittances, for the period from 02.02.21 to 09.06.21 a negligible amount was only remitted as parking stand collection per day.
- After the preventive check, the per day revenue remitted has increased manifold times (i.e: six times) of the previous remittances.

Action Taken:

- Staff responsible were taken up under DAR.

Case Study- 5 :

Vehicle Parking Contract.

- PC conducted on vehicle parking contracts over Secunderabad Division.

Irregularities Found:

- Vehicle Parking stand contract was commenced at the station based on the Bank guarantee/FDR submitted towards Security deposit by the license.

- BG/FDR submitted by the license towards Security deposit was not sent concerned bank for confirmation
- BG/FDR submitted by the license towards Security deposit was still kept in the file without sending the BG/FDR to Accounts office for safe custody.
- Agreement was not entered into the contract within the specified time limit.

Action Taken:

- Staff responsible for the irregularities was taken up under DAR.

Case Study -6

Touting activities:

- During the check of touting activities on tatkal timings at a station, it was noticed that a Goods Clerk of the station was handing over a confirmed tatkal ticket outside the Booking Office immediately after its generation to a person.
- Intercepted the Goods clerk and seized the tatkal ticket from the person and advised the Goods clerk to subject himself for Vigilance check. On hearing this, the person immediately left the place.
- During the check it was observed the Goods clerk has reported for duty at 06:00 hrs and has **not** declared personal cash. He has produced Rs. 300/- excess and unaccounted cash.
- The ECRC, who generated the tatkal ticket has accepted to handing over the ticket immediately to the Goods clerk.

Action taken:

- The confirmed tatkal ticket was ordered for release of accommodation since it is an irregular transaction.
- Staff responsible was taken up under DAR.

Personnel

Case Study - 1

Verification of certificates- pre-appointment under Sports Quota:

Observations: On an investigation of a complaint regarding genuineness of a sports certificate, it was noticed that the genuineness of the sports certificate was not verified with the concerned sports Authority/Board before offering appointment to sports persons.

Action taken: *In order to avoid any irregularities in recruitment of sports persons against sports quota in Railways system improve was suggested to PCPO/SC. Accordingly PCPO issued system improvement stating that upon verification of certificates with the concerned sports Board/Authority through a welfare Inspector offer appointment will be issued.*

Case Study - 2

Negative marking for multiple Bubbling in departmental examination:

Observation: On a Preventive check it was noticed that negative marks were not deducted for multiple bubbling done by the candidates in the OMR sheets while in departmental selections held in LDCE Quota where panel is arranged in the order of merit among the qualified.

Action taken: PCPO was informed and in turn Instructions were issued to all concerned that in case multiple bubbling done by the candidate in OMR sheets the same should be treated at par with the wrong answers and 1/3rd mark is to be deducted.

Case Study - 3

Irregularities in promotions without shouldering higher responsibilities:

Observations: On investigation it is observed that one Loco pilot found suitable to the post of power controller w.e.f 02.07.2007 joined and continued till 2016, while he was in such stationary post he was promoted as Loco Pilot Passenger and Loco Pilot /M&E and his pay was fixed without shouldering higher responsibility. He worked in drafted post from 2007 to 04.03.2016 beyond tenure period and again on his repatriation to division he was relieved to central control/HQ on 16.03.2016 to till date on a control message. Employee continued for a prolonged period in a drafted post from 2016 to till date being it a second occasion without any orders from competent authority.

Action taken:

- (i) PCPO was requested to re-iterate the existing instructions on the aspect of shouldering higher responsibility and then to affect the promotions. Further, to advice to ensure confirmation of such oral/control messages / orders to be followed by written orders with the approval of competent on the aspect of transfer of staff.
- (ii) PCOM was requested to Repatriate the Loco-Pilot to his former post and also requested to Review such Similar cases if exists over SCR.
- (iii) DRM of concern division was requested to rectify the irregularities noticed in promotion and fixation of pay in higher grade without shouldering higher responsibility and to affect recovery of over payment suitably.

Case Study - 4

Subletting and Unauthorized occupation of Railway Quarters:

A) Subletting

- i) A drive was conducted to check Railway quarters at Raichur Railway station, in which around 60 quarters have been physical verified out of which 2 quarters were found sub-let by the allottees.
- ii) Another Preventive check was conducted at RDM railway station, wherein 01 quarter was found sub-let by the allottee.

Action Taken in the above cases:-

- i) Immediate vacation of Quarters was done.
- ii) Advised for issuance of charge sheets
- iii) Recovery of damage rent to the tune of Rs.5,69,552/- was advised.

B) Un-authorized occupation :

Two checks were conducted at MAGH & SKZR on this aspect and found that employees even after transfer to new station continued to retain the Railway quarters in the old station

Action Taken in the above cases:-.

- i) Recovery of damage rent was made in one case to the tune of Rs.4,35, 497/- . In another case provision exist to extent permission due to pandemic accordingly informed.
- ii) PCPO/SC was advised to re-iterate instructions on suo-moto retention of quarters beyond permissible period and further wrong recoveries on account of such retention to be paid back to employees.

Case Study - 5

Continuation of payment of Family Pension:

A check was conducted in regard to family pension case, wherein noted that after expiry of wife, who was a railway employee, family pensions was granted in favour of the husband (who is also a Rly employee) the drawal of family pension is continued even after his re-marriage on the pretext that his minor children are eligible to draw secondary family pension. The following action was advised in the said case.

Action Taken:-

- i) Immediately stopped the drawing of Family Pension.
- ii) Employee was issued with SF-5.
- iii) Started recovery of overpayment of Family Pension to the tune of Rs.16,19,483/-.

Case Study - 6

Irregular drawal of salary while in Child Care Leave:

Several preventive checks were conducted on divisions/Workshops, in regard to CCL, wherein it was observed that salary was allowed at the rate of 100% to the employees who availed more than 365 days of CCL on or after 14.12.18, wherein only 80% of salary is to be allowed in terms of RBE No.64/2019 on or after 14.12.18.

Action Taken

- i) Over payment involved in 10 cases were recovered to the tune of Rs.4,52,590/-.
- ii) PCPO was advised to reiterate the instruction accordingly issued the same.

Case Study - 7

Irregularities noticed in the departmental examination:-

Observation: A preventive check was conducted at the departmental examination held for the post of Junior Clerk-Cum-Typist in one of the division, it was noticed that only 90 questions were given without optional questions on official language. Further, 20 questions were in the form of “fill in the blanks”.

As per the Board’s instructions, Question paper should have 110 questions including 10 optional questions on Raj Basha (Official language) and same should be 100% Objective Type multiple choice questions.

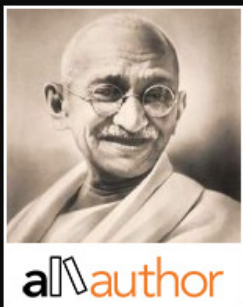
Action taken: Divisional authority was advised to cancel written examination and to conduct afresh duly following Board’s guidelines, also advised to council the Paper setting officer for not following the instruction given by the Personnel.

Case Study - 8

Issue of Card passes to office bearers of recognised Trade unions:

Observation: On a preventive check in one of the division, it was noticed that one card pass was issued to four office bearers of the trade union in the year 2011 and the same is being renewed from time to time till 31.03.2020 and further noticed that one of the office bearer whose name was included in the said pass was already retired on superannuation on 31.07.2019. The date of retirement of the office bearer was not mentioned in the card pass while extending the validity of the pass up to 31.03.2020.

Action taken: Advised PCPO to issue instructions so that the date of retirement of the office bearers of trade union is obtained from the General Secretary/Divisional Secretary whenever card pass is sought/renewal in order to ensure whether the service of such office bearer has extended beyond his superannuation in their organization or otherwise. Also instructed to adhere to the Board’s instructions in issuing two card passes to the Divisional office bearers of the recognized union each containing name of 2 office bearers instead of 4 names in card pass.



The main purpose of life is to live rightly,
think rightly, act rightly. The soul must
languish when we give all our thought to the
body.

-Mahatma Gandhi

To give real service you must add something which cannot be bought or measured with money, and that is Sincerity and Integrity.

Corruption and hypocrisy ought not to be the inevitable products of democracy as they undoubtedly are today

Men of stainless character and self-purification will easily inspire confidence and automatically purify the atmosphere around them.

