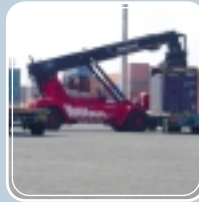




“कॉनकॉर की बात, कॉनकॉर के साथ”
Think Container, Think CONCOR



MAY 2011

HANDBOOK ON VIGILANCE CASE STUDIES



प्रतिज्ञा

हम, भारत के लोक सेवक, सत्यनिष्ठा से प्रतिज्ञा करते हैं कि हम अपने कार्यकलापों के प्रत्येक क्षेत्र में ईमानदारी और पारदर्शिता बनाए रखने के लिए निरंतर प्रयत्नशील रहेंगे।

हम यह प्रतिज्ञा भी करते हैं कि हम जीवन के प्रत्येक क्षेत्र से भ्रष्टाचार उन्मूलन करने के लिए निर्बाध रूप से कार्य करेंगे। हम अपने संगठन के विकास और प्रतिष्ठा के प्रति सचेत रहते हुए कार्य करेंगे। हम अपने सामूहिक प्रयासों द्वारा अपने संगठनों को गौरवशाली बनाएंगे तथा अपने देशवासियों को सिद्धांतों पर आधारित सेवा प्रदान करेंगे। हम अपने कर्तव्य का पालन पूर्ण ईमानदारी से करेंगे और भय अथवा पक्षपात के बिना कार्य करेंगे।

Pledge

We, the public servants of India do hereby solemnly pledge that we shall continuously strive to bring about integrity and transparency in all spheres of our activities. We also pledge that we shall work unstintingly for eradication of corruption in all spheres of life. We shall remain vigilant and work towards the growth and reputation of our organisation through our collective efforts we shall bring pride to our organisations and provide value based service to our countrymen. We shall do our duty conscientiously and act without fear or favour.

अस्वीकरण

यह बुकलेट मात्र सांकेतिक है, अपने आप में सुविस्तृत नहीं है। यह संबंधित विषय पर किसी भी प्रकार से किसी नियम, प्रक्रिया तथा वर्तमान अनुदेशों/मार्गदर्शी सिद्धांतों को प्रतिस्थापित नहीं करता। इस बुकलेट में उल्लेखित प्रावधान किसी भी प्रकार से किसी भी सी.वी.सी./रेलवे/कॉनकॉर कोड एवं परिपत्रों का, जिनका इसमें हवाला दिया गया है, अधिक्रमण नहीं करता एवं मामलों को सही संदर्भ में समझने के लिए इन्हें अन्य संगत पॉलिसी/सर्कुलर के समायोजन के साथ पढ़ा जाना चाहिए। इस बुकलेट को किसी भी न्यायालय में प्रस्तुत नहीं किया जाना चाहिए एवं जहां कहीं आवश्यक हो तो संबंधित विषय से संबंध मूल आदेश को ही प्रस्तुत किया जाना चाहिए। इस बुकलेट का प्राथमिक उद्देश्य केवल संदर्भ के लिए है।

DISCLAIMER

THE BOOKLET IS ONLY INDICATIVE AND IS BY NO MEANS EXHAUSTIVE. NOR IT IS INTENDED TO BE A SUBSTITUTE FOR RULES, PROCEDURES AND EXISTING INSTRUCTIONS /GUIDELINES ON THE SUBJECT. THE PROVISIONS HEREIN DO NOT IN ANY WAY SUPERSEDE THE RULES CONTAINED IN ANY OF THE CVC/RAILWAY/CONCOR CODES AND THE CIRCULARS REFERRED TO HEREIN SHOULD BE READ BOTH INDIVIDUALLY AND IN CONJUNCTION WITH OTHER RELEVANT POLICY CIRCULARS FOR PROPER APPRECIATION OF THE ISSUES INVOLVED. THIS BOOKLET ALSO SHOULD NOT BE PRODUCED IN ANY COURT OF LAW AND WHEREVER NECESSARY, REFERENCE SHOULD ALWAYS BE MADE TO THE ORIGINAL ORDERS ON THE SUBJECT. PRIMARY PURPOSE OF THE BOOKLET IS FOR REFERENCE ONLY.



MESSAGE

I am glad to know that Vigilance cell of CONCOR is bringing out a “Handbook on Vigilance Case Studies“. Corrupt practices not only adversely affect the users confidence in the system but also the productivity of the organization. A clean and more transparent administration is possible only when the need for reform is generated from the heart. I am sure these vigilance case studies will help officers and staff, to avoid committing these mistakes. This can be useful as a guide to help in better management of contracts at terminal and regional level.

I am also happy to announce the initiative of “On line Vigilance Clearance” system. The purpose of the “Online Vigilance Clearance” is to expedite the Vigilance Clearance of officers and staff promptly without any delay.

I would like to convey my sincere appreciation to the Vigilance cell for the initiative and making an excellent effort in bringing out this Handbook. I am sure that executives at all levels will make use of the information contained in the Handbook.

A handwritten signature in black ink, appearing to read 'A.K. Gupta'.

(A. K. Gupta)
Managing Director

May, 2011



MESSAGE

Vigilance Department in its pro-active role, sensitizes officials of the Company to adopt good and ethical practices in exercise of administrative and managerial powers. This is an effective strategy to combat corruption.

In the “Handbook on Vigilance Case Studies”, various aspects are being brought out to educate the officers and staff and for ensuring transparency in the official activities in the organization. Shortcomings/mistakes committed by officers in various terminals are mentioned in the case studies, so that other officers will avoid these mistakes.

The Central Vigilance Commission has been emphasizing on the need to inculcate in the people of the country the desire and determination to fight corruption and promote probity in public life. The Commission is also focusing on predictive, pro-active and punitive vigilance measures.

The “Online Vigilance Clearance” is being launched in May, 2011 to improve the efficiency and transparency in the system. The prompt issue of vigilance clearance to the officers and staff will prevent undue delays and inconvenience. I hope this book will help the officers in better knowledge management, for effective management of the contracts.

K. Rajeswara Rao

**(K. Rajeswara Rao)
Chief Vigilance Officer**

May, 2011

मिशन

हमारा मिशन अपने व्यावसायिक सहयोगियों और शेयरधारकों के साथ मिलकर कॉनकॉर को एक उत्कृष्ट कंपनी बनाने का है। अपने व्यावसायिक सहयोगियों के सक्रिय सहयोग से तथा लाभप्रदता एवं वृद्धि सुनिश्चित करके अपने ग्राहकों को अनुक्रियाशील, लागत प्रभावी, दक्ष और विश्वसनीय संभारतंत्र साधन उपलब्ध कराकर हम अवश्य ही ऐसा कर पाएंगे। हम अपने ग्राहकों की पहली पसंद बने रहने के लिए प्रयासरत हैं। हम अपने सामाजिक दायित्वों के प्रति दृढतापूर्वक प्रतिबद्ध हैं और हम पर जो विश्वास रखा गया है उस पर खरे उतरेंगे।

लक्ष्य

हम ग्राहक केंद्रित निष्पादन प्रेरित, परिणाम अभिमुख संगठन बनेंगे जिसका मुख्य लक्ष्य ग्राहकों को प्रतिलाभ दिलाना होगा।

हम संसाधनों का लाभप्रद उपभोग करने हेतु तथा उच्च गुणवत्ता वाली सेवाएं देने के लिए प्रयासरत रहेंगे और श्रेष्ठता हेतु मानक स्थापित करने के रूप में हमारी पहचान होगी।

हम परिष्कृत नवीन सेवाएं देने के लिए निरन्तर नए और बेहतर विकल्प खोजेंगे। ग्राहकों की सुविधा और संतुष्टि ही हमारा ध्येय होगा। हम अपने व्यावसायिक प्रतिस्पर्धियों से सीख लेंगे और श्रेष्ठता हेतु सदैव प्रयासरत रहेंगे।

हम अपने संगठन के लक्ष्यों और मिशन के समर्थन में परिमेय निष्पादन लक्ष्य निर्धारित करेंगे। हम अपने प्रतिस्पर्धियों के मुकाबले स्वयं ही मानक स्थापित करेंगे तथा अपने संगठन की उन्नति के लिए अपने व्यवसाय और परिचालन के सभी क्षेत्रों में एक संव्यावसायिक, सक्षम और समर्पित टीम के रूप में कार्य करेंगे।

हम व्यवसाय-सम्मत उच्चतम मानकों का अनुसरण करेंगे तथा उत्तरदायी निगमित हस्ती के रूप में सामाजिक दायित्वों का निर्वहन करते हुए व्यावसायिक समुदाय के लिए सामाजिक मूल्यों में अत्यधिक वृद्धि करेंगे।

हम अपने कार्यालयीन कार्यों में पूर्णतः सत्यनिष्ठा, ईमानदारी, पारदर्शिता और निष्पक्षता बनाए रखेंगे। हम अपनी निजी जिंदगी में भी नैतिकता के उच्च आदर्श बनाए रखने हेतु प्रयासरत रहेंगे।

MISSION

“ OUR MISSION IS TO JOIN WITH OUR COMMUNITY PARTNERS AND STAKE HOLDERS TO MAKE CONCOR A COMPANY OF OUTSTANDING QUALITY. WE DO THIS BY PROVIDING RESPONSIVE, COST EFFECTIVE, EFFICIENT AND RELIABLE LOGISTICS SOLUTIONS TO OUR CUSTOMERS THROUGH SYNERGY WITH OUR COMMUNITY PARTNERS AND ENSURING PROFITABILITY AND GROWTH. WE STRIVE TO BE THE FIRST CHOICE FOR OUR CUSTOMERS. WE WILL BE FIRMLY COMMITTED TO OUR SOCIAL RESPONSIBILITY AND PROVE WORTHY OF TRUST REPOSED IN US.”

OBJECTIVES

“ WE WILL BE A CUSTOMER FOCUSED , PERFORMANCE DRIVEN , RESULT ORIENTED ORGANISATION, FOCUSED ON PROVIDING VALUE FOR MONEY TO OUR CUSTOMERS..”

“ WE WILL STRIVE TO MAXIMISE PRODUCTIVE UTILISATION OF RESOURCES, DELIVER HIGH QUALITY OF SERVICES, AND BE RECOGNISED AS SETTING THE STANDARDS FOR EXCELLENCE.”

“ WE WILL CONSTANTLY LOOK FOR NEW AND BETTER WAYS TO PROVIDE INNOVATIVE SERVICES. WE WILL AIM FOR CUSTOMER CONVENIENCE AND SATISFACTION, LEARN FROM OUR COMPETITORS AND ALWAYS STRIVE FOR EXCELLENCE.”

“ WE WILL SET MEASURABLE PERFORMANCE GOALS TO SUPPORT THE OBJECTIVES AND MISSION OF OUR ORGANISATION AND WORK AS A PROFESSIONAL, COMPETENT AND DEDICATED TEAM FOR THE ORGANISATION TO ACHIEVE EXCELLENCE IN ALL AREAS OF OUR BUSINESS AND OPERATIONS BY BENCHMARKING OURSELVES WITH OUR COMPETITORS.”

“ WE WILL FOLLOW HIGHEST STANDARDS OF BUSINESS ETHICS AND ADD SOCIAL VALUE FOR THE COMMUNITY AT LARGE BY DISCHARGING SOCIAL OBLIGATIONS AS A RESPONSIBLE CORPORATE ENTITY.”

“ WE WILL MAINTAIN ABSOLUTE INTEGRITY, HONESTY, TRANSPARENCY AND FAIR-PLAY IN ALL OUR OFFICIAL DEALINGS AND STRIVE TO MAINTAIN HIGH STANDARDS OF MORALITY IN OUR PERSONAL LIFE.”

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GLOSSARY

ACR	Annual Confidential Report
AG(AFHQ)	Adjudicent General
C.A.	Competent Authority
C.O.	Corporate Office
CA	Controlling Authority
CDI	Commissioner for Departmental Inquiries
CO	Charged Official
CBI	Central Bureau of Investigation
CFS	Container Freight Station
CGM	Chief General Manager
CONCOR	Container Corporation of India
CTE	Chief Technical Examiner
CVC	Central Vigilance Commission
CVO	Chief Vigilance Officer
D.A.	Disciplinary Authority
DA	Defence Assistant
DCT	Domestic Container Terminal
DD	Defence Documents
DOPT	Department of Personnel and Training
DSPE	Delhi Special Police Establishment
DW	Defence Witness
GEQD	Government Examiner of Questioned Documents
GGM	Group General Manager
ICD	Inland Container Depot
IO	Inquiry Officer
IVO	Investigating Officer
JPC	Joint Parliamentary Committee
PD	Prosecution Documents
PE	Preliminary Enquiry
PH	Preliminary Hearing
PO	Presenting Officer
PSB	Public Sector Bank
PSCT	Port Side Container Terminal
PSE	Public Sector Enterprise
PSU	Public Sector Undertaking
PW	Prosecution Witness
QPR	Quarterly Progress Report
R.O.	Regional Office
RC	Regular Case
RDA	Regular Departmental Action
RGM	Regional General Manager
RH	Regular Hearing
SPS	Suspected Public Servant
TE	Technical Examiner
TM	Terminal Manager
VC	Vigilance Commissioner

CHAPTER-I

Case study on Handling & Transportation contracts

Shortcomings Observed During the Preventive Inspection of ICD's/DCT's

Minimum eligibility criteria, capacity of equipment & functioning of equipment/trailers

- The H&T contractor had provided trailers and handling equipment in numbers **lesser than the ones prescribed** in the contract condition.
- The contractor had deployed trailers/equipment not meeting the **vintage year criteria** as mentioned in the contract which was one of the qualifying criteria.
- The trailers/equipments are to be physically verified before the commencement of the contract. Due to lack of proper verification the contractor had been able to provide vehicles bearing chassis **number which are different** than what is mentioned in the Registration Certificates.
- No proper **mechanism for monitoring** the deployment of vehicles, and trailers, as proper inspection was not carried out at the initial stage and **original Registration Certificate of the vehicles** were not checked at the time of initial inspection as required, thereby resulting in submission of forged Registration Certificates.
- The H&T contractor had deployed sling crane (owned) capable of handling up to 50 MT as per the contract, during the check, it was confirmed by the terminal officials that the crane broke down and was not functional approximately for the past 18 months and no **proportionate amount was deducted from the bills** of the contractor thereby giving undue advantages to the contractor.

"Live as if you were to die tomorrow.
Learn as if you were to live forever."

— **Mohandas K. Gandhi**

Failure in effective contract Management

- **Breakdown Register** for the trailers/equipment was not maintained in a proper format and it was found to be having fake dummy entries and the penalties imposed by the Terminals Officials were negligible and that too for a limited period.
- There was a **failure to issue job orders** and ensure their timely compliance due to ineffective monitoring.
- Payments were made without regard to performance parameters prescribed under various clauses of contract agreement, disproportionately low penalties imposed were found to be arbitrarily decided without recourse to contract provisions.
- The **permits were not issued through system (ETMS / DTMS / CCLS)** for gate in & gate out. As per the MD's instruction the permits / job orders are to be issued through system.
- **Excess payment** was made to Cargo Handling Contractor by considering rates applicable to the entire cycle, where as in actual practice many containers were getting de-stuffed with the help of cranes brought by the individual importers/CHA at their own cost.
- **Committed Vehicles** for internal shifting on a monthly hire basis, were used for external use also by the contractor as per the gate in & gate out registers & contractor is taking undue advantage by billing both for the monthly hiring as well as for the external purposes.
- In terminals wherever there are two different transportation contracts, (Short lead/long lead etc.) the vehicles committed under one contracts were **frequently utilized for the movement in another contract.**
- Contracts on **Adhoc Basis** need to be discouraged.

Your beliefs become your thoughts, Your thoughts become your words,
Your words become your actions, Your actions become your habits,
Your habits become your values, Your values become your destiny."
— **Mohandas K. Gandhi**

Proforma-I

Details of equipments including vehicles / trailers for containers handling/cargo transportation owned / hired on long lease and proposed to be deployed under the contract.

S. N.	Regn No.	Year of manufacture	Engine number	Chassis number	Name of owner	Gross vehicle weight	Un-laden weight	Load capacity	Current deployment	Type of vehicle

Proforma-II

Performa related to deployment of equipment/vehicles.

1. Handling and Transport Contract No. :
2. Name of the contract/agency :
3. Value of the contract :
4. Period of the contract :

As per Handling and Transportation contract clause no. _____ Chapter_____, the contractor is to deploy the following equipment as per the tender:-

S. N.	Equipment Description	Equipment/ Vehicle to be deployed	Nos. / Qty	Year of Manufacture	Ownership requirements (Owned/ Leased/ hired)	Physically available at the time of inspection	Remarks

Proforma-III

List of Registers to be maintained in the Terminal

1. Records related to non-deployment of required vehicles/equipments.
2. Details of shift wise break down of vehicles and equipments.
3. Log book related to repairs of vehicles.
4. Photocopies of RCs of vehicles/equipments deployed in the terminals.
5. Details of job order issued and its compliance date wise.

Check List for H&T Contracts

1. Records related to non-deployment of required vehicles/equipments.
2. Details of shift-wise breakdown of vehicles and equipments.
3. Log book related to repairs of vehicles.
4. Photocopies of RCs of vehicles/equipments deployed in the terminals.
5. Details of job order issued and its compliance date-wise.
6. Horn & Reverse horn of trailers.
7. Back lights & front lights of trailers.
8. Twist lock of trailers.
9. Pollution & Insurance certificate.
10. Fitness certificate.
11. Strict compliance of provisions of DOP while initiating proposals, finalization and award of contracts.

CHAPTER-II

Case study on Security contracts

Shortcomings Observed During the Preventive Inspection of ICD's/DCT's

- The deployment of the guards /supervisors/gunman were not as per **DGR guidelines** (Ex-servicemen & Civilians).
- The security agency had deployed **less number of security** personnel and overtime duties are being taken from security personnel so as to make the desired strength.
- Security Agency was not **paying the wages** and other allowances to security personnel deployed at ICD as per DGR guidelines and payments made by CONCOR to the Security Agency were not cross verified with basic records like wage register, proofs of deposits in Provident Fund accounts of security personnel deployed, of corresponding payments made by CONCOR to the security agency etc.
- The agency was paying the wages to the security guards in cash **instead of cheque payment** thereby resulting in complaints of under payments.
- **No reliever** has been provided by the security contractor which is against the DGR norms.
- **Provident Fund registration** number and **Employees State Insurance cards** were not provided .
- **Attendance registers** were not properly maintained.

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

— ***Pearl S. Buck***

CHECK LIST FOR SECURITY CONTRACTS

1. What are the total number of security personnel deployed? Specify their designations.
2. What are the working days and timings of each guard? Is overtime being paid for extra duty performed?
3. What are the total working hours of each guard per day? Is there any specific provision of carrying double shifts by the Security Guards?
4. Are specific uniforms / dresses being provided along with safety shoes and fluorescent jackets wherever required? Whether washing allowances are being paid every month? What is the mode of payment of such extra allowances?
5. Is the Security Agency providing accommodation to these Guards or any other provisions in that respect are provided in accordance with the DGR norms?
6. What is the mode of payment of salary to these Guards? Are these Guards having proper operational bank accounts?
7. What is provision of ESIC facility? Are they provided proper ESIC cards or any other specific medical reimbursement being made?
8. Whether PF accounts are being opened by all the Security Personnel? If so, are all the details being furnished to the Security Agency?
9. What is the age limit of these security guards? What is the exact criteria for deciding the fitness of the security guards?
10. Are muster roll and the wage register and payment particulars being checked and properly endorsed by the Signature and stamp of the Terminal Manager?

GENTLEMEN, OUR 36 MONTHS DELIBERATIONS ON THIS TENDER WERE THOROUGH, WE SHOULD NOW PRESSURISE THE CONTRACTOR TO COMPLETE THE WORK EXPEDITIOUSLY WITHIN 8 MONTHS.



Gentlemen, our 36 month deliberations on this tender were thorough. We should now pressurise the contractor to complete the work expeditiously within 8 months.

लालच की अति मीठी वाणी,
लालच के अति मीठे बोल।
एक बार जो फंसे जाल में,
सुनो सदा दुर्दशा के ढोल॥

CHAPTER-III

Shortcomings Observed During Preventive Inspection of Works / Contracts- Engineering Matters

Site records :

- **Registers with pages numbered serially** not issued by the Competent Authority.
- **Field mandatory test records** not maintained in registers but maintained in proforma kept in the file without serially numbered.
- **Hindrance register** not maintained /maintained not in proper format : Hindrance Register is a very vital document. **All the hindrances with date of occurrence and removal are to be noted in the hindrance register.** Record of hindrances is not only required for grant of E.O.T, but also required for early removal of hindrance by the site officials etc.
- **Dated compliance** in site order book not recorded by site in-charge.
- **Cement and steel** not tested as per specified frequency / Manufacturer's test certificates not available for all lots : Cement and steel are the major material used in construction, hence proper quality of these materials has to be ensured by the site officials. Lot-wise manufacturer's test certificates should be obtained and kept in record. Reference of these **test certificates** should be given in corresponding cement and steel register. **Independent testing of cement and steel should also be done** at regular intervals to ensure proper quality.

Mandatory testing:

- **Mandatory tests** conducted on construction material such as stone aggregates, sand etc. found less than

requirements: Mandatory tests on various materials are to be conducted as per the prescribed frequency in the contract document/BIS codes to ensure the quality of materials used in the work. **Test results obtained from outside labs are to be properly recorded in the test registers** by giving the reference to the test report. The test results should be compared with the acceptability criteria in the test registers to ensure that the results obtained passes the acceptability criteria. Record of quantity of material brought and tests conducted should also be maintained in the test registers to ensure that tests have been conducted as per prescribed frequency.

Testing of water:

- **Testing of water** was not done regularly: Water is a very important ingredient which affects the quality of concrete. Use of proper quality water must be ensured by site officials to ensure quality of concrete work. Water must be tested regularly at the specified frequency to ensure proper quality of concrete work and to avoid benefit to the contractor for allowing bad quality water in case the contractor has to arrange water.

Work done not as per specifications:

a) CC Block work:

- CC Blocks with **broken edges** found used in the work.
- CC Blocks laid with **height variation** more than permissible tolerance prescribed in the contract document.

Attitude is a little thing that
makes a big difference.

— **Winston Churchill**

- On random checking of CC Block works, in one of the works, samples of CC Blocks of M-50 grade were got tested from the approved lab. Some of the blocks found **not meeting the specified strength requirements** as per contract provisions.

b) Cement concrete work:

- On random checking of pavement works, in one of the works, core samples of cement concrete were taken and got tested from approved lab. Some of the samples found **not meeting the specified strength requirements** as per contract provisions.

c) Cable laying work:

- Cable entering into the building not laid in pipes or closed ducts.
- **Test certificate** of cables not obtained before laying the cable.

Delay in obtaining labour license:

- Delay was found in obtaining labour license by the contractor from the concerned labour department as required as per contract provisions.

NO LEGACY IS AS RICH AS HONESTY.

— **WILLIAM SHAKESPEARE**

Display Boards:

- **Boards giving physical aspects of the work such as name of work, name of contractor, awarded value of work, date of start and completion date etc. found not displayed at project site.**

Exceeding DOP powers:

- While putting up the work for sanction, the Delegation of Powers (DOP) Chapter under which the sanction was required was not quoted in the proposal resulting error with regards to competence to sanction the proposal was committed by the sanctioning authority. **Competence to sanction** the proposal vis-à-vis powers delegated as per DOP found not checked up before sanctioning the proposal and powers delegated found exceeded.

Market Study not conducted in DG Set Work :

- At the time of floating of tender, tender conditions prescribed for “H” class of insulation in the alternator of DG Set (11KV).
- The lowest tenderer had given the condition of supplying the DG Set with “F” class insulation along with the tender.
- At the time of clarifications, the lowest tenderer withdrawn the condition of “F” class insulation and agreed to supply “H” class insulation as per tender conditions.
- At the execution stage, department accepted the DG Set with “F” class insulation after withholding certain amount on account of deviations.

- Later on, non-manufacturing of DG Set (11KV) with “H” class insulation in the alternator was confirmed by all the manufacturers prescribed in tender document. The class of insulation was wrongly specified without conducting market study at the time of invitation of tender.

Non –maintenance of proper records:

- **Proper records found not maintained** with regards to respective quotations received in limited tender. Acknowledgement from bidders /dispatch record found not maintained to show receipt of quotation papers by the prospective bidders .

Comprehensive proposal not prepared in maintenance work:

- In maintenance work of a warehouse, **comprehensive proposal was not prepared** with a view to avoid faster erosion of economic life of asset wherein all the **elements such as petty repair work, whitewashing/painting etc.** were found not included while preparing the proposal.

Non –deployment of Site Engineer :

- Site Engineer was found not engaged by the contractor as required as per contract provisions.

A customer is the most important visitor on our premises. He is not dependent on us. We are dependent on him. He is not an interruption of our work. He is the purpose of it. He is not an outsider of our business. He is part of it. We are not doing him a favour by serving him. He is doing us a favour by giving us the opportunity to do so.

— Mahatma Gandhi



Core sample taken from Cement Concrete Pavement by Vigilance Team during Preventive Inspection in one of the projects.



Samples of CC Blocks taken by Vigilance Team during Preventive Inspection in one of the projects.

CHAPTER-IV

Role of Tender Committee

TC essentially consists of:

- A **Technical Member**, who is normally known as Convenor.
- A **Finance Member**, a person from Associate Finance.
- A **Third Member** drawn from any other Technical Department.

The role of convenor:

He/She has normally full knowledge and technical know-how of work to be executed, all special features, site conditions, specifications of the work, credential of the tenderers, time frame, urgency etc. Market survey for rate analysis and implication of special conditions, if any, are also to be evaluated by him. He/She must fully brief the TC.

Role of finance member

He/She must ensure that all tenderers have fulfilled the prerequisite qualifications and eligibility conditions, i.e., :

- (a) Tenders are in properly issued form.
- (b) Tenders are signed by authorized persons.
- (c) Tenders have been opened correctly.
- (d) All tenders are correctly filled and if there are corrections and overwritings then they have been initialed by tender opening officials.
- (e) Earnest money is requisite and in acceptable form.
- (f) All valid tender offers are serially placed and put up in a comparative statement along with a briefing note, duly vetted by Accounts.
- (g) All special conditions have been mentioned and those having financial implications are evaluated. Conditions put forth by the tenderer if any, to be detailed.
- (h) The arithmetical accuracy of the offer is ensured.
- (i) A proper rate analysis has been prepared and placed on record by the Convenor duly certified with proper facts and evidences and signed.
- (j) The funds position and if work is sanctioned.

- (k) The partnership deed and any legal issue involved is examined.
- (l) All special conditions having financial repercussions have been examined.
- (m) Consistent approach is taken in dealing with tender for all similar cases, as he is a common member for all tenders.

Role of third member:

He/She must ensure that rules are followed in general, i.e.,

- (a) Reasonableness of rates has been properly examined.
- (b) A uniform and consistent approach has been adopted in dealing with the tender. In cases of difference of opinion between Members of T.C., he gives his definite opinion.

Responsibility of TC as a whole:

It is collective responsibility of the TC to give a **definite recommendation** with full facts and reasons bringing out all the known facts background and valid apprehensions, which have formed the basis for its recommendations.

It must also clearly specify **the authority competent** (as per DOP) to consider recommendations of the TC.

Role of Tender Accepting Authority (TAA)

TAA is finally and ultimately responsible for the acceptance, although the TC is also responsible for its recommendations. Therefore, TAA, while considering the TC proceedings, should examine whether:

- Work is essentially required and is covered by sanction and funds are available.
- In case of **open tender**, full opportunity has been given to all the tenderers. This includes sufficient notice for the tender.
- **Response has been adequate**, i.e., the number of tender sold vis-à-vis number of offers received. In case of poor response, this aspect should be specially examined.
- **Reasonableness of offers** has been properly examined by the TC.

CHAPTER-V

System Improvements Undertaken During the Year 2007-08

- The abandoned/unclaimed packaging material like pallets etc. left behind by importers after taking delivery of materials in the ICDs of Western Region were being disposed off through house keeping contract without any accountal of quantity of such items. This was detected by vigilance team. The region has accepted to take corrective action, so that such items can be properly accounted for as scrap and disposal by sale will be resorted to as and when sufficient volume gets accumulated. This will augment CONCOR's revenue.
- Following the request of Vigilance Division, MD/CONCOR directed the Management Information System department to modify the systems (ETMS/DTMS/CCLS) to generate Contractor Billing Reports from ETMS/DTMS/CCLS – for payment and verification of activities performed by contractors during the month. Accordingly, MIS department has modified the system and instructions have been issued for usage of the module for the purpose of verification of contractors' bills.
- Till recently single bid system was being followed in Engineering Tenders and there were complaints against evaluation of credentials and consequent denial of issuing tender forms. In order to streamline the tendering process, detailed guidelines have been issued by the management wherein the production of the credentials at the time purchase of tender document need not be insisted upon.
- On the observations of Vigilance, for properly acknowledging the request for purchase of tender documents, Engineering Division vide circular no. CON/EP/1:2/I/2005 dated 30.07.2007 has provided a desk by deputing an engineering official who shall record date & time on the application received for purchase of tender document so as to avoid non- issuance of tender document

on the plea of not receiving the application within specified date/time.

- On the observations of Vigilance, revised guidelines in tender system and evaluation of tenders have been issued vide Engg. Division letter No. CON/RR/Policy/2006-07 dated 12.07.2007, wherein it has been clarified that the number of tenders called on limited tender basis from approved list of tenders should not be restricted to minimum three. The number of tenders called for Limited Tender from the approved list should be as much as available for the work.
- During preventive checks conducted by vigilance, some deficiencies were observed in the functioning of Commercial & Operational (C&O) divisions in various regions. To improve the system and to check the deficiencies in the C&O activities, MD has issued an audit format consisting of questionnaire in respect of C&O activities vide no. CON/Domestic Division/Inspection. Guidelines dated 27.04.2007 and emphasized a need to audit the C&O functions on the basis of the format issued, once in 6 months for each terminal. Such a step is likely to improve the service quality and will provide cost effective services to the customers.
- On the observation of vigilance, corrective action with regard to discrepancies between BOQ and specifications in tender documents have been clarified by the Engineering Division vide circular no. CON/EP/VSKP/BR/T-2/EL/2003 dated 26.10.2007. In case there is discrepancy in the nomenclature of the items given in Bill of Quantities and the specification given under the appropriate section of tender documents, the Bill of Quantities shall supercede the specifications.
- As per the advice of CVC vide letter No. 007 / CRD / 014 / 64156 dated 01.08.2007 regarding the implementation of

the Integrity Pact, CONCOR has signed a Memorandum of Understanding with Transparency International India for implementation of Integrity Pact. CONCOR has become second such organization after ONGC

- Based on the initiative of Vigilance Division, a Committee comprising of Executive Director (Finance), GGM (Domestic) and GM (Vigilance) was constituted to study the existing system of levy and waiver of ground rent (TSC) and wharfage at CONCOR terminals. The objective was to identify areas for improvement with focus on reducing customer grievances, plugging loopholes/leakages in the system and ensuring a transparent mechanism for waiver. The Committee has made an exhaustive report detailing the critical areas of concern and suggesting positive measures for improvement in the current system and procedures. Based on the recommendations of the Committee, revised guidelines have been issued to the Regions for implementation at all the terminals.

If you have integrity, nothing else matters.
If you don't have integrity, nothing else matters.

System Improvements Undertaken During the Year 2008-09

- On the basis of vigilance observations, Engineering department issued Circular No.CON / RR / Policy / 2007-08 dated 05/03/08 regarding the test checking of bills by engineering officer for at least 10% of the total value of the work.
- As a system improvement on Railway pattern, CONCOR has modified the Risk & Cost Clause. In case of default of contractor, the Performance Guarantee shall be encashed and Security Deposit shall be forfeited. The balance work shall be got done as a separate independent work without risk and cost of original contract.
- Modified instructions have been issued regarding experience criteria w.r.t. calling of open tender for bituminous/concrete pavement in the matter of clearly spelling out “similar nature of works” wherein it has been clearly spelt out that pure earth work (with no bituminous / concrete pavement/road works) will not be considered as similar nature work.
- Modified Procedure order regarding tender evaluation system issued by Engg. Division vide no. CON/RR/Policy/2007-08 dt. 24.11.08.
- Procedure has been adopted in the container terminals to restrict the use of department facility of water and electricity by the contractors for construction purposes.
- **Up-gradation of Leveraging Technology by providing online Radio Data Terminal (RDT):**
Earlier it was suggested to provide RDT instruments for the terminal handling throughput of 2500 TEUs or more per month for the purpose of capturing the data online for various activities and monitoring the movement of equipments and trailers in container depots. The installation and commissioning of RDTs have been completed in 18 locations and instructions have been given to implement the system

and effective utilization of these RDTs. This will eliminate the malpractices such as manipulation of date of arrival and departures of containers, number of containers handled by the equipments & trailers, availability of equipments and trailers etc. This has also plugged the revenue leakages on account of the above said malpractices and discrepancies.

■ **Up-gradation of bill verification procedure:**

It has been observed that though procedures are in place for passing H&T bills the same were not found adhered to. In order to ensure the strict compliance with procedures two checklists have been devised and circulated for implementation. This will ensure the proper scrutiny of contractor's bill and compliance of terms and conditions of the contract agreement.

■ **Details of payment status to be published on CONCOR Website:**

As per CVC's guidelines and subsequent instructions of MD, the progress of contracts concluded during the month and subsequent details are being uploaded on the website in the prescribed format. It has been decided that "Bill Payment Status" of bill for value above Rs. 1 Lac of Engineering, Technical and MIS department of Corporate Office will be uploaded on CONCOR's website on monthly basis.

शुद्ध करो अचार-विचार
दूर रहेगा भ्रष्टाचार
सुन लो मेरी यह मनुहार
सुखमय होगा यह संसार

System Improvements Undertaken During the Year 2009-10

- **Details of payment status to be published on CONCOR Website:**

As per CVC's guidelines and subsequent instructions of MD, the progress of contracts concluded during the month and subsequent details are being uploaded on the website in the prescribed format.

As decided "Bill Payment Status" of bill for value above Rs.1 Lac of Engineering, Technical and MIS department of Corporate Office are being uploaded on CONCOR's website on monthly basis.

Now it has been decided that the "Bill Payment Status" of bill for value above Rs.1 Lac of all the department of Corporate Office will be uploaded on CONCOR's website on monthly basis.

- Modified performa has been issued for Cement Consumption Register to be maintained as a single standard for all the works under execution. Challan number and manufacturer's test certificate should be mentioned for each consignment of cement brought to site.
- Engineering Division has issued modified instructions vide No. CON/RR/Policy/2008-09 dated 26.08.2009 regarding procedure for estimation and reasonableness of rates in Engineering tenders.
- CONCOR's DOP makes no provisions for a contract for deployment of manpower alone.

The DOP Chapter IV states that administrative approval of DPS is required for contracts valuing more than Rs.10 lacs for maintenance of building and premises, sanitation and housekeeping. Manpower for manning the installation for normal operation is strictly not covered in the above clause, which needs the approval of DPS. The contracts need not be manpower based but the tenders should clearly define

the output requirement in measurable terms and without the mention of manpower requirement. This has been clarified to the Regions, as mentioned below:

“The housekeeping contracts have to be outcome based which should define the work involved without any reference to the manpower requirement. The quantity of the output should be clearly defined and measurable for payments due to be determined under the contract. These should not be manpower based.

Whenever there is a departure/deviation from the laid down guidelines/procedure, the reasons should be recorded and the next higher authority should be kept informed.”

■ **Adhoc employees not to handle cash:**

During a vigilance investigation, it was observed that an adhoc employee had been assigned the job of handling cash in a Region. In view of the sensitive nature of this assignment, the following has been decided with the approval of the MD.

“Adhoc employees or consultants should not be posted for cash collections, deposit, and cash should be handled only by regular employees and the supervisory staff concerned should check the same on a quarterly basis, in the absence of any other instructions in this regard.”

- 'Addendum-XIII' to the Delegation of Powers by MD duly approved by the competent authority has been issued vide note no. कॉन/एफए/सचिव/DOP/2009/ dated 07.12.2009, which is as under:

**Chapter IV
Tenders, Contracts, Agreements**

S.N.	Description
IV.	Note: 2. For contracts valuing more than Rs.10 lakhs for maintenance of buildings and premises and sanitation and housekeeping contracts <u>including operation and maintenance of electrical installation</u> , administrative approval of Director (Projects & Services) should be obtained before starting tendering process.

- In order to streamline the existing system of recruitment process, the following measures have been issued vide MD's note no. CON/MDO/VIG/2009 dated 10.12.2009, which are as under:
 - a) It would be a desirable practice to prescribe age eligibility in future in terms of "On or Before" or "On or after" dates for Date of Birth to determine eligibility rather than "Age on a Cut Off Date" to avoid any chances of varying interpretations on eligibility or otherwise of the Candidates.
 - b) While the functional Directors other than the functional Director In-charge of HR function are free to give their opinions and views on policy aspects related to HR matters, the final view should be taken by the Functional Director In-Charge of HR matters, who may seek the directives / approvals from MD wherever considered necessary.
- Instructions have been issued by Director (IM&O) vide circular dated 19/2/10 regarding submission of tender by existing contractor, which is as follows:

If the existing contractor has submitted the tender for the same capacity in the same facility, the existing contractor's bid should necessarily be accompanied by a satisfactory performance report from the same terminal. In case, if his bid for the same activity is not accompanied with the above mentioned satisfactory performance report, it will not be considered. Necessary amendments may be made in the tender documents in future.
- In order to streamline the insurance requirements, the following guidelines issued by Engg. Division vide circular no. CON/EP/Policy/2009 dated 23.03.2010 for compliance in future tenders:
 - a) The insurance policy which the contractor submits in respect of the contracts awarded shall cover third party insurance also.

- b) In case the policy submitted does not cover third party insurance separate policy for third party insurance shall be obtained
- Instructions have been issued to all concerned regarding incorporation of makes of equipments vide Engg. Division letter No.CON/EP/Policy/2009 dated 9/12/2009.

खुशी का एक और नुस्खा

लीजिए केवल एक कप कर्तव्यनिष्ठा का
उसमें समयपालन का थोड़ा सा पुट दें
पारदर्शिता की एक चम्मच मिला दें
और बाद में इन सबको छान लें

तब इन्हें कठोर परिश्रम से मिलाएं
ईमानदारी की सोच के साथ
और आप पाएंगे कि अपनी खुशी को
आपने स्वयं ही बनाया था

One More Recipe of Happiness

Just take a cup of **Dutifulness**
a dash of **Punctuality** too,
a teaspoonful of **Transparency**.
and sift then through & through.

Then mix them with some **Hard Work**,
with **thought of Honesty**,
and you will find your **Happiness**
was made by your own hand.

जगभूषण शर्मा
हिंदी अनुवादक

System Improvements Undertaken During the year 2010-11.

■ **Date of start of work for Engineering works:**

Engg. Division has reviewed the contract provisions and amended the reckoning of date of start of work which shall be reckoned from the 10th day after issue of LOI (instead of from the date of issue of LOI stipulated earlier) for giving sufficient time to contractor for completing initial formalities like taking of labour licence and insurance policies etc.

■ **Rotation of employees working in sensitive posts:**

As per extent instruction issued by CVC/Railway Board from time to time, HR Division vide their letter No. CON/HR/259/1/1644 dated 08.06.2010 has issued the instructions regarding rotation of employees working in sensitive posts.

■ **Acceptance of tenders/Quotations: mention of powers delegated under DOP**

Instructions have been issued vide the MD's letter No. CON/IM/201/09 dated 23.08.2010 regarding officials who are part of the Tender/Quotation Evaluation Committee, and the officials processing the tenders/quotations should invariably quote the powers delegated under DOP so that the acceptance of recommendations is dealt with at the appropriate level/s.

■ **Management of Handling & Transportation contract:**

Instructions have been issued vide the MD's letter No. CON/Vig/CO/2009/Office Order/1278 dated 11.10.2010 to all regions regarding Management of H&T contracts wherein it has advised to:

- Records related to non-deployment of required vehicles/equipments
- Details of shift wise break down of vehicles and equipments

- Log book related to repairs of vehicles.
- Copies of RCs of vehicles /equipments deployed in the terminal
- Details of job order issued and its compliance date wise.
- Details of equipments and vehicles/trailers for containers
- Proforma related to deployment of equipment/vehicles

■ **Maintenance of CONCOR owned Reach stackers**

Guidelines have been issued to all Regional Heads vide Technical Division letter No. CON / T / CONFIDENTIAL / 7923 dated 27.12.2010 regarding maintenance of RST machines wherein it was emphasized that a proper system of ensuring usage of genuine spares as per contract need to be ensured and regular checks & monitoring etc. may be done to ensure quality work and compliance of contractual provisions.

■ **Display Boards:**

Instructions have been issued vide Engg. Division letter No. CON/EP/Engg.Circulars/2010-11 dated 18.11.2010 for putting Display Boards having project information covering; Name of client, Name of work, Scope of Work, Name of the contractor with address, Awarded value of work, Date of start and Target date of completion at all project sites.

■ **Use of Ordinary Port Land Cement (OPC Cement) in Civil Contracts:**

Instructions have been issued vide Engg. Division letter No. CON/EP/Gen/2010 dated 30.11.2010 for making amendment in future tenders (Special Conditions of Contract - Clause-7.1) to use Ordinary Portland Cement (OP Cement) 43 grade and/or 53 grade in civil contracts to have more clarity in use of cement and as per the availability of cement in the market.

- Instructions have been issued vide Engg. Division letter No. CON/EP/Gen/2010 dated 30.11.2010 for standardizing the item of cement concrete used in pavement works wherein (1) Cement concrete item 1:3:6 as per Delhi Schedule of Rates 2007, (2) Dry lean cement concrete as per MORTH specifications and (3) Use of ready mix concrete has been prescribed based on the suitability of any one or more out of three which will be decided by concerned engineer before calling of tender as per site requirement. Sl. No.1 will be generally used in the works. Sl.No.2 will be suitable where unhindered site is available generally in new depots where there is no space constraint. Sl.No.3 will be suitable where site is hindered & there is no adequate space available for stacking material and for keeping machinery etc. & ready mix concrete is available in close vicinity.
- Instructions have been issued vide Engg. Division letter No. CON/EP/Vig.Reply/2010-11 dated 28.12.2010 to take immediate action to rectify the various deficiencies / irregularities pointed out by Vigilance noticed at various work sites and to ensure that all records are maintained properly.
- Instructions have been issued to all Regional Heads vide Director (IM&O) letter No. CON/Vig-NR/90/2010/AV/1501 dated 24.12.2010 to collect the original RCs of vehicles from all the contractors registered in the State of Nagaland and keep in safe custody.

In case the contractors are not providing the original RCs for verification either the vehicles are to be disengaged or replaced after following the necessary penal action as per contract.

- Instructions have been issued vide Engg. Division letter No. CON/EP/Gen/2011 dated 13.01.2011 to improve the system of cable laying work, wherein cable laying should be done in pipes/closed ducts at the entry point of building and obtain test certificate before laying the cable.

- Instructions have been issued vide Engg. Division letter No. CON/EP/Engg. Circulars/2010-11 dated 21.01.2011 regarding payment of site clearance item.
- Instructions have been issued to all regional heads vide Director (IM&O) letter No. CON/DIMO/IM Policy/201/09 dated 04.01.2011 regarding security checks to be carried out at all terminals to make the security operators alert to protect the property and interest of CONCOR.
- Instructions have been issued vide Director (P&S) letter No. CON/DPS/HR/68 dated 12.01.2011 regarding safety custody of official documents and access of visitors to CONCOR office.
- Instructions have been issued by Engg. Division letter no. CON/EP/Engg. Circulars/ 2010-11 dated 08.02.2011 regarding returning of un-opened price bids to disqualified tenderers.
- As a system improvement measure, instructions have been issued by MD/CONCOR vide letter no. CON/MDO/ Engg. / 2011/ dated 16.03.2011 for implementations of measures to prevent fire incidents which includes deputing a specialized consultancy agency, having a dedicated fire service officer at Corporate Office and to have dedicated fire tender in large depots of “A” category with required compliment of trained staff, to have the scope of AMC for fire fighting equipment expanded with minimum two persons available round-the-clock well versed in operation of fire fighting equipments etc.
- As pointed out by Vigilance during preventive check of various engineering works, in order to improve the system, Director (P&S) vide letter no. CON/DPS/Vig./80 dated 22.03.2011 have issued the instructions regarding estimate for calling of quotations, maintenance of proper records with regards to quotations received in limited tender and quoting of DOP chapter while putting up for sanction of a proposal to competent authority.

Golden Rules for Eliminating Corruption

- Effective and regular supervision eliminates corruption.
- Vigilance is the responsibility of all employees in an organization.
- Encourage and create a climate for effective vigilance.
- Delay in action or taking decision may lead to corruption, hence, avoid such delays.
- Constantly monitor exercise of discretion at all levels to detect its improper use for pecuniary considerations.
- Identify corruption prone areas and ensure transfer of officials in sensitive posts within a specific period to check corruption.
- Keep close watch on officials having doubtful integrity, to eliminate corruption.
- Surprise checks/inspections besides mandatory scheme of inspections by senior officers, deterrent action against defaulters and wide publicity of punishment awarded to guilty employees help in curbing corruption.
- Reduce area of discretion.

INTRODUCTION

TO

ONLINE

VIGILANCE CLEARANCE SYSTEM

CHAPTER-VI

Introduction to Online Vigilance Clearance System

Introduction

CONCOR incorporated in March, 1998, started its operation in November-1989 by taking over 7 ICDs from Indian Railways. The company's main function is to provide cost effective & reliable logistic support services to its customers. The logistic services are offered to trade which comprises of transportation by Rail, Road, Warehousing, storage and complete supply chain by providing end to end logistic solutions. The Company provides value added solutions and also the movement of refrigerated cargo.

In a span of 23 years, CONCOR has developed a vast network of 61 container terminals at prime locations of the country. This includes 18 pure EXIM, 12 pure domestic and 31 combined terminals. During the financial year 2010-11, the international throughput is 2018551 TEUs, domestic throughput is 543746 TEUs. The total throughput during the FY 2010-11 is 2562297 TEUs which is 5.83% higher than the last year throughput i.e. 2421247 TEUs.

The total no. of employees 1147 including officers & staffs regularly require NOC for different purposes.

The "Online Vigilance Clearance system" is a step towards instantly issuing the NOCs for officers and staff of CONCOR all over the country. Earlier the average time taken in manual Vigilance Clearance was more than 20 days from the date of request of application, forwarding of the request by Regional Office and till final issuance of the NOC. The present initiative by Vigilance Division is to reduce this time gap and to provide Vigilance Clearance instantly within a period of two days.

Objective :

- Vigilance clearance is a step towards initiating the online NOC's to all officers and staff of CONCOR.
- Computerization of Vigilance process of awarding NOC for reduction of time of the whole process
- To provide online NOC form Vigilance department for various purposes like
 - Confirmation
 - Promotion
 - Removal
 - Dismissal
 - Retirement
 - Acceptance of Resignation
 - Voluntary retirement
 - Outside employment
 - Foreign Visit
 - Deputation
 - Sanction of Award
 - Permanent Absorption
 - Passport
 - Others
- To increase transparency
- To move towards paper less office
- Simplify the process

Technology :

- Developed in the latest internet based Technologies and secured by Digitally signature at all levels
- All vigilance clearance digitally signed by competent authorities
- Available in CONCOR's intranet

Security :

- Digital tokens are required to login and sign with PKI validation at all levels
- Employees are mapped with digital tokens
- Data encryption
- Employee data is populated from Ramco HR and Payroll system
- Password can be changed by users

Functionality :

The application has been designed and developed on the intranet architecture for providing online vigilance clearance to employees for various purposes.

The main Stages are :

- Vigilance Clearance Request
- Vigilance Clearance Approval

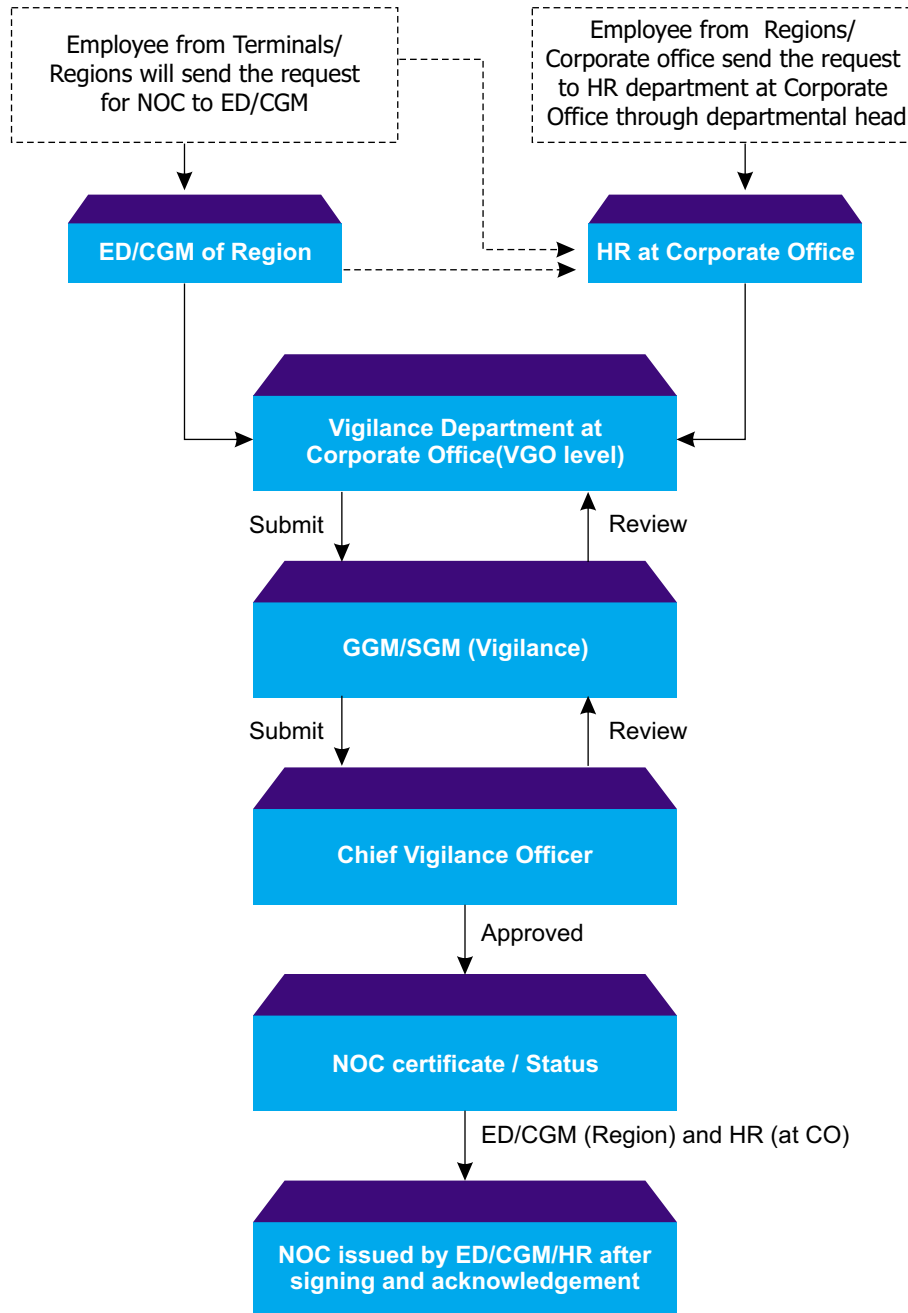
Three levels :

- Vigilance Officers
- GGM /SGM (Vigilance)
- Chief Vigilance Officer
- Vigilance Clearance (NOC)

Features :

- Available on CONCOR's Intranet
- Secured by Digital tokens and certificates
- Auto mail intimation at each level.
- NOC's stored in database
- Interface with Ramco HR System
- Unique system generated number for each request
- Various Search options i.e. on date , for a period, employee no., name, request id etc.
- Reports at all levels

Workflow of the Application



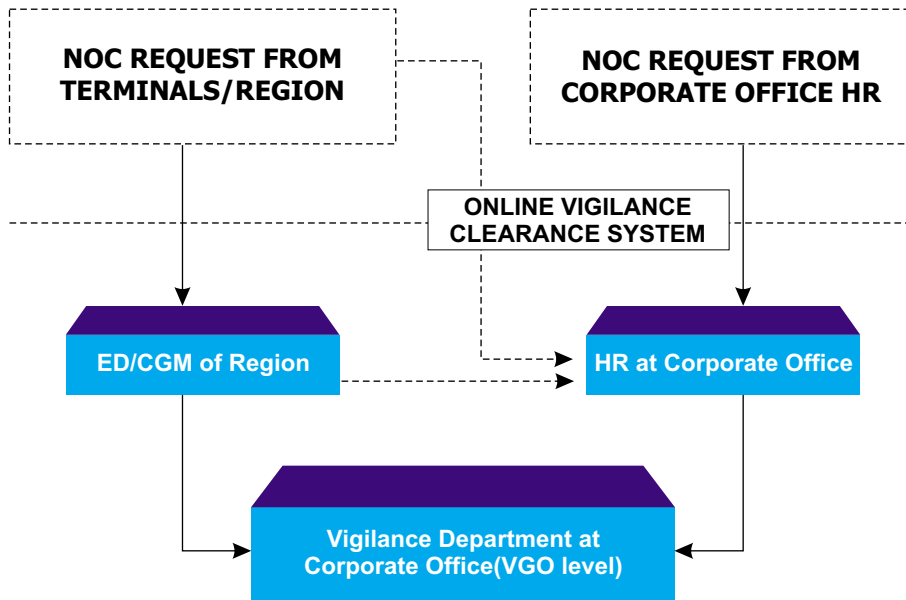
Step-1

Vigilance Clearance Request

To be generated by the region (ED/CGM) and HR Department at Corporate Office. Before initiating vigilance clearance proper scrutiny need to be done regarding D&AR actions.

This activity allows you to create the vigilance clearance request and can be initiated by the authorized person nominated for the same. The system generates a unique request number for the vigilance clearance request. When the vigilance clearance request is initiated, then the request must be approved and digitally signed by ED/CGM (Region) and HR department at Corporate Office before forwarding to Vigilance Officer (VGO). An automatic email notification will be send to vigilance officers for approval.

Vigilance Clearance Request



Step-2

Vigilance Clearance Approval

This activity allows VO to process the vigilance clearance request number submitted by the ED/CGM (Region) and HR at Corporate Office. The vigilance officer of vigilance department recommends the request at level one approval stage. The GGM/SGM(Vig.) further recommends the request at level two approval stage or send back the request to vigilance officer for the review.

GGM/SGM (Vig.), digitally signs and forward to Chief Vigilance Officer (CVO) for approval. The CVO of vigilance department approves the request at final approval stage or send back the request for review. An email notification is send to the concerned persons if the CVO approves the request. The regional CGM can take the printout of the final vigilance clearance certificate with digital signature of the requisite (ED/CGM (Region) or HR Department at Corporate Office), GGM (Vigilance) and CVO (Vigilance).

Level-1 (Officers in Vigilance Department –VO)

Officers will write their internal noting /comments in the application and forward it to GGM (Vig.) after submission the amendment in the notes is not permitted unless GGM (Vig.) asked for review in the application.

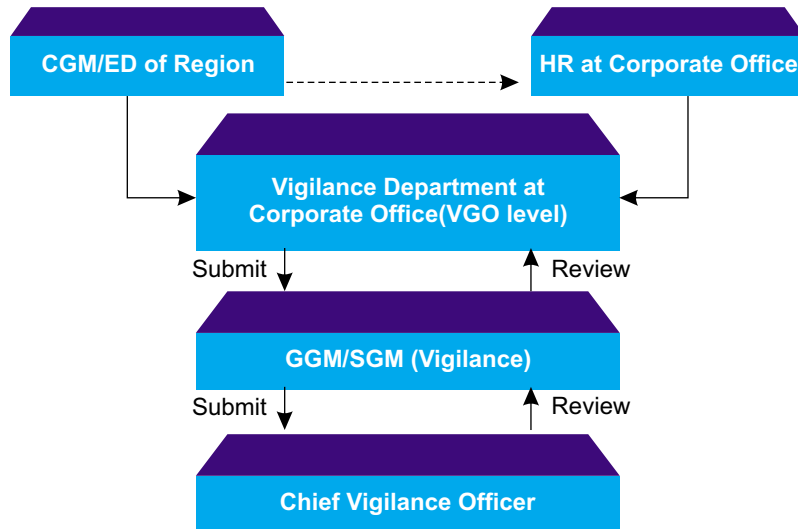
Level-2 (GGM/SGM(Vig.))

GGM(Vig.)/SGM(Vig.) can either submit the request for approval of CVO or send back for review after adding the comments. The request is forwarded to CVO with digital signature.

Level-3 (Chief Vigilance Officer)

CVO can either approve the request or send back for review to GGM (Vig.) after adding the comments. After approval the NOC will be digitally signed by CVO and auto mail will be sent to requisite with copy to GGM (Vig.)

Vigilance Clearance Approval



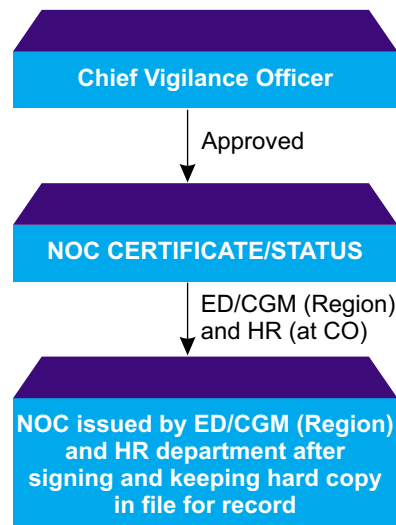
Step-3

Vigilance Clearance (NOC)

This page allows you to digitally sign the vigilance clearance request submitted by the CGM, ED/GGM/HR and CVO. This page also helps you to view the signed PDF and also you can view the vigilance clearance request report.

After Receiving the formal approval from CVO, the initiator ED/CGM (Region) and HR at Corporate Office should keep a hard copy of NOC in file for record and issue the same after signing it. These officers need to frequently check the mails, at least two or three times in a day.

Vigilance Clearance



Application Navigation

1) Login Screen

Prerequisite :

Internet Explorer version 8 and above

User id (Employee no. mapped with Digital certificate)

Digital tokens is required for login

After login for first time system prompt for change the password.

URL : <http://ovcs.concorindia.com/> (CONCOR'S INTRANET)



CHAPTER-VII

Initiatives By Vigilance Division

- Vigilance Awareness Period was observed from 25th October to 1st November 2010 at Corporate Office, Regional offices/ICDs and CFSs of CONCOR..
- The programme began in Corporate Office 25.10.2010 at 11:00 hrs by taking pledge by officers/staff of all ranks. The pledge was administered by MD in Corporate Office. The same was also done in all Regional Offices/ICDs/CFS and pledge administered by the Regional Heads/Terminal heads in the respective regions/terminals.
- On 26.10.2010, a Seminar on “**Perception of customers and their expectations from CONCOR**” was conducted at Corporate Office. All the top Management Officers including Managing Director and Directors participated. CVO welcomed the MD, Directors and all other officials in the seminar. The seminar was addressed by MD/CONCOR.
- The MD/CONCOR had released **Vigilance Hand Book 2010** prepared by the vigilance division on this occasion. The book was distributed to all the officers and staff in the Corporate Office, Regional Offices and terminals.
- In his opening remarks CVO highlighted CVC's emphasis on observing Vigilance Awareness Period is “**Generation of Awareness and Publicity against Corruption**”. It has been also suggested to have an effective anti-corruption campaign this year. Further, it has also emphasized that transparency in public spending, raising awareness among the users of CONCOR's services as well as avenues available for redressal of their grievances.

- The MD/CONCOR has stressed the need for introspection and devise the strategies for system improvements and eliminate the corrupt practices. MD stressed the need to achieve time and cost effectiveness and better customer care.
- During the session presentations were made by GGM (IM) and GGM (SP) on the above subject.
- On 27.10.2010, an interactive session on **“Vigilance awareness against corruption”** was conducted at North Western Region at Ahamadabad. All NWRO officers including CM/SBI, staff, nominated officers from Corporate Office along with customers, representatives of contractors have attended the programme. The seminar was addressed by CVO and DIMO. Various partners/stakeholders who have attended made valuable suggestion for functional improvements.
- On 28.10.2010, a competition on paragraph and slogan writing in Hindi & English on “Harmful effect of Corruption” was organized in Corporate Office/Regional Offices. Most of the officers and staff enthusiastically participated.
- CVO advised all regional heads and terminal officials to again review all contracts, tenders and compliances of all vigilance requirements and to take corrective actions.
- As a systems Improvement, circular for management of Handling and Transportation contract has been issued by MD along with proforma of registers to be maintained in the terminal. DIMO has issued instructions in December 2010 regarding security contracts and a complete checklist has been issued for guidance and follow up actions.

- During the year 13 preventive/surprise checks and 5 intensive examinations were conducted by the vigilance division.
- Terminal Managers meeting was held in Jan.-2011. A presentation on “Quality Management of Contracts – Vigilance Perspective” was given by Shri D.S. Kapoor - GGM(Vig.) during the session. This presentation basically dealt with educating the TMs regarding H&T and Security contracts, shortcomings noticed during preventive checks, check list for scrutiny etc.
- A meeting was held on 19th April at ICD/TKD . A presentation on “Quality Management of Contracts – Vigilance Perspective” was given by Shri D.S. Kapoor - GGM(Vig.) during the session. All the Terminal Managers of Northern Region were present in the meeting.

सच्ची दौलत का सुख तो,
सहज स्नेह की धारा में।
बाँध रखा क्योंकिर जीवन को,
फिर रिश्वत की कारा में॥

VIGILANCE AWARENESS WEEK (VAW)

Conference at Corporate Office, New Delhi

26th October, 2010



VIGILANCE AWARENESS WEEK (VAW)

Conference at Corporate Office, New Delhi

26th October, 2010



VIGILANCE AWARENESS WEEK (VAW)

Conference at NWR
27th October, 2010



TERMINAL MANAGERS MEETING ON CONTRACT MANAGEMENT

at Corporate Office, New Delhi

in 21st January, 2011



Annexure-I

Details of Recoveries made from April 2010 to March 2011.

Details of recoveries affected after vigilance checks
during April 2010 to March 2011.

S. No.	Party Name	Amount (₹)	Unit	Month	Remarks
1	M/s.B. Ghosh & Co	2685000/-	ICD/WFD	April	Towards overpayment of 20' trailers
2	M/s.Subir Engg. Works Pvt Ltd	88000/-	DCT/Durgapur	May	Towards various deficiencies in civil work
3	M/s. Gupta Enterprises	4800/-	ICD/Dadri	June	Towards various deficiencies in civil work
4	M/s. Lal Chand Surana	19312/-	ICD/Ratlam	June	Towards various deficiencies in civil work
5	M/s. Om Prakash Kukreja	30247/-	ICD/Madhosingh	June	Towards various deficiencies in civil work
6	M/s. Progressive Engg. Co.	21414/-	ICD/MB	July	Towards various deficiencies in civil work
7	M/s. Apco Construdion (P) Ltd	200891/-	ICD/Sabarmati	August	Towards various deficiencies in civil work
8	M/s. Vikram Integrated Logistics Pvt Ltd.	1749655/-	ICD/Whitefield	September	Towards various deficiencies in H & T contract.
9	M/s. B. Ghosh & Co	5435533/-	ICD/Whitefi eld	October	Towards various deficiencies in H&T contract.
10	M/s. Chakragiri Transport Co.	243000/-	ICD/Sanathnagar	November	Towards various deficiencies in H&T contract.
11	M/s. Chakragiri Transport Co.	819000/-	ICD/Sanathnagar	December	Towards various deficiencies in H&T contract.
12	M/s. Prem chand & Co.	278196	ICD/Nagpur	January'11	Towards various deficiencies in H&T contract.
13	M/s. Vikram Logistics & Maritime Services Pvt Ltd	372000/-	ICD/WFD	February'11	Towards various deficiencies in H&T contract (transit delays).
14	M/s Roadwings International (P) Ltd	2180497/-	ICD/Jaipur	March'11	Towards various deficiencies in H&T contract
15	M/s. Vikram Logistics & Maritime Services Pvt Ltd	90000/-	ICD/WFD	March'11	Towards various deficiencies in H&T contract (transit delays).
16	M/s.Darshan Lifter (p) Ltd	249000	ICD/MB	March'11	Towards non-deployment of trailers.
	Total	₹ 14466545/-			

Annexure-II

**Details of Preventive Check / Surprise Check
conducted from
April 2010 to March 2011**

Sl.No.	Month	Unit
1	April'10	ICD/Durgapur
2	May'10	ICD/Kanpur
3	July'10	ICD/Agra
4	August'10	ICD/Jaipur
5	September'10	ICD/Sanatnagar
6	October'10	ICD/TKD (Civil)
7	October'10	ICD/Dadri (Civil)
8	November'10	ICD/Moradabad
9	December'10	ICD/Nagpur
10	January'11	ICD/Pithampure
11	January'11	ICD/Ratlam
12	February'11	Regional Office, Mumbai
13	March'11	ICD/Whitefiled

**Details of Intensive Preventive Examination
conducted during April 2010 to March 2011**

Sl.No.	Date	Brief Description of Work
1	June'10	ICD/Baddi
2	September'10	ICD/Nagulapally
3	November'10	ICD/TNPM (Civil)
4	November'10	ICD/Balasore (Civil)
5	March'11	ICD/WFD

आदर्श कर्मी की परिभाषा

सच में है वो आदर्श कर्मी
उसके पास ही है अमरत्व ।
रखता एक हाथ में निष्ठा
दूसरे में कर्तव्य ॥

कर्तव्य—निष्ठा के प्रति
सदैव रहे जो तत्पर ।
दृढ़ निश्चय से लिया जिसने यह संकल्प
भविष्य है उसी का बेहतर ॥

संकल्प यह कि कार्य में हो पारदर्शिता
निष्पक्षता और सतर्कता ।
सकारात्मक ऊर्जा
कार्य के प्रति उत्सुकता ॥

सद् विचारों से जलाए भ्रष्टाचार की होली
संस्थान के उत्थान की रखे अभिलाषा ।
एक आदर्श कर्मी की
यही तो है परिभाषा ॥

जगभूषण शर्मा
हिंदी अनुवादक

आह्वान

समग्र विकास की ओर
भारत के बढ़ते कदम
रुकेंगे नहीं अब कभी
क्योंकि हैं प्रयासरत
हम सब हर पल हरदम
भ्रष्टाचार को मिटाकर ही लेंगे दम।

चहुंमुखी विकास का लक्ष्य
होकर रहेगा फलीभूत
तुम बदल सकते हो
दुनिया की तस्वीर
केवल तुम्हीं हो लिखने वाले
अपनी खुद की अमिट तकदीर।

तो फिर चलो घर घर गांव गांव
जलाओ सतर्कता का आशादीप
उठाओ कलम और खाओ कसम
करेंगे भ्रष्टाचार को, जड़ से खतम।

जगभूषण शर्मा
हिंदी अनुवादक

HOW TO JUDGE

WHAT IS RIGHT ?

TESTS FOR PERSONAL CHOICES

TRANSPARENCY

Do I mind if others know?
Or if the press reports what I do?

ACCOUNTABILITY

Do I report to others?
Can they check my reports?

RECIPROCITY

Would I feel hurt if others do the same?

HUMILITY

Will it harm society if everybody
does the same?

SUSPICION

How do I avoid acts that others might
reasonably suspect?



कॉनकॉर
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