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 प्रयासशील रहेंगे।

हम यह प्रतिज्ञा भी करते हैं कि हम जीवन के प्रत्येक क्षेत्र से भ्रष्टाचार उन्मूलन करने के लिए निर्वाह रूप से कार्य करेंगे। हम अपने संगठन के विकास और प्रतिज्ञा के प्रति संतपत्त रहते हुए कार्य करेंगे। हम अपने सामूहिक प्रयासों द्वारा अपने संगठनों को गौरवशाली बनाएं तथा अपने देशवासियों को सिद्धांतों पर आधारित सेवा प्रदान करेंगे। हम अपने कर्त्तव्य 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.
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. K. Gupta)

May, 2011

Managing Director
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)

Chief Vigilance Officer

May, 2011
मिशन

हमारा मिशन अपने व्यवसायिक सहयोगियों और शेयरधारकों के साथ मिलकर कॉमन्कॉर्प को एक उल्लम्ब कंपनी बनाने का है। अपने व्यवसायिक सहयोगियों के संक्रिय सहयोग से तथा लाभप्रदता एवं वृद्धि सुनिश्चित करके अपने ग्राहकों को अनुक्रियाशील, लगात ग्राहक के दृष्टि और विश्वसनीय संबंधस्थ साधन उपलब्ध कराकर हम अवश्य ही ऐसा कर पाएंगे। हम अपने ग्राहकों की पहली पत्रकार बने रहने के लिए प्रयासरत हैं। हम अपने सामाजिक दायित्वों के प्रति उद्देश्यपूर्वक प्रतिबद्ध हैं और हम पर जो विश्वास रखा गया है उस पर खरे उतरेंगे।

लक्ष्य

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

हम संसाधनों का लाभप्रद उपयोग 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 निर्दय नए और बेहतर विकल्प खोजेंगे।

ग्राहकों की सुविधा और संतुष्टि ही हमारा ध्येय होगा। हम अपने व्यवसायिक प्रतिस्पर्धियों से सीख लेंगे और श्रेष्ठता हेतु प्रदर्शन प्रयासरत रहेंगे।

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

हम व्यवसाय-सम्मिलत उद्योग मानक का अनुसरण करेंगे तथा उत्तरदायी निगमित हस्ती के रूप में सामाजिक व्यवहार का निर्बहार करते हुए व्यवसायिक समुदाय के लिए सामाजिक मूल्यों में अत्यधिक वृद्धि करेंगे।

हम अपने वातावरण वादों में पूर्णतः सत्यनिष्ठ, ईमानदारी, पारदर्शिता और निष्पक्षता बनाए रखेंगे। हम अपनी निजी जिंदगियों में भी नैतिकता के उच्च आदर्श बनाए रखने हेतु प्रयासरत रहेंगे।

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MISSION

"OUR MISSION IS TO JOIN WITH OUR COMMUNITY PARTNERS AND STAKEHOLDERS 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 CONSTRUCTIPLY 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**

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

:: 8 ::
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.

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*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.

<table>
<thead>
<tr>
<th>S. N.</th>
<th>Regn No.</th>
<th>Year of manufacture</th>
<th>Engine number</th>
<th>Chassis number</th>
<th>Name of owner</th>
<th>Gross vehicle weight</th>
<th>Un-laden weight</th>
<th>Load capacity</th>
<th>Current deployment</th>
<th>Type of vehicle</th>
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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:-

<table>
<thead>
<tr>
<th>S. N.</th>
<th>Equipment Description</th>
<th>Equipment/ Vehicle to be deployed</th>
<th>Nos. / Qty</th>
<th>Year of Manufacture</th>
<th>Ownership requirements (Owned/ Leased/ hired)</th>
<th>Physically available at the time of inspection</th>
<th>Remarks</th>
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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.
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.
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.
8. Twist lock of trailers.
10. Fitness certificate.
11. Strict compliance of provisions of DOP while initiating proposals, finalization and award of contracts.
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?

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

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

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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

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

Core sample taken from Cement Concrete Pavement 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.

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(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.
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
dूर रहेगा श्रष्टाचार
धून लो भरी यह मनुहार
sुखमय होगा यह संसार

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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/एफस/सचिव/DOP/2009/ dated 07.12.2009, which is as under:**

  **Chapter IV Tenders, Contracts, Agreements**

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

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खुशी का एक और नुस्खा

लीजिए केवल एक कप कर्त्तव्यनिष्ठा का उसमें समयपालन का चोड़ा सा पुट है

पारदर्शिता की एक चमच मिला है

और बाद में इन सबको छान लें

तब इनें कठोर परिश्रम से मिलाएं

ईमानदारी की सोच के साथ

और आप पाएंगे कि अपनी खुशी की आपने र्या 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.

जगमूषण शर्मा

हिंदी अनुवादक

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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
- 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 (OPC 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 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
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

Employee from Terminals/Regions will send the request for NOC to ED/CGM

Employee from Regions/Corporate office send the request to HR department at Corporate Office through departmental head

1. ED/CGM of Region
2. HR at Corporate Office
3. Vigilance Department at Corporate Office (VGO level)
4. GGM/SGM (Vigilance)
5. Chief Vigilance Officer
6. NOC certificate / Status
7. NOC issued by ED/CGM/HR after signing and acknowledgement

Submit: ED/CGM of Region to HR at Corporate Office
Review: HR at Corporate Office to Vigilance Department at Corporate Office (VGO level)
Submit: Vigilance Department at Corporate Office (VGO level) to GGM/SGM (Vigilance)
Review: GGM/SGM (Vigilance) to Chief Vigilance Officer
Approved: Chief Vigilance Officer to NOC certificate / Status

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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

- **NOC REQUEST FROM TERMINALS/REGION**
- **NOC REQUEST FROM CORPORATE OFFICE HR**
- **ONLINE VIGILANCE CLEARANCE SYSTEM**
- **ED/CGM of Region**
- **HR at Corporate Office**
- **Vigilance Department at Corporate Office (VGO level)**
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.)
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.

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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.

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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.
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.

<table>
<thead>
<tr>
<th>S. No.</th>
<th>Party Name</th>
<th>Amount (₹)</th>
<th>Unit</th>
<th>Month</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Mr. B. Ghosh &amp; Co</td>
<td>2685000/-</td>
<td>ICD/WFD</td>
<td>April</td>
<td>Towards overpayment of 20 trailers</td>
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<tr>
<td>2</td>
<td>M/s. Subir Engg. Works Pvt Ltd</td>
<td>88000/-</td>
<td>DCT/Durgapur</td>
<td>May</td>
<td>Towards various deficiencies in civil work</td>
</tr>
<tr>
<td>3</td>
<td>M/s. Gupta Enterprises</td>
<td>4800/-</td>
<td>ICD/Barhi</td>
<td>June</td>
<td>Towards various deficiencies in civil work</td>
</tr>
<tr>
<td>4</td>
<td>M/s. Lal Chand Surana</td>
<td>19312/-</td>
<td>ICD/Ratlam</td>
<td>June</td>
<td>Towards various deficiencies in civil work</td>
</tr>
<tr>
<td>5</td>
<td>M/s. Om Prakash Kukreja</td>
<td>30247/-</td>
<td>ICD/Madhosingh</td>
<td>June</td>
<td>Towards various deficiencies in civil work</td>
</tr>
<tr>
<td>6</td>
<td>M/s. Progressive Engg. Co.</td>
<td>21414/-</td>
<td>ICD/MB</td>
<td>July</td>
<td>Towards various deficiencies in civil work</td>
</tr>
<tr>
<td>7</td>
<td>M/s. Apco Construction (P) Ltd</td>
<td>200891/-</td>
<td>ICD/Sabarmati</td>
<td>August</td>
<td>Towards various deficiencies in civil work</td>
</tr>
<tr>
<td>8</td>
<td>M/s. Vikram Integrated Logistics Pvt Ltd</td>
<td>1749655/-</td>
<td>ICD/Whitefield</td>
<td>September</td>
<td>Towards various deficiencies in H&amp;T contract.</td>
</tr>
<tr>
<td>9</td>
<td>Mr. B. Ghosh &amp; Co</td>
<td>5435633/-</td>
<td>ICD/Whitefield</td>
<td>October</td>
<td>Towards various deficiencies in H&amp;T contract.</td>
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<tr>
<td>10</td>
<td>Mr. Chakragiri Transport Co.</td>
<td>243000/-</td>
<td>ICD/Sanathnagar</td>
<td>November</td>
<td>Towards various deficiencies in H&amp;T contract.</td>
</tr>
<tr>
<td>11</td>
<td>M/s. Chakragiri Transport Co.</td>
<td>819000/-</td>
<td>ICD/Sanathnagar</td>
<td>December</td>
<td>Towards various deficiencies in H&amp;T contract.</td>
</tr>
<tr>
<td>12</td>
<td>M/s. Prem Chand &amp; Co.</td>
<td>276196</td>
<td>ICD/Nagpur</td>
<td>January '11</td>
<td>Towards various deficiencies in H&amp;T contract.</td>
</tr>
<tr>
<td>13</td>
<td>M/s. Vikram Logistics &amp; Maritime Services Pvt Ltd</td>
<td>372000/-</td>
<td>ICD/WFD</td>
<td>February '11</td>
<td>Towards various deficiencies in H&amp;T contract (transit delays).</td>
</tr>
<tr>
<td>14</td>
<td>M/s. Roadwings International (P) Ltd</td>
<td>2180497/-</td>
<td>ICD/Jaipur</td>
<td>March '11</td>
<td>Towards various deficiencies in H&amp;T contract</td>
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<tr>
<td>15</td>
<td>M/s. Vikram Logistics &amp; Maritime Services Pvt Ltd</td>
<td>90000/-</td>
<td>ICD/WFD</td>
<td>March '11</td>
<td>Towards various deficiencies in H&amp;T contract (transit delays).</td>
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</table>

**Total** ₹ 14466545/-
## Details of Preventive Check / Surprise Check conducted from April 2010 to March 2011

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

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

<table>
<thead>
<tr>
<th>Sl.No.</th>
<th>Date</th>
<th>Brief Description of Work</th>
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<tbody>
<tr>
<td>1</td>
<td>June’10</td>
<td>ICD/Baddi</td>
</tr>
<tr>
<td>2</td>
<td>September’10</td>
<td>ICD/Nagulapally</td>
</tr>
<tr>
<td>3</td>
<td>November’10</td>
<td>ICD/TNPM (Civil)</td>
</tr>
<tr>
<td>4</td>
<td>November’10</td>
<td>ICD/Balasore (Civil)</td>
</tr>
<tr>
<td>5</td>
<td>March’11</td>
<td>ICD/WFD</td>
</tr>
</tbody>
</table>
आदर्श कर्मी की परिभाषा

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

cत्रव्य–निश्चा के प्रति
सदैव रहे जो तत्पर।
दृढ निश्चय से लिया जिसने यह संकल्प
भविष्य है उसी का बेहतर।।

संकल्प यह कि कार्य में हो पारदर्शिता
निष्पक्षता और सत्तर्कता।
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
hindi anuvadak

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आह्वान

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

चहुंयुखी विकास का लक्ष्य
होकर रहेगा फलीभूत
तुम बदल सकते हो
दुनिया की तर्कीर
केवल तुम्हें हो लिखने वाले
अपनी खुद की अमिट तकदीर।

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

जगभूषण शर्मा
हिंदी अनुवादक

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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?