आलोक
Aloke

श्यामा प्रसाद मुखर्जी पोर्ट, कोलकाता

SYAMA PRASAD MOOKERJEE PORT, KOLKATA

Formerly Kolkata Port Trust

सतर्कता: हमारी साझा जिम्मेदारी

Vigilance : Our Shared Responsibility

Vigilance

Syama Prasad Mookerjee Port, Kolkata

2025

Integrity Pledge for Citizens

I believe that corruption has been one of the major obstacles to economic, political and social progress of our country.

I believe that all stakeholders such as Government, citizens and private sector need to work together to eradicate corruption.

I realize that every citizen should be vigilant and commit to highest standards of honesty and integrity at all times and support the fight against corruption.

I, therefore, pledge:

- To follow probity and rule of law in all walks of life;
- To neither take nor offer bribe;
- To perform all tasks in an honest and transparent manner;
- To act in public interest;
- To lead by example exhibiting integrity in personal behaviour;
- To report any incident of corruption to the appropriate agency

सत्यमेव जयते

केंद्रीय सतर्कता आयोग
CENTRAL VIGILANCE COMMISSION

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दिनांक/Date. 23.10.2025

MESSAGE

Vigilance Awareness Week (27th October to 2nd November, 2025)

Every year, the Central Vigilance Commission observes Vigilance Awareness Week (VAW) reaffirming Commission's commitment to promote integrity and probity in public life. The theme for this year is:

"सतर्कता : हमारी साझा जिम्मेदारी"

"Vigilance: Our Shared Responsibility"

The theme for this year evokes sense of collectivism in sharing the responsibility for transparency, ethics and integrity in governance. It is believed that this participative approach will foster these values and encourage all stakeholders to be active participants in ethical governance.

VA W is being observed from 27th October to 2nd November of 2025. The Commission solicits participation of all Ministries/ Departments/ Organizations of the Central Government to organize activities including outreach programs for public/ citizens relevant to the theme to bring about maximum public participation.

Since last few years, the Commission has been running a three-month campaign leading upto the Vigilance Awareness Week. This year, the campaign associated with Vigilance Awareness Week is undertaken from 18.08.2025 to 17.11.2025 with focus on five areas namely Disposal of complaints received before 30.06.2025, Disposal of pending cases, Capacity Building Programs, Asset Management, and Technological initiatives. It is believed that focus on these areas will have meaningful impact in Vigilance Administration.

The Commission is also releasing booklet on Preventive Vigilance Initiatives during YAW 2025 to disseminate information regarding best practices adopted by select organizations.

The Commission appeals to all citizens and stakeholders to come together and work towards promotion of integrity and enhancing probity and transparency in all aspects of life.

(A. S. Rajeev)
Vigilance Commissioner

(Praveen K. Srivastava)
Central Vigilance Commissioner

रथेंद्र रमण, आई.आर.टी. एस.
अध्यक्ष

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Chairperson

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MESSAGE

Vigilance Awareness Week 2025 is going to be observed in Syama Prasad Mookerjee Port Authority from 27th October, 2025 to 2nd November, 2025, with this year's theme as **"सतर्कता : हमारी साझा जिम्मेदारी" / "Vigilance: Our Shared Responsibility."**

Over the last few years, Central Vigilance Commission has been promoting a three-month campaign period, in a move towards inculcating the true spirit of participative vigilance. During this period (18th August, 2025 till 17th November, 2025), every organisation is required to take up various preventive vigilance measures as focus areas. I am sure that with proactive approach from all Departments and Divisions of both KDS and HDC, and coordination by Vigilance Department, we will definitely achieve the intended outcome of the said campaign.

I urge all concerned to participate in the various outreach activities as well as workshops/stakeholder meets being organised in SMPA to ensure maximum sensitization regarding the importance of transparency & integrity in public governance, preventive vigilance measures and anti-corruption.

I am happy to know that Vigilance Department is bringing out the 9th edition of "ALOKE" to commemorate the occasion. I congratulate all the officials of Vigilance Department for their efforts and wish them all the best in their activities.

Date: 21st October, 2025

Raman
(Rathendra Raman)
Chairperson

सम्राट राही, आई.आर.एस.
उपाध्यक्ष

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Deputy Chairman

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MESSAGE

This year, Vigilance Awareness Week will be observed from 27th October to 2nd November, 2025, with the theme **"सतर्कता : हमारी साझा जिम्मेदारी"/ "Vigilance : Our Shared Responsibility."**

I believe the Central Vigilance Commission has chosen a theme of great relevance and depth. Collective vigilance is the cornerstone of transparency and integrity in every institution, and its success depends on the active participation of all. I am confident that every member of the SMP A family will embrace this shared responsibility, ensuring that our organization continues to move towards greater efficiency, accountability, and growth in the years ahead.

It is commendable that the Vigilance Department has consistently upheld the tradition of publishing its annual journal, *"Aloke,"* since Vigilance Awareness Week 2017. I am delighted that the 9th edition is being released this year, carrying forward the legacy of thoughtful reflection and awareness.

I extend my sincere appreciation to the entire Vigilance team for their dedicated efforts and wish them continued success in all their future endeavours.

Date: 22nd October, 2024

(Samrat Rahi)
Dy. Chairperson
Syama Prasad Mookerjee Port, Kolkata

देवीदत्त शतपथी, आई.आर.एस.एम.ई
मुख्य सतर्कता अधिकारी

Devidatta Satapathy, I.R.S.M.E
Chief Vigilance Officer

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MESSAGE

Vigilance Awareness Week 2025 will be observed from 27th October, 2025 to 2nd November, 2025 - the theme being **"सतर्कता : हमारी साझा जिम्मेदारी" / "Vigilance : Our Shared Responsibility."** In furtherance of the mandate of the Central Vigilance Commission, various awareness activities are being organised throughout Syama Prasad Mookerjee Port Authority on this occasion, consisting of not only in-house activities involving employees of the Port, but also several outreach activities with the involvement of different stakeholders, children from schools & colleges, and other citizens.

Vigilance Department of SMPA brought out its first in-house Vigilance related 'Journal' or 'Year Book' "ALOKE" in 2017, and has ensured publication of the same every subsequent year during Vigilance Awareness Week. As we are aware, starting a new thing takes a lot of effort, but continuing and improving upon the same requires persistence. I am happy to announce that in keeping with the tradition, the 9th edition of "ALOKE" has been scheduled for release during Vigilance Awareness Week 2025. In addition to thought provoking articles, we have made an effort to appraise the Port fraternity about the areas where Vigilance Department has been able to make specific contribution to systemic efficiency.

Finally, I would like to refer to the felicitous theme of this year's Vigilance Awareness Week. Nothing can be more appropriate from the fact that vigilance is everybody's responsibility - it has to be a shared belief rather than an individual's crusade. I firmly believe that if each & every one of us share this responsibility and say no to corruption as well as encourage others to do the same, this will be our contribution towards our country in ensuring development & prosperity of our great nation.

Date: 22nd October, 2024

(Devidatta Satapathy)
Chief Vigilance Officer

FROM THE EDITOR'S DESK

By **Sandip Banerjee**
Assistant Vigilance Officer
Vigilance Department, SMP, Kolkata

As we all know, Vigilance Awareness Week (VAW) is observed every year during the week in which the birth anniversary of Sardar Vallabhbhai Patel falls (31st October). Vigilance Awareness Week 2025 is scheduled to be observed from 27th October, 2025 to 2nd November, 2025, with the theme **"सतर्कता: हमारी साझा जिम्मेदारी" / "Vigilance: Our Shared Responsibility."**

In keeping with the past few years, this year also the Central Vigilance Commission (CVC) has desired that as a precursor to VAW 2025, under a 3-month campaign, every organization should undertake preventive vigilance exercise in 5 (five) focus areas identified by CVC, which has already started in SMPA from 18th August, 2025 and will continue till 17th November, 2025. With active involvement of the Port Management and participation by all concerned, we will definitely be able to achieve significant outcomes in each of the 5 (five) parameters.

In 2017, Vigilance Department of Syama Prasad Mookerjee Port Authority took the initiative to bring out its first in-house Vigilance Journal / Year Book, i.e., "Aloke." With concerted efforts of all concerned, we have been able to continue the tradition, and the 9th edition of "Aloke" has been scheduled to be released during VAW 2025. On behalf of Vigilance Department of SMPA, I thank all the individuals, who have managed to spare time from their hectic schedules to contribute valuable articles for this edition of "Aloke." I believe it will be a good read for everyone.

Finally, I would like to come back to this year's felicitous theme – **"सतर्कता: हमारी साझा जिम्मेदारी" / "Vigilance: Our Shared Responsibility."** Corruption is such a cancer to the society that it is hardly possible for any individual's crusade to eradicate the same. Instead, vigilance should be everyone's responsibility, irrespective of whether the same is in official domain or in personal sphere. If we share the belief that vigilance is our shared responsibility, each and every one of us can contribute in our own small ways in fighting corruption and realize that every individual needs to play a vital role in saying "NO" to corruption as a commitment to a strong and developed India. This will go a long way towards inculcating a culture of integrity, which, in turn, will lead to greater prosperity of our beloved nation.

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Vigilance and Dharma : Learning Integrity from Our Sacred Texts

By **Devidatta Satapathy**
Chief Vigilance Officer

Introduction — Corruption as Adharma

Corruption is not only about breaking rules or laws. It is a deeper problem — a moral and spiritual disorder. In simple words, it is Adharma, or unrighteousness — something that goes against truth, honesty, and the natural moral order of life.

Hindu scriptures speak about corruption not as a modern issue, but as an ancient weakness of human nature — caused by greed, dishonesty, and selfishness. These texts remind us that real integrity is not just a duty to the nation or society; it is Dharma, a sacred responsibility for every individual.

Integrity means being truthful and fair in thought, word, and action. When a person lives by Dharma, he not only becomes trustworthy, but also brings harmony to his family, workplace, and society.

Part I — Foundations of Knowledge : Shruti and Smriti

Hindu wisdom is based on two main sources — **Shruti** and **Smriti.**

Together they give us a complete understanding of what is right and how to live a moral life.

- **Shruti** means "that which is heard." It includes the Vedas and Upanishads, which are seen as divine revelations. They explain the eternal truths of life — the oneness of the soul (Atman) and the Supreme Reality (Brahman). They give us the spiritual foundation for all ethics.

- **Smriti** means "that which is remembered." It includes the Ramayana, Mahabharata, Bhagavad Gita, Puranas, and Dharmashastras (like Manu Smriti). These texts translate the eternal truths into daily life — teaching us how to act with honesty, compassion, and fairness even in difficult situations.

Shruti tells us ***why*** we should live righteously, and Smriti tells us ***how*** to do it. Together they form a complete moral compass that helps us stay on the path of Dharma.

Part II — The Moral Pillars of Integrity : The Yamas

In Hindu thought, Dharma — the force that sustains the universe — is supported by certain moral disciplines called **Yamas** outlined in Patanjali Yogasutras. They are like guiding principles for ethical living.

Among these, three are especially important in fighting corruption:

1. Satya — Truthfulness

Truth (Satya) is the foundation of all trust. It means being honest not only in speech but also in thought and action.

Corruption grows in the darkness of lies and secrecy. Truth brings light, openness, and peace.

The Upanishads say, "Satyameva Jayate — Truth alone triumphs."

When we speak and act truthfully, we earn trust — and trust is the heart of good governance and social harmony.

2. Asteya — Non-Stealing

Asteya means not taking what does not belong to us — whether money, credit, or opportunities. It includes refusing bribes, manipulation, or unfair advantage. The Yoga Sutras say that stealing comes from spiritual poverty — from not believing that honest work can bring success.

Practicing Asteya teaches us self-respect and contentment.

3. Aparigraha — Non-Greed

Greed is the root of corruption. Aparigraha means taking only what we truly need and not hoarding wealth or power.
The Ishavasya Upanishad teaches: "Enjoy through renunciation; do not covet what belongs to others."
A person free from greed can never be corrupted.

These three virtues — **Truth, Honesty,** and **Contentment** — are deeply connected. Greed leads to stealing; stealing leads to lying. By living truthfully and simply, we remove the inner causes of corruption.

Part III — The Inner Battlefield : Lessons from the Bhagavad Gita

The Bhagavad Gita looks deeply into the mind and shows how corruption begins within. Bhagavan Sri Krishna explains that moral downfall starts with desire and attachment:

ध्यायतो विषयान्पुंसः सङ्गस्तेषूपजायते ।
सङ्गात्सञ्जायते कामः कामात्क्रोधोऽभिजायते ॥

dhyāyato viṣayān puṁsaḥ
saṅgas teṣūpajāyate
saṅgāt sañjāyate kāmaḥ
kāmāt krodho 'bhijāyate

"From attachment comes desire,
From desire comes anger,
From anger comes confusion,
From confusion comes the loss of wisdom,
And when wisdom is lost — destruction follows." (Bhagwad Gita 2.62)

So corruption does not start with money or position — it starts with the mind that is restless and greedy.
Bhagawan Sri Krishna also warns about the "three gates to Narak" — **lust, anger, and greed.** These three destroy a person's peace and judgment.

The Bhagwad Gita teaches that no law can stop corruption if the heart is not pure.

Real reform begins inside us — by controlling desire, staying calm, and remembering our duty (Swadharma).

Part IV — Rajadharma : The Ethics of Good Governance

Hindu scriptures clearly say that personal virtue must also reflect in public life. Good governance is called **Rajadharma** — the ruler's duty to rule with righteousness.

According to Kautilya's Arthashastra:

"In the happiness of the people lies the king's happiness."

The duties of a good ruler include:

- **Protection** — ensuring safety and justice for all.
- **Maintenance** — keeping law and order.
- **Welfare** — working for the well-being of every citizen.

In the Mahabharata, Bhishma advises that a ruler must first conquer his own greed and anger before ruling others.
In the Ramayana, Prabhu Shri Rama shows how a leader should live — with self-control, compassion, and honesty.

Corruption in governance leads to matsyanyaya — "the law of the fish," where the strong devour the weak. Therefore, leaders must set examples of integrity, appoint honest officials, and remain vigilant against wrongdoing.

Part V — Lessons from the Epics: Dharma in Action

The great epics — the Ramayana and Mahabharata — show how Dharma and Adharma shape human destiny.

Rama — The Ideal of Integrity

Prabhu Shri Rama is the best example of a righteous person.
He chose exile to keep his father's promise and gave up his personal happiness to uphold truth and duty. His rule, Rama Rajya, is remembered as the model of justice and good governance — free from corruption and fear.

Yudhishthira — The Struggle of Conscience

Yudhishthira, known as Dharmaraja, valued truth above everything. Yet, during the dice game, his weakness led to great sorrow — teaching us that even good people must stay alert against temptation. When he later spoke a half-truth in war, it showed how even small compromises can damage one's moral strength.

Ravana and Duryodhana — The Fall of Arrogance

Ravana's pride and Duryodhana's greed are symbols of Adharma. Their stories remind us that power and intelligence are meaningless without humility and righteousness. No matter how strong one appears, corruption and arrogance always bring downfall.

Part VI — Justice and Consequence : Law and Karma

In Hindu thought, justice works on two levels — human law and cosmic law.

Human Law (Dharmashastra)

Ancient texts clearly forbid bribery and misuse of power. They direct rulers to punish corrupt officials and recover ill-gotten wealth. If justice is ignored, society loses its balance. However, sincere repentance and return to Dharma are always encouraged.

Cosmic Law (Karma)

Beyond human law, there is the law of Karma — the universal rule that every action has a result. No one can escape the consequences of wrongdoing.
Corruption may bring temporary gain but always leads to pain and loss — in this life or another. This belief inspires self-restraint and responsibility, even when no one is watching.

Conclusion — The Path to Integrity

Our scriptures offer a complete vision of integrity — covering the body, mind, and spirit.

- The Bhagwad Gita shows the roots of corruption — desire, anger, and greed.
- The Patanjali Yogasutra Yamas give the cure — truth, honesty, and contentment.
- The Epics offer role models — Rama's selflessness, Yudhishthira's conscience, and the downfall of Ravana and Duryodhana.
- Rajadharma teaches ethical leadership and accountability.
- Karma ensures justice, visible or unseen.

Thus, a corruption-free life cannot be created by fear of punishment alone. It begins with inner discipline — by living in harmony with Dharma, the natural law of truth and goodness.

When each of us practices honesty and fairness in our own place — at home, at work, and in society — vigilance becomes not a task, but a way of life.
That is the true spirit of Vigilance Awareness Week :

"Vigilance is Our Shared Responsibility — and Dharma is Our Guiding Light."

Vigilance Awareness Week - Arousing Pride for our INDIA

By **Arnab Basu**
Ex-CME (I/C), SMPK

Vigilance and Vigilance awareness

Vigilance is the practice of being alert and watchful to prevent wrongdoing. Vigilance is more than just a government's duty or a security force's duty. It is the shared responsibility of every citizen to be aware and watchful against wrongdoing, in all its forms. It is the practice of remaining alert to the events unfolding around us, a habit that is crucial for protecting ourselves, our communities, as well as our nation. In other words, it is a shared responsibility of every citizen, to stand against corruption, crime and other dangers, by reporting suspicious activities and upholding honesty. This awareness helps to create a stronger, safer and more just society.

Vigilance Awareness Week (VAW)

The concept of Vigilance Awareness Week, observed annually, is to remind everyone of the aforesaid shared and collective duty. During this time, initiatives are taken to create greater sensitivity among the citizens, about the need for ethics and transparency in public administration and governance, through campaigns, lecture sessions, creative competitions etc, so as to encourage them to take an active role in building an integrity driven society.

Focus

In my opinion, the focus of vigilance awareness week should be on arousing pride for our country, INDIA, among all the citizens. For that, like any other situation, the citizens should be made aware of the existing situation, i.e. rating of our country India, in the vigilance arena. They should be made aware of the related International Organization, i.e. TRANSPARENCY INTERNATIONAL and how they weigh different countries in their rating scale. They should also be made aware that at present (in 2024) the rating of our country is not at all satisfactory. India has been given a score of 38 out of 100 (where 0 is highly corrupt and 100 is very clean) and consequently a ranking of 96 out of 180 countries. This is obviously not a good state of affairs and needs to be improved a lot. The message through VAW should be that, alongside the efforts of various governments, the general public should also play a very big role in improving the picture of India to the rest of the world.

This again can be done through a couple of ways. Firstly, citizens, specially the Parents of school-going children should be targeted, so that they would not force their children into an integrity-void competitive arena for achieving success in life. Instead, they should be guided properly to adhere to the subjects, according to their likings and not hanker for a few so-called money-spinning professions, at any cost, which may include bending and flouting all the rules. In other way, parents should be pursued to inculcate INTEGRITY, among their school-going children.

Secondly, the citizens should also be made aware of WHISTLEBLOWING and WHISTLEBLOWER, important terminologies in vigilance parlance. A whistleblower is an individual who exposes illegal, unethical or harmful activities within an organization. This person often works within the organization itself and thus has first hand knowledge of the wrongdoing. Every year on June 23, World Whistleblower Day recognizes the bravery of individuals, who expose wrongdoing at great personal risk. In our own INDIAN scenario, SATYENDRA DUBEY, a courageous IES Officer has become a symbol of Integrity and Transparency, when he exposed corruption associated with the Golden Quadrilateral highway construction project. He had written a letter, in November 2022, to the PMO, outlining rampant corruption and compromised quality standards. Despite requesting anonymity, his identity was somehow revealed, which had led to his tragic murder in November 2003. SATYENDRAJI's sacrifice had sparked huge public outrage and ignited a movement for change. His story goes on to highlight the danger faced by the whistle blowers, who dare to expose wrongdoing. In response to this tragedy, the Whistleblower Protection Act 2014 was enacted, to safeguard whistleblowers. This landmark legislation provides legal protection to individuals, who report corruption and misconduct. Satyendraji's legacy continues to inspire and motivate the public to speak out against corruption. His story serves as a powerful reminder of the importance of WHISTLEBLOWERS and the need for a society that values transparency, accountability and justice. In my opinion, such factual events (with varying degrees) are happening regularly all over India and all those conglomerated throughout one year period, need to be made public, in various ways and means, including the recent most popular and powerful Social Media, during the next VAW. In this way, more and more citizens may be made aware of the importance of whistleblowing as well as the consequent result of achieving more transparency in all walks of our life. Citizens should also be made aware that greater transparency in all walks of life not only leads to a healthy society but also paves the way for a more resourceful as well as powerful India.

At the end

One must not forget that India is a vast country with approximately 140 crore population, with diverse religions, castes, groups, subgroups etc. Hence it is obvious that the result through VAW would not be instantaneous. Hence, one section of public opinion that celebrating VAW, year after year, is a futile exercise, should neither have any demoralizing effect nor dampen the spirit. Instead, the concerned governments and other authorities should go on to celebrate the same with full vigor, with an objective to elevate India to a respectable ranking in the Transparency arena in the international scenario.

TOI Archives

By the way, your predecessor, who was sacked for alleged corruption, has joined my business.

Upholding Transparency : Preventive Vigilance in Administration

By **Pravin Kumar Das**
General Manager (M&S)

Transparency in administration is not an abstract ideal, it is the outcome of deliberate choices, well-defined processes, and robust systems that together prevent misconduct before it takes root. Vigilance in public service operates through three complementary dimensions: preventive, detective and punitive. Each has its role, but the most sustainable results arise from preventive vigilance—structuring administrative systems so that opportunities for misuse are neither appealing nor easy to exploit.

The Three Faces of Vigilance

- Preventive Vigilance : Proactive measures designed to stop misconduct before it occurs by establishing transparent, accountable systems.

- Detective Vigilance : Mechanisms that detect irregularities as they happen or soon after, providing concurrent oversight.

- Punitive Vigilance : Corrective and disciplinary actions taken after misconduct has been established.

What is Preventive Vigilance?

Preventive vigilance shifts focus from reaction to design. Instead of waiting for irregularities to emerge and then pursuing culprits, it builds transparency, accountability and traceability into administrative processes. The foundation lies in clear Standard Operating Procedures (SOPs), simplified workflows, and technological tools that minimize discretion and maximize auditability.

Key Elements of Preventive Vigilance

- Simplify rules and processes: Complexity creates discretion; simplification curbs it.
- Leverage technology: Automation, online systems, and digital records reduce human discretion and create audit trails.
- Standardize procedures: Uniform processes minimize variation and limit opportunities for manipulation.

- Implement Integrity Pacts: Enforce ethical standards in procurement and service delivery through transparent stakeholder commitments.
- Eliminate mutual benefit chains: Dismantle patronage networks that thrive on reciprocal corruption.
- Conduct regular inspections and audits: Both scheduled and surprise checks deter complacency and reinforce accountability.
- Set the tone from the top: Leadership commitment to openness and ethical conduct sets the cultural benchmark.
- Adopt Citizen Charters: Clearly stated service standards empower citizens to hold administrations accountable.
- Plug procedural loopholes: Use SOPs to identify weak points and standardize them to prevent misuse.
- Ensure format transparency: Prescribed formats for applications and approvals reduce data tampering.
- Establish clear accountability: Documented workflows clarify responsibility and aid in addressing lapses.
- Reduce human error: Standardized procedures minimize mistakes that could be exploited.
- Limit human interaction: Online applications and approvals reduce discretionary contact points.
- Enable public access to information: Platforms such as RTI and CPGRAMS allow real-time tracking and promote transparency.
- Encourage cashless transactions: Digital payments create verifiable trails, discouraging illicit dealings.

Lessons from Real-Life Instances

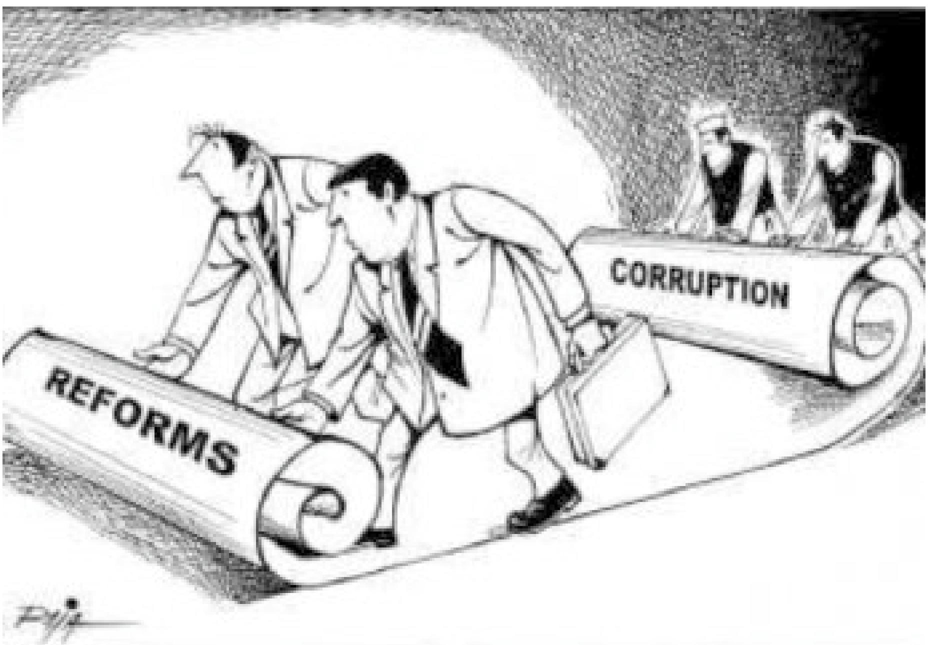
Practical experiences often serve as the most powerful reminders.

In one instance, a retired employee submitted false medical claims. Although the fraud was eventually detected, the episode underscored the need for stringent verification systems, multi-level corroboration, and automated cross-checks. It also reinforced the importance of maintaining emotional balance and rational judgment when dealing with such cases.

In another case, an employee falsified salary input data. The lessons learned were clear: automation can prevent manual manipulation, regular checks and audits are essential, and continued monitoring and supervision is necessary for personnel with prior offences, even when leniency has been extended.

The Way Forward

Preventive vigilance is, at its core, governance by design, reducing discretionary power, increasing transparency, and embedding auditability at every step. When systems are thoughtfully structured, trust grows, misconduct declines, and public service can deliver with integrity, efficiency, and fairness. Lastly, after an initial system design is completed, continual re-design is essential to prevent the system from dilution and thus reduction in its efficacy.



Fiscal Responsibility :
Preventive Vigilance in Financial Management

By **Abhijit Gupta**
General Manager (Finance)

The term 'Fiscal Responsibility' is commonly associated with the principle of managing public finances with prudence, transparency, and accountability, to ensure long-term economic stability. By Fiscal Responsibility, we normally expect Government controlling its spending and debt, aiming for budget surpluses or manageable deficits, and maintaining transparency in its financial operations.

However, the broad principles of Fiscal Responsibility of Govt. i.e., managing finances with prudence, transparency, and accountability to ensure long-term economic stability can be extended to Financial Management of Ports also, as prudent management of financial resources of Port with transparency and accountability as well as ensuring long term financial stability of the Port are also basic requirements for a Port.

However, the micro level actions required for ensuring Fiscal Responsibility of any entity is related to organizational goal and the same may not be same for all organizations. We face a slight challenge while defining the Fiscal Responsibility of a Govt. Port, as by its constitution it is Govt. entity (an Authority constituted under a Statute) and at the same time it has to act as a commercial organization and the goals of a Govt. Authority and a commercial organization may not always sync.

The primary goals of a Government-owned Port may be to serve as a key economic catalyst, facilitate national and international trade, provide critical maritime infrastructure, while working under strict Govt. rules, regulations and Govt. control. But, unlike other Govt. Authorities like Municipalities, Govt. Ports are taxable entities not funded from Public exchequer and as they have to survive in the face of stiff competition from Private Ports and accordingly they have to evolve the attributes of a commercial entity, whose ultimate motto is shareholders' wealth maximisation.

This duality in the nature of functioning of a Govt. Port, on some occasions, do pose fundamental issues with regard to Fiscal Responsibility of a Port, as in some cases an action which is aligned to Govt. Policy may not be in sync with the goal of Port as a commercial entity.

The allowing of coastal concession of 40% as per Govt. Policy even when the cost of operation does not support such decision and the decision to go for high-cost Green Tugs as a green initiative of Govt., foregoing commercial consideration, are examples of such conflicts.

But besides a few such areas, the basic premise of Fiscal Responsibility of a Govt. is broadly applicable to Govt. Ports also and a financial decision, which satisfies the principle of prudence, transparency, and accountability to ensure long-term economic stability can be considered as Fiscally Responsible action.

The Standards of financial propriety is refined under Rule-21 of General Financial Rules 2017 and the same prescribed that “Every officer incurring or authorizing expenditure from public moneys should be guided by high standards of financial propriety. Every officer should also enforce financial order and strict economy and see that all relevant financial rules and regulations are observed, by his own office and by subordinate disbursing officers.”

Preventive Vigilance in Financial Management :

With regard to Preventive Vigilance in Financial Management, my experience in the Port shows that the failure in the checks and balances resulting in major issues often arises in the areas which are routine in nature. The red flags are always there, but due to ignoring the same, treating it as a routine activity, we often miss the same.

I would like to cite a few examples to elucidate.

Case No. 1 :

A few years back there was system of reimbursement of cost of medicines referred by Port Hospital directly to the employees and pensioners. In one case, an employee was diagnosed with cancer and was advised chemotherapy by Tata Memorial Hospital, Mumbai. The employee was later retired from service also. He claimed reimbursement of the chemotherapy drug purchase from Tata Memorial Hospital by submitting a bill in which he apparently increased the value by prefixing 1 (one). This way a value of Rs 56000.00 became Rs 1,56,000.00. He continued to get referral for purchase of the same chemotherapy drug as per Tata Memorials Prescription by the Port Hospital and continued claiming reimbursement at the higher rates. The issue got noticed when an officer in Finance who was checking the bill for the first time was alarmed by the huge expenditure incurred in the process. He had chosen to make an attempt to get the bill verified. The huge fraud perpetuated by the pensioner was later detected and the case resulted in major actions against number of officers. When the matter was being examined, it was noticed that the number of such bills submitted by the pensioner had a tell-tale sign of not being original, but the same was ignored as the matter of reimbursement of cost of medicine is considered as a routine activity and the dealing officers become sympathetic to the plight of a retired officer suffering from cancer.

This fraud perhaps could have been located earlier if the dealing officers had checked the bills closely instead of treating it as a routine activity.

Case No. 2 :

An analysis of overtime expenditure of HDC done by Finance Department in the year 2021 revealed a continuous increase in the OT expenditure and a Department-wise and section-wise analysis was carried out. While doing so, it came to light that in some cases overtime payment made to some employees was more than Rs 1.50 lakhs in a month. In one case the overtime payment of Rs. 1.76 lakhs to an employee. The statistic was circulated to all Departments and brought to the notice of the highest Authority of Port. From next month onwards Finance Department started the practice of providing employee-wise details of overtime payments and the same resulted in close monitoring by all Departments. The actions taken by all the Departments resulted in reduction of variable overtime expenditure from Rs. 13.86 Crores in 2020-21 to Rs. 9.37 Crores in year 2021-22, and during the last year same was Rs. 4.91 Crores only.

The above incident shows that the overtime booking of staffs by the departments were considered as a routine activity and consequently the senior officers who were finally signing the inputs were not applying their mind on whether such bookings were genuinely required or not. The moment they started looking into the issue more objectively, the overtime expenditure reduced drastically.

Case No. 3 :

Years back, a major maintenance dredging contract was awarded to M/s. HAM Dredging and the tender document prescribed a specific formula for calculation of the quantity to be paid. As the contract was very high value, the measurement sheets were checked and certified by a number of officers of CHE and DMD's Departments. Arithmetical accuracy of the calculation was being checked with the supporting documents and payments were being released periodically as per certified bills. After a few months, the bills were reviewed in consultation with the then FA&CAO, and while doing so, it was noticed that in a few cases the formula prescribed in the tender is giving a result where the volume of solid in some specified loads is more than the volume of hopper which is theoretically not possible. This resulted in corrective action of increase in taking sample of dredged liquid and the incidences stopped recurring.

The above incidence shows that there is always a need to objectively examine a result, even when the calculation is done precisely as per prescribed formula and payment made in regular course routinely.

Intellectual Integrity and Fiscal Responsibility :

There is another area where actions are required to ensure Fiscal Responsibility, i.e., ensuring intellectual integrity while taking a decision. Sri Julio Ribeiro, the ex-Police Commissioner of Mumbai and Padma Bhushan Awardee, had once commented that we often give high importance to financial integrity and do not give same importance to intellectual integrity, but lack of intellectual integrity causes more damage to the Nation than lack of financial integrity. The observation of Sri Ribeiro is applicable in any Govt. Organisation like Port also.

If an officer takes an action knowing that the same is not in the financial interest of the Port or the same involves unnecessary or higher expenditure than what is warranted, without raising any objection, he may cause long term harm to the Organisation, even though he may not be corrupt from financial point of view and such action should be considered as a fiscally irresponsible action.

Basic Action Points for Preventive Vigilance in Financial Management :

1. Regularly reviewing and updating systems of checks and balances;

2. Preparing a SoP for timeline for release of on-account payments to a contractor and timeline of Final Bill payment linked to the date of completion of work. Any deviation may be recorded with reason;

3. Having an online system where Contractors can track the position of the bills submitted by them to the Department;

4. All activities in the process of the service rendering should be recorded and reported. The decision on whether to charge or not to charge should not be taken at a level which is not authorized to take such decision;

5. Periodical review of the cases which falls under the category of 'routine';

6. Periodically changing posting of officers and staffs, even works, which are not considered as sensitive;

7. Continuous monitoring of the employees, especially those who are handling sensitive positions to detect early sign of misconduct;

8. Adoption of technology bases solutions such as automated transaction alerts, detailed audit trails and real time monitoring system;

9. Promoting culture of integrity (both intellectual and financial) and accountability in all levels;

10. Strengthening Internal Audit mechanism.

Fiscal Responsibility : A shared Responsibility

Unlike other operational activities, where the HoD has a complete control of the activity, the Fiscal Responsibility of the Port is a shared responsibility of all concerned, it can never be enforced by Finance Department alone.

Unless most of the officers of the Port across all the Departments believe and practice the fundamental principle of enforcing strict economy and see that all relevant financial rules and regulations are observed, the long-term financial stability of the Port cannot be attained.

Preventive Vigilance in Marine Operations at Haldia Dock Complex, SMPK – Integrity, Transparency, and Accountability in Action

By **Capt. Bhabatosh Chand**
General Manager (Marine)

The **Marine Operations Division of Haldia Dock Complex (HDC)** under **Syama Prasad Mookerjee Port, Kolkata (SMPK)** has implemented a comprehensive **Preventive Vigilance Framework** integrating ethical governance, digital transparency, and operational efficiency. This initiative reflects the Port's commitment to maintaining the highest standards of integrity, professionalism, and accountability across all marine operations.

1. Foundation of Preventive Vigilance

Preventive Vigilance at HDC focuses on identifying and mitigating corruption-prone areas through proactive monitoring, systemic reforms, and the use of technology. Guided by Central Vigilance Commission (CVC) principles, the division emphasizes:

Predictive and preventive vigilance mechanisms

Systemic controls, digital transparency, and accountability

Regular inspections, audits, and grievance redressal systems

Integration of ethics and compliance into every operational process

This framework aligns with SMPK's vision of **"Integrity in Action, Excellence in Service."**

2. Digitalization and Transparency Measures

Digitalization has transformed traditional processes into fully traceable and tamper-proof systems. Major initiatives include:

National Logistics Portal (NLP-Marine) : Online vessel verification and approval eliminating manual discretion.

Automated Berthing and Tug Allocation Systems : Ensuring fairness and transparency in scheduling.

SAP-Based Billing and Procurement : Full audit trail for every transaction.

Lock Gate Automation & VTMS Integration : Enhancing safety and eliminating manual intervention.

Comprehensive CCTV and GPS Monitoring : Real-time oversight for critical marine activities.

With these initiatives, manual decision-making points have reduced by 95%, minimizing the potential for irregularities.

3. Vigilance Integration in Core Operations

Every operational segment—from **vessel calling and berthing** to **dredging, mooring, and pollution control**—is governed by strict vigilance-integrated SOPs.

Key examples include :

Transparent berth allocation with recorded meetings and published minutes.
Independent survey verification for dredging and depth monitoring.

System-based contract management and independent off-hire/on-hire inspections.

CCTV monitoring of mooring operations and digital documentation of crew deployment.

Zero-cash handling across all marine services; payments strictly through banking channels.

4. Environmental and Safety Compliance

The Port ensures full compliance with **MARPOL, ISPS,** and **ISO standards (9001, 14001, 45001, 50001, 27001).**

Port Reception Facilities operate under digital record-keeping and authorized vendor systems to prevent malpractice. Regular drills with the **Indian Coast Guard** and preventive maintenance ensure readiness for any oil pollution emergency.

5. Capacity Building and Integrity Culture

A strong emphasis is placed on training and awareness.

Every employee undergoes induction and refresher training covering:

Vigilance awareness and ethical decision-making

Safety protocols and regulatory compliance

Whistle-blower protection and grievance redressal

Annual **Vigilance Awareness Week** reinforces the message — "Integrity is Everyone's Responsibility."

6. Systemic Improvements and Achievements

The division has achieved several milestones through preventive vigilance reforms:

Faster vessel turnaround

Enhanced night navigation and lock gate utilization

Transparent recruitment and contract management

Real-time dredging and vessel tracking

100% digital documentation and SAP-integrated billing

Stakeholder satisfaction has improved significantly through open meetings, grievance tracking, and transparent trade notices published on the SMPK website.

7. Future Roadmap

HDC's Marine Division aims to achieve:

Blockchain and AI-based vigilance analytics

Expanded biometric access and drone surveillance

Vendor integrity ratings and compliance scorecards

Continuous third-party audits and public transparency portals

8. Conclusion

The **Haldia Dock Complex Marine Operations Division** exemplifies how preventive vigilance can transform public service efficiency and trust. Through its digital-first, process-driven, and integrity-oriented approach, HDC continues to set benchmarks in ethical port management and transparent marine operations.

Vision :

"A world-class marine operations division setting benchmarks in safety, efficiency, and integrity."

Core Values :

Integrity • Transparency • Accountability • Safety • Professionalism • Excellence

Engineering Ethics : A Framework for Preventive Vigilance

By **Manas Mandal**
General Manager (Engineering)

This article presents a framework for understanding engineering ethics, emphasizing the importance of preventive vigilance in anticipating and mitigating ethical risks in engineering practices. By mapping stakeholders and core values, identifying ethical risks, and establishing governance mechanisms, Engineers can uphold their professional responsibilities while fostering innovation and public trust.

1. Introduction

Engineering is inherently tied to societal impact, which necessitates a robust ethical framework to guide professionals in their decision-making processes. This framework aims to ensure safety, sustainability, and accountability while fostering trust between Engineers and the communities they serve.

2. Principles of Engineering Ethics

The core principles of engineering ethics include :

Safety and Public Welfare : Engineers must prioritize minimizing harm and consider edge cases in design.

Honesty and Integrity : Transparency about limitations and uncertainties is crucial.

Accountability : Professionals should document decisions and take responsibility for outcomes.

Fairness and Justice : Balancing benefits and harms, and avoiding biases is essential.

Sustainability : Long-term impacts on resources and the environment should be considered.

Privacy and Data Protection : Mitigation of risks associated with data collection and usage is a priority.

Competence and Lifelong Learning : Continuous professional development is necessary for ethical practice.

3. The Concept of Preventive Vigilance

Preventive Vigilance is described as an ongoing process aimed at proactively identifying and mitigating ethical risks before they escalate.

This process involves :

Proactive Risk Identification : Anticipating potential harms through methods like scenario brainstorming and ethical Failure Mode Effects Analysis (FMEA).

Integration of Ethics into Design : Embedding ethical considerations in technical processes, including risk assessment and quality control.

4. Framework for Preventive Vigilance

The framework for preventive vigilance consists of several interrelated steps :

Stakeholder and Value Mapping : Identify affected groups and articulate core values.

Ethical Risk Identification : Assess non-technical hazards such as bias and environmental justice.

Risk Assessment and Prioritization : Evaluate the likelihood and severity of identified risks.

Safeguards Design and Governance : Implement design safeguards and establish governance structures.

Monitoring, Reporting, and Learning : Continuously monitor for ethical issues and maintain transparent reporting.

Reflection and Adaptation : Regularly review processes and adapt to evolving technologies and societal values.

5. Case Studies

Two case studies illustrate the application of the preventive vigilance framework:

Autonomous Delivery Drones : Stakeholder considerations include safety and privacy, with safeguards like geofencing and incident reporting addressing risks.

AI-assisted Design Tools : This case emphasized human oversight in AI applications to prevent misinterpretation and over-reliance.

6. Best Practices for Implementation

To effectively incorporate engineering ethics :

Maintain an ethics log and engage in ongoing training.

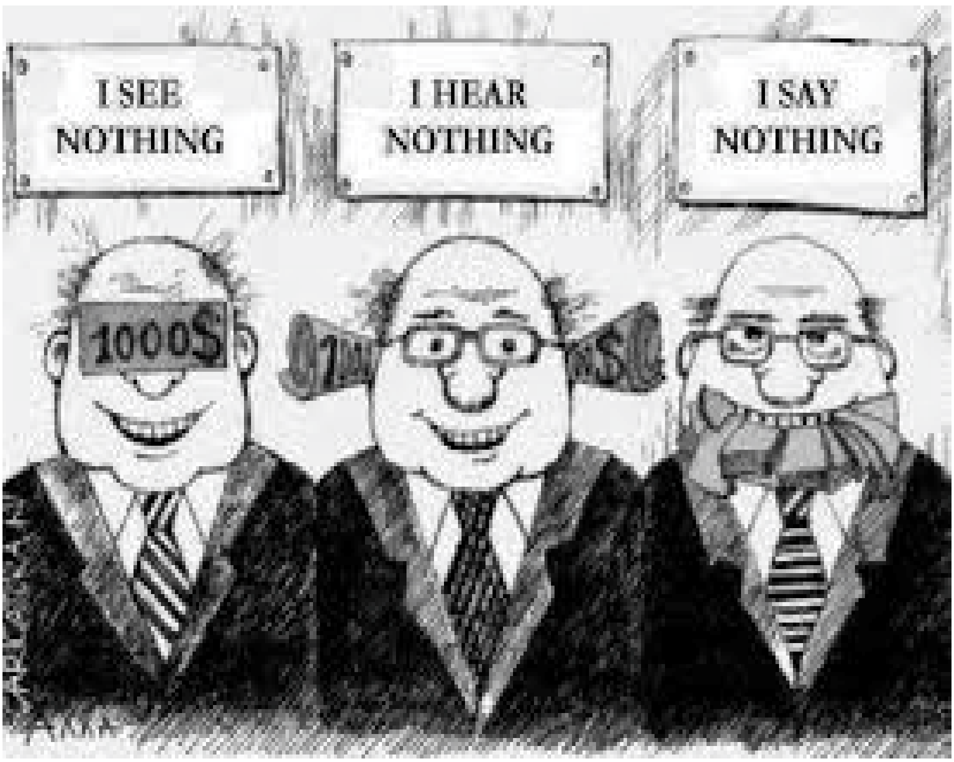
Establish independent review pathways.

Integrate ethics metrics into project dashboards.

Utilize templates and checklists.

7. Conclusion

Engineering ethics is a vital underpinning for responsible practice. Through preventive vigilance, Engineers can align their work with societal values, thereby enhancing public trust and promoting sustainable innovation.



Navigating Integrity : Preventive Vigilance in Traffic (Shipping & Railways)

By **Parthapratim Haldar**
General Manager (Traffic)

Abstract : Preventive vigilance is a proactive systems approach that embeds checks, transparency, and automation into daily traffic operations to prevent corruption and misconduct before they occur. This article examines the importance of preventive vigilance in port traffic, details integrity-critical activities in Shipping and Railway divisions, identifies common obstructions and costs of integrity failures, and proposes a set of technical and governance measures — including ERP/ONOP implementation, RFID, automated weighbridges, GIS based land-asset systems, and analytics — to strengthen integrity, operational efficiency, and revenue assurance.

I. INTRODUCTION

Operational integrity in traffic functions underpins revenue collection, safety, timely cargo movement, and stakeholder confidence in a port environment. Traditional punitive vigilance addresses misconduct after the event; preventive vigilance reduces opportunities for wrongdoing by redesigning processes, removing discretionary choke points, and deploying technology and governance mechanisms that provide auditable, tamper-resistant trails of actions and decisions. This article outlines a practical, technical blueprint for deploying preventive vigilance in Shipping and Railway divisions of a port traffic organization.

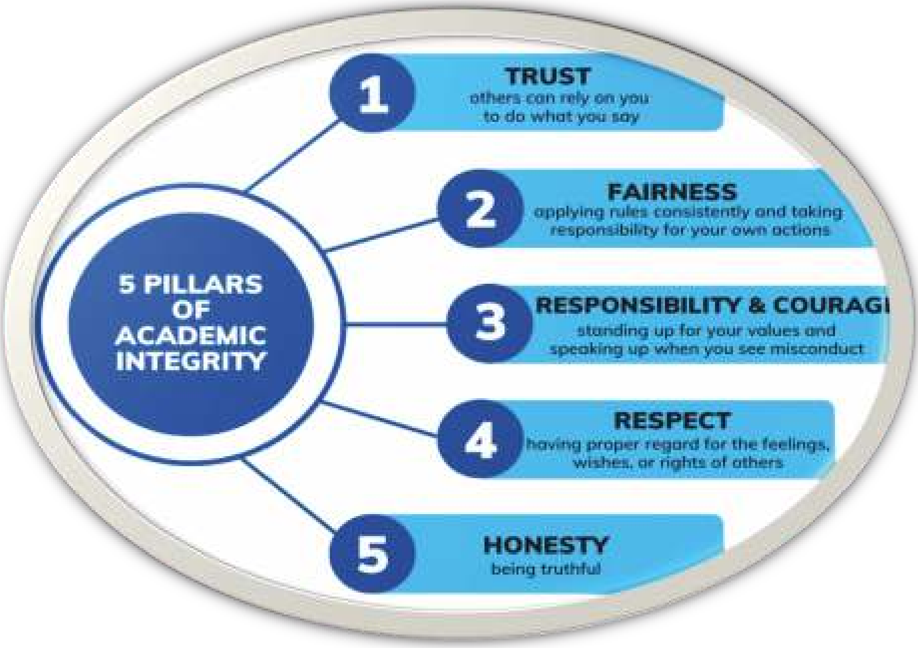
II. IMPORTANCE OF PREVENTIVE VIGILANCE

Preventive vigilance delivers systemic benefits that go beyond deterrence :

- <u>Reduction of corruption risk :</u> Standardized procedures, reduced discretionary touchpoints, and transparent records shrink avenues for malfeasance.
- <u>Improved operational efficiency :</u> Automation reduces manual handoffs, speeds transaction processing, and lowers error rates.
- <u>Stronger governance and accountability :</u> Clear responsibilities and auditable logs enable effective oversight and quicker corrective action.
- <u>Sustainable institutional change :</u> Built-in controls persist across personnel changes, minimizing reliance on individual integrity.
- <u>Effective technology use :</u> Digital platforms (ERP, RFID, GIS), data analytics, and secure e-payments create detection and prevention capabilities that scale.

III. NAVIGATING INTEGRITY IN THE WORKPLACE

- Navigating integrity in the workplace involves consistently acting with honesty, accountability, and respect, even when it's difficult.
- Key strategies include being transparent in communications, taking responsibility for your actions and mistakes, and treating colleagues and clients with fairness and respect.
- Upholding ethical standards, keeping promises, and avoiding gossip also demonstrate integrity.



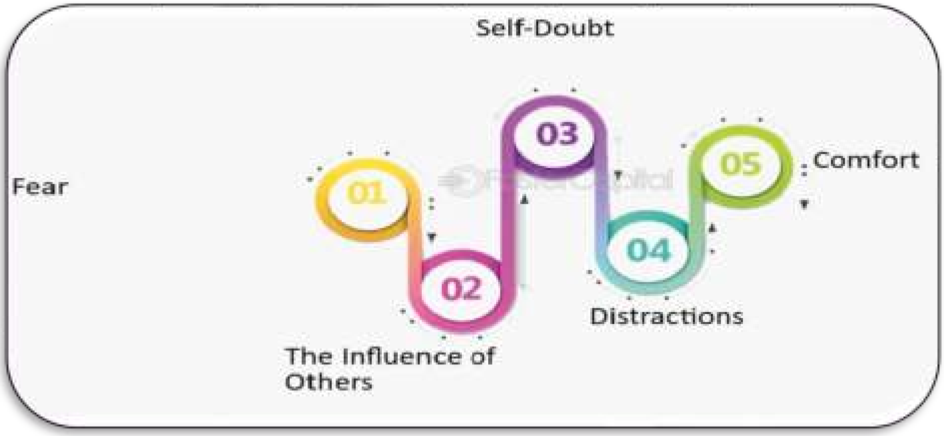
IV. ACTIONS THAT DEMONSTRATE INTEGRITY

- Actions should align words.
- Take responsibility for your actions.
- Be consistent in your behaviour.
- Admit when you are wrong.
- Check your motives.
- To be honest with yourself.
- To be honest with others.

V. OBSTRUCTIONS TO INTEGRITY AND COSTS OF FAILURE

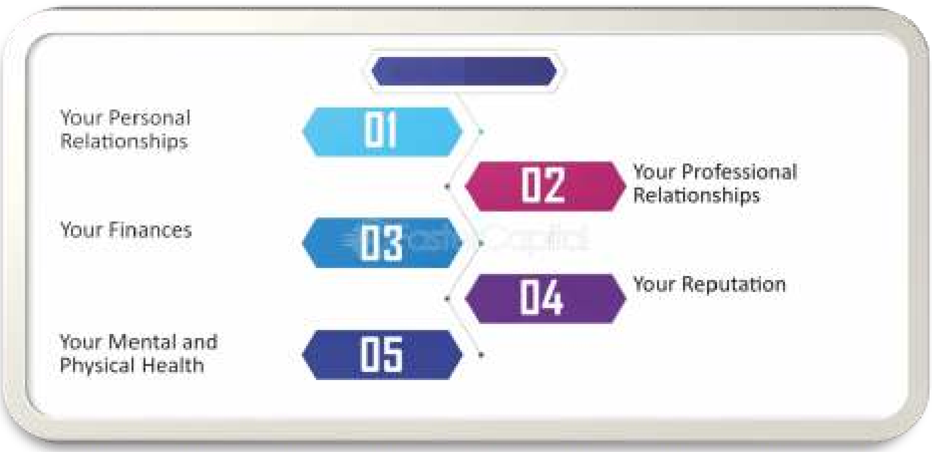
A. Obstructions

- Unstandardized procedures and excessive manual paperwork.
- High discretionary authority without documented rationale.
- Insufficient IT integration and weak access controls.
- Poorly defined contractor oversight and ambiguous SLAs.



B. Costs

- Revenue leakage (misbilling, non-realization of royalties).
- Operational delays, congestion, and safety compromises.
- Legal exposure, penalties, and reputational harm.
- Loss of long-term customers and reduced commercial competitiveness.



VI. INTEGRITY-CRITICAL ACTIVITIES IN TRAFFIC FUNCTIONS

A. Shipping Division (examples of high-risk, integrity-sensitive activities)

- Vessel calling and berth allocation (coordination with Marine Dept.); berth decisions directly affect service priority and charges.
- Forwarding shed diary data to Finance for cargo billing — a primary revenue source that must be accurate and tamper-proof.

- Contract monitoring of shore/on-board handling, barges, and pipelines.
- Allocation of Dock Interior Zone (DIZ) land for cargo transit storage (short/long term allotments).
- Day-to-day commercial actions: receiving/delivery, release orders, and auctioning of spillage/abandoned cargo.
- Oversight of container handling contracts and BOT/PPP royalty realization.

B. Railway Division (examples of high-risk, integrity-sensitive activities)

- Liaison and working arrangements with the rail authority (rake availability, agreements, JPOs).
- Acceptance and processing of indents, forwarding notes, and e-demands.
- Allocation and formation of rakes; TXR activities.
- Weighbridge operations and billing for rake handling, demurrage, and line charges.
- Contract oversight of rail services and agent billings.

VII. TECHNICAL MEASURES FOR PREVENTIVE VIGILANCE

The following technical interventions are prioritized for immediate to medium-term implementation :

A. Integrated ERP / ONOP Implementation

- Deploy an ERP/ONOP backbone that centralizes transactional data for vessel operations, cargo receipts, billing, allotments, and contract management.
- Implement strict role-based access control (RBAC), mandatory digital approvals, and immutable audit trails.
- Integrate Finance, Operations, and Asset modules to eliminate stand-alone spreadsheets and manual reconciliations.

B. RFID and Gate Automation

- Install RFID tags and readers at entry/exit gates, berths, and container yards to automate tracking of vehicles, cargo, and equipment, reducing manual logbooks.
- Link RFID events to ERP transactions (e.g., loading/unloading confirmations, gate passes) to create real-time proof of movement.

C. Automated Weighbridges and Electronic Delivery Orders

- Automate weighbridge hardware and software; tie weighbridge outputs directly into ERP and billing systems via secure APIs to prevent manual weight manipulation.
- Implement electronic Loading Orders and Delivery Token systems with QR/RFID validation to authorize cargo release.

D. Paperless Financial Flows and Revolving Accounts

- Adopt digital payment systems and revolving deposit accounts (PCAN/LCAN) for predictable transactional flows, minimizing cash handling and creating end-to-end payment audibility.
- Enforce pre-funding and electronic reconciliation policies for revenue-impacting transactions.

E. GIS-based Land Asset Management

- Build a GIS platform with spatial visualization of land allotments, lease terms, sanctioned uses, and expiry/renewal history to make allotments transparent and auditable.
- Publish non-sensitive layers to stakeholders for self-service verification.

F. EoDB & Public Electronic Dissemination

- Implement Ease of Doing Business measures: publish tariffs, timelines, tender documents, auction notices, and operational SOPs online with searchable logs.
- Provide dashboards for vessel/rake ETA, berth allocation, and cargo status to reduce information asymmetry.

G. Enhanced EBAS/Backend Analytics

- Extend EBAS (with NIC support or equivalent) to include: automated exception reporting, anomaly detection (billing spikes, repeat overrides), transaction correlation, and scheduled compliance reports.
- Implement data retention policies and secure backups to preserve integrity of records for audit.

H. Contractual and Vendor Controls

- Embed clear deliverables, performance metrics, audit clauses, and electronic submission requirements in contracts.
- Use contractor portals integrated with ERP for contractor invoicing, timesheets, and automated performance scoring.

VIII. PROCESS & GOVERNANCE REDESIGN

A. Standardization and SOPs

- Create single-source SOP documents for each revenue-critical process with embedded controls and decision matrices.
- Enforce digital checklists and mandatory fields in ERP forms to prevent bypassing controls.

B. Accountability Framework

- Define RACI (Responsibility, Accountable, Consulted, Informed) matrices for revenue events, allotments, and release orders; map these into workflow approvals with digital signoffs.
- Introduce supervisory exception logs that must be explained and are periodically reviewed by internal audit.

C. Audit, Monitoring & Whistleblower Mechanisms

- Institutionalize continuous monitoring through analytics-based dashboards and scheduled internal audits focused on high-risk workflows.
- Strengthen protected whistleblower channels with secure intake, case tracking, and anti-retaliation policies.

D. Training & Cultural Interventions

- Conduct mandatory training on preventive vigilance tools and ethics for operational, commercial, and contract management staff.
- Use incident post-mortems to convert integrity lapses into process improvements; publish anonymized lessons learned.

XII. CONCLUSION

Honesty and transparency are practiced rigorously across both operational and commercial functions, forming the ethical backbone of our traffic operations. Clear accountability for actions has made the organization a dependable partner for trade, while respectful treatment of stakeholders preserves the Port's reputation. Consistent adherence to company policies, port regulations, and legal standards has established Haldia Dock Complex as a trusted name in the maritime industry. Prompt decision-making, operational efficiency, and transparency in Shipping and Railway Divisions have, over time, reinforced stakeholder confidence and reliability. The officers and staff—working round the clock—deliver precise, timely services that the trade can rely upon.

Operationalizing preventive vigilance in these divisions requires coordinated reforms across processes, technology, contracts, and organizational culture. Deployment of integrated ERP/ONOP systems, RFID and automated weighbridges, GIS-based land management, digital payment mechanisms, and analytics will significantly reduce discretionary vulnerabilities, strengthen revenue assurance, and enhance stakeholder trust. When these technical measures are combined with robust governance, contractual safeguards, and continuous training, vigilance shifts from reactive detection to proactive prevention—ensuring sustainable integrity, operational excellence, and long-term confidence in our port services.

জাগ্রত সমাজ

ননীগোপাল মন্ডল
সিনিয়র ডেপুটি ম্যানেজার (পি অ্যান্ড আই আর)
হলদিয়া ডক কমপ্লেক্স

অসতর্ক পর্যবেক্ষণ সুপ্ত নিদ্রিত মন
ভেঙে যায় শপথের অঙ্গীকার
দূর্নীতির জালে আচ্ছন্ন হয়ে
অন্যায় একাই হাঁটে সন্তর্পনে
নিপুণ কৌশলে জনগণের সম্পদ লুঠ

নীরব থেকে নিজেকে বাঁচানোর চেষ্টা কি
চুপ থাকে কি নিজেকে বাঁচানো যায়
অন্যায় দেখেও চুপ থাকা মানে তো
সায় দেওয়া চারদিকের বিপুল ক্ষয়ক্ষতি
সতর্ক হোক প্রতিটি চোখ, প্রতিটি হৃদয়,
সমাজের ক্যান্সার দূর করতে
প্রত্যেকে এক একজন সতর্ক সৈনিক

একটি প্রশ্রয়ে জন্মায় একখন্ড অন্ধকার
প্রসারিত দূর্নীতির কালো ধোঁয়া ছেয়ে ফেলে
আর একটু সতর্কতায় জ্বলে ওঠে মশালের আলো
থমকে দাঁড়ায় অন্ধকার পথ
দূর্নীতি রুখে সততার পথ দেখানোর
দায়িত্ব তো সকলের

দিকে দিকে ডাক
আসুন প্রত্যেকে হাতে হাত মেলাই
গলা মিলিয়ে শপথ নিয়ে সুন্দর করে সমাজটা সাজাই
দূর্নীতি রুখে দিতে আমাদের অভিন্ন দায়িত্ব
জাগ্রত সমাজ মুক্তির একমাত্র চাবিকাঠি

Port Digital Assets and Fraud Prevention

By **V. B. S. V. Rao**
Deputy Chief Vigilance Officer

Abstract : Indian ports have undergone extensive digital transformation, integrating enterprise business suites, terminal operating systems, national logistics platforms, and operational technologies. While these advances improve efficiency and transparency, they also centralize sensitive digital and operational assets, increasing exposure to fraud, cyber intrusion, and insider manipulation. This paper reviews the port digital ecosystem, identifies major fraud vectors and high-impact scenarios, highlights SCADA/OT-specific risks and controls, and proposes governance, detection, and response measures for port leadership and vigilance wings.

1. Introduction

Indian Ports have evolved from mechanically focused facilities into complex cyber-physical ecosystems that connect people, cargo, and data. Core enterprise systems (SAP EBS and associated modules), Terminal Operating Systems (TOS), the National Logistics Portal (NLP), Geographical Information Systems (GIS), and a range of Operational Technology (OT) platforms now integrate financial, procurement, HR, project, estate, and operational controls. This integration drives transparency and data-driven decision-making, but simultaneously centralizes valuable digital assets—financial ledgers, payment, manifests, shipping documents, procurement documents, credentials, and operational control interfaces—making ports attractive targets for fraud, cyber intrusion, and insider manipulation. This paper provides a structured overview of key digital assets, the fraud landscape, OT/SCADA vigilance needs, access-control and surveillance integrity measures, and a governance roadmap to strengthen vigilance.

2. The New Digital Fabric of Port Operations

Ports' digital fabric comprises IT systems, OT platforms, sensor networks, access infrastructure, data assets, and interconnections with external parties.

a. Core digital components

- Enterprise Systems: SAP EBS modules including Financial Controlling (FICO), Sales and Distribution (SD), Plant Maintenance (PM), Project System (PS), Materials Management (MM), Customer Relationship Management (CRM), SRM, and HCM,

- Terminal Operating Systems (TOS), GIS, Billing applications
- National Logistics Portal – Marine: shared manifests, customs filings, berth scheduling, and notifications.
- Operational Sensors: Vessel Traffic Management (VTM) radar, AIS, CCTV/VMS, weighbridges, gate sensors, and drones.
- Access Infrastructure: turnstiles, flap barriers, boom barriers, biometric readers, and digital pass portals.
- Operational Technology (OT): SCADA systems and Programmable Logic Controllers (PLCs) controlling oil pipelines, loading arms, lock gates, firefighting systems, explosive vapour detectors, and radiation monitors.
- Data Assets: cargo manifests, electronic bills of lading (eB/L), payroll, procurement records, customs filings, and audit logs.
- Integrations: APIs and links to banks, customs, and logistics, NLP and other service providers, RF ID, GIS
- Turnstiles and flap barriers integrated with biometric or RFID credentials.
- Boom barriers with ANPR and RFID for vehicle control.
- Biometric readers with liveness detection.
- Backups & Logs: immutable time-stamped archives, Security Information and Event Management (SIEM) streams, cryptographically signed logs.

Each component contributes to the port's digital attack surface and has operational and vigilance significance.

b. Key SCADA assets and functions

- Oil and fuel pipeline control: flow regulation and tank-level monitoring.
- Loading arms and Quick Release Hooks (QRH): controlled cargo transfer and emergency disconnect.
- Lock gates and hydraulic systems: control of vessel passage and water levels.
- Firefighting and safety actuation networks: deluge and suppression activation.
- Explosive vapour detection and radiation monitoring equipment

3. Fraud Landscape in Digitised Ports Digitisation introduces macro-level and micro-level fraud risks and multiple technical vectors that can be exploited.

a. Macro-level risks

- Procurement or tender collusion with systemic effects on national logistics.
- Manipulation of throughput, billing, or customs data affecting government revenue.

b. Micro-level risks

- Fake invoices, ghost employees, or fabricated overtime claims.
- Insider collusion between staff and vendors or ship agents.
- Manipulated OT/SCADA readings enabling product theft (e.g., oil pilferage).

c. Primary fraud vectors

- Credential theft, phishing, and compromised SAP user accounts.
- ERP misconfiguration and poor segregation of duties (SoD).
- Weak authentication or improper authorization in NLP/TOS APIs.
- Vendor-supplied firmware or software leading to backdoors in SCADA or CCTV systems.
- Insider tampering with operational data, physical access logs, or manifests.

d. High-impact scenarios

- Fraudulent payment instructions generated by compromised SAP FICO roles.
- Creation of fictitious suppliers in SRM/MM and approval of tampered invoices.
- False SCADA telemetry masking product diversion.
- Manipulation of AIS/CCTV feeds to conceal vessel or cargo diversion.
- SCADA and OT systems—SCADA, PLCs, and field devices—control safety-critical port infrastructure; their compromise can have financial, environmental, and safety consequences.

e. Controls for IT

- Enforce multi-factor authentication and biometrics for secure zones.
- Maintain immutable access logs correlated with CCTV.
- Implement time-bound passes and automated deactivation.
- Integrate gate/turnstile logs with SAP attendance to prevent proxy presence.

- Periodically reconcile gate data, shift rosters, and payroll.

f. OT-specific risks

- Unauthorized modification of PLC logic or set points.
- False telemetry and sensor spoofing to conceal diversion.
- Remote sabotage via vendor maintenance channels.
- Malware propagation from IT networks into OT environments.

g. Controls for SCADA/OT

- Network segregation: physically and logically isolate OT networks; use unidirectional data diodes or DMZs for necessary data flows.
- Privileged Access Management (PAM): eliminate shared accounts; enforce MFA and just-in-time (JIT) privilege elevation for engineers and vendors.
- Configuration integrity: hash-verified firmware/parameter backups; immutable change logs and version control.
- Data validation: cross-verify SCADA telemetry with manual dip readings, flowmeters, and weighbridge data.
- OT-aware anomaly detection: deploy IDS/IPS that understand industrial protocols and flag anomalous commands.
- Incident readiness: maintain air-gapped system images, OT-specific incident playbooks, and tested recovery procedures.

h. SCADA fraud indicators

- Unexplained flow spikes inconsistent with dispatch records.
- Configuration changes outside scheduled maintenance windows.
- Disabled alarms or safety interlocks.
- Divergence between SCADA readings and physical inspections.
- Access Control Systems: The First Line of Digital Defence Physical and logical access systems underpin secure operations and help detect misuse when integrated with enterprise systems.

4. Fraud-detection integration

- Correlate transactional events (e.g., SAP approvals or SCADA commands) with biometric/gate logs and CCTV. Generate alerts if a high-risk action occurs without corresponding physical presence.

- Surveillance and Sensor Integrity Reliable, tamper-resistant surveillance and sensor systems are essential to corroborate digital records and detect manipulation.

a. Measures for integrity

- CCTV/VMS : network segmentation, strong credential management, encrypted storage, and redundant offsite immutable archives.
- VTMS/VTMS integration : cross-validate AIS transponder data with primary radar returns; detect improbable positions or duplicate MMSIs.
- VHF radio and drone telemetry : authenticated and, where possible, encrypted communications; recorded with digital signatures.
- Integration mediation : require that any NLP, VTMS, or TOS signal that can actuate OT passes through a mediation gateway with multi-party approvals and logging.

b. Sensor-correlation

- Reconcile vessel arrival data with gate movements and weighbridge records.
- Cross-verify manifest release against CCTV imagery during cargo discharge.
- Trigger alerts for sensor-data mismatches, time gaps, or evidence of tampering.
- Institutional Governance and Culture of Vigilance Technology controls must be complemented by governance, policies, and a vigilance-oriented culture.

5. Governance framework

- Asset inventory: authoritative registers for IT, OT, access, and surveillance assets with custodians and classification.
- Segregation of duties (SoD): clearly separate initiation, approval, and payment roles in SAP and procurement workflows.
- Vendor accreditation: demand Software Bills of Materials (SBOMs), security testing results, secure update channels, and contractual security SLAs.
- Federated SOC: a shared Security Operations Centre with 24×7 monitoring and escalation to CERT-In.
- Training and awareness: joint programs for vigilance officers, system administrators, operators, and vendor staff.
- Incident protocols: rapid isolation, log preservation, forensic readiness, and coordinated reporting to internal audit, law enforcement, and CERT-In.

a. Behavioural indicators

- Resistance to job rotation or audit review.
- Unexplained lifestyle changes or close vendor relationships.
- Overly smooth processes with “no exceptions” claims.
- Missing or incomplete documentation on high-value transactions.
- Rapid Response and Forensic Readiness. A planned and rehearsed response reduces damage and preserves evidence for prosecution or recovery.

b. Immediate actions on suspicion

- Freeze suspect transactions and quarantine affected accounts.
- Preserve forensic evidence: gate logs, CCTV footage, SCADA telemetry, SIEM traces, and cryptographic integrity proofs.
- Rotate privileged credentials and enable PAM/JIT controls.
- Engage internal audit, legal, and law-enforcement teams; notify CERT-In as required.
- Reconcile SAP, bank, gate, and TOS records; document chain of custody.

6. Forensic preparedness

- Maintain immutable, time-stamped archives and signed logs.
- Ensure synchronized time sources across IT, OT, CCTV, and access-control systems.
- Retain air-gapped forensic images and pre-approved forensic workflows.
- Strategic Roadmap for Port Leadership A prioritized timeline focusing on inventory, critical controls, detection capabilities, and institutionalization.

7. KPIs for monitoring

- Percentage of critical assets inventoried and classified.
- Number and percentage of unresolved SoD violations.
- Mean Time to Detect (MTTD) and Mean Time to Contain (MTTC) anomalies.
- Percentage of privileged sessions recorded and reviewed.
- Successful recovery rate from immutable backups.

8. Conclusion Ports are increasingly digital enterprises; the convergence of SCADA automation, SAP business systems, access control, and multi-sensor surveillance requires an integrated vigilance posture. Effective fraud prevention

combines technical controls (network segregation, PAM, immutable logging, OT-aware IDS), operational measures (cross-system correlation, anomaly detection), and institutional reforms (SoD, vendor accreditation, federated SOC, training). By aligning technology, process, and culture, ports can preserve efficiency while ensuring financial, operational, and safety integrity—making every liter transferred, invoice processed, and gate opened traceable, authorized, and auditable.

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The Arithmetic of Loss

By **Paromita Ghosh Majumdar**
Dy. Traffic Manager

Pintu was busy calculating his earnings for the day when the potbellied, pan chewing man arrived. He wore goggles and heavy boots. Just like a Police Officer. But, unlike a standard Policeman, this man, whom we might call Mr. G (G for Greed), used a lot of idioms in his speeches.

Pintu instantly froze, but eventually managed a nervous smile.
“Nomoskar syar! Apnar kham ready achey!”
(“Regards, sir. Your envelope is ready!”)

“Ready thakey ki korey? Ei mash thekey toh barbey re! Tore toh dekhchi gaachey knathal gnope tel”
(How can it be ready? From this month the dues will go up! Don't count your chickens before they are hatched”)

Pintu thought of slapping Mr. G hard. But, he knew he would have to gulp his rage. This man was part of the “Gorment” – protected by the “System”. Mr. G was an officer in the city Port, in charge of inspecting lands owned by the Port to check on breaches/ unauthorised occupation/encroachment/non- payment of land dues, etc. Yet, he came every month to the encroachers (collectively called Pintu in our story) to circumvent the system to suit himself. For him, the “reach” to “breach” was to become rich!

Pintu, aware that he is on the wrong side of the law looked away, gulping his rage with beetle leaf juice. Both Pintu and Mr. G were chewing paan and were busy calculating their private profits in silence. At the loss of the system. Both on the wrong side of the law, but strictly speaking, actually on the same side. But again, in a way not on the same side. One the power abuser, the other a fringe element sustaining on bread crumbs of system loopholes.

This plot of land where Pintu is running an illegal tea shop since the last twenty years belongs to the Port, close to the docks, was perfect for a container parking yard and had the potential to earn handsome revenue for the Port, but has now been turned into a mini colony of sorts, with truck parking, garments shop, shops selling cigarettes, cold drink, fried snacks, sweetmeat, mobile sets, tailoring business, beauty parlour, hutments, primary schools, temples, car repair shops and what not! Illegal of course! But, a perfectly self-sustaining township. There are NGOs even, shedding crocodile tears for stray dogs, overflowing drains, uncleared garbage, non-functional streetlights, squalor, filth and mosquito breeding swamps and general lawlessness. The social cost of such a "colony" for the entire economy could be a point of study but that is not the focus of this essay.

Today's story is about Mr. G and Pintu with which I started.

"Port ke thokiye byabsa korchis ar amake taka ditei joto poblem?"
(You are taking the Port for a ride and reluctant to grease my palms?")

Mr. G has a broken tooth and invariably would miss the "R" in any word. Pintu who has studied till the eighth standard could not resist a sarcastic smile at the vanished alphabet. He was tempted to say the unsayable – hey, you too are taking the Port for a ride!

Instead, he deleted the smile from his display and made a sad face.
"Ami gorib manush. Amar diktao dyakhen syar."
("I am a poor soul. Make some allowance for my state sir!")

"Taka dewar samay gorib hoye jash na? Evict kore debo jodi poysa na dish. Tora shokter bhokto noromer jom! "
(You suddenly turn poor when asked to shell out money! Flatter the strong and tyrannize the weak is your motto! I will get you evicted if you don't pay!)

The Pintus and Mr. Gs are all over the city, across the nation. The lost revenue of a plot of land when multiplied by hundreds of such encroachments becomes crores of lost revue, lost potential. The story is one of tragedy of the arithmetic of loss, of vanished development-into the crevices of inaction, into the black hole of vicious circle!

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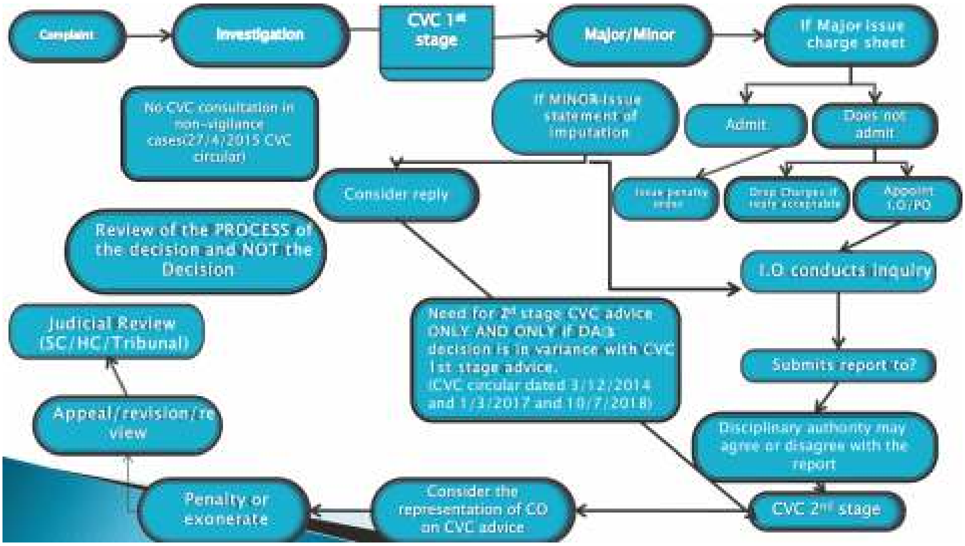
In order to attempt to write an essay on punitive (curative) vigilance versus preventive vigilance, I had to weave a fictional story of Pintu and Mr. G, but that was not to make my essay frivolous – the storytelling objective was just an opportunity to talk with my audience (readers), rather than talk at them.

Now that I have started talking, let me now go forth to establish my tilt towards preventive vigilance rather than punitive vigilance.

Pintu's and Mr. G's entente was progressing unchecked for a long time but there were eyes and ears around the plot of land who had axes to grind both with Pintu and Mr. "G." Sooner than later, a complaint was filed against Mr. G setting the system to roll.

The entire process starting from receiving the complaint against Mr. G to holding of an inquiry against Mr. G who was alleged of misconduct, to awarding of penalty for Mr. G, termed as punitive/curative vigilance is depicted below in a nutshell. Needless to say, it throws enough light on the fact that the process is time consuming and quite frustrating at times.



Each and every step as above is to be adhered to for the process of justice to be fair and transparent. Even Mr. G is entitled to this "fair" treatment from the system, however unfair he has been to the system himself. For the principle of natural justice to hold good, no one, not even Mr. G, can be condemned unheard. Article 14 and 311(2) of the Constitution give Mr. G the immunity that all are equal in the eyes of law and that Mr. G has been given an opportunity to defend himself.

As per Supreme Court observation, although inquiries are quasi-judicial in nature, where "preponderance of probability", rather than "beyond reasonable doubt", is the standard, proper evidence is necessary for drawing inquiry proceedings against Mr. G. Mere suspicion or conjecture cannot be the basis of such inquiry. Gathering solid evidence, preparation of a proper chargesheet and following the entire gamut of the process as above is a necessary condition for the inquiry to proceed. Procedural unfairness can vitiate the entire inquiry and all effort to take to task Mr. G could become null and void. This signifies that process matters as much as outcome. And it also protects Mr. G from arbitrary or biased departmental proceedings.

Fair enough. Now what about Pintu?

Well, for the collective encroachers on Government land, called Pintu, the sluggish juggernaut of an eviction process has to start. Again, going by the same principle of natural justice, “Audi alteram partem” – as no one should be condemned unheard, Pintu has the right to be heard. He cannot be thrown arbitrarily from the encroached upon public land. Article 21 of the Constitution guarantees Pintu a right to life and livelihood.

We are an established democracy with a constitution and not a Banana Republic. Our legal system prioritizes fairness and constitutional rights over administrative convenience.

In a nutshell, the constitutional rights, upholding fairness and accountability can be depicted through a flow chart as below :

Punitive/Curative vigilance acts to deter others, pot-bellied or not, pan chewing or not, and provides lessons on “system loopholes” that allowed both Pintu and Mr. G to carry on the misconduct/illegality with impunity. But it is a reactive measure and not a proactive one. It can at best succeed in ousting a corrupt incumbent like Mr. G but can it strengthen the institution? Can it bring about structural reform?

The whole process not only erodes potential finances from being realized, it also is extremely time consuming. It is like administering the patient strong drugs with side effects after the disease has spread in her body. The side effects, needless to say, in this case is the cost. The administrative cost, the cost of lost time and lost revenue. And like icing on the cake – social and political costs.

We all know how the “parasitic poor” – I am tempted to use this rather politically incorrect sounding phrase – are without exception, protected by political parties.

Finally, curative vigilance does lower the morale of a government servant if over emphasized.

On the other hand, preventive vigilance is the measure to do away with opportunities for misconduct before they actually take place. It saves public wealth from being lost in the first place. It could be said that if curative vigilance is medicine, preventive vigilance is vaccine.

The Government of India strongly encourages preventive vigilance and is one of the cornerstones of its vigilance framework. The Central Vigilance Commission, established as the apex body for vigilance, issues guidelines, circulars, advisories to ministries, PSUs, banks urging them to identify vulnerable areas, recommend systemic improvement and ensure that checks and balances are in place. A key focus is on systemic reform. The Government also emphasises on capacity building and awareness.

Public campaigns under the theme “Satark Bharat, Samriddh Bharat” underscore the role of vigilance as a shared responsibility. The Government also encourages citizen participation in vigilance. Online portal of CVC empowers citizens to act as watchdogs creating an external layer of preventive vigilance.

The digital India campaign is one of the strongest enablers of preventive vigilance as it uses technology to reduce discretion, increase transparency and make governance more citizen centric. Economic resources like capital, land, jobs are to be ideally allocated through the impersonal market and only by use of technology such efficient allocations can be done.

Now coming back to our story of Pintu and Mr. G, the malaise could have been stopped much early had there been digital interventions and other healthy disruptions/checks in place.

While the inquiry against Mr. G was on, it transpired that Mr. G was in charge of the said plot for a very long time. No rotational transfer of officers in sensitive posts was done (a pillar of preventive vigilance) in the department he worked. It was also revealed that there was a certain Ms. G2 who was the HR Manager in charge of posting Mr. G in that particular section so that some “revenue” earned by Mr. G could be shared by Ms. G2!

Had there been a software enabled trigger for HR Managers in the organization to take account of this issue, the matter could be dealt with without human interface. Every digital transaction leaves an electronic record. Even non action leaves a record. This ensures quick audits, reduces chances of tampering, omissions and commissions thus deterring misconduct and corruption.

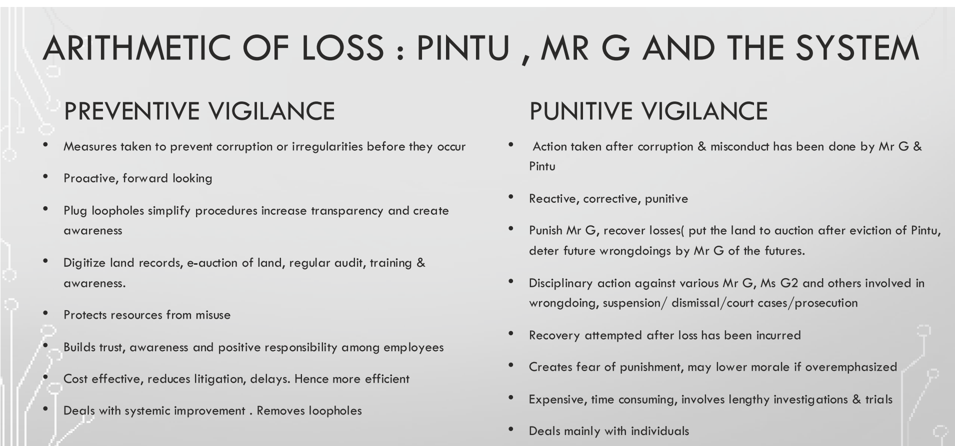
The inquiry in question could not even start fast because of missing records of the particular land. The Port in question has large tracts of land, mostly small parcels, historically occupied/encroached upon/under litigation for a long period of time. Understandably huge “paper based” land records, nearly unmanageable have existed since time immemorial making the issue more complicated. There could have been digital record of the land with digital mapping which would have made surveillance easier.

An unoccupied large tract of land, in the heart of the city, has the propensity to be encroached upon when surveillance is poor and there are intentions of malpractice. Automated e-tendering/auction can be a great tool to prevent such irregularities and such tools strengthen preventive vigilance.

It is true that curative/punitive vigilance has to be in place as malpractices will occur as long as the human race exists on earth but curative vigilance means that the organization is firefighting, acting after the damage has been done. Preventive vigilance on the other hand plugs system loopholes, ensures revenue is not leaked and hence far more efficient.

Vigilance is about protecting public wealth for public good and preventive vigilance ensures that the foundation of integrity is in place and the trust the citizen has placed on public institutions is honoured. Mr. G would have idiomatically expressed it as “Prevention is better than cure!”

While concluding, let me present a visual diagram for this comparison.



I conclude with the wish that let there be a Port in the future where Preventive Vigilance is so robust that punitive vigilance becomes negligible, let there be a society in future where spiritual quotient of the citizens is so high that law breaking becomes negligible, let there be an ecosystem in the organization, where the employees are so alert, so proud and so full of wisdom that they never compromise on their integrity.

A corruption free India is a developed India.

Jai Hind!

कविता

“शतर्क रहो, सावधान रहो,
हर काम में ईमानदार रहो।“

लेखक : **मनोरंजन कुमार**
सहायक सतर्कता अधिकारी , ग्रेड - i
हल्दिया गोदी परिसर

शतर्क रहो, सावधान रहो,
हर काम में ईमानदार रहो।

मन साफ़ रखो, तन साफ़ रखो,
ऑफिस के हर दस्तावेज़ को बेबाक रखो।

बहुत बातें होती हैं चौक-चौराहे,
और चाय के अड्डों पर,
पर कर्म वही महान कहलाते,
जो हों नियमों के पथ पर।

टेंडर हो या प्रोक्योरमेंट का काम,
पहले प्रोसेस समझो श्रीमान,
हर कदम की चेकलिस्ट बनाओ,
फिर SOP के संग निभाओ।

हर विवरण सही-सही भरो,
और हर फाइल पर ध्यान करो,
काम के बाद एक बार फिर,
पुनरीक्षण अवश्य किसी और से करो।
जब तक पूरा भरोसा न हो,
कभी भी आगे कुछ मत करो।

बीच में आएंगे कई बिचौलिये,
मीठी बातों के जाल में,
सावधान रहना उनसे सदा,
वरना फँस जाओगे चाल में।

वे अपने हित के लिए आएंगे,
और बदनाम तुम्हें कर जाएंगे!

विजिलेंस का नाम न डर है,
ये तो सजगता का घर है।
जो आँख-कान खुले रखता है,
वो सदा सम्मान से चलता है।

ईमानदारी ही असली बल है,
जो संकट में भी संबल है।

तो साथियो,
सतर्क रहो, सावधान रहो,
हर काम में ईमानदार रहो!

---जय हिन्द---

Vigilance : Our Shared Responsibility

By **Pooja Banerjee**
HR Officer - I
Kolkata Dock System

"When your actions back your words, when you know inside that you are living true to yourself, that is when you can't be anything but happy because – Happiness lies in integrity" --- Mahatma Gandhi

To encourage accountability and transparency in public life, integrity of an individual plays an important role. Therefore, integrity of a Civil Servant and larger citizenry assumes greatest significance in building a corruption free nation. It not only encompasses moral principles of highest order, the same also helps individual in building a vigilant institution in the eyes of public at large.

If management is about running a business, vigilance is about seeing that it is run ethically. Core purpose of vigilance set up is to promote a vigilant culture including continuous improvements in our internal systems, processes and practices, as enabler to businesses. So, vigilance is the need of the hour in this age of post-truth politics. In today's scenario, one must be a vigilant consumer of social media content. This means not just believing in things as they are shown, but following genuine sources and, most importantly, verifying before forwarding. One needs to stay alert against online toxicity and be wise enough to distinguish between facts and fakes. India's prosperity rests on its social cohesiveness. Rampant digitization in a society with no prior digital literacy has shot up cybercrime in India.

At the heart of vigilance lies the concept of awareness – being alert to one's surroundings, noticing the small details that could indicate a problem, and taking action when necessary. However, vigilance is not an isolated act. In a society where dangers are often unpredictable, collective awareness is crucial. It is the recognition that everyone plays a part in maintaining safety and that, together, we can deter threats, prevent tragedies, and ensure the well-being of others.

One practical example of shared vigilance can be seen in the widespread success of neighbourhood watch programs. I remember my father once told me about one instance when he used to stay in a small suburban neighbourhood. A group of residents noticed a pattern of unusual late-night activity at a house on their block. One neighbour had seen a truck pulling up at odd hours, another noticed the blinds constantly being drawn, and another had heard the sound of items being moved in and out. Their combined vigilance led to the discovery that the house was being used to store stolen goods. By sharing their observations, they were able to alert the authorities and prevent further thefts. This collective vigilance not only helped catch the criminals but also strengthened the sense of unity within the community.

When vigilance is shared, it has a ripple effect on society. It enhances communication, reinforces community bonds, and increases overall safety. A society that encourages shared vigilance is one that places value on the welfare of its members, recognizing that the actions of a single individual can impact the entire group. It teaches individuals that they have a role to play in safeguarding the public good, and that passive bystanders can unintentionally contribute to harm. It also encourages a sense of empowerment. When people know that they can actively contribute to making their environment safer, they feel more secure and more connected, be it in an institution, an organisation or family.

In an organisation, there are a few ways that may help an individual to transcend the conventional boundaries of vigilance, such as: encouraging open communication, whistleblower protection, and internal checks help build a culture where vigilance is not feared but embraced as a tool of collective empowerment. Training sessions, awareness campaigns, and transparent processes can further institutionalize this mindset, making vigilance part of daily practice rather than a periodic exercise. When employees see themselves not as passive observers but as custodians of public trust, their engagement shifts from mere compliance to conscious contribution, and then one could understand that integrity is not enforced but chosen, not monitored but lived.

As the great Indian philosopher Swami Vivekananda once said, “Arise, awake, and stop not till the goal is reached.” The goal here is a corruption-free, efficient, and just public service system. In the shared practice of vigilance, we find not just a means to detect wrongdoing, but a collective journey toward institutional enlightenment and public trust – a goal that can only be achieved when every hand, and every heart, takes part.

Vigilance and Public Trust : Strengthening Organizational Competitiveness Through Transparency

By **Aman Jha**
Asst. Administrative Officer,
Kolkata Dock System

In the contemporary era of globalization, Ports are far more than mere points of cargo handling – they are critical economic gateways that connect India's domestic markets to the global trade network, acting as engines of growth, commerce, and industrial development. The efficiency, integrity, and governance of these Ports have far-reaching implications: delays, opaque procedures, or unaccountable practices not only hinder trade, but also impact public resources, inflate costs for businesses, and, ultimately, affect citizens who rely on the smooth flow of essential goods and commodities. In this context, vigilance emerges as a societal imperative, ensuring that every process, decision, and transaction is conducted ethically, responsibly, and in alignment with national interest. Complementing vigilance, transparency serves as a powerful instrument, enabling stakeholders – ranging from Government authorities and shipping operators to investors and the public – to access accurate information, monitor operations, and engage confidently with institutional processes. The significance of these principles is further reinforced through initiatives such as Vigilance Awareness Week, with the 2025 theme, “Vigilance: Our Shared Responsibility”, reminding us that ethical governance, accountability, and transparency are not isolated obligations, but shared duties, essential for strengthening public trust, enhancing operational efficiency, and securing India's position as a competitive and reliable trade hub in the global maritime landscape.

Syama Prasad Mookerjee Port, Kolkata (SMPK) exemplifies how vigilance and transparency can be seamlessly embedded into operations, technology, and organizational culture to build efficiency, and competitiveness. By making accountability a core principle rather than a formality, the Port has transformed governance into a driver of growth. Its digital initiatives – such as e-tendering for fair procurement and RFID-enabled cargo tracking for real-time monitoring – have eliminated inefficiencies, reduced disputes, and reinforced stakeholder confidence. Process improvements and mechanization have cut vessel turnaround time by nearly 18%, strengthening trade reliability, while transparent estate monetization through competitive auctions has generated over ₹150 crore in FY 2024–25, creating public value with integrity. Regular consultations, reporting, and grievance redressal ensure open communication and inclusivity across stakeholders. Together, these initiatives reflect SMPK's commitment to ethical governance, proving that vigilance and transparency are not just safeguards but strategic levers of competitiveness in India's maritime sector.

At SMPK, vigilance and transparency have translated ethical governance into measurable gains in efficiency and competitiveness. Cargo dwell time has reduced, driven by RFID-enabled cargo tracking and digital berth dashboards that streamline planning and cut bottlenecks. Faster handling lowers costs for shipping companies, strengthening SMPK's reliability in global trade. Transparent practices in procurement and estate management, including e-tendering and competitive land auctions, proving that transparency is both ethical and financially strategic. By ensuring fairness, accountability, and predictability, SMPK has positioned itself as a trusted partner for businesses, making vigilance and transparency central to long-term trade competitiveness.

Benchmarking against leading global Ports highlights SMPK's tangible strides. The Port of Rotterdam, which manages roughly 435.8 million tonnes of total cargo annually, has seen its container throughput rise to about 13.8 million TEUs in 2024. Using IoT systems and real-time dashboards, Rotterdam is now saving as much as one hour of berthing time per ship. Meanwhile, the Port of Singapore handled 35.6 million TEUs during January – November 2023, nearly matching its 2022 performance, and has minimized berthing wait times – from multi-day delays in exceptional circumstances to often being berthed immediately or within half a day. Its digital PORT@SG JIT platform gives vessels real-time scheduling and resource usage data, significantly improving efficiency and turning around vessels faster. Even while operating under India's regulatory and logistical context, SMPK reflects many of these best practices. In FY 2022-23, it achieved a cargo throughput of 65.66 million tonnes, a 12.9% increase over the previous year. Between April and August 2025, SMPK recorded 28.2 million metric tons, up 16% year-on-year. Its twin systems – Haldia Dock Complex and Kolkata Dock System – grew by 13.2% and 24.5% respectively.

In this way, vigilance and transparency at SMPK are not merely tools of compliance or ethical governance; they serve as powerful drivers that enhance operational performance, attract investment, and strengthen the Port's competitive edge. By reducing inefficiencies, fostering predictability, and reinforcing stakeholder confidence, SMPK demonstrates how principled governance can directly yield measurable economic and operational benefits, creating a model that other Indian Ports and public-sector institutions can emulate.

Beyond operational efficiency and competitiveness, the role of vigilance and transparency at SMPK has far-reaching implications for societal welfare and public trust, reinforcing the Port's function as a critical enabler of economic stability and citizen well-being. Efficient and transparent Port operations directly ensure the timely delivery of essential goods, including food grains, fuel, and industrial raw materials. For example, the reduction of cargo dwell time from 4.5 days to under 3.5 days in FY 2024–25 not only improved vessel turnaround but also accelerated the supply chain for bulk commodities such as coal, edible oil, and fertilizers, which are vital for industries, agriculture, and households alike. By minimizing delays, the Port prevents artificial shortages and contributes to stabilizing prices in local and regional markets, ultimately benefiting citizens and reducing inflationary pressures.

Minimization of corruption and inefficiency through vigilant monitoring and transparent procedures safeguards public resources, ensuring that resources are utilized optimally for infrastructure development, technological upgrades, and workforce welfare. Such practices also encourage private sector participation in Port development, creating mutually beneficial outcomes for the economy while maintaining ethical standards.

Vigilance-driven transparency at SMPK has emerged as a catalyst for economic inclusivity and regional development. Predictable and efficient trade flows lower logistics costs for industries dependent on the Port, enabling smaller enterprises to compete on a more level footing with larger players. The Port's rising efficiency and reliability have also spurred employment generation – directly within its operations through mechanization and digitalization, and indirectly through ancillary sectors such as logistics, warehousing, and transportation. In this way, SMPK's progress translates into broad-based economic benefits that extend well beyond the Dock gates, shaping livelihoods and regional prosperity. Equally significant is the reinforcement of public confidence, a vital yet often understated outcome of transparent Port governance. When businesses, Government agencies, and citizens witness rules applied consistently, processes conducted openly, and decisions made accountably, their faith in public institutions grows stronger. This confidence nurtures a cooperative environment where stakeholders feel invested in integrity and governance. SMPK's grievance redressal mechanisms, stakeholder consultations, and proactive dissemination of operational data exemplify how openness enhances credibility, making the Port a benchmark of ethical administration.

Ultimately, the societal impact of SMPK's vigilance framework is far-reaching: timely delivery of goods stabilizes supply chains and markets, transparent processes protect public resources, enhanced operational efficiency fuels regional development, and strengthened credibility promotes accountability. These outcomes demonstrate that vigilance extends beyond an internal organizational mandate – it functions as a public asset that directly benefits citizens, supports industry, and safeguards the nation's economic well-being.

Looking ahead, the future of SMPK lies in further strengthening vigilance, transparency, and technological innovation, ensuring that the Port continues to set benchmarks for operational excellence, public trust, and trade competitiveness. One of the most promising avenues is the expansion of predictive analytics and AI-enabled monitoring, which can anticipate bottlenecks, optimize berth allocation, forecast cargo flow, and identify potential irregularities before they impact operations. By integrating these advanced tools, SMPK can transition from reactive problem-solving to proactive, data-driven governance, further reducing delays, improving efficiency, and enhancing stakeholder confidence. Deeper integration with national logistics platforms and alignment with global best practices will enable SMPK to remain competitive in an increasingly interconnected maritime environment.

Equally important is continuous capacity-building and ethics training for the workforce. While technology provides tools, the integrity, vigilance, and professionalism of employees are the ultimate drivers of sustainable transparency. By embedding ethics and accountability into daily practices, SMPK ensures that vigilance remains a lived value rather than a procedural requirement. Over time, this fosters a resilient organizational culture that upholds ethical governance, adapts to challenges, and sustains competitive advantage.

Sustaining this culture of vigilance is not just an internal goal but a cornerstone of India's maritime vision, where Ports function as transparent, efficient, and accountable institutions that drive economic growth, and enhance public welfare. The broader lesson is clear: ethical governance and trade competitiveness are inseparable pillars. When Ports embrace transparency and vigilance as core principles, they do not simply improve operational metrics – they transform public institutions into engines of national progress, strengthen public confidence, and ensure that the benefits of trade reach all sections of society.

In conclusion, SMPK's journey demonstrates that vigilance, transparency, and innovation are not abstract ideals but strategic imperatives. By combining ethical governance with cutting-edge technology, stakeholder engagement, and continuous workforce development, SMPK exemplifies how a public-sector Port can simultaneously achieve operational excellence, financial sustainability, and societal impact. As India continues to emerge as a global trade hub, SMPK's model serves as a beacon of how integrity, accountability, and competitiveness together chart the course for a prosperous and inclusive maritime future.

SYAMA PRASAD MOOKERJEE PORT, KOLKATA

AVO(F)

General Administration Department

No. Admn/6460/3/System Improvement/II

Dated, 13th September, 2024.

CMO / TM / CME / DMD / FA&CAO / CE / CHE
CLO / Sr. PO / MM / Jt. Director(P&R) / EM(F/C) /
SA(F/C) / Sr. Dy. Director(EDP)

Sub.: **Uploading of Circulars, Guidelines, Manuals, SOPs, Policy, etc. in the intranet "Circular Management Portal" Web portal.**

1. Central Vigilance Commission has desired all organizations to undertake a three-month campaign from 16th August, 2024 on Preventive Vigilance with focus, on the following areas:

i) Capacity Building programs
ii) Identification and implementation of Systemic Improvement measures
iii) Updation of Circulars / Guidelines / Manuals
iv) Disposal of complaints received before 30.06.2024
v) Dynamic Digital Presence

2. With regard to Dynamic Digital Project, on the advice of Vigilance Department, EDP Wing has created a **Circular Management Portal** with following credentials for accessing the portal :

Intranet Site : http://192.168.0.15:8000/

Login Link : http:192.168.0.15:8000/admin/signin

3. Circulars, guidelines, manuals, policy etc., may be uploaded with specific user name and password provided by EDP.

4. All Departments / Divisions are requested to upload Circulars etc. in the **Circular Management Portal** and wide publicity of this Portal may be given to increase transparency and easy access to Govt. / SMPK rules & regulations, guidelines, circulars, policy and other information amongst all employees of SMPK

13/9/24

(C. Chatterjee)
Secretary

सतर्कता विभाग
Vigilance Department
Syama Prasad Mookerjee Port Kolkata
1007
17/09/2024

P.T.O.

- 2 -

Copy to OSD to Chairperson for kind information of Chairperson.

Copy to PS to Dy. Chairperson for kind information of Dy. Chairperson.

Copy to PA to CVO for kind information of CVO with reference to letter No. Vig/29/Seminar/VAW-2024/703 dated 06.09.2024 of Vigilance Department.

Copy to OSD(O&P) / SDS-II / DEM (Admn) / DTM (Admn) / DS-II / SAS(PR) for information please.

श्यामा प्रसाद मुखर्जी पोर्ट, कोलकाता
Syama Prasad Mookerjee Port, Kolkata

सामान्य प्रशासन विभाग
Genl. Admn. Deptt.

No. Admn/6460/3/System Improvement Date: 17.10.2024

CE / CMO / TM / DMD / CME / FA&CAO/ CHE
GM(M&S)/GM(Fin)/GM(Engg.)/GM(Traffic)/GM(Marine)(I/C)
CLO / Sr. PO / MM / Jt. Director (P&R) (I/C) / EM (I/C)

Sub: System improvement pertaining to procurement contracts / projects.

The following measures of 'System Improvement' as suggested by Vigilance Department and approved by Dy. Chairman, may kindly be noted for information and necessary action:

i) An intensive capacity building exercise may be undertaken in the areas of public procurement (including GeM and MII) and PPP projects, with special emphasis on the Officers on boarded in 2016/2027 or thereafter in related Departments / Divisions of KDS and HDC.

ii) A Central Online Repository may be developed, wherein all Office Memoranda / Circulars / Office Orders / Guidelines, etc. pertaining to public procurement (including GeM and MII) and PPP projects, may be uploaded by the related Departments / Divisions of KDS and HDC, which will be accessible to one and all in SMPK.

17/10/24
(C. Chatterjee)
Secretary

Copy to OSD to Chairman for kind information of Chairman.

Copy to PS to Dy. Chairman for kind information of Dy. Chairman

Copy to PA to CVO for kind information of CVO.

Copy to OSD (O&P)/ SDS-II/ Sr. Dy. Director (EDP)/Dy. EM (Admn.)/DS-II/SAS (PR)/ SA(I/C) /SAS(OL)(C) for information please.

Copy to OS, GAD (Main) for information.

सतर्कता विभाग
Vigilance Department
श्यामा प्रसाद मुखर्जी पत्तन कोलकाता
Syama Prasad Mookerjee Port Kolkata
पंजी सं. कोलकाता
Regd. No. Vig. ~~1205~~ 1206.
दिनांक / Date 21/10/2024.

For System Improvement File

16/12/2024

श्यामा प्रसाद मुखर्जी पोर्ट, कोलकाता
Syama Prasad Mookerjee Port, Kolkata

सामान्य प्रशासन विभाग (मा.सं.)
Genl. Admn. Deptt (HR)

No. Admn.7806/CON/PR/KDS & HDC/2024 — Date : 12th December, 2024

CMO/CE/TM/CME/FA&CAO /DMD/CHE
GM(M&S), HDC
CLO/ Jt. Director(P&R)/Sr. PO/MM/ EM(EC)

Sub : Submission of Annual Immovable Property Returns (AIPR) for the year 2024 through online e-Sparrow.

As per Sub-regulation 3 of the Regulation 15 of Calcutta Port Trust Employees'(Conduct) Regulations, 1987, at the end of each Calendar Year, every Class-I & II officer should submit an Annual Property Return by giving full particulars regarding the immovable property inherited by him or owned or acquired by him or held by him on lease or mortgage either in his own name or in the name of any member of his family or in the name of any other person.

2. Further, DoPT, vide OM No. 11/24/2011-EO/PR dated 25.11.2011, lays down that each officer should submit Annual Immovable Property Return(AIPR) in the month of January every year and following instructions should be adhered to "Full details of immovable property are given and **expressions like 'No Change' or 'Same as Last Year'** will not be accepted. If an officer **does not own any property, he/she should state so in the return** rather leaving it blank and it should duly be signed **by the officer with date.**"

3. The AIPR of all Class-I and Class-II officers(KDS & HDC) for the year 2024 will fall due on 1st January, 2025. You are, therefore, requested to initiate action immediately so that all Class-I & II officers of your department/division submit their Annual Immovable Property Returns through online e-sparrow portal **by the end of January, 2025** positively. All Class-I and Class-II officers of KDS should be advised to submit a printed copy of their returns to respective HoDs and all Class-I & II officers of HDC should be advised to submit a printed copy of their returns to GM(M&S) in medium size sealed covers superscribed with :

"Annual Property Returns for the year 2024
&
Full Name, Designation of the officer"

4. In terms of Dy. Chairman's order No. DCK/Office Order/71 dated 23.07.2021, since 2021, Administration Division under GAD, KDS has been the custodian of Annual Immovable Property Returns of Class-I & II officers of HDC also.

5. For the benefits of easy understanding, the following steps for filling the AIPR on SPARROW Module are furnished :-

i) Log into Sparrow Module through WebVPN-https://saccess.nic.in, with their user id and password(same as their NIC email id and password). After generating SMS OTP/Mobile Token, the page will be redirected to NIC WebVPN Home Page.

ii) Click on "**Sparrow SHIPMIN**" on the left side of the page Log-in to SPARROW with NIC e-mail ID and Password. Sparrow Home Page will appear.

iii) Click on "**IPR**" tab on the left bottom of the home page. A new window will open for IPR.

iv) Again, click on "**IPR**" tab on the left side of the page.

v) Click on "**Declaration**" tab.

vi) Select " **Statement as on date** : 01.01.2025".

vii) Click on "Fill New Declaration"/ " Copy Data from Previous Year Declaration" / " Nil Declaration".

viii) After filing, select "Save as Draft" so as not to lose the data filled.

ix) Click on "Sign and Submit".

x) Fill in the AADHAR Details and then enter the OTP received on registered mobile number.

xi) SUBMIT

xii) A unique Application No. would get generated after successfully filing of the return.

xiii) You are required to take a print out of the filled in IPR form and submit the same to the office of the Secretary for record purpose.

6. In respect of Annual Immovable Property Returns of Board level/HoD level officials, 3 copies of printed AIPR are required to be submitted in 3 different envelopes duly sealed where one would be retained by GAD, one copy would be sent to Vigilance Department and the 3rd copy would be forwarded to PHRD Division of the Ministry.

For KDS, the AIPRs (one or three, as the case may be) should then be forwarded to the undersigned, in Department-wise lots, with a covering letter indicating the names and designations of the officers whose AIPRs (one or three, as the case may be) are forwarded.

For HDC, GM(M&S) may kindly send the AIPRs (one or three, as the case may be) to the undersigned, in
Department-wise lots, for entire HDC, with a covering letter indicating the names and designations of the officers whose AIPRs (one or three, as the case may be) are forwarded.

7. All officers should be informed that their AIPR for the year 2024 should reach the undersigned by the end of January, 2025 at the latest, failing which, it will be treated as violation of Sub-regulation 3 of the Regulation 15 of the Calcutta Port Trust Employees' (Conduct) Regulations, 1987 and detailed investigations may be held in respect of their property.

(C. Chatterjee)
Secretary

Copy to OSD to Chairperson for kind information of Chairperson.
Copy to PS to Dy. Chairperson(K) for kind information of Dy. Chairperson(K)
Copy to Dy. CVO for information and necessary action.
Copy to SDS-II for circulating among the officers of GAD(Main) including PSO.

SYAMA PRASAD MOOKERJEE PORT, KOLKATA

General Administration Department

No. Admn./6460/3/System Improvement/II

Dated, 15th January, 2025

OSD (O&P), CLO , OSD (Estate) / MM , SA (I/C)

Sub.: **System Improvement w.r.t. Estate Management at KDS, SMPK**

As approved by the Competent Authority, the undernamed officers are being entrusted with the task as in-charge to streamline the processes in the respective areas as mentioned below and for dealing the same:-

a) OSD(O&P): To examine the billing Module/Billing Process. Clearly identify the number of bonafide tenants and examine whether their appropriate bill is raised. See closed plates, bills where partial payment is received, tenants who have left the property but bill is raised. A comprehensive report on this may be given.

b) CLO: To examine PP cases, categorize and group them into similar category. Find out favourable judgment in case of Govt. Authorities and take further necessary action to safeguard interest of SMPA. Similar exercise be carried out for cases pertaining to District Courts also.

c) OSD (Estate)/MM: To place the tenders for all vacant plots in a time bound manner. It should be a regular exercise, at least 25 plots should be placed for tender every month.

d) SA(I/C): To take regular meeting of Authorized Officer and take weekly dedicated effort for eviction of unauthorized tenants where eviction order is there and no court case is pending.

2. As also approved, after one month, the aforesaid officers may give a presentation before the Management about the steps taken by them in concerned areas.

15/01/25

(C. Chatterjee)
Secretary

Copy to OSD to Chairman for kind information of Chairman.

Copy to PS to Dy. Chairman for kind information of Dy. Chairman

Copy to PA to CVO for information of CVO. This has reference to letter No. Vig/Misc/05/2023/1109 dated 10.01.2025.

Copy to CMO / TM / CME / DMD / FA&CAO / CE / CHE for information.

Copy to GM(M&S) for information.

Copy to Sr. PO / Jt. Director(P&R) / EM(I/C) / Sr. Dy. Director(EDP) for information.

Copy to OS, GAD(Main) for information.

SYAMA PRASAD MOOKERJEE PORT, KOLKATA

General Administration Department

No. Admn/6460/3/System Improvement/II Dated, 25th February, 2025.

FA&CAO / CE
CLO / EM (I/C) / OSD (Estate)

Sub.: **System Improvement w.r.t. Estate Management**

In view of detection of some mishandling in a tenancy matter of Estate Division, it has been felt necessary by the Competent Authority that some System Improvement measures in respect of Estate Management need to be adopted on urgent basis. The measures as contemplated are outlined below for observance and compliance of all concerned:-

i) Estate Division officials should ensure basic housekeeping works and record maintenance. They should, every month, revisit the cases where there is rental demand lying outstanding on account of the tenant and issue them a letter for payment of dues, with a copy to CLO and FA&CAO.

ii) Estate Division would identify topmost critical category of premises and have dual surveillance with PSO to avoid any untoward activity affecting the interest of SMPK. This apart, EM(I/C) will ensure inspection of all the plots of Howrah Section within one month and submit Status Report for reviewing the system improvement further for future implementation.

iii) (a) A Dealing Officer to be designated against each case who will be assigned individual unpaid claim recovery process, who would report to Nodal Officer/ Sectional-in-Charge. Explanation / justification from dealing officer of inaction on their part and the same should be reflected in monthly report.

(b) Every designated Sectional In-Charge/Executive Engineer should discuss 20 major outstanding dues cases with EM(I/C) every fortnight and CLO every month, to take necessary action. They would act as a Nodal Officer and should prepare & monitor top 100 outstanding dues cases and submit a monthly report to EM(I/C), with copy to Dy. Chairperson and CVO, alongwith comments / suggestions on progress of recovery of dues in tabulated format containing specific details like dates, action taken etc. vis a vis non-action against each case, to EM(I/C). EM(I/C) would review & submit a monthly report to

Chairman/Dy. Chairman, EM(I/C) should give a presentation every quarter to Chairperson and Deputy Chairperson of efforts taken by Estate Division for recovery of dues. These details should be available in 'Pattan Portal' dashboard till a better system is introduced.

iv) Court cases which are pending for more than 10 years and where substantial recoverable SMPK dues is involved, CLO may examine the effectiveness of lawyer in those cases and take necessary action.

CLO will suggest strategies for all litigating tenants particularly in Howrah Section.

v) In cases relating to corporates where operational dues are there, CLO may explore possibility of going to NCLT as per due procedure and prevailing laws.

vi) A dedicated team who will work with accounts to reconcile the dues in different cases as suggested by CE may be explored by FA&CAO & CE in time bound manner.

vii) Dedicated rent recovery team *comprising members from Estate, Legal and Finance Department / Division* and dedicated possession recovery team *consisting officials from Estate, Legal & PSO* apart from regular officers as suggested by EM(I/C) may be introduced.

viii) OSD (Estate) should make a list of top 100 outstanding dues cases and discuss the progress with Secretary every quarter.

ix) EM(I/C) is to keep strict vigil on all the plots where Eviction Orders have been issued by competent Forums of Law and Authorized Officer would be required to periodically inspect the plots / structures, where they will have to take eviction drive.

x) All cases where possession have been received but there have been outstanding dues recoverable, recovery proceedings through P. P. Act forum or any other appropriate legal forum should be immediately started.

xi) All cases where possession has been received but there are outstanding dues, should be processed for certificate cases. If the concerned cases have not been referred to Estate Officer under PP Act, appropriate action towards the same may be done urgently. Further where Order of PP Court for District Magistrate/Collector is available, they should be taken up with District Magistrate/Collector. A monthly report of top 100 potential cases in this regard should be shared with Chairman/Dy. Chairman with progress recorded.

xii) Legal team may be communicated about the cases plagued by prolonged injunction and Estate Division would like to strongly pursue those cases every quarter, for taking up the cases in right earnest. Further, before approaching NCLT, steps may be taken to seek and obtain order of Estate Officer u/s 7 of PP Act. if there is default of payment without waiting for eviction order as the aforesaid u/s 7 Order is to be executed through recovery option.

xiii) Dedicated rent recovery team as suggested in (vii) above, would also examine the genuine cases where suitable justification is there for no possibility of recovery of dues. In such cases, the Committee will have to explore and recommend to write off such cases mentioning value of write off.

2. Moreover, the following systems / procedures will also have to be observed by all concerned:-

a) Robust / Sanitized / Correct database in the present module: There is a system / module where all plate information are available with provision for inputs for breach and court case records. If all data are correctly incorporated, requisite information can be fetched for initiation of corrective action / periodical monitoring and compliance. For e.g., Dues recovery action / proposal for termination, all can be taken on the basis of system generated reports.

Action Points: Proper bill entry and payment adjustment in module (with help of Finance Deptt.); integration with Legal Deptt.'s case records with the concerned plates in Estate Module (By Legal Division reps. and ROs); Inspection records capturing (Dy. AEMs and Surveyors of Estate Division). This will reduce duplication of effort as all information can be retrieved from module.

b) Third party inspection: There is immediate requirement of engaging third parties for physical site inspection and furnishing reports (including uploading in inspection module). There are often delays and lapses reported on the part of regular / contractual officers. This will help more frequent site reports and better monitoring standards.

Action point: Engagement of an agency through tender.

c) Satellite surveillance system: Once the proposed system is functional, human interference free information would be readily available for interpretation.

Action point: Estate Division for appropriate action through LMIS vendor as per provisions.

d) Ejectment notices: As per norm if rent are unpaid for more than 21 days, ejectment notices are to be served. Action for all such plates are required to be taken. And if any property is found lying vacant it should be repossessed / secured to prevent further encroachment. Often some time is lost to comply the formalities but if formalities are continued after securing the plot, it would be more beneficial for port. Estate has potential for revenue recovery and immediately on identification of non-payment cases, we may take action of recovery of possession and also dues but more importantly unutilized land assets can be gainfully used through proper allotment procedure. Hence not only recovery of dues but recovery of possession is also very important.

Action point: Identification of such places falling in above categories and through finding other breaches and process for termination.

3. This should be read in conjunction with this office letter No. Admn/64603/System Improvement/II dated 15th January, 2025 on System Improvement.

(C. Chatterjee)
Secretary

Copy to OSD to Chairperson for kind information of Chairperson.

Copy to PS to Dy. Chairperson for kind information of Dy. Chairperson.

Copy to PA to CVO for kind information of CVO in reference to letters No. Vig./Misc./30/2023 dated 05.09.2024 and Vig./Misc./05/2023/1109 dated 10.01.2025.

Copy to DMD/TM/CMO/CHP/CME for information please.

Copy to GM (MA&S) for information please.

Copy to OSD (O&P) / DEM (Admn.) / Sr. Dy. Director (R)/ DS-II for information please.

Copy to OS, GAD (Main) for information please.

SYAMA PRASAD MOOKERJEE PORT, KOLKATA

General Administration Department

No. Admn/6460/3/System Improvement/II Dated, 22nd May, 2025.

CMO / TM / CME / DMD / FA&CAO / CE / CHE /
GM(M&S) / GM(Tfc) / GM(Fin)/ GM(Engg.) / GM(Marine)
CLO / Sr. PO / MM / Jt. Director(P&R) / EM(I/C)

Sub.: **System Improvement.**

It may please be noted that all communications to external organizations / entities as well as Ministries in the Central and State Governments shall have to be sent only with approval of Chairperson or in his absence, Dy. Chairperson, except communication of routine and innocuous nature and statistical information by P&R Division and GAD (Main) having no policy implication.

2. All are, hereby, informed that any CAPEX project above Rs.10 crore will have to be first discussed with Chairperson and in principle approval of Chairperson shall have to be compulsorily taken before taking up such projects. Till such time, the approval of Chairperson is obtained, the projects are to be marked "Under conceptualization" and the project in question will be executed only after approval of Chairperson.

3. This issues with approval of Chairperson following his meeting with Heads of Division of HDC on 08.05.2025.

24/5/25
(C. Chatterjee)
Secretary

Copy to OSD to Chairperson for kind information of Chairperson.

Copy to PS to Dy. Chairperson for kind information of Dy. Chairperson.

615 Copy to PA to CVO for kind information of CVO.

Copy to OSD(O&P) / SDS-II / DEM (Admn) / DS II for information.

Copy to Sr. Dy. Director (Research) for uploading this advisory in the intranet "Circular Management Portal" of SMPK.

Syama Prasad Mookerjee Port, Kolkata

No.
June, 2025

Secretary
Pl. circulate it among all HoDs.

All HoD's, KDS

Secretary/FA&CAO/DMD/CMO/TM/CE/
CME/CHE/CLO/Sr.PO/Jt.PR/MM/EM(I/C)

Sub: **System Improvement in Procurement related functions at KDS**

It is observed that while seeking administrative approval for procurement of goods by MM Division, vital and essential inputs in respect of technical specifications of the products are not always mentioned. Without ascertaining availability of the product in GeM portal, approval is either sought for procurement through GeM or the proposal sometimes remains silent as to the mode of procurement (i.e. through GeM or not). On top of it, nothing is mentioned about the budget provision in most cases. Even at times, estimate is also proposed to be approved, based on rates collected without considering terms and conditions as well as technical specifications of actual procurement in totality, thereby arriving at an unrealistic estimate. As a result, further action for Procurement by MM Division becomes not only difficult, but also gets delayed in bringing necessary details in place through protracted interactions between MM Division and the indenting department/division. Needless to say, wherever there is wide variation between the estimate and the lowest rate received in tender, recommendation for acceptance of lowest rate and its administrative approval also become challenging to avoid re-tender with the consequent

1

losses. In short, lack of clarity in the proposal, if any, invites the aforesaid difficulty and results in wastage of manpower and time.

2. It has also been observed in a number of instances that for some reason or other, the process of procurement was not strictly aligned with the extant provisions in vogue and prompted generation of grievance of any prospective bidder. Lack of prudence in handling such grievance entailed escalation of such issues beyond acceptable proportions, requiring wastage of time of senior officers for resolution of the issues without compromising with the principles of ethics and reputation of the organization.

3. In the light of the above experience, all HoD's at KDS are advised to adhere to the following directives with immediate effect.

i. While proposing procurement by MM Division, all HoD's should raise the proposal through MM Division and in turn, it would be the sole responsibility of MM Division to make sure that the proposal contains all required information before placing for approval of the competent authority.

ii. Whenever any procuring Department/Division comes across any complaint or grievance on any procuring process or decision, the HoD concerned shall immediately consult MM for further steps. In turn, it would be the duty of MM to render necessary support in a fair and transparent manner, wherever necessary, with the guidance of CME. The Department/Division shall follow it as would be rendered by MM in the aforesaid manner. In the event of inability of the Department/Division concerned in following the course set by MM as above, he or she may put up the same forthwith for an administrative decision.

4. The above directives shall be in force until further review, if needed.

Chairman

Copy to: Dy. Chairman for consideration of similar mechanism in HDC please.

Copy to: CVO for information please.

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SYAMA PRASAD MOOKERJEE PORT, KOLKATA

General Administration Department

No. Admn/6460/3/System Improvement/II

Dated, 7th July, 2025.

CMO / TM / CME / DMD / FA&CAO / CE / CHE /
GM(M&S) / GM(Tfc) / GM(Fin) / GM(Engg.) / GM(Marine)
CLO / Sr. PO / MM / Jt. Director(P&R) / EM

Subject: **System Improvements regarding Private foreign visits by Syama Prasad Mookerjee Port, Kolkata (SMPA) Employees**

In order to ensure greater procedural discipline and streamline the approval process for private foreign visits undertaken by employees of SMPA, the following guidelines and observations are reiterated and re circulated for compliance:

1. Procedural Irregularities Noticed

a) It has been observed that some departments/divisions of SMPA are submitting requests for Vigilance Clearance just 2-3 days before the commencement of private foreign travel. In such cases, frequent follow-up calls are made to the Vigilance Department, creating undue haste, unnecessary pressure and disruption in routine functioning.

b) Additionally, instances of employees proceeding on private foreign visits without obtaining prior approval for leaving the station/headquarters – as required during leave periods – have been reported. These actions are in clear violation of existing guidelines.

c) Chairperson and Vigilance Department have taken serious exception to such non-compliance.

2. Mandatory Requirement of Vigilance Clearance

As per Circular No. Vig/70/29/2009/1205 (xvi) dated 16.07.2009, it is **mandatory** for all officers/officials to obtain Vigilance Clearance before undertaking any private foreign travel.

1

3. Reference Guidelines and Circulars

The following government orders and circulars provide the overarching framework for granting permission for private foreign visits:

- DoPT OM F. No. 11013/7/94-Estt.(A) dated 18.05.1994
- DoPT OM No. 11013/8/2000-Estt.(A) dated 07.11.2000
- DoPT OM No. 11013/7/2004-Estt.(A) dated 01.09.2008
- DoPT OM No. 11013/8/2015-Estt.A-III dated 27.07.2015
- CVC Order No. 67/10/04 dated 25.10.2004
- CVC Circular No. 16/07/09 dated 06.07.2009
- CVC Letter No. 004/VGL/87/141429 dated 23.08.2011

4. Standard Procedure for Private Foreign Visits

Based on the aforementioned directives and guidelines, the following process shall have to be strictly followed:

a) Initiation of Request:

Employees intending to undertake a private foreign visit must submit:

- A leave application
- A request for permission in the **revised format (Proforma I – Part A)**
- A self-attested copy of the travel ticket or other relevant supporting documents

b) Departmental Endorsement:

The leave-sanctioning authority must complete and certify **Proforma I – Part B,** and forward it via the concerned administrative channel (GAD/P&IR) to the Vigilance Department for clearance.

Timeline: The request must be submitted **at least 21 days and not more than 3 months** before the proposed date of travel.

c) Issuance of NOC

Upon receiving Vigilance Clearance and necessary approval from the competent authority, the General Administration Department (GAD) in case of KDS / M&S in case of HDC will issue a **No Objection Certificate (NOC).** Leave may only be sanctioned **after** the NOC is issued.

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5. **Changes in Travel Plans**

   If Vigilance Clearance was obtained earlier **without specific travel dates** (e.g., for visa processing), or if there are **subsequent changes** in travel dates, the updated itinerary (departure and return dates) must be resubmitted for fresh Vigilance Clearance **using the same procedure** described in Para 4.

6. **Post-Visit Reporting**

   Employees must submit complete details of their foreign visit within **30 days of return,** as per Vigilance Circular No. Vig/70/29/2009/205(xvi) dated 16.07.2009. **Proforma-II** (revised format) must be used for this submission. **Failure to comply** may invite **disciplinary action.**

7. **Compliance Responsibility**

   All **Heads of Departments and Divisional Heads** are hereby instructed to ensure **strict compliance** with these instructions. Any deviation or lapse will be viewed **seriously** and may attract appropriate administrative action.

Encls: As stated

2/7/25

(C. Chatterjee)
Secretary

Copy to OSD to Chairperson for kind information of Chairperson.

Copy to PS to Dy. Chairperson for kind information of Dy. Chairperson.

Copy to PA to CVO for kind information of CVO. This is in reference to letter No. HDC/V/24A/240 dated 26.06.2025.

Copy to OSD(O&P) / SA(FC) / Sr. Dy. Director(Research) / DEM(Admn) / DS-II / SAS (PR) for information.

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Proforma 1

Syama Prasad Mookerjee Port, Kolkata

PROFORMA FOR TAKING PRIOR PERMISSION

FOR PRIVATE FOREIGN VISITS

Part A

1	Employee No	:	
2	Class (I/II/III/IV)	:	
3	Name of the Employee	:	
4	Designation	:	
5	Department /Division	:	
6	Current Basic pay	:	
7	Pay Scale	:	
8	Whether any Criminal case Pending against the employee in any Honorable court of India (If Yes, provide related Certified documents)	:	
9	Passport No.	:	
10	Details of the private foreign travels to be Undertaken		

	Period of Travel		Name of Foreign Countries to be Visited	Purpose
	Date of Departure	Date of Return		
i)				
ii)				
iii)				

11	Estimated Expenditure					
	Travel	Boarding	Lodging	Visa	Misc	Total

12	Source of Fund:		
13	Details of leave proposed for Above period	:	(Enclose leave application)
14	Whether the dependent family Members are Travelling with you? If Yes, Please Provide the details	:	YES/NO
	Name of Family Member	:	Relationship
		:	
		:	

15	Details of Private foreign Travels Undertaken during last four Years:		
	Period of travel	Name of foreign countries to visited	Purpose

Date:

Signature of the Employee

Part B

To be filled and certified by the Department / Division where the officer/employee is Posted and Certified by Head of Department

16	Whether any departmental case, disciplinary case, individual complaint is pending or contemplatedAgainst the officer as on date. If yes, provide theRelevant certified documents.	:	
17	Whether the officer deals with 'Secret' or "top Secret matter". If so, whether there is absolutely no doubt about the integrity of such officer and whether the visit is inescapable on personal or humanitarian ground.	:	
18	Whether the officer handle cash and valuables. If so, approximate average value thereof.	:	
19	Whether there is no case of loss and fraud is pending or contemplated against the officer.	:	
20	Whether any punishment was awarded to the employee during the last 10 Years and If so the date of Imposition and details of Penalty. (If Yes Give details)	:	
21	Whether any disciplinary/Criminal proceedings or Charge sheet Pending / contemplated against the Applicant (also give previous record, if any). (If Yes , Please furnish details)	:	
22	Whether the officer had submitted his Annual Immovable Property return for the last calendar year, within the stipulated time.	:	
23	Whether any criminal case is pending or contemplatedagainst him/her (If Yes , Please furnish details)		

Date :

Name and Signature of HOD

Proforma-II

Syama Prasad Mookerjee Port, Kolkata

Submission of actual expenditure statement on return from Foreign Visit

1. Name of the Employee & ID No. :
2. Designation & Department :
3. Date and No. of Office Order by which the prior permission obtained to visit foreign countries. Details of travel

Period of Travel		Name of foreign countries to be visited	Purpose
Date of Departure	Date of Return		

4. The details of dependent family accompanied during the travel :

Name of the Family Member	Relationship

5. Actual expenditure

Travel	Boarding	Lodging	Visa	Misc.	Total

6. Source of Fund :

Declaration

I hereby state that the details provided by me are true and correct. I have submitted foreign tour report to the Competent Authority.

Date: Signature of the Employee

CONFIDENTIAL

श्यामाप्रसादमुखर्जीपोर्ट,कोलकाता
Syama Prasad Mookerjee Port, Kolkata
15 स्ट्रैण्डरोड/15,Strand Road,
कोलकाता/Kolkata – 700 001
दूरभाष/Phone : 2230-3451 फैक्स/Fax : 033-2230-4901
वेबसाइट Website :www.smportkolkata.shipping.gov.in

No. Admn/7806/CON/Misc(Vig) Dated: 13.08.2025

DMD/FA&CAO/ TM /CMO/CE/CME /CHE
GM(M&S)/GM(Fin.)/GM(Tfc.)/GM(Marine)/GM (Engg.)
CLO/Jt. Director(P&R)/ Sr. PO/MM/EM

CIRCULAR

Sub: Advisory regarding Vigilance Clearance prior to approval of Voluntary Retirement.

A few instances have been noticed by the Vigilance Deptt. wherein Voluntary Retirement was accepted and approved by the Competent Authority without seeking Vigilance Clearance.

2. In this regard, in terms of Circular No. Vig/30/2019/744 dated 16/17.09.2019, Vigilance Clearance is necessary before approval of the Competent Authority for the purpose of Voluntary Retirement.

3. Further, in terms of Calcutta Port Trust Employees' (Pension) Regulations, 1988, Chapter VI, 28(1) (b), it has been inter alia stated that the employee giving notice under clause (a) of the preceding proviso to under suspension, it shall open to appointing authority to withhold permission to such an employee to retire under this regulation.

4. In view of the above, it is essential to ensure clear vigilance status before accepting Voluntary Retirement requests. All concerned authorities are accordingly advised to obtain Vigilance Clearance as per Circular No. Vig/30/2019/744 dated 16/17.09.2019, before placing the requests for Voluntary Retirement for approval of the Competent Authority.

(G.Chatterjee)
Secretary

Copy to OSD to Chairperson for kind information of the Chairperson.

Copy to PS to Dy. Chairperson for kind information of the Dy. Chairperson.

Copy to Dy. CVO for information with reference to his letter No. Vig/30/2025/413 dated 28.07.2025.


Anti-corruption
Legality
Corruption
Power Restriction
Structural Reform

Glimpses of VAW **2025**

Glimpses of VAW **2025**

Glimpses of VAW **2025**

Glimpses of VAW **2025**

सत्यमेव जयते

केन्द्रीय सतर्कता आयोग
CENTRAL VIGILANCE COMMISSION

सतर्कता भवन, जी.पी.ओ. कॉम्पलैक्स,
ब्लॉक-ए, आई.एन.ए., नई दिल्ली-110023
Satarkta Bhawan, G.P.O. Complex,
Block A, INA, New Delhi-10023

सं./No. 024/VGL/020/19821

दिनांक / Dated 21.02.2024

<u>Circular No. 05/02/24</u>

Subject: - Strict Compliance of guidelines issued by Central Vigilance Commission and DoPT for timely disposal of Disciplinary Proceedings-reg.

The Central Vigilance Commission (CVC) and Department of Personnel & Training (DoPT) have issued guidelines from time to time, impressing upon the organizations concerned for timely conclusion of disciplinary proceedings. However, it has been observed that on many occasions, there is inordinate delay in bringing the cases to logical conclusion, which is against the principles of natural justice and also defeats the very purpose of initiating disciplinary action.

2. In this regard, attention of the respective organizations is invited to DoPT's OM No. 425/01/2012-AVD-IV(A) dated 29.11.2012 (**Annexure-1**) relating to monitoring and expeditious disposal of disciplinary proceedings, wherein CVOs concerned have been given the responsibility of monitoring and ensuring adherence to the given time line.

3. Further, DoPT vide their OM No. 372/3/2007-AVD-III(Vol.10) dated 14th October 2013 (**Annexure-2**) has instructed that "all Ministries/Departments shall ensure that all major penalty proceedings against government servants under their control are completed and final orders are passed by the concerned Disciplinary Authority within 18 months from the date of delivery of charge-sheet on the delinquent government servant".

4. The Commission has also prescribed model timelines for investigation and conclusion of disciplinary proceedings, till the issuance of final orders, which have been mentioned in para 7.47.2 of its Vigilance Manual, 2021, which is available on Commission's website in public domain, in downloadable form.

5. Further, DoPT has also issued instructions relating to terms and conditions for appointment of IOs/POs, in which it has been highlighted that video conferencing/digital mode is to be used to the maximum extent possible to conduct departmental inquiry so as to ensure timely completion of the same. DoPT's instructions issued from time to time are summarized and updated vide its OM No. DoPT-1668597747466 dated 16.11.2022. (**Annexure -3**).

6. In addition to above, it may also be kept in view that in order to ensure timely and smooth completion of disciplinary proceedings, training needs to be imparted to prospective and current IOs and POs, which will also help in creating a pool of trained IOs and POs in respective organizations. For IOs/POs, who are serving public servants, timely completion of departmental proceedings by them needs to be given due weightage/cognizance by the reporting/reviewing officers, in the APARs of such IOs/POs.

7. It has also been observed that the time taken to approach UPSC for advice is unduly long, as proposals are not being submitted in the prescribed format of the UPSC in its single window system. As a result of which, many cases, found deficient by UPSC are being returned, resulting in unnecessary delay. Hence, it is the responsibility of the Disciplinary Authorities concerned and respective CVOs to ensure that there are no deficiencies, whatsoever, in the cases referred to the UPSC. In this regard, DoPT OM No. 39035/01/2011-Estt. (B) dated 10.05.2011 (**Annexure-4**) also refers.

8. The Commission has desired that the above instructions/guidelines as issued by the Commission and DoPT may be strictly adhered to by the disciplinary authorities and other authorities concerned. The CVOs of respective organizations may bring the above guidelines to the notice of the Chief Executive Officer and all disciplinary authorities concerned. They may also follow up all pending cases, to ensure that they are brought to logical conclusion within the prescribed timelines.

(Rajiv Verma)
Director

Encl:- As above.

To

(i) The Secretaries of all Ministries/Departments of GoI
(ii) All Chief Executives of CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(iii) All CVOs of Ministries/Departments of GoI/CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(iv) Website of CVC

No. 425/04/2012-AVD-IV(A)
Ministry of Personnel, Public Grievances & Pension
Department of Personnel & Training

North Block, New Delhi
29th November, 2012

OFFICE MEMORANDUM

Subject: Guidelines for monitoring and expeditious disposal of the disciplinary proceeding cases – reg.

Instructions have been issued in the past for expeditious disposal of disciplinary proceedings against delinquent government servants. However, it has been observed that disciplinary proceedings are generally taking a long time which defeats the very purpose of initiating the said proceedings. Therefore, it has been considered necessary to issue the following guidelines for monitoring and expeditious disposal of disciplinary proceedings:-

i. There are a number of instances where the Courts have set aside the order of penalty due to inordinate delay in initiating action. Therefore, it has to be ensured that disciplinary proceedings are initiated without undue delay.

ii. The Administrative Department/Competent Authority should study the allegations more carefully and resort to minor penalty proceedings instead of initiating major penalty proceedings, where the circumstances involve minor infringements or cases of procedural irregularities. It has to be kept in mind that a minor penalty swiftly but judiciously imposed by a Disciplinary Authority is much more effective than a major penalty imposed after years spent on a protracted enquiry.

iii. There is undue delay due to repeated requests of the charged officer for time to give his written statement in reply to the charge sheet. As per existing instructions, the charged officer is allowed 10 days to submit his written statement. The charged officer may be allowed 3 – 4 days absence by the Controlling Officer for preparing his written statement in which case, no extension of time should be allowed beyond the stipulated period of 10 days. (DoP&T's OM No.142/5/2003-AVD.I dated 6th April, 2004)

iv. If vigilance angle is involved in a complaint, the case should be referred to CVC for their 1st stage advice within one month from the date of receipt of investigation report. If vigilance angle is not involved, case should be put up to the disciplinary authority for taking decision to initiate disciplinary action for major or minor penalty against delinquent officer under CCS(CCA) Rules within one month from the date of receipt of investigation report.

v. After receipt of first stage advice of CVC, the case should be put up to the disciplinary authority for taking decision to initiate disciplinary action for major or minor penalty against delinquent officer under CCS(CCA) Rules within one month from the date of receipt of 1st stage advice of CVC.

vi. The chargesheet should be issued to the charged officer within a week from the date of receipt of decision of the disciplinary authority to initiate major or minor penalty proceedings against him. In any case, it should be ensured that the chargesheet is issued within one month from the date of receipt of the 1st stage advice of CVC.

vii. Simultaneously with the issuance of chargesheet, names of suitable officer to be appointed as IO & PO may be selected tentatively. If the charged officer, in his written statement of defence, denies the charges leveled against him, orders regarding appointment of IO & PO should be issued immediately after receipt and consideration of defence statement. Copies of all the relevant papers/documents should also be provided to IO/PO along with the order.

viii. The charge sheet should be drafted with utmost accuracy and precision based on the facts revealed during the investigation or otherwise and the misconduct involved. It should be ensured that no relevant material is left out and at the same time no irrelevant material or witnesses are included. (DoP&T's DO No.134/2/85-AVD.I dated 2nd May, 1985)

ix. As far as possible, copies of all the documents relied upon and the statements of witnesses cited on behalf of the Disciplinary Authority should be supplied to the Government servant along with the charge sheet, so that the time taken by the charged officer to submit his written statement of defense is reduced. (DoP&T's DO No.134/2/85-AVD.I dated 2nd May, 1985)

x. IO should submit his report within six months from the date of receipt of order of his appointment as IO. Where it is not possible to adhere to this time limit, the IO should submit reasons for delay to the disciplinary authority in writing.

xi. A copy of the inquiry report and also disagreement of the disciplinary authority, if any, on it should be provided to the Charged Officer within 15 days from the date of receipt of Inquiry Report alongwith reasons for disagreement of the Disciplinary Authority with IO's findings, if any. (CVC Circular No. 000/VGL/18 dated 23rd May, 2000). The Charged Officer may be allowed 15 days to submit, if he so desires, his written representation or submission to the disciplinary authority irrespective of whether the report is favourable or not to the government servant (DoP&T's O.M. No.11012/22/85-Estt. dated 26th June, 1989)

xii. After the receipt of the representation of charged officer on Inquiry Report, the case may be sent to CVC, wherever required, for their second stage advice, or to UPSC for their advice, as the case may be, within one month. (CVC's Circular No 000/VGL/18 dated 23rd May, 2000)

xiii. Penalty order should be issued within a month from the date of advice of UPSC. (DoP&T's DO No 134/2/85-AVD.I dated 2nd May, 1985)

xiv. The time-limits indicated above should be strictly adhered to. The CVO concerned would be directly responsible to adhere to these time limits.

2

xv. Each Ministry/Department may keep ready a panel of IO/PO from their retired government officers which may be used when no serving government servant is available for appointment of IO/PO. The services of IOs/POs who would be available on the panel maintained by CVC may also be utilized in consultation with CVC.

xvi. In some Departments a large number of oral inquiries are pending. In order to expedite completion of inquiries within a specified time limit, some officers on a full time basis may be earmarked by the concerned Department to act as IO/PO.

xvii. In order to ensure expeditious disposal of disciplinary proceedings, vide DoP&T's OM No.372/19/2011-AVD-III (Pt.1) dated 26.09.2011, the second stage consultation with CVC in disciplinary matters has been dispensed with except in those cases where consultation with UPSC is not required as per extant rules/instructions. This may be followed. Since there will be only one consultation after receipt of IO's report (either with CVC or the UPSC, as the case may be), it is expected that the new procedure would substantially reduce the time taken in finalizing disciplinary proceedings after receipt of the IO's report.

xviii. Wherever a Departmental officer is appointed as the IO in Departmental Proceedings, the officer concerned may be relieved from his normal duties for a period up to 20 days in two spells during which he should complete the inquiry and submit the report. During this period so allowed, he will attend to the inquiry on full time basis. These time spells may depend on the need and the feasibility of conducting full-time hearings on a day to day basis. (DoP&T's OM No.142/5/2003-AVD.I dated 6th April, 2004)

xix. For effective monitoring of the disciplinary proceedings cases, the Vigilance set up must be strengthened in every Ministry/Department. Instructions issued vide DOPT OM No. 372/19/2011-AVD-III (Pt.1) dated 26.09.2011 are hereby reiterated. All Ministries/Departments are requested to take appropriate action in the matter.

All the Ministries/Departments are requested to follow the above guidelines in letter and spirit so that disciplinary proceedings are concluded expeditiously.

(Amarjit Singh)
Deputy Secretary to the Govt. of India

To,

1. Secretary, all Ministry/Department (As per standard list)

Copy to:

1. Secretary, Central Vigilance Commission, New Delhi.
2. Prime Minister's Office, South Block, New Delhi.
3. Cabinet Secretariat, Rashtrapati Bhawan, New Delhi.
4. NIC, DoP&T for uploading on the website of the Department.

3

372/3/2007-AVD-III (Vol. 10)
Government of India
Ministry of Personnel, Public Grievances & Pensions
Department of Personnel & Training

***

North Block, New Delhi
Dated: 14th October, 2013

Office Memorandum

Subject: Recommendations of the Committee of Experts on Disciplinary & Vigilance Inquiries (Hota Committee) - Para 48 of the Committee's Report on conclusion of major penalty proceedings within a period of 18 months - Acceptance by Government – reg.

***

The undersigned is directed to say that the Government had appointed a Committee of Experts to review the procedure for Disciplinary/Vigilance Inquiries and recommend measures for their expeditious disposal. The Committee comprised the following:

(i)	Shri P.C. Hota, Former Chairman, UPSC	----- Chairman
(ii)	Shri Arvind Varma, Former Secretary, DoPT	----- Member
(iii)	Shri P. Shankar, former CVC	----- Member.

2. The Expert Committee has, in para 48 of its Report, made the following recommendation:-

"48. For major penalty inquiries as envisaged in Article 311(2) of the Constitution, where the Inquiry Officer has to do a detailed inquiry into the Articles of Charge by examination of witnesses both of the Presenting Officer and of the delinquent Government Servant and where relevant documents have to be examined/exhibited for a just decision in the case, the maximum time could be twelve months from the date of service of the Articles of Charge before the case records are referred to the UPSC for advice under Article 320(3)(c) of the Constitution. Hopefully, if the UPSC takes a maximum period of five to six months to give its considered advice, the Disciplinary Inquiry for a major penalty can be concluded within a maximum period of eighteen months from the date of service of Articles of Charge on the delinquent Government Servant till the date of the final order by the Disciplinary Authority, after consultation with the UPSC. (Elsewhere in this Report, we have recommended that the CVC's second stage advice may be dispensed with because of reasons mentioned by us. We would like to leave it to the best judgment of the UPSC to devise methods for reducing the time taken by it in rendering its advice under Article 320(3) (c) of the Constitution.)".

3. The aforesaid recommendation of the Hota Committee was considered by a Committee of Secretaries (CoS) under the chairmanship of Cabinet Secretary. The CoS has, inter alia, taken note of the fact that, vide DoPT's O.M.No.372/19/2011-AVD-III(Pt.I) dated 26th September, 2011, the second stage consultation with the Central Vigilance Commission has already been dispensed with and that it is only in cases where consultation with UPSC is not required as per extant rules/instructions, the second stage consultation with CVC is now necessary. The CoS also took note of the fact that the introduction of a single window system in the UPSC to accept files regarding major penalty proceedings has led to considerable

- 2 -

reduction in time taken to conclude major penalty proceedings. The CoS has accordingly recommended that the recommendation of the Hota Committee in para 48 of its report as referred to above may be accepted. The recommendation has accordingly been accepted by the Government and it has been decided that all Ministries/Departments shall ensure that all major penalty proceedings against government servants under their control are completed and final orders are passed by the concerned Disciplinary Authority within 18 months from the date of delivery of charge-sheet on the delinquent government servant.

4. The above decision of the Government is brought to the notice of all Ministries/Departments for strict compliance.

(V.M. Rathnam)
Deputy Secretary to the Govt. of India
Tel: 23094637

All Ministries/Departments of the Government of India

Copy to Sr. Tech. Director, NIC, DoPT for uploading on the website of DoPT.

No.DOPT-1668597747466
Government of India
Ministry of Personnel, Public Grievances & Pensions
Department of Personnel and Training
AVD(AVD-I/C-I)
******

North Block, New Delhi
Dated 16 November, 2022

OFFICE MEMORANDUM

Subject:- Grant of Honorarium to Inquiry Officers / Presenting Officers in the departmental inquiries conducted by the Ministries / Departments - reg.

The undersigned is directed to refer to the subject mentioned above and to say that the rates of honorarium payable to Inquiry Officer (IO) / Presenting Officer (PO) in the case of departmental inquiries were last revised vide O.M No.142/15/2010-AVD.I dated 31st July, 2012 in the case of serving Government Servants functioning as part time IO/PO and vide O.M No.142/40/2015-AVD.I dated 15th September, 2017 in the case of retired Govt. Servants functioning as IO.

2. The existing rates of honorarium as prescribed in the aforesaid OMs were reviewed in consultation with Department of Expenditure and it has been decided to revise the existing rates of the honorarium payable to IO/PO.

3. Accordingly, these consolidated guidelines are being issued in supersession of DoPT's OM's dated 31.07.2012 and 15.09.2017.

4. The rates of honorarium as revised are indicated in the table below-

a. The rates of honorarium payable to the Inquiry Officer:

(i) Retired officers;

Items	Category		Rate per case (in rupees)
Honorarium	I	Where number of witnesses cited in the charge sheet is more than 10	An amount equal to 90% of the monthly basic pension drawn.
	II	Where number of witnesses cited in the charge sheet are between 6-10	An amount equal to 70% of the monthly basic pension drawn.
	III	where number of witnesses cited in the charge sheet is less than 6	An amount equal to 50% of the monthly basic pension drawn.
Transport Allowance		Rs. 40,000/- per case Subject to the condition that the for outstation journey, the actual expenses for air travel / railways journey will be reimbursed in addition as per their entitled class at the time of their retirement (further subject to the approval of the competent authority and in compliance of the instructions issued by DoPT/DoE from time to time for air travel regarding booking of air tickets through authorized agencies and cheapest available fare).	
Daily Allowance		Same as the officer was entitled to immediately prior to retirement.	
Secretarial Assistance	I	where the number of witnesses cited in the charge sheet is more than 10	Rs. 40,000/-
	II	where the number of witnesses cited in the charge sheet are between 6-10	Rs. 30,000/-
	III	where the number of witnesses cited in the charge sheet is less than 6	Rs. 20,000/-

(ii) Serving officers;

Rate per case (in rupees)
An amount equal to 15% of the monthly basic pay drawn.

(iii) In case of common disciplinary proceedings, an additional amount of honorarium of Rs. 5000 will be payable to Inquiry Officer (both retired and serving) for every additional charged officer.

(B) The rates of honorarium payable to the Presenting Officer:

Rate per case (in rupees)
An amount equal to 10% of the monthly basic pay drawn.

5. The revised structure of rates of honorarium and allowances as indicated above are intended to be made applicable to Departmental Proceedings including Inquiry proceedings undertaken by the committee on Sexual Harassment, by Ministries / Departments in respect of officials / officers serving under different cadres of services under their administrative control. However, in case a cadre of a service or organizations such as autonomous bodies have a separate set of rules and instructions for regulating honorarium to IO / PO in existence, they may choose to continue with their own set of instructions. Fully or partially funded autonomous bodies may retain their own provisions so long as they are not more beneficial than what has been proposed in this O.M.

6. The grant of Honorarium in the case of serving Government servants who are appointed as part time Inquiry Officer/ Presenting Officer and retired Government servants appointed as Inquiry Officers will be subject to the following conditions:

i. The honorarium will normally be regulated under the financial powers delegated to the Ministries/Departments and taking into account the quantum of work involves in individual disciplinary cases.

ii. In the case where serving officers are appointed as IO/PO, the controlling department or the administrative department should make all efforts to relieve the IO/PO of his normal duties to enable him/her to complete the proceedings expeditiously.

7. Before the payment is received by the Inquiry Officer/Presenting Officer, whether serving or retired, it will be the responsibility of IO/PO to ensure that:

a. All case records and inquiry report (two ink signed copies) properly documented and arranged is handed over to the office of Disciplinary Authority.

b. The report returns findings on each of the Articles of Charge which has been enquired into should specifically deal and address each of the procedural objections, if any, raised by the charged officers as per the extant rules and instructions.

c. There should not be any ambiguity in the inquiry report and therefore every care should be taken to ensure that all procedures for conducting departmental inquiries have been followed in accordance with the relevant rules/instructions of disciplinary and appeal Rules to which the delinquent Government officials are governed.

8. Terms and conditions for appointment of Inquiry Officer: The designated Inquiry Officer shall be required to give an undertaking as follows:

i. that he/she is not a witness or a complainant in the matter to be inquired into or a close relative or a known friend of the delinquent Government officer. A certificate to this effect will be obtained from the Inquiry Officer with respect to every inquiry and placed on record;

ii. shall maintain strict secrecy in relation to the documents he/she receives or information/data collected by him/her in connection with the inquiry and utilize the same only for the purpose of inquiry in the case entrusted to him/her.

9. No such documents/information or data shall be divulged to anyone during the Inquiry or after presentation of the Inquiry Report. All the records, reports etc. available with the Inquiry Officer shall be duly returned to the authority which appointed him/her as such, at the time of presentation of the Inquiry Report.

10. The Inquiry Officer shall conduct the inquiry proceedings at a location taking into account the availability of records, station/place where the misconduct occurred as well as the convenience of the witnesses/ PO etc. Video Conferencing should be utilized to the maximum extent possible to minimize travel undertaken by the IO/PO/CO. The cadre controlling authorities will facilitate necessary arrangements for the Video Conferencing.

11. The Inquiry Officer shall undertake travel for conducting inquiry (in unavoidable circumstances) with the approval of an authority as may be nominated by the concerned Ministry/Department.

12. The Inquiry Officer shall submit the inquiry report after completing the inquiry within 180 days from the date of his/her appointment as the Inquiry Officer. Extension of time beyond 180 days can be granted only by the Authority as may be prescribed.

13. Letter regarding engaging a retired officer as the Inquiry Officer will only be issued with the approval of the Disciplinary Authority of the Ministry/Department/ Office concerned.

14. Any issue arising out of this O.M. between the Inquiring Officer and the Disciplinary Authority will be decided by the Secretary, DoPT whose decision shall be final and binding on both parties.

15. These instructions will be applicable prospectively for processing the Bill submitted by the IOs / POs.

16. All the Ministries/Departments are requested to bring these instructions to the notice of all concerned under their control.

17. This issues with the concurrence of Department of Expenditure, Ministry of Finance vide their I. D. Note No. 14/4/2009-E.II(B) dated 25/10/2022.

(Sign of Authority)
Rupesh Kumar
Under Secretary to the Govt. of India
23094799

To,

i. All Ministries/Departments of the Govt. of India.

ii. Department of Financial Services, Ministry of Finance, Jeevan Deep Building, Parliament Street, New Delhi.

iii. Department of Public Enterprises, CGO Complex, Lodhi Road, New Delhi.

iv. Railway Board, Rail Bhavan, Delhi.

v. Union Public Service Commission/Supreme Court of India/ Election Commission of India/ Lok Sabha Secretariat/ Rajya Sabha Secretariat/Cabinet Secretariat/Central Vigilance Commission/President's Secretariat/ Prime Minister's Office/Planning Commission.

vi. Staff Selection Commission, CGO Complex, Lodi Road, New Delhi.

vii. Office of the Chief Commissioner for Disabilities, Sarojini House, 6, Bhagwan Das Road, New Delhi.

viii. Office of the Comptroller & Auditor General of India, 10, Bahadur Shah Zafar Marg, New Delhi.

ix. All Officers and Sections in the Ministry of Personnel, Public Grievances and Pensions and all attached/subordinate offices of this Ministry.

Reference:

1. DoPT's O. M. No. 142/15/2010-AVD.I dated 31st July, 2012
2. DoPT's O. M. No. 142/40/2015-AVD.I dated 15th September, 2017

Est-B/UPSC/general notes

MOST IMMEDIATE

No. 39011/1/2011-Estt.(B)
Government of India
Ministry of Personnel, Public Grievances and Pensions
(Department of Personnel & Training)
...

New Delhi, 10th May, 2011

OFFICE MEMORANDUM

Subject:- Departmental proceedings against Government servants – consultation with the Union Public Service Commission for advice.

*****

The undersigned is directed to say that this Department has been impressing upon various Ministries/Departments to complete the disciplinary proceedings by minimizing avoidable delays. In para 3.11.10 of the 4th report of the 2nd ARC titled "Ethics in governance", it has been observed from a sample study that the Administrative Departments take more than 2/3rd of the time taken to process the case under the CCS(CCA) Rules. In the sample study, the Inquiry Officers were found to be taking about 17% of the time and the UPSC about 5% of the time to conclude their findings. This Department has issued OM No.39011/12/2009-Estt.(B) dated 14.8.2010 reiterating that the requisite details in the proforma to be sent to the UPSC are properly filled up and sent with the relevant documents so that there does not arise occasion for the UPSC to make a back reference to the Ministries/Departments for the deficiencies found by the Commission in the papers sent to them.

2. The UPSC has brought to the notice of this Department that during the year 2010-11 the Commission had to return the case to the concerned Departments in more than 40% of the cases on account of procedural/documentary deficiencies. A list of the common deficiencies observed by the Commission in these cases are given in the Annexure. All Ministries/Departments are requested to ensure that the deficiencies indicated in the Annexure are not repeated in the proposals being sent to the UPSC for seeking its advice on disciplinary matters.

3. Attention of Ministries/Departments is also drawn to this Department's OM No.39011/12/2009-Estt.(B) dated 18.11.2010 wherein it has been requested that in cases where the Courts are being apprised of the time taken in finalizing a disciplinary proceeding through affidavit, information in regard to the pendency of the matter before the UPSC may be correctly projected. The average time taken by the Commission in tendering advice in disciplinary proceedings is about 4 to 5 months. The Commission tender its advice in about 3 months in those cases where priority is attached due to direction of Court. In such cases, in order to expedite scrutiny of the cases a single window system on pilot basis had been introduced in the UPSC from September 2010 and initially 9 Ministries/Departments were included in the single window system. The Commission has now decided to extend the single window system to all other Ministries/Departments whose offices are situated in Delhi for submission of disciplinary cases involving court cases. Under

[illegible]

..2..

this system, a Ministry/Department while referring the disciplinary cases to the Commission for advice, is required to authorize a representative, not below the level of Under Secretary, to hand over the case to the designated officer in the UPSC, with prior appointment. The cases received from a Ministry/Department are initially scrutinized on the spot, in terms of information sought in the Proforma check list issued by this Department. Only cases which are complete as per the check list are accepted by the Commission for further scrutiny and examination. Incomplete cases are returned at the counter itself after pointing out the deficiencies. In UPSC, the case records are to be handed over to the Under Secretary(S-1) (Tel No.23387346/23098591-Ext.4342) in Room No.10-A located in the Annexe Building of the Commission. The case records should explicitly indicate the status of the CAT/Court cases, the fact regarding the time limit for disposal of the case if any and extension sought for providing at least 3-4 months of time to the Commission for disposal of the case.

4. All Ministries/Departments are requested to adhere to the above procedure for submission of disciplinary cases involving Court cases to the Commission through single window system.

(C.A. Subramanian)
Director

To

All Ministries/Departments of Government of India.

Copy to:-

1. President Secretariat/Vice-President's Secretariat/Prime Minister's Office/ Rajya Sabha and Lok-Sabha Secretariat/CVC/CIC/C&AG/CAT(Principal Bench).

2. All officers/Sections in the Ministry of Personnel, Public Grievances and Pensions and all attached/subordinate offices of the Ministry.

3. UPSC, New Delhi.

4. NIC, DOPT, North Block for up-dating of the OM in DOPT website.

(C.A. Subramanian)
Director

[illegible]

ANNEXURE to OM No. [illegible]/2011-Estt.(B) dated 10th May, 2011

(i) The documents indicated in proforma/checklist not duly referenced with page number, folder name etc.

(ii) Vague comments/information e.g. '---' or 'no' in the proforma were mentioned.

(iii) The documents were not original or duly authenticated.

(iv) Photocopies were signed in black ink.

(v) The exhibits and other documents were not legible.

(vi) Documents in regional language-
 (a) Translation not provided.
 (b) Translation unauthenticated.

(vii) In case of retired CO, the information like last pay drawn, monthly pension and gratuity were not provided. No specific information provided whether pension and/or gratuity is withheld or released.

(viii) Para-wise comments of the DA on the representation of the CO on IO Report were not part of the record.

(ix) Daily Order Sheets were not available for all the dates of hearing.

(x) In minor penalty cases, the Relied Upon Documents (RUDs) referred in the statement of imputation were not forwarded and not properly referenced.

(xi) The column related to general examination of the CO did not clearly indicate the reference of related papers.

(xii) In case of disagreement of DA with IO Report, a tentative note of disagreement was not forwarded to the CO.

(xiii) The para-wise comments of the DA did not address the points raised by the CO in his reply.

(xiv) In case of pension cut proposals, the approval of President was not taken. The approval of the President in all pension cut cases is mandatory.

(xv) The DA in a large number of cases, expresses opinion regarding the quantum of penalty or amount of pension cut to be imposed on the CO.

(xvi) Procedure of prescribed Complaints Committee on Sexual Harassment were not followed.

सत्यमेव जयते

केन्द्रीय सतर्कता आयोग
CENTRAL VIGILANCE COMMISSION

सतर्कता भवन, जी.पी.ओ. कॉम्पलेक्स,
ब्लॉक–ए, आई.एन.ए., नई दिल्ली–110023
Satarkta Bhawan, G.P.O. Complex,
Block A, INA, New Delhi-10023

सं. / No. 021/MSC/015

दिनांक / Dated 05.12.2022

Circular No. 27/12/2022

Subject: Grant of Honorarium to Inquiry Officers/Presenting Officers in the departmental inquiries-reg.

Attention is invited to Department of Personnel & Training's Office Memorandum No. DoPT-1668597747466 dated 16.11.2022 on the aforementioned subject.

2. DoPT, in supersession of all its earlier guidelines, have issued revised structures of rates of honorarium payable to Inquiry Officers and Presenting Officers in departmental inquiries conducted against employees of Central Govt. Ministries/Departments/Organizations. DoPT's guidelines are applicable to serving/retired public servants, working as IO/PO.

3. At the time of issuance of appointment orders for IO/PO for conducting departmental inquiries, the authorities concerned in the respective organizations may fix the honorarium, keeping in view the structure of rates, as mentioned in DoPT's O.M. dated 16.11.2022, after following due process. The same may also be communicated to the IOs/Pos along with their appointment orders as IO/PO.

Contd....

4. A copy of DoPT's Office Memorandum no. DoPT-1668597747466 dated 16.11.2022 is enclosed. Chief Executives and CVOs may bring the same to the notice of all authorities/officers concerned, in their respective organizations.

(Rajiv Verma)
Director

Encl:- As Above.

To

(i) The Secretaries of all Ministries/Departments of GoI
(ii) All Chief Executives of CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(iii) All CVOs of Ministries/Departments of GoI/CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(iv) Website of CVC

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Satarkta Bhawan, G.P.O. Complex,
Block A, INA, New Delhi-10023,

सं./ No. 000/VGL/018/19009

दिनांक / Dated 13.02.2024

Circular No. 02/02/24

Subject:- **Timely finalization of Departmental Inquiry Proceedings - improving vigilance administration.**

Reference: -

(i) Commission's Circular No. 8(1)(g)/99(2)	**dated 19.02.1999**
(ii) Commission's Circular No. 8(1)(g)/99(3)	**dated 03.03.1999**
(iii) Commission's Circular No. 3(v)/99(7)	**dated 06.09.1999**
(iv) Commission's Circular No. 000/VGL/18	**dated 23.05.2000**
(v) Commission's Office Order No. 51/08/2004	**dated 10.08.2004**
(vi) Commission's Circular No. 02/01/2016	**dated 18.01.2016**
(vii) Commission's Circular No. 18/12/20	**dated 14.12.2020**
(viii) Commission's Circular No. 19/09/21	**dated 06.10.2021**
(ix) Commission's Circular No. 21/12/21	**dated 03.12.2021**

As part of overall superintendence over vigilance administration of organizations covered under its advisory jurisdiction, the Central Vigilance Commission has been emphasizing on timely completion of all stages of vigilance cases and disciplinary proceedings. The Commission has also issued guidelines about specific timelines to be observed for conducting departmental proceedings, so that cases can be brought to logical conclusion in a time bound manner.

2. A time limit of 6 months has been prescribed for the Inquiry Officer (IO) to complete the inquiry and submit report to the Competent Authority. However, it has been observed that in a substantial number of cases, completion of inquiry and submission of inquiry report is taking more than 6 months' period. One of the reasons contributing to such delay is due to frequent change of IO as a result of transfer, promotion, retirement etc. of the earlier IO.

3. The Commission has desired that in order to ensure timely completion of departmental inquiry, the same IO should continue to conduct inquiry, even after his transfer or promotion, till the inquiry report is submitted by him. In case of transfer of

IO to a new station, either his transfer orders may be given effect after submission of Inquiry Report or digital mode / video conferencing may be used for conducting / continuing with the departmental inquiry. It may be noted that DoPT, vide their OM No. 142/40/2015-AVD.I dated 15.09.2017 & OM No. 11012/03/2020-Estt.A-III dated 05.08.2020 have issued guidelines for maximizing the use of Video Conference facility for conducting departmental inquiry. However, in case of unavoidable circumstances, the IO may be allowed to visit earlier station for conducting ongoing inquiry / inquiries.

4. Further, it may also be ensured that a person who is due to retire shortly (may be within a period of one year), is not appointed as IO. In case the departmental inquiry gets delayed due to any reason and the IO retires before submission of inquiry report, he may be considered for continuing as IO even after his retirement, subject to his willingness and other conditions applicable to appointment of retired officials as IOs. It may be kept in view that DoPT, vide their OM No. 142/40/2015-AVD.I dated 15.09.2017 and OM No. 1668597747466 dated 16.11.2022 have issued guidelines for appointment of a retired person as IO and for payment of honorarium to such IOs.

5. The above guidelines may be noted for compliance with immediate effect.

(Rajiv Verma)
Director

To

(i) The Secretaries of all Ministries/Departments of GoI
(ii) All Chief Executives of CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(iii) All CVOs of Ministries/Departments of GoI/CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(iv) Website of CVC

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CENTRAL VIGILANCE COMMISSION

सतर्कता भवन, जी.पी.ओ. कॉम्पलैक्स,
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Satarkta Bhawan, G.P.O. Complex,
Block A, INA, New Delhi-10023

सं / No. 022/VGL/045

दिनांक / Dated 01.09.2022

Circular No. 18/09/22

Subject: Clarification regarding the enquiry/investigation to be conducted against officers on deputation.

Central Vigilance Commission, vide Para 5.6 of Chapter-V of Vigilance Manual – 2021 has prescribed the procedure for handling complaints/allegations against officers on deputation to other organizations.

2. As per procedure laid down in Para 5.6, in case of allegation of misconduct in the borrowing organisation, against an officer who was on deputation to that organisation and has since repatriated to his parent organisation, the same is to be enquired into by the CVO of the borrowing organisation.

3. However, it has come to the notice of the Commission that some organisations are under the impression that in case the borrowed officer has gone back to his parent organisation, then the allegation of misconduct is to be forwarded to the parent organisation for enquiry by the CVO of the parent organisation.

4. It is clarified that in case of receipt of any complaint/allegation of misconduct against an officer borrowed from another organisation (and since repatriated to the parent organisation), the same should be enquired into by the CVO of the borrowing organisation and after the enquiry, the facts should be brought to the notice of the parent organisation.

5. In order to bring clarity, the part of Para 5.6 "If a misconduct is detected in the borrowing Department/Organization on the part of an officer after his repatriation to his parent Department/Organization, the then borrowing Department/Organization should bring the fact of the matter to the notice of the parent Department/Organization which will decide the further course of action" stands modified to the above extent and may be read as under:

"If a misconduct is detected in the borrowing Department/Organization on the part of an officer after his repatriation to his parent Department/Organization, then ***the*** borrowing Department/Organization should bring the fact of the matter, ***after due enquiry by the CVO,*** to the notice of the parent Department/Organization which will decide the further course of action".

6. Other part of Para 5.6 of Chapter-V of Vigilance Manual - 2021 remains unchanged.

It may be noted for future compliance.

(Rajiv Verma)
Director

To

(i) The Secretaries of all Ministries/Departments of GoI
(ii) All Chief Executives of CPSUs/Public Sector Banks/Public Sector Insurance Companies/ Public Sector Financial Institutes/ Autonomous Bodies etc.
(iii) All CVOs of Ministries/Departments of GoI/CPSUs/Public Sector Banks/Public Sector Insurance Companies/Public Sector Financial Institutes/Autonomous Bodies etc.
(iv) Website of CVC.

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Block A, INA, New Delhi-110023

सं./No. 000/VGL/018/507722

दिनांक / Dated 21.03.2022

Circular No.11/03/22

Sub:- Implementation of final penalty orders issued by the Competent Authority and submission of compliance report – reg.

As per the mandate given in Section 8(1) of the CVC Act, 2003, the Central Vigilance Commission tenders advice in vigilance matters to the Organizations concerned, in respect of the officers covered under Commission's jurisdiction.

2. After completion of Departmental Proceedings, final orders are issued against the Charged Officer(CO) by the Competent Authority, imposing an appropriate penalty on him, if the charges against the CO are found to be proved. The Commission and the CVO are also informed about issuance of final orders. However, it has come to the notice of the Commission that there have been instances where even after issuance of the final orders imposing the penalty, the orders are not implemented in reality, thus making the whole process of disciplinary proceeding infructuous.

3. The Commission has, therefore, decided that in order to ensure end to end action, the Chief Vigilance Officers of the organisations concerned should confirm about implementation of the final Penalty Orders issued in respect of each Charged Officer, who were found guilty, against whom advice for departmental action was tendered by the Commission.

4. A compliance report in this regard, for the calendar years 2020 and 2021, should be forwarded to the Commission latest by 30.06.2022. In continuation, the Chief Vigilance Officers of respective organisations should also submit an Annual Compliance Report about implementation of final Penalty Orders in respect of each such charged officer, latest by 30th June of every year, for the previous calendar year.

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-2-

5. A draft format of the report/statement (to be duly signed by the CVO concerned) is also enclosed as Annexure I.

6. It may be noted for strict compliance in future.

(Rajiv Verma)
Director

To

(i) All Secretaries of Ministries/Departments of GOI
(ii) All Chief Executives of CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(iii) All CVOs
(iv) Website of CVC

Annexure-I

Name of Organisation: ____________________________

Period: ____

This is to certify that penalty imposed on the Charged Officers during the aforementioned period, on the basis of advice tendered by the Central Vigilance Commission, has been implemented by the authorities concerned.

Signature and Name of CVO.

Telegraphic Address :
"SATARKTA: New Delhi

E-Mail Address
cenvigil@nic.in

Website
www.cvc.nic.in

EPABX
011-24600200

फैक्स / Fax :
011-24651186

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केन्द्रीय सतर्कता आयोग
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Satarkta Bhawan, G.P.O. Complex,
Block A, INA, New Delhi-110023

सं./No. 022/VGL/041-520101

दिनांक / Dated 29.07.2022

Circular No. 15/07/22

Sub:- Intimation to CVC & CBI in cases pending for sanction for prosecution – reg.

The Central Vigilance Commission, as the apex integrity institution, is mandated to fight corruption and to ensure integrity in administration. Section 8(1)(f) of CVC Act, 2003, mandates the Central Vigilance Commission to review the progress of the applications pending with the Competent Authorities for sanction of prosecution under the PC Act, 1988.

2. In terms of the directions of the Hon'ble Supreme Court in the case of Shri Vineet Narain, guidelines prescribed by the Department of Personnel & Training and the Commission, as well as the amendments made to Section 19 of the Prevention of Corruption Act, 1988, the competent authorities are required to take a decision on the requests for grant of sanction for prosecution within a period of three months. In respect of cases where any legal consultation is required, such period may, for reasons to be recorded in writing, be extended by a further period of one month.

3. It has been noticed that after the advice of the Commission, the Competent Authority concerned sometimes send the matter either to their Administrative Ministry or DoPT for final decision, without intimation to CVC or CBI. In order to keep the CVC and CBI informed of the stage in which the case is pending, all the Competent Authorities are required to mark a copy to CVC and CBI of their communications with DoPT/CVC/CBI/ Administrative Ministry on such cases.

4. All the Chief Vigilance Officers may bring this to the notice of the competent authorities concerned of their respective organisations accordingly.

(Vivek Kumar)
Director

(i) Secretary, D/o Personnel & Training
(ii) Director, CBI
(iii) All the Chief Vigilance Officers of Ministries/Department of GoI/CPSEs/PSBs/ PSICs/ FIs and Autonomous Bodies etc.
(iv) Website of CVC

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केन्द्रीय सतर्कता आयोग
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Satarkta Bhawan, G.P.O. Complex,
Block A, INA, New Delhi-10023

सं./No. 006/PRC/1

दिनांक / Dated 12.01.2022

Circular No. 03/01/22

Subject: Obtaining documents from CBI for the purpose of departmental inquiry proceedings- regarding

Reference: -

(i) Commission's Circular No. NZ/PRC/1 dated 26.2.2004
(ii) Commission's Circular No. 25/7/06 dated 06.07.2006
(ii) Commission's Circular No. 18/12/20 dated 14.12.2020
(vi) Commission's Circular No. 22/12/21 dated 08.12.2021

Central Vigilance Commission, as part of effective vigilance administration, gives due importance to timely finalization of inquiry proceedings.

2. However, it has come to notice that there have been occasions, when departmental inquiries are held up or slowed down due to non-availability of listed documents or delay in procuring/producing the same during the course of inquiry. One of the reasons stated for delay in producing documents during inquiry proceedings, is that in cases investigated by CBI, the original documents remain in the custody of CBI. In this regard attention is invited to Para (vi) of Commission's Circular No. 25/7/06 dated 06.07.2006, vide which it was directed that "*It should be ensured that the listed documents are obtained from the CBI before issuing the chargesheet and, where parallel proceedings are to be initiated, a set of listed documents, dully certified, is obtained from*

Contd…2…

-2-

the CBI". Further, in Para 6.9 (d) of Vigilance Manual 2021, it has been clarified that in respect of documents, which are taken in custody by CBI, *"the departmental authorities may keep attested copies of the records for meeting urgent departmental needs or for disposing of any action that may be pending on the part of the Department"*. Moreover, in para 6.9 (n) and 6.9 (o) of Vigilance Manual 2021, the procedure for obtaining documents from CBI, for the purpose of initiating departmental action has been clearly defined and enlisted. The Commission has directed that the above guidelines should be kept in mind for obtaining required documents from CBI, so that the inquiry proceedings do not suffer delay on this account.

3. The above guidelines may also be brought to the notice of all authorities concerned by the respective Chief Vigilance Officers.

4. It may be noted for strict compliance.

(Rajiv Verma)
Director

To
- (i) The Secretaries of all Ministries/Departments of GoI
- (ii) All Chief Executives of CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
- (iii) All CVOs of Ministries/Departments of GoI/CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
- (iv) Website of CVC

Telegraphic Address :
"SATARKTA: New Delhi

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cenvigil@nic.in

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फैक्स/Fax : 24651186

सत्यमेव जयते

केन्द्रीय सतर्कता आयोग
CENTRAL VIGILANCE COMMISSION

सतर्कता भवन, जी.पी.ओ. कॉम्पलैक्स,
ब्लॉक-ए, आई.एन.ए., नई दिल्ली-110023
Satarkta Bhawan, G.P.O. Complex,
Block A, INA, New Delhi 110023

सं./No........021-VGL-036........

दिनांक / Dated....23.06.2021..........

Circular No. 10/06/21

Subject:- Reporting of cases of deviations from the Central Vigilance Commission's advice-reg.

Reference:- **(i) DoPT's OM No. 118/2/78-AVD(I) dated 28.09.1978**
(ii) DoPT's OM No. 119/2/2019-AVD-III dated 02.09.2019

Central Vigilance Commission, in accordance with the provisions contained under Section 8(1) (g) of CVC Act, 2003, tenders advice to the organisation concerned on matters referred to it.

2. In respect of those cases where Commission's advice has been obtained by the organizations concerned, the competent authority is required to proceed further in the matter, in accordance with the advice tendered by the Commission. However, there are occasions when the Disciplinary Authority concerned takes a view which is different from the advice tendered by the Commission in a particular case. All cases of disagreement/deviation from the Commission's advice are presently reported by the Chief Vigilance Officers concerned in Para 5(C) of Quarterly Performance Report (QPR) being submitted online by the CVOs, under the head "Non-Acceptance/Deviation of CVC advice".

3. Department of Personnel and Training (DoPT), vide their O.M. dated 29.09.1978, reiterated vide O.M. dated 02.09.2019 (as referred to above) has issued guidelines, providing for consultation with DoPT regarding those cases where the authorities concerned propose to disagree with the advice of the Commission, in respect of officers for whom the appointing authority is the President. No such procedure has been defined in respect of Non-Presidential Appointees.

4. In respect of officers belonging to Ministry of Railways/Railway Board, separate instructions have been issued by DoPT, vide their O.M. No. 119/16/2014/AVD-III (Pt.) dated 05.02.2016, defining procedure for handling cases of disagreement/deviation from

Contd ..2...

Commission's advice. Later on, DoPT, vide their O.M. No. 23/34/2018-EO (ACC) dated 02.08.2019, constituted a committee to revisit the existing instructions relating to the settlement of cases of disagreement between Ministry of Railways/Railway Board and Central Vigilance Commission. The report of the committee is awaited. During the pendency of the report of the committee, a system of reporting of cases of disagreement/deviation from Commission's advice, to the Commission through the Chairman and CEO, Railway Board has been adopted by Ministry of Railways/Railway Board.

5. The Commission has directed that for the sake of uniformity, all such cases of disagreement/deviation from Commission's advice (in respect of Non-Presidential Appointees), which, presently are not being referred to DoPT by the authorities concerned, shall be reported by the CVOs of the Ministry/Department concerned to the Secretary of that Ministry/Department.

6. In respect of Central Public Sector Enterprises/Public Sector Banks/Insurance Companies/Financial Institutions and other organisations, such cases of disagreement/deviation from Commission's advice, in respect of Non-Presidential Appointees, shall be reported to the CVO of the administrative ministry/department concerned, through the Chief Executive of the organisation. The CVO of the administrative ministry shall put up all such cases to the Secretary of the administrative ministry/department concerned. A confirmation in this regard shall be sent to the Commission by the CVO of the administrative ministry/department.

7. All actions regarding reporting of cases of disagreement/deviation from Commission's advice in respect of Non-Presidential Appointees, to the Secretary of the administrative ministry/department should be completed within a period of two months from the date of issue of orders by the Disciplinary Authority concerned.

8. The above instructions may be noted for strict compliance.

(Rajiv Verma)
Officer on Special Duty

To
- (i) The Secretaries of all Ministries/Departments of GoI
- (ii) All Chief Executives of CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
- (iii) All CVOs of Ministries/Departments of GoI/CPSUs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
- (iv) Website of CVC
- (v) The Secretary, DoPT, with reference to Para (4), to request to inform the status of the report of the Committee.

Telegraphic Address :
"SATARKTA: New Delhi

E-Mail Address
cenvigil@nic.in

Website
www.cvc.nic.in

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24600200

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सं./No. No.020-VGL-045

दिनांक / Dated 18.06.2021

Circular No. 08/06/21

Subject:- Procedure for handling references received from Lokpal of India.

Under the provisions contained in Lokpal and Lokayuktas Act, 2013, Lokpal of India has the mandate to inquire into allegations of corruption against certain public functionaries and for matters connected with them.

2. As per provisions contained under Section 20 (1) (b) of the Lokpal and Lokayuktas Act, 2013, complaints in respect of public servants belonging to Group A, B, C or D are referred by Lokpal to Central Vigilance Commission for preliminary inquiry. The Commission forwards such references to the Chief Vigilance Officers concerned for preliminary inquiry and report.

3. It may be noted that as per provisions contained under Section 20(2) of the Lokpal and Lokayuktas Act, 2013, a report is to be submitted within a period of sixty days and for reasons to be recorded in writing, within a further period of sixty days from the date of receipt of the complaint.

4. The Commission has directed that the Chief Vigilance Officers should ensure that the investigating officer, who is entrusted with preliminary inquiry of any Lokpal referred complaint, should have an uninterrupted tenure of minimum of 04 months in Vigilance Units/Organization concerned in order to ensure continuity and timely completion of such complaints.

5. The above instructions may be noted for strict compliance.

(Rajiv Verma)
Officer on Special Duty

To

(i) All CVOs of Ministries/Departments of GoI/CPSEs/Public Sector Banks/Public Sector Insurance Companies/Autonomous Bodies etc.
(ii) Website of CVC

Telegraphic Address :
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Block A, INA, New Delhi-110023

सं./No. 020/MSC/028

दिनांक / Dated 22.12.2020

Circular No. 19/12/20

Subject: **Judgement dated 28.03.2018 in Criminal Appeal No. 1375-1376 of 2013 passed by Supreme Court of India.**

Ministry of Law and Justice vide their Office Memorandum No. N-17/10/2018-NM dated 13.06.2018 have brought to notice, the judgement dated 28.03.2018 of the Hon'ble Supreme Court in the above cited Criminal Appeal. Copy of O.M. dated 13.06.18 of Ministry of Law and Justice is enclosed.

2. As pointed out by Ministry of Law and Justice, in the judgement dated 28.03.2018, Hon'ble Supreme Court had ordered for limiting the period of stay granted by a court of law to six months, except in exceptional circumstances. The Commission has desired that the orders dated 28.03.2018 may be kept in view, while handling/examining court matters in the organisations. In respect of those court cases, where stay was granted by a trial court more than six months ago and also in cases based on CBI's investigation, which have been kept in abeyance due to court's orders, the issues may be examined in the light of the aforementioned judgement of the Hon'ble Supreme Court. Appropriate and immediate steps may also be taken, in consultation with the organization's counsels/Legal Branch to ensure that the stay, if granted by a court of law, is vacated within six months' period and court proceedings are commenced.

3. The above position may also be brought to the notice of the Chief Executive and Legal Branches of the organisations concerned for keeping the Supreme Court's orders in view, while handling Legal/ Court matters.

4. Complete judgement of the Hon'ble Supreme Court may be accessed from the Supreme Court's website through the link https://sci.gov.in/supremecourt/2011/27580/27580_Judgement_28-Mar-2018.pdf.

5. It may be noted for compliance with immediate effect.

(Rajiv Verma)
Officer on Special Duty

All Chief Vigilance Officers

Encls: As above.

File No. N-17/10/2018-NM
Government of India
Ministry of Law and Justice
Department of Justice

Jaisalmer House
26, Mansingh Road, New Delhi-110011
Dated: the 13th June, 2018

OFFICE MEMORANDUM

Subject: Judgement dated 28.03.2018 in Criminal Appeal No. 1375-1376 of 2013 passed by Hon'ble Supreme Court of India.

Sir,

This Department has received a copy of Judgement dated 28.03.2018 in Criminal Appeal No. 1375-1376 of 2013 passed by Hon'ble Supreme Court of India, through the Office of Hon'ble Prime Minister for forwarding to all concerned.

The implication of the aforesaid judgment is that where any action by a development agency or an enforcement agency, as the case may be, was stayed by a court of law, the same shall stand vacated automatically at the expiry of 6 months from the date of the order i.e. 28.03.2018, unless the same is extended by a speaking order. Further, the judgment casts a responsibility on the court granting stay that the speaking order must show that the case was of such exceptional nature that continuing the stay was more important than having the trial finalized. Also, in such cases where the stay is extended, the trial court has been directed to fix a date not beyond six months of the order of stay so that on expiry of period of stay, proceedings can commence.

The judgment of Hon'ble Supreme Court can be accessed at https://sci.gov.in/supremecourt/2011/27580/27580_Judgement_28-Mar-2018.pdf.

(Giridhar C Pai)
Director
Ph. 23072145

Secretary
Department of Atomic Energy
Anushakti Bhavan, Chhatrapathi Shivaji
Maharaj Marg, Mumbai – 400001

Copy to :- Under Secretary (JI), Department of Justice for uploading on portal w.r.t PMO ID No. 4877311/PMO/2018 Pol dated 24.04.2018.

Integrity Pledge for Organizations

We believe that corruption has been one of the major obstacles to economic, political and social progress of our country.

We believe that all stakeholders such as Government, citizens and private sector need to work together to eradicate corruption.

We acknowledge our responsibility to lead by example and the need to put in place safeguards, integrity frameworks and code of ethics to ensure that we are not part of any corrupt practice and we tackle instances of corruption with utmost strictness.

We realize that as an Organization, we need to lead from the front in eradicating corruption and in maintaining highest standards of integrity, transparency and good governance in all aspects of our operations.

We, therefore, pledge that :

- We shall promote ethical business practices and foster a culture of honesty and integrity;
- We shall not offer or accept bribes;
- We commit to good corporate governance based on transparency, accountability and fairness;
- We shall adhere to relevant laws, rules and compliance mechanisms in the conduct of business;
- We shall adopt a code of ethics for all our employees;
- We shall sensitize our employees of laws, regulations, etc. relevant to their work for honest discharge of their duties;
- We shall provide grievance redressal and Whistle Blower mechanism for reporting grievances and fraudulent activities;
- We shall protect the rights and interests of stakeholders and the society at large.

Vigilance Department

Syama Prasad Mookerjee Port, Kolkata

6, Fairlie Warehouse Building (Ground floor)

Strand Road, Kolkata - 700 001