



# Deendayal Port Trust **TRANSPARENCY PLAN**



- 1) Transparency by placing all relevant information on website**
- 2) Transparent System aiming at Minimum Discretion**
- 3) Independent External Scrutiny**
- 4) Stakeholders Interaction**
- 5) Accessibility of Management to Public**
- 6) Transparency Acts/ Policies**
- 7) Transparency in Receipts & Payments**
- 8) Grievance/ Complaint Redressal & Feedback Mechanism**
- 9) Minimization of Discretion through Computerization**
- 10) Vigilance Action**
- 11) Changing Minds Programme**
- 12) Transparent Policies in HR**
- 13) Transparent Policy for Land Allotment & Management**
- 14) Employees' Grievances Redressal System**
- 15) Incentivization of Integrity**
- 16) Capacity Building**
- 17) Monitoring by the Senior Management**
- 18) Evolving Organisation**

**1) Transparency by placing all relevant information on website:**

Board Decisions, Citizen Charter, Regulations, Procedures, All Circulars, All Tenders are displayed on Deendayl Port's Website

## **2) Transparent System with Minimum Discretion:**

- i) Systemic Improvements in Tender Processes for Transparency ([Annexure](#))
- ii) Tender Manuals
- iii) Vigilance Compendium
- iv) Responsibility Authority Matrix
- v) Site Inspection by Dy. Chairman (contracts above Rs.1crore)
- vi) Citizen's Charter
- vii) Internal Audit

### **3) Independent External Scrutiny:**

- i) Integrity Pact
- ii) Integrity Index
- iii) CAG Audit
- iv) General Finance Rules
- v) Third Party Monitoring (above Rs. 5 crore for Civil and Rs. 50 Lakhs for Mechanical/ Electrical Works)
- vi) Variation Committee
- vii) External Performance Audit under ISO

#### **4) Stakeholders Interaction:**

- i) Transparency Workshops with Stakeholders
- ii) Grievance redressal meetings with Associations
- iii) Technical Issues Workshops with Stakeholders

#### **5) Accessibility of Management to Public:**

- i) Walk in grievance handling at fixed times
- ii) Interaction through Social Media (Twitter/Facebook)
- iii) Two Officers appointed for Pensioners' grievances

## **6) Transparency Acts/ Policies:**

- i) Right to Information Act
- ii) Whistleblower Policy
- iii) Citizen Charter

## **7) Transparency in Receipts & Payments:**

- i) E-Payments – NEFT/RTGS
- ii) E-Receipts

## **8) Grievance/ Complaint Redressal & Feedback Mechanism:**

- i) Grievance Redressal App
- ii) Concurrent Feedback App
- iii) Trade Grievances
- iv) Citizens' Grievances



## **9) Minimization of Discretion through Computerization:**

- i) Access Control System
- ii) GIS Mapping
- iii) E-Permits/ E-Licences
- iv) ERP
- v) PCS-2
- vi) E Platform for stakeholders
- vii) E-Tender
- viii) EMD Refunds
- ix) E- Office
- x) Digitization of Documents

## **10) Vigilance Action:**

- i) Vigilance App/ Helplines/ Website
- ii) Preventive Vigilance
- iii) Punitive Vigilance
- iv) Surveillance and Detection
- v) Fraud Prevention Initiatives
- vi) Vigilance Inspections (onsite/ file/ tenders)
- vii) Surprise Inspections
- viii) Agreed List
- ix) Co-ordination with CBI/ACB
- x) Scrutiny of Annual Property Returns
- xi) Monitoring of Purchase of Immovable Property
- xii) System Studies for improvement
- xiii) Chief Technical Examiner (CTE) type Inspection of Major Projects

## **11) Changing Minds Programme:**

- i) Motivational Speakers
- ii) Regular Meditation Classes
- iii) Vigilance Awareness Week
- iv) Skits against Corruption

## **12) Transparent Policies in HR:**

- i) Transfers in Sensitive Posts
- ii) Public Grievance Cell
- iii) Periodic Meets with Unions
- iv) Transparent Recruitment Policy

### **13) Transparent Policy for Land Allotment & Management:**

There shall be transparency in the policy dealing with the land allotment and management by the Port.

## **14) Employees' Grievances Redressal System:**

- i) Regular Interaction with Unions
- ii) Safety Committee Meeting
- iii) Regular Meetings with SC/ST/OBC Association
- iv) Sexual Harassment Committee (Women Cell)
- v) Employee Grievance Redressal Committee with Appellate Mechanism

## **15) Incentivization of Integrity:**

- i) Coffee with Chairman
- ii) New Ideas Rewards Scheme
- iii) Appreciation Certificates on Republic Day
- iv) Employee of the Month

## **16) Capacity Building :**

- i) Transparency Training
- ii) On the Job Training
- iii) Participation in International Conferences/  
Seminars/ Workshops
- iv) Visit to other National/ International Ports

## **17) Monitoring by the Senior Management :**

### Monitoring Tools

- i) Administration Report
- ii) Annual Accounts/Audit Report
- iii) ISO Audit Report
- iv) Action taken on Board's Decisions
- iv) Periodical Disclosures

## **18) Evolving Organisation:**

Focus on Organization's Evolution through dynamism, Vision and Motivation



**Thank You!**



## **ANNEXURE - I**

### **Systemic Improvements in Tender Processes for Transparency**

All tenders for procurement of works, goods and services with an estimated value of Rs. 25 lakhs and above shall be invited through open tendering system by giving advertisement. Tenders with estimated value above Rs. 2 lakhs, but below Rs. 25 lakhs (Limited Tender) shall be invited from vendors registered with DPT through a transparent process. Procedure and threshold limits for registering the vendors shall be decided in the Board from time to time.

#### **2. Procedure for Limited Tender for value between Rs. 2 lakh and 25 lakh**

- (A) 1. (a) Limited tender will be resorted to, if the value of the goods and services to be procured is less than `25 lakhs.
- (b) Copies of the tender shall be sent to all registered vendors of the Port by e-mail and receipt of the same shall be ensured through appropriate means.
- (c) The minimum number of vendors in respect of limited tenders shall be 3.
- (d) Limited tender enquiries shall also be hoisted on the Port website to attract more competition.
- (e) In case of limited tenders, at least 7 days will be allowed to the vendors for submission of the bids.

2. Advertisement shall be given in at least one national daily having wide circulation and in the Indian Trade Journal published by the Director General of Commercial Intelligence and Statistics, Kolkata.
3. All tenders above Rs. 2 Lakhs shall be published and processed through e-procurement solution developed by NIC accessible through Central Public Procurement Portal (CPPP Portal) or other e-procurement solutions and a link of the same be provided in the official website of the Port. If e-tendering is done through other e-procurement solutions, details of all tender enquiries, related corrigenda and details of contracts awarded thereon simultaneously be published/mirrored on the CPP Portal using XML facility of NIC.
4. Website address of the Port along with the address of e-procurement solution in which the tender is hoisted shall be given in the advertisements in newspapers and Indian Trade Journal. The tender inviting department shall ensure that the entire bidding document is available on the website of e-procurement solution and a link of the same is given on the official website of the Port.
5. All procurement of works, goods and services to be done through e-tendering with effect from 1<sup>st</sup> Oct, 2016.
6. Prospective bidders shall be allowed to download the tender documents from the website.

7. Tender document will contain specific clause giving instructions to the bidders to pay the cost of tender document along with bid submission, if downloaded from the website.
8. In case of global tenders, the Port shall ensure that copies of the tender notice shall be sent to Indian Embassies abroad and foreign Embassies in India.
9. The following minimum time shall be stipulated for submission of bids-
  - (1) Open tenders within the country - 3 weeks
  - (2) Global tenders - 4 weeks
10. Procurement of goods and services from a single source or vendor shall be resorted to only in extreme circumstances giving due justification as stipulated in Rule 154 of GFR.
11. All works costing Rs.50 crores and above shall have an expert in the Tender Committee, preferably from IIT or similar organizations of repute.

## **B. Preparation of Estimates**

In the normal course the estimates should be prepared based on approved Schedule of Rates/DSR mechanism. Where the works are of a specialized nature and such Schedule of Rates are not available, estimates can be prepared by taking rates of those items from the CPWD DSR and PWD DSR in that hierarchy. Even then, if estimates of the items are not available, the system of taking three quotations from prospective vendors can be resorted to only upto an item estimate of Rs. 1 lakh. If the item estimate exceeds Rs. 1 lakh, the rates in the estimates should be determined by calling an Expression of Interest (Giving a period of one week) in addition to taking three quotations.

## **C. Pre-qualification criteria**

In all cases of specialized nature of work, where inhouse expertise is not available, an outside expert to be associated in formulation of pre-qualification criteria.

## **D. Refund of Earnest Money Deposit**

Refund of EMD shall be done in time bound manner as stated in Finance Circular No. FA/AWC-T-34(58) XII A/1562 dated 07 JAN 2016.

### **E. Evidence of Work Experience**

1. In order to cross verify the work experience claimed by the bidders, TDS certificate from their previous employers shall be insisted as a general condition by all tender inviting departments.
2. In case of difficulty on submission of TDS by bidders, Form 26 AS of IT Department shall be insisted as evidence for establishing work experience.

### **F. Fraudulent documentation by bidders**

1. Submission of fraudulent documents shall be treated as major violation of the tender procedure and in such cases the Port shall resort to forfeiture of EMD/SD/BG of the bidder, apart from blacklisting the firm for the next 3 years.
2. All tender inviting departments shall include this clause in their GCC (General Conditions of Contract) immediately.
3. List of blacklisted bidders should be published on port's website.

### **G. Third Party monitoring of works/projects**

Third party supervision shall be resorted to in respect of the contracts with following threshold limits –

Civil works – Rs.5 crores and above

Mechanical/Electrical works – Rs. 50 lakhs and above.

Provision of third party supervision of works to be made for all the tenders where the inhouse expertise is not available.

Third party empanelment to be done by the IPA/DPT through a transparent mechanism.

### **H. Conducting of Tender Committee Meetings**

Tender inviting department shall ensure the following:

1. Tender Scrutiny Report is correctly drawn with clear observations.
2. Authenticity of the documents in support of claims by the bidders should be verified and certified by the tender inviting department.

3. A comparative statement shall be prepared in respect of the qualification criteria and the eligibility of each of the bidder. This will be submitted to the Finance Department along with the papers for audit.
4. Pre-audit of the Scrutiny Report and tender documents shall be completed prior to convening of Tender Committee Meeting.
5. Points raised by Finance Department during pre-audit shall be properly examined and tender inviting department shall furnish replies against each point.
6. A detailed note to the Tender Committee shall be circulated in advance clearly mentioning the venue, date and time of the Meeting of the Tender Committee.
7. The standard format of check-list shall be filled up and submitted to the Tender Committee in its meeting. (Copy enclosed as Annexure 1A )
8. Tender Committee proceedings shall be drawn and approved by the Committee Members on the day of meeting or on the next working day.

**I. Maintenance of Records relating to Tender**

1. Head of Department inviting the tender shall nominate one officer as Officer-in-Charge of the tender. Designation, Address, telephone, cell number and email id of the nominated officer shall be mentioned in the tender document.
2. Officer-in-Charge of the tender shall ensure that all registers/documents/records as per CVC guidelines are maintained by him.

**J. Constitution of Variation Committee**

1. A Variation Committee shall be constituted for examining extra and excess works executed over and above the estimated cost and extension of time period.
2. The Committee shall comprise an External Expert, FA & CAO, Head of the Tendering Department and Head of the User Department.
3. The Variation Committee shall examine all cases of excess or extra execution of work, procurement and services where the amount of variation is exceeding **10%** of the estimated cost of work.
4. The Variation Committee shall meet once in a calendar month to evaluate such proposals for appropriate recommendations.



### **K. Tracking of files, documents and bills related to contracts**

All movements of files and documents and bills related to all tenders shall be monitored through the Letter Tracking System and/or Tender Management System developed by EDP.

### **L. Responsibility Matrix**

An Authority Responsibility Matrix of all officials dealing with tender work from the stage of estimate to final execution of contract and payment of bills to be formulated by all the departments and incorporated in the departmental manual. (within 15 days).

### **M. Tender Management System**

Port to procure immediately a Tender Management System for Civil Engineering works, which can be, with minor modifications, used for Mechanical & Electrical Engineering works with compatibility to ERP.

### **N. E-tender**

All procurements to be done through e-tendering and all tenders to be processed electronically with immediate effect.

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