

ANNUAL REPORT OF THE VIGILANCE DEPTT.

(5th March, 2014 to 31st March, 2015)

The Department of Vigilance is a newly created department in CIDCO. There are many advantages to being a new department – one such advantage is to decide on the direction and vision for the new department. In CIDCO, one of the main issues for its new Vigilance Department, was to build the trust of the people who use CIDCO's services, in the working of the processes of the organization. To do this, we focused on Preventive Vigilance, while simultaneously enquiring and recommending actions on employees, based on complaints regarding integrity violations. Preventive vigilance is being done by the Vigilance Deptt. through (1) recommending specific process improvements, (2) documenting the existing processes and employee responsibilities through the departmental process manuals and (3) reducing scope for corruption by minimizing points of public contact with the officials of CIDCO.

Following are some of the highlights of work done and efforts undertaken by the Vigilance Deptt. in 2014-15.

I. PUBLIC COMPLAINTS RECEIVED IN VIGILANCE DEPTT. :

Month	Vigilance related complaints	Non-Vigilance related complaints	Total
March, 2014	15	25	40
April, 2014	11	29	40
May, 2014	08	44	52
June, 2014	07	34	41
July, 2014	18	36	54
August, 2014	08	31	39
September, 2014	10	28	38
October, 2014	08	19	27
November, 2014	10	24	34
December, 2014	07	58	65
January, 2015	09	43	52
February, 2015	22	27	49
March, 2015	07	34	41
	140	432	572

ACTION TAKEN ON THE 141 VIGILANCE COMPLAINTS :

Enquiry completed & Complaint Closed : **64**

Enquiry Completed & Action taken : **29**

Enquiry in Progress : **47**

Enquiries in Progress (47) :

<1 month	05
1-3 months	10
3-6 months	12
>6 months	20

Department-wise breakup of Vigilance related complaints : 140

M(TS-I)	M(TS-II)	M(TS-III)	M(P)	CLSO	Jt. Registrar	CE(NM)
09	10	06	16	47	06	08
CE(NMIA)	ATPO	CCUC	CS	Security	MM-I	MM-II
02	02	03	03	03	03	05
M(RHB)	CHO	Fire	CGRO	CA(NT)	CP	
04	01	01	03	04	04	

II. ACTIVITIES FOR PREVENTIVE VIGILANCE :**A) To Reduce Points of Public Contract :**

- i) Estate (I) & (III) Departments, which deal with applications for various NOCs and other kinds of licensee applications, are departments having large public contact and also face public distrust regarding their transactional integrity. Vigilance Deptt. recommended setting-up of a centralized facility (CFC) for Estate-I & III in order to centralize the collection and servicing of nine kinds of licensee applications, in a time bound manner, without the need for licensees/public to approach the Estate-I & III departments for pursuance of their application.

CFC for Estate-I & III started on 15.08.2014. The following Table shows the receipt, disposal and pendency of applications :

MIS REPORT OF ESTATE CFC APPLICATIONS

Period: from 18th August 2014 till March 2015.

Month	Total Applications Received	No of Applications Completed	No of Applications Rejected	Payment Received But NOC not issued	Pending (Applications Not Processed)
Aug-14	103	94	2	0	7
Sep-14	469	395	13	5	48
Oct-14	373	295	1	3	45
Nov-14	486	414	2	5	55
Dec-14	579	491	6	9	61
Jan-15	659	535	7	13	86
Feb-15	593	474	8	16	77
Mar-15	621	483	10	11	91
Total	3883	3181	49	62	470

Applications pending for less than one month	91
Applications pending for one to three months	163
Applications pending for three to six months	116
Applications pending for more than six months	100
Total	470

The above data indicates that 81.92% of the total applications received have been processed through CFC thus the unnecessary public contact in the Estate Department has been substantially reduced. However, this data has also thrown up two areas of concern, which have now become the focus of Vigilance for the Estate-I & III Departments. These two areas are :- a) The 62 cases of 'payments made but NOC not issued through CFC' and b) 470 applications not processed for inordinately long periods. Vigilance Deptt. is looking into whether the 62 NOC's were given by the concerned Estate Deptt. personnel directly instead of through CFC and also whether there is a proper queue system for applications disposal and supervision over it, in case of the pending applications.

- ii) It was found that the Town Planning Department of CIDCO receives a large no. of applications under RTI for production of Commencement Certificates (CCs) and Occupancy Certificates (OCs) granted by the department. Vigilance Department

recommended that the CCs and OCs granted by the Town Planning Department should be available for public perusal on the CIDCO Website. This not only reduces unwarranted public visits for meeting CIDCO officials but also enables the people of Navi Mumbai to watch over and report any irregularities / illegality regarding the building activity.

The Town Planning Deptt. has been uploading the CCs and OCs on CIDCO Website since 13.04.2014 and this data is archived every 03 month. A review of RTI applications on this subject shows that people continue to request for CC's/OC's, but the same are for the purpose of obtaining certified copies of these documents & not for the purpose of eliciting information. Building Permissions Deptt. has been told to examine whether giving of certified documents of CC's/OC's can be a chargeable service & the RTI queries under it can be denied citing website based information disclosure.

B) Process improvement recommendations after Enquiry :

The Vigilance Department has conveyed following recommendations to the respective departments after completion of enquiries. This is done to ensure that the loopholes found in the processes, during the Vigilance enquiry, do not continue and we do not get more complaints on the same issues.

- i) It was found that developers / licensee are required to approach eight departments in CIDCO for NOC's required for obtaining Occupancy Certificate from the Town Planning Department. Vigilance Department vide its note to the Town Planning Department asked the ATPO to become the single point for requesting and receiving NOCs/Objections of the eight CIDCO Departments, after receipt of applications for OC from developer/licensee. Vigilance Department monitors any non response from the eight departments if the same is delayed beyond 10 days. This process improvement has also concurrently reduced the points of unnecessary public contact in CIDCO.
- ii) During investigation it was frequently found that, the plot files in regard to which there were complaints about irregularities /bogus allotment / breach of condition of Agreement to Lease etc., were not traceable. It was found that there were

no/minimum records of file handing over / taking over and file movements in the various departments of CIDCO. In such circumstances, it was difficult to fix the responsibility for the missing files on officials working in the said section, since the officials are periodically transferred. Vigilance Department issued a vigilance note to Manager (Personnel) to ensure that a system of handing over and taking over of files, documents, important papers, court matters etc. is strictly followed and implemented by all HODs / HOSs, for all their outgoing and incoming staff, on transfers/promotions/retirements.

- iii) In some complaints received by Vigilance Department, regarding land allotment/agreement in 12.5% scheme, agreements were executed by CIDCO with bogus beneficiaries. The bogus beneficiaries were usually found taking advantage of their similarity in name with the genuine beneficiaries. It was felt that in view of the rapidly rising value of land in Navi Mumbai, such cases may become rather common in the agreements yet to be executed by CIDCO and therefore becomes a critical point for avoidance of fraud or corruption. A vigilance note was issued to CL&SO to draw up a check list for documentary and in-person verification of beneficiaries and a 'maker-checker' system for proper supervision of the same, to be followed strictly at the time of signing agreement.
- iv) In certain complaint enquiries regarding marketing schemes, inactions on breach of conditions of Agreement were observed. However, the Scheme Booklet could be traced only after considerable effort. In order to continually watch for any Breach of condition of Agreement to Lease by the Marketing or Estate Department, it is necessary to have the scheme booklet of the respective scheme in the file. This department issued a vigilance note to the Marketing Managers that they should ensure the inclusion of Scheme Booklet of the Marketing Scheme in respective plot file.
- v) Vigilance Deptt. alongwith the Financial Advisor and Company Secretary was looking into the Statutory Audit Reports for the years 2009-2010, 2010-2011, 2011-2012. During the discussions of the Committee, it was seen that CIDCO has significant nos. of fixed assets like buildings, furnitures & fixtures etc. which are not centrally collated. This can have serious implications like mis-appropriation of such assets due to non-monitoring of these stocks by surprise visit by Head of

Departments or Vigilance Department recommended constitution of a committee under Company Secretary for facilitating compilation of details of the existing fixed assets across all office of CIDCO. This committee has started work since August 2014.

C) Implementation of Integrity Pact :

The process of Integrity Pact was implemented for all contracts above Rs.5.0 crs. The expectation is that the level of honesty and integrity of bid making will increase, if all bidders are bound by a pact with CIDCO in which every participating bidder agrees to honesty in the tendering process. The trust generated in the Integrity Pact mechanism in tendering, is assisted by the process of third party investigation of any bidder complaint regarding integrity in the tendering process through two reputable independent external monitors. CIDCO has appointed Mr. D. T. Joseph, IAS (Retd.) and Mr. Jayant Kumar Banthia, IAS (Retd.) as 'Independent External Monitors' (IEM) for the Integrity Pact. The MIS for the period from 12.09.2014 to 31.03.2015 are as under :

S. No.	Period	No. of tenders above Rs.5 crores	Total value of tender (in crores)	Whether IP included as part of tender ?	Whether any complaint received for IEM's enquiry
1	12.Sept 14 to 31 Oct .14	9	158.77	Yes	No
2	Nov. 14	1	26.19	Yes	No
3	Dec. 14	1	39.60	Yes	No
4	Jan. 15	1	7.35	Yes	No
5	Feb. 15	5	81.38	Yes	No
6	March 15	5	7.77	Yes	No
Total		22	321.06		

One contract of Rs.1327.75 Crores regarding Metro Rail Project was taken under Integrity Pact at the stage of issuing work order. There was one complaint received on this contract & the same was enquired into by the IEMs. Their reports is under preparation.

D) CIDCO Vigilance Web Link

CIDCO launched Vigilance Web link on 15.01.2015. This web link enables public to lodge their complaint regarding vigilance issues in CIDCO. The unique feature of this web link is that the complaints are made publicly accessible on the webpage, after the Vigilance Dept. has masked the identity of the complainant

and the CIDCO official complained against. By this, Vigilance Deptt. expects that acts of corruption could be prevented if they are in the process of taking place, since the potential delinquent employee can also watch for any complaints made on this site. Till 31st March 2015 (2½ months since the website was launched) this department received following number of complaints on Web link.

Total complaint received : 05 (Vigilance complaint 01 + non vigilance 04)

Action taken on Vigilance complaint : 01 complaint enquired into and closed.

E) Departmental Processes Manual :

In order to create working conditions with no scope for corruption, it was found necessary to bring clarity to the roles and responsibilities in the various departments of any organization. Vigilance Department has been taking the lead in the documentation of the functions of each department, the rules and policies under which each function is performed, the officers responsible for each step of the process and the approximate timelines within which each of those functions will be executed.

Till date, such Departmental Process Manuals have been prepared for the Social Services Department, Marketing Deptt. and Engineering Deptt. Similarly, a working Manual has been prepared for Departmental Enquiries. Work is on-going for preparing a manual for the CCUC and also a working Manual on E-tendering is under preparation. These Manuals will be updated by the respective Departments on an annual basis at the end of each calendar year. Since these Manuals are a public documents, they are available on the Vigilance Department's webpage on CIDCO'S website. It is expected that this endeavour will help CIDCO'S staff in the concerned departments to work with full clarity on their roles and responsibilities, reduce scope for corruption.

F) Vigilance Awareness Week :

Vigilance Awareness Week was observed from 27th Oct. 2014 to 1st Nov. 2014. As a part of this week, CIDCO's Vigilance Department organized employees and public awareness program on the issue of corruption. Former Central Information Commissioner, Shri Shailesh Gandhi, who is also a well-known RTI Activist, addressed CIDCO employee on the topic of 'Transparency and its effects on Governance' during the Vigilance Week – 2014. Street plays were staged by the

students of Institute for Technology and Management, Kharghar, Navi Mumbai during this Week, at a large number of locations across Navi Mumbai. This program received an enthusiastic response from the public.

G) Appeal to public to contact Vigilance Deptt. in case of any demand of bribe :

In order to bring awareness to larger number of people, Vigilance Deptt. has put sign boards in CIDCO Bhavan, Registered Office at Nirmal, all Nodal Offices & New Town Offices appealing to people to contact Vigilance Deptt. in case of any demand of bribe from any CIDCO official.

OTHER ACTIVITIES :

A) Liaison with Anti Corruption Bureau (ACB) :

This department is now taking a regular review with ACB by periodical meetings. In the said periodical meetings, the cases under enquiry / under investigation with ACB, regarding bribery, disproportionate assets and criminal misconduct are discussed at length. Any pending replies/ sanctions for prosecution requested by ACB from the Competent authority of CIDCO are also discussed.

B) A review was undertaken of the positioning of the CCTV cameras in departments like Estate and Lands where there is a significant inflow of public for their work.

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