Vigilance Department, PLW, Patiala
System Improvements Suggested in Year- 2025

Sr. No.	Summary of the Case	System Improvements Suggested
1	**Procurement of Loco Shells — Non-Conforming Material** **Summary:** Some firms were not using structural material of high-value conforming to the P.O. specification during fabrication of Loco Shells. Following irregularities have been noticed in the procurement and assembly of loco Shells. 1. **Lack of Traceability:** No system exists to ensure that inspected raw material at Stage-1 is the same material used in loco shell fabrication in Subsequent Stages. 2. **Absence of Stage-1 Inspection Certificates:** CLW inspection engineers are not preparing Stage-1 certificates; reliance is placed solely on raw material test reports. 3. **Non-Uniform Sampling Procedure:** No standardized method exists for collecting samples for NABL-accredited labs for testing. 4. **Improper Storage Practices:** Firms are not stacking copper and non-copper materials separately. No markings or identification at storage sites. 5. **Specification Discrepancy:** Para 5.1 of CLW specifications mentions "IS:2062:2011 E-250 Quality-C" instead of "IS:2062:2011 E-250 Cu Quality-C". Drawings do not consistently reflect copper requirements. 6. **Incomplete Documentation:** Firms are not submitting complete inspection documents at IREPS or Store Receipt Section at the time of delivery of loco shells. 7. **Drawing Inconsistencies:** ABB drawings reference AS (Australian Standards); CLW drawings reference IS (Indian Standards), baby drawings differ from parent drawings. Multiple and conflicting instructions exist. CLW Specification No. CLW/MS/3/152 ALT-10 requires comprehensive review.	Following system improvement are recommended:- 1. Procurement of Steel (for shell fabrication) should be done from authorized manufacturers only. CLW to authorize steel manufacturers. 2. Shell material should conform to IS standards only. 3. System should be developed for traceability of 'tested raw material in stage-I' and 'structural material used by firms for fabrication of Loco Shell Assemblies in later stages'. Such structural material may have markings or color coding applied at multiple locations during various stages or any other suitable system to be put in place for traceability by CLW. 4. Regular audit of vendors and production processes should be done. 5. Review of CLW specification no. CLW/MS/3/152 ALT-10 as well as all the related drawings to be done as per current requirement. It is noticed that shell material specified in ABB drawings is as per AS (Australian Standards) and in CLW drawings IS standards are mentioned. It is also noticed that some baby drawings are not at par with the parent drawings (regarding shell material specifications). It was observed that multiple instructions related to shell material have been issued by CLW. Only one type of drawings should be followed/ maintained in the system i.e. either CLW or ABB drawings to avoid any confusion. 6. Inspection agencies, consignees and suppliers should use portable testing machine (e.g. XRF Gun or equivalent) for non destructive quick testing of structural material during different stages
2	**Erroneous Financial Up-gradation — Personnel Department** **Summary:** During checking the records of Staff-II section of personnel	Following system improvement are recommended:- 1. Place a check sheet and complete summary sheet in

	department, it is noticed that an erroneous financial up-gradation was provided to two paramedical staff of PLW Patiala and this comes to the notice of personnel department in Dec. 2018. A decision to withdraw this erroneous financial up-gradation and recovery of excess payments from the two beneficiaries was approved by the then PCPO in March 2020 but not implemented by the then SPO and OS/Staff-II. Instead the financial up-gradation of one paramedical staff was regularized by the then SPO independently without any approval of competent authority. Even the recovery case of other paramedical staff was also delayed by not issuing Show cause notice.	personal file of every Railway servant mentioning every up-gradation under MACP Scheme/Promotion earned by Railway servant date wise to avoid erroneous benefit of up gradation /promotion and to bring transparency in the system. 2. An audit must be done of the MACP cases finalized during the period of this case. 3. Transition to digital platforms may be explored for processing MACP and promotion cases to minimize human error.
3	**Shelf-Life Items — Procurement and Handling Deficiencies** **Summary:** A vigilance investigation into the procurement and handling of shelf-life items has revealed certain procedural deficiencies and lapses related to monitoring of stock, demand assessment, and verification of shelf life at the time of receipt, which have resulted monetary loss due to overstocking and expiry of materials, as well as the possible use of expired items, thereby compromising quality, safety, and Operational efficiency. To further strengthen the existing system and ensure efficient procurement, handling and timely consumption of shelf-life items, additional recommendations have also been formulated during the course of the present investigation.	Following system improvement are recommended:- 1. Before supplying the material, the firm shall take confirmation from the Depot Officer, as the Depot is the receiving agency for all materials. Accordingly, the supplier must obtain confirmation from Dy.CMM/Depot/PLW before supplying each lot. 2. Depot shall immediately seek clarification from Planning, and the Planning Section shall verify the demand from concerned shops before reverting to the Depot. 3. The Planning Section shall prepare and maintain a list of all shelf-life items, review their quantities on a quarterly basis, and convey the position to both Purchase and Depot Sections for necessary action. 4. The Planning Section shall also include the discussion on the availability status, consumption pattern, and expiry position of all shelf-life items in the first production review meeting of each month.
4	**Transfer/Posting Policy — Non-Gazetted Mechanical Cadre Staff** **Summary:** During Vigilance investigation regarding policy for posting of Non-Gazetted staff of Mechanical cadre at the time of promotion/transfer, from incentive to no/less incentive area and vice versa , the following irregularities have been noticed:- A. The existing transfer policy of Non-Gazetted staff	Following system improvement are recommended:- 1. Personnel branch is advised to formulate a separate transfer/posting policy considering the distinct duties of Driver Trade staff in Vehicle Section, as the current policy

	(Technicians of Mechanical Cadre, Group-C) from Incentive to No/Less Incentive areas and vice versa has been reviewed in detail. The following critical observations have emerged during examination: 1. The policy is non-exhaustive and lacks clarity regarding the posting of newly promoted Technician-III Drivers (from Group-D to Tech-III). 2. No specific provisions exist for Driver Trade staff, who work under unique service conditions involving irregular hours, night duties, outstation assignments, and overtime. 3. The guidelines for rotational posting in Incentive and No/Less Incentive areas are not being uniformly implemented. 4. Ambiguity exists regarding whether the term "Technician" includes only Tech-III or also Tech-II, Tech-I, and Sr. Technicians. 5. The role of the Personnel Department in maintaining and sharing updated tenure lists for transfer/posting decisions has not been effectively enforced. Due to the absence of clear and uniform guidelines, operational imbalance has been noticed and equal opportunities are not being extended to all staff for postings in incentive-based areas. This has also resulted in administrative ambiguities during posting of staff on promotion and transfer. Hence, there is a need to implement a revised and comprehensive transfer policy.	has been in place for over a decade, reviewed and updated (also for other Non-Gazetted staff), to suit present operational and administrative needs, subject to approval of the Competent Authority. 2. It is proposed that a Committee comprising three Dy. HODs (including Dy. HOD Cadre Controller) be constituted for frame the policy. 3. The revised policy should ensure: • Equal opportunities for all staff to serve in incentive areas • Clear provisions for newly promoted Technician-III staff. • Transparent criteria for transfers/postings, especially in trades involving overtime and irregular duties • Policy may be issued with the approval of PCAO. • Prior approval of the PCAO for any deviation from the approved policy, particularly where financial implications such as incentive or overtime are involved.
5	**Composite Transfer Grant (CTG) — Retired Railway Officials** **Summary:** In Vigilance investigation regarding payment of Composite Transfer Grant (CTG) to retired Railway officials, the following irregularities have been noticed:- 1. Three cases were identified where government quarters were allotted only a few months before the official's retirement. The CTG claim (₹59,440) appears to have been made despite occupancy/surrender dates and checklist entries that are inconsistent with actual retention at retirement. The pattern suggests possible misuse of the relaxation introduced by RBE/16/2022 (which removed the 20 km requirement) to claim CTG by obtaining late quarter	Following system improvement are recommended:- 1. **Formulation of Policy:** Frame a clear policy with approval of the competent authority, restricting or regulating allotment of railway quarters to officials due to retire within the next eight months. Such late allotments often make the official automatically eligible for CTG, which may not reflect genuine residential need. 2. **Introduce a revised CTG verification checklist:** A detailed checklist should be developed to ensure vigilant verification of CTG entitlement for retiring officials, with mandatory cross-checks of allotment, occupation and surrender records.

	allotments. 2. It is clearly mentioned in RBE No. 16/2022 that "for the purpose of composite transfer grant in r/o Railway employee who wishes to settle down at the last station of duty or other than last station of duty after retirement, the condition of 20 KM from the last station of duty, is done away with subject to the condition that change of residence is actually involved.". This is nowhere being physically verified; rather we only rely upon the self declaration of the retired official.	3. **Strengthen verification of actual residence change**: A system should be put in place to confirm that the change of residence has genuinely occurred, supported by independent documents, rather than relying solely on self-declarations.
6	**Store Bills (Account) & Expenditure Section — Bill Processing** **Summary:** Scrutiny of Store Bills (Account) & Expenditure section for stock & non-stock conducted for the period Dec-24 to Jan-25. It is noticed that 1. Maximum numbers of bills have been passed within stipulated period i.e. within 10 days. About 21% bills have been returned and about 10% bills have been delayed. 2. Most of the bills which are returned due to incomplete documents provide by the vendors. In case of delayed payment, reasons for delayed payment have not been recorded in file.	Following system improvement are recommended:- 1. Accounts Department is advised to make a standard checklist for reasons of bill return, which to be enclosed with each purchase order? Even after this, if bills are returned for any reason, they may be returned at the minimum possible time. 2. Most of the reasons for bills returning are common. These issues to be raised at vendors meet organized by PLW from time to time. 3. In cases there are delays in payment for any reason, the same may be recorded in the case file. All our efforts are required to be made to expedite the pending payment to vendors, especially to small vendors.
7	**Recovery of Inspection Charges from TPI Agencies — Warranty Rejections** **Summary:** During the preventive check, it was observed that inspection charges were not recovered from TPI agencies in warranty rejection cases, even where the rejections were attributable to lapses on the part of the inspecting agencies, despite clear Railway Board instructions. It was further noted that TPI representatives did not participate in joint inspections, yet decisions were finalized in their absence. Moreover, no effective system exists in IMMS for automatic recovery of inspection charges, resulting in non-implementation of Railway Board guidelines. Additionally, Action Taken Reports (ATRs) were not submitted by TPI agencies within the prescribed timelines, indicating weak monitoring and non-compliance with Railway Board directives.	Following system improvement are forwarded to Railway Board for recommendations:- 1. It is recommended that an automated module in IMMS may be developed in coordination with CRIS and Western Railway for auto-recovery of inspection charges in cases of TPI-attributable failures. Western Railway should define and notify standard recovery rates to enable proper implementation. 2. A robust monitoring mechanism may be introduced to track inspection failures and corresponding recoveries. Further, strict compliance with Railway Board instructions regarding

		mandatory submission of ATRs should be enforced, with provision for penal action against defaulting TPIs. Participation of TPI representatives in joint inspections should also be ensured and linked with accountability. These recommendations are forwarded to Railway Board for taking necessary action.
8	**Preventive Check on Bought-Out Items — Sub-Assemblies** **Summary:** Preventive check on BOUGHT OUT items of some large sub assembly's to check whether their critical raw materials (bought out items/sub-items/child part) have been genuinely procured from approved sources as per specification. Some higher assembles items like- Filter Cubicle, Control Cubicle, Auxiliary Cubicle, 3-Phase TMs checked for the invoices and test certificates. 1. It was noticed that in some cases, inspection documents attached with inspection certificates(IC) are not available in e-Receipt file provided by Store Depot. 2. The inspection documents attached with the ICs can be downloaded only for one month (approx) from date of issue of IC and not after that. 3. In some cases, invoices, test certificates along with other attached inspection documents duly verified by inspection agency submitted by the firm at the time of delivery of material are not legible.	Following system improvement are recommended:- 1. Store department is advised to instruct all inspection agencies (TPI) to ensure that all the inspection documents submitted by the firm at the time of inspection are legible and relate to each other in all respects as per requirement of the purchase order and also to ensure that all the inspection documents including stage inspection attached with the inspection certificates have been downloaded within the available window and attached in e-receipt file so that inspection documents may be checked whenever required.
9	**User Depot Module (UDM) — Item Accounting Deficiencies** **Summary**: During preventive check it was found that some items were not properly accounted for, in User Depot Module (UDM). Below mentioned Irregularities have been observed:- As per Railway Board Letter No. 2024/RS(IC)/166/1, dated 04.04.2024, manual ledgers shall cease to be treated as authentic records after 01.06.2024, and all items are required to be uploaded in the User Depot Module (UDM) system. However, it has been observed that a considerable	Following system improvement are recommended:- 1. Strictly ensure the implementation of Railway Board's instructions (vide Railway Board Letter No. 2024/RS(IC)/166/1, dated 04.04.2024) during future stock verifications of all shops and sections of PLW/Patiala, so that no item remains outside the UDM system. 2. Constitute a committee to carry out a detailed survey of the pending items to assess whether they have any alternate or potential use within PLW or in other Zonal Railways. Since

	number of items are still lying pending in various shops/sections due to non-uploading in UDM for different reasons .	many of these items are old and surplus in nature, items found to be unserviceable or without foreseeable utility may be processed for disposal as per extant rules.
10	**M&P Repair Cases — Plant Organization Procedural Irregularities** • Violation of SOP — Quotation Norms • No Security Deposit / Bank Guarantee • Poor Record-Keeping — Gate Passes Missing • Inconsistent File Maintenance — Hard & E-Files, No SD/BG Clause in LOA • Rate Reasonableness — Unjustified • Missing Justification — OEM Rates Not Obtained • Deficient Final Bills • Missing Comprehensive Checklist (M&P Details) • Procedural Inertia / Delay	Following system improvement are recommended:- 1. Plant department is advised to make a comprehensive work instruction clearly outlining the M&P repair procedure, along with a checklist of mandatory documents to be placed in the repair file. This will help in establishing time-bound action plans for repair activities and in preventing undue and excessive delays in restoration of M&Ps. A standardized **"Do's and Don'ts" guideline (graphical form) for M&P repairs** should be circulated to all concerned supervisors for real-time implementation while handling repair cases, to ensure procedural compliance, uniformity in processing and enhanced accountability.